



Arizona  
Department  
of Housing

---

# ESG Consolidated Annual Performance & Evaluation Report (ESG CAPER)

---

*Federal FY 2015*

*July 1, 2015 - June 30, 2016*

1110 West Washington Street, Suite 280 | Phoenix, AZ 85007  
Telephone: (602) 771-1000 | Facsimile: (602) 771-1002 | TTY: (602) 771-1001





**Table of Contents**

CR-05 - Goals and Outcomes..... 1

CR-10 - Racial and Ethnic Composition of Families Assisted ..... 2

CR-15 - Resources and Investments 91.520(a)..... 3

CR-20 - Affordable Housing 91.520(b) ..... 4

CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c) ..... 6

CR-30 - Public Housing 91.220(h); 91.320(j) ..... 7

CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j) ..... 8

CR-40 - Monitoring 91.220 and 91.230 ..... 9

CR-45 - CDBG 91.520(c)..... 10

CR-60 - ESG 91.520(g) (ESG Recipients only)..... 11

CR-65 - Persons Assisted..... 15

CR-70 - ESG 91.520(g) - Assistance Provided and Outcomes ..... 18

CR-75 - Expenditures..... 19

Attachment eCart..... 22



**CR-05 - Goals and Outcomes**

**Progress the jurisdiction has made in carrying out its strategic plan and its action plan. 91.520(a)**

This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year.

**Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)**

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee’s program year goals.

**Table 1 - Accomplishments - Program Year & Strategic Plan to Date**

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete

Assess how the jurisdiction’s use of funds, particularly CDBG, addresses the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified.

**CR-10 - Racial and Ethnic Composition of Families Assisted**

Describe the families assisted (including the racial and ethnic status of families assisted).  
 91.520(a)

**Table 2 - Table of Assistance to Racial and Ethnic Populations by Source of Funds**

	ESG
<b>Race:</b>	
<i>White</i>	
<i>Black or African American</i>	
<i>Asian</i>	
<i>American Indian or American Native</i>	
<i>Native Hawaiian or Other Pacific Islander</i>	
<b>Total</b>	
<b>Ethnicity:</b>	
<i>Hispanic</i>	
<i>Not Hispanic</i>	

**Narrative**

**CR-15 - Resources and Investments 91.520(a)**

Identify the resources made available.

**Table 3 - Resources Made Available**

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG			
HOME			
HOPWA			
Other			

**Narrative**

Identify the geographic distribution and location of investments.

**Table 4 - Identify the Geographic Distribution and Location of Investments**

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description

**Narrative**

**Leveraging**

Explain how federal funds leveraged additional resources (private, state and local funds), including a description of how matching requirements were satisfied, as well as how any publicly owned land or property located within the jurisdiction that were used to address the needs identified in the plan.

**CR-20 - Affordable Housing 91.520(b)**

Evaluation of the jurisdiction's progress in providing affordable housing, including the number and types of families served, the number of extremely low-income, low-income, moderate-income, and middle-income persons served.

**Table 5 - Number of Households**

	One (1) Year Goal	Actual
Number of homeless households to be provided affordable housing units		
Number of non-homeless households to be provided affordable housing units		
Number of special-needs households to be provided affordable housing units		
<b>Total</b>		

**Table 6 - Number of Households Supported**

	One (1) Year Goal	Actual
Number of households supported through rental assistance		
Number of households supported through the production of new units		
Number of households supported through the rehab of existing units		
Number of households supported through the acquisition of existing units		
<b>Total</b>		

Discuss the difference between goals and outcomes and problems encountered in meeting these goals.

Discuss how these outcomes will impact future annual action plans.

Include the number of extremely low-income, low-income, and moderate-income persons served by each activity where information on income by family size is required to determine the eligibility of the activity.



**Table 7 - Number of Persons Served**

<b>Number of Persons Served</b>	<b>CDBG Actual</b>	<b>HOME Actual</b>
Extremely Low-income		
Low-income		
Moderate-income		
<b>Total</b>		

**Narrative**

**CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c)**

Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through:

Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs.

Addressing the emergency shelter and transitional housing needs of homeless persons.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: likely to become homeless after being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); and receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again.

