HUD's
HOMELESS ASSISTANCE PROGRAMS

Using IDIS Online for the Emergency Solutions Grants Program

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IDIS Version 11.3.0

Office of Community Planning and Development
Office of Special Needs Assistance Programs

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Using IDIS for the
Emergency Solutions Grants Program

1. INTRODUCTION

Emergency Solutions Grants (ESG) program[1] recipients use the Integrated Disbursement and Information System (IDIS) to manage program funds. These instructions explain how to use IDIS for ESG and assume that readers have basic knowledge of how to navigate IDIS.

The interim regulation for the Emergency Solutions Grants (ESG) program (Interim Rule)[2] establishes five components through which eligible persons can be served with eligible activities. Each program component plays a role in helping communities meet the purpose of the ESG program. The program components are: (1) Street Outreach; (2) Emergency Shelter; (3) Rapid Re-Housing; (4) Homelessness Prevention; and (5) Homeless Management Information System (HMIS). ESG User Guides provide information about each component, as well as about the regulatory provisions and requirements that govern the use of ESG funds.

Section 2 describes the steps needed to get access to IDIS and to get IDIS linked to the appropriate bank account. Sections 3 through 5 describe the process of setting up the project, activities, and subfunds. Sections 6 and 7 explain how to fund activities and draw those funds. Sections 8 and 9 describe how to complete activities in IDIS, and how to report on those activities. Finally, Section 10 provides specific instructions pertaining to the 2011 second allocation.

Two appendices provide tools for using IDIS for ESG. Appendix A provides a summary list of the key steps involved in using IDIS for ESG. Appendix B provides a list of resources to provide additional guidance on using IDIS for ESG.

These instructions replace the previous versions titled Using IDIS Online for the Emergency Solutions Grants Program (July 2011, December 2011 and February 2012). This revised version contains more detailed guidance regarding eligible activities and other requirements established by the ESG Regulations (*24 CFR Parts 91 and 576*). It also contains a subsection on the ESG Financial Report (PR91).

Recipients should sign up for the OneCPD Mailing List to ensure that they are made aware of any updates to the IDIS requirements. See Appendix B for information on signing up for the OneCPD Mailing List.

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[1] The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act) amended the McKinney-Vento Homeless Assistance Act. Among other changes, the HEARTH Act revised the Emergency <u>Shelter</u> Grants program and renamed the program the Emergency <u>Solutions</u> Grants program.

[2] The ESG regulation, Homeless Emergency Assistance and Rapid Transition to Housing: Emergency Solutions Grants Program and Consolidated Plan Conforming Amendments, has been issued as an "*interim rule.*" It has the weight of law, and constitutes the regulatory framework for the ESG program until such time as it is replaced by a "final rule." The Homeless Emergency Assistance and Rapid Transition to Housing: Defining "Homeless" regulation has been issued as a "***final rule***." Note that the terms "rule" and "regulation" are used interchangeably, both in the law and in these instructions.

2. USING IDIS FOR ESG

ESG recipients use IDIS to set up the program and activities, commit funds to activities, draw funds, and generate financial management reports. Project-level beneficiary information is captured via a local Homeless Management Information Systems (HMIS). Accomplishments are reported via the Consolidated Annual Performance and Evaluation Report (CAPER).

Grantees of FY2010 (and prior) Emergency Shelter Grants program funds use the "ESG" program path in IDIS. Recipients of FY2011 (and beyond) ESG funds use the "HESG" (HEARTH-ESG) program path in IDIS.[3] HUD created the new "HESG" program path to best align the ESG program with the strategies used to prevent and end homelessness. These strategies are reflected in the latest Consolidated Plan requirements in the ESG Interim Rule. These changes also ensure that ESG best aligns with Continuum of Care strategies and more effectively aligns with HUD's strategic plan and with *Opening Doors: Federal Strategic Plan to Prevent and End Homelessness (2010)*.

PROGRAM PATH NAME: HESG

IDIS uses the acronym "HESG" (HEARTH-ESG) to refer to the Emergency Solutions Grants program path in IDIS. However, the legal acronym for the Emergency Solutions Grants program is "ESG." The Emergency Shelter Grants Program uses th program path named "ESG" in IDIS.

To avoid confusion, this guidance uses "ESG" when referring to the Emergency Solutions Grants program (HESG program path) and the full program name when referring to the Emergency Shelter Grants program (ESG program path).
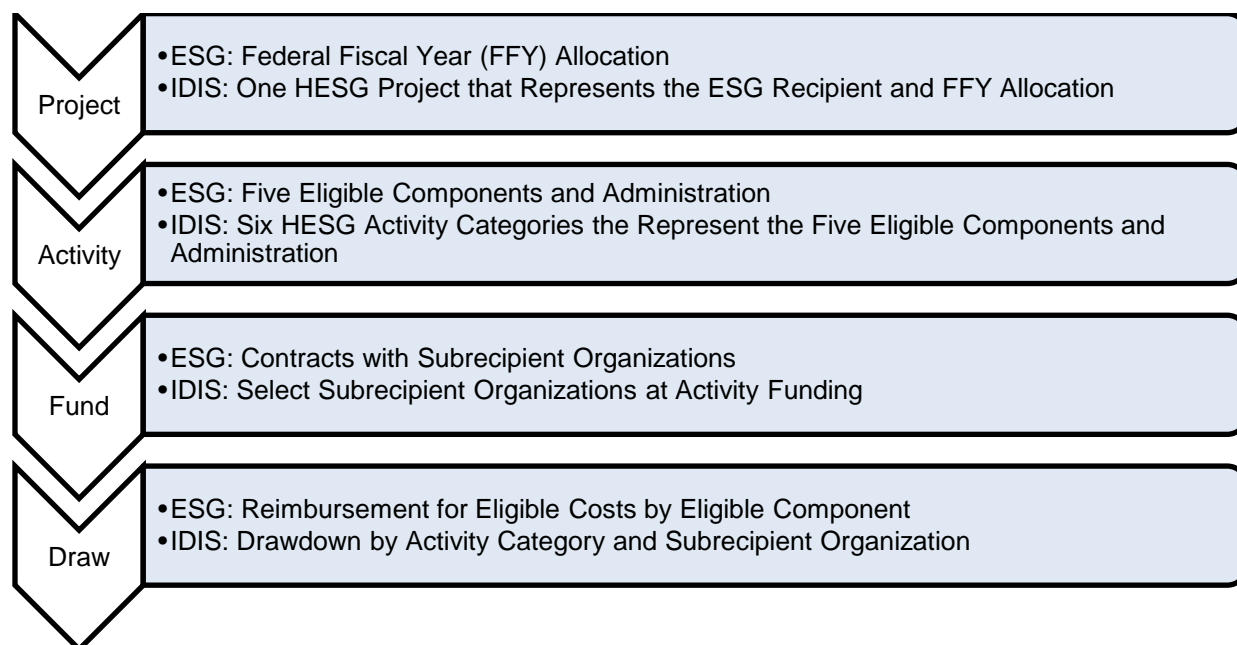
Recipients must set up all projects or activities for the FY2011, FY2012 (and future year) allocations for Emergency Solutions Grants program under the "HESG" path. Recipients that inadvertently use the wrong path and cannot correct the issue on their own should contact the IDIS Technical Assistance Unit (TAU) as described in Appendix B.

The Federal Fiscal Year "2011" is the first year of the Emergency Solutions Grants program. If the Recipients "Program Year" is different from the Federal Fiscal Year there are special procedures for Project and Activity Naming Conventions described in Sections 3 and 4.

The ESG Interim Rule does not correspond exactly to the HESG program path data entry workflow of IDIS. To better understand how IDIS compares to the ESG Interim Rule please review Exhibit 1.

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[3] Instructions on how to use IDIS for the Emergency Shelter Grants program (FY10 and prior funding years) are posted on the HRE.

Exhibit 1: Workflow Comparison of IDIS and the ESG Interim Rule

Project
- ESG: Federal Fiscal Year (FFY) Allocation
- IDIS: One HESG Project that Represents the ESG Recipient and FFY Allocation

Activity
- ESG: Five Eligible Components and Administration
- IDIS: Six HESG Activity Categories the Represent the Five Eligible Components and Administration

Fund
- ESG: Contracts with Subrecipient Organizations
- IDIS: Select Subrecipient Organizations at Activity Funding

Draw
- ESG: Reimbursement for Eligible Costs by Eligible Component
- IDIS: Drawdown by Activity Category and Subrecipient Organization

The language in the ESG Interim Rule does not correspond exactly with language used within IDIS. Activity categories in IDIS most closely align with the ESG components. Secondary Activity Categories in IDIS most closely align with ESG Eligible Activities. Exhibit 2 demonstrates the slightly different language used in IDIS and the ESG Interim Rule.

