

City of Phoenix Human Services Department

Emergency Solutions Grant – Substantial Amendment to the FY2011 Consolidated Plan Annual Action Plan

1. Standard Form 424 (SF-424)

**APPLICATION FOR
FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

		2. DATE SUBMITTED March 15, 2012	Applicant Identifier N/A																					
TYPE OF SUBMISSION:		3. DATE RECEIVED BY STATE	State Application Identifier N/A																					
<input type="checkbox"/> Application <input checked="" type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	<input type="checkbox"/> Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																					
5. APPLICANT INFORMATION																								
Legal Name: City of Phoenix		Organizational Unit: Human Services Department																						
Address (give city, county, State, and zip code): 200 West Washington Street, 18th Floor Phoenix, AZ 85003-1611		Name and telephone number of person to be contacted on matters involving this application (give area code) Deanna Jonovich (602) 262-6668																						
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 86 - 60000256		7. TYPE OF APPLICANT: (enter appropriate letter in box) <table style="width: 100%; border: none;"> <tr> <td>A. State</td> <td>H. Independent School Dist.</td> <td style="text-align: right;"><input checked="" type="checkbox"/> C</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> <td></td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> <td></td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> <td></td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> <td></td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> <td></td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify) _____</td> <td></td> </tr> </table>		A. State	H. Independent School Dist.	<input checked="" type="checkbox"/> C	B. County	I. State Controlled Institution of Higher Learning		C. Municipal	J. Private University		D. Township	K. Indian Tribe		E. Interstate	L. Individual		F. Intermunicipal	M. Profit Organization		G. Special District	N. Other (Specify) _____	
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G. Special District	N. Other (Specify) _____																							
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> A <input type="checkbox"/> C A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		9. NAME OF FEDERAL AGENCY: U.S. Department of Housing and Urban Development																						
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 14 - 231 TITLE: Emergency Shelter Grants		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: The grant will be used to provide homeless prevention and rapid re-housing services to individuals and families who are homeless or at risk of becoming homeless.																						
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): City-wide																								
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:																						
Start Date 7/1/12	Ending Date 6/30/13	a. Applicant City of Phoenix	b. Project Homeless Programs																					
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																						
a. Federal	\$ 421,851 ⁰⁰	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW																						
b. Applicant	\$ 421,851 ⁰⁰																							
c. State	\$ _____ ⁰⁰																							
d. Local	\$ _____ ⁰⁰																							
e. Other	\$ _____ ⁰⁰																							
f. Program Income	\$ _____ ⁰⁰																							
g. TOTAL	\$ 843,702 ⁰⁰	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No																						
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.																								
a. Type Name of Authorized Representative Deanna Jonovich		b. Title Human Services Director	c. Telephone Number (602) 262-6668																					
d. Signature of Authorized Representative		e. Date Signed																						

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Standard Form 424 (Rev. 7-97)
Prescribed by OMB Circular A-102

DRAFT

2. Summary of Consultation Process

The city of Phoenix Emergency Solutions Grant Program will be implemented in full accordance with the city's approved 2010-2015 Consolidated Plan and amends the 2011-2012 Annual Action Plan to meet 24CFR91.100 requirements for local governments.

Continuum of Care Consultation: The city of Phoenix Human Services Department (HSD) has maintained a collaborative working relationship with the Maricopa County Association of Governments (MAG) Continuum of Care (CoC) for more than 10 years. As a member of the Continuum of Care Regional Committee on Homelessness and the Planning Subcommittee of the CoC, HSD has worked with MAG and the members of the CoC to prepare for changes to HEARTH funding. Members of this committee include local elected officials, representatives of the Governor's Office, service provider agencies, business representatives, funders, the Department of Economic Security, formerly homeless individuals, and advocates. The overarching mission of this Committee is to oversee the development of an effective plan to address homelessness in the region. In addition, the Committee has taken responsibility for the annual funding application submitted to HUD. The HUD funds have provided millions of dollars to agencies serving the most vulnerable homeless people. As a result, Fiscal Year 2011 Emergency Solutions Grant funding and activities complement and enhance the local CoC:

- ESG funding continues to support emergency shelter, transitional housing and housing support services while also establishing new activities for rapid rehousing and expanding prevention for vulnerable populations identified within the continuum.
- Performance standards were developed in consultation with MAG acting as the local CoC. As a result, the information will include key performance indicators for local CoC goals and meet reporting requirements established by HUD for ESG.
- All city of Phoenix ESG funding will be reported through the local HMIS system operated Community Information and Referral under contract with MAG contract as the regional HMIS administrator.

In addition to working with the members of the MAG CoC Regional Committee on Homelessness and the Planning Subcommittee of the CoC, the MAG Human Services Program Manager participated in HUD ESG webinars and post-webinar discussions with the HSD team in developing the HSD ESG Substantial Amendment. Further, HSD met with the MAG Human Services Program Manager to ensure the HSD ESG Substantial Amendment clearly interfaces with the MAG FY 2011 HUD McKinney-Vento Strategic Plan and the MAG Phoenix/Maricopa County CoC Action Plan. HSD staff also met with staff from the Valley of the Sun United Way to review the interface

between the HSD ESG Substantial Amendment and the VSUW Regional Plan to End Homelessness. Lastly, HSD Homeless Programs staff met with local representatives of the HUD office to review and discuss HEARTH ESG funding changes.

Finally, the City of Phoenix met with existing contracted homeless services providers and the local Continuum of Care to discuss new ESG requirements and opportunities. Regular reports and policy choices were presented to the Phoenix City Council through the Open Meeting Law process beginning March 3, 2012 through May 2, 2012.

3. Summary of Citizen Participation Process

This Substantial Amendment was completed in full accordance with the City of Phoenix Citizen Participation Plan for the Consolidated Plan, as amended by the Phoenix City Council on May 5, 2010, in full accordance with the local participation requirements for Substantial Amendments established under 24 CFR 91.105.

A public hearing was held at City Hall on April 9, 2012 to solicit comments on community needs and resources required for inclusion in the FY 2011 ESG Substantial Amendment. Comments from the community forum included recommendations to:

Public Hearing comments incorporated into the Substantial Amendment include:

(TBD - comments from hearings)

Public Hearing comments not incorporated into the Substantial Amendment include:

(TBD – comments from hearings with brief explanations as to why not incorporated.)

A 30-day public comment period for public review of the City of Phoenix FY2011 ESG Substantial Amendment and the 2012-2013 Annual Action Plan began on 3/23/12 and ended on 4/23/12. The draft Substantial Amendment and instructions to write or telephone comments was provided online on the City of Phoenix Website at www.phoenix.gov/humanservices.

Public Comments incorporated into the Substantial Amendment include:

(TBD from comment period)

Public Comments not incorporated into the Substantial Amendment include:

(TBD – from comment period with brief explanations as to why not incorporated.)

The public hearing dates and comments were published in the Arizona Republic Newspaper and announcement flyers and email announcements were distributed to various neighborhood associations, non-profit organizations, and interested residents.

Finally, the Phoenix City Council approved the city of Phoenix FY2011 ESG Substantial Amendment and the 2012-2013 Annual Action Plan on during its May 2, 2012 Formal City Council meeting. In accordance with Arizona’s Open Meeting laws, the agenda was posted publicly at least 24 hours prior to the meeting, with the item open for public comment.