**CR-30 - Public Housing 91.220(h); 91.320(j)**

**Actions taken to address the needs of public housing.**

**Actions taken to encourage public housing residents to become more involved in management and participate in homeownership.**

**Actions taken to provide assistance to troubled PHAs.**

**CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j)**

**Actions taken to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment. 91.220 (j); 91.320 (i)**

**Actions taken to address obstacles to meeting underserved needs. 91.220(k); 91.320(j)**

**Actions taken to reduce lead-based paint hazards. 91.220(k); 91.320(j)**

**Actions taken to reduce the number of poverty-level families. 91.220(k); 91.320(j)**

**Actions taken to develop institutional structure. 91.220(k); 91.320(j)**

**Actions taken to enhance coordination between public and private housing and social service agencies. 91.220(k); 91.320(j)**

**Identify actions taken to overcome the effects of any impediments identified in the jurisdictions analysis of impediments to fair housing choice. 91.520(a)**

**CR-40 - Monitoring 91.220 and 91.230**

Describe the standards and procedures used to monitor activities carried out in furtherance of the plan and used to ensure long-term compliance with requirements of the programs involved, including minority business outreach and the comprehensive planning requirements.

**Citizen Participation Plan. 91.105(d); 91.115(d)**

Describe the efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports.

**CR-45 - CDBG 91.520(c)**

**Specify the nature of, and reasons for, any changes in the jurisdiction's program objectives and indications of how the jurisdiction would change its programs as a result of its experiences.**

**Does this jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?**

**[BEDI grantees] Describe accomplishments and program outcomes during the last year.**

**CR-60 - ESG 91.520(g) (ESG Recipients only)**ESG Supplement to the CAPER in *e-snaps*.

For Paperwork Reduction Act.

**1. Recipient Information - All recipients complete.****Basic Grant Information**

<b>Recipient Name</b>	ARIZONA
<b>Organizational DUNS Number</b>	086704488
<b>EIN/TIN Number</b>	866004791
<b>Identify the Field Office</b>	San Francisco
<b>Identify COC(s) in which the recipient or sub-recipient(s) will provide ESG assistance</b>	Arizona Balance of State COC

**ESG Contact Name**

<b>Prefix</b>	Mr.
<b>First Name</b>	Andrew
<b>Middle Name</b>	J.
<b>Last Name</b>	Rael
<b>Title</b>	Assistant Deputy Director/Programs

**ESG Contact Address**

<b>Street Address 1</b>	1110 West Washington Street
<b>Street Address 2</b>	Suite 280
<b>City</b>	Phoenix
<b>State</b>	AZ
<b>ZIP Code</b>	85007
<b>Phone Number</b>	(602) 771-1010
<b>E-mail Address</b>	andrew.rael@azhousing.gov

**ESG Secondary Contact**

<b>Prefix</b>	Ms.
<b>First Name</b>	Nina
<b>Last Name</b>	Sutton
<b>Title</b>	Finance & Business Operations Administrator
<b>Phone Number</b>	(602) 542-6643
<b>Email Address</b>	nsutton@azdes.gov

2. Reporting Period - All recipients complete.

<b>Program Year Start Date</b>	07/01/2016
<b>Program Year End Date</b>	06/30/2017

3a. Sub-recipient Form - Complete one (1) form for each sub-recipient.

<p><b>Sub-recipient or Contractor Name:</b> PRIMAVERA FOUNDATION  <b>City:</b> Tucson  <b>State:</b> AZ  <b>Zip Code:</b> 85701-2622  <b>DUNS Number:</b>  <b>Is sub-recipient a victim services provider:</b> N  <b>Sub-recipient Organization Type:</b> Other Non-Profit Organization  <b>ESG Subgrant or Contract Award Amount:</b> \$1,423,888.00</p>
<p><b>Sub-recipient or Contractor Name:</b> WESTERN ARIZONA COUNCIL OF GOVERNMENTS  <b>City:</b> Yuma  <b>State:</b> AZ  <b>Zip Code:</b> 85364-2224  <b>DUNS Number:</b>  <b>Is sub-recipient a victim services provider:</b> N  <b>Sub-recipient Organization Type:</b> Unit of Government  <b>ESG Subgrant or Contract Award Amount:</b> \$96,798.58.</p>
<p><b>Sub-recipient or Contractor Name:</b> Catholic Charities  <b>City:</b> Flagstaff  <b>State:</b> AZ  <b>Zip Code:</b> 86001-4899  <b>DUNS Number:</b> 078993326  <b>Is sub-recipient a victim services provider:</b> N  <b>Sub-recipient Organization Type:</b> Faith-Based Organization  <b>ESG Subgrant or Contract Award Amount:</b> \$135,491.00</p>



