



# ESG Program HMIS Manual

A GUIDE FOR HMIS USERS AND SYSTEM ADMINISTRATORS  
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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ALIGNS WITH FY 2020 HMIS DATA STANDARDS

The contents of this document, except when based on statutory or regulatory authority or law, do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

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## Revision History

Release Date	Revision Summary
<b>March 2015</b>	First Release
<b>December 2016</b>	Second release; version update to align with 2014 HMIS Data Standards V5 documents.
<b>September 2017</b>	Third release; version update to align with 2017 HMIS Data Standards.
<b>September 2018</b>	Fourth release; update guidance about “Projects funded by multiple jurisdictions” and current ESG Reporting requirements in Sage.
<b>September 2019</b>	Fifth release – updated to align with FY 2020 HMIS Data Standards.
<b>December 2019</b>	<p>Correct reference to “4.20 Current Living Situation” in Special Data Collection Instructions. Data element number for Current Living Situation is 4.12, not 4.20.</p> <p>Added additional exit guidance in Special Data Collection Instructions for Street Outreach projects.</p> <p>Clarified CE data element collection requirements.</p>
<b>June 2020</b>	Added information about <a href="#">ESG Recipients</a>
<b>V1.1</b>	Added <a href="#">Appendix A</a> with ESG-CV guidance
<b>June 2020</b>	Clarified project setup for Street Outreach projects funded by the same jurisdiction with both ESG and ESG-CV funds
<b>V1.2</b>	Clarified ESG-CV reporting requirements for multi-jurisdictional HMIS implementations

## Introduction

The Emergency Solutions Grants Program (ESG) HMIS Manual is intended to support data collection and reporting efforts of Homeless Management Information System (HMIS) Lead Agencies and ESG recipients and subrecipients. This manual provides information on HMIS project setup and data collection guidance specific to the ESG Program.

This document is not a replacement for any specific program guidance, requirements, regulations, notices, and training materials on the ESG Program. This manual only addresses the use of HMIS for ESG.

## Additional Resources

- **ESG Program:** Guidance about the ESG Program and its requirements can be found online at the HUD Exchange on the [ESG Program](#) page.
- **Ask A Question:** To ask a question about any ESG Program HMIS requirement go to the [Ask A Question](#) section of the HUD Exchange. Please be sure to select “HMIS” for your question under “My Question is Related To.” HUD and ESG program staff work together to answer questions that come in on Ask A Question related to ESG and HMIS.

## Additional HMIS Resources

- There are a variety of documents available on the HUD Exchange [HMIS](#) page that detail all HMIS Data and Technical Standards, Federal Partner Information, and information about HMIS forums for HMIS Leads, System Administrators, and Vendors.
- The [2020 HMIS Data Standards](#) page contains a suite of HMIS Data Standard resources, which are briefly described below. Each of the documents has a specific purpose and intended audience. The HMIS Lead should be familiar with all the documents and collectively use them as their HMIS reference materials along with specific materials provided by the software provider.
  - [FY2020 HMIS Data Manual](#) represents the foundation for the data contained within an HMIS, project setup instructions, and data collection instructions.
  - [FY2020 HMIS Data Dictionary](#) Table Shells contain the data element tables with relevant programming instructions, system logic and other issues to be used by vendors for HMIS programming. The information in the tables shells aligns with the information contained herein.
  - [FY2020 CSV Specifications](#) This document provides specifications for a standard set of comma-separated values (CSV) files that include all data elements and fields defined by the FY2020 HMIS Data Standards, along with information that describes an exported data set.
  - [FY2020 XML Schema](#) The HUD HMIS XML Schema specifies a format for transferring HMIS data. This XML format can be used for data migrations between systems, or the data types defined within it could be individually referenced in custom web methods.
  - [HMIS Federal Partner Participation Resources](#) Each link on this page contains resources and materials for following the HMIS requirements of HUD and other federal partners.
  - [HMIS Project Setup Tool](#) provides a general framework to support project setup in HMIS by system administrators. It assists system administrators in ensuring that all HMIS participating projects are set up using the appropriate HMIS project types and are collecting the required data elements.

## ESG Recipients

ESG awards are non-competitive and made on a formula basis to states, cities, counties, and territories across the country who are then the *recipients* of the ESG grant from HUD. Geographic size, population, and poverty rates all play a part in the ESG formula. It is the ESG Recipient's responsibility to allocate its funding in coordination with the Continuum of Care through a process which they articulate in their Consolidated Plan which is submitted to and approved by HUD. They allocate the funds following their community process to eligible *subrecipients* for specific projects. For example, a state could have a plan that says the majority of the state's ESG funding should be targeted to providing emergency shelter in rural areas of the state. The state then allocates funding to eight different shelters meeting their definition of rural throughout the state. These shelters are *subrecipients*.

Because the ESG Recipient's geography overlaps (i.e. cities are in counties; counties and cities are in states) it is possible that an ESG Subrecipient could receive funding for the same ESG component (e.g. Emergency Shelter) from two or three recipients. The HMIS Lead should work with each ESG Recipient to understand what funding component(s) each organization in their implementation is receiving; who the recipient is that provided the funding; and what ESG component the funding is for. They must also verify with the organization which of their projects in the HMIS is the project that received the specific funding.

