

CITY OF SURPRISE
Regular City Council Meeting
16000 N. Civic Center Plaza
Surprise, AZ 85374
Tuesday, May 19, 2020 @ 6:00 PM
COUNCIL CHAMBERS

Amended agenda May 15, 2020 at 12:20 PM - added item #15



NOTICE: In an effort to protect health and safety of city employees, residents, and visitors, the Council Chambers will be closed to the public during this meeting. The public may access the meeting by viewing a live stream or broadcast of the meeting. To watch live, please visit www.surpriseaz.gov/surprisetv, the Surprise City Gov Facebook page at www.facebook.com/cityofsurprise. Cox channel 11 and Century Link channel 8513 will also carry the meeting live.

For instructions on how to comment on agenda items and public hearings, please go to <https://bit.ly/3asyowo>

A. Call To Order

Any prayer or invocation that may be offered before the start of the Regular Council Meeting is a voluntary offering by a private resident of Surprise; has not been previously reviewed or approved by City Council or City staff; should not be considered an endorsement of any particular religion by the City or its officials, as the beliefs, viewpoint, and content are personal to the speaker; and no participation by any person in attendance is required. A list of volunteers is maintained by the office of the City Clerk and interested persons should contact the Clerk's Office for further information.

B. Roll Call

C. Pledge of Allegiance

D. Proclamation and Community Acknowledgements

National Public Works Week

E. City Manager Report

F. City Clerk Report

G. Call To The Public

INSTRUCTIONS: In order to address the City Council, you will need to fill out a Call to the Public Form available at the front counter, and then turn it in to the City Clerk before the meeting begins.

[Download the Call to the Public form](#) (PDF download requires Adobe Acrobat Reader)

[Fill out the Call to the Public form online](#) If submitting form electronically, please submit to City Clerk at least one hour before the meeting start time.

The Call to the Public form is also available at the front counter.

Note: A.R.S. 38-431.01(H)- During this time members of the public may address City Council only on issues within the jurisdiction of the City Council which are not an item on the agenda. At the conclusion of the open call, City Council may respond to criticism, may ask staff to review the matter or may ask that the matter be put on a future agenda. No discussion or action shall take place on any item raised.

Approval of items on the Consent Agenda – all items with an asterisk (*) are considered to be routine matters and will be enacted by one motion and one roll call vote to the City Council. There will be no separate discussion on these items unless a Councilmember requests, in which event the item will be removed from the consent agenda and considered in its normal sequence on the agenda.

Please be aware that Council Members may not discuss or respond to matters raised during call to the public that are not specifically identified on the agenda. Council Members may however, in their discretion, discuss or respond to relevant matters raised during a noticed public hearing or agenda item.

H. Regular City Council Meeting Agenda

CONSENT AGENDA:

- | | | | |
|----|----------|--|---|
| 1. | Citywide | Consideration and action on the minutes of May 5, 2020 Regular City Council Meeting. | None

Sherry Aguilar
City Clerk |
| 2. | Internal | Consideration and action to amend the Health Benefit Trust Fund Agreement and FY2020 Comprehensive Financial Management Policies; Resolution #2020-51. | None

Andrea Davis
Finance |
| 3. | Internal | Consideration and action pertaining to approval of an amendment of the Fiscal Year 2020 Budget by reallocating appropriations of \$382,400 from Contingency within the Grants Fund to the Neighborhood Revitalization Fund, Project G51681; to accept funding from the Department of Housing and Urban Development in response to COVID-19, and amending the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000 by adding the COVID-19 CDBG-CV Response Item in the amount of \$382,400; Resolution 2020-47. | None

Seth Dyson
Human Svcs and
Comm Vitality |

- | | | | |
|----|----------|---|---|
| 4. | Internal | Consideration and action pertaining to approval of an amendment to the Fiscal Year 2020 budget by reallocating appropriations within the grants fund and Capital and Operating List of Items over \$50,000 by increasing the Congregate Meal item to \$156,400; and authorizing the city to accept additional grant funding in the amount of \$21,400 for the Congregate Meal Program; Resolution #2020-62. | None

Seth Dyson
Human Svcs and
Comm Vitality |
| 5. | Internal | Consideration and action pertaining to approval of Amendment Number 4 to the Intergovernmental Agreement with Maricopa County to Continue to provide Community Action Program Services; Resolution #2020-49. | None

Seth Dyson
Human Svcs and
Comm Vitality |
| 6. | Internal | Consideration and action approving the FY2021 Public Safety Personnel Retirement System Pension Funding Policy; Resolution #2020-50. | None

Andrea Davis
Finance |
| 7. | Internal | Consideration and action approving the Budget Amendment Policies and Procedures; Resolution #2020-52. | None

Andrea Davis
Finance |
| 8. | Internal | Consideration and action approving amendments to the FY2021 Comprehensive Financial Management Policies; Resolution #2020-53. | None

Andrea Davis
Finance |

REGULAR AGENDA ITEM - PUBLIC HEARING:

- | | | | |
|-----|------------|---|--|
| 9. | Citywide | Consideration and action pertaining to approval of the 2020-2024 Five-Year Consolidated Plan, Analysis of Impediments to Fair Housing Choice, and the Program Year 2020 Annual Action Plan. | None

Adam Lane
Human Svcs and
Comm Vitality |
| 10. | Internal | Consideration and action pertaining to approval of an amendment to the Community Development Block Grant Program Year 2019 Annual Action Plan. | None

Adam Lane
Human Svcs and
Comm Vitality |
| 11. | District 4 | Consideration and action pertaining to approval of a rezoning of approximately 71.91 acres of property generally located 400 feet south of the southwest corner of Bell Road and 115th Avenue from Residential Ranch (RR) and Community Commercial (CC) to Community Commercial (CC); Ordinance #2020-15. | None

Hobart Wingard
Community
Development |

REGULAR AGENDA ITEM - NON-PUBLIC HEARING:

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|-----|----------|--|---|
| 12. | Citywide | Consideration and action pertaining to approval of an amendment to the Comprehensive Citywide Fee Schedule, Resolution #2020-44. | None

Donna Miller
Parks and
Recreation |
|-----|----------|--|---|

- | | | | |
|-----|------------|---|--|
| 13. | District 1 | Consideration and action pertaining to approval of an annexation of a portion of Pinnacle Peak Rd, east of N 163rd Ave; Ordinance # 2020-10. | None

Joshua Mike
Community
Development |
| 14. | District 1 | Consideration and action pertaining to approval of the Preliminary Plat entitled, "Austin Ranch MDR – Phase 1" and dated March 12, 2020, an approximately 66.89 acre property generally located on the western corner of Deer Valley Road and 172nd Avenue. | None

Hobart Wingard
Community
Development |
| 15. | Internal | Presentation and discussion pertaining to the FY2020 Financial Status Report through March 2020. | None

Andrea Davis
Finance |
- I. Other Business and Future Agenda Items
- J. City Council Reports
- K. Executive Session

For information Purposes; Upon a public majority vote of a quorum of the City Council, the Council may hold an executive session, which will not be open to the public, but for only the following purposes:

- discussion or consideration of personnel matters (A.R.S. §38-431.03 (A)(1));
- discussion or consideration of records exempt by law from public inspection (A.R.S. §38-401.03 (A)(2));
- discussion or consultation for legal advice with the city's attorneys (A.R.S. §38-431.03 (A)(3));
- discussion or consultation with the city's attorneys regarding the city's position regarding contracts that are the subject of negotiations, in pending or contemplated litigation, or in settlement discussions conducted in order to avoid or resolve litigation (A.R.S. §38-431.03 (a)(4));
- discussion or consultation with designated representatives of the city in order to consider its position and instruct its representatives regarding negotiations with employee organizations (A.R.S. §38-431.03 (A)(5)); or
- discussion, consultation or consideration for international and interstate negotiations or for negotiations by a city or town, or its designated representatives, with members of a tribal council, or its designated representatives, of an Indian reservation located within or adjacent to the city or town. A.R.S. §38-401.03 (A)(6)).
- discussing or consulting with designated representatives of the city in order to consider its position and instruct its representatives regarding negotiations for the purchase, sale or lease of real property (A.R.S. §38-431.03 (A)(7)).

Confidentiality Requirements Pursuant to A.R.S. §38-431.03(C)(D): Any person receiving executive session information pursuant to A.R.S. §38-431.02 shall not disclose that information except to the Attorney General or County Attorney by agreement of the City Council, or as otherwise ordered by a court of competent jurisdiction.

The council may vote to hold an executive session for the purpose of obtaining legal advice from the Board's attorney on any matter listed on the agenda pursuant to A.R.S. § 38-431.03(A)(3).

L. Adjournment

SHERRY ANN AGUILAR, CITY CLERK, MMC

POSTED: May 14, 2020 @ 10:05 AM

Amended agenda May 15, 2020 at 12:20 PM - added item #15

SPECIAL NOTE: PERSONS WITH SPECIAL ACCESSIBILITY NEEDS, INCLUDING LARGE PRINT MATERIALS OR INTERPRETER, SHOULD CONTACT THE CITY CLERK'S OFFICE @ 623.222.1200 OR TTY 623.222.1002, BY NO LATER THAN 24 HOURS IN ADVANCE OF THE REGULAR SCHEDULED MEETING TIME.



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020
Submitting Department: City Clerk
Staff Recommendations:

Contact Person:
District: Internal

Consent: No Regular: No Public Hearing: No Report/Discussion: No

Agenda Wording:

Invocation

Motion:

Background:

Objective Analysis:

Policy Compliant:

Financial Impact:

Budget Impact:

FTE Impact:

ATTACHMENTS:



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020
Submitting Department: Mayor and Council
Staff Recommendations:

Contact Person:
District: Citywide

Consent: No Regular: No Public Hearing: No Report/Discussion: No

Agenda Wording:

National Public Works Week

Motion:

Background:

Objective Analysis:

Policy Compliant:

Financial Impact:

Budget Impact:

FTE Impact:

ATTACHMENTS:



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020
Submitting Department: City Clerk
Staff Recommendations: None

Contact Person: Sherry Aguilar, City Clerk
District: Citywide

Consent: Yes Regular: No Public Hearing: No Report/Discussion: No

Agenda Wording:

Consideration and action on the minutes of May 5, 2020 Regular City Council Meeting.

Motion:

I move to approve the meeting minutes.

Background:

Objective Analysis:

Policy Compliant:

Financial Impact:

Budget Impact:

FTE Impact:

ATTACHMENTS:

1. May 5 REG
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CITY OF SURPRISE
Regular City Council Meeting Minutes
16000 North Civic Center Plaza
Surprise, AZ 85374

Tuesday, May 5, 2020 @ 6:00PM

Call To Order

Invocation

Moment of Silence

Roll Call

Mayor Hall called to order the Regular City Council Meeting of May 5, 2020 at 6:00 PM at Surprise City Hall Council Chambers, 16000 N Civic Center Plaza, Surprise, Arizona 85374. Also in attendance with Mayor Hall were Vice Mayor Judd, Council Members; Winters, Hayden, Duffy, Sanders and Remley.

Staff Present: City Manager, Michael Frazier; City Attorney, Robert Wingo and City Clerk, Sherry Ann Aguilar.

Pledge of Allegiance

Proclamation and Community Acknowledgements

National Day of Prayer Proclamation

City Manager Report

1. Reports

City Clerk Report

1. Reports

Call To The Public

Regular City Council Meeting Agenda

CONSENT AGENDA:

Vice Mayor Judd made the motion to approve the consent agenda excluding items 3 and 6. Council Member Sanders seconded the motion. Seven yes votes, motion carried.

1. Consideration and action pertaining to approval of an amendment to the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000 by increasing the AZ Municipal Risk Retention Pool premium line item by \$55,000; Resolution # 2020-45 - APPROVED

2. Consideration and action on the minutes of the Regular City Council Work Session and Regular City Council Meeting of April 21, 2020 - APPROVED

3. Consideration and action to approve a request by Jeffrey Craig Miller (Agent) for a Series 07 (Beer & Wine Bar) liquor license for Player 1 Arcade located at 17239 N. Litchfield Road, Ste. 60, Surprise, AZ 85374. - APPROVED WITH STIPULATION

Council Member Remley removed this item from consent. He inquired about their business hours.

City Clerk Aguilar explained that they are going to serve beer and wine after 5 PM to 21 and older during those hours.

Council member Remley - what is the necessity of remaining open until 2 AM, to play video games?

Mr. Ehlers via telephone - reported on their business model and business hours.

Council Member Remley - any other locations in the valley?

City Clerk Aguilar - Love to Play on Reems and Bell.

Mr. Ehlers - one in Gilbert that just opened

Council Member Remley what is the necessity of staying open until 2 AM?

Mr. Ehlers - reviewed the hours and stated that at this time they are planning on closing at midnight.

Council Member Remley - I'm confused about the LLC and who the real owners are. Any experience serving alcohol?

Mr. Ehlers - Kevin Miller and are half owner both have had alcohol training

Council Member Remley made the motion to approve the request by Jeffrey Craig Miller (Agent) for a Series 07 (Beer & Wine Bar) liquor license for Player 1 Arcade located at 17239 N. Litchfield Road, Ste. 60, Surprise, AZ 85374 with the stipulation not to stay open past midnight. Council Member Hayden seconded the motion. Four yes votes, three no votes (Judd, Sanders and Duffy), motion carried.

City Attorney Wingo clarified and stated: you are making a recommendation. The Liquor Board is not bound by the stipulation that they close at midnight. I'm sure the Liquor Board will consider that recommendation but I don't believe they will legally have to follow it.

4. Consideration and action pertaining to approval of a Final Plat entitled, W Ranch and dated February 26, 2020, an approximately 10.65 acre property generally located 3,000 feet west of the intersection of Litchfield and Waddell Roads - APPROVED

5. Consideration and action pertaining to the approval of the Final Plat entitled, Civic Center Plaza and dated April 4, 2020, an approximately 132.5 acre property generally bounded by Bell Road on the north, Greenway Road on the south, Litchfield Road on the east, and Bullard Avenue on the west - APPROVED

6. Consideration and action pertaining to approval of the Final Plat entitled, "Surprise Farms Villas" and dated January 22, 2020, an approximately 36.66 acre property generally located south of Bell Road and west of 175th Avenue, in the Surprise Farms PAD - APPROVED

Item #6 was removed by Council Member Winters.

Council Member Winters asked Mr. Abrams to give some highlights of Surprise Farms Villas.

Mr. Abrams gave a brief report.

Council Member Winters - is that similar to Christopher Todd?

Mr. Abrams - yes.

Council Member Winters made the motion to approve Final Plat entitled, Civic Center Plaza and dated April 4, 2020, an approximately 132.5 acre property generally bounded by Bell Road on the north, Greenway Road on the south, Litchfield Road on the east, and Bullard Avenue on the west. Council Member Hayden seconded the motion. Seven yes votes, motion carried.

7. Consideration and action pertaining to conditional acceptance of the streets and public utility improvements at Austin Ranch West Parcel 5, generally located at N. 187th Avenue and W. Carlota Lane; Resolution # 2020-38 - APPROVED

8. Consideration and action pertaining to conditional acceptance of the public utility improvements at Toll at Prasada Phase 1 Unit 3, generally located at W. Cactus Road and N. Cotton Lane; Resolution # 2020-41 - APPROVED

9. Consideration and action pertaining to approval of the Final Plat entitled, "Rosiles Land Division and dated February 19, 2020, an approximately 2.23 acre property generally located west of the 169th Avenue alignment and south of Dale Lane - APPROVED

10. Consideration and action declaring the intent to enlarge an existing lighting improvement district known as, "City of Surprise, Arizona SU-Prasada Phase 2A 192" pursuant to A.R.S. Â§ 48-616 for the purpose of purchasing facilities and energy for lighting the public streets and parks; Resolution # 2020-42 - APPROVED

REGULAR AGENDA ITEM - PUBLIC HEARING:

11. Consideration and action pertaining to approval of the rezoning of 285.2 acres of the 637.4-acre Sycamore Farms Planned Area Development (PAD) from Community Commercial (CC-PAD), Low Density Residential (LDR-PAD), and Medium Density Residential (MDR-PAD) to zoning including all of those zones with the addition of Medium High Density Residential (MHDR-PAD) with modification of land uses and development standards, generally located on the northwest corner of Peoria and Sarival Avenues; Ordinance # 2020-13 - APPROVED

City Planner, Hobart Wingard reported on this item.

Council Member Sanders - History of the park and are there any other plans?

Mr. Wingard - reported on a 50 acre park

Council Member Duffy - Just zoning not the plat, correct.

Mr. Wingard - that's correct.

No public comments were made.

Council Member Duffy made the motion to approve Ordinance 2020-13. Council Member Sanders seconded the motion. Seven yes votes, motion carried.

12. Consideration and action pertaining to approval of the rezoning of 19.92 acres from Residential Ranch (RR) to Residential Medium Density (RM-9) with a Planned Unit Development (PUD) Overlay, generally located on the northeast corner of the Happy Valley Road and 151st Avenue alignments; Ordinance # 2020-11 - APPROVED

Council Member Winters asked if the developer has agreed to take care of 151st Avenue?

Council Member Winters made the motion to approve Ordinance 2020-11. Council Member Hayden seconded the motion. Seven yes votes, motion carried.

REGULAR AGENDA ITEM - NON-PUBLIC HEARING:

13. Consideration and action adopting the tentative expenditure limitation budget for FY2021 and directing publication of said tentative budget; Resolution # 2020-43 - APPROVED

Andrea Davis and Holly Osborn gave a powerpoint presentation on this item.

Council Member Duffy - Do you know when the county is setting the property tax values?

Council Member Remley - I am really troubled with this year's proposed budget, we fear what we don't know and that is this year. We are putting a lot of faith into staff on the budget. Never would I think there would be 30 million people apply for unemployment. We don't know if we are going to have second wave of COVID19, I feel insecure this year and we are putting a lot of faith in staff.

Mayor Hall - it is tough to predict what the future holds, we don't know what the numbers are yet for March and April, we won't know this for a while. We need to go through this together and staff's feedback is critical.

14. Presentation and discussion of recommended amendments to the Surprise Municipal Code pertaining to parking near crosswalks and school zones – NO ACTION

Harold Brady gave a powerpoint presentation on this item.

15. Consideration and action pertaining to approval of an amendment to the Surprise Municipal Code to include a "resign to run" provision in City boards and commissions bylaws.; Ordinance 2020-17 - APPROVED

Mayor Hall commented that he asked for this item to be added to the agenda and asked City Attorney Wingo to explain the amendments.

Vice Mayor Judd - What if someone is seeking appointment to a vacant council position, when would they have to resign?

City Clerk read the statement submitted by Susan Dejong for the record.

Council Member Winters asked for clarification on the section for member removal.

Council Member Winters made the motion to approve Ordinance 2020-17. Council Member Remley seconded the motion. Six yes votes, one no vote (Sanders), motion carried.

Other Business and Future Agenda Items

City Council Reports

Council attended and/or reported on the following:

Council Member Sanders - Webinar last week Westmarc hosted - West Valley is open for business

Council Member Remley - Try to stay safe everyone; today was a happy day, at OTS at Heritage Apartments and display of WHAM mural original art.

Council Member Duffy - Thanked Mayor, Jodi Tas and staff for setting up the webinar with McSally and Governor's office; good webinar.

Council Member Hayden - Be safe and know my thoughts and prayers are with you, wear your masks and protect your selves.

Vice Mayor Judd - Excited that restaurants will be opening up soon, I hope we can all get out there and support our businesses; be courteous and wear a mask when you are out in stores

Mayor Hall - Thanked Jodi Tas who organized the webinar, it takes a lot to get a Senator and Governor's office staff to participate; good questions from our residents. Also thanked Bert in IT for assisting with setup. Veteran's Reflection Circle, won the American Public Works Association Project of the year. 1,942 seniors will graduate this year for Dysart School District.

Executive Session

Adjournment

Council Member Sanders made the motion to adjourn the Regular City Council Meeting of May 5, 2020 at 7:33 PM. Council Member Duffy seconded the motion. Seven yes votes, motion carried.

Skip Hall, Mayor

ATTEST:

Sherry Ann Aguilar, City Clerk, MMC

CERTIFICATION:

I, Sherry Ann Aguilar, City Clerk for the City of Surprise, Maricopa County, Arizona, do hereby verify that these are the true and correct minutes of the Regular City Council Meeting of **Tuesday, May 5, 2020.**

Sherry Ann Aguilar, City Clerk, MMC



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Andrea Davis, DIRECTOR -
FINANCE

Submitting Department: Finance

District: Internal

Staff Recommendations: None

Consent: No

Regular: Yes

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action to amend the Health Benefit Trust Fund Agreement and FY2020 Comprehensive Financial Management Policies; Resolution #2020-51.

Motion:

I move to approve Resolution #2020-51.

Background:

The Health Benefits Trust Fund (HBTF) was established by Ordinance 2010-11 in order to support self-funded insurance programs for the benefit of City employees. A.R.S. § 11-981 allows the City to establish such programs in order to provide for the direct payment, or to use a combination of insurance and direct payment, to provide health, accident, life, and disability benefits to employees. The City Manager, or his/her designee, is responsible for establishing policies and procedures to implement and effectively manage this program. On August 24, 2011, the City of Surprise, as Trustor, approved the Health Benefits Trust Agreement.

As part of the annual budget process, the Finance Department works closely with expert consultants to evaluate historical data and future actuarial projections in order to provide City Council with a recommended appropriation level to meet required reserves and provide financial stability of the Trust. As currently required by the HBTF Agreement, the appropriated contribution amounts are transferred to the HBTF after which time the funds become restricted and can only be used to support activities related to the HBTF. The intent was for the excess funding to build the reserve balance.

The trust has established sufficient reserves and staff is recommending a revision to Article IV of the Health Benefits Trust Agreement to allow the City to deposit on the Trustor contributions necessary to pay the health benefit claims incurred while maintaining the the reserves.

In order to support the change to the Trust Agreement, the FY2020 Comprehensive Financial Management Policies must also be updated.

Objective Analysis:

Evaluate and revise the Health Benefit Trust Fund based on current funding levels.

Policy Compliant:

This action is compliant with City and Council policies.

Financial Impact:

This revision changes the approach in which money is transferred to the trust.

Budget Impact:

This recommendation would not impact the current budget or the FY21 Tentative budget. Budget will continue to be set based on actuarial assumptions and expected claims.

FTE Impact:

This action has no impact on the full-time equivalent count.

ATTACHMENTS:

1. HBTF Agreement Final 04292020
 2. FY2020 Financial Policies final 04282020
 3. FY2020 Financial Policies redline 04282020
 4. Res 2020-51 HBTF Agrmnt and Comprehensive Financial Policies
 5. HBTF Agreement Redline 04292020
-

HEALTH BENEFITS TRUST AGREEMENT

THIS HEALTH BENEFITS TRUST AGREEMENT (the "Trust Agreement") is made as of the ____ day of _____, by THE CITY OF SURPRISE, ARIZONA, as Trustor, and the Surprise Board of Trustees for the benefit of plan participants.

ARTICLE I. GENERAL PROVISIONS

- A. The trust created by this Agreement shall be known as the CITY OF SURPRISE HEALTH BENEFITS TRUST.
- B. The Boards shall conduct business and act on behalf of the Trust in such name.
- C. The Trust may sue or be sued in such name.

ARTICLE II. PURPOSE

The Trust is intended to provide a distinct legal entity into which monies may be contributed by plan participants and the City of Surprise, Arizona, as the participating employer, for the exclusive purpose of administering the self-funded health insurance program created pursuant to Surprise Municipal Code Chapter 4, Claims Management.

ARTICLE III. DEFINITIONS

As used in this Agreement, the following terms shall have the indicated meanings:

"Board" means the initial Board of Trustees, and any individual that becomes a successor trustee pursuant to the Surprise Municipal Code Section 4-5.

"Health Benefits Program" means the program for the provision of health benefits, including medical, dental, vision and wellness, established by the City Manager pursuant to Surprise Municipal Code Chapter 4, Claims Management.

"Plan Participant" means any individual enrolled in the Health Benefits Program.

"Trust" means the Health Benefits Program Trust formed hereby under the laws of the State of Arizona.

ARTICLE IV. DUTIES OF TRUSTOR

The Trustor shall:

- A. Open an account for the assets of the Trust.
- B. Deposit into the Trust Fund Account, all employee premiums for and related to the Health Benefits Program collected by the Trustor, and those budgeted and allocated Trustor

contributions necessary to pay health benefit claims incurred, while maintaining the City's target reserve of 25% of projected expenses.

- C. Provide City staff as necessary to help the Board with the day-to-day operations of the Trust.
- D. Maintain the bond for Boards as required by Arizona Revised Statute 11-981(B)(3) and Municipal Code Section 4-5(c)(3).

ARTICLE V. POWERS AND DUTIES OF THE BOARD

In furtherance of the purpose of the Trust, as set forth in this Trust Agreement, the Board shall:

- A. Observe the standard in dealing with the assets of the Trust that would be observed by a prudent man dealing with the property of another.
- B. Comply with all applicable requirements of local, state and federal law relating to municipal self-insurance programs for the management and administration of employee health care benefits, including but not limited to acquiring stop-loss insurance.
- C. Cause the Trust funds to be maintained by a bank or other financial institution with a Uniform Financial Institutions Ratings System (UFIRS) composite rating of 1, as the Board may reasonably require, consistent with the requirements of this Trust.
- D. Cause the bank or other financial institution that maintains the Trust funds to make available to the Board a daily and a monthly statement, which identifies all Trust transactions made as of the date of the statement (in the case of a daily statement for the preceding business day, or in the case of a monthly statement for the preceding month) including such supporting documentation or detail as the Board or its authorized designee may reasonably request.
- E. Have an annual audit of the Trust administered by the Board, and for such interim audits as the Board deems necessary and appropriate. The cost of any such audit shall be paid by the Fund. Results of any audits shall be provided to the City Council and copies of such audits shall be provided to the City Clerk.
- F. Delegate in writing the power and authority to staff made available by the Trustor to carry out the day-to-day administration of the Trust and to prepare the financial statement for the annual audit required by the State law and provide to such staff all information necessary to prepare such statement in accordance with generally accepted accounting principles, and to otherwise comply with the oversight provisions set forth in this Trust Agreement and the Surprise Municipal Code, or as otherwise required by law.

- G. Engage and oversee competent professionals and other staff to accomplish the purposes of the Trust as set forth in this Trust Agreement, in compliance with local, state or federal law, including professionals to provide accounting and auditing services, financial advisory services, and health care advisory services as the Board deems necessary and appropriate, and to delegate such administrative authority deemed necessary or convenient by the Board.
- H. Provide input and recommendations to the City Council, along with City staff and consultants, regarding Trust funding levels in order to establish and maintain, from contributions or other appropriations, reserves necessary to provide stability and security of the Trust, in accordance with sound actuarial and underwriting principles.
- I. Without further specific action of the Board, disburse or authorize disbursement of moneys from the Trust for any of the following purposes:
 - 1. Payment to Health Benefits Program third party administrators by wire or other transfer to the designated accounts of each such administrator, in accordance with the federal, state and local law and any agreement between the Trustor and such administrator.
 - 2. Payment of money due and owing by reason of contract, bond, benefit plan, policy of insurance (including stop loss insurance), obtained pursuant to the Health Benefit Program or state law.
 - 3. Payment of contributions or premiums due on fidelity, performance, errors and omissions, or other bonds and insurance which the Board is required to maintain.
 - 4. Reasonable and necessary expenses incurred by the Board for such items as travel, meals, lodging, telephone calls, and other out-of-pocket expenses incurred in performing their duties shall be compensated in accordance

Except as specifically provided in this section, Trust funds administered by the Board shall not be disbursed, expended or obligated without express approval of the Board.

- J. Maintain accurate records and accounts of all transactions, consistent with generally accepted accounting practices, which shall be available at all reasonable times for inspection by trustees, and Plan Participants.
- K. Have such other powers and authority necessary to implement all other obligations of the Board under this Trust Agreement, in compliance with local, state or federal law.

- L. Return all assets in the Trust Fund to the Trustor for deposit in its general fund upon dissolution of the Trust Fund as set forth in this Trust Agreement.
- M. Cause all other appropriate actions to be taken in connection with the Trust and this Trust Agreement that is necessary to carry out its obligations hereunder.

ARTICLE VI. INDEMNIFICATION

The Trustor agrees to and does, to the extent permitted by law, hereby indemnify and hold the Board harmless for, from and against any and all claims, expenses, liens, judgments, liability or loss whatsoever, including reasonable legal fees and expenses relating to, or in any way arising in connection with this Trust Agreement and Trust. The right of the Board to indemnification from the Trustor shall not extend to claims, suits and actions successfully brought against the Board for, or losses, liabilities or expenses incurred as a result of, any of the Board's own bad faith, willful misconduct or breach of trust. The Trustor shall give notice to the Board of any event or condition that requires indemnification by the Trustor hereunder, or of any allegation of such event or condition, promptly upon obtaining knowledge thereof. To the extent that the Trustor makes or provides for payment to the satisfaction of the Board under the indemnity provisions hereof, the Trustor shall be subrogated to the rights of the Board with respect to such event or condition and shall have the right to determine the settlement of claims thereon, it being agreed that except to the foregoing extent, the Board shall have the right to determine such settlement. The Trustor shall pay all amounts due hereunder promptly upon notice thereof from the Board. In case any action, suit or proceeding is brought against the Board, by reason of any act or condition which requires indemnification by the Trustor hereunder, the Board shall notify the Trustor promptly of such action, suit or proceeding, and the Board may (and will upon the request of the Board), at the Trustor's expense, resist and defend such action, suit or proceeding, or cause the same to be resisted and defended by counsel designated by the Trustor and approved by the Board. If the Board desires to participate in the defense of such action, suit or proceeding through its own counsel, it may do so at its own expense. These indemnity provisions shall survive dissolution of the Trust Fund and termination of this Trust Agreement.

ARTICLE VII. DISSOLUTION AND TERMINATION

In accordance with state and local law, if the Trustor determines that it will no longer provide the Health Benefits Program, any other fully self-insured or direct pay health care plan for the Beneficiaries, or a trust is no longer required by law for such plans, the Trustor may dissolve the Trust and terminate this Trust Agreement after payment of all valid outstanding liabilities or obligations, and upon notice of such dissolution and termination, the Board shall cause any remaining funds in the Trust to be transferred to the Trustor for deposit in its general fund.

ARTICLE VIII. MISCELLANEOUS

- A. Waiver. No waiver of any of the provisions of this Trust Agreement by the parties shall constitute a waiver of any other provision, whether or not similar, nor shall any waiver be

a continuing waiver. No waiver by either party of any provision hereof shall be binding unless executed in writing by the Board or the Trustor, as appropriate.

- B. Further Assurances. The parties agree in good faith to execute such further or additional documents as may be necessary or appropriate to fully carry out the intent and purpose of this Trust Agreement.
- C. Amendments. This Trust Agreement may be amended at any time; provided, that, such amendment must be in writing and otherwise comply with applicable law.
- D. Governing Law. This Trust Agreement shall be governed by and construed in accordance with the laws of the State of Arizona.
- E. Conflicts. In the event of a conflict among the terms of this Trust Agreement, the Surprise Municipal Code or state law, state law shall control. In the event of a conflict between the Surprise Municipal Code and this Trust Agreement, the Surprise Municipal Code shall control.

IN WITNESS THEREOF, the parties have executed this Trust Agreement on the date set forth above.

"Trustor"
CITY OF SURPRISE, a municipal corporation

By: _____
Michael Frazier, City Manager

ATTEST:

APPROVED AS TO FORM:

State of Arizona)
) SS.

County of Maricopa)

The forgoing instrument was acknowledged before me this ____ day of _____, ____by Michael Frazier, City Manager of the City of Surprise, Arizona, a municipal corporation, on behalf of the City.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

Notary Public

My Commission Expires:

State of Arizona)
) ss.
County of Maricopa)

The forgoing instrument was acknowledged before me this ____ day of _____, by XXX, the Chairman of the SURPRISE BOARD OF TRUSTEES, as Trustee under this Healthcare Benefits Trust Agreement.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

Notary Public

My Commission Expires:

CITY OF SURPRISE, ARIZONA
COMPREHENSIVE FINANCIAL MANAGEMENT POLICIES
EFFECTIVE JULY 1, 2019

Introduction

The City Council's Strategic Plan Framework, goals, and objectives provide the foundation for the comprehensive financial management policies. The City's comprehensive financial policies provide the roadmap to achieve financial resiliency and demonstrate the City's commitment to sound financial management practices. As defined by the Government Finance Officers Association (GFOA), the City Council strives to build a financially resilient government through financial policies and long-term financial planning. The GFOA has identified eight characteristics of a financially resilient government:

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Financial policies contribute to increased public confidence and trust as well as provide clear direction to City staff concerning the diligence and stewardship with which public monies are to be managed. Adopted financial policies show our citizens, the credit rating industry, and prospective investors (bond buyers) the City's commitment to financial resiliency. These policies are presented in the following five areas:

1. Operating Management
2. Capital Management
3. Debt Management
4. Minimum Fund Balance
5. Financial Reporting

Operating Management Policies

1. All departments will participate in the responsibility of meeting policy goals and ensuring long-term financial resiliency.
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number of full-time positions; any change to grant or major Capital Improvement Plan (CIP) projects; and all use of contingency.

6. The City Manager has the authority to amend the adopted budget for use of the Emergency Reserve; movement between part-time personnel and full-time personnel; movement of part-time personnel to or from any other category; movement of overtime personnel to or from any other category; and movement to full-time personnel from any other category. The City Manager shall provide a summary report to the City Council on any use of the Emergency Reserve who will then take action on the necessary budget amendment by Resolution.
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12. A diversified revenue system will be developed to protect City services.
13. The City Council will set the amount to be received from primary property taxes annually. The amount is limited to one-hundred and two percent (102%) of the prior fiscal year's maximum allowable levy plus new construction and reimbursement for the prior calendar year's tort liability payments.
14. To ensure that the City does not become overly reliant on "one-time" revenues for operating needs, the first \$1.25 million received in revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in the General Fund. Any additional amount will be recorded in the General Capital Fund and will be used to fund the Capital Improvement Plan.
15. The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
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17. Water, Wastewater, Stormwater, and Solid Waste user fees and charges will be examined annually to ensure they recover all direct and indirect costs of service and will be approved by the City Council.
18. All user fees (excluding water, wastewater, stormwater, and solid waste) will be examined periodically to determine the direct and indirect cost of service recovery rate. The acceptable recovery rate and any associated changes to user fees and charges will be approved by the City Council.
19. Grant funding will be considered to leverage City funds and requires City Council approval prior to acceptance.
20. Cash balances identified for investments will be maintained in accordance with state law and the adopted investment policy to ensure that proper controls and safeguards are maintained. City funds will be managed with an emphasis on safety of principal, liquidity, and yield, in that order.
21. Employee compensation and benefits will be administered in accordance with the policy given by the City Council. Healthcare costs will be shared between the City and employees and this allocation will be evaluated annually.
22. The Healthcare Self-Insurance Trust Fund was created under the authority of Arizona Revised Statute § 11-981. The Board of Trustees is charged to administer the trust fund and “make recommendations to the City Council regarding trust fund programs, including amount of appropriations to assure stability and security of the trust fund.”
23. An actuarial evaluation will be performed annually to determine the Incurred but Not Reported (IBNR) claim liability. This amount is required by accounting practices and represents the cost of unpaid claims (claims run-out), assuming the City stops being self-insured.
24. The City will optimize the efficiency and effectiveness of its services to reduce costs and improve service quality.
25. The City will maintain a methodology for allocating the City's indirect costs to service departments. A consultant may be hired to update the plan periodically.
26. All cash transfers between funds must be approved by City Council. Transfers to record capital assets within operating and capital funds are not presented to the City Council as these are administrative in nature.
27. All initial inter-fund loans must be approved by City Council.
28. All use of budgetary contingency accounts must be approved by City Council prior to being expended.

Capital Management Policies

29. The City shall use an integrated approach to capital planning and financing in preparing a five-year Capital Improvement Plan. Only the first year of the plan will be adopted by the City Council.
30. The Capital Improvement Plan will include funding to support repair and replacement of capital equipment and infrastructure. If not fully expended within the fiscal year it is appropriated, funding to support repair and replacement of capital equipment and infrastructure will not rollover to subsequent years. A high priority should be placed on those items where deferring maintenance will result in greater cost to restore or replace. Proposed capital projects will be prioritized based on the City Council's goals and objectives, the General Plan, and master plans.

31. Future operating, maintenance, and replacement costs associated with new capital improvements will be included as a schedule within the annual budget document. Capital projects will include a fiscal impact statement disclosing the expected operating impact of the project and when such cost is expected to occur.
32. The first \$1.25 million received in revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in the General Fund. Any additional amount will be recorded in the General Capital Fund and will be used to fund the Capital Improvement Plan.
33. The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
34. As permitted by state law, the City shall maintain a financial structure to ensure future development pays for itself and is not a burden on existing residents (i.e. "growth pays for growth"). Elements of this financial structure include impact fees, development agreements, Improvement Districts (IDs) and Community Facility Districts (CFDs).
35. Impact fees for infrastructure attributable to new development will be reviewed at least every other year to ensure that fees recover all direct and indirect development-related expenses, as permitted by state law, and will be approved by the City Council.
36. Any capital assets dedicated or donated to the City such as infrastructure, land, right-of-ways, easements, etc. must be approved by the City Council which must include a valuation of the assets.

Debt Management Policies

37. The City shall periodically report measurable steps taken in striving towards achieving and maintaining the highest possible bond ratings. This will minimize borrowing costs, optimize access to credit, and demonstrate excellent financial stewardship on behalf of our residents.
38. An analysis showing how a new debt issue combined with current outstanding debt impacts the City's debt capacity and conformance with City debt policies will accompany every proposal.
39. General Obligation debt, which is supported by property tax revenues, will be utilized as authorized by voters. Other types of voter-approved debt (e.g. water and wastewater) may also be utilized when they are supported by dedicated revenue sources (e.g. fees and user charges).
40. Municipal Property Corporation, trust agreements, and contractual debt, all of which are non-voter approved, will be utilized only when approved by City Council.
41. Improvement District (ID) and Community Facility District (CFD) bonds shall be permitted only when there is a general City benefit as defined and approved by the City Council.
42. Utility rates will be established to ensure the ratio of net revenues to debt service meets bond indenture requirements.
43. The Arizona Constitution provides that the general obligation bonded indebtedness for a city may not exceed twenty percent (20%) of the net secondary assessed valuation of the taxable property of the city for projects for purposes of water, wastewater, artificial light, open space preserves, parks and recreational facilities, public safety, law enforcement, fire and emergency services facilities, streets, and transportation facilities.

Outstanding general obligation bonded indebtedness for all other purposes may not exceed six percent (6%) of the City's net secondary assessed valuation.

44. The City will follow appropriate procedures with regard to obligations under continuing disclosure undertakings as identified by the Securities and Exchange Commission under the Securities Exchange Act of 1934.
45. The City will follow appropriate procedures with regard to tax exempt obligations as identified by the Internal Revenue Code of 1986.

Minimum Fund Balance Policies

46. Minimum fund balances are not intended to be spent. The purpose of the minimum fund balance is to ensure the City has adequate resources to meet its needs. If the necessity arises to draw down a fund balance below the minimum requirements that have been set, a plan to replenish the minimum fund balance will be presented to the City Council for approval.
47. Minimum fund balance requirements will be evaluated annually for long-term adequacy and use requirements.
48. The City has formally adopted a minimum fund balance policy for the following governmental funds:
 - a. The General Fund will have a three-part reserve as follows:
 - i. The City will maintain an Emergency Reserve in the General Fund of one and sixty-seven hundredths percent (1.67%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Emergency Reserve is for unexpected, large-scale expenses resulting from events where immediate, remedial action must be taken to protect the health and safety of residents, all unassigned fund balance has been exhausted, and no amount previously appropriated by the City Council is otherwise available. Any use of the Emergency Reserve must be approved by the City Manager or designee. When this occurs, the City Manager shall provide a summary report to the City Council as soon as practical on the usage of these funds and have City Council approve any necessary budget amendments. At that time, the City Manager will also present a plan to restore the Emergency Reserve to the one and sixty-seven hundredths percent (1.67%) level within the next fiscal year following the fiscal year in which the event occurred.
 - ii. The City will maintain an additional General Fund Operating Reserve in the amount of ten percent (10%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Operating Reserve is for unexpected events such as failure of the state to remit revenues to the City, loss of state shared revenues, or other impairment of a significant funding source for the remainder of the fiscal year. The Operating Reserve may also be used for unexpected mandates or other events that cause the City to incur unplanned expenses. The Operating Reserve allows for the continuance of critical City services due to these unanticipated events and is done so after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Operating Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan that projects to restore the Operating Reserve to the ten percent (10%) level within two fiscal years following the fiscal year in which the event occurred.
 - iii. The City will maintain an additional General Fund Budget Stabilization Reserve in the amount of five percent (5%) of the average of budgeted personnel, supplies, and services expenses

over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Budget Stabilization Reserve is used to provide funding to offset reductions in revenues resulting from fluctuations in the economic cycle that cannot be otherwise absorbed by the operating budget. The reserve funds will provide time for the City to restructure its operations in a deliberate manner to ensure continuance of critical City activities and is used after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Budget Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Budget Stabilization Reserve to the five percent (5%) level within the three fiscal years following the fiscal year in which the event occurred.

- b. General Capital Fund of \$1.0M
- c. Transportation Improvement Fund of \$0.5M
- d. Street Light Improvement Districts (SLIDs). SLIDs have a maximum levy limit of \$1.20 per \$100 of assessed valuation in accordance with A.R.S. § 48-616. To the extent that the levy limit has not been exceeded, taxes will be levied at a rate that will approach an individual ending fund balance reserve of five percent (5%) of its budgeted annual expenses.
- e. Tourism Fund of \$5,000.
- f. The Spring Training Ticket Surcharge Fund will have a minimum fund balance of \$600,000. Any excess fund balance remaining as of June 30 shall be remitted to the General Fund.
- g. The Water Fund will have a four-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Water Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Water Fund.
 - iv. The City will maintain a Resource Portfolio Reserve equal to fifteen percent (15%) of the total cost of delivery and capital charges for Municipal and Industrial plus the Phoenix Active Management Area (AMA) Underground Storage charges multiplied by the total amount of the City's Central Arizona Project (CAP) allocation.
- h. The Wastewater Fund will have a three-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Wastewater Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Wastewater Fund.

- i. The Stormwater Fund will have a two-part reserve as follows:
 - i. The City will maintain an amount equal to the average budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the Stormwater Fund.
 - ii. The City will maintain an amount equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year for repair and replacement.
- j. The Solid Waste Fund will have a four-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Solid Waste Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Solid Waste Fund.
 - iv. As the Solid Waste Utility has excess revenues, the City will maintain a phased Contingency Reserve equal to one-half percent (0.5%) beginning in FY2022 and increased to one percent (1%) for each subsequent year through FY2024.
- k. The Risk Management Fund will maintain an amount that, together with purchased insurance policies, will adequately indemnify the City. The appropriate funding level will be set at three times the maximum annual loss of \$250,000 which is equal to \$750,000, which will be approved by the City Council.
- l. The Healthcare Self-Insurance Trust Fund ("Trust Fund") will maintain an amount at a level which, together with purchased insurance policies (individual and aggregate stop loss), will adequately indemnify the City. The City has established an Adverse Times Reserve. The purpose of this reserve is to address cash flow needs caused by periods in which claim payments exceed projections. The target amount of this reserve is at least twenty-five percent (25%) of expected annual claims. If, at any time prior to the end of the fiscal year, the Trust Fund's target reserve is met and fully funded for the entire fiscal year based on the original budget projections approved by the City Council, the Finance Director shall document such funding and, after consulting with the City Manager, may conduct an evaluation of the claims incurred by the Trust Fund year to date, and if fiscally and financially prudent based on the claims incurred, Transfer from the City's various operating funds only that portion of the Employer premium necessary to cover actual claims incurred, such that the Trust Fund revenues are equal to the Trust Fund expenses, and the Trust Fund account experiences a zero change in net position. At all times the City will continue to transfer and deposit into the Trust Fund 100% of the monthly employee premiums collected.
- m. The Workers' Compensation Self-Insurance Trust Fund will maintain an amount which, together with the purchased excess insurance policy will adequately indemnify the City. The Industrial Commission required reserve is \$1,500,000.

Financial Reporting Policies

49. The City's Finance Director will develop standard operating procedures to ensure the City's accounting and financial reporting systems are maintained in conformance with all state and federal laws, Generally Accepted Accounting Principles (GAAP) and the standards of the Governmental Accounting Standards Board (GASB).
50. An annual audit will be performed by an independent public accounting firm. The City will prepare a Comprehensive Annual Financial Report (CAFR) with the objective of receiving an unmodified ("clean") audit opinion. The independent auditor will present and discuss audit findings regarding internal controls and operational issues to the Audit Committee at a public meeting.

CAFR Fund Balance Reporting

1. The hierarchy from least spendable to most spendable fund balance for governmental funds of the City shall be: non-spendable, restricted, committed, assigned and unassigned. When funds are available from multiple classifications, it is the City's policy to utilize the most restrictive funding first.
 2. Non-spendable fund balances are determined solely by their form.
 3. Restricted fund balances are determined solely by the constraints placed on the use of the resources.
 4. Committed fund balance represents amounts that have been constrained to a specific use by the formal action of the City's highest level of decision-making authority, the City Council. A majority vote of the City Council is necessary to establish, modify, or rescind a fund balance commitment.
 5. The City has elected the following commitments of fund balance to be standardized from year to year.
 - a. A commitment for repair and replacement of general government vehicles and other rolling stock will be maintained based upon lifecycle replacement plans prepared annually. This commitment shall be maintained in the Vehicle Replacement Fund.
 - b. A commitment of a one and one-half percent (1.5%) construction sales tax to be used solely for the purposes of paying costs related to new roadways and to refurbish existing transportation corridors, to be maintained in the Transportation Improvement Fund (Ordinance No. 05-13).
 - c. In addition to the two and fifty-two hundredths percent (2.52%) transient lodging tax restricted by state statute, a commitment of an additional 1.0% transient lodging tax for a total of three and fifty-two hundredths percent (3.52%) will be used to promote tourism and be maintained in the Tourism Fund (Ordinance No. 2010-04).
 6. In order to be reported as committed fund balance in the CAFR the City Council must approve the commitments prior to June 30th. However, the amount of the commitment may be determined after June 30th.
 7. Amounts that have been constrained by the City's intent to be used for a specific purpose and are neither restricted nor committed are reported as assigned fund balance. The City Council has
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designated the authority to assign amounts to be used for specific purposes to the Chief Financial Officer (CFO).

51. The City's CAFR will be submitted annually to the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting program.
52. The City's Budget will be submitted to the Government Finance Officers Association (GFOA) Distinguished Budget Presentation program.
53. A financial report will be presented to the City Council no less than quarterly.

CITY OF SURPRISE, ARIZONA
COMPREHENSIVE FINANCIAL MANAGEMENT POLICIES
EFFECTIVE JULY 1, 2019

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22. An actuarial evaluation will be performed annually to determine the Incurred but Not Reported (IBNR) claim liability. This amount is required by accounting practices and represents the cost of unpaid claims (claims run-out), assuming the City stops being self-insured.
23. The City will optimize the efficiency and effectiveness of its services to reduce costs and improve service quality.
24. The City will maintain a methodology for allocating the City's indirect costs to service departments. A consultant may be hired to update the plan periodically.
25. All cash transfers between funds must be approved by City Council. Transfers to record capital assets within operating and capital funds are not presented to the City Council as these are administrative in nature.
26. All initial inter-fund loans must be approved by City Council.
27. All use of budgetary contingency accounts must be approved by City Council prior to being expended.

Capital Management Policies

28. The City shall use an integrated approach to capital planning and financing in preparing a five-year Capital Improvement Plan. Only the first year of the plan will be adopted by the City Council.
29. The Capital Improvement Plan will include funding to support repair and replacement of capital equipment and infrastructure. If not fully expended within the fiscal year it is appropriated, funding to support repair and replacement of capital equipment and infrastructure will not rollover to subsequent years. A high priority should be placed on those items where deferring maintenance will result in greater cost to restore or replace. Proposed capital projects will be prioritized based on the City Council's goals and objectives, the General Plan, and master plans.

30. Future operating, maintenance, and replacement costs associated with new capital improvements will be included as a schedule within the annual budget document. Capital projects will include a fiscal impact statement disclosing the expected operating impact of the project and when such cost is expected to occur.
31. The first \$1.25 million received in revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in the General Fund. Any additional amount will be recorded in the General Capital Fund and will be used to fund the Capital Improvement Plan
32. The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
33. As permitted by state law, the City shall maintain a financial structure to ensure future development pays for itself and is not a burden on existing residents (i.e. "growth pays for growth"). Elements of this financial structure include impact fees, development agreements, Improvement Districts (IDs) and Community Facility Districts (CFDs). Impact fees for infrastructure attributable to new development will be reviewed at least every other year to ensure that fees recover all direct and indirect development-related expenses, as permitted by state law, and will be approved by the City Council.

Any capital assets dedicated or donated to the City such as infrastructure, land, right-of-ways, easements, etc. must be approved by the City Council which must include a valuation of the assets.

Debt Management Policies

34. The City shall periodically report measurable steps taken in striving towards achieving and maintaining the highest possible bond ratings. This will minimize borrowing costs, optimize access to credit, and demonstrate excellent financial stewardship on behalf of our residents.
35. An analysis showing how a new debt issue combined with current outstanding debt impacts the City's debt capacity and conformance with City debt policies will accompany every proposal.
36. General Obligation debt, which is supported by property tax revenues, will be utilized as authorized by voters. Other types of voter-approved debt (e.g. water and wastewater) may also be utilized when they are supported by dedicated revenue sources (e.g. fees and user charges).
37. Municipal Property Corporation, trust agreements, and contractual debt, all of which are non-voter approved, will be utilized only when approved by City Council.
38. Improvement District (ID) and Community Facility District (CFD) bonds shall be permitted only when there is a general City benefit as defined and approved by the City Council.
39. Utility rates will be established to ensure the ratio of net revenues to debt service meets bond indenture requirements.
40. The Arizona Constitution provides that the general obligation bonded indebtedness for a city may not exceed twenty percent (20%) of the net secondary assessed valuation of the taxable property of the city for projects for purposes of water, wastewater, artificial light, open space preserves, parks and recreational facilities, public safety, law enforcement, fire and emergency services facilities, streets, and transportation facilities. Outstanding general obligation bonded indebtedness for all other purposes may not exceed six percent (6%) of the City's net secondary assessed valuation.

41. The City will follow appropriate procedures with regard to obligations under continuing disclosure undertakings as identified by the Securities and Exchange Commission under the Securities Exchange Act of 1934.
42. The City will follow appropriate procedures with regard to tax exempt obligations as identified by the Internal Revenue Code of 1986.

Minimum Fund Balance Policies

43. Minimum fund balances are not intended to be spent. The purpose of the minimum fund balance is to ensure the City has adequate resources to meet its needs. If the necessity arises to draw down a fund balance below the minimum requirements that have been set, a plan to replenish the minimum fund balance will be presented to the City Council for approval.
44. Minimum fund balance requirements will be evaluated annually for long-term adequacy and use requirements.
45. The City has formally adopted a minimum fund balance policy for the following governmental funds:
 - a. The General Fund will have a three-part reserve as follows:
 - i. The City will maintain an Emergency Reserve in the General Fund of one and sixty-seven hundredths percent (1.67%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Emergency Reserve is for unexpected, large-scale expenses resulting from events where immediate, remedial action must be taken to protect the health and safety of residents, all unassigned fund balance has been exhausted, and no amount previously appropriated by the City Council is otherwise available. Any use of the Emergency Reserve must be approved by the City Manager or designee. When this occurs, the City Manager shall provide a summary report to the City Council as soon as practical on the usage of these funds and have City Council approve any necessary budget amendments. At that time, the City Manager will also present a plan to restore the Emergency Reserve to the one and sixty-seven hundredths percent (1.67%) level within the next fiscal year following the fiscal year in which the event occurred.
 - ii. The City will maintain an additional General Fund Operating Reserve in the amount of ten percent (10%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Operating Reserve is for unexpected events such as failure of the state to remit revenues to the City, loss of state shared revenues, or other impairment of a significant funding source for the remainder of the fiscal year. The Operating Reserve may also be used for unexpected mandates or other events that cause the City to incur unplanned expenses. The Operating Reserve allows for the continuance of critical City services due to these unanticipated events and is done so after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Operating Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan that projects to restore the Operating Reserve to the ten percent (10%) level within two fiscal years following the fiscal year in which the event occurred.
 - iii. The City will maintain an additional General Fund Budget Stabilization Reserve in the amount of five percent (5%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Budget Stabilization Reserve is used to provide funding to offset reductions in revenues resulting from fluctuations in the

economic cycle that cannot be otherwise absorbed by the operating budget. The reserve funds will provide time for the City to restructure its operations in a deliberate manner to ensure continuance of critical City activities and is used after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Budget Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Budget Stabilization Reserve to the five percent (5%) level within the three fiscal years following the fiscal year in which the event occurred.

- b. General Capital Fund of \$1.0M
- c. Transportation Improvement Fund of \$0.5M
- d. Street Light Improvement Districts (SLIDs). SLIDs have a maximum levy limit of \$1.20 per \$100 of assessed valuation in accordance with A.R.S. § 48-616. To the extent that the levy limit has not been exceeded, taxes will be levied at a rate that will approach an individual ending fund balance reserve of five percent (5%) of its budgeted annual expenses.
- e. Tourism Fund of \$5,000.
- f. The Spring Training Ticket Surcharge Fund will have a minimum fund balance of \$600,000. Any excess fund balance remaining as of June 30 shall be remitted to the General Fund.
- g. The Water Fund will have a four-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Water Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Water Fund.
 - iv. The City will maintain a Resource Portfolio Reserve equal to fifteen percent (15%) of the total cost of delivery and capital charges for Municipal and Industrial plus the Phoenix Active Management Area (AMA) Underground Storage charges multiplied by the total amount of the City's Central Arizona Project (CAP) allocation.
- h. The Wastewater Fund will have a three-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Wastewater Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
- i. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Wastewater Fund. The Stormwater Fund will have a two-part reserve as follows:

- i. The City will maintain an amount equal to the average budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the Stormwater Fund.

The City will maintain an amount equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year for repair and replacement.

- j. The Solid Waste Fund will have a four-part reserve as follows:

- i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Solid Waste Fund.

The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the budgeted operating sources for that year's Council Adopted Budget for the Solid Waste Fund.

- ii. As the Solid Waste Utility has excess revenues, the City will maintain a phased Contingency Reserve equal to one-half percent (0.5%) beginning in FY2022 and increased to one percent (1%) for each subsequent year through FY2024.
- k. The Risk Management Fund will maintain an amount that, together with purchased insurance policies, will adequately indemnify the City. The appropriate funding level will be set at three times the maximum annual loss of \$250,000 which is equal to \$750,000, which will be approved by the City Council.
- l. The Healthcare Self-Insurance Trust Fund ("Trust Fund") will maintain an amount at a level which, together with purchased insurance policies (individual and aggregate stop loss), will adequately indemnify the City. The City has established an Adverse Times Reserve. The purpose of this reserve is to address cash flow needs caused by periods in which claim payments exceed projections. The target amount of this reserve is at least twenty-five percent (25%) of expected annual claims. If, at any time prior to the end of the fiscal year, the Trust Fund's target reserve is met and fully funded for the entire fiscal year based on the original budget projections approved by the City Council, the Finance Director shall document such funding and, after consulting with the City Manager, may conduct an evaluation of the claims incurred by the Trust Fund year to date, and if fiscally and financially prudent based on the claims incurred, Transfer from the City's various operating funds only that portion of the Employer premium necessary to cover actual claims incurred, such that the Trust Fund revenues are equal to the Trust Fund expenses, and the Trust Fund account experiences a zero change in net position. At all times the City will continue to transfer and deposit into the Trust Fund 100% of the monthly employee premiums collected.
- m. The Workers' Compensation Self-Insurance Trust Fund will maintain an amount which, together with the purchased excess insurance policy will adequately indemnify the City. The Industrial Commission required reserve is \$1,500,000.

Financial Reporting Policies

- 46. The City's Finance Director will develop standard operating procedures to ensure the City's accounting and financial reporting systems are maintained in conformance with all state and federal laws, Generally Accepted Accounting Principles (GAAP) and the standards of the Governmental Accounting Standards Board (GASB).

47. An annual audit will be performed by an independent public accounting firm. The City will prepare a Comprehensive Annual Financial Report (CAFR) with the objective of receiving an unmodified ("clean") audit opinion. The independent auditor will present and discuss audit findings regarding internal controls and operational issues to the Audit Committee at a public meeting.

CAFR Fund Balance Reporting

1. The hierarchy from least spendable to most spendable fund balance for governmental funds of the City shall be: non-spendable, restricted, committed, assigned and unassigned. When funds are available from multiple classifications, it is the City's policy to utilize the most restrictive funding first.
 2. Non-spendable fund balances are determined solely by their form.
 3. Restricted fund balances are determined solely by the constraints placed on the use of the resources.
 4. Committed fund balance represents amounts that have been constrained to a specific use by the formal action of the City's highest level of decision-making authority, the City Council. A majority vote of the City Council is necessary to establish, modify, or rescind a fund balance commitment.
 5. The City has elected the following commitments of fund balance to be standardized from year to year.
 - a. A commitment for repair and replacement of general government vehicles and other rolling stock will be maintained based upon lifecycle replacement plans prepared annually. This commitment shall be maintained in the Vehicle Replacement Fund.
 - b. A commitment of a one and one-half percent (1.5%) construction sales tax to be used solely for the purposes of paying costs related to new roadways and to refurbish existing transportation corridors, to be maintained in the Transportation Improvement Fund (Ordinance No. 05-13).
 - c. In addition to the two and fifty-two hundredths percent (2.52%) transient lodging tax restricted by state statute, a commitment of an additional 1.0% transient lodging tax for a total of three and fifty-two hundredths percent (3.52%) will be used to promote tourism and be maintained in the Tourism Fund (Ordinance No. 2010-04).
 6. In order to be reported as committed fund balance in the CAFR the City Council must approve the commitments prior to June 30th. However, the amount of the commitment may be determined after June 30th.
 7. Amounts that have been constrained by the City's intent to be used for a specific purpose and are neither restricted nor committed are reported as assigned fund balance. The City Council has designated the authority to assign amounts to be used for specific purposes to the Chief Financial Officer (CFO).
48. The City's CAFR will be submitted annually to the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting program.
-

49. The City's Budget will be submitted to the Government Finance Officers Association (GFOA) Distinguished Budget Presentation program.
50. A financial report will be presented to the City Council no less than quarterly.

RESOLUTION # 2020-51

**A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY
OF SURPRISE, ARIZONA AMENDING THE HEALTH BENEFITS
TRUST AGREEMENT AND FY2020 COMPREHENSIVE
FINANCIAL MANAGMEMENT POLICIES.**

WHEREAS, the Health Benefits Trust Fund Agreement (HBTF) was approved by the City of Surprise as Trustor and the Surprise Board of Trustees on August 24, 2011;

WHEREAS, certain amendments the HBTF Agreement are necessary to maintain a balanced and appropriately funded Trust Fund;

WHEREAS, an amendment to the FY2020 Comprehensive Financial Management Policies is also required to support the amendments to the HBTF Agreement; and

WHEREAS, approval by the City of Surprise, as Trustor, is required for amendments of this nature.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The HBTF Agreement attached as *Exhibit A* and incorporated by reference is adopted as amended.

Section 2. The FY2020 Comprehensive Financial Management Policies attached as *Exhibit B* and incorporated by reference is adopted as amended.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A

EXHIBIT B

HEALTH BENEFITS TRUST AGREEMENT

THIS HEALTH BENEFITS TRUST AGREEMENT (the "Trust Agreement") is made as of the ____ day of _____, by THE CITY OF SURPRISE, ARIZONA, as Trustor, and the Surprise Board of Trustees for the benefit of plan participants.

ARTICLE I. GENERAL PROVISIONS

- A. The trust created by this Agreement shall be known as the CITY OF SURPRISE HEALTH BENEFITS TRUST.
- B. The Boards shall conduct business and act on behalf of the Trust in such name.
- C. The Trust may sue or be sued in such name.

ARTICLE II. PURPOSE

The Trust is intended to provide a distinct legal entity into which monies may be contributed by plan participants and the City of Surprise, Arizona, as the participating employer, for the exclusive purpose of administering the self-funded health insurance program created pursuant to Surprise Municipal Code Chapter 4, Claims Management.

ARTICLE III. DEFINITIONS

As used in this Agreement, the following terms shall have the indicated meanings:

"Board" means the initial Board of Trustees, and any individual that becomes a successor trustee pursuant to the Surprise Municipal Code Section 4-5.

"Health Benefits Program" means the program for the provision of health benefits, including medical, dental, vision and wellness, established by the City Manager pursuant to Surprise Municipal Code Chapter 4, Claims Management.

"Plan Participant" means any individual enrolled in the Health Benefits Program.

"Trust" means the Health Benefits Program Trust formed hereby under the laws of the State of Arizona.

ARTICLE IV. DUTIES OF TRUSTOR

The Trustor shall:

- A. Open an account for the assets of the Trust.
- B. Deposit into the Trust Fund Account, all employee ~~all~~ premiums ~~or appropriations~~ for and related to the Health Benefits Program collected by the Trustor, and those budgeted and allocated ~~including all~~ Trustor contributions, necessary to pay health benefit claims

incurred, while maintaining the City's target reserve of 25% of projected expenses into the Trust account.

- C. Provide City staff as necessary to help the Board with the day-to-day operations of the Trust.
- D. Maintain the bond for Boards as required by Arizona Revised Statute 11-981(B)(3) and Municipal Code Section 4-5(c)(3).

ARTICLE V. POWERS AND DUTIES OF THE BOARD

In furtherance of the purpose of the Trust, as set forth in this Trust Agreement, the Board shall:

- A. Observe the standard in dealing with the assets of the Trust that would be observed by a prudent man dealing with the property of another.
- B. Comply with all applicable requirements of local, state and federal law relating to municipal self-insurance programs for the management and administration of employee health care benefits, including but not limited to acquiring stop-loss insurance.
- C. Cause the Trust funds to be maintained by a bank or other financial institution with a Uniform Financial Institutions Ratings System (UFIRS) composite rating of 1, as the Board may reasonably require, consistent with the requirements of this Trust.
- D. Cause the bank or other financial institution that maintains the Trust funds to make available to the Board a daily and a monthly statement, which identifies all Trust transactions made as of the date of the statement (in the case of a daily statement for the preceding business day, or in the case of a monthly statement for the preceding month) including such supporting documentation or detail as the Board or its authorized designee may reasonably request.
- E. Have an annual audit of the Trust administered by the Board, and for such interim audits as the Board deems necessary and appropriate. The cost of any such audit shall be paid by the Fund. Results of any audits shall be provided to the City Council and copies of such audits shall be provided to the City Clerk.
- F. Delegate in writing the power and authority to staff made available by the Trustor to carry out the day-to-day administration of the Trust and to prepare the financial statement for the annual audit required by the State law and provide to such staff all information necessary to prepare such statement in accordance with generally accepted accounting principles, and to otherwise comply with the oversight provisions set forth in this Trust Agreement and the Surprise Municipal Code, or as otherwise required by law.

- G. Engage and oversee competent professionals and other staff to accomplish the purposes of the Trust as set forth in this Trust Agreement, in compliance with local, state or federal law, including professionals to provide accounting and auditing services, financial advisory services, and health care advisory services as the Board deems necessary and appropriate, and to delegate such administrative authority deemed necessary or convenient by the Board. ~~Employ such other professionals~~
- H. Provide input and recommendations to the City Council, along with City staff and consultants, regarding Trust funding levels in order to establish and maintain, from contributions or other appropriations, reserves necessary to provide stability and security of the Trust, in accordance with sound actuarial and underwriting principles.
- I. Without further specific action of the Board, disburse or authorize disbursement of moneys from the Trust for any of the following purposes:
1. Payment to Health Benefits Program third party administrators by wire or other transfer to the designated accounts of each such administrator, in accordance with the federal, state and local law and any agreement between the Trustor and such administrator.
 2. Payment of money due and owing by reason of contract, bond, benefit plan, policy of insurance (including stop loss insurance), obtained pursuant to the Health Benefit Program or state law.
 3. Payment of contributions or premiums due on fidelity, performance, errors and omissions, or other bonds and insurance which the Board is required to maintain.
 4. Reasonable and necessary expenses incurred by the Board for such items as travel, meals, lodging, telephone calls, and other out-of-pocket expenses incurred in performing their duties shall be compensated in accordance

Except as specifically provided in this section, Trust funds administered by the Board shall not be disbursed, expended or obligated without express approval of the Board.

- J. Maintain accurate records and accounts of all transactions, consistent with generally accepted accounting practices, which shall be available at all reasonable times for inspection by trustees, and Plan Participants.
- K. Have such other powers and authority necessary to implement all other obligations of the Board under this Trust Agreement, in compliance with local, state or federal law.

L. Return all assets in the Trust Fund to the Trustor for deposit in its general fund upon dissolution of the Trust Fund as set forth in this Trust Agreement.

M. Cause all other appropriate actions to be taken in connection with the Trust and this Trust Agreement that is necessary to carry out its obligations hereunder.

ARTICLE VI. INDEMNIFICATION

The Trustor agrees to and does, to the extent permitted by law, hereby indemnify and hold the Board harmless for, from and against any and all claims, expenses, liens, judgments, liability or loss whatsoever, including reasonable legal fees and expenses relating to, or in any way arising in connection with this Trust Agreement and Trust. The right of the Board to indemnification from the Trustor shall not extend to claims, suits and actions successfully brought against the Board for, or losses, liabilities or expenses incurred as a result of, any of the Board's own bad faith, willful misconduct or breach of trust. The Trustor shall give notice to the Board of any event or condition that requires indemnification by the Trustor hereunder, or of any allegation of such event or condition, promptly upon obtaining knowledge thereof. To the extent that the Trustor makes or provides for payment to the satisfaction of the Board under the indemnity provisions hereof, the Trustor shall be subrogated to the rights of the Board with respect to such event or condition and shall have the right to determine the settlement of claims thereon, it being agreed that except to the foregoing extent, the Board shall have the right to determine such settlement. The Trustor shall pay all amounts due hereunder promptly upon notice thereof from the Board. In case any action, suit or proceeding is brought against the Board, by reason of any act or condition which requires indemnification by the Trustor hereunder, the Board shall notify the Trustor promptly of such action, suit or proceeding, and the Board may (and will upon the request of the Board), at the Trustor's expense, resist and defend such action, suit or proceeding, or cause the same to be resisted and defended by counsel designated by the Trustor and approved by the Board. If the Board desires to participate in the defense of such action, suit or proceeding through its own counsel, it may do so at its own expense. These indemnity provisions shall survive dissolution of the Trust Fund and termination of this Trust Agreement.

ARTICLE VII. DISSOLUTION AND TERMINATION

In accordance with state and local law, if the Trustor determines that it will no longer provide the Health Benefits Program, any other fully self-insured or direct pay health care plan for the Beneficiaries, or a trust is no longer required by law for such plans, the Trustor may dissolve the Trust and terminate this Trust Agreement after payment of all valid outstanding liabilities or obligations, and upon notice of such dissolution and termination, the Board shall cause any remaining funds in the Trust to be transferred to the Trustor for deposit in its general fund.

ARTICLE VIII. MISCELLANEOUS

- A. Waiver. No waiver of any of the provisions of this Trust Agreement by the parties shall constitute a waiver of any other provision, whether or not similar, nor shall any waiver be a continuing waiver. No waiver by either party of any provision hereof shall be binding unless executed in writing by the Board or the Trustor, as appropriate.
- B. Further Assurances. The parties agree in good faith to execute such further or additional documents as may be necessary or appropriate to fully carry out the intent and purpose of this Trust Agreement.
- C. Amendments. This Trust Agreement may be amended at any time; provided, that, such amendment must be in writing and otherwise comply with applicable law.
- D. Governing Law. This Trust Agreement shall be governed by and construed in accordance with the laws of the State of Arizona.
- E. Conflicts. In the event of a conflict among the terms of this Trust Agreement, the Surprise Municipal Code or state law, state law shall control. In the event of a conflict between the Surprise Municipal Code and this Trust Agreement, the Surprise Municipal Code shall control.

IN WITNESS THEREOF, the parties have executed this Trust Agreement on the date set forth above.

"Trustor"
CITY OF SURPRISE, a municipal corporation

By: _____
Michael Frazier, City Manager

ATTEST:

APPROVED AS TO FORM:

State of Arizona)
) SS.

County of Maricopa)

The forgoing instrument was acknowledged before me this __ day of _____, ___by Michael Frazier, City Manager of the City of Surprise, Arizona, a municipal corporation, on behalf of the City.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

Notary Public

My Commission Expires:

|

State of Arizona)
) ss.
County of Maricopa)

The forgoing instrument was acknowledged before me this ____ day of _____, by XXX, the Chairman of the SURPRISE BOARD OF TRUSTEES, as Trustee under this Healthcare Benefits Trust Agreement.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

Notary Public

My Commission Expires:



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Seth Dyson, DIRECTOR - HSCV

Submitting Department: Human Svcs and Comm District: Internal

Vitality

Staff Recommendations: None

Consent: Yes	Regular: No	Public Hearing: No	Report/Discussion: No
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Agenda Wording:

Consideration and action pertaining to approval of an amendment of the Fiscal Year 2020 Budget by reallocating appropriations of \$382,400 from Contingency within the Grants Fund to the Neighborhood Revitalization Fund, Project G51681; to accept funding from the Department of Housing and Urban Development in response to COVID-19, and amending the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000 by adding the COVID-19 CDBG-CV Response Item in the amount of \$382,400; Resolution 2020-47.

Motion:

I move to approve Resolution #2020-47.

Background:

The City is to receive a special allocation of Community Development Block Grant funds (CDBG-CV) to be used to prevent, prepare for, and respond to the Coronavirus (COVID-19). The allocation was authorized by the Coronavirus Aid, Relief and Economic Security Act (CARES Act), Public Law 116-136, signed by the President of the United States on March 27, 2020. The City allocation is \$382,317 and all expenditures are on a reimbursement basis;

Objective Analysis:

Acceptance of the funding will provide resources for the City to prevent, prepare, for and respond to the COVID-19 pandemic.

Policy Compliant:

This action is compliant with City and Council policy as well as Federal regulation.

Financial Impact:

This action will allow for an increase in expenditures of \$382,317 for COVID-19 Response. Expenses are reimbursed by the Department of Housing and Urban Development. This is a one-time action and there is no City match requirement.

Budget Impact:

This allocation represents a reallocation of appropriation of \$382,400 from Contingency within the

Grants fund to the Neighborhood Revitalization Fund, Project G51681. This action represents a transfer of spending authority and does not increase or decrease the total adopted citywide expenditure budget.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Res 2020-47 CDBG CARES Act BA-final
-

RESOLUTION # 2020-47

A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE, ARIZONA, AMENDING THE FISCAL YEAR 2020 BUDGET BY REALLOCATING APPROPRIATIONS OF \$382,400 FROM CONTINGENCY WITHIN THE GRANTS FUND TO THE NEIGHBORHOOD REVITALIZATION FUND, PROJECT G51681; TO ACCEPT FUNDING FROM THE DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT IN RESPONSE TO COVID-19. AMENDING THE FISCAL YEAR 2020 CAPITAL AND OPERATING LIST OF ITEMS OVER \$50,000 BY ADDING THE COVID-19 CDBG-CV RESPONSE ITEM IN THE AMOUNT OF \$382,400.

WHEREAS, the FY2020 budget was adopted including funding for Program Year 2019 Community Development Block Grant expenditures;

WHEREAS, the City is to receive a special allocation of Community Development Block Grant funds (CDBG-CV) to be used to prevent, prepare for, and respond to the Coronavirus (COVID-19).

WHEREAS, the allocation was authorized by the Coronavirus Aid, Relief and Economic Security Act (CARES Act), Public Law 116-136, signed by the President of the United States on March 27, 2020;

WHEREAS, the allocation to the City of Surprise is \$382,317 and all expenditures are on a reimbursement basis;

WHEREAS, the FY2020 budget, including the FY2020 Capital and Operating List of Items Over \$50,000, was adopted by Council Resolution #2019-75 on June 4, 2019;

WHEREAS, this action will necessitate a budget amendment;

WHEREAS, the City of Surprise Procurement Code §2-338 (d) requires the authority of the Mayor and Council when the cost to the city is greater than \$50,000; and

WHEREAS, the City of Surprise Administrative Policies requires the approval of the Mayor and Council for budget amendments of this nature.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. That the statements and schedules attached as *Exhibit A* and incorporated by reference are adopted, amending the budget of the City of Surprise, Arizona for the fiscal year July 1, 2019 through June 30, 2020.

Section 2. That the statements and schedules attached as *Exhibit B* and incorporated by reference are adopted, the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000 of the City of Surprise, Arizona for the fiscal year July 1, 2019 through June 30, 2020.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

RESOLUTION # 2020-47
Exhibit A

1. Appropriation - The allocations below represent a reallocation of appropriations in the amount of \$382,400 from contingency within the Grants Fund to the Neighborhood Revitalization Fund due to an additional Community Development Block Grant (CDBG-CV) allocation as a result of the approval of the CARES Act. This action represents a transfer of spending authority and does not increase or decrease the total adopted citywide expenditure budget.

Fund	Department	Project/Category	Rev/ Exp	Current Budget	Increase/ (Decrease)	Amended Budget
Neighborhood Revitalization	Human Svcs and Comm Vitality	#G51681 CARES Act	E	-	382,400	382,400
Neighborhood Revitalization	Human Svcs and Comm Vitality	#G51681 CARES Act	R	-	382,400	382,400
Grants	General Operations	Contingency	E	20,825,000	(382,400)	20,442,600
Grants	General Operations	Other	R	23,628,900	(382,400)	23,246,500
Expense Total				20,825,000	-	20,825,000
Revenue Total				23,628,900	-	23,628,900

RESOLUTION # 2020-47
Exhibit B

1. List of Operating Items Over \$50,000 – Council approved \$382,400 for the purpose of preventing, preparing for, and responding to the Coronavirus (COVID-19) to be included on the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000. This amount is based on the information received from the Department of Housing and Urban Development.

Reference #	Description	Current Amount	Increase/ (Decrease)	Amended Amount
20478	COVID-19 CDBG-CV Response	\$0	\$382,400	\$382,400



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Seth Dyson, DIRECTOR - HSCV

Submitting Department: Human Svcs and Comm

District: Internal

Vitality

Staff Recommendations: None

Consent: Yes

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action pertaining to approval of an amendment to the Fiscal Year 2020 budget by reallocating appropriations within the grants fund and Capital and Operating List of Items over \$50,000 by increasing the Congregate Meal item to \$156,400; and authorizing the city to accept additional grant funding in the amount of \$21,400 for the Congregate Meal Program; Resolution #2020-62.

Motion:

I move to approve Resolution 2020-62.

Background:

This action will provide \$1,349 for a reach-in freezer and \$20,000 of Area Agency COVID-19 funding in response to the increase in demand of the Senior Center drive-through meal service.

Objective Analysis:

This action will allow HSCV to continue to provide the drive through congregate meal program, in response to COVID-19, in addition to the purchase of a freezer to store freezer weekend meals.

Policy Compliant:

This item is compliant with City and Council policy.

Financial Impact:

This one time grant award is \$21,400 for materials and supplies within HSCV to support the congregate meal program. Expenses will be reimbursed monthly. There is a City match requirement which has already been met with General Fund expenses.

Budget Impact:

This allocation represents a reallocation of appropriation of \$21,400 within the Grants fund. This action represents a transfer of spending authority and does not increase or decrease the total adopted citywide expenditure budget.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. 36-Surprise 1
 2. Res 2020-62 AAA Amend 1 (Final)
-

Contract #2020-36-SUR

AMENDMENT 1

CONTRACT FOR SERVICES BETWEEN

Area Agency on Aging, Region One, Incorporated AND
1366 E. Thomas Road, Suite 108
Phoenix, Arizona 85014
602-264-2255 fax: 602-230-9132

City of Surprise
16000 North Civic Center Plaza
Surprise, Arizona 85374
623-222-1500 fax: 623-222-1501
EIN 86-6007796

EFFECTIVE DATE OF THIS AMENDMENT: April 1, 2020

PURPOSE OF THE AMENDMENT:

1. Increase Area Agency funding for Congregate Meals by \$1,349 to \$69,649 for the purchase of Congregate Meal Materials & Supplies: Reach-In Freezer .

Addition of new fund source, Area Agency COVID-19 Funding:

1. Increase Area Agency COVID-19 Funding for Congregate Meals to \$20,000.

EXCEPT AS PROVIDED HEREIN, ALL TERMS AND CONDITIONS OF THE ORIGINAL CONTRACT AS HERETOFORE CHANGED AND/OR AMENDED REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT. IN WITNESS THEREBY OF SIGNATURE, THE PARTIES ENTER INTO THIS CONTRACT:

AREA AGENCY ON AGING,
REGION ONE, INCORPORATED

CITY OF SURPRISE

Signature and Date

Mary Lynn Kasunic, President & CEO
Area Agency on Aging, Region One

Signature and Date

Seth Dyson, Director,
Human Services & Community Vitality

CONTRACT SUMMARY
FIXED PRICE WITH PRICE ADJUSTMENT

CONTRACT #: 2020-36-SUR

CONTRACTOR: City of Surprise

TYPE: ***Amendment 1***

CONTRACT TERM: July 1, 2019 to June 30, 2020

Contract Reimbursement Ceiling for all Services: TOTAL: **\$ 101,349**

CONTRACT OPERATING BUDGET

	Congregate Meals	Multipurpose Operations
REVENUE		
Area Agency	69,649	11,700
Project Income	24,420	-
Non-Fed Inkind	-	-
Non-Fed Cash	98,925	149,667
Other Federal	-	-
TOTAL	192,994	161,367
EXPENSES		
Personnel	104,595	118,999
ERE	19,801	24,768
Prof&Outside	-	-
Travel	200	-
Space	8,550	12,400
Equipment	-	-
Materials/Supl	58,749	4,800
Operating Svc	1,099	400
Indirect	-	-
TOTAL	192,994	161,367
UNITS	11,500	3,837
UNIT RATE	\$ 16.78	\$ 42.06

COVID-19 FUNDING BUDGET

REVENUE	Congrega te Meals
Area Agency	20,000
Project Income	-
Non-Fed Inkind	-
Non-Fed Cash	-
Other Federal	-
TOTAL	20,000
EXPENSES	
Personnel	-
ERE	-
Prof&Outside	-
Travel	-
Space	-
Equipment	-
Materials/Supl	20,000
Operating Svc	-
Indirect	-
TOTAL	20,000
Units	10,000
Unit Rate	\$ 2.00

COMMUNICATION PAGE
(not an integral page of the Contract)

5/7/2020 EMAILED TO:
deborah.perry@surpriseaz.gov
seth.dyson@surpriseaz.gov
joe.gladieux@surpriseaz.gov

RESOLUTION # 2020-62

A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE, ARIZONA, AMENDING THE FISCAL YEAR 2020 BUDGET BY REALLOCATING APPROPRIATIONS WITHIN THE GRANTS FUND AND AMENDING THE FISCAL YEAR 2020 CAPITAL AND OPERATING LIST OF ITEMS OVER \$50,000 BY INCREASING THE CONGREGATE MEAL ITEM TO \$156,400; AND ACCEPTING ADDITIONAL GRANT FUNDING IN THE AMOUNT OF \$21,400 FOR THE CONGREGATE MEAL PROGRAM BY.

WHEREAS, the FY2020 budget was adopted including funding for the Congregate Meal program expenditures;

WHEREAS, the FY2020 contract for services was adopted by Council Resolution # 2019-82 on June 18, 2019;

WHEREAS, the additional funding will serve to support the congregate meal program for the remainder of the fiscal year, and will require a minor amendment to Contract #2020-36-SUR;

WHEREAS, the allocation to the City of Surprise is \$21,400 and all expenditures are on a reimbursement basis;

WHEREAS, the FY2020 budget was adopted by Council Resolution #2019-75 on June 4, 2019;

WHEREAS, this action will necessitate a budget amendment; and

WHEREAS, the FY2020 budget, including the FY2020 Capital and Operating List of Items Over \$50,000, was adopted by Council Resolution #2019-75 on June 4, 2019; and

WHEREAS, the City of Surprise Procurement Code §2-338 (d) requires the authority of the Mayor and Council when the cost to the city is greater than \$50,000.

WHEREAS, the City of Surprise Administrative Policies requires the approval of the Mayor and Council for budget amendments of this nature.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. That the statements and schedules attached as *Exhibit A* and incorporated by reference are adopted, amending the budget of the City of Surprise, Arizona for the fiscal year July 1, 2019 through June 30, 2020.

Section 2. That the statements and schedules attached as *Exhibit B* and incorporated by reference are adopted, the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000 of the City of Surprise, Arizona for the fiscal year July 1, 2019 through June 30, 2020.

Section 3. That the additional grant funds in the approximate amount of \$21,400 as shown on *Exhibit A* are accepted, and the Contract #2020-36-SUR Amendment 1 attached hereto as *Exhibit C* is approved, with all other terms and conditions of Contract #2020-36-SUR remaining in force and effect.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

RESOLUTION # 2020-62
Exhibit A

1. Appropriation - The allocations below represent a reallocation of appropriations in the amount of \$21,400 within the Grants Fund due to an additional allocation from the Area Agency on Aging for the Congregate Meal Program. This action represents a transfer of spending authority and does not increase or decrease the total adopted citywide expenditure budget.

Fund	Department	Project/Category	Rev/ Exp	Current Budget	Increase/ (Decrease)	Amended Budget
Grants	Human Svcs and Comm Vitality	#G51502 FY20 AAA Meals	E	68,300	21,400	89,700
Grants	Human Svcs and Comm Vitality	#G51502 FY20 AAA Meals	R	68,300	21,400	89,700
Grants	General Operations	Contingency	E	20,825,000	(21,400)	20,803,600
Grants	General Operations	Other	R	23,628,900	(21,400)	23,607,500
Expense Total				20,893,300	-	20,893,300
Revenue Total				23,697,200	-	23,697,200

RESOLUTION # 2020-62
Exhibit B

1. List of Operating Items Over \$50,000 – Council approved \$21,400 for the purpose of the Congregate Meal program included on the Fiscal Year 2020 Capital and Operating List of Items Over \$50,000. This amount was based on the contract amendment received from Area Agency on Aging.

Reference #	Description	Current Amount	Increase/ (Decrease)	Amended Amount
20471	FY20 Congregate Meals	\$135,000	\$21,400	\$156,400



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Seth Dyson, DIRECTOR - HSCV

Submitting Department: Human Svcs and Comm Vitality

District: Internal

Staff Recommendations: None

Consent: Yes

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action pertaining to approval of Amendment Number 4 to the Intergovernmental Agreement with Maricopa County to Continue to provide Community Action Program Services; Resolution #2020-49.

Motion:

I move to approve Resolution #2020-49.

Background:

Maricopa County and the City of Surprise entered into an IGA in 2016 to provide Community Action Program services from the Surprise Resource Center. The parties wish to enter into Amendment Number 4 to amend the following:

* Section I (General Provisions), Paragraph E (Term/Effective Date/Renewal Life of the Agreement), Subparagraph 1, to add the following sentence: The Agreement may be extended for a fourth term not exceeding one year, upon written agreement of the parties;

*To extend the Agreement termination date from June 30, 2020 to December 31, 2020; and

*The County shall provide federal grant funding to support operations of the Community Resource Center in the amount of \$43,478 for the period of July 1, 2020 to December 31, 2020.

Objective Analysis:

This action will allow HSCV to continue operate the Community Action Program services from the Surprise Resource Center from July 1, 2020 - December 31, 2020.

Policy Compliant:

This action is compliant with city and council policy.

Financial Impact:

This one-time grant award is \$43,478 for personnel and employee related expenses from July 1, 2020 - December 31, 2020. There is a City match requirement in the amount of \$30,000, for FY2021, which will be met with HSCV's General Fund operating budget.

Budget Impact:

Grant funding in the amount of \$43,500 will be included as part of the FY2021 budget.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Res 2020-49 CAP IGA Amend 4
-

RESOLUTION # 2020-49

A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE, ARIZONA APPROVING THE AMENDMENT TO AN INTERGOVERNMENTAL AGREEMENT WITH MARICOPA COUNTY TO CONTINUE TO PROVIDE COMMUNITY ACTION PROGRAM SERVICES.

WHEREAS, pursuant to Arizona Revised Statute §11-951, *et seq.*, the City of Surprise has the authority to enter into intergovernmental agreement with other governmental entities for the purposes set forth within;

WHEREAS, Maricopa County and the City of Surprise entered into a financial Intergovernmental Agreement ("Agreement") on or about June 30, 2016, for the term of July 1, 2016 through June 30, 2017, executed Amendment No. 1 on or about June 21, 2017, which extended the Agreement term and provided funding for the period July 1, 2017, through June 30, 2018. The Parties executed Amendment No. 2 on or about June 13, 2018, which extended the Agreement term and provided funding for the period July 1, 2018, through June 30, 2019. The Parties executed Amendment No. 3 on or about June 26, 2019, which extended the Agreement term and provided funding for the period July 1, 2019, through June 30, 2020.

WHEREAS, Maricopa County and the City of Surprise desire to enter into Amendment No. 4 to the agreement to Amend Section I (General Provisions), Paragraph E (Term/Effective Date/Renewal Life of the Agreement), Subparagraph 1, to add the following sentence: The Agreement may be extended for a fourth term not exceeding one year, upon written agreement of the parties; to extend the Agreement termination date from June 30, 2020 to December 31, 2020; The County shall provide federal grant funding to support operations of the Community Resource Center in the amount of \$43,478 for the period of July 1, 2020 to December 31, 2020;

WHEREAS, the IGA provides for federal CAP funding via block grants which will be retained by the Maricopa County Human Services Department (MCHSD) and made available to contractors through the MCHSD Online Client Data System and paid directly to vendors upon authorization by MCHSD;

WHEREAS, the grant award will be included as a part of the FY2021 budget.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The Amendment to the Intergovernmental Agreement between the City of Surprise and Maricopa County for the provision of CAP services, attached as *Exhibit A*, is approved and the City Manager is authorized to accept grant funding in the amount of \$43,478.

Section 2. The City Manager, or his designee, is hereby authorized to execute and submit all documents and other necessary or desirable instruments in connection with said agreement.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A

INTERGOVERNMENTAL AGREEMENT BETWEEN
THE CITY OF SURPRISE AND MARICOPA COUNTY

AMENDMENT NO. 4 TO THE
INTERGOVERNMENTAL AGREEMENT
BETWEEN
MARICOPA COUNTY
ADMINISTERED BY ITS
HUMAN SERVICES DEPARTMENT
AND
CITY OF SURPRISE

- I. Maricopa County ("County"), administered by its Human Services Department, and the City of Surprise ("Subrecipient") entered into a financial Intergovernmental Agreement ("Agreement") on or about June 30, 2016, for the term of July 1, 2016, through June 30, 2017. The purpose of the Agreement is for the County to provide the Subrecipient with funds for the provision of Community Action Program services to include Crisis Case Management and Financial Assistance Services in the Community Service Area (CSA). The County and the Subrecipient are referred to individually as the "Party" or collectively as the "Parties."

The Parties executed Amendment No. 1 on or about June 21, 2017, which extended the Agreement term and provided funding for the period July 1, 2017, through June 30, 2018. The Parties executed Amendment No. 2 on or about June 13, 2018, which extended the Agreement term and provided funding for the period July 1, 2018, through June 30, 2019. The Parties executed Amendment No. 3 on or about June 26, 2019, which extended the Agreement term and provided funding for the period July 1, 2019, through June 30, 2020.

- II. The Parties agree to enter into this Amendment No. 4 to the Agreement to amend the Agreement as follows:
- A. Amend Section I (General Provisions), Paragraph E (Term/Effective Date/Renewal Life of the Agreement), Subparagraph 1, to add the following sentence: The Agreement may be extended for a fourth term not exceeding one year, upon written agreement of the parties.
 - B. Extend the Agreement termination date from June 30, 2020, to December 31, 2020.
 - C. The County shall provide the Subrecipient with \$43,478 for the period of July 1, 2020, to December 31, 2020.
 - D. Incorporate an updated ATTACHMENT A - Operating Budget for the period of July 1, 2020 to December 31, 2020 into the Agreement.
 - E. Update the Points of Contact for the Agreement:

Subrecipient Rep:	Seth Dyson, Human Service & Community Vitality Director
Phone:	623-222-1620
Address:	15832 N. Hollyhock Street
City/Town State & Zip	Surprise, Arizona 85378
E-Mail:	Seth.Dyson@surpriseaz.gov

Maricopa County:	Sandra Mendez, Assistant Director
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Phone: 602-506-2316
Address: 234 North Central, Suite 3000
City/Town State & Zip: Phoenix, Arizona 85004
E-Mail: Sandra.Mendez@Maricopa.gov

- F. Revise Section I (General Provisions) by removing in its entirety Paragraph AAA, which was added by Amendment No. 1, and substituting the following:

AAA. ISRAEL BOYCOTT

If the Subrecipient engages in for-profit activity and has 10 or more employees, and if this Agreement has a value of \$100,000 or more, then the Subrecipient certifies it is not currently engages in, and agrees for the duration of this Agreement not to engage in, a boycott of goods or services from Israel. This certification does not apply to a boycott prohibited by 50 U.S.C. § 4842 or a regulation issued pursuant to 50 U.S.C. § 4842.

- G. Revise Section I (General Provisions) to add Paragraph BBB as follows:

BBB. FORCE MAJEURE

1. Neither Party shall be liable for failure of performance, nor incur any liability to the other Party on account of any loss or damage resulting from any delay or failure to perform all or any part of this contract if such delay or failure is caused by events, occurrences, or causes beyond the reasonable control and without negligence of the parties. Such events, occurrences, or causes will include Acts of God/Nature (including fire, flood, earthquake, storm, hurricane or other natural disaster), war, invasion, act of foreign enemies, hostilities (whether war is declared or not), civil war, riots, rebellion, revolution, insurrection, military or usurped power or confiscation, terrorist activities, nationalization, government sanction, lockout, blockage, embargo, labor dispute, strike, interruption or failure of electricity or telecommunication service.
2. Each Party, as applicable, shall give the other Party notice of its inability to perform and particulars in reasonable detail of the cause of the inability. Each party must use best efforts to remedy the situation and remove, as soon as practicable, the cause of its inability to perform or comply.
3. The Party asserting Force Majeure as a cause for non-performance shall have the burden of proving that reasonable steps were taken to minimize delay or damages caused by foreseeable events, that all non-excused obligations were substantially fulfilled, and that the other party was timely notified of the likelihood or actual occurrence which would justify such an assertion, so that other prudent precautions could be contemplated.

- III. This Amendment is subject to the provisions of A.R.S. §38-511.

- IV. The foregoing paragraphs contain all the changes made by this Amendment No. 4. All other terms and conditions of the Agreement remain in full force and effect as amended by Amendment Nos. 1, 2, and 3.

- V. The County is empowered by A.R.S. §§ 11-201, 11-251 and 11-952 to enter into this Amendment No. 4 and has delegated to the undersigned the authority to execute this Amendment No. 4 on behalf of the County.
- VI. The Subrecipient is empowered by A.R.S. §§ 9-240, 9-500.11, 11-952, and 46-241, *et seq.* to enter into this Amendment No. 4 and has by resolution delegated to the undersigned the authority to execute this Amendment No. 4 on behalf of the Subrecipient.
- VII. This Amendment No. 4 shall be effective upon approval and signature by both Parties.

[Signatures on the following page]

IN WITNESS, the Parties have approved and signed this Amendment No. 4:

APPROVED BY:
SUBRECIPIENT

APPROVED BY:
MARICOPA COUNTY

Mayor Date

Chairman, Board of Supervisors Date

Attested To:

Attested To:

City Clerk Date

Fran McCarroll, Clerk of the Board Date

IN ACCORDANCE WITH A.R.S. §§ 9-240, 9-500.11, 11-952, AND 46-241, ET SEQ., THIS AMENDMENT NO. 4 HAS BEEN REVIEWED BY THE UNDERSIGNED ATTORNEY WHO HAS DETERMINED THIS AMENDMENT NO. 4 IS PROPER IN FORM AND WITHIN THE POWERS AND AUTHORITY GRANTED TO THE CITY OF SURPRISE UNDER THE LAWS OF THE STATE OF ARIZONA.

IN ACCORDANCE WITH A.R.S. §§ 11-201, 11-251, AND 11-952, THIS AMENDMENT NO. 4 HAS BEEN REVIEWED BY THE UNDERSIGNED ATTORNEY WHO HAS DETERMINED THIS AMENDMENT NO. 4 IS PROPER IN FORM AND WITHIN THE POWERS AND AUTHORITY GRANTED TO MARICOPA COUNTY UNDER THE LAWS OF THE STATE OF ARIZONA.

APPROVED AS TO FORM:

APPROVED AS TO FORM:

BY: _____
Attorney for the Subrecipient Date

BY: _____
Deputy County Attorney Date

ATTACHMENT A**OPERATING BUDGET**

Contract Operating Budget -County July 1, 2020 to December 31, 2020

SUBRECIPIENT: City of Surprise

Service: Crisis Case Management and Financial Assistance Services

Revenue Sources

County*	\$43,478
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Total Revenues	\$43,478
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Budget Categories

Personnel / ERE	\$43,478
-----------------	----------

Total Expenses	\$43,478
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*Funding will be allocated internally on a monthly basis
by Maricopa County Human Services
Department/Financial Services.

Based on fund availability, funds utilized may include, but are not
limited to:

SSBG, TANF, LIHEAP, County Funds and CSBG



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Andrea Davis, DIRECTOR -
FINANCE

Submitting Department: Finance

District: Internal

Staff Recommendations: None

Consent: Yes

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action approving the FY2021 Public Safety Personnel Retirement System Pension Funding Policy; Resolution #2020-50.

Motion:

I move to approve Resolution #2020-50.

Background:

Qualifying City of Surprise Police and Fire-Medical employees participate in the Public Safety Personnel Retirement System (PSPRS). PSPRS is a pension plan in which each participating agency has an individual trust fund reflecting their assets and liabilities. The City has two trust funds, one for Police employees and one for Fire-Medical employees. Each fund has its own funded ratio, contribution rate, and annual actuarial evaluation. In accordance with A.R.S. § 38-863.01, the City is required to adopt an annual pension funding policy to communicate how the City will maintain stability and meet the funding requirements. The policy must be published on the City's website and it must include formal acceptance of the City's assets and liabilities.

According to the actuarial valuations dated June 30, 2019, the City of Surprise PSPRS funds have \$97,076,691 in assets, \$138,230,608 in accrued liability, \$41,153,917 in unfunded actuarial accrued liability, and a funded ratio of 70.2%. For FY2021, staff is recommending the following:

- Establish a goal to attain a 100% fully funded ratio by June 30, 2036.
- Maintain the full Annual Required Contribution (ARC) from operating funds. The FY2021 ARC is estimated at \$6,779,159.
- Fund the annual pension cost at the beginning of each fiscal year with the budgeted contribution amount.
- Base the budgeted contribution on the highest potential cost to the City assuming each qualifying position is fully staffed.
- If, during the course of the year, the required contribution exceeds the original budget amount,

contribute additional funds on a per pay period basis to meet funding obligations.

Objective Analysis:

The PSPRS Funding Policy will communicate the goal to maintain stability within the City's PSPRS funds.

Policy Compliant:

This item is compliant with City and Council policies and will meet the requirements set forth by A.R.S. 38-863.01.

Financial Impact:

The FY2021 annual pension cost will be paid upfront based on the budgeted contribution amounts. If additional contributions are necessary, they will be paid on a per pay period basis.

Budget Impact:

The budgeted contribution amount will be based on the highest potential cost to the City assuming each qualifying position is fully staffed. This has been incorporated into the FY2021 City Manager's Recommended Budget.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Res 2020-50 PSPRS Funding FY21
 2. Finance SOP- Pension Funding redline 04282020
 3. Finance SOP- Pension Funding final 04282020
-

RESOLUTION # 2020-50

**A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY
OF SURPRISE, ARIZONA AMENDING THE PUBLIC SAFETY
PENSION FUNDING POLICY FOR FISCAL YEAR 2021.**

WHEREAS, the addition of Arizona Revised Statute § 38-863.01 requires that each governing body adopt a Public Safety Retirement System (PSPRS) pension funding policy establishing the objectives to maintain financial stability, achieve funding requirements, defining the timeline for reaching the targeted funded ratio, and formally accepting the assets and liabilities as detailed in the most recently available annual actuarial report;

WHEREAS, the City of Surprise PSPRS Funding Policy was adopted by Resolution # 2019-49 on June 4, 2019; and

WHEREAS, the City of Surprise affirms that establishing sound financial policies contributes to the prudent management of the City's financial affairs and wishes to comply with the requirements of Arizona Revised Statute § 38-863.01.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The Fiscal Year 2021 Public Safety Pension Funding Policy set forth in *Exhibit A* attached hereto and incorporated by reference herein is adopted.

Section 2. The Finance Director is hereby authorized and directed to take the appropriate steps to incorporate the proposed changes into the Public Safety Pension Funding Policy of the City of Surprise and disseminate the policy as necessary.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A

 SURPRISE ARIZONA		Standard Operating Procedure PUBLIC SAFETY PENSION FUNDING	
PROCESS: Funding Ratio Goals for the City's Public Safety Pension Funds			
POLICY REFERENCE: Arizona Revised Statutes (A.R.S.) § 38-863.01			
ISSUE DATE: June 4, 2019 Resolution 2019-049		LAST AMENDED DATE: N/A	
		EFFECTIVE DATE: July 1, 2020 Resolution 2020-xx	
FINANCE DIRECTOR APPROVAL:			

GENERALLY

Qualifying City of Surprise police and fire-medical employees participate in the Public Safety Personnel Retirement System (PSPRS). PSPRS is administered as an agent multiple-employer pension plan and health insurance premium benefit known as an OPEB. An agent multiple-employer plan has two main functions: 1) to comingle assets of all plans under its administration, thus achieving economy of scale for more cost efficient investments, and invest those assets for the benefit of all members under its administration and 2) serve as the statewide uniform administrator for the distribution of benefits.

Under an agent multiple-employer plan, each agency participating in the plan has an individual trust fund reflecting that agencies' assets and liabilities. Under this plan, all contributions are deposited to and distributions are made from that fund's assets, each fund has its own funded ratio and contribution rate, and each fund has a unique annual actuarial valuation. The City of Surprise has two trust funds, one for police employees and one for fire-medical employees.

PURPOSE

The intent of this document is to demonstrate the Surprise City Council's commitment to clearly communicate pension funding objectives, prudently manage the City's financial resources, and comply with new statutory requirements of Laws 2018, Chapter 112. This document will be reviewed and approved by City Council on an annual basis.

DEFINITIONS

Unfunded Actuarial Accrued Liability (UAAL) – the difference between trust assets and the estimated future cost of pensions earned by employees. This UAAL results from actual results (interest earnings, member mortality, disability rates, etc.) being different from the assumptions used in previous actuarial valuations.

Annual Required Contribution (ARC) – the annual amount required to pay into the pension funds, as determined through annual actuarial valuations. It is comprised of two primary components: normal pension cost – which is the estimated cost of pension benefits earned by employees in the current year; and, amortization of UAAL – which is the cost needed to cover the unfunded portion of pensions earned by employees in previous years. The UAAL is collected over a period of time referred to as the amortization period. The ARC is a percentage of the current payroll.

Funded Ratio – a ratio of fund assets to actuarial accrued liability. The higher the ratio the better funded the pension is with 100% being fully funded.

Intergenerational equity – ensures that no generation is burdened by substantially more or less pension costs than past or future generations.

POLICY

1. City Council formally accepts by Resolution 201920-49xx the assets, liabilities, and current funding ratio of the City's PSPRS trust funds from the June 30, 20189 actuarial valuation, which are detailed below.

Trust Fund	Assets	Accrued Liability	Unfunded Actuarial Accrued Liability	Funded Ratio
Surprise Police	\$46,472,444 \$40,576,043	\$74,766,358 5,680,544	\$28,293,914 04,501	62.2% 61.8%
Surprise Fire	\$50,604,247 \$44,040,428	\$63,464,250 5,772,934	\$12,860,003 32,506	79.7% 79.0%
City of Surprise Totals	\$97,076,691 \$84,616,471	\$138,230,608 121,453,478	\$41,153,917 37,007	70.2% 69.7%

2. PSPRS Funding Goal

- A. The City Council's PSPRS funding ratio goal is 100% (fully funded) by June 30, 2036. City Council has established this goal for the following reasons:
 - i. The PSPRS trust funds represent only the City of Surprise's liability.
 - ii. A fully funded pension is the best way to achieve taxpayer and member intergenerational equity.

PROCEDURES

1. City Council plans to take the following actions to achieve this goal:
 - A. Maintain full Annual Required Contribution (ARC) payment (normal cost and Unfunded Actuarial Accrued Liability (UAAL) amortization) from operating funds. The estimated combined ARC for FY20201 is ~~\$6,226,353~~\$6,779,159.
 - B. Fund the fiscal year annual pension cost at the beginning of each fiscal year with the budgeted contribution amounts as estimated based on actuarial reports.

- i. The budgeted contribution amount will be based on the highest potential cost assuming that each qualifying position participating in PSPRS is fully staffed.
 - ii. If, during the course of the year, the required contribution amount exceeds the original budgeted amount, the City will contribute the additional funds on a per pay period basis to meet its funding obligations.
- C. The City Council plans to achieve its goal of 100% funding by June 30, 2036, in accordance with the amortization timeline set forth by the PSPRS June 30, 201~~8~~9 Actuarial Valuation.
- D. Finance Department staff will provide an annual update on the financial position of the PSPRS trust funds to City Council.

		Standard Operating Procedure PUBLIC SAFETY PENSION FUNDING	
PROCESS: Funding Ratio Goals for the City's Public Safety Pension Funds			
POLICY REFERENCE: Arizona Revised Statutes (A.R.S.) § 38-863.01			
ISSUE DATE: June 4, 2019 Resolution 2019-049		LAST AMENDED DATE: N/A	EFFECTIVE DATE: July 1, 2020 Resolution 2020-xx
FINANCE DIRECTOR APPROVAL:			

GENERALLY

Qualifying City of Surprise police and fire-medical employees participate in the Public Safety Personnel Retirement System (PSPRS). PSPRS is administered as an agent multiple-employer pension plan and health insurance premium benefit known as an OPEB. An agent multiple-employer plan has two main functions: 1) to comingle assets of all plans under its administration, thus achieving economy of scale for more cost efficient investments, and invest those assets for the benefit of all members under its administration and 2) serve as the statewide uniform administrator for the distribution of benefits.

Under an agent multiple-employer plan, each agency participating in the plan has an individual trust fund reflecting that agencies' assets and liabilities. Under this plan, all contributions are deposited to and distributions are made from that fund's assets, each fund has its own funded ratio and contribution rate, and each fund has a unique annual actuarial valuation. The City of Surprise has two trust funds, one for police employees and one for fire-medical employees.

PURPOSE

The intent of this document is to demonstrate the Surprise City Council's commitment to clearly communicate pension funding objectives, prudently manage the City's financial resources, and comply with new statutory requirements of Laws 2018, Chapter 112. This document will be reviewed and approved by City Council on an annual basis.

DEFINITIONS

Unfunded Actuarial Accrued Liability (UAAL) – the difference between trust assets and the estimated future cost of pensions earned by employees. This UAAL results from actual results (interest earnings, member mortality, disability rates, etc.) being different from the assumptions used in previous actuarial valuations.

Annual Required Contribution (ARC) – the annual amount required to pay into the pension funds, as determined through annual actuarial valuations. It is comprised of two primary components: normal pension cost – which is the estimated cost of pension benefits earned by employees in the current year; and, amortization of UAAL – which is the cost needed to cover the unfunded portion of pensions earned by employees in previous years. The UAAL is collected over a period of time referred to as the amortization period. The ARC is a percentage of the current payroll.

Funded Ratio – a ratio of fund assets to actuarial accrued liability. The higher the ratio the better funded the pension is with 100% being fully funded.

Intergenerational equity – ensures that no generation is burdened by substantially more or less pension costs than past or future generations.

POLICY

1. City Council formally accepts by Resolution 2020-xx the assets, liabilities, and current funding ratio of the City's PSPRS trust funds from the June 30, 2019 actuarial valuation, which are detailed below.

Trust Fund	Assets	Accrued Liability	Unfunded Actuarial Accrued Liability	Funded Ratio
Surprise Police	\$46,472,444	\$74,766,358	\$28,293,914	62.2%
Surprise Fire	\$50,604,247	\$63,464,250	\$12,860,003	79.7%
City of Surprise Totals	\$97,076,691	\$138,230,608	\$41,153,917	70.2%

2. PSPRS Funding Goal

- A. The City Council's PSPRS funding ratio goal is 100% (fully funded) by June 30, 2036. City Council has established this goal for the following reasons:
 - i. The PSPRS trust funds represent only the City of Surprise's liability.
 - ii. A fully funded pension is the best way to achieve taxpayer and member intergenerational equity.

PROCEDURES

1. City Council plans to take the following actions to achieve this goal:
 - A. Maintain full Annual Required Contribution (ARC) payment (normal cost and Unfunded Actuarial Accrued Liability (UAAL) amortization) from operating funds. The estimated combined ARC for FY2021 is \$6,779,159.
 - B. Fund the fiscal year annual pension cost at the beginning of each fiscal year with the budgeted contribution amounts as estimated based on actuarial reports.
 - i. The budgeted contribution amount will be based on the highest potential cost assuming that each qualifying position participating in PSPRS is fully staffed.

- ii. If, during the course of the year, the required contribution amount exceeds the original budgeted amount, the City will contribute the additional funds on a per pay period basis to meet its funding obligations.
- C. The City Council plans to achieve its goal of 100% funding by June 30, 2036, in accordance with the amortization timeline set forth by the PSPRS June 30, 2019 Actuarial Valuation.
- D. Finance Department staff will provide an annual update on the financial position of the PSPRS trust funds to City Council.



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Andrea Davis, DIRECTOR -
FINANCE

Submitting Department: Finance

District: Internal

Staff Recommendations: None

Consent: Yes

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action approving the Budget Amendment Policies and Procedures; Resolution #2020-52.

Motion:

I move to approve Resolution #2020-52.

Background:

The formal adoption of this policy coincides with the removal of budget amendment authority detail from the Comprehensive Financial Management Policies. Beginning in FY2021, staff has recommended the Comprehensive Financial Management Policies include reference to the Budget Amendment Policy and Procedures which will be approved by City Council resolution. This will minimize the potential for conflict that may arise when policy statements are maintained in multiple locations.

In addition, staff is recommending clarification only - each budget amendment requiring City Council authorization is accomplished by resolution.

Objective Analysis:

The City's financial policies provide the road map for financial operations and demonstrate the City's commitment to sound financial management practices.

Policy Compliant:

This item is compliant with City and Council policies.

Financial Impact:

None at this time; however, topics covered in this presentation could lead to future actions which may have a fiscal impact.

Budget Impact:

None at this time; however, topics covered in this presentation could lead to future actions which may have a budgetary impact.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Res 2020-52 Budget Amendment Policy
 2. FY2021 Budget Amendment Policy final 04162020
 3. FY2021 Budget Amendment Policy redline 04162020
-

RESOLUTION # 2020-52

**A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY
OF SURPRISE, ARIZONA ADOPTING THE BUDGET
AMENDMENT POLICIES AND PROCEDURES.**

WHEREAS, the City's required budget amendment authorization levels have been historically included as part of the Comprehensive Financial Management Policies adopted annually by City Council resolution;

WHEREAS, the Finance Department wishes to present the required budget amendment authorization levels to City Council for adoption by resolution as a separate document; and

WHEREAS, this action will coincide and support revisions that have been made to the Comprehensive Financial Management Policies.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The Budget Amendment Policies and Procedures for the City of Surprise, Arizona is hereby amended as set forth in *Exhibit A* attached hereto and incorporated by reference herein is adopted.

Section 2. The Finance Director is hereby authorized and directed to take the appropriate steps to disseminate the Budget Amendment Policies and Procedures as necessary.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A

BUDGET AMENDMENT POLICIES AND PROCEDURES

A. Purpose

The following policy and procedures are established to implement a consistent and efficient process by which the adopted city budget may be amended.

B. Policy

Throughout the course of the fiscal year, amendments to the budget are necessary to address new issues, increased prices, and changes in scope of existing projects. This policy applies to all budget amendments initiated by the Mayor and City Council, the City Manager's Office, and/or departments. The Finance Department shall finalize budget amendments following appropriate authorization per the schedule in Section D of this document and in accordance with the City's Comprehensive Financial Management Policies.

Adopted Level of Budgetary Control

The budget is appropriated by department within each fund. The Capital Improvement Plan (CIP) is appropriated by project.

C. Procedure

1. The requesting department shall prepare and submit to the Finance Department:
 - a. The draft Budget Amendment Resolution (if Council approval is required), and
 - b. A budget amendment journal with attached Budget Amendment Request form within the financial management system that has been approved by the Department Director or his/her designee.

The Finance Department budget point of contact shall review the request for availability of budget to be amended, appropriate authorization level, accuracy, and general reasonableness. The budget point of contact shall communicate any questions or comments to the department and recommend revisions as necessary. The budget point of contact shall then advance the budget amendment journal within the financial management system to the Assistant Finance Director if approved. If applicable, the draft Budget Amendment Resolution will be updated by the budget point of contact and returned to the department to initiate a Request for Legal Services and City Council agenda item.

2. The Assistant Finance Director or his/her designee shall review and approve the budget amendment journal. The journal shall then be advanced for the next approval as appropriate.
 - a. Amendments requiring Finance Director approval shall be reviewed and approved within the financial management system.
 - b. Amendments requiring City Manager approval shall be reviewed and approved within the financial management system.
 - c. Amendments requiring City Council approval shall be held within the financial management system by the Finance Department until City Council action is complete, if approved by City Council, then the Assistant Finance Director or his/her designee will approve.
 3. The Assistant Finance Director or his/her designee will post budget amendments in the financial management system, following appropriate authorization per the schedule in Section D of this document.
-

APPENDIX

Budget Amendment Policies and Procedures



D. Authorization Levels:

Type of Amendment	Category	Sub-Category	Authorization
Between Funds	All	All	City Council Resolution
Between Departments	All	All	City Council Resolution
Grants	Revenue Expense	Establishment/revision of a grant budget	City Council Resolution
Personnel	Full-time, part-time, overtime personnel	Between divisions	Department Director
	Part-time or overtime personnel	To/from any other category	City Manager
	Full-time Personnel	To/from part-time	City Manager
		From any other category	City Manager
		To any other category	City Council
		Any change in FTE count or count of FT positions	City Council Resolution
		Commodities/Supplies/ Contractual Services/Non-CIP Capital	Within a Department
Capital	Major CIP (including change in total amount and/or change in scope)	All	City Council Resolution
Contingency	All	All	City Council Resolution
Targeted Savings	All	All	Finance Director*
Carryforward	All	All	Finance Director*
Development Agreements and Debt Service Obligations	All	All	Finance Director*
Emergency Reserve	All	All	City Manager*

*The level of authorization for these types of amendments is based on the need to immediately restrict or allow expenses or reimbursements. The authorized approver shall provide a summary report to the City Council on the movement of these funds who will then take action on the necessary budget amendments by Resolution.

E. Relationship to Previously Established Policy

No qualifying statement, previously established rules or procedures shall be used to negate the spirit or intent of this statement of policy.

BUDGET AMENDMENT POLICIES AND PROCEDURES

A. Purpose

The following policy and procedures are established to implement a consistent and efficient process by which the adopted city budget may be amended.

B. Policy

Throughout the course of the fiscal year, amendments to the budget are necessary to address new issues, increased prices, and changes in scope of existing projects. This policy applies to all budget amendments initiated by the Mayor and City Council, the City Manager's Office, and/or departments. The Finance Department shall finalize budget amendments following appropriate authorization per the schedule in Section D of this document and in accordance with the City's Comprehensive Financial Management Policies.

Adopted Level of Budgetary Control

The budget is appropriated by department within each fund. The Capital Improvement Plan (CIP) is appropriated by project.

C. Procedure

1. The requesting department shall prepare and submit to the Finance Department:
 - a. The draft Budget Amendment Resolution (if Council approval is required), and
 - b. A budget amendment journal with attached Budget Amendment Request form within the financial management system that has been approved by the Department Director or his/her designee.

The Finance Department budget point of contact shall review the request for availability of budget to be amended, appropriate authorization level, accuracy, and general reasonableness. The budget point of contact shall communicate any questions or comments to the department and recommend revisions as necessary. The budget point of contact shall then advance the budget amendment journal within the financial management system to the Assistant Finance Director if approved. If applicable, the draft Budget Amendment Resolution will be updated by the budget point of contact and returned to the department to initiate a Request for Legal Services and City Council agenda item.

2. The Assistant Finance Director or his/her designee shall review and approve the budget amendment journal. The journal shall then be advanced for the next approval as appropriate.
 - a. Amendments requiring Finance Director approval shall be reviewed and approved within the financial management system.
 - b. Amendments requiring City Manager approval shall be reviewed and approved within the financial management system.
 - c. Amendments requiring City Council approval shall be held within the financial management system by the Finance Department until City Council action is complete, if approved by City Council, then the Assistant Finance Director or his/her designee will approve.
3. The Assistant Finance Director or his/her designee will post budget amendments in the financial management system, following appropriate authorization per the schedule in Section D of this document.

APPENDIX

Budget Amendment Policies and Procedures



D. Authorization Levels:

Type of Amendment	Category	Sub-Category	Authorization
Between Funds	All	All	City Council Resolution
Between Departments	All	All	City Council Resolution
Grants	Revenue Expense	Establishment/revision of a grant budget	City Council Resolution
Personnel	Full-time, part-time, overtime personnel	Between divisions	Department Director
	Part-time or overtime personnel	To/from any other category	City Manager
	Full-time Personnel	To/from part-time	City Manager
		From any other category	City Manager
		To any other category	City Council
		Any change in FTE count or count of FT positions	City Council Resolution
Commodities/Supplies/ Contractual Services/Non-CIP Capital	Within a Department	Between divisions or within a division	Department Director
Capital	Major CIP (including change in total amount and/or change in scope)	All	City Council Resolution
Contingency	All	All	City Council Resolution
Targeted Savings	All	All	Finance Director*
Carryforward	All	All	Finance Director*
Development Agreements and Debt Service Obligations	All	All	Finance Director*
Emergency Reserve	All	All	City Manager*

*The level of authorization for these types of amendments is based on the need to immediately restrict or allow expenses or reimbursements. The authorized approver shall provide a summary report to the City Council on the movement of these funds who will then take action on the necessary budget amendments by Resolution.

E. Relationship to Previously Established Policy

No qualifying statement, previously established rules or procedures shall be used to negate the spirit or intent of this statement of policy.



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Andrea Davis, DIRECTOR -
FINANCE

Submitting Department: Finance

District: Internal

Staff Recommendations: None

Consent: Yes

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Consideration and action approving amendments to the FY2021 Comprehensive Financial Management Policies; Resolution #2020-53.

Motion:

I move to approve Resolution #2020-53.

Background:

Comprehensive financial policies are an important element of solid financial structure and long-term financial planning. These policies, which are reviewed and updated annually, cover the areas of Operating Management, Capital Management, Debt Management, Minimum Fund Balance, and Financial Reporting. Beginning FY2021, staff is recommending the following revisions:

Operating Management Policies

- Remove detailed budget amendment authorization levels and replace with reference to the Budget Amendment Policies and Procedures which will be approved separately by City Council resolution. This will minimize the potential for conflict that may arise when policy statements are maintained in multiple locations.
- Remove the requirement to retain the first \$1.25 million received from transaction privilege tax on construction in the General Fund. Instead, 100% of this revenue source will be retained in the General Capital Fund.
- Replaced reference to the 'Tourism Advisory Board' with the 'Tourism Fund Subcommittee'

Capital Management Policies

- Removed restriction that prevented unspent asset replacement funding from rolling over to subsequent years. This will allow departments the ability to efficiently plan for asset replacement activities.
- Remove the requirement to retain the first \$1.25 million received from transaction privilege tax on construction in the General Fund. Instead, 100% of this revenue source will be retained in the General

Capital Fund.

- Addition of a new policy stating that a sustainable and consistent revenue source should be identified for asset replacement which will be increased incrementally each year until an adequate amount has been established. This will allow for the availability of funding to support the City's growing asset replacement needs.
- Addition of a new policy establishing separate asset replacement funds in the areas including, but not limited to, Information Technology/Communications, Fleet, Facilities, Roads, and Community Services. Funding will be allocated during annual budget process and each department will manage the funds accordingly. Unspent funds will carryover year to year.

Minimum Fund Balance Policies

- Removed redundancy in the General Fund minimum fund balance policy and clarified the intent to maintain 10% for an Emergency Reserve, 60% for an Operating Reserve, and 30% for a Stabilization Reserve. This does not change the reserve requirements or amount.
- Increased the reserve requirement in the Workers' Compensation Self-Insurance Trust Fund from \$1.5 million to \$3.0 million based on regulatory requirements and industry standards.
- Revised the Rate Stabilization Reserve within the Solid Waste Fund, Wastewater Fund, and Water Fund and establish a Rate Stabilization Reserve within the Stormwater Fund. This reserve will be calculated in an amount equal to 5% of revenue generated from charges for services and can be withdrawn to address revenue shortfalls or unforeseen expenditure increases. If used, the reserve must be fully replenished within four years.

Objective Analysis:

The City's financial policies provide the road map for financial operations and demonstrate the City's commitment to sound financial management practices.

Policy Compliant:

This item is compliant with City and Council policies.

Financial Impact:

Financial and budget policy updates

Budget Impact:

Financial and budget policy updates

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Res 2020-53 Comprehensive Financial Policies
 2. FY2021 Financial Policies final 05112020
 3. FY2021 Financial Policies redline 05112020
-

RESOLUTION # 2020-XX

**A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE,
ARIZONA UPDATING THE CITY OF SURPRISE COMPREHENSIVE FINANCIAL
MANAGEMENT POLICIES FOR FISCAL YEAR 2021.**

WHEREAS, the City desires to establish sound financial policies and principles to contribute to sound financial management continuity in handling financial affairs and preserving the City's fiscal integrity;

WHEREAS, the City currently has in place a set of Comprehensive Financial Management Policies, in order to achieve sound financial management continuity in handling its financial affairs and to preserve its fiscal integrity; and

WHEREAS, the City now desires to update the Comprehensive Financial Management Policies for the 2021 Fiscal Year.

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The Fiscal Year 2021 Comprehensive Financial Management Policies set forth in *Exhibit A* attached hereto and incorporated by reference herein is adopted effective beginning Fiscal Year 2021.

Section 2. The Finance Director is hereby authorized and directed to take the appropriate steps to incorporate the changes into the Comprehensive Financial Management Policies of the City of Surprise and disseminate the new policies as necessary.

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A

CITY OF SURPRISE, ARIZONA
COMPREHENSIVE FINANCIAL MANAGEMENT POLICIES
EFFECTIVE JULY 1, 2020

Introduction

The City Council's Strategic Plan Framework, goals, and objectives provide the foundation for the comprehensive financial management policies. The City's comprehensive financial policies provide the roadmap to achieve financial resiliency and demonstrate the City's commitment to sound financial management practices. As defined by the Government Finance Officers Association (GFOA), the City Council strives to build a financially resilient government through financial policies and long-term financial planning. The GFOA has identified eight characteristics of a financially resilient government:

1. Diversity: Avoid reliance on a single solution.
2. Redundancy: Avoid having only one path of rescue.
3. Decentralization: Centralized systems look strong, but failure is catastrophic.
4. Transparency: Make it easier to figure out where a problem may lie. Share plans and listen when people point out flaws.
5. Collaboration: Working together to become stronger.
6. Fail Gracefully: Failure happens. Make sure failure won't make things worse.
7. Flexibility: Be ready to change when plans aren't working. Don't expect stability.
8. Foresight: Think and prepare.

Financial policies contribute to increased public confidence and trust as well as provide clear direction to City staff concerning the diligence and stewardship with which public monies are to be managed. Adopted financial policies show our citizens, the credit rating industry, and prospective investors (bond buyers) the City's commitment to financial resiliency. These policies are presented in the following five areas:

1. Operating Management
2. Capital Management
3. Debt Management
4. Minimum Fund Balance
5. Financial Reporting

Operating Management Policies

1. All departments will participate in the responsibility of meeting policy goals and ensuring long-term financial resiliency.
 2. The budget shall be considered balanced if revenues plus use of fund balance are equal to or exceed total expenses, by fund. The budget process is intended to weigh all competing requests for City resources, within expected fiscal constraints.
 3. The City Budget is adopted by department within each fund and by project in the capital funds.
 4. The full-time equivalent (FTE) count and number of full-time positions are adopted by department within each fund.
 5. Budget amendments will be done in accordance with the Budget Amendment Policies and Procedures.
-

6. Long-range financial plans will be prepared to guide the City and ensure the delivery of needed services due to changes in the economy, service demands, and capital improvements.
7. Regional considerations and intergovernmental relationships will be evaluated to fund both operating services and capital projects.
8. The City Council will consider citizen input and review the operating and capital budget recommendations from an outcome and goals perspective.
9. A diversified revenue system will be developed to protect City services.
10. The City Council will set the amount to be received from primary property taxes annually. The amount is limited to one-hundred and two percent (102%) of the prior fiscal year's maximum allowable levy plus new construction and reimbursement for the prior calendar year's tort liability payments.
11. The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
12. The City currently imposes a four and fifty-two hundredths percent (4.52%) transaction privilege tax on transient lodging. The four and fifty-two hundredths percent (4.52%) tax rate is then split, with three and fifty-two hundredths percent (3.52%) recorded in the Tourism Fund to be used for promoting tourism and one percent (1.0%) recorded in the General Fund. The three and fifty-two hundredths percent (3.52%) recorded in the Tourism Fund has been committed by City Council to be used for promoting tourism. Of the amount recorded in the Tourism Fund, the Tourism Fund Subcommittee has designated that seventy-five percent (75%) is spent for sports tourism facility development and improvement and twenty-five percent (25%) on marketing, studies, and special events.
13. Water, Wastewater, Stormwater, and Solid Waste user fees and charges will be examined annually to ensure they recover all direct and indirect costs of service and will be approved by the City Council.
14. All user fees (excluding water, wastewater, stormwater, and solid waste) will be examined periodically to determine the direct and indirect cost of service recovery rate. The acceptable recovery rate and any associated changes to user fees and charges will be approved by the City Council.
15. Grant funding will be considered to leverage City funds and requires City Council approval prior to acceptance.
16. Cash balances identified for investments will be maintained in accordance with state law and the adopted investment policy to ensure that proper controls and safeguards are maintained. City funds will be managed with an emphasis on safety of principal, liquidity, and yield, in that order.
17. Employee compensation and benefits will be administered in accordance with the policy given by the City Council. Healthcare costs will be shared between the City and employees and this allocation will be evaluated annually.
18. The Healthcare Self-Insurance Trust Fund was created under the authority of Arizona Revised Statute § 11-981. The Board of Trustees is charged to administer the trust fund and "make recommendations to the City Council regarding trust fund programs, including amount of appropriations to assure stability and security of the trust fund."

19. An actuarial evaluation will be performed annually to determine the Incurred but Not Reported (IBNR) claim liability. This amount is required by accounting practices and represents the cost of unpaid claims (claims run-out), assuming the City stops being self-insured.
20. The City will optimize the efficiency and effectiveness of its services to reduce costs and improve service quality.
21. The City will maintain a methodology for allocating the City's indirect costs to service departments. A consultant may be hired to update the plan periodically.
22. All cash transfers between funds must be approved by City Council. Transfers to record capital assets within operating and capital funds are not presented to the City Council as these are administrative in nature.
23. All initial inter-fund loans must be approved by City Council.
24. All use of budgetary contingency accounts must be approved in accordance with the Budget Amendment Policies and Procedures prior to being expended.

Capital Management Policies

25. The City shall use an integrated approach to capital planning and financing in preparing a five-year Capital Improvement Plan. Only the first year of the plan will be adopted by the City Council.
 26. The Capital Improvement Plan will include funding to support repair and replacement of capital equipment and infrastructure. A high priority should be placed on those items where deferring maintenance will result in greater cost to restore or replace. Proposed capital projects will be prioritized based on the City Council's goals and objectives, the General Plan, and master plans.
 27. Future operating, maintenance, and replacement costs associated with new capital improvements will be included as a schedule within the annual budget document. Capital projects will include a fiscal impact statement disclosing the expected operating impact of the project and when such cost is expected to occur.
 28. All revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in the General Capital Fund.
 29. A sustainable and consistent revenue source should be identified so that a portion of this source may be dedicated to asset replacement funding. The amount dedicated to asset replacement will be incrementally increased each year until an adequate amount has been established as determined during the annual budget process.
 30. Separate asset replacement funds will be established in the areas including, but not limited to, Information Technology/Communications, Fleet, Facilities, Roads, and Community Services. The budget of each asset replacement fund will be managed by the appropriate department in order to meet the needs of their asset replacement program. As part of the annual budget process, asset replacement funding will be allocated across these funds and any unspent amount will carryover year to year.
 31. The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
 32. As permitted by state law, the City shall maintain a financial structure to ensure future development pays for itself and is not a burden on existing residents (i.e. "growth pays for growth"). Elements of this financial structure
-

include impact fees, development agreements, Improvement Districts (IDs) and Community Facility Districts (CFDs).

33. Impact fees for infrastructure attributable to new development will be reviewed at least every other year to ensure that fees recover all direct and indirect development-related expenses, as permitted by state law, and will be approved by the City Council.
34. Any capital assets dedicated or donated to the City such as infrastructure, land, right-of-ways, easements, etc. must be approved by the City Council which must include a valuation of the assets.

