



# Fifth Program Year CAPER

The CPMP Fourth Consolidated Annual Performance and Evaluation Report includes Narrative Responses to CAPER questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning Regulations. The Executive Summary narratives are optional.

The grantee must submit an updated Financial Summary Report (PR26).

## GENERAL

### Executive Summary

This module is optional but encouraged. If you choose to complete it, provide a brief overview that includes major initiatives and highlights that were proposed and executed throughout the first year.

Program Year 5 CAPER Executive Summary response:

**The Consolidated Annual Performance and Evaluation Report (CAPER) discusses the City of Surprise's development objectives and how the City of Surprise has been able to successfully implement programs and projects to address those objectives during the 2014 -2015 program year.**

**The City of Surprise was awarded \$541,946 in Community Development Block Grant (CDBG) funds to allocate to projects for the PY2014 -2015 (July 1, 2014 – June 30, 2015). This is the fifth and final year of the current Consolidated Plan demonstrating the implementation methods used for the funding the City received directly from HUD. The CDBG program was designed to primarily assist low-and moderate income individuals by providing affordable housing, by revitalizing neighborhoods, and by creating employment opportunities through economic development.**

**At the beginning of each fiscal year (FY) the City prepares an Annual Action Plan that informs HUD and citizens what goals and objectives the City intends to meet with CDBG and other funds during that upcoming year. At the end of the fiscal year, the City prepares a Consolidated Annual Performance Evaluation Report (CAPER) to illustrate the actual accomplishments achieved during that year. The CAPER allows HUD, local officials and citizens to assess the use of available resources and to assess the efforts made to achieve the goals and objectives identified in the City's Consolidated Plan and Annual Action Plan.**

**The City of Surprise also receives HOME funds as part of the Maricopa HOME Consortium. Members of the Consortium include Maricopa County, Avondale, Glendale, Tempe, Scottsdale, Chandler, Gilbert, and Peoria. Maricopa County Community Development serves as the lead agency for the Consortium that reports on both HOME and ADDI. See Consortium CAPER for HOME and ADDI funds.**

It is required that this report be available for review for a minimum of 15 days. The review period was August 20, 2015 – September 8, 2014. The CAPER will be submitted to HUD following this review period and acceptance by the City's Planning and Zoning Commission.

Public services and public facilities were identified again as the City of Surprise's highest priority in the Annual Action Plan developed for PY2014 – 2015. Therefore the project selected to receive PY2014 -2015 were public services and street improvements.

The original goals in the Consolidated Plan were to develop viable communities by providing decent housing and a suitable living environment, and to expand economic opportunities principally for low and moderate income persons. Each year, funds are set aside to meet program goals outlined in the Consolidated Plan. Again housing and public services were identified as the goals for year three.

## General Questions

1. Assessment of the one-year goals and objectives:
  - a. Describe the accomplishments in attaining the goals and objectives for the reporting period.
  - b. Provide a breakdown of the CPD formula grant funds spent on grant activities for each goal and objective.
  - c. If applicable, explain why progress was not made towards meeting the goals and objectives.

Performance for this grant is tracked against three national objectives. This performance measurement system allows the federal government to measure the impact of HUD grants on communities. Below is the chart that illustrates the framework of the performance measurements.

The Performance Measurements System has three overarching objectives. (1) Creating Suitable Living Environments, (2) Providing Decent Affordable Housing, and (3) Creating Economic Opportunities. There are also three outcomes under each objective: (1) Availability / Accessibility, (2) Affordability, and (3) Sustainability. Thus, the three objectives, each having three possible outcomes, will produce nine outcomes/objective statements in HUD Integrated Disbursement and Information System (IDIS) by entering data in the form of output indicators. The below chart illustrates the Outcome framework making links between Objectives, Outcomes and the 9 Outcomes Statements.

	Outcome #1 Availability/Accessibility	Outcome #2 Affordability	Outcome #3 Sustainability
Objective #1 Suitable Living Environment	Enhance <u>Suitable Living Environment</u> Through Improved/New <u>Accessibility</u>	Enhance <u>Suitable Living Environment</u> Through Improved/New <u>Affordability</u>	Enhance <u>Suitable Living Environment</u> Through Improved/New <u>Sustainability</u>
Objective #2 Decent Housing	Create <u>Decent Housing</u> with Improved/New <u>Availability</u>	Create <u>Decent Housing</u> with Improved/New <u>Affordability</u>	Create <u>Decent Housing</u> with Improved/New <u>Sustainability</u>
Objective #3 Economic Opportunity	Provide <u>Economic Opportunity</u> Through Improved/New <u>Accessibility</u>	Provide <u>Economic Opportunity</u> Through Improved/New <u>Affordability</u>	Provide <u>Economic Opportunity</u> Through Improved/New <u>Sustainability</u>

The activity selected for implementation in the fourth year Annual Action Plan was:

**Project 1: – Emergency Housing Repair (minor)**

The City allocated \$245,847 to Emergency Housing Rehabilitation (in rollover funds). Under the program, repairs included plumbing, electrical, heating, cooling and accessibility modifications.