4. Match Requirements

The City of Phoenix, Human Services Department, will meet the dollar-to-dollar match requirements through the following local resources:

Cash	Non-Cash	Source	Amount	Use of the Fund
X		General Fund	\$641,038	The funds are provided to Central Arizona Shelter Services (CASS), a local not-for-profit organization, to assist them in defraying a portion of their shelter operation costs. CASS provides emergency shelter services for approximately 4,000 homeless individuals each year.
X		General Fund	\$153,000	The funds are provided to Chrysalis Shelter, a local not-for-profit organization, to assist them in defraying a portion of their shelter operation costs. Chrysalis provides emergency shelter services for approximately 500 homeless individuals and 90 families each year.
X		General Fund	\$392,000	The funds are used to fund four staff members who work 100% of their time on supervising and operating the City of Phoenix’ owned

				Watkins Emergency Shelter and other homeless programs.
		Total	\$1,186,038	

General Funds are local, city revenues expended on qualifying activities and meet all new Interim Rule ESG match requirements. General Funds used for match will be from the same fiscal year during which the ESG funds they match are expended.

5. Proposed Activities and Overall Budget

(a) Proposed Activities:

The Phoenix 2011 ESG program will include the completion of existing Emergency Shelter Grants program activities for the initial 2011 allocation as contained in the initial 2011-2012 Annual Action Plan:

<u>BROAD ACTIVITY AREA</u>	<u>2011-12 FUNDING</u>
Essential Services	\$133,009
Prevention Services	\$225,000
Operating Costs	\$354,454
<u>Administration</u>	<u>\$ 37,495</u>
Total ESG Funding	\$749,958

In addition, Emergency Solutions Grant activities will be implemented, including:

Rapid Re-Housing – Medium Term Tenant Based Rental Assistance

- 1) Annual Action Plan Priority: E – Homeless Assistance
- 2) Provision of up to six months of rental assistance and/or arrears for eligible clients meeting the definition of homeless.
- 3) Standard Objective Category: Suitable living environment
Outcome Category: Availability/Accessibility
- 4) Anticipated Start Date: 7/1/2012 Anticipated Completion Date 6/30/2013
- 5) ESG funding Amount: \$205,111
- 6) Performance Indicators:
 - a. Homeless Families: 16 clients will be moved into more permanent housing.
 - b. Homeless Veterans (VASH) and Chronically Homeless individuals (H3) : 94 chronically homeless individuals and/or homeless veterans will be moved into more permanent housing.
- 7) Projected One Year Accomplishments:
 - a. Homeless Families:

- i. Formalize program referral partnerships with shelters and homeless services providers.
 - ii. The successful placement into permanent housing for 75% of the homeless families served.
 - iii. Increased assets for 75% of the clients served at program exit.
 - b. Homeless Veterans:
 - i. Formalize program referral partnerships with the local Housing Authority and Veterans Administration.
 - ii. The successful placement into permanent housing for 75% of the clients served.
- 8) Same as item 7)

Rapid Re-Housing - Housing Relocation and Stabilization Services,

- 1) Annual Action Plan Priority: E – Homeless Assistance
- 2) *Services include:*
 - a. *Financial Assistance Costs:*
 - i. Security Deposits – In accordance with the Arizona Tenant Landlord Act the program will pay up to one and a half of the monthly rent burden.
 - ii. Utility Deposits – Program will work to leverage other federal and local funds to assist with utility deposits.
 - iii. Utility Payments – Program will work to leverage other federal and local funds to assist with utility payments.
 - iv. Moving costs – to include the hiring of a moving company.
 - b. *Services Costs:*
 - i. Assistance of housing for compliance with ESG requirements for habitability, lead-based paint (housing inspections).
- 3) Standard Objective Category: Suitable living environment
- 4) Anticipated Start Date: 7/1/2012 Anticipated Completion Date 6/30/2013
- 5) ESG funding Amount: \$48,000
- 6) Performance Indicator:
 - a. Homeless Families: 16 clients will be assisted with Housing Relocation and Stabilization services in support of obtaining more permanent housing.
 - b. Homeless Veterans (VASH) and Chronically Homeless individuals (H3) : 94 chronically homeless individuals and/or homeless veterans will be will be assisted with Housing Relocation and Stabilization services in support of obtaining more permanent housing.
- 7) Projected One Year Accomplishments:

- a. Formalize referral partnerships to mainstream service providers to include employment and training providers and community action programs.
- 8) Same as item 7)