**Sub-recipient or Contractor Name:** A New Leaf

**City:** Mesa

**State:** AZ

**Zip Code:** 85203-8033

**DUNS Number:** 611923640

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$786,669.00

**Sub-recipient or Contractor Name:** Good Neighbor Alliance

**City:** Sierra Vista

**State:** AZ

**Zip Code:** 85635-1650

**DUNS Number:** 006333087

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$39,529.00

**Sub-recipient or Contractor Name:** Old Concho Community Assistance Center

**City:** Concho

**State:** AZ

**Zip Code:** 85924-0050

**DUNS Number:** 020839507

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$187,856.00

**Sub-recipient or Contractor Name:** CENTRAL ARIZONA SHELTER SERVICES

**City:** Phoenix

**State:** AZ

**Zip Code:** 85007-3101

**DUNS Number:** 148801558

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$1,581,968.00

**Sub-recipient or Contractor Name:** UMOM New Day Centers, Inc.

**City:** Phoenix

**State:** AZ

**Zip Code:** 85008-6813

**DUNS Number:**

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Faith-Based Organization

**ESG Subgrant or Contract Award Amount:** \$1,277,387.00

**Sub-recipient or Contractor Name:** Community Information and Referral Services

**City:** Phoenix

**State:** AZ

**Zip Code:** 85004-1418

**DUNS Number:**

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$7,500.00

**Sub-recipient or Contractor Name:** CAHRA

**City:** Eloy

**State:** AZ

**Zip Code:** 85131-2159

**DUNS Number:**

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$196,853.00

**Sub-recipient or Contractor Name:** Cornerstone Mission

**City:** Kingman

**State:** AZ

**Zip Code:** 86409-3615

**DUNS Number:**

**Is sub-recipient a victim services provider:** N

**Sub-recipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** \$49,855.78

## CR-65 - Persons Assisted

## 4. Persons Served.

## 4a. Complete for Homelessness Prevention activities.

Table 8 - Household Information for Homeless Prevention Activities

Number of Persons in Households	Total
Adults	23
Children	22
Don't Know/Refused/Other	0
Missing Information	42
<b>Total</b>	<b>87</b>

## 4b. Complete for Rapid Re-housing activities.

Table 9 - Household Information for Rapid Re-housing Activities

Number of Persons in Households	Total
Adults	828
Children	707
Don't Know/Refused/Other	82
Missing Information	23
<b>Total</b>	<b>1,640</b>

## 4c. Complete for Shelter.

Table 10 - Shelter Information

Number of Persons in Households	Total
Adults	7,328
Children	1,902
Don't Know/Refused/Other	39
Missing Information	758
<b>Total</b>	<b>10,027</b>

## 4d. Street Outreach.

Table 11 – Household Information for Street Outreach

Number of Persons in Households	Total
Adults	546
Children	8
Don't Know/Refused/Other	10
Missing Information	345
<b>Total</b>	<b>909</b>

## 4e. Totals for all persons served with ESG.

Table 12 - Household Information for Persons Served with ESG

Number of Persons in Households	Total
Adults	8,725
Children	2,639
Don't Know/Refused/Other	131
Missing Information	1,168
<b>Total</b>	<b>12,663</b>

## 5. Gender - Complete for all activities.

Table 13 - Gender Information

	Total
Male	7,791
Female	4,256
Transgender	16
Don't Know/Refused/Other	93
Missing Information	507
<b>Total</b>	<b>12,663</b>

## 6. Age - Complete for all activities.

Table 14 - Age Information

	<b>Total</b>
Under 18	2,672
18 - 24	1,012
25 and over	8,357
Don't Know/Refused/Other	93
Missing Information	529
<b>Total</b>	<b>12,663</b>

## 7. Special Populations Served - Complete for all activities.

Number of persons in households.