Exhibit 2: IDIS Activity Category and ESG Interim Rule Component

IDIS Activity Category	ESG Component
Street Outreach	Street Outreach
Shelter	Emergency Shelter
Homeless Prevention	Homelessness Prevention
Rapid Re-Housing	Rapid Re-housing Assistance
Data Collection (HMIS)	HMIS
Administration	Administration

Exhibit 3 illustrates the project and activity structure for ESG in IDIS, as well as the proper project and activity naming conventions. Be sure to follow the above structure when setting up ESG funds in IDIS since it is a significant change from the use of IDIS for the Emergency Shelter Grants program.
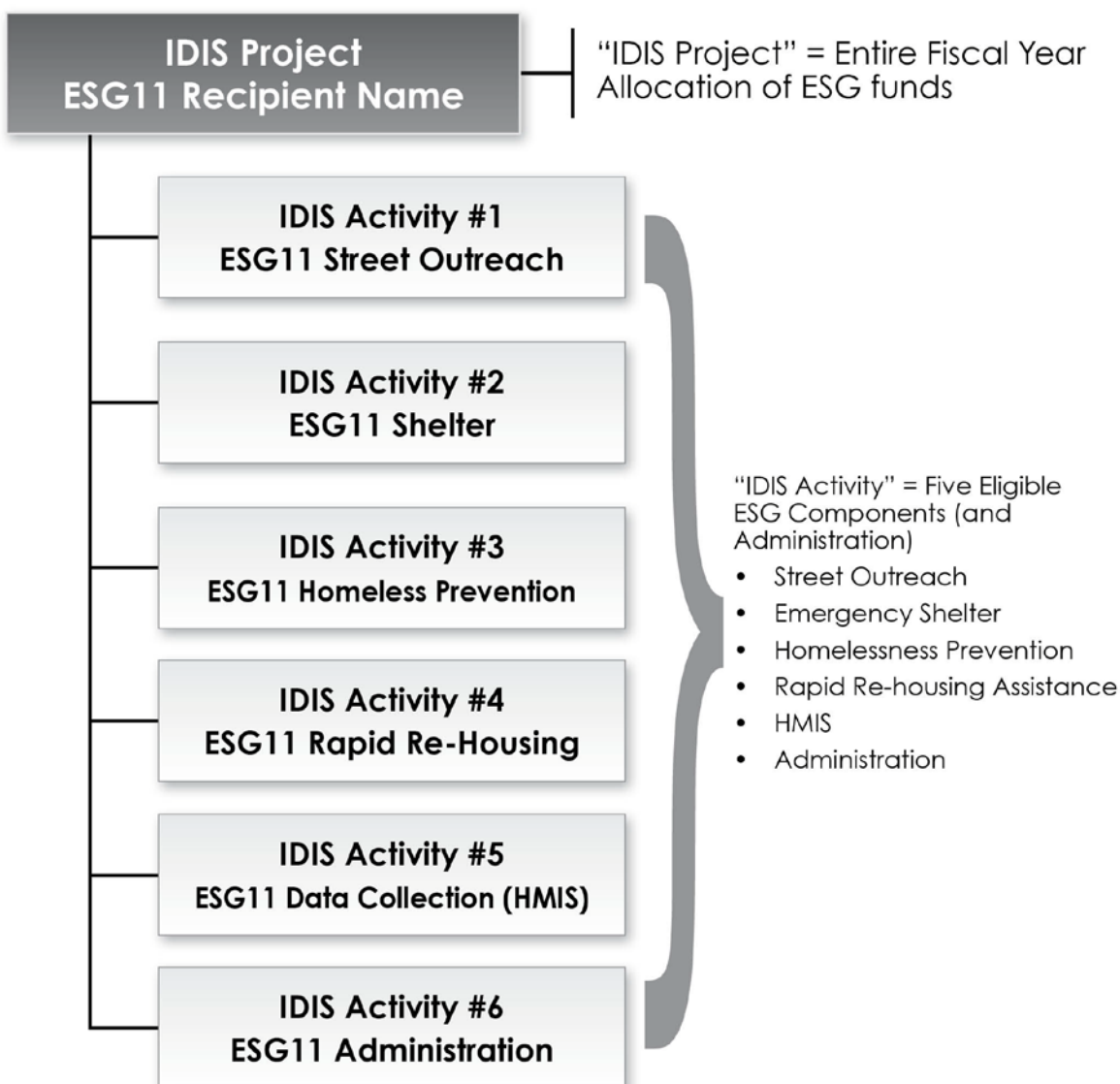
2.1 Accessing the HESG Program Path

Recipient staff members who had access to the Emergency <u>Shelter</u> Grants program were provided with access to the HESG program path in the July 28, 2011 IDIS release. Staff members who do not have IDIS access must first apply for an IDIS ID and then gain access from their Grantee Local IDIS Administrator. To apply for an IDIS ID, contact the IDIS Technical Assistance Unit (TAU) at the number or e-mail address provided in Appendix B. To identify your Grantee Local IDIS Administrator, generate the *PR30-Security Administrator User Profile List* report in IDIS or contact the TAU.

Both the Grantee Local IDIS Administrator and your local HUD Field Office IDIS Administrator can provide users with additional privileges, such as the ability to create or approve draws. Once a staff member has an IDIS ID, the Grantee Local IDIS Administrator clicks on the **Admin** Tab in IDIS (seen only by the Grantee Local IDIS Administrator) at the top of the screen. The Administrator then searches via the user's IDIS ID to add or remove ESG functionality.

2.2 Banking

IDIS tracks funds at the activity level, while the Line Of Credit Control System (LOCCS) tracks funds at the grant level. Therefore, IDIS aggregates individual activity level draws to the grant to communicate with LOCCS. New ESG recipients must set up bank accounts in LOCCS for the ESG program. The bank account Taxpayer Identification Number (TIN) must be the same as the TIN used for the Emergency Shelter Grants program. IDIS approves recipient drawdown requests (vouchers to request payment against a recipient's line of credit for services performed in support of one or more activities) on a preliminary basis by generating a voucher number. The drawdown is classified by:

- Amount
- Program (ESG)
- Funding source(s) for each activity

Approved drawdowns not rejected by IDIS are batched and transferred to LOCCS each night. LOCCS approves or rejects all line items sent in one batch. LOCCS sends a status report back to IDIS that indicates whether draws were completed or rejected.

Approved line items are sent from LOCCS to the U.S. Treasury, which wire transfers funds to the recipient's bank. Rejected items result in a status report from the U.S. Treasury to LOCCS, to IDIS. To receive funds, the recipient must create a new voucher that corrects the problem that caused LOCCS to reject the original voucher.

Recipients may return funds from a draw issued incorrectly and may move a voucher line item from one activity to another within the same program and fund type. Contact the IDIS Technical Assistance Unit for assistance with these issues (see Appendix B).

3. SETTING UP THE ESG PROJECT

Each ESG project in IDIS is associated with a specific annual ESG funding allocation and a specific recipient directly receiving ESG funds from HUD. IDIS only allows recipients to set up one ESG project per federal fiscal year. IDIS links the ESG project and its associated activities to the recipient's Annual Action Plan for a specific program year. Once the project is created, the recipient sets up an activity for each of the eligible ESG activity categories to be funded under the project, as described in *Section 4: Setting Up ESG Activities*.

Exhibit 4 shows the **Add Project** screen, which is the single screen that must be completed to set up an ESG project in IDIS. Navigation and data entry instructions follow the screen shot.

Exhibit 4: Add Project Screen

Project

Add Project

[Save] | [Reset]

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*Indicates Required Field

Grantee/PJ Name:

[blurred]

		Program Year
*Program Year: [▼]	☐ **Add New Program Year:** [ ] (ex: yyyy)	

IDIS Project ID:

*Project Title:

[ ]

Grantee/PJ Project ID:

[ ]

Description:

[ ]

Allow Another Organization to Set up Activities under this Project: (tip)

[Select Organization]

Assign Sponsor for this Project (only for HOPWA or HOPWA-C programs): (tip)

[Select Sponsor Organization]

Estimated Amount (Including Program Income)

CDBG	$	0.00
HOME	$	0.00
ESG	$	0.00
HOPWA	$	0.00
CDBG-R	$	0.00
HPRP	$	0.00
TCAP	$	0.00
HESG	$	0.00
HOPWA-C	$	0.00
Total	$	0.00

[Save] | [Reset]

To set up an ESG project in IDIS, follow these steps:

1. Select the **Projects/Activities** tab at the top of the screen and click the **Add** link on the left side under **Project.**

2. Select the appropriate year from the **Program Year** drop-down menu. If the Program Year you are going to use is not yet available on the drop-down menu, click on **Add a New Program Year** on the right of screen, and then create the new program year.

Program Year Versus Federal Fiscal Year

The **Program Year** in IDIS corresponds to the one-year Annual Action Plan within the Consolidated Plan. The Program Year links all projects and their associated activities to the initial funding year of the ESG grant. Accurately linking projects and activities to the correct Program Year is vital to tracking a recipient's compliance with commitments and expenditure requirements.

The Program Year in IDIS corresponds to **Federal Fiscal Year** of the ESG allocation. However, for a few recipients the Program Year does not always correspond with the Federal Fiscal Year, in that case the recipient must be sure to use the Federal Fiscal Year to name the project in Step 3.

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3. Enter a **Project Title.** Be sure to follow the required naming convention when entering the project title. When ESG Project and Activity Naming Conventions are combined in a report, citizens and organizations can easily determine what strategies a recipient is funding with ESG.

Required *Project* Naming Convention

The **required** naming convention for all ESG Projects is to use the program "ESG" followed by the two-digit <u>Federal Fiscal Year</u> (usually, but not always, the Program Year) and then the recipient's name. The naming convention includes a space between "ESG11" and the Recipient Name. For program years beyond 2011, substitute the appropriate two-digit year for "11". For example:

<p style="text-align:center">ESG11 HUDville</p>

If the Recipient's Program Year is different from HUD's Federal Fiscal Year place that year in ( ) after the Recipient Name. This addition is for local recipient purposes only and will not be used by HUD. For example:

<p style="text-align:center">ESG11 HUDville (2012)</p>

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4. Assign a **Grantee/PJ Project ID** (optional); this ID is only for the recipient's use.

5. Enter a brief project **Description** in the narrative field, such as: "The 2011 Federal Fiscal Year allocation of ESG funds for the City of HUDville are planned to provide outreach to

persons living on the streets, operate a shelter for the homeless, provide utility assistance and emergency rental assistance to prevent homelessness, implement rapid re-housing strategies and for program administration and data collection through HMIS."

6. **Do not** click on **Allow Another Organization to Set up Activities under this Project** because no other organizations should set up activities or draw ESG funds directly in IDIS. This option was disabled in the December 2011 IDIS release. Even after this feature was disabled the option will still be present and will not produce and error message until the Save button is clicked.

7. **Do not** click on **Select Sponsor Organization** under the **Assign Sponsor for this Project (only for HOPWA or HOPWA-C programs)** as this feature is not used for ESG program. This option was disabled in the December 2011 IDIS release.

8. Enter the **Estimated Amount** of ESG funds for the Federal Fiscal Year in the appropriate HESG row. Because only a single ESG project is to be set up for each program year, this should equal the total grant amount (the HUD-authorized amount). Remember that recipients commit ESG funds to activities, not the project.

   Note: For FY2011, revise this amount to indicate the combined total of the first and second allocations of ESG. Beyond 2011, enter the entire amount of the ESG funds received.