Homelessness Prevention – Medium Term Tenant Based Rental Assistance

- 1) Annual Action Plan Priority: E – Homeless Assistance
- 2) Provision of up to six months of rental assistance and/or arrears for eligible clients meeting the “at risk of homelessness” definition.
- 3) Standard Objective Category: Suitable living environment
Outcome Category: Availability/Accessibility
- 4) Anticipated Start Date: 7/1/2012 Anticipated Completion Date 6/30/2013
- 5) ESG funding Amount: \$155,615
- 6) Performance Indicators:
 - a. Assist 28 homeless families and/or individuals with eviction prevention tenant based rental assistance.
- 7) Projected One Year Accomplishments:
 - a. Develop incoming referral partnerships with employment/job training service providers.
 - b. Develop referral partnerships with the local Community Action program and other mainstream service providers.
 - c. Successfully assist 75% of program participants regain stability in current permanent housing or move into other permanent housing.
 - d. Increased assets through savings for 75% of the clients served at program exit.
- 9) Same as item 7)

Homelessness Prevention - Housing Relocation and Stabilization Services

- 1) Annual Action Plan Priority: E – Homeless Assistance
- 2) Services include:
 - a. Financial Assistance Costs:
 - i. Security Deposits – In accordance with the Arizona Tenant Landlord Act the program will pay up to one and a half of the monthly rent burden.
 - ii. Utility Deposits – Program will work to leverage other federal and local funds to assist with utility deposits.
 - iii. Utility Payments – Program will work to leverage other federal and local funds to assist with utility payments.
 - b. Services Costs:
 - i. Assistance of the city Housing Department for compliance with ESG requirements for habitability, lead-based paint (housing inspections).

- 3) Standard Objective Category: Suitable living environment
- 4) Anticipated Start Date: 7/1/2012 Anticipated Completion Date 6/30/2013
- 5) ESG funding Amount: \$13,125
- 6) Performance Indicator:
 - a. 28 homeless families and/or individuals will be assisted with Housing Relocation and Stabilization services in support of achieving stability in housing.
- 7) Projected One Year Accomplishments:
 - a. Develop incoming referral partnerships with employment/job training service providers.
 - b. Develop referral partnerships with the local Community Action program and other mainstream service providers.
 - c. Successfully assist 75% of program participants in regaining stability in current permanent housing or move into other permanent housing.
 - d. Increased assets through savings for 75% of the clients served at program exit.
- 8) Same as item 7)

Total ESG expenditures including both the first and second allocations will be compliant with the new Emergency Solutions Grant allocation guidelines. All Human Services Department activities from both first and second allocations address Priority E – Homeless Assistance in the Annual Action Plan which reads:

Promote and participate in a regional continuum of care system which will effectively transition persons who are homeless to appropriate permanent housing settings.

(b) Discussion of Funding Priorities:

The proposed activities will focus on two areas most impacted by the economic decline, which began in 2008 and continues to impact those who are homeless or are under threat of homelessness:

According to the Arizona Department of Economic Security's (DES) 2011 Annual Report on Homelessness, the January 2011 Point-In-Time Survey indicates 19% of the homeless population was reported as chronically homeless. They utilize more than 50% of the funding and homeless resources, such as shelter beds and case management. The population uses significant additional resources, such as emergency rooms, hospital services, incarceration and police intervention. They are also the population most likely to die on the streets. For single adults, more than 20% of the chronically homeless are veterans, compared to 10% of the general population.

Although the Maricopa County Point-In-Time survey indicated local efforts to reduce the number of homeless people who are unsheltered or in Emergency

Shelters appear to be having an impact, demand for transitional shelters continues to remain high with the number of people served remaining constant and near capacity. Factors attributing to the continued demand include continued foreclosure rates among the highest in the nation, significant larger increases in poverty rates compared to the national averages according to U.S. census data and projections indicating the local economy will take longer to recover than most of the nation.