## HMIS Project Setup

It is important to be sure that communities understand the difference between a **program** and a **project** because they have distinct meanings in this context. A program is the source of funding that the organization is receiving to run its project (e.g., ESG Program funding for ABC Emergency Shelter project). For data collection and reporting purposes, HUD and its federal partners refer to categories of funding within a program as **components**.

The guidance in this manual should also be applied to emergency shelters that are not federally or ESG-funded. Projects which are defined as emergency shelters, whether funded by HUD or not, are included in the community's Housing Inventory Count (HIC). All shelter projects participating in HMIS are also part of the Continuum of Care's System Performance Measures. Therefore, the closer an HMIS implementation can align the non-federally funded shelters with the guidance in this manual, the more the information can be gleaned from them as part of the community's data-driven understanding of performance.

### Identify Projects for Inclusion in HMIS

Identify all the **projects** within the HMIS implementation that receive ESG funding. For example, if the ESG recipient is a County that funds two subrecipients, Nonprofit A with Emergency Shelter funds and Nonprofit B with Rapid Re-Housing funds, then that local HMIS implementation must have two projects in the HMIS implementation: Nonprofit A Emergency Shelter and Nonprofit B Rapid Re-Housing.

### Identify Funding Components for each Project

Identify the **component** for each project funded by the ESG recipient (a local jurisdiction: city, county or state/territory). The ESG Program includes four eligible components:

- Activities under the ESG **Street Outreach** component are designed to meet the immediate needs of unsheltered homeless persons by connecting them with Emergency Shelter, housing and/or emergency health services.
- Activities under the ESG **Emergency Shelter** component include three distinct activity types which may be funded by ESG for an Emergency Shelter:
  - **Shelter Operations**
  - **Essential Services**
  - **Renovations**
- The **Homelessness Prevention** component of ESG funds short- and/or medium-term rental assistance and housing relocation and stabilization services (financial assistance and service costs) designed to prevent an at-risk individual or family from moving into an emergency shelter or living in a place not meant for human habitation.
- The **Rapid Re-Housing** component of ESG funds short- and/or medium-term rental assistance and housing relocation and stabilization services (financial assistance and service costs) designed to quickly move homeless individuals and families from emergency shelter or places not meant for human habitation into permanent housing.

Following the example above, Nonprofit A receives funding under the Emergency Shelter component and Nonprofit B receives funding under the Rapid Re-Housing component.

### Set Up Projects in HMIS

One of the most critical steps in accurate data collection and reporting is ensuring that a project is set up properly in an HMIS. Incorrect project setup will jeopardize recipients' ability to produce accurate, reliable reports and will affect the community's ability to generate community-wide reports including System Performance Measures.

HMIS System Administrators should follow the procedures established for their particular HMIS when setting up projects in the HMIS. These setup procedures must include, at a minimum, that:

1. HMIS includes **project descriptor** information for all ESG projects participating in HMIS; and
2. HMIS Lead, in consultation with the CoC, review project descriptor data at least once annually and update that data as needed.

The HMIS Lead Agency must ensure that the HMIS includes project descriptor information for all residential continuum projects, regardless of their participation in HMIS.

The following are required Project Descriptor Data Elements:

### Organizational Information (2.01)

- The name of the agency/organization (i.e., recipient or subrecipient) receiving ESG funding and providing the direct services must be entered. An identification number will be generated by the HMIS. There may be only one record in HMIS for each agency/organization, regardless of how many projects they operate. Select whether the project is a Victim Service Provider. In the HMIS Data Standards, HUD strongly recommends that the name of the organization is the entity's legal name - not an abbreviation or other derivative since the name is transmitted in reports. The organization identified here should be the organization operating the project, and not the ESG recipient, if the ESG recipient is not operating the project directly. Be sure to select whether the project is a Victim Service Provider.

## Project Information (2.02)

- **Project ID:** A Project ID must be assigned to each project via a system generated number or code. Each project must receive a distinct identifier that is consistently associated with that project.
- **Project Name:** The name of the project receiving ESG funding and providing the direct service must also be entered or identified with the ESG-specific project (e.g., Shelter Name XYZ). HMIS administrators should note that often the name of the project on the grant agreement is not the same as the name the project is called by the organization and/or the common name in the community and often not the same name as is used on the HIC. System administrators should maintain mapping information to correlate grant names, HIC names, and common names with the project identifiers either within the HMIS itself or separately.
- **Operating Start Date:** The Operating Start Date of a project must be completed on all projects within the HMIS. The Operating Start Date of the project is defined as the first day the project provided services and/or housing. Thus, this date must be no later than the date the first client served in the project was entered into the project. For projects which began operating prior to October 1, 2012, the start date may be estimated if not known.
- **Operating End Date:** An Operating End Date must be entered when a project closes. The Operating End Date must be the last day on which the last client received housing/services. The Operating End Date should be left empty if the project is still in operation (refer to the specific HMIS instructions on project close out in an HMIS).
- **Continuum of Care Project:** All ESG-funded projects are considered part of the Continuum of Care, so enter “yes” to identify them as Continuum projects.
- **Project Type:** Each project must be identified with a single HMIS project type. Select only one project type for each project in the HMIS--no single project within an HMIS may have two project types. Recipients or subrecipients that have ESG funding for multiple components falling under separate project types must have separate projects set up in HMIS for each project type. For instance, Nonprofit C receives a grant award from the City to fund both Rapid Re-Housing and Homelessness Prevention. Nonprofit C must set up a Rapid Re-Housing project AND a separate Homelessness Prevention project in the HMIS.