9. Click the **Save** button. The project is now saved in IDIS.

4. SETTING UP ESG ACTIVITIES

Using proper naming conventions to set up ESG activities is critical because it allows HUD to track ESG funds consistently across the nation. Using these naming conventions may also help recipients avoid the need for future data cleanup. Each ESG Activity Type represents a strategy funded at the local level in part by ESG that a recipient is using to prevent or end homelessness. The HESG Path in IDIS requires that recipients set up only one activity per eligible ESG Activity Category per Program Year.

Recipients do not need to set up an activity for Activity Categories that they do not fund with ESG. For example, if the recipient does not fund Street Outreach then the recipient does not need to set up a Street Outreach activity. However, a recipient must set up ESG activities separately for each Program Year. In other words, an ESG Activity cannot be continued from one Program Year to another.

The critical element in defining ESG activities is that HUD, the ESG recipient, and community stakeholders must be able to distinguish whether the activity is for Street Outreach, Shelter, Homeless Prevention, Rapid Re-Housing, Data Collection (HMIS) or Administration, based on the Activity Category selected in the **Add Activity** screen. IDIS will not allow users to set up more than one of each ESG Activity Category per year.

Set up an IDIS activity for each of the following eligible ESG Activity Categories (if funded):

- Street Outreach
- Shelter
- Homeless Prevention
- Rapid Re-Housing
- Data Collection (HMIS)
- Administration

To add a new activity in IDIS, ESG recipients will begin with the **Add Activity** screen. This is the first of two screens that must be entered to completely set up an ESG activity (except for Data Collection (HMIS) and Administration, which only require one screen). Exhibit 5 on the next page depicts the **Add Activity** screen followed by data entry instructions.

Exhibit 5: Add Activity Screen

Activity

Add Activity

[Save] | [Cancel]

*Indicates Required Field

*Activity Owner:
[Grantee Name ▾]

Grantee/PJ Activity ID:
[   ]

*Program Year:
[2011 ▾]

*IDIS Project ID/Project Title:
[3/ESG11 Grantee Name ▾]

*Activity Name:
[ESG11 Street Outreach]

Activity

Program	*Activity Category	Ready to Fund	Setup Detail
CDBG	[None ▾]	No	[Add CDBG]
ESG	[None ▾]	No	[Add ESG]
HOME	[None ▾]	No	[Add HOME]
HOPWA	[None ▾]	No	[Add HOPWA]
CDBG-R	[None ▾]	No	[Add CDBG-R]
HPRP	[None ▾]	No	[Add HPRP]
HESG	[None ▾]	No	[Add HESG]

*Environmental Assessment:(tip)
[Select ▾]

Allow Another Organization to Access this Activity: (tip)
[Select Organization]

Activity Description:
[   ]

[Save] | [Cancel]

To set up an ESG activity in IDIS, follow these steps:

1. Select **Projects/Activities** tab at top of screen. Click the **Add** link on left side under **Activity.**

2. Select the recipient in the **Activity Owner** drop-down.

3. Select the desired year from the **Program Year** drop-down menu. A Program Year will only appear in this drop-down menu if the ESG Project has been created for that year.

4. Select the **IDIS Project ID/Project Title** from the drop-down menu. The options listed in this drop-down menu will be limited by the Program Year selected in the field above.

5. Enter an **Activity Name**. Be sure to follow the required naming convention when entering the Activity Name. When ESG Project and Activity Naming Conventions are combined in a report, citizens and organizations can easily determine what strategies a recipient is funding with ESG.

Required *Activity* Naming Convention

There are six allowable Activity Categories:

- Street Outreach
- Shelter
- Homeless Prevention
- Rapid Re-Housing
- Data Collection (HMIS)
- Administration

The required naming convention for all ESG <u>Activities</u> is to use the program "ESG" followed by the two-digit federal fiscal year and then one of the six allowable Activity Categories. The naming convention includes a space between "ESG11" and the Activity Category. For example:

<u>ESG11 Street Outreach</u>

If the Recipient's Program Year is different from HUD's Federal Fiscal Year place that year in ( ) after the Recipient Name. This addition is for local recipient purposes only and will not be used by HUD, for example:

<u>ESG11 Street Outreach (2012)</u>

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6. If desired, assign a **Grantee/PJ Activity ID** (this ID is only for the recipient's use).

7. On the **HESG Program** line, select the eligible **Activity Category** that corresponds with the Activity Name you entered in Step 5. IDIS will not allow the recipient to create more than one activity per activity category per year.

8. Select the appropriate response in the **Environmental Assessment** field. ESG activities are usually exempt or categorically excluded from environmental assessments; choose "Exempt" for those activities. If a project requires an environmental assessment or an advertised categorical exclusion, select "underway" or "complete" (if the environmental review has been completed and any required release of funds has been obtained from HUD). Be sure to update the status to "complete" for activities where the initial selection was "underway."

9. **Do not** click on **Allow Another Organization to Access this Activity,** because other organizations should not be drawing ESG funds or entering information in IDIS. This option was disabled in the December 2011 IDIS release.

10. Enter a brief **Activity Description,** and click **Save**. If all required fields were populated, the screen will reload with the message: "The new activity has been saved" at the top of the page. If a required field was not answered, a prompt will remind you to complete all required fields.

Developing Good Activity Descriptions

A good **Activity Description** provides citizens and other interested parties with the information needed to understand the recipient's purpose in funding the activity, as well as the name of organizations funded, and the eligible activities.

Here's an example for a Street Outreach Activity where a recipient is only funding one organization:

> "Funds will be provided to the HUD Street Team for its Outreach Case Management Program. This program builds relationships between street outreach workers and persons experiencing homelessness who are living on the street. The goal is for the persons to accept placement in appropriate settings where they may stabilize their lives."

Here's an example for a Shelter Activity where a recipient is funding two organizations:

> "HUDville is providing ESG funds to the HUD Downtown Shelter to help operate its facility and provide addiction recovery services for persons experiencing homelessness. HUDville is also providing ESG funds to HUD Uptown Domestic Violence Shelter to provide shelter for families and counseling services to its residents."

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11. To continue to the second page of activity setup, click on the **Add HESG** button located in the **Setup Detail** column. The next section of the document detailing the **Add/Edit Activity** screen provides instruction on completing the second activity setup page. For Administration and Data Collection (HMIS) activities, the second page is not available.

Exhibit 6 depicts the **Edit HESG Setup Detail** screen followed by data entry instructions.

Access the **HESG Setup Details** screen from the **Add/Edit Activity** screen in IDIS. After selecting the Activity Category from the **HESG** row of the **Activity Table**, click on **Add HESG** under the **Activity Detail** column.

ESG Recipients should continue to use the existing outcome indicators in the Integrated Disbursement and Information System (IDIS). The outcome indicators are listed in the March 7, 2006, Federal Register "Notice of Outcome Performance Measurement System for Community Planning and Development Formula Grant Programs" (71 FR 11470).

Exhibit 7 lists the recommended **Performance Objective** and **Outcome** information that will appear for each Activity Category. The Data Collection (HMIS) and Administration categories do not have a Performance Objective or Outcome.

Exhibit 7: Performance Objective and Outcome by Activity Category

ESG Activity Category in IDIS	Performance Objective		Performance Outcome	
	Create Suitable Living Environments	Provide Decent Affordable Housing	Availability/ Accessability	Affordability
Shelter	✓		✓	
Street Outreach	✓		✓	
Homeless Prevention		✓		✓
Rapid Re-Housing		✓		✓

1. Select the **Secondary Activity Categories** that apply to the ESG Activity. The Data Collection (HMIS) and Administration activity categories do not have a secondary activity category. The Street Outreach activity is preselected as Essential Services. Exhibit 8 lists the secondary activities for each ESG Activity in IDIS.

Exhibit 8: ESG Components and Activities[4]

ESG Activity Category in IDIS	IDIS Secondary Activity Category (ESG eligible activities)					
	Renovation/ Rehab	Essential Services	Operations	Housing Relocation & Stabilization/ **Financial Assistance**	Housing Relocation & Stabilization/ **Financial Services**	Rental Assistance
Street Outreach		✓				
Shelter	✓	✓	✓			
Homeless Prevention				✓	✓	✓
Rapid Re-Housing				✓	✓	✓

2. In the next section, providing the **Address** of the activity is optional. If the Recipient provides an address, that the address should represent the Recipient and not the Subrecipient. The recipient is given the option of suppressing the address information on reports. When finished entering the address, click the **Validate this Address** button.

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[4] For questions about ESG components or eligible activities, consult the ESG User Guides to be posted on www.hudhre.info.

3. Click **Save**.

4. The screen will return to the **Edit Activity** screen**,** which is similar to the initial **Add Activity** screen; however, it contains additional fields including Activity Status, Activity Completion Date, and Initial Funding Date. These fields do not need to be completed for activity setup.

5. IDIS also inserts a "Ready to Fund" column within the **Activity Table**. If the HESG row indicates "Yes," activity setup is complete and the recipient can now fund the activity. The **Activity Funding** button at the bottom of the table will take the recipient directly to the **Activity Funding** screen for the activity. If the HESG row indicates "No," edit the HESG setup details and add any missing information.

5. SETTING UP AN ADMINISTRATION SUBFUND

The ESG program currently caps expenditures on program administrative activities at 7.5 percent of the total ESG grant per year. To help recipients stay within the Administrative Cap, IDIS requires that recipients create an Administration Subfund in IDIS. Recipients can only commit funds to each year's ESG Administration activity from that year's Administration Subfund.

A "subfund" in IDIS is a portion of a grant that is earmarked for a specific use. It is identified by a "fund type." IDIS only allows ESG recipients to set up a subfund with a fund type of AD (for program administration).

5.1 Creating an Administration Subfund

An Administration Subfund is required for a recipient to commit administrative funds for the administration activity. Recipients must set up a new Administration Subfund each year to fund and draw that year's new administration activity. For the Emergency <u>Shelter</u> Grants program, recipients could set up other subfund types, but ESG only allows recipients to create an Administration Subfund.

