

1. Continuum of Care Organization

Instructions:

For additional information see the CoC Program Registration and CoC Review Instructions located on the HUD Exchange.

1. Type of CoC: UFA

2. HPC Designation: No

3. CoC Number and Name: AZ-500 - Arizona Balance of State CoC

4. Legal Name of Organization: Arizona Department of Housing
(e.g., CoC Lead Agency)

5. Select the State(s) in which the CoC claims geography: Arizona
For multiple state selections, hold the CTRL key and select the applicable states.

6. Is the CoC composed of two or more CoCs approved by HUD to merge after the previous CoC Program Competition or prior to this FY CoC Program Registration process? No

2. Continuum of Care Claimed Geographic Area(s)

Instructions:

For additional information see the CoC Program Registration and CoC Review Instructions located on the HUD Exchange.

- 1. Select the geographic code(s) claimed by the CoC. To select multiple geographic areas, hold the CTRL key and select the applicable area(s).**
- 049025 Yavapai County, 049012 La Paz County, 049017 Navajo County, 040114 Douglas City, 049009 Graham County, 049021 Pinal County, 049011 Greenlee County, 040408 Sierra Vista City, 049023 Santa Cruz County, 040558 Yuma, 040348 Prescott, 040144 Flagstaff, 040054 Casa Grande, 049005 Coconino County, 049003 Cochise County, 049001 Apache County, 049007 Gila County, 049015 Mohave County, 049027 Yuma County

3. UFA Capacity - CoC Responsibilities

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the CoC Program Registration and CoC Review Instructions located on the HUD Exchange.

1. Does the CoC hold meetings of the full membership with published agendas at least semi-annually (24 CFR 578.7(a)(1))? Yes
(If yes, the Collaborative Applicant is required to attach a zip file that contains copies of the published agendas for time period outlined in CPD Notice.)

2. Does the CoC have a publicly open invitation process for new members to join within the geographic area that occurs at least annually (24 CFR 578.7(a)(2))? Yes

2a. If yes, indicate the page(s) where this information can be found in the CoC Governance Charter. (Limit 250 characters)

Page 3 and 4 of the Governance Advisory Board Charter. The AZ Balance of State Continuum of Care (AZBOSCOG) Local Coalitions to end Homelessness (LCEH) have open membership to anyone that wants to attend the meetings.

3. Has the CoC adopted a written process to select the Board, which is reviewed, updated and approved by the CoC at least once every 5 years? (24 CFR 578.7(a)(3))? Yes

3a. If yes, what date was the written process 04/30/2019

approved by the Continuum of Care?

The date that the written process was approved by the Continuum of Care cannot be later than today's date.

4. Does the CoC Governance Charter list the committees, subcommittees, or workgroups appointed by the CoC (24 CFR 578.7(a)(4))? Yes

4a. If yes, indicate the page(s) where this information can be found in the CoC Governance Charter. (Limit 250 characters)

Page 6 and 7 of the AZBOSCOG's Governance Advisory Board Charter.

5. In consultation with the Collaborative Applicant and HMIS Lead, has the governance charter been developed, followed, and updated annually? (24 CFR 578.7(a)(5))? Yes

5a. Does governance charter include all procedures and policies needed to comply with Subpart B of the CoC Program interim rule? (24 CFR 578.7(a)(5))? Yes
If yes, the Governance Agreement must be attached.

6. How has the CoC used performance and outcome data to determine allocation of resources from CoC Program and ESG funds to reduce homelessness for veterans, chronic, family, and youth populations? (Limit 1500 characters)