Debt Management Policies

35. The City shall periodically report measurable steps taken in striving towards achieving and maintaining the highest possible bond ratings. This will minimize borrowing costs, optimize access to credit, and demonstrate excellent financial stewardship on behalf of our residents.
36. An analysis showing how a new debt issue combined with current outstanding debt impacts the City's debt capacity and conformance with City debt policies will accompany every proposal.
37. General Obligation debt, which is supported by property tax revenues, will be utilized as authorized by voters. Other types of voter-approved debt (e.g. water and wastewater) may also be utilized when they are supported by dedicated revenue sources (e.g. fees and user charges).
38. Municipal Property Corporation, trust agreements, and contractual debt, all of which are non-voter approved, will be utilized only when approved by City Council.
39. Improvement District (ID) and Community Facility District (CFD) bonds shall be permitted only when there is a general City benefit as defined and approved by the City Council.
40. Utility rates will be established to ensure the ratio of net revenues to debt service meets bond indenture requirements.
41. The Arizona Constitution provides that the general obligation bonded indebtedness for a city may not exceed twenty percent (20%) of the net secondary assessed valuation of the taxable property of the city for projects for purposes of water, wastewater, artificial light, open space preserves, parks and recreational facilities, public safety, law enforcement, fire and emergency services facilities, streets, and transportation facilities. Outstanding general obligation bonded indebtedness for all other purposes may not exceed six percent (6%) of the City's net secondary assessed valuation.
42. The City will follow appropriate procedures with regard to obligations under continuing disclosure undertakings as identified by the Securities and Exchange Commission under the Securities Exchange Act of 1934.
43. The City will follow appropriate procedures with regard to tax exempt obligations as identified by the Internal Revenue Code of 1986.

Minimum Fund Balance Policies

44. Minimum fund balances are not intended to be spent. The purpose of the minimum fund balance is to ensure the City has adequate resources to meet its needs. If the necessity arises to draw down a fund balance below the minimum requirements that have been set, a plan to replenish the minimum fund balance will be presented to the City Council for approval.

45. Minimum fund balance requirements will be evaluated annually for long-term adequacy and use requirements.

46. The City has formally adopted a minimum fund balance policy for the following governmental funds:

- a. The General Fund will maintain a reserve equal to two months of budgeted personnel, supplies, and services for the General Fund, Ground Ambulance Fund, and Highway User Revenue Fund. This amount will be allocated across a three-part reserve as follows:
 - i. Ten percent (10%) will be dedicated to an Emergency Reserve for unexpected, large-scale expenses resulting from events where immediate, remedial action must be taken to protect the health and safety of residents, all unassigned fund balance has been exhausted, and no amount previously appropriated by the City Council is otherwise available. Any use of the Emergency Reserve must be approved by the City Manager or designee. When this occurs, the City Manager shall provide a summary report to the City Council as soon as practical on the usage of these funds and have City Council approve any necessary budget amendments. At that time, the City Manager will also present a plan to restore the Emergency Reserve within the next fiscal year following the fiscal year in which the event occurred.
 - ii. Sixty percent (60%) will be dedicated to an Operating Reserve for unexpected events such as failure of the state to remit revenues to the City, loss of state shared revenues, or other impairment of a significant funding source for the remainder of the fiscal year. The Operating Reserve may also be used for unexpected mandates or other events that cause the City to incur unplanned expenses. The Operating Reserve allows for the continuance of critical City services due to these unanticipated events and is done so after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Operating Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan that projects to restore the Operating Reserve within two fiscal years following the fiscal year in which the event occurred.
 - iii. Thirty percent (30%) will be dedicated to a Stabilization Reserve to provide funding to offset reductions in revenues resulting from fluctuations in the economic cycle that cannot be otherwise absorbed by the operating budget. The reserve funds will provide time for the City to restructure its operations in a deliberate manner to ensure continuance of critical City activities and is used after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Budget Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Budget Stabilization Reserve within the three fiscal years following the fiscal year in which the event occurred.
 - b. General Capital Fund of \$1.0M
 - c. Transportation Improvement Fund of \$0.5M
 - d. Street Light Improvement Districts (SLIDs). SLIDs have a maximum levy limit of \$1.20 per \$100 of assessed valuation in accordance with A.R.S. § 48-616. To the extent that the levy limit has not been exceeded, taxes will be levied at a rate that will approach an individual ending fund balance reserve of five percent (5%) of its budgeted annual expenses.
 - e. Tourism Fund of \$5,000.
 - f. The Spring Training Ticket Surcharge Fund will have a minimum fund balance of \$600,000. Any excess fund balance remaining as of June 30 shall be remitted to the General Fund.
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- g. The Water Fund will have a four-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Water Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.
 - iv. The City will maintain a Resource Portfolio Reserve equal to fifteen percent (15%) of the total cost of delivery and capital charges for Municipal and Industrial plus the Phoenix Active Management Area (AMA) Underground Storage charges multiplied by the total amount of the City's Central Arizona Project (CAP) allocation.
- h. The Wastewater Fund will have a three-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Wastewater Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.
- i. The Stormwater Fund will have a three-part reserve as follows:
 - i. The City will maintain an amount equal to the average budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the Stormwater Fund.
 - ii. The City will maintain an amount equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year for repair and replacement.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total revenues collected through charges for services. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may

cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.

- j. The Solid Waste Fund will have a four-part reserve as follows:
 - i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Solid Waste Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.
 - iv. As the Solid Waste Utility has excess revenues, the City will maintain a phased Contingency Reserve equal to one-half percent (0.5%) beginning in FY2022 and increased to one percent (1%) for each subsequent year through FY2024.
- k. The Risk Management Fund will maintain an amount that, together with purchased insurance policies, will adequately indemnify the City. The appropriate funding level will be set at three times the maximum annual loss of \$250,000 which is equal to \$750,000, which will be approved by the City Council.
- l. The Healthcare Self-Insurance Trust Fund ("Trust Fund") will maintain an amount at a level which, together with purchased insurance policies (individual and aggregate stop loss), will adequately indemnify the City. The City has established an Adverse Times Reserve. The purpose of this reserve is to address cash flow needs caused by periods in which claim payments exceed projections. The target amount of this reserve is at least twenty-five percent (25%) of expected annual claims. If, at any time prior to the end of the fiscal year, the Trust Fund's target reserve is met and fully funded for the entire fiscal year based on the original budget projections approved by the City Council, the Finance Director shall document such funding and, after consulting with the City Manager, may conduct an evaluation of the claims incurred by the Trust Fund year to date, and if fiscally and financially prudent based on the claims incurred, Transfer from the City's various operating funds only that portion of the Employer premium necessary to cover actual claims incurred, such that the Trust Fund revenues are equal to the Trust Fund expenses, and the Trust Fund account experiences a zero change in net position. At all times the City will continue to transfer and deposit into the Trust Fund 100% of the monthly employee premiums collected.
- m. The Workers' Compensation Self-Insurance Trust Fund will maintain an amount which, together with the purchased excess insurance policy will adequately indemnify the City. The City has established an Adverse Times Reserve of \$3,000,000. The purpose of this reserve is to maintain the regulatory required reserve and industry standard reserve

Financial Reporting Policies

47. The City's Finance Director will develop standard operating procedures to ensure the City's accounting and financial reporting systems are maintained in conformance with all state and federal laws, Generally Accepted Accounting Principles (GAAP) and the standards of the Governmental Accounting Standards Board (GASB).
48. An annual audit will be performed by an independent public accounting firm. The City will prepare a Comprehensive Annual Financial Report (CAFR) with the objective of receiving an unmodified ("clean") audit opinion. The independent auditor will present and discuss audit findings regarding internal controls and operational issues to the Audit Committee at a public meeting.

CAFR Fund Balance Reporting

1. The hierarchy from least spendable to most spendable fund balance for governmental funds of the City shall be: non-spendable, restricted, committed, assigned and unassigned. When funds are available from multiple classifications, it is the City's policy to utilize the most restrictive funding first.
 2. Non-spendable fund balances are determined solely by their form.
 3. Restricted fund balances are determined solely by the constraints placed on the use of the resources.
 4. Committed fund balance represents amounts that have been constrained to a specific use by the formal action of the City's highest level of decision-making authority, the City Council. A majority vote of the City Council is necessary to establish, modify, or rescind a fund balance commitment.
 5. The City has elected the following commitments of fund balance to be standardized from year to year.
 - a. A commitment for repair and replacement of general government vehicles and other rolling stock will be maintained based upon lifecycle replacement plans prepared annually. This commitment shall be maintained in the Vehicle Replacement Fund.
 - b. A commitment of a one and one-half percent (1.5%) construction sales tax to be used solely for the purposes of paying costs related to new roadways and to refurbish existing transportation corridors, to be maintained in the Transportation Improvement Fund (Ordinance No. 05-13).
 - c. In addition to the two and fifty-two hundredths percent (2.52%) transient lodging tax restricted by state statute, a commitment of an additional 1.0% transient lodging tax for a total of three and fifty-two hundredths percent (3.52%) will be used to promote tourism and be maintained in the Tourism Fund (Ordinance No. 2010-04).
 6. In order to be reported as committed fund balance in the CAFR the City Council must approve the commitments prior to June 30th. However, the amount of the commitment may be determined after June 30th.
 7. Amounts that have been constrained by the City's intent to be used for a specific purpose and are neither restricted nor committed are reported as assigned fund balance. The City Council has designated the authority to assign amounts to be used for specific purposes to the Chief Financial Officer (CFO).
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- 49. The City's CAFR will be submitted annually to the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting program.
- 50. The City's Budget will be submitted to the Government Finance Officers Association (GFOA) Distinguished Budget Presentation program.
- 51. A financial report will be presented to the City Council no less than quarterly.

CITY OF SURPRISE, ARIZONA
COMPREHENSIVE FINANCIAL MANAGEMENT POLICIES
EFFECTIVE JULY 1, ~~2019~~2020

Introduction

The City Council's Strategic Plan Framework, goals, and objectives provide the foundation for the comprehensive financial management policies. The City's comprehensive financial policies provide the roadmap to achieve financial resiliency and demonstrate the City's commitment to sound financial management practices. As defined by the Government Finance Officers Association (GFOA), the City Council strives to build a financially resilient government through financial policies and long-term financial planning. The GFOA has identified eight characteristics of a financially resilient government:

1. Diversity: Avoid reliance on a single solution.
2. Redundancy: Avoid having only one path of rescue.
3. Decentralization: Centralized systems look strong, but failure is catastrophic.
4. Transparency: Make it easier to figure out where a problem may lie. Share plans and listen when people point out flaws.
5. Collaboration: Working together to become stronger.
6. Fail Gracefully: Failure happens. Make sure failure won't make things worse.
7. Flexibility: Be ready to change when plans aren't working. Don't expect stability.
8. Foresight: Think and prepare.

Financial policies contribute to increased public confidence and trust as well as provide clear direction to City staff concerning the diligence and stewardship with which public monies are to be managed. Adopted financial policies show our citizens, the credit rating industry, and prospective investors (bond buyers) the City's commitment to financial resiliency. These policies are presented in the following five areas:

1. Operating Management
2. Capital Management
3. Debt Management
4. Minimum Fund Balance
5. Financial Reporting

Operating Management Policies

1. All departments will participate in the responsibility of meeting policy goals and ensuring long-term financial resiliency.
2. The budget shall be considered balanced if revenues plus use of fund balance are equal to or exceed total expenses, by fund. The budget process is intended to weigh all competing requests for City resources, within expected fiscal constraints.
3. The City Budget is adopted by department within each fund and by project in the capital funds.
4. The full-time equivalent (FTE) count and number of full-time positions are adopted by department within each fund.

4.5. Budget amendments will be done in accordance with the Budget Amendment Policies and Procedures.

- ~~5. City Council has the authority to amend the adopted budget for movement between funds or departments; movement from full-time personnel to any other category; any change to the full-time equivalent (FTE) count or number of full-time positions; any change to grant or major Capital Improvement Plan (CIP) projects; and all use of contingency.~~
- ~~6. The City Manager has the authority to amend the adopted budget for use of the Emergency Reserve; movement between part-time personnel and full-time personnel; movement of part-time personnel to or from any other category; movement of overtime personnel to or from any other category; and movement to full-time personnel from any other category. The City Manager shall provide a summary report to the City Council on any use of the Emergency Reserve who will then take action on the necessary budget amendment by Resolution.~~
- ~~7. The Finance Director has the authority to amend the adopted budget related to targeted savings; carryforward; and development agreements or debt service obligations when the agreement has been previously approved by City Council. The Finance Director shall provide a summary report to the City Council on the movement of these funds who will then take action on the necessary budget amendment by Resolution.~~
- ~~8. Department Directors have the authority to amend the adopted budget for the movement of supplies, services, non-CIP capital, and personnel between divisions.~~
- ~~9.6.~~ Long-range financial plans will be prepared to guide the City and ensure the delivery of needed services due to changes in the economy, service demands, and capital improvements.
- ~~10.7.~~ Regional considerations and intergovernmental relationships will be evaluated to fund both operating services and capital projects.
- ~~11.8.~~ The City Council will consider citizen input and review the operating and capital budget recommendations from an outcome and goals perspective.
- ~~12.9.~~ A diversified revenue system will be developed to protect City services.
- ~~13.10.~~ The City Council will set the amount to be received from primary property taxes annually. The amount is limited to one-hundred and two percent (102%) of the prior fiscal year's maximum allowable levy plus new construction and reimbursement for the prior calendar year's tort liability payments.
- ~~14. To ensure that the City does not become overly reliant on "one-time" revenues for operating needs, the first \$1.25 million received in revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in the General Fund. Any additional amount will be recorded in the General Capital Fund and will be used to fund the Capital Improvement Plan.~~
- ~~15.11.~~ The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.
- ~~16.12.~~ The City currently imposes a four and fifty-two hundredths percent (4.52%) transaction privilege tax on transient lodging. The four and fifty-two hundredths percent (4.52%) tax rate is then split, with three and fifty-two hundredths percent (3.52%) recorded in the Tourism Fund to be used for promoting tourism and one percent (1.0%) recorded in the General Fund. The three and fifty-two hundredths percent (3.52%) recorded in the Tourism Fund has been committed by City Council to be used for promoting tourism. Of the amount recorded in the Tourism Fund, the Tourism ~~Advisory Board~~Fund Subcommittee has designated that seventy-five percent (75%) is spent for sports tourism facility development and improvement and twenty-five percent (25%) on marketing, studies, and special events.

13. Water, Wastewater, Stormwater, and Solid Waste user fees and charges will be examined annually to ensure they recover all direct and indirect costs of service and will be approved by the City Council.
- 17-14. All user fees (excluding water, wastewater, stormwater, and solid waste) will be examined periodically to determine the direct and indirect cost of service recovery rate. The acceptable recovery rate and any associated changes to user fees and charges will be approved by the City Council.
- 18-15. Grant funding will be considered to leverage City funds and requires City Council approval prior to acceptance.
- 19-16. Cash balances identified for investments will be maintained in accordance with state law and the adopted investment policy to ensure that proper controls and safeguards are maintained. City funds will be managed with an emphasis on safety of principal, liquidity, and yield, in that order.
- 20-17. Employee compensation and benefits will be administered in accordance with the policy given by the City Council. Healthcare costs will be shared between the City and employees and this allocation will be evaluated annually.
- 21-18. The Healthcare Self-Insurance Trust Fund was created under the authority of Arizona Revised Statute § 11-981. The Board of Trustees is charged to administer the trust fund and “make recommendations to the City Council regarding trust fund programs, including amount of appropriations to assure stability and security of the trust fund.”
- 22-19. An actuarial evaluation will be performed annually to determine the Incurred but Not Reported (IBNR) claim liability. This amount is required by accounting practices and represents the cost of unpaid claims (claims run-out), assuming the City stops being self-insured.
- 23-20. The City will optimize the efficiency and effectiveness of its services to reduce costs and improve service quality.
- 24-21. The City will maintain a methodology for allocating the City's indirect costs to service departments. A consultant may be hired to update the plan periodically.
- 25-22. All cash transfers between funds must be approved by City Council. Transfers to record capital assets within operating and capital funds are not presented to the City Council as these are administrative in nature.
- 26-23. All initial inter-fund loans must be approved by City Council.
- 27-24. All use of budgetary contingency accounts must be approved in accordance with the Budget Amendment Policies and Procedures by City Council prior to being expended.

Capital Management Policies

- 28-25. The City shall use an integrated approach to capital planning and financing in preparing a five-year Capital Improvement Plan. Only the first year of the plan will be adopted by the City Council.
- 29-26. The Capital Improvement Plan will include funding to support repair and replacement of capital equipment and infrastructure. ~~If not fully expended within the fiscal year it is appropriated, funding to support repair and replacement of capital equipment and infrastructure will not rollover to subsequent years.~~ A high

priority should be placed on those items where deferring maintenance will result in greater cost to restore or replace. Proposed capital projects will be prioritized based on the City Council's goals and objectives, the General Plan, and master plans.

~~30-27.~~ Future operating, maintenance, and replacement costs associated with new capital improvements will be included as a schedule within the annual budget document. Capital projects will include a fiscal impact statement disclosing the expected operating impact of the project and when such cost is expected to occur.

~~28. The first \$1.25 million received in~~ All revenues from the two and two-tenths percent (2.2%) transaction privilege tax on construction will be retained in ~~the the General Fund. Any additional amount will be recorded in the General Capital Fund and will be used to fund the Capital Improvement Plan~~ General Capital Fund.

~~29. A sustainable and consistent revenue source should~~ will be identified so that a portion of this source may be dedicated to ~~additional~~ asset replacement funding. ~~Beginning in FY2021, a portion n amount from of dedicated retained in the~~ The amount dedicated to asset replacement Fund to be ~~and~~ will be incrementally increased each year until an adequate amount has been established ~~within the Asset Replacement Fund as determined during the annual budget process.~~

~~31.~~

~~30. Separate asset replacement funds will be established in the areas including, but not limited to, Information Technology/Communications, Fleet, Facilities, Roads, and Community Services. and~~ The budget of each asset replacement fund will be managed ~~maintained by the appropriate each~~ department in order to meet the needs of ~~department for~~ their asset replacement program: ~~address the following areas of n.~~ As part of the annual budget process, asset replacement funding will be allocated across these funds and any unspent amount will carryover year to year.

~~32-31.~~ The City currently imposes an additional one and one-half percent (1.5%) transaction privilege tax on construction dedicated to the construction of new roadways and to refurbishing existing transportation corridors. The revenue is recorded in the Transportation Improvement Fund and will be used to fund transportation projects in the Capital Improvement Plan.

~~32.~~ As permitted by state law, the City shall maintain a financial structure to ensure future development pays for itself and is not a burden on existing residents (i.e. "growth pays for growth"). Elements of this financial structure include impact fees, development agreements, Improvement Districts (IDs) and Community Facility Districts (CFDs).

33. Impact fees for infrastructure attributable to new development will be reviewed at least every other year to ensure that fees recover all direct and indirect development-related expenses, as permitted by state law, and will be approved by the City Council.

~~34.~~ Any capital assets dedicated or donated to the City such as infrastructure, land, right-of-ways, easements, etc. must be approved by the City Council which must include a valuation of the assets.

Debt Management Policies

~~34-35.~~ The City shall periodically report measurable steps taken in striving towards achieving and maintaining the highest possible bond ratings. This will minimize borrowing costs, optimize access to credit, and demonstrate excellent financial stewardship on behalf of our residents.

~~35-36.~~ An analysis showing how a new debt issue combined with current outstanding debt impacts the City's debt capacity and conformance with City debt policies will accompany every proposal.

- ~~36-37.~~ General Obligation debt, which is supported by property tax revenues, will be utilized as authorized by voters. Other types of voter-approved debt (e.g. water and wastewater) may also be utilized when they are supported by dedicated revenue sources (e.g. fees and user charges).
- ~~37-38.~~ Municipal Property Corporation, trust agreements, and contractual debt, all of which are non-voter approved, will be utilized only when approved by City Council.
- ~~38-39.~~ Improvement District (ID) and Community Facility District (CFD) bonds shall be permitted only when there is a general City benefit as defined and approved by the City Council.
- ~~39-40.~~ Utility rates will be established to ensure the ratio of net revenues to debt service meets bond indenture requirements.
- ~~40-41.~~ The Arizona Constitution provides that the general obligation bonded indebtedness for a city may not exceed twenty percent (20%) of the net secondary assessed valuation of the taxable property of the city for projects for purposes of water, wastewater, artificial light, open space preserves, parks and recreational facilities, public safety, law enforcement, fire and emergency services facilities, streets, and transportation facilities. Outstanding general obligation bonded indebtedness for all other purposes may not exceed six percent (6%) of the City's net secondary assessed valuation.
- ~~41-42.~~ The City will follow appropriate procedures with regard to obligations under continuing disclosure undertakings as identified by the Securities and Exchange Commission under the Securities Exchange Act of 1934.
- ~~42-43.~~ The City will follow appropriate procedures with regard to tax exempt obligations as identified by the Internal Revenue Code of 1986.

Minimum Fund Balance Policies

- ~~43-44.~~ Minimum fund balances are not intended to be spent. The purpose of the minimum fund balance is to ensure the City has adequate resources to meet its needs. If the necessity arises to draw down a fund balance below the minimum requirements that have been set, a plan to replenish the minimum fund balance will be presented to the City Council for approval.
- ~~44-45.~~ Minimum fund balance requirements will be evaluated annually for long-term adequacy and use requirements.
- ~~45-46.~~ The City has formally adopted a minimum fund balance policy for the following governmental funds:
- a. The General Fund will maintain a reserve equal to two months of budgeted personnel, supplies, and services for the General Fund, Ground Ambulance Fund, and Highway User Revenue Fund. This amount will be allocated across have a three-part reserve as follows:
 - i. ~~The City will maintain~~Ten percent (10%) will be dedicated to an Emergency Reserve ~~in the General Fund of one and sixty-seven hundredths percent (1.67%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Emergency Reserve is~~ for unexpected, large-scale expenses resulting from events where immediate, remedial action must be taken to protect the health and safety of residents, all unassigned fund balance has been exhausted, and no amount previously appropriated by the City Council is otherwise available. Any use of the Emergency Reserve must be approved by the City Manager or designee. When this occurs, the City Manager shall

provide a summary report to the City Council as soon as practical on the usage of these funds and have City Council approve any necessary budget amendments. At that time, the City Manager will also present a plan to restore the Emergency Reserve ~~to the one and sixty-seven hundredths percent (1.67%) level~~ within the next fiscal year following the fiscal year in which the event occurred.

- ii. ~~The City will maintain an additional Sixty percent (60%) will be dedicated to an General Fund Operating Reserve in the amount of ten percent (10%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Operating Reserve is~~ for unexpected events such as failure of the state to remit revenues to the City, loss of state shared revenues, or other impairment of a significant funding source for the remainder of the fiscal year. The Operating Reserve may also be used for unexpected mandates or other events that cause the City to incur unplanned expenses. The Operating Reserve allows for the continuance of critical City services due to these unanticipated events and is done so after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Operating Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan that projects to restore the Operating Reserve ~~to the ten percent (10%) level~~ within two fiscal years following the fiscal year in which the event occurred.
- iii. ~~The City will maintain an additional Thirty percent (30%) will be dedicated to a General Fund Budget Stabilization Reserve in the amount of five percent (5%) of the average of budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the General Fund, Ground Ambulance Fund, and the Highway User Revenue Fund. The Budget Stabilization Reserve is used~~ to provide funding to offset reductions in revenues resulting from fluctuations in the economic cycle that cannot be otherwise absorbed by the operating budget. The reserve funds will provide time for the City to restructure its operations in a deliberate manner to ensure continuance of critical City activities and is used after all unassigned fund balance has been exhausted and no amount previously appropriated by the City Council is otherwise available. Any use of the Budget Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Budget Stabilization Reserve ~~to the five percent (5%) level~~ within the three fiscal years following the fiscal year in which the event occurred.

- b. General Capital Fund of \$1.0M
- c. Transportation Improvement Fund of \$0.5M
- d. Street Light Improvement Districts (SLIDs). SLIDs have a maximum levy limit of \$1.20 per \$100 of assessed valuation in accordance with A.R.S. § 48-616. To the extent that the levy limit has not been exceeded, taxes will be levied at a rate that will approach an individual ending fund balance reserve of five percent (5%) of its budgeted annual expenses.
- e. Tourism Fund of \$5,000.
- f. The Spring Training Ticket Surcharge Fund will have a minimum fund balance of \$600,000. Any excess fund balance remaining as of June 30 shall be remitted to the General Fund.

g. The Water Fund will have a four-part reserve as follows:

- i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Water Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue. ~~budgeted operating sources for that year's Council Adopted Budget for the Water Fund.~~ Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.
 - iv. The City will maintain a Resource Portfolio Reserve equal to fifteen percent (15%) of the total cost of delivery and capital charges for Municipal and Industrial plus the Phoenix Active Management Area (AMA) Underground Storage charges multiplied by the total amount of the City's Central Arizona Project (CAP) allocation.
- h. The Wastewater Fund will have a three-part reserve as follows:
- i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Wastewater Fund.
 - ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue. ~~budgeted operating sources for that year's Council Adopted Budget for the Wastewater Fund.~~ Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.
- i. The Stormwater Fund will have a ~~two~~three-part reserve as follows:
- i. The City will maintain an amount equal to the average budgeted personnel, supplies, and services expenses over a two-month period for that year's Council Adopted Budget for the Stormwater Fund.
 - ii. The City will maintain an amount equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year for repair and replacement.
 - iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total revenues collected through charges for services. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City

Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.

j. The Solid Waste Fund will have a four-part reserve as follows:

i. The City will maintain an Operating Reserve equal to the average of budgeted personnel, supplies, and services expenses over a three-month period for that year's Council Adopted Budget for the Solid Waste Fund.

ii. The City will maintain an Asset Reserve equal to two percent (2%) of tangible capital assets of the system as of June 30 from the previous fiscal year.

iii. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total charges for services revenue budgeted operating sources for that year's Council Adopted Budget for the Solid Waste Fund. The City will maintain a Rate Stabilization Reserve equal to five percent (5%) of the total revenues collected through charges for services. Monies may be withdrawn from this reserve to supplement operating revenue shortfalls caused by various economic factors which may cause either reduced revenues or an unforeseen increase in expenses. Any use of the Rate Stabilization Reserve, and associated budget amendments, must be approved by the City Council and include a repayment plan, based on a multi-year financial projection, that plans to restore the Rate Stabilization Reserve within the four fiscal years following the fiscal year in which the event occurred.

ii.iv. As the Solid Waste Utility has excess revenues, the City will maintain a phased Contingency Reserve equal to one-half percent (0.5%) beginning in FY2022 and increased to one percent (1%) for each subsequent year through FY2024.

k. The Risk Management Fund will maintain an amount that, together with purchased insurance policies, will adequately indemnify the City. The appropriate funding level will be set at three times the maximum annual loss of \$250,000 which is equal to \$750,000, which will be approved by the City Council.

k.

2.

b. The Healthcare Self-Insurance Trust Fund ("Trust Fund") will maintain an amount at a level which, together with purchased insurance policies (individual and aggregate stop loss), will adequately indemnify the City. The City has established an Adverse Times Reserve. The purpose of this reserve is to address cash flow needs caused by periods in which claim payments exceed projections. The target amount of this reserve is at least twenty-five percent (25%) of expected annual claims. If, at any time prior to the end of the fiscal year, the Trust Fund's target reserve is met and fully funded for the entire fiscal year based on the original budget projections approved by the City Council, the Finance Director shall document such funding and, after consulting with the City Manager, may conduct an evaluation of the claims incurred by the Trust Fund year to date, and if fiscally and financially prudent based on the claims incurred, Transfer from the City's various operating funds only that portion of the Employer premium necessary to cover actual claims incurred, such that the Trust Fund revenues are equal to the Trust Fund expenses, and the Trust Fund account experiences a zero change in net position. At all times the City will continue to transfer and deposit into the Trust Fund 100% of the monthly employee premiums collected.

b.l.

e.m. The Workers' Compensation Self-Insurance Trust Fund will maintain an amount which, together with the purchased excess insurance policy will adequately indemnify the City. ~~The Industrial~~

Commission required reserve is \$1,500,000. The City has established an Adverse Times Reserve of \$3,000,000. The purpose of this reserve is to maintain the regulatory required reserve and industry standard reserve

Financial Reporting Policies

46-47. The City's Finance Director will develop standard operating procedures to ensure the City's accounting and financial reporting systems are maintained in conformance with all state and federal laws, Generally Accepted Accounting Principles (GAAP) and the standards of the Governmental Accounting Standards Board (GASB).

47-48. An annual audit will be performed by an independent public accounting firm. The City will prepare a Comprehensive Annual Financial Report (CAFR) with the objective of receiving an unmodified ("clean") audit opinion. The independent auditor will present and discuss audit findings regarding internal controls and operational issues to the Audit Committee at a public meeting.

CAFR Fund Balance Reporting

1. The hierarchy from least spendable to most spendable fund balance for governmental funds of the City shall be: non-spendable, restricted, committed, assigned and unassigned. When funds are available from multiple classifications, it is the City's policy to utilize the most restrictive funding first.
2. Non-spendable fund balances are determined solely by their form.
- 2.
3. Restricted fund balances are determined solely by the constraints placed on the use of the resources.
4. Committed fund balance represents amounts that have been constrained to a specific use by the formal action of the City's highest level of decision-making authority, the City Council. A majority vote of the City Council is necessary to establish, modify, or rescind a fund balance commitment.
5. The City has elected the following commitments of fund balance to be standardized from year to year.
 - a. A commitment for repair and replacement of general government vehicles and other rolling stock will be maintained based upon lifecycle replacement plans prepared annually. This commitment shall be maintained in the Vehicle Replacement Fund.
 - b. A commitment of a one and one-half percent (1.5%) construction sales tax to be used solely for the purposes of paying costs related to new roadways and to refurbish existing transportation corridors, to be maintained in the Transportation Improvement Fund (Ordinance No. 05-13).
 - c. In addition to the two and fifty-two hundredths percent (2.52%) transient lodging tax restricted by state statute, a commitment of an additional 1.0% transient lodging tax for a total of three and fifty-two hundredths percent (3.52%) will be used to promote tourism and be maintained in the Tourism Fund (Ordinance No. 2010-04).

6. In order to be reported as committed fund balance in the CAFR the City Council must approve the commitments prior to June 30th. However, the amount of the commitment may be determined after June 30th.
7. Amounts that have been constrained by the City's intent to be used for a specific purpose and are neither restricted nor committed are reported as assigned fund balance. The City Council has designated the authority to assign amounts to be used for specific purposes to the Chief Financial Officer (CFO).

~~48-49.~~ The City's CAFR will be submitted annually to the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting program.

~~49-50.~~ The City's Budget will be submitted to the Government Finance Officers Association (GFOA) Distinguished Budget Presentation program.

~~50-51.~~ A financial report will be presented to the City Council no less than quarterly.



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020 Contact Person: Adam Lane
Submitting Department: Human Svcs and Comm District: Citywide
Vitality
Staff Recommendations: None

Consent: No	Regular: Yes	Public Hearing: No	Report/Discussion: No
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Agenda Wording:

Consideration and action pertaining to approval of the 2020-2024 Five-Year Consolidated Plan, Analysis of Impediments to Fair Housing Choice, and the Program Year 2020 Annual Action Plan.

Motion:

I move to approve the 2020-2024 Five-Year Consolidated Plan, the Analysis of Impediments to Fair Housing Choice, and the Program Year 2020 Annual Action Plan for submission to HUD.

Background:

As a recipient of Community Development Block Grant (CDBG) and HOME Investment Partnership funds, the City of Surprise is required to complete a multi-year Consolidated Plan that serves as a strategic plan to identify needs of the community, and set funding priorities to address those needs. In addition, the City must complete an Analysis of Impediments to Fair Housing Choice (AI), the first step in the City's effort to affirmatively further fair housing.

A key feature to these grants from the Department of Housing and Urban Development (HUD), is the City's ability to choose how the funds will be used. HUD provides a wide range of eligible activities that can be utilized with funding. The City must determine the most pressing needs of the community, and develop effective, market-driven strategies to meet those needs.

First, the Needs Assessment (NA) and Market Analysis (MA) outline levels of relative need in the areas of affordable housing, homelessness, special needs, and community development. This information is gathered through several methods, including consultation with local agencies, public outreach, a review of demographic and economic data sets, and a housing market analysis. Once finished, these portions of the Consolidated Plan form the basis of the Strategic Plan. This strategic plan provides an outline of actions for the community as it works toward meeting the housing and community development needs of its low and moderate-income and special needs households.

The development of the plan also considered the results of the comprehensive human services needs assessment that was completed for the community. The plan works to directly address the needs identified in Human Services & Community Vitality in Surprise – A Community That Cares, and the feedback received from residents and community partners.

Objective Analysis:

As a recipient of Community Development Block Grant (CDBG) and HOME Investment Partnership funds, the City of Surprise is required to complete a multi-year Consolidated Plan that serves as a strategic plan to identify needs of the community, and set funding priorities to address those needs. In addition, the City must complete an Analysis of Impediments to Fair Housing Choice (AI), the first step in the City's effort to affirmatively further fair housing.

Policy Compliant:

This presentation is compliant with City and Council policies.

Financial Impact:

Fiscal Year 2021 CDBG funding allocation is \$649,903. Funding for fiscal years 2022-2024 are estimated at the same amount of \$649,903. All CDBG related expenditures will be reimbursed within the same fiscal year expenses are incurred.

Budget Impact:

Budget authority for FY2021 CDBG projects will be included in the FY2021 Budget adoption process.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. Con Plan COUNCIL Staff Report
 2. 1_2020-2024 Consolidated Plan
 3. 2_AP Spending Summary PY2020
 4. 3_Citizen Participation Plan 2020 - DRAFT 2.11.20
 5. 4_AI
 6. 5_Spending Conditions PY2020
 7. Con Plan COUNCIL Presentation
-



HUMAN SERVICE AND COMMUNITY VITALITY

Date: April 21, 2020

To: Mayor and City Council Members

From: Joe Gladieux, HSCV Manager
Adam Lane, Neighborhood Services Supervisor

Re: 2020-2024 Consolidated Plan and Analysis of Impediments to Fair Housing Choice – Presentation and Approval

Introduction

As a recipient of Community Development Block Grant (CDBG) and HOME Investment Partnership funds, the City of Surprise is required to complete a multi-year Consolidated Plan that serves as a strategic plan to identify needs of the community, and set funding priorities to address those needs. In addition, the City must complete an Analysis of Impediments to Fair Housing Choice (AI), the first step in the City's effort to affirmatively further fair housing.

The Five-year Consolidated Plan also contains the Program Year 2020 Annual Action Plan, the first year of the new Consolidated Plan. The Action Plan will set funding priorities for the Program Year 2020 (July 1, 2020 – June 30, 2021) based on the Goals and Objectives set in the Consolidated Plan.

Background

A key feature to these grants from the Department of Housing and Urban Development (HUD), is the City's ability to choose how the funds will be used. HUD provides a wide range of eligible activities that can be utilized with funding. The City must determine the most pressing needs of the community, and develop effective, market-driven strategies to meet those needs.

First, the Needs Assessment (NA) and Market Analysis (MA) outline levels of relative need in the areas of affordable housing, homelessness, special needs, and community development. This information is gathered through several methods, including consultation with local agencies, public outreach, a review of demographic and economic data sets, and a housing market analysis. Once finished, these portions of the Consolidated Plan form the basis of the Strategic Plan. This strategic plan provides an outline of actions for the community as it works toward meeting the housing and community development needs of its low and moderate-income and special needs households.

The development of the plan also considered the results of the comprehensive human services needs assessment that was completed for the community. The plan works to directly address the needs identified in Human Services & Community Vitality in Surprise – A Community That Cares, and the feedback received from residents and community partners.

Identified Needs and Goals

The following **High Priority Needs** were identified for the Five-Year Plan:

- 1. Maintain and Increase the availability of **Affordable Housing**.
- 2. Invest in **Public Facility Improvements**.
- 3. Support **Public Services**.
- 4. Continue **Planning & Administration** of HUD funded programs.

Over the course of the Plan, the following **Goals** and Outcomes were established:

- 1. Housing Rehabilitation for homeowners.
- 2. Tenant Based Rental Assistance (HOME)
- 3. Develop Affordable Rental Housing (CDBG & HOME)
- 4. Housing Services in support of the HOME program.
- 5. Public Facility Improvements
- 6. Public Services
- 7. Administration & Planning

Anticipated Resources

The City has received and allocation for Program Year 2020 in the amount of **\$649,903**. Therefore, the anticipated funding over the five-year plan is anticipated to be **\$3,249,515**. Additionally, the City anticipates an annual General Fund allocation of \$75,000 to support program administration and program service delivery.

Summary of Goal funding (Five-year period):

- Housing Rehabilitation = \$714,615
- Housing Services = \$135,000
- Affordable Rental Housing = \$547,000
- Public Facility Improvements = \$852,000
- Public Services = \$351,000
- Planning & Administration = \$649,900

Analysis of Impediments to Fair Housing Choice (AI)

Affirmatively furthering fair housing is defined in the Fair Housing Act as taking “meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to opportunity based on protected characteristics”.

Affirmatively furthering fair housing requires that recipients of federal housing and urban development funds take meaningful actions to address housing disparities, and fostering and maintaining compliance with civil rights and fair housing laws. Furthering fair housing can involve developing affordable housing, removing barriers to affordable housing development in high opportunity areas, investing in neighborhood revitalization, preserving and rehabilitating existing affordable housing units, improving housing access in areas of concentrated poverty, and improving community assets.

The AI process involves a thorough examination of a variety of sources related to housing, the fair housing delivery system, housing transactions, locations of public housing authorities, area having racial and ethnic concentrations of poverty, and access to opportunity.

In accordance with the applicable statutes and regulations governing the Consolidated Plan, the City of Surprise certifies that they will affirmatively further fair housing, by taking appropriate actions to overcome the effects of any impediments identified in the Analysis of Impediments to Fair Housing Choice and maintaining records that reflect the analysis and actions in this regard.

High Priority Impediments to Fair Housing Contributing Factors:

1. Insufficient affordable housing in a range of unit sizes.
2. Disproportionate rates of housing problems for Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households.
3. Insufficient accessible affordable housing.
4. Failure to make reasonable accommodations.
5. Lack of fair housing infrastructure.
6. Insufficient fair housing education.
7. Insufficient understanding of credit.

Fair Housing Goals:

1. Review zoning and municipal codes for barriers to housing choice.
2. Increase availability of accessible housing.
3. Promote homeownership and rental opportunities in areas outside of racially or ethnically concentrated areas of poverty (R/ECAPs).
4. Enhance community services in R/ECAPs.
5. Promote community and service provider knowledge of fair housing and ADA laws.

Program Year 2020

Program Year 2020 will be the first year of the 2020-2024 Consolidated Plan. The CDBG allocation for Program Year 2020 is **\$649,903**. There are no match or leverage requirements for CDBG, however the City has allocated approximately \$75,000 for program administration and program service delivery. Funding requirements cap Administration and Planning at 20% of the allocation, as well as 15% for Public Service activities.

To meet the Goals and Objectives identified in the 2020-2024 Consolidated Plan and AI, the following projects are recommended:

1. **Housing Rehabilitation – \$125,903**
Deferred loans and grants to help Surprise homeowners make necessary health and safety repairs to their homes.
2. **Tenant Based Rental Assistance (*HOME funding) – \$184,855**
Rent and utility assistance for LMI households.
3. **Housing Services – \$25,000**
Services in support of the HOME program.
4. **Public Facility Improvements – \$285,000**
Improvements to public facilities located in low- and moderate income areas (LMA).
5. **Public Services (13%) – \$85,000**
Services for LMI persons who are seniors, disabled, homeless, or at risk of becoming homeless, and eligible activities in response to the COVID-19 pandemic.
6. **Planning & Administration (20%) – \$129,980**
Expenses related to administering the program, preparing planning documents, and Fair Housing activities.

*HOME funds will be approved through the Maricopa HOME Consortium Annual Action Plan process.

2020 Subrecipients

HUD allows the City to evaluate its own institutional capacity, and make decisions on how to best administer the program. The City can select nonprofit organization's or entities, as defined in 24 CFR 570.204(c), to act as a subrecipient to carry out eligible activities that address the 2020-2024 Consolidated Plan Highest Priority Needs.

For Program Year 2020, City staff evaluated existing subrecipients as well as past subrecipients whose projects aligned with high priority needs and organizational capacity. Reviewers utilized a rubric that evaluated each subrecipient based on a PASS or FAIL threshold as well as a scaled scoring threshold that determined projects that are low risk, more closely aligned with identified needs, and most beneficial to the city in carrying out such task.

Subrecipient Scoring Matrix

Threshold Criteria

Subrecipients that do not meet the PASS threshold criteria will not be considered further.

- ✓ Meet CDBG National Objective
- ✓ Anticipated to be completed within Action Year
- ✓ Meets eligibility requirements applicable to proposed project
- ✓ Meets definition of a Subrecipient
- ✓ *Returning Subrecipient- In Compliance with current agreement and on track to spend 50% of allocation

Scoring Evaluation

Subrecipients were scored based on the following factors;

- ✓ "Organizational Capacity (20 points)"
- ✓ "Cost (10 points)"
- ✓ "Experience working with HUD Funded Programs (20 points)"
- ✓ "Method of Approach (15 points)"
- ✓ "Partnering/Complementing/Duplicating Services (5 points)"
- ✓ "Consistency with Identified Priority Needs (25 points)"
- ✓ "Pledge of Leveraging Resources (5 points)"

City of Surprise PY20 CDBG Public Service Subrecipient Recommendation

Organization	Requested Amount:	Priority Need LMI Outcome	Current Year Allocation	TOTAL AVERAGE POINTS	RECOMMENDATION
Northwest Valley Connect	\$15,000	Disabled	\$14,625	91.3	\$15,000
Lutheran Social Services	\$20,000	Homeless	\$20,625	96.7	\$20,000
Surprise Youth Services	\$15,000	Youth	\$15,000	89.0	\$15,000
Surprise Resource Center	\$35,000	At Risk of Homeless	\$14,625	91.3	\$35,000
	\$85,000				\$85,000

To meet the **Goals and Objectives** identified in the 2020-2024 Consolidated Plan and AI, the following Subrecipient activities are recommended:

1. **Northwest Valley Connect– \$15,000**
Services for (40) LMI persons who are disabled and seniors needing Transportation Resources.
2. **Lutheran Social Services-IHELP- \$20,000**
Services for (20) LMI persons who are homeless including case management and emergency overnight shelter.
3. **Surprise Resource Center Crisis Assistance Program- \$35,000**
Services for (38) LMI persons who are at risk of becoming homeless and in need of Rental and Utility Assistance

Recommendations

Staff recommends approval of the Five-Year Consolidated Plan, Analysis of Impediments to Fair Housing Choice, and Program Year 2020 Annual Action Plan for submittal to HUD.

Staff recommends approval of the Subrecipient projects proposed for the Program Year 2020 Annual Action Plan.

Previous Actions

- 30-Day Public Comment Period – March 20, 2020 – April 21, 2020

Future Actions

- Submission of Plans to HUD – May 15, 2020



**2020-2024
CONSOLIDATED PLAN
& Program Year 2020
Annual Action Plan**

Year 1 of the 2020-2024
Consolidated Plan



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

Consolidated Plan and Assessment of Assessment of Fair Housing

Prepared for:

City of Surprise
Human Service & Community Vitality
Neighborhood Services Division
16000 N. Civic Center Plaza
Surprise, AZ 85374
623.222.1550
www.surpriseaz.gov

Prepared By:

Elizabeth McNannay
Heather Laird
Resource Consultants
PO Box 421
Mosier, OR 97040
541.806.0868
<http://resourceconsultants.org/index.html>

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Executive Summary

Executive Summary

ES-05

Executive Summary ES-05 24 CFR 91.200(c), 91.220(b)

Introduction

The City of Surprise, Arizona, receives an annual entitlement allocation from the U.S. Department of Housing and Urban Development (HUD) the Community Development Block Grant (CDBG) program and HOME Investment Partnership Program (HOME).

A key feature of these grants is the City's ability to choose how the funds will be used. HUD provides a broad range of eligible activities that can be utilized with CDBG funding. The City must determine which of the eligible activities will best serve the needs of the community. In order to determine the most pressing needs and develop effective, place-based market-driven strategies to meet those needs, HUD requires grantees to develop a Five-Year Consolidated Plan.

When developing a Consolidated Plan, the City must first analyze the needs within Surprise and then propose strategies to meet those needs.

First, the Needs Assessment (NA) and Market Analysis (MA) outline levels of relative need in the areas of affordable housing, homelessness, special needs, and community development. This information is gathered through several methods, including consultation with local agencies, public outreach, a review of demographic and economic data sets, and a housing market analysis. Once finished, these portions of the Consolidated Plan form the basis of the Strategic Plan.

The Strategic Plan (SP) details how the grantee will address its priority needs. The strategies must reflect the current condition of the market, expected availability of funds, and local capacity to administer the plan.

In undertaking this work, the City will embrace high standards of ethics, management, and accountability. The City strives to continue to create a city of growth and opportunity for all by making Surprise's neighborhoods a better place to live, work, and play.

Summary of the objectives and outcomes identified in the Plan Needs Assessment Overview

The Surprise's 2020-2024 Consolidated Plan is a five-year strategic plan that provides an outline of actions for the community as it works toward meeting the housing and community development needs of its low and moderate-income and special needs households. The plan's development includes a profile of the community and its economy, and an assessment

of housing and community development needs, and the development of long-range strategies to meet those needs.

The Consolidated Plan serves the following functions:

- A planning document for the City, which builds on a participatory process among citizens, organizations, businesses, and other stakeholders;
- A submission for federal funds under HUD's formula grant program for jurisdictions;
- A strategy to be followed in carrying out HUD programs; and
- A management tool for assessing performance, tracking success, and determining the course of future Consolidated Plans.

The Consolidated Plan for the fiscal year 2020-2024 was prepared in accordance with Sections 91.100 through 91.230 of HUD's Consolidated Plan Final Rule.

The City of Surprise conducted a comprehensive human services needs assessment for the community. The culmination of this effort was *Human Services & Community Vitality in Surprise - A Community That Cares*.

The community human services needs assessment is the first of its kind for the City to be commissioned in conjunction with the City's Veterans, Disability and Human Services Commission (VDHS) and the City Council for use in the City's planning process. The assessment includes long-term and short-term goals, program and fiscal considerations, prioritization of needed services, and program/resource decision making. The community needs assessment will assist the VDHS Commission in aligning a strategic plan with the identification of data-driven needs and opportunities. The initial population groups the City chose to explore as a part of this study to determine the human services needs in Surprise are as follows (in alphabetical order): homeless individuals and families/youth, individuals with disabilities and special needs, low- to moderate-income individuals and families/youth, seniors, survivors of violence (domestic, sexual, and hate crimes), and veterans.

The Consolidated Plan works to directly address the needs identified in *Human Services & Community Vitality in Surprise - A Community That Cares* and the feedback received from residents and community partners.

Identified High Priority Needs

1. Increase access to and support the development of affordable housing.
2. Support public facility improvements in the Original Town Site.
3. Support public services for low- and moderate-income persons who are disabled, homeless, at risk of becoming homeless, as well as life skill training for youth.
4. Continue providing planning, administrative support to deliver HUD-funded programs, and fair housing activities.

Supporting the development of affordable housing is a primary goal of the City's five-year plan. The City will support affordable housing through the preservation of existing housing, rental assistance, and the creation of new affordable rental units.

- 125 houses rehabilitated for low- and moderate-income residents
- 130 persons assisted with tenant-based rental assistance (TBRA)
- 10 creation of new affordable rental units

Evaluation of past performance

The City is building upon the previous experience and success that the City had with utilizing HUD funding for housing rehabilitation, public services, and public facility improvements. This five-year consolidated plan adds to those programs with a tenant-based rental assistance (TBRA) program in years 3 - 5. Additionally, public services will be focused on providing services to persons who are disabled, homeless, at risk of becoming homeless, and life skill training for youth.

Summary of citizen participation process and consultation process

Citizen participation plays an integral role throughout the planning and development of the City's Consolidated Plan and Annual Action Plan. The City conducted a Community Needs Assessment in 2019, held multiple public meetings, provided outreach in the Original Town Site (geographic priority area), conducted a survey, and met with stakeholders.

Original Town Site Outreach

Public comments received at the Original Town Site (OTS) outreach meeting on September 4, 2019. Comments from the public revolved around: rehab of existing homes, environmental hazards in homes, i.e. asbestos and mold, making programs more available and making people more aware, repairing old houses, language barriers to knowing programs are available, and the surplus of empty lots in the OTS.

2020-2024 Consolidated Plan Questionnaire

The City also provided a questionnaire to the community to gain input on community needs and priorities for the 2020-2024 Consolidated Plan. A total of 223 residents participated. The questionnaire reviewed economic development needs, public facility needs, infrastructure improvements, public service needs, community development needs, assistance to renters, emergency shelter, and permanent housing. Space was provided for residents to also provide direct feedback.

Community Needs Assessment

The city conducted a Community Needs Assessment with the goal of creating a guiding document which can assist in prioritizing plans, initiatives and programs to meet growing or unmet human service needs in our city. The Community Needs Assessment will be used to inform the new City of Surprise Veteran, Disability & Human Service Commission with resident input and data to create a strategic plan.

The areas assessed include: veteran services, youth, seniors/aging, disability/special needs, low-to-moderate income families, poverty, homelessness, all types of violence against individuals and other areas of need.

The Community Needs Assessment was managed by the city's Human Service and Community Vitality Department and being administered by I & E Consulting. The City held a Surprise Community Leader and Provider Forum on September 27th, 2019 to present preliminary finding from the Needs Assessment and to gather information on needs from the public. All comments were accepted.

I&E Consulting conducted 9 focus groups attended by 124 participants:

- Senior Center group (10 participants)
- Public housing apartment complex consisting of low-income individuals, individuals with special needs/disabilities, survivors of domestic violence, working poor individuals, older grandparents raising grandchildren (12 participants)
- Nonprofit and City and County government providers (43 Participants)
- Homeless individuals/families and survivors of domestic violence at the Salvation Army location (12 participants)
- Surprise Resource Center group including individuals with special needs/disabilities, seniors, working poor, Spanish speakers, and families (6 participants)
- Veterans group (10 participants)
- Public housing apartment complex group consisting of LMI individuals and families, immigrants, and seniors (4 participants)
- Spanish speakers, immigrants, seniors, a formerly homeless individual, low/moderate income individuals and families, and faith-based individuals (19 participants)
- CDBG issues group, including Spanish speakers, low/moderate income individuals and youth/families (8 participants); Councilmember Ken Remley was also present.

Group Interviews

Group Interviews. The I&E research team also participated in four group interviews with recipients and providers of human services of human services, engaging in dialogue and strategizing for improvement as well as administering in-depth proctored survey questionnaires. Thirty-nine (39) individuals participated in these group interviews, offering insight and qualitative data to better understand the complexities and challenges of the provision of human services to those in need in Surprise.

Discussions were held with recipients at St. Mary's food bank (15 participants), The Valley View food bank (9 participants), the youth city court group (10 participants), and a group of librarians (5 participants). These discussions not only provided an opportunity for gathering survey data but also allowed the research team to engage in dialogue with recipients and providers of human services to gain additional information and perspectives.

Summary of Public Comments

Public comments received during outreach and stakeholder meetings revolved around the challenges that residents face with cost burden for housing, need for additional public services, and public facilities. Comments received at the Public Needs Hearing included the need for rental housing, and the availability of more accessible housing units. **Save for 30-day comment and Public Hearing.*

Summary of comments or views not accepted and the reasons for not accepting them

All comments were recorded and accepted.

Summary

The City is committed to providing a meaningful way for residents to communicate their needs. In December 2018 the City Council voted to create a new commission, the Veterans, Disability and Human Services Commission. The expanded commission is charged with assisting in the development and/or expansion of city programming related to veterans; people with special needs; and those in need of general human services and workforce development.

The 11-member commission must be comprised of volunteer members representing veterans, their family members or someone representing a veteran service organization, members representing those with disabilities and/or programs that support our special needs communities and those representing the social/human services sectors. The new commission assembled for the first time in February 2019.

The Commission holds monthly public meetings and provides an avenue for the community and stakeholders to communicate with the Commission and city staff.

THE PROCESS

Lead & Responsible Agencies

PR-05

Lead & Responsible Agencies PR-05 91.200(b)

Describe agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding Source

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department
CDBG Administrator	City of Surprise	Human Service & Community Vitality (HSCV)

Table 1 – Responsible Agencies

Narrative

The City of Surprise Human Services and Community Vitality Department serves as the lead agency for the CDBG and HOME grants. The Surprise Human Service & Community Vitality Department houses the Neighborhood Services Division and Senior Services Division. The department is designed to strengthen community, non-profits, and government partnerships to better serve Surprise residents.

During the preparation of the plan, the City solicited input from other governmental agencies as well as various public and private agencies providing housing, social services, and other community development activities within the community. The City will continue to form new partnerships with non-profit organizations, the private sector, and other local resources.

Consolidated Plan Public Contact Information

Adam Lane

Neighborhood Services Supervisor
Human Service & Community Vitality
City of Surprise
16000 N Civic Center Plaza
Surprise, AZ 85374-7470
623.222-3238
Adam.lane@surpriseaz.gov

Introduction

The City of Surprise, in preparation for the Consolidated Plan, decided to commission a Community Needs Assessment in 2019.

The community human services needs assessment is the first of its kind for the City to be commissioned in conjunction with the City's Veterans, Disability and Human Services Commission (VDHS) and the City Council for use in the City's planning process. The assessment includes long-term and short-term goals, program and fiscal considerations, prioritization of needed services, and program/resource decision making. The community needs assessment will assist the VDHS Commission in aligning a strategic plan with the identification of data-driven needs and opportunities. The initial population groups the City chose to explore as a part of this study to determine the human services needs in Surprise are as follows (in alphabetical order): homeless individuals and families/youth, individuals with disabilities and special needs, low- to moderate-income individuals and families/youth, seniors, survivors of violence (domestic, sexual, and hate crimes), and veterans.

I&E Consulting conducted 9 focus groups attended by 124 participants:

- Senior Center group (10 participants)
- Public housing apartment complex consisting of low-income individuals, individuals with special needs/disabilities, survivors of domestic violence, working poor individuals, older grandparents raising grandchildren (12 participants)
- Nonprofit and City and County government providers (43 Participants)
- Homeless individuals/families and survivors of domestic violence at the Salvation Army location (12 participants)
- Surprise Resource Center group including individuals with special needs/disabilities, seniors, working poor, Spanish speakers, and families (6 participants)
- Veterans group (10 participants)
- Public housing apartment complex group consisting of LMI individuals and families, immigrants, and seniors (4 participants)
- Spanish speakers, immigrants, seniors, a formerly homeless individual, low/moderate income individuals and families, and faith-based individuals (19 participants)
- CDBG issues group, including Spanish speakers, low/moderate income individuals and youth/families (8 participants); Councilmember Ken Remley was also present.

The organizations listed in Section 2 of this section are comprised of organizations that participated in the Community Needs Assessment and attended the Community Forum. Their feedback and perspective on the needs of Surprise directly impacted the needs, goals, and projects in the Consolidated Plan.

The Community Needs Analysis states, "This Surprise-sponsored forum was convened for clarification and corroboration of information gathered throughout the research process and to

further support prioritization of strengths, gaps, and recommendations for inclusion in the final report. In addition, it provided an opportunity for dialogue with key community members to help ensure additional credibility of the findings. Within this forum attended by 140 individuals from the community, participants included human services providers; representatives from the education sector, the faith community, and the private business sector; Surprise concerned citizens; and community advocates. In addition, the Mayor, Vice Mayor, and two City Council members were in attendance along with several members of the Veterans, Disabilities, and Human Services Commission. The research team reviewed preliminary findings and a sampling of potential broad-based recommendations for further discussion. The input is reference again in the Priorities and Recommendations section of this report."

Provide a concise summary of the jurisdiction's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies

The City of Surprise consulted with the Housing Authority of Maricopa County regarding the creation of additional affordable rental units, the need of rental assistance, and new rental housing construction in the city of Surprise. Additionally, Surprise has consulted with other housing, health, and service providers to provide services at the Heritage at Surprise developed by the Housing Authority.

The City of Surprise collaborates with other West Valley cities through the West Valley Municipal Human Services Collaborative meeting on a monthly basis to discuss needs and funding priorities.

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness

Surprise Staff members continuously consult with the regions CoC and support regional efforts to address the needs of homeless persons and persons at risk of homelessness. Surprise Staff sits as a committee member on the Maricopa Regional Continuum of Care Committee as well as participates in various subcommittee and ad-hoc groups to discuss coordination and efforts to address the needs of homeless persons and persons at risk of homelessness. Surprise participates in the annual Point in Time Count to reach out to sheltered and unsheltered homeless persons in our region to assess needs. Surprise coordinates volunteers through various partnerships with city departments and community organizations.

Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards and evaluate outcomes, and develop policies and procedures for the administration of HMIS

Discussions on the allocation of ESG funds are discussed at Maricopa Regional Continuum of Care meetings. Surprise currently does not receive ESG funds however, frequents the continuum of care ESG subcommittee to participate in discussions about determining resource allocation, performance standards and policies and procedures.

Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdictions consultations with housing, social service agencies and other entities

1	Agency/Group/Organization	A New Leaf
Agency/Group/Organization Type		
☐ Services ■ Housing ■ Victims of DV ■ Homeless ■ Educations ■ Victims ☐ Child Welfare Agency		
What Section of the Plan was addressed by Consultation?		
■ Housing Needs Assessment ■ Homeless Strategy ■ Homeless Needs ■ Chronically Homeless ■ Families with children		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
A New Leaf serves over 25,000 individuals with resources, including homeless and domestic violence shelters with services, affordable housing solutions, youth services, foster care, counseling, financial literacy, neighborhood economic development, workforce support, and community services. The demand for additional services led us to expand our programs into a wide array of offerings, including the following: Domestic violence shelters, transitional homes, and programming Temporary shelter and basic needs, helping the homeless, youth, individuals and families Affordable housing support Community assistance programs Neighborhood economic development Workforce support Early Childhood Education.		
2	Agency/Group/Organization	Adelante Healthcare
Agency/Group/Organization Type		
☐ Services ■ Health		
What Section of the Plan was addressed by Consultation?		
■ Non-homeless ■ Market Analysis		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Adelante Healthcare currently operates 9 health centers throughout Arizona, offering a wide array of services to patients of all economic backgrounds. Adelante Healthcare is a Federally Qualified Health Center (FQHC). Adalente participated in the Community Needs Assessment process.		
3	Agency/Group/Organization	Arizona Charter Academy aka Success Schools

Agency/Group/Organization Type	
☐ Services ☒ Educations	
What Section of the Plan was addressed by Consultation?	
☒ Homeless Needs – Families with children ☒ Market Analysis	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
Arizona Charter Academy is a charter school serving children in grades K-8 in Surprise, Arizona. Arizona Charter Academy participated in the Community Needs Assessment process.	
4	Agency/Group/Organization Banner Health Foundation – PALS – Banner Thunderbird Medical Center
Agency/Group/Organization Type	
☐ Services ☒ Health	
☐ Publicly funded Institution/System of Care	
☐ Major Employer	
What Section of the Plan was addressed by Consultation?	
☒ Non-homeless special needs ☒ Market Analysis	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
Banner Health is a non-profit health care system headquartered in Phoenix, Arizona, and operates 28 hospitals, including three academic medical centers and other related health entities and services in six states. With more than 50,000 employees, Banner Health is the largest private employer in Arizona and third largest employer in the Northern Colorado front range area. Banner provides comprehensive services, physician services, hospice and home care. Banner participated in the Community Needs Assessment.	
5	Agency/Group/Organization Cancer Support Community Arizona
Agency/Group/Organization Type	
☐ Services ☒ Health	
What Section of the Plan was addressed by Consultation?	
☒ Non-homeless special needs	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
Cancer Support Community Arizona provides support for individuals throughout their cancer journey. CSAZ offer 100+ programs each month, including health & nutrition, support groups, therapeutic arts, education seminars & workshops, youth/teen & family programs and fun community events, all led by licensed mental health professionals and meant to boost the patient's immune system. All services are 100% free of cost to those on their cancer journey and their loved ones. Their services are always 100% free of cost to those on their cancer journey and their loved ones. CSCA participated in the Community Needs Assessment.	
6	Agency/Group/Organization Dysart Unified School District
Agency/Group/Organization Type	
☐ Services ☒ Education	
☐ Major Employer	
What Section of the Plan was addressed by Consultation?	
☒ Housing Needs Assessment ☒ Homeless Needs – Chronically homeless ☒ Non-homeless Special Needs ☒ Market Analysis	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	

The Dysart Unified School District is a growing community of nearly 24,000 pre-K through 12th grade students in the Northwest Phoenix Metropolitan area. The district encompasses 140 square miles, serving parts of El Mirage, Glendale, Surprise, Youngtown, and Maricopa County. The district is home to 20 K-8 schools, four comprehensive high schools, a preschool, and one alternative program. DUSD participated in the Community Needs Assessment.

7	Agency/Group/Organization	Soujourner Center
Agency/Group/Organization Type		
☐ Services ■ Victims of DV ■ Victims		
What Section of the Plan was addressed by Consultation?		
■ Homeless Strategy ■ Non-homeless Special Needs ■ Market Analysis		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Soujourner Center is a safe haven from domestic violence for women and their children in Arizona. The shelter has provided services to more than 60,000 adults and children affected by domestic violence. Soujourner Center participated in the Community Needs Assessment.		

8	Agency/Group/Organization	Southwest Products
Agency/Group/Organization Type		
☐ Civic Leaders ☐ Business and Civic Leaders ☐ Major Employer		
What Section of the Plan was addressed by Consultation?		
■ Economic Development ■ Market Analysis		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Southwest Products supplies world-class service vehicles, diesel generators and industrial engines to customers in North America. SWP's state-of-the-art manufacturing headquarters is located Surprise, Arizona, with additional sales, parts and service locations throughout the Western U.S. Southwest Product participated in the Community Needs Assessment.		

9	Agency/Group/Organization	St. Mary's Food Bank Alliance
Agency/Group/Organization Type		
☐ Services ■ Persons with Disabilities ■ Victims of DV ■ Homeless ■ Elderly Persons ■ Persons with HIV/AIDS		
What Section of the Plan was addressed by Consultation?		
■ Housing Needs Assessment ■ Homeless Strategy ■ Homeless Needs - Chronically Homeless ■ Homeless Needs – Families with children ■ Homeless Needs – Veterans ■ Homeless Needs – Unaccompanied Youth ■ Non-homeless Special Needs ■ Anti-poverty Strategy		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
St. Mary's Food Bank serves to alleviate hunger through the gathering and distribution of food while encouraging self-sufficiency, collaboration, advocacy and education. St. Mary's Food Bank exists to help feed hungry families throughout Phoenix and 9 Arizona counties. St. Mary's participated in the Community Needs Assessment.		

10	Agency/Group/Organization	Sun City Grand
Agency/Group/Organization Type		
☐ Housing ☐ Services ■ Elderly ■ Persons with Disabilities		
What Section of the Plan was addressed by Consultation?		
■ Housing Needs Assessment ■ Economic Development		

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
Sun City Grand is Del Webb's flagship active adult retirement community located in Surprise, AZ. Approximately 17,000 residents call Sun City Grand home. Sun City Grand is an age-restricted community primarily for occupants 55 and over. Sun City Participated in the Community Needs Assessment.	
11	Agency/Group/Organization Surprise Regional Chamber of Commerce
Agency/Group/Organization Type	
☐ Business Leaders ☐ Civic Leaders ☐ Business and Civic Leaders	
What Section of the Plan was addressed by Consultation?	
■ Economic Development ■ Market Analysis	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
The mission of the Surprise Regional Chamber of Commerce is to champion economic prosperity, foster a pro-business climate, and to improve the quality of life in our region. The Chamber participated in the Community Needs Assessment.	
12	Agency/Group/Organization The Society of St. Vincent de Paul
Agency/Group/Organization Type	
☐ Housing ☐ Services ■ Housing	
What Section of the Plan was addressed by Consultation?	
■ Homeless Strategy ■ Homeless Needs – Chronically homeless ■ Homeless Needs – Families with children ■ Homelessness – Veterans ■ Homelessness – Unaccompanied youth	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
The Society of St. Vincent de Paul is an international non-profit organization dedicated to serving the poor and providing others with the opportunity to serve. St. Vincent de Paul provides one-time assistance for rent, mortgage and utility bills. SVP in the Southwest has five charitable dining rooms, St. Vincent de Paul is able to serve over 1.2 million meals to hungry families and individuals each year. The Virginia G. Piper Medical Clinic treats adults and children while teaching them about proper nutrition, exercise and other habits to maintain healthy lifestyles for themselves and for their families. SVP has the first community health center to initiate and join the Arizona Safety Net collaboration of local health organizations to share resources, best practices and partner in treatment.	
13	Agency/Group/Organization Vet Link Solutions
Agency/Group/Organization Type	
☐ Services ■ Persons with disabilities	
What Section of the Plan was addressed by Consultation?	
■Housing Needs - Veterans	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
Vet Link Solutions mission is to reach as many service-disabled veterans as they can and connect them with the right medical resources and know-how to properly submit a successful claim to the VA.	
14	Agency/Group/Organization West Maricopa County Regional Association of Realtors

Agency/Group/Organization Type	
☐ Housing ☐ Civic Leaders	
What Section of the Plan was addressed by Consultation?	
☒ Housing Need Assessment ☒ Market Analysis	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
West and Southeast REALTORS of the Valley (WeSERV) is a member-driven, not-for-profit organization that exists to serve and provide resources and education to members in efforts to foster community and business growth. With the success of each member in mind, the association, led by an elected Board of Directors along with committee volunteers comprised of WeSERV members, works with the member service team to create a community of successful REALTORS dedicated to high standards, protecting private property rights, and effectively influencing the public policy.	
15	Agency/Group/Organization Arizona Department of Veteran Services
Agency/Group/Organization Type	
☐ Housing ☐ Services ☒ Housing ☒ Persons with disabilities ☒ Homeless ☒ Education ☒ Health ☐ Other government ☒ State	
What Section of the Plan was addressed by Consultation?	
☒ Homeless Needs - Veterans	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
The Arizona Department of Veterans Services (ADVS) provides direct services to Veterans through the administration of 19 Veterans Benefits Offices throughout the state - helping Veterans connect with their VA benefits, two skilled-nursing Veterans' Home facilities in Phoenix and Tucson provide short and long-term care, the original Arizona Veterans' Memorial Cemetery in Sierra Vista, and two new cemeteries opened in 2016 in Northern Arizona at Camp Navajo and in Southern Arizona in Marana - north of Tucson. In addition, the Arizona Department of Veterans Services provides critical, state-wide coordination and technical assistance to services and organizations serving Veterans. This includes activities such as coordinating services across private and public sectors in serving targeted populations such as Veterans experiencing homelessness, and special needs for the growing population of Women Veterans - many of whom are at-risk, as well as building community capacity to address Veteran employment and higher education.	
16	Agency/Group/Organization Arizona Coalition of Military Families
Agency/Group/Organization Type	
☐ Services ☒ Housing ☒ Children ☐ Housing ☐ Other government – Federal ☐ Other government - State	
What Section of the Plan was addressed by Consultation?	
☒ Homeless Needs – Veterans ☒ Non-Homeless Special Needs	
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
The Arizona Coalition for Military Families (the Coalition) is a nationally recognized public/private partnership focused on building Arizona's statewide capacity to care for, serve and support all service members, veterans, their families and communities. The Coalition serves as Arizona's Inter-Service Family Assistance Committee (ISFAC), a state-level military cooperative partnership meant to engage all branches and components of the armed forces, as well as Arizona's Community Force as a part of the White House Joining Community Forces Initiative.	
17	Agency/Group/Organization Angels on Patrol

Agency/Group/Organization Type		
☐ Services ■ Housing ■ Victims of DV ■ Homeless ■ Education ■ Victims ■ Children ■ Elderly Persons ■ Persons with disabilities ■ Persons with HIV/AIDS ■ Health ■ Employment ■ Fair Housing		
What Section of the Plan was addressed by Consultation?		
■ Housing Needs Assessment ■ Homeless Strategy ■ Homeless Needs ■ Chronically Homeless ■ Homeless Needs – Veterans ■ Homeless Needs – Unaccompanied youth ■ Non-homeless special needs		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Angels on Patrol's mission is to provide Youth Enrichment and police officer initiated support to community members in times of crisis. Since 2009, Angels on Patrol has assisted over 16,000 individuals through requests from police officers. Serving the most vulnerable by assisting police officers ensure safety and basic needs are met, connecting to homeless & domestic violence shelters, workforce and community resources. These support reduces recidivism, reduces the amount of children sleeping on the streets or going into DCS care, and increases support to victims.		
18	Agency/Group/Organization	Su Casa Services
Agency/Group/Organization Type		
☐ Services ■ Elderly Persons ■ Persons with disabilities		
What Section of the Plan was addressed by Consultation?		
■ Housing Needs Assessment ■ Non-homeless Special Needs		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Su Casa Services provides aging in place services including a CAPS home assessment, home modifications, and smart home technology installations.		
19	Agency/Group/Organization	Benevilla
Agency/Group/Organization Type		
☐ Services ■ Elderly Persons ■ Persons with disabilities		
What Section of the Plan was addressed by Consultation?		
■ Non-homeless special needs		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
Benevilla enriches lives of West Valley residents by serving older adults, adults with disabilities, children and the families who care for them. Each Benevilla Life Enrichment Day Program features specialized programming to meet specific needs from memory care, to physical therapy, to intellectual challenges. Members benefit from a person-centered care philosophy and the support they need, while caregivers receive the resources they need to energize themselves. Identifying the strengths that each member possesses and working with them to make the most of those opportunities is the focus which ultimately assists them in preserving their memory, their physical strength, and achieving optimum self-confidence.		
20	Agency/Group/Organization	Ability 360
Agency/Group/Organization Type		
☐ Services ■ Persons with disabilities ■ Employment		
What Section of the Plan was addressed by Consultation?		
■ Non Homeless Special Needs		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		

Ability360 is a 501 (c)(3) non-profit corporation. Through its comprehensive programs, Ability360 touches the lives of individuals with disabilities and addresses the disability concerns of their family members, co-workers and employers. Ability360 programs and services: individual & systems advocacy, information & referral, employment services ADA services and counsel, empowering youth in transition, home modifications, social and recreational opportunities, and home care services.

21 Agency/Group/Organization Arizona@Work – Maricopa County

Agency/Group/Organization Type

☐ Services ☒ Employment
☐ Other Government ☒ State ☒ County

What Section of the Plan was addressed by Consultation?

☒ Economic Development

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

ARIZONA@WORK is the statewide workforce development network that helps employers of all sizes and types recruit, develop and retain the best employees for their needs. Arizona@Work is a public and private partnership with 12 regional areas and 47 local offices, all working together through one organization- ARIZONA@WORK- and all sharing one mission: providing innovative workforce solutions to employers and job seekers.

22 Agency/Group/Organization Arizona Department of Economic Security

Agency/Group/Organization Type

☐ Services ☒ Children ☒ Elderly Persons ☒ Persons with disabilities ☒ Employment
☐ Other Government - State

What Section of the Plan was addressed by Consultation?

☒ Housing Needs Assessment ☒ Economic Development ☒ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

Arizona Department of Economic Security (DES) works with families, community organizations, advocates and state and federal partners to realize our collective vision that every child, adult, and family in Arizona will be safe and economically secure. DES works to promote enhanced safety and well-being for Arizonans by focusing on three primary goals: strengthening individuals and families; increasing self-sufficiency; and, developing the capacity of communities.

23 Agency/Group/Organization City of Peoria

Agency/Group/Organization Type

☐ Other government - Local

What Section of the Plan was addressed by Consultation?

☒ Housing Needs Assessment ☒ Economic Development ☒ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

Peoria is a city in Maricopa and Yavapai counties in the state of Arizona. Most of the city is located in Maricopa County, while a tiny portion in the north is in Yavapai County. It is a major suburb of Phoenix. According to 2017 Census Bureau estimates, the population of the city is 168,181.

24 Agency/Group/Organization City of Avondale

Agency/Group/Organization Type

☐ Other government - Local

What Section of the Plan was addressed by Consultation?

☒ Housing Needs Assessment ☒ Economic Development ☒ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

Avondale is a city in Maricopa County, Arizona, United States, adjacent to Phoenix. According to the 2017 U.S. Census estimates, the population of the city is 84,025. Avondale, incorporated in 1946, experienced rapid residential and commercial growth in the years since 1980.

25	Agency/Group/Organization	Salvation Army – Sun Cities/WV Corps
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Agency/Group/Organization Type

☐ Services ■ Housing ■ Victims of DV ■ Homeless ■ Education ■ Health ■ Persons with disabilities ■ Persons with HIV/AIDs ■ Employment

What Section of the Plan was addressed by Consultation?
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☒ Housing Needs Assessment ■ Non-homeless Special Needs ■ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?
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The Salvation Army, an international movement, is an evangelical part of the universal Christian Church. Salvation Army provides services and programs centered around youth programs, family programs, adult rehabilitation, senior programs, homeless services, educational programs, disaster services, missing persons, and human trafficking.

26	Agency/Group/Organization	Sage Counseling
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Agency/Group/Organization Type

☐ Publicly Funded Institution/System of Care

What Section of the Plan was addressed by Consultation?
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☒ Housing Needs Assessment ■ Non-homeless Special Needs ■ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?
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SAGE Counseling, Inc. was formed in 1998 to provide evidence-based services to the criminal justice system and court-referred clients. SAGE Counseling utilize Motivational Interviewing, Cognitive-Behavioral Therapy, the Stages of Change Model, Interactive Journaling, and empirically-validated assessment tools. Almost all SAGE Counseling clients' are under court supervision, in a diversion program, incarcerated, or referred by the Arizona Department of Child Safety.

27	Agency/Group/Organization	Reveille Foundation
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Agency/Group/Organization Type

☐ Services ■ Health ■ Education ■ Employment

What Section of the Plan was addressed by Consultation?
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☒ Non-homeless Special Needs
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How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?
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The Reveille Foundation supports underserved populations with holistic, case management that create individual plans for success and brings the community of resources together to execute these plans. Our primary audiences are: transitioning military, veterans, and families, formerly incarcerated, and Native Americans.

28	Agency/Group/Organization	Phoenix Rescue Mission
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Agency/Group/Organization Type

☐ Services ■ Housing ■ Health ■ Homeless ■ Employment ■
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What Section of the Plan was addressed by Consultation?
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☒ Housing Needs Assessment ■ Homeless Strategy ■ Market Analysis
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How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?
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The Phoenix Rescue Mission is a place of hope, healing, and new beginnings for men, women and children in our community struggling with homelessness, addiction, and trauma. Changing Lives Center, houses up to 200 women and children, whether battling addiction, escaping domestic violence or suffering other trauma.

B.R.I.D.G.E stands for Building Relationships with Incarcerated men and women to Direct them toward the God who transforms lives, and to Empower them for healthy, independent living. This program is designed to reach out to inmates. R.A.P. is the first step of admission into our residential recovery program. Through a structured 7-day temporary shelter program, we assess men and women who are motivated for change and place them in the best solution pathway for their situation. Phoenix Rescue Mission serves over 2 million meals a year in our dining room and through our Mission Sharing program. We believe that hope begins with a meal, and that we are called to meet the basic needs of the hungry and homeless. Hope Coach is Phoenix Rescue Mission's mobile street outreach program. The goal is to bring the unsheltered homeless into the R.A.P. Program. Nearly every day of the year, our marked Hope Coach vans drive the streets of Phoenix to hand out life-saving items, including hygiene kits, water, and socks. Our Vocational Development program provides solutions to help homeless men and women obtain and retain jobs. Our classes and one-on-one counseling allow us to tailor solutions to equip clients with confidence and practical skills needed to land gainful employment.

29	Agency/Group/Organization	Northwest Family YMCA
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Agency/Group/Organization Type

☐ Services ☒ Children ☒ Elderly Persons ☒ Health ☒ Education ☒ Employment

What Section of the Plan was addressed by Consultation?

☒ Housing Needs Assessment ☒ Market Analysis

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

Valley of the Sun YMCA serves over 100,000 families and is located in 17 communities. Through our initiatives, programs, and services youth realize their potential; teens and young adults prepare for college; families spend time and have fun together; people are healthier in mind, body, and spirit; job seekers prepare for employment; newcomers are welcome and embraced; a nationwide service ethic is fostered; and so much more.

30	Agency/Group/Organization	Northwest Valley Connect
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Agency/Group/Organization Type

☐ Services ☒ Persons with disabilities

What Section of the Plan was addressed by Consultation?

☒ Housing Needs Assessment ☒ Market Analysis ☒ Economic Development

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

NW Valley Connect helps connect residents to local transportation resources to a variety of existing travel options to provide residents with easy-to-use information that will assist them in planning their transportation needs. Working with government, private, nonprofit and volunteer transportation providers, our goal is to educate residents on existing available transportation resources and to simplify their approach to trip planning. NW Valley Connect also offers a Request a Ride Service.

31	Agency/Group/Organization	Lutheran Social Services of the Southwest
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Agency/Group/Organization Type

☐ Services ☒ Housing ☒ Children ☒ Homeless ☒ Persons with disabilities ☒ Elderly persons

☒ Housing

What Section of the Plan was addressed by Consultation?

☒ Homeless Strategy

☐ Homeless Needs ☒ Chronically homeless ☒ Families with children ☒ Veterans ☒ Unaccompanied Youth

How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?

Lutheran Social Services of the Southwest is a 501(c)(3) nonprofit organization, an Arizona Qualifying Charity, and is affiliated with the Evangelical Lutheran Church in America, and recognized by the Lutheran Church-Missouri Synod. I-HELP is a unique, cost effective program that uses what churches have in abundance (space, volunteers, the desire to help the stranger) to provide overnight emergency shelter to those experiencing

homelessness and case management to help them move from crisis to stability. I-HELP current operates in Mesa and the Southwest Valley, including Avondale and Goodyear. Child and Family Services includes programs for foster and adoption, child and parent workshops, family resource centers, and community education. Refugee and immigration service include case management, employment support, and immigration services. Aging & Disability Services, a program of Lutheran Social Services of the Southwest, is a community of caregivers who work to: provide assistance to seniors, allowing them to remain as independent as possible within their own homes bring nutritious meals to the homebound elderly in Pima County

32	Agency/Group/Organization	Luke Air Force Base
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	Agency/Group/Organization Type	
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	☐ Services ☒ Housing ☒ Children ☒ Homeless ☒ Education ☒ Health ☒ Employment ☐ Housing ☐ Health Agency ☐ Other government – Federal ☐ Major Employer	
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	What Section of the Plan was addressed by Consultation?	
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	☒ Housing Needs Assessment ☒ Economic Development ☒ Market Analysis	
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	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
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Luke Air Force Base is located 7 miles west of the central business district of Glendale, in Maricopa County, Arizona, United States. Luke AFB is a major training base of the Air Education and Training Command (AETC), training pilots in the F-16 Fighting Falcon. Luke AFB currently serves more than 85,000 personnel consisting of 4,599 Active Duty, 818 Reservists, 1,206 Air Force Civilian Employees, 1,200 Students, 6,700 Family Members, and 68,900 Military Retirees.

33	Agency/Group/Organization	Habitat for Humanity
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	Agency/Group/Organization Type	
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	☐ Housing ☐ Services - Housing	
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	What Section of the Plan was addressed by Consultation?	
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	☒ Housing Needs Assessment ☒ Homeless Strategy ☒ Market Analysis	
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	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
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Habitat for Humanity Central Arizona (Habitat), an affiliate of Habitat for Humanity International, is an independent, locally run, nonprofit 501 (c)(3) organization. They work in partnership with low-income families, volunteers and sponsors to build, renovate and repair homes.

34	Agency/Group/Organization	Veterans, Disability & Human Service Commission
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	Agency/Group/Organization Type	
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	☐ Services ☒ Housing ☒ Victims of DV ☒ Homeless ☒ Employment ☒ Persons with disabilities ☐ Grantee Department	
--	--	--

	What Section of the Plan was addressed by Consultation?	
--	--	--

	☒ Housing Needs Assessment ☒ Economic Development ☒ Market Analysis	
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	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
--	--	--

The City of Surprise, Veterans, Disability and Human Services Commission is charged with assisting in the development and/or expansion of city programming related to veterans; people with special needs; and those in need of general human services and workforce development.

35	Agency/Group/Organization	Housing Authority of Maricopa County
Agency/Group/Organization Type		
☐ Housing ☐ PHA		
What Section of the Plan was addressed by Consultation?		
☒ Housing Needs Assessment ☐ Public Housing Needs		
How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?		
The Housing Authority is a HUD-designated agency responsible for housing programs in Maricopa County, Arizona. The Housing Authority's primary jurisdiction includes 22 communities and all unincorporated portions of the Metropolitan Phoenix area and surrounding cities as a service area larger than 5 states with a population in excess of 4 million people. The Maricopa County Board of Commissioners are responsible for HAMC policy and provides general oversight and administrative direction for the organization. In addition, the Board provides for the ongoing management of the Housing Authority through the office of the HAMC Executive Director.		

Identify any Agency types not consulted and provide rationale for not consulting

The City of Surprise invited all area Agencies, groups and organizations to participate in the community needs assessment. No Agency types were intentionally omitted from consultation.

Other local/regional/state/federal planning efforts considered when preparing the plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Maricopa Regional Continuum of Care	The City's goals to help residents at risk of becoming homeless also align with the Maricopa Regional Continuum of Care's goals.
Growth Plan 2035	City of Surprise	The Consolidated Plans goals align with the economic development, housing, and infrastructure goals outlined in the Surprise Growth Plan 2035.
Maricopa HOME Consortium Analysis of Impediments to Fair Housing Choice	Maricopa County HOME Consortium	The Consolidated Plan works to directly address the high priority impediments outlined in the 2020 Assessment of Impediments to Fair and Affordable Housing (AI).

Describe cooperation and coordination with other public entities, including State and any adjacent units of general local government, in the implementation of the Consolidated Plan (91.215(I))

The City of Surprise is a member of the Maricopa County HOME Consortium, sits on the board of the Maricopa Regional Continuum of Care, Maricopa Association of Governments (MAG), and works collaboratively with local governments on a regular basis. The West Valley Human Services Collaborative meets monthly to coordinate services in the West Valley of Maricopa County.

Summary of citizen participation process/Efforts made to broaden citizen participation. Summarize citizen participation process and how it impacted goal setting

Citizen participation plays an integral role throughout the planning and development of the City's Consolidated Plan and Annual Action Plan. The City conducted a Community Needs Assessment in 2019, held multiple public meetings, provided outreach in the Original Town Site (geographic priority area), conducted a survey, and met with stakeholders.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
1	Internet Outreach	Non-targeted/broad community	All comments were accepted and recorded.	
Summary of response/attendance				
The City also provided a questionnaire to the community to gain input on community needs and priorities for the 2020-2024 Consolidated Plan. A total of 223 residents participated.				
Summary of comments received				
The questionnaire reviewed economic development needs, public facility needs, infrastructure improvements, public service needs, community development needs, assistance to renters, emergency shelter, and permanent housing. Space was provided for residents to also provide direct feedback.				
Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
2	Public Meeting	Minorities Original Town Site	All comments were accepted and recorded.	
Summary of response/attendance				
Public comments received at the Original Town Site (OTS) outreach meeting on September 4, 2019. There were 7 residents present.				
Summary of comments received				
Comments from the public revolved around: rehab of existing homes, environmental hazards in homes, i.e. asbestos and mold, making programs more available and making people more aware, repairing old houses, language barriers to knowing programs are available, and the surplus of empty lots in the OTS.				
Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
3	Public Meeting	Non-targeted/broad community	All comments were accepted and recorded.	
Summary of response/attendance				
The City held a community needs forum on September 27, 2019 to allow community stakeholders, civic leaders, business leaders, and citizens to discuss needs in the community. Over 140 persons attended, representing dozens of community organizations.				
Summary of comments received				

Comments received included needs for improved community outreach and advertisement of existing services, better coordination between service providers, and the need for additional funding.

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
4	Public Meeting	Original Town Site Neighborhood Leaders	All comments were accepted and recorded.	

Summary of response/attendance

Public comments received at the District 4 outreach meeting on September 25, 2019. There were 18 residents present.

Summary of comments received

Comments from the public revolved around: rehab of existing homes, improving public facilities like youth and recreation centers, improved access to libraries and parks, improvements to street lighting and sidewalks.

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
5	Newspaper Ad/press release	Non-targeted/broad community	All comments were accepted and recorded.	

Summary of response/attendance

This notice of public hearing was advertised in the local newspaper legal ad section on January 25, 2020, issued as a press release and public notice on the City website.

Summary of comments received

One written comment was received in support of more accessible housing units, and services for persons with disabilities. One oral comment was received in support of affordable rental housing.

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
6	Newspaper Ad/Press release	Non-targeted/broad community	All comments were accepted and recorded.	

Summary of response/attendance

This notice of public hearing and 30-day comment period was advertised in the local newspaper legal ad section on March 20, 2020, issued as a press release and public notice on the City website, and made available at Surprise City Hall, Surprise Senior Center, Housing Authority of Maricopa County, Surprise Resource Center, and the Hollyhock Library.

Summary of comments received

Reserve for comments

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
7	Public Hearing	Non-targeted/broad community	All comments were accepted and recorded.	

Summary of response/attendance

The public "needs" hearing was held at the Veterans, Disability & Human Services Commission meeting held on February 12, 2020. Many members of the public were in attendance.

Summary of comments received

One written comment was received support of more accessible housing units, and services for persons with disabilities. One oral comment was received in support of affordable rental housing.

Sort Order	Mode of Outreach	Target of Outreach	Summary of Comments Not Accepted	URL
8	Public Hearing	Non-targeted/broad community	All comments were accepted and recorded.	

Summary of response/attendance

This public hearing was held at the regular City Council meeting held on April 21, 2020. The meeting was attended by many members of the public.

Summary of comments received

Reserve for comments

NEEDS ASSESSMENT

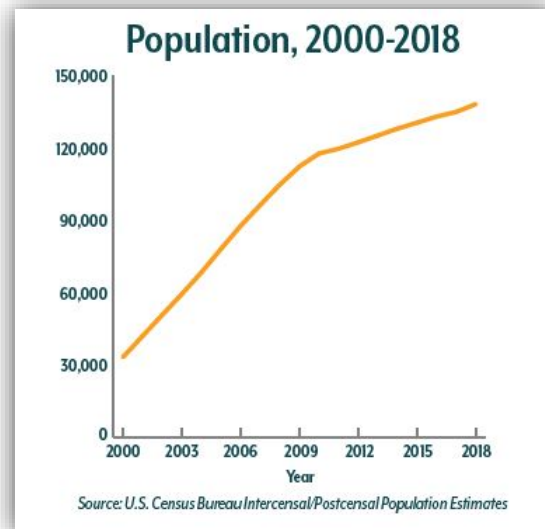
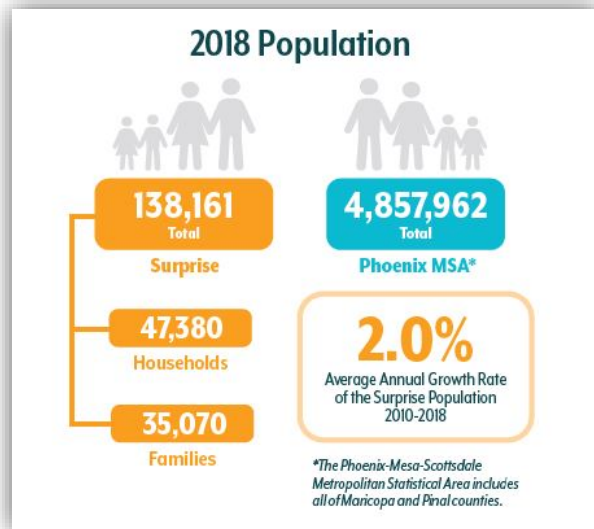
Overview

NA-05

Needs Assessment NA-05

Needs Assessment Overview

The Needs Assessment (NA) of the Consolidated Plan provides a profile of the City's population, median income, household demographics, housing problems, cost burden, and crowding. HUD Comprehensive Housing Affordability (CHAS), American Community Survey (ACS), and Census data were used to help in assessing the City's priority needs, which will form the basis for the Strategic Plan and the activities that will be supported with CDBG funding.



Surprise Community Profile – Maricopa Association of Governments (MAG)

A key goal of the Needs Assessment is to identify the nature and extent of housing problems experienced by the City of Surprise's citizens.

In 2019, the City of Surprise commissioned I&E Consultants to do a comprehensive needs assessment of the community. The needs of low- and moderate-income persons were an integral part of the report and helped to inform the strategies and goals for the Consolidated Plan. The plan outlined the challenges that the City faces with continued population growth.

"As the population of Arizona and Phoenix has continued to experience rapid growth, the West Valley has been subject to the pains of many other large metropolitan areas in which the cost of housing in the core of the metropolitan area (Phoenix) has risen to the point that people find it necessary to commute further to find the home they prefer at a price they can afford.

The Maricopa Association of Governments (MAG) was quoted as saying that “Over the next 25 years, about 50 percent of the growth in Maricopa County will be in the West Valley.”

[yourvalley.net, April 9, 2019] Liz Recchia, government affairs director for West Maricopa County Regional Association of Realtors, was also quoted in *Your Valley* newspaper on June 13, 2019, saying that the West Valley is transforming from a very large bedroom community for

“Over the next 25 years, about 50 percent of the growth in Maricopa County will be in the West Valley.”

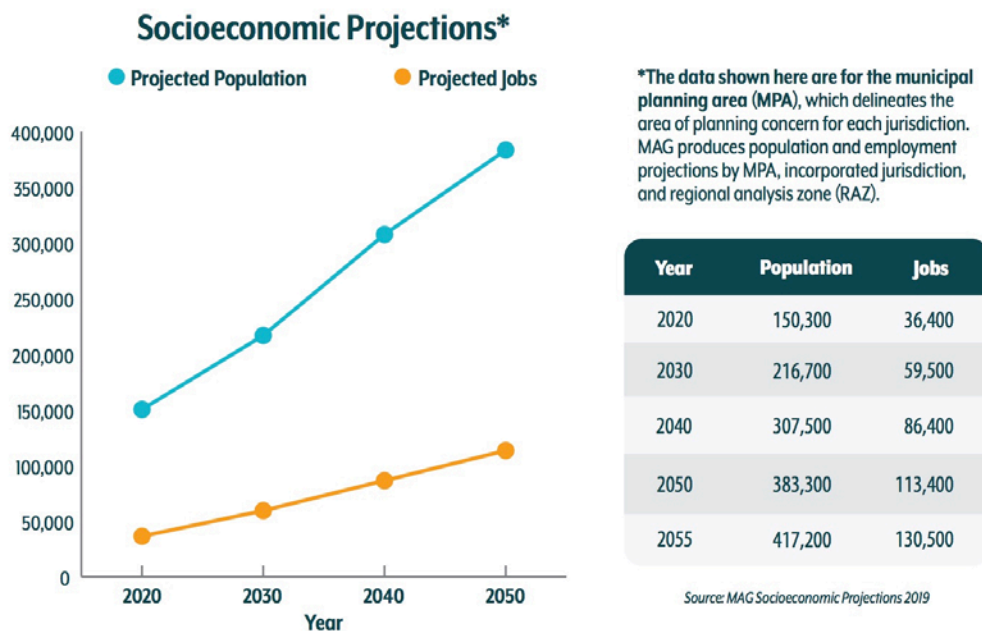
-MAG

Phoenix to an employment center with residential, retail, and amenities to serve the population, and the surrounding cities have been collaborating in terms of regional economic development to foster growth in employers, infrastructure, jobs, infill, and housing. These are all costly and time-sensitive commitments. Beyond these considerations, Surprise understands that these cities will be required to add social services to meet the needs of its residents as its population grows." *Human Services & Community Vitality in Surprise - A Community That Cares*, November 2019,

prepared by I&E Consulting LLC, for the City of Surprise

Surprise experienced a population growth of 314% between 2000 - 2017. The *Surprise General Plan 2035* states, "The City of Surprise's population is projected to reach approximately 750,000 residents upon build-out of the City's Planning Area" over the next 15-years.

The pressures on continued housing development have a secondary effect of an increased housing cost burden as residents try to find housing solutions that match their personal budgets.



MAG Population Projections

Describe the jurisdiction's need for Public Facilities

The CDBG program identifies publicly-owned facilities and infrastructure such as streets, playgrounds, and underground utilities, and buildings owned by non-profits that are open to the general public, as Public Facilities and Improvements.

Publicly-owned community facilities include a wide range of recreational uses, including recreation and aquatic centers, senior centers, libraries, specialty parks, and event plazas. These facilities offer a specific stand-alone use, though they can be located within or adjacent to public parks sharing facilities to integrate related programming. Each community facility has location and service levels that need to be evaluated based on land area required, demographics of residents it serves and relationship to other city facilities and parks.

Multi-generational/Recreation Centers and fieldhouse: The City is currently evaluating the program and location of a new 25-acre multi-generational Recreation Center and Fieldhouse facility. The current plan includes a 30,000 to 50,000 square foot recreation center providing

...focus on our residents' health and fitness, recreational experiences and access to cultural amenities...

The Surprise Parks and Recreation Master Plan 2015-2022

fitness, indoor track, basketball courts, and supporting facilities. The Fieldhouse is programmed as a 124,000 square foot enclosure that would accommodate up to 12 indoor basketball courts. It is envisioned that the site would include opportunities for sports fields supported by facilities located in the recreation center.

Libraries: The City has three existing libraries, the Northwest Surprise Regional Library, the Hollyhock Branch Library and the Asante Library which

opened in February 2020. The Maricopa County Library District currently operates the libraries for the City. As the City continues to grow, the need to provide additional library facilities will be required. Expansion of the library system may include enlargement of the existing Surprise Regional Library or the addition of up to two additional libraries. It is envisioned that a new City Library will be located in a new City Park and new branch libraries may be located within new Community Parks.

Aquatic Centers: A new Aquatic Center is a high priority for the City. The Surprise Community Pool has extremely high use and demonstrates the need for additional aquatic facilities. Included in the master plan for Surprise Farms Park, a new aquatics facility would include a bathhouse, a recreation swimming pool, a play pool with water slides and a splash pad.

Sports Complex: Three tournament fields and 16 practice fields on a site of approximately 65-acres is in the planning phase by The City. It is envisioned to include a central exhibition field

and team clubhouses. The soccer complex will provide much-needed practice fields as well as a venue to develop and support local, regional, and national tournaments.

Skate Parks: The City recently developed a successful skate park at Surprise Farms Park. This plaza style skate park met an urgent need for community and youth skating activities. During the skate park public work session for Plan development, residents vocally supported a larger, more sophisticated skate park and a BMX park to be located elsewhere in the City.

Public Buildings/Non-profits: The City remains committed to supporting and partnering with area non-profits who provide needed services to Surprise residents. As the City grows, these non-profits face continued stress on their existing infrastructure. The City may work with non-profits over the period of the 2020-2024 Consolidated Plan to help with construction, rehabilitation, ADA compliance, and other eligible activities to help ensure that the facilities within the City continue to meet the residents' needs.

How were these needs determined?

The Surprise Parks and Recreation Master Plan 2015-2022 provides a comprehensive analysis of the need for public facilities and a strategic avenue toward achieving the plan's goals.

<https://www.surpriseaz.gov/2091/Parks-and-Recreation-Master-Plan>

Describe the jurisdiction's need for Public Improvement

The continued population growth mandates the need for additional public facilities and public improvements to meet the needs of the increased population. The *Surprise General Plan 2035* outlined key areas that would benefit from an investment in public improvements.

Heritage District: The Original Town Site (OTS) of Surprise currently includes over 16% of undeveloped lands within its boundaries, in addition to many vacant properties. The ultimate pattern of revitalization supports design strategies and public improvements that capitalize on the cultural aspects of walkability and “front yard-living” that provide the basis for a vibrant, culturally diverse community, while providing regional connectivity and expanded services. Current planning efforts for this area include the Village 1 Plan and the Specific Plan for the Revitalization of the Original Town Site.

City Center: City Center or Downtown Surprise has a unique role to play in the 21st-century development of the West Valley region. In addition to being the civic, administrative, legal, cultural, and entertainment center, downtown will also offer transit connections and is planned as an exciting pedestrian environment. Development should exhibit high architectural and

Install public improvements in targeted areas, where needed, to encourage and strengthen rehabilitation and redevelopment activity.

General Plan 2035

urban design standards where the public realm is inviting and the street network is supportive of alternative modes of transportation.

Railplex: This growth area is already a significant employment center within Surprise. The availability of extensive land resources combined with the placement of existing infrastructure and rail access, positions this area to immediately support a mix of export-oriented base sector activities, such as warehouse distribution, light or heavy manufacturing, research and development uses, and select business services. In order to support near term job growth in the City, development in this area should focus on supporting a variety of employment types from small and mid-size warehouse projects to large scale manufacturing. In addition, the maintenance of the “goods movement” infrastructure within this growth area is also important to remain competitive within the region.

303 Corridor: The 303 Corridor is expected to be a prestigious corporate center and high-density development area. The strong connections this growth area has to the Loop 303 regional transportation system, as well as the local circulation system, makes this area appropriate for a mix of employment and residential uses. Development should create an attractive public realm and include provisions for enhanced community amenities, transportation and infrastructure, and other public services. Density, building design, and streetscapes must support transit-oriented development and must encourage the use of alternative modes of transportation as the preferred method of travel to and within this area.

Grand & Beardsley: As development occurs along 163rd Avenue, this growth area will play a prominent role in providing a variety of employment opportunities, such as office and institutional jobs and regional shopping services. Access to Loop 303 will also help to draw people beyond the adjacent residential neighborhoods to this mixed-use area. The relationship between these various uses and their impact on one another and surrounding residential neighborhoods deserves special consideration. With the BNSF rail line and Beardsley canal running through this area, it will be critical to provide adequate connections to the surrounding planned residential neighborhoods and open space linkages to ensure this area is not an isolated development.

The list of areas is not all-inclusive, and projects for public improvements may occur outside these identified growth areas during the course of the 2020-2024 Consolidated Plan.

How were these needs determined?

The City developed a robust policy framework to guide growth management sustainably and determine the areas where public facilities and improvements would be needed, as outlined in the *General Plan 2035*.

The *General Plan 2035* plan utilized smart growth policies that promote development near existing transportation options, public infrastructure, and community facilities. Additionally, the Plan aims to foster distinct, attractive communities with a strong sense of place; and preserve open space and critical environmental areas.

<https://www.surpriseaz.gov/3062/General-Plan-2035>

Describe the jurisdiction's need for Public Services

The *Human Services and Community Vitality in Surprise - A Community that Cares* identified key areas in need of public services in Surprise.

"Although a basic core of common challenges was universal to all groups, the nature of the themes varied by population group to some extent. For example, the theme of "additional safe, affordable housing options" took on a slightly different perspective for each group:

For low/moderate-income individuals and families—finding affordable and accessible housing includes options to be able to remain in Surprise in light of housing consuming more than 50 percent of household income and for individuals and families "one paycheck away" from losing their home if a health or economic crisis arises.

For homeless individuals and families—safe, affordable housing includes a variety of options such as short-term emergency shelters, transitional housing (e.g., while struggling to regain stability after escaping from domestic violence), age-appropriate shelters for vulnerable youth and seniors, and long-term shelters for those individuals with serious mental health issues. This population group also includes youth for whom safe, affordable housing can be shelters for homeless teens to protect them from victimization, as well as group homes for youth in special circumstances, e.g., abusive homes, homes with extensive substance abuse issues, and those with mental health concerns.

For individuals with disabilities/special needs—the search for housing includes living arrangements that accommodate the individual needs of those who are physically or developmentally disabled, offer safe environments that provide a level of assistance to live without fear and anxiety, and provide options for inpatient mental health care.

For seniors—housing decisions include the search for options such as affordable long-term care/assisted living, the need to downsize to live on a retirement income insufficient to meet the rising cost of independent housing, and finding a home that feels safe after losing a spouse and becoming isolated.

For survivors of domestic violence, sexual assault, and hate crimes—adequate housing includes more shelter space for families where they can feel safe, and the children and parents are not separated.

For veterans—housing concerns can range from securing homes that are affordable enough to still have means to access counseling for veterans with Post-Traumatic Stress Disorder (PTSD) or Military Sexual Trauma (MST) to extensive waitlists for VA nursing homes." *Human Services and Community Vitality in Surprise - A Community that Cares, November 2019, prepared by I&E Consulting, LLC for the City of Surprise*

How were these needs determined?

The *Humans Services and Community Vitality in Surprise - A Community that Cares* provided data-driven needs and opportunities to determine the human services needs in Surprise for the following groups:

- Homeless individuals and families/youth
- Individuals with disabilities and special needs
- Low to moderate-income individuals and families/youth
- Seniors
- Survivors of Domestic Violence (domestic, sexual, and hate crimes)
- Veterans

The multiple prongs of the research study included the following targeted samples:

- 1) The collection of detailed information from 190 Surprise human service recipients, service providers and key community stakeholders utilizing in-depth, personally-proctored and electronic survey questionnaires;
- 2) Nine focus groups attended by 81 diverse participants who receive or need human services;
- 3) A focus group including 43 human services providers representing the specific population groups included in the study, as well as discussions with 39 participants in four group interviews;
- 4) In-depth structured interviews with 28 individuals from the community, paying special attention to information about human services groups with less representation in the research process and any potential emerging groups; and
- 5) A community forum convened for clarification and corroboration of information gathered throughout the process to further support prioritization of strengths, gaps, and recommendations for inclusion in the final report. Within the forum attended by 140 individuals from the human services community, the faith community, concerned Surprise residents, and community advocates, the I&E Consulting research team reviewed preliminary findings and a sampling of recommendations for further discussion and input. In addition, the Mayor, Vice Mayor, two City Councilmembers, and several members of the Veterans, Disabilities, and Human Services Commission participated.

<https://www.surpriseaz.gov/3759/Community-Needs-Assessment>

HOUSING MARKET ANALYSIS

Overview

MA-05

Housing Market Analysis Overview MA-05

Housing Market Analysis Overview:

The purpose of the Market Analysis is to provide a clear picture of the environment in which the jurisdiction must administer its programs over the course of the Consolidated Plan. In conjunction with the Needs Assessment, the Market Analysis will provide the basis for the Strategic Plan and the programs and projects to be administered.

The Housing Market Analysis provides information on:

- Significant characteristics of Surprise's housing market in general, including the supply, demand, and condition and cost of housing
- Housing stock available to serve persons with disabilities and other special needs
- Condition and need of public and assisted housing
- Brief inventory of facilities, housing, and services to meet the needs of homeless persons
- Regulatory barriers to affordable housing
- Significant characteristics of the jurisdiction's economy

Maintain a communitywide housing mix to serve the evolving demographic and economic needs of its residents.

General Plan 2035

The City of Surprise lacks multi-family units which contributes to a limited supply of affordable rental opportunities. Currently, in Surprise, less than .1% of current planning area land use is designated for multi-family, and **less than 1% of existing residential units are multi-family**. As a result, **46% of Surprise renters are experiencing Housing Cost Burden**.

The 2018 HUD Housing Market Analysis (HMA) for Phoenix (which includes Surprise) reports that the overall rental market in the HMA is currently balanced, with an estimated **vacancy rate of 5.9 percent** as of August 1, 2018, down from 13.8 percent in April 2010. Strong renter household growth has contributed to declining vacancy rates and strong rent growth since the early 2010s. During the forecast period, **demand is expected for 37,050 new market-rate rental units**; the approximately 10,800 rental units currently under construction and an estimated 940 units expected to start construction in the next 3 years will meet a portion of that demand.

46% of Surprise renters are experiencing Housing Cost Burden

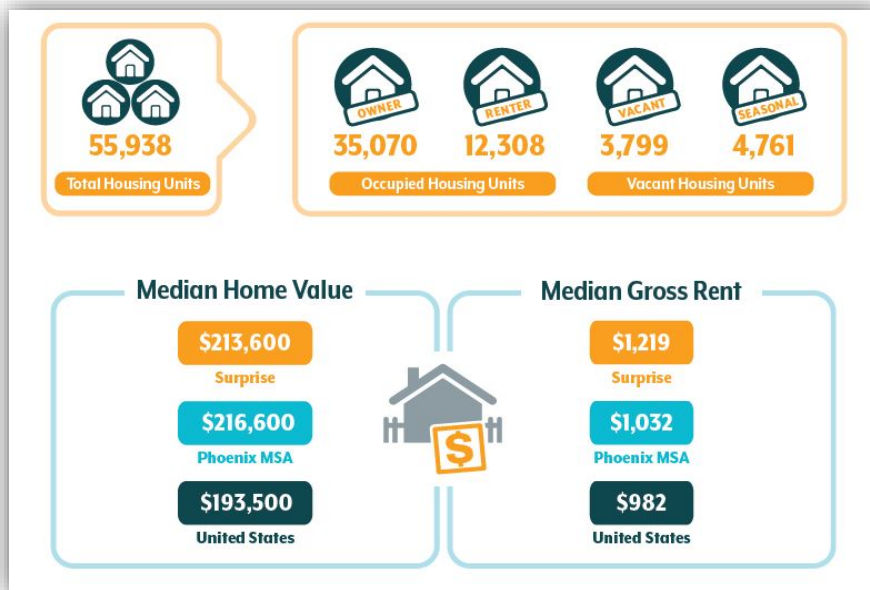
The City of Surprise strategy to improve access to affordable housing opportunities is to leverage resources and develop partnerships to create new affordable rental housing units. In addition to maximizing opportunities, Surprise will provide rental assistance to low-income households experiencing

housing cost burden. The City will also actively seek partners to assist with outreach and housing navigation, to more effectively provide affordable housing assistance.

Phoenix-Mesa had the **highest year-over-year increase in single-family rents...**

-CoreLogic Single-Family Rental Index (SFRI)

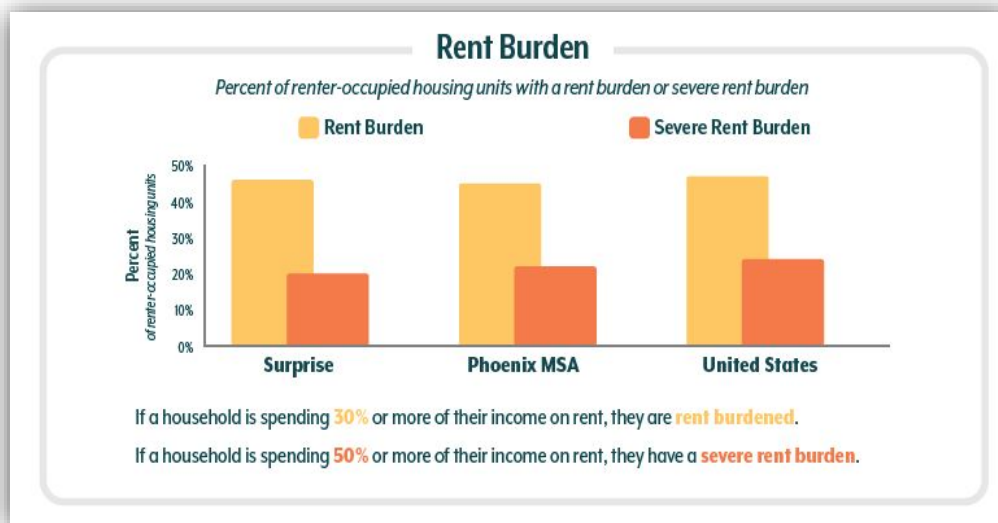
CoreLogic's Single-Family Rental Index (SFRI) that was published in January 2020 showed that for the 12th consecutive month, Phoenix-Mesa had the **highest year-over-year increase in single-family rents** in November 2019 at 6.9% (compared to November 2018). Data collected for November 2019 shows a national rent increase of 3% year over year, unchanged from November 2018.



For every 100 Very Low Income households, there are only 48 units available in Surprise

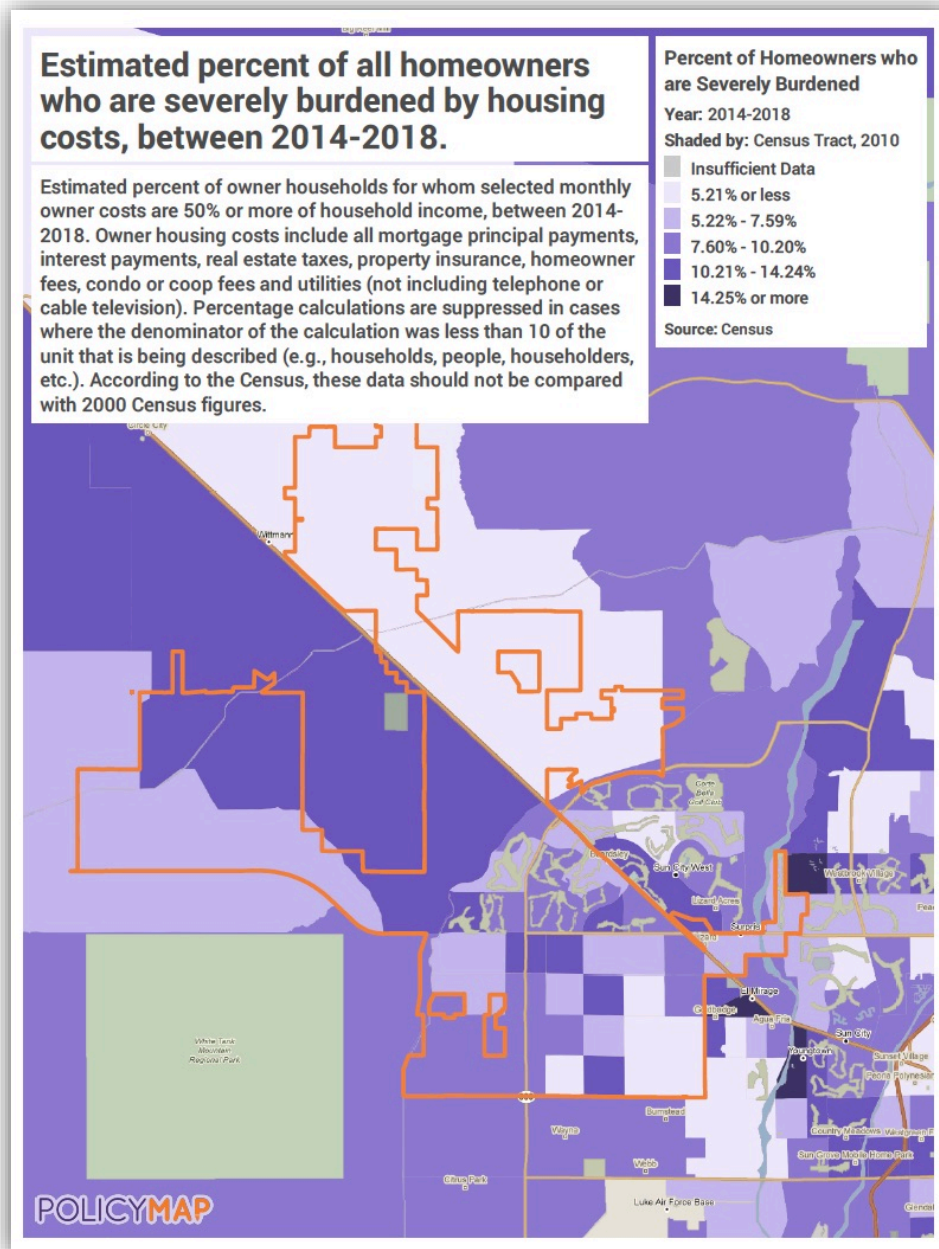
83% of Very Low Income Surprise renters are cost burdened

Surprise Community Profile - Maricopa Association of Governments (MAG)



Burdens by Age	Cost Burdened Renters between 2014-2018	
	#	% of all cost burdened renters
City (Surprise)		
Under 65	4,132	75.25%
65 or older	1,359	24.75%
County (Maricopa)		
Under 65	223,700	84.2%
65 or older	41,965	15.8%
State (Arizona)		
Under 65	343,073	83.22%
65 or older	69,175	16.78%

Cost Burden Renters by Age



Estimated percent of all renters who are severely cost burdened, between 2014-2018.

Percent of renter households for whom gross rent is 50% or more of household income, between 2014-2018. Gross rent is the contract rent plus the estimated average monthly cost of utilities (electricity, gas, water and sewer) and fuels (oil, coal, kerosene, wood, etc.) if these are paid by the renter (or paid for the renter by someone else). Gross rent is intended to eliminate differentials that result from varying practices with respect to the inclusion of utilities and fuels as part of the rental payment. Percentage calculations are suppressed in cases where the denominator of the calculation was less than 10 of the unit that is being described (e.g., households, people, householders, etc.). According to the Census, these data should not be compared with 2000 Census figures.

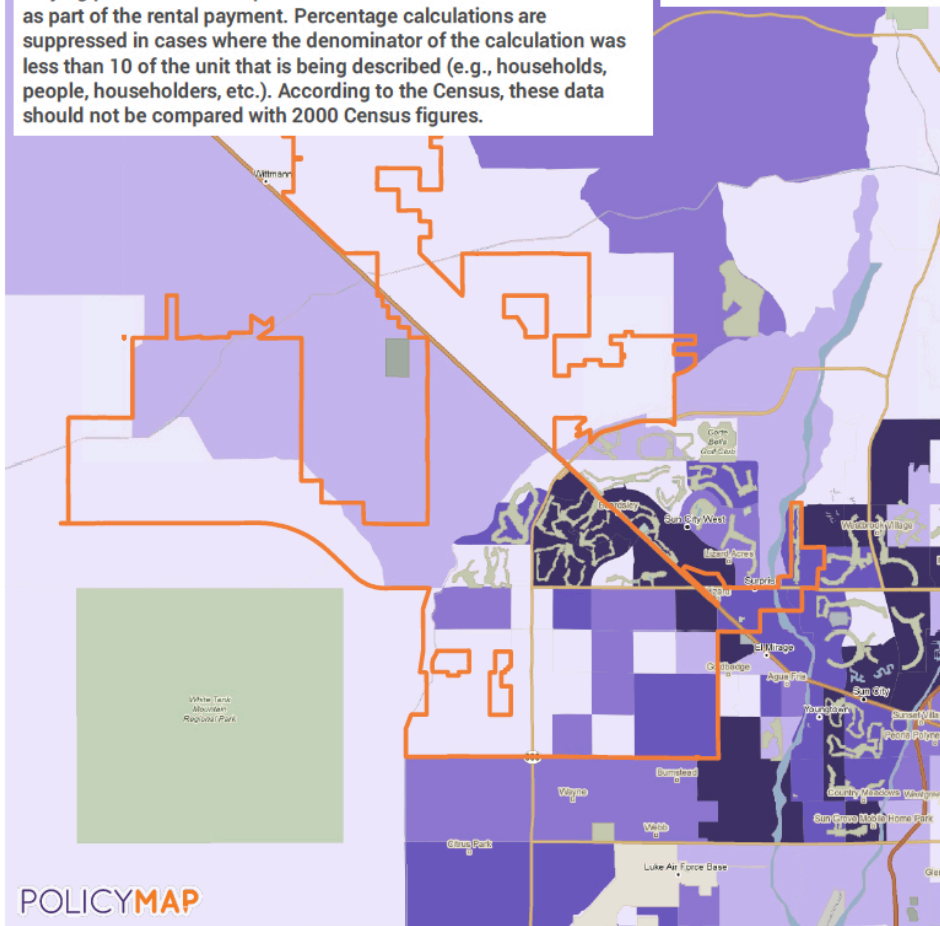
Percent of Renters who are Severely Burdened

Year: 2014-2018

Shaded by: Census Tract, 2010

- Insufficient Data
- 11.38% or less
- 11.39% - 17.77%
- 17.78% - 23.72%
- 23.73% - 31.14%
- 31.15% or more

Source: Census



POLICYMAP

Non-Housing Community Development Assets MA-45

Non Housing Community Development Assets MA-45 91.410, 91.210(f)

Introduction

Over the last seventeen years, the City's population has increased by nearly 350 percent, and it has emerged as a sustainable community working towards global connectivity. Growth has been fueled by an increase in employment in construction and the establishment of retail and service sectors. The City also continues to bring in high-quality jobs to its residents and investment-rich global companies to its Foreign Trade Zone. Targeted initiatives have been launched to attract industry sectors like advanced manufacturing, innovation, medical travel and signature retail. The city has a progressive approach for supporting high employment projects and is skilled at identifying incentives to assist critical needs of incoming projects.

Economic Development Market Analysis

Business Activity

Business by Sector	Number of Workers	Number of Jobs	Share of Workers %	Share of Jobs %	Jobs less workers %
Agriculture, Mining, Oil & Gas Extraction	337	12	1	0	-1
Arts, Entertainment, Accommodations	5,655	3,649	15	26	11
Construction	2,234	609	6	4	-2
Education and Health Care Services	8,537	2,307	22	16	-6
Finance, Insurance, and Real Estate	3,515	781	9	5	-4
Information	959	259	2	2	0
Manufacturing	2,139	648	6	5	-1
Other Services	1,269	723	3	5	2
Professional, Scientific, Management Services	3,105	394	8	3	-5
Public Administration	0	0	0	0	0
Retail Trade	7,173	4,425	19	31	12
Transportation and Warehousing	1,601	77	4	1	-3
Wholesale Trade	1,892	385	5	3	-2
Total	38,416	14,269	--	--	--

Table 11 – Business Activity Data Source: 2011-2015 ACS (Workers), 2015 Longitudinal Employer-Household Dynamics (Jobs)

Labor Force

Total Population in the Civilian Labor Force	52,850
Civilian Employed Population 16 years and over	48,260
Unemployment Rate	8.70
Unemployment Rate for Ages 16-24	18.34
Unemployment Rate for Ages 25-65	5.92

Table 12 – Labor Force

Data Source: 2011-2015 ACS

Occupations by Sector	Number of People
Management, business and financial	10,880
Farming, fisheries and forestry occupations	2,280
Service	5,680
Sales and office	13,910
Construction, extraction, maintenance and repair	3,995
Production, transportation and material moving	2,885

Table 13 – Occupations by Sector

Data Source: 2011-2015 ACS

Travel Time

Travel Time	Number	Percentage
< 30 Minutes	20,660	46%
30-59 Minutes	18,575	41%
60 or More Minutes	5,590	12%
Total	44,825	100%

Table 14 – Travel Time

Data Source: 2011-2015 ACS

Education:

Educational Attainment by Employment Status (Population 16 and Older)

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Less than high school graduate	2,435	355	1,130
High school graduate (includes equivalency)	9,580	1,025	4,170
Some college or Associate's degree	17,190	1,615	4,870
Bachelor's degree or higher	11,375	420	2,945

Table 15 – Educational Attainment by Employment Status

Data Source: 2011-2015 ACS

Educational Attainment by Age

	Age				
	18–24 yrs	25–34 yrs	35–44 yrs	45–65 yrs	65+ yrs
Less than 9th grade	70	125	295	715	785
9th to 12th grade, no diploma	1,160	930	820	1,030	1,175
High school graduate, GED, or alternative	2,725	4,090	3,995	6,705	6,930
Some college, no degree	2,535	4,680	5,015	7,690	7,110
Associate's degree	524	1,755	1,780	2,980	1,865
Bachelor's degree	365	2,820	3,475	3,735	4,850
Graduate or professional degree	0	975	1,780	2,055	3,255

Table 16 – Educational Attainment by Age

Data Source: 2011-2015 ACS

Educational Attainment – Median Earnings in the Past 12 Months

Educational Attainment	Median Earnings in the Past 12 Months
Less than high school graduate	49,737
High school graduate (includes equivalency)	62,660

Educational Attainment	Median Earnings in the Past 12 Months
Some college or Associate's degree	77,712
Bachelor's degree	95,081
Graduate or professional degree	94,489

Table 17 – Median Earnings in the Past 12 Months

Data Source: 2011-2015 ACS

Based on the Business Activity table above, what are the major employment sectors within your jurisdiction?

The above tables identify Retail Trade (31%), Arts, Entertainment, Accommodations (26%) and Education and Health Care Services (16%) as the major employment sectors. The employment tables utilize data from 2011-2015 ACS (Workers), 2015 Longitudinal Employer-Household Dynamics (Jobs). These industries still fuel the Surprise economy. Over the last five years, Surprise has permitted nearly 1,750 commercial projects representing almost 4 million square feet of development. These developments represent \$600 million of capital investment into the community.

The City is sees opportunities for economic growth and job creation in four sectors: advanced manufacturing, innovation and entrepreneurship, medical travel and signature retail.

ADVANCED MANUFACTURING Manufacturing or logistics businesses that use innovative technologies to improve their products or processes.

INNOVATION & ENTREPRENEURSHIP The evolution of a product, idea or field that enhances and improves to find a solution to a common problem or need.

MEDICAL TRAVEL Specialty, world-class medical services and treatments aimed at attracting and caring for international visitors.

Describe the workforce and infrastructure needs of the business community:

The *General Plan 2035* identified key areas in Surprise that have infrastructure needs in order to continue growing the local economy.

Surprise Center - The Surprise Center District is home to City of Surprise Recreation Campus, Surprise Stadium, Tennis Complex, Community Park, Aquatic Center, Northwest Regional Library, City Hall and Civic Complex, and the West Point master planned community. The Surprise Center District area has been the recipient of considerable financial investment over the years and is supported by strong vehicular access from all four directions. This area currently serves as the recreation and tourism hub of the community by drawing visitors to its world class recreation center and Kansas City Royals/Texas Rangers spring training facilities. Restaurants, hotels and shopping opportunities are in close proximity to support the recreation and tourism destinations. Communiversity@Surprise is home to five colleges and universities that offer a variety of degrees that range from business management to healthcare. While this area is currently the recreation, tourism, and government services hub of the community, Surprise has long envisioned this area to ultimately be a vibrant downtown – an essential

cornerstone element to the growth and vibrancy in creating “One Surprise”. **An infusion of mixed-use developments, medical offices, higher density residential, hotels, a four-year university, restaurants, shops, and entertainment uses are desired to complement and build upon existing uses to create a more economically sustaining and robust downtown destination.**

Loop 303/Prasada This area is planned to serve as a regional retail and office hub that already is home to Auto Show at Prasada which is one of the best performing car dealerships in the United States. **This area also has a planned regional mall, regional hospital/medical campus and a regional professional office center that collectively could employ as many as 20,000 jobs in this area.**

Luke AFB Compatibility District - Luke Compatibility District (LCD) represents a large swath of Employment-designated land uses intended primarily for industrial and business park-oriented operations that promote and support the continued mission of Luke Air Force Base and Auxiliary Field #1. The LCD will be the largest concentration of planned employment-related land uses in Surprise, but **currently does not possess the needed transportation and utility infrastructure to adequately service the entire LCD area.** The planned White Tanks Freeway bifurcates the LCD just north of the Jomax Road alignment. As this facility is constructed in the future, it will serve as a transportation and logistical catalyst for industrial and commerce park employment growth opportunities in this area.

Describe any major changes that may have an economic impact, such as planned local or regional public or private sector investments or initiatives that have affected or may affect job and business growth opportunities during the planning period. Describe any needs for workforce development, business support or infrastructure these changes may create.

Surprise has a population of 138,161 (*U.S. Census Bureau, 2018 Population Estimate*). The Maricopa Association of Government (MAG) Socioeconomic Projections 2019 anticipate that Surprise will have a population of 417,200 in 2050 with 130,500 jobs. This continued and profound growth will drive the need for additional market-rate housing, employment opportunities, public facilities, and public service. The growth touches every area of the community from schools to parks to transportation infrastructure. Few communities will face this level of challenge over the next several decades.

How do the skills and education of the current workforce correspond to employment opportunities in the jurisdiction?

Workforce training continues to be an integral part of the long-term growth strategy for Surprise. Workforce training and education are a pivotal part of *Growth Plan 2035* and remains a focus of economic development activities.

Arizona@Work Maricopa County - ARIZONA@WORK is the statewide workforce development network that helps employers of all sizes and types recruit, develop and retain the best

employees for their needs. For job seekers throughout the state, we provide services and resources to pursue employment opportunities.

The Maricopa County Workforce Development Board was established to assist the Maricopa County Board of Supervisors as the Chief Local Elected Officials in strategic planning, oversight and evaluation of the local workforce development area, as well as to promote effective outcomes consistent with statewide goals, objectives and negotiated local performance.

Ottawa University Arizona (OUAZ) - Ottawa University is a private Baptist liberal arts university founded in Ottawa, Kansas that has grown to have a second residential campus in Surprise, Arizona, and adult campuses in several locations throughout the United States. It was founded in 1865 and is affiliated with the American Baptist Churches USA. The residential campus in Ottawa has approximately 750 students, while the OUAZ campus in Surprise boasts nearly 700, in addition to approximately 4,000 students across all of its campuses and online. The OUAZ campus is located in the Surprise Civic Center complex.

West-MEC Career & Technical Education - Western Maricopa Education Center (West-MEC) is a public-school district dedicated to providing innovative career and technical education (CTE) programs that prepare students to enter the workforce and pursue continuing education. West-MEC CTE programs provide students opportunities to earn college credit and industry credentials.

AZ TechCelerator - The AZ TechCelerator, a four-building campus, totaling nearly 60,000 square feet is designed to “incubate” new, start-up innovation business ventures by providing affordable space, tools and resources to grow new businesses. The City offers access to experienced mentors and partnerships with area businesses such as University of Advancing Technologies (UAT), the Arizona Small Business Development Center (AZ SBDC) and Service Corps. of Retired Executives (SCORE). Located in the Original Town Site (OTS), the AZ TechCelerator is a city-owned building that has recently undertaken a \$500,000 renovation. The center is currently home to 12 tenant businesses including Google, Inc. and MD24 House Call.

Small Business Assistance Program (SBAP) offered at AZ TechCelerator, Surprise offers one-on-one coaching and counseling to existing and would-be entrepreneurs, helping them establish business plans and access private and public resources.

Does your jurisdiction participate in a Comprehensive Economic Development Strategy (CEDS)?

No

If so, what economic development initiatives are you undertaking that may be coordinated with the Consolidated Plan? If not, describe other local/regional plans or initiatives that impact economic growth.

The City of Surprise does not have a CEDS. Economic Development Plan are made at the City level and are an integral part of *General Plan 2035*. None the other member of the Maricopa

HOME Consortium has CEDS strategies funded by the U.S. Economic Development Administration but instead have other locally generated plans. Members of the Urban County have and will continue to strategically commit CDBG and other resources for focused infrastructure, public improvements, business support, public services and other needed eligible activities to induce and sustain economic development within the jurisdiction.

Discussion

The Surprise City Council actively supports high employment projects, and City staff is skilled at utilizing assistance programs to meet the critical needs of incoming projects through the following tools:

Foreign Trade Zone No. 277 - The City of Surprise is located within the Greater Maricopa Foreign Trade Zone No. 277 which offers both federal benefits and up to a 75% reduction on Arizona Real and Personal Property Taxes. The City of Surprise partners with the Western Maricopa Coalition (WESTMARC), which is a public-private partnership of the 15 communities, the business community and the educational sector in the West Valley of Greater Phoenix, to facilitate the activation of the Foreign Trade Zone within the City of Surprise.