As a result, rapid re-housing activities will focus on serving the most vulnerable chronically homeless, especially those who are veterans and families successfully. Eviction prevention activities will build upon the success of the Homeless Prevention and Rapid Rehousing program (HPRP) by providing clients under an immediate threat of homelessness with medium-term rental assistance and stabilization activities.

These funding priorities not only meet the highest needs within the city of Phoenix, but also directly support a balanced effort to support the four national goals established in HUD's 2010 publication "Opening Doors: Federal Strategic Plan to Prevent and End Homelessness" which are:

- Finish the job of ending chronic homelessness in 5 years
- Prevent and end homelessness among Veterans in 5 years
- Prevent and end homelessness for families, youth, and children in 10 years
- Set a path to ending all types of homelessness

While the proposed activities are intended to maximize the impact of the second ESG allocation and local funding, significant and continued efforts will be needed to address the entirety of underserved needs within the community. Foremost is continued, stable and strategic funding of homelessness prevention and rehousing activities during the local economic recovery. The need for these services is much larger than the resources available to address them in the short term. Moreover, significant progress will need to be made in underlying causes such as economic recovery, housing market stabilization and improved care for veterans returning from ongoing conflicts.

(c) Detailed Budget:

FY 2011 Detailed Budget Table					
First Allocation	\$749,958.00	FY 2011 Emergency Shelter Grants/Emergency Solutions Grants Program Allocations			
Second Allocation	\$421,851.00				
Grant Amount	\$1,171,809.00				
Total Administration	\$87,885.68				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Reprogrammed Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	\$487,463.00	\$0.00		\$487,463.00
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$354,454.00	\$0.00		\$354,454.00
	Essential Services	\$133,009.00	\$0.00		\$133,009.00
	Homelessness Prevention	\$225,000.00	\$0.00		\$225,000.00
	Administration	\$37,495.00	\$0.00		\$37,495.00
	Emergency Shelter Grants Subtotal	\$749,958.00	\$0.00		\$749,958.00
Emergency Solutions Grants Program	Emergency Shelter**			\$0.00	\$0.00
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			\$0.00	\$0.00
	HMIS			\$0.00	\$0.00
	Rapid Re-housing		\$0.00	\$253,111.00	\$253,111.00
	Housing Relocation and Stabilization Services			\$48,000.00	\$48,000.00
	Tenant-Based Rental Assistance			\$205,111.00	\$205,111.00
	Project-Based Rental Assistance				\$0.00
	Homelessness Prevention		\$0.00	\$168,740.00	\$168,740.00
	Housing Relocation and Stabilization Services			\$13,125.00	\$13,125
	Tenant-Based Rental Assistance			\$155,615.00	\$155,615
	Project-Based Rental Assistance				\$0.00
	Administration			\$0.00	\$0.00
	Emergency Solutions Grants Subtotal		\$0.00	\$421,851.00	\$421,851.00
		Total Grant Amount:			\$1,171,809.00

**Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than the expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).

6. Written Standards for Provision of ESG Assistance (24CFR 91.220(l)(4)(i) and 576.400(e)(1&3))

(a.) Policies and Procedures for Evaluating Families' and Individuals' Eligibility for Emergency Solutions Grant funding:

Emergency Shelter – Individuals and families who are homeless and living in shelters and for the operation of emergency shelters.

Rapid Re-Housing – Individuals and families who are literally homeless.

Homelessness Prevention – Individuals and families who are at imminent risk, or at-risk of homelessness (per ESG definition) and have an income at or below 30% of AMI

Existing Human Services Department policies, procedures and/or contract terms and conditions will be used to assure compliance with ESG eligibility standards. Included in these policies and procedures are criteria for recordkeeping (24 CFR 576.500 b,c,d,e) and program definitions (24 CFR 576.2). The new homelessness documentation definitions are already being incorporated in the established policies and procedures in anticipation of funding approval. Existing HPRP policies and procedures have been adopted/modified to meet ESG criteria and regulations and to assure consistent and fair application of the eligibility criteria.