As of the end of PY 2014-2015, the city completed emergency minor rehabilitation on **17** owner-occupied homes.

Budgeted: \$325,634.00

Expended: \$164,230.87

Total Draw Amount: \$ 164,230.87

The budgeted amount included \$325,634 in prior year roll-over.

**Project 2: Public Services**

The Consolidated Plan 2010-2014 identified the need for a suitable living environment. Various city leaders, along with public input determined that the City of Surprise would invest up to 15% of its 2014-2015 CDBG award (\$76,827) to area Non-Profit Organizations (NPOs) who have demonstrated leadership and consistency with their programmatic offerings through a City Council approved competitive application process.

Awardees for 2014-2015 included St. Mary’s Food Bank (\$20,000), Benevilla (\$14,269), Central AZ Shelter Services (CASS \$8,000) and Az Bride to Independent Living (ABIL \$34,558). Under their contract, Benevilla provided adult and child day care, home delivered meals. St. Mary’s Food Bank Alliance provided Emergency Food Boxes to income qualified Surprise residents, and CASS provided emergency shelter for Surprise residents and ABIL provided handicap modifications.

Budgeted: \$119,306

**Expended: \$99,307.2**

**Total Draw Amount: \$99,307.20**

**The budgeted amount includes prior year roll-over that is already encumbered for previous awards.**

2. Describe the manner in which the recipient would change its program as a result of its experiences.

**Projects are reviewed each year by the Planning and Zoning Commission then recommended to the City Council for approval. Priorities are reviewed to make adjustments in programs and projects that are necessary for meeting the established goals in the Consolidated Plan. If adjustments need to be made we can address it at this level. If during the program year a priority need becomes higher than previously established it can be amended in the Consolidated Plan and can be implemented in the Annual Action Plan.**

**Since the creation of the Consolidated Plan and the First Year Action Plan the City has learned a lot about HUD regulations and the CDBG programming. While still considered new to the program our learning curve has improved with each training and program year. Training has been a key element of our success with implementing the CDBG program.**

3. Affirmatively Furthering Fair Housing:
  - a. Provide a summary of impediments to fair housing choice.
  - b. Identify actions taken to overcome effects of impediments identified.

**Fair Housing is a concern to the City of Surprise. The Analysis of Impediments (AI) to Fair Housing was completed in May 2012 with general funds. The analysis identified barriers to fair housing choice, to prevent and address discriminatory housing practices based on race, color, national origin, sex, religion, disability and familial status. The City of Surprise is implementing a plan to address impediments found in the study.**

**Presented below is a chart of a brief description of actions from the A.I. concerns.**

<b>IMPEDIMENT TO BE ADDRESSED</b>	<b>GOAL</b>	<b>STRATEGY TO MEET THE GOAL</b>	<b>RESPONSIBLE ENTITIES ASSIGNED TO MEET GOALS</b>	<b>PROPOSED INVESTMENT</b>	<b>PERFORMANCE MEASURE</b>
Lack of diversity in many Census Tracts	Opportunities for diverse populations to choose places to live throughout the community	Engage the real estate community in increasing opportunities for greater diversity in neighborhoods.  Become a	Fair Housing Coordinator, 2014	Staff time	Number of meetings initiated  <i>Proclaim Fair Housing month</i>

IMPEDIMENT TO BE ADDRESSED	GOAL	STRATEGY TO MEET THE GOAL	RESPONSIBLE ENTITIES ASSIGNED TO MEET GOALS	PROPOSED INVESTMENT	PERFORMANCE MEASURE
		participant in the Arizona Fair Housing Partnership.	Fair Housing Coordinator, 2014		Number of meetings attended
High denial rates for Black/African Americans in CT 405.11	Equal access to credit and mortgages throughout the community	Engage the services of one of the fair housing services to provide paired test to assess whether minorities are treated with different terms and conditions.	Neighborhood Services.	\$10,000	Number of tests performed. <i>Snapshot of classified test results</i>
Lack of affordable rental housing has a disproportionate impact on single female heads of households with children.	Opportunities for parents who become single to find places to live in the community.	Develop an IGA with the Housing Authority of Maricopa County to formalize the operating relationship with the agency.  Seek additional resources to facilitate development of affordable rental housing.	Community Development, within the next 18 months.  Community Development	Staff time  Indirect, in that funding would actually come from other sources.	IGA executed  Additional affordable units constructed for families.
Lack of knowledge about fair housing rights and how to file a fair housing complaint.	An increase in people's knowledge of fair housing rights.	Facilitate and/or participate in fair housing training for City staff, real estate professionals and citizens.	Fair Housing Coordinator	Staff time and incidental costs related to speakers and sessions.	Presented (2) sessions 2013-2014
Lack of fair housing infrastructure required as part of the CDBG Certification to Affirmatively Further Fair Housing.	Compliance with the CDBG Certification to Affirmatively Further Fair Housing	Modify the Fair Housing page on the City website to access directly HUD and the Attorney General's fair housing web sites.  Develop a data base that can be used by both the Fair Housing Coordinator and the ADA	Neighborhood Services and the City's web manager  Fair Housing Coordinator and ADA Coordinator.	Staff time	<i>New information available</i>  <i>A new useable database Update throughout the 2013-2014 Grant year.</i>