The city has experience in assisting businesses in obtaining an FTZ Designation and recently worked with IRIS USA in establishing their FTZ designation for their 400,000+ square foot manufacturing facility in the City's Southwest Railplex industrial district. The City worked with the company during the designation process and coordinated efforts directly with the company, site selector, WESTMARC and the designated FTZ consultant to file the appropriate applications.

5-Day Building Permit Program - The Self-Certification Permit Program, also known as the 5-Day Building Permit Program, illustrates how the City of Surprise is committed to enhancing customer service for our building community. The program eliminates the plan review fee for Licensed Design Professionals certified with the City of Phoenix and provides a faster permit process for eligible projects, allowing a permit to be issued within five business days.

The City of Surprise may provide interim office space at its 60,000 square foot AZ TechCelerator business incubator to businesses entering the market. This helps to accommodate business start-up operations, hiring & recruitment, and training needs while the planning and construction of a new facility is underway.

The **Surprise Heritage District (SHD)** is a zoning district that regulates properties in the City's Original Town Site (OTS), which is bounded North-South by Bell Rd and Greenway Rd and East-West by El Mirage Rd and Dysart Rd. The SHD is intended to aid in revitalization of the OTS while preserving historical character and a unique sense of place.

Adopted under Ord 2016-14, the City's Infill Incentive District provides financial incentives to promote both residential and commercial development that will aid in the revitalization of the Original Town Site. In order to be eligible, properties within the OTS will now be required to have one of the optional overlay zones, either SHD-RO or SHD-CO. If the property qualifies, the

available incentive and procedure to obtain it will be determined by the type of project: residential or commercial.

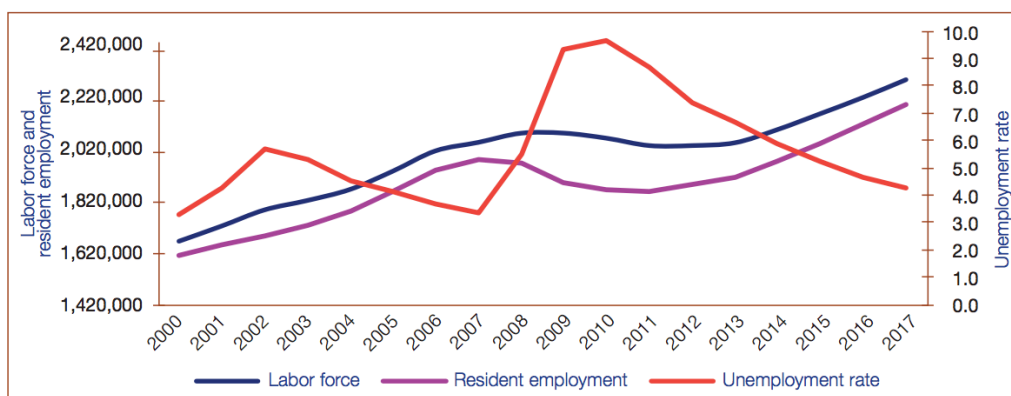
- New residential development on parcels zoned either SHD-RO or SHD-CO shall receive a 100% waiver of the City of Surprise Development Impact Fees
- New, expanding qualifying commercial development may request a 100% waiver of Building Plan Review, Building Permit, and City of Surprise Development Impact Fees at the approval of City Council

Workforce Needs

Continuing education is pivotal to the advancement of residents and economic opportunities. To raise the educational opportunities, the City of Surprise strives to bring universities, trade schools, and colleges to the region. The presence of excelling educational and occupational training facilities convenient for the Surprise workforce is regarded as one of the community's greatest assets in attracting industries. An educated population with excelling job skills allows for greater earning potential.

The Surprise area is underserved by educational opportunities. The Communiversiity at Surprise is the City's only higher education institution. Communiversiity, located adjacent to City Hall, is a partnership of higher education institutions dedicated to providing students with the opportunity to continue their education and earn progressive degrees. The market for educational opportunities in Surprise can be expanded by targeting facilities that tailor their education to take advantage of the unique demographics and resources available in the region.

Figure 1. Trends in Labor Force, Resident Employment, and Unemployment Rate in the Phoenix HMA*, 2000 Through 2017



*Phoenix-Mesa-Scottsdale HMA

Source: U.S. Bureau of Labor Statistics

Trends in Labor Force

Are there any areas where households with multiple housing problems are concentrated? (Include a definition of concentration)

There are four housing problems in the CHAS data that HUD uses to define a housing problem: 1) housing unit lacks complete kitchen facilities; 2) housing unit lacks complete plumbing facilities; 3) household is overcrowded; and 4) household is cost burdened. A household is said to have a housing problem if they have any 1 or more of these 4 problems. Concentration occurs when the area experiences multiple housing problems a greater rate than the rest of the community.

45% of Surprise renters have at least 1 housing problem.

2017 CHAS Data

Are there any areas in the jurisdiction where racial or ethnic minorities or low-income families are concentrated? (include a definition of "concentration")

To assist communities in identifying racially/ethnically-concentrated areas of poverty (R/ECAPs), HUD has developed a census tract-based definition of R/ECAPs. The definition involves a racial/ethnic concentration threshold and a poverty test. The racial/ethnic concentration threshold is straightforward: R/ECAPs must have a non-white population of 50 percent or more. Regarding the poverty threshold, defines neighborhoods of extreme poverty as census tracts with 40 percent or more of individuals living at or below the poverty line. Because overall poverty levels are substantially lower in many parts of the country, HUD supplements this with an alternate criterion. Thus, a neighborhood can be a R/ECAP if it has a poverty rate that exceeds 40% or is three or more times the average tract poverty rate for the metropolitan/micropolitan area, whichever threshold is lower.

Surprise has a current R/ECAP the overlays with the Original Town Site.

The **Original Town Site (OTS)** is the historic center of Surprise. It is just over one square mile, 664 acres in area -- bounded by Bell Road on the north, Dysart Road on the west, Greenway on the south and El Mirage on the east. Grand Avenue (U.S. 60) and the Santa Fe railroad tracks angle through the area, separating the north and south portions of the neighborhood.

The City has designated the OTS a geographic priority for CDBG funding in the Consolidated Plan. Projects will center around improving the infrastructure and public facilities that residents use.

What are the characteristics of the market in these areas/neighborhoods?

The OTS is remarkable in its variety. Existing conditions range from the oldest, original residences and businesses in the City to the Bell Road Corridor shops, restaurants, hotels and offices as well as public facilities, commercial development and new housing within the

neighborhood. There are also vacant parcels, properties in need of rehabilitation and marginal land uses that are prime candidates for redevelopment.

Are there any community assets in these areas/neighborhoods?

OTS includes a 1,000-square-foot Hollyhock Library, the Surprise Senior Center, and the Villanueva Recreation Center and Hollyhock Community Pool.

Are there other strategic opportunities in any of these areas?

The City is actively working to improve the Original Townsite (OTS).

The Surprise Heritage District (SHD) is a zoning district that regulates properties in the City's Original Town Site (OTS), which is bounded North-South by Bell Rd and Greenway Rd and East-West by El Mirage Rd and Dysart Rd.

The SHD is intended to aid in revitalization of the OTS while preserving historical character and a unique sense of place. The SHD was approved by the Surprise City Council in June 2016 following extensive public outreach and input.

Comprehensive design standards apply to all properties in the OTS:

- Implements the desired character and architecture on new development
- Previously applied under the authority of the OTS revitalization plan
- Acceptable architectural styles include Bungalow, Southwest, Spanish Colonial Revival, Pueblo, and other common to the Valley Metropolitan area from the late 1800's-through the 1950's
- All new homes will include a front porch

Works in combination with other zoning regulations:

- Does not change allowed land use regulations
- Does not change development standards
- Additional zoning is needed to identify these regulations

New Development standards may help bring current "legal, non-conforming" properties into conformance:

- Smaller setbacks
- Increased maximum lot coverage
- Allow more than 1 accessory structure up to 800 sq. ft.
- The RO promotes desired pedestrian scale with flexible front yard setbacks.

Introduces "Cottage Industry" into the OTS to help grow home based businesses:

- More flexible than the "Home Occupation" regulations
- A small business conducted as an accessory to the residence

- Both protect against adverse effects of activities associated with businesses in residential areas
- Hours of operation are defined as 8am-8pm
- Allow a small number of employees
- May use up to 50% of the home
- Activities are allowed outside the house (must be screened)
- Small signage is allowed to identify a business in the home
- Wider range of business types can be a “Cottage Industry”

Allows Manufactured Homes:

- Viable housing option within the OTS. Many exist but need to be replaced/updated
- Cannot be more than 10 years old when acquiring building permit
- Must maintain the aesthetic and architectural design standards similar to conventional site-built homes
- Requires a front porch
- Garage/carports shall match architecture of the home
- All additions must meet building code requirements and be compliant with HUD standards

Development Incentives

Adopted under Ord 2016-14, the City’s Infill Incentive District provides financial incentives to promote both residential and commercial development that will aid in the revitalization of the Original Townsite. In order to be eligible, properties within the OTS will now be required to have one of the optional overlay zones, either SHD-RO or SHD-CO. If the property qualifies, the available incentive and procedure to obtain it will be determined by the type of project: residential or commercial.

- New residential development on parcels zoned either SHD-RO or SHD-CO shall receive a 100% waiver of the City of Surprise Development Impact Fees
- New, expanding Qualifying Commercial development may request a 100% waiver of Building Plan Review, Building Permit, and City of Surprise Development Impact Fees at the approval of City Council.

Broadband Needs of Housing Occupied by Low- and Moderate Income Households

MA-60

Broadband Needs MA-60 91.210(a)(4), 91.310(a)(2)

Describe the need for broadband wiring and connections for households, including low- and moderate-income households and neighborhoods.

Broadband access in communities helps provide economic growth, improved educational opportunities, access to better healthcare, greater employment opportunities, improving public safety, and increased global competitiveness for businesses.

The term broadband commonly refers to high-speed Internet access that is always on and faster than the traditional dial-up access. Broadband includes several high-speed transmission technologies such as: digital subscriber line (DSL), cable modem, fiber, wireless, satellite, and broadband over power lines (BPL).

Research among Organization for Economic Co-operation and Development (OECD) countries shows that a 4 Mbps increase in household broadband speed is associated with a roughly 4 percent increase in household income. Research shows that businesses who begin utilizing broadband increase their employees' labor productivity of an average 5 percent in the manufacturing sector and 10 percent in the services sector.

The current standard for broadband in the U.S. is internet with a 25 Mbps (Megabits per second) download speed. Though Netflix says it needs only 5 Mbps to stream video, the 25 Mbps threshold is intended to satisfy the different needs; high-quality downloads, video communication, and multiple demands of a single household's network.

However, there are still a large number of Americans unable to access broadband at the speeds necessary to make full use of its benefits. Federal Communications Commission (FCC) and National Telecommunications and Information Administration (NTIA) datasets clearly demonstrate these significant gaps in access to broadband infrastructure:

- 10 percent of all Americans (34 million people) lack access to 25 Mbps/3 Mbps service.
- 39 percent of rural Americans (23 million people) lack access to 25 Mbps/3 Mbps.
- By contrast, only 4 percent of urban Americans lack access to 25 Mbps/3 Mbps broadband.
- The availability of fixed terrestrial services in rural America continues to lag behind urban America at all speeds: 20 percent lack access even to service at 4 Mbps/1 Mbps, down only 1 percent from 2011, and 31 percent lack access to 10 Mbps/1 Mbps, down only 4 percent from 2011.
- Americans living in rural and urban areas adopt broadband at similar rates where 25 Mbps/ 3 Mbps service is available, 28 percent in rural areas and 30 percent in urban areas.

In December of 2017, HUD published the final rule, "Narrowing the Digital Divide Through Installation of Broadband Infrastructure in HUD-Funded New Construction and Substantial Rehabilitation of Multifamily Rental Housing." HUD is actively working to bridge the digital divide in low-income communities served by HUD by providing helping with the expansion of broadband infrastructure to low- and moderate-income communities. The final ruling requires installation of broadband infrastructure at the time of new construction or substantial rehabilitation of multifamily rental housing that is funded or supported by HUD. Additionally, CDBG entitlement communities are required to provide an analysis of the needs of the broadband needs of housing occupied by low- and moderate-income households.

Describe the need for increased competition by having more than one broadband Internet service provider serve the jurisdiction.

The FCC Fixed Residential Broadband Providers Map displays data showing the number of providers reporting residential fixed broadband in Surprise. The map shows the number of providers available with the most recent data from December 2018 with >25/3 Mbps. The City has complete coverage with diverse broadband providers for residents to choose from.

While several broadband providers are available to residents, low- and moderate-income census neighborhoods have a low percentage of households subscribing to broadband. Some residents may be accessing internet service utilizing their mobile phone and the data from 2014-2018 may be out of date.

The average download speed in Surprise is 49.22 Mbps. This is 19.7% slower than the average in Arizona and 12.6% slower than the national average.

BroadbandNOW reports the following about broadband internet service providers in Surprise:

- There are 18 internet providers in Surprise with 6 of those offering residential service.
- Approximately 89% of Surprise residents are serviced by multiple wired providers.
- The average internet download speed in Arizona is 61.29 Mbps.
- Fiber optic internet is available to just 5% of Maricopa County residents.
- In Maricopa County, approximately 229,000 people do not have access to 25mbps wired broadband.
- There are 13 companies offering business internet services in Surprise.

Availability of residential wired broadband internet access in 2018.

Availability of wired broadband internet access for residential customers in 2018. Includes all areas with advertised internet speeds of 768 kilobits per second (kbps) or higher. Access may not be available in entire area. Includes asymmetric xDSL (ADSL), symmetric xDSL (SDSL), VDSL, other copper wire technologies, cable modem, optical carrier/fiber to the end user, terrestrial fixed wireless, and electric power line. Areas where no data are available are labeled as having No Broadband Available.

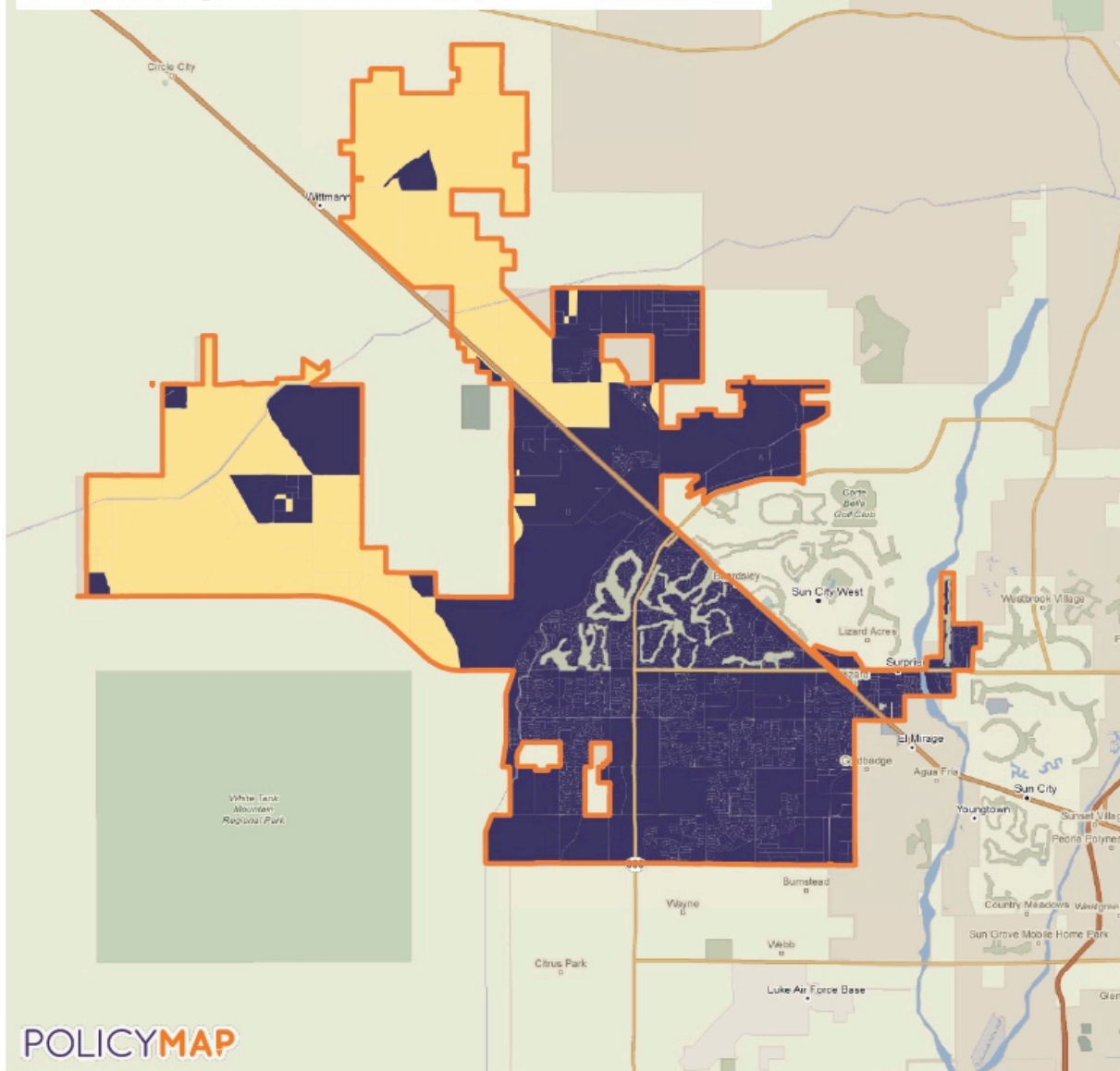
Wired Broadband Access (Residential)

Year: 2018

Shaded by: Block

- Insufficient Data
- Broadband Available
- No Broadband Available

Source: FCC



Residential Broadband

Estimated percent of households with no broadband internet subscription, between 2014-2018.

Estimated percent of households with no broadband internet subscription, between 2014-2018. This includes households with subscriptions to dial-up internet, with internet access without a subscription, and with no internet access. Percentage calculations are suppressed in cases where the denominator of the calculation was less than 10 of the unit that is being described (e.g., households, people, householders, etc.).

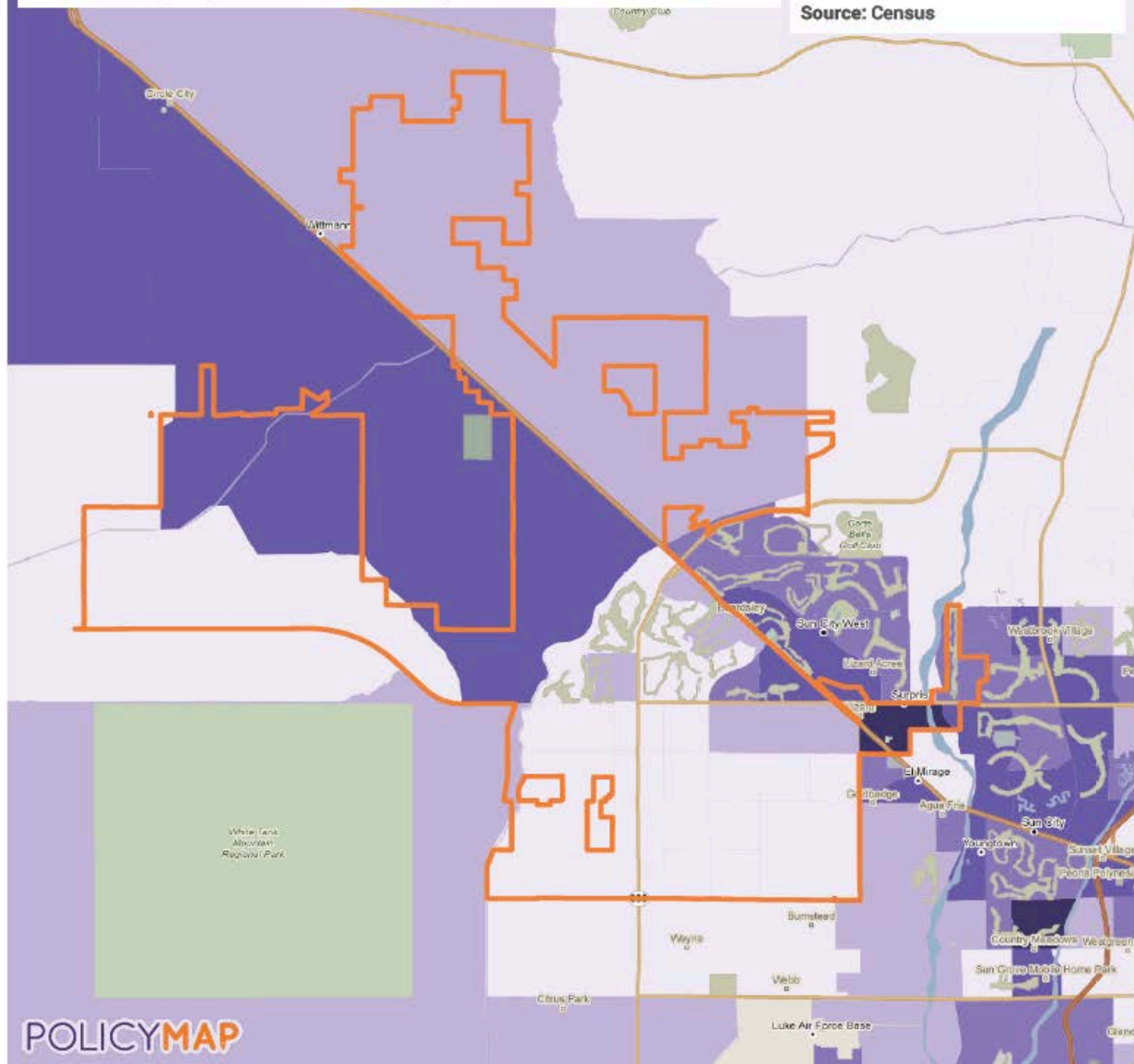
Percent Households with No Broadband Internet Subscription

Year: 2014-2018

Shaded by: Census Tract, 2010

- Insufficient Data
- 10.04% or less
- 10.05% - 16.27%
- 16.28% - 22.79%
- 22.80% - 31.31%
- 31.32% or more

Source: Census



No Broadband Subscription

Describe the jurisdiction's increased natural hazard risks associated with climate change.

The Maricopa County Multi-Jurisdictional Hazard Mitigation Plan (2015) found that the following impacts are possible throughout the Southwest Region due to climate change:

- Snowpack and streamflow amounts are projected to decline in parts of the Southwest, decreasing surface water supply reliability for cities, agriculture, and ecosystems. The Southwest produces more than half of the nation's high-value specialty crops, which are irrigation-dependent and particularly vulnerable to extremes of moisture, cold, and heat. Reduced yields from increasing temperatures and increasing competition for scarce water supplies will displace jobs in some rural communities.
- Increased warming, drought, and insect outbreaks, all caused by or linked to climate change, have increased wildfires and impacts to people and ecosystems in the Southwest.
- Fire models project more wildfire and increased risks to communities across extensive areas.
- Flooding and erosion in coastal areas are already occurring even at existing sea levels and damaging some California coastal areas during storms and extreme high tides. Sea level rise is projected to increase as Earth continues to warm, resulting in major damage as wind-driven waves ride upon higher seas and reach farther inland.
- Projected regional temperature increases, combined with the way cities amplify heat, will pose increased threats and costs to public health in southwestern cities, which are home to more than 90% of the region's population. Disruptions to urban electricity and water supplies will exacerbate these health problems.

Describe the vulnerability to these risks of housing occupied by low- and moderate-income households based on an analysis of data, findings, and methods.

The City continues to focus energy and resources on helping to ensure that residents, particularly the elderly, are safe during times of extreme summer heat. The City's housing rehabilitation program, supported with CDBG funds, helps to ensure that low- and moderate-income home owners are able to access financial resources to replace air conditioning systems.

Extreme heat often results in the highest number of deaths each year among all weather-related hazards. In 2018, Maricopa County reported 119 heat caused deaths and 63 heat related deaths. Heat disorders strike when people spend too much time in the heat or overexert themselves. Older adults, young children, and people who are sick, overweight or have an underlying health condition are more susceptible to heat-related illness.

The National Weather Service reports that Phoenix had 29 days over 110 in 2019. Extreme heat is defined as a period of at least 2-3 days of high heat with temperatures above 90 degrees. The average temperature in Phoenix in July, according to The Weather Channel, is 106 degrees.

The City works to actively mitigate the challenges faced by low- and moderate-income residents in the face a natural disaster.

City of Surprise Functional Needs Database Information Form - This is a voluntary registry for Surprise residents to assist public safety personnel in identifying persons with disabilities or functional needs. This database will be used by the Surprise Public Safety Departments during disasters to determine where persons with disabilities or other functional needs reside. The information provided on this form will only be used by emergency personnel in the course of their duties.

Heat Relief Network

The Heat Relief Network is a regional partnership of the Maricopa Association of Governments (MAG), municipalities, nonprofit organizations, the faith-based community, and businesses. Each year, MAG coordinates the mapping of the Heat Relief Network, a network of partners providing hydration stations, refuge locations, and water donation sites throughout the Valley with the goal of preventing heat-related and heat caused deaths among vulnerable populations and people experiencing homelessness.

Emergency Cooling Centers and water distribution areas are located throughout Maricopa County during extreme heat events for those who do not have access to indoor cool environments. Cooling centers can be community centers, churches, and other community-based organizations that provide water and serve as a safe, cool indoor place during the day for refuge from the heat. Additionally, water and other heat relief supply donations are collected throughout the County.

STRATEGIC PLAN

Overview

SP-05

Strategic Plan SP-05

Strategic Plan Overview

The City of Surprise's 2020-2024 Consolidated Plan is a five-year strategic plan to provide an outline of action for the community as it works toward meeting the housing and community development needs of its low- and moderate-income and special needs households. The plan's development includes a profile of the community and its economy, and an assessment of housing and community development needs, and the development of long-range strategies to meet those needs.

Priorities were determined through analysis of multiple data sources:

- 2020 Maricopa HOME Consortium - Impediments to Fair and Affordable Housing
- 2020 Maricopa HOME Consortium Consolidated Plan
- Human Services & Community Vitality in Surprise—A Community That Cares (2019)
- Surprise Park and Recreation Master Plan (2015)
- General Plan 2035 (2015)
- Maricopa County Multi-Jurisdictional Hazard Mitigation Plan (2015)
- Stakeholder meetings and surveys
- Consultation with Maricopa HOME Consortium members
- Citizen input gathered at public meetings/listening sessions and survey results
- Staff recommendations
- Community Housing Assessment Strategy (CHAS) data
- American Housing Survey (AHS) data
- American Community Survey (ACS) 2013-2017 5-Year Estimates

The Strategic Plan serves as a planning document which outlines the anticipated resources over the course of 5-years from CDBG entitlement funding, program income, and other sources. Additionally, a series of goals is described which illuminate how the City will prioritize available financial resources, geographic priorities and expected outcomes.

Through the process of preparing for the Consolidated Plan, the City identified the following high priority needs.

- Maintain and increase affordable housing
- Invest in public facility improvements
- Support public services
- Continue planning and administration of HUD funded programs

Over the course of the 2020-2024 Consolidated Plan the City has established goals and outcomes to address:

- Housing rehabilitation – Preservation of existing affordable housing stock.
- Housing services – Activities to support Tennant Based Rental Assistance.
- Affordable rental housing – Development of new units, and/or rehabilitation of existing units.
- Public facility improvement – Improvements to public facilities located in low – and moderate income areas.
- Public Services – Services for LMI persons in Surprise.
- Planning and Administration – Continued planning and administration of the program.

Geographic Area

1

Area Name	Original Townsite (OTS)
Area Type	Local Target Area
Other Target Area Description	
% of Low/Mod	
Revital Type	Comprehensive
Other Revital Description	
Identify the neighborhood boundaries for this target area	
The Original Town Site (OTS) is the historic center of Surprise. It is just over one square mile, 664 acres in area -- bounded by Bell Road on the north, Dysart Road on the west, Greenway on the south and El Mirage on the east. Grand Avenue (U.S. 60) and the Santa Fe railroad tracks angle through the area, separating the north and south portions of the neighborhood.	
Include specific housing and commercial characteristics of this target area	
The OTS is remarkable in its variety. Existing conditions range from the oldest, original residences and businesses in the City to the Bell Road Corridor shops, restaurants, hotels and offices as well as public facilities, commercial development and new housing within the neighborhood. There are also vacant parcels, properties in need of rehabilitation and marginal land uses that are prime candidates for redevelopment. OTS includes a 1,000-square-foot Hollyhock Library, the Surprise Senior Center, and the Villanueva Recreation Center and Hollyhock Community Pool.	
How did your consultation and citizen participation process help you to identify this neighborhood as a target area?	
Original Town Site Outreach The City held an outreach meeting at the Original Town Site (OTS) outreach meeting on September 4, 2019 to aid in the identification of the OTS as a target area. Comments from the public revolved around: rehab of existing homes, environmental hazards in homes, i.e. asbestos and mold, making programs more available and making people more aware, repairing old houses, language barriers to knowing programs are available, and the surplus of empty lots in the OTS.	
Identify the needs in this target area	
The OTS is in need of residential, commercial, and infrastructure improvements. The most critical needs are upgrades to water and sewer capacities.	
What are the opportunities for improvement in this target area	
The Original Town Site (OTS) of Surprise currently includes over 16% of undeveloped lands within its boundaries, in addition to many vacant properties. The ultimate pattern of revitalization supports design strategies and public improvements that capitalize on the cultural aspects of walkability and "front yard-living" that provide the basis for a vibrant, culturally diverse community, while providing regional connectivity and expanded services. Current planning	

efforts for this area include the Village 1 Plan and the Specific Plan for the Revitalization of the Original Town Site.

The **Surprise Heritage District (SHD)** is a zoning district that regulates properties in the city's Original Town Site (OTS), which is bounded North-South by Bell Rd and Greenway Rd and East-West by El Mirage Rd and Dysart Rd. The SHD is intended to aid in revitalization of the OTS while preserving historical character and a unique sense of place.

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Are there barriers to improvement in this target area

The City is actively working to improve the Original Townsite (OTS).

The Surprise Heritage District (SHD) is a zoning district that regulates properties in the city's Original Town Site (OTS), which is bounded North-South by Bell Rd and Greenway Rd and East-West by El Mirage Rd and Dysart Rd.

The SHD is intended to aid in revitalization of the OTS while preserving historical character and a unique sense of place. The SHD was approved by the Surprise City Council in June 2016 following extensive public outreach and input.

Comprehensive design standards apply to all properties in the OTS:

- Implements the desired character and architecture on new development
- Previously applied under the authority of the OTS revitalization plan
- Acceptable architectural styles include Bungalow, Southwest, Spanish Colonial Revival, Pueblo, and other common to the Valley Metropolitan area from the late 1800's- through the 1950's
- All new homes will include a front porch

Works in combination with other zoning regulations:

- Does not change allowed land use regulations
- Does not change development standards
- Additional zoning is needed to identify these regulations

New Development standards may help bring current "legal, non-conforming" properties into conformance:

- Smaller setbacks
- Increased maximum lot coverage
- Allow more than 1 accessory structure up to 800 sq. ft.
- The RO promotes desired pedestrian scale with flexible front yard setbacks.

Introduces "Cottage Industry" into the OTS to help grow home based businesses:

- More flexible than the "Home Occupation" regulations
- A small business conducted as an accessory to the residence

- Both protect against adverse effects of activities associated with businesses in residential areas
- Hours of operation are defined as 8am-8pm
- Allow a small number of employee
- May use up to 50% of the home
- Activities are allowed outside the house (must be screened)
- Small signage is allowed to identify a business in the home
- Wider range of business types can be a "Cottage Industry"

Allows Manufactured Homes:

- Viable housing option within the OTS. Many exist but need to be replaced/updated
- Cannot be more than 10 years old when acquiring building permit
- Must maintain the aesthetic and architectural design standards similar to conventional site-built homes
- Requires a front porch
- Garage/carports shall match architecture of the home
- All additions must meet building code requirements and be compliant with HUD standards

Development Incentives

Adopted under Ord 2016-14, the City's Infill Incentive District provides financial incentives to promote both residential and commercial development that will aid in the revitalization of the Original Townsite. In order to be eligible, properties within the OTS will now be required to have one of the optional overlay zones, either SHD-RO or SHD-CO. If the property qualifies, the available incentive and procedure to obtain it will be determined by the type of project: residential or commercial.

- New residential development on parcels zoned either SHD-RO or SHD-CO shall receive a 100% waiver of the City of Surprise Development Impact Fees
- New, expanding Qualifying Commercial development may request a 100% waiver of Building Plan Review, Building Permit, and City of Surprise Development Impact Fees at the approval of City Council.

2

Area Name	Surprise Citywide
Area Type	Local Target Area
Other Target Area Description	
% of Low/Mod	
Revital Type	Comprehensive
Other Revital Description	
Identify the neighborhood boundaries for this target area	
Include specific housing and commercial characteristics of this target area	
How did your consultation and citizen participation process help you to identify this neighborhood as a target area?	
Identify the needs in this target area	

What are the opportunities for improvement in this target area
Are there barriers to improvement in this target area

Table 18 – Geographic Priorities

General Allocation Priorities

Describe the basis for allocating investments geographically within the state

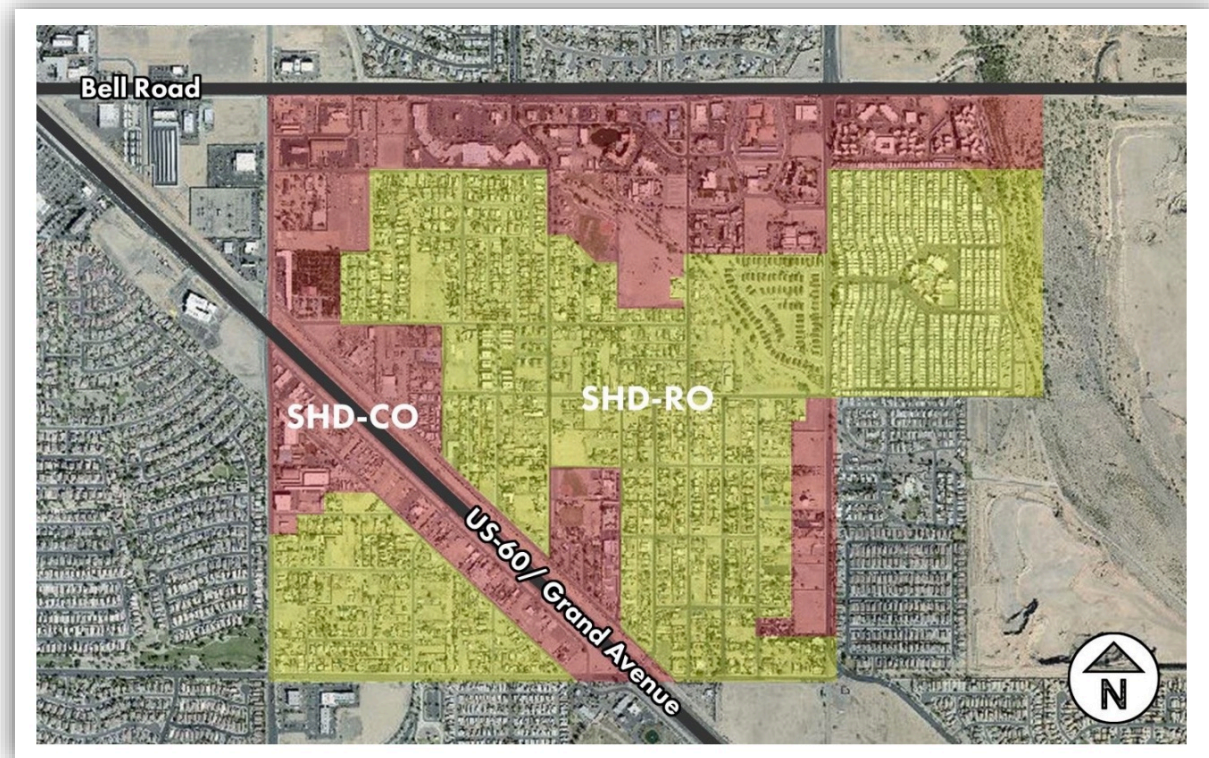
The City is actively working to improve the Original Townsite (OTS) and has identified the high priority need for public facility improvements. The City's will limit low mod area benefit (LMA) to public facility improvements in the Original Town Site (OTS). All of other projects in the 2020 Action Plan will occur citywide.

Improve infrastructure in the OTS to enhance existing housing, housing rehabilitation efforts and targeted housing infill opportunities.

General Plan 2035

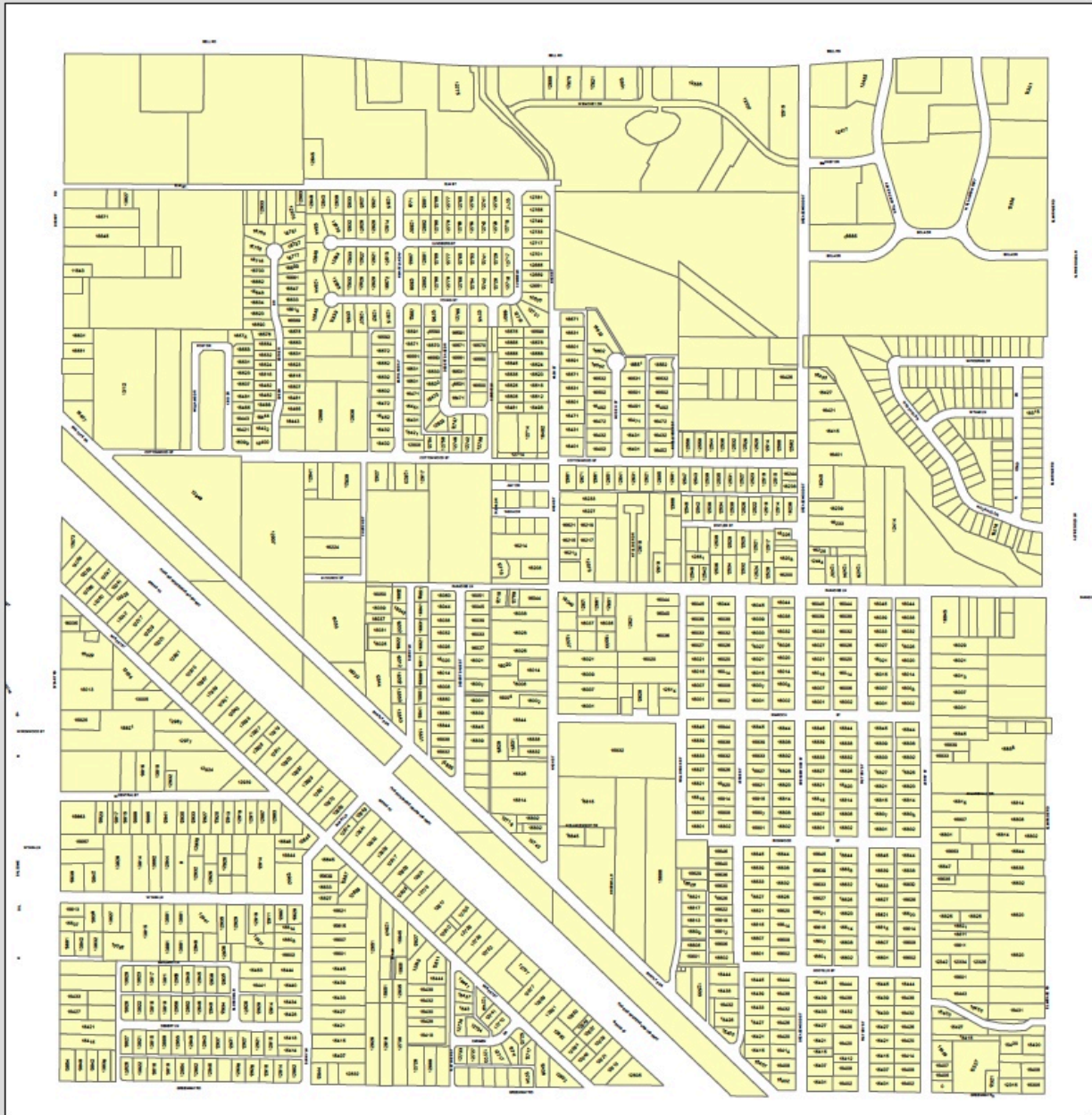
The **Original Town Site (OTS)** is the historic center of Surprise. It is just over one square mile, 664 acres in area -- bounded by Bell Road on the north, Dysart Road on the west, Greenway on the south and El Mirage on the east. Grand Avenue (U.S. 60) and the Santa

Fe railroad tracks angle through the area, separating the north and south portions of the neighborhood.



OTS - Surprise Opportunity Zone

City of Surprise - Original Town Site



0 250 500 1,000 Feet



OTS MAP

Priority Needs

“Continue to pursue the development of additional safe, affordable housing and emergency/transitional housing.”
Human Services & Community Vitality in Surprise - A Community That Cares.

1

Table 19 – Priority Needs Summary

Priority Need Name		Affordable Housing			
Priority Level	☒ High	☐ Medium	☐ Low		
Population					
☒ Extremely Low		☒ Large Families			
☒ Low		☒ Victims of Domestic Violence			
☒ Moderate		☒ Persons with Disabilities			
☒ Families with Children		☒ Individuals			
☒ Elderly					
Geographic Areas Affected		Surprise Citywide			
Associated Goals		☒ Housing Rehabilitation ☒ Housing Services ☒ Affordable Rental Housing			
Description		The City of Surprise has identified the high priority need of access to safe and affordable housing for Surprise residents. Creation of affordable housing opportunities, preservation of existing housing, rental assistance, and creation of new affordable rental units.			
Basis for Relative Priority					
The Assessment of Impediments (AI) for the Maricopa HOME Consortium members listed "Insufficient affordable housing in a range of unit sizes" as the first of several high priorities. Some 29.4% of households have costs burdens. This is more significant for renter households, of which 43.4% have cost burdens. This signifies a lack of housing options that are affordable to a large proportion of the population. Creating new, affordable rental housing for LMI persons is a direct way that the City of Surprise can address this high priority impediment. Additionally, the City will launch a new tenant-based rental assistance (TBRA) program to help provide more stability to persons at risk of becoming homeless due to housing cost burden. Additionally, the AI called out "Insufficient accessible affordable housing" and "Failure to make reasonable accommodations" as two separate high priority impediments. The study explained that the number of accessible affordable units may not meet the need of the growing elderly and					

disabled population, particularly as the population continues to age. Some 46.5% of persons aged 75 and older have at least one form of disability. Input from local service providers assert that these estimates may be lower than the actual rate of disability in the HOME Consortium.

Disability was the number one fair housing basis for complaints with cause between 2008 and 2017. Failure to make reasonable accommodations accounted for the largest number of issues for fair housing complaints during this time period.

The City of Surprise will address these needs by providing a housing rehabilitation program that focuses on health and safety issue for low- and moderate-income homeowners.

As areas within the City age, neighborhoods may fray from disinvestment in the community. It is very important to identify and capitalize on the assets of the neighborhood to address the deficiencies in other areas of the community

General Plan 2035

2

Table 19 – Priority Needs Summary

Priority Need Name		Public Facility Improvements			
Priority Level	☒ High	☐ Medium	☐ Low		
Population					
☒ Extremely Low		☒ Large Families			
☒ Low		☒ Victims of Domestic Violence			
☒ Moderate		☒ Persons with Disabilities			
☒ Families with Children		☒ Individuals			
☒ Elderly		☒ Public Housing Residents			
☒ Persons with HIV/AIDS		☒ Chronic Homeless			
☒ Unaccompanied Youth		☒ Mentally Ill			
☒ Frail Elderly		☒ Veterans			
☒ Persons with Mental Disabilities		☒ Non-housing Community Development			
Geographic Areas Affected		Original Townsite			
Associated Goals		☒ Public Facility Improvements			
Description		Improvements to public facilities located primarily in majority low – and moderate income areas. The City has been working to improve the Original Townsite (OTS) and has identified the high priority need for public facility improvements.			
Basis for Relative Priority					
The City has been actively working to improve the Original Townsite (OTS), offering development incentives, developing new affordable housing, and new community facilities. The continued development in the OTS requires upgrades to aging or undersized public facilities, and new public facilities to support the growth of the area.					

Provide “grant funding for human services to reflect the assessment-identified prioritization of needs...”

Human Services & Community Vitality in Surprise - A Community That Cares.

3

Table 19 – Priority Needs Summary

Priority Need Name		Public Services			
Priority Level	☒ High	☐ Medium	☐ Low		
Population					
☒ Extremely Low		☒ Large Families			
☒ Low		☒ Victims of Domestic Violence			
☒ Moderate		☒ Persons with Disabilities			
☒ Families with Children		☒ Individuals			
☒ Elderly		☒ Chronic Homeless			
☒ Unaccompanied Youth		☒ Persons with Physical Disabilities			
☒ Frail Elderly		☒ Veterans			
☒ Persons with Mental Disabilities		☒ Non-housing Community Development			
		☒ Public Housing Residents			
Geographic Areas Affected		Surprise Citywide			
Associated Goals		☒ Public Services			
Description		The City of Surprise has identified the need for public services throughout the City. These public service needs include services for seniors, persons with disabilities, persons experiencing homelessness, persons at risk of becoming homeless, low-income children, and youth. The City will also fund eligible activities to support local pandemic response such as the COVID-19 infectious disease.			
Basis for Relative Priority					
The Community Needs Assessment, <i>Human Services & Community Vitality in Surprise—A Community That Cares...</i> November 2019, developed a series of recommended action for the City that would help better provide for the City's most vulnerable population. The study identified universal gaps that are considered a first priority. These identified themes common to surveys, focus groups, and interviews include (in order of prioritization): 1. Response to those individuals and families in immediate, urgent need 2. Need for a coordinated system of community partners working together to address immediate, urgent needs using a community-based human services delivery model 3. Access to mental health, behavioral health, substance abuse, and health care treatment services 4. Solutions to local transportation needs 5. Additional safe, affordable housing options 6. Awareness/communication of available services					

7. Enhanced planning for community building, collaboration, and partnership communication
8. Employment (for most population groups)

The City has determined that one of the avenues to address these critical needs is to utilize HUD CDBG funding to provide public service to seniors, persons with disabilities, persons experiencing homelessness, persons at risk of becoming homeless, low-income children, and youth. While public service cannot address each of the critical needs, it can work to make a difference in the lives of residents in the most need. The City will also fund eligible activities to support local pandemic response such as the COVID-19 infectious disease.

4

Table 19 – Priority Needs Summary

Priority Need Name		Planning & Administration			
Priority Level	☒ High	☐ Medium	☐ Low		
Population					
☒ Extremely Low		☒ Large Families			
☒ Low		☒ Victims of Domestic Violence			
☒ Moderate		☒ Persons with Disabilities			
☒ Families with Children		☒ Individuals			
☒ Elderly		☒ Chronic Homeless			
☒ Unaccompanied Youth		☒ Persons with Physical Disabilities			
☒ Frail Elderly		☒ Veterans			
☒ Persons with Mental Disabilities		☒ Non-housing Community Development			
☒ Persons with HIV/AIDS		☒ Public Housing Residents			
☒ Non-housing Community Development		☒ Mentally Ill			
Geographic Areas Affected		Surprise Citywide			
Associated Goals		☒ Planning & Administration			
Description		The City will continue supporting HUD funded programs with administration of the programs, preparing planning documents and reports, fair housing activities, and other eligible activities.			
Basis for Relative Priority					
Planning and Administration of HUD funded programs in vital to having a successful program and meeting the goals and objectives identified in the plan.					

Narrative

Priorities were determined through analysis of multiple data sources:

- 2020 Maricopa HOME Consortium - Impediments to Fair and Affordable Housing
- 2020 Maricopa HOME Consortium Consolidated Plan
- Human Services & Community Vitality in Surprise—A Community That Cares (2019)
- Surprise Park and Recreation Master Plan (2015)
- General Plan 2035 (2015)

- Maricopa County Multi-Jurisdictional Hazard Mitigation Plan (2015)
- Stakeholder meetings and surveys
- Consultation with Maricopa HOME Consortium members
- Citizen input gathered at public meetings/listening sessions and survey results
- Staff recommendations
- Community Housing Assessment Strategy (CHAS) data
- American Housing Survey (AHS) data
- American Community Survey (ACS) 2013-2017 5-Year Estimates

Human Services & Community Vitality in Surprise—A Community That Cares (2019) identified universal gaps that are considered a first priority. These identified themes common to surveys, focus groups, and interviews include (in order of prioritization):

- Response to those individuals and families in immediate, urgent need
- Need for a coordinated system of community partners working together to address immediate, urgent needs using a community-based human services delivery model
- Access to mental health, behavioral health, substance abuse, and health care treatment services
- Solutions to local transportation needs
- Additional safe, affordable housing options
- Awareness/communication of available services
- Enhanced planning for community building, collaboration, and partnership communication
- Employment (for most population groups)

Additionally, the Maricopa HOME Consortium Assessment of Impediments to Fair and Affordable Housing (AI) identified the following high priority impediments.

- Insufficient affordable housing in a range of unit sizes
- Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households with disproportionate rates of housing problems
- Insufficient accessible affordable housing
- Failure to Make Reasonable Accommodations
- Lack of fair housing infrastructure
- Insufficient fair housing education
- Insufficient understanding of credit

While, it is difficult to solve each of these universal gaps and impediments with HUD CBDG funding, these conditions do directly relate back to each of the needs, goals, and projects in the Consolidated Plan.

Introduction

The City of Surprise prioritized goals and objectives for using CDBG funding to strategically and effectively benefit low- and moderate-income residents by supporting the creation of affordable housing, investing in public facility improvements, and supporting public services. The City expects partners to leverage CDBG funding to the fullest extent possible to implement robust programs that will help further the needs of area residents.

Anticipated Resources

Program	CDBG	Source of Funds	Public - Federal
Use of Funds: Affordable Housing, Public Facility Improvements, Public Services, Administration & Planning			
Expected Amount Available Year 1		Narrative Description	
Annual Allocation: \$	\$649,903	The City's CDBG allocation for Program Year 2020 is \$649,903. The City does not anticipate any program income in PY2020.	
Program Income: \$	\$0		
Prior Year Resources: \$	\$0		
Total: \$	\$649,903		
Expected Amount Available Remainder of ConPlan: \$	\$2,599,612		

Program	General Fund	Source of Funds	Public - Local
Use of Funds: Administration & Planning, Affordable Housing, Public Services, Public Facility Improvements			
Expected Amount Available Year 1		Narrative Description	
Annual Allocation: \$	\$75,000	The City of Surprise allocates approximately \$75,000 annually of City General Funds for CDBG staff salary in support of program administration and project delivery.	
Program Income: \$	\$0		
Prior Year Resources: \$	\$0		
Total: \$	\$75,000		
Expected Amount Available Remainder of ConPlan: \$	\$300,000		

Table 20 – Anticipated Resources

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

The City of Surprise allocates approximately \$75,000 annually from the City General Funds for CDBG staff salary in support of program administration and project delivery.

The projects outlined in the Strategic Plan which are implemented by outside agencies are anticipated to use CDBG funding to leverage their initial financial resources.

Many of the development activities outlined in the Strategic Plan and Annual Action Plan receive substantial leverage from the City's general fund, development incentive programs, and other programs designed to encourage economic growth. Leveraged resources are reported in the Consolidated Annual Performance and Evaluation Report (CAPER).

The City of Surprise offers incentives for new affordable housing developments in the Original Town Site. Surprise provided over \$275,000 in development fee reduction in the Heritage at Surprise project. Surprise continues to find ways to leverage funding for matching requirements.

If appropriate, describe publically owned land or property located within the state that may be used to address the needs identified in the plan

The City is looking to improve public facilities in low- and moderate-income in the Original Town Site. The City will continue to evaluate locations on public owned property over the course of the Consolidated Plan. In general, the areas of needs described in the *General Plan 2035, Parks and Recreation Master Plan*, and *Human Services and Community Vitality in Surprise - A Community that Cares* will help to guide the locations of investment. As the City continues to grow, additional property may be identified that would be suitable for utilizing HUD funding.

The City of Surprise owns the land for the Heritage at Surprise project. Additionally, Surprise owns 17 acres in the Heritage District of the Original Town Site, and is actively seeking partners to develop the property that could include new affordable rental units.

Discussion

The City does not anticipate any program income in excess of \$25,000 a year during the consolidated plan period.

Explain the institutional structure through which the jurisdiction will carry out its consolidated plan including private industry, non-profit organizations, and public institutions.

Responsible Entity	Responsible Entity Type	Geographic Area Served
Surprise	Government	Jurisdiction
Role:	Economic Development Homelessness Non-homeless special needs Ownership Public Services	Planning Rental Neighborhood Improvements Public Facilities

Table 21 – Institutional Delivery Structure

Assess of strengths and gaps in the Institutional Delivery System

Surprise has a variety of service providers who provide targeted assistance and mainstream services, such as health, mental health, and employment services to homeless persons and persons with HIV.

The City is administering most of the HUD CDBG and HOME programs internally, working in coordination with other local. Maintaining the CDBG and HOME program administration and service delivery of programs allows the City to optimize funding, reduce overhead/increase efficiency, and provide the most critical services to low- and moderate-income residents.

Homelessness Prevention Services	Available in the Community	Targeted to Homeless	Targeted to People with HIV
Homelessness Prevention Services			
Counseling/Advocacy			
Legal Assistance			
Mortgage Assistance			
Rental Assistance	X		
Utilities Assistance	X		
Street Outreach Services			
Law Enforcement	X	X	
Mobile Clinics			
Other Street Outreach Services			
Supportive Services			
Alcohol & Drug Abuse			
Child Care	X		
Education	X		
Employment and Employment Training	X		

Homelessness Prevention Services	Available in the Community	Targeted to Homeless	Targeted to People with HIV
Homelessness Prevention Services			
Healthcare	X		
HIV/AIDS			
Life Skills	X		
Mental Health Counseling			
Transportation			
Other			

Table 22 – Homeless Prevention Services Summary

Describe how the service delivery system including, but not limited to, the services listed above meet the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth)

There are variety of services providers in Surprise who provide health, mental health, and employment services. These programs, while not specifically targeted to homeless persons and/or persons with HIV, they are made available to these population groups.

Describe the strengths and gaps of the service delivery system for special needs population and persons experiencing homelessness, including, but not limited to, the services listed above

The City of Surprise participates in a regional Continuum of Care plan in collaboration with the all other jurisdictions in Maricopa County. The Maricopa Association of Governments (MAG) is the lead agency for the Maricopa Regional Continuum of Care (CoC), and plans and administers the CoC.

The Continuum of Care represents a wide range of services for the homeless, including; homeless/emergency shelters, transitional shelters, permanent supportive housing, supportive services, homelessness prevention, rapid re-housing, outreach, emergency food, meals, clothing, medical services, mental health services, rental and utility assistance, and many other appropriate services. Each year a Point-in-Time (PIT) count is made of the persons residing in shelter and transitional facilities and living unsheltered within the community. The Continuum of Care is also the lead agency overseeing the community's 10-Year Plan to End Chronic Homelessness.

While many services for homeless persons are available throughout Maricopa County, there are fewer dedicated services within the City of Surprise. Often persons experiencing homelessness need to travel outside the City to access services.

Provide a summary of the strategy for overcoming gaps in the institutional structure and service delivery system for carrying out a strategy to address priority needs

To overcome gaps in the system, the City will continue to provide opportunities for public, private and governmental organizations to come together to share information, advocate for issues of concern, leverage resources to make projects happen, address barriers associated with implementing activities and coordinate efforts.

The City has integrated the needs of homeless persons into the Consolidated Plan's identified needs, goals, and projects.

1. Affordable housing. The City will may include tenant-based rental assistance (TBRA) to help residents from becoming homeless or transition homeless persons into permanent housing.
2. Public services. Public services will have a narrow focus providing services for persons who are homeless, at-risk of becoming homeless, disabled, or are for life skill training for youth.

Additionally, City departments also meets regularly help provide comprehensive services across disciplines and to find solutions to address homelessness that are utilizes available resources.

Goals Summary Information

Sort Order	1	Goal Name	Housing Rehabilitation	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Affordable Housing		Surprise Citywide		Affordable Housing		CDBG \$714,615	
Goal Outcome Indicator		Homeowner housing rehabilitated: 125 household housing unit					
Goal Description		The City of Surprise has a robust housing rehabilitation program that provides deferred loan for low- and moderate-income residents for residential improvements to (1) health, safety, and livability improvements and (2) home weatherization and energy efficiency. Projects include rehabilitation of privately owned, single-unit homes and all delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities.					
Activity Matrix: 14A, 14H							
Sort Order	2	Goal Name	Housing Services	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Affordable Housing		Surprise Citywide		Affordable Housing		CDBG \$135,000	
Goal Outcome Indicator		Tenant based rental assistance/Rapid Rehousing: 130 Households assisted					
Goal Description		Funds will be used to provide direct assistance to low-income households who need help paying their rent. Tenant-Based Rental Assistance (TBRA) is a rental subsidy that helps make up the difference between what a renter can afford to pay and the actual rent for a home. These services are in support of the HOME program.					
Activity Matrix: 14J							
Sort Order	3	Goal Name	Affordable Rental Housing	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Affordable Housing		Surprise Citywide		Affordable Housing		CDBG \$547,000	
Goal Outcome Indicator		Rental units constructed/rehabilitated: 10 Household Housing Units					
Goal Description		The City will support affordable rental housing through the creation of new affordable rental units. Projects may include: rehabilitation of privately owned buildings with two or more permanent residential units, rehabilitation of housing units owned/operated by a public housing authority (PHA), acquisition of property					
Activity Matrix: 14B, 14C, 14G, 01, 12							

		to be rehabilitated for housing, and acquisition of real property that will be developed for a public purpose.					
Sort Order	4	Goal Name	Public Facility Improvements	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Non-Housing Community Development		Surprise Citywide		Public Facility Improvements		CDBG \$852,000	
Goal Outcome Indicator		Public Facility or Infrastructure activities other than Low/Moderate Income Housing Benefit: 20,000 Persons assisted					
Goal Description		Public facility improvements may include: 1. Acquisition, construction, or rehabilitation of facilities (except permanent housing) for seniors 2. Acquisition, construction, or rehabilitation of facilities that are principally designed to serve a neighborhood and that will be used for social services or for multiple purposes (including recreation) 3. Development of open space areas or facilities intended primarily for recreational use 4. Installation or replacement of water lines, sanitary sewers, storm sewers, and fire hydrants. 5. Improvements to sidewalks including the installation of trash receptacles, lighting, benches, and trees. Acquisition, construction, conversion of buildings, or rehabilitation of temporary shelters and transitional housing for the homeless, including victims of domestic violence, dating violence, sexual assault or stalking, disaster victims, runaway children, drug offenders, and parolees.					
Activity Matrix: 3A, 3E, 3F, 3J, 3L, 3C							
Sort Order	5	Goal Name	Public Services	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Homeless Non-homeless Special Needs Non-Housing Community Development		Surprise Citywide		Public Services		CDBG \$351,000	
Goal Outcome Indicator		Public service activities other than Low/Moderate Income Housing Benefit: 615 Persons Assisted					
Goal Description		Projects may include: 1. Subsistence Payments. One-time or short-term (no more than three months) emergency payments on behalf of individuals or families, generally for the purpose of preventing homelessness. Examples include utility payments to prevent cutoff of service, and rent/mortgage payments to prevent eviction. 2. Homeless/AIDS Patients Programs - Costs associated with the operation of programs for the homeless or for AIDS patients, such as staff costs, utilities, maintenance, and insurance. 3. Services for Persons with Disabilities - Services for the persons with disabilities, regardless of age. 4. Youth Services - Services for young people age 13 to 19.					
Activity Matrix: 5A, 5Q, 3T, 5B, 5D, *COVID-19 response							

		5. Eligible activities to support local pandemic response such as the COVID-19 infectious disease.						
Sort Order	6	Goal Name	Planning & Administration		Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding		
Affordable Housing Homeless Non-homeless Special Needs Non-Housing Community Development		Surprise Citywide		Affordable Housing		CDBG \$714,615		
Goal Outcome Indicator		Other: 1						
Goal Description		Expenses related to administering the program, preparing planning documents and reports, fair housing activities, and other eligible expenses under this category.						
Activity Matrix: 20, 21A, 21D								

Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.315(b)(2)

Supporting the development of affordable housing is a primary goal of the City's five-year plan. The City will support affordable housing through the preservation of existing housing, rental assistance, and the creation of new affordable rental units.

- 125 houses rehabilitated for low- and moderate-income residents
- 130 persons assisted with tenant-based rental assistance (TBRA)
- 10 creation of new affordable rental units

Actions to address LBP hazards and increase access to housing without LBP hazards

The health risks to young children posed by lead-based paint in residential dwellings remains an important issue for both the housing industry and the public health community to address. The City is committed to addressing the challenges faced by young families living in homes with lead-based paint.

Housing Rehabilitation Lead-based Paint

The City of Surprise lead-based paint evaluation and reduction of lead-based paints involves the following areas: notification, lead hazard evaluation; lead hazard reduction, and clearance. CDBG housing rehabilitation projects do not require ongoing lead-based paint maintenance.

“Despite progress, lead poisoning remains one of the top childhood environmental health problems today”

President’s Task Force on Environmental Health Risks and Safety Risks to Children

Lead-based paint activities apply to all homes built prior to 1978. All rehabilitation projects are evaluated for applicability to the Lead Safe Housing Rule.

TBRA Lead-based Paint

TBRA lead-based paint requirements apply to dwelling units occupied or to be

occupied by families or households that have one or more children under age six, the common areas servicing the units, exterior painted surfaces associated with such units, and other areas used by unit residents and frequented by children under age six.

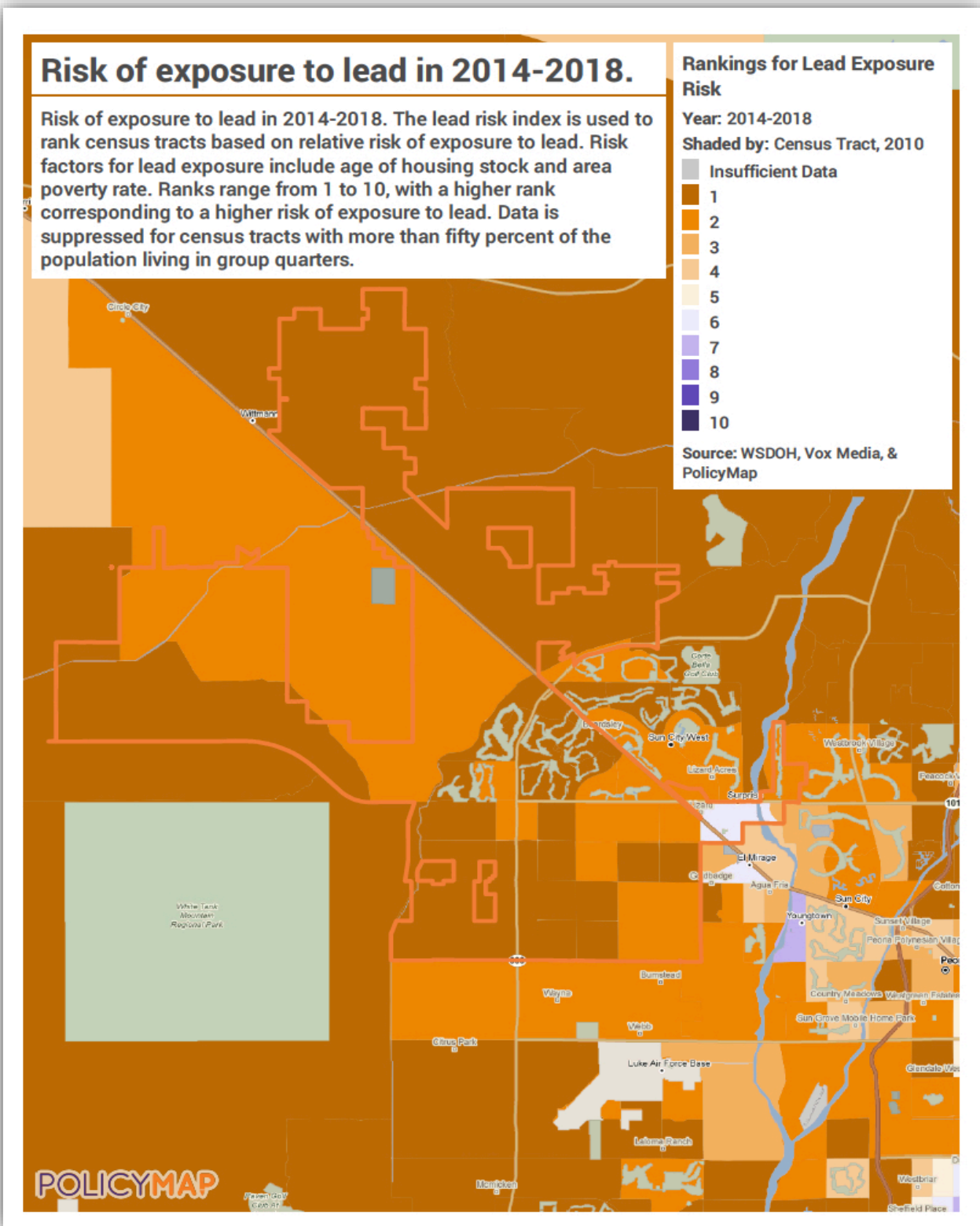
Units with tenant-based rental assistance and households with no children under the age of six are exempt from the requirements, except families and households in all tenant-based rental assistance pre-1978 units must receive the lead hazard information pamphlet and disclosure information.

The City of Surprise TBRA activities for units with families or households that have one or more children under age six must include: notification, lead hazard evaluation, lead hazard reduction, ongoing maintenance, and responding to children with environmental intervention blood lead levels.

How are the actions listed above integrated into housing policies and procedures?

The City has written policies and procedures for all programs required to comply with the HUD lead-safe housing rule (LSHR). Additionally, the City requires lead-based paint policies and procedures with any partners who may administer these programs on the City's behalf.

Contractors in the housing rehabilitation program have lead-based requirements integrated into their contract for services with the homeowner.



Risk of Exposure to Lead

Jurisdiction Goals, Programs and Policies for reducing the number of Poverty-Level Families

The City Surprise will continue to work cooperatively with local service provider agencies to enhance its affordable housing and supportive service funding sources. This effort will be aimed at maximizing available resources to access funds at the federal, state and local levels. The principal goal of this coordinated strategy is to assist low- and moderate-income renters and owners, the homeless, female headed households with children, low-income elderly, persons with AIDS, public and assisted housing residents, persons with mental and physical disabilities and other special needs populations. The City will take advantage of established creative partnerships with private lenders, community based nonprofit organizations and other state and local agencies to provide affordable housing and other public service/community development activities to improve the quality of life for all of its residents.

City of Surprise Resource Center

The City of Surprise Resource Center provides a central location for local service providers to reach out to persons experiencing homelessness. The Surprise Resource Center is a one-stop-shop for social services. Through strategic partnerships with a growing number of community-based organizations and government agencies, the Center offers Surprise residents connections to services that include everything from rent and utility assistance to employment support to food and nutrition resources.

Program offered at the Resource Center include:

- Community Action Program (CAP) for Surprise and El Mirage,
- Arizona@Work Maricopa County, Veteran Employment Assistance,
- Job Club for Veterans, Eve's Place - mobile domestic violence advocacy services,
- WIC services,
- Adelante Healthcare,
- Helping Families in Need (SNAP, TANF, AHCCCS),
- HeadStart,
- St. Mary's Food Bank (TEFAP), and
- Medicare and Medicaid support counseling.

How are the Jurisdiction poverty reducing goals, programs, and policies coordinated with this affordable housing plan?

The needs goals, and projects outlined in the Consolidated Plan all work together to help reduce poverty. While poverty is a function of factors (many of which are) beyond the control

of city policies, providing citizens of Surprise with affordable, quality housing in economically diverse neighborhoods, can foster economic mobility and at least soften the impact of poverty. Moving forward with both service outreach and housing policies which help LMI persons find quality housing will help limit the extent of poverty in Surprise.

In 2019, in preparation for the 2020-2024 Consolidated Plan, the City has invested in the *Human Services & Community Vitality in Surprise - A Community That Cares*. These initiatives help to define the challenges in Surprise and to develop a clear pathway to help reduce poverty and provide residents with more affordable housing options.

Additionally, the Consolidated Plan is in alignment with *General Plan 2035*. The *General Plan 2035* guides the City's development. It expresses community values and goals, and portrays the community's vision to create an overall sense of community, while respecting and celebrating the city's unique character areas.

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

The goal of monitoring is to encourage completion of projects within the contract period while ensuring that project objectives are met. Monitoring is an ongoing, two-way communication process between the City and recipients. Successful monitoring involves frequent telephone contacts, written communications, analysis of reports and audits, and periodic meetings.

Monitoring is the principal means by which the City:

- Ensures that HUD-funded programs and technical areas are carried out efficiently, effectively, and in compliance with applicable laws and regulations
- Assists subrecipients in improving their performance, developing or increasing capacity, and augmenting their management and technical skills
- Stays abreast of the efficacy and technical areas of HUD CDBG and HOME programs.
- Documents the effectiveness of programs administered by the subrecipients.

The City performs a risk assessment of subrecipients to identify which subrecipients require comprehensive monitoring. High-risk subrecipients include those that are:

- New to the CDBG program;
- Experience turnover in key staff positions or change in goals or directions;
- Encountering complaints and/or bad press;
- Previous compliance or performance problems including failure to meet schedules, submit timely reports, or clear monitoring or audit findings;
- Carrying out high risk activities (economic development, job creation, etc.);
- Undertaking multiple CDBG-funded activities for the first time

The City of Surprise is committed taking all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

- The City works to ensure that qualified small and minority businesses and women's business enterprises are included on solicitation lists;
- The City works to ensure that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
- The City divides total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;

- The City establishes delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises; The City requires the prime contractor, if subcontracts are to be let, to take the affirmative steps to reach out to and hire qualified minority businesses, women's business enterprises, and labor surplus firms when possible.

The City has a policy and procedure manual that covers the monitoring requirements for each HUD program area that the City administers.

CITY OF SURPRISE, ARIZONA

ANNUAL ACTION PLAN

Program Year 2020

July 1, 2020 – June 30, 2021



Year 1 of the 2020-2024 Consolidated Plan

ON REQUEST THIS DOCUMENT CAN BE MADE AVAILABLE IN ALTERNATE FORMATS



Introduction

The City of Surprise prioritized goals and objectives for using CDBG funding to strategically and effectively benefit low- and moderate-income residents by supporting the creation of affordable housing, investing in public facility improvements, and supporting public services. The City expects partners to leverage CDBG funding to the fullest extent possible to implement robust programs that will help further the needs of area residents.

Anticipated Resources

Program	CDBG	Source of Funds	Public - Federal
Use of Funds: Affordable Housing, Public Facility Improvements, Public Services, Administration & Planning			
Expected Amount Available Year 1		Narrative Description	
Annual Allocation: \$	\$649,903	The City's CDBG allocation for Program Year 2020 is \$649,903. The City does not anticipate any program income in PY2020.	
Program Income: \$	\$0		
Prior Year Resources: \$	\$0		
Total: \$	\$649,903		
Expected Amount Available Remainder of ConPlan: \$	\$2,599,612		

Program	General Fund	Source of Funds	Public - Local
Use of Funds: Administration & Planning, Affordable Housing, Public Services, Public Facility Improvements			
Expected Amount Available Year 1		Narrative Description	
Annual Allocation: \$	\$75,000	The City of Surprise allocates approximately \$75,000 annually of City General Funds for CDBG staff salary in support of program administration and project delivery.	
Program Income: \$	\$0		
Prior Year Resources: \$	\$0		
Total: \$	\$75,000		
Expected Amount Available Remainder of ConPlan: \$	\$300,000		

TABLE 1 - EXPECTED RESOURCES – PRIORITY TABLE

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

The City of Surprise allocates approximately \$75,000 annually from the City General Funds for CDBG staff salary in support of program administration and project delivery.

The projects outlined in the Strategic Plan which are implemented by outside agencies are anticipated to use CDBG funding to leverage their initial financial resources.

Many of the development activities outlined in the Strategic Plan and Annual Action Plan receive substantial leverage from the City's general fund, development incentive programs, and other programs designed to encourage economic growth. Leveraged resources are reported in the Consolidated Annual Performance and Evaluation Report (CAPER).

The City of Surprise offers incentives for new affordable housing developments in the Original Town Site. Surprise provided over \$275,000 in development fee reduction in the Heritage at Surprise project. Surprise continues to find ways to leverage funding for matching requirements.

If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

The City is looking to improve public facilities in low- and moderate-income in the Original Town Site. The City will continue to evaluate locations on public owned property over the course of the Consolidated Plan. In general, the areas of needs described in the *General Plan 2035*, *Parks and Recreation Master Plan*, and *Human Services and Community Vitality in Surprise - A Community that Cares* will help to guide the locations of investment. As the City continues to grow, additional property may be identified that would be suitable for utilizing HUD funding.

The City of Surprise owns the land for the Heritage at Surprise project. Additionally, Surprise owns 17 acres in the Heritage District of the Original Town Site, and is actively seeking partners to develop the property that could include new affordable rental units.

Discussion

The City does not anticipate any program income in excess of \$25,000 during the program year.

ANNUAL GOALS & OBEJECTIVES

Annual Goals & Objectives

AP-20

Annual Goals & Objectives AP-20 91.420, 91.220(c)(3)&(e)

Goals Summary Information

Sort Order	1	Goal Name	Housing Rehabilitation	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Affordable Housing		Surprise Citywide		Affordable Housing		CDBG \$124,923	
Goal Outcome Indicator		Homeowner housing rehabilitated: 25 household housing unit					
Goal Description		The City of Surprise has a robust housing rehabilitation program that provides deferred loan for low- and moderate-income residents for residential improvements to (1) health, safety, and livability improvements and (2) home weatherization and energy efficiency. Projects include rehabilitation of privately owned, single-unit homes and all delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities.					
Activity Matrix: 14A, 14H							
Sort Order	2	Goal Name	Housing Services	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Affordable Housing		Surprise Citywide		Affordable Housing		CDBG \$25,000	
Goal Outcome Indicator		Tenant based rental assistance/Rapid Rehousing: 26 Households assisted					
Goal Description		Funds will be used to provide direct assistance to low-income households who need help paying their rent. Tenant-Based Rental Assistance (TBRA) is a rental subsidy that helps make up the difference between what a renter can afford to pay and the actual rent for a home. These services are in support of the HOME program.					
Activity Matrix: 14J							
Sort Order	3	Goal Name	Public Facility Improvements	Start Year	2020	End Year	2024
Category		Geographic Area		Needs Addressed		Funding	
Non-Housing Community Development		Surprise Citywide		Public Facility Improvements		CDBG \$285,000	
Goal Outcome Indicator		Public Facility or Infrastructure activities other than Low/Moderate Income Housing Benefit: 4,000 Persons assisted					
Goal Description		Public facility improvements may include:					

Activity Matrix:
3A, 3E, 3F, 3J, 3L,
3C

1. Acquisition, construction, or rehabilitation of facilities (except permanent housing) for seniors
2. Acquisition, construction, or rehabilitation of facilities that are principally designed to serve a neighborhood and that will be used for social services or for multiple purposes (including recreation)
3. Development of open space areas or facilities intended primarily for recreational use
4. Installation or replacement of water lines, sanitary sewers, storm sewers, and fire hydrants.
5. Improvements to sidewalks including the installation of trash receptacles, lighting, benches, and trees.

Acquisition, construction, conversion of buildings, or rehabilitation of temporary shelters and transitional housing for the homeless, including victims of domestic violence, dating violence, sexual assault or stalking, disaster victims, runaway children, drug offenders, and parolees.

Sort Order	4	Goal Name	Public Services	Start Year	2020	End Year	2024
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Category	Geographic Area	Needs Addressed	Funding
Homeless Non-homeless Special Needs Non-Housing Community Development	Surprise Citywide	Public Services	CDBG \$85,000

Goal Outcome Indicator	Public service activities other than Low/Moderate Income Housing Benefit: 123 Persons Assisted
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Goal Description	Projects may include:
Activity Matrix: 5A, 5Q, 3T, 5B	1. Subsistence Payments. One-time or short-term (no more than three months) emergency payments on behalf of individuals or families, generally for the purpose of preventing homelessness. Examples include utility payments to prevent cutoff of service, and rent/mortgage payments to prevent eviction. 2. Homeless/AIDS Patients Programs - Costs associated with the operation of programs for the homeless or for AIDS patients, such as staff costs, utilities, maintenance, and insurance. 3. Services for Persons with Disabilities - Services for the persons with disabilities, regardless of age. 4. Pandemic Responses - Eligible activities to support local pandemic response such as the COVID-19 infectious disease.

Sort Order	5	Goal Name	Planning & Administration	Start Year	2020	End Year	2024
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Category	Geographic Area	Needs Addressed	Funding
Affordable Housing Homeless Non-homeless Special Needs	Surprise Citywide	Affordable Housing	CDBG \$129,980 General Fund \$75,000

Non-Housing Community Development			
Goal Outcome Indicator	Other: 1		
Goal Description	Expenses related to administering the program, preparing planning documents and reports, fair housing activities, and other eligible expenses under this category.		
Activity Matrix: 20, 21A, 21D			

Table 25 – Goals Summary

Introduction

The strategies listed in this plan address the first-year allocation for the City of Surprise in Program Year 2020. The City will be managing the majority of the CDBG funding directly. Projects align with the priority needs of the community: create and support existing affordable housing, invest in public facility improvements in the Original Town Site, support public services, and maintain the administration/planning of HUD funded programs.

#	Project Name
1	Housing Rehabilitation
2	Housing Services
3	Public Facility Improvements
4	Public Services
5	Planning & Administration

Table 26 – Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

The City of Surprise chose first-year action plan projects based upon the needs of the community identified in *Human Services & Community Vitality - A Community That Cares* (2019), input from stakeholders and residents, and the recommendation identified in the *Maricopa HOME Consortium - Assessment of Impediments to Fair and Affordable Housing*. The City continues to evaluate past and present projects to ensure that money is being utilized in an efficient manner that best helps solve the challenges faced by Surprise’s low- and moderate-income residents.

Project Summary Information

1

Project Name	Housing Rehabilitation
Target Area	Surprise Citywide
Goals Supported	Housing Rehabilitation
Needs Addressed	Affordable Housing
Funding	CDBG: \$124,923
Description	City of Surprise housing rehabilitation program. Deferred loans and small grants made to eligible Surprise homeowners to make health and safety repairs, as well as weatherization and accessibility modifications to their homes.
Target Date	June 30, 2021
Estimate the number and type of families that will benefit from the proposed activities	A total of 25 LMI households will receive assistance for housing rehabilitation projects.
Location Description	Surprise Citywide
Planned Activities Activity Matrix: 14A	The City provides a Housing Rehabilitation Program for privately owned, single-unit homes for LMI households. This also includes all delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities. This may include appraisal, architectural, engineering, and other professional services; preparation of work specifications and work write-ups; loan processing and underwriting; survey, site and utility plans; application processing and other eligible activities.

2

Project Name	Housing Services
Target Area	Surprise Citywide
Goals Supported	Housing Services
Needs Addressed	Affordable Housing
Funding	CDBG: \$25,000
Description	Activities will be in support of the HOME program.
Target Date	June 30, 2021

Estimate the number and type of families that will benefit from the proposed activities	Tenant-based rental assistance will be utilized by 26 households.
Location Description	Surprise Citywide
Planned Activities Activity Matrix: 14J	Funds will be used to provide direct assistance to low-income households who need help paying their rent. Tenant-Based Rental Assistance (TBRA) is a rental subsidy that helps make up the difference between what a renter can afford to pay and the actual rent for a home.

3

Project Name	Public Facility Improvements
Target Area	Original Town Site
Goals Supported	Public Facility Improvements
Needs Addressed	Public Facility Improvements
Funding	CDBG: \$285,000
Description	Improvements to public facilities located in low- and moderate-income areas.
Target Date	June 30, 2021
Estimate the number and type of families that will benefit from the proposed activities	Approximately 4,000 families will benefit from public facility improvements in the Original Town Site in 2020.
Location Description	Original Town Site
Planned Activities Activity Matrix: 03F, 03E, 03L	The City will provide improvements to Gaines Park Parking Lot and other eligible activities in the OTS.

4

Project Name	Public Services
Target Area	Surprise Citywide
Goals Supported	Public Services
Needs Addressed	Public Services
Funding	CDBG: \$85,000
Description	Services to low- and moderate-income persons who are Seniors, disabled, homeless, or at risk of becoming homeless.

Target Date	June 30, 2021
Estimate the number and type of families that will benefit from the proposed activities	Approximately 4,000 families will benefit from public facility improvements in the Original Town Site in 2020.
Location Description	Surprise Citywide
Planned Activities Activity Matrix: 05Q, 05A, 03T, 05B	Activities may include funding for Lutheran Social Services - IHELP, crisis assistance, homelessness services, Northwest Valley Connects' transportation services, and summer youth employment, and other eligible activities. The City will also fund eligible activities to support local pandemic response such as the COVID-19 infectious disease.

5

Project Name	Planning & Administration
Target Area	Surprise Citywide
Goals Supported	Planning & Administration
Needs Addressed	Planning & Administration
Funding	CDBG: \$129,980 General Fund: \$75,000
Description	Expenses related to administering the program, preparing planning documents and reports, fair housing activities, and other eligible expenses under this category.
Target Date	June 30, 2021
Estimate the number and type of families that will benefit from the proposed activities	Planning and administration of HUD programs provides a benefit to all persons in Surprise.
Location Description	Surprise Citywide
Planned Activities Activity Matrix: 20, 21A, 21D	Expenses related to administering the program, preparing planning documents and reports, fair housing activities, and other eligible expenses under this category.

Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed

The City's will limit low mod area benefit (LMA) to public facility improvements in the Original Town Site (OTS). All of other projects in the 2020 Action Plan will occur citywide.

The **Original Town Site (OTS)** is the historic center of Surprise. It is just over one square mile, 664 acres in area -- bounded by Bell Road on the north, Dysart Road on the west, Greenway on the south and El Mirage on the east. Grand Avenue (U.S. 60) and the Santa Fe railroad tracks angle through the area, separating the north and south portions of the neighborhood.

The OTS is remarkable in its variety. Existing conditions range from the oldest, original residences and businesses in the City to the Bell Road Corridor shops, restaurants, hotels and offices as well as public facilities, commercial development and new housing within the neighborhood. There are also vacant parcels, properties in need of rehabilitation and marginal land uses that are prime candidates for redevelopment.

Geographic Distribution

Target Area	Percentage of Funds
Original Town Site (OTS)	43

Table 27 – Geographic Distribution

Rationale for the priorities for allocating investments geographically

The City is actively working to improve the Original Townsite (OTS) and has identified the high priority need for public facility improvements.

The Original Town Site (OTS) of Surprise currently includes over 16% of undeveloped lands within its boundaries, in addition to many vacant properties. The ultimate pattern of revitalization supports design strategies and public improvements that capitalize on the cultural aspects of walkability and “front yard-living” that provide the basis for a vibrant, culturally diverse community, while providing regional connectivity and expanded services. Current planning efforts for this area include the Village 1 Plan and the Specific Plan for the Revitalization of the Original Town Site.

The OTS is also a designated Opportunity Zone.

Discussion

The City will limit low mod area benefit (LMA) to public facility improvements in the Original Town Site (OTS). All of other projects in the 2020 Action Plan will occur citywide.

Introduction

The City of Surprise continue to focus on the needs of low- and moderate-income residents and to provide needed services that will help improve their lives.

Veterans, Disability and Human Services Commission

In 2018, the City Council voted to disband the Disability and Advisory Commission and expand it into a new commission, the Veterans, Disability and Human Services Commission. The expanded commission is charged with assisting in the development and/or expansion of city programming related to veterans; people with special needs; and those in need of general human services and workforce development.

The 11-member commission must be comprised of volunteer members representing veterans, their family members or someone representing a veteran service organization, members representing those with disabilities and/or programs that support our special needs communities and those representing the social/human services sectors.

Surprise Community Outreach Program

In an effort to support and grow the quality of life in Surprise, the Mayor and City Council offer the Surprise Community Outreach Program (SCOP). The program provides financial assistance to qualified nonprofits that provide direct services to City of Surprise residents. The Surprise City Council set aside up to \$100,000 for FY2019-2020. Applicants must provide direct services which improve the health and welfare of Surprise residents.

Actions planned to address obstacles to meeting underserved needs

The City has partnered with Lutheran Social Services for their I-Help program, and will actively seek additional partners for local homeless outreach, and housing navigation.

The City of Surprise Resource Center provides a central location for local service providers to reach out to persons experiencing homelessness. The Surprise Resource Center is a one-stop-shop for social services. Through strategic partnerships with a growing number of community-based organizations and government agencies, the Center offers Surprise residents connections

to services that include everything from rent and utility assistance to employment support to food and nutrition resources.

Program offered at the Resource Center include:

- Community Action Program (CAP) for Surprise and El Mirage,
- Arizona@Work Maricopa County, Veteran Employment Assistance,
- Job Club for Veterans, Eve's Place - mobile domestic violence advocacy services,
- WIC services,
- Adelante Healthcare,
- Helping Families in Need (SNAP, TANF, AHCCCS),
- Headstart,
- St. Mary's Food Bank (TEFAP), and
- Medicare and Medicaid support counseling.

Actions planned to foster and maintain affordable housing

The City plans to continue providing housing rehabilitation for low- and moderate-income residents in need of health and safety rehabilitation to their homes. The City is launching a tenant-based rehabilitation (TBRA) program in 2020 to help eligible residents to have stable and affordable housing.

Additionally, in future years of the Consolidated Plan, the City will help in the creation of more multi-family housing.

Actions planned to reduce lead-based paint hazards

The health risks to young children posed by lead-based paint in residential dwellings remains an important issue for both the housing industry and the public health community to address. The City is committed to addressing the challenges faced by young families living in homes with lead-based paint.

Housing Rehabilitation Lead-based Paint

The City of Surprise lead-based paint evaluation and reduction of lead-based paints involves the following areas: notification, lead hazard evaluation; lead hazard reduction, and clearance. All projects are evaluated for applicability to the Lead-Safe Housing Rule, and managed per the standards of the rule. A Neighborhood Services staff member is required to be an EPA certified Risk Assessor in order to be qualified to evaluate homes for lead hazards, and review third-party testing when developing projects when lead hazards are present. The City is committed to addressing the challenges faced by young families living in homes with lead-based paint.

TBRA Lead-based Paint

TBRA lead-based paint requirements apply to dwelling units occupied or to be occupied by families or households that have one or more children under age six, the common areas

servicing the units, exterior painted surfaces associated with such units, and other areas used by unit residents and frequented by children under age six.

Units with tenant-based rental assistance and households with no children under the age of six are exempt from the requirements, except families and households in all tenant-based rental assistance pre-1978 units must receive the lead hazard information pamphlet and disclosure information.

The City of Surprise TBRA activities for units with families or households that have one or more children under age six must include: notification, lead hazard evaluation, lead hazard reduction, ongoing maintenance, and responding to children with environmental intervention blood lead levels.

Actions planned to reduce the number of poverty-level families

The City of Surprise will provide rental assistance to very low income families who are at risk of becoming homeless. The City will actively seek partnerships to provide homeless outreach and housing navigation in Surprise.

The City of Surprise will provide short and long term rental and utility assistance utilizing HOME and CDBG funding to assist families who are homeless or at risk of becoming homeless to access stable affordable housing. The City's partnership with Lutheran Social Services and HAMC will help families make the transition, and provide stable housing opportunities.

Actions planned to develop institutional structure

The City of Surprise is deeply committed to understanding and providing services to the City's residents. In 2019, the city conducted a Community Needs Assessment with the goal of creating a guiding document which can assist in prioritizing plans, initiatives and programs to meet growing or unmet human service needs in our city. The assessment measured needs of residents through the collection of data and information from residents, service providers, community leaders, the U.S. Census Bureau and other data sources. The areas assessed include: veteran services, youth, seniors/aging, disability/special needs, low-to-moderate income families, poverty, homelessness, all types of violence against individuals and other areas of need. The Community Needs Assessment was managed by the city's Human Service and Community Vitality Department and administered by I & E Consulting. The Community Needs Assessment will be used to inform the new City of Surprise Veteran, Disability & Human Service Commission with resident input and data to create a strategic plan.

The City utilized the Community Needs Assessment in helping to determine needs, goals, and projects for the 2020-2024 Consolidated Plan. It will also help guide the City and the Veterans, Disability, and Human Services Commission in allocating City resources to help solve the challenges outlined in the report.

Actions planned to enhance coordination between public and private housing

and social service agencies

City staff participate and are members of the West Valley Municipal Human Services Collaborative, Maricopa Regional Continuum of Care, West Valley Human Services Collective. Staff also regularly meet with the Housing Authority of Maricopa County. The regional stakeholders have a strong history of working together to achieve shared community goals.

Discussion

Introduction

Projects planned with CDBG and HOME funds for PY2020 are identified in the Projects Table located earlier in the Consolidated/Annual Plan Process. The City does not anticipate receiving program income in excess of \$25,000.

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	0
5. The amount of income from float-funded activities	0
Total Program Income:	0

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	100.00%

Discussion

APPENDIX

Appendix

A-1 CDBG Annual Action Plan Spending Summary

A-2 Citizen Participation Documents

CITY OF SURPRISE PY2020 CDBG Annual Action Plan Spending Summary			Original Funding Request	VDHS Commission Changes	PY2020 Final Allocation
AFFORDABLE HOUSING					
City of Surprise Housing Rehab/HQS			\$99,923		\$99,923
Matrix <u>14A</u>	Original Funding Request	Match	Citations: 570.202(a)(1), 570.202(b)(9) Associated Goal: Housing Rehabilitation Outcome: 20 LMH		
Activity Delivery	\$40,000	\$40,000			
Capital	\$59,923	\$0			
Homeowner Accessibiltiy Modifications			\$25,000		\$25,000
Matrix <u>14A</u>	Original Funding Request	Match	Citations: 570.202(a)(1), 570.202(b)(9) Associated Goal: Housing Rehabilitation Outcome: 5 LMH		
Activity Delivery	\$5,000	\$3,500			
Capital	\$20,000	\$0			
Support for HOME Tenant Based Rental Assistance			\$25,000		\$25,000
Matrix <u>14J</u>	Original Funding Request	Leverage	Citation: 570.201(k) Associated Goal: Housing Services Outcome: 26 LMH		
Capital	\$0	\$150,000			
Activity Delivery	\$25,000	\$25,000			
SUBTOTAL - Housing Activities			\$149,923	\$0	\$149,923
PUBLIC FACILITY IMPROVEMENTS					
Public Facility Improvements			\$285,000		\$285,000
Matrix <u>03E, 03F, 03L</u>	Original Funding Request	Match	Citation: 570.201(c) Associated Goal: Public Facility Improvements Outcome: 4,000 LMA		
Capital	\$275,000	\$800,000			
Activity Delivery	\$10,000				
SUBTOTAL - PUBLIC FACILITIES			\$285,000	\$0	\$285,000
PUBLIC SERVICES - 13%					
Subrecipient - Homeless Services			\$20,000		\$20,000
Matrix <u>03T</u>	Original Funding Request	Applicant Leverage	Citations: 570.201(e), 570.207(b)(8) Associated Goal: Public Services Outcome: 20 LMC		
Capital	\$20,000	\$100,000			
Subrecipient - Services for persons with disabilities			\$15,000		\$15,000
Matrix <u>05B</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(8) Associated Goal: Public Services Outcome: 40 LMC		
Capital	\$15,000	\$5,000			
City Program - Short term rental assistance			\$35,000		\$35,000
Matrix <u>05Q</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(8) Associated Goal: Public Services Outcome: 24 LMC		
Capital	\$35,000	\$15,000			
Pandemic Response			\$15,000		\$15,000
Matrix <u>05</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(8) Associated Goal: Public Services Outcome: 100 LMC		
Capital	\$15,000	\$0			
SUBTOTAL - PUBLIC SERVICES (HUD maximum 15%)			\$85,000	\$0	\$85,000
City of Surprise General Program Administration (all new funds)			\$129,980		\$129,980
SUBTOTAL - PLANNING & ADMINISTRATION (HUD Max. 20%)			\$129,980	\$0	\$129,980
GRAND TOTAL W/ ADMINISTRATION & PLANNING			\$649,903		\$649,903
FUNDS AVAILABLE	2020 New CDBG Funds		\$649,903		\$649,903
	Program Income - City		\$0		\$0
TOTAL FUNDS AVAILABLE			\$649,903		\$649,903
TOTAL REQUESTS IN EXCESS OF FUNDING			\$0	\$0	\$0

Maricopa HOME Consortium

Citizen Participation Plan

DRAFT

Approved:

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Introduction

HOME Consortium Applicability

The Maricopa HOME Consortium is committed to encouraging citizens to participate in the planning, implementation, and assessment of the performance of its federal HUD-funded programs including Community Development Block Grant (CDBG), HOME Investment Partnerships Program (HOME), and Emergency Solutions Grants (ESG). The Citizen Participation Plan emphasizes the need to provide citizens with adequate information and to afford them the opportunity to give meaningful input.

The goal of the Citizen Participation Plan is to fully integrate citizen input into the participation, planning, and reporting activities required to successfully manage the Maricopa HOME Consortium's HUD programs. These activities include developing the following:

1. Amendments to the Citizen Participation Plan (CPP);
2. Five-year Consolidated Plan;
3. Annual Action Plans (AAP);
4. Consolidated Annual Performance and Evaluation Reports (CAPER);
5. Substantial amendments to the Consolidated Plan or Annual Action Plans.

This document implements the consultation and citizen participation planning regulations applicable under Consolidated Plan submittal requirements noted under 24 CFR 91.105. This citizen participation plan applies to the following jurisdictions submitting Consolidated Plans covering FY 2020 through FY 2025, HUD Program Years 2020-2024, pursuant to:

- 24 CFR 91.400 for Consolidated Plan submission for the:
Maricopa HOME Consortium
- 24 CFR 91.200 for Consolidated Plan submission for the:
City of Avondale
City of Chandler
Town of Gilbert
City of Glendale
City of Peoria
City of Scottsdale
City of Surprise
City of Tempe
Maricopa County

The Maricopa HOME Consortium includes the Cities of Avondale, Chandler, Glendale, Peoria, Scottsdale, Surprise and Tempe; the Town of Gilbert; and Maricopa County; with Maricopa County, administered by the Human Services Department Housing and Community Development Division as the designated Lead Agency. The Consortium has elected to establish July 1 through June 30 as the Program Year under

forthcoming Consolidated Plan and Annual Action Plan submissions. This program year corresponds with each jurisdiction's fiscal year.

To request access to documents, or for more information concerning the citizen participation process associated with the Consolidated Plan, please contact one or all of the following organizations:

- Maricopa County Human Services Department at (602) 506-5911
- City of Avondale at (623) 333-2715
- City of Chandler at (480) 782-4349
- Town of Gilbert (480) 503-6956
- City of Glendale at (623) 930-3670
- City of Peoria at (623) 773-7209
- City of Scottsdale at (480) 312-2309
- City of Surprise at (623) 222-1551
- City of Tempe at (480) 350-8958

Citizen Participation Plan Adoption and Amendments

The Citizen Participation Plan (CPP) is a required component of the Consolidated Plan. The CPP, and any subsequent amendments to the CPP, are adopted by the Maricopa County Board of Supervisors and City/Town Councils of Avondale, Chandler, Gilbert, Glendale, Peoria, Scottsdale, Surprise, and Tempe concurrent with the scheduled adoption of each Maricopa Consortium member's Five-Year Consolidated Plan. Amendments to the CPP may occur on an as-needed basis at any time during the Consolidated Plan period.

Consolidated Plan Summary

HUD regulations noted in 24 CFR 91.105 require the preparation of Consolidated Plans for all entitlement communities. The Consolidated Plan is prepared in draft form by April in the year the Plan takes effect and includes needs, priorities and long- and short-term strategies concerning affordable housing, homeless/special needs, and community development in the region, unless a delay in HUD allocation release causes delay in the submission deadline to HUD and subsequently delays the draft preparation. The Consolidated Plan process includes a Five-Year Consolidated Plan and Annual Action Plans, and serves as a long- and short- term investment guide for federal Community Development Block Grant (CDBG), Emergency Solutions Grants (ESG), and HOME Investment Partnerships Program (HOME). The Consolidated Plan is also consulted prior to the award of other funding administered by the U.S. Department of Housing and Urban Development (HUD).

The Consolidated Plan prepared for the Maricopa HOME Consortium is regional in nature and focuses on affordable housing, homeless and special needs priorities and strategies pursuant to 24 CFR 91.400, while those prepared by entitlement community members herein are local in nature and shall address affordable housing, community development, homeless and special population needs priorities and strategies pursuant to 24 CFR 91.200. Consortium members must participate in submission of a

consolidated plan for the Consortium, prepared in accordance with 24 CFR 91. As described in 24 CFR 91.400, CDBG entitlement communities that are members of a consortium must provide additional information for the consolidated plan.

Encouragement of Citizen Participation

In order to encourage citizens to participate in the development of the consolidated plan, any substantial amendment to the consolidated plan, and the performance report, the following efforts shall be undertaken by HOME Consortium members. Consortium members shall encourage participation by low- and moderate-income persons, particularly those persons living in areas designated by the jurisdiction as a revitalization area or in a slum and blighted area and in areas where CDBG funds are proposed to be used, by residents of predominantly low- and moderate-income neighborhoods, as defined by the jurisdiction. Consortium members must take appropriate actions to encourage the participation of all its citizens, including minorities and non-English speaking persons, as well as persons with disabilities.

Per 24 CFR 91.100, the HOME Consortium members shall consult with housing authorities in their jurisdictions to solicit participation of the residents of public and assisted housing (including any resident advisory boards, resident councils, and resident management corporations) in plan development and review, which is anticipated to be derived from PHA planning activities stipulated under 24 CFR Part 903. As needed and applicable, Maricopa Consortium members will also consult with the Maricopa Regional Continuum of Care and organizations therein, supportive housing agencies, relevant businesses and industry representatives and low-income residents of targeted revitalization areas in which federal projects are anticipated. Consortium members shall make Consolidated Plan information available to local housing authorities on a continuing basis for any public hearings to be held under the HUD Comprehensive Grant Program or Public Housing Agency Plan established pursuant to 24 CFR Part 903.

Per 24 CFR 91.100, Maricopa Consortium members shall encourage participation of local and regional institutions and other organizations (including businesses, developers, nonprofit organizations, philanthropic organizations, and community-based and faith-based organizations), public and private organizations, broadband internet service providers, organizations engaged in narrowing the digital divide, agencies whose primary responsibilities include the management of flood prone areas, public land or water resources, and emergency management agencies in the process of developing and implementing the Consolidated Plan.

Consolidated Plan

Maricopa Consortium members shall each hold at least two public hearings concerning the Consolidated Plan in addition to surveys, consultation, and other methods to solicit input desired by members. The first hearing shall be held during Consolidated Plan formulation and preparation, while the second shall be held once a draft Consolidated Plan has been completed and during the 30-day public comment period. One or both of the public hearings to be conducted by Maricopa Consortium members shall include the following items:

- The amount of CDBG, ESG, and HOME resources anticipated to be made available within member jurisdictions on a program year basis, and the eligible range of activities that may be undertaken concerning such federal programs.
- The amount of CDBG, ESG, and HOME resources anticipated to benefit income qualified persons residing within member jurisdictions on a program year basis.
- Plans by Maricopa Consortium members to minimize the displacement of persons from the intended uses of CDBG, ESG, and HOME resources anticipated to be invested during any given fiscal year.
- Perspectives on priorities and housing and community development needs in each Maricopa Consortium member jurisdiction.
- Proposed strategies and actions for affirmatively furthering fair housing.
- Other aspects of the Consolidated Plan as applicable.

Annual Action Plan

Maricopa Consortium members shall each hold at least two public hearings concerning the development of Annual Action Plan each year (may include surveys), consultation and other methods to solicit input desired by members. The first hearing shall be held during Annual Action Plan formulation and preparation, while the second shall be held once a draft Annual Action Plan has been completed and during the 30-day public comment period.

On or before April 1st of any given year, Maricopa Consortium members will make available their draft Annual Plans and the previous year's Consolidated Annual Performance and Evaluation Report (CAPER) to each housing authority, libraries, surrounding municipal governments (as applicable), and selected other locations for the mandatory 30-day public comment period to end no later than the 1st of May of any given year. If HUD annual funding allocations have not been released by March 15, the timeline for the draft and subsequent submission to HUD may be delayed. Members may also post their draft Plans using other supplemental forms of securing valid public input. The public shall be notified of this opportunity for review and comment in one or more newspapers with general circulation in each Consortium member's jurisdiction and shall identify the locations where citizens may review copies of draft Annual Action Plan and relevant CAPERs. A member may pursue alternative forms of posting with prior HUD written approval.

One or both of the public meetings to be conducted by Maricopa Consortium members shall include the following items:

- The amount of CDBG, ESG, and HOME resources anticipated to be made available within member jurisdictions on a program year basis, and the projects within the range of eligible activities that may be undertaken concerning such federal programs.
- The amount of CDBG, ESG, and HOME resources anticipated to benefit income qualified persons residing within member jurisdictions on a program year basis.

- Other aspects of the Annual Action Plan as applicable.

Consolidated Annual Performance and Evaluation Report (CAPER)

In early September of each year, Maricopa Consortium members shall make available their draft Consolidated Annual Performance and Evaluation Reports (CAPERs) for the previous fiscal year to each housing authority, libraries, surrounding municipal governments (as applicable); and selected other locations for the mandatory 15-day public comment period to end no later than September 30. Again, members may also post their draft CAPERs using other supplemental forms of securing valid public input. A member may pursue alternative forms of posting with prior HUD written approval.

Public Hearings

Public hearings to be conducted by Maricopa Consortium members shall be publicly noticed with a minimum one week lead time, and two weeks whenever possible, before the actual meetings are conducted and be noticed in one or more newspapers with general circulation in the community. All postings shall include relevant information to permit informed citizen comment. Consortium members shall explore alternative public involvement techniques to encourage citizen participation, i.e. use of the internet, and making copies of the notices and documents available on City/Town/County websites. Consortium members will provide a reasonable number of free copies of the Consolidated Plan as applicable to residents or groups that request it.

All public hearings to be conducted will be held at times and locations convenient to prospective program beneficiaries, and be conducted with accommodation for persons with disabilities when requested at least three working days in advance. Where appropriate to the local community and where requested in advance, a bilingual staff person or translator may be made available to meet the needs of residents. Specific determinations on the issues noted above shall be made by staff of each Maricopa Consortium member on a case-by-case basis.

Comments Received at Public Hearings

Prior to transmitting any Consolidated Plan, Annual Action Plan, substantial plan amendment, or Consolidated Annual Performance and Evaluation Report, members shall compile any comments or views of citizens received in writing or orally at public hearings. A summary of these comments or views, and a summary of any comments or views not accepted and the reasons therefore, shall be attached to the related document for final submission to HUD.

Amendments to Consolidated Plan and Annual Action Plan

Criteria

Should any Maricopa Consortium member decide to make one of the following changes outside of the annual action planning process, an amendment to the Consolidated Plan or Annual Action Plan would be required:

- a) To make a substantial change in the allocation priorities or methods of distribution delineated in

the plans. “Substantial” in this context is defined as:

- Changes made to funding priorities in the Consolidated Plans over time when not undertaken through annual submission requirements stipulated by HUD; and/or;
 - Changes in any method of distribution for HOME or ESG resources that will alter the manner in which funds are allocated to individual projects or entities identified in the Annual Action Plan, including reallocation of funds i.e. returned funds or program income, by at least 20% of any annual Consortium allocation, subject to other program requirements in the CFR as applicable; and/or;
 - Project deletions or changes made in allocation priorities or methods of distribution that have the effect of changing the funding level of individual CDBG projects within an eligible activity identified in its Annual Action Plan by more than 20% of an entitlement jurisdiction’s annual funding level, subject to other program requirements in the CFR as applicable. Any new eligible activity funded with CDBG and not already identified in an Annual Action Plan, as well as significant changes in the use of CDBG funds from one eligible activity to another, in an amount greater than 20% of the annual CDBG allocation.
- b) To carry out an eligible activity, using funds from any program covered by the Consolidated Plans (including program income), not previously described in the Annual Action Plans.
- c) To substantially change the purpose, scope, location, or beneficiaries of an activity.

Process

Should substantial amendments be made to any aspect of the Consolidated Plan after its formal adoption, Maricopa Consortium members will undertake the following:

- a) In the instance of Maricopa County, inform units of local government.
- b) Provide reasonable public notice of the proposed amendment(s) in applicable newspaper/s of general circulation to enable review and comment by the public for at least 30 days. Conduct a public hearing on the subject of the proposed amendment during the 30-day comment period.
- c) Submit such amendment(s) to their respective Governing Boards for approval.
- d) Upon the termination of the 30-day comment period, notify HUD of any amendments executed, citizen comments received and the response(s) by Consortium members to such comment(s).
- e) Update Plan document available to the public to include amendment (i.e., paper or electronic

versions posted on the internet)

- f) Prior to the close of the program year in which the amendment occurred or earlier by HUD request, submit substantial amendments to HUD through Information Disbursement and Information System (IDIS), (i.e. complete the required updates in IDIS in approximately April-May each year if needed)

Technical Assistance

Maricopa Consortium members will provide assistance to very low- and low- income persons and groups representative of them that request such assistance in commenting on the Consolidated Plan, or in developing proposals for funding under the CDBG, ESG, and HOME resources as applicable. Each respective Consortium member will determine the level and type of technical assistance on a case-by-case basis.

Access to Records

All Maricopa Consortium members shall provide citizens, public agencies, and other interested parties with reasonable and timely access to public records relating to the Consolidated Plan as adopted, substantial amendments, the performance report, and their past use of CDBG, ESG, and HOME and related assistance for the previous six years. This information shall be made available to interested parties and persons with disabilities in alternate formats as reasonably requested and shall be so noticed.

Comments and Complaints

Any citizen, organization or group desiring to make a comment or complaint regarding the Consolidated Plan, any activity related to the implementation of the Consolidated Plan, amendments, or performance reports may do so in writing to any Maricopa Consortium members. Comments or complaints may also be made verbally during the execution of such public hearings and submitted in writing during a public comment period. In addition, any citizen, organization or group may also make comments or complaints verbally or in writing to a respective jurisdiction. At all times, citizens have the right to submit complaints directly to the Department of Housing and Urban Development as well. All comments and complaints are recorded in the Citizen Participation Record in the Consolidated Plan, Annual Action Plans, CAPERs, or Assessment of Fair Housing along with the response and any changes, if made, as a result of the comments. Each Maricopa Consortium member shall respond in writing to comments or complaints in their jurisdiction within 15 working days from receipt.

The Maricopa County Board of Supervisors is the final disposition authority for comments or complaints under the purview of Maricopa County, while the City/Town Councils of Avondale, Chandler, Gilbert, Glendale, Peoria, Scottsdale, Surprise and Tempe are the final disposition authority for comments or complaints applicable to such jurisdictions.

Other Citizen Participation Requirements

People and agencies seeking resources from individual Consortium members may need to comply with additional citizen participation requirements imposed on them by such entities. For additional information in this regard, contact the jurisdictions noted under the “HOME Consortium Applicability” section in this document. HUD waivers relevant to the provisions of this document shall override and supersede the applicable contents of this citizen participation plan.

Anti-Displacement Plan

All Maricopa Consortium members will minimize the displacement of persons assisted through the use of CDBG, ESG and HOME resources. The policies to be followed are separately included in this document, and all Maricopa HOME Consortium members have agreed to abide by the anti-displacement plan. For efforts other than federally funded acquisition or rehabilitation, Consortium members may utilize adopted local policies concerning displacement assistance.

Acquisition and Relocation Policies

Preface

This policy is necessary to minimize displacement and ensure compliance with the Uniform Acquisition and Relocation Act when displacement is unavoidable. Acquisition may in some cases be undertaken by the subrecipient, but only with the close coordination of Maricopa County Human Services Department staff and/or consultants.

The Maricopa Human Services Department, in carrying out its responsibility for CDBG and HOME Program administration, and as the designated "State Agency" responsible for acquisition and relocation associated with CDBG and HOME Program assisted projects will use staff and professional consultants as necessary to comply with the requirements of the Uniform Acquisition and Relocation Act of 1970 (PL 91-646), as amended.

MARICOPA COUNTY HOME CONSORTIA POLICIES ON DISPLACEMENT FOR COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) and/or HOME FUNDED ACTIVITIES

This policy follows Guideform Residential Antidisplacement and Relocation Assistance Plan under Section 104(d) of the Housing and Community Development Act of 1974, as Amended.

The Maricopa Consortium, in accordance with Federal Regulations for Displacement, 24 CFR 570.606(b), hereby issues this statement of policy regarding the displacement of persons by CDBG or HOME Program funded activities.

Any entity receiving CDBG or HOME Program funds will replace all occupied and vacant units that will be demolished or converted to a use other than as low/moderate income housing. (One-for-one replacement)

All replacement housing will be provided within three years of the commencement of the demolition or rehabilitation relating to conversion. This includes any property obtained through a public undertaking. Before obligating or expending funds that will directly result in such demolition or conversion, the entity will make public and submit to the HUD Field Office the following information in writing.

- A description of the proposed assisted activity;
- The general location on a map and approximate number of dwelling units by size (number of bedrooms) that will be demolished or converted to a use other than for low/moderate income dwelling units as a direct result of the assisted activity;
- A time schedule for the commencement and completion of the demolition or conversion;
- The general location on a map and approximate number of dwelling units by size (number of bedrooms) that will be provided as replacement dwelling units;
- The source of funding and a time schedule for the provision of replacement dwelling units;

and

- The basis for concluding that each replacement dwelling unit will remain a low/moderate income dwelling unit for at least 10 years from the date of initial occupancy (i.e.: Deed of Trust, Deed Restriction, etc.).

The entity will provide relocation assistance, as described in 570.606(b)(2), to each low/ moderate income household displaced by the demolition of housing or by the conversion of a low/moderate income dwelling to another use. Benefits will be provided relocatees and displacees according to the calculation of benefits derived pursuant to requirements of regulations promulgated under the Uniform Property Acquisition and Relocation Act of 1970, as amended

Assistance To Aliens

An alien who is not lawfully present in the United States is prohibited from receiving assistance under the Uniform Relocation Act, per 49 CFR 24.208, and assisted housing programs. Circumstances may dictate that determination that an alien is ineligible would result in exceptional and extremely unusual hardship to a spouse, parent, child who is a United States citizen. A final determination on the eligibility of the request will be made by HUD before any assistance is provided.

Permanent Displacement

Displacement is defined as follows: Permanent movement of person(s) or other entities from a dwelling unit or business location resulting from CDBG or HOME funded code inspection, rehabilitation, demolition or acquisition.

In order to minimize displacement and mitigate adverse effects, the policy shall consist of the following guiding principles. In the event displacement is caused by current or future CDBG or HOME Program funded projects the project plan will:

- Avoid or minimize permanent displacement whenever possible and only take such action when no other viable alternative exists.
- Consider impact on existing persons and properties in the development of CDBG and HOME Program funded projects.
- Inform citizens of CDBG or HOME Program project area(s) through information made available as part of the annual plan for use of CDBG and HOME Program funds.
- Follow current regulations, HUD notices and policies when preparing informational statements and notices.
- Provide written notification of intent to eligible property owners or tenants who may be displaced and/or relocated due to an approved project activity.
- Assist those displaced in locating affordable, safe, decent and comparable replacement housing.
- Ensure that "just compensation" for CDBG or HOME Program acquired property (as determined by appraised fair market value) is paid with relocation benefits, if applicable.
- Provide for reasonable benefits to any person permanently displaced as a result of the use of

CDBG or HOME Program funds to acquire or substantially rehabilitate property.

- Provide information about equal opportunity and fair housing laws in order to ensure that the relocation process does not result in different or separate treatment on account of race, color, national origin, religion, sex, disability, familial status or source of income.
- Contingent upon availability, displaced households may be provided assistance through Section 8, Conventional Public Housing or any other federally funded program for which they might qualify.

Temporary Displacement

CDBG or HOME Program funded activities may involve temporary displacement. While strict adherence to provisions of the Uniform Relocation Act are not specified, it is the policy of the Consortium that all subrecipients shall take steps to mitigate the impact of CDBG or HOME Program funded code inspections, rehabilitation, demolition or acquisition that results only in temporary movement of person(s) from a dwelling unit. Such temporary displacement primarily involves demolition and reconstruction of a single-family owner-occupied home or lead based paint abatement during rehabilitation of a residential unit. Accordingly, the citizens involved in a temporary movement shall be fully informed of the below matters and appropriate steps shall be taken to ensure that fair and equitable provisions are made to:

- Receive temporary living accommodations while their CDBG or HOME Program funded unit is being rehabilitated or demolished and reconstructed.
- Move and temporarily store household goods and effects during the rehabilitation or demolition and reconstruction project.
- Reimburse all reasonable out-of-pocket expenses incurred in connection with the temporary relocation, including moving costs and any increased rent and utilities.

DRAFT

ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING CHOICE

MARICOPA COUNTY, ARIZONA

2020



Prepared for:
Maricopa Urban County
and the
Maricopa HOME Consortium

Prepared by:
Western Economic Services, LLC
212 SE 18th Avenue
Portland, OR 97214
Phone: (503) 239-9091
Toll Free: (866) 937-9437
Fax: (503) 239-0236

Website: <http://www.westernes.com>

Has Your Right to Fair Housing Been Violated?

If you feel you have experienced discrimination in the housing industry, please contact:

Southwest Fair Housing Council

177 N Church Ave

Suite 1104

Tucson AZ 85701

1-888-624-4611

TTY: (520) 670-0233

<http://swfhc.com/contact-us>

Arizona Attorney General

2005 N Central Avenue

Phoenix, AZ 85004

602-542-5263

CivilRightsInfo@azag.gov

San Francisco Regional Office of FHEO

U.S. Department of Housing and Urban Development

One Sansome Street, Suite 1200

San Francisco, CA 94104

(415) 489-6524

(800) 347-3739

TTY (415) 436-6594

Civil Rights Complaints: ComplaintsOffice09@hud.gov

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Section I. Executive Summary

Overview

Title VIII of the 1968 Civil Rights Act, also known as the Fair Housing Act, protects people from discrimination based on race, color, national origin, religion, sex, familial status, and disability when they are renting or buying a home, getting a mortgage, seeking housing assistance, or engaging in other housing related activities. The Act, and subsequent laws reaffirming its principles, seeks to overcome the legacy of segregation, unequal treatment, and historic lack of access to housing opportunity. There are several statutes, regulations, and executive orders that apply to fair housing, including the Fair Housing Act, the Housing Amendments Act, and the Americans with Disabilities Act.¹

It is unlawful under the Fair Housing Act to discriminate against a person in a protected class by: Refusing to sell or rent after the making of a bona fide offer, or to refuse to negotiate for the sale or rental of, or otherwise make unavailable or deny, a dwelling to any person because of race, color, religion, sex, familial status, or national origin; discriminating against any person in the terms, conditions, or privileges of sale or rental of a dwelling, or in the provision of services or facilities based on a protected class; representing that a dwelling is not available for inspection, sale, or rental when it is, in fact, available; publishing an advertisement indicating any preference, limitation, or discrimination against a protected class; or refusing to allow a person with a disability to make a reasonable modification to the unit at the renter's own expense.

Lead Agency and Service Area

Maricopa County, led by Human Services Department, is the lead agency for HOME funding and is undertaking this Analysis of Impediments to Fair Housing Choice along with the Maricopa HOME Consortium.

The Maricopa County HOME Consortium includes Avondale, Chandler, Gilbert, Glendale, Peoria, Scottsdale, Surprise, and Tempe, as well as the Maricopa Urban County. This includes Buckeye, El Mirage, Fountain Hills, Gila Bend, Goodyear, Guadalupe, Litchfield Park, Tolleson, Wickenburg, Youngtown, Unincorporated areas in County. Most of the data presented in this report will be the entirety of Maricopa County except the HUD entitlements of Phoenix and Mesa. In these instances, this service area will be called the Maricopa County HOME Consortium. In any instances when the County as a whole is used, it will be referenced as Maricopa County.

Assessing Fair Housing

Provisions to affirmatively further fair housing are long-standing components of the U.S. Department of Housing and Urban Development's (HUD's) housing and community development programs. These provisions come from Section 808(e)(5) of the Fair Housing Act, which requires that the Secretary of HUD administer federal housing and urban development programs in a manner that affirmatively furthers fair housing.²

Affirmatively furthering fair housing is defined in the Fair Housing Act as taking "meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive

¹ https://www.hud.gov/program_offices/fair_housing_equal_opp/fair_housing_and_related_law

² 42 U.S.C.3601 et seq.

communities free from barriers that restrict access to opportunity based on protected characteristics”.³ Specifically, affirmatively furthering fair housing requires that recipients of federal housing and urban development funds take meaningful actions to address housing disparities, and fostering and maintaining compliance with civil rights and fair housing laws.⁴ Furthering fair housing can involve developing affordable housing, removing barriers to affordable housing development in high opportunity areas, investing in neighborhood revitalization, preserving and rehabilitating existing affordable housing units, improving housing access in areas of concentrated poverty, and improving community assets.

In 1994, HUD published a rule consolidating plans for housing and community development programs into a single planning process. This action grouped the Community Development Block Grant (CDBG), HOME Investment Partnerships Program (HOME), Emergency Solutions Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA) programs into the Consolidated Plan for Housing and Community Development, which then created a single application cycle. As a part of the consolidated planning process, and entitlement communities that receive such funds from HUD are required to submit to HUD certification that they are affirmatively furthering fair housing (AFFH).

In July of 2015, HUD released a new AFFH rule which provided a format, a review process, and content requirements for the newly named “Assessment of Fair Housing,” or AFH.⁵ The assessment would now include an evaluation of equity, the distribution of community assets, and access to opportunity within the community, particularly as it relates to concentrations of poverty among minority racial and ethnic populations. Areas of opportunity are physical places within communities that provide things one needs to thrive, including quality employment, high performing schools, affordable housing, efficient public transportation, safe streets, essential services, adequate parks, and full-service grocery stores. Areas lacking opportunity, then, have the opposite of these attributes.

The AFH includes measures of segregation and integration, while also providing some historical context about how such concentrations became part of the community’s legacy. Together, these considerations were intended to better inform public investment decisions that would lead to amelioration or elimination of segregation, enhance access to opportunity, promote equity, and hence, housing choice. Equitable development requires thinking about equity impacts at the front end, prior to the investment occurring. That thinking involves analysis of economic, demographic, and market data to evaluate current issues for citizens who may have previously been marginalized from the community planning process. All this would be completed by using an online Assessment Tool.

However, on January 5, 2018, HUD issued a notice that extended the deadline for submission of an AFH by local government consolidated plan program participants to their next AFH submission date that falls after October 31, 2020.⁶ Then, on May 18, 2018, HUD released three notices regarding the AFFH; one eliminated the January 5, 2018, guidance; a second withdrew the online Assessment Tool for local government program participants; and, the third noted that the AFFH certification remains in place. HUD went on to say that the AFFH databases and the AFFH Assessment Tool guide would remain available for the AI; and, encouraged jurisdictions to use them, if so desired.

Hence, the AI process involves a thorough examination of a variety of sources related to housing, the fair housing delivery system, housing transactions, locations of public housing authorities, areas having racial and ethnic concentrations of poverty, and access to opportunity. The development of an

³ § 5.152 Affirmatively Furthering Fair Housing

⁴ § 5.152 Affirmatively Furthering Fair Housing

⁵ 80 FR 42271. <https://www.federalregister.gov/documents/2015/07/16/2015-17032/affirmatively-furthering-fair-housing>

⁶ 83 FR 683 (January 5, 2018)

AI also includes public input, public meetings to collect input from citizens and interested parties, distribution of draft reports for citizen review, and formal presentations of findings and impediments, along with actions to overcome the identified fair housing issues and impediments.

In accordance with the applicable statutes and regulations governing the Consolidated Plan, Maricopa County certifies that they will affirmatively further fair housing, by taking appropriate actions to overcome the effects of any impediments identified in the Analysis of Impediments to Fair Housing Choice and maintaining records that reflect the analysis and actions taken in this regard.

Socio-Economic Context

While the population in the Maricopa County HOME Consortium is growing, the racial and ethnic makeup of the area is not changing significantly. There are areas in the HOME Consortium, however, that do see high concentrations of Hispanic residents, particularly in the more urban areas. An estimated 4% of the HOME Consortium residents speak Spanish at home, followed by 0.4% speaking Chinese. In 2017, some 22.6% of the population had a high school diploma or equivalent, another 35.8% have some college, 20.8% have a Bachelor's Degree, and 11.6% of the population had a graduate or professional degree.

In 2018, unemployment in the Maricopa County HOME Consortium was at 4.1%, compared to 4.8% for the State of Arizona. This is representative of a total labor force of 1,136,431 people and 1,090,334 people employed. Real per capita income in Maricopa County has remained higher than the state rate in recent years. However, poverty has grown to 11.8%, representing 243,767 persons living in poverty in the HOME Consortium.

The HOME Consortium experienced a drop-off in housing production during the recent recession, which has begun to recover. In 2018, there were 16,543 total units produced in the Consortium, with 12,679 of these being multi-family units. Single family unit production declined beginning in 2008 and has increased slightly since that time. The value of single-family permits, however, has continued to rise, reaching \$289,795 in 2017. Since 2010, the Consortium has seen a slight decline in the proportion of vacant units, but has experienced a rise in the proportion of vacant units that are for Seasonal, Recreational, or Occasional Use.

Overview of Findings

As a result of detailed demographic, economic, and housing analysis, along with a range of activities designed to foster public involvement and feedback, the HOME Consortium has identified a series of fair housing issues/impediments, and other contributing factors that contribute to the creation or persistence of those issues.

Table I.1, on the following page, provides a list of the contributing factors that have been identified as causing these fair housing issues/impediments and prioritizes them according to the following criteria:

1. High: Factors that have a direct and substantial impact on fair housing choice.
2. Medium: Factors that have a less direct impact on fair housing choice, or that Maricopa County or the HOME Consortium has limited authority to mandate change.
3. Low: Factors that have a slight or largely indirect impact on fair housing choice, or that Maricopa County or the HOME Consortium has limited capacity to address.

ADDITIONAL FINDINGS

The Code and Zoning Review found that certain jurisdiction may have limiting definitions of the word "family," when limiting the number of persons. This includes Maricopa County, Avondale, Scottsdale, and Tempe. Most definitions in the codes reviewed had a definition of "disabled" or "disability"

consistent with the Americans with Disabilities Act (ADA). Those jurisdictions without definitions may consider adding a definition or reference to the ADA. Group homes were permitted in most residentially zoned areas in the HOME Consortium. The County's Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County's Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.

Table I.1
Contributing Factors
Maricopa County HOME Consortium

Contributing Factors	Priority	Justification
Insufficient affordable housing in a range of unit sizes	High	Some 29.4% of households have cost burdens. This is more significant for renter households, of which 43.4% have cost burdens. This signifies a lack of housing options that are affordable to a large proportion of the population.
Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households with disproportionate rates of housing problems	High	The average rate of housing problems, according to CHAS data is 30.9% for all households in the Maricopa County HOME Consortium. Black or African American households face housing problems at rate of 44.1%, Native Hawaiian/Pacific Islander households at a rate of 41.2%, and Hispanic households at a rate of 42.4%.
Insufficient accessible affordable housing	High	The number of accessible affordable units may not meet the need of the growing elderly and disabled population, particularly as the population continues to age. Some 46.5% of persons aged 75 and older have at least one form of disability. Input from local service providers asserts that these estimates may be lower than the actual rate of disability in the HOME Consortium.
Failure to Make Reasonable Accommodations	High	Disability was the number one fair housing basis for complaints with cause between 2008 and 2017. Failure to make reasonable accommodations accounted for the largest number of issues for fair housing complaints during this time period.
Lack of fair housing infrastructure	High	The fair housing survey and public input indicated a lack of collaboration among agencies to support fair housing.
Insufficient fair housing education	High	The fair housing survey and public input indicated a lack of knowledge about fair housing and a need for education.
Insufficient understanding of credit	High	The fair housing survey and public input indicated an insufficient understanding of credit needed to access mortgages.
Access to high opportunity areas Concentrations of poverty	Med	Low poverty index is markedly lower for Black or African American, Native American, and Hispanic populations than white populations, indicating inequitable access to low poverty areas. In addition, there are concentrations of poverty in the HOME Consortium, particularly in areas around Peoria, Chandler, and Avondale, as well as in the southern rural parts of the County.
Moderate to high levels of segregation	Med	Native American, Native Hawaiian/Pacific Islander, and "other" racial households have moderate to high levels of segregation when considered on the whole of the Maricopa County HOME Consortium. However, there are geographic areas with concentrations of minority households resulting in R/ECAPs, which tended to be found in the more urban parts of the County, particularly in areas around Peoria, Glendale, and Surprise.
Discriminatory patterns in Lending	Med	The mortgage denial rates for Black or African American, Native American, and Hispanic households are higher than the jurisdiction average according to 2008-2017 HMDA data. However, the disparities in denial rates have been steadily declining since 2008.
Access to labor market engagement	Med	Black or African American, Native American, and Hispanic households have less access to labor market engagement as indicated by the Access to Opportunity index. However, the County and the HOME Consortium has little control over impacting labor market engagement on a large scale.
Access to School Proficiency	Med	Black or African American, Native American, and Hispanic households have lower levels of access to proficient schools in the HOME Consortium. However, the County has little control over impacting access on a large scale.

FAIR HOUSING ISSUES, CONTRIBUTING FACTORS, AND PROPOSED ACHIEVEMENTS

Table I.2, summarizes the fair housing issues/impediments and contributing factors, including metrics, milestones, and a timeframe for achievements.

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Review zoning and municipal codes for barriers to housing choice	Moderate to high levels of segregation Access to high opportunity areas Concentrations of poverty Moderate to high levels of segregation Discriminatory patterns in Lending	Segregation R/ECAPs Disproportionate Housing Need	Review zoning for areas with restrictions to housing development, including minimum lot requirements; make appropriate amendments every year for the next five (5) years. Record activities annually. Review Zoning and Municipal Code for the definition of the word "family." Record activities annually.	Maricopa County HOME Consortium
Discussion: The Code and Zoning Review found that certain jurisdiction may have limiting definitions of the word "family," when limiting the number of persons. This includes Maricopa County, Avondale, Scottsdale, and Tempe. The County's Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County's Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.				
Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Increase availability of accessible housing	Insufficient accessible affordable housing Failure to Make Reasonable Accommodations	Disability and Access	Review development standards for accessible housing and inclusionary policies for accessible housing units; continue recommending appropriate amendments over the next five (5) years. Record activities annually.	Maricopa County HOME Consortium
Discussion: The number of accessible affordable units may not meet the need of the growing elderly and disabled population, particularly as the population continues to age. Some 46.5% of persons aged 75 and older have at least one form of disability. Input from local service providers asserts that these estimates may be lower than the actual rate of disability in the HOME Consortium. Disability was the number one fair housing basis for complaints with cause between 2008 and 2017. Failure to make reasonable accommodations accounted for the largest number of issues for fair housing complaints during this time period.				