ESG Program Component - Activity	Continuum Project Type
Street Outreach	Street Outreach
Emergency Shelter – Shelter Operations	Emergency Shelter Day Shelter* Transitional Housing**
Emergency Shelter – Essential Services	Emergency Shelter Day Shelter* Transitional Housing**
Emergency Shelter - Renovations	Emergency Shelter Day Shelter* Transitional Housing**
Homelessness Prevention	Homelessness Prevention
Rapid Re-Housing	PH: Rapid Re-Housing

**\*Project Type: Day Shelter** – Projects that receive ESG funding under the Emergency Shelter component where the activity is carried out in a Day Shelter should select Project Type: Day Shelter instead of Emergency Shelter. Day Shelters are defined as projects that offer daytime facilities and services (no lodging) for persons who are homeless. All Day Shelter projects are required to collect data and report outcomes like those of any Entry/Exit Shelter (i.e., 1) the project reports performance from project start to project exit, assuming that there is a consistent service delivery between start and exit; and 2) that the project is providing services which include a focus on increasing income and housing placement).

**\*\*Project Type: Transitional Housing** – There are some Transitional Housing projects that were funded under the Emergency Shelter Grants program in FY2010, which are “grandfathered” into ESG funding. In such cases, accomplishments for these projects will be reported under “Emergency Shelter” for the Consolidated Annual Performance Evaluation Report (CAPER) but must continue to be identified within the HMIS as Project Type: Transitional Housing.

**Project Type: Services Only** – For ESG-funded projects, **only legal services providers may be set up in HMIS (or their comparable database) with a project type of ‘Services Only.’** If the legal services provider receives funding from multiple sources, a separate project must be set up for clients receiving services funded under ESG to ensure that reporting includes only clients served with ESG funds (*unless the HMIS or comparable database can meet the criteria laid on in “Projects funded by multiple jurisdictions” on page 9*).

**Essential services funded under the Emergency Shelter component of ESG must be categorized under the Emergency Shelter, Day Shelter or Transitional Housing project type, as applicable.**

*Additional note: Whether using ESG funds for shelter operations, essential services, and/or renovation, ESG recipients are required to report in the CAPER the number of all persons served in ESG-funded Emergency Shelter, Day Shelter and grandfathered Transitional Housing projects. Because the CAPER does not require a breakdown of the number of clients who received essential services and those who only utilized a bed during their stay at the shelter, there is no need or way to distinguish between eligible ESG Emergency Shelter activities (i.e., essential services, shelter operations, or renovation) in HMIS. For these reasons, essential services should not be set up as a “Services Only” project type in HMIS.*

#### Method for Tracking Emergency Shelter Utilization:

The Entry/Exit method should be used for all ESG-funded emergency shelters unless:

- The shelter serves a large number of clients on a nightly basis;
- Clients are permitted to spend nights at the shelter on an irregular basis; and
- There is a high degree of client turnover;

ESG-funded shelters that meet the criteria above may be set up in HMIS to use the Night-by-Night method to track emergency shelter utilization. Due to the different nature of these projects, shelters that meet the criteria for using the Night-by-Night method also have different data collection requirements, as detailed in the [Special Data Collection Instructions](#) section below.

Once the Method for Tracking Emergency Shelter Utilization has been identified and selected in the HMIS, it should not change. Altering this element will significantly impact project level reporting as well as system level performance reporting. If a shelter requests a change in method and the CoC agrees, then HMIS technical assistance is recommended prior to making the change to ensure that consideration is given to:

- the impact the change will have on reporting;
- the date the project should change types to correspond with funding reports; and
- the difference in performance expectations between the two types of emergency shelter.



Regardless of the method used to track emergency shelter utilization, it must be possible to determine the clients served by any ESG-funded shelter for any given night based on HMIS data. Please see the [HMIS Data Dictionary](#) for additional information.

### Continuum of Care Information (2.03)

- Select the CoC code and geocode based on the location of the project. Enter the project address and geography type. Tenant-based scattered site projects and Victim Services Providers are only required to complete the geocode and ZIP code fields and may use mailing or administrative address information if they wish to complete the remainder of the address fields. For example, if the project operates in City X, which is part of a CoC consolidated application, select the CoC Code that would be used for the CoC application, regardless of the jurisdiction providing the funding. Refer to the [CoC-Con Plan Jurisdiction and ESG Recipient Crosswalk](#) to determine which CoC claimed the geography of the location of the project. For projects that operate in multiple CoC jurisdictions, (e.g. the project is in the city and the city is within a county and both the city and county have an active CoC) the code for each CoC must be entered.