Table 15 - Special Population Served

<b>Subpopulation</b>	<b>Total</b>	<b>Total Persons Served - Prevention</b>	<b>Total Persons Served - RRH</b>	<b>Total Persons Served in Emergency Shelters</b>
Veterans	1,001	3	888	110
Victims of Domestic Violence	796	9	684	103
Elderly	331	5	201	125
HIV/AIDS	14	0	7	7
Chronically Homeless	984	0	609	375
<b>Persons with Disabilities:</b>				
Severely Mentally Ill	167	0	77	90
Chronic Substance Abuse	161	1	90	70
Other Disability	0	0	0	0
<b>Total (unduplicated if possible)</b>	<b>3,454</b>	<b>18</b>	<b>2,556</b>	<b>880</b>

**CR-70 - ESG 91.520(g) - Assistance Provided and Outcomes****10. Shelter Utilization.****Table 16 - Shelter Capacity**

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of Bed-Nights Available	394,762
Total Number of Bed-Nights Provided	372,876
Capacity Utilization	94.46%

**11. Project outcomes data measured under the performance standards developed in consultation with the COC(s).**

**CR-75 - Expenditures****11. Expenditures.****11a. ESG expenditures for Homelessness Prevention.****Table 17 - ESG Expenditures for Homelessness Prevention**

	<b>Dollar Amount of Expenditures in Program Year</b>		
	<b>2014</b>	<b>2015</b>	<b>2016</b>
Expenditures for Rental Assistance	0	5,603,321	61,970
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	418,303	16,091
Expenditures for Housing Relocation & Stabilization Services - Services	0	1,613,689	2,396
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Homelessness Prevention</b>	<b>0</b>	<b>7,635,313</b>	<b>80,457</b>

**11b. ESG expenditures for Rapid Re-housing.****Table 18 - ESG Expenditures for Rapid Re-housing**

	<b>Dollar Amount of Expenditures in Program Year</b>		
	<b>2014</b>	<b>2015</b>	<b>2016</b>
Expenditures for Rental Assistance	58,096	27,770,543	276,438
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	137,353	20,872,064	159,670
Expenditures for Housing Relocation & Stabilization Services - Services	60,514	8,150,759	164,303
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Rapid Re-housing</b>	<b>255,963</b>	<b>56,793,366</b>	<b>600,411</b>

## 11c. ESG expenditures for Emergency Shelter.

Table 19 - ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Essential Services	97,879	5,762,203	291,648
Operations	374,977	16,004,796	302,681
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
<b>Subtotal</b>	<b>472,856</b>	<b>21,766,999</b>	<b>594,329</b>

## 11d. Other grant expenditures.

Table 20 - Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
HMIS	16,439	112,500	7,500
Administration	54,458	5,687,730	72,876
Street Outreach	106,891	6,006,169	95,128

## 11e. Total ESG grant funds.

Table 21 - Total ESG Funds Expended

Total ESG Funds Expended	2014	2015	2016
94,151,197	799,716	91,995,908	1,355,573



## 11f. Match source.

Table 22 - Other Funds Expended on Eligible ESG Activities

	2014	2015	2016
Other Non-ESG HUD Funds	836,653	294,444,324	0
Other Federal Funds	2,805,028	58,878	1,853,069
State Government	208,252	190,177	1,544,224
Local Government	358,443	1,127,114	0
Private Funds	2,787,132	185,628,460	1,791,300
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
<b>Total Match Amount</b>	<b>6,995,508</b>	<b>481,448,953</b>	<b>5,188,593</b>

## 11g. Total

Table 23 - Total Amount of Funds Expended on ESG Activities

Total Amount of Funds Expended on ESG Activities	2014	2015	2016
587,784,251	7,795,224	573,444,861	6,544,166

## Attachment eCart



ESG-CAPER-Reporting-Tool official copy

To whom it concerns,

Some of the files from the providers would not upload to the eCart, the system stated that there were errors or the totals were not correct. I provided the HUD instructions for processing the CSV reports and I sent the files back to these providers several times but they were unable to correct their errors. I contacted HMIS and they stated that there may be a programming issue. I also contacted Ms. Grogan from HUD in regards to the issue and she suggested that I attach the files and give an explanation on the issue.

I can provide the HUD instructions and assist the providers in processing the CSV files but I do not have the knowledge needed to spot errors in their CSV files. I will encourage the providers to work with HMIS to resolve the problems with the CSV files that will not upload into eCart. If there are any trainings or advice you can give upon spotting the errors in the CSV files please inform.

Thank you,

Alfred Edwards