IMPEDIMENT TO BE ADDRESSED	GOAL	STRATEGY TO MEET THE GOAL	RESPONSIBLE ENTITIES ASSIGNED TO MEET GOALS	PROPOSED INVESTMENT	PERFORMANCE MEASURE
		<p>Coordinator to record, identify and track resolution when fair housing complaints and inquiries come to the City.</p> <p>Develop a grievance procedure for Section 504 complaints. Such a procedure may also be used for other types of complaints related to federal grants administration.</p> <p>Update the AI periodically as new information is available from the Census or other sources which makes an update appropriate.</p>	<p>Fair Housing Coordinator and City Attorney</p> <p>Community Development</p>		<p>A formal administrative grievance procedure</p> <p>Periodic updates to the AI: The most recent update to the AI was completed in May of 2012. The document is still considered to be timely.</p>

**The City continues to engage in activities in which will help overcome the effects of the listed impediments.**

4. Describe Other Actions in Strategic Plan or Action Plan taken to address obstacles to meeting underserved needs.

**City programs help remove obstacles in meeting the needs of the underserved residents. We try to utilize as many resources and funding sources as possible.**

**Another obstacle present in meeting the needs of the underserved listed within the Action Plan is the lack of private financial resources for housing rehabilitation and homebuyer assistance. The City continues to research and identify available resources as lack of funding is a continued issue. The City will continue utilizing HOME funds for homeowner assistance activities.**

5. Leveraging Resources
  - a. Identify progress in obtaining "other" public and private resources to address needs.
  - b. How Federal resources from HUD leveraged other public and private resources.
  - c. How matching requirements were satisfied.

**There are no match requirements applied to CDBG funds. However, the City of Surprise makes every effort to ensure that funds are being used efficiently and assure leveraging of resources whenever possible.**

**See Maricopa County Consortium CAPER for HOME match funds.**

## **Managing the Process**

1. Describe actions taken during the last year to ensure compliance with program and comprehensive planning requirements.

Program Year 5 CAPER Managing the Process response:

**To date all activities are within acceptable limits for timeliness. Over the past year, the CDBG Grants Coordinator has corresponded with representatives of the project to ensure compliance. The project coordinator is required to submit monthly progress reports that are reviewed to certify that projects are moving forward. These reports are also completed as an effort to communicate any current obstacles or predict any future obstacles. These reports have proven to be very effective in ensuring that goals outlined in the Annual Action Plan are met.**

**Overall the City has been pleased with the progress of CDBG funded programs and the ability to meet the anticipated goals. The goals accomplished directly address the needs and objectives in the Consolidated Plan and Action Plan. The emergency housing rehabilitation program continues to assist income qualified residents at a continuous pace, and the City feels that all timelines for this program will be met.**

**This is the Surprise's eighth year as an entitlement community under the Community Development Block Grant (CDBG) program. At the same time, the City of Surprise had become eligible to receive a direct allocation of HOME/ADDI funds under an intergovernmental agreement with Maricopa County and other valley cities that surround Phoenix. Maricopa County Community Development serves as the lead agency for the Maricopa HOME Consortium.**

## **Citizen Participation**

1. Provide a summary of citizen comments.
2. In addition, the performance report provided to citizens must identify the Federal funds made available for furthering the objectives of the Consolidated Plan. For each formula grant program, the grantee shall identify the total amount of funds available (including estimated program income), the total amount of funds committed during the reporting period, the total amount expended during the reporting period, and the geographic distribution and location of expenditures. Jurisdictions are encouraged to include maps in describing the geographic distribution and location of investment (including areas of minority

concentration). The geographic distribution and expenditure requirement may also be satisfied by specifying the census tracts where expenditures were concentrated.

Program Year 5 CAPER Citizen Participation response:

**An integral component of the development of the Consolidated Annual Performance and Evaluation Report (CAPER) is providing citizens with an opportunity to review and comment on the CAPER. A public notice announcing the public review and comment period for the CAPER will be published in the Daily News Sun the week of August 20, 2014.**

***Pending***

Listed below is the Public Notice that was run in the local newspaper and was made available on the website for public review of the CAPER.

**Public Notice and Opportunity to Comment on 2014 – 2015 CAPER**

The draft of the 2014 – 2015 Program Year Consolidated Annual Performance and Evaluation Report (CAPER) will be released for a 15 day public comment period, running from August 20 to September 8, 2015. The CAPER serves as an annual report outlining the year's accomplishments for the City of Surprise, the Community Development Block Grant Program (CDBG) which is funded by the U.S. Department of Housing and Urban Development (HUD). This report covers the period from July 1, 2014 – June 30, 2015 in which the City of Surprise received \$541,946 in CDBG funds to carry out the goals and objectives as set forth in the Consolidated Plan and Annual Action Plan.