The AZBOSCOG uses performance and outcome data in several ways to determine the allocation of resources from CoC and ESG program funds. These include: 1) A project review process with a scorecard that is used to evaluate sub recipient performance of both federal and AZBOSCOG Goals; 2) An analysis of APR data, as it relates to housing outcomes, retention, chronic and high needs users; 3) An analysis of PIT count data is used for identifying geographical gaps; 4) An evaluation of the System Performance Measures along with annual monitoring reports with special attention given to compliance with established priorities, point in time count and the Local Coalition to End Homelessness meetings (LCEH) are utilized; 5) Ongoing evaluations are completed in conjunction with the HUD CoC Annual NOFA application process and for ESG, the Consolidated Annual Performance Report (CAPER); 6) The Arizona Department of Housing (ADOH) and the Arizona Department of Economic Security (ADES) coordinate activities related to ESG as ADES is the

administrator of those funds. An open procurement process in compliance with the State of Arizona procurement procedures is used by ADES to select ESG providers

7. Demonstrate how the CoC implemented a housing and service system that meets the needs of homeless individuals that includes the use of Housing First approach to remove barriers, service participations requirements or preconditions, and prioritizes rapid placement and stabilization in permanent housing. (Limit 750 characters)

The AZBOSCOC has implemented a housing first approach service system using the following: 1) The CoC sub-recipient contracts require implementation of Housing First and barrier reduction; 2) The CoC Governance Advisory Board approved the HUD Housing First Self-Assessment tool in monitoring and NOFA scoring criteria; 3) The AZBOSCOC collaborated with ESG partners to create joint RRH standards based on a Housing First approach; 4) ADOH performs monthly desk audits of HMIS/APR data, program reports and other information to review Housing First requirements; 5) Annual on-site monitoring and file reviews are performed to ensure CoC implementation of Housing First based practices.

8. Demonstrate how the CoC established performance targets appropriate for the population and program types in consultation with recipients and subrecipients. (Limit 750 characters)

The AZBOSCOC performance targets were established by the Governance Advisory Board, which is co-chaired with ADOH staff, vetted with sub recipients, and are reviewed by all partners and stakeholders on an annual basis. The performance targets were incorporated in sub recipient contracts, which are monitored by ADOH as the recipient annually. They were further reviewed as part of our annual NOFA ranking and review process and in subsequent debriefings with NOFA applicants and stakeholders. The targets generally follow HUD's System Performance Measures: reducing length of time homeless; reduction in returns to homelessness; increase of income and retention in permanent housing.

8a. Specifically describe the process used to gather input from recipients and sub-recipients to establish performance targets appropriate for population and program type, monitor performance, evaluate outcomes, and takes action to address poor performing projects. (24 CFR 578.7(a)(6)). (Limit 750 characters)

The process that is used incorporates review by the GAB, the LCEH, and the sub recipients. A Performance Committee of sub recipients review and provide input to prior scoring tools and utilize the HUD optional tool to develop a revised scoring tool during each NOFA application.

Privacy Plan	&n bs p	Yes	10/02/2019
Security Plan	&n bs p	Yes	02/02/2020
Data Quality Plan	&n bs p	Yes	02/02/2020

The approval date of the Privacy Plan, the Security Plan, or the Data Quality Plan cannot be later than today's date.

14. Describe the process the CoC uses to ensure consistent participation of recipients and sub-recipients in HMIS (24 CFR 578.7(a)(9)(b)(4)). (Limit 750 characters)

As the HMIS lead agency, ADOH (recipient) contractually mandates consistent HMIS participation of all AZBOSCOC funded sub-recipients. The HMIS system administrator (CRN) monitors HMIS participation monthly and provides training and technical support both in person and online on a regular basis. Data quality expectation standards for accuracy and timeliness is 98% for all CoC funded programs. The AZBOSCOC HMIS committee meets monthly to ensure participation, discuss HMIS training needs, and to regularly review and update all HMIS policies and procedures in accordance with the HMIS Governance Charter to ensure standards of quality and timeliness are being met.

15. Describe the process the CoC uses to ensure HMIS is administered in compliance with the most current HMIS Data Standards (24 CFR 578.7(a)(9)(b)(5)). (Limit 750 characters)

Crisis Response Network (CRN) as the AZBOSCOC System Administrator meets monthly with the HMIS lead agency (ADOH) to evaluate data quality and discuss data standard changes. CRN regularly coordinates with the software vendor to ensure that data standard changes and updates are incorporated into COC provider workflows. The CoC HMIS committee meets on a monthly basis to review current HMIS data standards and update policies related to data standards, security and confidentiality, and privacy.