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Promote homeownership and rental opportunities in high opportunity areas and outside of R/ECAPs	Insufficient affordable housing in a range of unit sizes	Disparities in Access to Opportunity Disproportionate Housing Needs	Partner with community agencies to provide financial literacy classes for prospective homebuyers. Record activities annually.	Maricopa County HOME Consortium
	Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households with disproportionate rates of housing problems		Review opportunities annually to increase funding sources for additional low-income housing in high opportunity areas. Record activities annually.	
	Discriminatory patterns in Lending		Continue to promote homeownership opportunities in high opportunity areas with financial assistance to homebuyers using HOME funds: 70 households over five (5) years.	
	Access to high opportunity areas		Continue to use CDBG and HOME funds to fund housing rehabilitation for homeowner and rental housing:150 residential housing units over five (5) years.	
	Concentrations of poverty			
	Access to labor market engagement			
	Access to School Proficiency			
Discussion: Some 29.4 percent% of households have cost burdens. This is more significant for renter households, of which 43.4 percent% have cost burdens. This signifies a lack of housing options that are affordable to a large proportion of the population. In addition, racial and ethnic minorities face a disproportionate share of housing problems. The average rate of housing problems, according to CHAS data is 30.9 percent% for all households in the Maricopa County HOME Consortium. Black or African American households face housing problems at rate of 44.1 percent%, Native Hawaiian/Pacific Islander households at a rate of 41.2 percent%, and Hispanic households at a rate of 42.4 percent%. The mortgage denial rates for Black or African American, Native American, and Hispanic households are higher than the jurisdiction average according to 2008-2017 HMDA data. However, the disparities in denial rates have been steadily declining since 2008.				

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Enhance community services in R/ECAPs	Access to high opportunity areas Concentrations of poverty Access to labor market engagement Access to School Proficiency	Disparities in Access to Opportunity	Encourage increased public services and public investment in R/ECAPs and high poverty areas in the HOME Consortium. Work within the HOME Consortium to educate members to fund vital community investments in these areas. Record activities annually.	Maricopa County HOME Consortium
Discussion: Black or African American, Native American, and Hispanic households have less access to labor market engagement as indicated by the Access to Opportunity index. However, the County and the HOME Consortium has little control over impacting labor market engagement on a large scale. Black or African American, Native American, and Hispanic households have lower levels of access to proficient schools in the HOME Consortium. However, the County has little control over impacting access on a large scale. Public input also suggested a lack of transportation leads to inequitable access to housing and service options.				
Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Promote community and service provider knowledge of fair housing and ADA laws	Insufficient fair housing education Insufficient understanding of credit Insufficient fair housing infrastructure Discriminatory patterns in lending Failure to Make Reasonable Accommodations	Fair Housing Enforcement and Outreach	Continue to promote fair housing education through workshops. Record activities annually. Promote outreach and education related to credit for prospective homebuyers. Record activities annually. Partner with community agencies to provide financial literacy classes for prospective homebuyers. Record activities annually.	Maricopa County HOME Consortium
Discussion: The fair housing survey and public input indicated a lack of collaboration among agencies to support fair housing, a lack of knowledge about fair housing and a need for education, and an insufficient understanding of credit needed to access mortgages. In addition, as demonstrated above, racial and ethnic groups have unequal access to mortgages. Failure to make reasonable accommodations was the number one fair housing complaint in the HOME Consortium.				

Section II. Community Participation Process

The following section describes the community participation process undertaken for the 2020 Maricopa County HOME Consortium Analysis of Impediments to Fair Housing Choice.

A. OVERVIEW

The outreach process included the 2019 Fair Housing Survey, a Fair Housing Forum, and a public review meeting.

The Fair Housing Survey was distributed as an internet outreach survey, as well as being made available as a printed version. As of the date of this document, 129 responses have been received. The survey was available in both English and Spanish.

The Fair Housing Forum was held on August 29, 2020 in order to gather feedback and input from members of the public.

The Draft for Public Review AI was made available on February 14, 2020 and a 30-day public input period was initiated.

A public hearing will be held on February 20, 2020, during the public review period in order to gather feedback and input on the draft Analysis of Impediments. After the close of the public review period and inspection of comments received, the final draft was made available to the public in May 2020.

B. THE 2019 FAIR HOUSING SURVEY

The purpose of the survey, a relatively qualitative component of the AI, was to gather insight into knowledge, experiences, opinions, and feelings of stakeholders and interested citizens regarding fair housing as well as to gauge the ability of informed and interested parties to understand and affirmatively further fair housing. Many individuals and organizations throughout the Maricopa County HOME Consortium were invited to participate. At the date of this document, some 129 responses were received. A complete set of survey responses can be found in **Section IV.I Fair Housing Survey Results**.

C. FAIR HOUSING FORUM

A Fair Housing Forum was held on August 29, 2019. A summary of the comments received during this meeting is included below. The complete transcript from this meeting is included in the Appendix.

- Need for more Housing Choice Voucher and working with landlords to accept vouchers
- Need for incentives for accessibility improvements
- Need for increased visitability standards
- Credit scores and past evictions are barriers to accessing housing

In addition to the fair housing forum, three additional community meetings were held on August 27, 28, and 29 that discussed housing-related issues. A summary of housing-related comments received during these meetings is included below. A complete set of transcripts is included in the Appendix.

- Not In My Back Yard mentality (NIMBYism) is a primary barrier to producing affordable housing
- A large number of households lack access to housing that is affordable to them
- Transportation is a limiting factor in accessing housing and services
- Lack of affordable housing is the number one concern for many households

D. THE FINAL PUBLIC REVIEW PROCESS

A 30-day public review process was held February 14, 2020 through March 16, 2020. It included a public review meeting being held during this time. Comments from this meeting will be summarized below.

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Section III. Assessment of Past Goals and Actions

An Analysis of Impediments to Fair Housing Choice for Maricopa County was last completed in 2015. The conclusions drawn from this report are outlined in the following narrative.

A. PAST IMPEDIMENTS AND ACTIONS

A summary of the 2015 Analysis of Impediments are included below:

2015 IMPEDIMENTS TO FAIR HOUSING CHOICE AND SUGGESTED ACTIONS

2015 Impediment #1: Lack of Accessible Housing/ Housing Discrimination against Persons with Disabilities

Recommendations:

Specific strategies for the County include:

- Review taxation codes and implement tax exemptions for making adaptations to make a home more accessible for persons with disabilities.
- Implement codes regulating that all new construction of multi-family (4 units or more), co-ops, and conversions must meet Section 504 of the American Disabilities Act (ADA).
- Conduct an assessment of accessible housing units and buildings in the region for the purpose of developing an inventory of accessible housing and providing that information to the public.
- Refer people to the Arizona Statewide Independent Living Council, the Arizona Bridge to Independent Living, and the Arizona Department of Economic Security for educational information and brochures.
- Enforce current taxation codes allowing for tax relief and abatements for the elderly and disabled.
- Work with local housing organizations to provide a wide variety of housing services, including services to the disabled.
- Meet with design specialists to require and encourage housing designs that consider the needs of the disabled.
- Provide builders and developers with information about the advantages of providing housing for this market.

2015 Impediment# 2: Lack of Awareness of Fair Housing Laws

Recommendations:

The County should consider reserving a portion of its CDBG public service funds to be awarded as a competitive Fair Housing Grant to an organization that will carry out a focused fair housing education programs in the area. As a component of the Fair Housing Grant, the successful applicant should collaborate with local housing organizations including Community Legal Services, Southwest Fair Housing Council, The Arizona Fair Housing Partnership, and the Arizona Fair Housing Center to develop fair housing training curriculum and to coordinate and provide educational outreach and fair housing training.

2015 Impediment #3: Cost of Affordable Housing Limits Housing Choice**Recommendation:**

County collaborations should focus on the following goals:

- Encourage private developers to construct affordable housing.
- Determine locations for the development of affordable housing and work with local non-profits to acquire land for affordable units.
- Continue Homeownership Programs throughout the region, providing homeownership opportunities to low-and moderate- income persons.
- Implement an inclusionary zoning policy aiding in the development of affordable housing.
- Continue the use of Community Development Block Grant Funds (CDBG) and HOME Investment Partnership Funds (HOME) for housing rehabilitation activities to maintain the regions affordable housing stock.
- Work with housing organizations to continue efforts and collaborations on affordable housing and other fair housing needs.

2015 Impediment #4: Poor Financial History of Potential Homebuyers.**Recommendations**

The County should partner with local non-profit and community organizations to implement financial management programs and identify resources for financial counseling, financial literacy counseling, and training for residents to learn financial planning skills including what issues impact credit, finding financial resources, education about fair and non-predatory lending practices, and making good financial choices. The County should also partner with and encourage local bank and lending institutions to do outreach and education regarding budgeting, financial literacy, financial products, and fair lending in areas with heavy racial and ethnic minority and low-income and poverty concentrations throughout the County. The County should continue to implement Homeownership Programs and Family Self-Sufficiency programs to assist families with homeownership opportunities and education and help in obtaining employment allowing low-and moderate – income persons to become self-sufficient.

2015 Impediment #5 Lack of Transportation Options in Rural Unincorporated Maricopa County.**Recommendations**

The County should utilize Community Development Block Grant funds or other local or resources to provide subsidies for a public transportation voucher program, gas voucher program, or taxi voucher program for unincorporated Maricopa County residents. The County should coordinate with non-profit organizations providing program related transportation services to encourage community outreach and to provide informational services and resources regarding transportation options in unincorporated Maricopa County.

2015 Impediment# 6: Distribution of Resources**Recommendations:**

Maricopa County should focus on improving the distribution of resources to adequately cover all areas of the County. In the future, the County's strategy for the development of new affordable housing, including identifying target areas where the number of subsidized housing units could be increased, should focus on areas that beyond RCAP/ECAP areas with limited access to opportunity. This strategy should be communicated to developers and nonprofit partners, and give funding priority to projects that align with this goal.

The County should encourage the de-concentration of high area of poverty by expanding where housing vouchers can be used. To promote this expansion, the County should encourage landlord acceptance of vouchers by providing information about the program and, potentially, incentives for participating. The County should also make housing choice voucher holders aware of the availability of units in other areas of the County, and partner with local nonprofit organizations to provide additional information or assistance to households who wish to move.

The County should work to ensure that public transit in low-income neighborhoods has routes and hours that allow access to major business centers, areas with high performing schools, and areas with accessible park and recreational activities. Public transit hours should be centered around typical work hours. The County should collaborate with local non-profits to provide services, such as after school and recreational programming, targeted at youth.

2017-18 FAIR HOUSING ACTIVITIES

The following actions have been described in the 2017-18 Consolidated Annual Performance and Evaluation Report (CAPER):

2017-18 Maricopa County Fair Housing Accomplishments

- Engaged in landlord outreach to local private affordable housing providers during the implementation of the County's Tenant Based Rental Assistance program in an effort to assist individuals experiencing homelessness and are justice engaged with finding safe and affordable homes;
- Representatives from Maricopa County Human Services Department, Maricopa County Correctional Health Services (CHS), Justice Systems Planning & Information (JSPI), Housing Authority of Maricopa County (HAMC), and Mercy Maricopa Integrated Care (MMIC), continued a partnership to reduce recidivism, and connect people experiencing homelessness, and are justice engaged, to appropriate housing and supportive services. The partnership's mission is to work hand in hand with supportive services, housing providers, physical and mental health services, jails, and policy makers to serve justice-involved homeless individuals and families by connecting them with necessary supports and housing;
- Reviewed existing Spanish language fair housing advertisements for updates, and added additional Spanish language translations to public notices;
- Completed affirmative marketing and fair housing related monitoring for three cities, two nonprofit organizations, and 9 multi-family rental projects in the period of affordability;
- Participated in Fair Housing Month and staff attended the AFHP's annual event on April 27, 2018 called: 'Fair Housing Opportunities: 50 Years and Counting!';
- Disseminated fair housing brochures in HSD lobby;
- Displayed fair housing posters and notices in HSD lobby;
- HSD maintained a referral webpage on the updated Maricopa.gov website that includes information for citizens seeking to file a housing discrimination complaint, and provides

information about housing discrimination, and how to learn more about their rights under the Arizona Residential Landlord and Tenant Act;

- HSD provided referrals and information to persons who believe they have been discriminated as needed;
- Arizona Fair Housing Partnership (AFHP) membership; and
- Convened regional fair housing planning group for the purposes of implementing fair housing requirements and engaged in extensive planning prior to the delay of the requirements;
- Staff attended NACCED Conference and attended fair housing training; and
- Staff participated NACCED online fair housing case study training.

Maricopa Urban County and Maricopa HOME Consortium individual member responses can be found in the County's CAPER.

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Section IV. Fair Housing Analysis

This section presents demographic, economic, and housing information that is drawn from the 2010 Census and American Community Survey (ACS) estimates unless otherwise noted. This analysis uses ACS Data to analyze a broad range of socio-economic characteristics, including population growth, race, ethnicity, disability, employment, poverty, and housing trends; these data are also available by Census tract, and are shown in geographic maps. Ultimately, the information presented in this section illustrates the underlying conditions that shape housing market behavior and housing choice in the Maricopa County HOME Consortium.

Lead Agency and Service Area

Maricopa County, led by Human Services Department, is the lead agency undertaking this Analysis of Impediments to Fair Housing Choice.

The Maricopa County HOME Consortium includes Avondale, Chandler, Gilbert, Glendale, Peoria, Scottsdale, Surprise, and Tempe, as well as the Maricopa Urban County. This includes Buckeye, El Mirage, Fountain Hills, Gila Bend, Goodyear, Guadalupe, Litchfield Park, Tolleson, Wickenburg, Youngtown, Unincorporated areas in County. Most of the data presented in this report will be the entirety of Maricopa County except the entitlements of Phoenix and Mesa. In these instances, this service area will be called the Maricopa County HOME Consortium. In any instances when the County as a whole is used, it will be referenced as Maricopa County.

A. SOCIO-ECONOMIC OVERVIEW

Demographics

Population Estimates

The Census Bureau's current census estimates indicate that Maricopa County's population increased from 3,817,117 in 2010 to 4,307,033 in 2017, or by 12.8%. This compares to a statewide population change of 9.8% over the period. The number of people from 25 to 34 years of age increased by 15.3%, and the number of people from 55 to 64 years of age increased by 24.2%. The white population increased by 9.9%, while the Black or African or American population increased by 28.5%. The Hispanic population increased from 1,128,741 to 1,339,574 people between 2010 and 2017 or by 18.7%. These data are presented in Table IV.1.

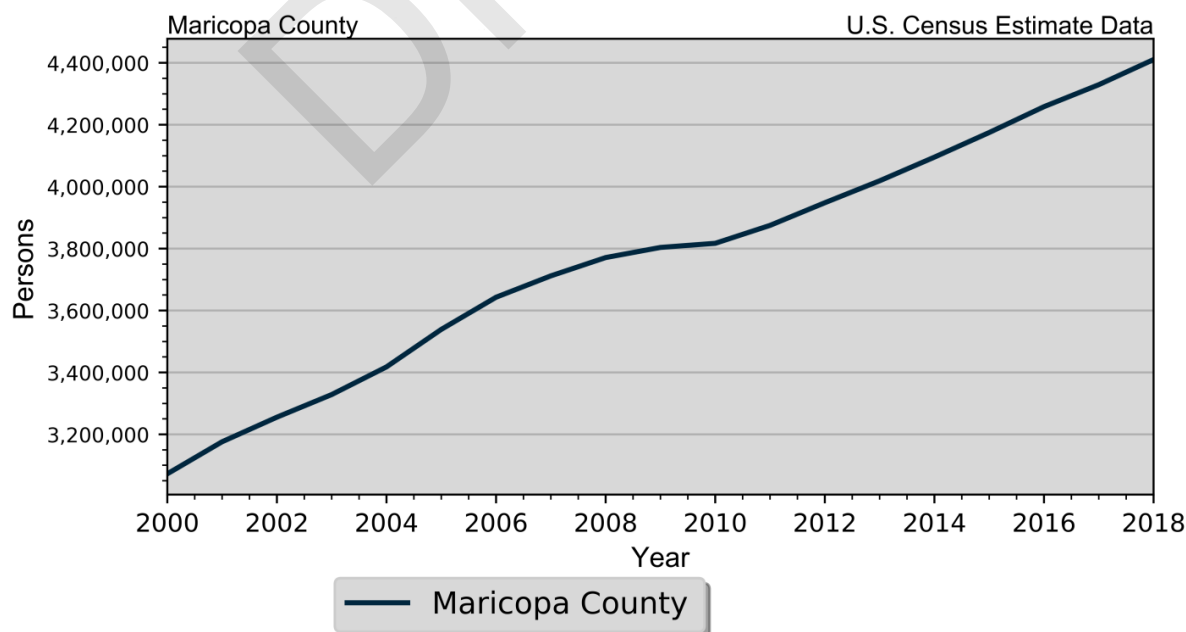
Maricopa County is one of the fastest growing areas in the country. In fact, it was the fastest growing county in the country for the last three years.⁷ With this continued growth, Maricopa County will be faced with a variety of challenges, such as housing for the growing population. The demographic makeup of the County is changing as well. The following narrative will describe the changes that Maricopa County, and the Maricopa County HOME Consortium in particular, is seeing.

⁷ <https://www.azcentral.com/story/news/local/phoenix/2019/04/18/maricopa-county-fastest-growing-us-census-growth/3506291002/>

Table IV.1 Profile of Population Characteristics Maricopa County vs. State of Arizona 2010 Census and 2017 Current Census Estimates						
Subject	Maricopa County			Arizona		
	2010 Census	Jul-17	% Change	2010 Census	Jul-17	% Change
Population	3,817,117	4,307,033	12.8%	6,392,017	7,016,270	9.8%
Age						
Under 14 years	842,707	866,823	2.9%	1,358,059	1,354,324	-0.3%
15 to 24 years	543,771	575,181	5.8%	904,166	951,609	5.2%
25 to 34 years	541,126	623,763	15.3%	856,693	955,894	11.6%
35 to 44 years	524,598	560,423	6.8%	822,494	858,680	4.4%
45 to 54 years	503,965	547,997	8.7%	842,546	847,764	0.6%
55 to 64 years	398,309	494,530	24.2%	726,228	846,253	16.5%
65 and Over	462,641	638,316	38%	881,831	1,201,746	36.3%
Race						
White	3,268,366	3,593,462	9.9%	5,418,483	5,827,866	7.6%
Black/African American	205,732	264,416	28.5%	280,905	349,944	24.6%
American Indian and Alaskan Native	99,663	120,742	21.2%	335,278	373,532	11.4%
Asian	140,285	189,415	35%	188,456	247,790	31.5%
Native Hawaiian or Pacific Islander	10,115	12,224	20.9%	16,112	19,091	18.5%
Two or more races	92,956	126,774	36.4%	152,783	198,047	29.6%
Ethnicity (of any race)						
Hispanic or Latino	1,128,741	1,339,574	18.7%	1,895,149	2,202,172	16.2%

The population in the Maricopa County is illustrated below. While the County population increased to over 4.4 million, the HOME Consortium population increased from 1,932,444 in 2010 to 2,101,763 in 2017, an estimated 8.8% growth during that time.

Diagram IV.1
Population
 Maricopa County



Census Demographic Data

In the 1980, 1990, and 2000 decennial censuses, the Census Bureau released several tabulations in addition to the full SF1 100 percent count data including the one-in-six SF3 sample. These additional samples, such as the SF3, asked supplementary questions regarding income and household attributes that were not asked in the 100 percent count. In the 2010 decennial census, the Census Bureau did not collect additional sample data, such as the SF3, and thus many important housing and income concepts are not available in the 2010 Census.

To study these important concepts the Census Bureau distributes the American Community Survey every year to a sample of the population and quantifies the results as one-, three- and five-year averages. The one-year sample only includes responses from the year the survey was implemented, while the five-year sample includes responses over a five-year period. Since the five-year estimates include more responses, the estimates can be tabulated down to the Census tract level, and considered more robust than the one- or three-year sample estimates.

Population Estimates

Population by race and ethnicity through 2017 is shown in Table IV.2. The White population represented 81.3% of the population in 2017, compared with the Black or African American population accounting for 4.6% of the population. The Hispanic population represented 22.5% of the population in 2017. The HOME Consortium has seen a growth in the proportion of the White and Black or African American population, although not a significant shift.

Table IV.2 Population by Race and Ethnicity Maricopa County HOME Consortium 2010 Census & 2017 Five-Year ACS				
Race	2010 Census		2017 Five-Year ACS	
	Population	% of Total	Population	% of Total
White	1,496,232	77.4%	1,708,179	81.3%
Black/African American	81,622	4.2%	95,967	4.6%
American Indian	35,586	1.8%	36,110	1.7%
Asian	78,135	4%	97,166	4.6%
Native Hawaiian/ Pacific Islander	3,563	0.2%	3,701	0.2%
Other	172,913	8.9%	89,146	4.2%
Two or More Races	64,393	3.3%	71,494	3.4%
Total	1,932,444	100.0%	2,101,763	100.0%
Non-Hispanic	1,509,333	78.1%	1,629,841	77.5%
Hispanic	423,111	21.9%	471,922	22.5%

The change in race and ethnicity between 2010 and 2017 is shown in Table IV.3. During this time, the total non-Hispanic population was 1,629,841 persons in 2017. The Hispanic population was 471,922.

Table IV.3
Population by Race and Ethnicity
 Maricopa County HOME Consortium
 2010 Census & 2017 Five-Year ACS

Race	2010 Census		2017 Five-Year ACS	
	Population	% of Total	Population	% of Total
Non-Hispanic				
White	1,284,977	85.1%	1,357,545	83.3%
Black/African American	76,601	5.1%	90,859	5.6%
American Indian/Alaska Native	27,566	1.8%	29,553	1.8%
Asian	76,233	5.1%	95,709	5.9%
Native Hawaiian/ Pacific Islander	3,136	0.2%	3,220	0.2%
Other	2,711	0.2%	3,398	0.2%
Two or More Races	38,109	2.5%	49,557	3%
Total Non-Hispanic	1,509,333	100.0%	1,629,841	100.0%
Hispanic				
White	211,255	49.9%	350,634	74.3%
Black/African American	5,021	1.2%	5,108	1.1%
American Indian/Alaska Native	8,020	1.9%	6,557	1.4%
Asian	1,902	0.4%	1,457	0.3%
Native Hawaiian/ Pacific Islander	427	0.1%	481	0.1%
Other	170,202	40.2%	85,748	18.2%
Two or More Races	26,284	6.2%	21,937	4.6%
Total Hispanic	423,111	100.0	471,922	100.0%
Total Population	1,932,444	100.0%	2,101,763	100.0%

The following maps show the distribution of the population by race and ethnicity. These maps will be used to describe any areas with a disproportionate share of any one racial or ethnic group. A disproportionate share is defined as having at least ten percentage points higher than the jurisdiction average. For example, if American Indian households account for 1.0% of the total population, there would be a disproportionate share if one area saw a rate of 11.0% or more.

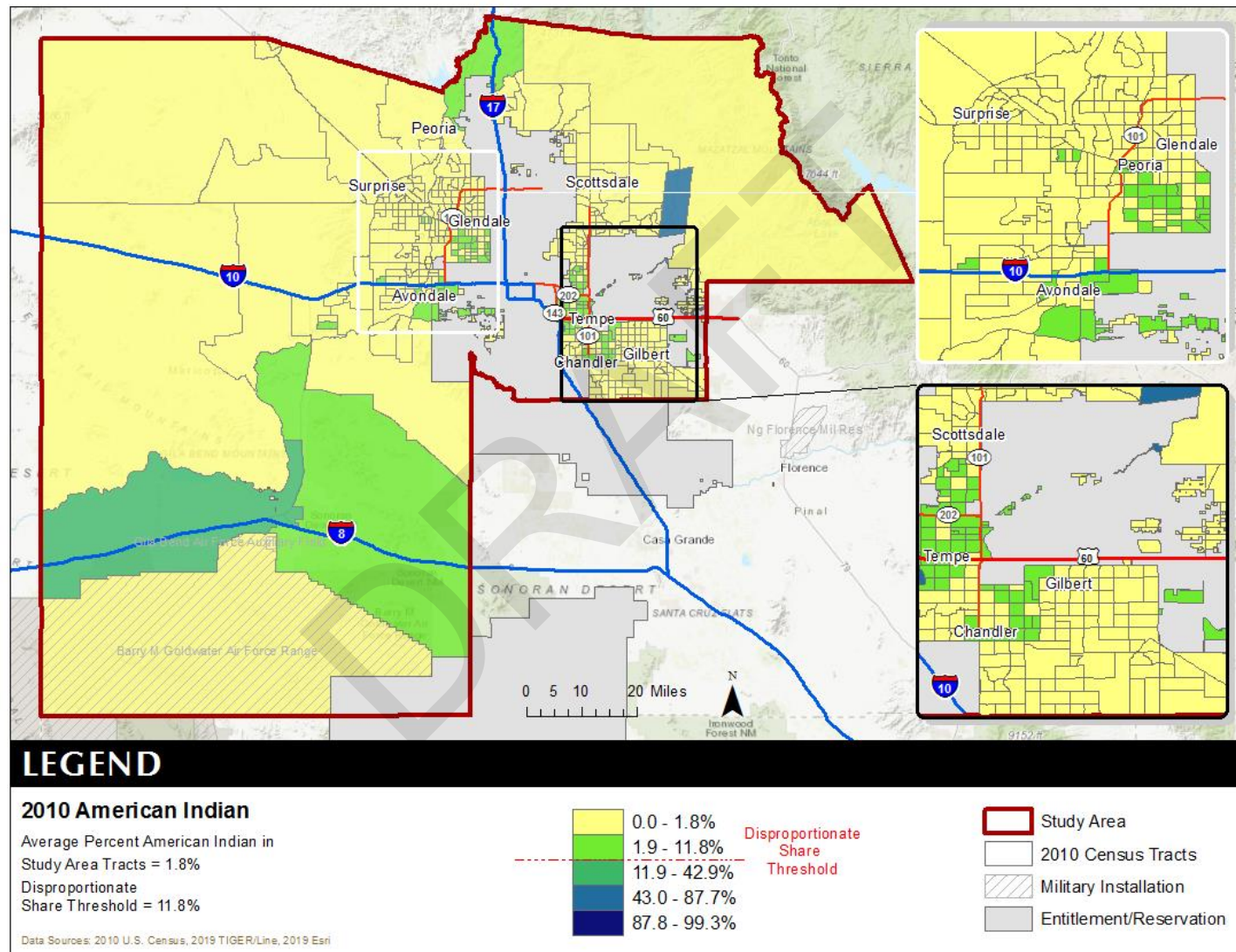
As seen in Maps IV.1 and IV.2, the American Indian population, which accounted for 1.8% of the Maricopa County HOME Consortium population in 2017, saw a disproportionate share of the population in several locations. These areas tended to be adjacent to the Gila River Indian Reservation and the Salt River Pima Maricopa Indian Reservation.

Asian households accounted for 4.6% of the population in 2017. There were several areas with a disproportionate share of Asian households in both 2010 and 2017, which remained in the same areas both years. This was seen primarily in and around the City of Chandler.

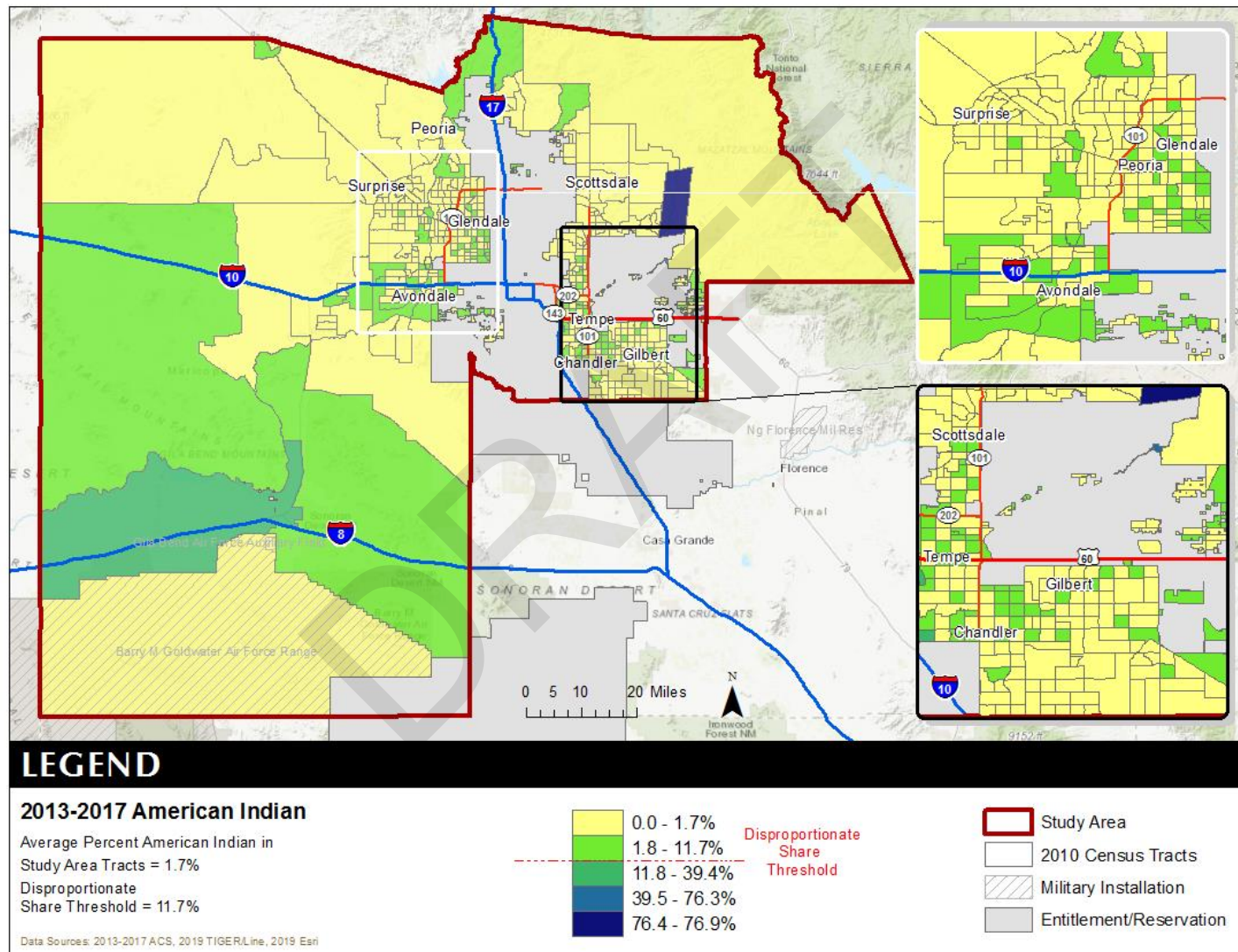
Black or African American households accounted for 4.6% of the population in the Maricopa County HOME Consortium in 2017. As seen in Maps IV.5 and IV.6, there were some areas within the County with a disproportionate share of Black or African American households.

Hispanic households are shown in Maps IV.7 and IV.8 for 2010 and 2017. In both years, there were several areas with a disproportionate share of Hispanic households. These areas tended to be in urban areas to the west of Phoenix, including the in the Cities of Glendale and Peoria, as well as in the western section of the County adjacent to the Barry M. Goldwater Air Force Range.

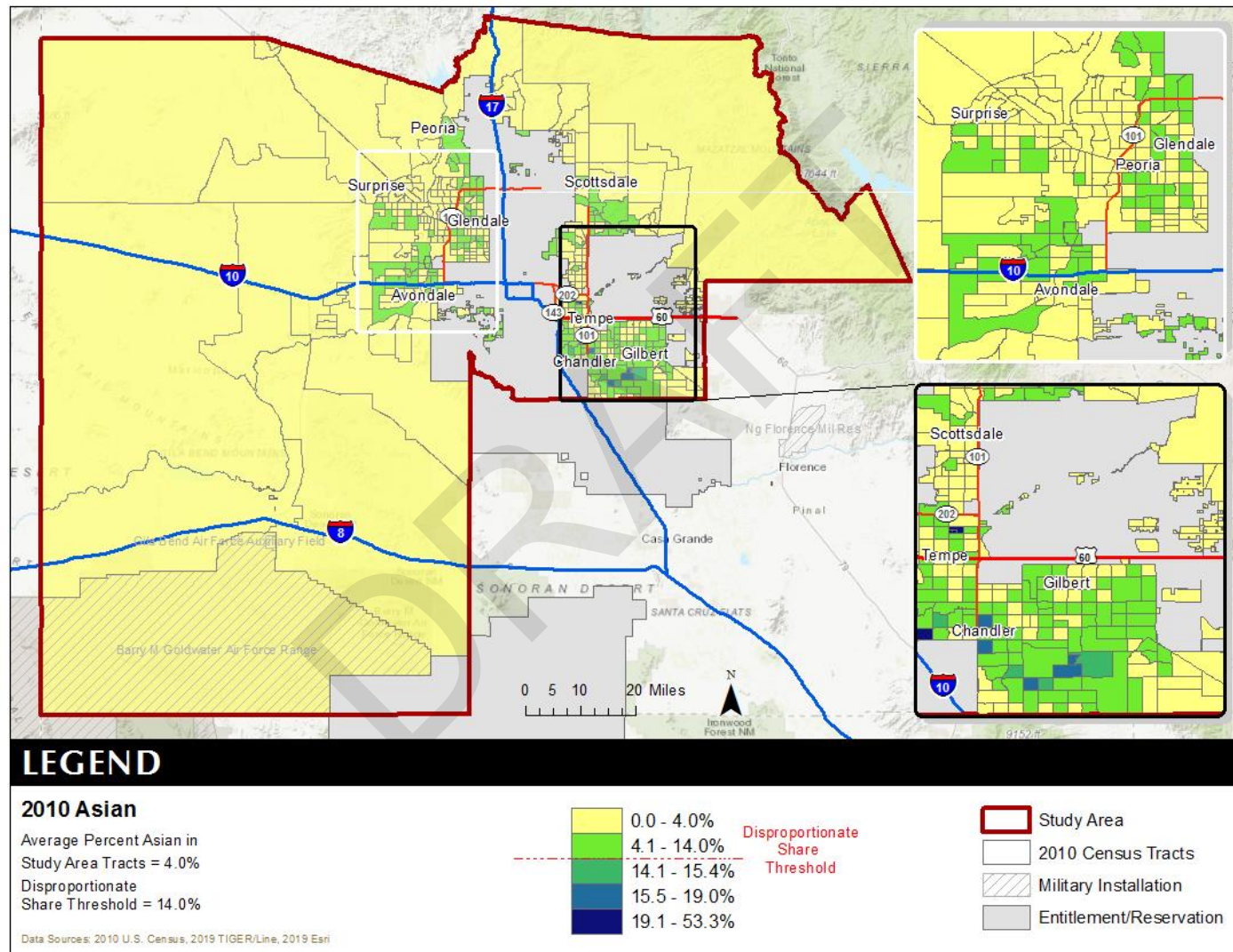
Map IV.1
2010 Disproportionate Share - American Indian Households
 Maricopa County HOME Consortium
 2010 Census, Tigerline



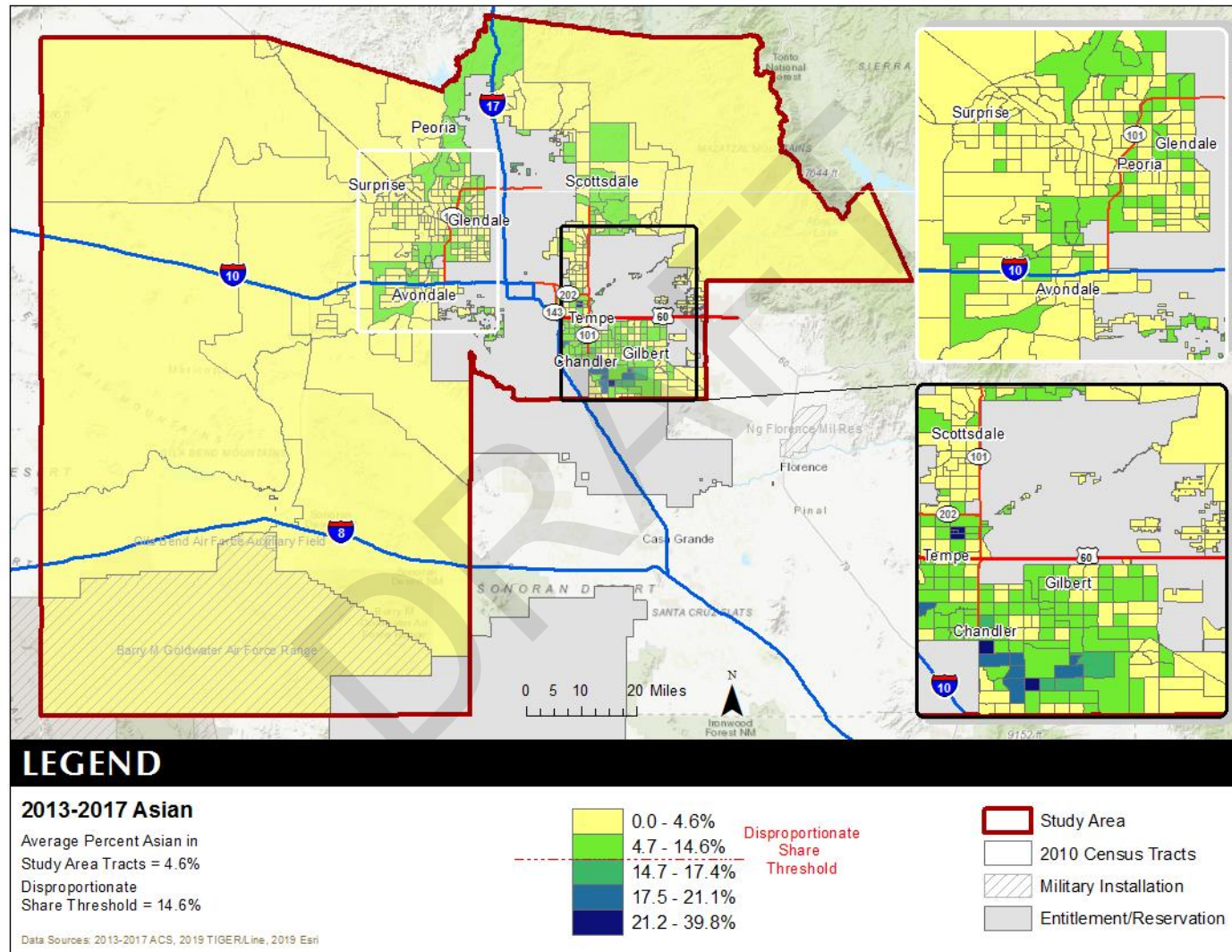
Map IV.2
2017 Disproportionate Share - American Indian Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



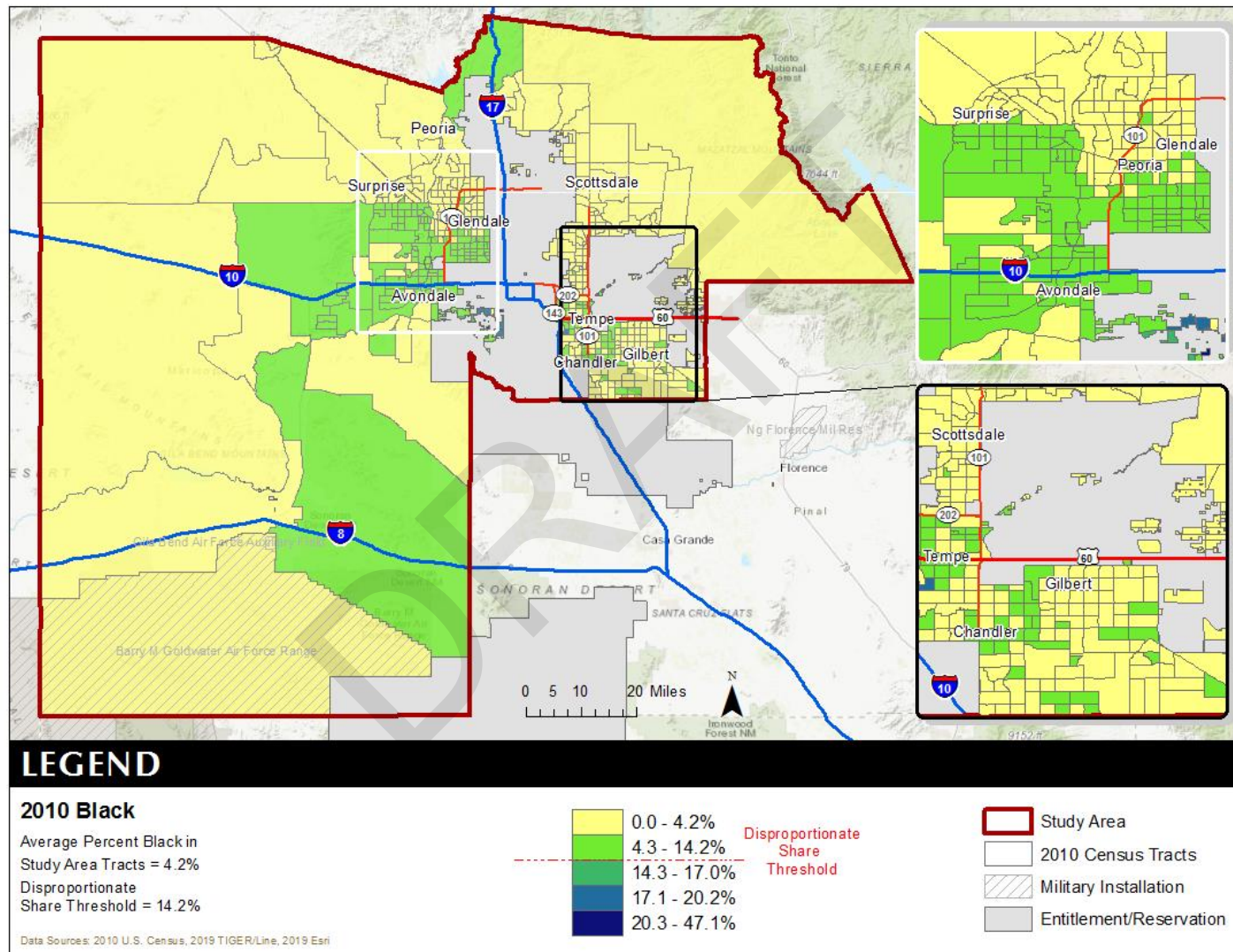
Map IV.3
2010 Disproportionate Share - Asian Households
 Maricopa County HOME Consortium
 2010 Census, Tigerline



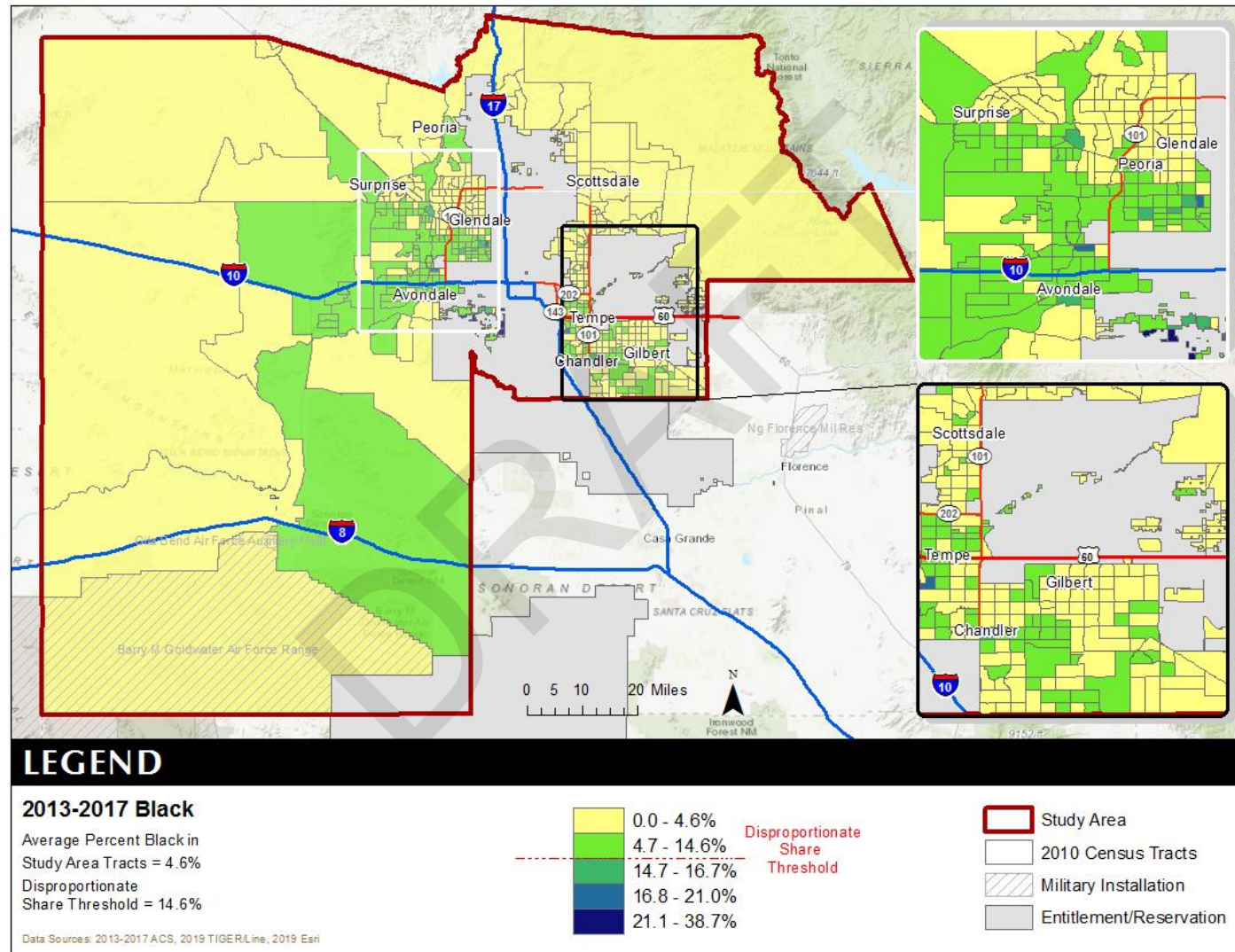
Map IV.4
2017 Disproportionate Share - Asian Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



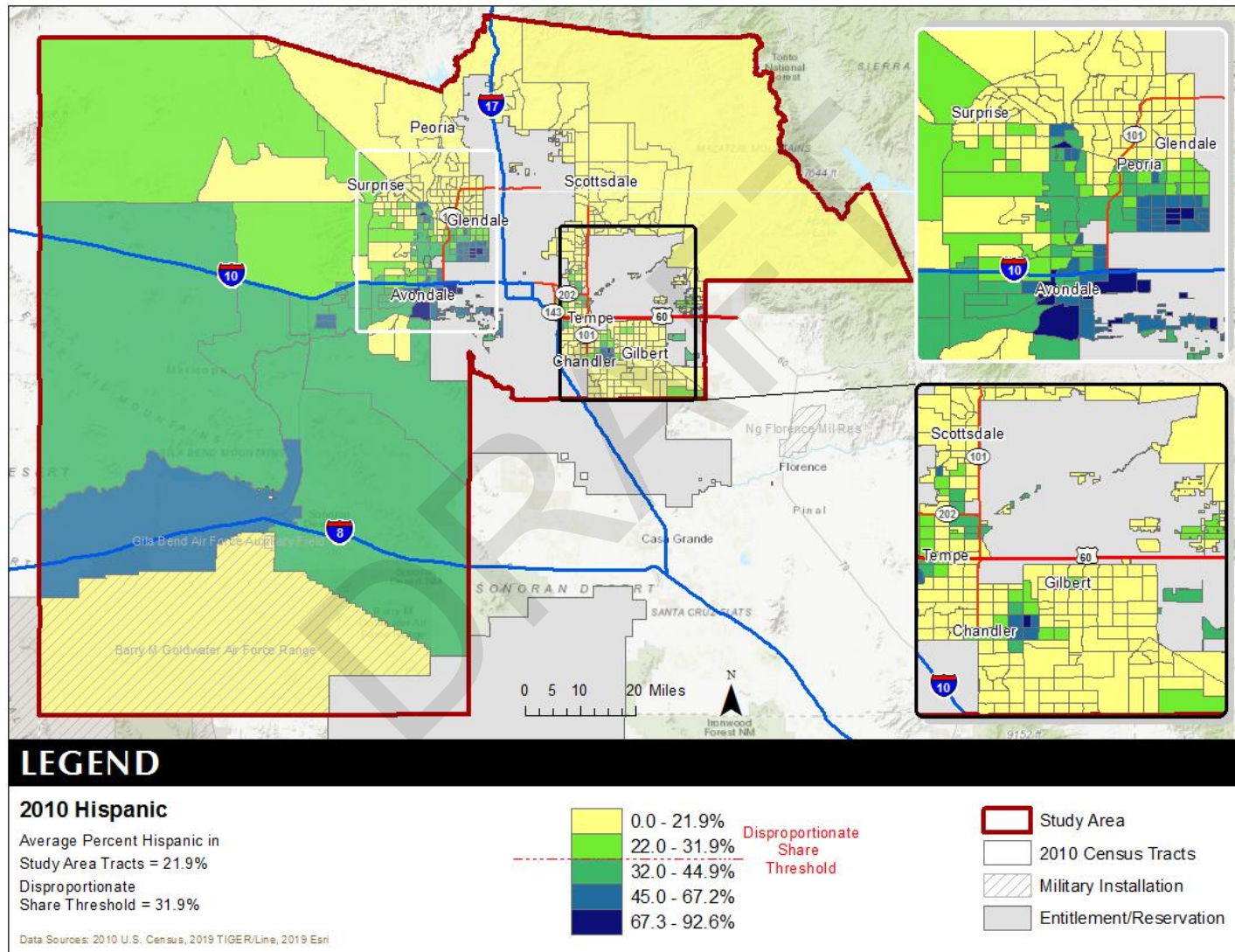
Map IV.5
2010 Disproportionate Share - Black Households
 Maricopa County HOME Consortium
 2010 Census, Tigerline



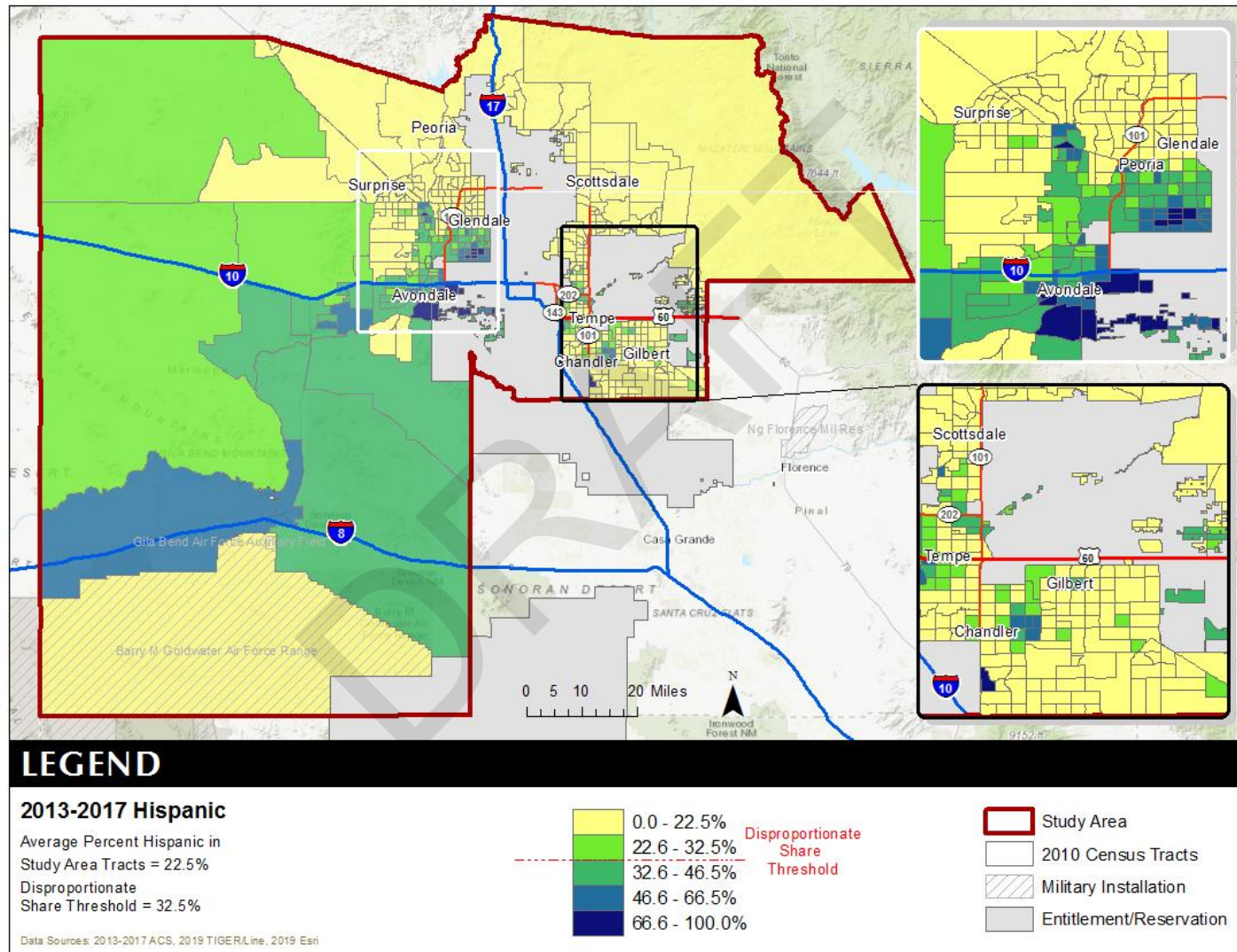
Map IV.6
2017 Disproportionate Share - Black Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Map IV.7
2010 Disproportionate Share - Hispanic Households
 Maricopa County HOME Consortium
 2010 Census, Tigerline



Map IV.8
2017 Disproportionate Share - Hispanic Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Foreign Born Population and Limited English Proficiency

Under Title VI of the Civil Rights Act of 1964 and in accordance with Supreme Court precedent in *Lau v. Nichols*, recipients of federal financial assistance are required to take reasonable steps to ensure meaningful access to their programs and activities by limited English proficient (LEP) persons.⁸ In the context of HUD's assessment of access to housing, LEP refers to a person's limited ability to read, write, speak, or understand English.⁹

The number of foreign born persons are shown in Table IV.4. An estimated 4.3% of the population was born in Mexico, 0.9% were born in India, and another 0.7% were born in Canada.

Table IV.4 Place of Birth for the Foreign-Born Population Maricopa County HOME Consortium 2017 Five-Year ACS			
Number	County	Number of Person	Percent of Total Population
#1 country of origin	Mexico	89,670	4.3%
#2 country of origin	India	18,645	0.9%
#3 country of origin	Canada	15,591	0.7%
#4 country of origin	Philippines	12,095	0.6%
#5 country of origin	China excluding Hong Kong and Taiwan	10,124	0.5%
#6 country of origin	Vietnam	9,304	0.4%
#7 country of origin	Korea	4,865	0.2%
#8 country of origin	Germany	4,742	0.2%
#9 country of origin	Iraq	4,561	0.2%
#10 country of origin	England	3,251	0.2%

The languages spoken at home are shown in Table IV.5. An estimated 4% of the population speaks Spanish at home, followed by 0.4% speaking Chinese.

Table IV.5 Limited English Proficiency and Language Spoken at Home Maricopa County HOME Consortium 2017 Five-Year ACS			
Number	County	Number of Person	Percent of Total Population
#1 LEP Language	Spanish	78,608	4%
#2 LEP Language	Chinese	7,575	0.4%
#3 LEP Language	Other Indo-European languages	5,928	0.3%
#4 LEP Language	Vietnamese	5,886	0.3%
#5 LEP Language	Arabic	4,440	0.2%
#6 LEP Language	Other Asian and Pacific Island languages	4,399	0.2%
#7 LEP Language	Other and unspecified languages	3,530	0.2%
#8 LEP Language	Tagalog	2,778	0.1%
#9 LEP Language	Russian, Polish, or other Slavic languages	2,386	0.1%

⁸ https://www.hud.gov/program_offices/fair_housing_equal_opp/limited_english_proficiency_o

⁹ <https://www.hud.gov/sites/documents/LEPMEMO091516.PDF>

#10 LEP Language	Korean	2,201	0.1%
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Education and Employment

Education and employment data, as estimated by the 2017 ACS, is presented in Tables IV.6 and 7. In 2017, some 968,789 persons were employed and 55,822 were unemployed. This totaled a labor force of 1,024,611 persons. The unemployment rate for Maricopa County HOME Consortium was estimated to be 5.4% in 2017.

Table IV.6 Employment, Labor Force and Unemployment Maricopa County HOME Consortium 2017 Five-Year ACS Data	
Employment Status	2017 Five-Year ACS
Employed	968,789
Unemployed	55,822
Labor Force	1,024,611
Unemployment Rate	5.4%

In 2017, 93.4% of households in Maricopa County HOME Consortium had a high school education or greater.

Table IV.7 High School or Greater Education Maricopa County HOME Consortium 2017 Five-Year ACS Data	
Education Level	Households
High School or Greater	719,609
Total Households	770,843
Percent High School or Above	93.4%

As seen in Table IV.8, some 22.6% of the population had a high school diploma or equivalent, another 35.8% have some college, 20.8% have a Bachelor's Degree, and 11.6% of the population had a graduate or professional degree.

Table IV.8 Educational Attainment Maricopa County HOME Consortium 2017 Five-Year ACS Data		
Education Level	2017 5-year ACS	Percent
Less Than High School	150,057	9.3%
High School or Equivalent	363,397	22.6%
Some College or Associates Degree	576,177	35.8%
Bachelor's Degree	334,291	20.8%
Graduate or Professional Degree	186,166	11.6%
Total Population Above 18 years	1,610,088	100.0%

Summary

While the population in the Maricopa County HOME Consortium is growing, the racial and ethnic makeup of the area is not changing significantly. There are areas in the HOME Consortium, however, that do see high concentrations of Hispanic residents, particularly in the more urban areas. An estimated 4% of the population speaks Spanish at home, followed by 0.4% speaking Chinese. In 2017,

22.6% of the population had a high school diploma or equivalent, another 35.8% have some college, 20.8% have a Bachelor's Degree, and 11.6% of the population had a graduate or professional degree.

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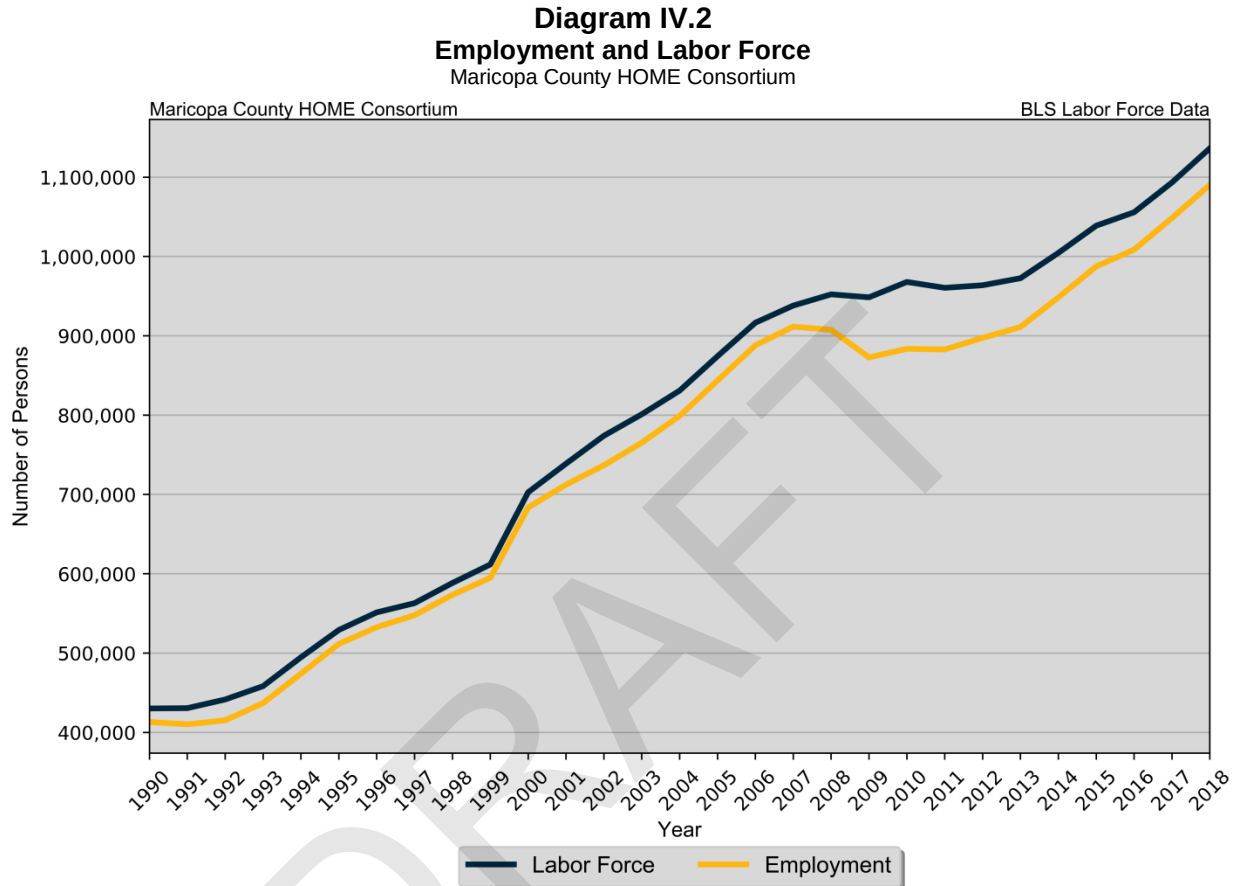
The following section describes the economic context for the Maricopa County HOME Consortium. The data presented here is from the Bureau of Economic Analysis (BEA) and the Bureau of Labor Statistics (BLS). The data from the BEA is only available at the County level and shows the entirety of Maricopa County. The BLS data presented below is specified for the Maricopa County HOME Consortium.

Labor Force

Table IV.9, shows labor force statistics for Maricopa County HOME Consortium between 1990 and 2018. The unemployment rate in Maricopa County HOME Consortium was 4.1% in 2018, with 46,097 unemployed persons and 1,136,431 in the labor force. The statewide unemployment rate in 2018 was 4.8%.

Table IV.9 Labor Force Statistics Maricopa County HOME Consortium 1990 - 2018 BLS Data					
Year	Maricopa County HOME Consortium				Statewide
	Unemployment	Employment	Labor Force	Unemployment Rate	Unemployment Rate
1990	17,081	413,130	430,211	4%	5.3%
1991	20,442	410,165	430,607	4.7%	5.9%
1992	26,255	415,273	441,528	5.9%	7.5%
1993	21,433	436,928	458,361	4.7%	6.4%
1994	20,686	474,000	494,686	4.2%	6.1%
1995	17,536	511,596	529,132	3.3%	5.3%
1996	18,694	532,618	551,312	3.4%	5.6%
1997	15,149	547,823	562,972	2.7%	4.6%
1998	15,016	573,402	588,418	2.6%	4.3%
1999	16,841	594,895	611,736	2.8%	4.4%
2000	19,215	683,579	702,794	2.7%	4%
2001	26,457	712,384	738,841	3.6%	4.8%
2002	37,219	736,811	774,030	4.8%	6.1%
2003	35,836	765,260	801,096	4.5%	5.7%
2004	31,887	799,052	830,939	3.8%	5%
2005	30,620	843,646	874,266	3.5%	4.7%
2006	28,495	888,047	916,542	3.1%	4.2%
2007	26,557	911,566	938,123	2.8%	3.9%
2008	44,712	907,548	952,260	4.7%	6.2%
2009	75,794	872,749	948,543	8%	9.9%
2010	84,322	883,591	967,913	8.7%	10.4%
2011	77,744	882,751	960,495	8.1%	9.5%
2012	66,339	897,411	963,750	6.9%	8.3%
2013	61,524	911,104	972,628	6.3%	7.7%
2014	56,135	948,386	1,004,521	5.6%	6.8%
2015	51,367	987,473	1,038,840	4.9%	6.1%
2016	47,160	1,008,598	1,055,758	4.5%	5.4%
2017	44,787	1,048,522	1,093,309	4.1%	4.9%
2018	46,097	1,090,334	1,136,431	4.1%	4.8%

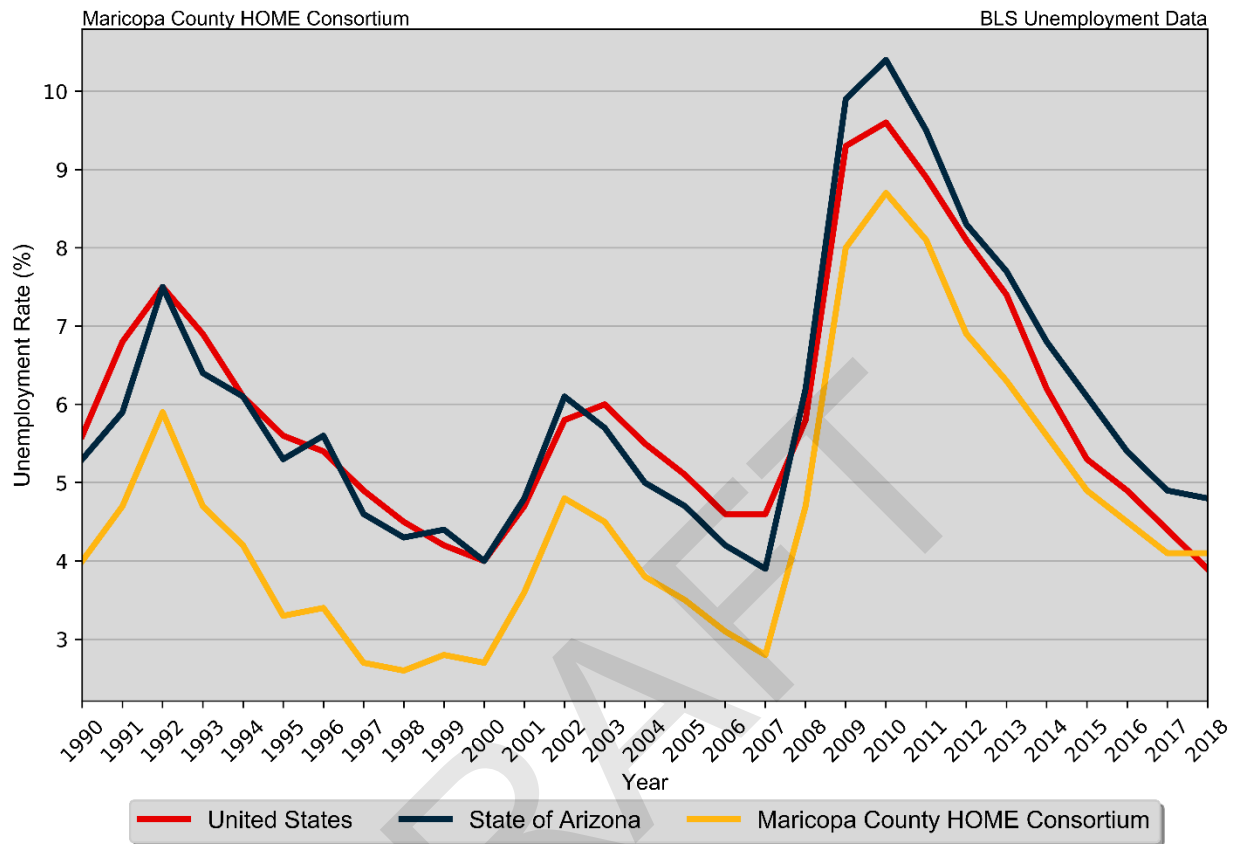
Diagram IV.2 shows the employment and labor force for Maricopa County HOME Consortium. The difference between the two lines represents the number of unemployed persons. In the most recent year, employment stood at 1,090,334 persons, with the labor force reaching 1,136,431, indicating there were a total of 46,097 unemployed persons.



Unemployment

Diagram IV.3 shows the unemployment rate for both the State and Maricopa County HOME Consortium. During the 1990's the average rate for Maricopa County HOME Consortium was 3.7%, which compared to 5.5% statewide. Between 2000 and 2010 the unemployment rate had an average of 4.2%, which compared to 5.5% statewide. Since 2010, the average unemployment rate was 5.8%. Over the course of the entire period the Maricopa County HOME Consortium had an average unemployment rate that lower than the State, 4.7% for Maricopa County HOME Consortium, versus 6.1% statewide.

Diagram IV.3
Annual Unemployment Rate
 Maricopa County HOME Consortium
 1990 – 2018 BLS Data



The Bureau of Economic Analysis (B.E.A.) produces regional economic accounts, which provide a consistent framework for analyzing and comparing individual state and local area economies. Table IV.10 shows total real earnings by industry for Maricopa County. In the most recent 2017 estimate, the health care and social assistance industry had the largest total real earnings, with total real earnings reaching \$18,626,658,000. Between 2016 and 2017 the farm industry saw the largest percentage increase, rising by 34% to \$506,523,000.

Table IV.10
Real Earnings by Industry
 Maricopa County
 BEA Table CA-5N Data (1,000's of 2017 Dollars)

NAICS Categories	2010	2011	2012	2013	2014	2015	2016	2017	% Change 16-17
Farm earnings	225,776	336,734	328,063	378,769	392,431	361,608	377,941	506,523	34
Forestry, fishing, related activities, and other	53,867	61,812	66,110	63,657	58,490	67,529	64,407	61,919	-3.9
Mining	270,477	273,912	368,066	392,008	522,186	530,749	551,396	602,212	9.2
Utilities	1,256,139	1,274,975	1,209,964	1,234,180	1,227,215	1,280,312	1,379,246	1,383,599	0.3
Construction	6,810,550	6,488,944	6,775,482	7,311,721	7,337,378	7,867,495	8,595,409	9,890,934	15.1
Manufacturing	10,088,407	10,456,651	10,841,468	10,678,046	10,902,925	11,210,495	11,146,055	11,297,663	1.4
Wholesale trade	7,537,961	7,692,025	8,119,564	7,760,830	7,746,049	7,994,076	8,132,086	8,422,470	3.6
Retail trade	8,752,377	9,506,057	9,756,072	9,498,903	10,261,574	10,440,230	10,361,610	10,472,665	1.1
Transportation and warehousing	3,860,149	3,851,422	4,037,307	3,921,875	4,036,923	4,428,303	4,711,777	5,235,914	11.1
Information	2,512,322	2,518,080	2,744,378	3,177,649	3,635,017	3,717,251	3,877,906	3,659,683	-5.6
Finance and insurance	9,251,677	9,833,069	10,494,558	11,265,865	11,595,894	12,453,641	13,488,745	14,571,635	8
Real estate and rental and leasing	1,279,485	1,638,963	2,154,716	3,260,087	3,808,734	4,360,624	4,780,393	4,825,130	0.9
Professional and technical services	10,464,780	10,929,592	11,173,552	11,317,514	11,598,593	12,295,708	12,763,350	13,158,678	3.1
Management of companies and enterprises	2,319,863	2,373,789	2,633,064	2,949,907	3,154,060	3,170,264	3,225,832	3,392,543	5.2
Administrative and waste services	8,124,827	8,269,796	8,490,886	9,073,691	9,459,920	9,862,255	10,096,273	10,521,118	4.2
Educational services	2,464,306	2,573,669	2,632,837	2,534,116	2,623,838	2,712,505	2,726,664	2,672,359	-2
Health care and social assistance	14,742,954	15,168,007	15,358,172	15,670,814	15,999,493	16,758,160	17,627,958	18,626,658	5.7
Arts, entertainment, and recreation	1,324,854	1,330,404	1,711,347	1,945,992	2,204,376	2,130,603	2,322,943	2,553,912	9.9
Accommodation and food services	4,361,358	4,562,295	4,834,234	4,995,921	4,847,844	5,080,198	5,236,436	5,770,580	10.2
Other services, except public administration	4,136,082	4,276,491	4,577,209	4,556,594	4,847,624	4,959,785	5,052,042	5,257,157	4.1
Government and government enterprises	17,171,369	16,612,973	16,379,269	16,688,646	16,634,477	17,026,174	17,240,026	17,524,915	1.7
Total	117,009,581	120,029,658	124,686,319	128,676,781	132,895,039	138,707,963	143,758,493	150,408,267	4.6

Table IV.11 shows the total employment by industry for the Maricopa County. The most recent estimates show the health care and social assistance industry was the largest employer in Maricopa County, with employment reaching 285,335 jobs in 2017. Between 2016 and 2017 the construction industry saw the largest percentage increase, rising by 6.6% to 147,553 jobs.

Table IV.11
Employment by Industry
 Maricopa County
 BEA Table CA25 Data

NAICS Categories	2010	2011	2012	2013	2014	2015	2016	2017	% Change 16-17
Farm earnings	6,325	6,210	6,630	6,898	6,621	7,193	7,658	6,856	-10.5
Forestry, fishing, related activities, and other	2,538	2,571	2,607	2,578	2,716	2,787	2,793	2,655	-4.9
Mining	6,350	5,775	8,249	8,168	7,785	8,059	8,319	8,688	4.4
Utilities	8,191	8,032	8,083	7,945	7,869	8,055	8,525	8,787	3.1
Construction	109,587	111,017	117,433	123,362	125,323	129,080	138,363	147,553	6.6
Manufacturing	112,512	115,157	119,528	120,849	121,743	123,669	124,997	128,557	2.8
Wholesale trade	87,969	88,762	89,233	89,772	89,952	90,357	86,597	87,655	1.2
Retail trade	236,686	239,618	241,515	243,400	256,830	266,428	270,138	274,023	1.4
Transportation and warehousing	64,324	67,828	70,823	71,886	75,352	85,409	97,365	101,602	4.4
Information	34,552	34,991	36,443	40,360	42,534	43,034	43,375	43,093	-0.7
Finance and insurance	156,637	169,057	170,820	177,359	177,294	186,890	197,245	208,932	5.9
Real estate and rental and leasing	140,165	144,203	141,900	143,449	147,475	150,088	153,578	157,950	2.8
Professional and technical services	147,914	149,206	150,249	155,781	159,770	166,665	173,861	178,610	2.7
Management of companies and enterprises	25,173	25,196	26,772	29,045	30,650	33,054	36,879	37,093	0.6
Administrative and waste services	188,442	193,957	199,619	212,434	217,994	223,834	232,544	234,475	0.8
Educational services	51,118	52,665	54,086	53,783	56,084	59,358	59,742	60,455	1.2
Health care and social assistance	221,117	228,897	236,434	242,939	249,923	262,824	273,735	285,335	4.2
Arts, entertainment, and recreation	45,043	45,842	47,743	48,967	52,827	53,544	55,516	57,962	4.4
Accommodation and food services	153,423	158,612	162,123	169,643	176,428	183,883	190,031	196,341	3.3
Other services, except public administration	104,807	111,370	114,135	116,830	121,754	127,497	127,840	128,737	0.7
Government and government enterprises	226,010	222,445	221,881	223,755	225,523	227,453	228,431	230,948	1.1
Total	2,128,883	2,181,411	2,226,306	2,289,203	2,352,447	2,439,161	2,517,532	2,586,307	2.7

Table IV.12 shows the real average earnings per job by industry for Maricopa County. These figures are calculated by dividing the total real earning displayed in Tables IV.10 and IV.11, by industry. In 2017, the utilities industry had the highest average earnings reaching \$157,460. Between 2016 and 2017 the farm industry saw the largest percentage increase, rising by 49.7% to \$73,880.

NAICS Categories	2010	2011	2012	2013	2014	2015	2016	2017	% Change 16-17
Farm earnings	35,696	54,225	49,482	54,910	59,271	50,272	49,352	73,880	49.7
Forestry, fishing, related activities, and other	21,224	24,042	25,359	24,692	21,535	24,230	23,060	23,322	1.1
Mining	42,595	47,431	44,619	47,993	67,076	65,858	66,282	69,315	4.6
Utilities	153,356	158,737	149,692	155,340	155,956	158,946	161,788	157,460	-2.7
Construction	62,147	58,450	57,697	59,270	58,548	60,951	62,122	67,033	7.9
Manufacturing	89,665	90,803	90,702	88,359	89,557	90,649	89,171	87,881	-1.4
Wholesale trade	85,689	86,659	90,993	86,450	86,113	88,472	93,907	96,087	2.3
Retail trade	36,979	39,672	40,395	39,026	39,955	39,186	38,357	38,218	-0.4
Transportation and warehousing	60,011	56,782	57,006	54,557	53,574	51,848	48,393	51,534	6.5
Information	72,711	71,964	75,306	78,733	85,461	86,379	89,404	84,925	-5
Finance and insurance	59,064	58,164	61,436	63,520	65,405	66,636	68,386	69,743	2
Real estate and rental and leasing	9,128	11,366	15,185	22,726	25,826	29,054	31,127	30,548	-1.9
Professional and technical services	70,749	73,252	74,367	72,650	72,596	73,775	73,411	73,673	0.4
Management of companies and enterprises	92,157	94,213	98,351	101,563	102,906	95,912	87,471	91,460	4.6
Administrative and waste services	43,116	42,637	42,535	42,713	43,395	44,061	43,417	44,871	3.3
Educational services	48,208	48,869	48,679	47,117	46,784	45,697	45,641	44,204	-3.1
Health care and social assistance	66,675	66,266	64,958	64,505	64,018	63,762	64,398	65,280	1.4
Arts, entertainment, and recreation	29,413	29,022	35,845	39,741	41,728	39,792	41,843	44,062	5.3
Accommodation and food services	28,427	28,764	29,818	29,450	27,478	27,627	27,556	29,391	6.7
Other services, except public administration	39,464	38,399	40,103	39,002	39,815	38,901	39,518	40,836	3.3
Government and government enterprises	75,976	74,684	73,820	74,584	73,760	74,856	75,471	75,883	0.5
Total	54,963	55,024	56,006	56,210	56,492	56,867	57,103	58,156	1.8

Table IV.13 shows total employment and real personal income for the years of 1969 to 2017. As can be seen in total real personal income in 2017, comprising all wage and salary earnings, proprietorship income, dividends, interest, rents, and transfer payments, was \$200,722,151,000, a 3.8% change between 2016 and 2017.

Diagram IV.4 shows real average earnings per job for Maricopa County from 1990 to 2017. Over this period the average earning per job for Maricopa County was \$53,059, which was higher than the statewide average of \$50,297 over the same period.

Diagram IV.5 shows real per capita income for the Maricopa County from 1990 to 2017, which is calculated by dividing total personal income from all sources by population. Per capita income is a broader measure of wealth than real average earnings per job, which only captures the working population. Over this period, the real per capita income for Maricopa County was \$40,598, which was higher than the statewide average of \$37,089 over the same period.

Table IV.13
Total Employment and Real Personal Income
 Maricopa County
 BEA Data 1969 Through 2017

Year	1,000s of 2017 Dollars						Per Capita Income	Total Employment	Average Real Earnings Per Job
	Earnings	Social Security Contributions	Residents Adjustments	Dividends, Interest, Rents	Transfer Payments	Personal Income			
1969	15,702,831	1,045,930	-22,193	3,649,013	1,426,086	19,709,807	20,836	409,651	38,332
1970	16,714,063	1,108,019	-20,300	4,137,144	1,614,022	21,336,909	21,772	430,590	38,819
1971	17,964,804	1,245,579	15	4,469,069	1,831,474	23,019,782	22,429	451,549	39,787
1972	19,979,243	1,474,594	21,616	4,811,338	2,018,867	25,356,470	23,321	493,167	40,511
1973	22,060,894	1,872,360	35,790	5,283,280	2,327,103	27,834,707	24,064	543,094	40,621
1974	22,391,018	1,934,881	18,513	5,688,008	2,629,010	28,791,669	23,648	559,503	40,020
1975	20,758,587	1,798,894	20,399	5,823,136	3,469,863	28,273,092	22,548	541,909	38,306
1976	22,439,106	1,942,054	1,325	6,013,624	3,516,243	30,028,244	23,460	571,481	39,264
1977	24,509,875	2,158,673	-5,663	6,407,960	3,502,224	32,255,723	24,254	623,552	39,307
1978	27,740,348	2,516,284	-15,769	7,157,169	3,648,498	36,013,962	25,930	698,014	39,741
1979	30,853,306	2,917,546	-25,498	7,820,242	3,844,564	39,575,068	27,164	760,016	40,595
1980	32,073,846	3,054,313	-62,950	8,902,940	4,254,112	42,113,634	27,692	788,917	40,655
1981	32,619,373	3,353,738	-31,102	10,183,538	4,592,290	44,010,360	28,104	809,950	40,274
1982	32,308,899	3,377,237	-25,381	10,527,980	4,798,057	44,232,319	27,441	816,619	39,564
1983	34,581,743	3,670,556	-37,942	11,384,502	5,034,672	47,292,419	28,422	864,336	40,009
1984	38,650,305	4,193,072	-47,696	12,589,399	5,243,710	52,242,646	30,077	956,622	40,403
1985	42,412,508	4,683,641	-62,627	13,706,756	5,553,560	56,926,555	31,129	1,040,734	40,752
1986	45,890,752	5,100,545	-44,416	14,624,335	6,036,772	61,406,897	32,227	1,093,882	41,951
1987	48,577,334	5,350,192	-13,555	15,332,862	6,428,634	64,975,083	32,628	1,136,180	42,755
1988	51,057,750	5,787,404	7,303	15,567,107	6,813,434	67,658,189	33,030	1,183,972	43,123
1989	51,174,822	5,948,020	45,270	17,175,340	7,542,076	69,989,487	33,300	1,205,555	42,450
1990	51,964,140	6,214,067	54,532	16,853,150	7,993,857	70,651,612	33,135	1,224,916	42,422
1991	53,010,089	6,369,024	67,317	15,913,383	8,600,766	71,222,531	32,400	1,221,145	43,409
1992	55,802,797	6,644,312	95,327	15,425,204	9,523,881	74,202,897	32,651	1,229,229	45,396
1993	58,781,939	7,005,203	81,610	15,881,968	9,995,522	77,735,836	32,940	1,284,670	45,756
1994	63,719,575	7,606,771	63,048	17,628,913	10,419,788	84,224,554	34,029	1,369,257	46,536
1995	68,761,359	7,884,108	10,198	19,057,544	10,927,573	90,872,566	34,976	1,458,313	47,151
1996	75,074,207	8,770,116	-22,920	20,044,267	11,397,098	97,722,535	36,152	1,562,087	48,060
1997	81,047,601	9,342,976	-168,452	22,168,697	11,675,913	105,380,783	37,568	1,649,120	49,146
1998	89,984,472	10,185,106	-383,711	23,394,833	11,884,315	114,694,804	39,427	1,740,169	51,710
1999	95,618,533	10,801,318	-524,992	23,418,669	12,454,465	120,165,356	39,988	1,806,890	52,919
2000	103,596,335	11,650,271	-810,566	24,983,300	12,925,416	129,044,215	41,732	1,879,111	55,131
2001	103,348,319	11,848,527	-729,830	24,008,105	14,313,278	129,091,346	40,646	1,898,173	54,446
2002	104,499,527	11,969,375	-687,831	24,012,190	15,710,181	131,564,693	40,414	1,909,461	54,727
2003	107,366,057	12,134,749	-682,101	25,114,892	16,816,074	136,480,174	41,004	1,958,673	54,816
2004	115,937,468	12,886,526	-915,653	26,148,237	18,025,132	146,308,658	42,807	2,044,219	56,715
2005	125,088,532	13,776,562	-1,383,872	29,261,568	19,343,389	158,533,054	44,797	2,176,754	57,466
2006	135,700,761	14,719,104	-2,028,665	32,578,614	20,469,311	172,000,917	47,215	2,291,199	59,227
2007	137,010,198	15,066,754	-2,109,541	34,162,972	21,598,111	175,594,986	47,305	2,344,210	58,446
2008	130,257,041	14,740,951	-2,678,144	32,022,017	24,890,604	169,750,567	45,014	2,295,284	56,750
2009	118,210,077	13,784,198	-2,289,209	27,660,527	27,677,882	157,475,080	41,400	2,165,288	54,593
2010	117,009,581	13,749,087	-2,316,983	27,102,354	30,179,574	158,225,439	41,370	2,128,883	54,963
2011	120,029,658	12,508,738	-2,285,314	28,694,094	29,553,961	163,483,661	42,248	2,181,411	55,024
2012	124,686,319	12,784,561	-2,268,586	31,523,102	28,991,667	170,147,940	43,187	2,226,306	56,006
2013	128,676,781	14,805,066	-2,369,935	30,517,507	29,443,637	171,462,925	42,798	2,289,203	56,211
2014	132,895,039	15,124,577	-2,363,708	33,399,969	30,529,848	179,336,571	43,990	2,352,447	56,492
2015	138,707,963	15,884,908	-2,566,004	36,369,966	31,374,068	188,001,085	45,257	2,439,161	56,867
2016	143,758,493	16,437,683	-2,787,484	37,155,860	31,718,795	193,407,983	45,686	2,517,532	57,103
2017	150,408,267	17,145,220	-3,127,153	38,207,610	32,378,647	200,722,151	46,603	2,586,307	58,155

Diagram IV.4
Real Average Earnings

Maricopa County
BEA Data 1990 - 2017

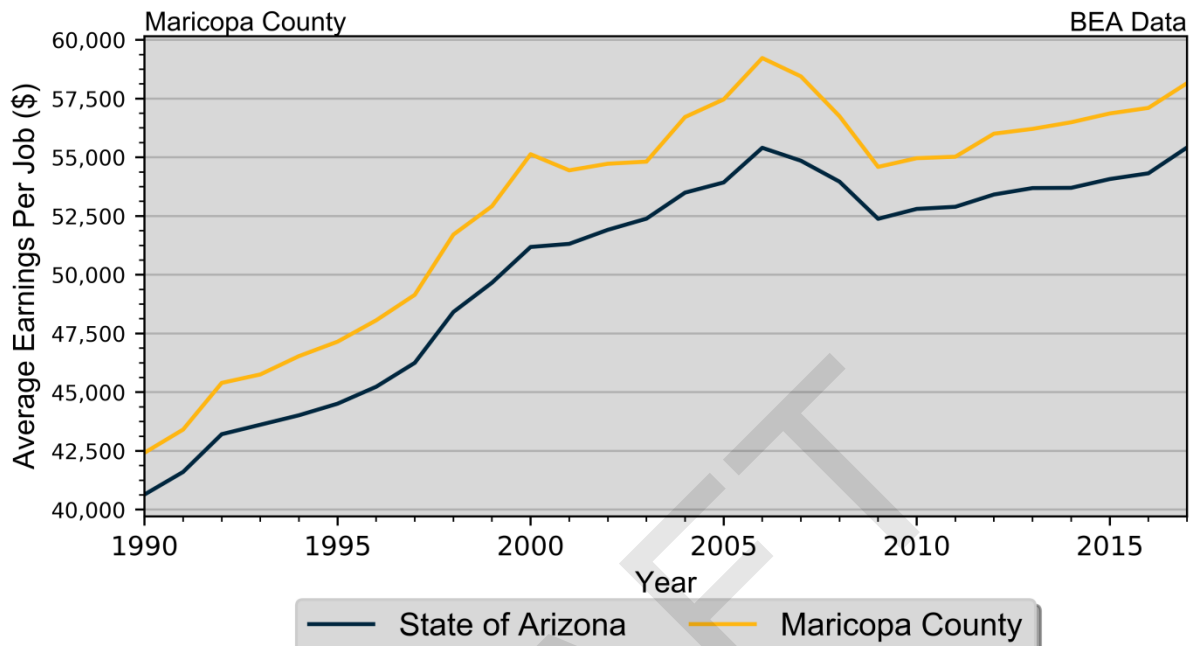
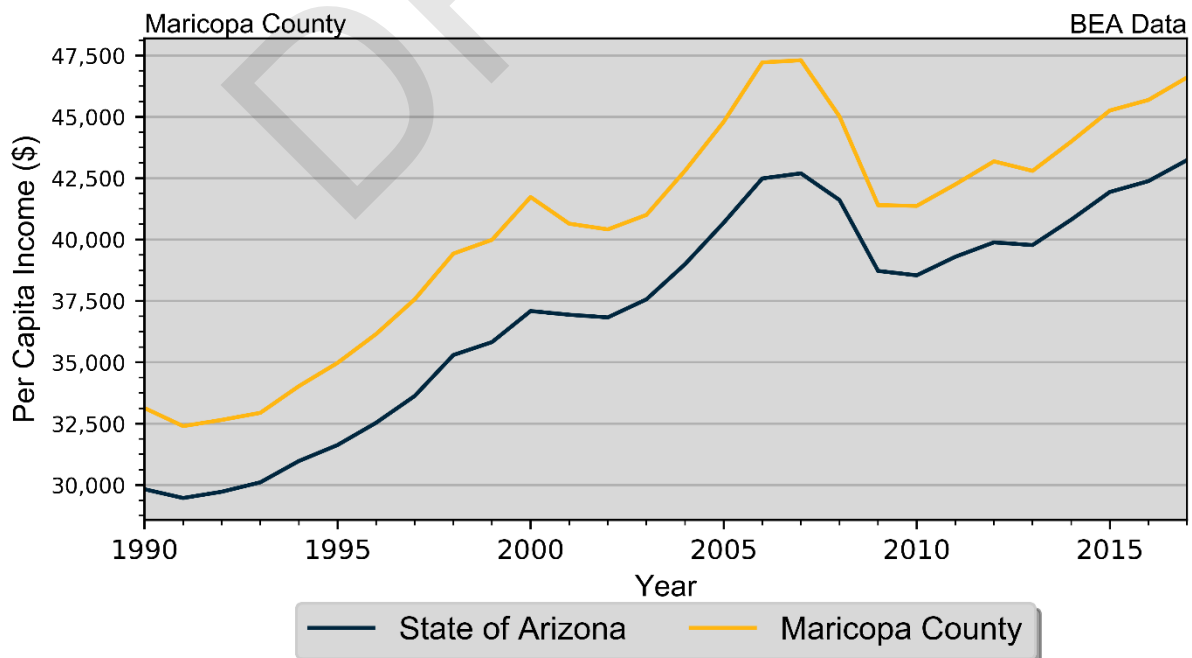


Diagram IV.5
Real per Capita Income

Maricopa County
BEA Data 1990 - 2017



Quarterly Census of Employment and Wages

The BLS produces the Quarterly Census of Employment and Wages (QCEW), which reports monthly data on employment and quarterly data on wages and number of business establishments. QCEW employment data represent only filled jobs, whether full or part-time, temporary or permanent, by place of work during the pay period. If data do not meet BLS or State agency disclosure standards they are displayed as (ND) and not disclosed. Data from this series are from the period of January 2010 through December 2017 and are presented in Table IV.14. Between 2016 and 2017, total annual employment increased from 1,871,953 persons in 2016 to 1,927,372 in 2017, a change of 3%.

Table IV.14 Total Monthly Employment Maricopa County BLS QCEW Data, 2001–2018(p)								
Period	2010	2011	2012	2013	2014	2015	2016	2017
Jan	1,591,307	1,602,646	1,643,448	1,684,487	1,732,448	1,783,681	1,842,968	1,893,254
Feb	1,598,838	1,613,327	1,655,920	1,700,870	1,744,031	1,799,497	1,860,905	1,909,372
Mar	1,609,077	1,623,087	1,667,721	1,710,345	1,751,077	1,805,024	1,866,801	1,917,845
Apr	1,618,741	1,635,098	1,668,028	1,714,839	1,756,366	1,814,282	1,874,858	1,927,571
May	1,622,543	1,633,939	1,667,612	1,714,733	1,750,108	1,812,398	1,868,139	1,923,147
Jun	1,567,575	1,593,347	1,636,794	1,680,045	1,717,894	1,777,360	1,830,806	1,893,820
Jul	1,536,268	1,565,296	1,597,133	1,647,285	1,686,812	1,753,699	1,809,040	1,859,721
Aug	1,587,108	1,615,729	1,659,825	1,709,351	1,746,872	1,811,232	1,867,466	1,920,230
Sep	1,597,531	1,637,377	1,675,365	1,721,630	1,757,992	1,825,516	1,887,707	1,939,490
Oct	1,621,019	1,650,892	1,692,264	1,742,325	1,785,306	1,857,202	1,904,107	1,963,983
Nov	1,638,325	1,671,245	1,714,975	1,767,750	1,810,497	1,880,796	1,923,067	1,987,211
Dec	1,644,592	1,677,772	1,722,654	1,774,241	1,823,103	1,884,247	1,927,570	1,992,822
Average	1,602,744	1,626,646	1,666,812	1,713,992	1,755,209	1,817,078	1,871,953	1,927,372
% Change	-1.60%	1.50%	2.50%	2.80%	2.40%	3.50%	3%	3%

The QCEW also reports average weekly wages, which represents total compensation paid during the calendar quarter, regardless of when services were performed. The BLS QCEW data indicated average weekly wages were \$982 in 2016. In 2017, average weekly wages saw an increase of 3.0% over the prior year, rising to \$1,011, or by \$29. These data are shown in Table IV.15.

Table IV.15 Average Weekly Wages Maricopa County BLS QCEW Data, 2001–2018(p)						
Year	First Quarter	Second Quarter	Third Quarter	Fourth Quarter	Annual	% Change
2001	684	678	671	712	686	
2002	691	690	676	728	696	1.5%
2003	697	708	698	757	715	2.7%
2004	734	731	731	801	750	4.9%
2005	744	760	788	818	778	3.7%
2006	821	795	791	857	816	4.9%
2007	855	828	821	874	845	3.6%
2008	865	845	835	893	859	1.7%
2009	854	846	838	927	866	0.8%
2010	846	858	859	937	875	1%
2011	892	882	905	932	903	3.2%
2012	944	905	886	964	925	2.4%
2013	946	919	898	952	929	0.4%
2014	977	931	915	974	950	2.3%
2015	986	948	929	1,016	970	2.1%
2016	971	969	996	993	982	1.2%
2017	1,049	986	987	1,023	1,011	3.0%

Total business establishments reported by the QCEW are displayed in Table IV.16. Between 2016 and 2017, the total number of business establishments in Arizona increased by 2.6%, from 93,915 to 96,333 establishments. The most recent 2017 estimates show there were 98,333 business establishments in the fourth quarter of 2017.

Table IV.16 Number of Business Establishments Maricopa County BLS QCEW Data, 2001–2018(p)						
Year	First Quarter	Second Quarter	Third Quarter	Fourth Quarter	Annual	% Change
2001	73,803	74,701	75,726	77,234	75,366	
2002	75,500	76,103	77,139	78,226	76,742	1.8%
2003	79,120	79,767	80,604	81,413	80,226	4.5%
2004	81,627	80,340	80,599	81,482	81,012	1%
2005	82,935	84,066	85,348	87,994	85,086	5%
2006	89,491	91,083	92,675	94,872	92,030	8.2%
2007	95,781	97,875	98,848	100,725	98,307	6.8%
2008	99,427	100,485	101,627	103,227	101,192	2.9%
2009	94,076	94,047	93,945	94,868	94,234	-6.9%
2010	92,623	92,440	93,378	94,639	93,270	-1%
2011	92,510	93,371	94,675	96,180	94,184	1%
2012	94,712	95,055	95,411	94,914	95,023	0.9%
2013	90,950	91,285	91,467	92,988	91,673	-3.5%
2014	92,517	92,840	93,552	94,881	93,448	1.9%
2015	91,674	93,063	94,048	94,941	93,432	0.0%
2016	92,654	93,427	94,210	95,369	93,915	0.5%
2017	94,404	95,638	96,677	98,612	96,333	2.6%

Poverty

Poverty is the condition of having insufficient resources or income. In its extreme form, poverty is a lack of basic human needs, such as adequate and healthy food, clothing, housing, water, and health services. According to the Census Bureau's Small Area Income and Poverty Estimates Program, the number of individuals in poverty decreased from 625,090 in 2010 to 570,402 in 2017, with the poverty rate reaching 13.5% in 2017. This compared to a state poverty rate of 14.9% and a national rate of 13.4% in 2017. Table IV.17, at right, presents poverty data for the county.

The rate of poverty for Maricopa County HOME Consortium is shown in Table IV.18. In 2017, there were an estimated 243,767 people (11.8%) living in poverty, compared to 8.6% living in poverty in 2000. In 2017, some 10.6% of those in poverty were under age 6 and 10.3% were 65 or older.

Table IV.17 Persons in Poverty Maricopa County 2000–2017 SAIE Estimates		
Year	Persons in Poverty	Poverty Rate
2000	322,120	10.2%
2001	362,057	11.1%
2002	400,631	11.9%
2003	441,835	12.8%
2004	479,545	13.3%
2005	450,439	12.6%
2006	464,168	12.5%
2007	495,505	12.9%
2008	521,208	13.4%
2009	599,393	15.1%
2010	625,090	16.6%
2011	665,193	17.4%
2012	675,704	17.4%
2013	696,086	17.6%
2014	687,643	17.1%
2015	667,637	16.3%
2016	624,923	15%
2017	570,402	13.5%

Table IV.18 Poverty by Age Maricopa County HOME Consortium 2000 Census SF3 & 2017 Five-Year ACS Data				
Age	2000 Census		2017 Five-Year ACS	
	Persons in Poverty	% of Total	Persons in Poverty	% of Total
Under 6	13,732	11.9%	25,804	10.6%
6 to 17	22,855	19.8%	49,235	20.2%
18 to 64	67,312	58.4%	143,676	58.9%
65 or Older	11,418	9.9%	25,052	10.3%
Total	115,317	100.0%	243,767	100.0%
Poverty Rate	8.6%	.	11.8%	.

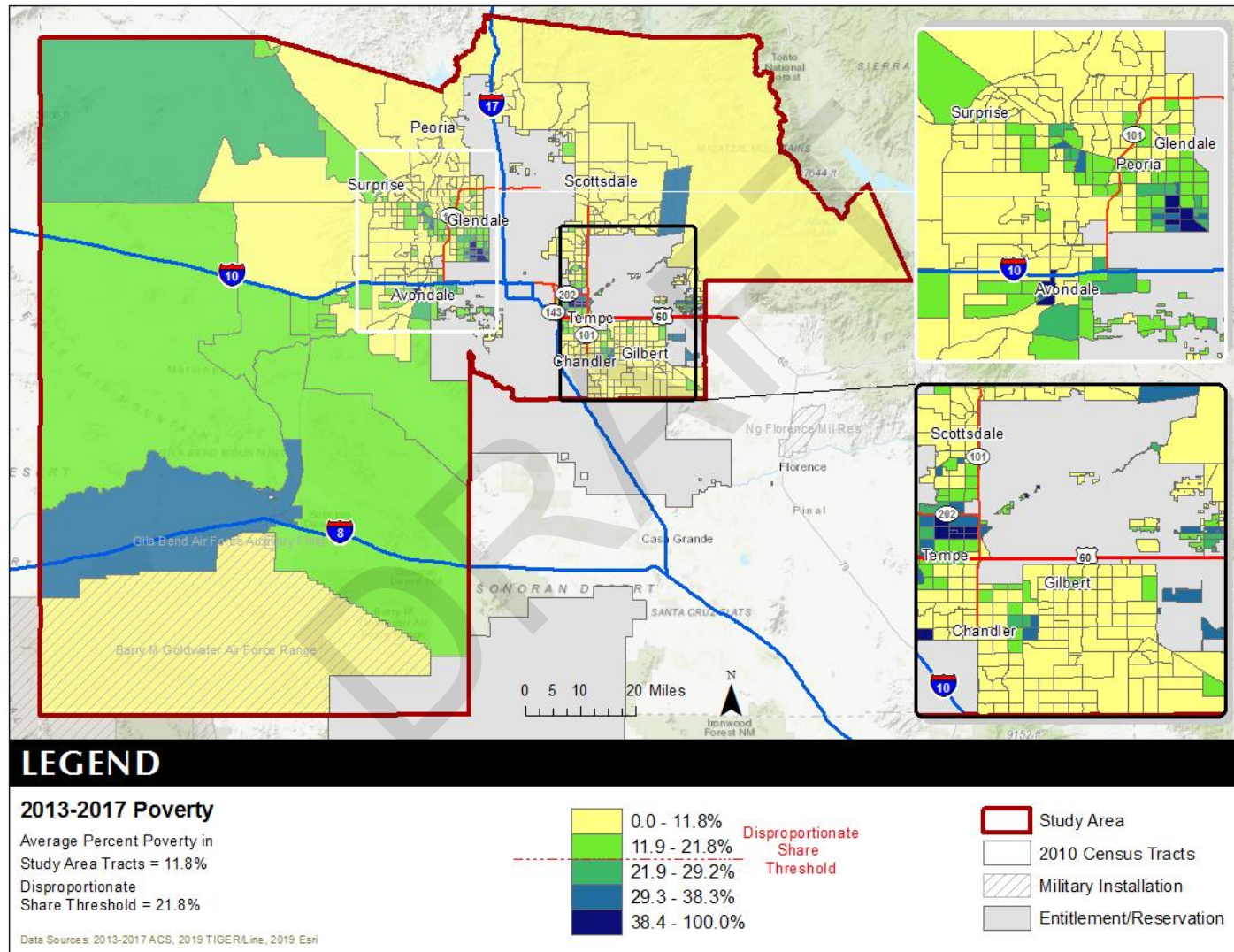
The concentration of poverty is shown in Map IV.9. The highest rates of poverty in the Maricopa County HOME Consortium are seen in the areas adjacent to the Gila River Indian Reservation and the Salt River Reservation, as well as in the cities of Glendale and Peoria, and the western rural parts of the County. Some of these census tracts saw areas with poverty rates that exceeded 38.4%, compared to a study area poverty rate of 11.8%.

Elderly poverty is shown in Map IV.10. The location of elderly poverty does not correspond with the location of poverty as a whole. The highest rates of elderly poverty are seen in Tempe, Scottsdale, Surprise, and the northeastern portion of the rural County.

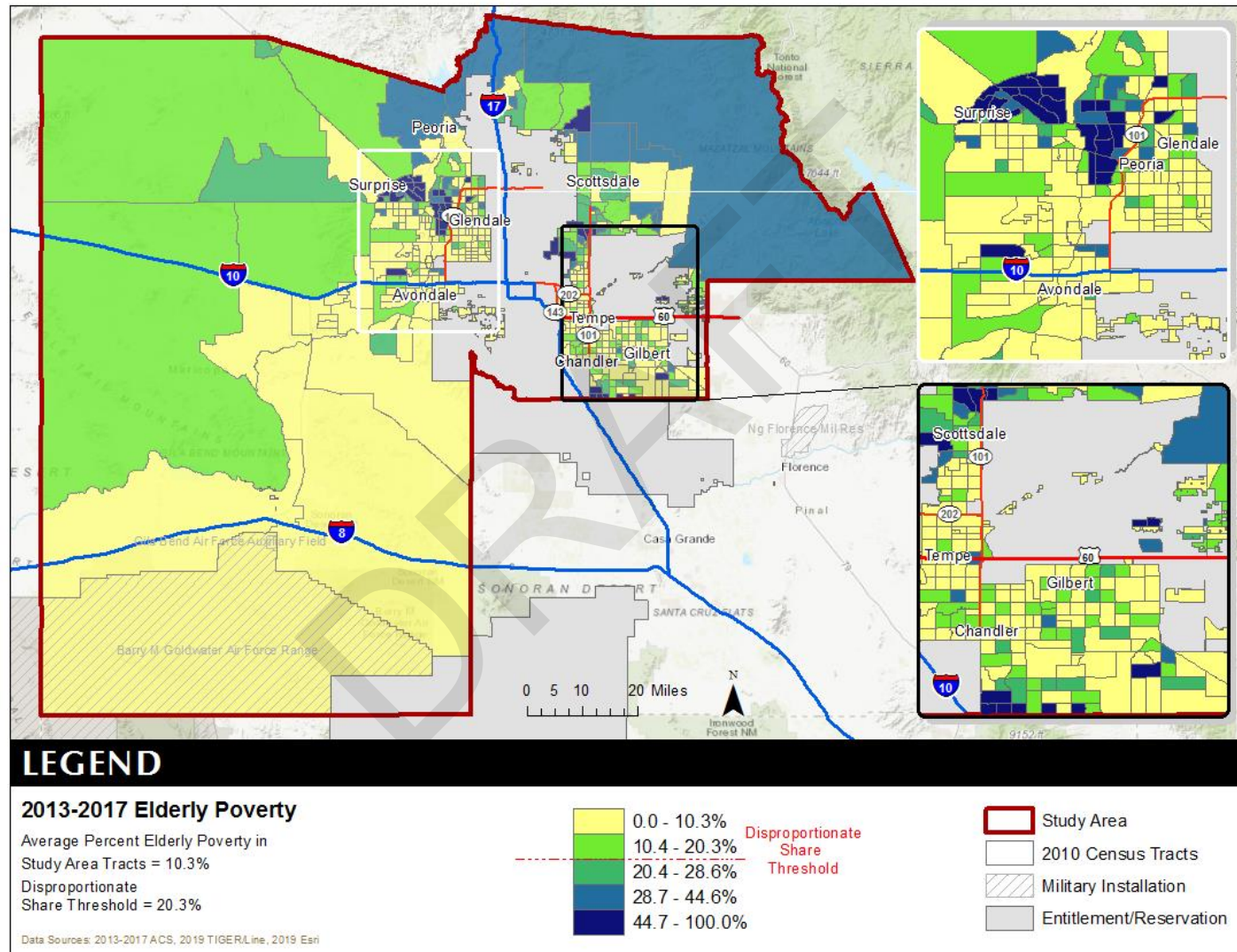
Summary

In 2018, unemployment in the Maricopa County HOME Consortium was at 4.1%, compared to 4.8% for the State of Arizona. This is representative of a labor force of 1,136,431 people and 1,090,334 people employed. Real per capita income in Maricopa County has remained higher than the state rate in recent years. However, poverty has grown to 11.8%, representing 243,767 persons living in poverty in the HOME Consortium.

Map IV.9
2017 Poverty
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Map IV.10
2017 Elderly Poverty
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



HOUSING

The Census Bureau estimates that the total number of housing units increased by 6.1% in Maricopa County HOME Consortium between 2010 and 2017, from 1,639,279 to 1,739,085. This compared to an estimated 5.5% increase statewide, as shown in Table IV.19.

Housing Production

The Census Bureau reports building permit authorizations and “per unit” valuation of building permits by county annually. Single-family building permit authorizations in Maricopa County HOME Consortium increased from 11,813 authorizations in 2017 to 12,679 in 2018.

The real value of single-family building permits increased from \$270,406 in 2017 to \$289,795 in 2018. This compares to an increase in permit value statewide, with values rising from \$259,218 in 2017 to \$259,708 in 2018. Additional details are given in Table IV.20 as well as in Diagram IV.6 and Diagram IV.7. As seen below, while single family unit production decreased beginning in the recession, the value of single-family permits has continued to rise.

Diagram IV.6
Single-Family Permits

Maricopa County HOME Consortium
Census Bureau Data, 1980–2017

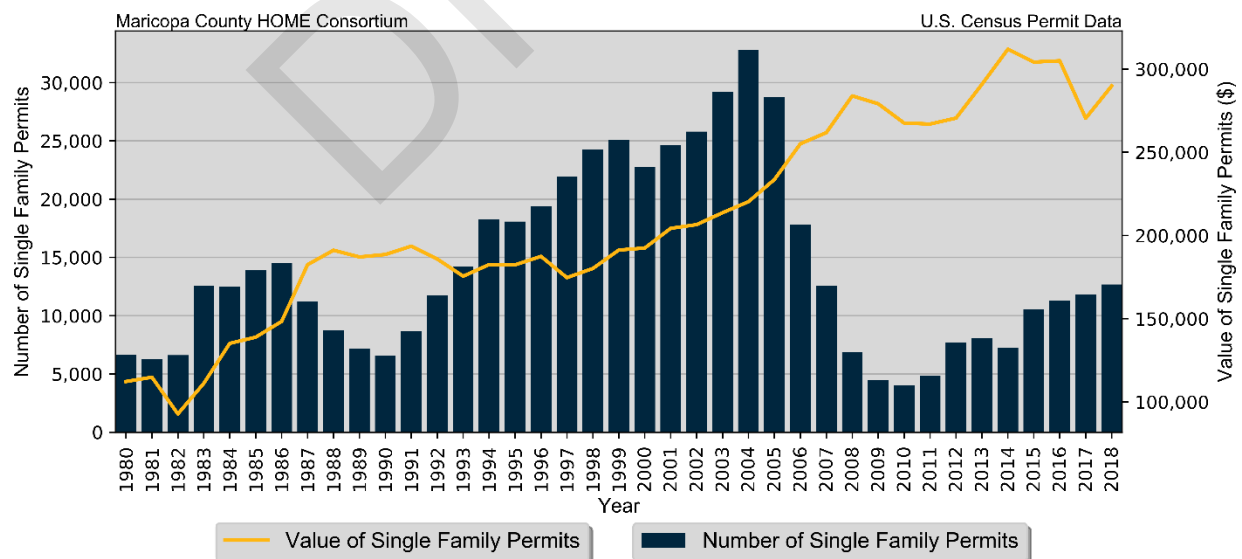


Table IV.19
Housing Units

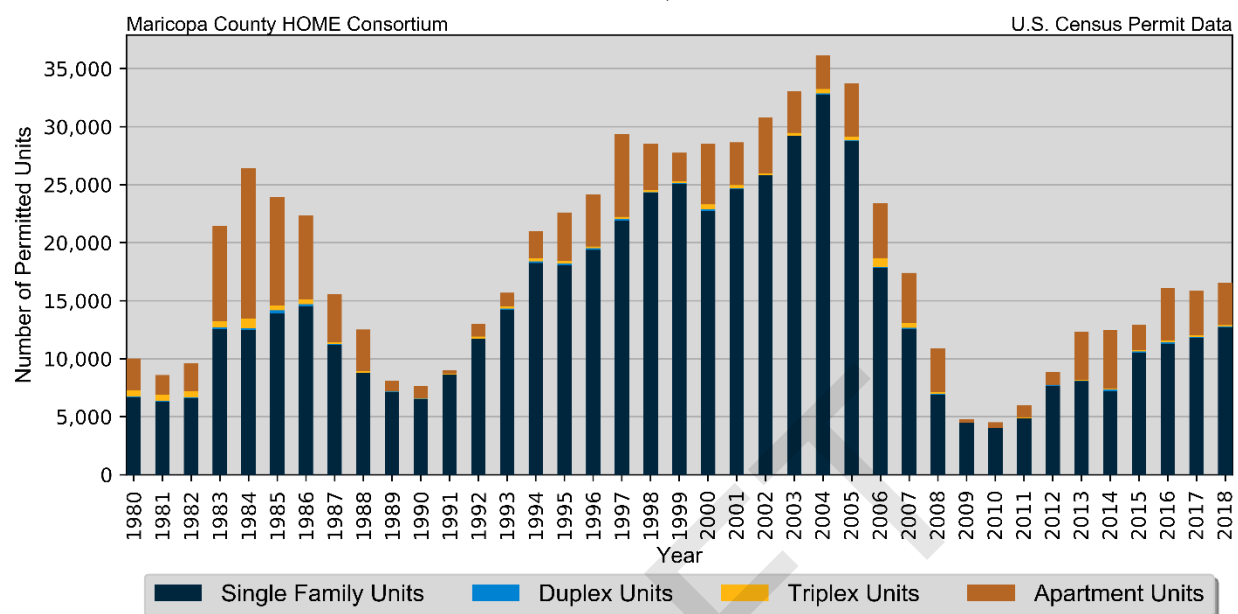
State of Arizona vs. Maricopa County HOME Consortium
2000 and 2018 Census Data and Intercensal Estimates

Subject	Arizona	% Growth Since Census	Maricopa County HOME Consortium	% Growth Since Census
2000 Census Base	2,188,939	.	1,250,368	.
2010 Census	2,844,526	29.9%	1,639,279	31.1%
July 2011 Estimate	2,860,024	0.5%	1,647,237	0.5%
July 2012 Estimate	2,872,724	1%	1,654,666	0.9%
July 2013 Estimate	2,891,278	1.6%	1,666,239	1.6%
July 2014 Estimate	2,914,141	2.4%	1,681,345	2.6%
July 2015 Estimate	2,937,060	3.3%	1,695,415	3.4%
July 2016 Estimate	2,966,587	4.3%	1,716,195	4.7%
July 2017 Estimate	3,000,043	5.5%	1,739,085	6.1%

Table IV.20
Building Permits and Valuation
 Maricopa County HOME Consortium
 Census Bureau Data, 1980–2018

Year	Authorized Construction in Permit Issuing Areas					Per Unit Valuation, (Real 2017\$)	
	Single-Family	Duplex Units	Tri- and Four-Plex	Multi-Family Units	Total Units	Single-Family Units	Multi-Family Units
1980	6,653	112	520	2,732	10,017	112,220	53,262
1981	6,282	90	512	1,717	8,601	114,800	43,787
1982	6,618	64	531	2,395	9,608	92,727	60,090
1983	12,542	148	567	8,167	21,424	111,151	54,352
1984	12,471	134	837	12,971	26,413	135,141	59,861
1985	13,884	290	429	9,343	23,946	138,863	65,716
1986	14,511	196	388	7,281	22,376	148,327	60,509
1987	11,202	54	144	4,184	15,584	182,423	104,389
1988	8,757	50	139	3,573	12,519	191,096	108,756
1989	7,153	4	40	902	8,099	187,059	91,826
1990	6,547	6	32	1,071	7,656	188,544	79,289
1991	8,649	6	56	330	9,041	193,555	128,255
1992	11,718	22	174	1,113	13,027	185,817	98,784
1993	14,244	72	163	1,208	15,687	175,495	92,787
1994	18,238	150	270	2,357	21,015	182,486	95,957
1995	18,075	128	253	4,157	22,613	182,318	88,413
1996	19,385	142	138	4,485	24,150	187,405	87,935
1997	21,927	108	202	7,144	29,381	174,632	79,066
1998	24,293	62	179	4,013	28,547	180,150	71,304
1999	25,094	52	166	2,443	27,755	191,217	90,263
2000	22,736	124	438	5,250	28,548	192,433	85,887
2001	24,643	74	240	3,702	28,659	204,258	93,658
2002	25,804	34	155	4,784	30,777	206,491	85,002
2003	29,209	2	263	3,606	33,080	213,647	90,624
2004	32,796	72	380	2,864	36,112	220,276	94,036
2005	28,729	144	264	4,624	33,761	233,624	97,224
2006	17,805	118	771	4,735	23,429	255,067	146,236
2007	12,584	78	420	4,319	17,401	261,760	119,261
2008	6,883	88	135	3,783	10,889	283,858	115,327
2009	4,476	0	4	300	4,780	279,106	183,131
2010	4,017	4	0	500	4,521	267,513	192,695
2011	4,868	16	47	1,041	5,972	266,948	100,631
2012	7,678	78	7	1,071	8,834	270,499	124,904
2013	8,065	58	49	4,159	12,331	290,805	144,074
2014	7,222	108	62	5,057	12,449	311,899	120,757
2015	10,523	102	124	2,198	12,947	304,179	150,836
2016	11,298	158	99	4,518	16,073	304,947	123,734
2017	11,813	84	108	3,880	15,885	270,406	147,803
2018	12,679	98	114	3,652	16,543	289,795	159,271

Diagram IV.7
Total Permits by Unit Type
 Maricopa County HOME Consortium
 Census Bureau Data, 1980–2017



Housing Characteristics

Households by type and tenure are shown in Table IV.21. Family households represented 66.9% of households, while non-family households accounted for 33.1%. These changed from 67.4 and 32.6%, respectively.

Table IV.21
Household Type by Tenure
 Maricopa County HOME Consortium
 2010 Census SF1 & 2017 Five-Year ACS Data

Household Type	2010 Census		2017 Five-Year ACS	
	Households	Households	Households	% of Total
Family Households	493,184	67.4%	515,964	66.9%
Married-Couple Family	378,689	76.8%	399,196	77.4%
Owner-Occupied	311,291	82.2%	316,314	79.2%
Renter-Occupied	67,398	17.8%	82,882	20.8%
Other Family	114,495	23.2%	116,768	22.2%
Male Householder, No Spouse Present	36,379	31.8%	36,370	31.2%
Owner-Occupied	20,353	55.9%	18,793	51.7%
Renter-Occupied	16,026	44.1%	17,577	48.3%
Female Householder, No Spouse Present	78,116	68.2%	80,398	66.9%
Owner-Occupied	40,583	52%	38,509	47.9%
Renter-Occupied	37,533	48%	41,889	52.1%
Non-Family Households	238,219	32.6%	254,879	33.1%
Owner-Occupied	136,792	57.4%	138,912	54.5%
Renter-Occupied	101,427	42.6%	115,967	45.5%
Total	731,403	100.0%	770,843	100.0%

Table IV.22, below, shows housing units by type in 2010 and 2017. In 2010, there were 808,960 housing units, compared with 884,838 in 2017. Single-family units accounted for 75.6% of units in 2017, compared to 75.6 in 2010. Apartment units accounted for 16.3% in 2017, compared to 15.6% in 2010.

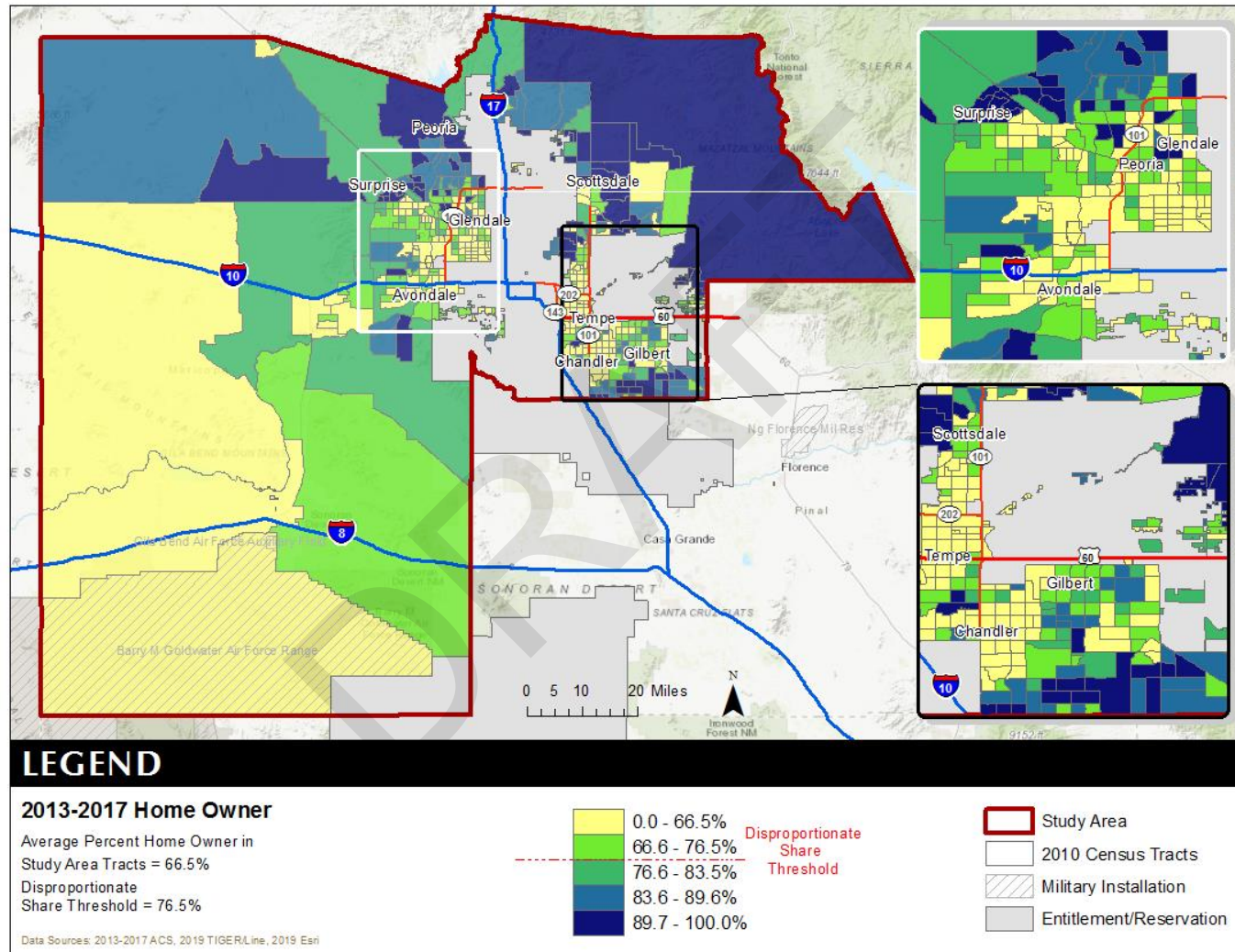
Table IV.22 Housing Units by Type Maricopa County HOME Consortium 2010 & 2017 Five-Year ACS Data				
Unit Type	2010 Five-Year ACS		2017 Five-Year ACS	
	Units	% of Total	Units	% of Total
Single-Family	611,853	75.6%		75.6%
Duplex	6,657	0.8%	5,953	0.7%
Tri- or Four-Plex	24,594	3%	25,286	2.9%
Apartment	126,110	15.6%	144,502	16.3%
Mobile Home	38,297	4.7%	39,036	4.4%
Boat, RV, Van, Etc.	1,449	0.2%	1,287	0.1%
Total	808,960	100.0%	884,838	100.0%

Table IV.23 shows housing units by tenure from 2010 to 2017. By 2017, there were 884,838 housing units. An estimated 66.5% were owner-occupied, and 12.9% were vacant.

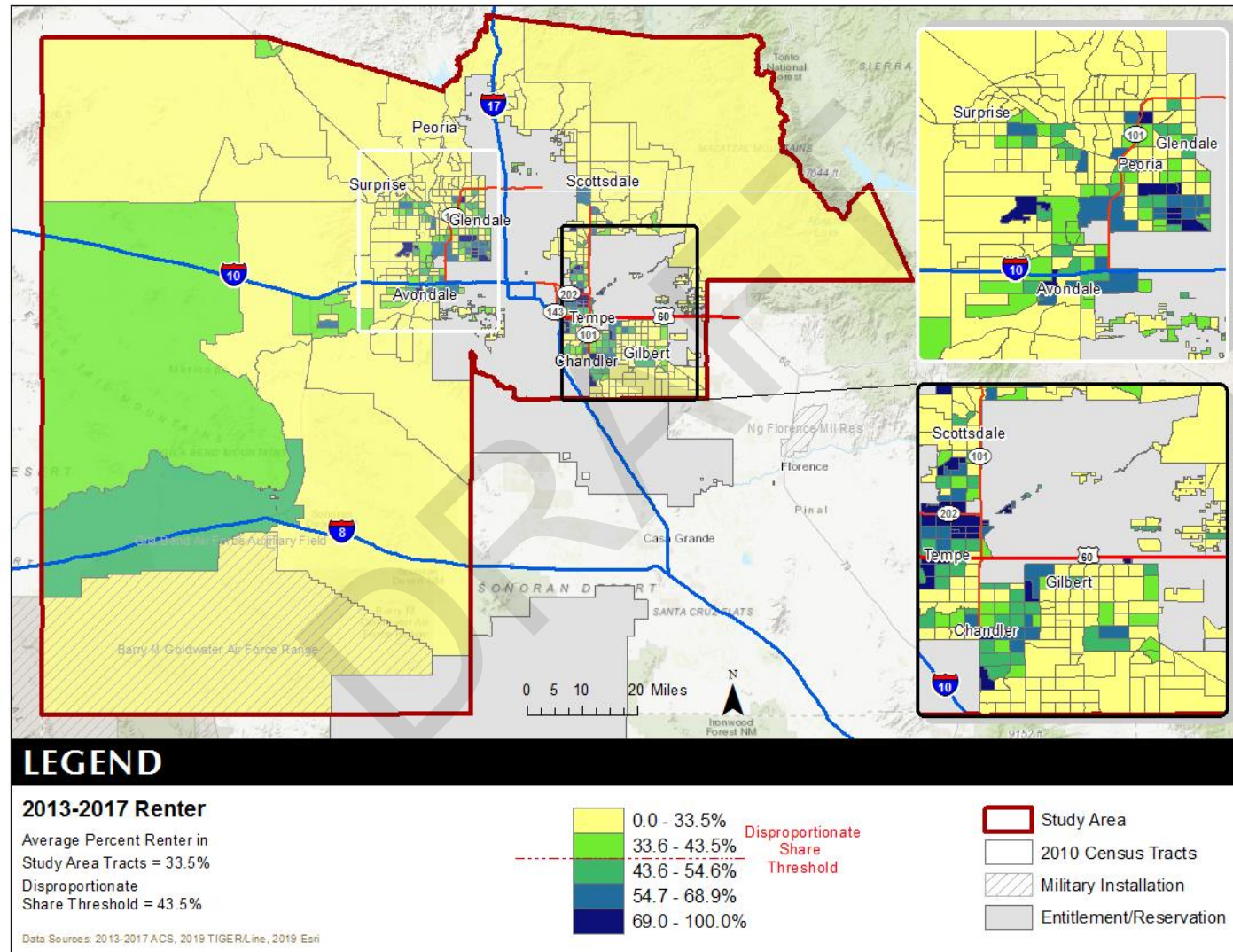
Table IV.23 Housing Units by Tenure Maricopa County HOME Consortium 2010 Census & 2017 Five-Year ACS Data				
Tenure	2010 Census		2017 Five-Year ACS	
	Units	% of Total	Units	% of Total
Occupied Housing Units	731,403	86.3%	770,843	87.1%
Owner-Occupied	509,019	69.6%	512,528	66.5%
Renter-Occupied	222,384	30.4%	258,315	33.5%
Vacant Housing Units	116,554	13.7%	113,995	12.9%
Total Housing Units	847,957	100.0%	884,838	100.0%

The concentration of homeowner households are shown in Map IV.11. The highest rates of homeownership were seen in the more rural parts of the County, with some areas exceeding 89.2% homeownership rates. In the more urban parts of the County, homeownership rates were lower than 69.7%. Renter concentrations were, conversely, higher in more urban areas of the County, primarily in areas adjacent to the Cities of Phoenix and Mesa. This is shown in Map IV.12.