Written policies and procedures for assuring ESG eligibility compliance are required during the procurement and resulting contracts for any contracted services provided by subrecipients including recordkeeping (24 CFR 576.500 b,c,d,e) and program definitions (24 CFR 576.2)..

(b.) Policies and Procedures for Coordinating with Community Providers:

Coordination of policies and procedures for homeless assistance programs listed in 24 CFR 576.400 (b & c) is primarily achieved through the Human Services Department's active participation in the regional MAG CoC . The MAG CoC has been actively participating in planning exercises including the creation of a specific action plan and assessment to assure compliance with the HEARTH and USICH Federal Strategic Goals.

A sampling of community providers and programs already in development for city of Phoenix ESG recipients includes:

WIA/Employment partners – Identifying clients who are at risk of homelessness who are engaged in employment case managed services
– HUD Strategic Plan Sub Goal 3c: Utilize HUD assistance to increase economic security and self-sufficiency; #2 Improve access to job opportunities through information sharing; coordination with federal, state, and local programs; and other means and #3 Increase access to job training, career services and work support through coordination with federal, state, and local programs.

LIHEAP – utilizing LIHEAP to cover utility deposits and address energy burdens. HUD Strategic Plan Sub goal 3D: Utilize HUD assistance to improve housing stability through supportive services for vulnerable populations, including the elderly, people with disabilities, homeless people, and those individuals and families at risk of becoming homeless

CSBG – utilizing CSBG funds to provide supportive (employment) services HUD Strategic Plan Sub goal 3D: Utilize HUD assistance to improve housing stability through supportive services for vulnerable populations, including the elderly, people with disabilities, homeless people, and those individuals and families at risk of becoming homeless

HEAD Start – provide referrals to age appropriate children – HUD Strategic Plan Sub goal 3A: Utilize HUD assistance to improve educational outcomes and early learning and development #2 Increase access to high-quality early learning programs and services through incentives and coordination with federal, state, and local programs

Arizona Department of Health Services – smoking cessation program – HUD Strategic Plan item 3b: Utilize HUD assistance to improve health outcomes; #4 Promote housing management practices that protect the health of residents (for example smoking cessation)

Local Financial Literacy partners – HUD Strategic Plan Sub goal 3C Utilize HUD assistance to increase economic security and self-sufficiency; #1 Support wealth creation and asset building through programs that enable families to build assets and increase financial literacy

VITA Services to include a focus on EITC and Child Tax Credits

Homeless / Housing Service Providers – Develop formal relationships with the following potential partners (MOU's) for incoming and outgoing referrals; Arizona Coalition to End Homeless-H3, Veterans Administration- VASH, City of Phoenix Housing Department-Section 8 / VASH / Public Housing and City of Phoenix funded providers including Chicanos Por La Causa, Chrysalis, Native American Connection Inc., St.Vincent De Paul, Tumbleweed and UMOM.

(c.) Policies and Procedures for Prioritizing Receipt of Homelessness Prevention Assistance and Rapid Re-housing Assistance:

Rapid Re-Housing

COP will focus on providing Rapid Re-housing Services to those clients who meet the Category 1 definition of Homeless by targeting chronically homeless individuals participating in the H3 program, chronically homeless veterans participating in the VASH program, and homeless families. Priority will be given to H3 and VASH as staff and dollar capacity will allow. Priority will be given to participants who are working poor (30% of AMI) or are participating in job training that will be completed within 30 days of the program application. Clients must have children 5 years or younger.

Eviction Prevention

COP will focus on providing Eviction Prevention Services to those clients who meet the Category 1 definition of At Risk of Homelessness by targeting clients who are engaged in WIA services. Priority will be given to WIA participants who are working poor (30% of AMI) or re currently participating in job training or have completed job training and are participating in a job search; these activities must be completed within 30 days of the program application. Clients must have children 5 years or younger

(d.) Standards for Determining Amount of Rent and Utilities That Will Be paid by Program Participants, if any:

RENT- Rapid Re-Housing

H3 / VASH – clients will obtain 100% deposit assistance (rent) to secure more permanent housing. Homeless families must obtain and use personal bank accounts within the first or second month of being in the program; during this time 100% of rental assistance will be provided through the program. At the third month, the client will be responsible for contributing 30% of their monthly income (using Section 8's calculation sheet) into a bank account (checking and/or savings). This requirement may be implemented sooner or later based on caseworker discretion. This program requirement is intended to assist clients in sustaining housing once program participation ends.