### Funding Sources (2.06)

Projects funded in whole or in part by ESG are to be identified as funded by “HUD: ESG – [component name]” - based on the ESG component type. Select the appropriate ESG component for each project:

#### HUD: ESG – Emergency Shelter (operating and/or essential services)

- Projects that receive renovation funding from ESG are to be listed under **HUD: ESG Emergency Shelter (operating and/or essential services)**. These projects are expected to report on all persons sheltered in the facility that was renovated just like projects which receive ESG funding for shelter operations and/or essential services.
- If a project receives ESG Program funding for multiple emergency shelter activity types (e.g., funding for both operating or essential services and renovation funding), it should be set up as a single emergency shelter project in HMIS, as long as the funding source (grant identifier) associated with those activities is the same and the client population is identical.
- Projects that received ESG funding for shelter operations or essential services and are “grandfathered” Transitional Housing projects must select **HUD: ESG-Emergency Shelter (operating and/or essential services)** as the funding source.

#### HUD: ESG – Homelessness Prevention

#### HUD: ESG – Rapid Re-Housing

#### HUD: ESG – Street Outreach

Next, enter a **grant identifier** for each ESG grant that the project receives along with the grant start and end dates.

### Bed and Unit Inventory Information (2.07)

Projects which provide lodging (Emergency Shelters, Transitional Housing, and Rapid Re-Housing) must complete the bed and unit inventory information on all residential projects funded through ESG. This information should match the information provided by the CoC for the HIC. The bed and unit information in HMIS is based on the number and type of beds in the entire project, which may be more beds/units than are funded under ESG.

**Note:** The CAPER is consistent with HMIS in that it requires recipients to report on all beds in ESG-funded emergency shelters; HUD does not require emergency shelters to track each bed by funding source. The CAPER does not require recipients to report on bed/unit information for Rapid Re-Housing. However, when reporting in their CAPER on the persons served by Rapid Re-Housing, Homelessness Prevention, or Street Outreach, recipients must only count the persons served through ESG-funded activities for those project types.

## Comparable Databases

Projects funded under ESG where the subrecipient is a victim services provider may not enter client-level data into an HMIS; instead, they must use a comparable database to collect client-level data over time and generate unduplicated aggregate reports based on that data.

- A comparable database must be compliant with HMIS Data and Technical Standards for all required Project Descriptor, Universal, Common Program-Specific, Federal Partner Program Specific data elements for any project as identified in this manual and in the HMIS Data Dictionary, as well as all HUD-defined standards for security, privacy, software functionality, and data quality.
- A comparable database must be able to generate a CSV-CAPER Report.
- Projects must enter client-level data; entry of aggregate data is not sufficient.
- ESG-funded providers using a comparable database must follow the same HMIS project typing rules as noted in this manual for each ESG-funded component.
- Client data entered into a comparable database by victim services providers must not be entered directly into or provided to HMIS.
- Legal services providers are not prohibited from entering client-level data into an HMIS as victim services providers are, but if they have concerns about client confidentiality, the CoC may allow them to use a comparable database. If they elect to do so, the same information as provided for DV providers above is applicable.

## Projects funded by multiple jurisdictions

Projects funded by ESG may receive ESG funding from multiple jurisdictions (e.g., an ESG award from a State and another ESG award from a City). In such cases the following guidance applies:

1. Projects funded under Street Outreach, Homelessness Prevention or Rapid Re-Housing which receive an ESG award from more than one jurisdiction (e.g., City-funded RRH and State-funded RRH) must be able to:
  - a. Separate the clients served in a combined project for each ESG jurisdiction; and
  - b. Produce a valid CAPER for each ESG jurisdiction.

HUD strongly recommends a separate project for each funding source in HMIS. This will ensure clients are not counted twice at the national level. However, the HMIS Lead may elect to create a single project for multiple ESG awards from more than one jurisdiction. If the HMIS Lead chooses the second approach, the HMIS Lead is encouraged to seek guidance through the HUD AAQ to assure the modifications will not negatively impact the ESG data collection and reporting.

2. A single project which receives an ESG: Emergency Shelter award from more than one jurisdiction **does not need to separate its clients into two separate projects** within the HMIS. Each distinct Emergency Shelter, Day Shelter, or Transitional Housing project may combine all their clients in one project within the HMIS. For example: Shelter XYZ receives City and State ESG funding. The shelter is set up in HMIS as one shelter, and there is no need to distinguish between which client was served with each ESG funding source. HUD understands that this will cause the individuals served in the emergency shelter to be counted in both the state and the city CAPERs.