Map IV.11
2017 Homeowner Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Map IV.12
2017 Renter Households
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Households by income for the 2010 and 2017 5-year ACS are shown in Table IV.24. Households earning more than \$100,000 per year represented 30.2% of households in 2017, compared to 26% in 2010. Meanwhile, households earning less than \$15,000 accounted for 8.9% of households in 2017, compared to 8.6% in 2010.

Table IV.24 Households by Income Maricopa County HOME Consortium 2010 & 2017 Five-Year ACS Data				
Income	2010 Five-Year ACS		2017 Five-Year ACS	
	Households	% of Total	Households	% of Total
Less than \$15,000	60,210	8.6%	68,439	8.9%
\$15,000 to \$19,999	27,925	4%	27,792	3.6%
\$20,000 to \$24,999	30,129	4.3%	31,927	4.1%
\$25,000 to \$34,999	64,695	9.2%	65,668	8.5%
\$35,000 to \$49,999	97,127	13.9%	98,372	12.8%
\$50,000 to \$74,999	139,141	19.9%	141,611	18.4%
\$75,000 to \$99,999	99,038	14.1%	104,136	13.5%
\$100,000 or More	182,126	26%	232,898	30.2%
Total	700,391	100.0%	770,843	100.0%

Table IV.25 shows households by year home built for the 2010 and 2017 5-year ACS data. Housing units built between 2000 and 2009, account for 29.4% of households in 2010 and 30.7% of households in 2017. Housing units built in 1939 or earlier represented 0.4% of households in 2017 and 0.4% of households in 2010.

Table IV.25 Households by Year Home Built Maricopa County HOME Consortium 2010 & 2017 Five-Year ACS Data				
Year Built	2010 Five-Year ACS		2017 Five-Year ACS	
	Households	% of Total	Households	% of Total
1939 or Earlier	2,718	0.4%	3,152	0.4%
1940 to 1949	4,517	0.6%	4,185	0.5%
1950 to 1959	21,265	3%	20,502	2.7%
1960 to 1969	42,299	6%	43,489	5.6%
1970 to 1979	109,055	15.6%	111,653	14.5%
1980 to 1989	129,539	18.5%	127,500	16.5%
1990 to 1999	185,158	26.4%	186,079	24.1%
2000 to 2009	205,840	29.4%	236,593	30.7%
2010 or Later	.	.	37,690	4.9%
Total	700,391	100.0%	770,843	100.0%

The distribution of unit types by race are shown in Table IV.26. An estimated 78.7% of white households occupy single-family homes, while 58.8% of Black or African American households do. Some 14% of White households occupied apartments, while 32.7% of Black or African American households do. An estimated 73.4% of Asian, and 66.1% of American Indian households occupy single-family homes.

Table IV.26
Distribution of Units in Structure by Race
 Maricopa County HOME Consortium
 2017 Five-Year ACS Data

Unit Type	White	Black/African American	American Indian	Asian	Native Hawaiian/Pacific Islanders	Other	Two or More Races
Single-Family	78.7%	58.8%	66.1%	73.4%	67%	68.2%	71.3%
Duplex	0.6%	1.3%	1.6%	0.6%	0.3%	0.7%	1.3%
Tri- or Four-Plex	2.5%	5.6%	3.4%	3.8%	2.2%	4.3%	3.4%
Apartment	14%	32.7%	24%	21.3%	24.5%	21.5%	20.9%
Mobile Home	4%	1.6%	4.8%	0.9%	6%	5.2%	2.6%
Boat, RV, Van, Etc.	0.2%	0%	0.2%	0%	0%	0%	0.5%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

The disposition of vacant units between 2010 and 2017 are shown in Table IV.27. An estimated 26.7% of vacant units were for rent in 2010. In addition, some 18.7% of vacant units were for sale. “Other” vacant units represented 15.5% of vacant units in 2010. “Other” vacant units are not for sale or rent, or otherwise available to the marketplace. These units may be problematic if concentrated in certain areas and may create a “blighting” effect.

By 2017, for rent units accounted for 17.4% of vacant units, while for sale units accounted for 10.7%. “Other” vacant units accounted for 15.1% of vacant units, representing a total of 17,268 “other” vacant units.

Table IV.27
Disposition of Vacant Housing Units
 Maricopa County HOME Consortium
 2010 Census & 2017 Five-Year ACS Data

Disposition	2010 Census		2017 Five-Year ACS	
	Units	% of Total	Units	% of Total
For Rent	31,138	26.7%	19,827	17.4%
For Sale	21,772	18.7%	12,171	10.7%
Rented Not Occupied	1,468	1.3%	3,922	3.4%
Sold Not Occupied	3,620	3.1%	6,306	5.5%
For Seasonal, Recreational, or Occasional Use	40,414	34.7%	54,392	47.7%
For Migrant Workers	76	0.1%	109	0.1%
Other Vacant	18,066	15.5%	17,268	15.1%
Total	116,554	100.0%	113,995	100.0%

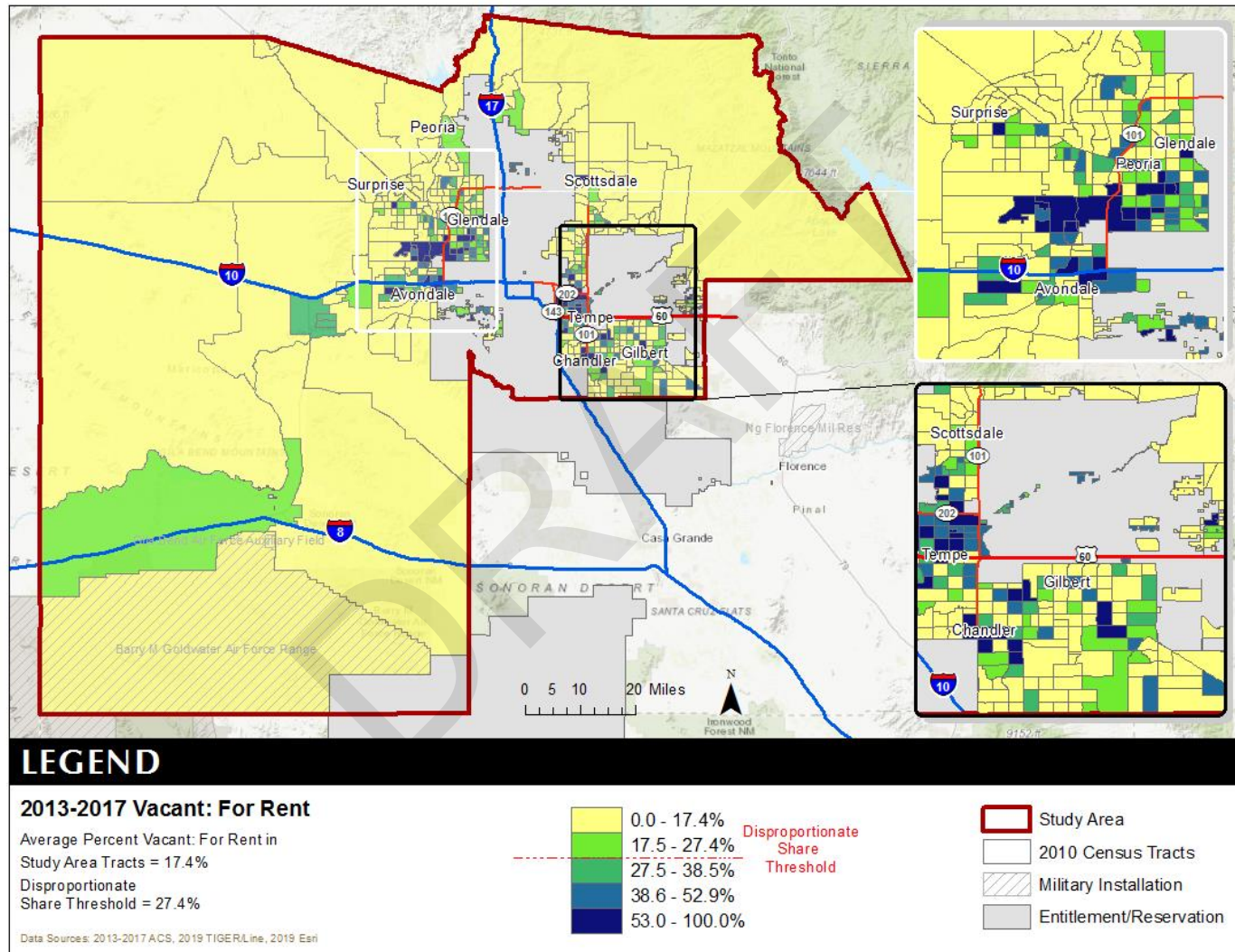
Vacant for rent units tended to be highest in the central parts of the County, as seen in Map IV.13. This was similar to vacant for sale housing, as seen in Map IV.14. “Other” vacant housing is shown for both 2010 and 2017, as seen in Maps IV.15 and IV.16. There was not much shift in the concentration of “other” vacant housing during that time. “Other” vacant housing units are units that are not for rent or for sale, and are not otherwise available to the marketplace. This can be problematic when units are concentrated in one area as they may create a “blighting” effect. This can also offer an opportunity for the county to concentrate investments for redevelopment. The areas with the highest “other” vacant units were in some areas of the urban County, as well as in the western part of the rural County.

Table IV.28, below, shows the number of households in the county by number of bedrooms and tenure. There were 13,351 rental households with no bedrooms, otherwise known as studio

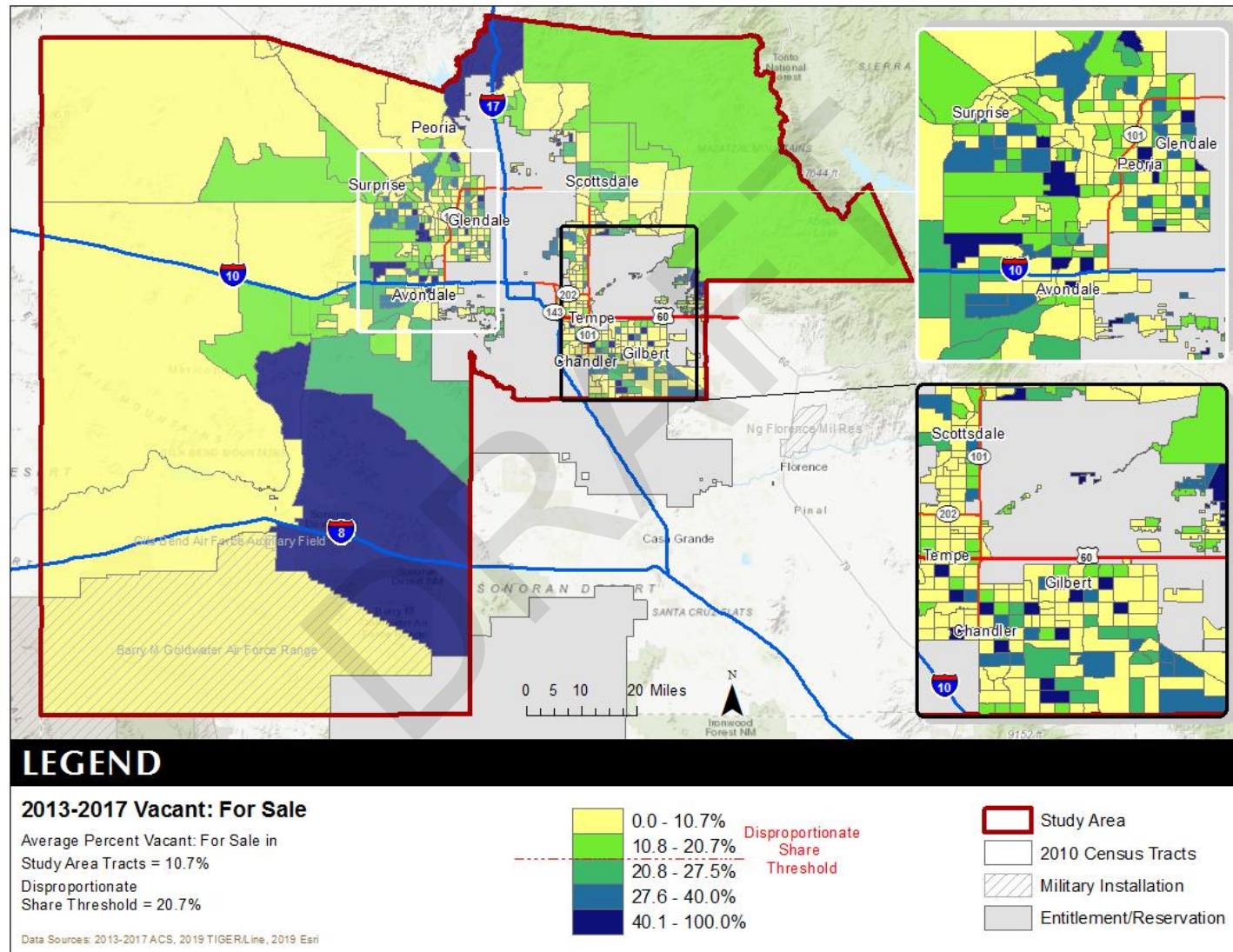
apartments. Two-bedroom households accounted for 8% of total households in Maricopa County HOME Consortium. In Maricopa County HOME Consortium, the 308,801 households with three bedrooms accounted for 26.3% of all households, and there were only 56,679 five-bedroom or more households, which accounted for 22.2% of all households.

Table IV.28 Households by Number of Bedrooms Maricopa County HOME Consortium 2017 5-Year ACS Data				
Number of Bedrooms	Tenure			% of Total
	Own	Rent	Total	
None	1,269	13,351	18,730	100
One	9,682	48,314	71,056	2.1
Two	102,314	86,273	232,937	8
Three	203,599	72,137	308,801	26.3
Four	148,853	32,656	196,635	34.9
Five or more	46,811	5,584	56,679	22.2
Total	770,843	258,315	884,838	100.0

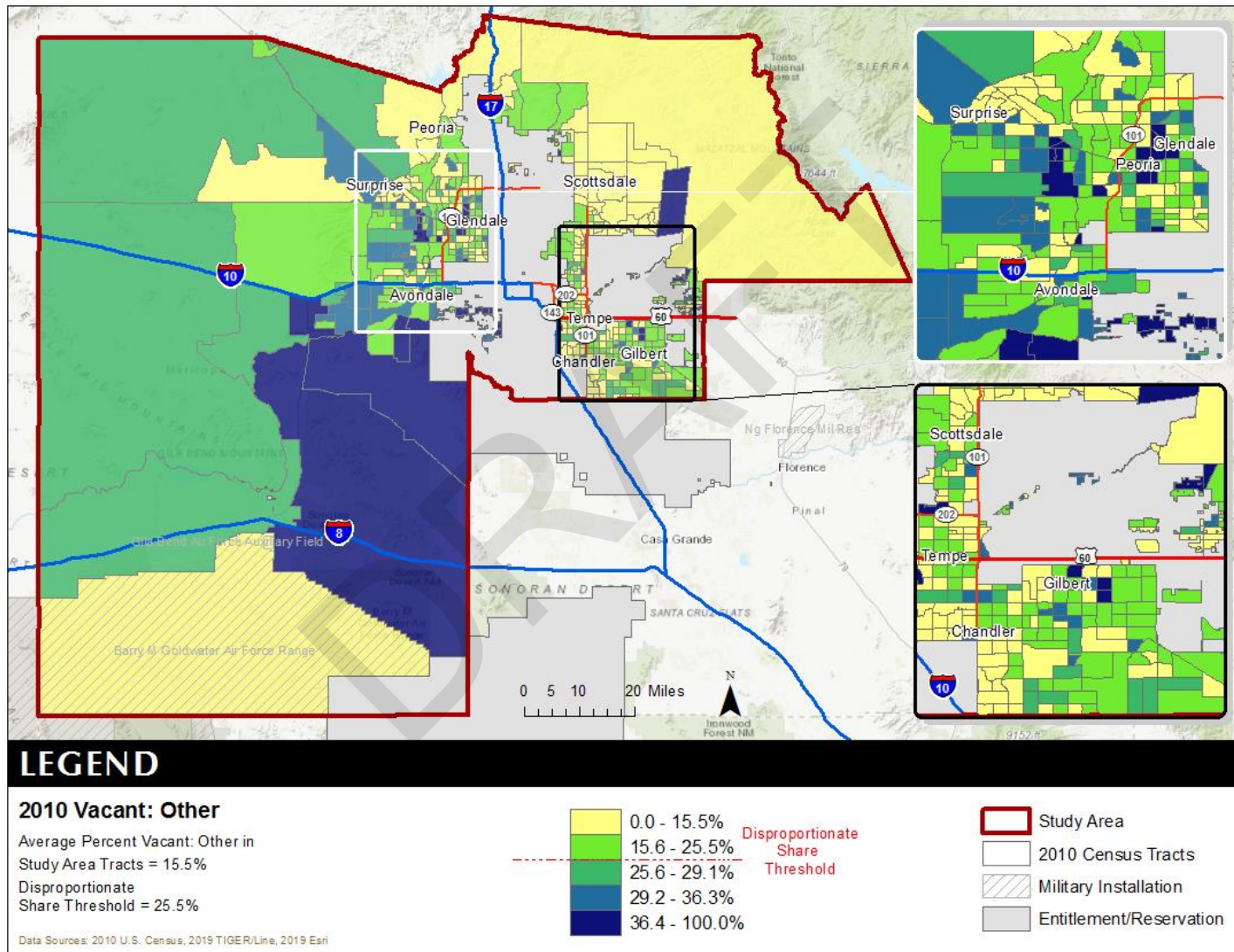
Map IV.13
2017 Vacant for Rent
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



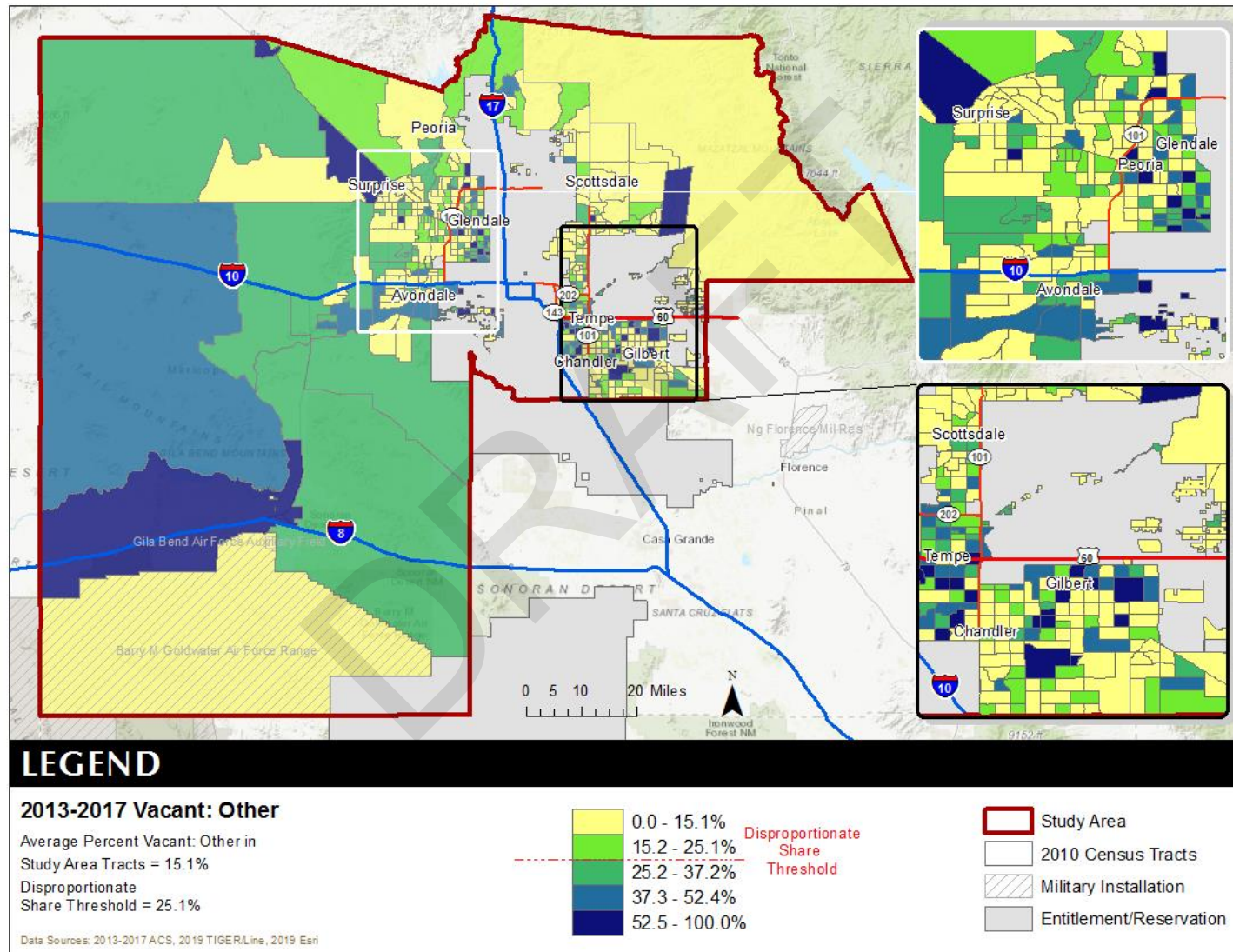
Map IV.14
2017 Vacant for Sale
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Map IV.15
2010 “Other” Vacant
 Maricopa County HOME Consortium
 2010 Census, Tigerline



Map IV.16
2017 “Other” Vacant
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Household mortgage status is reported in Table IV.29. In Maricopa County HOME Consortium households with a mortgage accounted for 69.3% of all households or 355,360 housing units, and the remaining 60.1% or 307,951 units had no mortgage. Of those units with a mortgage, 45,531 had either a second mortgage or home equity loan, 1,878 had both a second mortgage and home equity loan, and 307,951 or 60.1% had no second mortgage or no home equity loan.

Table IV.29 Mortgage Status Maricopa County HOME Consortium 2017 5-Year ACS Data		
Mortgage Status	Maricopa County HOME Consortium	
	Households	% of Households
Housing units with a mortgage, contract to purchase, or similar debt	355,360	69.3
With either a second mortgage or home equity loan, but not both	45,531	8.9
Second mortgage only	9,850	1.9
Home equity loan only	35,681	7
Both second mortgage and home equity loan	1,878	0.4
No second mortgage and no home equity loan	307,951	60.1
Housing units without a mortgage	157,168	30.7
Total	512,528	100.0%

Home Mortgage Loans

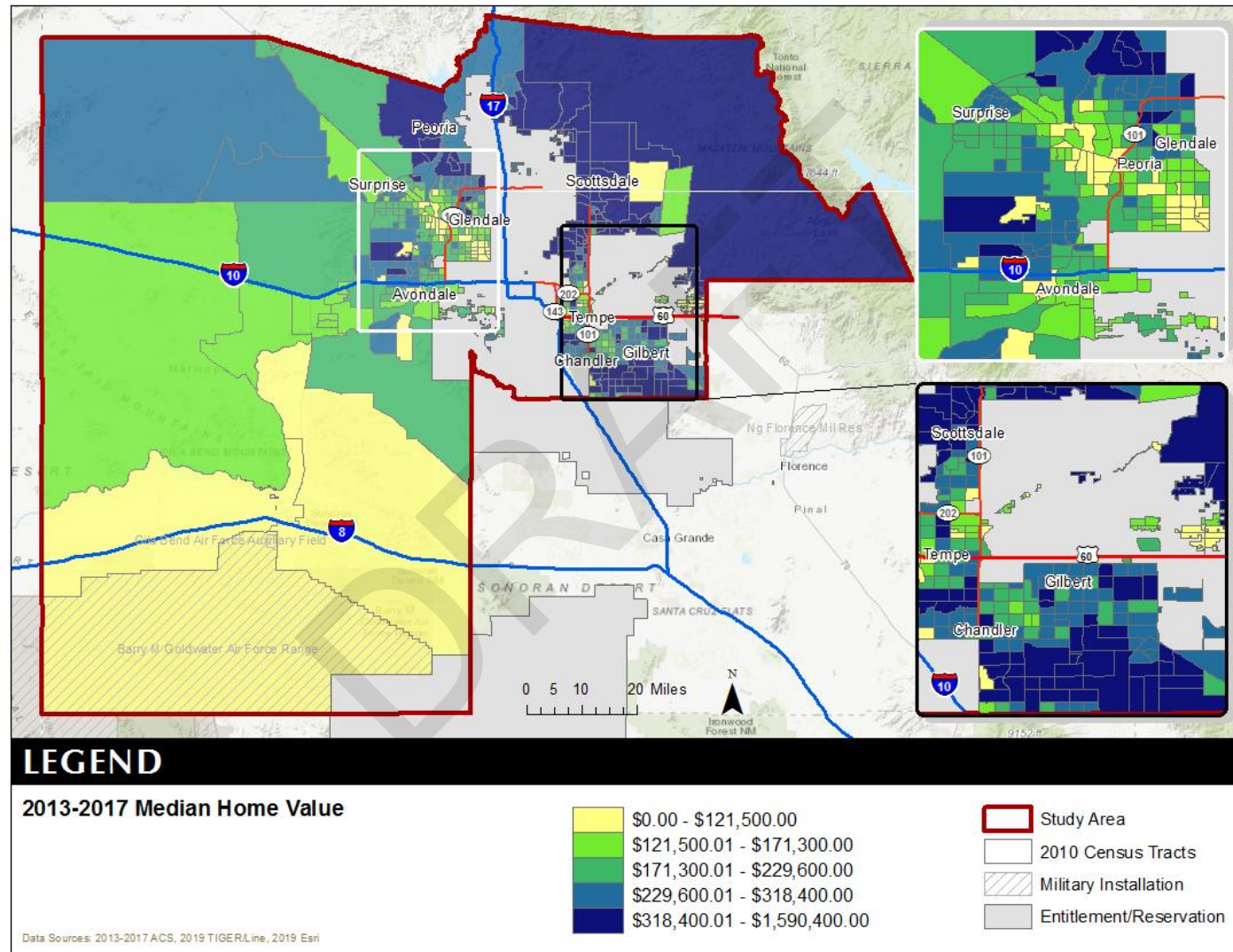
The FFEIC The Home Mortgage Disclosure Act (HMDA) was enacted by Congress in 1975. Data collected under the HMDA provide a comprehensive portrait of home loan activity, including information pertaining to home purchase loans, home improvement loans, and refinancing. For the analysis only owner-occupied originated loans for single-family units were considered. As can be seen in Table IV.30, of the 126,673 loans in 2017, 73,848 loans were for Home Purchases, 6,210 were for Home Improvement and 46,615 were for refinancing.

Table IV.30 Owner-Occupied Single-Family Home Loans by Loan Type Maricopa County 2008 – 2017 HMDA Data				
Year	Home Purchase	Home Improvement	Refinancing	Total
2008	42,075	3,904	41,028	87,007
2009	44,567	1,375	57,653	103,595
2010	40,862	894	45,749	87,505
2011	38,996	1,094	35,840	75,930
2012	39,843	1,526	95,045	136,414
2013	45,852	2,956	74,906	123,714
2014	49,994	3,656	35,243	88,893
2015	59,586	4,523	55,905	120,014
2016	69,147	5,301	70,162	144,610
2017	73,848	6,210	46,615	126,673

Housing Costs

Median home values and median contract rents were both highest in the central and northern portions of the study area. The median home value exceeded \$318,400 in much of the northern and eastern parts of the County, and in the more urban areas. They were lowest, below \$121,500, in the southern and western parts of the County. A similar pattern was true for median contract rents. The highest rents exceeded \$1,191. The lowest rents were below \$702.

Map IV.17
2017 Median Home Value
 Maricopa County HOME Consortium
 2017 ACS, Tigerline



Map IV.18
2017 Median Contract Rent
 Maricopa County HOME Consortium
 2017 ACS, Tigerline

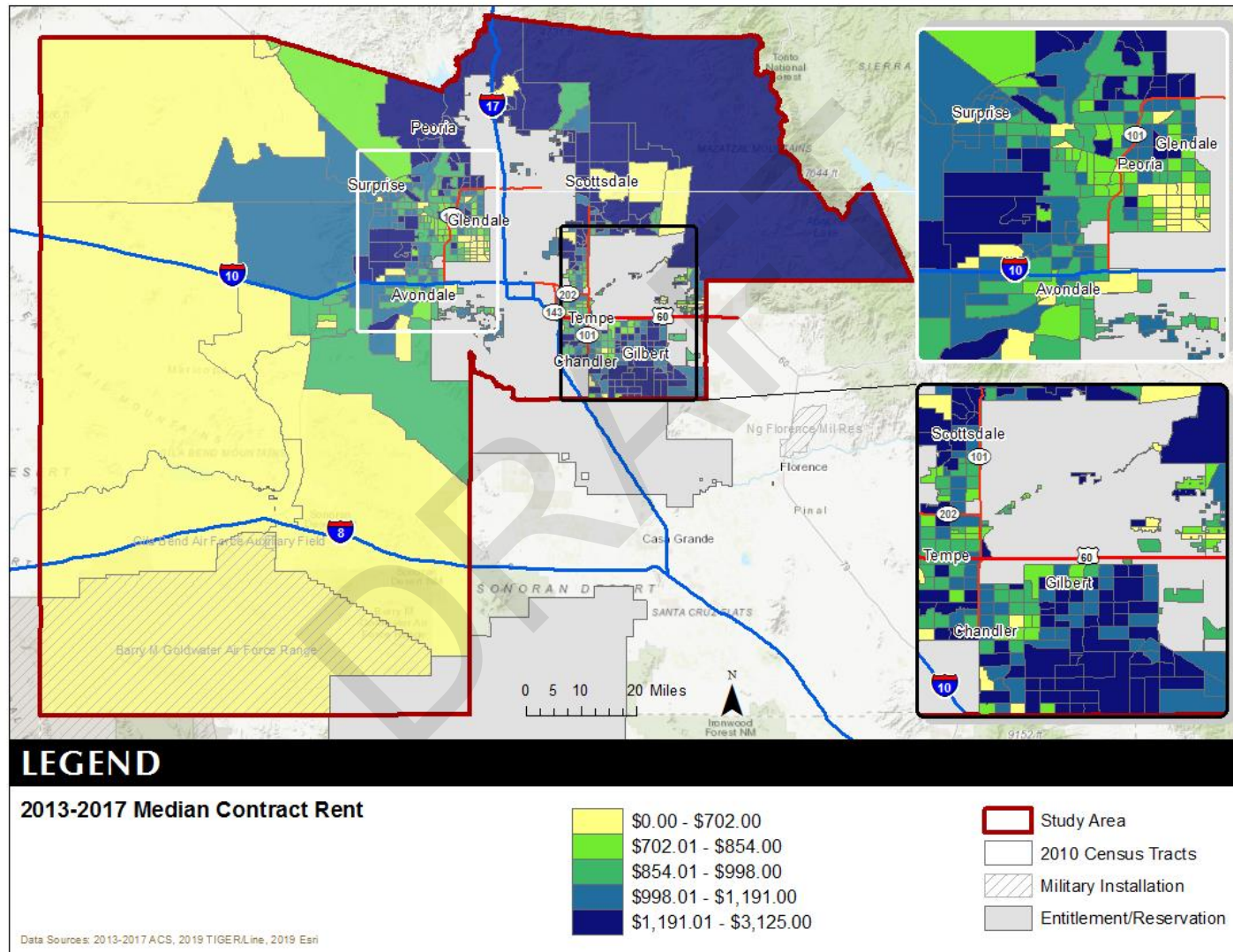


Table IV.31 shows the average loan value by loan type. In 2008, average home purchase loan was \$207,393 in 2012 and \$263,112 in 2017. Overall, average loans were \$227,323 in 2008 and \$245,131 in 2017.

Table IV.31 Owner-Occupied Single-Family Home Loans by Average Loan Amount Maricopa County 2008 – 2017 HMDA Data				
Year	Home Purchase	Home Improvement	Refinancing	Total
2008	\$229,744	\$107,305	\$236,259	\$227,323
2009	\$178,888	\$132,376	\$217,294	\$199,644
2010	\$178,469	\$116,960	\$212,358	\$195,558
2011	\$176,250	\$86,490	\$208,030	\$189,957
2012	\$207,393	\$108,494	\$209,537	\$207,781
2013	\$232,890	\$106,552	\$202,115	\$211,238
2014	\$231,558	\$102,040	\$213,125	\$218,923
2015	\$241,683	\$127,666	\$223,055	\$228,709
2016	\$253,169	\$139,948	\$234,479	\$239,950
2017	\$263,112	\$140,139	\$230,631	\$245,131

Table IV.32 shows the total volume of owner-occupied single-family loans. In 2008, the total volume of home purchase loans was \$8,263,175,000 in 2012 and \$19,430,320,000 in 2017. Overall, the total volume of loans was \$19,778,652,000 in 2008 and \$31,051,467,000 in 2017.

Table IV.32 Total Volume of Owner-Occupied Single-Family Loans Maricopa County 2008 – 2017 HMDA Data				
Year	Home Purchase	Home Improvement	Refinancing	Total
2008	\$9,666,488,000	\$418,918,000	\$9,693,246,000	\$19,778,652,000
2009	\$7,972,492,000	\$182,017,000	\$12,527,636,000	\$20,682,145,000
2010	\$7,292,602,000	\$104,562,000	\$9,715,159,000	\$17,112,323,000
2011	\$6,873,026,000	\$94,620,000	\$7,455,805,000	\$14,423,451,000
2012	\$8,263,175,000	\$165,562,000	\$19,915,452,000	\$28,344,189,000
2013	\$10,678,450,000	\$314,967,000	\$15,139,628,000	\$26,133,045,000
2014	\$11,576,517,000	\$373,059,000	\$7,511,176,000	\$19,460,752,000
2015	\$14,400,930,000	\$577,435,000	\$12,469,878,000	\$27,448,243,000
2016	\$17,505,879,000	\$741,863,000	\$16,451,491,000	\$34,699,233,000
2017	\$19,430,320,000	\$870,261,000	\$10,750,886,000	\$31,051,467,000

COMMUTING PATTERNS

Table IV.33 shows the place of work by county of residence. In 2010 97.4% of residents worked within the county they reside with 1.2% working outside their home county. This compares to 97.5% of residents in 2017 who worked within Maricopa County and 1.2% of residents who worked outside Maricopa County but still within the state.

Table IV.33 Place of Work Maricopa County HOME Consortium 2010 and 2017 5 year ACS data				
Place of work	2010 5-year ACS	% of Total	2017 5-year ACS	% of Total
Worked in county of residence	822,191	97.4%	931,308	97.5%
Worked outside county of residence	10,471	1.2%	11,250	1.2%
Worked outside state of residence	11,909	1.4%	12,456	1.3%
Total	844,571	100.0%	955,014	100.0%

Table IV.34 shows the means of transportation to work. In 2017, 77.8% of commuters drove alone in a car, truck, or van. Only 9.6% carpooled, with an additional 1.4% taking public transportation. Also, there were 69,747 persons or 7.3% who worked from home.

Table IV.34 Means of Transportation to Work Maricopa County HOME Consortium 2010 & 2017 5 year ACS data				
Means	2010 5-year ACS	% of Total	2017 5-year ACS	% of Total
Car, truck, or van: Drove alone	654,061	77.4%	743,445	77.8%
Car, truck, or van: Carpooled:	94,056	11.1%	91,632	9.6%
Public transportation (excluding taxicab):	12,938	1.5%	13,376	1.4%
Taxicab	533	0.1%	1,143	0.1%
Motorcycle	3,609	0.4%	4,273	0.4%
Bicycle	7,102	0.8%	8,798	0.9%
Walked	13,500	1.6%	13,443	1.4%
Other means	9,140	1.1%	9,157	1%
Worked at home	49,632	5.9%	69,747	7.3%
Total	844,571	100.0%	955,014	100.0%

Table IV.35 shows the breakdown of the means of transportation by housing type. In 2017, 51.2% of commuters owned their home and commuted alone by car, which compares to 56.5% in 2010. There were also 255,718 renters who drove alone in 2017 and accounted for 26.9% of the total commuter population. Commuters who owned their own home and took public transportation represented 0.5% of the population, which compares to 8,649 renters, or 0.9% taking public transportation.

Table IV.35 Means Of Transportation To Work By Tenure Maricopa County HOME Consortium 2010 & 2017 5 year ACS data				
Tenure	2010 5-year ACS	% of Total	2017 5-year ACS	% of Total

Car, truck, or van - drove alone:				
Owner	475,462	56.5%	486,460	51.2%
Renter	177,163	21.1%	255,718	26.9%
Car, truck, or van - carpoled:				
Owner	63,032	7.5%	54,869	5.8%
Renter	30,672	3.6%	36,582	3.9%
Public transportation (excluding taxicab):				
Owner	5,155	0.6%	4,349	0.5%
Renter	7,231	0.9%	8,649	0.9%
Walked:				
Owner	5,268	0.6%	4,945	0.5%
Renter	7,371	0.9%	6,759	0.7%
Taxicab, motorcycle, bicycle, or other means:				
Owner	11,904	1.4%	12,207	1.3%
Renter	8,233	1%	10,495	1.1%
Worked at home:				
Owner	40,499	4.8%	51,807	5.5%
Renter	8,834	1.1%	16,824	1.8%
Total:	840,824	100.0%	949,664	100.0%

Summary

The Maricopa County HOME Consortium experienced a drop-off in housing production during the recent recession, which has begun to recover. In 2018, there were 16,543 total units produced in the Consortium, with 12,679 of these being multi-family units. Single-family unit production declined beginning in 2008 and has increased slightly since that time. The value of single-family permits, however, has continued to rise, reaching \$289,795 in 2017. Since 2010, the Consortium has seen a slight decline in the proportion of vacant units, but has experienced a rise in the proportion of vacant units that are for Seasonal, Recreational, or Occasional Use.

B. SEGREGATION AND INTEGRATION

The “dissimilarity index” provides a quantitative measure of segregation in an area, based on the demographic composition of smaller geographic units within that area. One way of understanding the index is that it indicates how evenly two demographic groups are distributed throughout an area: if the composition of both groups in each geographic unit (e.g., Census tract) is the same as in the area as a whole (e.g., city), then the dissimilarity index score for that city will be 0. By contrast; and again, using Census tracts as an example; if one population is clustered entirely within one Census tract, the dissimilarity index score for the city will be 1. The higher the dissimilarity index value, the higher the level of segregation in an area.

A Technical Note on the Dissimilarity Index Methodology

The dissimilarity indices included in this study were calculated from data provided by the Census Bureau according to the following formula:

$$D_j^{WB} = 100 * \frac{1}{2} \sum_{i=1}^N \left| \frac{W_i}{W_j} - \frac{B_i}{B_j} \right|$$

Where i indexes a geographic unit, j is the j th jurisdiction, W is group one and B is group two, and N is the number of geographic units, starting with i , in jurisdiction j .¹⁰

This is the formula that HUD uses to calculate dissimilarity index values. In most respects (including the use of tract-level data available through the Brown Longitudinal Tract Database), the methodology employed in this study exactly duplicates HUD’s methodology for calculating the index of dissimilarity.

The principle exception was the decision to use Census tract-level data to calculate dissimilarity index values through 2010. While HUD uses tract-level data in 1990 and 2000, HUD uses block group-level data in 2010. The decision to use tract-level data in all years included in this study was motivated by the fact that the dissimilarity index is sensitive to the geographic base unit from which it is calculated. Concretely, use of smaller geographic units produces dissimilarity index values that tend to be higher than those calculated from larger geographic units.¹¹

As a general rule, HUD considers the thresholds appearing in the table below to indicate low, moderate, and high levels of segregation:

Interpreting the dissimilarity index		
Measure	Values	Description
Dissimilarity Index [range 0-100]	<40	Low Segregation
	40-54	Moderate Segregation
	>55	High Segregation

Segregation Levels

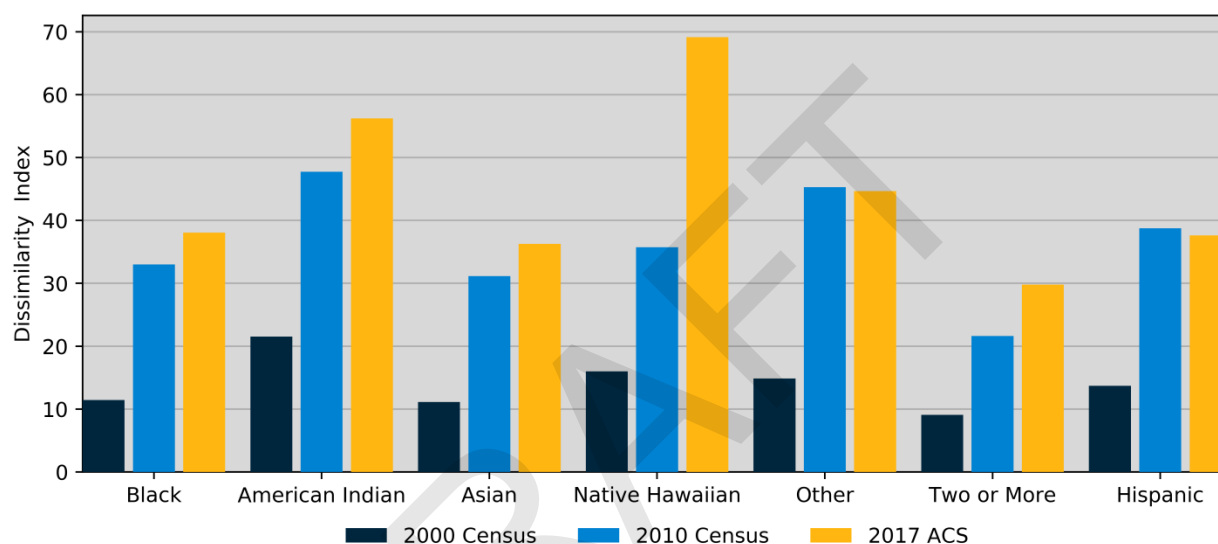
Diagram IV.8 shows the rate of segregation by race and ethnicity for 2000, 2010, and 2017. During this time period, Black or African American households have had an increasing level of segregation, but it

¹⁰ Affirmatively Furthering Fair Housing Data Documentation. HUD. December 2015.

¹¹ Wong, David S. “Spatial Decomposition of Segregation Indices: A Framework Toward Measuring Segregation at Multiple Levels.” *Geographical Analyses*, 35:3. The Ohio State University. July 2003. P. 179.

has remained low. American Indian households had a high level of segregation in 2017, which has grown from a low level in 2000. The level of segregation for Asian households has also increased from 2000 to 2017 but remains a low level of segregation. Native Hawaiian households increased significantly in terms of segregation, according to the dissimilarity index, resulting in a high level of segregation in 2017. “Other” race households had a moderate level of segregation in both 2010 and 2017, seeing a slight decrease in the dissimilarity index between 2010 and 2017. Two or more race households are also seeing a rate of increase in the dissimilarity index but remain at a low level of segregation.

Diagram IV.8
Dissimilarity Index
Maricopa County HOME Consortium



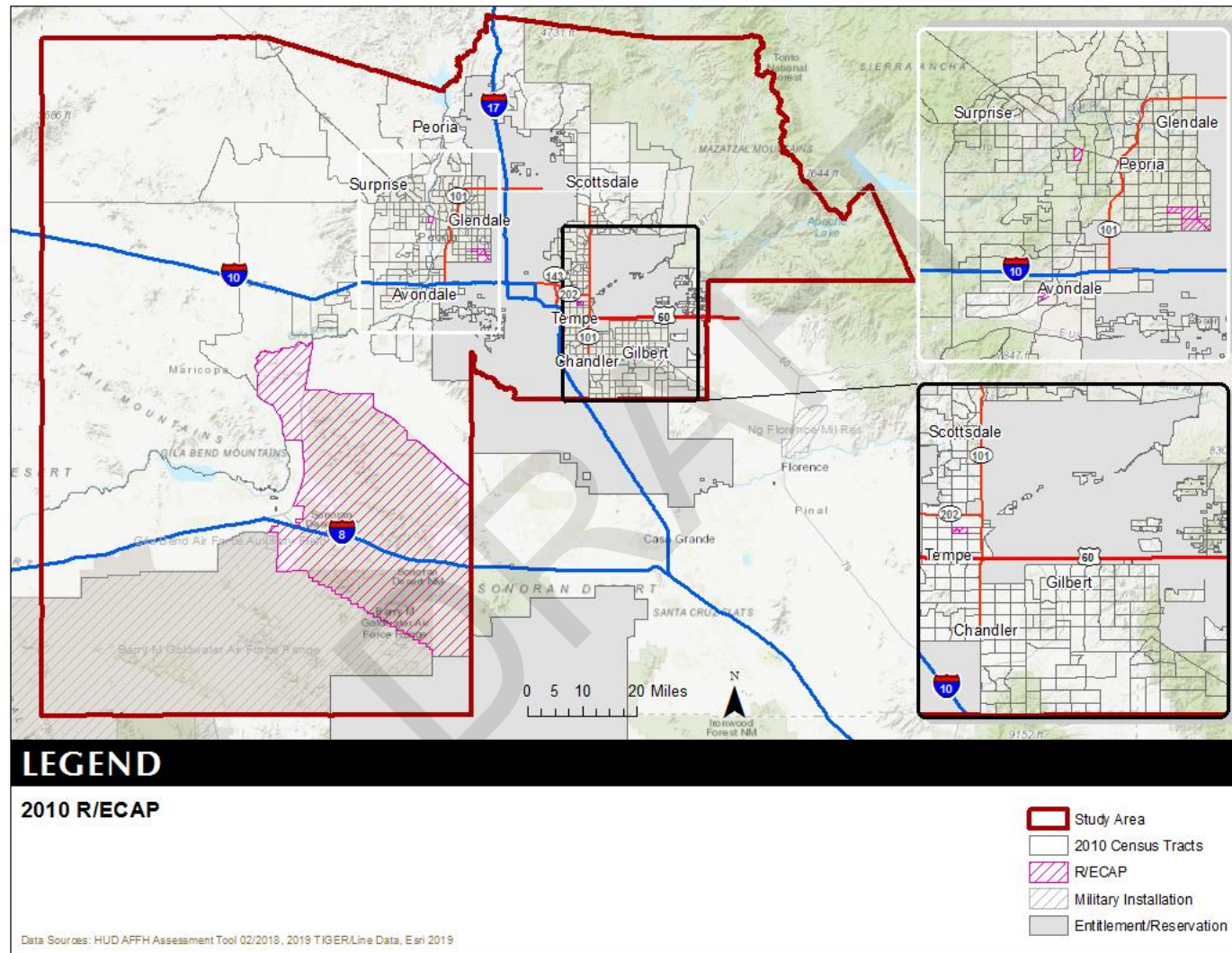
C. RACIALLY OR ETHNICALLY CONCENTRATED AREAS OF POVERTY

Racially or ethnically concentrated areas of poverty (R/ECAPs) are Census tracts with relatively high concentrations of non-white residents living in poverty. Formally, an area is designated an R/ECAP if two conditions are satisfied: first, the non-white population, whether Hispanic or non-Hispanic, must account for at least 50% of the Census tract population. Second, the poverty rate in that Census must exceed a certain threshold, at 40%.

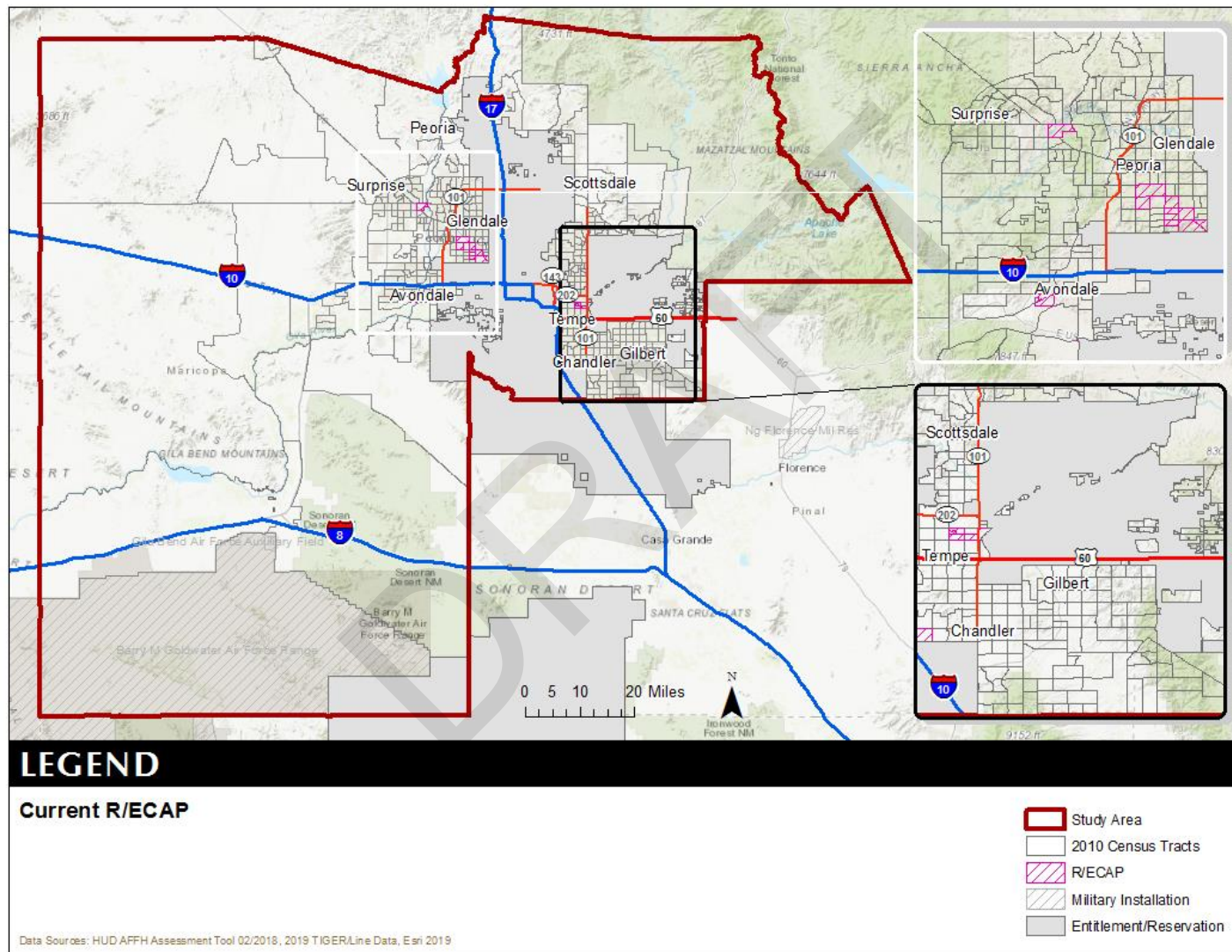
R/ECAPs over Time

The R/ECAPS in the Maricopa County HOME Consortium are illustrated in the maps on the following pages. The number of R/ECAPs increased from 2010 to 2017. R/ECAPs tended to be found in the more urban parts of the County, particularly in areas around Glendale, Peoria, and Surprise.

Map IV.19
2010 R/ECAPs
 Maricopa County HOME Consortium
 HUD AFFH Database, 2017 ACS



Map IV.20
2017 R/ECAPs
 Maricopa County HOME Consortium
 HUD AFFH Database, 2017 ACS



D. DISPARITIES IN ACCESS TO OPPORTUNITY

The following section describes the HUD defined terms of Access to Opportunity. These measures, as outlined below, describe a set of conditions that may or may not accurately reflect the actual conditions in the study area. These data are supplemented by local data when available and ultimately provide only a piece of the total understanding of access to the various opportunities in the community. They are used as measured to compare geographic trends and levels of access within the community.

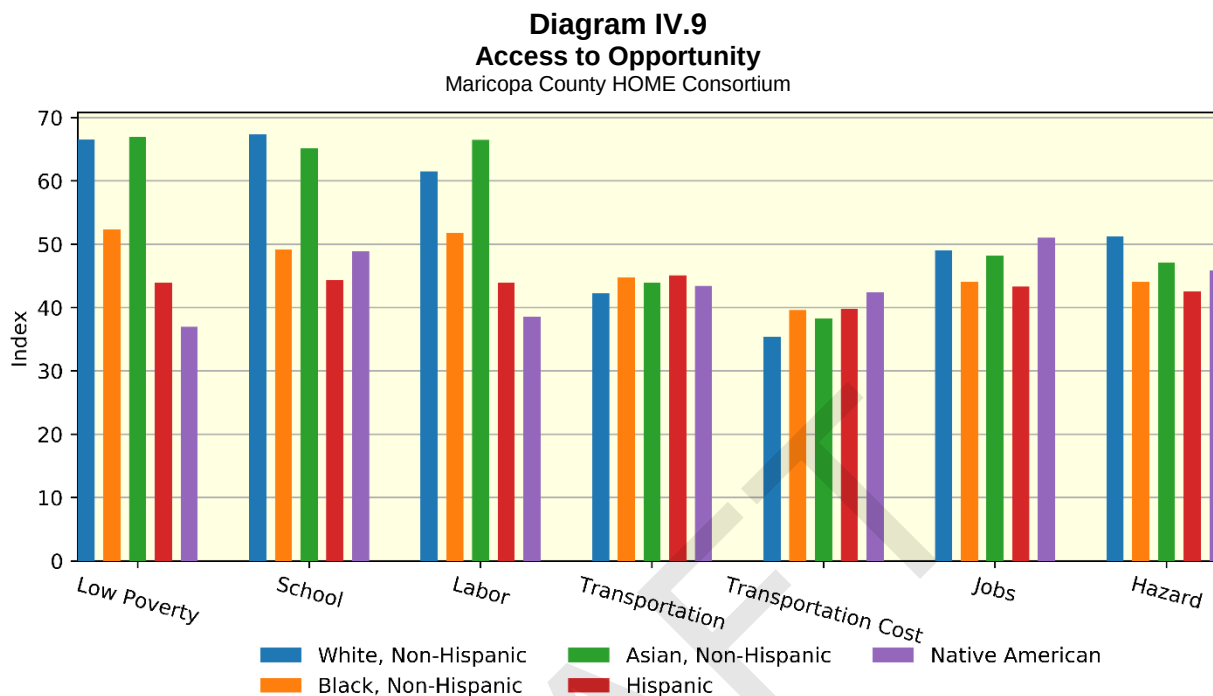
Areas of opportunity are physical places, areas within communities that provide things one needs to thrive, including quality employment, well performing schools, affordable housing, efficient public transportation, safe streets, essential services, adequate parks, and full-service grocery stores. Areas lacking opportunity, then, have the opposite of these attributes. Disparities in access to opportunity allow comparisons by race and ethnicity if any one group has lower or higher levels of access to these community assets. HUD expresses several of these community assets through the use of an index value, with 100 representing total access by all members of the community, and zero representing no access.

The HUD opportunity indices are access to Low Poverty areas; access to School Proficiency; characterization of the Labor Market Engagement; residence in relation to Jobs Proximity; Low Transportation Costs; Transit Trips Index; and a characterization of where you live by an Environmental Health indicator. For each of these a more formal definition is as follows:

- Low Poverty – A measure of the degree of poverty in a neighborhood, at the Census tract level.
- School Proficiency - School-level data on the performance of 4th grade students on state exams to describe which neighborhoods have high-performing elementary schools nearby and which are near lower performing schools.
- Jobs Proximity - Quantifies the accessibility of a given residential neighborhood as a function of its distance to all job locations within a Core Based Statistical Area (CBSA).
- Labor Market Engagement - Provides a summary description of the relative intensity of labor market engagement and human capital in a neighborhood
- Low Transportation Cost – Estimates of transportation costs for a family that meets the following description: a 3-person single-parent family with income at 50% of the median income for renters for the region
- Transit Trips - Trips taken by a family that meets the following description: a 3-person single-parent family with income at 50% of the median income for renters
- Environmental Health - Summarizes potential exposure to harmful toxins at a neighborhood level

Diagram IV.9 shows the level of access to opportunities by race and ethnicity. Black or African American, Hispanic and Native American households have lower access to Low Poverty areas, compared to other races and ethnicities in the Maricopa HOME Consortium. Black or African American, Hispanic, and Native American households also have markedly lower access to school proficiency. Black or African American, Hispanic, and Native American households have lower access to labor market engagement. There is little variance by race for access to transportation trips and

transportation cost. There is little variance by race or ethnicity to job proximity and environmental health.

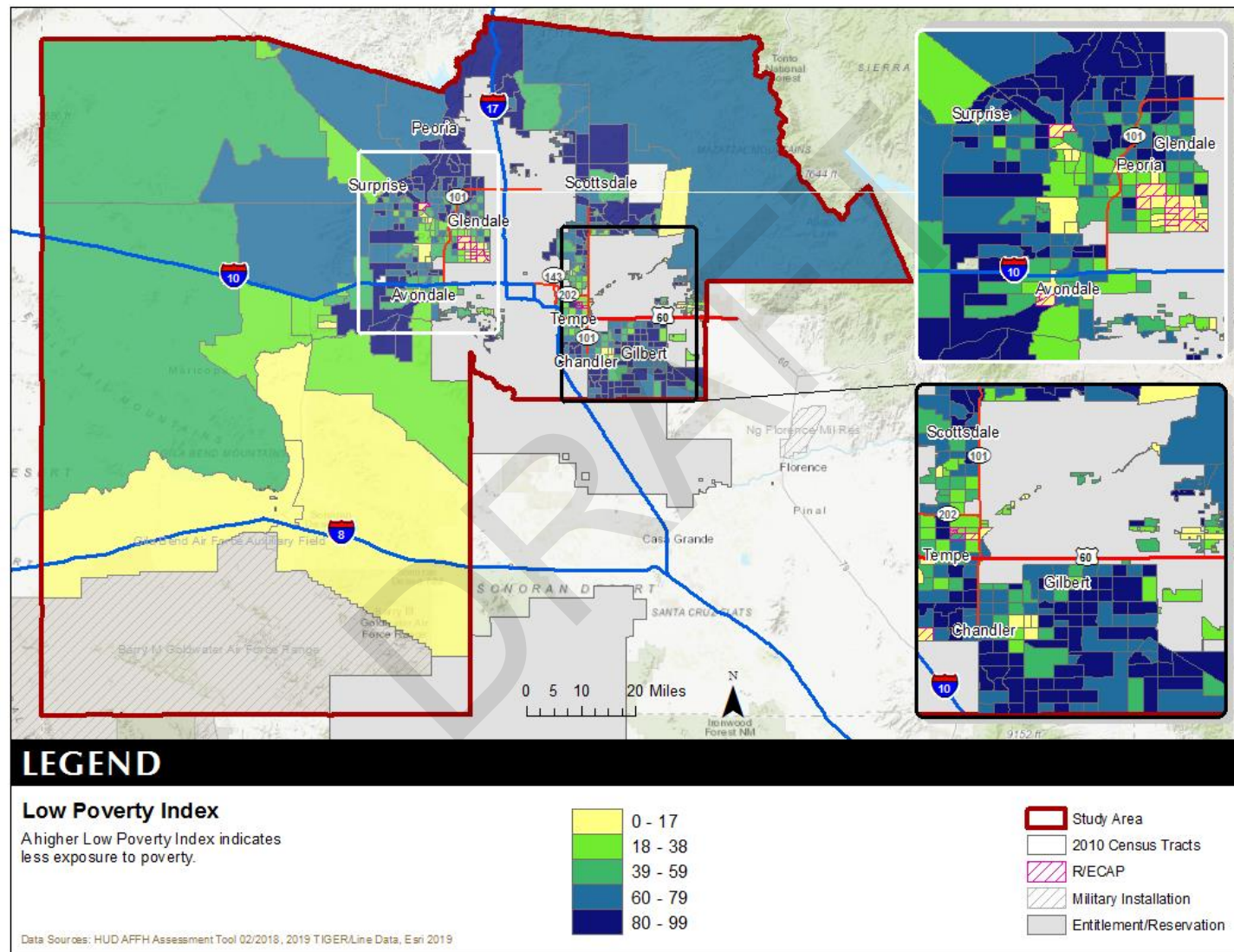


LOW POVERTY INDEX

The Low Poverty Index uses rates of family poverty by household (based on the federal poverty line) to measure exposure to poverty by neighborhood. A higher score is more desirable, generally indicating less exposure to poverty at the neighborhood level.

The lowest scores were found in the more urban areas of the County, in areas around Avondale, Chandler, and Peoria, as well as in the southern rural parts of the County.

Map IV.21
Low Poverty
 Maricopa County HOME Consortium
 HUD AFFH Database



SCHOOL PROFICIENCY INDEX

The School Proficiency Index measures the proficiency of elementary schools in the attendance area (where this information is available) of individuals sharing a protected characteristic or the proficiency of elementary schools within 1.5 miles of individuals with a protected characteristic where attendance boundary data are not available. The values for the School Proficiency Index are determined by the performance of 4th grade students on state exams.

School Proficiency indices are highest in the northern rural areas of the County, as well as in areas around Gilbert, Scottsdale, and Surprise. School proficiency ratings were lowest in and around Avondale, Peoria, and Tempe.

JOBS PROXIMITY INDEX

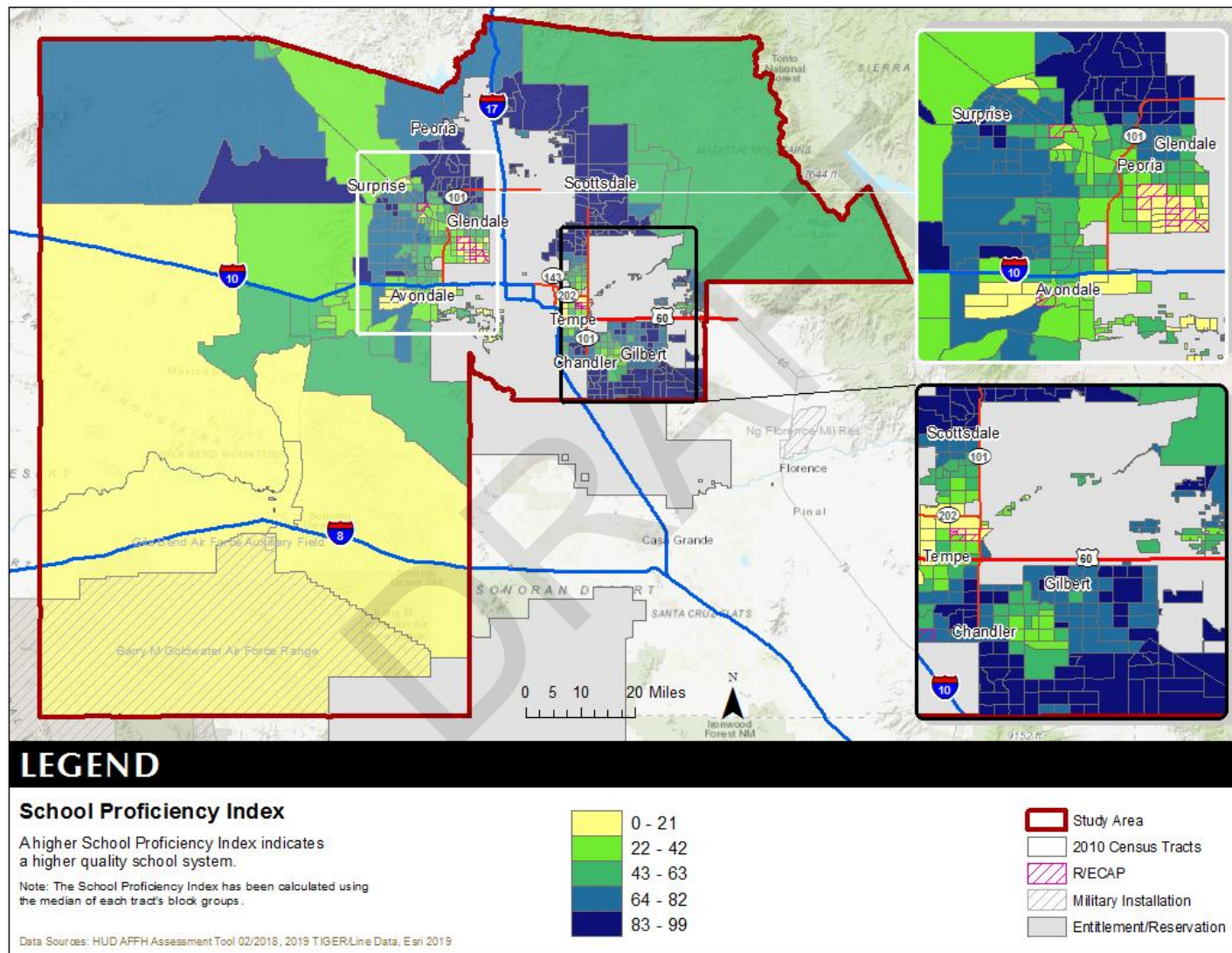
The Jobs Proximity Index measures the physical distances between place of residence and jobs by race/ethnicity and is shown in Map IV.23. Job proximity varied widely across the County. As one would expect, the areas closest to the city centers had the highest job proximity index ratings. Job Proximity varied widely across the HOME Consortium.

LABOR MARKET ENGAGEMENT INDEX

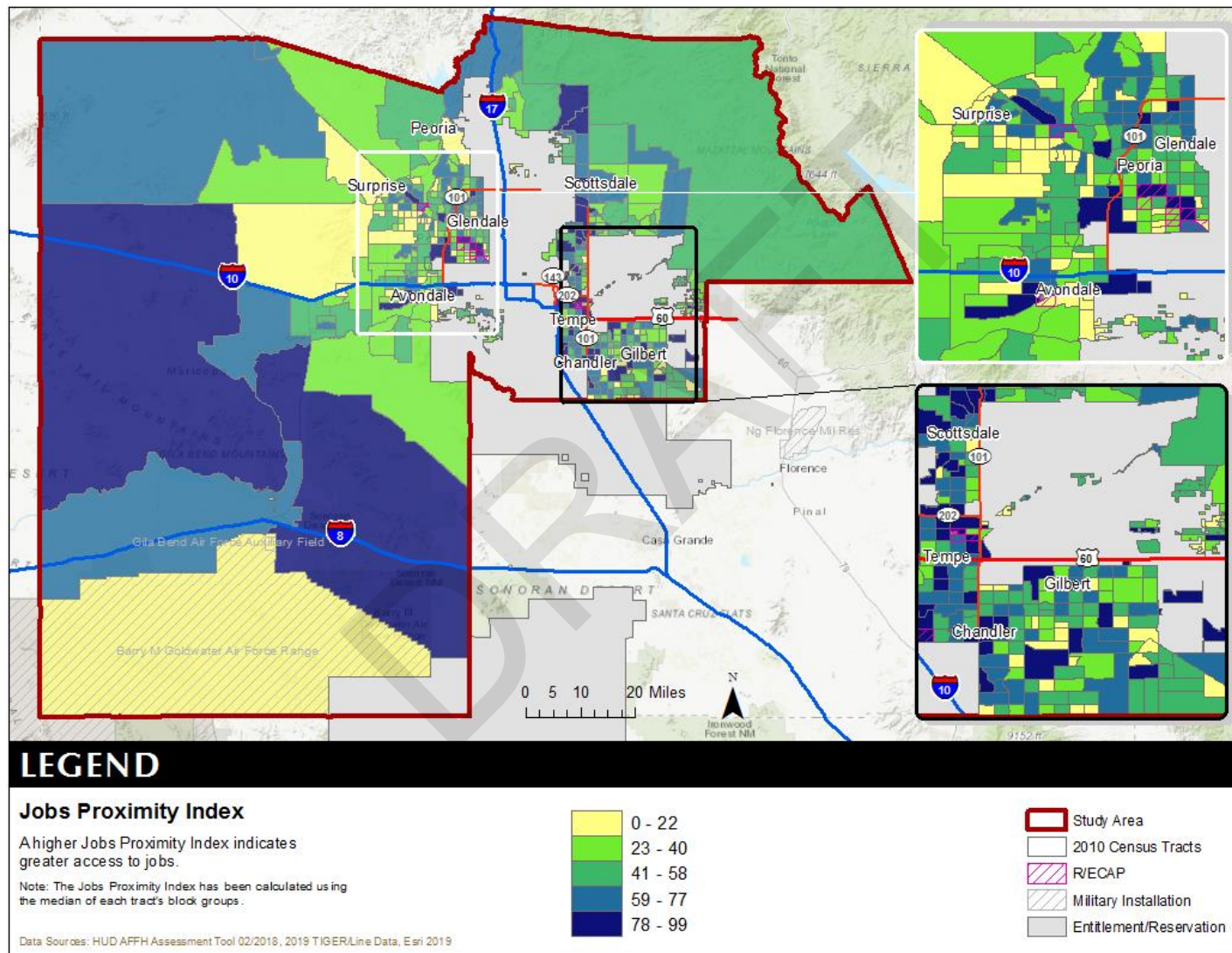
The Labor Market Engagement Index provides a measure of unemployment rate, labor-force participation rate, and percent of the population ages 25 and above with at least a bachelor's degree, by neighborhood Map IV.8 shows the labor market engagement for the study area. Areas around Gilbert, Chandler, Scottsdale, and Tempe had the highest rate of labor market engagement, above 79 index ratings. Areas in Avondale, Peoria, and Surprise had the lowest labor market engagement index ratings, as well as some of the more rural parts of the County, with index ratings below 19.

Geographic location did seem to correspond with greater access to jobs and labor market engagement, with parts of the County having a higher level of labor market engagement than other areas. In addition, Black or African American, Hispanic, and Native American households have lower access to labor market engagement in the HOME Consortium. This data does include data from the Native American reservations in the County.

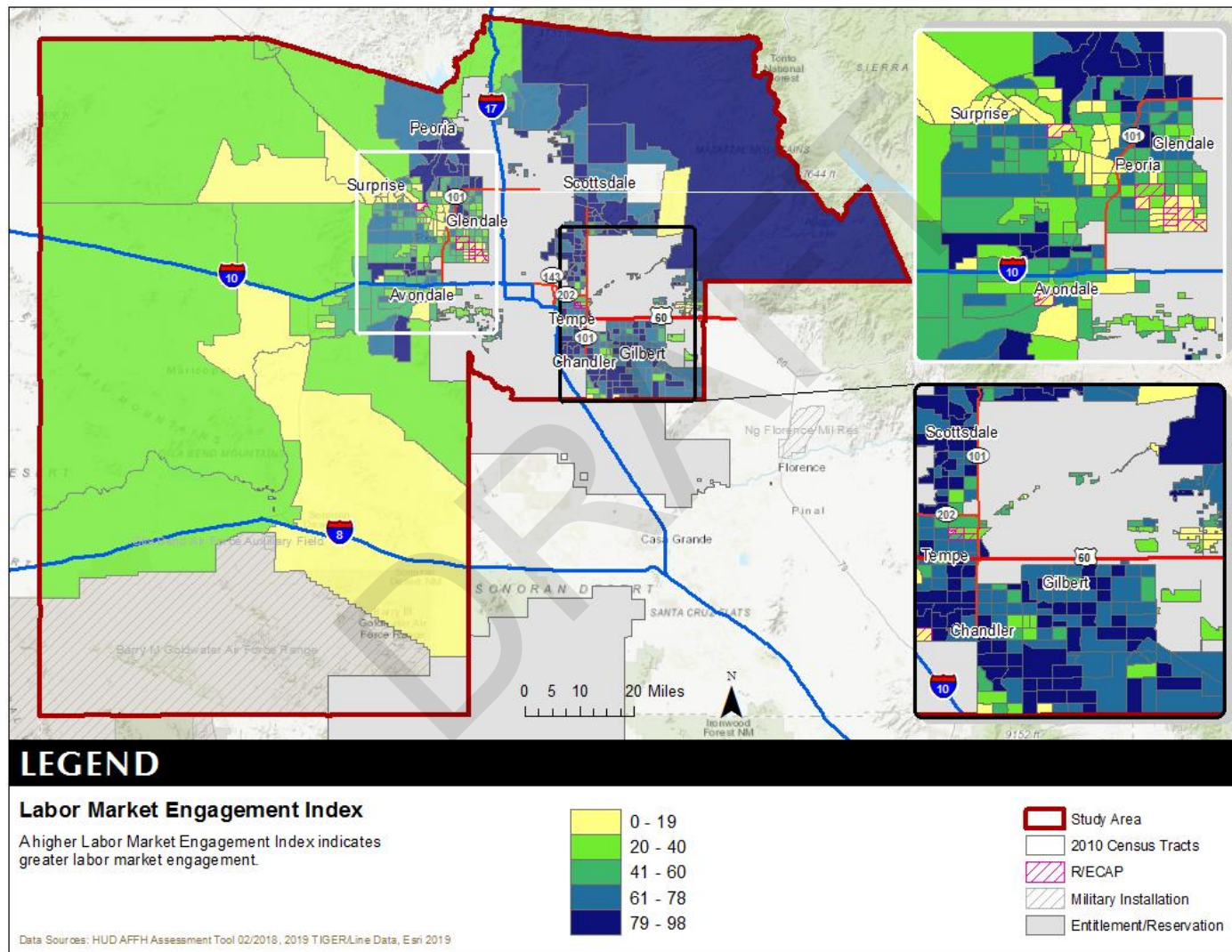
Map IV.22
School Proficiency
 Maricopa County HOME Consortium
 HUD AFFH Database



Map IV.23
Job Proximity
 Maricopa County HOME Consortium
 HUD AFFH Database



Map IV.24
Labor Market Engagement
 Maricopa County HOME Consortium
 HUD AFFH Database



TRANSPORTATION TRIP INDEX

The Transportation Trip Index measures proximity to public transportation by neighborhood. There was little difference in index rating across racial and ethnic groups. The Transportation Trip Index measures proximity to public transportation by neighborhood. The Transit Trips Index measures how often low-income families in a neighborhood use public transportation. The highest rate of transit trips were in the more urban parts of the HOME Consortium, while the lowest ratings were in the more rural parts of the County.

LOW TRANSPORTATION COST INDEX

The Low Transportation Cost Index measures cost of transport and proximity to public transportation by neighborhood. Transportation Costs saw a similar pattern as with Transit Trips; the highest transportation cost index ratings were in the more urban parts of the HOME Consortium, while lower index ratings were in the rural parts of the study area.

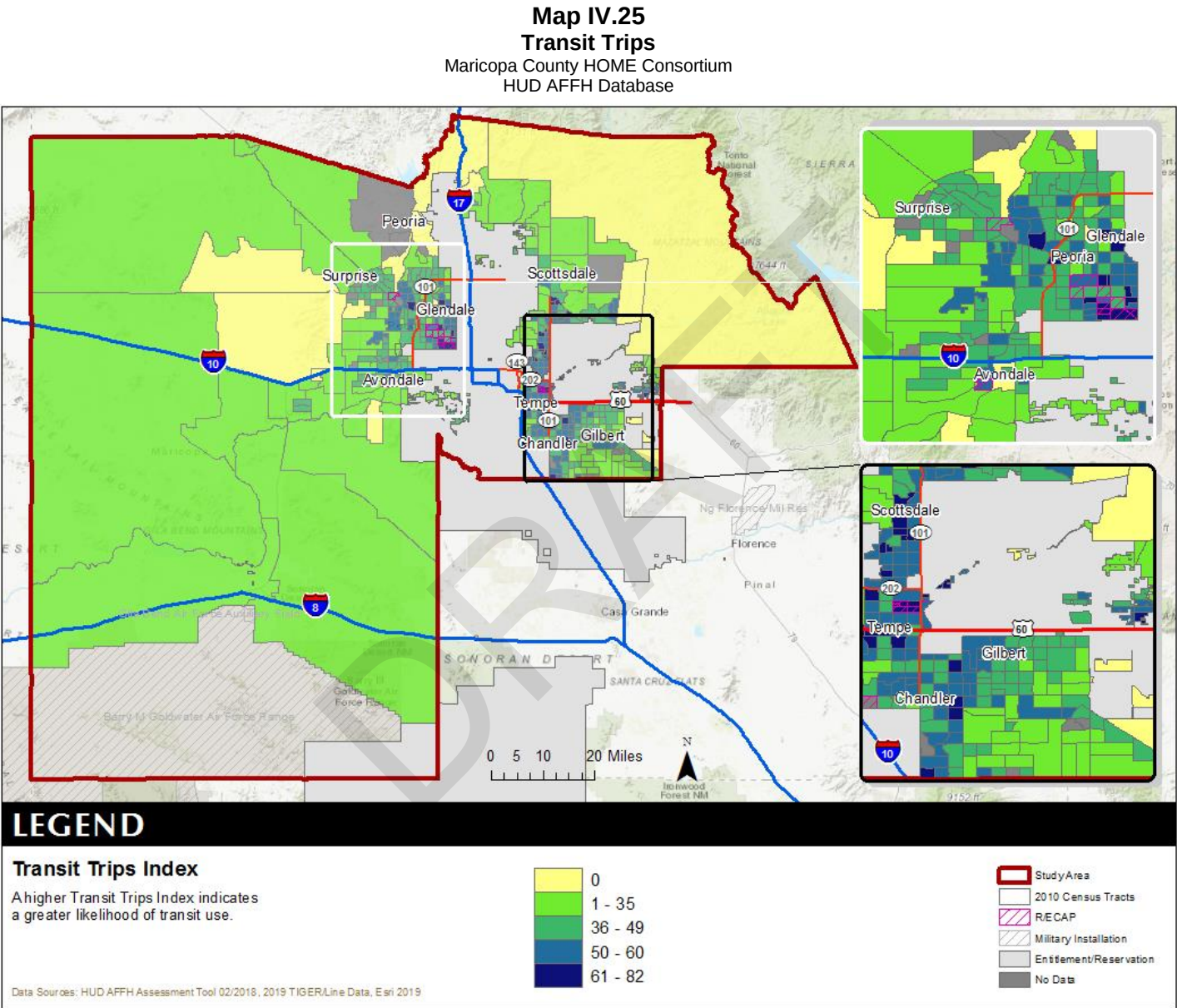
ENVIRONMENTAL HEALTH INDEX

The Environmental Health Index measures exposure based on EPA estimates of air quality carcinogenic, respiratory and neurological toxins by neighborhood.

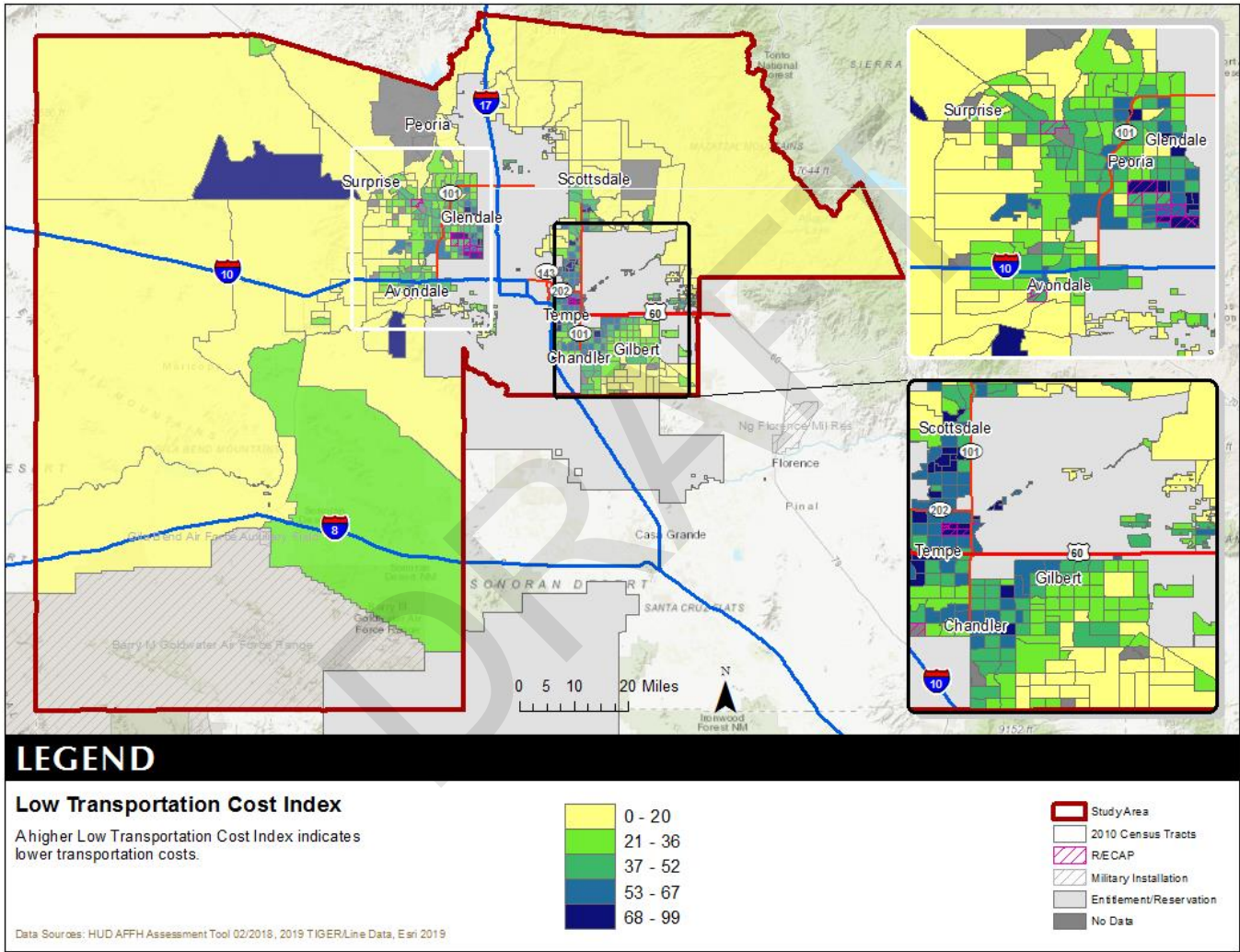
The outer areas, or more rural parts, of the Maricopa County HOME Consortium, had the highest environmental health index ratings. Areas closer to the city centers had lower index ratings.

PATTERNS IN DISPARITIES IN ACCESS TO OPPORTUNITY

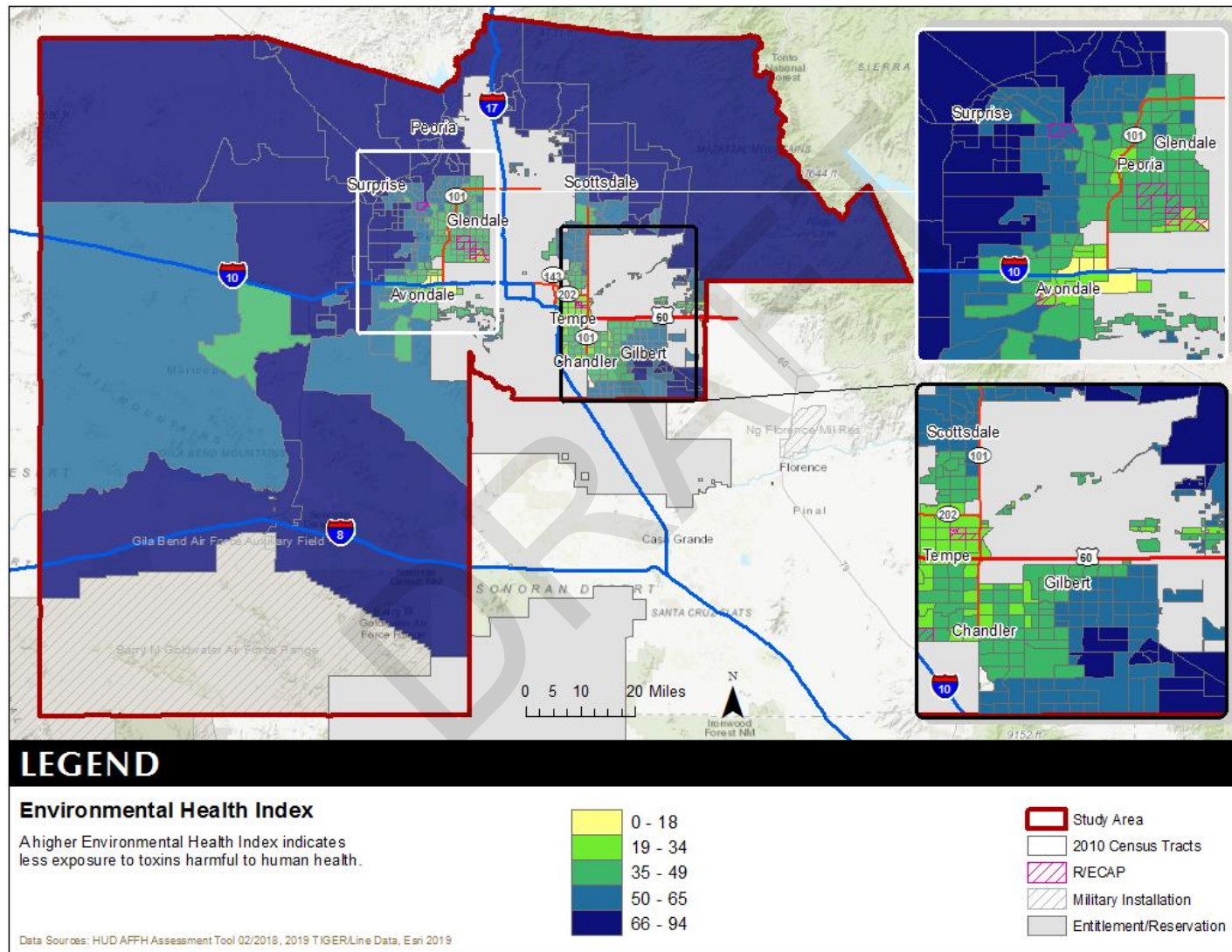
The degree to which residents had access to low poverty areas, school proficiency, and labor market engagement differed depending on their race or ethnicity, particularly resulting in lower index ratings for Black or African American, Native American, and Hispanic households in the Maricopa County HOME Consortium. Other measures of opportunity (school proficiency, use of public transit, transportation costs, and environmental quality) did not differ dramatically by race or ethnicity.



Map IV.26
Transportation Cost
Maricopa County HOME Consortium
HUD AFFH Database



Map IV.27
Environmental Health
 Maricopa County HOME Consortium
 HUD AFFH Database



E. DISPROPORTIONATE HOUSING NEEDS

The Census Bureau collects data on several topics that HUD has identified as “housing problems.” For the purposes of this report, housing problems include overcrowding, incomplete plumbing or kitchen facilities, and cost-burden.

Overcrowding

Households are classified as having housing problems if they face overcrowding, incomplete plumbing or kitchen facilities, or cost burdens. Overcrowding is defined as having from 1.1 to 1.5 people per room per residence, with severe overcrowding defined as having more than 1.5 people per room. Households with overcrowding are shown in Table IV.38. In 2017, an estimated 2% of households were overcrowded, and an additional 1.0% were severely overcrowded.

Table IV.38 Overcrowding and Severe Overcrowding Maricopa County HOME Consortium 2010 & 2017 Five-Year ACS Data							
Data Source	No Overcrowding		Overcrowding		Severe Overcrowding		Total
	Households	% of Total	Households	% of Total	Households	% of Total	
Owner							
2010 Five-Year ACS	493,115	98.6%	5,614	1.1%	1,454	0.3%	500,183
2017 Five-Year ACS	505,255	98.6%	5,678	1.1%	1,595	0.3%	512,528
Renter							
2010 Five-Year ACS	190,015	94.9%	7,325	3.7%	2,868	1.4%	200,208
2017 Five-Year ACS	242,841	94%	9,557	3.7%	5,917	2.3%	258,315
Total							
2010 Five-Year ACS	683,130	97.5%	12,939	1.8%	4,322	0.6%	700,391
2017 Five-Year ACS	748,096	97%	15,235	2%	7,512	1.0%	770,843

Insufficient Kitchen and Plumbing Facilities

Incomplete plumbing and kitchen facilities are another indicator of potential housing problems. According to the Census Bureau, a housing unit is classified as lacking complete plumbing facilities when any of the following are not present: piped hot and cold water, a flush toilet, and a bathtub or shower. Likewise, a unit is categorized as deficient when any of the following are missing from the kitchen: a sink with piped hot and cold water, a range or cook top and oven, and a refrigerator.

There were a total of 1,980 households with incomplete plumbing facilities in 2017, representing 0.3% of households in the Maricopa County HOME Consortium. This is compared to 0.3% of households lacking complete plumbing facilities in 2010.

Table IV.39 Households with Incomplete Plumbing Facilities Maricopa County HOME Consortium 2010 and 2017 Five-Year ACS Data		
Households	2010 Five-Year ACS	2017 Five-Year ACS
With Complete Plumbing Facilities	698,519	768,863
Lacking Complete Plumbing Facilities	1,872	1,980
Total Households	700,391	770,843
Percent Lacking	0.3%	0.3%

There were 4,073 households lacking complete kitchen facilities in 2017, compared to 3,432 households in 2010. There was no significant change from 0.5% of households in 2010 to 0.5% in 2017.

Table IV.40
Households with Incomplete Kitchen Facilities
 Maricopa County HOME Consortium
 2010 and 2017 Five-Year ACS Data

Households	2010 Five-Year ACS	2017 Five-Year ACS
With Complete Kitchen Facilities	696,959	766,770
Lacking Complete Kitchen Facilities	3,432	4,073
Total Households	700,391	770,843
Percent Lacking	0.5%	0.5%

Cost Burdens

Cost burden is defined as gross housing costs that range from 30.0 to 50.0% of gross household income; severe cost burden is defined as gross housing costs that exceed 50.0% of gross household income. For homeowners, gross housing costs include property taxes, insurance, energy payments, water and sewer service, and refuse collection. If the homeowner has a mortgage, the determination also includes principal and interest payments on the mortgage loan. For renters, this figure represents monthly rent and selected electricity and natural gas energy charges.

As seen in Table IV.41, in Maricopa County HOME Consortium 16.3% of households had a cost burden and 13.1% had a severe cost burden. Some 22.4% of renters were cost burdened, and 21.0% were severely cost burdened. Owner-occupied households without a mortgage had a cost burden rate of 6.2% and a severe cost burden rate of 5.2%. Owner-occupied households with a mortgage had a cost burden rate of 16.3%, and severe cost burden rate at 10.9%.

Table IV.41
Cost Burden and Severe Cost Burden by Tenure
 Maricopa County HOME Consortium
 2010 & 2017 Five-Year ACS Data

Data Source	Less Than 30%		31%-50%		Above 50%		Not Computed		Total
	Households	% of Total	Households	% of Total	Households	% of Total	Households	% of Total	
Owner With a Mortgage									
2010 Five-Year ACS	229,716	60.7%	90,390	23.9%	56,560	14.9%	1,796	0.5%	378,462
2017 Five-Year ACS	255,567	71.9%	57,840	16.3%	38,662	10.9%	3,291	0.9%	355,360
Owner Without a Mortgage									
2010 Five-Year ACS	106,320	87.3%	8,449	6.9%	5,692	4.7%	1,260	1.0%	121,721
2017 Five-Year ACS	136,450	86.8%	9,703	6.2%	8,179	5.2%	2,836	1.8%	157,168
Renter									
2010 Five-Year ACS	93,422	46.7%	49,258	24.6%	45,373	22.7%	12,155	6.1%	200,208
2017 Five-Year ACS	129,213	50.0%	57,917	22.4%	54,275	21.0%	16,910	6.5%	258,315
Total									
2010 Five-Year ACS	429,458	61.3%	148,097	21.1%	107,625	15.4%	15,211	2.2%	700,391
2017 Five-Year ACS	521,230	67.6%	125,460	16.3%	101,116	13.1%	23,037	3.0%	770,843

Housing Problems by Income

The HUD estimated Median Family Income (MFI) for Maricopa County was \$69,100 in 2018. This compared to Arizona's MFI of \$64,300. Diagram IV.10, illustrates the estimated MFI for 2000 through 2018.

As seen in Table IV.43, the most common housing problem tends to be housing cost burdens. More than 113,605 households have a cost burden and 92,220 have a severe cost burden. Some 50,980 renter households are impacted by cost burdens, and 48,325 are impacted by severe cost burdens. On the other hand, some 62,625 owner-occupied households have cost burdens, and 43,895 have severe cost burdens. There are a total of 62,625 owner-occupied and 50,980 renter-occupied households with a cost burden of greater than 30% and less than 50%. An additional 43,895 owner-occupied 48,325 renter-occupied households had a cost burden greater than 50% of income.

Table IV.42
Median Family Income
Maricopa County
2000–2018 HUD MFI

Year	MFI	State of Arizona MFI
2000	53,100	47,800
2001	54,900	49,700
2002	57,900	51,900
2003	58,300	52,700
2004	58,600	53,300
2005	58,600	53,300
2006	60,100	54,900
2007	59,100	54,400
2008	64,200	58,500
2009	65,900	60,400
2010	66,600	61,500
2011	65,500	60,800
2012	66,400	61,600
2013	62,200	58,800
2014	61,900	57,500
2015	64,000	59,800
2016	62,900	58,700
2017	66,200	61,600
2018	69,100	64,300

Diagram IV.10
Estimated Median Family Income
Maricopa County vs. Arizona
HUD Data: 2000 - 2019

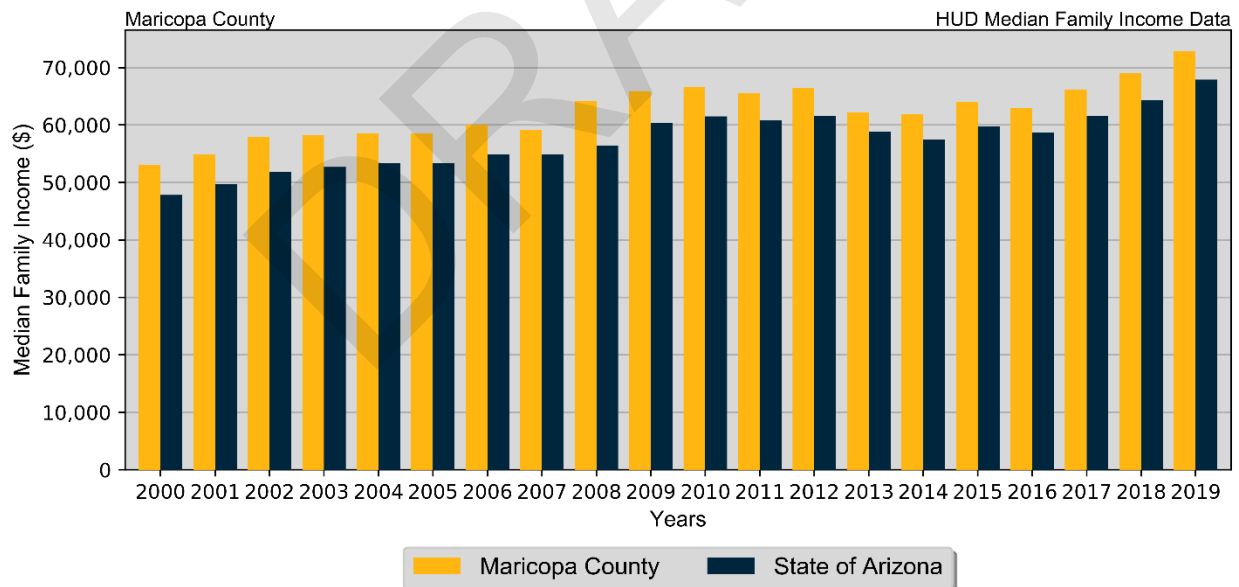


Table IV.43
Housing Problems by Income and Tenure
 Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

Housing Problem	\$0 to \$21,870	\$21,871 to \$36,450	\$36,451 to \$58,320	\$58,321 to \$72,900	Above \$72,900	Total
Owner-Occupied						
Lacking complete plumbing or kitchen facilities	315	195	285	130	785	1,710
Severely Overcrowded with > 1.51 people per room (and complete kitchen and plumbing)	265	290	455	225	445	1,680
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	695	720	1,100	760	2,115	5,390
Housing cost burden greater than 50% of income (and none of the above problems)	16,470	11,485	10,020	2,625	3,295	43,895
Housing cost burden greater than 30% of income (and none of the above problems)	3,700	8,360	18,130	10,800	21,635	62,625
Zero/negative income (and none of the above problems)	5,755	0	0	0	0	5,755
has none of the 4 housing problems	3,420	14,460	37,850	31,435	288,980	376,145
Total	30,620	35,510	67,840	45,975	317,255	497,200
Renter-Occupied						
Lacking complete plumbing or kitchen facilities	940	655	875	300	480	3,250
Severely Overcrowded with > 1.51 people per room (and complete kitchen and plumbing)	1,750	955	1,355	520	820	5,400
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	2,545	1,920	2,065	945	2,040	9,515
Housing cost burden greater than 50% of income (and none of the above problems)	25,740	14,895	6,475	490	725	48,325
Housing cost burden greater than 30% of income (and none of the above problems)	2,055	11,795	24,535	7,175	5,420	50,980
Zero/negative income (and none of the above problems)	6,440	0	0	0	0	6,440
has none of the 4 housing problems	3,820	3,895	16,605	19,725	89,125	133,170
Total	43,290	34,115	51,910	29,155	98,610	257,080
Total						
Lacking complete plumbing or kitchen facilities	1,255	850	1,160	430	1,265	4,960
Severely Overcrowded with > 1.51 people per room (and complete kitchen and plumbing)	2,015	1,245	1,810	745	1,265	7,080
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	3,240	2,640	3,165	1,705	4,155	14,905
Housing cost burden greater than 50% of income (and none of the above problems)	42,210	26,380	16,495	3,115	4,020	92,220
Housing cost burden greater than 30% of income (and none of the above problems)	5,755	20,155	42,665	17,975	27,055	113,605
Zero/negative income (and none of the above problems)	12,195	0	0	0	0	12,195
has none of the 4 housing problems	7,240	18,355	54,455	51,160	378,105	509,315
Total	73,910	69,625	119,750	75,130	415,865	754,280

Housing Problems by Race and Ethnicity

The following section shows households with housing problems by race/ethnicity. These tables can be used to determine if there is a disproportionate housing need for any racial or ethnic groups. If any racial/ethnic group faces housing problems at a rate of ten percentage points or high than the jurisdiction average, then they have a disproportionate share of housing problems. Housing problems are defined as any household that has overcrowding, inadequate kitchen or plumbing facilities, or are cost burdened (pay more than 30% of their income on housing).

The following diagrams illustrate the percentage of households with housing problems by race. Overall, Black or African American, Hispanic, and Pacific Islander households face a disproportionate share of housing problems.

Diagram IV.11
Renter Housing Problems by Race

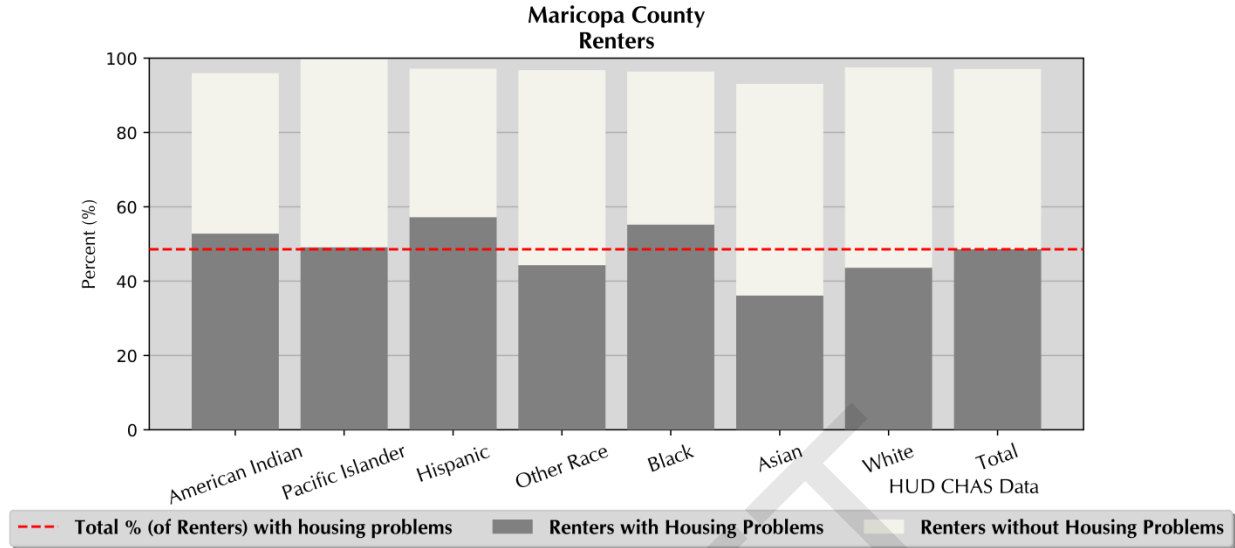


Diagram IV.12
Owner Housing Problems by Race

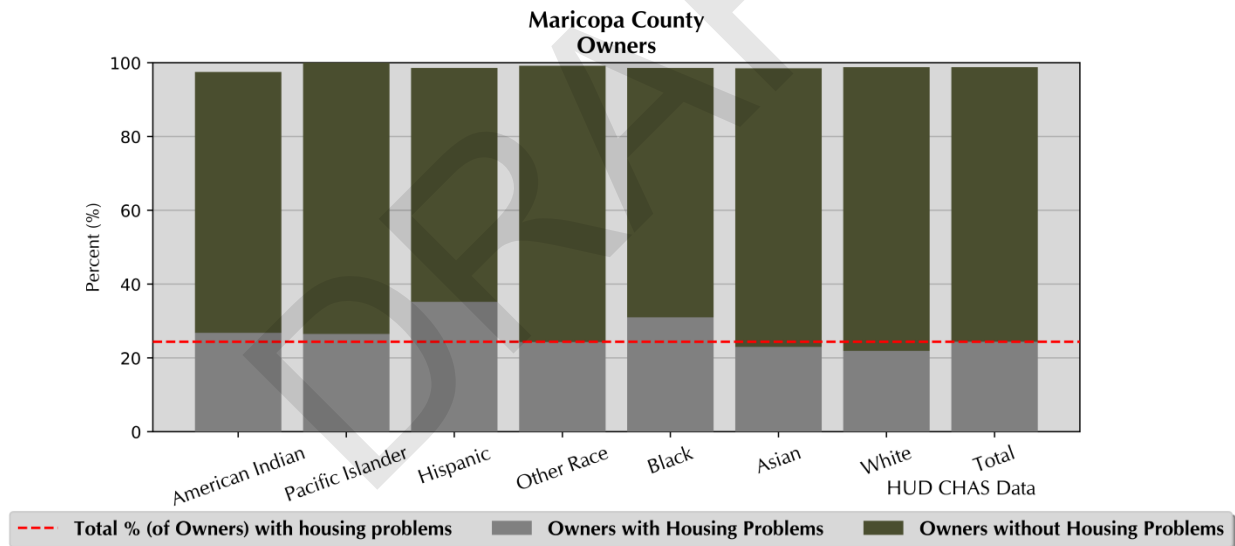
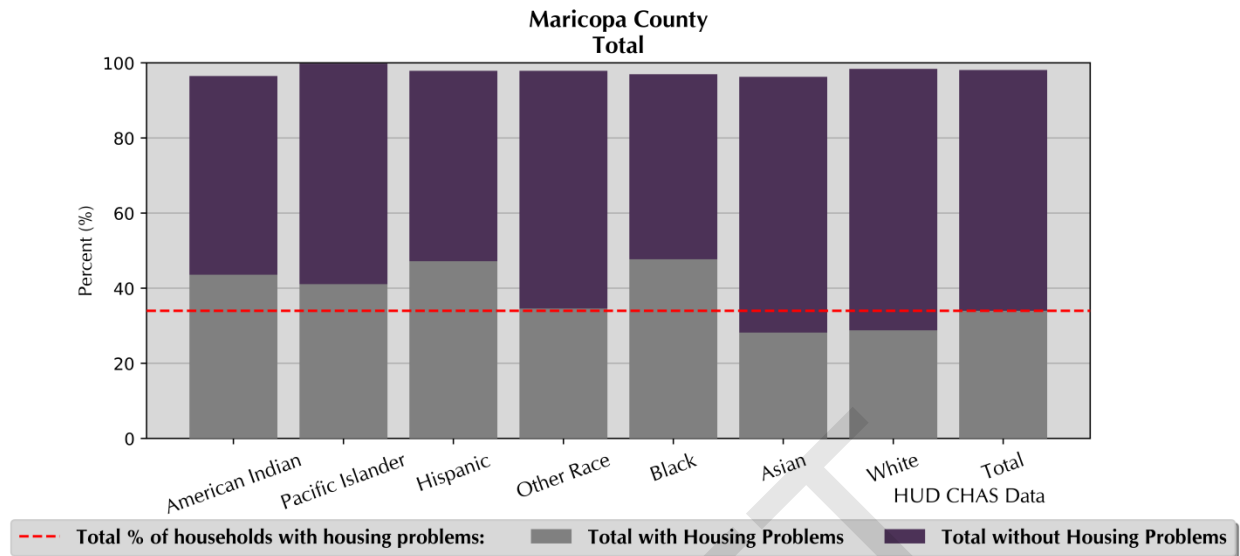


Diagram IV.13
Total Housing Problems by Race



In Maricopa County HOME Consortium, 3,145 Black or African American homeowner households face housing problems, 3,965 Asian households, and 19,185 Hispanic homeowner households face housing problems.

Table IV.44
Percent of Homeowner Households with Housing Problems by Income and Race

Maricopa County HOME Consortium
2012–2016 HUD CHAS Data

Income	Non-Hispanic by Race						Hispanic (Any Race)	Total
	White	Black/ African American	Asian	American Indian/ Alaska Native	Pacific Islander	Other Race		
With Housing Problems								
\$0 to \$21,870	67.9%	82.4%	72.7%	53.9%	80.0%	77.6%	78.6%	70.0%
\$21,871 to \$36,450	56.2%	74.5%	71.7%	40.0%	100.0%	80.3%	69.7%	59.3%
\$36,451 to \$58,320	42.0%	62.2%	46.1%	32.7%	85.7%	49.3%	51.7%	44.2%
\$58,321 to \$72,900	31.0%	29.5%	37.6%	17.5%	25.0%	22.7%	35.0%	31.6%
Above \$72,900	8.9%	11.5%	7.7%	8.4%	7.4%	9.4%	9.2%	8.9%
Total	21.8%	28.1%	21.3%	22.3%	33.0%	23.9%	31.5%	23.2%
Without Housing Problems								
\$0 to \$21,870	11.3%	2.2%	5.1%	30.0%	20.0%	8.6%	11.4%	11.2%
\$21,871 to \$36,450	43.8%	25.5%	28.3%	60.0%	0.0%	19.7%	30.3%	40.7%
\$36,451 to \$58,320	58.0%	37.8%	53.9%	67.3%	14.3%	50.7%	48.3%	55.8%
\$58,321 to \$72,900	69.0%	70.5%	62.4%	82.5%	75.0%	77.3%	65.0%	68.4%
Above \$72,900	91.1%	88.5%	92.3%	91.6%	92.6%	90.6%	90.8%	91.1%
Total	76.9%	71.3%	77.3%	75.9%	67.0%	75.1%	67.6%	75.7%

Table IV.45
Homeowner Households with Housing Problems by Income and Race
 Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

Non-Hispanic by Race							Hispanic (Any Race)	Total
Income	White	Black/ African American	Asian	American Indian	Pacific Islander	Other Race		
With Housing Problems								
\$0 to \$21,870	15,630	375	855	235	16	315	4,015	21,441
\$21,871 to \$36,450	15,215	395	825	200	16	305	4,085	21,041
\$36,451 to \$58,320	21,785	1,170	705	245	60	330	5,710	30,005
\$58,321 to \$72,900	10,975	410	560	50	5	100	2,440	14,540
Above \$72,900	22,945	795	1,020	175	16	385	2,935	28,271
Total	86,550	3,145	3,965	905	113	1,435	19,185	115,298
Total								
\$0 to \$21,870	23,010	455	1,176	436	20	406	5,110	30,613
\$21,871 to \$36,450	27,050	530	1,150	500	16	380	5,865	35,491
\$36,451 to \$58,320	51,915	1,880	1,530	750	70	670	11,055	67,870
\$58,321 to \$72,900	35,370	1,390	1,490	285	20	440	6,975	45,970
Above \$72,900	258,810	6,940	13,265	2,080	216	4,100	31,850	317,261
Total	396,155	11,195	18,611	4,051	342	5,996	60,855	497,205

In total, 117,477 households face housing problems in the Maricopa County HOME Consortium. Of these, some 10,480 Black or African American households, 3,640 Asian households, and 30,730 Hispanic renter households face housing problems.

Table IV.46
Renter Households with Housing Problems by Income and Race
 Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

Income	Non-Hispanic by Race						Hispanic (Any Race)	Total
	White	Black/African American	Asian	American Indian	Pacific Islander	Other Race		
With Housing Problems								
\$0 to \$21,870	16,935	3,140	1,135	910	140	770	9,990	33,020
\$21,871 to \$36,450	16,250	3,080	795	460	31	620	8,990	30,226
\$36,451 to \$58,320	21,595	2,860	1,015	775	60	585	8,410	35,300
\$58,321 to \$72,900	6,220	820	285	21	50	130	1,915	9,441
Above \$72,900	6,820	580	410	160	0	95	1,425	9,490
Total	67,820	10,480	3,640	2,326	281	2,200	30,730	117,477
Total								
\$0 to \$21,870	22,875	3,970	2,235	1,271	144	1,050	11,740	43,285
\$21,871 to \$36,450	18,485	3,400	860	630	56	655	10,050	34,136
\$36,451 to \$58,320	31,525	3,835	1,520	1,025	80	845	13,080	51,910
\$58,321 to \$72,900	17,780	2,395	860	621	115	615	6,775	29,161
Above \$72,900	69,465	6,095	4,655	1,035	220	1,795	15,345	98,610
Total	160,130	19,695	10,130	4,582	615	4,960	56,990	257,102

Table IV.47
Percent of Renter Households with Housing Problems by Income and Race

Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

Income	Non-Hispanic by Race						Hispanic (Any Race)	Total
	White	Black/African American	Asian	American Indian	Pacific Islander	Other Race		
With Housing Problems								
\$0 to \$21,870	74.0%	79.1%	50.8%	71.6%	97.2%	73.3%	85.1%	76.3%
\$21,871 to \$36,450	87.9%	90.6%	92.4%	73.0%	55.4%	94.7%	89.5%	88.5%
\$36,451 to \$58,320	68.5%	74.6%	66.8%	75.6%	75.0%	69.2%	64.3%	68.0%
\$58,321 to \$72,900	35.0%	34.2%	33.1%	3.4%	43.5%	21.1%	28.3%	32.4%
Above \$72,900	9.8%	9.5%	8.8%	15.5%	0.0%	5.3%	9.3%	9.6%
Total	42.4%	53.2%	35.9%	50.8%	45.7%	44.4%	53.9%	45.7%
Without Housing Problems								
\$0 to \$21,870	10.6%	7.6%	6.5%	9.5%	0.0%	7.6%	6.5%	8.8%
\$21,871 to \$36,450	12.1%	9.4%	7.6%	27.0%	44.6%	5.3%	10.5%	11.5%
\$36,451 to \$58,320	31.5%	25.4%	33.2%	24.4%	25.0%	30.8%	35.7%	32.0%
\$58,321 to \$72,900	65.0%	65.8%	66.9%	96.6%	56.5%	78.9%	71.7%	67.6%
Above \$72,900	90.2%	90.5%	91.2%	84.5%	100.0%	94.7%	90.7%	90.4%
Total	55.4%	44.1%	54.6%	44.0%	53.7%	51.6%	44.3%	51.8%

Overall, there are 232,775 households with housing problems in Maricopa County HOME Consortium. This includes 13,625 Black or African American households, 7,605 Asian households, 3,231 American Indian, 394 Pacific Islander, and 3,635 “other” race households with housing problems. As for ethnicity, there are 49,915 Hispanic households with housing problems. This is shown in Table IV.48.

Table IV.48
Percent of Total Households with Housing Problems by Income and Race

Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

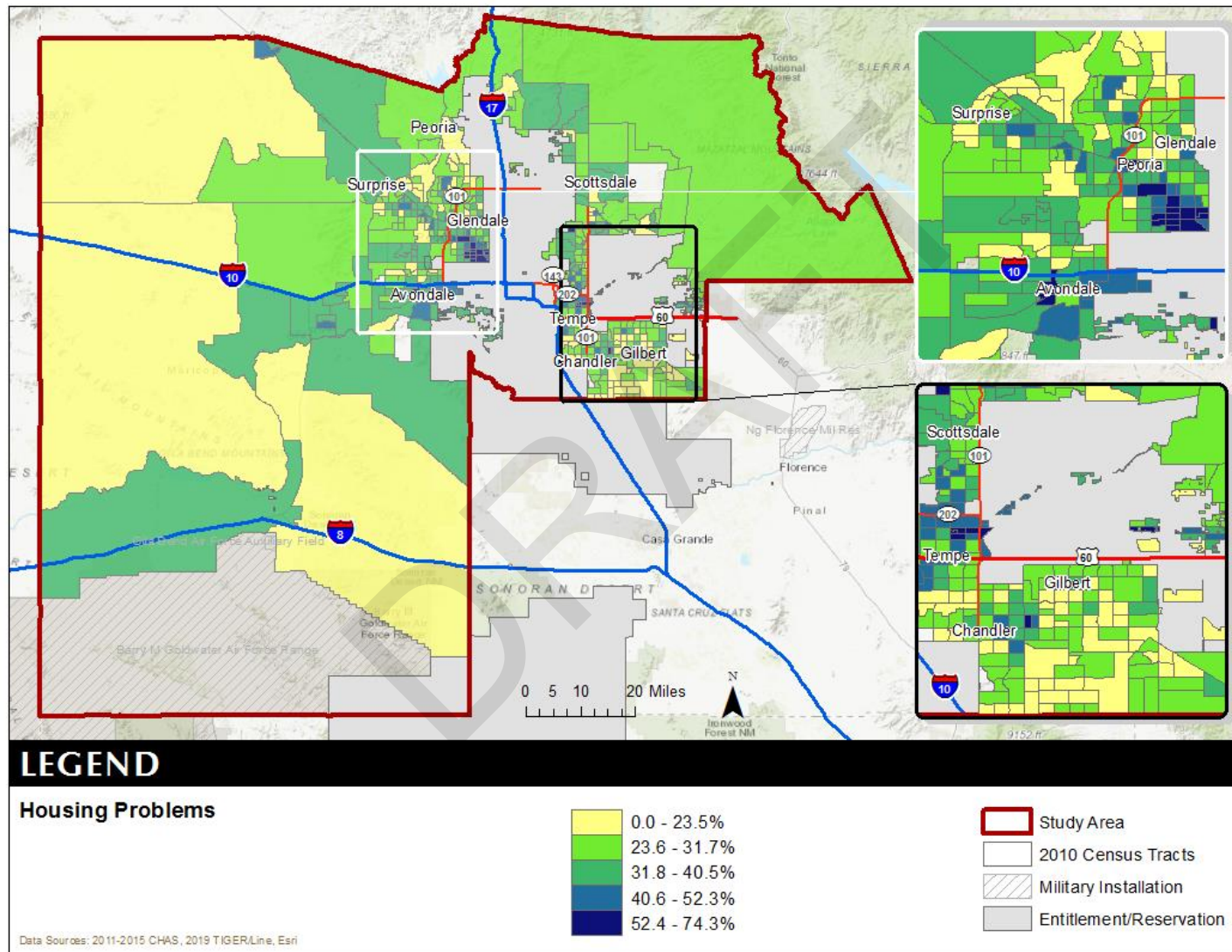
Income	Non-Hispanic by Race						Hispanic	Total
	White	Black/African American	Asian	American Indian	Pacific Islander	Other Race	(Any Race)	
With Housing Problems								
\$0 to \$21,870	71.0%	79.4%	58.3%	67.1%	95.1%	74.5%	83.1%	73.7%
\$21,871 to \$36,450	69.1%	88.4%	80.6%	58.4%	65.3%	89.4%	82.2%	73.6%
\$36,451 to \$58,320	52.0%	70.5%	56.4%	57.5%	80.0%	60.4%	58.5%	54.5%
\$58,321 to \$72,900	32.4%	32.5%	36.0%	7.8%	40.7%	21.8%	31.7%	31.9%
Above \$72,900	9.1%	10.5%	8.0%	10.8%	3.7%	8.1%	9.2%	9.1%
Total	27.8%	44.1%	26.5%	37.4%	41.2%	33.2%	42.4%	30.9%
Without Housing Problems								
\$0 to \$21,870	10.9%	7.0%	6.0%	14.8%	2.4%	7.9%	8.0%	9.8%
\$21,871 to \$36,450	30.9%	11.6%	19.4%	41.6%	34.7%	10.6%	17.8%	26.4%
\$36,451 to \$58,320	48.0%	29.5%	43.6%	42.5%	20.0%	39.6%	41.5%	45.5%
\$58,321 to \$72,900	67.6%	67.5%	64.0%	92.2%	59.3%	78.2%	68.3%	68.1%
Above \$72,900	90.9%	89.5%	92.0%	89.2%	96.3%	91.9%	90.8%	90.9%
Total	70.8%	53.9%	69.3%	59.0%	58.4%	64.5%	56.4%	67.5%

Table IV.49
Total Households with Housing Problems by Income and Race
 Maricopa County HOME Consortium
 2012–2016 HUD CHAS Data

Income	Non-Hispanic by Race						Hispanic (Any Race)	Total
	White	Black/African American	Asian	American Indian	Pacific Islander	Other Race		
With Housing Problems								
\$0 to \$21,870	32,565	3,515	1,990	1,145	156	1,085	14,005	54,461
\$21,871 to \$36,450	31,465	3,475	1,620	660	47	925	13,075	51,267
\$36,451 to \$58,320	43,380	4,030	1,720	1,020	120	915	14,120	65,305
\$58,321 to \$72,900	17,195	1,230	845	71	55	230	4,355	23,981
Above \$72,900	29,765	1,375	1,430	335	16	480	4,360	37,761
Total	154,370	13,625	7,605	3,231	394	3,635	49,915	232,775
Total								
\$0 to \$21,870	45,885	4,425	3,411	1,707	164	1,456	16,850	73,898
\$21,871 to \$36,450	45,535	3,930	2,010	1,130	72	1,035	15,915	69,627
\$36,451 to \$58,320	83,440	5,715	3,050	1,775	150	1,515	24,135	119,780
\$58,321 to \$72,900	53,150	3,785	2,350	906	135	1,055	13,750	75,131
Above \$72,900	328,275	13,035	17,920	3,115	436	5,895	47,195	415,871
Total	556,285	30,890	28,741	8,633	957	10,956	117,845	754,307

The geographic distribution of housing problems is shown in Map IV.28, on the following page. As Housing problems tend to be concentrated in the more urban areas of the HOME Consortium, particularly in areas around Avondale, Peoria, and Tempe. These areas have housing problems at a rate between 52.4 and 74.3%, compared to areas with rates below 23.4% in other parts of the HOME Consortium. In this map, the definition of “concentration” is any area that sees a disproportionate share of housing problems, counted as any area that experiences housing problems at a rate at least ten (10) percentage higher than the area average.

Map IV.28
Housing Problems
 Maricopa County HOME Consortium
 HUD AFFH Database



ACCESS TO MORTGAGE FINANCE SERVICES

Congress enacted the Home Mortgage Disclosure Act in 1975, permanently authorizing the law in 1988¹². The Act requires both depository and non-depository lenders to collect and publicly disclose information about housing-related applications and loans. Under the HMDA, financial institutions are required to report the race, ethnicity, sex, loan amount, and income of mortgage applicants and borrowers by Census tract. Institutions must meet a set of reporting criteria. For depository institutions, these are as follows:

1. The institution must be a bank, credit union, or savings association;
2. The total assets must exceed the coverage threshold;¹³
3. The institution must have had a home or branch office in a Metropolitan Statistical Area (MSA);
4. The institution must have originated or refinanced at least one home purchase loan secured by a first lien on a one- to four-family dwelling;
5. The institution must be federally insured or regulated; and
6. The mortgage loan must have been insured, guaranteed, or supplemented by a federal agency or intended for sale to Fannie Mae or Freddie Mac.

For other institutions, including non-depository institutions, the reporting criteria are:

1. The institution must be a for-profit organization;
2. The institution's home purchase loan originations must equal or exceed 10% of the institution's total loan originations, or more than \$25 million;
3. The institution must have had a home or branch office in an MSA or have received applications for, originated, or purchased five or more home purchase loans, home improvement loans, or refinancing on property located in an MSA in the preceding calendar year; and
4. The institution must have assets exceeding \$10 million or have originated 100 or more home purchases in the preceding calendar year.

In addition to reporting race and ethnicity data for loan applicants, the HMDA reporting requirements were modified in response to the Predatory Lending Consumer Protection Act of 2002 as well as the Home Owner Equity Protection Act (HOEPA). Consequently, loan originations are now flagged in the data system for three additional attributes:

1. If they are HOEPA loans;
2. Lien status, such as whether secured by a first lien, a subordinate lien, not secured by a lien, or not applicable (purchased loans); and
3. Presence of high-annual percentage rate loans (HALs), defined as more than three percentage points for purchases when contrasted with comparable treasury instruments or five percentage points for refinance loans.

For the purposes of this analysis, these flagged originations will be termed predatory, or at least predatory in nature. Overall, the data contained within the HMDA reporting guidelines represent the best and most complete set of information on home loan applications. This report includes HMDA data from 2008 through 2017, the most recent year for which these data are available.

¹² Prior to that year, Congress had to periodically reauthorize the law.

¹³ Each December, the Federal Reserve announces the threshold for the following year. The asset threshold may change from year to year based on changes in the Consumer Price Index for Urban Wage Earners and Clerical Workers.

Table IV.50 shows the purpose of loan by year for the Maricopa County HOME Consortium from 2008 to 2017. As seen therein, there were over 1,251,500 loans during this time period, of these 556,706 were for home purchases. In 2017, there were 159,866 loans, of which 87,703 were for home purchases.

Table IV.50
Purpose of Loan by Year
Maricopa County HOME Consortium
2008–2017 HMDA Data

Purpose	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Home Purchase	10,982	11,853	11,866	12,923	60,644	63,737	62,274	70,378	164,346	87,703	556,706
Home Improvement	1,850	762	496	473	2,508	4,734	6,034	6,391	14,052	8,294	45,594
Refinancing	18,526	19,252	13,843	10,872	115,537	96,146	49,137	73,126	188,892	63,869	649,200
Total	31,358	31,867	26,205	24,268	178,689	164,617	117,445	149,895	367,290	159,866	1,251,500

Table IV.51 shows the occupancy status for loan applicants. A vast majority of applicants were in owner-occupied units, accounting for 87.8% between 2008 and 2017, and for 90.2% in 2017 alone.

Table IV.51
Occupancy Status for Applications
Maricopa County HOME Consortium
2008–2017 HMDA Data

Status	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Owner-Occupied	27,026	28,618	22,560	19,820	147,706	137,875	103,020	134,385	333,384	144,256	1,098,650
Not Owner-Occupied	4,301	3,200	3,627	4,440	30,784	25,982	14,393	15,383	33,476	15,379	150,965
Not Applicable	31	49	18	8	199	760	32	127	430	231	1,885
Total	31,358	31,867	26,205	24,268	178,689	164,617	117,445	149,895	367,290	159,866	1,251,500

Owner-occupied home purchase loan applications by loan types are shown in Table IV.52. Between 2008 and 2017, some 52.9% of home loan purchases were conventional loans, 34.1% were FHA insured, and 12.0% were VA Guaranteed.

Table IV.52
Owner-Occupied Home Purchase Loan Applications by Loan Type
Maricopa County HOME Consortium
2008–2017 HMDA Data

Loan Type	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Conventional	4,828	3,740	3,162	3,765	21,529	26,642	27,149	31,266	83,590	50,299	255,970
FHA - Insured	3,601	5,854	5,965	5,538	20,054	19,418	18,765	22,700	44,906	18,309	165,110
VA - Guaranteed	368	532	624	739	5,651	6,711	7,661	8,056	18,136	9,618	58,096
Rural Housing Service or Farm Service Agency	11	28	21	27	1,004	1,075	1,042	382	604	217	4,411
Total	8,808	10,154	9,772	10,069	48,238	53,846	54,617	62,404	147,236	147,236	483,587

Denial Rates

After the owner-occupied home purchase loan application is submitted, the applicant receives one of the following status designations:

- “Originated,” which indicates that the loan was made by the lending institution;
- “Approved but not accepted,” which notes loans approved by the lender but not accepted by the applicant;
- “Application denied by financial institution,” which defines a situation wherein the loan application failed;

- “Application withdrawn by applicant,” which means that the applicant closed the application process;
- “File closed for incompleteness,” which indicates the loan application process was closed by the institution due to incomplete information; or
- “Loan purchased by the institution,” which means that the previously originated loan was purchased on the secondary market.

As shown in Table IV.53, just over 258,775 home purchase loan applications were originated over the 2008-2017 period, and 32,138 were denied.

Table IV.53
Loan Applications by Action Taken
Maricopa County HOME Consortium
2008–2017 HMDA Data

Action	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Loan Originated	4,185	4,359	4,467	4,614	23,917	27,699	29,600	35,022	81,716	43,196	258,775
Application Approved but not Accepted	477	344	250	277	1,013	1,086	891	1,029	2,220	1,331	8,918
Application Denied	1,085	850	846	737	3,762	4,093	3,507	4,107	8,838	4,313	32,138
Application Withdrawn by Applicant	597	523	638	664	3,806	4,247	4,791	5,709	13,732	8,158	42,865
File Closed for Incompleteness	158	115	117	137	505	826	1,211	811	2,330	1,106	7,316
Loan Purchased by the Institution	2,305	3,943	3,454	3,639	15,232	15,891	14,612	15,718	38,398	20,331	133,523
Preapproval Request Denied	0	20	0	1	3	4	5	2	2	8	45
Preapproval Approved but not Accepted	1	0	0	0	0	0	0	6	0	0	7
Total	8,808	10,154	9,772	10,069	48,238	53,846	54,617	62,404	147,236	78,443	483,587

The most common reason cited in the decision to deny one of these loan applications is related to the debt-to-income ratio of the prospective homeowner, as shown in Table IV.54. Credit history and collateral were also commonly given as reasons to deny home purchase loans.