16. Describe the CoC's coordination efforts to implement a housing and service system within the claimed geographic area(s) that meets the needs of homeless individuals (including unaccompanied youth) and families experiencing homelessness. (Attach a copy of the plan that clearly outlines the methods for outreach, engagement, and assessment as well as shelter, housing, supportive services, and prevention strategies.) (24 CFR 578.7(c)(1)). (Limit 750 characters)

In addition to the Governance Advisory Board, Local Coalitions to End Homelessness (LCEHs) are established in 10 of the 13 counties covering 90% of the population and geography. LCEHs represent more than 150 organizations and are responsible for coordinating local resources and aligning

all CoC strategies within their areas. LCEH leads meet quarterly with mainstream partners to align goals and resources. LCEH lead agencies are held responsible for community coordination through a contract with ADOH which is paid with HUD Planning funds. State and Federal partners i.e. SSVF, AHCCCS (state Medicaid), AZBOSCOC and ESG mandate LCEH and AZBOSCOC participation for all contracted partners.

17. Describe the CoC's emergency transfer plan that meets the requirements under 24 CFR 578.99(j)(8) and 24 CFR 578.7(d). Limit 750 characters

The VAWA Model Emergency Transfer Plan for Domestic Violence, Dating Violence, Sexual Assault and Stalking was adopted by the GAB and distributed to both the LCEHs and the sub recipients in 2018 with training occurring at the quarterly LCEH Lead meetings held in Phoenix. Local domestic violence providers are part of the LCEHs. Housing providers honor requests for emergency transfers when a tenant has concerns and feels threatened. This includes survivors of domestic violence and individuals who might not have experienced issues in the past. To document this, ADOH as recipient has incorporated the use of the transfer plan into all sub-recipient contracts and initiated the inclusion of the plan for on-site monitoring of all projects.

18. How frequently does the CoC conduct a sheltered point-in-time count? annually

19. How frequently does the CoC conduct an unsheltered point-in-time count? annually

20. How frequently does the CoC conduct a gaps analysis of homeless needs and services available within the geographic area? annually

20a. Specifically describe the process utilized by the CoC to conduct the gaps analysis. (Limit 750 characters)

The AZBOSCOC conducts gaps analysis at the local and AZBOSCOC level. Data includes: unsheltered PIT count, service continuum by county, housing inventory by type regardless of funding source, number of individuals on BNL, VI-SPDAT scores, unemployment, vacancy & occupancy rates, economic data, jobs availability, and income levels. ADOH Special Needs staff prepare reports for each LCEH to use and inform local planning. Aggregated information for the entire AZBOSCOC is reviewed at the annual Governance Advisory Board planning retreat to ensure that resources are being used efficiently to address identified gaps. Resource and housing availability in a county is considered to ensure CoC resources are accessible in the AZBOSCOC geographic area.

21. Specifically describe how the CoC is participating in the Consolidated Plan(s) for the jurisdiction(s) within the CoCs geographic area. (Limit 750 characters)

ADOH, the AZBOSCOC Collaborative Applicant and Grantee, is also the entity responsible for creation of the Consolidated Plan for the AZBOSCOC geographic area. ADOH holds public hearings, aggregates data from Consolidated Plan partners, and coordinates submission of the Consolidated Plan with other state and local stakeholders. AZBOSCOC leadership and representatives participate in all Consolidated Plan efforts. ADOH's Special Needs Administrator is responsible for incorporating AZBOSCOC information into Consolidated Plan. In 2019 one of the public hearings held was scheduled immediately prior to a quarterly LCEH meeting to facilitate involvement from LCEH leads.