Recipients that did not create an Administration subfund for the first ESG allocation for FY2011 should set one up immediately. Recipients that did create and Administration subfund for the first ESG allocation for FY2011 can increase the subfund to 7.5 percent by following the detailed instructions in *Section 10.3, Administration Subfund.*

To set up an Administration Subfund:

1. Click the **Grant** tab at the top of the page to display the Search Grants screen.

2. Click the **Subfund -- Add** link on the left to display the **Add Subfunds** screen (Exhibit 9). The Add Subfunds screen starts with a search criteria box (as does the **Search Subfund** screen). The search is actually for identifying the source of funding for the subfund you want to add. For ESG, the funding source must be "AD" (Administration) or

"EN" (Entitlement).

Subfund

Add Subfunds

Search Criteria		
Program: HESG	**Fund Type:** (tip) Select	**Grant #:** (tip)
Grant Year: (tip) 2011		

[Search] | [Reset]

Results Page 1 of 1

Program	Grant Year	Grant #	Fund Type	Action
HESG	2011		AD	Add Fund Type

3. In the **Search Criteria** box, select HESG under the **Program** drop-down menu. Do not enter data in the Fund Type or Grant # fields.

4. Click the **Search** button. When the results are displayed, find the year for which you want to add the subfund and click the **Add Fund Type** link in the **Action** column to display the **Add Subfund** screen.

5. On the next **Add Subfund** screen, select "AD" (Administration) under the **Fund Type** drop-down menu.

6. In the **Authorized Amount for this Subfund** field, enter the amount budgeted for administration for the program year (maximum of 7.5% of the total ESG Grant). See the Maximum row (in Exhibit 10) under the Range for Authorized Amount header. The maximum amount will also prevent funding more than the total uncommitted funds for HESG (amount available to commit to subfunds).

Subfund

Add Subfund

[Save] | [Return to Search Subfunds]

*Indicates Required Field

Grantee/PJ Name:	**Grant #:** (tip)
Program: (tip) HESG	**Grant Status:** (tip) Active
Grant Year: (tip) 2011	**Grant Blocked:** (tip) No

Administering Organization: (tip)

Payee EIN/TIN#: (tip)

Source Fund: EN

Available to Subfund	$4,496.85

Add Subfund: AD

Range for Authorized Amount (including program income)	
Minimum	$0.00
Maximum	$4,496.85
*Authorized Amount for this Subfund (tip)	$

[Save] | [Return to Search Subfunds]

7. Click on **Save** to return to the **Add Subfunds** search screen. The HESG Administration Subfund has now been created and can be used to fund the administration activity.

Exhibit 11 on the next page illustrates the message that appears when the Administration Subfund is created.

5.2 Revising an Administration Subfund

If a recipient does not fully expend Administration funds for a grant year, it must revise and de-commit the remaining balance of the subfund. Otherwise, these funds will be "trapped" in the subfund and cannot be used for other ESG activities.   These trapped funds present potential timeliness compliance issues for ESG recipients in regards to the 24-month expenditure requirements. ESG recipients may be subject to increased monitoring, monitoring findings, or in extreme cases the recapturing of ESG funds.

To revise and de-commit funds from the Administration Subfund:

1. First complete the administration activity or reduce the funds committed under the **Activity Funding** screen (see Exhibit 12).

Exhibit 12: Subfund Added Screen

Plans/Projects/Activities	Funding/Drawdown	Grant	Grantee/PJ	Reports

Activity Funding

Add-Edit Funding Line Item

[Return to Add-Edit Funding]

Activity Owner:	**Program Year/Project:**
	2011/5
IDIS Activity ID:	**Total Funded:**
870	$4,391.00
Activity Name:	**Total Drawn:**
ESG11 Administration	$3,216.93

Funding Source

Program	Fund Type	Source Name	Source Type	Recipient Name	Available for Funding	Drawn Amount	Funded Amount
HESG	AD	HUD	MC		$0.00	$3,216.93	$4,391.00

Current Funding for This Source

Grant Year (tip)	Funded Amount	Drawn Amount	Subrecipient
2011	$ 4,391.00	$3,216.93	Subordinate:

[Add Subrecipient] | [Save] | [Cancel]

[Return to Add-Edit Funding]

2. Next, edit the subfund amount through the **Search Subfund** screen, and reduce the amount to what was actually expended (see Exhibit13).

Exhibit 13: Edit Subfund Screen

Subfund

Edit Subfund

| Save | | Return to Search Subfunds | | Review Subfund History |

*Indicates Required Field

Grantee/PJ Name:

Grant Status: (tip)
Active

Program: (tip)
HESG

Grant Blocked: (tip)
No

Grant Year: (tip)
2011

Administering Organization: (tip)

Grant #: (tip)

Payee EIN/TIN#: (tip)

Fund Type: (tip)
AD

Current Authorized Amount for this Subfund	$4,391.00

Range for New Authorized Amount (including program income)	
Minimum	$3,216.93
Maximum	$4,391.00
*New Authorized Amount for this Subfund	$

| Save | | Return to Search Subfunds | | Review Subfund History |

3. Once you receive the "Subfund Updated" notice, the amount that was de-committed must be committed to another activity (see Exhibit 14).

6. FUNDING ESG ACTIVITIES

Once an activity is properly set up in IDIS, a recipient can commit ESG funds through the Activity Funding screen. The total funds committed to all activities for a program year should equal the federal fiscal year's grant amount.

Recipients and subrecipients should also review the obligation and expenditure requirements for ESG Recipients. While committing funds to an ESG activity in IDIS is not the same as obligating funds via an agreement with subrecipients, it is one way HUD and other entities, such as the Continuum of Care, will be able to gauge compliance. In addition, while expenditures of funds, as documented by recipients, does not usually occur on the same day ESG funds are drawn, HUD and others can use it as a general indication of timeliness. HUD will be monitoring IDIS draws to be sure they occur within two years of the signature of the grant agreement.

Exhibit 15 reviews ESG obligation and expenditure requirements for Metropolitan Cities, Urban Counties, and Territories that are ESG recipients.

Exhibit 15: ESG Timeliness Requirements for Metropolitan City, Urban County and Territory Recipients

ESG Timeliness Requirement	Timeframe
Obligate funds (from the date HUD signs the contract)	180 Days
Reimburse subrecipient organizations	30 Days
Expend all ESG funds	2 Years

Exhibit 16 reviews ESG obligation and expenditure requirements for States that are ESG Recipients.

Exhibit 16: ESG Timeliness Requirements for State Recipients

ESG Timeliness Requirement	Timeframe
Obligate funds (from the date HUD signs the grant agreement)	60 Days
Select subrecipient organizations	120 Days
Reimburse subrecipient organizations	30 Days
Expend all ESG funds	2 Years

To fund an activity (other than Administration, for which the funding process is described in Section 5), carry out the steps under the Activity Funding screen shot in Exhibit 17.

Exhibit 17: Activity Funding Screen

To select the activity for funding, follow these steps:

1. Select the **Funding/Drawdown** tab (on top of screen).

2. The **Activity Funding** screen will appear (Exhibit 14).

3. Under **Search Criteria** enter the IDIS Activity ID for fastest results. If unsure of the activity number, select "HESG" for the program, and/or other search criteria as desired.

4. Click the **Search** button.

5. The **Search Results** will appear on the screen with the activities that meet the search criteria. Click the **Add-Edit** link under the **Action** column for the activity that you want to fund.

6. The system will display the **Edit Activity Funding** screen for the selected activity (Exhibit 15 on the next page). A table listing the **Available Funds** for the selected activity will appear near the bottom of the screen. The table should only list one row of funding (HESG). Check the amount available for funding.

   The Fund Type for non-administration activities should be "EN" and the Fund Type for Administration activities should be "AD". If the recipient has not yet created the Administration subfund, the following message will appear: "There are no funding sources available for this activity at this time" (see *Section 5: Setting Up An Administration Subfund*).

7. Click the **Add-Edit** link under the **Action** column for the HESG funding source you want to use to fund the activity (Exhibit 18).

Exhibit 18: Activity Funding Screen

Activity Funding

Edit Activity Funding

Return to Search for Activities to Fund

*Indicates Required Field

Activity Owner:	Program Year/Project: 2011/30
IDIS Activity ID: 1161	Total Funded: $10,000.00
Activity Name: ESG11 Street Outreach	Total Drawn: $100.00

Funding Sources

Recipient Name:	Program:	Fund Type:
All Recipients	All Programs	All Fund Types

Filter | Reset

Available Funds

Recipient Name	Program	Fund Type	Source Name	Source Type	Available for Funding	Funded Amount	Drawn Amount	Action
	HESG	EN	HUD	MC	$33,867.00	$10,000.00	$100.00	Add-Edit | View

8. The **Current Funding for This Source** section will appear on the screen, as shown in Exhibit 19 on the next page.

Exhibit 19: Activity Funding Screen Showing Current Funding for This Source

Activity Funding

Add-Edit Funding Line Item

Return to Add-Edit Funding

Activity Owner: [redacted]	**Program Year/Project:** 2011/3
IDIS Activity ID: 7067	**Total Funded:** $106,688.00
Activity Name: ESG11 Street Outreach	**Total Drawn:** $250.00

Funding Source

Program	Fund Type	Source Name	Source Type	Recipient Name	Available for Funding	Drawn Amount	Funded Amount
HESG	EN	HUD	UC	[redacted]	$5,847.65	$250.00	$2,000.00

Current Funding for This Source

Grant Year (tip)	Funded Amount	Drawn Amount	Subrecipient
2011	$ 2000.00	$250.00	Subordinate: [redacted] Change Organization

Add Subrecipient | Save | Cancel

Return to Add-Edit Funding

9. Enter dollar amount in **Funded Amount** field. If you want to change the amount, delete the current amount and type in the new correct amount. The dollar amount should match up to the funding to be provided to the subrecipient organization that you will select or add in step 10 and 11 (below).

Itemize Funding by Activity and Subrecipient Organization

For ESG, recipients must identify the funding amount allocated to each subrecipient organization for each activity. Itemizing funding by subrecipient organization allows IDIS to track commitments and expenditures down to the subrecipient level. This is a significant change from the process used for the Emergency Shelter Grants program and should be carefully considered by the recipient.