Projects funded by ESG may also receive funding from non-ESG sources. If a recipient’s Street Outreach, Homelessness Prevention, or Rapid Re-Housing project has other funding that is contributed to the same overall program that meets ESG requirements (i.e., those non-ESG funds are eligible as match), then it is appropriate to set up one HMIS project to include persons served by that non-ESG funding source and report those persons served on the CAPER. For example, if the provider has an RRH project that meets all ESG requirements and uses ESG to pay for rental assistance and funds from a foundation to pay for case management/support services (eligible as match), all persons would be included in the HMIS RRH project and reported in the CAPER - even those persons not assisted with ESG rental assistance. However, if the RRH project includes non-ESG funds that are not administered in accordance with ESG requirements (i.e., funds that would not be eligible as match), then persons assisted with only those non-ESG RRH funds must not be included in the HMIS RRH project or reported on the CAPER.

## Data Collection Requirements

Information on the rationale, collection point, subjects, and instructions for each element can be found in the [2020 HMIS Data Standards Dictionary and Manual](#).

### Universal Data Elements (UDE)

All ESG recipients and subrecipients for all project types are required to collect all the Universal Data Elements which include:

<b>3.01 Name</b>	<b>3.10 Project Start Date</b>
<b>3.02 Social Security Number</b>	<b>3.11 Project Exit Date</b>
<b>3.03 Date of Birth</b>	<b>3.12 Destination</b>
<b>3.04 Race</b>	<b>3.15 Relationship to Head of Household</b>
<b>3.05 Ethnicity</b>	<b>3.16 Client Location</b>
<b>3.06 Gender</b>	<b>3.20 Housing Move-in Date</b>
<b>3.07 Veteran Status</b>	<b>3.917 Living Situation</b>
<b>3.08 Disabling Condition</b>	

### Special notes about UDE’s:

- Many of these elements comprise basic demographics about a client which are critical to an HMIS’s client search functionality and ability to de-duplicate client records. Data quality is checked and reported on many basic demographic elements.
- Two of the elements are required to identify a client as chronically homeless: Disabling Condition and Prior Living Situation. Because street outreach and emergency shelter projects are critical in the identification of chronic homeless person’s special attention in training should be provided to users of those project types.
- **Project Start Date** System Administrators should provide users, especially in RRH, additional information on when each project type is expected to begin data entry with Project Start.
  - **For Street Outreach projects** – it is the date of first contact with the client.
  - **For Emergency Shelters** – it is the night the client first stayed in the shelter for the consecutive shelter period from entry to exit. Night-by-night shelters, which use a bed-night tracking method will have a project start date and will allow clients to re-enter as necessary without “exiting and restarting” for each stay for a specified period.
  - **For Transitional Housing** – it is the date the client moves into the residential project (i.e. first night in residence).

- **For all types of Permanent Housing, including Rapid Re-Housing** – it is the date following application that the client was admitted into the project. Admission into the project indicates the client met the following factors:
  - 1) Information provided by the client or from the referral indicates they meet the criteria for admission (for example: if chronic homelessness is required the client indicates they have a serious disability and have been homeless long enough to qualify, even though all documentation may not yet have been gathered);
  - 2) The client has indicated they want to be housed in this project;
  - 3) The client can access services and housing through the project. The expectation is the project has a housing opening (on-site, site-based, scattered-site subsidy) or expects to have one in a reasonably short amount of time.
- **For all other types of Service** projects including but not limited to: **homelessness prevention, coordinated entry system**, it is the date the client first began working with the project and generally received the first provision of service.

### Common Program Specific Data Elements

Common Program Specific elements are data collected by most projects funded by one of the federal partners. The following chart indicates which elements are required for collection for each of the ESG component types. ESG projects must collect data according to the chart below to generate the CSV-CAPER Report.

Number	Element	ES entry/ exit	ES Night-by-night	Homelessness Prevention	RRH	Street Outreach
4.02	Income and Sources	x		x	x	x
4.03	Non-Cash Benefits	x		x	x	x
4.04	Health Insurance	x		x	x	x
4.05	Physical Disability	x	x	x	x	x
4.06	Developmental Disability	x	x	x	x	x
4.07	Chronic Health Condition	x	x	x	x	x
4.08	HIV/AIDS	x	x	x	x	x
4.09	Mental Health Problem	x	x	x	x	x
4.10	Substance Abuse	x	x	x	x	x
4.11	Domestic Violence	x	x	x	x	x
4.12	Current Living Situation		x			x
4.13	Date of Engagement		x			x
4.14	Bed Night		x			
4.19	Coordinated Entry Assessment	X*	X*	X*	X*	X*
4.20	Coordinated Entry Event	X*	X*	X*	X*	X*
W5	Housing Assessment at Exit			x		

\* CES = data collection is determined by how the CoC has structured the coordinated entry system in their area. Placement of the element would be required for any project that is conducting an assessment for the coordinated entry system. This may be across multiple projects or sited in a central access point or coordinated intake center.