**Public Comments**

Draft copies of the proposed FY 2014 – 2015 CAPER are available for review from August 20, 2015 to September 8, 2015 at the following city locations (City department office hours are 8:00 A.M. to 5:00P.M., Monday through Friday)

Community Senior Center 15832 N Hollyhock Street, Surprise, AZ 85374

Surprise City Hall 16000 N Civic Center Plaza, Surprise, AZ 85374

Library 15844 N Hollyhock Street, Surprise, AZ 85374

(Library hours are 1:00 P.M. – 5:00 P.M. Tuesday and Thursday)

Northwest Regional Library 16089 N. Bullard Ave, Surprise AZ 85374

(Library hours are 9:00 A.M. – 8:00 P.M. Monday – Thursday; Friday – Sunday 9 A.M. – 5 P.M.)

The following reports are herein included by reference and are electronically available to the Department of Housing and Urban Development through IDIS, HUD's Integrated Disbursement and Information System.

**Summary of Accomplishments Report (CO4PR23)**

1. Consolidated Annual Performance and Evaluation Report (CO4PRO6)
2. Status of HOME Grants (CO4PR27)N/A
3. Status of HOME Activities (CO4PR22) N/A

4. Status of CHDO Funds (CO4PR25) N/A
5. CDBG Financial Summary Report
6. CDBG Summary of Activities (CO4PR03)
7. CDBG Rehabilitation Activities (CO4PR10) N/A
8. ESG Program for Grantee Statistics (CO4PR19) N/A
9. ESG Activity Summary Report (CO4PR20) N/A
10. ESG Financial Summary (CO4PR12) N/A
11. HOPWA Reporting (Not Applicable)
12. Federal Entitlement Grant Funding (CO4PR01)
13. List of Activities (COPR02)
14. Grantee Summary Activity Report (CO4PR08)
15. Drawdown Voucher Report (CO4PR07)

Comments regarding the 2014 – 2015 Fifth Program Year CAPER should be directed to Alicia Rubio, Neighborhood Services Coordinator, City of Surprise, Community Development Department - Neighborhood Services Division. Please call Alicia Rubio at 623.222.3240 or TDD 623.222.1002 for submittal procedure.

Written comments must be received by the City of Surprise, Community Development Department no later than 4pm, on September 8, 2015. At the close of the 15 day comment period, comments received will be reviewed and summarized in the final CAPER before submittal to HUD.

Documents are available for review and can be made available in alternate formats. Please call Alicia Rubio at 623.222.3240 or TDD 623.222.1002 forty-eight hours prior to make reasonable accommodations to have the CAPER in an alternate format upon request.

For additional information or to comment, contact Alicia Rubio at Community Development - Neighborhood Services Division at 623.222.3240.

**Mailing address**

City of Surprise, Community Development Dept., 16000 N Civic Center Plaza  
Surprise, AZ 85374

See attached for Map of CDBG Target area

## **Institutional Structure**

1. Describe actions taken during the last year to overcome gaps in institutional structures and enhance coordination.

Program Year 5 CAPER Institutional Structure response:

**Improve institutional structure and enhance coordination.**

It is a priority with the City of Surprise to emphasize a team approach to problem solving and places a high priority on developing partnerships, especially in this fourth year of entitlement where the City of Surprise needs these partnerships for assistance in administering the grant.

As described in the Strategic Plan, the “institutional structure” is the overall community delivery system for dealing with housing and community development needs. This important step needs to continue to from the first step on in order to maintain development of institutional structure. This

was required to establish the City of Surprise as a direct administrator of CDBG funds. The duties included:

- a. Staff training in
  - i. Environmental Review
  - ii. HUD's Integrated Disbursement and Information System (IDIS)
  - iii. Program compliance, particularly
    1. Procurement and
    2. Labor Standards
  - iv. Performance measurement
  - v. Fair housing planning and reporting
  - vi. The Consolidated Annual Performance and Evaluation Report (CAPER).
- b. Refinement of the process for the development of the Annual Action Plan:
  - i. The Community Development staff will develop an application process that mirrors the City's procurement process so that applications presented in the Citizens Participation Process will
    1. respond to identified needs
    2. be publicly evaluated in consideration of
      - a. eligibility
      - b. priority
      - c. experience and
      - d. capacity, and
    3. Be approved by City Council to implement the Annual Action Plan.
  - ii. The Surprise Revitalization Advisory Board will monitor the application process and advise the City Council on the allocation of HUD funds available.
- c. Coordination among City departments in administration and delivery of funded activities including:
  - i. Procurement,
  - ii. Labor standards,
  - iii. Accounting,
  - iv. Drawdown, and
  - v. Single Audit.
- d. Participation in the Maricopa HOME Consortium.
- e. Formalizing the relationship between the Housing Authority of Maricopa County and the City.

This is an ongoing process and the City of Surprise would like to continue the growth as a new entitlement.

## **Monitoring**

1. Describe how and the frequency with which you monitored your activities.

The Grants Coordinator uses monthly progress updates submitted in house for the funded project to identify any problems or potential issues. Contact with each project manager also assists in ensuring that projects are progressing, following appropriate regulations and utilizing CDBG funds efficiently and effectively.