Table IV.54
Loan Applications by Reason for Denial
Maricopa County HOME Consortium
2008–2017 HMDA Data

Denial Reason	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Debt-to-Income Ratio	212	158	142	135	714	848	681	838	1,812	881	6,421
Employment History	25	26	24	23	104	110	104	114	260	123	913
Credit History	131	125	108	102	596	692	649	581	1,222	495	4,701
Collateral	185	186	199	143	560	523	327	463	992	552	4,130
Insufficient Cash	37	29	16	21	107	162	92	111	320	162	1,057
Unverifiable Information	67	34	49	20	166	170	122	150	428	274	1,480
Credit Application Incomplete	82	59	105	96	361	493	393	579	982	374	3,524
Mortgage Insurance Denied	9	13	4	3	4	7	3	5	16	4	68
Other	149	102	102	66	292	305	237	245	612	250	2,360
Missing	188	118	97	128	858	783	899	1,021	2,194	1,198	7,484
Total	1,085	850	846	737	3,762	4,093	3,507	4,107	8,838	4,313	32,138

Denial rates were observed to differ by race and ethnicity, as shown in Table IV.55. While white applicants had a denial rate of 10.3 over the period from 2008 through 2017, Black or African American applicants had a denial rate of 15.9%. American Indian applicants also had a denial rate higher than the average, at 14.0% versus 11.0% for the whole HOME Consortium. As for ethnicity, Hispanic applicants

had a higher denial rate than non-Hispanic applicants, at 13.4% versus 10.1%. However, the disparities between racial and ethnic groups has been steadily decreasing since 2008.

Table IV.55
Denial Rates by Race/Ethnicity of Applicant
Maricopa County HOME Consortium
2004–2017 HMDA Data

Race/Ethnicity	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Average
American Indian	25.5%	22.9%	25.5%	8.1%	20.4%	19.3%	12.3%	10.5%	14.7%	7.1%	14.0%
Asian	21.3%	23.7%	21%	16.4%	14.4%	15.6%	11.8%	11.1%	9.3%	8.3%	11.7%
Black/African American	30.7%	27%	23.7%	20%	22.4%	17.7%	13.7%	15.4%	14.6%	13.6%	15.9%
Pacific Islander	8%	10.5%	26.3%	31.6%	11.6%	11.9%	14.1%	14.9%	9.2%	11.5%	12%
White	19.4%	15.1%	14.6%	13.3%	12.7%	11.9%	9.9%	9.8%	9.2%	8.4%	10.3%
Not Available	28.2%	20.7%	23%	16%	18.1%	19.2%	16%	15.7%	13.7%	13.6%	15.9%
Not Applicable	0%	%	0%	0%	20%	0%	9.1%	18.2%	0%	0%	4.4%
Average	20.6%	16.3%	15.9%	13.8%	13.6%	12.9%	10.6%	10.5%	9.8%	9.1%	11.0%
Hispanic	30%	19%	19.1%	19.1%	17.9%	15.9%	12.6%	12%	12.3%	11%	13.4%
Non-Hispanic	18.3%	15.3%	14.6%	12.6%	12.4%	11.8%	9.7%	9.7%	8.9%	8.1%	10.1%

As shown in Table IV.56, the denial rate for prospective female homeowners was 11.1%, a half a percentage point higher than the denial rate for male applicants at 10.6%. Denial rates for male and female applicants differed considerably by year.

Table IV.56
Denial Rates by Gender of Applicant
Maricopa County HOME Consortium
2008–2017 HMDA Data

Year	Male	Female	Not Available	Not Applicable	Average
2008	20.6%	19.6%	27.9%	0%	20.6%
2009	16.6%	15.6%	18.4%	%	16.3%
2010	15.9%	14.8%	24.6%	0%	15.9%
2011	13.7%	13.5%	16.8%	0%	13.8%
2012	13.2%	13.5%	19.7%	20%	13.6%
2013	12.3%	12.8%	22.3%	0%	12.9%
2014	10.2%	10.5%	18.2%	9.1%	10.6%
2015	10.3%	10.2%	16.6%	10%	10.5%
2016	9.4%	10%	13.7%	7.7%	9.8%
2017	8.5%	9.3%	15.3%	0%	9.1%
Average	10.6%	11.1%	16.8%	5.7%	11%

Predatory Lending

In addition to modifications implemented in 2004 to correctly document loan applicants' race and ethnicity, the HMDA reporting requirements were changed in response to the Predatory Lending Consumer Protection Act of 2002 as well as the Home Owner Equity Protection Act (HOEPA). Consequently, loan originations are now flagged in the data system for three additional attributes:

1. If they are HOEPA loans;
2. Lien status, such as whether secured by a first lien, a subordinate lien, not secured by a lien, or not applicable (purchased loans); and
3. Presence of high annual percentage rate (APR) loans (HALs), defined as more than three percentage points higher than comparable treasury rates for home purchase loans, or five percentage points higher for refinance loans.

Home loans are designated as “high-annual percentage rate” loans (HALs) where the annual percentage rate on the loan exceeds that of a comparable treasury instruments by at least three percentage points. As shown in Table IV.57, 1,509 loans between 2008 and 2017 were HALs, accounting for 0.6%. The highest rate of HAL loans was seen in 2008, at 5.9%, which fell to 0.1% in 2010.

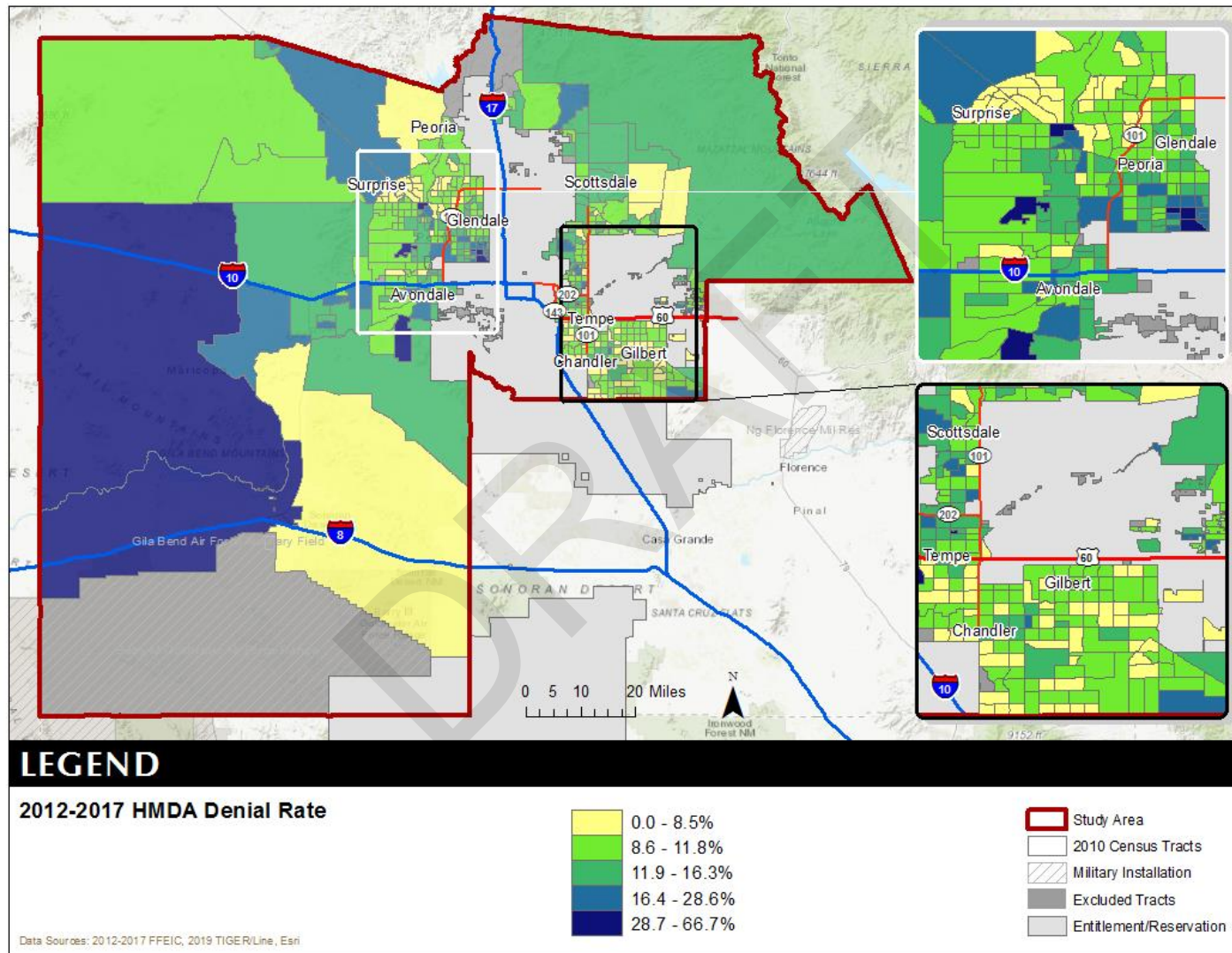
Table IV.57 Originated Owner-Occupied Loans by HAL Status Maricopa County HOME Consortium 2008–2017 HMDA Data											
Loan Type	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
HAL	247	151	4	15	71	104	250	178	330	159	1,509
Other	3,938	4,208	4,463	4,599	23,846	27,595	29,350	34,844	81,386	43,037	257,266
Total	4,185	4,359	4,467	4,614	23,917	27,699	29,600	35,022	81,716	43,196	258,775
Percent HAL	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%

Geographic Distribution of Mortgage Denials

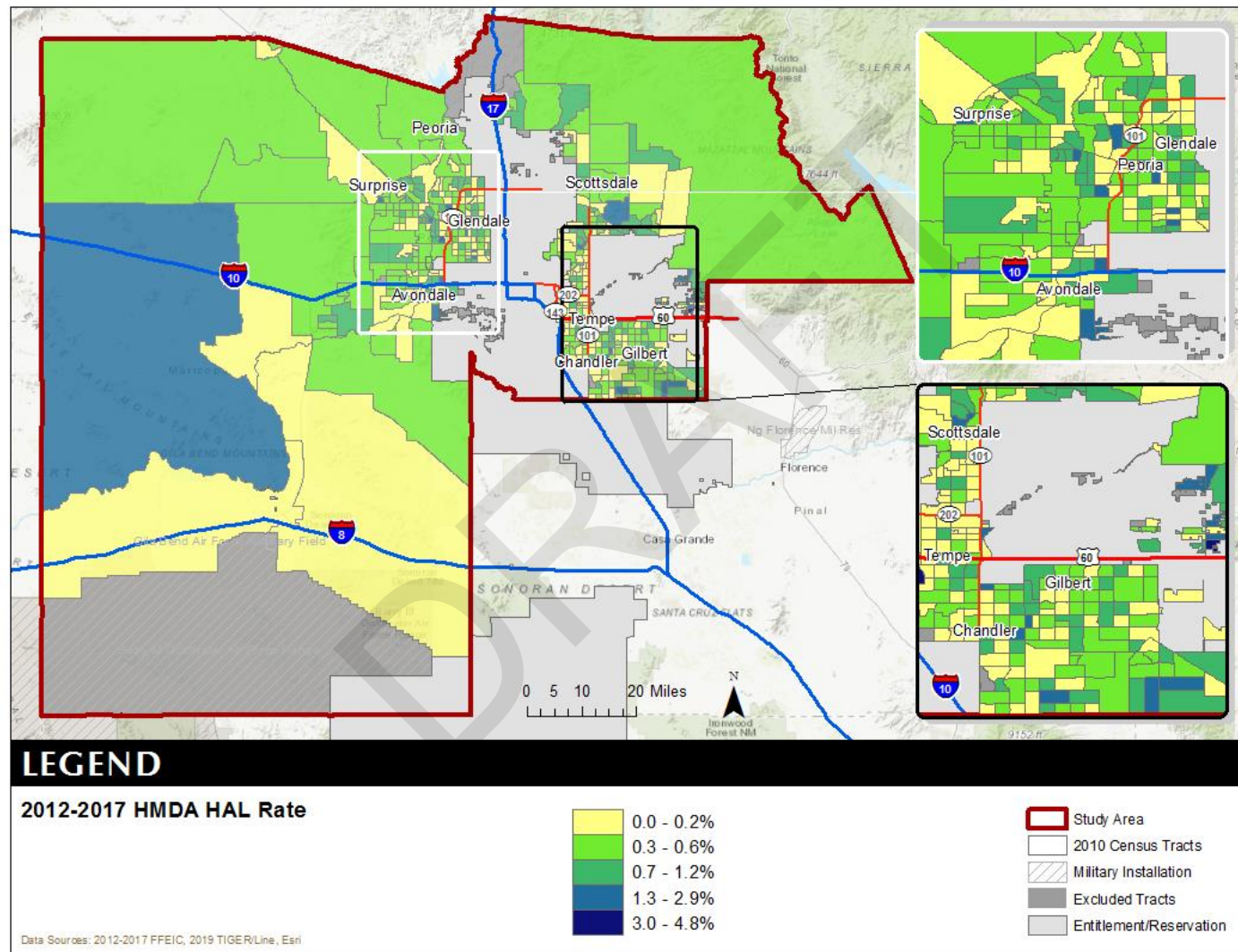
Map IV.28, on the following page, shows mortgage denial rates from 2012 through 2017. There are some areas in the HOME Consortium where these denial rates are more heavily concentrated. These include some of the more urban parts of the County, including around Avondale and Peoria, as well as in the western rural parts of the County.

Map IV.29 shows HAL rates for 2012 through 2017. While HAL rates were typically low during this time period, there was a higher rate of HALs in western rural County, as well as some areas in the more urban part of the County.

Map IV.27
HMDA Mortgage Denials
 Maricopa County HOME Consortium
 2012-2017 HMDA Data



Map IV.28
HMDA HAL Rates
 Maricopa County HOME Consortium
 2012-2017 HMDA Data



F. PUBLICLY SUPPORTED HOUSING ANALYSIS

There are a variety of types and locations of public housing units within the Maricopa County HOME Consortium. According to HUD's AFFH data, there are 7,852 total publicly supported units in the Maricopa County HOME Consortium. Of these, 3,734 are public housing units, 1,493 are Project Based Section 8, and 1,531 are other HUD Multifamily.

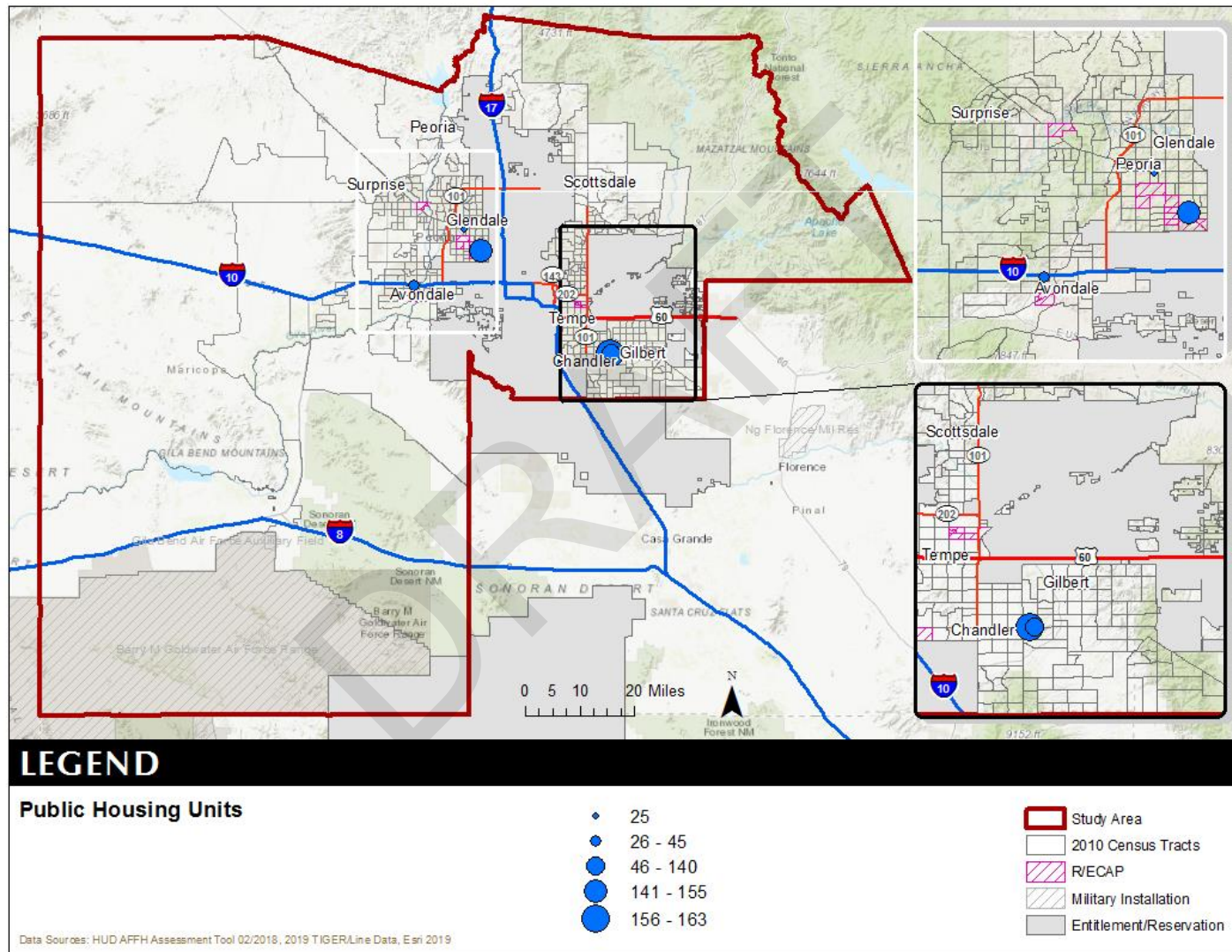
Table IV.58 Residents with Disabilities by Subsidized Housing Type Maricopa County HOME Consortium HUD AFFH Raw Database		
Program	Total Units	Total Disabled Units
Public Housing	868	137
Project Based Section 8	1,493	261
Other HUD Multifamily	568	71
Housing Choice Vouchers	4,923	1,207
Total	7,852	1,676

Map IV.30 shows public housing units in the Maricopa County HOME Consortium as of 2018. Map IV.31 shows Housing Choice Vouchers. Low Income Housing Tax Credit (LIHTC) units are shown in Map IV.32 and Map IV.33 shows other assisted multi-family housing units in the Consortium.

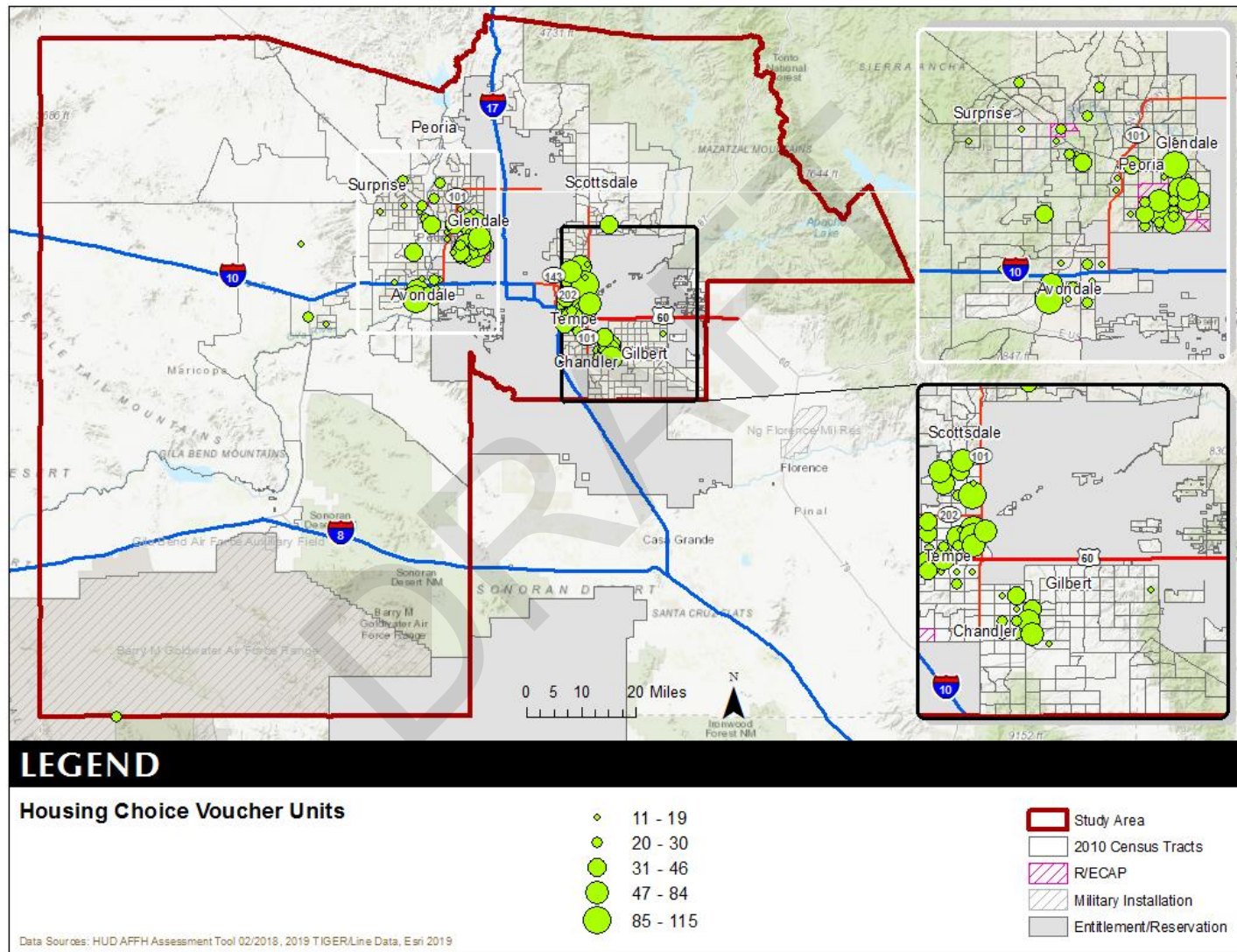
Disparities in Access to Opportunity

The locations of publicly supported housing units are in areas with both high and low access to opportunity. While publicly supported housing units tended to be located in areas with higher access to transportation and job proximity, they also tended to be located in areas with lower school proficiency and with lower access to low poverty areas, as seen in Maps IV.21 and IV.22. However, the Maricopa County HOME Consortium has no control over the location of publicly supported housing units in the County.

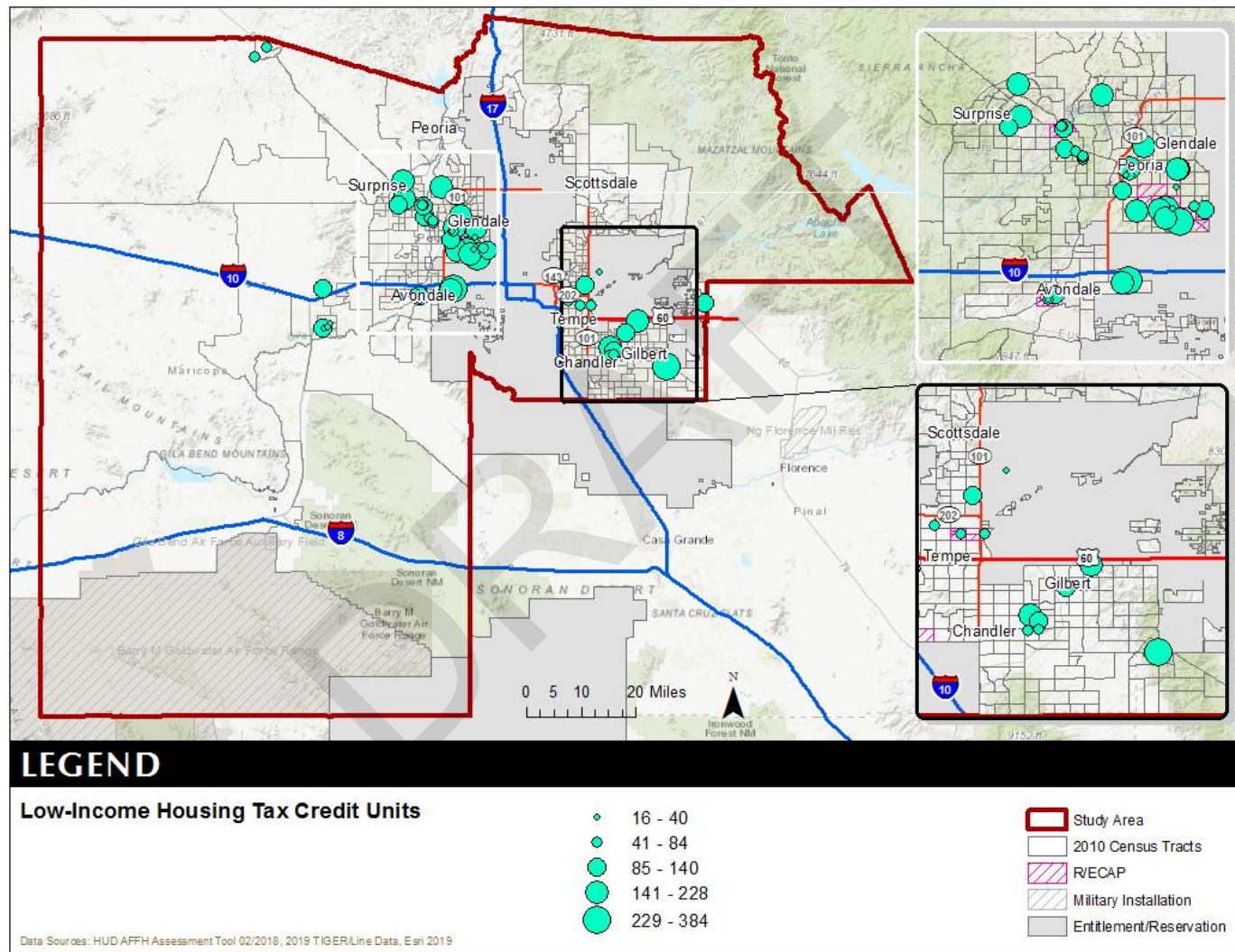
Map IV.30
Public Housing Units
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



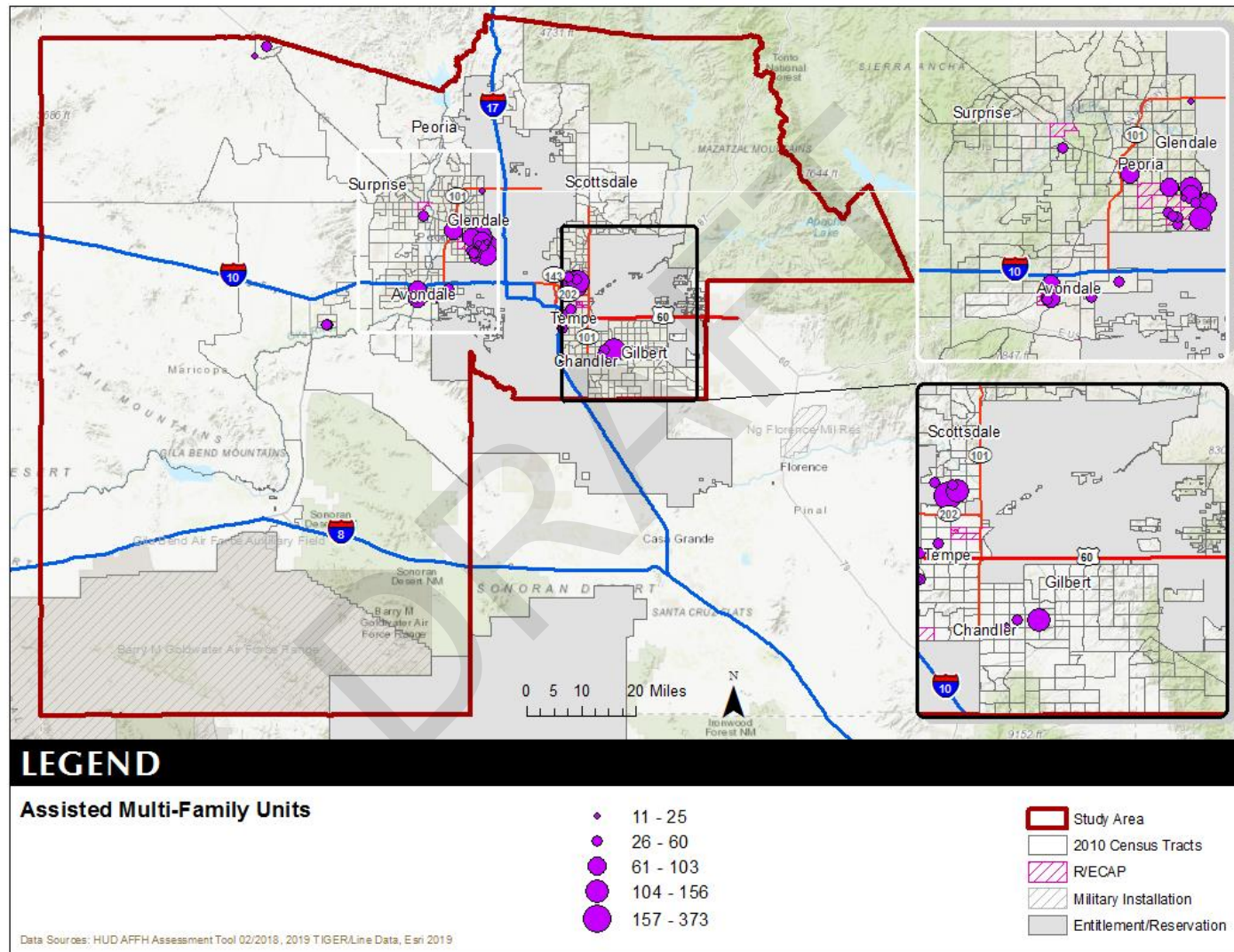
Map IV.31
Housing Choice Voucher Units
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



Map IV.32
Low Income Housing Tax Credit (LIHTC) Units
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



Map IV.33
Other HUD Multi-Family Units
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



G. DISABILITY AND ACCESS ANALYSIS

Section 504 of the Rehabilitation Act of 1973 prohibits discrimination based on disability in any program or activity receiving federal assistance.¹⁴ Title II of the Americans with Disabilities Act of 1990 prohibits discrimination based on disability by public entities. HUD enforces the housing-related activities of public entities, including public housing, housing assistance, and housing referrals.¹⁵

Persons with Disabilities

Disability by age, as estimated by the 2017 ACS, is shown in Table IV.59, below. The disability rate for females was 11.3%, compared to 11.3% for males. The disability rate grew precipitously higher with age, with 46.5% of those over 75 experiencing a disability.

Age	Male		Female		Total	
	Disabled Population	Disability Rate	Disabled Population	Disability Rate	Disabled Population	Disability Rate
Under 5	500	0.8%	368	0.6%	868	0.7%
5 to 17	9,615	5.2%	5,696	3.2%	15,311	4.2%
18 to 34	14,007	6%	9,902	4.4%	23,909	5.2%
35 to 64	39,027	10.3%	43,122	10.7%	82,149	10.5%
65 to 74	22,184	23.6%	22,390	20.5%	44,574	21.9%
75 or Older	29,928	45.8%	38,411	47.1%	68,339	46.5%
Total	115,261	11.3%	119,889	11.3%	235,150	11.3%

The number of disabilities by type, as estimated by the 2017 ACS, is shown in Table IV.60. Some 6.2% have an ambulatory disability, 4.8% have an independent living disability, and 2.2% have a self-care disability. The total in the table below may be greater than the table in Table IV.59 because persons may have more than one disability.

Disability Type	Population with Disability	Percent with Disability
Hearing disability	77,064	3.7%
Vision disability	44,053	2.1%
Cognitive disability	80,319	4.1%
Ambulatory disability	121,716	6.2%
Self-Care disability	43,308	2.2%
Independent living difficulty	76,075	4.8%

¹⁴ 29 U.S.C. §§794

¹⁵ 42 U.S.C. §§ 12131 – 12165

Housing Accessibility

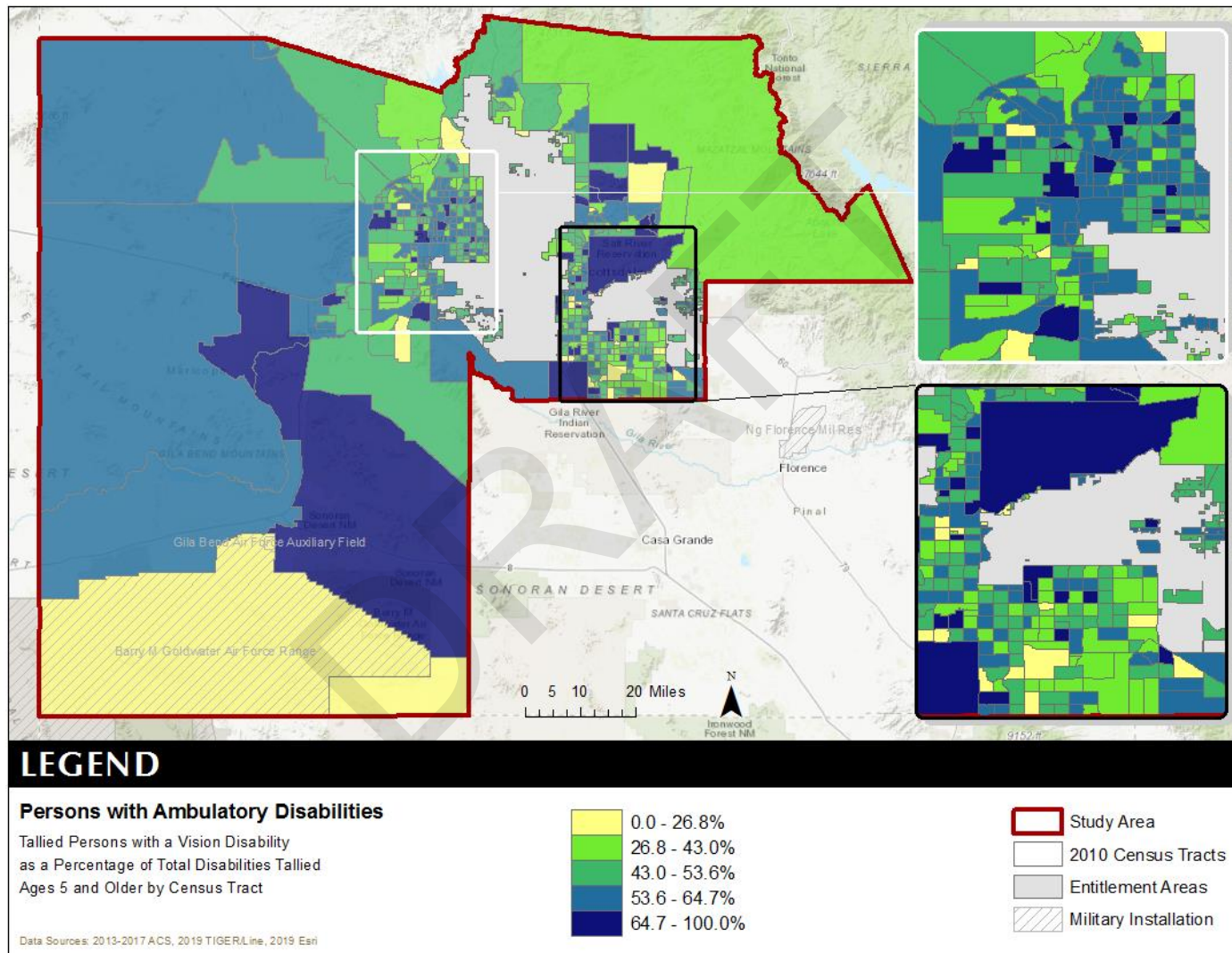
Accessible housing units are located throughout the County. However, many newer housing units are located outside city center areas. These newer housing units are more likely to have the mandatory minimum accessibility features.

According to HUD's AFFH database, 21.3% of publicly supported housing units are accessible. This exceeds the rate of disability for the general population in the HOME Consortium.

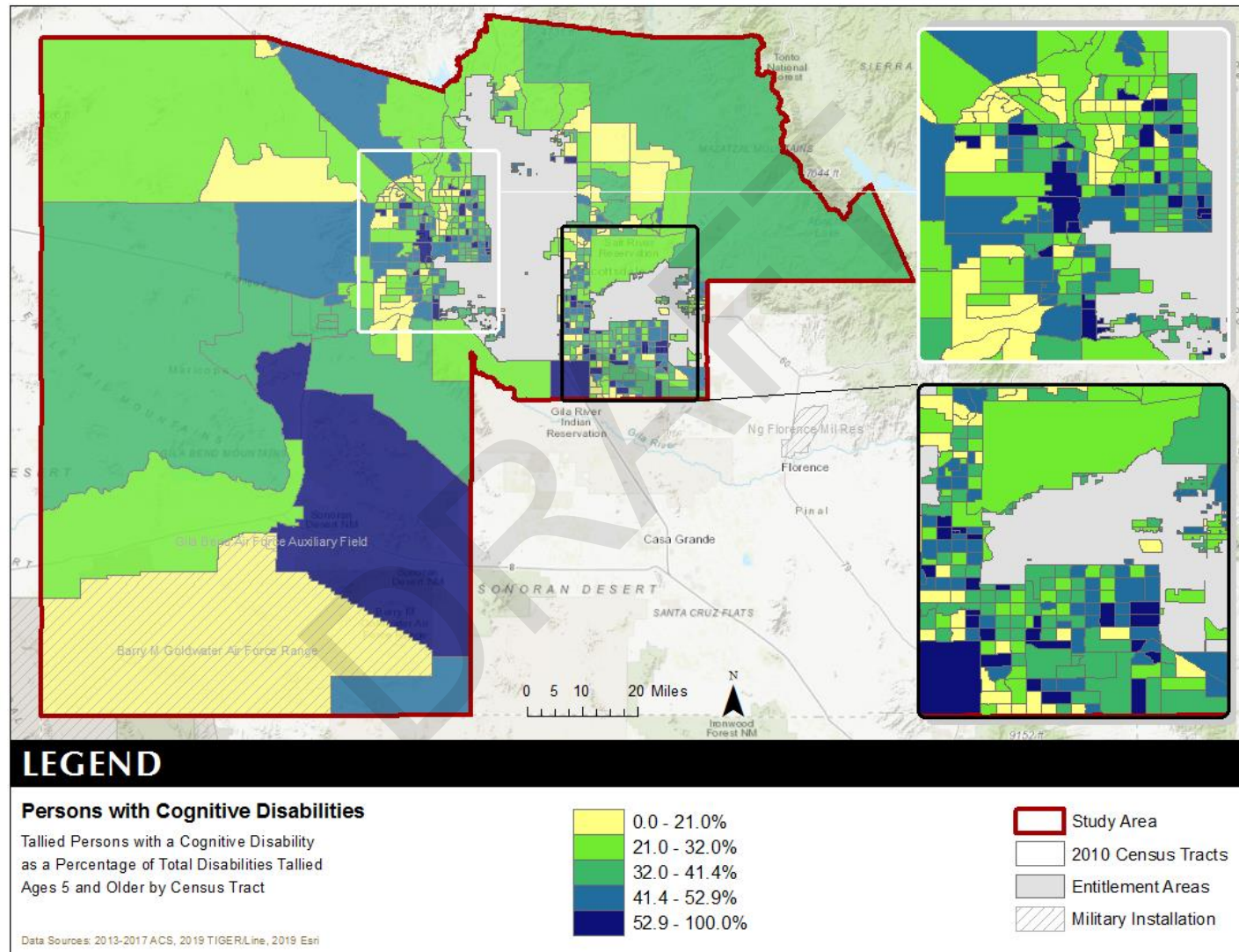
Table IV.61 Residents with Disabilities by Subsidized Housing Type Maricopa County HOME Consortium HUD AFFH Raw Database		
Program	Total Units	Total Disabled Units
Public Housing	868	137
Project Based Section 8	1,493	261
Other HUD Multifamily	568	71
Housing Choice Vouchers	4,923	1,207
Total	7,852	1,676

The maps on the following pages show the distribution of households with various disabilities. There does not appear to be a concentration of households by disability type in any one area of the Consortium.

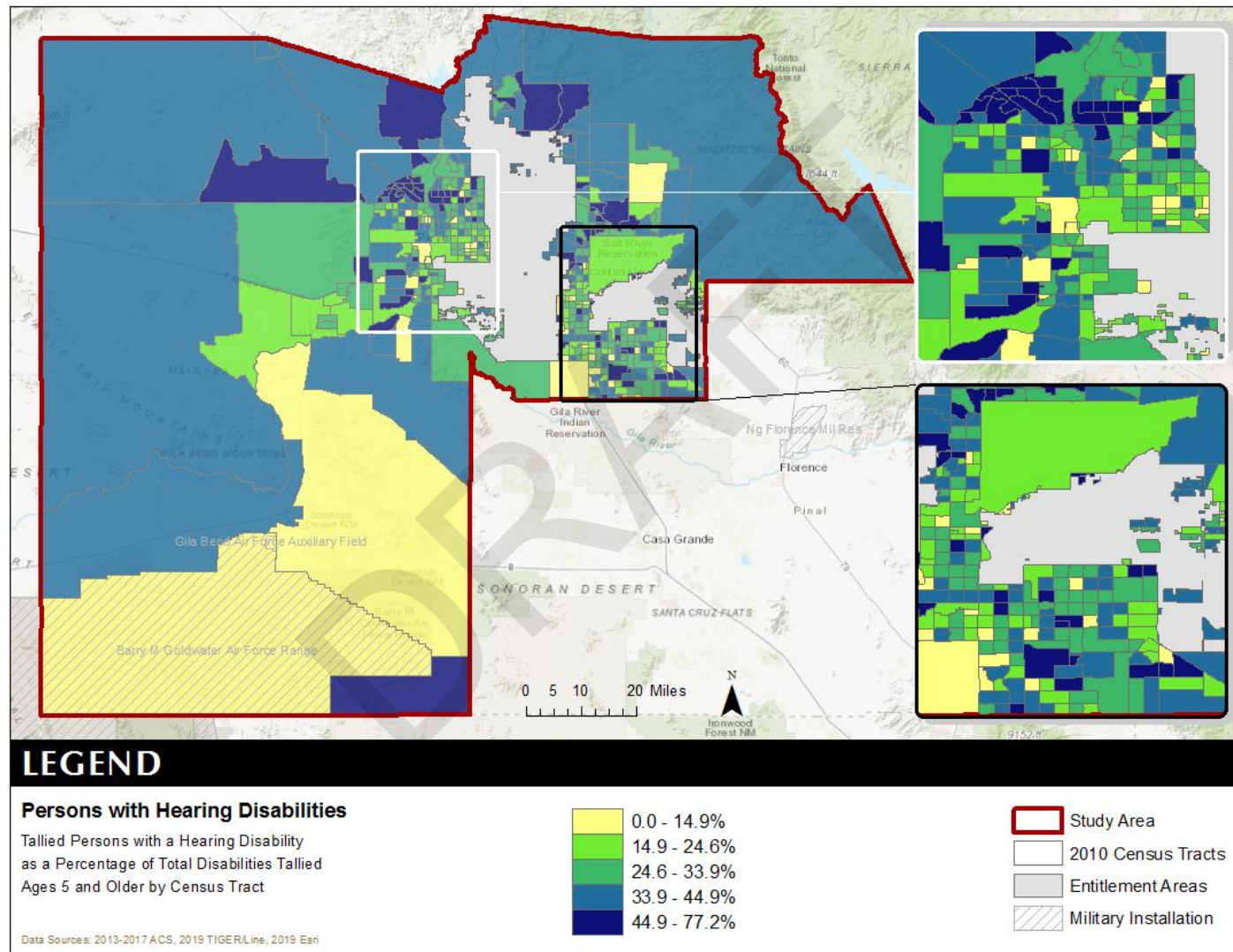
Map IV.34
Persons with Ambulatory Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



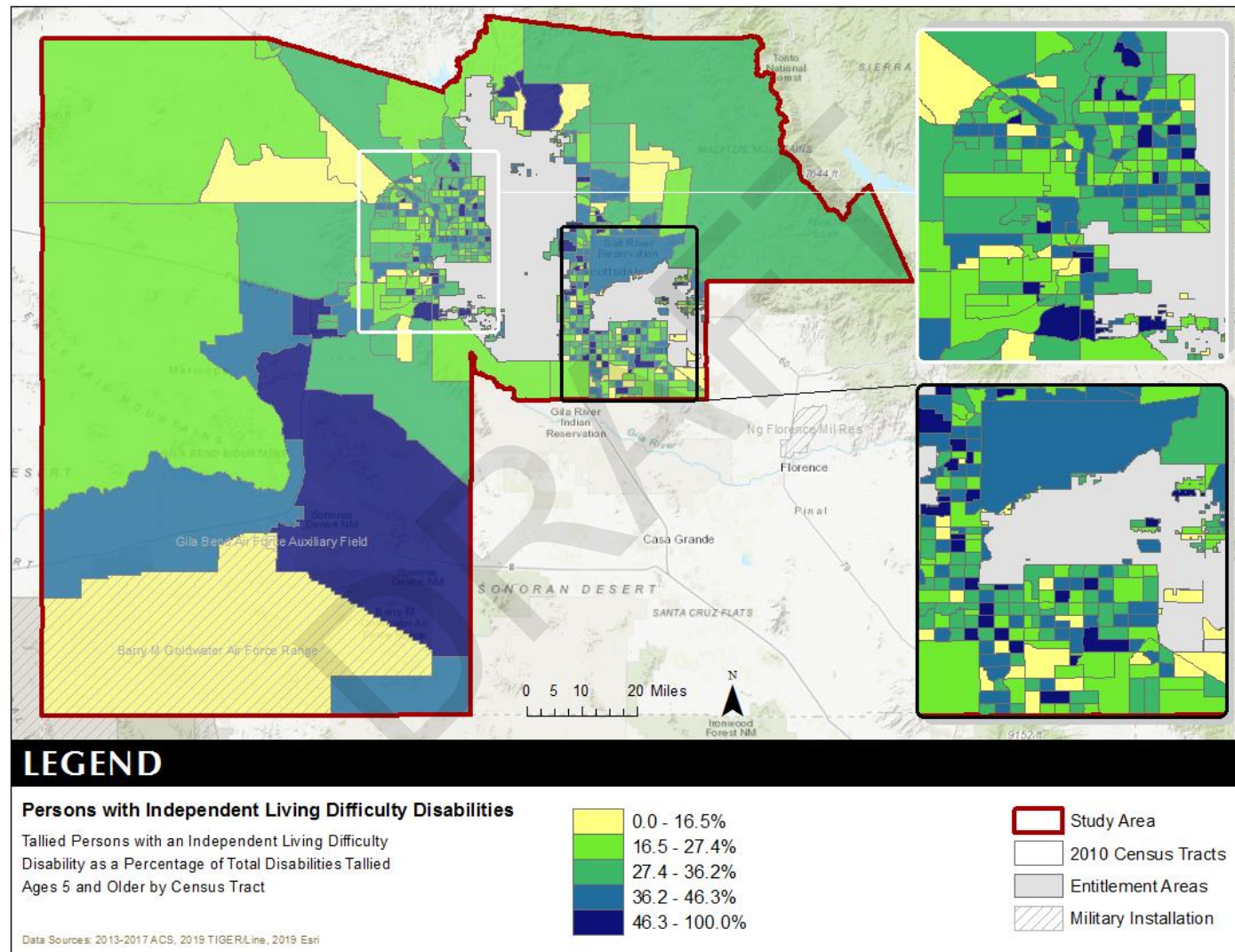
Map IV.35
Persons with Cognitive Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



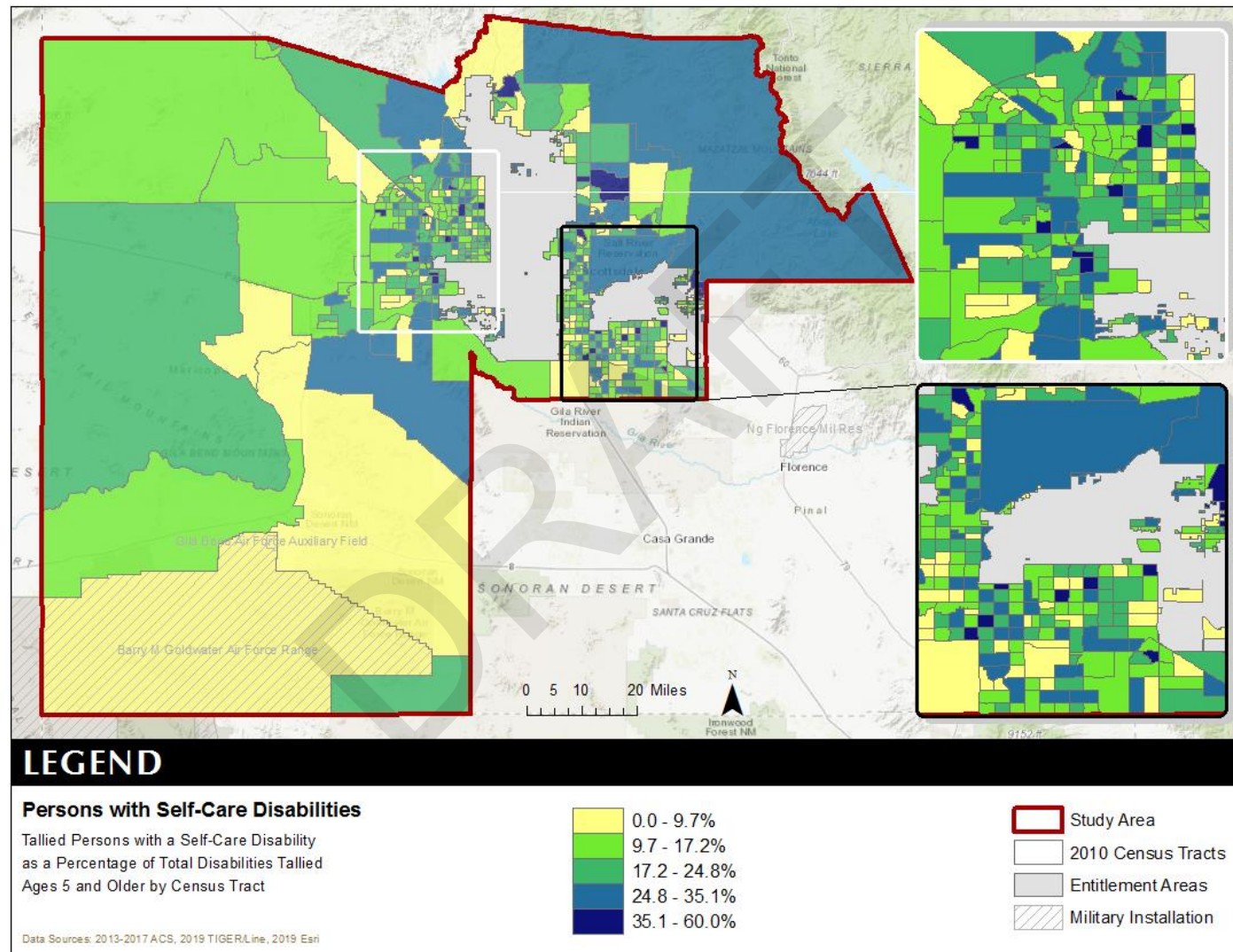
Map IV.36
Persons with Hearing Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



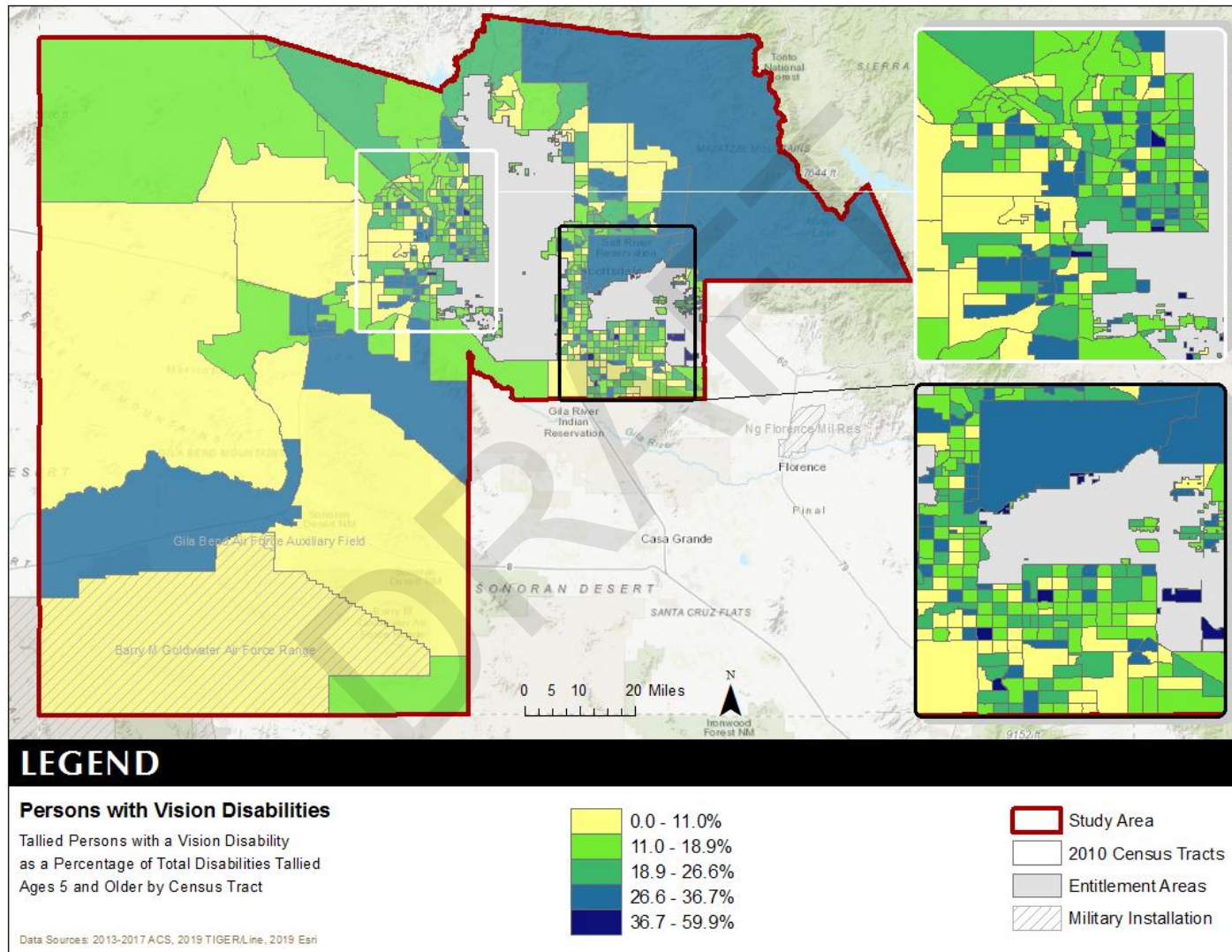
Map IV.37
Persons with Independent Living Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



Map IV.38
Persons with Self Care Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



Map IV.39
Persons with Vision Disabilities
 Maricopa County HOME Consortium
 2017 ACS, 2017 Tigerline, HUD AFFH Tool



H. FAIR HOUSING ENFORCEMENT, OUTREACH CAPACITY, & RESOURCES

FEDERAL FAIR HOUSING LAWS

Federal laws provide the backbone for U.S. fair housing regulations. The following federal and state rules, regulations, and executive orders inform municipalities and developers of their fair housing obligations and the rights of protected classes. Many of these statutes were successful in generating specialized resources, such as data, to aid organizations, government entities, and individuals in affirmatively furthering fair housing. While some laws have been previously discussed in this report, a list of laws related to fair housing, as defined on the U.S. Department of Housing and Urban Development's (HUD's) website, is presented below:

Title VIII of the Civil Rights Act of 1968 (Fair Housing Act)¹⁶

The Fair Housing Act prohibits discrimination in the sale, rental, financing, and insuring of housing on the basis of race, color, religion, sex, and national origin. In 1988, the act was amended to include family status and disability as protected classes, which includes children under the age of 18 living with parents or legal custodians, pregnant women, and persons securing custody of children under the age of 18. Jurisdictions may add protected classes but are not allowed to subtract from the seven federally protected classes.¹⁷ The Act also contains design and construction accessibility provisions for certain new multi-family dwellings developed for first occupancy on or after March 13, 1991.¹⁸ On April 30, 2013, HUD and the Department of Justice released a Joint Statement that provides guidance regarding the persons, entities, and types of housing and related facilities that are subject to the accessible design and construction requirements of the Act.

It is unlawful under the Act to discriminate against a person in a protected class by: Refusing to sell or rent after the making of a bona fide offer, or to refuse to negotiate for the sale or rental of, or otherwise make unavailable or deny, a dwelling to any person because of race, color, religion, sex, familial status, or national origin; discriminating against any person in the terms, conditions, or privileges of sale or rental of a dwelling, or in the provision of services or facilities based on a protected class; representing that a dwelling is not available for inspection, sale, or rental when it is, in fact, available; publishing an advertisement indicating any preference, limitation, or discrimination against a protected class; or refusing to allow a person with a disability to make a reasonable modification to the unit at the renter's own expense.

There are several exceptions to the law. It is legal for developments or buildings for the elderly to exclude families with children. In addition, single-family homes being sold by the owner of an owner-occupied 2 family home may be exempt, unless a real estate agency is involved, if they have advertised in a discriminatory way, or if they have made discriminatory statements. There are no exemptions for race discrimination because race is covered by other civil rights laws.

The following are examples of Fair Housing Act violations:

1. Making any representation, directly or implicitly, that the presence of anyone in a protected class in a neighborhood or apartment complex may or will have the effect of lowering property

¹⁶ 42 U.S.C. 3601, et. Seq., as amended in 1988

¹⁷ "HUD Fair Housing Laws and Presidential Executive Orders."

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/FHLaws

¹⁸ "Title VIII: Fair Housing and Equal Opportunity."

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/progdesc/title8

taxes, reduce safety, make the neighborhood and/or schools worse, change the character of the neighborhood, or change the ability to sell a home.

2. Providing inconsistent, lesser, or unequal service to customers or clients who are members of a protected class, such as failing to return calls from a buyer agent to avoid presenting a contract to your seller, avoiding or delaying an appointment for a showing a listing, making keys unavailable, failing to keep appointments, or refusing maintenance or repairs to an apartment.
3. Requiring higher standards for a member of a protected class, including asking for more references or demanding a higher credit rating.
4. Requiring employers to make distinctions on applications, or in the application process, among protected class members, including marking applications to indicate race, sex, etc. of applicant or misrepresenting availability for particular protected classes.
5. Advertising in a manner that indicates a preference for a particular class and thereby excluding protected class members.

Title VI of the Civil Rights Act of 1964

Title VI prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving federal financial assistance, including denying assistance, offering unequal aid, benefits, or services, aiding or perpetuating discrimination by funding agencies that discriminate, denying planning or advisory board participation, using discriminatory selection or screening criteria, or perpetuating the discrimination of another recipient based on race, color, or national origin.

Section 504 of the Rehabilitation Act of 1973

The Act prohibits discrimination based on disability in any program or activity receiving federal financial assistance. The concept of “reasonable accommodations” and “reasonable modifications” was clarified in memos dated May 17, 2004 and March 5, 2008. Reasonable accommodations are changes in rules, policies, practices, or services so that a person with a disability can participate as fully in housing activities as someone without a disability. Reasonable modifications are structural changes made to existing premises, occupied or to be occupied by a person with a disability so they can fully enjoy the premises.

Section 109 of the Housing and Community Development Act of 1974

Section 109 prohibits discrimination on the basis of race, color, national origin, sex, or religion in programs or activities funded from HUD’s Community Development Block Grant Program.

Title II of the Americans with Disabilities Act of 1990

Title II applies to state and local government entities and protects people with disabilities from discrimination on the basis of disability in services, programs, and activities. HUD enforces Title II when it relates to state and local public housing, housing assistance, and housing referrals.

Architectural Barriers Act of 1968

The Act requires that buildings and facilities designed, constructed, altered, or leased with certain federal funds after September 1969 be accessible to and useable by persons with disabilities. The ABA

specifies accessibility standards for ramps, parking, doors, elevators, restrooms, assistive listening systems, fire alarms, signs, and other accessible building elements and are enforced through the Department of Defense, HUD, the General Services Administration, and the U.S. Postal Services.

Age Discrimination Act of 1975

The Age Discrimination Act prohibits discrimination on the basis of age in programs or activities receiving federal financial assistance, applies to all ages, and may be enforced by the head of any Federal department or agency by terminating grant funding for those with an express finding on the record who fail to comply with the Act after reasonable notice. HUD established regulations for implementation of the Age Discrimination Act for HUD programs.

Title IX of the Education Amendments Act of 1972

Title IX prohibits discrimination on the basis of sex or blindness in education programs or activities that receive federal financial assistance.¹⁹

Violence Against Women Act

VAWA provides housing protections for victims of domestic violence, dating violence, sexual assault, and stalking in many of HUD's housing programs. VAWA also requires the establishment of emergency transfer plans for facilitating the emergency relocation of certain tenants who are victims of domestic violence, dating violence, sexual assault, or stalking.²⁰

The Home Mortgage Disclosure Act (HMDA) of 1975

HMDA requires both depository and non-depository lenders to collect and publicly disclose information about housing-related applications and loans, including the race, ethnicity, sex, loan amount, and income of mortgage applicants and borrowers by Census tract. Depository institutions that meet the following criteria are required to report:

- Bank, credit union, or savings association
- Total assets must exceed the coverage threshold²¹
- The institution must have had a home or branch office in a Metropolitan Statistical Area (MSA)
- The institution must have originated or refinanced at least one home purchase loan secured by a first lien on a one- to four-family dwelling
- The institution must be federally insured or regulated
- The mortgage loan must have been insured, guaranteed, or supplemented by a federal agency or intended for sale to Fannie Mae or Freddie Mac

For other institutions, including non-depository institutions, the reporting criteria are:

1. The institution must be a for-profit organization
2. The institution's home purchase loan originations must equal or exceed 10% of the institution's total loan originations, or more than \$25 million

¹⁹ "HUD Fair Housing Laws and Presidential Executive Orders."

²⁰ https://www.hud.gov/program_offices/fair_housing_equal_opp/fair_housing_and_related_law#executive%20orders

²¹ Each December, the Federal Reserve announces the threshold for the following year. The asset threshold may change from year to year based on changes in the Consumer price Index for Urban Wage Earners and Clerical Workers.

3. The institution must have had a home or branch office in an MSA or have received applications for, originated, or purchased five or more home purchase loans, home improvement loans, or refinancing on property located in an MSA in the preceding calendar year
4. The institution must have assets exceeding \$10 million or have originated 100 or more home purchases in the preceding calendar year

In addition to reporting race and ethnicity data for loan applicants, the HMDA reporting requirements were modified in response to the Predatory Lending Consumer Protection Act of 2002 as well as the Home Owner Equity Protection Act (HOEPA). Consequently, loan originations are now flagged in the data system for three additional attributes:

1. If they are HOEPA loans
2. Lien status, such as whether secured by a first lien, a subordinate lien, not secured by a lien, or not applicable (purchased loans)
3. Presence of high-annual percentage rate loans (HALs), defined as more than three percentage points for purchases when contrasted with comparable treasury instruments or five percentage points for refinance loans

EXECUTIVE ORDERS

Executive Order 11063 Equal Opportunity in Housing

Signed by President Kennedy on November 20, 1962, the Order prohibits discrimination based on race, color, religion, creed, sex, or national origin in the sale, leasing, rental, or other disposition of properties and facilities owned, operated, or funded by the federal government. The Order also prohibits discrimination in lending practices that involve loans insured or guaranteed by the federal government.

Executive Order 12892 Leadership and Coordination of Fair Housing in Federal Programs: Affirmatively Furthering Fair Housing

Signed by President Clinton on January 11, 1994, the Order required federal agencies to affirmatively further fair housing in the programs and activities with the Secretary of HUD coordinating the effort, and established the President's Fair Housing Council, which is chaired by the Secretary of HUD.

Executive Order 12898 Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations

Signed by President Clinton on February 11, 1994, the order requires federal agencies to practice environmental justice in its programs, policies, and activities. Specifically, developers and municipalities using federal funds must evaluate whether or not a project is located in a neighborhood with a concentration of minority and low-income residents or a neighborhood with disproportionate adverse environmental effects on minority and low-income populations. If those conditions are met, viable mitigation measures or alternative project sites must be considered.

Executive Order 13166 Improving Access to Services for Persons with Limited English Proficiency

Signed by President Clinton on August 11, 2000, the Order eliminates limited English proficiency as a barrier to full and meaningful participation in federal programs by requiring federal agencies to examine the services they provide, identify the need for LEP services, then develop and implement a

system to provide those services. The Department of Justice issued policy guidance which set forth compliance standards to ensure accessibility to persons with LEP.

Executive Order 13217 Community Based Alternatives for Individuals with Disabilities

Signed by President Bush on June 18, 2001, the Order requires federal agencies to evaluate their policies and programs to determine if they need to be revised to improve the availability of community-based living arrangements for persons with disabilities, noting that isolating or segregating people with disabilities in institutions is a form of disability-based discrimination prohibited by Title II of the ADA.

Equal Access Rule

In 2016, the U.S. Department of Housing and Urban Development published a final rule in the Federal Register entitled “Equal Access in Accordance with an Individual’s Gender Identity in Community Planning and Development Programs” that ensures equal access to persons in accordance with their gender identity for all Office of Community Planning and Development Programs. The 2016 rule built upon HUD’s 2012 rule entitled “Equal Access to Housing in HUD Programs Regardless of Sexual Orientation or Gender Identity” that ensured that HUD’s housing programs would be open to all eligible individuals and families regardless of sexual orientation, gender identity, or marital status.

STATE FAIR HOUSING LAWS AND RESOURCES

Arizona law protects your right to have a place to live and makes it unlawful for any person to discriminate in connection with housing because of an individual’s race, color, religion, sex, national origin, familial status, or physical or mental disability.

Civil Rights Division of the Arizona Attorney General’s Office

The mission of the Civil Rights Division of the Arizona Attorney General’s Office is to enforce civil rights laws, increase public awareness of civil rights, provide dispute resolution services, and offer community services throughout the State.²²

The Division’s major duty is to enforce state statutes that prohibit discrimination in employment, voting, public accommodations, disability and housing by investigating and litigating civil rights complaints. In addition, the Division provides conflict resolution services and mediation programs statewide, including many court and agency programs.

Phoenix Civil Rights Division

2005 N Central Ave
Phoenix, AZ 85004-2926 (602) 542-5263
TTY (602) 542-5002
(877) 491-5742
TTY (877) 624-8090
Fax: (602) 542-8885
CivilRightsInfo@azag.gov
<https://www.azag.gov/civil-rights/fair-housing>

²² <https://www.azag.gov/civil-rights>

Southwest Fair Housing Council

The Southwest Fair Housing Council's mission is to provide comprehensive services to achieve and preserve equal access to housing for all people.²³ The Southwest Fair Housing Council is a non-profit, tax-exempt fair housing organization established in 1986. SWFHC is based in Tucson, Arizona and provides services throughout Arizona.

177 N Church Ave, Suite 1104
Tucson, AZ 85701
1-888-624-4611
(520) 798-1568
TTY: (520) 670-0233
<http://swfhc.com/>

FAIR HOUSING COMPLAINTS

Federal Fair Housing Law prohibits housing discrimination based on race, color, national origin, religion, sex, familial status, or disability. An individual may file a complaint if they feel their rights have been violated. HUD maintains records of complaints that represent potential and actual violations of federal housing law.

Fair Housing and Equal Opportunity (FHEO) begins its complaint investigation process shortly after receiving a complaint. A complaint must be filed within one year of the last date of the alleged discrimination under the Fair Housing Act. Other civil rights authorities allow for complaints to be filed after one year for good cause, but FHEO recommends filing as soon as possible. Generally, FHEO will either investigate the complaint or refer the complaint to another agency to investigate. Throughout the investigation, FHEO will make efforts to help the parties reach an agreement. If the complaint cannot be resolved voluntarily by an agreement, FHEO may issue findings from the investigation. If the investigation shows that the law has been violated, HUD or the Department of Justice may take legal action to enforce the law.

Table IV.62 shows Fair Housing Complaints by basis for the period between 2008 through June, 2019. During this period, there were a total of 778 complaints. The most common complaint was on the basis of disability, accounting for 342 complaints, or 44% of all complaints. This was followed by race, accounting for 144 complaints, or 18.5% of all complaints.

Table IV.62
Fair Housing Complaints by Basis
Maricopa County HOME Consortium
HUD Fair Housing Complaints

Basis	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
Disability	30	25	32	34	26	28	22	34	36	32	28	15	342
Race	17	13	11	13	10	9	11	10	13	11	16	10	144
National Origin	19	8	5	7	10	5	7	7	5	4	7	2	86
Familial Status	22	6	6	5	7	2	3	4	7	8	4	2	76
Retaliation	5	4	4	3	7	5	5	9	4	10	9	5	70
Sex	4	2	3	0	6	2	2	2	4	6	3	2	36

²³ <http://swfhc.com/swfhc>

Religion	3	0	2	0	2	1	2	1	1	2	2	1	17
Color	0	0	0	1	1	0	0	4	0	0	0	1	7
Total Basis	100	58	63	63	69	52	52	71	70	73	69	38	778
Total Complaints	87	51	48	55	51	45	43	52	58	58	49	27	624

Table IV.63 shows Fair Housing complaints by closure during this time period. In 403 of these complaints, there were no cause determination. In 99 of these complaints, there was successful settlement/conciliation.

Table IV.63
Fair Housing Complaints by Closure
Maricopa County HOME Consortium
HUD Fair Housing Complaints

Basis	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
No cause determination	68	30	35	29	37	36	28	39	37	31	29	6	405
Conciliation/settlement successful	6	4	6	12	6	6	6	10	14	17	11	1	99
Complaint withdrawn by complainant after resolution	6	6	4	5	6	2	6	2	2	3	4	0	46
Complainant failed to cooperate	1	3	2	5	1	1	1	1	3	3	2	1	24
Complaint withdrawn by complainant without resolution	3	3	1	1	1	0	1	0	1	2	0	0	13
Dismissed for lack of jurisdiction	1	3	0	1	0	0	0	0	1	1	0	1	8
Unable to locate complainant	1	1	0	1	0	0	0	0	0	0	0	0	3
Fair Housing Assistance Program (FHAP) judicial consent order	0	1	0	0	0	0	0	0	0	0	0	0	1
Election made to go to court	1	0	0	0	0	0	0	0	0	0	0	0	1
Litigation ended - no discrimination found	0	0	0	1	0	0	0	0	0	0	0	0	1
FHAP judicial dismissal	0	0	0	0	0	0	0	0	0	0	0	0	0
Unable to locate respondent	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Closures	87	51	48	55	51	45	42	52	58	57	46	9	601
Total Complaints	87	51	48	55	51	45	43	52	58	58	49	27	624

Table IV.64 below shows Fair Housing complaints by issue. Each fair housing complaint may have more than one issue associated with it. Therefore, the total number of issues may exceed the total number of complaints. The most common issue, accounting for 238 issues, was failure to make reasonable accommodation. This was followed by discriminatory terms, conditions, privileges, or services and facilities, accounting for 161 complaints; which was followed by discrimination in terms/conditions/privileges relating to rental, accounting for 151 complaints.

Table IV.64
Fair Housing Complaints by Issue

Maricopa County HOME Consortium
HUD Fair Housing Complaints

Issue	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
Failure to make reasonable accommodation	19	17	16	2	12	22	18	25	26	27	22	10	238
Discriminatory terms, conditions, privileges, or services and facilities	12	16	14	15	14	17	13	10	18	11	11	10	161
Discrimination in terms/conditions/privileges relating to rental	16	6	10	8	6	10	11	12	23	17	20	12	151
Discriminatory refusal to rent	8	7	10	7	13	8	4	6	4	10	12	4	93
Discriminatory acts under Section 818 (coercion, Etc.)	8	7	6	10	11	7	3	7	2	7	13	6	87
Discriminatory advertising, statements and notices	17	3	2	2	3	2	2	1	2	5	3	1	43
Discriminatory refusal to rent and negotiate for rental	5	4	10	4	3	1	3	2	2	3	1	0	38
Otherwise deny or make housing unavailable	1	0	0	2	0	0	1	0	2	2	11	6	25
Other discriminatory acts	6	4	6	0	0	0	0	1	1	1	0	2	21
Discrimination in terms/conditions/privileges relating to sale	3	1	3	0	6	2	0	2	0	2	1	0	20
Failure to permit reasonable modification	3	2	1	2	1	1	2	2	1	1	2	0	18
Discriminatory financing (includes real estate transactions)	1	0	3	1	6	1	0	0	0	0	0	0	12
Discriminatory refusal to negotiate for rental	0	0	0	0	0	0	0	1	4	0	5	0	11
Discriminatory advertisement - rental	11	0	0	0	0	0	0	0	0	0	0	0	11
Discriminatory advertisement - sale	11	0	0	0	0	0	0	0	0	0	0	0	11
Discriminatory refusal to sell	3	0	0	0	3	1	0	0	1	0	1	0	9
False denial or representation of availability - rental	3	0	2	0	2	0	1	0	0	0	0	0	8
Discrimination in services and facilities relating to rental	1	0	2	1	0	1	0	2	1	0	0	0	8
Discrimination in terms and conditions of membership	1	0	0	0	0	0	0	1	2	0	2	1	7
Discrimination in the making of loans	0	0	1	3	2	0	0	0	0	0	0	0	6
Discriminatory refusal to negotiate for sale	1	0	0	0	1	0	0	1	0	0	1	0	4
Discriminatory refusal to sell and negotiate for sale	2	0	1	0	0	0	0	0	0	0	0	0	3
Discrimination in the terms/conditions for making loans	0	0	0	0	2	0	0	0	0	1	0	0	3
Discrimination in the purchasing of loans	1	0	0	0	0	0	0	0	0	0	0	1	2
Steering	1	0	0	0	0	0	0	0	0	0	1	0	2
Discrimination in the selling of residential real property	0	0	1	0	0	0	0	0	0	1	0	0	2
Failure to provide accessible and usable public and common user areas	0	0	1	0	0	0	0	0	0	0	1	0	2
False denial or representation of availability - sale	2	0	0	0	0	0	0	0	0	0	0	0	2
Non-compliance with design and construction requirements (handicap)	1	0	0	0	0	0	0	0	0	0	0	0	1
Discrimination in services and facilities relating to sale	0	0	1	0	0	0	0	0	0	0	0	0	1
Discriminatory acts under Section 901 (criminal)	0	1	0	0	0	0	0	0	0	0	0	0	1
Failure to provide usable kitchens and bathrooms	0	0	1	0	0	0	0	0	0	0	0	0	1
False denial or representation of availability	0	0	0	0	0	0	0	0	1	0	0	0	1
Other non-compliance with design and construction requirements	1	0	0	0	0	0	0	0	0	0	0	0	1
Redlining	0	0	1	0	0	0	0	0	0	0	0	0	1
Refusing to provide municipal services or property	0	0	0	0	0	0	0	0	0	0	1	0	1
Restriction of choices relative to a rental	0	0	0	0	0	0	0	0	0	0	0	1	1
Using ordinances to discriminate in zoning and land use	0	0	0	0	0	0	1	0	0	0	0	0	1
Total Issues	138	68	91	79	86	73	59	73	90	88	108	54	1,007
Total Complaints	87	51	48	55	51	45	43	52	58	58	49	27	624

HUD COMPLAINTS WITH CAUSE

Complaints with cause by basis is shown in Table IV.65. The most common complaint with cause was for disability, accounting for 93 of the 146 total complaints with cause.

Table IV.65 Fair Housing Complaints Found with Cause by Basis Maricopa County HOME Consortium HUD Fair Housing Complaints													
Basis	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
Disability	5	8	7	10	8	7	7	10	8	12	11	0	93
National Origin	2	2	1	2	3	0	2	3	2	2	3	0	22
Race	0	2	0	5	2	0	2	0	3	4	2	1	21
Familial Status	4	0	2	1	0	1	1	1	3	3	2	0	18
Retaliation	0	1	1	1	2	0	1	1	1	4	3	0	15
Sex	1	0	1	0	1	0	0	0	2	2	0	0	7
Religion	0	0	0	0	0	0	0	0	0	0	1	0	1
Color	0	0	0	0	1	0	0	0	0	0	0	0	1
Total Basis	12	13	12	19	17	8	13	15	19	27	22	1	178
Total Complaints with Cause	12	11	10	17	12	8	12	12	16	20	15	1	146

Fair Housing complaints with cause by issue are shown in Table IV.66. The most issue with complaints with cause was failure to make reasonable accommodation, accounting for 73 issues. This was followed by discriminatory terms, conditions, privileges, or services and facilities, accounting for 34 issues.

Table IV.66
Fair Housing Complaints Found with Cause by Issue
 Maricopa County HOME Consortium
 HUD Fair Housing Complaints

Issue	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	Total
Failure to make reasonable accommodation	3	6	4	0	5	7	6	9	6	11	10	0	73
Discriminatory terms, conditions, privileges, or services and facilities	1	1	2	6	3	3	4	1	5	4	4	0	34
Discrimination in terms/conditions/privileges relating to rental	3	0	1	0	0	1	3	2	4	4	6	1	25
Discriminatory refusal to rent	2	1	2	2	4	1	1	1	1	4	4	0	23
Discriminatory acts under Section 818 (coercion, Etc.)	1	0	2	2	2	2	0	0	0	5	5	0	19
Discriminatory advertising, statements and notices	2	0	0	0	0	1	0	1	0	4	2	0	10
Discriminatory refusal to rent and negotiate for rental	0	1	0	1	0	1	0	0	0	3	0	0	6
Discriminatory financing (includes real estate transactions)	1	0	3	1	1	0	0	0	0	0	0	0	6
Failure to permit reasonable modification	0	1	1	0	1	0	0	0	0	1	1	0	5
Discriminatory refusal to negotiate for rental	0	0	0	0	0	0	0	0	1	0	3	0	4
Discrimination in the making of loans	0	0	0	3	1	0	0	0	0	0	0	0	4
Discrimination in terms/conditions/privileges relating to sale	0	0	2	0	1	0	0	0	0	0	0	0	3
Other discriminatory acts	0	1	0	0	0	0	0	1	1	0	0	0	3
Discrimination in terms and conditions of membership	0	0	0	0	0	0	0	0	2	0	0	0	2
Otherwise deny or make housing unavailable	0	0	0	0	0	0	0	0	0	1	1	0	2
Discrimination in services and facilities relating to rental	0	0	0	0	0	0	0	1	1	0	0	0	2
Discrimination in the purchasing of loans	1	0	0	0	0	0	0	0	0	0	0	0	1
Discriminatory refusal to negotiate for sale	0	0	0	0	0	0	0	1	0	0	0	0	1
Discriminatory advertisement - rental	1	0	0	0	0	0	0	0	0	0	0	0	1
Discriminatory advertisement - sale	1	0	0	0	0	0	0	0	0	0	0	0	1
Failure to provide accessible and usable public and common user areas	0	0	0	0	0	0	0	0	0	0	1	0	1
Total Issues	16	11	17	21	18	16	14	17	21	37	37	1	226
Total Complaints	12	11	10	17	12	8	12	12	16	20	15	1	146

I. FAIR HOUSING SURVEY RESULTS

The Fair Housing survey has a total of 129 responses. The majority of survey respondents are homeowners, representing 85 respondents.

Table IV.67 Which of the following describes your current housing situation? Maricopa County Fair Housing Survey	
Housing	Total
Homeowner	85
Renter	34
Other	0
Missing	3
Total	129

As seen in Table IV.68, most respondents with a specific primary housing role indicated their role as from local or state government, a homeowner's association, or property management. In addition, many of those that selected "other," 29 out of 38 respondents, indicated that their role was renter, homeowner, resident, citizen, or none.

Table IV.68 Role of Respondent Maricopa County 2019 Fair Housing Survey Data	
Primary Role	Total
Appraisal	0
Construction/Development	3
Insurance	3
Law/Legal services	3
Lending/Mortgage industry	1
Local/State government	18
Property management	10
Real Estate Sales/Brokerage	4
Service Provider	7
Landlord	8
Public Housing Authority	1
Homeowners Association	14
Other (please specify)	38
Missing	19
Total	129

When asked how familiar they are with fair housing laws, most respondents indicated they were at least somewhat familiar.

Table IV.69 How familiar are you with Fair Housing Laws? Maricopa County 2019 Fair Housing Survey Data	
Familiarity	Total
Not Familiar	22
Somewhat Familiar	65
Very Familiar	31
Other	0
Missing	11

Total	129
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Most respondents also believed that fair housing laws are useful, accounting for 89 total responses.

Table IV.70 Do you think fair housing laws serve a useful purpose? Maricopa County 2019 Fair Housing Survey Data	
Response	Total
Yes	89
No	9
Don't know	20
Other	0
Missing	11
Total	129

Some 36 respondents, or 27.9%, felt that fair housing laws are difficult to understand, while 55 respondents did not.

Table IV.71 Do you think fair housing laws are difficult to understand or follow? Maricopa County 2019 Fair Housing Survey Data	
Response	Total
Yes	36
No	55
Don't know	27
Other	0
Missing	11
Total	129

Some 68 respondents, or 52.7%, would know where to file a complaint if they felt their fair housing rights had been violated, and 50 respondents did not.

Table IV.72 Do you know where you would file a complaint if you felt that your fair housing rights had been violated? Maricopa County 2019 Fair Housing Survey Data	
Response	Total
Yes	68
No	50
Missing	11
Total	129

Less than half of respondents were aware of any educational activities or training opportunities, and only 15 were aware of fair housing testing in their community. Some 43 respondents have participated in fair housing activities or training.

Table IV.73 Fair Housing Activities Maricopa County 2019 Fair Housing Survey Data				
Question	Yes	No	Missing	Total
Are you aware of any educational activities or training opportunities available to you to learn about fair housing laws?	42	65	22	129
Have you participated in fair housing activities or training?	43	67	19	129
Are you aware of any fair housing testing of any sort in your community?	15	95	19	129

Of those that have participated in fair housing training, they were most likely to receive that training through a seminar with a company or organization, or as a discussion at a meeting.

Table IV.74 If you have received fair housing training, where or how did you receive training? Maricopa County 2019 Fair Housing Survey Data	
Training	Total
Through legal consult	10
Online program or webinar	12
Seminar with company or organization	19
Discussion topic at meeting	17

Respondents were most likely to be aware of impediments to fair housing choice in the private sector in the rental housing market, followed by the real estate industry. However, the majority of respondents were not aware of impediments in any of these areas.

Table IV.75 Barriers to Fair Housing in the Private Sector Maricopa County 2019 Fair Housing Survey Data					
Question	Yes	No	Don't Know	Missing	Total
Are you aware of any impediments to fair housing choice in your community occurring in the following PRIVATE SECTOR areas?					
The rental housing market (Example: Refusing to rent based on religion or color.)	12	60	30	27	129
The real estate industry (Example: Only showing properties to families with children in certain areas.)	11	58	31	29	129
The mortgage and home lending industry (Example: Offering higher interest rates only to women or racial minorities.)	8	58	34	29	129
Housing construction and design fields (Example: New rental complexes built with narrow doorways that do not allow wheelchair accessibility.)	3	60	36	30	129
The home insurance industry (Example: Limiting policies and coverage for racial minorities.)	2	61	36	30	129
The home appraisal industry (Example: Basing home values on the ethnic composition of neighborhoods.)	4	59	35	31	129

When asked about barriers in the public sector, respondents were most likely to be aware of barriers that limit access to government services, such as a lack of transportation, employment, or social services. This was followed by the public housing rental market, and land use policies.

Table IV.76 Barriers to Fair Housing in the Public Sector Maricopa County 2019 Fair Housing Survey Data					
Question	Yes	No	Don't know	Missing	Total
Are you aware of any impediments to fair housing choice in your community occurring in the following PUBLIC SECTOR areas?					
Barriers that limit access to government services, such as a lack of transportation, employment, or social services	14	46	30	39	129
The public rental housing market (Example: Refusing to rent based on religion or color.)	8	55	28	38	129
Land use policies (Example: Policies that concentrate multi-family housing in limited areas.)	8	47	36	38	129
Occupancy standards or health and safety codes (Example: Codes being inadequately enforced in communities.)	8	52	31	38	129
Property assessment and tax policies (Example: Lack of tax incentives for making reasonable accommodations or modifications for persons with disabilities.)	8	48	34	39	129
Neighborhood or community development policies (Example: Policies that encourage development in narrowly defined areas of the community.)	7	45	40	37	129
Any local government actions or regulations in your community that act as barriers to fair housing choice	4	48	36	41	129
Zoning laws (Example: Laws that restrict placement of group homes.)	3	50	38	38	129
The permitting process (Example: Not offering written documents on procedures in alternate languages.)	3	53	35	38	129
Housing construction standards (Example: Lack of or confusing guidelines for construction of accessible housing.)	3	51	38	37	129
Publicly constructed housing (Example: New rental complexes built with narrow doorways that do not allow wheelchair accessibility.)	2	55	35	37	129

When asked if various factors are happening in Maricopa County, respondents were most likely to find that lack of access to affordable housing has a significant impact. This is followed by lack of access to affordable public housing, and lack of access for acceptance of Housing Choice Vouchers.

Table IV.77 Barriers to Fair Housing in the Public Sector Maricopa County 2019 Fair Housing Survey Data					
Question	Not at all	Slightly	Moderately	Significantly	Don't know
Is your community affected by lack of access to any of the factors listed below?					
Access to affordable housing	17	10	13	35	17
Access to affordable Public Housing	15	8	7	30	29
Access for acceptance of housing choice vouchers	10	6	6	24	45
Access to public transportation to schools, work, health care, services	32	18	13	19	9
Access for seniors and/or people with disabilities to public transportation	25	12	16	18	21
Access to mental health care	25	11	16	12	25
Access to education about fair housing laws	17	11	14	11	37
Access to good nutrition, healthy food, fresh vegetables, etc.	42	20	13	7	8
Access to health care	48	13	12	4	14
Access to school choice	48	16	6	3	16
Access to proficient Public Schools	48	9	16	3	15
Access to parks, libraries, other public facilities	55	16	11	3	5

In a similar fashion, respondents indicated that a lack of affordable rental housing and a lack of affordable single-family homes had a significant impact on Maricopa County.

Table IV.78 Community Issues Maricopa County 2019 Fair Housing Survey Data					
Question	Not at all	Slightly	Moderately	Significantly	Don't know
If you believe these issues are happening in Maricopa County, how much are these issues impacting your community?					
Lack of affordable rental housing	11	10	12	39	18
Lack of affordable single-family houses	8	16	13	34	17
Lack of acceptance of housing choice vouchers	11	5	10	21	42
Concentrations of poverty	20	12	23	20	13
Differences in access to housing opportunities for people of various income, races, ethnicity, genders, family status	28	10	14	18	19
Gentrification and displacement due to economic pressures	14	17	15	17	29
Challenges for persons with disabilities	16	17	19	16	22
No or limited education about fair housing laws	17	12	14	13	34
Concentrations of racial or ethnic minorities	28	14	19	10	16
Lack of housing discrimination enforcement	25	9	7	9	38
Segregation	27	12	14	4	25

J. MUNICIPAL AND ZONING CODE REVIEW

A review of the Maricopa County's and the Entitlement Cities in the Consortium's Zoning and Municipal Code was conducted in order to review if there are any barriers in the city's or county's regulations that may impede access to housing. The following narrative is a description of any language or statutes that may act a barrier to fair housing choice.

This review gauged zoning and code regulations that may encourage or limit fair housing choice within the study area. The Municipal Code was review for definitions of dwelling unit, disability, and family. The use of the word family, including a strict definition of family, or limiting the number of people in "family," may limit housing choices within a jurisdiction. The review included the allowance of mixed-use and conditional uses, which may increase opportunities for the development of more affordable housing choices. The review also included any policies that encourage the development of affordable housing, as well as any policies that promote fair housing within their communities. The review also sought to ascertain any restrictions to group housing and housing for seniors, including definitions and where these units may be permitted.

Maricopa County

The County does have a definition of the word "Family," which is included here:

An individual or two (2) or more persons related by blood, marriage, or adoption, and usual servants, living together as a single housekeeping unit in a dwelling unit, or a group of not more than five (5) persons, who need not be related, living together as a single housekeeping unit in a dwelling unit. (This definition shall also include homes for the developmentally disabled, defined as persons afflicted with autism, cerebral palsy, epilepsy or mental retardation, as regulated by Arizona Revised Statutes, §36-582.)

Group homes are allowed in residentially zoned areas if less than 10 persons per home. A group home is defined as:

A dwelling unit shared as their primary residence by minors, handicapped or elderly persons, living together as a single housekeeping unit, in a long term, family-like environment in which staff persons provide on-site care, training, or support for the residents. Such homes or services provided therein shall be licensed by, certified by, approved by, registered with, funded by or through, or under contract with the State. (Group homes shall not include homes for the developmentally disabled, defined as persons afflicted with autism, cerebral palsy, epilepsy or mental retardation, as regulated by Arizona Revised Statutes, §36-582.)

The County's Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County's Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.²⁴

A summary from the findings of each entitlement community within the Maricopa County HOME Consortium is also included on the following pages.

²⁴ <https://www.maricopa.gov/DocumentCenter/View/3786/Vision-2030-Maricopa-County-Comprehensive-Plan-PDF>

Avondale

The City does have a definition for “family:”

One (1) or more persons occupying a single dwelling unit, provided that unless all members are related by blood, marriage, or legal adoption, no such family contains more than six (6) nontransient unrelated persons, except where disability requires that more than six (6) unrelated persons reside together. This definition shall not include any society, club, coterie or organization that is not a recognized religious order nor does it include any group of individuals whose association is temporary or seasonal or similar to a resort, boarding house, hotel or whose association is for an anticipated limited duration or for a determinable period such as a school term.

The City does have a definition for “disability:”

The term “disability” means, with respect to an individual: (A) a physical or mental impairment that substantially limits one (1) or more major life activities of such individual; (B) a record of such an impairment or (C) being regarded as having such an impairment. For purposes of this definition, a qualified individual with a disability shall not include an individual who is currently engaging in the illegal use of drugs, when the covered entity acts on the basis of such use, except as provided in 42 U.S.C. § 12210. The term “illegal use of drugs” means the use of drugs, the possession or distribution of which is unlawful under the Controlled Substances Act, 21 U.S.C. § 812. Such term does not include the use of a drug taken under supervision by a licensed health care professional, or other uses authorized by the Controlled Substances Act or other provisions of Federal law. The term, disability, shall be interpreted in a manner consistent with the definition of disability in the Americans with Disabilities Amendment Act of 2008.

Group Homes are permitted in all residentially zoned areas. The City’s definition for “Group Home:”

Housing occupied by unrelated persons who live in a dwelling because of a disability and may include staff persons, who may or may not be domiciled in the dwelling, who provide support services, including, but not limited to, domestic, medical, rehabilitation, or other similar services.

Chandler

The City does have a definition for “family:”

One (1) or more persons living together as a single housekeeping unit in a dwelling unit.

The City does have a definition for “disability:”

A physical or mental impairment that substantially limits one (1) or more major life activities, a history or record of such an impairment, or the perception by others as having such an impairment.

Groups home are permitted within all residentially zoned areas with certain restrictions. “Group homes” are defined as:

A residential dwelling unit for a group of no more than five (5) unrelated non-transient persons, excluding staff, who do not have a disability, and are not living together as a single housekeeping unit. Group home facilities may or may not be licensed by the state or another governmental authority. This definition shall not include group homes for the developmentally disabled nor adult foster care homes as specifically defined and provided for by the Arizona Revised Statutes.

Gilbert

The City does not have a definition for “family” or “disabled.”

“Group homes” are permitted in all residentially zoned areas and are defined as:

Group Homes for the Handicapped. A facility licensed or authorized by a governmental authority having jurisdiction over operations for handicapped persons who reside together as a single housekeeping unit and who receive care, supervision, or counseling from 1 or more staff persons. This use includes assisted living homes; homes for the mentally ill, group care agencies, hospice and similar residential living arrangements for handicapped persons, but shall not include boarding houses, Nursing Homes, or a Shelter Care Facility

Glendale

The City does not have a definition for “family.”

The City does have a definition for “disabled:”

A person who (1) Has a physical or mental impairment that substantially limits one or more of such person's major life activities so that the person is incapable of living independently; (2) Has a record of having such an impairment; or (3) Is regarded with having such an impairment. However, disabled shall not include current illegal use of or addiction to controlled substances (as defined in Section 102 of the Controlled Substances Act [21 U.S.C. § 802], nor shall it include any person whose residency in a group home would constitute a direct threat to the health or safety of other individuals or would result in substantial physical damage to the property of others.

The City does have a definition for “Group Home:”

Group Home for the Disabled: A dwelling shared as their primary residence by at least six (6) but not more than ten (10) handicapped or disabled persons who are not related to the owner or manager of the group home for the disabled and who reside together as a single housekeeping unit, in which staff persons may provide supervision, personal care, meals, education, participation in community activities, counseling, treatment or therapy for the residents thereof, and which may be licensed by, certified by, registered with, or otherwise authorized, funded or regulated, in whole or in part, by an agency of the state or federal government. This definition shall include homes for the chronically mentally ill, group care agencies, and similar residential living arrangements for handicapped or disabled persons. A group home for the disabled does not include adult care homes, nursing homes, shelter facilities, medical institutional uses, alcoholism or drug treatment centers, or community correctional facilities. This definition shall not apply to a home for the developmentally disabled as regulated by A.R.S. § 36-582 to the extent of state preemption of local zoning regulations.

Peoria

The City does have a definition for “family:”

Family means: 1. An individual or two or more Family Members and usual servants living together as a single housekeeping unit in a dwelling unit, or 2. A group of not more than ten persons who need not be Family Members, living together as a single housekeeping unit in a dwelling unit.

Group homes are permitted uses with restrictions in Residentially zoned areas. “Group Home” is defined as:

A single residential dwelling unit shared as their primary residence by not more than ten qualified handicapped individuals living together as a single housekeeping unit, in which staff persons provide on-site care, training or support for the residents. Group homes include licensed and qualified Adult Residential Care homes pursuant to A.R.S. 36-448, Group Foster Homes, Supervisory Care Homes, Adult Foster Care Homes and Adult supportive Residential Living Centers. Group Homes shall not include boarding houses, rooming houses or similar enterprises, nursing homes, personal care homes, adult or juvenile detention facilities, recovery facilities, community residential setting facilities, group care facilities, adult day care facilities or Residential Development Disability Facilities regulated pursuant to A.R.S. 36-582.

Scottsdale

The City does have a definition for “family:”

Family shall mean one (1) to six (6) adults and, if any, their related dependent children occupying a premise[s] and living as a single housekeeping unit. For purposes of the Zoning Ordinance, " Family " includes a residential facility as that term is defined in Title 36, Chapter 5.1, Article 2 of the Arizona Revised Statutes, in which persons with developmental disabilities live and that is licensed, operated, supported or supervised by the State of Arizona.

The City does have a definition for disability:

Disability means a physical or mental impairment that substantially limits one (1) or more major life activities where the person with a disability either has a record of having such impairment or is regarded as having such impairment. A person with a disability shall not include any person currently engaging in the illegal use of controlled substances under Arizona law. The term disability will be interpreted consistent with the Americans with Disabilities Act and the Federal Fair Housing Act.

Group home is defined as:

A dwelling shared by more than six (6) adults as their primary residence in which no supervisory or other care is provided. For purposes of this definition, a person must live in the dwelling a minimum of thirty (30) consecutive days for this dwelling to be considered a primary residence.

Surprise

The City does not have a definition for “family” or “disabled.”

Group homes are permitted in residentially zoned areas. “Group home” is defined as:

A single, residential structure having common kitchen facilities occupied by persons having physical, mental, emotional or social problems and living together for the purpose of training, observation and/or common support

Tempe

The City does have a definition for “family:”

1. One (1) or more persons related by the 3rd degree of consanguinity, adoption, marriage or as domestic partners as defined in Section 7-105, and not more than two (2) additional persons living together in a dwelling unit; or 2. Not more than three (3) persons who are not related

by the 3rd degree of consanguinity, adoption, marriage or as domestic partners, living together in a dwelling unit.

The City does have a definition for “disability:”

1. Has a physical or mental impairment which substantially limits one (1) or more of such person's major life activities; 2. Has a record of having such an impairment; or 3. Is regarded as having such an impairment. However, "person with disabilities" shall not include current, illegal use of or addiction to a controlled substance (as defined in Section 102 of the Controlled Substance Act [21 U.S.C. 802]), nor shall it include any person whose residency in a group home would constitute a direct threat to the health or safety of other individuals or would result in substantial physical damage to the property of others.

Group homes are permitted with special standards or limitation in residentially zoned areas. “Group home for adult care, persons with disabilities and child shelter” means:

A dwelling shared as a primary residence by adult persons or used as a child shelter, and including resident staff who live together as a single housekeeping unit in an environment in which staff persons provide care, education and activities for the residents; but not including medical institutional uses, alcoholism or drug treatment centers, community corrections facilities and adult shelter care facilities. This definition shall not apply to a home for the developmentally disabled as regulated by A.R.S. § 36-582 to the extent of state preemption of local zoning regulations. For the purpose of this definition, children are under the age of eighteen (18).

Summary

The Code and Zoning Review found that certain jurisdictions may have limiting definitions of the word “family,” when limiting the number of persons. This includes Maricopa County, Avondale, Scottsdale, and Tempe. Most definitions in the codes reviewed had a definition of “disabled” or “disability” consistent with the Americans with Disabilities Act (ADA). Those jurisdictions without definitions may consider adding a definition or reference to the ADA. Group homes were permitted in most residentially zoned areas in the HOME Consortium. The County’s Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County’s Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.²⁵

²⁵

Section V. Fair Housing Goals and Priorities

Overview of Findings

As a result of detailed demographic, economic, and housing analysis, along with a range of activities designed to foster public involvement and feedback, the HOME Consortium has identified a series of fair housing issues/impediments, and other contributing factors that contribute to the creation or persistence of those issues.

Table I.1, on the following page, provides a list of the contributing factors that have been identified as causing these fair housing issues/impediments and prioritizes them according to the following criteria:

1. High: Factors that have a direct and substantial impact on fair housing choice.
2. Medium: Factors that have a less direct impact on fair housing choice, or that Maricopa County or the HOME Consortium has limited authority to mandate change.
3. Low: Factors that have a slight or largely indirect impact on fair housing choice, or that Maricopa County or the HOME Consortium has limited capacity to address.

ADDITIONAL FINDINGS

The Code and Zoning Review found that certain jurisdiction may have limiting definitions of the word “family,” when limiting the number of persons. This includes Maricopa County, Avondale, Scottsdale, and Tempe. Most definitions in the codes reviewed had a definition of “disabled” or “disability” consistent with the Americans with Disabilities Act (ADA). Those jurisdictions without definitions may consider adding a definition or reference to the ADA. Group homes were permitted in most residentially zoned areas in the HOME Consortium. The County’s Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County’s Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.

Table I.1
Contributing Factors
Maricopa County HOME Consortium

Contributing Factors	Priority	Justification
Insufficient affordable housing in a range of unit sizes	High	Some 29.4% of households have cost burdens. This is more significant for renter households, of which 43.4% have cost burdens. This signifies a lack of housing options that are affordable to a large proportion of the population.
Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households with disproportionate rates of housing problems	High	The average rate of housing problems, according to CHAS data is 30.9% for all households in the Maricopa County HOME Consortium. Black or African American households face housing problems at rate of 44.1%, Native Hawaiian/Pacific Islander households at a rate of 41.2%, and Hispanic households at a rate of 42.4%.
Insufficient accessible affordable housing	High	The number of accessible affordable units may not meet the need of the growing elderly and disabled population, particularly as the population continues to age. Some 46.5% of persons aged 75 and older have at least one form of disability. Input from local service providers asserts that these estimates may be lower than the actual rate of disability in the HOME Consortium.
Failure to Make Reasonable Accommodations	High	Disability was the number one fair housing basis for complaints with cause between 2008 and 2017. Failure to make reasonable accommodations accounted for the largest number of issues for fair housing complaints during this time period.
Lack of fair housing infrastructure	High	The fair housing survey and public input indicated a lack of collaboration among agencies to support fair housing.
Insufficient fair housing education	High	The fair housing survey and public input indicated a lack of knowledge about fair housing and a need for education.
Insufficient understanding of credit	High	The fair housing survey and public input indicated an insufficient understanding of credit needed to access mortgages.
Access to low poverty areas and concentrations of poverty	Med	Low poverty index is markedly lower for Black or African American, Native American, and Hispanic populations than white school proficiency, indicating inequitable access to low poverty areas. In addition, there are concentrations of poverty in the HOME Consortium, particularly in areas around Peoria, Chandler, and Avondale, as well as in the southern rural parts of the County.
Access to labor market engagement	Med	Black or African American, Native American, and Hispanic households have less access to labor market engagement as indicated by the Access to Opportunity index. However, the County and the HOME Consortium has little control over impacting labor market engagement on a large scale.
Access to School Proficiency	Med	Black or African American, Native American, and Hispanic households have lower levels of access to proficient schools in the HOME Consortium. However, the County has little control over impacting access on a large scale.
Moderate to high levels of segregation	Med	Native American, Native Hawaiian/Pacific Islander, and "other" racial households have moderate to high levels of segregation when considered on the whole of the Maricopa County HOME Consortium. However, there are geographic areas with concentrations of minority households resulting in R/ECAPs, which tended to be found in the more urban parts of the County, particularly in areas around Peoria, Glendale, and Surprise.
Discriminatory patterns in Lending	Med	The mortgage denial rates for Black or African American, Native American, and Hispanic households are higher than the jurisdiction average according to 2008-2017 HMDA data. However, the disparities in denial rates have been steadily declining since 2008.

FAIR HOUSING ISSUES, CONTRIBUTING FACTORS, AND PROPOSED ACHIEVEMENTS

Table I.2, summarizes the fair housing issues/impediments and contributing factors, including metrics, milestones, and a timeframe for achievements.

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Review zoning and municipal codes for barriers to housing choice	Moderate to high levels of segregation Access to low poverty areas and concentrations of poverty Moderate to high levels of segregation Discriminatory patterns in Lending	Segregation R/ECAPs Disproportionate Housing Need	Review zoning for areas with restrictions to housing development, including minimum lot requirements; make appropriate amendments every year for the next five (5) years. Record activities annually. Review Zoning and Municipal Code for the definition of the word "family." Record activities annually.	Maricopa County HOME Consortium
Discussion: The Code and Zoning Review found that certain jurisdiction may have limiting definitions of the word "family," when limiting the number of persons. This includes Maricopa County, Avondale, Scottsdale, and Tempe. The County's Comprehensive Plan: Vision 2030 identified a lack of incentives for Affordable Housing development, as well as limitation in the County's Zoning Ordinances that limits affordable housing development, including strict land use regulations and limitations on accessory dwelling units.				
Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Increase availability of accessible housing	Insufficient accessible affordable housing Failure to Make Reasonable Accommodations	Disability and Access	Review development standards for accessible housing and inclusionary policies for accessible housing units; continue recommending appropriate amendments over the next five (5) years. Record activities annually.	Maricopa County HOME Consortium
Discussion: The number of accessible affordable units may not meet the need of the growing elderly and disabled population, particularly as the population continues to age. Some 46.5% of persons aged 75 and older have at least one form of disability. Input from local service providers asserts that these estimates may be lower than the actual rate of disability in the HOME Consortium. Disability was the number one fair housing basis for complaints with cause between 2008 and 2017. Failure to make reasonable accommodations accounted for the largest number of issues for fair housing complaints during this time period.				

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Promote homeownership and rental opportunities in high opportunity areas and outside of R/ECAPs	Insufficient affordable housing in a range of unit sizes		Partner with community agencies to provide financial literacy classes for prospective homebuyers. Record activities annually.	Maricopa County HOME Consortium
	Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households with disproportionate rates of housing problems	Disparities in Access to Opportunity	Review opportunities annually to increase funding sources for additional low-income housing in high opportunity areas. Record activities annually.	
	Discriminatory patterns in Lending	Disproportionate Housing Needs	Continue to promote homeownership opportunities in high opportunity areas with financial assistance to homebuyers using HOME funds: 70 households over five (5) years.	
	Access to low poverty areas and concentrations of poverty		Continue to use CDBG and HOME funds to fund housing rehabilitation for homeowner and rental housing: 150 residential housing units over five (5) years.	
	Access to labor market engagement			
	Access to School Proficiency			
Discussion: Some 29.4 percent% of households have cost burdens. This is more significant for renter households, of which 43.4 percent% have cost burdens. This signifies a lack of housing options that are affordable to a large proportion of the population. In addition, racial and ethnic minorities face a disproportionate share of housing problems. The average rate of housing problems, according to CHAS data is 30.9 percent% for all households in the Maricopa County HOME Consortium. Black or African American households face housing problems at rate of 44.1 percent%, Native Hawaiian/Pacific Islander households at a rate of 41.2 percent%, and Hispanic households at a rate of 42.4 percent%. The mortgage denial rates for Black or African American, Native American, and Hispanic households are higher than the jurisdiction average according to 2008-2017 HMDA data. However, the disparities in denial rates have been steadily declining since 2008.				

Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Enhance community services in R/ECAPs	Access to low poverty areas and concentrations of poverty Access to labor market engagement Access to School Proficiency	Disparities in Access to Opportunity	Encourage increased public services and public investment in R/ECAPs and high poverty areas in the HOME Consortium. Work within the HOME Consortium to educate members to fund vital community investments in these areas. Record activities annually.	Maricopa County HOME Consortium
Discussion: Black or African American, Native American, and Hispanic households have less access to labor market engagement as indicated by the Access to Opportunity index. However, the County and the HOME Consortium has little control over impacting labor market engagement on a large scale. Black or African American, Native American, and Hispanic households have lower levels of access to proficient schools in the HOME Consortium. However, the County has little control over impacting access on a large scale. Public input also suggested a lack of transportation leads to inequitable access to housing and service options.				
Fair Housing Goal	Impediments to Fair Housing Choice/ Contributing Factors	Fair Housing Issue	Recommended Actions	Responsible Agency
Promote community and service provider knowledge of fair housing and ADA laws	Insufficient fair housing education Insufficient understanding of credit Insufficient fair housing infrastructure Discriminatory patterns in lending Failure to Make Reasonable Accommodations	Fair Housing Enforcement and Outreach	Continue to promote fair housing education through workshops. Record activities annually. Promote outreach and education related to credit for prospective homebuyers. Record activities annually. Partner with community agencies to provide financial literacy classes for prospective homebuyers. Record activities annually.	Maricopa County HOME Consortium
Discussion: The fair housing survey and public input indicated a lack of collaboration among agencies to support fair housing, a lack of knowledge about fair housing and a need for education, and an insufficient understanding of credit needed to access mortgages. In addition, as demonstrated above, racial and ethnic groups have unequal access to mortgages. Failure to make reasonable accommodations was the number one fair housing complaint in the HOME Consortium.				

Section VI. Appendices

A. ADDITIONAL PLAN DATA

Table VI.1 Loan Applications by Selected Action Taken by Race/Ethnicity of Applicant Maricopa County HOME Consortium 2008–2017 HMDA Data												
Race		2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
American Indian	Originated	38	37	38	34	109	138	150	221	466	329	1560
	Denied	13	11	13	3	28	33	21	26	80	25	253
	Denial Rate	25.5%	22.9%	25.5%	8.1%	20.4%	19.3%	12.3%	10.5%	14.7%	7.1%	14%
Asian	Originated	140	171	199	184	1,186	1,327	1,311	1,588	3,546	2,012	11664
	Denied	38	53	53	36	199	246	176	198	362	181	1542
	Denial Rate	21.3%	23.7%	21%	16.4%	14.4%	15.6%	11.8%	11.1%	9.3%	8.3%	11.7%
Black/African American	Originated	70	81	74	80	527	668	816	991	2,448	1,448	7203
	Denied	31	30	23	20	152	144	130	180	420	227	1357
	Denial Rate	30.7%	27%	23.7%	20%	22.4%	17.7%	13.7%	15.4%	14.6%	13.6%	15.9%
Pacific Islander	Originated	23	17	14	13	107	133	122	160	374	177	1140
	Denied	2	2	5	6	14	18	20	28	38	23	156
	Denial Rate	8%	10.5%	26.3%	31.6%	11.6%	11.9%	14.1%	14.9%	9.2%	11.5%	12%
White	Originated	3,504	3,674	3,778	3,900	19,916	23,188	25,090	29,474	68,282	35,326	216132
	Denied	841	655	644	596	2,910	3,120	2,760	3,194	6,896	3,246	24862
	Denial Rate	19.4%	15.1%	14.6%	13.3%	12.7%	11.9%	16%	9.8%	9.2%	8.4%	10.3%
Not Available	Originated	408	379	362	399	2,068	2,235	2,101	2,579	6,574	3,884	20989
	Denied	160	99	108	76	458	532	399	479	1,042	611	3964
	Denial Rate	28.2%	20.7%	23%	16%	18.1%	19.2%	16%	15.7%	13.7%	13.6%	15.9%
Not Applicable	Originated	2	0	2	4	4	10	10	9	26	20	87
	Denied	0	0	0	0	1	0	1	2	0	0	4
	Denial Rate	0%	%	0%	0%	20%	0%	9.1%	18.2%	0%	0%	4.4%
Total	Originated	4,185	4,359	4,467	4,614	23,917	27,699	29,600	35,022	81,716	43,196	258,775
	Denied	1,085	850	846	737	3,762	4,093	3,507	4,107	8,838	4,313	32,138
	Denial Rate	20.6%	16.3%	15.9%	13.8%	13.6%	12.9%	10.6%	10.5%	9.8%	9.1%	11%
Hispanic	Originated	474	489	545	562	2,589	3,249	4,003	5,100	12,076	6,416	35503
	Denied	203	115	129	133	565	613	579	696	1,686	795	5514
	Denial Rate	30%	19%	19.1%	19.1%	17.9%	15.9%	12.6%	12%	12.3%	11%	13.4%
Non-Hispanic	Originated	3,329	3,506	3,569	3,682	19,332	22,287	23,579	27,462	63,164	33,090	203000
	Denied	747	632	610	533	2,743	2,970	2,542	2,957	6,178	2,936	22848
	Denial Rate	18.3%	15.3%	14.6%	12.6%	12.4%	11.8%	9.7%	9.7%	8.9%	8.1%	10.1%

Table VI.2
Loan Applications by Reason for Denial by Race/Ethnicity of Applicant
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Denial Reason	American Indian	Asian	Black/ African American	Pacific Islander	White	Not Available	Not Applicable	Total	Hispanic (Ethnicity)
Debt-to-Income Ratio	55	358	262	35	4881	830	0	6,421	55
Employment History	9	57	24	12	709	102	0	913	9
Credit History	51	146	280	23	3588	612	1	4,701	51
Collateral	25	171	108	20	3249	557	0	4,130	25
Insufficient Cash	9	52	28	4	848	115	1	1,057	9
Unverifiable Information	6	95	48	5	1128	198	0	1,480	6
Credit Application Incomplete	19	194	129	12	2708	462	0	3,524	19
Mortgage Insurance Denied	1	3	6	0	45	13	0	68	1
Other	8	109	90	12	1873	268	0	2,360	8
Missing	70	357	382	33	5,833	807	2	7,484	5,331
Total	253	1542	1357	156	24862	3964	4	32138	5514
% Missing	27.7%	23.2%	28.2%	21.2%	23.5%	20.4%	50%	23.3%	96.7%

Table VI.3
Denial Rates by Gender of Applicant
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Year	Male	Female	Not Available	Not Applicable	Average
2008	20.6%	19.6%	27.9%	0%	20.6%
2009	16.6%	15.6%	18.4%	%	16.3%
2010	15.9%	14.8%	24.6%	0%	15.9%
2011	13.7%	13.5%	16.8%	0%	13.8%
2012	13.2%	13.5%	19.7%	20%	13.6%
2013	12.3%	12.8%	22.3%	0%	12.9%
2014	10.2%	10.5%	18.2%	9.1%	10.6%
2015	10.3%	10.2%	16.6%	10%	10.5%
2016	9.4%	10%	13.7%	7.7%	9.8%
2017	8.5%	9.3%	15.3%	0%	9.1%
Average	10.6%	11.1%	16.8%	5.7%	11%

Table VI.4
Loan Applications by Selected Action Taken by Gender of Applicant
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Gender		2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Male	Originated	2,603	2,617	2,711	2,794	16,254	19,271	20,580	24,100	54,618	28,824	174,372
	Denied	674	521	513	445	2,471	2,700	2,340	2,753	5,654	2,688	20,759
	Denial Rate	20.6%	16.6%	15.9%	13.7%	13.2%	12.3%	10.2%	10.3%	9.4%	8.5%	10.6%
Female	Originated	1,399	1,542	1,564	1,633	6,640	7,316	8,019	9,529	23,220	12,326	73,188
	Denied	341	284	271	255	1,040	1,077	945	1,078	2,570	1,259	9,120
	Denial Rate	19.6%	15.6%	14.8%	13.5%	13.5%	12.8%	10.5%	10.2%	10%	9.3%	11.1%
Not Available	Originated	181	200	190	183	1,019	1,101	991	1,384	3,854	2,030	11,133
	Denied	70	45	62	37	250	316	221	275	612	366	2,254
	Denial Rate	27.9%	18.4%	24.6%	16.8%	19.7%	22.3%	18.2%	16.6%	13.7%	15.3%	16.8%
Not Applicable	Originated	2	0	2	4	4	11	10	9	24	16	82
	Denied	0	0	0	0	1	0	1	1	2	0	5
	Denial Rate	0%	%	0%	0%	20%	0%	9.1%	10%	7.7%	0%	5.7%
Total	Originated	4,185	4,359	4,467	4,614	23,917	27,699	29,600	35,022	81,716	43,196	258,775
	Denied	1,085	850	846	737	3,762	4,093	3,507	4,107	8,838	4,313	32,138
	Denial Rate	20.6%	16.3%	15.9%	13.8%	13.6%	12.9%	10.6%	10.5%	9.8%	9.1%	11%

Table VI.5
Denial Rates by Income of Applicant
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Income	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
\$30,000 or Below	27.1%	23.3%	23.7%	22.5%	22.4%	24.5%	21.7%	21.2%	22.5%	21.1%	22.6%
\$30,001–\$50,000	20.1%	14%	13.2%	13.5%	13.9%	14.4%	11.1%	11.9%	11.5%	11.2%	12.5%
\$50,001–\$75,000	18.3%	14.4%	14%	10.6%	13.2%	11.5%	9.8%	9.2%	8.8%	8.3%	9.9%
\$75,001–\$100,000	19.2%	14.4%	14.4%	9.7%	12%	11.2%	9.1%	9.4%	8.1%	7.8%	9.3%
\$100,001–\$150,000	17.9%	16.6%	15.7%	10.3%	11.9%	10.6%	9.1%	9.1%	7.9%	7.4%	9.1%
Above \$150,000	27.3%	21.5%	17.8%	12.6%	11.5%	11.8%	10.5%	9.9%	9.9%	8.8%	10.6%
Data Missing	22.2%	18.8%	0%	12.5%	11.3%	17.2%	11.2%	15%	11.6%	10.8%	12.9%
Total	20.6%	16.3%	15.9%	13.8%	13.6%	12.9%	10.6%	10.5%	9.8%	9.1%	11%

Table VI.6
Loan Applications by Income of Applicant: Originated and Denied
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Income		2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
\$30,000 or Below	Loan Originated	304	615	711	784	2,030	1,784	1,599	1,724	3,198	1,436	14185
	Application Denied	113	187	221	228	585	580	443	465	928	385	4135
	Denial Rate	27.1%	23.3%	23.7%	22.5%	22.4%	24.5%	21.7%	21.2%	22.5%	21.1%	22.6%
\$30,001 –\$50,000	Loan Originated	1,130	1,486	1,480	1,406	5,098	5,413	5,640	6,463	14,552	6,971	49639
	Application Denied	285	242	226	220	824	907	706	876	1,892	882	7060
	Denial Rate	20.1%	14%	13.2%	13.5%	13.9%	14.4%	11.1%	11.9%	11.5%	11.2%	12.5%
\$50,001 –\$75,000	Loan Originated	1,157	1,062	968	1,038	5,703	6,850	7,730	9,269	22,030	11,671	67478
	Application Denied	260	178	157	123	864	893	836	937	2,122	1,057	7427
	Denial Rate	18.3%	14.4%	14%	10.6%	13.2%	11.5%	9.8%	9.2%	8.8%	8.3%	9.9%
\$75,001 –\$100,000	Loan Originated	613	517	529	505	4,082	5,113	5,536	6,625	15,790	8,458	47768
	Application Denied	146	87	89	54	555	643	551	685	1,392	715	4917
	Denial Rate	19.2%	14.4%	14.4%	9.7%	12%	11.2%	9.1%	9.4%	8.1%	7.8%	9.3%
\$100,001 –\$150,000	Loan Originated	541	396	441	506	4,073	4,974	5,425	6,537	15,758	8,456	47107
	Application Denied	118	79	82	58	552	589	540	654	1,360	673	4705
	Denial Rate	17.9%	16.6%	15.7%	10.3%	11.9%	10.6%	9.1%	9.1%	7.9%	7.4%	9.1%
Above \$150,000	Loan Originated	419	270	328	368	2,876	3,512	3,599	4,336	10,266	6,113	32087
	Application Denied	157	74	71	53	375	470	422	478	1,128	590	3818
	Denial Rate	27.3%	21.5%	17.8%	12.6%	11.5%	11.8%	10.5%	9.9%	9.9%	8.8%	10.6%
Data Missing	Loan Originated	21	13	10	7	55	53	71	68	122	91	511
	Application Denied	6	3	0	1	7	11	9	12	16	11	76
	Denial Rate	22.2%	18.8%	0%	12.5%	11.3%	17.2%	11.2%	15%	11.6%	10.8%	12.9%
Total	Loan Originated	4,185	4,359	4,467	4,614	23,917	27,699	29,600	35,022	81,716	43,196	258,775
	Application Denied	1,085	850	846	737	3,762	4,093	3,507	4,107	8,838	4,313	32,138
	Denial Rate	20.6%	16.3%	15.9%	13.8%	13.6%	12.9%	10.6%	10.5%	9.8%	9.1%	11%

Table VI.7
Denial Rates of Loans by Race/Ethnicity and Income of Applicant
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Race	\$30,000 or Below	\$30,001 – \$50,000	\$50,001 –\$75,000	\$75,001 –\$100,000	\$100,001 –\$150,000	> \$150,000	Data Missing	Average
American Indian	35%	15.2%	14.7%	9.6%	8.7%	7.7%	0%	14%
Asian	28%	13.8%	10.9%	9.2%	8.5%	10.7%	17.4%	11.7%
Black/African American	29.7%	18.9%	14.5%	13.6%	13.5%	16.5%	26.7%	15.9%
Pacific Islander	25.9%	15.6%	12.7%	9.6%	6.8%	9%	0%	12%
White	21.1%	11.5%	9.2%	8.7%	8.5%	10.2%	12.6%	10.3%
Not Available	32.9%	19.2%	14.9%	13.9%	13.1%	13.2%	12.3%	15.9%
Not Applicable	2.9%	0%	0%	16.7%	0%	20%	0%	4.4%
Average	22.6%	12.5	9.9%	9.3%	9.1%	10.6%	12.9%	11%
Non-Hispanic	23.9%	14	11.1%	11.2%	9.7%	13.3%	13.6%	13.4%
Hispanic	20.9%	11.4	9.1%	8.6%	8.6%	10.2%	13.1%	10.1%

Table VI.8
Loan Applications by Income and Race/Ethnicity of Applicant: Originated and Denied
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Race		\$30,000 or Below	\$30,001 – \$50,000	\$50,001 – \$75,000	\$75,001 – \$100,000	\$100,001 – \$150,000	> \$150,000	Data Missing	Total
American Indian	Loan Originated	93	339	424	319	264	120	1	1560
	Application Denied	50	61	73	34	25	10	0	253
	Denial Rate	35%	15.2%	14.7%	9.6%	8.7%	7.7%	0%	14%
Asian	Loan Originated	660	1779	2366	2306	2690	1844	19	11664
	Application Denied	257	285	290	235	249	222	4	1542
	Denial Rate	28%	13.8%	10.9%	9.2%	8.5%	10.75	17.4%	11.7%
Black/African American	Loan Originated	265	1356	2173	1535	1277	586	11	7203
	Application Denied	112	316	369	241	199	116	4	1357
	Denial Rate	29.7%	18.9%	14.5%	13.6%	13.5%	16.5%	26.7%	12%
Pacific Islander	Loan Originated	60	206	338	207	233	91	5	1140
	Application Denied	21	38	49	22	17	9	0	156
	Denial Rate	25.9%	15.6%	12.7%	9.6%	6.8%	9%	0%	12%
White	Loan Originated	12079	42494	57024	39519	38451	26163	402	216132
	Application Denied	3222	5536	5746	3757	3583	2960	58	24862
	Denial Rate	21.1%	11.5%	9.2%	8.7%	8.5%	10.2%	12.6%	10.3%
Not Available	Loan Originated	960	3461	5150	3877	4191	3279	71	20989
	Application Denied	471	824	900	627	632	500	10	3964
	Denial Rate	32.9%	19.2%	14.9%	13.9%	13.1%	13.2%	12.3%	15.9%
Not Applicable	Loan Originated	68	4	3	5	1	4	2	87
	Application Denied	2	0	0	1	0	1	0	4
	Denial Rate	2.9%	0%	0%	16.7%	0%	20%	0%	4.4%
Total	Loan Originated	14185	49639	67478	47768	47107	32087	511	258,775
	Application Denied	4135	7060	7427	4917	4705	3818	76	32,138
	Denial Rate	22.6%	12.5%	9.9%	9.3%	9.1%	10.6%	12.9	11%
Hispanic	Loan Originated	3542	11014	10551	5259	3642	1476	19	35503
	Application Denied	1114	1791	1322	664	393	227	3	5514
	Denial Rate	23.9%	14%	11.1%	11.2%	9.7%	13.3%	13.6%	13.4%
Non-Hispanic	Loan Originated	9697	35378	51973	38709	39412	27405	426	203000
	Application Denied	2567	4543	5231	3646	3699	3098	64	22848
	Denial Rate	20.9%	11.4%	9.1%	8.6%	8.6%	10.2%	13.1%	10.1%

Table VI.9
Loans by Loan Purpose by High Annual Percentage Loans (HAL) Status
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Loan Purpose		2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
Home Purchase	HAL	247	151	4	15	71	104	250	178	330	159	1509
	Other	3,938	4,208	4,463	4,599	23,846	27,595	29,350	34,844	81,386	43,037	257,266
	Percent HAL	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%
Home Improvement	HAL	57	12	8	19	104	195	238	417	940	593	2,583
	Other	502	161	119	110	767	1,503	1,990	2,340	5,578	3,088	16,158
	Percent HAL	10.2%	6.9%	6.3%	14.7%	11.9%	11.5%	10.7%	15.1%	14.4%	16.1%	0.6%
Refinancing	HAL	298	179	8	18	115	128	124	93	226	116	1,305
	Other	5,457	7,574	6,085	4,633	57,543	44,054	20,544	32,801	83,048	27,259	288,998
	Percent HAL	5.2%	2.3%	0.1%	0.4%	0.2%	0.3%	0.6%	0.3%	0.3%	0.4%	0.6%
Total	HAL	602	342	20	52	290	427	612	688	1,496	868	5,397
	Other	9,897	11,943	10,667	9,342	82,156	73,152	51,884	69,985	170,012	73,384	562,422
	Percent HAL	5.7%	2.8%	0.2%	0.6%	0.4%	0.6%	1.2%	1%	0.9%	1.2%	1%

Table VI.10
HALs Originated by Race of Borrower
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Race	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
American Indian	5	3	0	0	0	0	0	1	2	2	11
Asian	7	3	0	0	1	2	2	2	12	4	29
Black/African American	7	2	0	0	0	3	9	7	12	2	40
Pacific Islander	4	1	0	0	0	1	0	1	0	0	7
White	194	132	4	13	68	89	222	148	274	139	1,144
Not Available	30	10	0	2	2	9	17	19	30	12	119
Not Applicable	0	0	0	0	0	0	0	0	0	0	0
Total	247	151	4	15	71	104	250	178	330	159	1509
Hispanic	45	25	2	4	3	14	64	38	30	14	28,862
Non-Hispanic	181	116	2	10	67	79	171	123	268	134	168,893

Table VI.11
Rate of HALs Originated by Race/Ethnicity of Borrower
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Race	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Average
American Indian	13.2%	8.1%	0%	0%	0%	0%	0%	0.5%	0.4%	0.6%	0.9%
Asian	5%	1.8%	0%	0%	0.1%	0.2%	0.2%	0.1%	0.3%	0.2%	0.3%
Black/African American	10%	2.5%	0%	0%	0%	0.4%	1.1%	0.7%	0.5%	0.1%	0.7%
Pacific Islander	17.4%	5.9%	0%	0%	0%	0.8%	0%	0.6%	0%	0%	0.7%
White	5.5%	3.6%	0.1%	0.3%	0.3%	0.4%	0.9%	0.5%	0.4%	0.4%	0.6%
Not Available	7.4%	2.6%	0%	0.5%	0.1%	0.4%	0.8%	0.7%	0.5%	0.3%	0.7%
Not Applicable	0%	%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Average	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%
Hispanic	9.5%	5.1%	0.4%	0.7%	0.1%	0.4%	1.6%	0.7%	0.2%	0.2%	0.8%
Non-Hispanic	5.4%	3.3%	0.1%	0.3%	0.3%	0.4%	0.7%	0.4%	0.4%	0.4%	0.6%

Table VI.12
Loans by HAL Status by Race/Ethnicity of Borrower
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Race	Loan Type	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
American Indian	HAL	5	3	0	0	0	0	0	1	2	2	11
	Other	33	34	38	34	109	138	150	220	464	327	1,220
	Percent HAL	13.2%	8.1%	0%	0%	0%	0%	0%	0.5%	0.4%	0.6%	0.9%
Asian	HAL	7	3	0	0	1	2	2	2	12	4	29
	Other	133	168	199	184	1,185	1,325	1,309	1,586	3,534	2,008	9,623
	Percent HAL	5%	1.8%	0%	0%	0.1%	0.2%	0.2%	0.1%	0.3%	0.2%	0.3%
Black/ African American	HAL	7	2	0	0	0	3	9	7	12	2	40
	Other	63	79	74	80	527	665	807	984	2,436	1,446	5,715
	Percent HAL	10%	2.5%	0%	0%	0%	0.4%	1.1%	0.7%	0.5%	0.1%	0.7%
Pacific Islander	HAL	4	1	0	0	0	1	0	1	0	0	7
	Other	19	16	14	13	107	132	122	159	374	177	956
	Percent HAL	17.4%	5.9%	0%	0%	0%	0.8%	0%	0.6%	0%	0%	0.7%
White	HAL	194	132	4	13	68	89	222	148	274	139	1,144
	Other	3,310	3,542	3,774	3,887	19,848	23,099	24,868	29,326	68,008	35,187	179,662
	Percent HAL	5.5%	3.6%	0.1%	0.3%	0.3%	0.4%	0.9%	0.5%	0.4%	0.4%	0.6%
Not Available	HAL	30	10	0	2	2	9	17	19	30	12	119
	Other	378	369	362	397	2,066	2,226	2,084	2,560	6,544	3,872	5,715
	Percent HAL	7.4%	2.6%	0%	0.5%	0.1%	0.4%	0.8%	0.7%	0.5%	0.3%	0.7%
Not Applicable	HAL	0	0	0	0	0	0	0	0	0	0	0
	Other	2	0	2	4	4	10	10	9	26	20	67
	Percent HAL	0%	%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Total	HAL	247	151	4	15	71	104	250	178	330	159	1509
	Other	3,938	4,208	4,463	4,599	23,846	27,595	29,350	34,844	81,386	43,037	257,266
	Percent HAL	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%
Hispanic	HAL	45	25	2	4	3	14	64	38	30	14	28,862
	Other	429	464	543	558	2,586	3,235	3,939	5,062	12,046	6,402	225
	Percent HAL	9.5%	5.1%	0.4%	0.7%	0.1%	0.4%	1.6%	0.7%	0.2%	0.2%	0.8%
Non-Hispanic	HAL	181	116	2	10	67	79	171	123	268	134	168,893
	Other	3,148	3,390	3,567	3,672	19,265	22,208	23,408	27,339	62,896	32,956	1,017
	Percent HAL	5.4%	3.3%	0.1%	0.3%	0.3%	0.4%	0.7%	0.4%	0.4%	0.4%	0.6%

Table VI.13
Rates of HALs by Income of Borrower
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Income	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Average
\$30,000 or Below	7.6%	3.6%	0.1%	0.6%	0.6%	0.4%	1.6%	0.5%	1.1%	0.5%	1.1%
\$30,001–\$50,000	7.6%	4.8%	0%	0.2%	0.1%	0.2%	1.4%	0.7%	0.2%	0.2%	0.8%
\$50,001–\$75,000	4.4%	3.1%	0.1%	0.5%	0.2%	0.3%	1.2%	0.6%	0.2%	0.2%	0.5%
\$75,001–\$100,000	7.2%	2.3%	0.2%	0%	0.1%	0.3%	0.2%	0.2%	0.2%	0.3%	0.3%
\$100,00–\$150,000	3.5%	1.5%	0%	0.4%	0.4%	0.5%	0.4%	0.3%	0.6%	0.4%	0.5%
Above \$150,000	5.5%	2.2%	0.3%	0%	0.7%	0.7%	0.6%	1%	1.1%	1.1%	1%
Data Missing	4.8%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0.2%
Average	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%

Table VI.14
Loans by HAL Status by Income of Borrower
 Maricopa County HOME Consortium
 2008–2017 HMDA Data

Income		2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	Total
\$30,000 or Below	HAL	23	22	1	5	12	7	25	9	34	7	138
	Other	281	593	710	779	2,018	1,777	1,574	1,715	3,164	1,429	12,611
	Percent HAL	7.6%	3.6%	0.1%	0.6%	0.6%	0.4%	1.6%	0.5%	1.1%	0.5%	1.1%
\$30,001 –\$50,000	HAL	86	72	0	3	7	11	80	45	26	12	330
	Other	1,044	1,414	1,480	1,403	5,091	5,402	5,560	6,418	14,526	6,959	42,338
	Percent HAL	7.6%	4.8%	0%	0.2%	0.1%	0.2%	1.4%	0.7%	0.2%	0.2%	0.8%
\$50,001 –\$75,000	HAL	51	33	1	5	12	20	90	51	34	18	297
	Other	1,106	1,029	967	1,033	5,691	6,830	7,640	9,218	21,996	11,653	55,510
	Percent HAL	4.4%	3.1%	0.1%	0.5%	0.2%	0.3%	1.2%	0.6%	0.2%	0.2%	0.5%
\$75,001 –\$100,000	HAL	44	12	1	0	6	16	13	12	32	22	136
	Other	569	505	528	505	4,076	5,097	5,523	6,613	15,758	8,436	39,174
	Percent HAL	7.2%	2.3%	0.2%	0%	0.1%	0.3%	0.2%	0.2%	0.2%	0.3%	0.3%
\$100,001 –\$150,000	HAL	19	6	0	2	15	25	22	19	88	35	196
	Other	522	390	441	504	4,058	4,949	5,403	6,518	15,670	8,421	38,455
	Percent HAL	3.5%	1.5%	0%	0.4%	0.4%	0.5%	0.4%	0.3%	0.6%	0.4%	0.5%
Above \$150,000	HAL	23	6	1	0	19	25	20	42	116	65	252
	Other	396	264	327	368	2,857	3,487	3,579	4,294	10,150	6,048	25,722
	Percent HAL	5.5%	2.2%	0.3%	0%	0.7%	0.7%	0.6%	1%	1.1%	1.1%	1%
Data Missing	HAL	1	0	0	0	0	0	0	0	0	0	1
	Other	20	13	10	7	55	53	71	68	122	91	510
	Percent HAL	4.8%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0.2%
Total	Other	247	151	4	15	71	104	250	178	330	159	1509
	HAL	3,938	4,208	4,463	4,599	23,846	27,595	29,350	34,844	81,386	43,037	257,266
	Percent HAL	5.9%	3.5%	0.1%	0.3%	0.3%	0.4%	0.8%	0.5%	0.4%	0.4%	0.6%

B. PUBLIC INPUT DATA

Maricopa County 8/29/19

Presentation

Comment: What was other?