---

10. Click the **Change Organization** button to select an existing subrecipient that is receiving funding from the recipient for this activity. If you do not find the organization you are funding follow step 11.

11. Click the **Add Subrecipient** button to select the organization that is receiving funding from the recipient for this activity. A new screen will appear (shown in Exhibit 20) that allows you to enter the organization name, city, DUNS number, EIN/TIN number and whether the organization is a CarryOut Org or a Subordinate. Note that for ESG purposes, recipients should only select Subordinate. Once this information is entered, click the save button and you will be returned to the **Activity Funding Screen**.

Exhibit 20: Funding Subrecipient Screen

12. Click the **Save** button once you have returned to the Activity Funding Screen (shown in Exhibit 20).

13. An "Activity funded successfully" message will appear near the top of the screen (Exhibit 21).

Exhibit 21: Activity Funding Screen Showing Activity funded successfully*

*This message will appear at the top of the Activity Funding screen once an activity is successfully funded.

7. DRAWING ESG FUNDS

This section provides a general description of how to draw ESG funds by activity. Users should consult the IDIS Quick Tips User Guide on the IDIS homepage for detailed instructions on how to draw funds correctly.

A drawdown is a request for payment against a recipient's line of credit for allowable costs (defined in OMB Circulars A-87 and A-122 [2 CFR parts 225 and 230]) for eligible ESG

activities. Each ESG recipient must draw down funds at least quarterly (every 3 months). Recipients must ensure that subrecipients understand this requirement and submit invoices promptly. Conversely, recipients should take special care to promptly process invoices for payment and draw the funds in IDIS (within 30 days as required by ESG Regulation).

Drawing funds in IDIS is a two-step process:

1. Create the drawdown/voucher
2. Approve the drawdown/voucher

Because IDIS is the primary means to track the use of ESG funds, recipients should ensure that when creating a drawdown voucher they properly code funds by the activity category, and that they draw down funds for the correct activity and subrecipient. HUD will monitor expenditure rates in IDIS for all ESG recipients.

Itemizing by Subrecipient Organization for ESG Drawdowns

Under the Emergency Shelter Grants Program, drawdowns had to list the amount requested for each activity. Under ESG, the drawdown request for each activity must specify the amount that is to be paid to each subrecipient.

For example, consider an overall drawdown of $10,000.00 that consists of payments to 2 different subrecipients. These amounts would be separately reported in the drawdown on the same IDIS voucher for payment. For example:

Downtown Family Shelter Program	$ 7,500.00
Uptown Domestic Violence Shelter Program	$ 2,500.00
Total for Activity	**$10,000.00**

7.1 Creating ESG Drawdowns

The steps needed to draw down ESG funds are the same as for any program:

1. Click on the **Funding/Drawdown** tab (top of screen), and then click the **Create Voucher** on the right side of the screen. The **Create Voucher – Page 1 of 4 (Select Activities) Screen** will appear (Exhibit 22 on the next page).

Exhibit 22: Create Voucher - Page 1 of 4 (Select Activities) Screen

Drawdown

Create Voucher - Page 1 of 4 (Select Activities)

[Continue]

---

* **Indicates Required Field**

***Voucher Created For:** (tip)

[▁▁▁▁▁▁▁▁▁] ▼

Requested LOCCS Submission Date: (tip)

[   ] Select Date
(mm/dd/yyyy)

Activity Owner: (tip)
MONTGOMERY, AL

*IDIS Activity ID

1161									

[Search for Activities] | [Reset]

[Continue]

2. Enter the IDIS Activity Number of each activity against which to draw down funds in the entry boxes. Alternatively, users can use the **Search for Activities** to select activities.

3. Click on **Continue.** The **Create Voucher - Page 2 of 4 (Drawdown Amounts) Screen** appears (see Exhibit 23).

Exhibit 23: Create Voucher – Page 2 of 4 (Drawdown Amounts) Screen

Drawdown

Create Voucher - Page 2 of 4 (Drawdown Amounts)

[Return to Select Activities] | [Confirm Voucher] | [Cancel Voucher]

Activity 1 of 1

IDIS Activity ID:
7067

Activity Name:
ESG11 Street Outreach

Voucher Created For:

Grantee/PJ Activity ID:

Activity Owner:

Available Drawdown Amounts for This Activity

Recipient Name	Program	Fund Type	Source Name	Source Type	Prior Year	Funded Amount	Available to Draw	Drawdown Amount
	HESG	EN	HUD	UC	N/A	$2,000.00	$1,750.00	$ 0
→ Subrecipient:						$2,000.00	$1,750.00	$

[Previous Activity] | [Next Activity]

Progress by Activity ID
Entered:
Not Entered: 7067 (#1)
Invalid:

[Return to Select Activities] | [Confirm Voucher] | [Cancel Voucher]

4. Confirm that the correct activity has been selected by checking the **IDIS Activity ID** and **Activity Name** fields. Also, confirm that the activity was funded with the correct grant by looking at the **Program** column in the **Available Drawdown Amounts for This Activity** table. The program column should include "HESG" for all ESG activities. If another program is listed for an ESG activity, click on **Cancel Voucher** and proceed to the **Activity Funding** screen to correct.

5. Enter the amount to draw against the ESG activity in the **Drawdown Amount** column for each subrecipient (the example in Exhibit 20 only has one subrecipient for the activity category).

6. If more than one activity is included on the voucher, click on the **Next Activity** button and repeat steps 5 and 6 until draw amounts have been entered for each activity and corresponding subrecipient(s).

7. Click on **Confirm Voucher.** The **Create Voucher - Page 3 of 4 (Confirmation) Screen** appears (Exhibit 24).

Exhibit 24: Create Voucher – Page 3 of 4 (Confirmation) Screen

Drawdown

Create Voucher - Page 3 of 4 (Confirmation)

- **Click "Generate Voucher" to complete voucher creation**

[Generate Voucher] | [Cancel Voucher]

Voucher Created For:

Activity Owner:

Requested LOCCS Submission Date:

Select Date
(mm/dd/yyyy)

Voucher Line Items

Line Item #	IDIS Actv ID	Activity Name	Program	Grant Year	Fund Type	Source Name	Source Type	Recipient Name	Prior Year	Drawdown Amount
1	7067	ESG11 Street Outreach	HESG	2011	EN	HUD	UC		N/A	$200.00
									Total	$200.00

HESG Subrecipients

Line Item #	IDIS Actv ID	Activity Name	Grant Year	Fund Type	Source Name	Source Type	Recipient Name	Drawdown Amount
1	7067	ESG11 Street Outreach	2011	EN	HUD	UC		$200.00
→ Subrecipient:								$200.00

[Generate Voucher] | [Cancel Voucher]

8. After confirming that the correct draw amount is entered for the correct subrecipient(s) click on **Generate Voucher.** The **Create Voucher - Page 4 of 4 (View)** screen appears that confirms the voucher was created successfully (Exhibit 25 on the next page).

Exhibit 25: Create Voucher – Page 4 of 4 (View) Screen

Drawdown

Create Voucher - Page 4 of 4 (View)

- **Voucher created successfully**

[Return to Create Voucher]

Voucher Created For:
⬛⬛⬛⬛

IDIS Voucher #:
5320808

Activity Owner:
⬛⬛⬛⬛

Created By:
⬛⬛⬛

Requested LOCCS Submission Date:

Creation Date:
10/21/2011

Voucher Details

Line Item #	IDIS Actv ID	Activity Name	Program	Grant Year	Fund Type	Source Name	Source Type	Recipient Name	Prior Year	Drawdown Amount
1	7067	ESG11 Street Outreach	HESG	2011	EN	HUD	UC	⬛⬛⬛	N/A	$200.00
									Total	$200.00

HESG Subrecipients

Line Item #	IDIS Actv ID	Activity Name	Grant Year	Fund Type	Source Name	Source Type	Recipient Name	Drawdown Amount
1	7067	ESG11 Street Outreach	2011	EN	HUD	UC	⬛⬛⬛	$200.00
→ Subrecipient:							⬛⬛⬛	$200.00

[Return to Create Voucher]

Note: the process described above is for processing a voucher with a single line. The same procedures are used for processing vouchers with more than one line (for more than one activity).

7.2 Approving ESG Drawdowns

The voucher then must be approved by another user with the appropriate access privileges by following these steps:

1. Click on the **Funding/Drawdown** tab at the top of screen, and then click on **Approve Voucher** link on the **Drawdown** menu. The system will display the **Search Vouchers for Approval Screen** (see Exhibit 26).

Exhibit 26: Search Vouchers for Approval Screen

Drawdown

Search Vouchers

Search Criteria

*Indicates Required Field

IDIS Voucher #:

IDIS Activity ID:

*Activity Owner:

Earliest Creation Date:
Select Date
(mm/dd/yyyy)

Line Item Status:
Open

Search | Reset

Results Page 1 of 1   (1 voucher line items found)

IDIS Voucher #	Line Item #	Creation Date	IDIS Actv ID	Activity Name	Line Item Status	Drawdown Amount	Action
5278364	1	07/25/2011	1161	ESG11 Street Outreach	Open	$13,000.00	Maintain-Approve	View

2. Use the fields in the Search Criteria to search for the voucher you wish to approve. The fastest way to search for vouchers is by IDIS Voucher Number.

3. Click the **Search** button.

4. Click on **Maintain-Approve** in the **Action** column on the **Results** table. The **Maintain and Approve Voucher** screen appears (Exhibit 27).

Exhibit 27: Maintain and Approve Voucher Screen

Drawdown

Maintain and Approve Voucher

Return to Search Vouchers

Voucher Created For:

IDIS Voucher #:
5278365

Activity Owner:

Created By:

Creation Date:
07/26/2011

Voucher Details

Line Item #	IDIS Actv ID	Activity Name	Program	Grant Year	Fund Type	Source Name	Source Type	Recipient Name	Prior Year	Drawdown Amount	Line Item Status	Submission Date	Action
1	1161	ESG11 Street Outreach	HESG	2011	EN	HUD	MC		N/A	$500.00	Open	07/26/2011	Revise | Cancel View

Return to Search Vouchers

5. Click on **Approve** in the **Action** column (or the **Approve All Line Items** if desired for multiple line vouchers). Once the voucher is approved, IDIS will forward the draw request to LOCCS at the end of the day. The funds are typically wire transferred within two or three days of the drawdown approval.