22. Describe the extent to which the CoC consults with State and local government ESG program recipients within the CoC's geographic area on the plan for allocating Emergency Solutions Grants program funds. (Limit 750 characters)

At the state level, the ADOH meets regularly with the AZ Department of Economic Security (ADES) who serves as the administrator for ESG funds in the areas covered. ADES and ADOH discuss collaboration and partnership on a variety of levels including geographic coverage, program performance, and evaluation benchmarks in their contracting process. At the local community level, ESG program recipients are mandated to participate in the LCEH including coordinated entry and case conferencing. ESG and CoC recipients have continued to develop partnerships in tying together ESG, Arizona HTF, and CoC funding to increase capacity in under served rural counties and in 2019 jointly funded an un-served county with ESG and HTF for motel shelter and RRH.

23. Has the CoC and ESG recipient developed a plan for joint reporting guidelines for ESG recipients and sub-recipients? Yes

24. Has the CoC and ESG recipient developed performance measurements that will be used to measure ESG recipients and subrecipients within the CoC's geographic area? Yes

4. UFA Financial Management

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the CoC Program Registration and CoC Review Instructions located on the HUD Exchange.

1. Is the Collaborative Applicant that is requesting UFA designation a nonprofit organization or a State or a unit of local government? State

2. Does the Collaborative Applicant have written policies and procedures to ensure that CoC Program funds are drawn down from LOCCS within 45 days of a sub-recipient providing source documentation of eligible costs/expenditures? Yes

3. Does the Collaborative Applicant have procedures in place to ensure CoC Program funds are drawn a minimum of every 90 days? Yes

4. Does the Collaborative Applicant have an organizational chart that sets forth the lines of responsibility? If yes, a copy of the organization chart must be attached. Yes

5. Does the Collaborative Applicant have written financial management policies and procedures addressing the areas listed below, including an organizational chart Yes

that sets forth lines of responsibility?

**5a. What page(s) of the document include the policy and procedures for ensuring complete disclosure of the financial results of each federally-sponsored project or program (in accordance with state laws, if applicable)?
(Limit 250 characters)**

The AZBOSCOC Fiscal Management Policies and Procedures describe disclosure of financial results of federal project including relevant state laws on p. 20 (Financial Reporting), p. 23 (Budgetary Controls), and p. 24 (Audits).

**5b. What page(s) of the document adequately identify the source and application of funds for federally sponsored activities?
(Limit 250 characters)**

The AZBOSCOC Fiscal Management Policies and Procedures describe the application of funds for federally sponsored activities on p. 8-9(related to reviewing reimbursement documentation), p. 12 (Close out and De-Obligation of Funds), p. 13-14 (Monitoring), and p. 24 (Audits)

**5c. What page(s) of the document include the internal controls that provide effective control and accountability for all funds, property, and other assets?
(Limit 250 characters)**

Internal control is in the AZBOSCOC Fiscal Management Policies and Procedures on page 20. Processes for how these controls are evaluated and monitored are included in the AZBOSCOC Fiscal Management Policies and Procedures on p. 14(additional process for controls of reimbursement are on p. 8).

**5d. What page(s) include a comparison of expenditures with budget amounts for each award?
(Limit 250 characters)**

Budgetary Controls are described in AZBOSCOC Fiscal Management Policies on p. 23 (Budgetary Controls). Specific processes for reviewing budget to actual expenditures is included in Reimbursement Process (p.8) and in Monitoring (p. 14)

**5e. What page(s) include the written procedures to minimize the time elapsing between the transfer of funds to the recipient from the U.S. Treasury and the issuance or redemption of checks, warrants, or payments by other means for program purposes by the recipient?
(Limit 250 characters)**

Standards for Sub-Recipient reimbursement requests and review, payment and LOCCS withdrawals process including timeliness are included in AZBOSCOC Fiscal Management Policies and Procedures beginning at page 8. Specific

timelines are discussed on pages 10 and 11.