Presenter: Anyone who doesn't identify as these, any of these races would identify as other. These are self-reported in Census data and American Community Survey data. So, if you don't identify as black, American Indian, Native Alaskan, Asian, Native Hawaiian, or Pacific Islander, you would identify as other race.

Comment: The Native American Reservations are included in this data too, right?

Presenter: Yes.

Comment: Do you have this data with Phoenix and Mesa and just extracted it or do you just don't have this data?

Presenter: We probably have the data from Phoenix and Mesa, but we extracted it, but we do not have it in this form. If that is what your question is. We have the raw data.

Comment: Phoenix will be doing an Analysis of Impediments to Fair Housing this year as well They haven't selected their consultant yet as far as I know.

Comment: I assume Mesa as well.

Comment: Mesa as well.

Presentation

Comment: Can you leave that one up? I am just trying to figure out, where are you?

Comment: Does this include Section 8?

Presenter: This map does not, but there will be subsequent maps that do.

Comment: I know Maricopa County's Housing Authority has converted its units to RAD. Would there be other public?

Presenter: So, HUDs database has not quite caught up with the transaction to RAD. So, we don't have that data.

Comment: So, they would still be located and still coming up here.

Presenter: Yes.

Comment: I see that Buckeye and we have property in Buckeye.

Presenter: Most likely be considered an apart of this public housing map.

Comment: Okay.

Presentation

Comment: What are Housing Choice Vouchers?

Presenter: Section 8 vouchers.

Comment: Those are the same thing.

Presentation

Comment: Income bias.

Presenter: Income bias.

Comment: If we could get that past the legislation and landlords couldn't hold that against them. Just refusing without even...

Comment: I would also say justice involvement as particularly with sex offenders.

Comment: I think Mesa was the last one holding onto crime free and I don't think they have changed that since. I don't know if you know any communities that still hanging onto that. I know a lot of complexes still hold onto that you still have to be 12/13 years past your last conviction before you can rent an apartment. That is a challenge.

Presenter: Any other comments or questions?

Comment: Just representing Ability 360 and we talked before I think about better educating some of the fair housing landlords, education and enforcement. I had a landlord from an apartment call me just this last week asking if we would put up flashing lights for a person that was deaf or hearing impaired and so I think that education and knowledge of quite what they do in enforcing what they do. I think having more of the housing choice vouchers and then really working with landlords to accept those vouchers. People are getting vouchers and then they are looking towards the landlords and they are not accepting them because you can get more for fair market value. So, upstreaming the voucher program would be lovely. We would like to see people increasing the home modification partnerships because when again access into the housing. We are saying about 60.2% as we are aging out as we all are. I will be there very shortly and just having either in the beginning with home modifications to widen doors and put in ramps and even roll-in showers. Some part of the complexes will let us do that but then you have, and they say they want it retrofitted back. That makes no sense. If you get a free roll-in shower. Keep it or rent it to somebody else that needs it. I don't care if it is a senior or a young person with a disability. They want to go back and take out grab bars. We need things to be different and provide incentives for accessibility up front which is a lot less costly. It is not even that costly to retrofit, but in the new construction provide incentives to the builders. At least have what we have some visitability city ordinance. He did it which we are very excited about. We will work with any city, any public housing project, any place on visitability city ordinance. Where you have a zero step, so you don't have to bother with a ramp. People call me for a ramp. They can't even get in their house safely. Wide doors and visibility and having at least one bathroom on the main floor that you can get in and use. Visiting somebody and you can't use the bathroom is very common. Those things we look at as very easily can be improved and how to eliminate those barriers for Ability 360.

Presenter: Any other comments or questions?

Comment: So, when we get calls that they are being evicted for whatever and usually not paying rent and they have lost their job and so they are always looking for low-income housing and now it seems these days that they do a credit score. So, if you are in the tank you have about minimal or no chance of getting in some places to even rent or even be considered for renting. So that is a struggle for at least the people that we get at the front desk. They don't have a deposit and they don't have a job. So that alone having no income is obviously a huge barrier.

DRAFT

Maricopa County 8/27/19

Presentation

Comment: Just to be clear you have taken Phoenix and Mesa out of these numbers.

Presenter: I am saying Maricopa County, but anything that says Maricopa County Home Consortium takes out Mesa and Phoenix. There are a couple numbers as we go back where it is countywide, like the homeless numbers were countywide and then some of the economic was countywide.

Comment: Explain what the Consortium is and what the County is.

Presenter: The County is in a Home Consortium which means these cities that are listed under the Home Consortium, their HOIME funds are controlled by the County and these cities participate in this plan with the County. The whole of this plan also includes Maricopa Urban County which includes these unincorporated areas. So, most of this data that we are looking at includes everything except Phoenix and Mesa because they receive their own HUD funds. Is that clear to you?

Comment: Yes.

Presentation

Comment: I noticed that that big green area is the Salt River Pima Maricopa Indian Reservation. Is the Reservation included in all of the data we have seen so far as well?

Presenter: Yes.

Presentation

Comment: Less reported.

Presenter: It is not that it is less reported, it is just not as prominent in the community, 1 to 2 percent of households will have those issues, cost burdens are more common.

Presentation

Comment: So, I work for Care First Health Plan which is one of the access programs and my department basically contracts social service agencies that address the social determinates of health. Housing is huge. Homelessness, education, employment and all of those that contribute to a person's wellbeing. Our health plan has a housing specialist that does primarily with the homeless population. Specifically, around the campus area and for us having about 380,000 members, we have a very high amount of homelessness, homeless members. That is homeless in shelters, that is homeless on the street, and that is homeless couch surfing and all of those other definitions that fall under that. That is the biggest problem right now that we are seeing is affordable housing and homelessness. I go to multiple west valley meetings, resource center meetings, and everybody is talking about the same thing. How do we help the homeless numbers come down; what are we doing about affordable housing because there is not literally, and I use myself as an example. My mortgage is \$1,300, my son's

500 square foot studio is \$1,139. So that was his option and he chooses to do that and to live there, but for the problem person that is not making 50, 60, 70,000 dollars plus, for those people that are earning minimum wage and having to work 2 or 3 jobs at a time, what do they do? Aside from multiple families living together and having latchkey kids because mom has to go to work so there are so many different factors involved that you can't just address the homelessness or the housing without looking at the rest of the problems. Really when I worked at Sunnyslope for several years, a majority of my clients were homeless, and they chose to be homeless. So, there is that factor as well. You chose to stay on the streets, and you chose to be without shelter, without a home, resources are there, and they don't want to take advantage of that. I would like to see kind of like human resource center on the westside of town. I heard they are starting around October I believe, but I think we need a little bit more than that because it is a 20-mile hike down to the campus to try to get an ID. You can't work unless you have an ID. Where are you going to eat at, where are you going to take a shower so you can go to the interview. So, there are multiple facets involved and right now it is ridiculous that the housing costs and there is no affordable housing for anybody.

Presenter: Thank you.

Comment: One of the changes we made at the county in the last year is all of the money, all of our Community Development Block Grant money that we can possibly spend on homelessness, because HUD limits how much you can spend on contrition activities verse public services, we have put all of that money into that. Do we are funding that and I am excited about that, but I think we are definitely seeing, and she can speak to that, but we are seeing homelessness in these suburban areas grow at a really really high rate.

Comment: Burger King is experiencing homelessness.

Comment: I know El Mirage has a problem and it seems like it is a really growing problem and especially out here.

Comment: El Mirage is working with Sunrise in the health program. We are one of the partners and there is four communities that are working together and working with Sunrise as a good we are trying to work together.

Comment: Understanding isn't going to end it, but at least it will get folks engaged and connected to services, but definitely affordable housing I think is at the top of the list.

Comment: It is and it is really sad though because you what we call the working poor and it doesn't matter how many hours that they put in, if there is multiple mouths to feed at home that \$900 or \$1,000 rent it is going to take two or three jobs to cover. They go all the time away from your household and taking care of your children. It is just a snowball effect.

Comment: Can we go back to that slide that had the rates of new construction for single family and rental units. I thought that was really interesting. It is not nearly, and this county has grown so fast and to see that we are not even at 2004 levels. That is really telling.

Comment: How was Mesa selected in the distribution of funds. They get their own.

Comment: They are a large enough community and high enough rates of poverty that they receive their own allocations of these funds. I definitely would have expected that, but I thought we would have been higher at this point now.

Comment: There is so much commercial construction that has taken it away.

Presenter: This is a similar trend that I have seen in other communities in the country is that I haven't seen very many of any communities that have recovered their housing production since the recession.

Comment: We lost a lot of contractors and building costs are so high now it is hard to build a \$200,000 home. It is hard to. Looking for something affordable and that is 150 to 200,000 dollars and it costs so much to build now that many builders are not able to cover costs.

Presenter: I think part of this piece of the puzzle that exacerbates the problem is that the housing stock in the county is so much newer. A lot of the times older housing can be because that affordable housing stock. It can sell for cheaper and you can rehabilitate it and it can be that affordable housing stock, but there is not a lot of older units in the county.

Comment: Also 10 years of just different group of kids are now adults who are willing to live in (Not Discernable).

Presenter: Any other comments or questions?

Presentation

Maricopa County 8/28/19

Presentation

Comment: Not a bad thing in a way.

Presentation

Comment: What is the seasonal, recreational, occasional?

Presenter: You have something you rent out for vacation use and things like that. It might not be occupied year-round, but it is available at some point during the year for rentals or recreation or vacation and things like that.

Presentation

Comment: Fountain Hills.

Comment: Yes.

Comment: Phoenix and then Gilbert or that is Mesa. Are you saying the red is Mesa?

Presenter: This white area is Mesa.

Comment: Oh....

Presenter: Because it is not a part of the study. This white area is Phoenix.

Comment: So, south of Mesa is what like Gilbert?

Comment: Chandler.

Comment: Chandler/Gilbert.

Comment: So, I am thinking that that one up there must have Fountain Hills.

Comment: It is huge.

Presenter: Is this what we are talking about?

Comment: Yes.

Presenter: That is one Census tract.

Comment: I think that this town Fountain Hill, which is very senior area, but its dos have all those mountains.

Comment: Is Paradise Valley considered part of Phoenix?

Comment: Yes.

Comment: Well, no because they wanted to be a part of the urban county at one point.

(Crosstalk)

Comment: This is Paradise Valley.

(Crosstalk)

Comment: This is the Phoenix Country Club, because it is own and not a part of the City of Phoenix.

Comment: No, serious?

Comment: Is this right here Grand?

(Crosstalk)

Presenter: This is just rents period.

(Crosstalk)

Map Discussion

Presentation

Comment: I would like to know what is causing that.

Map Discussion

Comment: If that is Tolleson, for 45-52 percent have housing problems.

Presenter: Most likely the majority of them would have cost burdens.

Comment: That doesn't surprise me.

Presentation

Comment: For me I would like to go back and see the Tolleson piece, but I know it is just not about Tolleson. I think a lot of the story is countywide, but Tolleson has some things about this community that are maybe a little different. It is a smaller town and it is multigenerational, but people are having a hard time staying here, finding homes. The one trend that is very different about Tolleson is there is some newer housing, but there is a lot of older housing. So pre 70s housings. Maybe not old for the east coast but old for here. I am working with folks with homes from the 1920s to the 1960s and trying to do repairs and that is a challenge. Definitely talking to other folks who work in other areas of the city, renters are having a really hard time and families are having a really hard time finding affordable homes. If you are trying to buy it is definitely going out to qualify which is not what we... anyway but... I don't work with those who are experiencing homelessness, but I know a few folks who are living in their vehicles in the summer here which is crazy. The office and to help house folks at a local hotel in

certain situations. I feel like there is a good and definitely a good reflection. I just don't think I am speak for everybody.

Comment: We are also going to take her comments from earlier about the senior population. Services and house burdens.

Comment: I think there is just not enough senior housing in this community. What is so great about Tolleson is we have a lot of centralized services. So, we have a great senior center and meals for folks, and we help with utilities though other programs and stuff. The City puts up a lot of funds to help folks with additional services and there is transportation for folks that live here, but it is very difficult for people and the seniors who don't own their homes and to find affordable rentals or places where they can have other services that they really need. Some wrap around services would be helpful as they get older. I know folks in the home repair programs that we run that are dealing with a lot of elderly that are disabled and we are trying to provide some in-home modifications so that they can stay in their home and be safe. That is challenge. Some of them have houses that you really can't modify as much as they would like to be able to modify them. It is not structural feasible. I know that the Director of the Senior Center is going to be sending in the survey. I just spoke with him a little while ago to do that. He has worked here for four years and goes out to folks with Meals on Wheels and be able to talk a lot more about the needs of folks in the community. One of the more important feedback we could get as far at the people he talks too in the area. I would love to have access to this if that is possible.

Maricopa County 8/29/19

Presentation

Comment: At our table we are wondering why Phoenix and Mesa are pulled out of some things, but in other things. We don't understand that.

Presenter: So anytime that data allows us to pull that out we take that out, because this plan and those funds will not go into Phoenix and Mesa. The economic data that I just showed you is only available at the county level so we can't pull out Phoenix and Mesa because the way that the data is collected is only at the county level.

Comment: Phoenix and Mesa do their own plans. So all the rest of the cities that are under the lead agency in Maricopa County we have to work together to put ours in and then each year we will put out individual plans for our community, but Phoenix and Mesa receive their funds independently so they do this on their own.

Comment: Thank you.

Comment: You said all together do you break it down for city or town?

Presenter: It depends on how the Point-In-Time count was completed. We can probably break that down by each city.

Comment: Every city has a Point-In-Time count. That is actually people out there and it is just used in every report. So those that participated.

Comment: I was just wondering how many homeless people there are in Gilbert.

Comment: So, in Gilbert two years ago it was four and last year it was two. We do know that that is a one day count though and you go out at 5 in the morning and you finish by noon. We there is a lot more transitional that move back and forth. We know that there is probably chronically homeless at this rate that is closer to 10, but we only we able to count 2 that morning. We have a lot more that qualify through the school system that are doubling up, but that is not the definition of the homeless for the count. I can talk to you a little bit more later.

Presentation

(Map Explanation)

Comment: So, related to the seniors then where is Sun City in relation. Is that the purple area on the very top?

Comment: That line is heading out that way. That is Grant Avenue and that is Sun City out there when you are up in the green.

Comment: Can you go to the previous one.

Presentation

Comment: What areas are those?

Presenter: With the highest rates?

Comment: Yes.

Comment: Would you like to give some context here?

(Map Explanation)

Comment: Is this available to see online?

Comment: We haven't posted it online, but people who came to our meetings the previous two nights and not as nearly as many we sent it out to them as well. It is hard to really take all of this in at once. We would be happy to send it out tomorrow.

Comment: Thank you.

Comment: (Not Discernable)

Presentation

Comment: It is hard to tell from the colors if there are any duplexes or triplexes.

Comment: They are very small.

Presenter: There are these little slivers in between like a little white line and a little purple line. The production of those is meniscal compared to the rest.

Presentation

Comment: There is a lot of media right now about Air B&B and BRBO and some of those others. Is that considered for seasonal recreational/occasional?

Presenter: Yes, anything like that would be considered under that.

Comment: So, there is a huge amount of change in that.

Presenter: We see 13 percentage point increase over seven years. So, the 2017 ACS data is a rolling average so when the 2020 Census comes out you may even see that number being higher than what it is showing here.

Comment: That number is also for people who have second homes here.

Comment: Right.

Comment: That is quite a number as well.

Presentation

Comment: Large purple at the top and this map is by Census tract and that is Fountain Hills. That is one tract. It is just a very large tract.

Presentation

Comment: Do you include and when you say the rents, does that include seasonal rents? They are much higher than.

Presenter: The rent data that is pulled is from the Census data. It depends on when that would be taken. So, it is just a snapshot of what is happening currently. So that was a question that I can get back to you about.

Presentation

Comment: Are those cost burdens broken down by age by chance.

Presenter: I don't think that they are broken down by age category, but we do have them by income level and by race.

Comment: (Not Discernible) in our neighborhood and there are people on a wait list for five years and they are not being able due to the scale of veterans here. I had a lady that was a Vietnam Vet had cancer and she raised her amount that she received monthly and they gave her a 30 day notice to move out because she wasn't because she wasn't prepared and she just went over the amount and they were going to keep her off. (Not Discernible) because there isn't housing available for people who are in that category. So, they are going to go and live with family members they are having to find places where they can live their life. So, it is a problem (Not Discernable) That is a problem for us with senior housing that is affordable for multi persons and not just that and I am not seeing that in Gilbert.

Comment: Lack of affordable housing options are pervasive. I mean throughout not only Maricopa County but Mesa, Phoenix, our state, the nation does especially for people who are in some of the deeper levels of poverty like you said people with a trauma or a disability and can no longer sustain. I think absolutely is a number one priority.

Comment: What I would love to see in my community is there is homeless and these homeless is just not and these people are not just and these people are and they are people who have drug problems and addition to that they are just homeless and I see that quite often. They are living in our community. There needs to be some type of service that can get them into a place where they get jobs and are able to live and contribute to society rather than living in the parks or the streets. They are killing people and they pull out a knife. I have seen that with one woman, and she lived.

Comment: The problem is that families are overlooked all of the time. So, it is not a representative sample of how many people are homeless in our community. In effect I just got a call yesterday from one of the homeless liaisons in Gilbert where there is a family of two kids sleeping in a car. We only

have enough emergency shelters, we don't have enough transitional shelter, there is no place to put everybody.

Comment: We have an overabundance of builders building.

Comment: But not in an affordable way.

Comment: That is what I am saying. That is a start finding out how we can do something about that.

Comment: Building apartments because people are moving there, and I know the housing thing and a lot of people don't want to buy because of what happened to their parents 10 years ago. So, they are out of the market and they are renting, and they are paying an astronomical amount of money for rents. These builders that come here and build maybe there are some standard that we have to meet in our city to be able to house everybody's needs instead of just one. It is because they are making money on those people that are moving here and those people are eventually going to buy houses. If there was a way that they measure that and make it standardized or something.

Comment: In regard to condos verses apartments. They are totally two different people who buy a condo and an apartment regarding of what you do that to lessen the burden as they age, and they are getting loans so that they are able to buy condos. Gilbert is not seeing that trend. They are seeing apartments because that is where they make their money. So, a condo is affordable housing they can get into and to buy a house because they will never buy a house in Gilbert when they first. It is very typical for a first-time buyer to buy in Gilbert. So that is what I am seeing, and Oak Property in Gilbert and they can make a deal with a developer that they can develop their condos and they have the ability to sell those condos to people that can afford. They are (Not Discernable).

Comment: So, I was in the business one time and decades ago we explored. It was before the Department of Housing, it was the Department of Commerce I believe, but we floated the idea of laws that would require developers to set aside a certain percentage of units for lower income. So just trying for renters. It does two things. It starts to build your capacity for affordable housing and also integrates lower income families with higher income families that then sort of set higher norms and that kind of support. In the years past Arizona housing market wasn't as inflated as it is today. The numbers are in pencil. I get the performance and I get that it has to be a profit. I can't help but wonder as we are seeing the cost of rental units escalate when do we get to that point when we can do some of that creative thinking and kind of social responsibility. I put that out there.

Presenter: Thank you.

Comment: Along with what you were saying there are several low-income apartments in this community, and I have helped people find these locations, but after a year the rent keeps going up and each year it goes up again. People end back up at square one. So, rental cap on that or I don't know if something like that can be done? At least in a certain amount of time. One year really is not enough time for people to get back on their feet, but I feel like two years is a pretty good amount of time before they get a rental raise or something. So...

Comment: Another thing that we are seeing is a lot of landlords now are putting in and they will not cover any maintenance at all unless it is fire or flood. So, you are looking at low-income people who are below the poverty line and barely making it and paying over 30 percent of their income and something breaks down like the kitchen or bathroom and none of the landlords will fix it.

Comment: So, somebody is not doing their job, because they have to. Those people have to be held to the standards, because if people don't have bathrooms that is a problem.

Comment: We have private landlords in our community that are writing it into the leases and then the people are taking the leases and signing them.

Comment: They should not be signing them.

Comment: But if you are low-income and you are desperate for a place to rent that is why it is happening.

Comment: They are getting taken advantage of.

Comment: It is true.

Comment: Predatory renting.

Comment: I would like to be on that committee.

Comment: The population that I serve is the seriously mentally ill and particularly the ones that cannot advocate for themselves and they are incapacitated, and they do not have a family member that can advocate, but I do help a lot of families as well. So, what we are seeing is high eviction rates for this population, because they are not getting the adequate support. They may act out because of symptoms of their mental illness and the landlord is like that is our ticket to get them out of here. Also, the continuum of care for this population is really a triage. It treat, street, repeat. We need more flexible housing options and some long term options where and it is much more affordable to have like say a group home with four or five individuals there with a staff member there verses trying to put everybody in an apartment which the rates are going through the roof and we can't really do that. So, we need to look at this maybe a smaller population, but if you look around in every city this is the population, we are seeing very visible on the streets. Also, what I have learned and what I have heard in working with Access and we are working on this issue right now is that there are housing vouchers and I don't know if this is true, but there is not capacity. Again, landlords with our prosperity and increase in income they are redoing their apartments and they want high they want to make money. Everybody wants to make money. So, there is just a lot of a lot against this population and I think that they get overlooked a lot, yet they are the ones that our county is spending money whether it is jails or booking or police or tragedy. The families are living in crisis and they cannot take care of them anymore in their home. It is too difficult. There is loose of income there with those families. So again, smaller population but they are using up huge amount of our resources because we are not prioritizing and focusing on them.

Comment: I don't see why the funds can't be aligned to rehab houses that are dilapidated where it is not an emergency or whether it is not the air conditioner or an emergency repair where they actually have funds to rehab. According to her they had a like a lean type thing in order to receive funds. To me you are not serving anybody if all you are doing is fixing the air conditioning or the plumbing when the whole house is dilapidated and sooner or later it will be in bad condition. That is one of the things and in addition to that we have a drainage problem. They are going to be taking care of and every year they ask, or I ask, and the drainage problems are not being taken care of. My Spanish speaking neighbor is so concerned with all the mosquitoes constantly and it is a health and safety problem. Lots of things can happen when you don't and so it is kind of unfortunate.

Comment: Is only set to rehabilitate houses or (Not Discernible)

Presenter: The types of funding could be used for that, but it depends on how the county prioritizes their funding. There is only so much, and it only goes so far. So, part of this process is deciding what properties the county is going to set for this. I appreciate the comments and the input in this process.

Comment: When I look at this and a problem that we see everyday is I look at the kids that are impacted by all of this. The stresses that happen in family where they can't afford the bills and maybe they are not getting as much at work. Is if we could find a place for the kids are safe and being taking care of then the parents and maybe fed then the parents are able to deal with a little bit more or if it having to pick up a second job to pay the bills or having to worry about the kids. That is a part of all of this, and it also teaches the kids a work ethic so hopefully they do not end up in that cycle.

Comment: The Boys and Girls Clubs do they and I know there one in the community maybe they need more (Not Discernable)

Comment: we are constantly getting phone calls about it, but facilities in communities for affordable after school and non-school funded care and it is the parents are coming in and asking for more and more financial assistance, because they can't afford regular daycare programs because the amount they receive.

Comment: I will say that we are seeing more and more family living in hotels because they just can't afford the utility deposit, the security deposit and they are getting charged higher because they have had evictions. So, we have a whole generation of kids growing up in motels, which is not stable because they are not making it to school on time and they have no descent place to play and no other friends in the neighborhood to get involved with.

Comment: Is it easier to get a motel voucher than a housing voucher?

Comment: No, they can pay with their weekly check the weekly rate.

Comment: So, they are not on vouchers they are just choosing...

Comment: That is their only choice.

(Crosstalk)

Comment: It is way cheaper...

Comment: In some ways.

Comment: Depending on what time of the year and they get busy in the wintertime and the rates go up, but they are living paycheck to paycheck. They don't have enough money to get the rent.

Presenter: What do you think that the county is doing well? Are there any programs or efforts that are already in progress that could be improved?

Comment: We have a new facility that allows people dental care, but it only allows children. The seniors are not able to go to the dental and receive services. So, the seniors that are living in the community and I know one, three that just talked to me about this. So, I don't understand why the children are receiving the dental care when the people and the elderly and the people who cannot afford it who are elderly do not receive that care. To me that is not really taking care of the aspects of the community. I think that program should include seniors. It costs a lot more to go to the dentist when you are older than when you are younger.

Comment: I think something that the county is well is they collaborate now.

Comment: The County also has a really robust home repair program for low-income houses which can keep people safely housed in the long run.

Comment: They have been investing in affordable housing.

Comment: They also do a great job. It doesn't affect homelessness housing so much, it is a support with the community services, like road improvement or sewer improvements and those kinds of infrastructure in residents throughout the county that are major.

Presenter: Any other comments or questions?

Presentation

Comment: I work for a non-profit here in Gilbert and we serve the addiction community. So, we have one house for single moms with kids, but we do have a waiting list and the need is great. Moms can't afford to live on their own and this home allows them to keep their kids, but we need more homes like this. We can't afford another one at this time.

Comment: (Not Discernable) we really see that families need places to live.

Presenter: Any other comments or questions?

Comment: I do think that I agree with all of these comments. I see the same thing, but also just with the seriously mentally ill I think we tend to because of Not In My Backyard we tend to put them in situations where they, we set them up to fail and there is no hope for them to have a life with dignity.

So, I think we need to look at are we being fair and equitable. We are not setting them up to succeed and putting these houses and where we put, and they usually get the bottom of the barrel. So that is all.

Comment: That is what we were talking about over here. We want to help, but we will help you from here. We don't want that home in our neighborhood. It is that. (Not Discernable)

Comment: I would suggest that funding be proportionate to attendance at these meetings.

Comment: I thought the presentation was very informative and helpful very succinctly put together. I appreciate that.

DRAFT

SPENDING CONDITIONS:

CDBG Program Year 2020

- 1) All program income generated from any client, project, or activity receiving CDBG assistance must be reported.
- 2) At project completion or year end, staff will reallocate any unused subrecipient project funds to the Housing Rehab or Public Facility activities, depending on funding needs, unless through the action plan amendment process.
- 3) The City or sub-grantees may incur pre-award costs per 2 CFR 200.458



2020-2024 Consolidated Plan

Program Year 2020 Annual Action Plan

&

Analysis of Impediments to Fair Housing Choice

Public Review

Human Service & Community Vitality | May 19, 2020



Introduction

The City of Surprise is a recipient of Community Development Block Grant (CDBG) and HOME Investment Partnership (HOME) funding.

The City receives an annual allocation of CDBG as a direct entitlement.

The City receives an annual allocation of HOME funding as a member of the Maricopa HOME Consortium.



Introduction

In exchange for receiving HUD funds, recipients must prepare four things:

1. Five-Year Consolidated Plan (July 1, 2020 – June 30, 2025)
2. Annual Action Plan (July 1, 2020 – June 30, 2021)
3. Analysis of Impediments to Fair Housing Choice (AI)
4. Consolidated Annual Performance and Evaluation Report (CAPER)



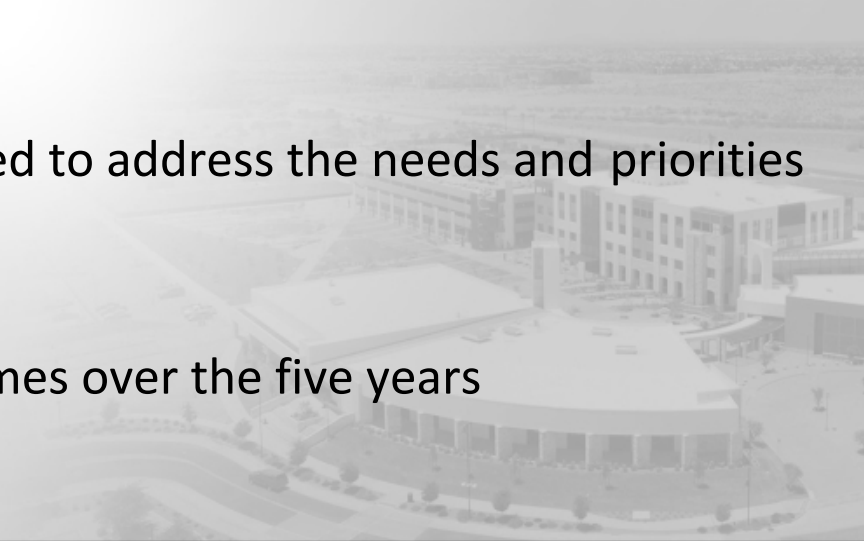
Today's Objectives

- ❖ Review the elements of the Draft 2020-2024 Consolidated Plan
 - ❖ Review the Analysis of Impediments to Fair Housing Choice (AI)
 - ❖ Review the identified High Priority Needs and Goals
 - ❖ Review PY2020 Annual Action Plan (AAP) and Spending Priorities
 - ❖ Approve the Consolidated Plan, AI, and PY2020 Annual Action Plan for submission to HUD
- 



2020-2024 Con Plan

Purpose of the Five-Year Consolidated Plan:

- ❖ Help to identify housing and community development needs, priorities and strategies
 - ❖ Help plan how funds will be allocated to address the needs and priorities over five years
 - ❖ Help set goals and projected outcomes over the five years
- 



2020-2024 Con Plan

Process of developing the plan:

- ❖ Analysis of quantitative and qualitative data (Mostly Census Data)
- ❖ Public Involvement and stakeholder input
- ❖ Development of strategies in response to identified need

Funding involved:

Community Development Block Grant (CDBG)

HOME funding is approved through the Maricopa County HOME Consortium Consolidated Plan. However, we consider HOME funding when creating our strategic plan



2020-2024 Con Plan

What's in the Plan?

Executive Summary

- Introduction to the plan
- A summary of the objectives and outcomes identified
- An evaluation of past performance
- Summary of Citizen Participation, Consultation and Public Comments

Pg 4.



2020-2024 Con Plan

The Process (PR)

- Identifies the Lead and Responsible Agency (City of Surprise)
- Description of Agencies who were consulted
 - Housing Providers
 - Health Agencies
 - Continuum of Care
 - Other community stakeholders
- Summary of Agencies and how they were consulted
- Summary of Citizen Participation and how it impacted Goal-setting



2020-2024 Con Plan

Needs Assessment (NA)

- Needs assessment overview
 - Profiles the City's population, median income, household demographics, housing problems
- Non-Housing community development needs
 - Public Facilities
 - Public Improvements
 - Public Services
 - Discussion on how these needs were determined



2020-2024 Con Plan

Housing Market Analysis (MA)

- Overview of the housing market
 - Supply vs Demand
 - Condition of housing
 - Cost of housing
 - Diversity of housing type (Single-family, multi-family, attached)
- Non-Housing community development needs
 - Economic Development
 - Labor Force
 - Education
 - Business Activity
- Needs and Market Analysis Discussion
 - Housing problem concentrations
 - Racial or ethnic minority concentrations
 - LMI concentrations
 - Analysis of concentrations



2020-2024 Con Plan

Strategic Plan (SP)

- Overview of findings
 - Identifies Priority Needs of the community
 - Identifies Goals and Outcomes to meet those needs
- Description of Priority Needs
- Evaluates anticipated resources (\$) over the five-year period
- Describes the institutional delivery structure – Who will carry out the plan?
- Description of Goals and Goal funding
- Anticipated Goal outcomes – Persons and households benefitting
- Strategy to address poverty
- Monitoring the progress of the plan

Analysis of Impediments (AI)

Recipients of federal housing and urban development funds must Affirmatively Further Fair Housing (AFFH)

AFFH is defined as taking “meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to opportunity based on protected characteristics”

Analysis of Impediments (AI)

The Analysis of Impediments to Fair Housing Choice is a community evaluation of:

- Segregation
- Racial or ethnic concentrated areas of poverty (R/ECAPS)
- Access to opportunity
- Disproportionate housing needs
- Disability access
- Fair Housing enforcement and outreach

Analysis of Impediments (AI)

Identifies High Priority Impediments to Fair Housing

- Insufficient affordable housing in a range of unit sizes *
- Disproportionate rates of housing problems for Black or African American, Hispanic, and Native Hawaiian/Pacific Islander households
- Insufficient accessible affordable housing *
- Failure to make reasonable accommodations *
- Lack of fair housing infrastructure
- Insufficient fair housing education
- Insufficient understanding of credit

Analysis of Impediments (AI)

Sets Fair Housing Goals for the City

- Review zoning and municipal codes for barriers to housing choice
- Increase availability of accessible housing
- Promote homeownership and rental opportunities in areas outside of racially or ethnically concentrated areas of poverty (R/ECAPs)
- Enhance community services in R/ECAPs *
- Promote community and service provider knowledge of fair housing and ADA laws



Con Plan Identified Needs

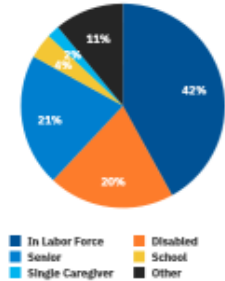
High Priority Needs:

1. Maintain and increase the availability of **Affordable Housing**
2. Invest in **Public Facility Improvements**
3. Support **Public Services**
4. Continue the **Planning & Administration** of HUD funded programs

High Priority Need 1

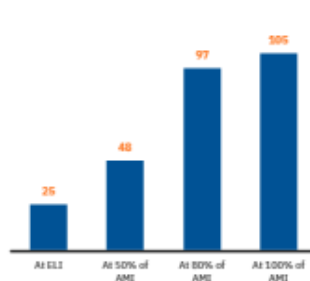


EXTREMELY LOW INCOME RENTER HOUSEHOLDS



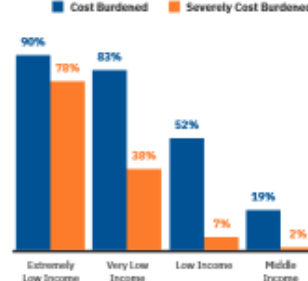
Note: Mutually exclusive categories applied in the following order: senior, disabled, in labor force, enrolled in school, single adult caregiver of a child under 7 or a person with a disability, and other. Fifteen percent of extremely low income renter households include a single adult caregiver, more than half of whom usually work more than 20 hours per week and 2% of whom are in school. Source: 2017 ACS PUMS.

AFFORDABLE AND AVAILABLE HOMES PER 100 RENTER HOUSEHOLDS



Source: NLHC tabulations of 2017 ACS PUMS

HOUSING COST BURDEN BY INCOME GROUP



Note: Renter households spending more than 30% of their income on housing costs and utilities are cost burdened; those spending more than half of their income are severely cost burdened. Source: NLHC tabulations of 2017 ACS PUMS

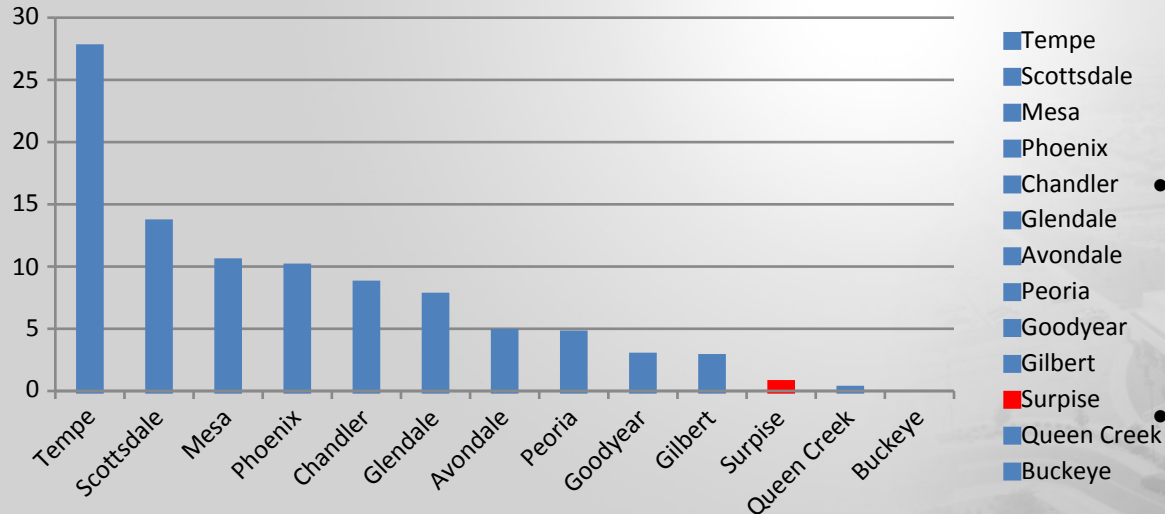
Affordable Housing

- 46% of renters in Surprise are Housing Cost Burdened
- 25% of those 46% are Seniors 65+ *
- 83% of very low income renters in Surprise are Housing Cost Burdened

High Priority Need 1

Affordable Housing

Existing Percent of Residential That is Multi-Family



- Less than 1% of existing units in Surprise are Multi-family
- 85 % of units are single-family homes. Majority are 2-3 BR (*High Priority Impediment -AI)
- Over 90% of homes were built before 2010



High Priority Need 2

Public Facility Improvements

- Invest in new public park facilities, especially in Low-income areas
 - *Fair Housing Goal
- Invest in community facilities for seniors, persons with disabilities, youth
- Repair or replace damaged or inaccessible sidewalks
- Support new housing developments with related neighborhood improvements

Improves livability and safe decent neighborhoods



High Priority Need 3

Public Services

The Surprise Community Needs Assessment - The *Humans Services and Community Vitality in Surprise - A Community that Cares*, identified critical human service needs for:

- Homeless individuals and families/youth
- Individuals with disabilities and special needs
- Low to moderate-income individuals and families/youth
- Seniors
- Survivors of Domestic Violence (domestic, sexual, and hate crimes)



High Priority Need 4

Planning & Administration

Strict oversight and administration of the federal funds is vital to a successful program and meeting the goals and objectives of the plan. Planning and Administration activities include:

- General program oversight and coordination;
- Preparing budgets, reports and other HUD required documents;
- Monitoring program activities and Subrecipients;
- Fair Housing activities, training; **(Fair Housing Goal)*
- Preparation of comprehensive plans;
- Policy Planning, management and capacity building;
- General environmental studies



Con Plan Goals

Goals to meet the High Priority Needs over the five-year plan:

1. Housing Rehabilitation for homeowners
 2. Tenant Based Rental Assistance (HOME)
 3. Develop Affordable Rental Housing (CDBG & HOME)
 4. Housing Services in support of the HOME program
 5. Public Facility Improvements
 6. Public Services
 7. Administration & Planning
- 



Anticipated Resources

Program Year 2020 Allocation = \$649,903

X 5 years = \$3,249,515

City General Fund allocates approximately \$75,000 annually for Program Administration and Activity Delivery



Goal Funding

Summary of Goal funding (Five-year period):

		<u>Goal Outcome</u>
• Housing Rehabilitation	= \$714,615	125 Units Rehabbed
• Housing Services	= \$135,000	130 HH Assisted
• Affordable Rental Housing	= \$547,000	10 New Units
• Public Facility Improvements	= \$852,000	20,000 LMI Assisted
• Public Services (15% cap)	= \$351,000	615 Persons Assisted
• Planning & Administration (20% cap)	= \$649,900	Other



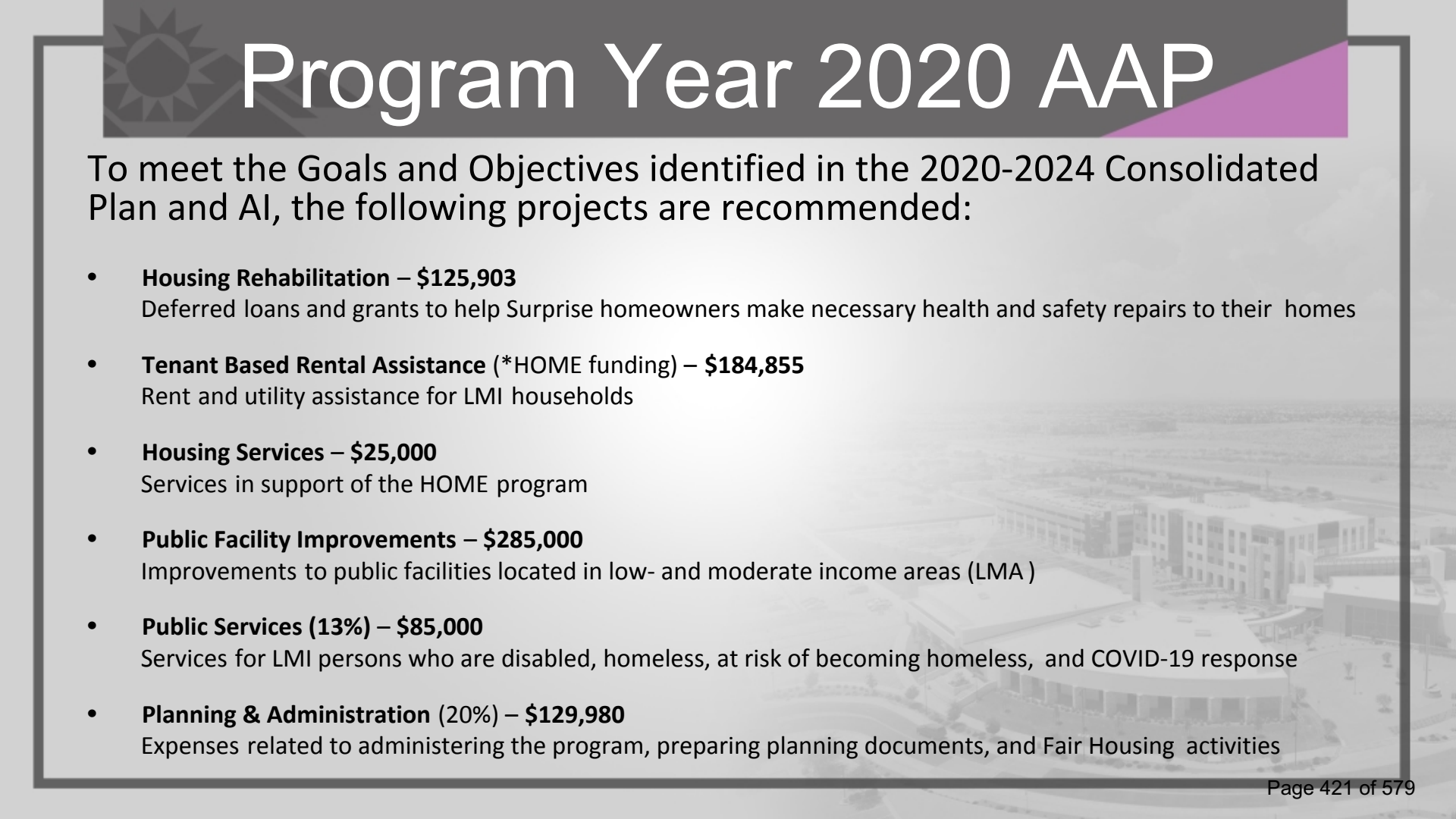
Program Year 2020 AAP

Program Year 2020 is the first year of the 2020-2024 Consolidated Plan. The CDBG allocation for Program Year 2020 is **\$649,903**

Conditions of Funding:

Planning and Administration is capped at 20% of allocation

Public Services is capped at 15% of allocation (Waived for PY2020)



Program Year 2020 AAP

To meet the Goals and Objectives identified in the 2020-2024 Consolidated Plan and AI, the following projects are recommended:

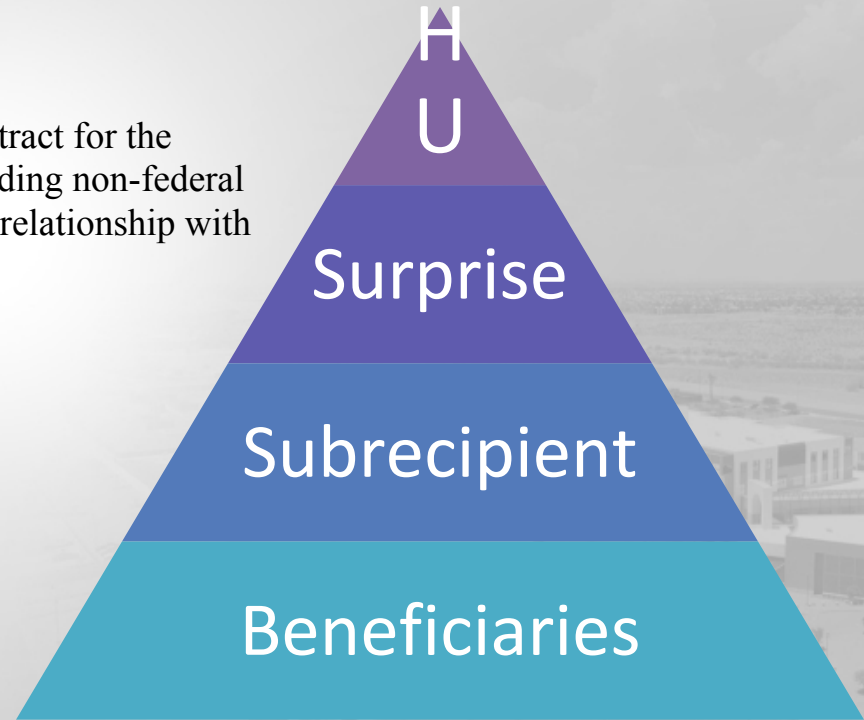
- **Housing Rehabilitation – \$125,903**
Deferred loans and grants to help Surprise homeowners make necessary health and safety repairs to their homes
- **Tenant Based Rental Assistance (*HOME funding) – \$184,855**
Rent and utility assistance for LMI households
- **Housing Services – \$25,000**
Services in support of the HOME program
- **Public Facility Improvements – \$285,000**
Improvements to public facilities located in low- and moderate income areas (LMA)
- **Public Services (13%) – \$85,000**
Services for LMI persons who are disabled, homeless, at risk of becoming homeless, and COVID-19 response
- **Planning & Administration (20%) – \$129,980**
Expenses related to administering the program, preparing planning documents, and Fair Housing activities

PY2020 Subrecipients

Subrecipient Determination

- ❖ *Contractor– A non-federal entity that receives a contract for the purpose of providing goods and services for the awarding non-federal entity's own use. The contract creates a procurement relationship with the contractor.

- ❖ *Subrecipient – A non-federal entity
 - Determines eligibility for federal assistance
 - Makes programmatic decisions
 - Responsible for adherence to Federal compliance
 - Performance is measured against Federal objectives



PY2020 Subrecipients

All Subrecipient's and projects for CDBG funding are evaluated and scored with a set of written criteria

Threshold Criteria

Subrecipient's that do not meet the PASS threshold criteria will not be considered further.

Meet CDBG National Objective	Anticipated to be completed within Action Year	Applicant meets eligibility requirements applicable to proposed project	Applicant meets definition of a Subrecipient	*Returning Subrecipient- In Compliance with current agreement
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Scoring Factors

Subrecipients were scored based on the following factors;

Organizational Capacity (20 points)	Cost (10 points)	Experience working with HUD Funded Programs (20 points)	Method of Approach (15 points)	Partnering/Complementing/Duplicating (5 points)	Consistency with Identified Priority Needs (25 points)	Pledge of Leveraging Resources (5 points)
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PY2020 Subrecipients

Staff recommends the following Public Service Subrecipient projects for Program Year 2020:

PY2020 Activities	Priority Need	Outcomes
Surprise Resource Center	Rental and Utility Assistance	38 (LMC)
Lutheran Social Services IHELP	Homeless Services	20 (LMC)
Northwest Valley Connect	Senior/Disabled Transportation Services	40(LMC)



Citizen Participation

Summary of Citizen Participation and Outreach:

- Community Needs Assessment
- Public Stakeholder Meetings
- Original Town Site outreach
- Public Notices
- Press Releases
- Public Hearing on “Needs”
- Community Survey (223 responses)



Staff Recommendations

Staff recommends approval of the 2020-2024 Five-Year Consolidated Plan, Analysis of Impediments to Fair Housing Choice, and Program Year 2020 Annual Action Plan for submission to HUD



What's Next?

March 20 – April 21

30-Day Review &
Comment Period

May 19, 2020

City Council
Approves Plans

July 15, 2020

Plans submitted to HUD



QUESTIONS OR COMMENTS?

Adam Lane
Human Service & Community Vitality
Neighborhood Services Supervisor

Joe Gladieux
Human Service & Community Vitality
Manager



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020 Contact Person: Adam Lane
Submitting Department: Human Svcs and Comm District: Internal
Vitality
Staff Recommendations: None

Consent: No	Regular: No	Public Hearing: Yes	Report/Discussion: No
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Agenda Wording:

Consideration and action pertaining to approval of an amendment to the Community Development Block Grant Program Year 2019 Annual Action Plan.

Motion:

I move to approve the Amendment to the Community Development Block Grant Program Year 2019 Annual Action Plan.

Background:

The additional CDBG-CV funding made available to the City by HUD through the CARES Act must be used to prevent, prepare for, and respond to coronavirus (COVID-19), and facilitate assistance to eligible communities, households, and persons economically impacted by COVID-19. To utilize the CDBG-CV funding, the City of Surprise is required to amend its Annual Action Plan in accordance with the Citizen Participation Plan (CPP).

Objective Analysis:

This action will allow the city to utilize the CDBG-CV funding in response to the COVID-19 pandemic.

Policy Compliant:

This action is compliant with Federal Regulations and City and Council Policy.

Financial Impact:

Fiscal Year 2020 CDBG-CV one-time funding allocation is \$382,317. All related expenditures will be reimbursed within the same fiscal year expenses are incurred.

Budget Impact:

This item was not included in the FY2020 budget. Budget authority for FY20 CDBG-CV in the amount of \$382,317 was approved with Resolution 2020-47.

FTE Impact:

This item does not impact the overall full-time equivalent count.

ATTACHMENTS:

1. PY19 AMENDNENT COUNCIL Staff Report
 2. AMENDMENT TO CITY OF SURPRISE PROGRAM YEAR 2019 ANNUAL ACTION PLAN AND CITIZEN PARTICIPATION PLAN
 3. CDBG CARES - Surprise
 4. CARES-Act-Flexibilities-CDBG-Funds-Used-Support-Coronavirus-Response
 5. PY2019 Amendment COUNCIL Presentation
-



HUMAN SERVICE AND COMMUNITY VITALITY

Date: May 19, 2020

To: Mayor and City Council Members

From: Joe Gladieux, HSCV Manager
Adam Lane, Neighborhood Services Supervisor

Re: Program Year 2019 Annual Action Plan Amendment for CDBG-CV Funding–
Presentation and Approval

Introduction

As an entitlement recipient of Community Development Block Grant (CDBG) funds, the City has received an additional allocation of \$382,317 in Community Development Block Grant (CDBG) funding from the U.S. Department of Housing and Urban Development (HUD), made available through the Coronavirus Aid, Relief, and Economic Security Act (CARES Act).

Background

The additional CDBG-CV funding made available to the City by HUD through the CARES Act must be used to prevent, prepare for, and respond to coronavirus (COVID-19), and facilitate assistance to eligible communities, households, and persons economically impacted by COVID-19. Additionally, the CARES Act provides CDBG grantees with flexibilities that make it easier to use CDBG-CV grants and Program Years 2019 and 2020 CDBG Grants for coronavirus response, and authorizes HUD to grant waivers and alternative requirements.

To utilize the CDBG-CV funding, the City of Surprise is required to amend its Annual Action Plan in accordance with the Citizen Participation Plan (CPP). The CPP requires a substantial amendment to allocate any new CDBG funding received from the Department of Housing & Urban Development. The CPP requires draft Annual Action Plans and Amendments be made available for public review and comment for no fewer than 30 days. However, HUD has issued waivers allowing for a minimum 5-day review and comment period for CDBG-CV funded activities. HUD has also issued waivers allowing for Virtual Public Hearings to amend Action Plans related to COVID-19.

Today's Public Hearing is to provide citizens the opportunity to submit oral comment on the draft amendment, as well as enable the Council Members to review and recommend submission of the Amendment of Program Year 2019 to HUD. The amendment will be

forwarded to HUD following the public hearing and approval by the Council. The draft plan was made available for public review and comment from May 4, 2020 through May 12, 2020, in accordance with the Citizen Participation Plan and COVID-10 HUD waivers.

PY 2019 Amendment

The CDBG-CV funding made available to the City by HUD through the CARES Act will be used for the purpose of preventing the spread of coronavirus 19 (COVID-19) and facilitate assistance to eligible communities, households, and persons economically impacted by COVID-19. Such activities include allocated resources to Mortgage and Rental Assistance, and other public service activities in support of other COVID-19 response services. See the attached budget for planned activities.

Program Year	Current Allocation	Amendment	Amount	Description/Planned Activities
2019	-	Add CDBG-CV	\$382,317 See attached Spending Summary	Fund Activities in support of COVID-19 response services including Mortgage/Rental Assistance and other Public Services. Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 240 LMC

Citizen Participation Plan Amendment

City of Surprise along with the Maricopa County HOME Consortium is amending the Citizen Participation Plan for the City of Surprise to enable the city to add Emergency and Disaster Procedures to allow a 5-day comment period and the ability to conduct alternative methods of public hearings including virtual hearings as made available by waivers from the U.S. Department of Housing and Urban Development (HUD) in response to additional funding made available through the Coronavirus Aid, Relief, and Economic Security Act (CARES Act).

Recommendations

Staff recommends approval of the PY2019 Annual Action Plan Amendment for submittal to HUD.

Previous Actions

- 8-Day Public Comment Period – May 4, 2020 – May 12, 2020

Future Actions

- Submission of Amendment to HUD – June 15, 2020

AMENDMENT TO CITY OF SURPRISE PROGRAM YEAR 2019 ANNUAL ACTION PLAN AND
CITIZEN PARTICIPATION PLAN

Annual Action Plan PY 2019 Amendment

City of Surprise is amending the Annual Action Plan for Program Year 2019 to add the increase of CDBG funding made available to the City by HUD through the CARES Act to receive and administer **\$382,317** in Community Development Block Grant (CDBG) funding from the U.S. Department of Housing and Urban Development (HUD) made available through the Coronavirus Aid, Relief, and Economic Security Act (CARES Act).

Additional CDBG funding made available to the City by HUD through the CARES Act will be used for the purpose of preventing the spread of coronavirus 19 (COVID-19) and facilitate assistance to eligible communities, households, and persons economically impacted by COVID-19. Such activities include allocated resources to Mortgage and Rental Assistance, and other public service activities in support of other COVID-19 response services. See the attached budget for planned activities.

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CITY OF SURPRISE PY2019 - Amendment #1 CDBG Annual Action Plan Spending Summary Allocatin of CARES Act Funding			Original Funding Allocation	PY2019 Amended Amount	CARES ACT Funding
AFFORDABLE HOUSING					
City of Surprise Housing Rehab/HQS			\$91,896	\$91,896	\$0
Matrix <u>14A</u>	Original Funding Request	Match	Citations: 570.202(a)(1), 570.202(b)(9) Associated Goal: Housing Rehabilitation Outcome: 20 LMH		
Activity Delivery	\$40,000	\$40,000			
Capital	\$51,896	\$0			
Support for HOME			\$10,000	\$10,000	\$30,000
Matrix <u>14J</u>	Original Funding Request	Leverage	Citation: 570.201(k) Associated Goal: Housing Services Outcome: 26 LMH		
Capital	\$0	\$150,000			
Activity Delivery	\$40,000	\$25,000			
Homeowner Assistance/Housing Creation			\$100,000	\$100,000	\$0
Matrix <u>14J</u>	Original Funding Request	Leverage	Citation: 570.201(k) Associated Goal: Housing Services Outcome: 26 LMH		
Capital	\$100,000	\$150,000			
Activity Delivery	\$0	\$0			
SUBTOTAL - Housing Activities			\$201,896	\$201,896	\$30,000
PUBLIC FACILITY IMPROVEMENTS					
Public Facility Improvements			\$250,000	\$250,000	\$0
Matrix <u>03E, 03F, 03L</u>	Original Funding Request	Match	Citation:570.201(c) Associated Goal: Public Facility Improvements Outcome: 4,000 LMA		
Capital	\$240,000	\$0			
Activity Delivery	\$10,000				
SUBTOTAL - PUBLIC FACILITIES			\$250,000	\$250,000	\$0
PUBLIC SERVICES					
Subrecipient - Homeless Services			\$20,000	\$20,000	\$0
Matrix <u>03T</u>	Original Funding Request	Applicant Leverage	Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 20 LMC		
Capital	\$20,000	\$100,000			
Subrecipient - Services for persons with disabilities			\$15,000	\$15,000	\$20,000
Matrix <u>05B</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 50 LMC		
Capital	\$15,000	\$5,000			
City Program - Short term housing assistance			\$20,000	\$20,000	\$195,000
Matrix <u>05Q</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 35 LMC		
Capital	\$35,000	\$15,000			
Pandemic Response			\$0	\$35,000	\$50,854
Matrix <u>05</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 120 LMC		
Capital	\$15,000	\$0			
Other Public Services			\$50,000	\$15,000	\$10,000
Matrix <u>05</u>	Original Funding Request	Match	Citations: 570.201(e), 570.207(b)(4) Associated Goal: Public Services Outcome: 15 LMC		
Capital	\$15,000	\$0			
SUBTOTAL - PUBLIC SERVICES (HUD maximum 15% Waived for PY2019 and PY2020)			\$105,000	\$105,000	\$275,854
City of Surprise General Program Administration (all new funds)			\$134,223	\$134,223	\$76,463
SUBTOTAL - PLANNING & ADMINISTRATION (HUD Max. 20%)			\$134,223	\$134,223	\$76,463
GRAND TOTAL W/ ADMINISTRATION & PLANNING			\$691,119	\$691,119	\$382,317
FUNDS AVAILABLE	2020 New CDBG Funds		\$671,119	\$671,119	\$382,317
	Program Income - City		\$20,000	\$20,000	\$0
TOTAL FUNDS AVAILABLE			\$691,119	\$691,119	\$382,317
TOTAL REQUESTS IN EXCESS OF FUNDING			\$0	\$0	\$0



ASSISTANT SECRETARY FOR
COMMUNITY PLANNING AND DEVELOPMENT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

April 2, 2020

The Honorable Skip Hall
Mayor of Surprise
16000 N Civic Center Plaza
Surprise, AZ 85374-7463

Dear Mayor Hall:

I am pleased to inform you of a special allocation to your jurisdiction of Community Development Block Grant funds to be used to prevent, prepare for, and respond to the coronavirus (COVID-19). This allocation was authorized by the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), Public Law 116-136, which was signed by President Trump on March 27, 2020, to respond to the growing effects of this historic public health crisis.

The CARES Act made available \$5 billion in Community Development Block Grant Coronavirus (CDBG-CV) funds. Of this amount, the Department is immediately allocating \$2 billion based on the fiscal year 2020 CDBG formula. The remaining \$3 billion shall be allocated based on needs using best available data, in the following tranches: \$1 billion shall be allocated to States and insular areas within 45 days of enactment of the Cares Act, and \$2 billion shall be distributed to states and local governments at the discretion of the Secretary. Up to \$10 million will be set aside for technical assistance. Given the immediate needs faced by our communities, the Department has announced the first allocation of funds. Your jurisdiction's allocation is \$382,317.

The CARES Act adds additional flexibility for both the CDBG-CV grant and, in some cases, for the annual FY2020 CDBG grants in these unprecedented times. The public comment period is reduced to not less than 5 days, grantees may use virtual public hearings when necessary for public health reasons, the public services cap is suspended during the emergency, and States and local governments may reimburse costs of eligible activities incurred for pandemic response regardless of the date.

In addition, the CARES Act authorizes the Secretary to grant waivers and alternative requirements of statutes and regulations the Secretary administers in connection with the use of CDBG-CV funds and fiscal year 2019 and 2020 CDBG funds (except for requirements related to fair housing, nondiscrimination, labor standards, and the environment). Waivers and alternative requirements can be granted when necessary to expedite and facilitate the use of funds to prevent, prepare for, and respond to coronavirus.

The Department is developing a notice that will further describes the CARES Act's provisions, a Quick Guide to the CARES Act flexibilities and other provisions, and other resources to enable swift implementation of CDBG-CV grants. As these become available, they will be

posted on HUD's website and distributed to grantees. The Department will also support grantees with technical assistance.

As you develop your plan for the use of these grant funds, we encourage you to consider approaches that prioritize the unique needs of low- and moderate-income persons and the development of partnerships between all levels of government and the private for-profit and non-profit sectors. You should coordinate with state and local health authorities before undertaking any activity to support state or local pandemic response. CDBG-CV grants will be subject to oversight, reporting, and requirements that each grantee have adequate procedures to prevent the duplication of benefits. HUD will provide guidance and technical assistance on DOB and regarding prevention of fraud, waste, and abuse and documenting the impact of this program for beneficiaries.

The Office of Community Planning and Development (CPD) is looking forward to working with you to successfully meet the urgent and complex challenges faced by our communities. If you or any member of your staff has questions, please contact your local CPD Field Office Director or CPDQuestionsAnswered@hud.gov.

Sincerely,

A handwritten signature in black ink, appearing to read 'John Gibbs', with a stylized, cursive script.

John Gibbs
Acting Assistant Secretary
for Community Planning and Development
U.S. Department of Housing and Urban Development



ASSISTANT SECRETARY FOR
COMMUNITY PLANNING AND DEVELOPMENT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

9 April 2020

MEMORANDUM FOR: All Fiscal Year 2020 and 2019 CDBG and CDBG-CV Grantees and
All CPD Field Office Directors

FROM:  John Gibbs, Acting Assistant Secretary for Community Planning and
Development

SUBJECT: CARES Act Flexibilities for CDBG Funds Used to Support
Coronavirus Response and plan amendment waiver

The Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136) makes available \$5 billion in supplemental Community Development Block Grant (CDBG) funding for grants to prevent, prepare for, and respond to coronavirus (CDBG-CV grants). Additionally, the CARES Act provides CDBG grantees with flexibilities that make it easier to use CDBG-CV grants and fiscal years 2019 and 2020 CDBG Grants for coronavirus response and authorizes HUD to grant waivers and alternative requirements.

The Department has announced the allocations of the first \$2 billion in CARES Act funding for CDBG grantees, as well as \$1 billion for Emergency Solutions Grants (ESG) and \$53.7 million for Housing Opportunities for Persons With AIDS (HOPWA). You can find the allocations at www.hud.gov/program_offices/comm_planning/budget/fy20/.

This memorandum transmits the attached *CARES Act Flexibilities for CDBG Funds Used to Support Coronavirus Response* Guide (Guide). The Guide describes the immediate availability of a 5-day public comment period for amendments and new plan submissions, uncaps the percentage of CDBG funding for public services to prevent, prepare for, and respond to coronavirus, as well as other flexibilities. Please note that these new provisions are not only applicable to the \$5 billion in CDBG funding from the CARES Act but many of the new provisions are also applicable to FY2019 and FY2020 CDBG funding. This broad applicability provides grantees with flexibility to help address the challenges facing our nation.

Grantees are advised to amend or prepare their plans as soon as possible and not to wait for the pending Federal Register notice, which may provide additional waivers and alternative requirements. Similarly, grantees should not wait for HUD to allocate the remaining nearly \$3 billion of the \$5 billion provided by the CARES Act for the CDBG program. Upon publication of the Federal Register notice and subsequent allocations, grantees receiving allocations will then amend plans accordingly.

Grantees should proceed with all amendments and plans under these new provisions by adding the CDBG-CV allocation in their plans as an available resource for the year. The CARES Act permits HUD to waive, or specify alternative requirements for, any provision of any statute or regulation that the Secretary administers in connection with the CDBG-CV funds, FY2019 and FY2020 CDBG funds (except for requirements related to fair housing, nondiscrimination, labor standards, and the environment), upon a finding by the Secretary that any such waivers or

alternative requirements are necessary to expedite or facilitate the use of such amounts to prevent, prepare for, and respond to coronavirus.

To expedite grantees' use of CDBG-CV funds, HUD is waiving the requirements at 42 U.S.C. 12705(a)(2) to the extent it requires updates to the housing and homeless needs assessment, housing market analysis, and strategic plan and 24 CFR 91.220 and 91.320 to the extent the action plan is limited to a specific program year to permit grantees to prepare substantial amendments to their most recent annual action plan, including their 2019 annual action plan. Grantees must identify the proposed use of all funds and how the funds will be used to prevent, prepare for, and respond to coronavirus.

The Department is also waiving 24 CFR 91.505 to facilitate the use of the CDBG-CV funds to the extent necessary to require submission of the substantial amendment to HUD for review in accordance with 24 CFR 91.500. To receive a CDBG-CV grant, a grantee must also submit a SF-424, SF-424D and the certifications at 24 CFR 91.225(a) and (b) or 24 CFR 91.325(a) and (b).

The Guide addresses many of the Field's initial questions. Email inquiries to CPDQuestionsAnswered@hud.gov will continue to receive individual replies and guidance. HUD will also be batching questions and responses and periodically making them available as FAQs. Additional resources will continue to be posted to www.hudexchange.info/programs/cdbg/disease/.

Thank you for the work you and your staff do with our communities in the fight against the coronavirus.

CARES Act Flexibilities for CDBG Funds Used to Support Coronavirus Response

April 9, 2020

President Trump has signed *The Coronavirus Aid, Relief and Economic Security Act* (CARES Act). The CARES Act:

- Makes available \$5 billion in supplemental Community Development Block Grant (CDBG) funding for grants to prevent, prepare for, and respond to coronavirus (CDBG-CV grants);
- Provides flexibilities for CDBG grantees to make it easier to use CDBG-CV grants and fiscal years 2019 and 2020 CDBG grants for coronavirus response and authorizes HUD to grant waivers and alternative requirements;
- Requires CDBG-CV grantees to prevent the duplication of benefits, which means grant funds may not be used to pay costs if another source of financial assistance is available to pay that cost.

HUD will publish a Federal Register notice describing the requirements for CDBG-CV grants. The notice will also include waivers and alternative requirements for CDBG-CV and fiscal year 2019 and 2020 CDBG grants. A grantee may submit a CDBG-CV action plan substantial amendment to its most recent accepted CDBG action plan for the first CDBG-CV allocation before the notice is published. To apply for CDBG-CV grants, grantees may follow existing regulatory requirements for a substantial amendment to the grantee's action plan that describes the amount of CDBG-CV funds available in the first allocation and planned use of funds, in accordance with existing requirements and the flexibilities in the CARES Act, summarized below. HUD will publish a Q&A document with further information on this process.

Grantees may use CDBG-CV and CDBG funds for a range of activities to prevent, prepare for, and respond to coronavirus. For examples, see the [Quick Guide to CDBG Activities for Infectious Disease Response](#).

Summary of CARES Act Provisions for Coronavirus Response With CDBG-CV and CDBG Grants

For more information, refer to applicable sections of the CARES Act, Housing and Community Development Act of 1974 (for State CDBG Grantees) and CDBG regulations (for Entitlement CDBG grantees).			
Description of Program Flexibility	Applicability to CDBG-CV and CDBG Grants		
Public Service Activities			
Eliminates the 15 percent cap ¹ on the amount of grant funds that can be used for public services activities. Following enactment, the cap in section 105(a)(8) of the HCD Act and 24 CFR 570.201(e) has no effect on CDBG-CV grants and no effect on FY 2019 and 2020 CDBG grant funds used for coronavirus efforts.	CDBG-CV	Immediately Available ✓	
	CDBG FY 19 and FY 20 Grants	Immediately Available ✓	
	CDBG Grants before FY 19		Not Available ✗
Reimbursement of Costs			
Provides that grantees may use CDBG-CV grant funds to cover or reimburse costs to prevent, prepare for, and respond to coronavirus incurred by a State or locality, regardless of the date on which such costs were incurred, when those costs comply with CDBG requirements. For other grants, pre-agreement and pre-award cost authority is available under 24 CFR 570.489(b) (states) and 570.200(h) (entitlements).	CDBG-CV	Immediately Available ✓	
	CDBG FY 19 and FY 20 Grants		See current regulations. ✗
	CDBG Grants before FY 19		See current regulations. ✗

¹ Section 105(a)(8) of the Housing and Community Development Act of 1974, provides a different percentage cap for some grantees.

Description of Program Flexibility	Applicability to CDBG-CV and CDBG Grants		
Citizen Participation and Public Hearings for Consolidated Plans (including Action Plans)			
Provides that grantees may amend citizen participation plans to establish expedited procedures to draft, propose, or amend consolidated plans. Expedited procedures must include notice and reasonable opportunity to comment of no less than 5 days. The 5-day period can run concurrently for comments on the action plan amendment and amended citizen participation plans. In-person public hearings are not required. Grantees may meet public hearing requirements with virtual public hearings if: 1) national/local health authorities recommend social distancing and limiting public gatherings for public health reasons; and 2) virtual hearings provide reasonable notification and access for citizens in accordance with the grantee’s certifications, timely responses from local officials to all citizen questions and issues, and public access to all questions and responses.	CDBG-CV	Immediately Available ✓	
	CDBG FY 19 and FY 20 Grants	Immediately Available ✓	
	CDBG Grants before FY 19		Not Available ✗
Deadline to Submit Consolidated Plans (including Annual Action Plans)			
Extends the deadline for grantees to submit action plans and other updates to their consolidated plans submissions for fiscal years 2019* and 2020 to August 16, 2021. <i>Without extension, the deadline for fiscal year 2020 grants would be August 16, 2020, in accordance with section 116(b) of the HCD Act and 24 CFR 91.15.</i> <i>*The deadline for fiscal year 2019 passed on August 16, 2019 (plans due then have been submitted).</i>	CDBG-CV	Immediately Available ✓	
	CDBG FY 19* and FY 20 Grants	Immediately Available. ✓	
	CDBG Grants before FY 19		Not applicable. ✗
Waiver and Alternative Requirement Authority			
Authorizes the Secretary to issue statutory and regulatory waivers/alternative requirements for CDBG-CV and some CDBG funds when necessary to expedite or facilitate the use of grant funds to prevent, prepare for, and respond to coronavirus. Prohibits waivers/alternative requirements related to fair housing, nondiscrimination, labor standards, and the environment. <i>HUD has additional regulatory waiver and statutory suspension authorities that it may use for CDBG Grants before fiscal year 2019 if necessary.</i>	CDBG-CV	Immediately Available ✓	
	CDBG FY 19 and FY 20 Grants	Immediately Available. ✓	
	CDBG Grants before FY 19		Not applicable. ✗

Submit your questions to: CPDQuestionsAnswered@hud.gov



CDBG Annual Action Plan Amendment Program Year 2019

Public Review

Human Service & Community Vitality | May 19, 2020



Introduction

The City of Surprise has received additional CDBG funding from the Department of Housing & Urban Development (HUD), through the CARES Act.

Coronavirus Aid, Relief, and Economic Security Act (CARES Act)

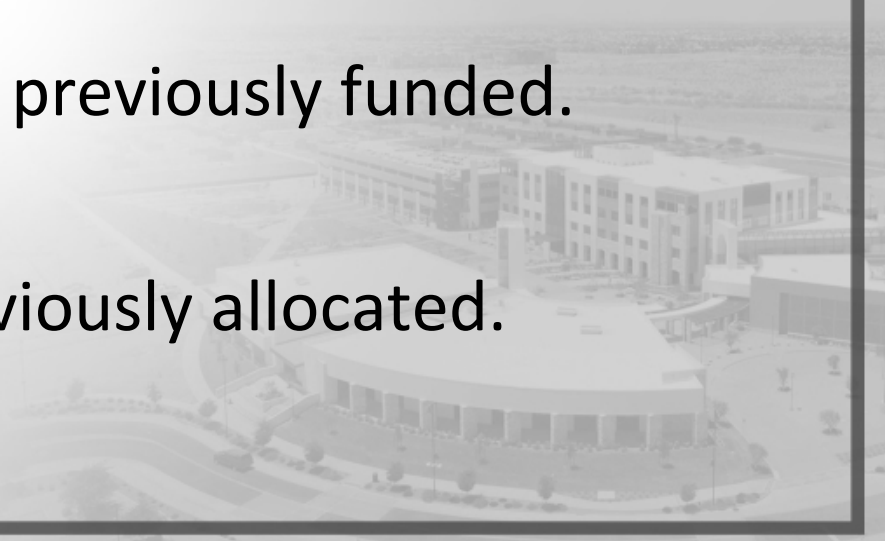
Funding: \$382,317

CDBG-CV



Introduction

The City of Surprise must complete a Substantial Annual Action Plan Amendment when:

- 1) Adding a new activity not previously funded.
 - or
 - 2) Allocating funding not previously allocated.
- 



CDBG-CV

CDBG-CV must be utilized for:

“The purpose of preventing the spread of coronavirus (COVID-19) and facilitate assistance to eligible communities, households, and persons economically impacted by COVID-19.”

Activities must still meet the CDBG National Objectives, and costs must be allowable under the program.

Project Funding

Public Services

- Short Term Rental Assistance
- Short Term Mortgage Assistance
- Other services to support COVID-19 response.
 - Food Security Services, Senior Services, disabled services, prevention of homelessness

Housing

- Support for HOME Tenant Based Rental Assistance



Citizen Participation

Summary of Citizen Participation:

- 8-Day Public review and comment period (minimum 5-days)
- Press Release
- Social Media
- Virtual Public Hearing



Staff Recommendations

Staff recommends approval of the Program Year 2019 Annual Action Plan Amendment for submission to HUD.



What's Next?

May 4 – May 12, 2020

8-Day Review &
Comment Period

May 19, 2020

City Council
Approves Amendment

June 15, 2020

Amendment
submitted to HUD



SURPRISE
ARIZONA

QUESTIONS OR COMMENTS?

Adam Lane
Human Service & Community Vitality
Neighborhood Services Supervisor

Joe Gladieux
Human Service & Community Vitality
Manager



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020 Contact Person: Hobart Wingard, PLANNER II
Submitting Department: Community Development District: District 4
Staff Recommendations: None

Consent: No Regular: No Public Hearing: Yes Report/Discussion: No

Agenda Wording:

Consideration and action pertaining to approval of a rezoning of approximately 71.91 acres of property generally located 400 feet south of the southwest corner of Bell Road and 115th Avenue from Residential Ranch (RR) and Community Commercial (CC) to Community Commercial (CC); Ordinance #2020-15.

Motion:

I move to approve Ordinance #2020-15.

Background:

Katryn James of Architectural Collaborative Team on behalf of Maplewood Rolling Hills, LLC, requests a Zone Change from 23.20 acres of Residential Ranch (RR) and 48.71 acres of Community Commercial (CC) to CC, generally located 400 feet south of the southwest corner of Bell Road and 115th Avenue.

Objective Analysis:

The applicant seeks a Zone Change over the subject property for the purpose of eliminating the split zoning found on the lot presently. The proposed zoning of the property will be Community Commercial (CC).

Policy Compliant:

The Surprise General Plan 2035 shows the area as lying in the Neighborhood Character Area, which supports Community Commercial (CC) in the Urban Development Type of the Neighborhood Character Area. The proposed zone change to Community Commercial is consistent with this land use designation. The Urban Development Type also supports residential densities of 8+ dwelling units per acre. While the existing RV Park is considered legal-nonconforming, and no additional dwelling unit entitlements are being sought with this proposal, the net density of the existing RV Park development is approximately 8.0 dwelling units per acre, which is consistent with this General Plan designation.

Financial Impact:

While this item does not have an immediate or direct financial impact, ongoing development activity in the City will inevitably have a future financial impact as additional resources are needed to provide city services.

Budget Impact:

There is no anticipated budget impact related to this item.

FTE Impact:

This item does not have an impact on current staff levels.

ATTACHMENTS:

1. 00 - FS18-688 - Rose Garden RZ - Staff Report - 051920
 2. 01 - FS18-688 - Rose Garden RZ - Vicinity & Zoning Maps - 050720
 3. 02 - FS18-688 - Rose Garden RZ - Rezone Narrative - 051920
 4. FS18-688 - Rose Garden RZ - Public Engagement - 051920
 5. 03 - FS18-688 - Rose Garden RZ - Participation Report - 051920
 6. 20.03.30 EVR Rose Garden RZ - Ordinance 2020-15
 7. 05 - FS18-688 - Rose Garden RZ - PowerPoint - 051920
-

ZONE CHANGE

REPORT TO THE MAYOR AND CITY COUNCIL

Case: FS18-688

Project Name: Rose Garden Resort

Council District: 4 -Mulberry

Meeting Date: May 19, 2020

Planner: Hobart Wingard

Owner: Maplewood Rolling Hills, LLC

Applicant: Katryn James of Architectural Collaborative Team

Request: Zone Change of a split zoned property from Residential Ranch (approx. 23.20 acres) and Community Commercial (approx. 48.71 acres) to Community Commercial (CC).

Site Location: Generally, 400 feet south of the southwest corner of Bell Road and 115th Avenue

Dwelling Units: 337 Units

Site Size: 71.91 acres (approx.)

Density: 4.7 DU/Ac (8.0 DU/Ac net)

General Plan Conformance: The proposal is consistent with the Surprise General Plan 2035

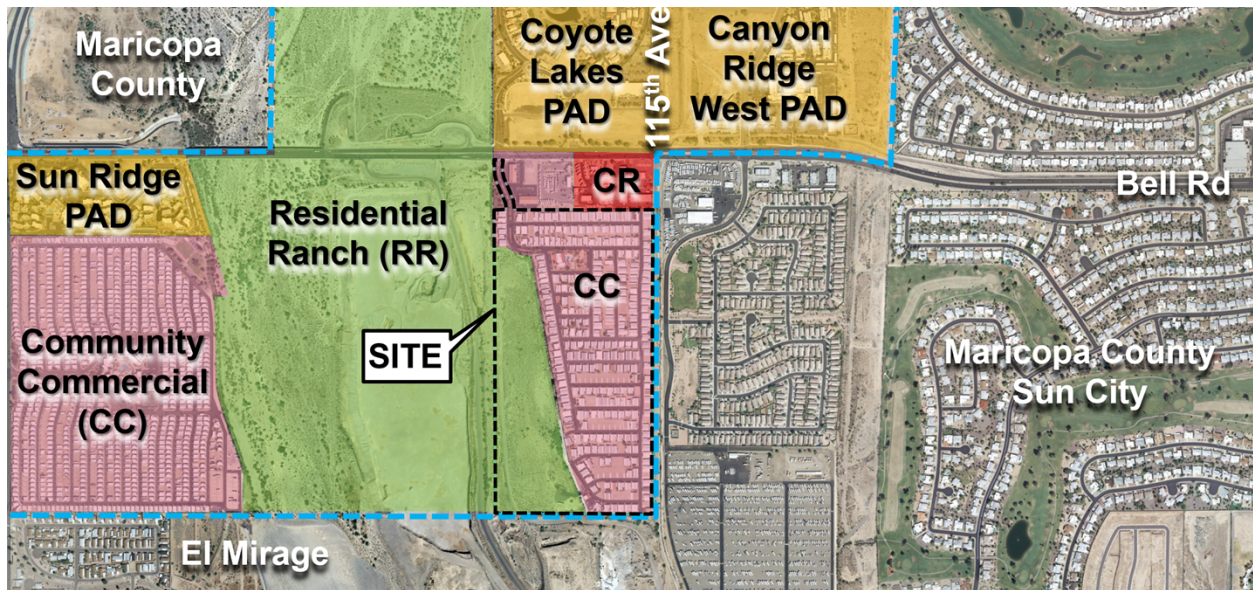
Support/Opposition: Refer to attached Citizen Participation Report

P&Z Recommendation: Unknown as of the writing of this report

Project Description:

Katryn James of Architectural Collaborative Team on behalf of Maplewood Rolling Hills, LLC, requests a Zone Change from 23.20 acres of Residential Ranch (RR) and 48.71 acres of Community Commercial (CC) to CC, generally located 400 feet south of the southwest corner of Bell Road and 115th Avenue.

Surrounding Land Zoning:



State Trust Land (RR)	Coyote Lakes PAD	Canyon Ridge West PAD
Residential Ranch (RR)	Residential Ranch (RR) and Community Commercial (CC)	R1-6 (Maricopa County)
NR (El Mirage)	RU-43 (Maricopa County)	RU-43 (Maricopa County)

Background:

August 2, 2018: Staff met with the applicant to discuss the project during a regularly scheduled Concept Review meeting under CR18-358.

December 18, 2018: The applicant filed a request for a Zone Change from RR and CC to CC for approximately 71.91 acres under case FS18-688, the subject case.

March 16, 2020: The applicant held a neighborhood outreach meeting to discuss the project.

May 7, 2020: The Planning and Zoning Commission will provide a recommendation to the Mayor and City Council.

Citizen Outreach:

As noted above, the applicant held a Citizen Review meeting on March 16, 2020, which was well attended. Those in attendance were generally in favor of the project. This item was also advertised per state and local law. Refer to attached Citizen Participation Report.

Analysis and Discussion:

During review of a proposed recreation facility in the Rose Garden Resort Community, it was found that the property that was split zoned with both Community Commercial (approx. 48.71 acres) and Residential Ranch (approx. 23.20 acres). The Surprise Municipal code requires a single zoning designation for each lot. The proposed zoning is proposed to be Community Commercial (CC).

Utility and Services Table:

Water:	EPCOR
Wastewater:	City of Surprise

Conformance with Adopted Plans:

Surprise General Plan 2035: The Surprise General Plan 2035 shows the area as lying in the Neighborhood Character Area, which supports Community Commercial (CC) in the Urban Development Type of the Neighborhood Character Area. The proposed zone change to Community Commercial is consistent with this land use designation. The Urban Development Type also supports residential densities of 8+ dwelling units per acre. While the existing RV Park is considered legal-nonconforming, and no additional dwelling unit entitlements are being sought with this proposal, the net density of the existing RV Park development is approximately 8.0 dwelling units per acre, which is consistent with this General Plan designation.

Reviewing Agencies:

In addition to the standard city reviewing agencies, the Arizona Department of Transportation, Maricopa Water District, and Luke AFB were included in the routing of this request. None of the reviewing agencies indicated any concerns over the request.

Summary:

The applicant seeks a Zone Change over the subject property for the purpose of eliminating the split zoning found on the lot presently. The proposed zoning of the property will be Community Commercial (CC).

Findings:

- The proposed Zone Change is consistent with the Surprise General Plan 2035.
- The proposed Zone Change will advance the goals and policies of the General Plan.

Commission Recommendation:

The Planning and Zoning Commission's recommendation is unknown as of the writing of this report; however, based on the findings noted above, staff recommended the Commission move to recommend approval of the subject rezone request to the City Council, subject to stipulations 'a' and 'b' as outlined below:

- a. Development and use of the site shall be in substantial conformance with the project narrative entitled "Rezone for Rose Garden Resort Community", prepared by Architectural Collaborative Team, consisting of 11 pages and stamped received December 12, 2019.
- b. Non-compliance with the stipulations of approval of this case will be treated as a violation in accordance with the provisions of Article XIV of the Surprise Unified Development Code.

Attachments:

- 01 Vicinity and Zoning Maps
- 02 Rezone Narrative
- 03 Citizen Participation Report
- 04 Ordinance

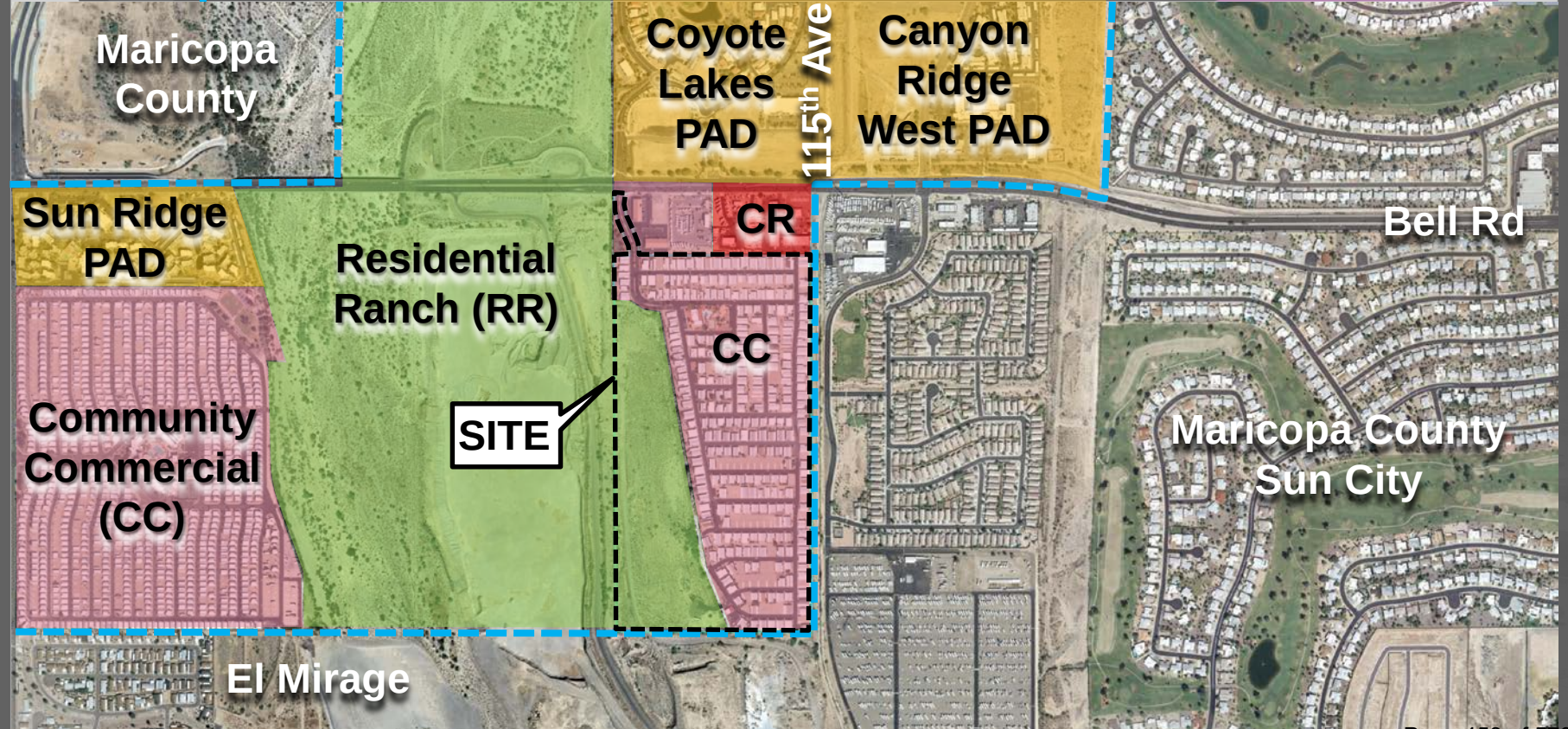
VICINITY MAP



VICINITY MAP

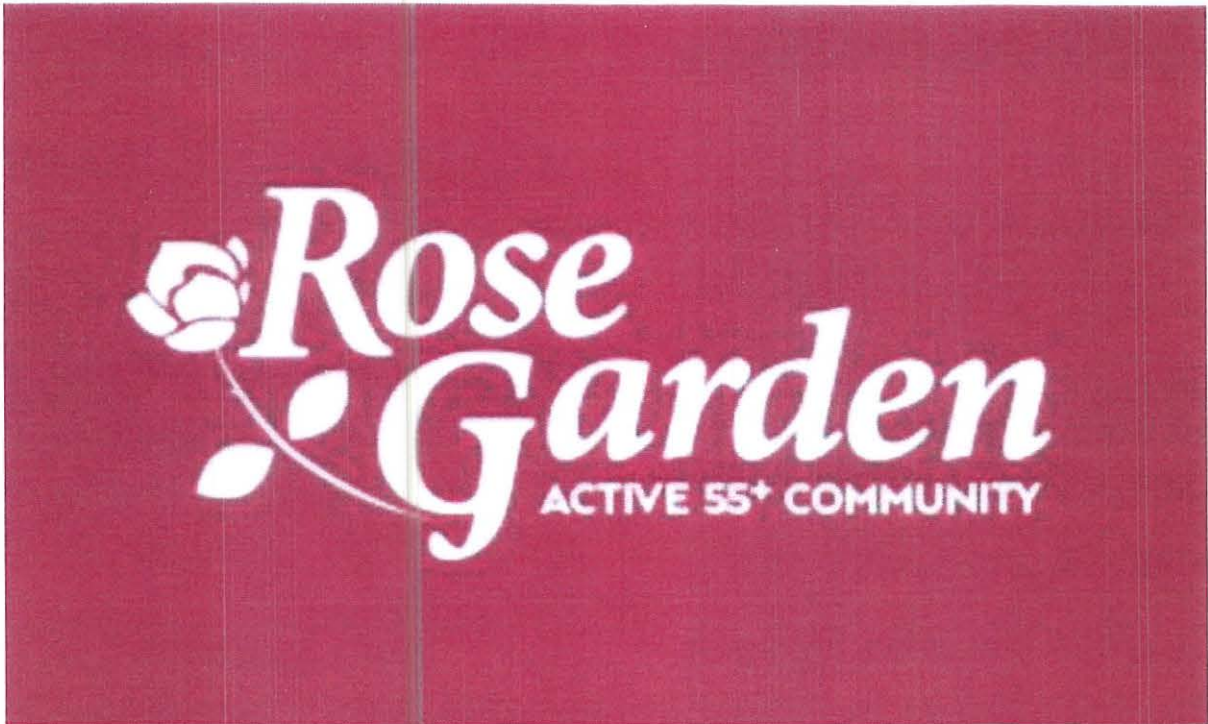


ZONING MAP



Rezone for Rose Garden Resort Community

FS18-688



Prepared By:

Architectural Collaborative Team, LLC

723 East Diamond Drive

Tempe, Arizona 85283

480-897-6411

March 2019

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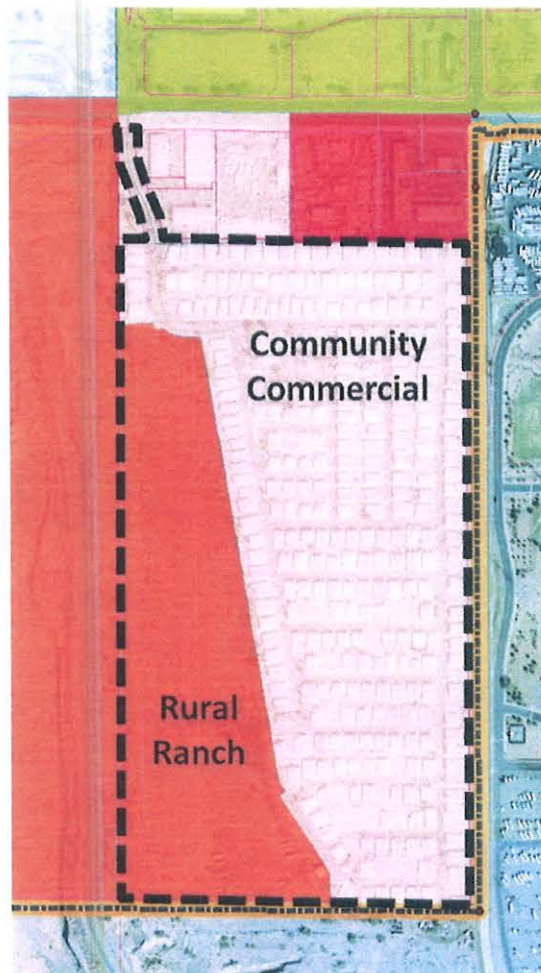
Narrative.....	Page 3
Location Map.....	4
Existing Zoning Map.....	5
Proposed Zoning Map.....	6
General Plan Land Use.....	7
Legal Description.....	8
Enhanced Notification.....	9

Narrative

The subject proposal involves the Rezoning of a property that is split zoned. Split zoning occurs when a single property contains more than a single zoning district in conflict with governing documents. The proposed project is an existing Resort Community, Rose Garden that is concurrently seeking Site Plan approval for a sport court park within the Resort's boundaries

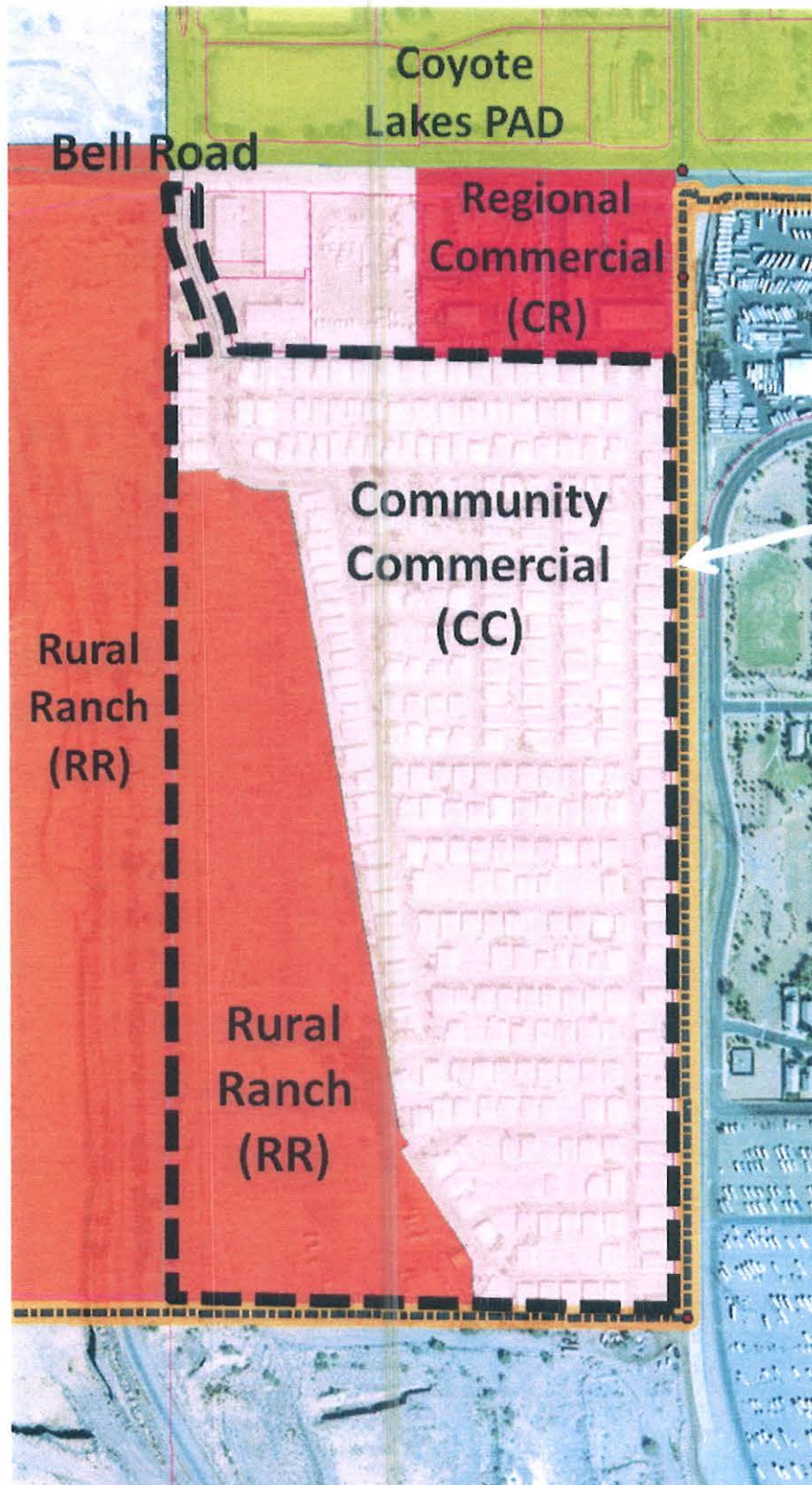
The Rose Garden Resort is composed of two (2) parts with two (2) different zoning classifications:

- Mobile home park to the east:
 - Zoned Community Commercial (CC)
 - Approximately 48.13 acres
- Agua Fria River Basin to the west:
 - Zoned Residential Ranch (RR)
 - Approximately 23.78 acres



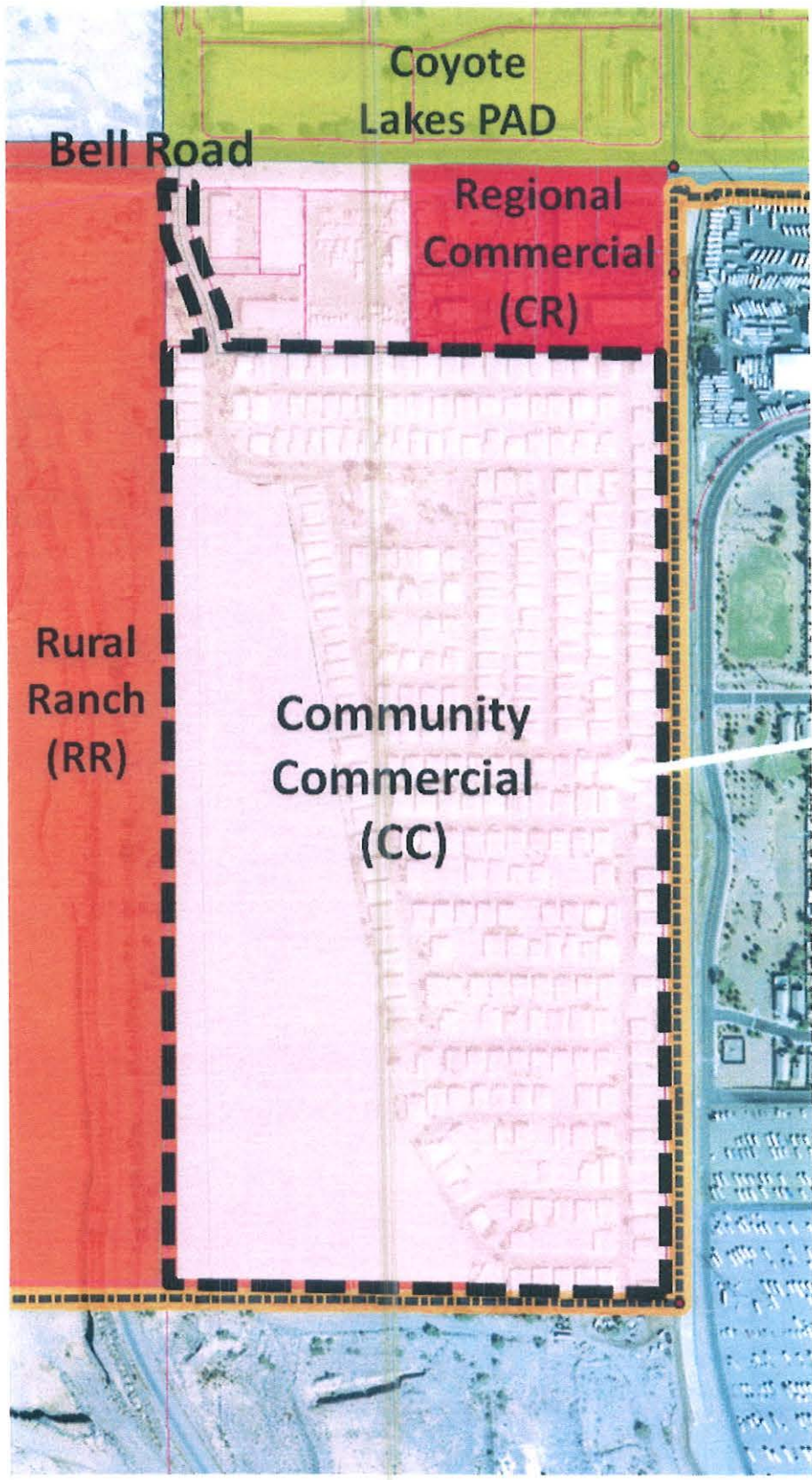
Location Map





Site
Boundary

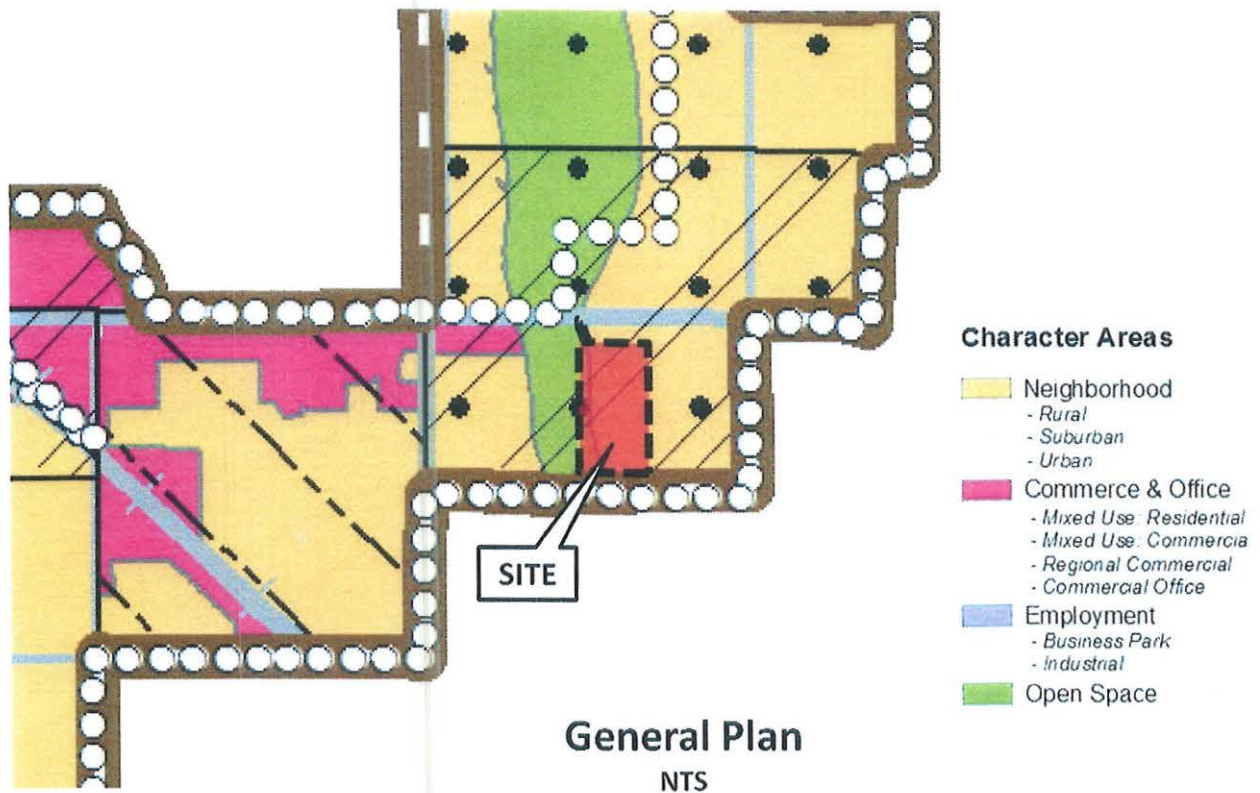
Existing
Zoning
NTS



Site
Boundary

**Proposed
Zoning
NTS**

General Plan Land Use



Covering the largest geographic planning area, the Neighborhood Land Use Character Area represents the various residential neighborhoods within Surprise. While neighborhoods are predominantly residential areas they can also be supported by locally oriented commercial and public facility uses, and can range from established to emerging and urban to rural in nature. Because of its proximity to SR303, the property also lies within the Transit Oriented Development District. The Transit Oriented Development area (TOD) designation denotes roadways and adjacent development areas where existing or planned high capacity vehicular multi-modal and transit corridors provide regionally significant connections to and from Surprise.

Legal Description

PARCEL NO. 1:

THAT PORTION OF THE NORTHEAST QUARTER OF SECTION 1, TOWNSHIP 3 NORTH, RANGE 1 WEST OF THE GILA AND SALT RIVER BASE AND MERIDIAN, MARICOPA COUNTY, ARIZONA, MORE PARTICULARLY DESCRIBED AS FOLLOWS:

COMMENCING AT THE NORTHEAST CORNER OF LOT 1, ALSO DESCRIBED AS THE NORTHEAST CORNER OF THE NORTHEAST QUARTER OF SAID SECTION 1;

THENCE SOUTH ALONG THE EAST LINE OF SAID SECTION 1, A DISTANCE OF 212.91 FEET;

THENCE WEST 33.00 FEET TO A POINT ON THE WEST RIGHT-OF-WAY OF 115TH AVENUE TO TRUE POINT OF BEGINNING;

THENCE SOUTH ALONG SAID EAST RIGHT-OF-WAY A DISTANCE OF 35.18 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 18.00 FEET AND AN INITIAL TANGENT BEARING OF NORTH 60 WEST) A DISTANCE OF 12.13 FEET TO A POINT OF COMPOUND CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 78.00 FEET) A DISTANCE OF 110.78 FEET;

THENCE SOUTH 132.00 FEET;

THENCE EAST A DISTANCE OF 111.00 FEET TO A POINT ON THE EAST LINE OF SAID SECTION 1, SAID POINT BEING ON THE MONUMENT LINE OF 115TH AVENUE;

THENCE SOUTH ALONG SAID EAST SECTION LINE A DISTANCE OF 2439.50 FEET TO THE EAST QUARTER CORNER OF SAID SECTION 1;

THENCE NORTH 89 DEGREES 32 MINUTES 19 SECONDS WEST ALONG THE SOUTH LINE OF THE NORTHEAST QUARTER OF SAID SECTION 1, A DISTANCE OF 1309.36 FEET TO THE SOUTHWEST CORNER OF THE SOUTHEAST QUARTER OF THE NORTHEAST QUARTER OF SAID SECTION 1;

THENCE NORTH 00 DEGREES 02 MINUTES 34 SECONDS EAST ALONG THE WEST LINE OF SAID SOUTHEAST QUARTER OF THE NORTHEAST QUARTER AND LOT 1, A DISTANCE OF 2428.95 FEET;

THENCE EAST A DISTANCE OF 96.00 FEET;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 239.13 FEET AND AN INITIAL TANGENT BEARING OF NORTH) A DISTANCE OF 95.38 FEET;

THENCE NORTH 22 DEGREES 51 MINUTES 07 SECONDS WEST A DISTANCE OF 136.66 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 304.61 FEET) A DISTANCE OF 121.72 FEET;

THENCE NORTH 00 DEGREES 02 MINUTES 34 SECONDS EAST A DISTANCE OF 68.11 FEET TO A POINT ON THE SOUTH RIGHT-OF-WAY OF BELL ROAD;

THENCE SOUTH 89 DEGREES 45 MINUTES 43 SECONDS EAST ALONG SAID SOUTH RIGHT-OF-WAY A DISTANCE OF 66.00 FEET;

THENCE SOUTH 00 DEGREES 02 MINUTES 34 SECONDS WEST A DISTANCE OF 67.88 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 238.61 FEET) A DISTANCE OF 95.35 FEET;

THENCE SOUTH 22 DEGREES 51 MINUTES 07 SECONDS EAST A DISTANCE OF 136.66 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 305.13 FEET) A DISTANCE OF 121.69 FEET;

THENCE EAST A DISTANCE OF 1004.50 FEET;

THENCE NORTH A DISTANCE OF 132.00 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 108.00 FEET) A DISTANCE OF 161.92 FEET TO A POINT OF COMPOUND CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 18.00 FEET) A DISTANCE OF 8.14 FEET TO THE TRUE POINT OF BEGINNING;

EXCEPT ANY PORTION LYING WITHIN THE RIGHT OF WAY OF BELL ROAD AND OF 115TH AVENUE;

AND EXCEPT ANY PORTION LYING WITHIN THE FOLLOWING DESCRIBED LAND:

COMMENCING AT THE NORTHEAST CORNER OF SAID SECTION 1;

THENCE NORTH 89 DEGREES 45 MINUTES 43 SECONDS WEST ALONG THE NORTH LINE OF SAID SECTION 1, A DISTANCE OF 194.00 FEET;

THENCE SOUTH 00 DEGREES 06 MINUTES 52 SECONDS WEST A DISTANCE OF 207.84 FEET TO A POINT, SAID POINT BEING THE TRUE POINT OF BEGINNING;

THENCE SOUTH 89 DEGREES 42 MINUTES 43 SECONDS EAST A DISTANCE OF 161.42 FEET TO A POINT;

THENCE SOUTH A DISTANCE OF 245.13 FEET TO A POINT;

THENCE WEST A DISTANCE OF 312.77 FEET TO A POINT;

THENCE NORTH 00 DEGREES 14 MINUTES 17 SECONDS EAST A DISTANCE OF 235.78 FEET TO A POINT;

THENCE EAST A DISTANCE OF 150.35 FEET TO A POINT;

THENCE NORTH 00 DEGREES 06 MINUTES 52 SECONDS EAST A DISTANCE OF 10.17 FEET TO THE TRUE POINT OF BEGINNING.

PARCEL NO. 2:

A PORTION OF THE EAST HALF OF THE NORTHEAST QUARTER OF SECTION 1, TOWNSHIP 3 NORTH, RANGE 1 WEST OF THE GILA AND SALT RIVER MERIDIAN BEING MORE PARTICULARLY DESCRIBED AS FOLLOWS:

COMMENCING AT FOUND MARICOPA COUNTY DEPARTMENT OF TRANSPORTATION BRASS CAP IN A HANDHOLE AT THE NORTHEAST CORNER OF SECTION 1, TOWNSHIP 3 NORTH, RANGE 1 WEST;

THENCE WEST ALONG THE NORTH LINE OF SAID SECTION 1, ALSO BEING THE CENTERLINE OF BELL ROAD AND THE BASIS OF BEARING FOR THIS DEED, SOUTH 89 DEGREES 48 MINUTES 18 SECONDS WEST, A DISTANCE OF 1307.15 FEET TO A POINT ON THE WEST LINE OF THE EAST HALF OF THE NORTHEAST QUARTER OF SAID SECTION;

THENCE LEAVING SAID NORTH LINE, SOUTH ALONG SAID WEST LINE, SOUTH 00 DEGREES 00 MINUTES 24 SECONDS EAST, A DISTANCE OF 55.00 FEET TO THE NORTH RIGHT-OF-WAY LINE OF BELL ROAD;

THENCE CONTINUING SOUTH ALONG SAID WEST LINE, SOUTH 00 DEGREES 00 MINUTES 24 SECONDS EAST, A DISTANCE OF 65.45 FEET TO A FOUND ALUMINUM CAPPED IRON BAR STAMPED "RLS 41773" AND A POINT OF TANGENCY OF A CURVE TO THE LEFT HAVING A RADIUS OF 304.61 FEET, ALSO BEING THE POINT OF BEGINNING;

THENCE ALONG SAID CURVE THROUGH A DELTA OF 22 DEGREES 46 MINUTES 51 SECONDS, AN ARC DISTANCE OF 121.11 FEET (FORMERLY SHOWN AS 22 DEGREES 53 MINUTES 11 SECONDS AND 121.67 FEET IN INSTRUMENT NO. 98-0003917) TO A FOUND ALUMINUM CAPPED IRON BAR STAMPED "RLS 41773";

THENCE LEAVING SAID CURVE SOUTHEAST, SOUTH 22 DEGREES 47 MINUTES 14 SECONDS EAST (FORMERLY RECORDED AS SOUTH 22 DEGREES 53 MINUTES 51 SECONDS EAST IN SAID INSTRUMENT), A RECORD DISTANCE OF 136.66 FEET TO A POINT OF TANGENCY OF A CURVE TO THE RIGHT HAVING A RADIUS OF 239.13 FEET;

THENCE ALONG LAST SAID CURVE THROUGH A CENTRAL ANGLE OF 23 DEGREES 15 MINUTES 12 SECONDS, AN ARC LENGTH OF 97.05 FEET (FORMERLY RECORDED AS 22 DEGREES 51 MINUTES 07 SECONDS AND 95.38 FEET IN SAID INSTRUMENT) TO A FOUND ALUMINUM CAPPED IRON BAR STAMPED "RLS 41773";

THENCE WEST, NORTH 90 DEGREES 00 MINUTES 00 SECONDS, A DISTANCE OF 95.98 FEET (FORMERLY RECORDED AS 96.00 FEET IN SAID INSTRUMENT) TO A FOUND ALUMINUM CAPPED IRON BAR STAMPED "RLS 41773" ON THE WEST LINE OF THE EAST HALF OF THE NORTHEAST QUARTER;

THENCE NORTH ALONG SAID WEST LINE, NORTH 00 DEGREES 00 MINUTES 24 SECONDS WEST, A DISTANCE OF 338.37 FEET TO THE POINT OF BEGINNING.

ENHANCED NOTIFICATION PROCEDURE REQUEST FOR COMMENTS FORM

Applicant Responsible For Completing the Following:

COMMENTING JURISDICTION: In accordance with the Enhanced Notification Procedure adopted by our community, we are informing you of a project that is being considered in our jurisdiction that may affect your community.

Please review the data provided on this project. If you feel this project may impact your jurisdiction and you would like to submit comments, please be specific in addressing potential impacts and submit your comments by the First Hearing Date noted above. Please keep comments to a maximum of three (3) pages.

All comments will be reviewed as "advisory" only. The host jurisdiction maintains authority to proceed with their hearing schedule as noted. If you have any questions or would like additional information, please call the contact person indicated above.

1. Submitting host jurisdiction: CITY OF SURPRISE
2. Address or location of project: 11596 SIERRA DAWN BLVD., SURPRISE, ARIZONA 85378
3. Nature of action requested (general plan amendment, master plan, rezoning, etc.): REZONE WEST PARCEL TO SAME ZONING AS EAST PARCEL
4. Description of project: SPORTS COMPLEX FOR THE RESIDENTS OF ROSE GARDEN MOBILE HOME PARK
Projected additional A.M. / P.M. peak hour vehicle trips: 0

Number of dwelling units: 0 Non-residential sq. footage: Acreage of Project: 23.78
Present and proposed land uses: PRESENT: DOG WALK AND WALKING TRAIL
PROPOSED: SPORTS COURTS, DOG PARK, WALKING TRAIL, PARKING
Phasing plan for overall project: NOT PHASED
5. Distance from perimeter of the project to the nearest existing or proposed:
Freeway: Road of regional significance: 2500.00 LINEAL FEET
6. Measures that will be employed to mitigate any traffic impacts caused by the project:
NO TRAFFIC IMPACT. FOR ROSE GARDEN MOBILE HOME PARK RESIDENTS ONLY
7. Any other comments on the project (may use reverse side or separate sheet):
WEST PARCEL CURRENTLY ZONED RR (RURAL RANCH)
REZONE TO CC (COMMUNITY COMMERCIAL)

PUBLIC ENGAGEMENT FORM

PROJECT TITLE: Rose Garden Resort Rezone - FS18-688

OVERALL PUBLIC INVOLVEMENT LEVEL:

This activity will follow the citizen outreach and public hearing notification processes as outlined in state statute and the SUDC.

IDENTIFY STAKEHOLDERS:

Impacted residents; schools; businesses; public at-large.

OBJECTIVES:

Zone Change from 23.20 acres of Residential Ranch (RR) and 48.71 acres of Community Commercial (CC) to Community Commercial (CC), generally located 400 feet south of the southwest corner of Bell Road and 115th Avenue.

PUBLIC ENGAGEMENT STRATEGIES & TOOLS:

Public Engagement & Project timeline:

Public outreach time frame (when to when) 04/20/2020

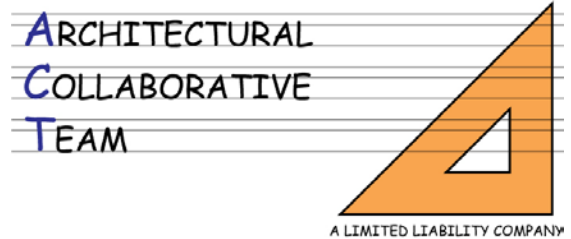
Future Council Work Session/Meetings target dates PZ Commission 5/7/2020, City Council 5/19/2020

Election dates (if applicable) N/A

Project start/completion dates N/A

Communication Tools and Technique options: (which do you plan to use?)

- ☐ Press releases
- ☒ Public meetings (video/photos, poster boards, fact sheet(s) *do you need Spanish version?)
- ☒ Presentations to boards and commissions, other interested community partners/stakeholders
- ☐ Third-party consultant/moderator (pending budget)
- ☐ Survey (online/paper/both?)
- ☐ Social media
- ☒ Surprise 11
- ☐ Notify Me email/ Council newsletters (opt-in audience)
- ☒ Paid advertising (pending budget)
- ☐ Surprise Progress (mailed quarterly and tied to print deadlines)
- ☐ Booth at city events
- ☐ Paid mailings (pending budget)
- ☐ Creation of a subcommittee/task force
- ☐ Youth/adult activities, registration, or orientation (HOA Academy)
- ☐ Website updates



March 23, 2018

Re: Sports Courts at the Rose Garden Mobile Home Resort
11596 Sierra Dawn Boulevard
Surprise, AZ 85378

Neighborhood Meeting Summary:

The Neighborhood Outreach Meeting for the Rose Garden mobile Home Resort re-zoning was held at 6:00 pm on March 16, 2020, at the Sunflower Resort Ballroom. Katy James, Architectural Collaborative Team, made a short presentation of the re-zoning project to managers of the Sunflower and Rose Garden resorts and 12 interested neighbors. 3 of the neighbors were from outside Rose Garden, 2 were residents of Sunflower resort and the remainder were residents of Rose Garden. Most of the questions were from one Rose Garden resident, who after inquiring about the price and scope of the project, was very enthusiastic in his support of the project. The other questions were from others inquiring about the anticipated traffic and if the residents of the resort would see any space rent hikes. I answered that as the proposed project was for the residents and their guests that additional traffic was not anticipated. As far as cost and space rent increase were not part of my scope in the re-zone.

Recorded by:

Katy James
Architect

ORDINANCE # 2020-15

AN ORDINANCE OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE, ARIZONA, APPROVING A REZONE FROM RESIDENTIAL RANCH (RR) AND COMMUNITY COMMERCIAL (CC) TO COMMUNITY COMMERCIAL (CC) FOR ROSE GARDEN RESORT, LOCATED 400 FEET SOUTH OF THE SOUTHWEST CORNER OF BELL ROAD AND 115TH AVENUE.

WHEREAS, this Ordinance was properly noticed for public hearing and the necessary hearings and opportunity for public input were completed;

WHEREAS, the subject site is located 400 feet south of the southwest corner of Bell Road and 115th Avenue;

WHEREAS, the subject site is zoned Residential Ranch (RR) and Community Commercial (CC);

WHEREAS, the proposed use of the subject site requires modification of the applicable zoning regulations;

WHEREAS, the proposed Rezone to Community Commercial (CC), satisfies the requirements set forth in Chapter 122 of the Surprise Municipal Code;

WHEREAS, this Rezone is in harmony with the purposes and intent of the zoning ordinance and the Surprise General Plan; and

WHEREAS, on May 7, 2020, the Planning and Zoning Commission recommended approval of the Rose Garden Resort Rezone.

NOW, THEREFORE, BE IT ORDAINED by the Mayor and Council of the City of Surprise, Arizona, as follows:

Section 1. Rezoning. The parcel legally described on Exhibit A and depicted on Exhibit B, known as "Rose Garden Resort" is rezoned from Residential Ranch (RR) and Community Commercial (CC) to Community Commercial (CC) subject to the following stipulations:

- a. Development and use of the site shall be in substantial conformance with the project narrative entitled "Rezone for Rose Garden Resort Community", prepared by Architectural Collaborative Team, consisting of 11 pages and stamped received December 12, 2019.

- b. Non-compliance with the stipulations of approval of this case will be treated as a violation in accordance with the provisions of Article XIV of the Surprise Unified Development Code.

Section 2. *Amendment of Zoning Map.* The City of Surprise zoning map is herewith amended to reflect the change in districts referred to in Section 1 above.

Section 3. *Codification.* This Ordinance is not of a general nature and shall not be codified.

Section 4. *Repeal of Conflicting Ordinances.* All ordinances or parts of ordinances in conflict with the provisions of this ordinance or any part of the code adopted herein by reference are hereby repealed, upon the effective date of this Ordinance.

Section 5. *Severability.* If any section, subsection, sentence, clause, phrase or portion of this ordinance is for any reason held to be invalid or unconstitutional by the decision of any court of competent jurisdiction, such decision shall not affect the validity of the remaining portions thereof.

Section 6. *Effective Date.* This ordinance shall become effective at the time and in the manner prescribed by law.