8. COMPLETING ESG ACTIVITIES

HUD collects ESG client-level data in the local HMIS and reports the accomplishment and beneficiary information via the CAPER in IDIS (see Section 10.1 and 10.2).

IDIS tracks the ESG two-year expenditure deadlines through an activity's association with a Program Year. If it appears that not all funds will be expended for an activity associated with a specific plan year before the two-year deadline, funds should be de-committed and then re-allocated to another activity associated to the same Program Year that can be expended more efficiently.

To close out an activity, go to **Edit Activity**. Complete any required fields, and change the Activity Status to "Completed". After completing an activity in IDIS, any remaining funds not drawn will go back to the grant amount available to be committed. Recipients should be sure to re-allocate funds as soon as possible.

Recipients should close out ESG activities once all funds are drawn, or are re-allocated to another activity within the same Program Year. Thus, recipients will need to wait until all subrecipients undertaking a particular activity (e.g., Homeless Prevention) have submitted all invoices prior to closing out that activity.

For any unexpended Administration funds, remember to first de-commit funds from the administration subfund (see *Section 4: Setting Up An Administration Subfund*). Once de-committed from the subfund, funds can be re-allocated to another non-administrative activity.

9. USING ESG REPORTS

IDIS reports are important management tools that ESG recipients can use to track compliance with program rules and to ensure data is entered in a timely and accurate manner. Instructions on generating reports are available in the IDIS Online Reports User Guide available for download from the on the IDIS Login Page.

IDIS is primarily used to track commitment of funds and expenditures (disbursements). The ESG *Financial Summary Report* (PR91) is specific to ESG and provides a summary of commitment, disbursement, and program compliance by fiscal year. ESG recipients can also use other IDIS reports to manage and monitor their program.

9.1 ESG Financial Summary Report (PR91)

The *ESG Financial Summary Report* (PR91) provides information on the Emergency Solutions Grants program, which began in FY11 (in the HESG path in IDIS). The report includes the following sections:

- ESG Program Level Summary
- ESG Program Components
- 24-Month Grant Expenditure Deadline
- 60% Cap on Emergency Shelter and Street Outreach

The PR91 allows ESG recipients to analyze their ESG total grant, amount committed and amount drawn. It also breaks down the total grant by committed and drawn amounts, including a set of pie charts that graphically represents the ESG Components. Finally the report provides recipients with their 24-month expenditure deadline and 60% Cap on Street Outreach and Emergency Shelter.

When using this report, remember the following information:

- All IDIS reports capture data (e.g. draw downs) from the previous day. The date the report is downloaded (see upper right corner of the report) does not include vouchers from the same day.
- The PR91 does <u>not</u> include vouchers not yet submitted to LOCCS.
- The "Expenditure Deadline" in the PR91 is the 2-year date after HUD signed the recipient's grant agreement.

Exhibit 28 describes the columns for each section in the PR91 report. Calculations for specific fields are in *(parenthesis)*.

Exhibit 28: Sections in the PR91 Report

Section One: ESG Program Level Summary	
Column	**Description**
Grant Number	ESG grant award number
Total Grant Amount	ESG grant award amount
Total Funds Committed	Aggregate amount of ESG funds committed to ESG activities *(project total)*.

Section One: ESG Program Level Summary	
Column	**Description**
Total Funds Available To Commit	Aggregate amount of ESG grant <u>not</u> committed to ESG activities. *(Total Grant Amount – Total Funds Committed = Total Funds Available to Commit)*
Percentage Of Grant Funds Not Committed	Percent of ESG total grant amount not committed to ESG activities. *(Total Funds Committed / Total Grant Amount = Percentage Of Grant Funds Not Committed)*
Grant Funds Drawn	Aggregate amount of ESG funds drawn against the total ESG grant.
Percentage Of Grant Funds Drawn	Percent of ESG grant funds drawn against the total ESG grant. *(Grant Funds Drawn / Total Grant Amount = Percentage Of Grant Funds Drawn)*
Available To Draw	Aggregate total of ESG grant funds available to draw. *(Total ESG Grant – Grant Funds Drawn = Available To Draw)*
Percentage Remaining to Draw	Percent of ESG grant funds available to draw. (*Available To Draw / Total Grant Amount = Percentage Remaining To Draw)*

Section Two: ESG Program Components	
Column	**Description**
Activity Type	Lists each ESG Activity Category funded by the recipient. Options are Street Outreach, Shelter, Homeless Prevention, Rapid Re-Housing, Data Collection (HMIS), and Administration
Total Committed To Activities	Aggregate amount of ESG funds committed to each ESG Component.
Percentage Of Grant Committed	Percent of the ESG total grant amount committed to each ESG Component. *(Total Committed To Activities/ Total Grant Amount = Percentage Of Grant Committed)*
Drawn Amount	Total amount of ESG funds drawn against each ESG Component.
Percentage Of Grant Drawn	Percent of the ESG grant funds drawn against each ESG Component. *(Drawn Amount / Total Grant Amount = Percentage Of Grant Drawn)*

Section Two: ESG Program Components	
Column	**Description**
Percentage Of Grant Committed (Pie Chart)	Representation of the Percentage of Grant Amount calculation.
Percentage Of Grant Drawn (Pie Chart)	Representation of the Percentage Of Grant Drawn calculation.

Section Three: 24-Month Grant Expenditure Deadline	
Column	**Description**
Grant Number	ESG grant award number.
Draws To Date	Total amount of ESG funds drawn against activities associated with the program year.
HUD Obligation Date	HUD Obligation Date for the ESG grant and the beginning of the 24-month expenditure requirement.
Expenditure Deadline	24-month expenditure requirement date (24 months from the HUD Obligation Date)
Days Remaining to Meet Requirement Date	Total amount of days remaining before the expenditure deadline. *(Expenditure Deadline – Date the Report is Run = Days Remaining to Meet Requirement Date)*
Expenditures Required	Aggregate total amount of ESG funds remaining to be drawn within the 24-month expenditure requirement. *(Total Grant Amount – Draws To Date = Expenditures Required)*

Section 4: 60 Percent Cap On Street Outreach and Emergency Shelter	
Column	**Description**
Amount Committed To Shelter	Aggregate amount of funds committed to the Shelter Component activity for the Program Year.

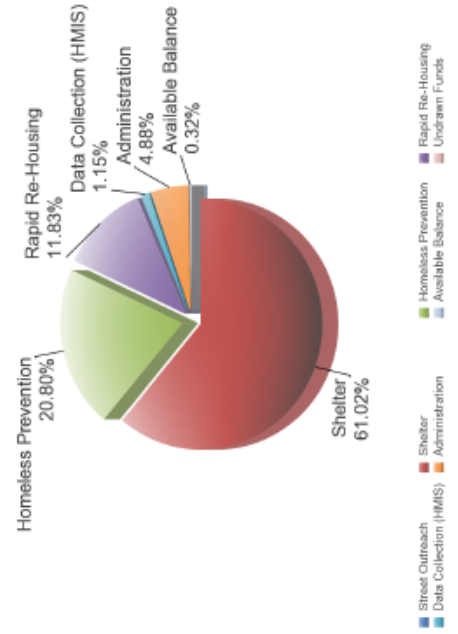| Section 4: 60 Percent Cap On Street Outreach and Emergency Shelter	
Column	**Description**
Amount Committed To Street Outreach	Aggregate amount of funds committed to the Street Outreach Component activity for the Program Year.
Total Amount Committed To Shelter and Street Outreach	Aggregate amount of funds committed to the Shelter and Street Outreach Component activities for the Program Year. *(Amount Committed To Shelter + Amount Committed To Street Outreach = Total Amount Committed To Shelter and Street Outreach)*
2010 Funds Committed To Shelter/Outreach	Aggregate amount of ESG funds committed to 2010 Shelter and Outreach Activities.
Percent Committed To Shelter And Street Outreach	Percent of Total 2010 ESG Award Committed to the Shelter and Street Outreach Components. *(Total Amount Committed To Shelter and Street Outreach for 2010/ Total Grant Amount for 2010 = Percent Committed to Shelter and Street Outreach)*
Total Drawn For Shelter And Street Outreach	Aggregate amount of funds drawn in the Shelter and Street Outreach Components for Program Year. (*Shelter Drawn Amount + Street Outreach Drawn Amount = Total Drawn For Shelter and Street Outreach)*
Percent Drawn For Shelter And Street Outreach	Percent of Total ESG Award Drawn by the Shelter and Street Outreach Components for Program Year. *(Total Amount Drawn For Shelter and Street Outreach / Total Grant Amount = Percent Drawn For Shelter and Street Outreach)*

U.S. Department of Housing and Urban Development
Office of Community Planning and Development
Integrated Disbursement and Information System
PR91 - ESG Financial Summary

2011

DATE: 08-15-12
TIME: 9:37
PAGE: 1

ESG Program Level Summary

Grant Number	Total Grant Amount	Total Funds Committed	Total Funds Available to Commit	% of Grant Funds Not Committed	Grant Funds Drawn	% of Grant Funds Drawn	Available to Draw	% Remaining to Draw
	$5,089,516.00	$5,073,416.00	$16,100.00	0.32%	$994,737.00	19.54%	$4,078,679.00	80.39%