RENT - Eviction Prevention

Clients must obtain and use personal bank accounts with the first or second month of being in the program. During this time, 100% rent assistance will be provided by the program. At month 3, clients will be responsible for contributing 30% of monthly income (using Section 8's calculation sheet) into a bank account (checking and/or savings). This requirement may be implemented sooner or later based on caseworker discretion. This program requirement is intended to assist clients in sustaining housing once program participation ends.

UTILITIES- Rapid Re-Housing

H3 / VASH clients will be eligible to obtain 100% deposit assistance (utility) to secure more permanent housing. Clients must obtain and use personal bank accounts within the first or second month of being in the program; during this time 100% utility assistance will be provided through the program. By month (payment) 3, client will be responsible for 100% of utility burden. This requirement may be implemented sooner or later based on caseworker discretion. The intent of this program requirement is to assist clients to sustain housing once program participation ends

UTILITIES - Eviction Prevention

Clients must obtain and use personal bank accounts within the first or second month of being in the program; during this time 100% utility assistance will be provided through the program. By month (payment) 3, client will be responsible for 100% of utility burden. This requirement may be implemented sooner or later based on caseworker discretion. The intent of this program requirement is to assist clients to sustain housing once program participation ends

(e.) Standards for Determining Length of Program Participation Will Receive Rental Assistance and How the Amount of Assistance Will be Adjusted Over Time:

ESG program scope will exclude current HPRP clients and previous HPRP clients for a period of 3 years from date of HPRP program exit.

Rapid Re-Housing:

H3/ VASH clients will receive one time deposit payments needed to secure other permanent housing solutions such as VASH and Section 8. Re-housing families will receive up to 6 months of assistance based on assessed need and program capacity.

Eviction Prevention:

WIA clients will receive up to 6 months of assistance based on assessed need and program capacity.

(f.) Standards for Determining Type, Amount and Duration of Housing Stabilization and/or Relocation Services to Program Participants, Including Limits of Assistance:

Eviction Prevention/ Rapid Re-Housing

- **Financial Assistance costs**

The following costs will be covered: security deposits, utility deposits, utility arrears and moving costs for H3/VASH participants. The following costs will not be covered: rental application fees, rental arrears and last month's rent.

- **Services Costs**

The following costs will be covered: Housing search and placement and housing inspections. The following costs will not be covered: housing stability case management, mediation, legal services and credit repair.

7. Making Sub-awards

Following the City's procurement policy and procedures, ESG funds are allocated to homeless services providers through a request for proposal process. The applicants are requested to submit information including a detailed program narrative statement and a budget specifying how and what activities the funds are to be spent. In the end, only those applicants who can demonstrate the highest ability to meet the criteria described in the proposal will be funded.

8. Homeless Participation Requirement

The advisory body of the city of Phoenix Human Services Department is the Human Services Commission which exercises the power and duties accorded it by the City Council in relation to the Human Services Department. The power and duties of the Human Service Commission includes recommending the approval of applications for programs carried out under federal, state and other grants.

Under the bylaws of the Human Services Commission members are appointed within three categories. First, one third (9 seats) shall be elected officials or their representatives. Second, one third (9 seats) shall be chosen by a democratic selection procedure to represent the poor in the area served. Finally, one third of the members (9 seats) shall be officials, members of public agencies, business, industry, labor, religious, welfare, education, or other private groups and interests in the community.