## Special Data Collection Instructions

System Administrators and HMIS users need to be aware of the following special data collection issues that apply to ESG-funded projects:

### Street Outreach

**Data Collection Challenges:** A street outreach project is likely to encounter difficulty engaging homeless persons. Street outreach projects may record a project start with limited information about the client and improve on the accuracy and completeness of client data over time by editing data in an HMIS as they engage the client. The initial entry may be as basic as the project entry date and a de-identified name (e.g., “Redhat Tenthstreetbridge”) that would be identifiable for retrieval by the worker in the system. However, Street Outreach projects are prohibited from establishing protocols that only require outreach workers to collect minimal client data. Over time, outreach workers must attempt to collect all data required for street outreach projects and edit recorded data for accuracy (e.g., replacing “Redhat” with “Robert”) as the worker learns more about the client.

**De-Duplication of Client Records:** It is possible in a street outreach setting that a single client may be contacted by multiple street outreach workers over a period of time in different locations. Local protocols should be established to determine how coordination among street outreach projects effectively manage the identification and data collection of clients. In a smaller CoC, it may be possible to coordinate street outreach efforts and reduce duplication of client records through case conferencing or other efforts to coordinate outreach services. In a larger CoC, client search functionality may be available in HMIS so that street outreach workers can perform queries or client searches by de-identified name or alias, or other informal identifier shared with street outreach workers in order to manage the identification of clients. The use of temporary de-identified names should not be an excuse for excessive duplicate clients or poor data quality. Street Outreach projects and local HMIS leadership should work together to minimize the use of de-identified names and attain high data quality.

**Project start vs enrollment:** For Street Outreach projects, the project start date is the date of first contact with the client. The project start date is a required UDE that indicates when a client has joined the project.

**Contacts:** A street outreach project is expected to record every contact made with each client in the HMIS via 4.12 Current Living Situation. A contact is defined as an interaction between a worker and a client designed to engage the client. Contacts may include activities such as a conversation between the street outreach worker and the client about the client’s well-being or needs, an office visit to discuss their housing plan, a phone call or a referral to another community service. A contact must be recorded anytime a client is met, including when an engagement date or project start date is recorded on the same day.

**Engagements:** Per the HMIS Data Standards and by agreement across all federal partners, an engagement date is the date when an interactive client relationship results in a deliberate client assessment or beginning of a case plan. The date of engagement should be entered into HMIS at the point when the client has been engaged by the outreach worker. This date may be on or after the project start date and must be prior to project exit. If the client exits without becoming engaged, the engagement date should be left blank. If the client was contacted on the date of engagement, a contact must also be entered for that date.

**Data Quality:** Reporting to HUD on data quality for street outreach projects is limited to clients with a date of engagement. Therefore, it is important that outreach workers record the engagement date and also review all of the UDE and applicable Common Program Specific Data Elements for completeness and accuracy. The Date of Engagement coincides with the requirement for HMIS data quality, therefore all UDE should be entered into HMIS at or before the Date of Engagement.

**HUD System Performance Measures:** Data collected for street outreach projects in HMIS affects the HUD System Performance Measures that are reported for the entire CoC. Measure 7a evaluates how successful street outreach projects are at helping people move off the “street” and towards permanent housing, recognizing this process may be direct or may involve other temporary situations along the way. Measure 7a does not require a Date of Engagement for a client record to be included in the performance measure, only a project exit. Additionally, while data quality is only measured following the Date of Engagement, System Performance Measure 7a measures placement from street outreach beginning at the first contact/project start. This means that HMIS leadership and street outreach projects need to work together to assure that street outreach data is of high quality at the time the [HUD System Performance Measures](#) are calculated regardless of the Date of Engagement.

**Project Exit:** Project exit represents the end of a client’s participation with a project. For street outreach projects, the exit date should coincide with the date that the client is no longer considered to be participating in the project. Reasons to exit a client include:

- The client has entered another project type (e.g., TH, PSH) or otherwise found housing;
- The client is engaged with another outreach worker or project;
- The client is deceased;
- The outreach worker has been unable to locate the client for an extended period of time and there are no recorded contacts. The CoC must be involved in the determination of “extended length of time” and to which projects the solution is to be applied.
  - If this situation arises, and the client is to be exited from the project due to a lack of regular contact the project exit Destination (3.12) should be listed as “No Exit Interview Completed.”
  - The possibility that the client may not be seen again is not a reason to exit a client from a project, and project exit should only be recorded once project participation has ended, or after the locally-determined period of time has passed without a contact with the client.

## Emergency Shelter

### Night-by-Night (NBN) shelters:

- **Night-by-Night** shelters should be set up to collect all data required for Emergency Shelters. However, HUD understands that often NBN shelters are not able to collect exit data. Persons who leave/disappear without completing an exit interview are to be recorded with an exit destination as: No exit interview completed.
- **Contacts:** NBN shelters must record contacts they have with each person served via 4.12 Current Living Situation. A contact is defined as an interaction between a worker and a client designed to engage the client. Contacts may include activities such as a conversation between the shelter worker and the client about the client’s well-being or needs, an office visit to discuss their housing plan, or a referral to another community service. A contact must be recorded anytime a client is met, including when an engagement date or project start date is recorded on the same day.
- **Engagements:** NBN shelters are required to record engagements. Per the HMIS Data Standards and by agreement across all federal partners, an engagement date is the date when an interactive client relationship results in a deliberate client assessment or beginning of a case plan. The date of engagement should be entered into HMIS at the point when the client has been engaged by the shelter worker. This date may be on or after the project start date and must be prior to project exit. If the client exits without becoming engaged the engagement date should be left blank. If the client was contacted on the date of engagement, a contact must also be entered for that date.