2. Describe the results of your monitoring including any improvements.

**The City of Surprise has been monitored by the Consortium for HOME funds; a standard monitoring guide is followed. If any findings, concerns, or suggestions are identified, the City is diligent in eliminating issues that could impact the grant. Surprise continually seeks technical assistance to ensure a clean monitoring.**

3. Self Evaluation

- a. Describe the effect programs have in solving neighborhood and community problems.
- b. Describe progress in meeting priority needs and specific objectives and help make community's vision of the future a reality.
- c. Describe how you provided decent housing and a suitable living environment and expanded economic opportunity principally for low and moderate-income persons.
- d. Indicate any activities falling behind schedule.
- e. Describe how activities and strategies made an impact on identified needs.
- f. Identify indicators that would best describe the results.
- g. Identify barriers that had a negative impact on fulfilling the strategies and overall vision.
- h. Identify whether major goals are on target and discuss reasons for those that are not on target.
- i. Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.

Program Year 5 CAPER monitoring response:

**Self Evaluation:**

**The goal of the City of Surprise is to develop programs as identified in the Consolidated Plan. The Plan outlines the need to build viable communities by providing decent housing, a suitable living environment, and economic opportunities for low- and moderate – income individuals. See objectives and outcomes measurements.**

**The HOME program has helped improve the housing stock which in turn has assisted with revitalization within the Original Townsite.**

**All of the funding has been spent in the target area where there is a majority of low and moderate income residents. Lack of funding has always had a negative impact but the City continues to use all resources available.**

**Our intent in these actions is to ensure that our project has access to resources and technical assistance in order to make a positive impact in our community and that the CDBG funding reaches its highest potential level.**

**Lead-based Paint**

1. Describe actions taken during the last year to evaluate and reduce lead-based paint hazards.

**No Action taken on lead base paint- not applicable to infrastructure project**

The U.S. Dept of Housing and Urban Development (HUD) has regulations to protect children from hazards of lead –based paint in federally funded projects. HUD continues to provide training for compliance with these regulations. Staff has attended training and is currently in compliance with these regulations. In addition, the City of Surprise continues to provide required notice and information to all program participants of the hazards posed by lead paint. All pre-1978 housing units are tested for lead content prior to any rehabilitation program assistance.

***Lead-based Paint***

- a. Reduction of lead hazards in paint will be accomplished in one of two ways:
  - i. Houses built before 1978 that are being rehabilitated with CDBG or HOME assistance will be tested for lead in painted surfaces prior to rehabilitation. If lead is present, the lead will be abated through removal or encapsulation as part of the rehabilitation contract.
  - ii. Rental units built before 1978 that are being assisted with Housing Choice Vouchers will be inspected by the Housing Authority of Maricopa County for chipped or peeling paint prior to assisted occupancy.
  - iii. Public Housing units owned by the Housing Authority of Maricopa County have already been abated and were re-verified as lead-free in 2001.
- b. Actual numbers of units that had an impact during the year will remain at 0.

**HOUSING**

**Housing Needs**

\*Please also refer to the Housing Needs Table in the Needs.xls workbook.

- 1. Describe Actions taken during the last year to foster and maintain affordable housing.

Program Year 5 CAPER Housing Needs response:

**See Consortium HOME CAPER  
CDBG project is emergency housing rehabilitation**

**Specific Housing Objectives**

- 1. Evaluate progress in meeting specific objective of providing affordable housing, including the number of extremely low-income, low-income, and moderate-income renter and owner households comparing actual accomplishments with proposed goals during the reporting period.
- 2. Evaluate progress in providing affordable housing that meets the Section 215 definition of affordable housing for rental and owner households comparing actual accomplishments with proposed goals during the reporting period.

3. Describe efforts to address “worst-case” housing needs and housing needs of persons with disabilities.

Program Year 5 CAPER Specific Housing Objectives response:

**Neighborhood Services has begun and completed reconstruction on 2 owner-occupied homes. We are in the process of reconstructing an additional home.**

**See Consortium HOME CAPER**

## **Public Housing Strategy**

1. Describe actions taken during the last year to improve public housing and resident initiatives.

Program Year 5 CAPER Public Housing Strategy response:

**At this time, emergency housing rehabilitation has been the highest priority in the Consolidated Plan. We have not begun negotiation of an IGA agreement with the Housing Authority of Maricopa.**

## **Barriers to Affordable Housing**

1. Describe actions taken during the last year to eliminate barriers to affordable housing.

Program Year 5 CAPER Barriers to Affordable Housing response:

### ***Barriers to Affordable Housing***

1. **During this next year, the following actions contributed to the removal of barriers to affordable housing:**
  - a. **Surprise has utilized CDBG funds and will continue to utilize the funds for Emergency Housing Rehabilitation.**
  - b. **Surprise has dedicate resources to preservation and development:**
    - i. **The City’s allocation of HOME funds to major rehabilitation.**
    - ii. **General revenues to minor rehabilitation.**
  - c. **Habitat for Humanity has begun construction and completed over half of its 48 homes. Surprise has considered land swap/donation as an option to add affordability to residential development.**

## **HOME/ American Dream Down Payment Initiative (ADDI)**

1. Assessment of Relationship of HOME Funds to Goals and Objectives
  - a. Evaluate progress made toward meeting goals for providing affordable housing using HOME funds, including the number and types of households served.