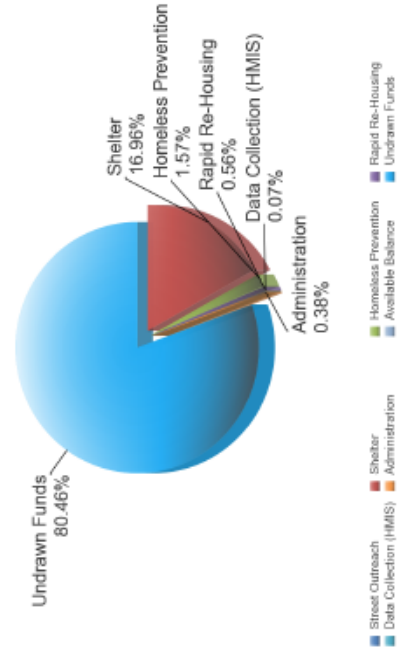## ESG Program Components

Activity Type	Total Committed to Activities	% of Grant Committed	Drawn Amount	% of Grant Drawn
Street Outreach	$0.00	0.00%	$0.00	0.00%
Shelter	$3,105,400.00	61.02%	$863,370.00	16.96%
Homeless Prevention	$1,058,700.00	20.80%	$80,032.00	1.57%
Rapid Re-Housing	$602,000.00	11.83%	$28,751.00	0.56%
Data Collection (HMIS)	$58,700.00	1.15%	$3,349.00	0.07%
Administration	$248,616.00	4.88%	$19,235.00	0.38%
Available Balance	$16,100.00	0.32%	$0.00	0.00%
Undrawn Funds	$0.00	0.00%	$4,094,779.00	80.46%
Total	$5,089,516.00	100.00%	$5,089,516.00	100.00%

Funds Drawn

Shelter
16.96%
Homeless Prevention
1.57%
Rapid Re-Housing
0.56%
Data Collection (HMIS)
0.07%
Administration
0.38%
Undrawn Funds
80.46%

Street Outreach   Shelter   Homeless Prevention   Rapid Re-Housing
Data Collection (HMIS)   Administration   Available Balance   Undrawn Funds

Funds Committed

Homeless Prevention
20.80%
Rapid Re-Housing
11.83%
Data Collection (HMIS)
1.15%
Administration
4.88%
Available Balance
0.32%
Shelter
61.02%

Street Outreach   Shelter   Homeless Prevention   Rapid Re-Housing
Data Collection (HMIS)   Administration   Available Balance   Undrawn Funds

U.S. Department of Housing and Urban Development
Office of Community Planning and Development
Integrated Disbursement and Information System

PR91 - ESG Financial Summary

2011

24-Month Grant Expenditure Deadline

cipient's grant must be expended for eligible activity costs within 24 months after the date HUD signs the grant agreement with the recipient. Expenditure means either an actual cash disbursement for a direct charge for a good or service or an indirect cost or the accrual of a direct charge for a good or service or an indirect cost. This report uses draws in IDIS to measure expenditures. HUD allocated Fiscal Year 2011 ESG funds in two allocations. For FY2011, this Obligation Date is the date of the first allocation. This report does not list the Obligation Date, does not calculate the Expenditure Deadline, and does not track the Days Remaining for the FY 2011 second allocation.

Grant Amount: $5,089,516.00

Grant Number	Draws to Date	HUD Obligation Date	Expenditure Deadline	Days Remaining to Meet Requirement Date	Expenditures Required
	$994,737.00	07/26/2011	07/26/2013	346	$4,094,779.00

60% Cap on Emergency Shelter and Street Outreach

ers to the total amount of the recipient's fiscal year grant, allowed for emergency shelter and street outreach activities, is capped at 60 percent. This amount cannot exceed the greater of: (1) 60% of the overall grant for the year, or, (2) the amount of Fiscal Year 2010 ESG funds committed for homeless assistance activities.

Amount Committed to Shelter	Amount Committed to Street Outreach	Total Amount Committed to Shelter and Street Outreach	2010 Funds Committed to Shelter/Outreach	% Committed to Shelter and Street Outreach	Total Drawn for Shelter and Street Outreach	% Drawn for Shelter and Street Outreach
$3,105,400.00	$0.00	$3,105,400.00	$3,105,400.00	61.02%	$863,370.00	16.96%

9.2 General Reports

ESG recipients can use the following five general IDIS reports to track commitment and disbursements:

- *HUD Grants and Program Income* (PR01) provides grant-level detail, including allocation amount, committed amount, drawn amount, available to draw, and available to commit. ESG recipients should not use this report to reconcile by program year for the 24-month expenditure requirement since it tracks ESG funding by "First In, First Out (FIFO)."

- *List of Activities by Program Year and Project* (PR02) provides activity-level detail, including status, funded amount, drawn amount, and balance. This report tracks funding and drawdown information at the activity level. ESG recipients can use this report to accurately track the financial status of activities by program year (including the 24-month expenditure requirement) since it tracks the financial status of activities by program year provided that the recipient sets up projects/activities according to the guidance in this document. Users can limit this report by program (ESG of HESG) and program year.

- *Drawdown Report by Project and Activity* (PR05) provides detail (by line item) for every drawdown voucher by program year, project, and activity. This report is helpful to reconcile IDIS information to local financial records by year, project or activity. Note that this report does not track subrecipient draws for each activity. The PR91 report will begin tracking subrecipient draws by activity in 2013.

- *Drawdown Report by Voucher Number (*PR07) provides detail (by line item) for every drawdown voucher by date. This report is helpful to reconcile IDIS information to local financial records for a specific timeframe. The report can be limited by program and date range. Note that this report does not track subrecipient draws for each activity. The PR91 report will begin tracking subrecipient draws by activity in 2013.

- *Grantee Summary Activity Report* (PR08) provides activity-level detail, including grantee activity number, status, fund date, last draw date, funded amount, and drawn amount. This report is helpful for program managers to track funding and drawdown information at the activity level. Users cannot limit this report to display only Emergency Shelter Grant (ESG) or Emergency Solutions Grant (HESG) activities. Note that this report does not track subrecipient draws for each activity. The PR91 report will begin tracking subrecipient draws by activity in 2013.

10. CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORT (CAPER)

Within 90 days of the end its program year, a jurisdiction is required to provide a Consolidated Annual Performance and Evaluation Report (CAPER). States prepare a Performance and

Evaluation Report (PER). As part of the CAPER and PER, each ESG recipient must collect and report data on its use of ESG funds (*24 CFR part 576.500*).

The Consolidated Plan conforming amendments made substantial changes to ESG reporting requirements. In addition, HUD has introduced the eCon Plan suite, which includes the templates for the Consolidated Plan, Action Plan, and CAPER in IDIS. Collecting ESG data electronically will enable HUD to report nationally on recipient performance, identify trends, and more easily review data. For more information on the e-ConPlan suite of tools (including how to use the Consolidated Plan, Action Plan, and CAPER templates in IDIS) go to the Consolidated Plan homepage and download the Consolidated Plan manual posted on the HUD's Homelessness Resource Exchange (HRE).

HUD plans to issue additional guidance on reporting on homeless strategies and performance. Remember that the ESG screens in IDIS represent only a portion of the CAPER required to be submitted to HUD. A jurisdiction that does not receive ESG funds do not need to submit a CAPER in IDIS until it approved Consolidated Plan or Annual Action Plan in IDIS.

10.1 General Section of CAPER

All jurisdictions, regardless of whether they receive ESG funding, must now report on the number of homeless persons served in the Affordable Housing section of the CAPER (*24 CFR part 91.520(b))*. Jurisdictions must also evaluate their progress toward meeting the specific objectives for reducing and ending homelessness through outreach, shelter and transitional housing, transition to permanent housing, and prevention *(24 CFR part 91.520(c))*.

10.2 ESG Portion of the CAPER

ESG recipients are responsible for completing and submitting a CAPER. ESG subrecipients do not submit a CAPER. ESG subrecipients should check with their local ESG recipient regarding questions about how they would need to be involved in reporting for ESG.

HUD has made limited screens available in IDIS to serve as the ESG portion of the CAPER. An ESG recipient must use this template beginning with its first CAPER due October 1, 2012 or later, even if the rest of the CAPER is not completed in IDIS.

Before October 1, 2012, ESG recipients submitting a CAPER should use their normal process. Recipients should make sure to print the screens and submit the screens with the paper copy of the CAPER.

The ESG CAPER template in IDIS consists of the following screens:
- CR-60 Subrecipient Information
- CR-65 Persons Assisted ESG
- CR-70 Assistance Provided

- CR-75 Expenditures

The ESG CAPER guidance and templates can be accessed in the [Consolidated Plan manual](#) (pages 212-219).

At this time, HUD does not require communities to program their HMIS to generate the ESG portion of the CAPER because HUD recognizes that not all ESG providers were using HMIS before the ESG Interim Rule took effect on January 4, 2012.

For their first year of CAPER submission in IDIS, ESG recipients should be able to complete the reporting screens IDIS without using HMIS. To the extent HMIS data is available, recipients should use it to complete as many of the screens as possible. Then, the recipient should use other sources where data are not collected in HMIS (such as the financial/expenditure screens). ESG recipients should ensure that subrecipients are using HMIS and collecting data on all required universal data elements.

ESG recipients should use their financial reporting system to report financial information required in the CAPER. Before submitting the CAPER to HUD, jurisdictions are encouraged to reconcile the information in the narratives with the accomplishment and expenditure information within the other sections of IDIS and IDIS reports.

The CAPER screens represent the first step in gathering nationwide data on persons served with ESG funds in an electronic format, and HUD will continue to improve on the collection of ESG data in the future, to be able to report on outcomes and uses of the funds at a national level. For more information, see [Notice CPD-12-09 Use of the Integrated Disbursement and Information System (IDIS) to submit the Consolidated Plan](#) (posted on the HRE).

In the future, HUD also will update the screens in the CAPER template to reflect new HMIS data standards and further align the CAPER with the Continuum of Care Annual Performance Report. At that point, HUD will expect that 100 percent of beneficiary data (not necessarily financial data) will come from HMIS (and comparable databases) at that time. HUD will work with HMIS vendors to provide programming specs so that recipients can run reports for the ESG portion of the CAPER in the future.

HUD understands that ESG recipients have many questions about data collection for ESG, and appreciates your patience during the development of a system that will be useful for HUD and for your community planning.

11. SECOND ALLOCATION FY2011: SPECIFIC INSTRUCTIONS

HUD provided FY2011 ESG funds to recipients in two allocations. The FY2011 Second Allocation incorporates changes necessary for consistency with the ESG Interim Rule. This section highlights a few special instructions required due to the two-part ESG allocation for FY2011.

11.1 Project Set Up

In the project set up process, recipients will need to go back to the field **Estimated Amount (Including Program Income)** and change the amount for the **HESG** row from the total for the First Allocation to the total sum of both the First and Second Allocations (Exhibit 29).