**Day Shelters:** Data collection and performance measurement for Day Shelter and Entry/Exit Shelters are the same, so no other changes in setup or for data collection are required. Follow the visibility requirements for Entry/Exit Shelters in this document when setting up Day Shelters.

**Annual Assessment:** Data collection must include an annual assessment for all persons being served in a project one year or more.

## Homelessness Prevention

- Homelessness Prevention and Rapid Re-Housing must be set up as two separate projects in an HMIS. They must not be combined into one project.
- Recipients and subrecipients are not required to maintain financial assistance payment information within an HMIS. Recipients or subrecipients may elect to maintain financial assistance as part of a case management record within the HMIS if the software allows for that type of data collection. However, HUD expects that recipients will use other recipient and subrecipient financial records rather than HMIS for financial reporting in the CAPER.
- Recipients or subrecipients must re-evaluate and update information on Homelessness Prevention clients once every 3 months. Information required to be updated in the HMIS, if changes have occurred, include: 4.02 Income and Sources; 4.03 Non-Cash Benefits; and 4.04 Health Insurance.
- In addition to the UDE – 3.12 Destination, Homelessness Prevention projects must also collect W5 (Housing Assessment at Exit) information to more accurately reflect the housing situation of clients at exit.

## Rapid Re-Housing

- The project start date was changed beginning October 1, 2017 to the date the client(s) were admitted to the project. This means the client has completed an application, and they have been “admitted” to the project. In this context, the requirements for admittance must be:
  - Information provided by the client or from the referral provider indicates that the client meets the criteria required for admission to the project. This does not mean that all or any of the eligibility documentation has been gathered that may be required for the project;
  - The client has indicated they want to be housed in this project; and
  - The client is able to access services and housing through the project. This means that there is an expectation that within a reasonably short period of time the project expects to have an opening (rental subsidy available for scattered site or unit available for site-based).
- The project start date is not expected to generate a “waiting list” for housing. It is not expected that everyone with a project start will actually move into a unit with the project. It is expected that the time it takes from project start to move into housing will be carefully reviewed by the community to determine program and system performance and continuously strive to reduce the time from project start to move-in.
- Housing move-in date must be completed for all clients who have moved into housing. Move-in means a lease arrangement has been made, the client has a key or entry ability to the unit and that the client has physically slept in the unit. (Beginning in October 2017 communities may no longer use the pre-entry method of housing and must use the project start date and housing move-in date together instead.)
- HUD strongly recommends the use of the housing move-in date field be carefully monitored by both projects and HMIS Leads in rapid re-housing projects to ensure accuracy. It is critically important the dates are up-to-date any time one of the following reports are being generated: point-in-time information for the HIC, CAPER for a project; System Performance Measures and



any other report for a federal funder like the Supportive Services for Veteran Families (SSVF) program where this may affect project outcomes.

- It is important to note that clients who do not have a residential move-in date to housing are still considered, and should be counted as, homeless (living on the streets, in-shelter, etc.). Thus, HMIS System Administrators must have a way to identify the persons who “started” but have not “moved into” the housing yet for purposes of generating accurate counting and reporting.
- Recipients or subrecipients must re-evaluate and update information on Rapid Re-Housing clients once annually. Information required to be updated in the HMIS includes: 4.02 Income and Sources; 4.03 Non-Cash Benefits; and 4.4 Health Insurance. Data elements required for collection at annual assessment must be entered with an *Information Date* of no more than 30 days before or after the one-year anniversary of the head of household’s *Project Start Date*, regardless of the date of the most recent ‘update’ or any other ‘annual assessment’.

## ESG Reporting

- ESG recipients are required to collect aggregated ESG Program information from each subrecipient via the Sage HMIS Reporting Repository.
- Subrecipients are required to submit a project-level CSV-CAPER Report to each ESG recipient that funded a project, using the date range specified by the recipient.
- Subrecipients can find additional information about ESG reporting requirements in the [Sage ESG CAPER Guidebook for ESG-funded Programs](#).



## Appendix A – ESG-CV Guidance

### Overview

The Coronavirus Aid, Relief, and Economic Security (CARES) Act was authorized on March 27, 2020. The Act includes \$4 Billion in Emergency Solutions Grant stimulus funding (ESG-CV) to be used to prevent, prepare for, and respond to the coronavirus pandemic (COVID-19) among individuals and families who are homeless or receiving homeless assistance. The funds also support additional homeless assistance and homelessness prevention activities to mitigate the impacts of COVID-19.

The annual [ESG](#) funding received by a jurisdiction is a separate award from the ESG-CV funding. Each ESG recipient will continue to receive their annual formula awards; the ESG-CV award supplements recipients' FY 2020 allocation.