2. HOME Match Report
  - a. Use HOME Match Report HUD-40107-A to report on match contributions for the period covered by the Consolidated Plan program year.
3. HOME MBE and WBE Report
  - a. Use Part III of HUD Form 40107 to report contracts and subcontracts with Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs).
4. Assessments
  - a. Detail results of on-site inspections of rental housing.
  - b. Describe the HOME jurisdiction's affirmative marketing actions.
  - c. Describe outreach to minority and women owned businesses.

Program Year 5 CAPER HOME/ADDI response:

***HOME***

**This section is addressed in the Maricopa HOME Consortium Consolidated Plan 2010/2014. Maricopa County serves as the *Lead Agency* for the Maricopa HOME Consortium. The Consortium Consolidated Plan establishes the Strategy and Action Plan for housing activity for the Consortium and, most specifically, the use of HOME funding as the resources for the implementation of that Plan. As mentioned previously, that Consortium Consolidated Plan is incorporated by reference in this plan.**

**The policies of the Consortium regarding affirmative marketing, and outreach to minority and women's business enterprises were adopted with the Consolidated Plan. The Consortium has also adopted the Section 3 notice for all 2013 projects. Each member of the Consortium is monitored for compliance with the policies as a part of the peer review.**

## HOMELESS

### Homeless Needs

\*Please also refer to the Homeless Needs Table in the Needs.xls workbook.

1. Identify actions taken to address needs of homeless persons.
2. Identify actions to help homeless persons make the transition to permanent housing and independent living.
3. Identify new Federal resources obtained from Homeless SuperNOFA.

Program Year 5 CAPER Homeless Needs response:

***Specific Homeless Prevention Elements***

Surprise will continue participation in the MAG Continuum of Care Homeless Committee and in that participation addresses the needs of homelessness and chronic homelessness as noted in the Four-Year Strategic Plan. In addition, Surprise has funded emergency prevention of homelessness from its general fund. Funding allocations for the Year are described in the table below.

**Specific Homeless Prevention Elements**

1. Identify actions taken to prevent homelessness.

Program Year 5 CAPER Specific Housing Prevention Elements response:

**None**

**Emergency Shelter Grants (ESG)**

1. Identify actions to address emergency shelter and transitional housing needs of homeless individuals and families (including significant subpopulations such as those living on the streets).
2. Assessment of Relationship of ESG Funds to Goals and Objectives
  - a. Evaluate progress made in using ESG funds to address homeless and homeless prevention needs, goals, and specific objectives established in the Consolidated Plan.
  - b. Detail how ESG projects are related to implementation of comprehensive homeless planning strategy, including the number and types of individuals and persons in households served with ESG funds.
3. Matching Resources
  - a. Provide specific sources and amounts of new funding used to meet match as required by 42 USC 11375(a)(1), including cash resources, grants, and staff salaries, as well as in-kind contributions such as the value of a building or lease, donated materials, or volunteer time.
4. State Method of Distribution
  - a. States must describe their method of distribution and how it rated and selected its local government agencies and private nonprofit organizations acting as subrecipients.
5. Activity and Beneficiary Data
  - a. Completion of attached Emergency Shelter Grant Program Performance Chart or other reports showing ESGP expenditures by type of activity. Also describe any problems in collecting, reporting, and evaluating the reliability of this information.
  - b. Homeless Discharge Coordination
    - i. As part of the government developing and implementing a homeless discharge coordination policy, ESG homeless prevention funds may be used to assist very-low income individuals and families at risk of becoming homeless after being released from publicly funded institutions such as

health care facilities, foster care or other youth facilities, or corrections institutions or programs.

- c. Explain how your government is instituting a homeless discharge coordination policy, and how ESG homeless prevention funds are being used in this effort.

Program Year 5 CAPER ESG response:

**The City of Surprise receives no ESG funding.**

## COMMUNITY DEVELOPMENT

### Community Development

\*Please also refer to the Community Development Table in the Needs.xls workbook.