Exhibit 29: Estimated Amount (Including Program Income) HESG Row

First Allocation + Second Allocation = HESG Total in "HESG" Row above

Recipients should also make sure that they do not select subrecipient organizations during the project set up process. Subrecipients should only be selected during the Activity Funding and Drawdown processes.

It should be noted that, the ESG program counts program income as match that is tracked outside of IDIS. Therefore you should not include program income in your Estimated Amount in the HESG row.

11.2 Activity Set Up

In the activity set up process recipients will need to create new activities for Rapid Re-Housing and Data Collection (HMIS) if these activities are funded with their second ESG allocation. These new activities can be set up following the instructions in Section 3: Setting Up ESG Activities.

Recipients should also make sure that they do not select subrecipient organizations during the activity set up process. Subrecipients should only be selected during the Activity Funding and Drawdown processes.

11.3 Administration Subfund

The ESG Interim Rule increases the expenditure limit for administrative activities from 5 percent to 7.5 percent. Because each recipient could only spend up to 5 percent of the first allocation on administrative costs, a recipient will be able to use more than 7.5 percent of its second allocation for administrative costs, so long as the total expenditures for administrative activities using both the first and second allocations do not exceed 7.5 percent of the recipient's total FY2011 ESG grant.[5]

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[5] For more details on how to calculate the maximum amount that recipients may use for administrative costs under the second allocation, see the January 7, 2012 Federal Register "Notice of the FY 2011 Substantial Amendment Process and Other Related Information for Recipients of Emergency Solutions Grants Program Funds" (76 FR 75954).

In the **Administration Subfund** section recipients may need to add additional funds to their Administration Subfund. Recipients should only augment their Administration Subfund if they plan to use those funds for Administrative activities. The Administration Subfund can be edited by following these steps:

1. Click the **Grant** tab at the top of the page to display the **Search Grants** screen.

2. In the **Search Criteria** box, select "HESG" under the **Program** drop-down menu (Do not enter data in the Fund Type or Grant number fields).

3. Click the **Search** button. When the results are displayed, find the "AD" subfund for 2011 and click the **Edit** link in the **Action** column to display the **Edit Subfund** screen.

4. Enter the new subfund amount (up to 7.5 percent) in the **New Authorized Amount for this Subfund** field In the **New Authorized Amount for this Subfund** field, enter the new amount budgeted for Administration for the program year (maximum of 7.5 percent of the total ESG Grant – both the first and second allocation for program year 2011).

5. Click on **Save** to return to the **Add Subfunds** search screen. The HESG Administration Subfund has now been edited.

Recipients that did not set up an Administration Subfund with the first FY2011 ESG allocation should set one up now.

11.4 Activity Funding

The recipient must designate its second allocation of ESG funds to each activity as directed by the recipient's Substantial Amendment process for the FY2011 second ESG allocation. In most cases, ESG recipients will allocate these funds to Homeless Prevention, Rapid Re-Housing, Data Collection (HMIS), and Administration.

In addition, recipients must indicate each subrecipient for an activity during the activity funding process. This requirement also applies retroactively to the first allocation funds. Since this requirement is a new process, recipients should follow the instructions in Section 6: Funding ESG Activities should be carefully reviewed and followed.

11.5 Drawdown

Recipients must now identify which subrecipients are receiving funds under each voucher created. This is a new process and the recipients should carefully follow the instructions provided in Section 7: Drawing ESG Funds**.**

Recipients will also need to revise any vouchers that they have completed that do not have subrecipient organizations. This process should only affect ESG funds drawn before the subrecipient organization requirement was implemented in the Activity Funding process.

For all draws that cannot be revised, ESG Recipients must submit a request to the TAU (see contact information in Appendix B). This request should detail the transfer of completed draws from a single Activity to one or more subrecipient organizations that comprise the overall draw. ESG Recipients will need to repeat this information for each draw and its' corresponding subrecipient organization's specific dollar amount. Before submitting this request, ESG Recipients must ensure that the "Funded Amount" for each subrecipient organization sums to the total drawn amount of the initial completed draw.

Revised Drawdown Example

Original Drawdown:
Shelter $10,000.00
Total for Activity: **$10,000.00**

Revised Drawdown:
Downtown New Horizon Family Shelter Program $ 7,500.00
Uptown Domestic Violence Shelter Program $ 2,500.00
Total for Activity   **$10,000.00**

11.6 Troubleshooting: ESG Path and HESG Path

Recipients that are experiencing difficulty setting up the ESG Project or Activities may be encountering an issue that has been common in the FY2011 First and Second Allocation ESG data entry process. Recipients should carefully examine their 2011 HESG Project and Activities to make sure that neither the Project nor the Activity has been accidentally set up as an Emergency Shelter Grant Project or Activity under the ESG path. Recipients should not have any project and activity for FY2011 set up under the ESG path. **All ESG projects and activities for FY2011 must be set up under the HESG path.**

Recipients that cannot fix this issue on their own should contact the IDIS Technical Assistance Unit (TAU), Appendix B provides the TAU contact information.

APPENDIX A: SUMMARY OF IDIS STEPS

ESG Project

- ESG recipients set up one project per program year in IDIS.

- The project level in IDIS identifies the recipient and the federal fiscal year.

- The naming convention for ESG Projects is **ESG,** followed by the 2-digit **Federal Fiscal Year** and the **Recipient Name** (e.g., "ESG11 HUDville"). If the Recipient's Program Year is different from HUD's Federal Fiscal Year place that in ( ) after the Recipient Name. This is for local recipient purposes only and will not be used by HUD (e.g., "ESG11 HUDville (2012)").

ESG Activities

- ESG recipients set up one activity per activity category per program year in IDIS.

- The activity level in IDIS identifies the category of ESG funds that correspond to the ESG Components used by the recipient to prevent or end homelessness.

- Activity categories are: Street Outreach, Shelter, Homeless Prevention, Rapid Re-Housing, Data Collection (HMIS), and Administration.

- Naming convention for ESG Activities is **ESG,** followed by the 2-digit **Federal Fiscal Year** and the **Activity Category Name** (e.g., "ESG11 Shelter"). If the Recipient's Program Year is different from HUD's Federal Fiscal Year place that in ( ) after the Recipient Name. This is for local recipient purposes only and will not be used by HUD (e.g., "ESG11 Shelter (2012)").

- Select an option for the Environmental Assessment ("Exempt" for most ESG Activities).

- ESG Recipients should not select **Allow Another Organization to Access this Activity** since other organizations should not be drawing ESG funds or entering information in IDIS.

- Select a secondary activity category for Shelter, Homeless Prevention and Rapid Re-Housing Activities. The secondary activity category is preselected for the Street Outreach activity and the Administration and Data Collection (HMIS) activity categories do not have a secondary activity category.

Administration Subfund

- ESG recipients can allocate up to 7.5 percent of the entire federal fiscal year allocation to Administrative activities.

- ESG recipients are required to set up an Administration subfund for each year's Administration activity.

- Unlike other activity categories, Administration is set up and funded through the Subfund process.

- Any unused Administration funds must be de-committed before being used on another activity.

Fund ESG Activities

- ESG recipients set up funding for the ESG activities through the **Funding/Drawdown** tab.

- Subrecipient organizations must be created or selected in IDIS during the Activity Funding process. A subrecipient should be added to each activity category for which they receive funding.

Drawdown of ESG Funds

- ESG recipients create vouchers for ESG activities in IDIS and select specific subrecipients that are undertaking the ESG Activity.

- The first step is to create a voucher.

- The second step is to approve the voucher (which must be done by a separate IDIS user).

Complete ESG Activities

- HUD collects ESG accomplishment and beneficiary information via HMIS.

- Once all funds are expended for an Activity, change the **Activity Status** to "completed," if all funds are not expended selecting "completed" will also release any unexpended funds.

- Commit any unused funds to another activity within the same Program Year and draw before two-year expenditure deadline.

ESG Reports

- To access these reports recipients will need to navigate through the **Reports** tab:
  - *PR01 – HUD Grants and Program Income*
  - *PR02 – List of Activities by Program Year and Project*
  - *PR05 – Drawdown Report by Project and Activity*
  - *PR07 – Drawdown Report by Voucher Number*
  - *PR08 – Grantee Summary Activity Report*
  - *PR91 – ESG Financial Summary Report*

APPENDIX B: IDIS RESOURCES

Type of Information	Resources
ESG and other HUD Homeless Program Guidance (including *IDIS Online*)	• HUD Homelessness Resource Exchange (HRE) at www.hudhre.info.
ESG Homepage on HUD HRE	• http://www.hudhre.info/esg/index.cfm
IDIS guidance common to all programs (such as *IDIS Quick Tips,* generating reports and downloading data)	• *IDIS Online* homepage at www.hud.gov/offices/cpd/systems/idis/index.cfm
Gaining access to *IDIS Online* or answers to IDIS questions	• The IDIS Technical Assistance Unit (TAU) Monday – Friday 8:15 a.m. - 7:00 p.m. (ET) Phone: 1-877-483-8282 Fax: 703-553-8444 E-mail:IDIS.help@hud.gov
IDIS Password Resets *Note: HUD HQ staff and the TAU cannot reset passwords*	• HUD National Help Desk Toll Free:1-888-297-8689, option 3
ESG Program Updates from HUD	• Sign up for ESG program updates by joining the OneCPD Mailing list (and selecting "Emergency Solutions Grants") at: https://www.onecpd.info/mailinglist
e-Con Plan Suite of Tools (including how to use the Consolidated Plan, Action Plan, and CAPER templates in IDIS)	• The Consolidated Plan manual is posted on the HUD Homelessness Resource Exchange (HRE)
How to calculate the maximum amount that recipients may use for administrative costs under the ESG second allocation	• January 7, 2012 Federal Register "Notice of the FY 2011 Substantial Amendment Process and Other Related Information for Recipients of Emergency Solutions Grants Program Funds" (76 FR 75954)
CPD Consolidated Plan Notice	• Notice CPD-12-09 Use of the Integrated Disbursement and Information System (IDIS) to submit the Consolidated Plan