**HUD will publish a Notice for the ESG-CV funds that will outline additional eligible activities and clarify reporting requirements.** There are minimal changes required for data collection and HUD does not anticipate the Notice will change any client-level data collection, though some new projects will need to be created by the HMIS Lead based on each ESG Recipient's funding decisions. Recipients will continue to report through Sage and will require an ESG-CAPER report for both the annual ESG grants and the ESG-CV grant.

In general, the standard ESG Program project setup guidance is applicable to ESG-CV funds. The information below is intended to supplement and clarify the ESG project setup instructions described in this manual.

### Funding Sources (2.06)

HUD: ESG-CV should be selected for each project that receives ESG-CV funding.

### ESG-CV Funded Temporary Emergency Shelters

ESG-CV projects that meet the Temporary Emergency Shelter definition per the CARES Act must be setup in HMIS as a new project. **HUD will provide further guidance on what qualifies as a temporary emergency shelter in the ESG-CV Notice.** Follow the existing ESG emergency shelter project setup guidance noting that in 2.02 Project Information, HMIS System Administrators should set the [\[Project Type\] = 1](#) (Emergency Shelter) with a [\[Method for Tracking Emergency Shelter Utilization\] = 0](#) [\[Entry/Exit method\]](#).

Reporting will assume that the client stayed at the shelter for the entire period between entry and exit. This eliminates the need for recoding each night spent in the Temporary Emergency Shelter to lessen the burden on shelter providers, but it requires that EVERY client has a project exit date recorded on the day they stopped staying at the Temporary Emergency Shelter.

### Projects funded by Multiple Jurisdictions with ESG-CV

Projects may receive ESG-CV funding from multiple jurisdictions (e.g., an ESG-CV award from a State and another ESG-CV award from a City). In such cases the following guidance applies:

1. In cases where projects funded under **Street Outreach, Homelessness Prevention or Rapid Re-Housing** receive multiple ESG-CV awards, system administrators must create a new separate project for each of the ESG-CV funding sources in HMIS. These projects funded by multiple jurisdictions are also strongly discouraged from serving the same participants (e.g. a household in RRH should not go from an RRH project funded by the City to one funded by the State.)

2. A single project which receives ESG-CV **Emergency Shelter** component funding from more than one jurisdiction for the same shelter **does not need to separate its clients into two separate projects** within the HMIS as HUD does not require a breakdown of clients served by activity or funding source in emergency shelters. For example: An organization has a shelter project that receives both City and State ESG-CV funding. The shelter is set up in HMIS as one shelter, and there is no need to distinguish between which client was served with each ESG-CV funding source. All clients served in the shelter are reported in both the City's ESG-CV CAPER and the State's ESG-CV CAPER.

### Projects funded by a single jurisdiction with both ESG and ESG-CV

Existing projects funded by annual ESG funds may also receive additional ESG-CV funding.

1. In cases where existing projects funded under **Homelessness Prevention** or **Rapid Re-Housing** components receive an ESG-CV award (in addition to any other ESG award), system administrators should create a new separate project for the ESG-CV funding in HMIS.
2. In cases where an existing project funded under the Emergency Shelter Component or Street Outreach component receive both an ESG and ESG-CV award, system administrators **do not need to create two separate projects** within the HMIS.

### ESG-CV Reporting

ESG Recipients are required to submit quarterly reports on ESG-CV funded projects. The quarterly reports will include an ESG-CV CSV report generated in HMIS. Unlike the annual reporting on annual ESG grants, the reports for ESG-CV will be "bundled" reports (i.e. all shelters funded by a recipient that are in the same HMIS implementation will be in one report). This bundling therefore requires the HMIS Lead, rather than the subrecipient, to generate the CSV reporting on a quarterly basis. (Note: a statewide or Multi-CoC HMIS implementation with multiple HMIS Leads may collaborate to identify a single point of contact to coordinate with the ESG Recipient to determine which HMIS Lead will be responsible for generating the required bundles for reporting.) Additionally, the reports generated by the HMIS Lead will be for two date ranges: 1) the specific quarter being reported on; and 2) a cumulative period (grant start to end of the quarter). Subrecipients must use the same project in HMIS for the duration of their ESG-CV funding, so the HMIS Lead must not setup new projects each year.

The HMIS Lead must understand this HMIS guidance on project set-up, work with the ESG recipients in their implementation and generate the required reporting quarterly. **HUD will publish additional Sage ESG-CV reporting guidance when the ESG-CV Notice is published that will provide further details about ESG-CV reporting requirements.**

### ESG-CV Funding for the HMIS Lead

ESG Recipients should plan for how they will meet their ESG-CV data collection and reporting needs. ESG funds, including ESG-CV funds, under the HMIS component can be used to pay for training, additional user licenses, and updates to HMIS that are necessary to fulfill the reporting requirement. The HMIS Lead is responsible for generating the quarterly report for each ESG-CV subrecipient, which is a major increase in workload. Most HMIS Leads will not have enough capacity to absorb this increased workload without additional funding from ESG-CV; therefore, ESG recipients are encouraged to consider dedicating a portion of ESG-CV grant funding for HMIS.