1. Assessment of Relationship of CDBG Funds to Goals and Objectives
  - a. Assess use of CDBG funds in relation to the priorities, needs, goals, and specific objectives in the Consolidated Plan, particularly the highest priority activities.
  - b. Evaluate progress made toward meeting goals for providing affordable housing using CDBG funds, including the number and types of households served.
  - c. Indicate the extent to which CDBG funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.
2. Changes in Program Objectives
  - a. Identify the nature of and the reasons for any changes in program objectives and how the jurisdiction would change its program as a result of its experiences.
3. Assessment of Efforts in Carrying Out Planned Actions
  - a. Indicate how grantee pursued all resources indicated in the Consolidated Plan.
  - b. Indicate how grantee provided certifications of consistency in a fair and impartial manner.
  - c. Indicate how grantee did not hinder Consolidated Plan implementation by action or willful inaction.
4. For Funds Not Used for National Objectives
  - a. Indicate how use of CDBG funds did not meet national objectives.
  - b. Indicate how did not comply with overall benefit certification.
5. Anti-displacement and Relocation – for activities that involve acquisition, rehabilitation or demolition of occupied real property
  - a. Describe steps actually taken to minimize the amount of displacement resulting from the CDBG-assisted activities.
  - b. Describe steps taken to identify households, businesses, farms or nonprofit organizations who occupied properties subject to the Uniform Relocation Act or Section 104(d) of the Housing and Community Development Act of 1974, as amended, and whether or not they were displaced, and the nature of their needs and preferences.
  - c. Describe steps taken to ensure the timely issuance of information notices to displaced households, businesses, farms, or nonprofit organizations.

6. Low/Mod Job Activities – for economic development activities undertaken where jobs were made available but not taken by low- or moderate-income persons
  - a. Describe actions taken by grantee and businesses to ensure first consideration was or will be given to low/mod persons.
  - b. List by job title of all the permanent jobs created/retained and those that were made available to low/mod persons.
  - c. If any of jobs claimed as being available to low/mod persons require special skill, work experience, or education, provide a description of steps being taken or that will be taken to provide such skills, experience, or education.
7. Low/Mod Limited Clientele Activities – for activities not falling within one of the categories of presumed limited clientele low and moderate income benefit
  - a. Describe how the nature, location, or other information demonstrates the activities benefit a limited clientele at least 51% of whom are low- and moderate-income.
8. Program income received
  - a. Detail the amount of program income reported that was returned to each individual revolving fund, e.g., housing rehabilitation, economic development, or other type of revolving fund.
  - b. Detail the amount repaid on each float-funded activity.
  - c. Detail all other loan repayments broken down by the categories of housing rehabilitation, economic development, or other.
  - d. Detail the amount of income received from the sale of property by parcel.
9. Prior period adjustments – where reimbursement was made this reporting period for expenditures (made in previous reporting periods) that have been disallowed, provide the following information:
  - a. The activity name and number as shown in IDIS;
  - b. The program year(s) in which the expenditure(s) for the disallowed activity(ies) was reported;
  - c. The amount returned to line-of-credit or program account; and
  - d. Total amount to be reimbursed and the time period over which the reimbursement is to be made, if the reimbursement is made with multi-year payments.
10. Loans and other receivables
  - a. List the principal balance for each float-funded activity outstanding as of the end of the reporting period and the date(s) by which the funds are expected to be received.
  - b. List the total number of other loans outstanding and the principal balance owed as of the end of the reporting period.
  - c. List separately the total number of outstanding loans that are deferred or forgivable, the principal balance owed as of the end of the reporting period, and the terms of the deferral or forgiveness.
  - d. Detail the total number and amount of loans made with CDBG funds that have gone into default and for which the balance was forgiven or written off during the reporting period.
  - e. Provide a List of the parcels of property owned by the grantee or its subrecipients that have been acquired or improved using CDBG funds and that are available for sale as of the end of the reporting period.

11. Lump sum agreements
  - a. Provide the name of the financial institution.
  - b. Provide the date the funds were deposited.
  - c. Provide the date the use of funds commenced.
  - d. Provide the percentage of funds disbursed within 180 days of deposit in the institution.
12. Housing Rehabilitation – for each type of rehabilitation program for which projects/units were reported as completed during the program year
  - a. Identify the type of program and number of projects/units completed for each program.
  - b. Provide the total CDBG funds involved in the program.
  - c. Detail other public and private funds involved in the project.
13. Neighborhood Revitalization Strategies – for grantees that have HUD-approved neighborhood revitalization strategies
  - a. Describe progress against benchmarks for the program year. For grantees with Federally-designated EZs or ECs that received HUD approval for a neighborhood revitalization strategy, reports that are required as part of the EZ/EC process shall suffice for purposes of reporting progress.

Program Year 5 CAPER Community Development response:

**CDBG funds were allocated in the form of rollover funds in PY 14-15 for Emergency Housing Rehabilitation (\$245,847). Under the program, repairs included plumbing, electrical, heating, cooling and accessibility modifications on owner occupied homes of income qualified individuals. A total of 17 projects were completed.**

**For the fifth year in a row, the Community and Economic Development Department solicited proposal for the Public Service Grants. Applications were awarded for \$76,827. Four organizations were awarded after all grants were individually scored, gave presentations on their individual application in front of the Planning and Zoning Commission during a public hearing, after which awardees were recommended and approved by Council.**

**All project submitted documents that are consistent with the City of Surprise CDBG policies which reflect federal regulations and guidelines. The City of Surprise uses the Consolidated Plan as a guide in implementing projects that utilize CDBG funding. There was no action or willful inaction to hinder the implementation of the Consolidated Plan.**

**No funds were used on projects that did not meet a national objective. No projects involved acquisition, rehabilitation, or demolition of occupied real property.**