The Human Services Department will encourage qualifying homeless, or formerly homeless individuals, to apply for commission appointments through the Office of the Mayor or seek election through the democratic selection procedure for the representatives of the poor. Further, the department will advise the Office of the Mayor on the current and anticipated status of a homeless or formerly homeless individual's representation on the Human Services Commission in accordance with §576.405(b).

9. Performance Standards

The City of Phoenix Human Services Department is an active member of Maricopa Association of Governors (MAG) Continuum of Care Committee (CoC) on Homelessness. The committee has developed a performance measurement structure to determine the effectiveness of homeless providers in the region. The system is comprised of goals, indicators, and targets which are used to evaluate how the provider has assisted families and individuals in

their transition to permanent housing and towards achieving self-sufficiency. System measures are customized to meet the goals for specific programs, such as Permanent Housing, Transitional Housing, and Emergency Shelter.

The following are primary performance goals identified by the CoC to reduce homelessness:

- a) Reduce the length of homeless episodes
- b) Reduce new and return entries into homelessness
- c) Increase jobs, income, and self-sufficiency

The City of Phoenix Human Services Department's ESG program is designed to be in alignment with the CoC performance standards. In addition, the department will continue to work with the CoC to develop and refine performance measures for the ESG program in coordination with other homeless assistance programs to meet the program performance measures detailed in Section 427 of the McKinney-Vento Act as amended by the HEARTH Act.

10. Certifications

CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about -
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official Date

Title

ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

Major rehabilitation/conversion – If an emergency shelter’s rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the jurisdiction will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the jurisdiction serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The jurisdiction will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

Matching Funds – The jurisdiction will obtain matching amounts required under 24 CFR 576.201.

Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement – To the maximum extent practicable, the jurisdiction will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

Consolidated Plan – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction’s consolidated plan.

Discharge Policy – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from

publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Signature/Authorized Official _____ Date _____

Title _____

DRAFT

11. Local Governments and Territories – Policies

(a) Program/Participant Admission, Diversion, Referral and Discharge:

The Phoenix 2012 ESG program will utilize formal policies and procedures to effectively evaluate program participant referrals. Similar to the previous HPRP process utilized, participant referrals will be evaluated for appropriateness and participants admitted to the program will be required to adhere to case plans. A formal closure or discharge process will be utilized, providing clients with formal notice of lack of case plan adherence and/or pending program discharge, as well as successful/unsuccessful case closure.

(b) Program Assessment, Prioritization, Reassessment of Participant Need for Essential Services Related to Emergency Shelter:

The second allocation of ESG funds will focus on Re-housing and Prevention, not Emergency Shelter. Emergency Shelter will be handled by other Human Services programs and funds.

12. Requirements for Risk of Homelessness Definition

A formal adherence process for the new Risk of Homelessness definition has been established and will be implemented July 1, 2012. This process provides for the accurate assessment and documentation of client homeless status.

13. Requirements for Optional Changes

(a) Centralized or Coordinated Assessment System:

The MAG CoC is committed to developing a centralized assessment and

intake process for homeless providers in Maricopa county, including the city of Phoenix. HUD has funded the MAG CoC Community Technical Assistance Plan; a plan focused on developing a coordinated system for assessment and intake of homeless housing needs in Maricopa County. The TA provider, 'The Collaborative Partnership', will work with members of the CoC to develop a Community CoC Action Plan to reflect three specific outcomes as follows:

1. A coordinated/centralized intake/assessment process will increase the likelihood families and individuals will be served by the right intervention more quickly than they are currently being served. Each system entry point will use the same assessment tool and make decisions on which program families and individuals are referred, based on a comprehensive understanding of each program's specific requirements, target population and available beds and services.
2. Transitional housing will target populations who will benefit most from the service-rich environment that transitional housing provides. Transitional housing programs will more efficiently serve individuals and families.
3. The CoC governing body will be more responsive to stakeholder needs and concerns. The CoC will be more knowledgeable about Fair Housing issues.

(b) Monitoring:

Existing monitoring procedures are sufficient to monitor for new ESG requirements.