**5f. What page(s) include the procedures that are followed whenever advance payment procedures are used?
(Limit 250 characters)**

AZBOSCOC does not provide advance payments of CoC funds. This policy is described in the AZBOSCOC Fiscal Management Policies and Procedures p.11

**5g. What page(s) include the procedures for determining the reasonableness, allocability, and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award?
(Limit 250 characters)**

Reasonableness, allocability and allowability of costs are in the AZBOSCOC Fiscal Management Policies and Procedures on p. 6 (Sub-Recipient Contracting), p. 8 (Sub-Recipient Reimbursement Review), p. 14 (Monitoring), and p. 20 (AZBOSCOC Reporting, Internal Controls and Cost Allocation).

**5h. What page(s) include the accounting procedures that include recording cost accounting supported by source documentation?
(Limit 250 characters)**

Policies and procedures for recording cost accounting and source documentation are included in the AZBOSCOC Fiscal Management Policies and Procedures on p. 8 (ADOH and Sub-Recipient Reimbursement processes) and p. 20.

6. Are there written procurement procedures? Yes
If yes, the document must be attached.

5. UFA Financial Management - Sub-Recipient

Any Collaborative Applicant that intends to submit the CoC Registration requesting UFA designation must complete all questions on this form.

Instructions:

For additional information see the CoC Program Registration and CoC Review Instructions located on the HUD Exchange.

1. Does the Collaborative Applicant have written agreements in place with all subrecipients to which CoC funds will be allocated, documenting that each organization will allow the Collaborative Applicant, if designated, to become the recipient of grant funds? Yes

2. Does the Collaborative Applicant have written policies and procedures in place to bring noncompliant subrecipients into compliance? Yes

2a. What page(s) of the document include this information? Limit 250 characters.

Policies and procedures for corrective action and or consequences for non-compliant sub-recipients are included in the AZBOSCOG Fiscal Management Policies and Procedures on p. 15. Monitoring and processes for identifying noncompliance are included on p. 12.

3. Does the Collaborative Applicant have written procedures to ensure that "high risk" sub-recipients receive proper oversight and monitoring? Yes

4. What plan of action does the Collaborative Applicant have in place for sub-recipient monitoring and how it will determine performance, evaluate outcomes and take corrective action against poor performers and what

**will happen if the sub-recipient does not comply with the corrective actions? (A copy of the plan must be attached)
(Limit 750 characters)**

ADOH as recipient of all AZBOSCOC funds from HUD, in contract with sub recipients, may ID items or issues of concern through monthly requests for payment, audits, reviews of agency reports, communication and on site monitoring. ADOH Contract Specialists evaluate fiscal and programmatic structure and performance. CoC has escalating corrective action plan procedures based on project compliance. Continued non-performance of CoC standards or implemented corrective action plan may result in penalties at renewal up to and including re-allocation of funds. Steps are documented in the attached AZBOSCOC Fiscal Management Policies and Procedures, Section Sub-recipient Performance and Corrective Action, page 15.

5. Does the Collaborative Applicant review sub-recipients for evidence of conflicts of interest, either between the Collaborative Applicant and the sub-recipient, or between the sub-recipient and its contractor(s) (seek information on the background of staff or the Board of Directors, seek specific assurance from sub-recipients)? Yes

**6. What are the Collaborative Applicant's closeout procedures for its sub-recipient grants and the recapture of unspent funds?
(Limit 750 characters)**

Under ADOH policies included in all sub-recipient contracts, all contract requests for reimbursement must be submitted within 60 days of the end of the contract. Sub-recipients are sent notice to confirm unspent funds after final billing. Upon confirmation by Special Needs Contract Specialists, ADOH accounting is notified via signed forms to implement recapture of unspent funds. Policies are documented in AZBOSCOC Fiscal Management Policies and Procedures, Section AZBOSCOC Sub-Recipient Contract Close Out and De-Obligation and Repayment of Un-expended funds—page 11. In addition, HUD close-outs the end of 2019 of 2016 grants recapture was less than 1% of the nearly \$4 million received.