**No project involved economic development activities.**

**There were no low / mod limited clientele activities.**

**Program income was received from NSP funding in the program year. NSP program income received for 2013-2014 \$666,618 during the program year.**

**No expenditures were made and subsequently deemed disallowable.**

**No loans were granted during this program year while completing the designated infrastructure projects.**

**No lump sum agreements were made during the program year.**

**There were no housing rehabilitation projects; see Consortium CAPER.**

**The City of Surprise does not have a HUD approved neighborhood revitalization strategy.**

## **Antipoverty Strategy**

1. Describe actions taken during the last year to reduce the number of persons living below the poverty level.

Program Year 5 CAPER Antipoverty Strategy response:

### ***Antipoverty Strategy***

**All activities noted in the Strategic Plan to help people move out of poverty have been ongoing and has continued from year one. These include:**

- **Title V employment program and**
- **the County Workforce Connections;**
- **Financial Fitness**
- **Earned income tax credit counseling**

## **NON-HOMELESS SPECIAL NEEDS**

### **Non-homeless Special Needs**

\*Please also refer to the Non-homeless Special Needs Table in the Needs.xls workbook.

1. Identify actions taken to address special needs of persons that are not homeless but require supportive housing, (including persons with HIV/AIDS and their families).

Program Year 5 CAPER Non-homeless Special Needs response:

**None other than those listed in the Maricopa County HOME Consortium CAPER**

### **Specific HOPWA Objectives**

\*Please also refer to the HOPWA Table in the Needs.xls workbook.

1. Overall Assessment of Relationship of HOPWA Funds to Goals and Objectives  
Grantees should demonstrate through the CAPER and related IDIS reports the progress they are making at accomplishing identified goals and objectives with HOPWA funding. Grantees should demonstrate:
  - a. That progress is being made toward meeting the HOPWA goal for providing affordable housing using HOPWA funds and other resources for persons with HIV/AIDS and their families through a comprehensive community plan;
  - b. That community-wide HIV/AIDS housing strategies are meeting HUD's national goal of increasing the availability of decent, safe, and affordable housing for low-income persons living with HIV/AIDS;
  - c. That community partnerships between State and local governments and community-based non-profits are creating models and innovative strategies

- to serve the housing and related supportive service needs of persons living with HIV/AIDS and their families;
- d. That through community-wide strategies Federal, State, local, and other resources are matched with HOPWA funding to create comprehensive housing strategies;
  - e. That community strategies produce and support actual units of housing for persons living with HIV/AIDS; and finally,
  - f. That community strategies identify and supply related supportive services in conjunction with housing to ensure the needs of persons living with HIV/AIDS and their families are met.
2. This should be accomplished by providing an executive summary (1-5 pages) that includes:
- a. Grantee Narrative
    - i. Grantee and Community Overview
      - (1) A brief description of your organization, the area of service, the name of each project sponsor and a broad overview of the range/type of housing activities and related services
      - (2) How grant management oversight of project sponsor activities is conducted and how project sponsors are selected
      - (3) A description of the local jurisdiction, its need, and the estimated number of persons living with HIV/AIDS
      - (4) A brief description of the planning and public consultations involved in the use of HOPWA funds including reference to any appropriate planning document or advisory body
      - (5) What other resources were used in conjunction with HOPWA funded activities, including cash resources and in-kind contributions, such as the value of services or materials provided by volunteers or by other individuals or organizations
      - (6) Collaborative efforts with related programs including coordination and planning with clients, advocates, Ryan White CARE Act planning bodies, AIDS Drug Assistance Programs, homeless assistance programs, or other efforts that assist persons living with HIV/AIDS and their families.
    - ii. Project Accomplishment Overview
      - (1) A brief summary of all housing activities broken down by three types: emergency or short-term rent, mortgage or utility payments to prevent homelessness; rental assistance; facility based housing, including development cost, operating cost for those facilities and community residences
      - (2) The number of units of housing which have been created through acquisition, rehabilitation, or new construction since 1993 with any HOPWA funds
      - (3) A brief description of any unique supportive service or other service delivery models or efforts
      - (4) Any other accomplishments recognized in your community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.
    - iii. Barriers or Trends Overview
      - (1) Describe any barriers encountered, actions in response to barriers, and recommendations for program improvement

- (2) Trends you expect your community to face in meeting the needs of persons with HIV/AIDS, and
  - (3) Any other information you feel may be important as you look at providing services to persons with HIV/AIDS in the next 5-10 years
- b. Accomplishment Data
- i. Completion of CAPER Performance Chart 1 of Actual Performance in the provision of housing (Table II-1 to be submitted with CAPER).
  - ii. Completion of CAPER Performance Chart 2 of Comparison to Planned Housing Actions (Table II-2 to be submitted with CAPER).

Program Year 5 CAPER Specific HOPWA Objectives response:

**The City of Surprise receives no HOPWA funding.**

## OTHER NARRATIVE

Include any CAPER information that was not covered by narratives in any other section.

Program Year 5 CAPER Other Narrative response: **None**