PASSED AND ADOPTED this _____ day of _____ 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

EXHIBIT A
LEGAL DESCRIPTION FOR PROPERTY

THAT PORTION OF THE NORTHEAST QUARTER OF SECTION 1, TOWNSHIP 3 NORTH, RANGE 1 WEST OF THE GILA AND SALT RIVER BASE AND MERIDIAN, MARICOPA COUNTY, ARIZONA, MORE PARTICULARLY DESCRIBED AS FOLLOWS:

COMMENCING AT THE NORTHEAST CORNER OF LOT 1, ALSO DESCRIBED AS THE NORTHEAST CORNER OF THE NORTHEAST QUARTER OF SAID SECTION 1;

THENCE SOUTH ALONG THE EAST LINE OF SAID SECTION 1, A DISTANCE OF 212.91 FEET;

THENCE WEST 33.00 FEET TO A POINT ON THE WEST RIGHT-OF-WAY OF 115TH AVENUE TO TRUE POINT OF BEGINNING;

THENCE SOUTH ALONG SAID EAST RIGHT-OF-WAY A DISTANCE OF 35.18 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 18.00 FEET AND AN INITIAL TANGENT BEARING OF NORTH 60 WEST) A DISTANCE OF 12.13 FEET TO A POINT OF COMPOUND CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 78.00 FEET) A DISTANCE OF 110.78 FEET;

THENCE SOUTH 132.00 FEET;

THENCE EAST A DISTANCE OF 111.00 FEET TO A POINT ON THE EAST LINE OF SAID SECTION 1, SAID POINT BEING ON THE MONUMENT LINE OF 115TH AVENUE;

THENCE SOUTH ALONG SAID EAST SECTION LINE A DISTANCE OF 2439.50 FEET TO THE EAST QUARTER CORNER OF SAID SECTION 1;

THENCE NORTH 89 DEGREES 32 MINUTES 19 SECONDS WEST ALONG THE SOUTH LINE OF THE NORTHEAST QUARTER OF SAID SECTION 1, A DISTANCE OF 1309.36 FEET TO THE SOUTHWEST CORNER OF THE SOUTHEAST QUARTER OF THE NORTHEAST QUARTER OF SAID SECTION 1;

THENCE NORTH 00 DEGREES 02 MINUTES 34 SECONDS EAST ALONG THE WEST LINE OF SAID SOUTHEAST QUARTER OF THE NORTHEAST QUARTER AND LOT 1, A DISTANCE OF 2428.95 FEET;

THENCE EAST A DISTANCE OF 96.00 FEET;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 239.13 FEET AND AN INITIAL TANGENT BEARING OF NORTH) A DISTANCE OF 95.38 FEET;

THENCE NORTH 22 DEGREES 51 MINUTES 07 SECONDS WEST A DISTANCE OF 136.66 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 304.61 FEET) A DISTANCE OF 121.72 FEET;

THENCE NORTH 00 DEGREES 02 MINUTES 34 SECONDS EAST A DISTANCE OF 68.11 FEET TO A POINT ON THE SOUTH RIGHT-OF-WAY OF BELL ROAD;

THENCE SOUTH 89 DEGREES 45 MINUTES 43 SECONDS EAST ALONG SAID SOUTH RIGHT-OF-WAY A DISTANCE OF 66.00 FEET;

THENCE SOUTH 00 DEGREES 02 MINUTES 34 SECONDS WEST A DISTANCE OF 67.88 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 238.61 FEET) A DISTANCE OF 95.35 FEET;

THENCE SOUTH 22 DEGREES 51 MINUTES 07 SECONDS EAST A DISTANCE OF 136.66 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 305.13 FEET) A DISTANCE OF 121.69 FEET;

THENCE EAST A DISTANCE OF 1004.50 FEET;

THENCE NORTH A DISTANCE OF 132.00 FEET TO A POINT OF CURVE;

THENCE ALONG A CURVE TO THE RIGHT (HAVING A RADIUS OF 108.00 FEET) A DISTANCE OF 161.92 FEET TO A POINT OF COMPOUND CURVE;

THENCE ALONG A CURVE TO THE LEFT (HAVING A RADIUS OF 18.00 FEET) A DISTANCE OF 8.14 FEET TO THE TRUE POINT OF BEGINNING;

EXCEPT ANY PORTION LYING WITHIN THE RIGHT OF WAY OF BELL ROAD AND OF 115TH AVENUE;

AND EXCEPT ANY PORTION LYING WITHIN THE FOLLOWING DESCRIBED LAND:

COMMENCING AT THE NORTHEAST CORNER OF SAID SECTION 1;

THENCE NORTH 89 DEGREES 45 MINUTES 43 SECONDS WEST ALONG THE NORTH LINE OF SAID SECTION 1, A DISTANCE OF 194.00 FEET;

THENCE SOUTH 00 DEGREES 06 MINUTES 52 SECONDS WEST A DISTANCE OF 207.84 FEET TO A POINT, SAID POINT BEING THE TRUE POINT OF BEGINNING;

THENCE SOUTH 89 DEGREES 42 MINUTES 43 SECONDS EAST A DISTANCE OF 161.42 FEET TO A POINT;

THENCE SOUTH A DISTANCE OF 245.13 FEET TO A POINT;

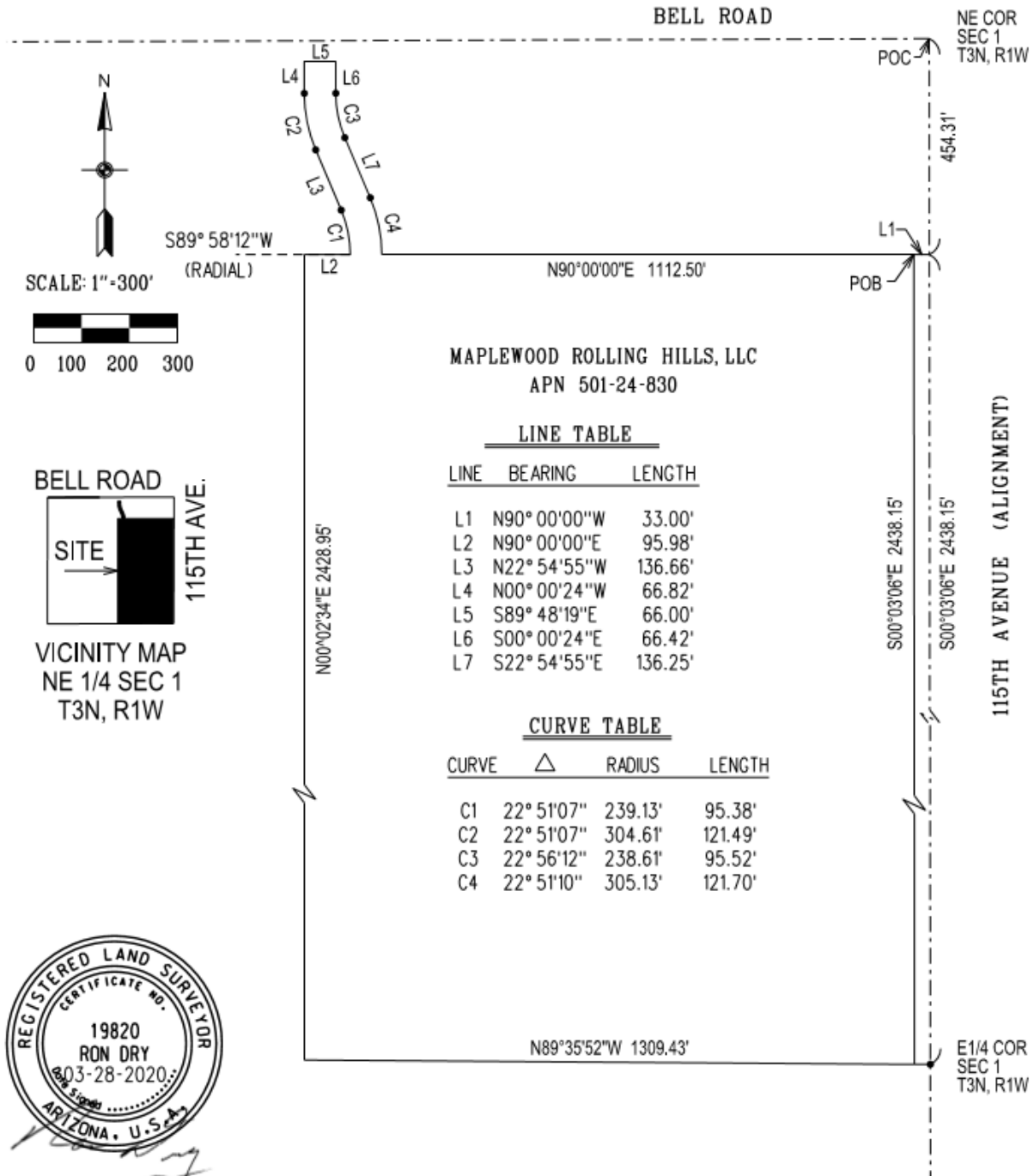
THENCE WEST A DISTANCE OF 312.77 FEET TO A POINT;

THENCE NORTH 00 DEGREES 14 MINUTES 17 SECONDS EAST A DISTANCE OF 235.78 FEET TO A POINT;

THENCE EAST A DISTANCE OF 150.35 FEET TO A POINT;

THENCE NORTH 00 DEGREES 06 MINUTES 52 SECONDS EAST A DISTANCE OF 10.17 FEET TO THE TRUE POINT OF BEGINNING.

EXHIBIT B DEPICTION OF THE PROPERTY TO BE RE-ZONED



Ordinance No. 2020-15
RFLS # 7220
Rev 01/20



FS18-688

**Rose Garden Resort
Rezone**

Mayor and City Council – May 19, 2020

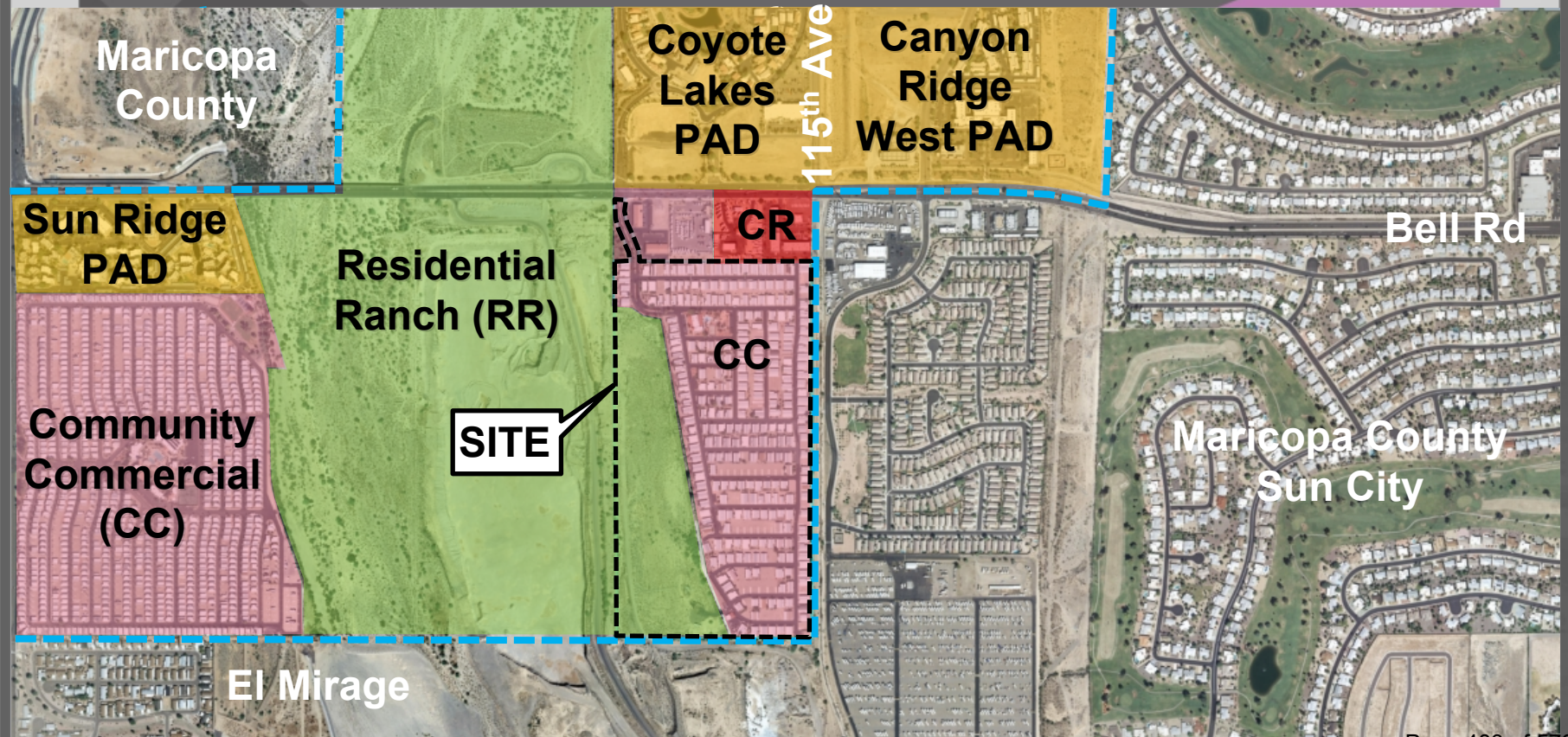
VICINITY MAP



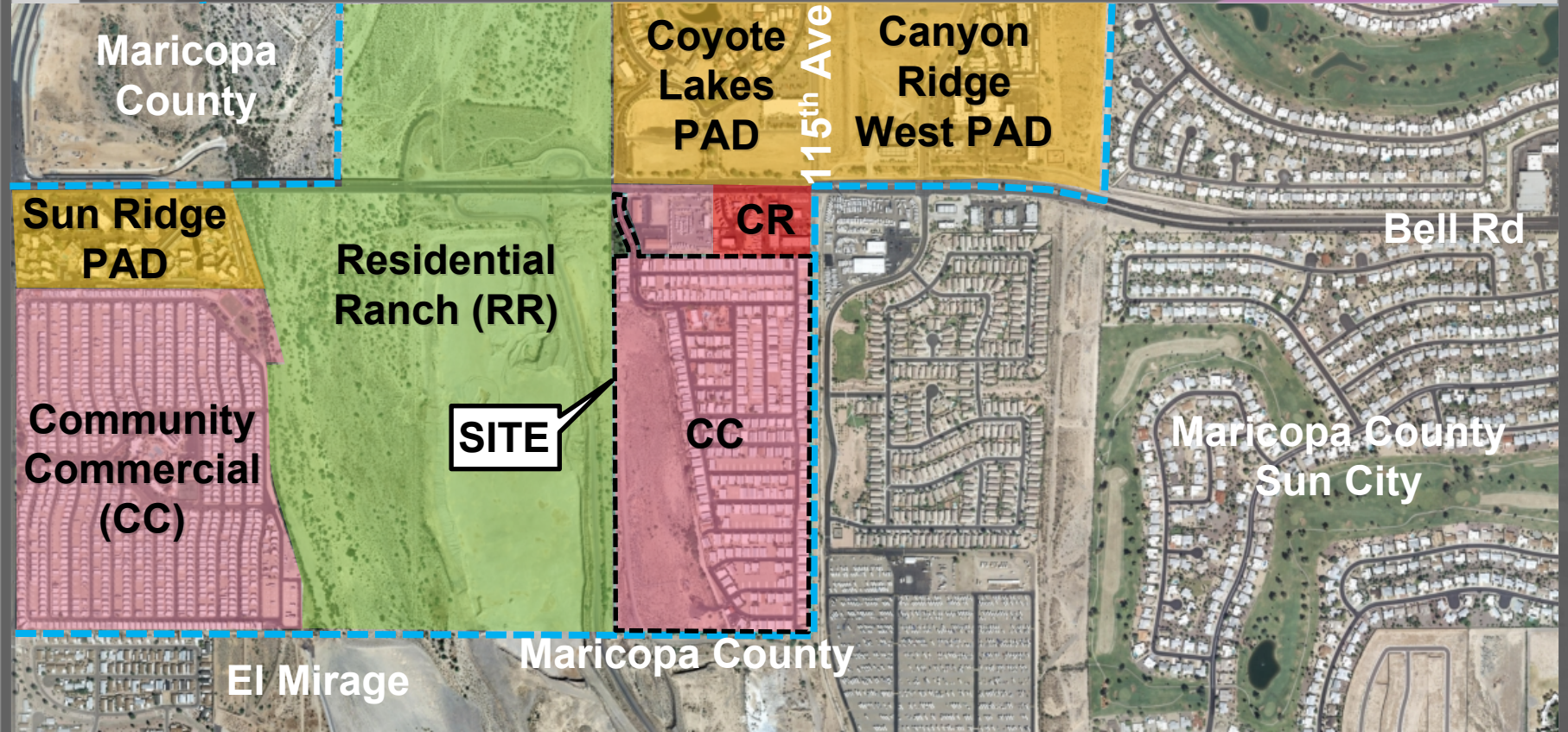
VICINITY MAP



CURRENT ZONING MAP



PROPOSED ZONING MAP





QUESTIONS OR COMMENTS?

Thank You



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020
Submitting Department: Parks and Recreation
Staff Recommendations: None

Contact Person: Donna Miller, DIRECTOR - CRS
District: Citywide

Consent: Yes	Regular: No	Public Hearing: No	Report/Discussion: No
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Agenda Wording:

Consideration and action pertaining to approval of an amendment to the Comprehensive Citywide Fee Schedule, Resolution #2020-44.

Motion:

I move to approve Resolution #2020-44.

Background:

Aquatic Fees

The Parks and Recreation Department is requesting approval of Resolution #2020-44 for the approval of fee updates to the Comprehensive Citywide Fee Schedule. The fee updates were presented at the Regular City Council Work Session on February 18, 2020 and have been published pursuant to Arizona Revised Statutes A.R.S. 9-499. The Parks and Recreation Department collects various fees for recreation programs, services, and rentals. Parks and Recreation staff have completed an analysis on aquatic admission fees and are recommending fee increases. The pool admission fees haven't been increased since 2006; however operating expenses for the pools including staff, supplies and services have continued to increase. The analysis also included a Market Study and the current aquatic admission fees fall below the average market rate. The new fees will be effective for the 2021 summer aquatic season estimated to begin May 2021.

Dial-A-Ride Fees

Staff is proposing the removal of Dial-A-Ride fees from the Comprehensive Citywide Fee Schedule. These fees are collected by Valley Metro, and are not fees collected by the City of Surprise. Accordingly, so long as those fees are collected and administered by Valley Metro, those fees may be removed from the City's Comprehensive Citywide Fee Schedule.

Ground Ambulance Fees

Ground ambulance transportation fees, which are mandated by the Arizona Department of Health Services, were increased effective April 7, 2020 with the Decision and Order- Automatic Adjustment of Rates and Charges 2020-EMS-T0104-DHS (EMS 00411). The City's Comprehensive Citywide Fee Schedule will be updated to reflect this change. In addition, a notation will be added to the City's

Comprehensive Citywide Fee Schedule stating that interdependent ground ambulance supplies may be bundled as part of the billing process. The bundling of ground ambulance supplies is an effective way to streamline the billing process. Supplies will continue to be billed at the rate as approved by City Council.

Objective Analysis:

The establishment of standard operating procedures for fees ensures a consistent process is followed for the addition or adjustment of program fees and charges. Parks and Recreation staff review fees annually as part of the budget process per standard operating procedures.

Policy Compliant:

This action is compliant with the City of Surprise Comprehensive Financial Management Policies and the User Fees SOP.

Financial Impact:

Aquatic Fees

The financial impact will include increased revenue to the City. It is estimated that the recommended fee increases will bring in an additional \$38,000 annually.

Dial-A-Ride

No financial impact will result from the removal of these fees from the City's Comprehensive Citywide Fee Schedule.

Ground Ambulance

Increased revenue will be used to cover operational expenses within the Ground Ambulance Fund.

Budget Impact:

Aquatic Fees

There is no budget impact at this time. All fees associated with existing programs are currently budgeted.

Dial-A-Ride Fees

No budgetary impact will result from the removal of these fees from the City's Comprehensive Citywide Fee Schedule.

Ground Ambulance

Increased revenue will be used to cover operational expenses within the Ground Ambulance Fund.

FTE Impact:

There is no FTE impact.

ATTACHMENTS:

1. FINAL Res 2020-44 Aquatics Fee Increase
 2. New aquatic admission fees 2020-UPDATED
 3. Draft_2020 Comprehensive Surprise Fee Schedule
-

RESOLUTION # 2020-44

A RESOLUTION OF THE MAYOR AND COUNCIL OF THE CITY OF SURPRISE, ARIZONA, INCREASING THE EXISTING AQUATICS ADMISSION FEES AND AMENDING THE CITY'S COMPREHENSIVE CITYWIDE FEE SCHEDULE TO REMOVE DIAL-A-RIDE FEES AND UPDATE GROUND AMBULANCE TRANSPORTATION FEES AS REQUIRED BY THE ARIZONA DEPARTMENT OF HEALTH SERVICES.

WHEREAS, per the City of Surprise Comprehensive Financial Management Policies, user fees and charges will be examined periodically;

WHEREAS, the Comprehensive Citywide Fee Schedule was last adopted on May 21, 2019, via Resolution #2019-53, as amended;

WHEREAS, the City has statutory authority to assess these fees and charges, and notice has been provided consistent with state law;

WHEREAS, it is necessary that the City of Surprise establish various fees related to the Parks and Recreation Department facilities, which allows the department to recover operational and supply costs;

WHEREAS, the City of Surprise wishes to update the Comprehensive Citywide Fee Schedule with the revised fees identified in Exhibit A, namely the removal of the Dial-A-Ride fees which are reflected on the City's Citywide Fee Schedule but which are actually billed and collected by Valley Metro; and updating the ground ambulance transportation fees as mandated by the Arizona Department of Health Services;

WHEREAS, while the aquatics admission fees will be effective on or about May 19, 2020 at the time of Council approval and execution of this Resolution and the Citywide Comprehensive Fee Schedule will be updated accordingly, the new fees will not be implemented or enforced until the 2021 summer aquatic season estimated to begin on May 1, 2021; and

WHEREAS, the updated ground ambulance transportation fees are mandated and imposed by the Arizona Department of Health Services ("State" or "DHS").

NOW, THEREFORE, BE IT RESOLVED by the Mayor and Council of the City of Surprise, Arizona, as follows.

Section 1. The aquatics admission fees and the ground ambulance transportation fees identified in Exhibit A are hereby authorized and established and shall become

effective May 19, 2020 and the Comprehensive Citywide Fee Schedule will be updated accordingly.

Section 2. The Dial-A-Ride fees reflected on the Comprehensive Citywide Fee Schedule are collected by Valley Metro, and are not fees collected by the City of Surprise. Accordingly, so long as those fees are collected and administered by Valley Metro, those fees may be removed from the City's Comprehensive Citywide Fee Schedule.

SIGNATURES ON THE FOLLOWING PAGE

APPROVED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

**RESOLUTION # 2020-44
Exhibit A**

Aquatics Fees to Be Revised

	Current Amount	Proposed Amount	
Youth Admission- Resident- Open Swim & Lap Swim	\$1.00	\$2.00	Per Person/Per Day
Adult Admission- Resident- Open Swim & Lap Swim	\$2.00	\$3.00	Per Person/Per Day
Youth Swim Pass- Residents Only	\$20.00	\$30.00	Per Season
Adult Swim Pass- Residents Only	\$40.00	\$50.00	Per Season
Family Swim Pass- Residents Only (up to 5 members)	\$80.00	\$100.00	Per Season

Ground Ambulance Fees to Be Revised

	Current Amount	NEW DHS Amount	
ALS Emergency Transport Level 1 & 2/ALS Non-Emergency Transport Level 1*	\$965.67	\$997.05	Per Transport
BLS Emergency Transport/ BLS Non-Emergency Transport/ BLS*	\$860.19	\$888.15	Per Transport
Dead on Scene*	\$860.19	\$888.15	Per Transport
Mileage*	\$20.02	\$20.67	Per Load Mile
Wait Time*	\$215.04	\$222.03	Per Hour

*This fee is established by a federal, state, or county agency and is subject to change

New Notation: Interdependent ground ambulance supplies will be billed at the rate as approved by City Council, but may be bundled as part of the billing process.

Dial-A-Ride Fees to be Removed

	Current Amount	
In City	\$2.00	Per Ride
Outside City	\$2.50	Per Ride
ADA Regional Service	\$4.00	Per Ride



Proposed New Aquatic Admission Fees

Parks and Recreation Department

Overview

- Recommendation:
 - Increase Aquatics Admission Fees
- Per Fee Policy, staff reviews fees annually based on direct cost and market analysis.
- Last increase for aquatics admission fees- 2006
- Expenses for staffing, chemicals and utilities continue to increase
- Estimated annual increase in revenue- \$38,000.
- Approval of Resolution #2020-44 - Amendment to Comprehensive Citywide Fee Schedule

Aquatic Admission Fees

Municipality	Youth	Adult
Surprise	\$1	\$2
Buckeye	\$2	\$2
Glendale	\$2.50	\$5
Goodyear	\$1.50	\$1.50
Peoria	\$2	\$4
Litchfield Park	\$3	\$3
Surprise Proposed	\$2	\$3



Pool Pass

Municipality	Youth	Adult	Family
Surprise	\$20	\$40	\$80
Buckeye	\$50	\$50	\$150
Glendale	n/a	n/a	n/a
Goodyear	\$25	\$25	\$50
Peoria	\$30	\$30	\$100
Litchfield Park	\$60	\$60	\$120
Surprise Proposed	\$30	\$50	\$100

Timeline

- January 27, 2020- Fee updates approved by the Parks & Recreation Advisory Commission
- February 18, 2020- Fee updates presented at the Regular City Council Work Session
- Fee Increases have been posted for 60 days per Arizona Revised Statutes (A.R.S.) 9-499.15.
- Fees would be implemented for the 2021 Summer Aquatic Season estimated to begin May 2021.



QUESTIONS OR COMMENTS?

Thank You



Citywide Fee Schedule

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
CITY CLERK		
Passports		
Execution*	\$35.00	Per Card or Book
Photo Service*	\$10.00	Per Photo
Photocopies		
8.5" x 11" or 8.5" x 14"	\$0.50	Per Page
11" x 17"	\$1.00	Per Page
CITY COURT		
Arrest Warrant Processing	\$200.00	Per Warrant
Compliance Monitoring	\$100.00	Per Case
Deferred Prosecution	\$200.00	Per Case
Diversion Program	\$300.00	Per Case
Driver's License Suspension	\$50.00	Per Case
Indigent Administrative Assessment (Determined by the Judge based on financial affidavit.)	\$25.00	Per Charge
Jury Cancellation	\$500.00	Per Case
Municipal Court Enhancement	\$16.40	Per Case
Probation Program	\$100.00	Per Case
Public Defender	\$150.00	Per Case (Determined by the Judge based on financial affidavit)
PARKS AND RECREATION		
Special Programs/Events		
Itty Bitty Beach Party		
Resident	\$5.00	Per Person/Per Event
Non-Resident	\$10.00	Per Person/Per Event
Teen Splash/Dive in Movies		
Resident	\$5.00	Per Person/Per Event
Non-Resident	\$8.00	Per Person/Per Event
4th of July- Residents Only	\$6.00	Per Person/Per Event
April Pool's Day	\$0.00	Per Person/Per Event
Open Swim & Lap Swim		
Youth- Resident	\$2.00	Per Person/Per Day
Adult- Resident	\$3.00	Per Person/Per Day
Youth/Adult- Non-Resident	\$5.00	Per Person/Per Day
Swim Passes (Residents Only)		
Adult Individual	\$50.00	Per Season
Family (Up to 5)	\$100.00	Per Season
Youth Individual	\$30.00	Per Season
Teen Programs		
Teen Talent Show	\$5.00	Per Person/Per Admission
Sierra Montana Recreation Center		
Teen Youth Dances	\$5.00-\$10.00	Per Person/Per Event
Tournaments- Pool/Ping Pong/Video Games	\$5.00-\$10.00	Per Person/Per Event
Haunted House	\$3.00-\$5.00	Per Person/Per Admission



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Tennis		
Ball Machine Rental		
Resident	\$7.00	Per Machine/Per 1/2 Hour
Resident	\$11.00	Per Machine/Per 1 Hour
Non-Resident	\$9.00	Per Machine/Per 1/2 Hour
Non-Resident	\$13.00	Per Machine/Per 1 Hour
Tennis Play Evening/Racquet Ball/Drop In Tennis		
Resident	\$3.00	Per Person/Per Day
Non-Resident	\$4.00	Per Person/Per Day
Tennis Play & Court Fee/Drop-in Paddleball/Drop-in Raquetball		
Resident	\$2.00	Per Person/Per Day
Non-Resident	\$3.00	Per Person/Per Day
Tennis League Group Rates		
Day	\$14.00	Every 2 Hours
After 4:00 p.m.	\$18.00	Every 2 Hours
Basket of Tennis Balls	\$2.00	Per Person/Per Day
Racquet Stringing Services	\$15.00 - \$35.00	Per Item
Goggle Rental	\$2.00	Per Reservation
Demo Racquet Rental	\$3.00	Per Reservation
Backboard Rental	\$1.00	Per Person/Per 30 Minutes
Event & Promotion Activity Tickets (Fees vary depending on event)	\$1.00-\$5.00	Per Ticket
Municipal Pools Private Rental		
Category** I	No charges apply	
Surprise Aquatic Center/Hollyhock Community Pool		
Category** II (A) (B)	\$100.00	Per Day
Category** III	See Aquatic Private Rental Fees	
Staff (Requirements based on specific event, projected attendance & required number of personnel for safety.)		
Category** II (A) (B)	\$20.00	Per Hour
Category** III	Included in Rental Fee	
Utilities (Gas/Electric/Water)	\$20.00	Per Hour
Excessive Utilities (To restart heat/utilities when closed for winter/season)	\$500.00	Per Day
Aquatic Private Rental Fees (2 Hr. Min.)- Category* III		
Deposit	\$100.00	Per Day
Lap Lane Rental	\$30.00	Per Hour
Diving Well Rental	\$30.00	Per Hour
Surprise Aquatic Center		
≤100	\$230.00	Per Hour
101-150	\$260.00	Per Hour
151-200	\$280.00	Per Hour
201-250	\$300.00	Per Hour
251-400	\$400.00	Per Hour



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Fee	Amount	Unit of Measure
Hollyhock Community Pool		
≤100	\$180.00	Per Hour
101-150	\$210.00	Per Hour
151-200	\$230.00	Per Hour
Municipal Pools Birthday Party (Residents only)		
Surprise Aquatic Center (SAC)		
≤15	\$100.00	Every 2 Hours
16-20	\$120.00	Every 2 Hours
21-25	\$140.00	Every 2 Hours
26-30	\$160.00	Every 2 Hours
31-50	\$220.00	Every 2 Hours
Hollyhock Community Pool		
≤15	\$30.00	Every 2 Hours
16-20	\$35.00	Every 2 Hours
21-25	\$40.00	Every 2 Hours
26-30	\$45.00	Every 2 Hours
31-50	\$65.00	Every 2 Hours
Recreation Centers, Tennis Complex, Dreamcatcher Park, Sport Fields, Regional Library		
Category** I	No charges apply	
Dance Room at Countryside Rec Center		
Category** II (A)	\$50.00	Per Hour
Category** III	\$50.00	Per Hour
Sierra Montana		
Basic Rental Package	\$150.00	Every 3 Hours
Basic Rental Package- Additional Time	\$50.00	Every 3 Hours
Ultimate Rental Package	\$300.00	Every 3 Hours
Ultimate Rental Package- Additional Time	\$50.00	Per Hour
Dreamcatcher Park/Recreation Center Gymnasium/Library Conference Room (2 hr. min.)		
Category** II (A) (B)	\$100.00	Per Hour
Category** III	\$150.00	Per Hour
Multi-Purpose Room (2 Hr. Min.)		
Category** II (A) (B)	\$75.00	Per Hour
Category** III	\$100.00	Per Hour
Classroom		
Category** II (A) (B)	\$30.00	Per Hour
Category** III	\$35.00	Per Hour
Study Room		
Category** II (A) (B)	\$25.00	Per Hour
Category** III	\$30.00	Per Hour
Sport Field w/o Lights (Not at the campus i.e. Marley Park, Bicentennial Park, & Gaines Park.)		
Category** II (A) (B)	\$15.00	Per Hour
Category** III	\$30.00	Per Hour



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Sport Field w/ Lights	\$15.00	Per Hour
Field Rentals- Mon-Thurs- Before 3pm	\$7.50	Per Hour
Tennis Courts w/o Lights		
Category** II (A)	\$5.00	Per Hour
Category** II (B)	\$6.00	Per Hour
Category** III	\$12.00	Per Hour
Tennis Courts w/ Lights		
Category** II (A)	\$7.00	Per Hour
Category** II (B)	\$8.00	Per Hour
Category** III	\$15.00	Per Hour
Tennis Classroom		
Category** II (A) (B)	\$30.00	Per Hour
Category** III	\$35.00	Per Hour
Tennis Ping Pong Room		
Category** II (A) (B)	\$25.00	Per Hour
Category** III	\$30.00	Per Hour
Racquetball Courts/Sand Volleyball Courts/Pickleball Courts		
Category** II (A) (B) & III	\$5.00	Per Hour
Facility Cleaning/Excessive Utilities (weekends/holidays)		
Category** II (A) (B) & III	\$20.00	Per Hour
Staff- See Staffing Fees		
Accessories		
Portable PA System/Water/Ice/Coolers	\$30.00	Per Item
Podium/Microphone/Pop Up Tent	\$10.00	Per Item
Ramadas		
Category** I	No charges apply	
Ramada Small		
Resident	\$15.00	Every 4 Hours
Non-Resident	\$30.00	Every 4 Hours
Ramada Large		
Resident	\$25.00	Every 4 Hours
Non-Resident	\$50.00	Every 4 Hours
Ramada Heritage Park Pavillion (Special event premiums may apply.)		
Resident	\$60.00	Every 4 Hours
Non-Resident	\$120.00	Every 4 Hours
Group Events (Must use approved vendor list, with insurance on file.)		
Category** I (No charges apply)		
Amplified Sound - Dj (Must reserve all ramada's within 50 ft.)		
Category** II (A)	\$50.00	Every 4 Hours
Category** II (B)	\$50.00-\$100.00	Every 4 Hours
Category** III	\$100.00-\$250.00	Per Location



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Amplified Sound - Live Music (Must reserve all ramada's within 50 ft.)		
Category** II (A)	\$100.00	Every 4 Hours
Category** II (B)	\$100.00-\$200.00	Every 4 Hours
Category** III	\$200.00-\$400.00	Per Location
Beer Permit		
Resident	\$10.00	Per Permit
Non-Resident	\$20.00	Per Permit
Admin Fee	\$250.00	Per Event
Staff Required- See Staffing Fees		
Staffing (2 Hr. Min. Requirements Based On Specific Event, Attendance, And Required Personnel For Safety.)		
Category** I (No charges apply)		
Recreation/Campus Staff/Aquaticce	\$20.00	Per Hour/Per Staff Member
Janitor/Custodian	\$15.00	Per Hour/Per Staff Member
Tennis Supervisor	\$40.00	Per Hour/Per Staff Member
Police Officer/Medical EMT	\$50.00	Per Hour/Per Staff Member
Aquatics/Sports Cleaning or Maintenance	\$20.00	Per Hour
COMMUNITY DEVELOPMENT		
Community Facilities District (CFD)		
CFD Application (per A.R.S. § 48-708 (E))	\$15,000.00	Per CFD
CFD Administrative Expense (per A.R.S. § 48-708 (E))	\$50,000.00 (or actual cost, whichever is less)	Per CFD
CFD Administrative Expense Additional Deposits	\$25,000.00	Per CFD
Building Permit And Inspections		
Annual Facilities Permit	\$275.00	Per Permit
Building/Fire Permit		
Building/Fire Permit Fee - Valuation of \$1,000.00 or Less	\$75.00	Each Based on Valuation
Building/Fire Permit Fee - Valuation of \$1,000.01 to \$999,999.99		
Fee 1 of 2	\$100.00	Each
Fee 2 of 2	\$6.00	Per \$1,000.00 Of Valuation
Building/Fire Permit Fee - Valuation of \$1,000,000.00+		
Fee 1 of 2	\$100.00	Each
Fee 2 of 2	\$5.00	Per \$1,000.00 Of Valuation
Commercial Factory Built Building	Per Arizona Department of Housing Intergovernmental Agreement	Each
Deferred Permit Submittal	\$165.00	Per Deferral
Designated Slum Property Inspection (2 hr. min. outside normal business hours)	\$150.00	Per Inspection
Finished Floor Elevation Verification	\$415.00	Per Verification
Re-Inspection	\$100.00	Per Hour (\$200.00 min.)
After Hour Inspection	\$100.00	Per Hour (\$200.00 min.)
After Hour Ispection - Weekends/Holidays/3rd Shift	\$100.00	Per Hour (\$300.00 min.)



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Manufactured Home	Per Arizona Department of Housing Intergovernmental Agreement	Each
Residential Factory Built Building	Per Arizona Department of Housing Intergovernmental Agreement	Each
Swimming Pool Signs	Actual Cost to Jurisdiction	Per Sign
Temporary Sales/Construction Trailer Permit		
Fee 1 of 2	\$100.00	Each
Fee 2 of 2	\$6.00	Per \$1,000.00 of Valuation
Temporary Power Permit	\$75.00	Based on Valuation Under \$1,000.00
Temporary Use Permit/Special Event	\$135.00	Per Permit
Self-Certification Meeting	\$300.00	Per Meeting
Solar Permit	\$250.00	Per Permit
Building And Fire Plan Review		
Building/Fire Plan Review	65% of the Building/Fire Permit Fee	Per Review
Landscape Plan Review		
Fee 1 of 2	\$100.00	Each
Fee 2 of 2	\$6.00	Per \$1,000.00 of Valuation
Plan Revisions - After Permit is Approved	\$100.00	Per Hour
Civil Engineering Permit And Inspections		
Annual Traffic Control Permit	\$750.00	Per Permit
City Jurisdiction or Service Area - Civil Construction Permit	3% of Construction Cost	Per Permit
City Jurisdiction or Service Area - Private Utility	1% of Construction Cost	Per Permit
Civil Construction Permit Renewal Or Extension	50% of the original permit fee paid	Per Permit
Inspection And Re-Inspection (2 hr. min. outside normal business hours)	\$75.00	Per Hour
Water, Wastewater, And Reclaimed Water Facility Permits (Wells, water supply facilities, lift stations, etc.)	3% of Construction Cost	Per Permit
Excavation In Paved Streets Within 2 Years Of Street Construction		
5 sq. yds. or less	\$330.00	Per Square Yard
5 - 100 sq. yds.- Fee 1 of 2	\$1,650.00	Per Review
5 - 100 sq. yds.- Fee 2 of 2	\$18.00	Per Square Yard
100 sq. yds. or more- Fee 1 of 2	\$3,360.00	Per Review
100 sq. yds. or more- Fee 2 of 2	\$14.00	Per Square Yard
Facility Plan Review 100%	\$190.00	Per Hour
Facility Plan Review 30%/60%/90%	\$190.00	Per Sheet



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Standard Plan Review		
1st and 2nd Review	\$380.00	Per Sheet
3rd and Subsequent Review	\$190.00	Per Hour
Utility Plan Review	Per Franchise Agreement	Per Hour
Development Review Fees		
404 Documentation/Phase 1 Environmental Assessment/Title Report	\$180.00	Per Report
Administrative Use Permit (AUP)	\$400.00	Each
Alta Survey	\$95.00	Per Sheet
Appeals	\$250.00	Per Appeal
Annexation	\$800.00	Per Annexation
Comprehensive Sign Program (CSP)	\$1,750.00	Each
Concept Review	\$300.00	Per Review
Conditional Use Permit (Use Only)	\$1,250.00	Each
Conditional Use Permit with Site Plan		
Fee 1 of 2	\$3,600.00	Each
Fee 2 of 2	\$30.00	Per Acre
Development Agreement	\$5,000.00	Per Agreement
Development Agreement Amendment	\$2,500.00	Per Amendment
Design Review Elevation Only (Remodel, Colors)	\$50.00	Hourly
Preliminary Grading, Drainage and Utilities	\$135.00	Per Sheet
Traffic Impact Analysis/Engineering Report	\$180.00	Per Hour/ Per Report
Final Plat		
Fee 1 of 2	\$1,200.00	Each
Fee 2 of 2	\$17.00	Per Lot/Tract/Parcel
Fire Flow Test Results	\$110.00	Per Test
Follow Up Concept Review	\$150.00	Per Review
General Plan Amendment Major	\$6,000.00	Each
General Plan Amendment Minor	\$2,500.00	Each
Home Product Review	\$125.00	Per Plan
Landscape Design Review	\$300.00	Per Sheet
Lot Line Adjustment	\$400.00	Each
Map of Dedication	\$750.00	Each
Minor Land Division		
Fee 1 of 2	\$400.00	Each
Fee 2 of 2	\$17.00	Per Lot/Tract/Parcel
Model Home Complex		
Fee 1 of 2	\$600.00	Each
Fee 2 of 2	\$30.00	Per Lot/Tract/Parcel
Parcel Assemblage	\$400.00	Each
Planned Unit Development Overlay	\$3,540.00	Per Overlay
Preliminary Plat		
Fee 1 of 2	\$2,500.00	Each
Fee 2 of 2	\$30.00	Per Lot/Tract/Parcel
Project Name Change/Site Plan Extension/Continuance Per Applicant Request	\$220.00	Per Request



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Rezone		
Fee 1 of 2	\$3,000.00	Each
Fee 2 of 2	\$20.00	Per Acre
Site Plan (Narrative and elevations included in per sheet fee)		
Fee 1 of 2	\$3,000.00	Each
Fee 2 of 2	\$30.00	Per Acre
Temporary Use Permit/Special Event	\$135.00	Per Permit
Text Amendment	\$2,000.00	Each
Utility Plan Review	\$255.00	Per Sheet
Variance		
Fee 1 of 2	\$500.00	Each
Fee 2 of 2	\$25.00	Per Item Requested
Zoning Amendment Major	\$2,500.00	Each
Zoning Amendment Minor	\$885.00	Per Amendment
Water, Wastewater, Or Reclaimed Water Master Plan	\$180.00	Per Review
Address Assignment From Dedicated Access (At time of Permit/Development Review)	\$10.00	Per Address
Address Assignment On Vacant Property Or From Easement (At time of Permit/Development Review)	\$25.00	Per Address
Address Change At Time Of Permit	\$50.00	Per Address
Document Handling	Actual Cost to Jurisdiction	Per Document
Native Plant Inventory – 1st And 2nd Review	\$160.00	Per Sheet
Native Plant Inventory – 3rd And Subsequent Review	\$100.00	Per Sheet
Miscellaneous 4th and subsequent reviews (any plan type)	20% of Initial Base Fee	Each
Plan Revisions - After Permit is Approved	\$100.00	Per Hour
Plan Revision Requested by Applicant	50% of Initial Base Fee	Each
Public Meeting Notice/Advertising	Actual Cost to Jurisdiction	Per Advertisement
Recordation Fee	Actual Cost to Jurisdiction	Per Recording
General Services		
Civil Permit and Design Review Administrative Processing	\$140.00	Per Permit/Review
Building Permit Administrative Processing Fee - Valuation of \$1.00 - \$999,999.99	0.50% of Valuation	Valuation
Building Permit Administrative Processing Fee - Valuation of \$1,000,000.00+	0.052% of Valuation	Valuation
Archived Document Retrieval (Copies are additional)	\$80.00	Per Request
Asbuilts		
12" x 18"	\$2.50	Per Page
24" x 36"	\$5.00	Per Page
CD's Containing Documents	\$5.00	Per CD
Custom Maps (\$150 min.)	\$80.00	Per Hour
Digital Data		
Boundary Shapes	\$25.00	Per Shape
Centerlines	\$250.00	Per Centerline
Land Use or Zoning	\$100.00	Per Request
Parcels	\$500.00	Per Parcel



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Maps		
8.5" x 11"	\$2.50	Per Page
11" x 17"	\$5.00	Per Map
24" x 36"	\$20.00	Per Map
36" x 48" or 40" x 60"	\$30.00	Per Map
Zoning Verification, Compliance Letter	\$100.00	Each

Right-Of-Way Facilities Fees

Annual Use Fees		
Right-Of-Way Use Fee	\$50.00	Per year x number of Small Wireless Facilities
Right-Of-Way Use Fee for Monopoles and Associated Wireless Facilities	\$100.00	Per year x number of Small Wireless Facilities
Application for collocating Small Wireless Facilities (Existing with no modifications)		
One (1) to five (5) applications	\$100.00	Each
Six (6) through 25 applications	\$50.00	Each
Application for Utility Pole and Monopole (New or existing with modifications)		
New, replacement, or modified utility poles not subject to zoning review	\$400.00	Each
New, replacement, or modified monopoles, utility poles, collocations, or wireless facilities subject to zoning review	\$400.00	Each

Miscellaneous

Outside Consultant	Actual Cost to	Per Consultant
Abatement Administrative Fee (\$150 min.)	10% of Actual Cost	Per Abatement

ECONOMIC DEVELOPMENT

TechCelerator

The Economic Development Director has the authority to reduce or waive the program fee based on business evaluation criteria.

Program Fee

Tier 1	\$0.35	Per Square Foot/Per Month
Tier 2	\$0.51	Per Square Foot/Per Month
Tier 3	\$0.68	Per Square Foot/Per Month
Tier 4	\$0.85	Per Square Foot/Per Month
Tier 5	\$1.01	Per Square Foot/Per Month
Tier 6	\$1.18	Per Square Foot/Per Month
Tier 7	\$1.34	Per Square Foot/Per Month

FINANCE

Business Licensing

All Businesses - Initial Business License	\$168.00	Per License
All Businesses - Annual Renewal Fee	\$84.00	Per License

Pro-Rated Initial Business License

Start date 1st Quarter (Jan, Feb, & Mar)	\$168.00	Per License
Start date 2nd Quarter (Apr, May, & Jun)	\$126.00	Per License
Start date 3rd Quarter (Jul, Aug, & Sept)	\$84.00	Per License
Start date 4th Quarter (Oct, Nov, & Dec)	\$42.00	Per License
Late Payment (Failure to pay by a specified due date.)	25% of Base Rate	Per License
Special Events	\$35.00	Per License

Miscellaneous

Returned Payment Fee	\$15.00	Per Transaction
City Sales and Use Tax Application Fee	\$10.00	Per License
Department of Public Safety Background Check*	\$22.00	Per Check



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
FIRE-MEDICAL		
Fire Suppression		
Engine Company/Ladder Tender	\$427.00	Per Hour
Ladder Company	\$514.00	Per Hour
Command Vehicle	\$244.00	Per Hour
Brush Truck/Support Truck	\$228.00	Per Hour
Water Tender	\$184.00	Per Hour
Staff Vehicle	\$148.00	Per Hour
Fire Code Compliance		
Annual Fire Inspections- 3rd, 4th, and 5th Re-Inspection	\$150.00	Per Inspection
Electronic Filing- Fire Code Compliance	\$12.00	Per Inspection
License Inspection		
Adult/Child Day Care Facility	\$100.00	Per Inspection
Residential Group Homes/Nursing Care/Supervisory Care/Behavioral Health and Assisted Living Facilities	\$150.00	Per Inspection
Permit Inspection		
Pyrotechnics Display	\$300.00	Per Inspection
90 day Firework Vendor- Store	\$150.00	Per Inspection
90 day Firework Vendor- Tent	\$350.00	Per Inspection
Lock Box		
Maintenance	\$40.00	Per Call
Device and Installation	\$65.00	Per Box
Records Request		
Compact Disc	\$20.00	Per Disc
Less than 10 pages	\$5.00	Per Request
10 to 19 pages	\$10.00	Per Request
20 - 29 pages	\$15.00	Per Request
30 - 49 pages	\$25.00	Per Request
50 - 100 pages	\$35.00	Per Request
Remote Alarm		
Installation		
Fee 1 Of 2	\$100.00	Per Installation
Fee 2 Of 2	\$150.00	Per Day
Alarm System Non-Compliance	\$75.00	Per Call
Incident Investigation – Car 3099	\$75.00	Per Hour
Tactical Premise	\$75.00	Per Call
Annual Tomar Gate Inspection	\$50.00	Per Inspection
Treat and Refer		
Response and Treatment, No Transport	\$203.80	Per Incident
Treat at Home, Refer to PCP/Specialist	\$203.80	Per Incident
Treat at Home, Refer to Crisis Response	\$203.80	Per Incident
Treat at Home, Refer to BH Provider	\$203.80	Per Incident
Treat at Home, Refer to Urgent Care	\$203.80	Per Incident



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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Resuscitation Training		
Adult/Infant/Child: CPR/AED Digital Certification Card with Access to Digital Book (G2015) (6 Student Minimum)	\$59.00	Per Student
BLS Digital Certification Card with Access to Digital Book (G2015) (6 Student Minimum)	\$59.00	Per Student
Adult/Infant/Child: CPR/AED and Basic First Aid Digital Certification Card with Access to Digital Book (G2015) (6 Student Minimum)	\$87.00	Per Student
Pediatric (All Ages) CPR/AED and First Aid Digital Certification with Access to Digital Book (G2015) (6 Student Minimum)	\$87.00	Per Student
BLS Blended Course (G2015) DC (2 Student Minimum)	\$76.00	Per Student
CPR and AED Blended Course (G2015) DC- All Ages (2 Student Minimum)	\$76.00	Per Student
CPR/AED and Basic First Aid Blended Course (G2015) DC - All Ages (2 Student Minimum)	\$96.00	Per Student
Pediatric (All Ages) CPR/AED and First Aid Blended Course (G2015) DC (2 Student Minimum)	\$96.00	Per Student
Firefighter Service		
Firefighter- Contractual (Fire Suppression)	\$50.00	Per Hour
Firefighter- Contractual Special Event (Non-Fire Suppression)	\$70.00	Per Hour
Ground Ambulance		
Transports		
ALS Emergency Transport Level 1 & 2/ ALS Non-Emergency Transport Level 1*	\$997.05	Per Transport
BLS Emergency Transport/BLS Non-Emergency Transport/BLS*	\$888.15	Per Transport
Treat No Transport/ Treat and Refer- Contractual*	\$380.00	Per Incident
Dead On Scene*	\$888.15	Per Transport
Mileage*	\$20.67	Per Load Mile
Wait Time*	\$222.03	Per Hour
Supplies		
Modifications to a specific supply rate based on market fluctuations may occur without Council approval only if the modification does not exceed 20%.		
Interdependent ground ambulance supplies will be billed at the rate as approved by City Council, but may be bundled as part of the billing process.		
1" Flex Wrap	\$2.35	Each
1/2" Silk Tape	\$0.75	Each
10CC Syringe W/Safety Glide	\$0.64	Each
10ML Ampule Nacl	\$1.65	Each
12 CC Syringe	\$0.23	Each
14FR 12" Blue And 10FR 16" Green w/Elbow Tube	\$27.89	Each
14FR 48" Nasogastric Suction Salem Sump Tube	\$3.99	Each
18FR Nasopharyngeal Pvc Airway	\$3.39	Each
1CC Syringe Bd Eclipse	\$0.63	Each
1ML Syringe Safety Glide	\$1.18	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
20FR Nasopharyngeal PVC Airway	\$6.76	Each
3 Way Stopcock W/ 20" Tubing	\$2.30	Each
3" Adhesive Tape	\$3.79	Each
3" Kling NS	\$0.31	Each
3CC Syringe	\$0.32	Each
3CC Syringe W/Needle	\$1.20	Each
5 CC Syringe	\$0.81	Each
53376# Megamover Plus Trans Disp	\$24.20	Each
60 CC Toomey Syringe	\$2.10	Each
60 Drop IV Admin Set 105"	\$10.32	Each
70CC Toomey Syringe W/Cath Tip	\$3.95	Each
Activated Charcoal	\$36.49	Each
Adenosine 6MG/2ML Vial	\$7.49	Each
Adult/Peds Nellcor Disposable Prode Oxisensor	\$25.79	Each
AED Pads	\$66.99	Each
Albuterol Sulfate 2.5mg/3ml NS	\$0.78	Each
Alcohol Prep Pad	\$0.02	Each
All In One (Lifepack)	\$60.12	Each
Ambu Endotracheal Tube Holder	\$5.25	Each
Ambu Res-Cue Suction Canister	\$13.79	Each
Ambu Res-Cue Suction Pump Kit	\$58.79	Each
Amiodarone 150 MG/3ML Luerlock Prefilled Syringe	\$20.29	Each
Ammonia Inhalants	\$0.28	Each
Angiocath 3" Chest Needle 12GA	\$24.58	Each
Antiseptic Hand Wipes	\$0.33	Each
Arm Board 3 X 9	\$3.79	Each
Arm Board Long 3 X 17.5	\$5.49	Each
Aspirin 80Mg 36/BTL 1/18th	\$0.42	Each
Atropine 1MG/10ML	\$15.99	Each
Atropine 8MG/20ML	\$75.99	Each
Aviva Glucose Strips	\$1.84	Each
BAAM Device	\$8.89	Each
Baby Bunting Swaddler	\$5.69	Each
Baird Board Strap	\$6.71	Each
Bandage Adhesive 1"	\$0.06	Each
Bandage Adhesive 2"x 3.5"	\$0.22	Each
Bandage Cohesive 1"	\$0.71	Each
Bandage Cohesive 3"	\$2.06	Each
Bandage Conforming Roll 4" NS	\$0.37	Each
Bandage Woven Gauze 4.5" Sterile	\$1.77	Each
Baxter-Interlink System, Continue-Flo Solutio	\$8.79	Each
Bed Pan Fracture Style	\$1.95	Each
Biohazard Bag Large	\$0.46	Each
Biohazard Bag Medium	\$0.22	Each
Biohazard Bag Small	\$0.33	Each
Biohazard Bag X-Large	\$0.72	Each
Bite Stick	\$1.03	Each
Blanket, Disposable, 50x84 Polyester	\$11.59	Each
BP Cuff Disposable Adult	\$6.69	Each
BP Cuff Disposable Adult	\$7.19	Each
BP Cuff Disposable Child	\$7.92	Each
BP Cuff Disposable Ex Lg Adult	\$9.80	Each
BP Cuff Disposable Infant	\$2.51	Each
BP Cuff Disposable Infant	\$8.40	Each
BP Cuff Disposable Large Adult	\$7.20	Each
BP Cuff Disposable LG Adult	\$7.79	Each
BP Cuff Disposable Long Adult	\$9.49	Each
BP Cuff Disposable Peds	\$6.49	Each
BP Cuff Disposable Peds 9"X22.5CM LP 12	\$2.79	Each
BP Cuff Disposable Sm Adult	\$6.49	Each
BP Cuff Disposable X-Large Adult	\$19.94	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Braun Suction Canister	\$5.04	Each
Bulb Syringe	\$3.61	Each
Burn Sheet	\$7.79	Each
BVM Adult With Mask	\$16.99	Each
BVM Infant With Neonate Mask	\$16.99	Each
BVM Peds/Toddler With Mask	\$19.49	Each
BVM Smart w/ Timer Adult/Peds	\$50.99	Each
Calcium Chloride 1GM/10mL	\$14.69	Each
Capnography Oridion	\$14.00	Each
Cardboard Splint Large	\$7.79	Each
Cardboard Splint Medium	\$5.99	Each
Cardboard Splint Small	\$5.78	Each
Carpujet Holder For Carpuject Syringe	\$1.13	Each
Carry All Large	\$27.49	Each
Carry All Regular	\$14.09	Each
Castile Soap Towellete	\$0.04	Each
CAT Tourniquet	\$45.79	Each
CAT Tourniquet EMS Black 1"	\$47.29	Each
CAT Tourniquet EMS Orange	\$43.79	Each
Cervical Collar Adjustable Adult	\$8.99	Each
Cervical Collar Adjustable Peds	\$8.99	Each
Chest Needle 3.25" 14GA	\$15.29	Each
Chest Needle 3" 12GA	\$24.58	Each
Chest Needle 5.25" 14GA	\$28.79	Each
Chest Seal 5.5" Diameter	\$14.99	Each
Chux	\$0.21	Each
Clip Lock Cannula	\$1.74	Each
CO2 Monitoring Line ETT Adult/Peds	\$12.60	Each
CO2 Monitoring Line N/C Adult	\$13.99	Each
CO2 Monitoring Line NC Peds	\$18.49	Each
CO2 Peds Easy Cap	\$15.99	Each
Code Strap, Adjustable	\$4.58	Each
Cold Pack	\$2.00	Each
Combine 8"x10" Sterile	\$0.38	Each
Combitube Adult Roll Up Kit 37FR - 41FR	\$99.29	Each
Compression Band for CPR Device	\$255.99	Each
CPAP Circuit w/Mask Vent	\$41.90	Each
CPAP Mask Boussignac System Sz 3-6	\$69.50	Each
CPAP Mask Port-02-Vent Lg Adult	\$13.30	Each
CPAP Mask Port-02-Vent Med Adult	\$9.28	Each
CPAP Mask Port-02-Vent Sm Adult	\$10.39	Each
CPAP Mask w/Neb Adult SM-LG	\$91.50	Each
CPAP Max Bitrac ED Mask/Head	\$63.99	Each
CPAP Ped/Lg Adult	\$50.29	Each
CPAP Universal Harness	\$5.03	Each
CPAP, Mask Oxygen System With Peep	\$86.29	Each
CPAP/Bipap Newport	\$11.90	Each
CPR Ventilation Timing Light	\$8.09	Each
Cric Kit	\$38.99	Each
Defibrillator Gel	\$1.99	Each
Defibrillator Electrodes Cardiac Science	\$44.99	Each
Defibrillator Electrodes/ECG	\$48.99	Each
Defibrillator Pad Adult	\$45.00	Each
Defibrillator Pad Adult Philip	\$65.00	Each
Defibrillator Pads	\$10.75	Each
Defibrillator/Pacer Pad Peds	\$45.00	Each
Dextrose 250ML 10% Bag	\$9.29	Each
Dextrose 25GM/50ML	\$17.29	Each
Dextrose 500ML 10% Bag	\$9.09	Each
Diazepam (Valium), 5 MG/ML 2ML Carpuject	\$39.09	Each
Diltiazem (Cardizem)	\$30.34	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Diphenhydramine (Benadryl) Vial	\$2.14	Each
Disaster Bag - Heavy Duty Disp.	\$33.29	Each
Disaster Bag, Vinyl, Disposable	\$11.99	Each
Disp Q-CPR Compression Sensor Pads Philips	\$50.00	Each
Disp. Spo2 Sensor Adult/Peds	\$19.49	Each
Disp. Spo2 Sensor Infant/Neo	\$29.70	Each
Disposable Backboard Straps	\$12.39	Each
Disposable BP Cuff (Infant-Lg Adult) LP 12	\$3.59	Each
Disposable Penlight	\$1.53	Each
Disposable Pillow	\$6.29	Each
Disposable Pillow Cases	\$2.26	Each
Disposable S Strap	\$50.49	Each
Disposable Suction Canister 1200CC	\$4.77	Each
Disposable Suction Canister 800CC	\$5.89	Each
Disposal Gowns	\$2.76	Each
Disposal Gowns	\$2.49	Each
DMS Medical Triage Tag All Risk	\$1.78	Each
Dopamine HCL 400MG/10ML	\$7.59	Each
Dopamine HCL Premixed Bag	\$22.79	Each
Dragon Svn Peds Mask	\$1.33	Each
Duct Tape	\$8.79	Each
Ear Plugs	\$0.38	Each
Easy Cap CO2 Detector	\$33.49	Each
Econo-Vac Extremity, Arm Splint	\$37.99	Each
Econo-Vac Extremity, Forearm Lg Splint	\$16.99	Each
Econo-Vac Extremity, Forearm Med Splint	\$14.99	Each
Econo-Vac Extremity, Leg Splint	\$56.99	Each
Econo-Vac Wrist/Ankle Splint	\$34.49	Each
Edge System Quick Combo Electrodes	\$37.00	Each
Edge System Quick Combo Redi-Pak Electrode	\$42.00	Each
EID Bulb Style Disposable	\$7.20	Each
EKG Electrodes Philip Adults	\$7.44	Each
EKG Paper - LP-15 (1/3 Roll)	\$5.59	Each
EKG Paper - LP-15 (1/3 Roll)	\$4.69	Each
Ekg Pro Pak Paper 1/3 Rolls	\$3.29	Each
Elastic Bandage 3X5 Yards	\$1.89	Each
Elastic Bandage 4X5 Yards	\$2.05	Each
Elastic Bandage 6X5 Yards	\$2.99	Each
Electrodes Adult/Peds	\$6.79	Each
Electrodes, Quick Combo Pediatric (2 In Set)	\$21.00	Each
Emergency Highway Blanket	\$2.69	Each
Emergency Mylar Blanket	\$0.74	Each
Emesis Bags	\$2.16	Each
Emesis Basin	\$1.79	Each
Endotracheal Introducer Peds 10FR	\$9.49	Each
Endotracheal Tube (2.5 - 4.5)	\$4.26	Each
Endotracheal Tube (5.0 - 9.5)	\$4.29	Each
Endotracheal Tube Adult Introducer	\$9.49	Each
Endotracheal Tube Endotrol 6MM 7MM 8MM	\$14.49	Each
Endotracheal Tube Holder Adult/Peds	\$5.29	Each
Endotracheal Tube Peds Introducer	\$7.88	Each
Epinephrine (1:10,000) 1MG/10ML	\$10.59	Each
Epinephrine (1:1000) 1MG/1ML	\$29.49	Each
Epinephrine (1:1000) 1MG/1ML (Ampl)	\$3.59	Each
Epinephrine (1:1000) 30 ML	\$317.99	Each
Epinephrine (1:1000) 30 ML	\$18.49	Each
Etomidate 40MG/20CC	\$29.29	Each
Extension Set Microbore 6"	\$2.31	Each
EZ I/O Needle Large Adult	\$115.00	Each
EZ I/O Needle Ped - Adult	\$110.00	Each
EZ IO Stabilizer	\$15.00	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
F.A.S.T. System	\$169.99	Each
Facial Tissue	\$0.51	Each
Famotidine 20MG/50CC	\$6.50	Each
Fan Jet Svn Nebulizer	\$2.37	Each
Fast Patch Electrodes	\$22.99	Each
Fentanyl 0.5 MG/1ML Ampule 2ML Vial	\$2.87	Each
Fentanyl 100mcg/2 ML vial	\$2.63	Each
Field Blook Glucose Monitor Kit	\$1.49	Each
Filter Needle 18 GA	\$0.44	Each
Filterline, CO2 Set Adult/Ped For Philips	\$12.25	Each
Fluid Shield Mask	\$1.85	Each
Forceps Adult-Peds	\$8.29	Each
Furosemide (Vial)	\$8.90	Each
Furosemide 40MG/4ML (PF)	\$13.79	Each
Gauze Sponge 2x2 Sterile	\$0.59	Each
Gauze Sponge 4"x4" NS	\$0.02	Each
Gauze Sponge 4"x4" Sterile	\$0.23	Each
Gloves Nitrile Powder Free 1pr all sizes	\$0.34	Each
Glucagon 1MG/1ML	\$279.99	Each
Glucose Test Strips	\$2.79	Each
Grandview Laryng. Blade Disp.	\$12.49	Each
Halo Chest Seal	\$18.29	Each
Hand Held Svn Nebulizer	\$2.88	Each
Head Block Immobilizer	\$5.89	Each
Headblock Cardboard	\$8.99	Each
HMS W/Filter	\$1.49	Each
Hot Pack	\$1.57	Each
Humidifier	\$5.00	Each
Hydrogen Peroxide	\$7.99	Each
Impact Liners	\$0.59	Each
Impact Vac Pak Cartridge	\$9.56	Each
Infant Heating Pad, Post Warmer	\$50.79	Each
Infant Oxisensor Pulse Oximetry Probe	\$32.79	Each
Infant/Child Reduced Energy Electrodes	\$110.00	Each
Infusion Admin Set, Nitro Set	\$23.79	Each
Insta Glucose Tube	\$6.29	Each
Intraosseous Device	\$124.99	Each
Intraosseous Needle	\$24.29	Each
Intraosseous Needle 15GA Jamshedi	\$24.49	Each
Ipratropium Bromide 0.02% 2.5ML Unit Dose	\$0.93	Each
Irrigation Saline/Sterile Water 1000CC	\$6.19	Each
Irrigation Sterile Water 500CC	\$10.09	Each
IV Admin Set Blood Pump	\$9.01	Each
IV Admin Set, Blood	\$10.19	Each
IV Bag Pressure Infuser 1000ML	\$19.18	Each
IV Buretrol	\$18.49	Each
IV Butterfly Infusion Set 19GA - 25GA	\$1.29	Each
IV Cath, Introcan 14GA to 24 GA	\$3.90	Each
IV Catheter (14G - 22G or 24G)	\$3.95	Each
IV Catheter 14GA – 24 GA	\$3.21	Each
IV Catheter 19Ga-25Ga (Butterfly)	\$1.29	Each
IV Solution - D5W (250CC/500CC)	\$9.89	Each
IV Solution - D5W (50CC)	\$5.89	Each
IV Solution LR 1000	\$10.59	Each
IV Solution NS 100	\$4.71	Each
IV Solution NS 1000	\$9.29	Each
IV Solution NS 250	\$8.29	Each
IV Solution NS 50/500	\$10.19	Each
IV Start Include 8" Ext Set, Tagederm	\$4.13	Each
IV Start Kit	\$1.82	Each
IV Start Kit W/Tegaderm Tape	\$2.98	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
IV Start Pack w/Ext Set And Prefilled Syringe	\$4.77	Each
IV Tubing Multi-Select	\$11.99	Each
IV Tubing Set (10GTT)	\$2.55	Each
IV Tubing Set (60GTT)	\$2.69	Each
IVAC Minimed 2 Y Pump Tubing	\$9.90	Each
IVAC Minimed Half Set Tubing	\$8.26	Each
Ketamine 100MG/ML 5 ML vial	\$21.19	Each
King Airway LTS	\$46.79	Each
King Visio Dispo Blade Sz 3 Stndrd Or Chnnld	\$30.49	Each
Ladder Splint	\$7.79	Each
Lancet	\$0.35	Each
Lancet Safety Purple	\$0.31	Each
Laryng Mac Lt Disposable Blades 2-4	\$7.09	Each
Laryng Miller Lt Disposable Blades 0-3	\$7.19	Each
Laryngoscope Blades Disposable All Sizes	\$6.59	Each
Lens Delivery Set For Morgan Flo	\$9.99	Each
Lidocaine 2% 100MG/5ML	\$5.69	Each
Lidocaine IV 2GM/500ML	\$14.09	Each
Lifepack Capno Mask (ETC02) w/Adpt Adult/Peds	\$18.50	Each
Lifepack Ecg Electrode Ea.	\$0.90	Each
Lifepack ECG Stat Pad Peds	\$50.67	Each
Lifepack Multi Function Ped/Adl	\$25.55	Each
Lifepack Oral/Nasal CO2 Cannula Adult/Peds	\$14.00	Each
Lifepack Transucer Deltan IV Disposable	\$37.50	Each
Lifepack, CRT Stat Padz	\$70.00	Each
Limb Restraints Soft	\$6.79	Each
LMA Fastrach 6-8 Endotracheal Tube	\$68.33	Each
LMA Supreme	\$48.99	Each
LMA-Unique Size 3-5	\$120.56	Each
Lorazepam 2MG/1ML Vial	\$10.39	Each
LTV 1200 6500 Series Mask All Sz	\$36.00	Each
LTV 1200 Vent Circuit Peds/Adult	\$23.58	Each
LTV 1200, Ped/Adlt w/o Peep	\$18.90	Each
Lubricating Jelly	\$0.15	Each
Luer Adapter	\$0.69	Each
MAD w/ Syringe 3ML	\$9.89	Each
MAD w/o Syringe	\$8.79	Each
Magnesium Sulfate 1GM/2ML	\$4.63	Each
Male Adapter Plug Needle Free, Luer	\$0.90	Each
Mask, N95 Flat Fold Three Panel	\$2.08	Each
Meconium Aspirator, ET Tube Connection	\$7.99	Each
Methylprednisolone 125MG/2ML	\$17.29	Each
Microflex Safegrip Gloves =1Pr	\$0.46	Each
Microflex Synttron Gloves =1Pr	\$0.41	Each
Microshield Disposable Mask	\$8.79	Each
Midazolam (Versed) 5MG/1ML	\$7.49	Each
Morgan Medi Flo Lens	\$38.29	Each
Morphine Sulfate 10MG/1ML Carpuject	\$5.59	Each
MS22883 Svn Nebulizer	\$1.15	Each
M-Series 80Mm Lifepack Paper 1/3Rolls	\$1.71	Each
M-Series Airway Adapter Lifepack & Neonate/Peds Lifepack	\$11.85	Each
M-Series Airway Adapter w/Mouth Piece Adult/P	\$10.50	Each
M-Series LnCS Lifepack Disp Adult/Ped Sensor	\$30.00	Each
Mucosal Atomization Device Adult	\$6.89	Each
Mucosal Atomization Device Peds	\$8.76	Each
Multi Function Pads Philips Adult	\$29.00	Each
Multi Function Pads Philips Peds	\$31.00	Each
N95 Respirator Mask all sizes	\$1.83	Each
Nail Polish Remover	\$0.09	Each
Najo Head Wedge Immobilizer	\$7.29	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Naloxone (Narcan) 2MG 2ML Luer Jet Syringe	\$53.99	Each
Nasal Cannula Adult	\$0.51	Each
Nasal Cannula Peds	\$1.46	Each
Nasogastric Sump Tube 10Fr-18-Fr	\$4.89	Each
Nasogastric Sump Tube 14FR	\$5.09	Each
Nasogastric Sump Tube 8FR	\$14.89	Each
Nasopharyngeal Airway (12-18FR)	\$19.29	Each
Nasopharyngeal Airway (20-36FR)	\$4.69	Each
Nasopharyngeal Airway all sizes	\$3.55	Each
Nebulizer - Svn	\$9.29	Each
Nebulizer T Up-Draft,	\$2.64	Each
Needle 18GA - 26GA	\$0.55	Each
Needle 3 Way Stopcock	\$1.93	Each
Needle, 19Ga -22Ga Sureguard	\$0.33	Each
Needle, 25GA Monoject Hypodermic w/Poly Hub	\$3.79	Each
Needle, 25Ga Safety Glide	\$0.50	Each
Needless Extension Set	\$5.79	Each
Needless IV Injection Site Heparin Lock 3/4 L	\$3.95	Each
Neopro Gloves Sm-XXLG	\$0.32	Each
New Born Head Cap	\$1.46	Each
Nitroglycerin (Nitrostat) 0.4mg SL tab	\$1.97	Each
Nitroglycerin Subling. Spray 0.4MG/Metered Dose	\$2.72	Each
Nonin Airway Adp Tube	\$8.67	Each
Nonin, Adult Pulse Oximetry Finger Probe	\$17.91	Each
Nonin, Infant Toe Flex Form	\$20.79	Each
Nonin, Ped Pulse Oximetry Finger Probe	\$17.91	Each
Non-Rebreather Mask Adult	\$3.30	Each
Non-Rebreather Mask Infant	\$3.70	Each
Non-Rebreather Mask Peds	\$1.56	Each
Nose Clamp	\$0.57	Each
OB Kit	\$29.29	Each
Oropharyngeal Airway all sizes	\$0.35	Each
Oval Eye Pads	\$0.24	Each
Oxygen Supply Tubing	\$1.06	Each
Oxygen Use	\$35.00	Each
Oxytocin 10Units/1ML (Vial)	\$5.89	Each
Pacer Pads LP 10	\$4.33	Each
Padded Board Splint 15"	\$4.62	Each
Padded Board Splint 36"	\$9.99	Each
Padded Board Splint 54"	\$12.99	Each
Patient Circuit w/Peep Adult	\$23.58	Each
Patient Id Wrist Band For Mother/Newborn	\$1.35	Each
Patient Restr. 5',2-Pc Disposable	\$11.69	Each
Peds Endotracheal Tube 3.0MM-5.0MM Microcuff	\$5.03	Each
Peds Nasal Filterline, For Non-Intubate	\$11.20	Each
Peds Nellcor Finger Prode Oxisensor	\$20.29	Each
Peds, Blue Sensor Electrodes 30MM (10/Pack)	\$6.29	Each
Peep Valve	\$9.29	Each
Peep Valve	\$8.79	Each
Pelvic Binder Yellow	\$22.70	Each
Personal Protection Kit	\$8.69	Each
Petrolatum Gauze	\$1.44	Each
Pharyngeal Suction Tip	\$2.70	Each
Phenylephrine 0.5% 15ML	\$8.87	Each
Philips Smart Capoline Adult	\$13.63	Each
Philips Smart Capoline Peds	\$15.89	Each
Pneusplint Disp Air Spling	\$61.81	Each
Pocket Mask	\$8.79	Each
Prep Razor	\$0.85	Each
Protective Shoe Covers 1Pr	\$1.08	Each
Protective Sleeves 1Pr	\$1.08	Each

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Pulse Oximetry Probe Adult/Peds	\$21.29	Each
Pump Tubing 1/2 Est MTP #1100	\$8.76	Each
Pump Turing Low Sorb Needleless IVAC	\$22.60	Each
Quick Clot Combat Gauze 3X4 Yards	\$56.29	Each
QuikClot EMS Dressing, 4"x4"	\$34.99	Each
QuikClot EMS Rolled Gauze, 3"x48"	\$23.49	Each
Racemic Epinephrine 2.25% Solution	\$55.86	Each
Resp-Reg/Small Hepa N-95	\$1.63	Each
Res-Q Vac Disp. Suction Canister Set	\$23.79	Each
Revel Circuits w/90 Degree Ped-Adult	\$15.00	Each
Ring Cutter	\$12.49	Each
Safety Glasses	\$3.30	Each
Saf-T-Pro Lancet	\$0.40	Each
Salem Sump 8, 10, 12, 14, 16, 18 FR NG Tube	\$4.13	Each
Saline for Inhalation 3CC	\$0.59	Each
Sam Pelvic Sling	\$102.00	Each
Scalpel	\$3.65	Each
Sharps Container 1Qt	\$6.99	Each
Sharps Container 2GL Rotor Lid	\$7.39	Each
Sharps Container 4.7	\$9.59	Each
Sharps Container 5 QT	\$9.49	Each
Sharps Shuttle	\$3.09	Each
Silver Swaddler	\$5.59	Each
Simple Mask Med Con.	\$2.99	Each
Single Use Blades For Clippers	\$8.99	Each
Single Use Blades For Clippers	\$7.29	Each
Single Use Ventilator Circuit Disposable	\$8.79	Each
Smart Bag Peep Adapter	\$9.59	Each
Sodium Bicarbonate 50MEQ/50ML	\$17.29	Each
Sodium Chloride, 10ML Ansyr Syringe	\$0.46	Each
Spill Kit	\$8.79	Each
Spit Sock Hood	\$5.49	Each
Splint Bendable Aluminum	\$8.89	Each
SSCORT Cannister w/Suction Tubing	\$23.49	Each
Stat 20 IV 20 Drop Set	\$6.29	Each
Sterile Burn Face Dressing	\$48.80	Each
Stomach Nasogastric 5FR	\$4.25	Each
Stretcher Sheet Set	\$4.43	Each
Stylette 2.0 - 10.0MM	\$7.79	Each
Succinylcholine 200MG/10CC	\$40.79	Each
Suction Bag (Rico)	\$0.41	Each
Suction Catheter (5 Fr)	\$0.82	Each
Suction Catheter (6 - 18 Fr)	\$0.36	Each
Suction Catheter w/ Trap	\$7.99	Each
Surface Disinfectant Wipes	\$0.26	Each
SVN In-Line BVM	\$4.79	Each
Syringe 10CC	\$0.20	Each
Syringe 1-5CC	\$0.15	Each
Syringe 20 CC	\$0.43	Each
Syringe 30CC	\$0.69	Each
Syringe 3CC – 10CC w/ Safety Lock	\$0.80	Each
Syringe 50 CC	\$0.87	Each
Syringe 60 CC	\$1.73	Each
Syringe Dual Cannula 3CC – 10CC	\$1.10	Each
Syringe Only, 60CC Terumo	\$0.70	Each
Syringe Saline 12CC 10ML Sterile 6X30	\$1.27	Each
Syringe w/ needle 1CC-3CC	\$0.89	Each
Sz #5-11 Hudson Colored Opa	\$2.14	Each
Sz 0 Oral Airway 40mm - 110mm	\$0.77	Each
Sz 12 Berman Oral Airway 120MM 12/Pk	\$2.76	Each
Sz 6 Oral Airway 60mm	\$1.32	Each

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<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Sz 7 Oral Airway 70mm	\$1.33	Each
Tape 1" Plastic	\$0.87	Each
Tape 1" Porus	\$1.81	Each
Tape 1" Silk	\$2.89	Each
Tape 1/2" Silk	\$0.72	Each
Tape 2" Silk	\$2.89	Each
Tape 2" Porus	\$3.63	Each
Tape 3" Silk	\$4.34	Each
TB Syringe/Needle	\$0.63	Each
Thermal Paper - Philips 1/3RL	\$5.49	Each
Thermometer Probe Cover	\$0.11	Each
Thiamine Hcl 100MG/1CC	\$16.29	Each
Trach Collar Mask	\$8.09	Each
Trauma Dressing 30x11	\$1.90	Each
Trauma Dressing 5x9	\$0.28	Each
Trauma Sheer	\$1.99	Each
Triage Tags -AZ Only	\$1.14	Each
Triangular Bandage	\$0.71	Each
Tympanic Style Thermometer Cover	\$1.64	Each
Umbilical Clamp	\$2.42	Each
Umbilical Scissors	\$8.39	Each
Updraft Neb-U Mask, Adult Or Ped	\$2.22	Each
Urgent Qr Powder	\$2.32	Each
Urinal	\$0.96	Each
Utility/Wash Basin	\$1.59	Each
Vanishpoint Syringe 1CC - 5CC	\$1.13	Each
Vasopressin 40 Units	\$8.19	Each
Veni-Gard	\$0.63	Each
Ventilator Disposable Care Circuit	\$16.79	Each
Ventilator Disposable Circuit w/o Peep Valve	\$21.79	Each
Ventilator Disposable Circuit, Para Pak	\$34.79	Each
Venturi-Style Mask Adult	\$4.89	Each
Verapamil 5MG/2ML	\$60.99	Each
Vial Access Cannula	\$0.54	Each
Vial Adapter	\$6.69	Each
Video Laryngoscope Blade	\$39.29	Each
V-Vac Suction Cartridge	\$24.00	Each
V-Vac Suction Unit Kit	\$128.00	Each
Water Jel 8"x18"	\$16.49	Each
Water Jel Face Mask	\$21.79	Each
Zofran 4MB Oral Dissolving Tab	\$1.61	Each
Zofran 4MG/2CC	\$1.96	Each

HUMAN SERVICE & COMMUNITY VITALITY

Senior Center Rentals

Category** I	No charges apply	
Classroom		
Category** II (A) (B)	\$30.00	Per Hour
Category** III	\$35.00	Per Hour
Study Room		
Category**II (A) (B)	\$25.00	Per Hour
Category** III	\$30.00	Per Hour
Senior Center Dining Hall		
Category** II (A) (B)	\$60.00	Per Hour
Category** III	\$100.00	Per Hour



Citywide Fee Schedule

Fees are separated by service area to facilitate the identification of a particular fee within the document, however fees as adopted on this schedule may be assessed citywide.

<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Senior Center Multi-Purpose Room		
Category** II (A) (B)	\$50.00	Per Hour
Category** III	\$75.00	Per Hour
Senior Center 1/2 Multi-Purpose Room		
Category** II (A) (B)	\$35.00	Per Hour
Category** III	\$50.00	Per Hour
Senior Center Classroom D		
Category** II (A) (B)	\$30.00	Per Hour
Category** III	\$50.00	Per Hour
Kitchen		
Category** II (A) (B)	\$30.00	Per Hour
Category** III	\$40.00	Per Hour
Senior Center Staff	\$20.00	Per Hour
Senior Programs		
Computer Classes		
Resident	\$50.00	Per Person/Per Session
Non-Resident	\$60.00	Per Person/Per Session
Fitness Center		
Resident	\$30.00	Per Person/Per Month
Non-Resident	\$35.00	Per Person/Per Month
Holiday Party		
Resident	\$12.00	Per Person/Per Party
Non-Resident	\$20.00	Per Person/Per Party
One Stroke Painting		
Resident	\$60.00	Per Person/Per Session
Non-Resident	\$72.00	Per Person/Per Session
Swap Meet Space Rental		
Resident	\$35.00	Per Space/Per Day
Non-Resident	\$40.00	Per Space/Per Day
Spanish		
Resident	\$25.00	Per Person/Per Session
Non-Resident	\$30.00	Per Person/Per Session
Senior Center Annual Membership		
Resident	\$12.00	Per Person/Per Year
Non-Resident	\$15.00	Per Person/Per Year
Crafts	\$1.00 - \$5.00	Per Person/Per Session
Line Dancing	\$12.00	Per Person/Per Session
Senior Idol Tickets	\$6.00	Per Ticket
POLICE		
Off-Duty Officer Service		
Police Officer (Traffic control/Security)	\$40.00	Per Hour
Supervisor (Required for 3 officers or more)	\$45.00	Per Hour
Administration Fee	\$4.00	Per Employee/Per Hour



Citywide Fee Schedule

Fees are separated by service area to facilitate the identification of a particular fee within the document, however fees as adopted on this schedule may be assessed citywide.

<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
Patrol Vehicle Usage	\$3.00	Per Hour/Per Vehicle
Late-Request Fee (Less than 48 hr. Notice)	\$5.00	Per Employee

Reports

Less Than 10 Pages	\$5.00	Per Request
10 - 19 Pages	\$10.00	Per Request
20 - 29 Pages	\$15.00	Per Request
30 - 49 Pages	\$25.00	Per Request
50 - 100 Pages	\$35.00	Per Request
Per Page Over 100 Pages	\$0.15	Per Request

Photos

12 Or Less	\$20.00	Per Request
Each Additional Print	\$1.00	Per Print

Fingerprint Cards

2 Or Less	\$15.00	Per Request
Per Card Over 2	\$5.00	Per Card

Miscellaneous

Letter Of Clearance	\$10.00	Per Letter
Recording 911/Phone/Video- VHS/Cassette/Macro-Cassette/CD	\$20.00	Per Recording
Tow Fee 28-3511*	\$150.00	Per Tow
Transaction- Pawnshop/Secondhand Dealer	\$3.00	Per Transaction

PUBLIC WORKS

Dial A Ride		
In-City	\$2.00	Per Ride
Outside City	\$2.50	Per Ride
ADA Regional Service	\$4.00	Per Ride

Sanitation Hauler's License

Application	\$500.00	Per Application
License	\$1,000.00	Per Vehicle

Water Meter Installation

3/4"	\$275.00	Per Permit
1"	\$310.00	Per Permit
1.5"	\$565.00	Per Permit
2"	\$750.00	Per Permit
3" Hydrant	\$95.00	Per Permit
3"	\$2,005.00	Per Permit
4"	\$2,480.00	Per Permit
6"	\$3,910.00	Per Permit
8"	\$5,635.00	Per Permit
2" Electromagnetic Meter or Compound	\$2,255.00	Per Permit
3" Electromagnetic Meter or Compound	\$3,020.00	Per Permit
4" Electromagnetic Meter or Compound	\$3,700.00	Per Permit
6" Electromagnetic Meter or Compound	\$5,460.00	Per Permit

Fees are separated by service area to facilitate the identification of a particular fee within the document, however fees as adopted on this schedule may be assessed citywide.

<u>Fee</u>	<u>Amount</u>	<u>Unit of Measure</u>
8" Electromagnetic Meter or Compound	\$7,585.00	Per Permit
5/8" Displacement	\$255.00	Per Permit
1.5" Turbine	\$1,125.00	Per Permit
2" Turbine	\$1,385.00	Per Permit

Stormwater Utility Services

Monthly Rate

FY2017	\$2.00	Per Equivalent Dwelling Unit (EDU)
FY2018	\$2.00	Per Equivalent Dwelling Unit (EDU)
FY2019	\$2.00	Per Equivalent Dwelling Unit (EDU)
FY2020	\$2.00	Per Equivalent Dwelling Unit (EDU)
FY2021	\$2.75	Per Equivalent Dwelling Unit (EDU)

<u>Classifications</u>	<u>Number of EDU's</u>	<u>Unit of Measure</u>
Residential		
Single Family Residence	1	Per Residence
Non-Residential		
RV Park	1	Per Pad
Commercial/Industrial	1	Per 3,420 Square Feet of Impervious Area
Schools/Churches	1	Per 3,420 Square Feet of Impervious Area
Agriculture- Impervious Area	1	Per 3,420 Square Feet of Impervious Area
Agriculture- Farmed Area	1	Per 3,420 Square Feet of Farmed Area

(Fee applied only to 10% of total farmed area)

Undeveloped Land is exempt from Stormwater Utility Fee.

Improved Land Stormwater Utility Fee is based on land use classification rates above.

Non-residential classifications may qualify for the commercial credit program detailed below.

Non-residential EDU calculations are rounded to the nearest one-hundredth and subject to a minimum of 1 EDU per parcel.

Commercial Credit Programs

Infrastructure Program (Up to 25% Credit)

1. > 10% Above Standard Requirements	5% Credit
2. > 25% Above Standard Requirements	10% Credit
3. > 35% Above Standard Requirements	15% Credit
4. > 50% Above Standard Requirements	20% Credit
5. Creative means to achieve Above Standard Requirements	5% Credit

Regulatory Credit Program (Up to 13% Credit)

School Education Credit (participate in County Program)	8% Credit
Public Participation	5% Credit
Partnership Donations	5% Credit
Industrial AZPDES Credit	5% Credit
Bonus: Participate in any 2	3% Credit

*This fee is established by a federal, state, or county agency and is subject to change.

**

Category I: City of Surprise | Official City Sponsored Event or Program | Texas Rangers, Kansas City Royals or Volunteer Org. per Lease Agreement.

Rental Fee- No, Direct Expenses- No

Category II (A): Bona Fide Non-Profit Group, Non-Profit Corporation, or Non-Profit Organization.

Rental Fee- Yes, Direct Expenses- Yes

Category II (B): Surprise Youth Non-Profit Sports Organizations with 90% Residency Requirements | Dysart Unified School Dist. IGA.

Rental Fee- No, Direct Expenses- Yes

Category III: Individual Companies or Organizations Staging Commercial Entertainments, Shows, Concerts, Consumer Events or Trade Shows.

Rental Fee- Yes, Direct Expenses - Yes



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020 Contact Person: Joshua Mike
Submitting Department: Community Development District: District 1
Staff Recommendations: None

Consent: No Regular: Yes Public Hearing: No Report/Discussion: No

Agenda Wording:

Consideration and action pertaining to approval of an annexation of a portion of Pinnacle Peak Rd, east of N 163rd Ave; Ordinance # 2020-10.

Motion:

I move to approve Ordinance #2020-10

Background:

The intersection of Pinnacle Peak Rd and N 163rd Ave serves the approved Escalante project and future Fulton Homes properties to east. This proposed public roadway annexation intends to dedicate Maricopa County right-of-way to the City of Surprise, allowing the full width of turning lanes and vehicle movement.

Objective Analysis:

The proposed annexation will provide a safe transportation option and improve connectivity.

Policy Compliant:

The proposal is policy compliant with two primary strategy Surprise Annexation Policy: Create logical city boundaries and contiguous service areas as well as plan for the timeline extension of infrastructure.

Financial Impact:

While this item does not have an immediate or direct financial impact, ongoing development activity in the City will inevitably have a future financial impact as additional resources are needed to provide city services.

Budget Impact:

Ongoing maintenance will need to be included in future budgets adopted by the City.

FTE Impact:

The right-of-way annexation does not have any impact on additional future FTEs.

ATTACHMENTS:

1. 00 FS20-106 Pinnacle Peak Rd ROW Annexation Staff Report

2. 01 FS20-106 Pinnacle Peak RD Annexation Map
 3. 02 FS20-106 Pinnacle Peak RD Annexation Ord 2020-10
 4. 03 FS20-106 Pinnacle Peak Rd ROW Annexation Presentation
 5. RW value for Pinnacle Peak annex
-

RIGHT-OF-WAY ANNEXATION

REPORT TO THE CITY COUNCIL

Case: FS20-106

Project Name: Pinnacle Peak Rd ROW Roadway Annexation Ordinance# 2020-10

Council District: 1 – Acacia

Meeting Date: May 19, 2020

Planner: Joshua Mike

Owner: Maricopa County

Applicant: City of Surprise

Request: The City of Surprise Community Development Department requests consideration and action of the annexation of a County Public Roadway into the City of Surprise pursuant to A.R.S § 9-471 (N).

Site Location: Pinnacle Peak Rd, extending approximately 520 feet east of N 163rd Ave.

Site Size: 21,468 square feet (approx. 0.49 acres)

Density: N/A

General Plan Conformance: The proposal is consistent with the Surprise General Plan 2035

Support/Opposition: None known

Staff Recommendation: Staff recommends the City Council **approve** FS20-106 Pinnacle Peak Rd Public Roadway Annexation Ordinance# 2020-10

33 **PROJECT DESCRIPTION:**

34
35 Pursuant to A.R.S. § 9-471(N), which is as follows:

36
37 *As an alternative to the procedures established in this section, a county right-of-way*
38 *or roadway may be transferred to an adjacent city or town by mutual consent of the*
39 *governing bodies of the county and city or town if the property transferred is*
40 *adjacent to the receiving city or town and if the city or town and county each*
41 *approve the proposed transfer as a published agenda item at a regular public*
42 *meeting of their governing bodies. A transfer of property made pursuant to this*
43 *subsection shall be treated by the receiving city or town as if the transferred property*
44 *was newly annexed territory.*
45

46 The City of Surprise is proposing to annex the south side of Pinnacle Peak Rd, extending
47 approximately 520 feet east of N 163rd Ave. Per the statute nontaxable real property may be
48 annexed to an adjacent city or town by mutual consent of the governing bodies of the county and
49 city. The property proposed to be annexed is adjacent to the City of Surprise corporate limits for its
50 entire length.

51
52 **BACKGROUND:**

53
54 The north side of Pinnacle Peak Rd to the east is set aside as future right-of-way (ROW) as part of
55 the Escalante development project (under the Verdugo Master Plat). The reason for this request is
56 to provide full width and vehicular movement at the border of the City at the intersection of N 163rd
57 Ave.

58
59 Pursuant to A.R.S. Section 9-471(H) (1), the proposed annexation territory conforms to contiguity
60 requirements. Pursuant to A.R.S. Section 9-471(A) (6), it has been determined that no part of the
61 territory for which filing shall be made is already subject to an earlier filing

62
63 The ordinance will also be placed on a Maricopa County Board of Supervisors agenda for the County
64 Board approval of the ROW annexation.

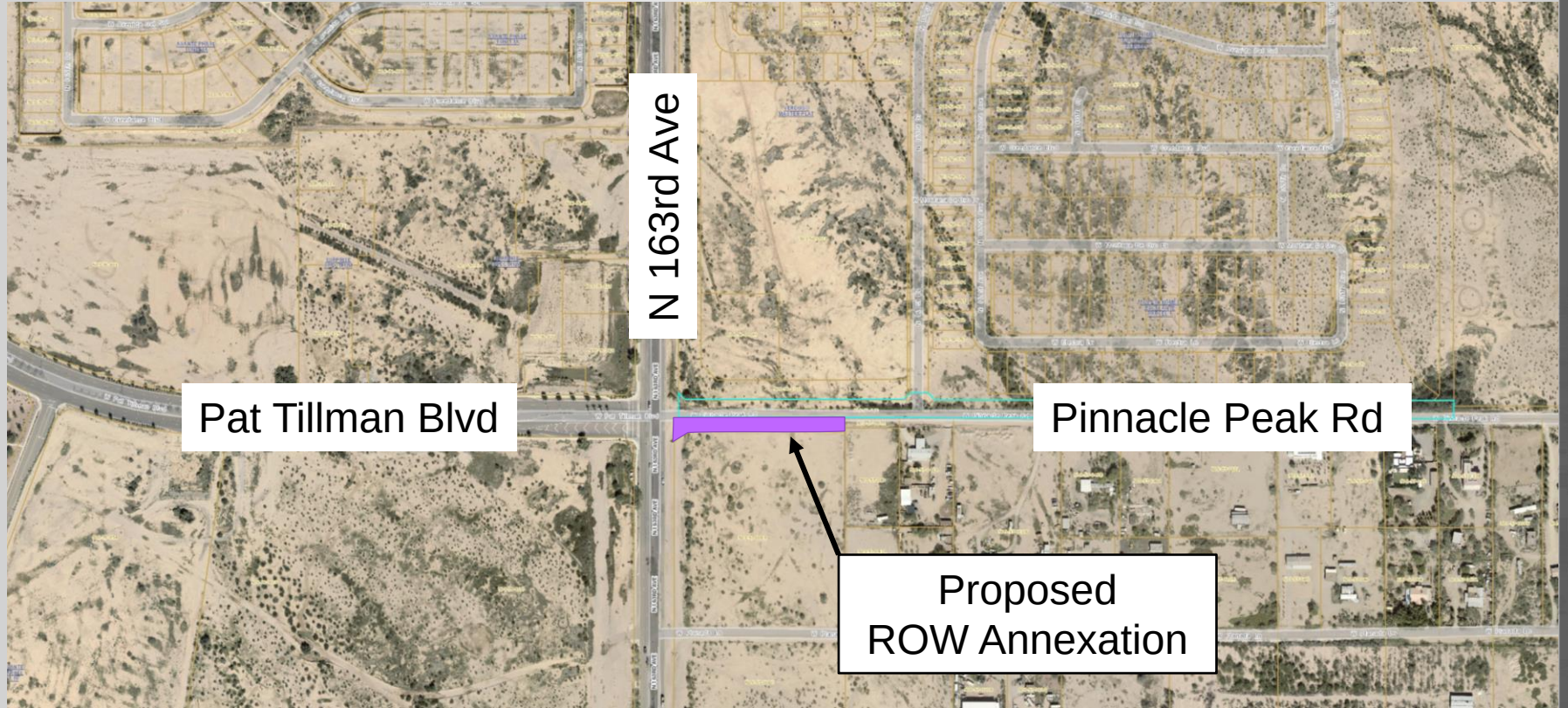
65
66 **RECOMMENDATION:**

67
68 Based on the information above, staff recommends the City Council **approve** FS20-106 Annexation
69 of the Pinnacle Peak public roadway, Ordinance 2020-10.

70
71 **Attachments:**

- 72 01 FS20-106 Pinnacle Peak Rd ROW Annexation Map
73 02 FS20-106 Pinnacle Peak Rd ROW Annexation Ordinance 2020-10
74 03 FS20-106 Pinnacle Peak Rd ROW Annexation Presentation

SITE LOCATION



ORDINANCE 2020-10

AN ORDINANCE OF THE CITY OF SURPRISE, ARIZONA, EXTENDING AND INCREASING THE CORPORATE LIMITS OF THE CITY OF SURPRISE, ARIZONA MARICOPA COUNTY, STATE OF ARIZONA PURSUANT TO THE PROVISIONS OF ARIZONA REVISED STATUTES § 9-471 AND AMENDMENTS THERETO, BY ANNEXING CERTAIN ROADWAY CONTIGUOUS TO THE EXISTING CITY LIMITS OF THE CITY OF SURPRISE.

WHEREAS, A.R.S. § 9-471(N) establishes a simplified procedure for annexing roadway located in unincorporated territory into an adjacent city or town that requires mutual consent of the governing bodies of the respective county and city or town;

WHEREAS, the real property described in ***Exhibit A***, attached hereto and incorporated herein by reference, and as illustrated on the map attached hereto as ***Exhibit B***, which is likewise incorporated herein, is right-of-way (hereafter “right-of-way”) dedicated to the public and located in Maricopa County; and

WHEREAS, the City of Surprise, Arizona is desirous of extending and increasing the corporate limits of the City of Surprise, Arizona to include the right-of-way; and

WHEREAS, the right-of-way is adjacent to the existing corporate limits of the City of Surprise, Arizona for the entire length of the proposed annexation; and

WHEREAS, through this Ordinance, the Mayor and Council is requesting the Maricopa County Board of Supervisors, the governing body of Maricopa County, Arizona, to give its mutual consent to the annexation of this right-of-way located within Maricopa County, Arizona, adjacent to the corporate limits of the City of Surprise; and

WHEREAS, by adoption of this ordinance, it is the intent and desire of the Mayor and Council of the City of Surprise, Arizona, to annex the right-of-way to the City of Surprise, Arizona, and to give their consent thereto;

NOW, THEREFORE, BE IT ORDAINED by the Mayor and Council of the City of Surprise, Arizona, as follows:

SECTION 1. That, subject to the concurrence of the Board of

Supervisors of Maricopa County, Arizona, the territory in the Maricopa County right-of-way as described in **Exhibits A** and **B** attached hereto is hereby annexed to the City of Surprise, Arizona, and that the present corporate limits of the City of Surprise, Arizona are hereby extended and increased to include the Maricopa County right-of-way described in **Exhibits A** and **B** attached hereto, all of which such right-of-way is contiguous for the entire length thereof to the present corporate limits of the City of Surprise, Arizona.

SECTION 2. That a copy of this Ordinance, together with an accurate map of the territory hereby annexed, be forthwith filed and recorded in the office of the County Recorder of Maricopa County, Arizona.

SECTION 3. The annexation herein provided for shall become effective upon the last of the following to occur:

1. The effective date of this Ordinance, in the manner prescribed by law, or
2. The date that the consent of the Maricopa County Board of Supervisors, the governing body of Maricopa County, Arizona, to the annexation herein enacted shall become effective in the manner prescribed by law.

PASSED AND ADOPTED this ____ day of _____, 2020.

Skip Hall, Mayor

Attest:

Approved as to form:

Sherry Aguilar, City Clerk

Robert Wingo, City Attorney

Exhibit A

Right-of-Way Dedication Pinnacle Peak Road

A portion of the North Half of the Northwest Quarter of Section 18, Township 4 North, Range 1 West of the Gila and Salt River Meridian, Maricopa County, Arizona described as follows:

COMMENCING at the Northwest Corner of said Section 18, from which the North Quarter Corner of said Section 18 lies South 89°37'50" East 1893.34 feet;

Thence along the north line of said Northwest Quarter South 89°37'50" East 55.00 feet to the POINT OF BEGINNING;

Thence continuing along said north line South 89°37'50" East 519.70 feet to the northeast corner of that real property as described in Warranty Deed 1996-0040121 records of said County;

Thence along the east line of said property South 00°01'05" East 40.00 feet to a point on the south line of the North 40.00 feet of said Northwest Quarter;

Thence along said south line North 89°37'50" West 474.96 feet;

Thence South 00°21'11" West 5.00 feet;

Thence North 89°37'50" West 15.00 feet;

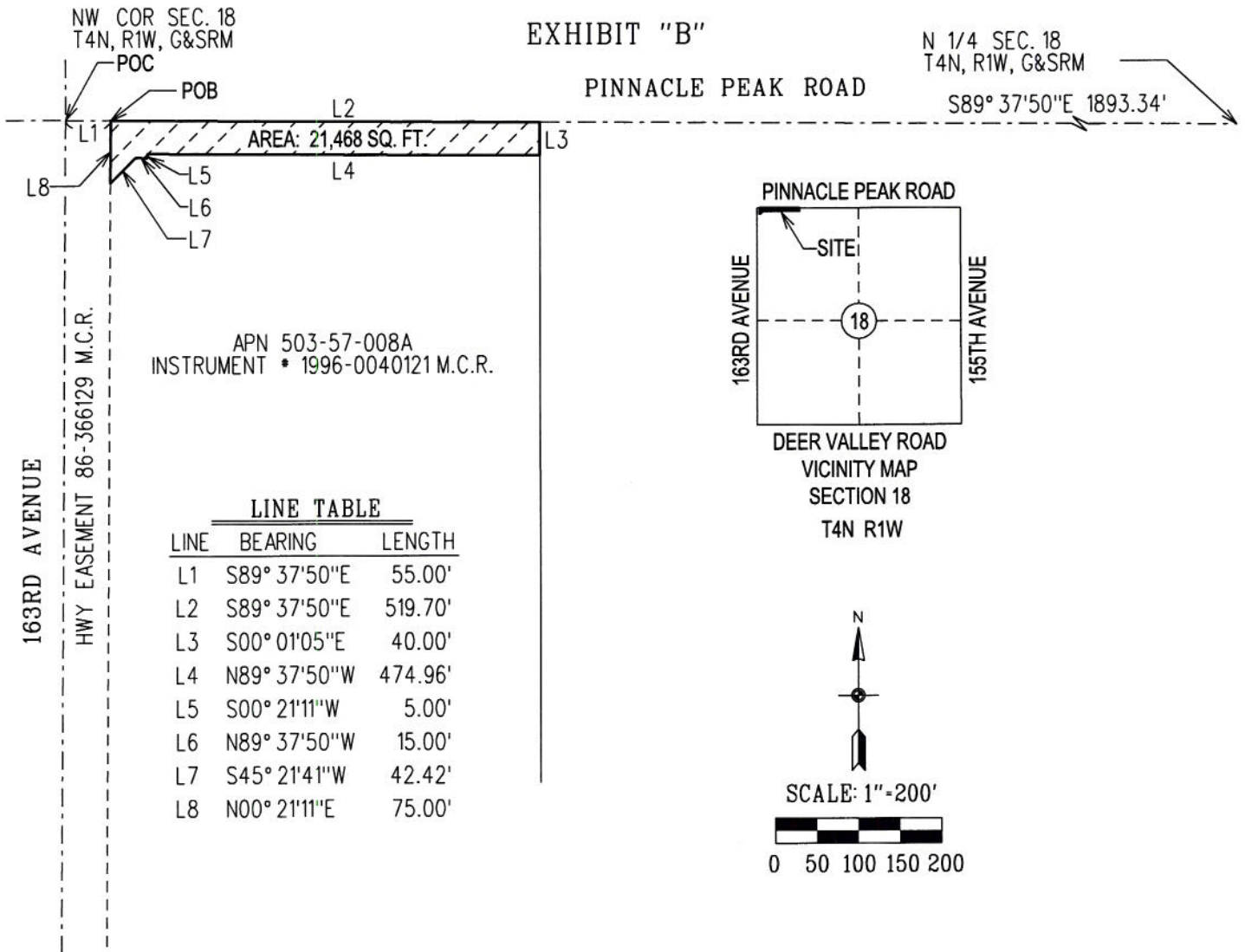
Thence South 45°21'41" West 42.42 feet;

Thence North 00°21'11" East 75.00 feet to the POINT OF BEGINNING.

Containing 21,468 square feet or 0.49 acres, more or less.



EXHIBIT "B"



LINE TABLE

LINE	BEARING	LENGTH
L1	S89° 37'50"E	55.00'
L2	S89° 37'50"E	519.70'
L3	S00° 01'05"E	40.00'
L4	N89° 37'50"W	474.96'
L5	S00° 21'11"W	5.00'
L6	N89° 37'50"W	15.00'
L7	S45° 21'41"W	42.42'
L8	N00° 21'11"E	75.00'

LEGEND

- POC POINT OF COMMENCEMENT
- POB POINT OF BEGINNING
- M.C.R. MARICOPA COUNTY RECORDER
- APN ASSESSORS PARCEL NUMBER
- G&SRM GILA AND SALT RIVER MERIDIAN
- RIGHT OF WAY DEDICATION AREA



PINNACLE PEAK ROAD
RIGHT OF WAY DEDICATION



CITY OF SURPRISE
LAND SURVEY DEPARTMENT

PROJECT # 19032

DRAWN BY RCD

DATE 03-24-2020 SHEET 1 OF 1



Pinnacle Peak Rd Right-of-Way Annexation

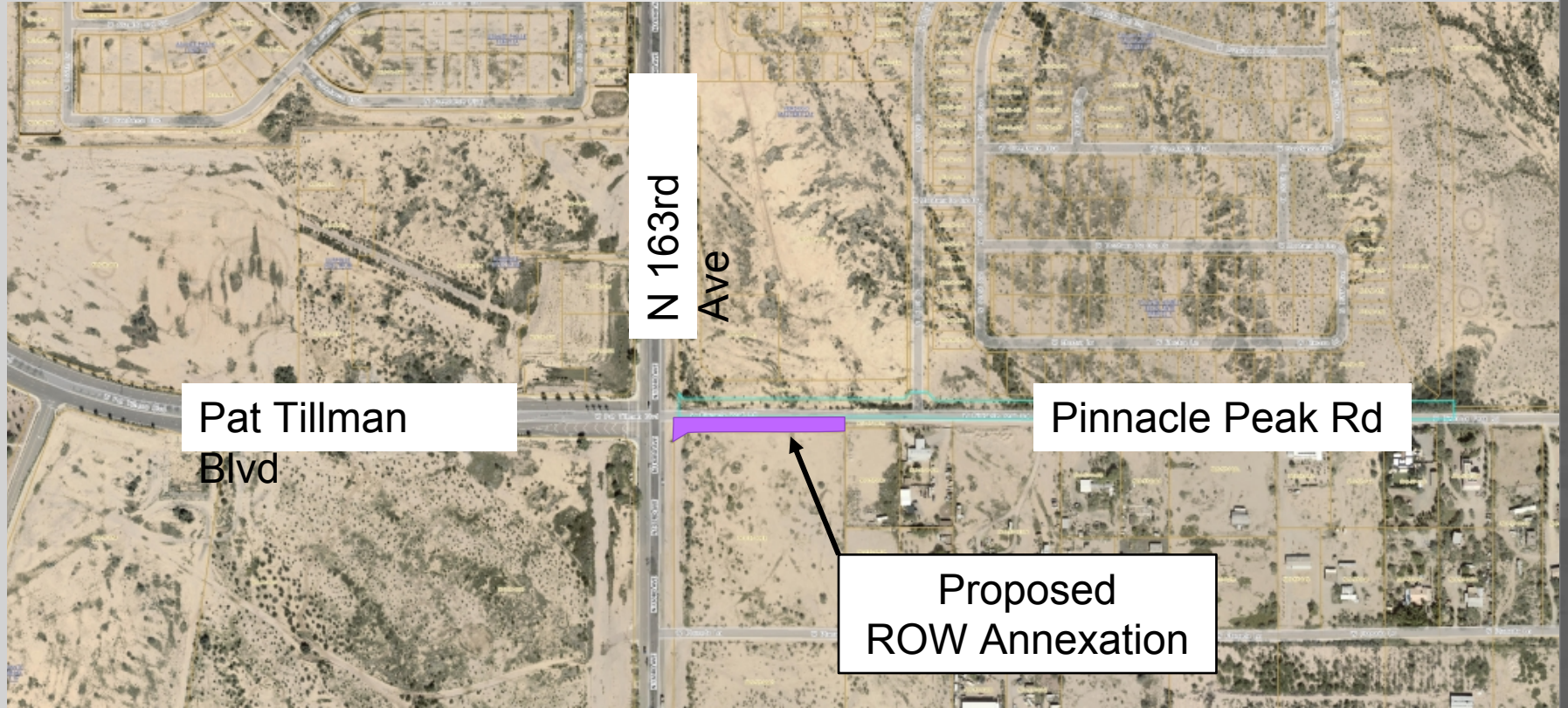
City Council Meeting
May 19, 2020

County Right-of-Way Annexation

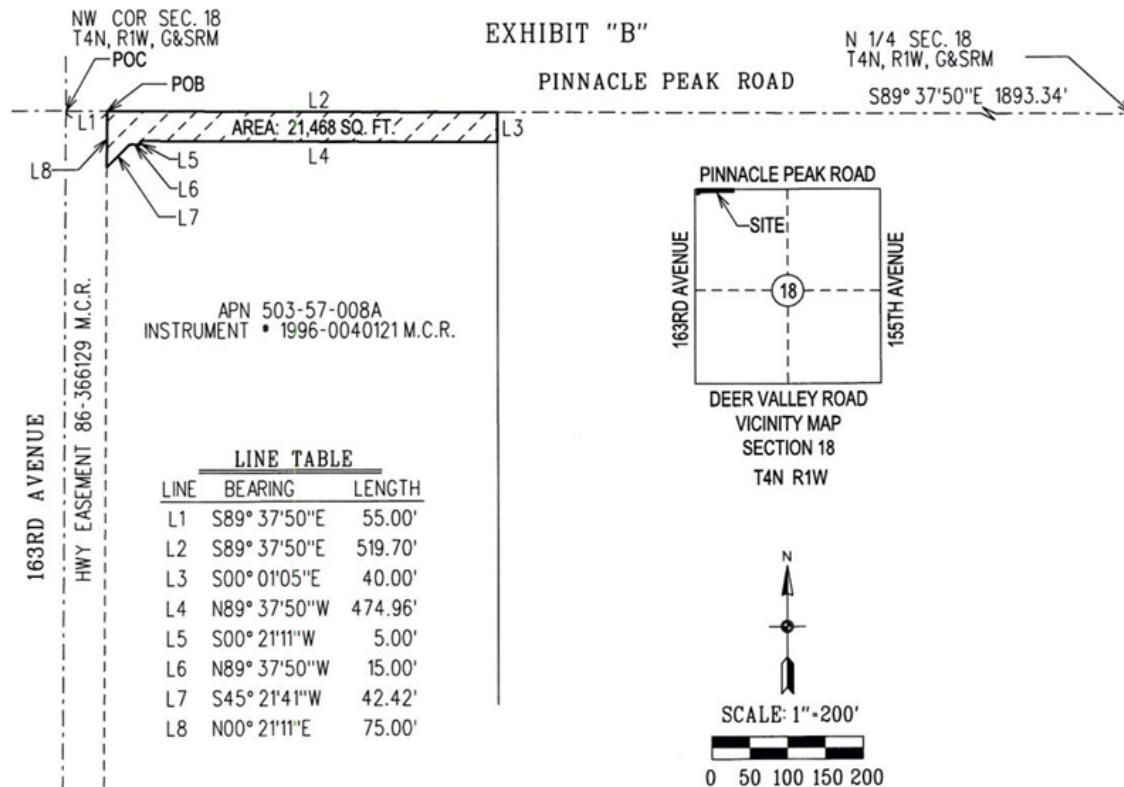
PINNACLE PEAK RD

- Located at the intersection of N 163rd Ave and Pinnacle Peak Rd
- South 40' of Pinnacle Peak Rd
- Annexation allows the full width for turning lanes and vehicle movement

SITE LOCATION



LEGAL DESCRIPTION





QUESTIONS OR COMMENTS?

Thank You



COMMUNITY DEVELOPMENT
CITY OF SURPRISE
16000 N. CIVIC CENTER PLAZA
SURPRISE, AZ 85374
T. 623.222.3000

Date: April 21, 2020

To: Finance

From: Lari Beth Kirkendall, Real Property Manager

Re: Pinnacle Peak Annexation Right of Way Valuation

The Value of the Right of Way associated with the Pinnacle Peak Annexation is \$107,340.00.

The area being acquired as right-of-way is 21,468 square feet. The value of the land is \$5.00/sq foot.



CITY OF SURPRISE Regular City Council Meeting

Council Meeting Date: May 19, 2020 Contact Person: Hobart Wingard, PLANNER II
Submitting Department: Community Development District: District 1
Staff Recommendations: None

Consent: No Regular: Yes Public Hearing: No Report/Discussion: No

Agenda Wording:

Consideration and action pertaining to approval of the Preliminary Plat entitled, “Austin Ranch MDR – Phase 1” and dated March 12, 2020, an approximately 66.89 acre property generally located on the western corner of Deer Valley Road and 172nd Avenue.

Motion:

I move to approve/deny the Preliminary Plat entitled, “Austin Ranch MDR – Phase 1” and dated March 12, 2020.

Background:

The subject request involves a Preliminary Plat for the North Copper Canyon MDR Phase 1. The applicant seeks to subdivide the subject parcel into 352 lots and 6 tracts.

Objective Analysis:

Dan Pottinger of Cardno, Inc. is requesting Preliminary Plat approval for a 352 lot detached single-family residential subdivision on a 66.89-acre parcel on the western corner of Deer Valley Road and 172nd Avenue. The project provides for a density of 5.26 DU/Ac. The current zoning of the parcel is PAD and is located in the Neighborhood Character Land Use Area as established in General Plan 2035.

Policy Compliant:

The Surprise General Plan 2035 shows the subject property as lying within the Neighborhood Character Area, which supports residential development of up to 8 DU/Ac.

Financial Impact:

While this item does not have an immediate or direct financial impact, ongoing development activity in the City will inevitably have a future financial impact as additional resources are needed to provide city services.

Budget Impact:

There is no anticipated budget impact related to this item.

FTE Impact:

This item does not have an impact on current staff levels.

ATTACHMENTS:

1. 20.05.08 EVR NCC MDR PP - CC Staff Report - 051920
 2. 01 - FS19-721 - NCC MDR PP - Vicinity - 051920
 3. 02 - FS19-721 - NCC MDR PP - Preliminary Plat - 051920
 4. 03 - FS19-721 - NCC MDR PP - Landscape - 051920
 5. 04 - FS19-721 - NCC MDR PP - Luke Letter - 051920
 6. PP - FS19-721 - NCC MDR PP - CC PowerPoint - 051920
-

PRELIMINARY PLAT

REPORT TO THE CITY COUNCIL

Case: FS19-721

Project Name: North Copper Canyon Medium Density Residential

Council District: 1 - Acacia

Meeting Date: May 19, 2020

Planner: Hobart Wingard

Applicant: Dan Pottinger of Cardno, Inc.

Owner: Austin Ranch, LLC

Request: Preliminary Plat Approval

Site Location: Generally, located on the western corner of Deer Valley Road and 172nd Avenue

Dwelling Units: 352 Units

Site Size: 66.89 acres (approx.)

Density: 5.26 DU/Ac

General Plan Conformance: The proposal is consistent with the Surprise General Plan 2035

Support/Opposition: None received

Commission

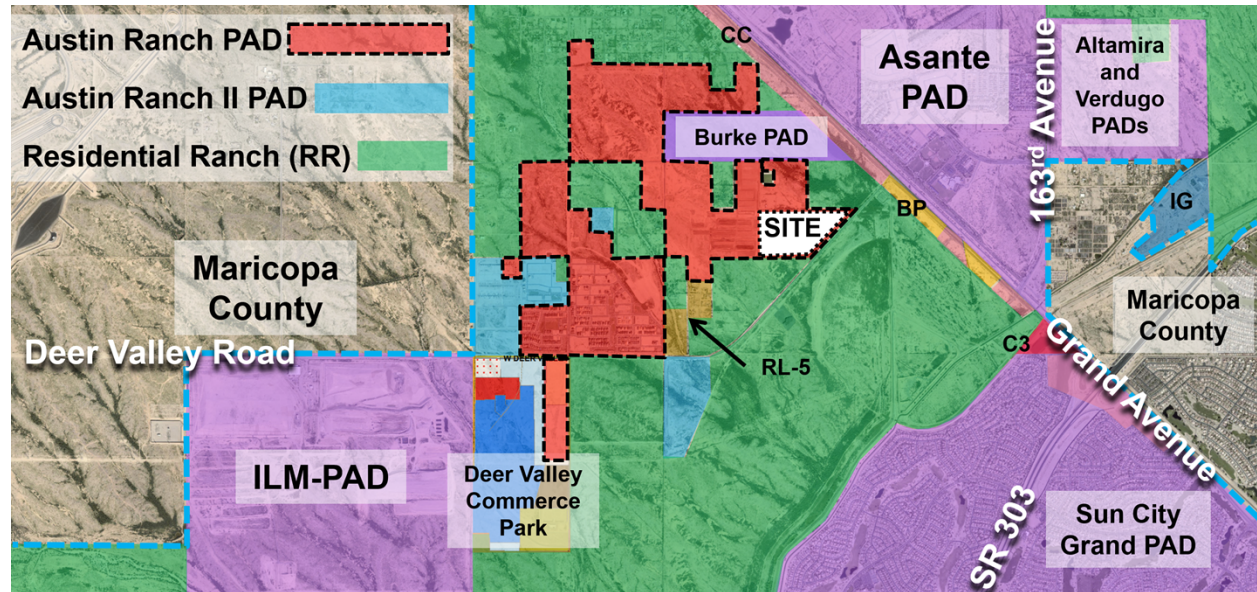
Recommendation: Unknown as of the writing of this report

Project Description:

Dan Pottinger of Cardno, Inc. is requesting Preliminary Plat approval for a 352-lot detached single-family residential subdivision on a 66.89-acre parcel located on the western corner of Deer Valley Road and 172nd Avenue. The project provides for a density of 5.26 DU/Ac. The zoning of the parcel is PAD and is located in a Neighborhood Character Land Use Area as established in General Plan 2035.

Surrounding Land Zoning:

The following map and chart depicts the existing zoning of the subject site and its surroundings:



North Copper Canyon PAD	North Copper Canyon PAD and RR	Residential Ranch (RR)
North Copper Canyon PAD	North Copper Canyon PAD	Residential Ranch (RR)
Residential Ranch (RR)	Residential Ranch (RR)	Residential Ranch (RR)

Background:

June 8, 1989: The City Council approved an annexation for the subject properties under Ordinance 89-05.

May 27, 2004: The City Council approved a PAD for Austin Ranch, under Case PAD03-278.

April 11, 2019: Staff held a Concept Review Meeting with the applicant regarding the modifications to the PAD, under Case CR19-241.

October 14, 2019: The applicant filed a related request for a Preliminary Plat for a 352-lot single-family residential subdivision, under case FS19-721, the subject case.

May 7, 2020: The Planning and Zoning Commission recommended approval of the subject Preliminary Plat.

Analysis and Discussion:

The subject project is a medium density project with 40-foot-wide lots where the Austin Ranch PAD allows for lots as narrow as 35-foot-wide. Because of the narrowness of the lots, the streets will have no parking on trash days to provide for refuse collection.

Community design elements such as wall and landscape design match the design found elsewhere in the community. This particular neighborhood proposes a 4.3-acre park with amenities such as sports courts, play equipment, and picnic facilities. A community pool and park area for the overall Austin Ranch development is located approximately one (1) mile west of the proposed plat.

Utility and Services Table:

Water:	Beardsley Water Company
Wastewater:	City of Surprise
School District:	Dysart Unified

Conformance with Adopted Plans:

Surprise General Plan 2035: The Surprise General Plan 2035 shows the subject property as lying within the Neighborhood Character Area, which supports residential development of up to 8 DU/Ac.

Reviewing Agencies:

In addition to the standard city reviewing agencies, Arizona Department of Transportation, Maricopa Water District, and Luke AFB were included in the routing of this request. None of the reviewing agencies indicated any concerns over the request.

Summary:

The applicant seeks a Preliminary Plat across the subject property. The proposed development is compatible with the neighboring land uses and the amenities included will provide recreational opportunities for the neighborhood residents.

Findings:

- The proposed Preliminary Plat is consistent with the Surprise General Plan.
- The proposed Preliminary Plat is consistent with the Rezone approved under FS19-431.
- The reviewing agencies have indicated no objections.

Commission Recommendation:

107

108 The Planning and Zoning Commission recommended approval of the subject Preliminary Plat subject
109 to stipulations 'a' through 'd' as outlined below:

110

111 a. Development and use of the site shall be consistent with the Preliminary Plat entitled
112 "Preliminary Plat for Austin Ranch MDR – Phase 1," consisting of nine (9) sheets prepared by
113 Cardno and stamped received February 26, 2020.

114

115 b. Landscaping of the site shall be consistent with the Landscape Plan entitled "Austin Ranch
116 East – MDR Preliminary Landscape Plan," consisting of four (4) sheets prepared by McGough
117 Adamson and stamped received February 26, 2020.

118

119 c. Landscaping for improved areas adjacent to Deer Valley Road right-of-way will include a
120 minimum of one (1) tree and four (4) five-gallon shrubs and/or groundcover plants located
121 every 25 linear feet.

122

123 d. Non-compliance with the stipulations of approval of this case will be treated as a violation in
124 accordance with the provisions of Article XIV of the Surprise Unified Development Code.

125

126 However, should the Council wish to deny of the request, the Council should make its own findings
127 and base its decision on those alternative findings.

128

129 **Attachments:**

130

131 01 Vicinity and Zoning Maps

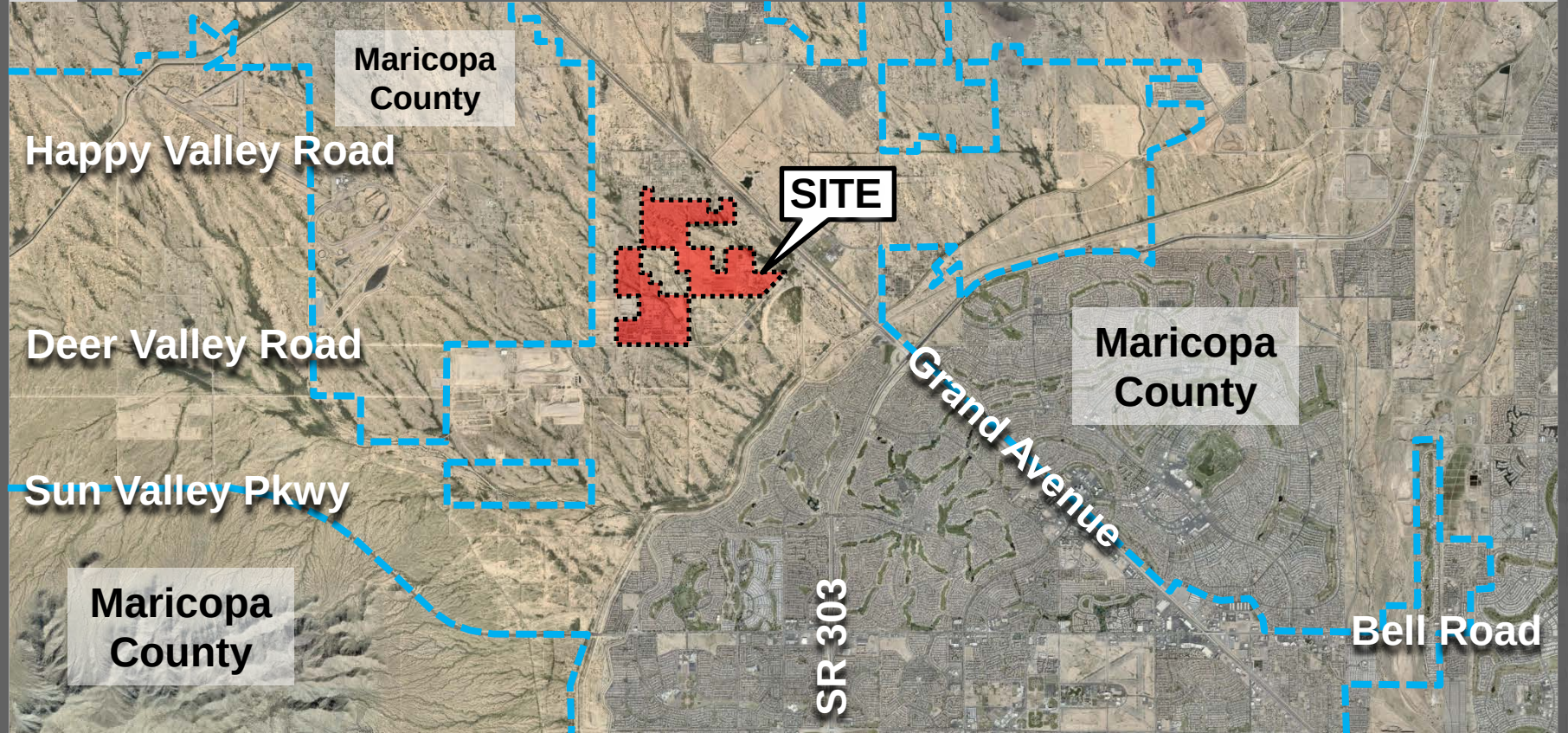
132 02 Preliminary Plat

133 03 Landscape Plans

134 04 Luke AFB comments

VICINITY MAP

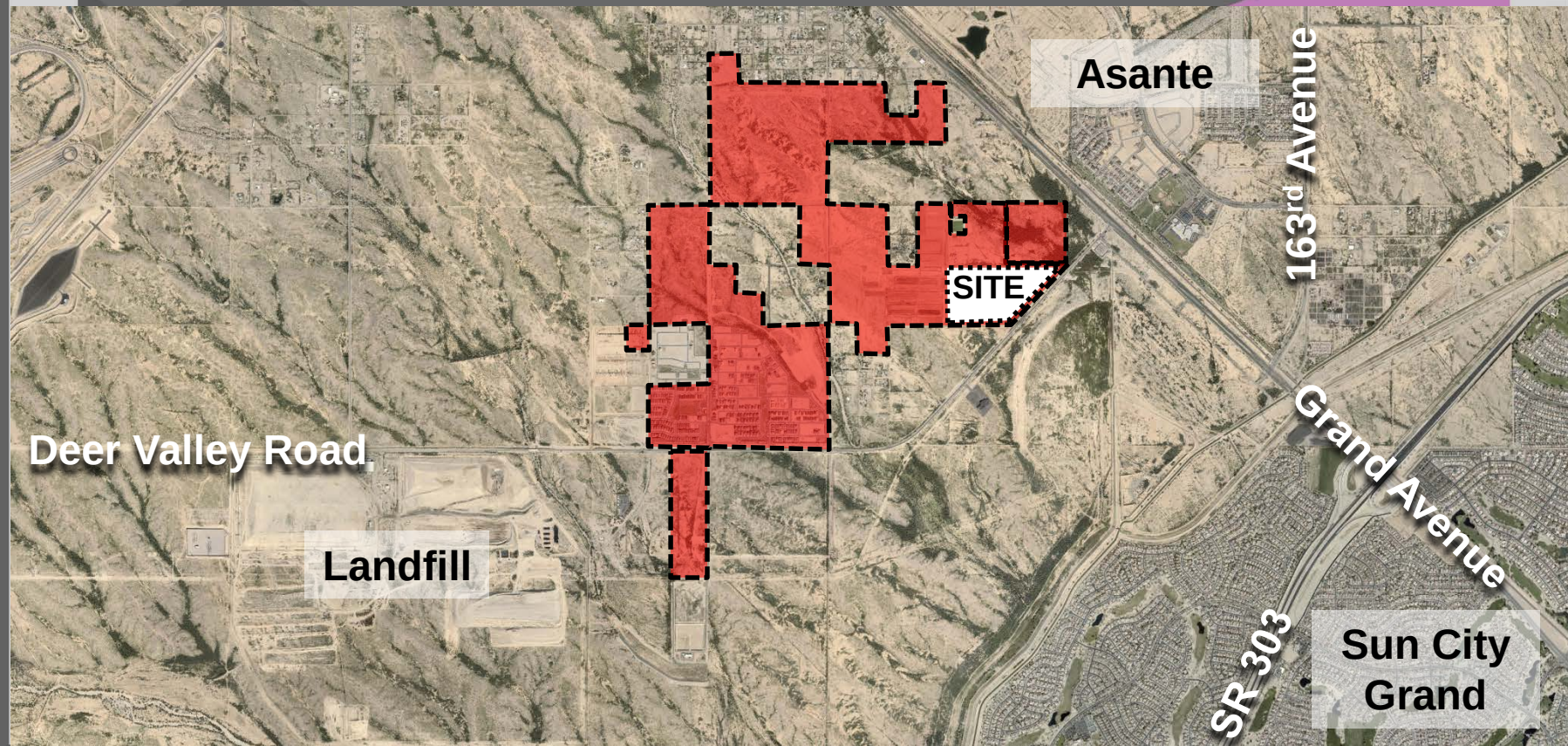
FS19-721
North Copper Canyon



CONTEXT MAP

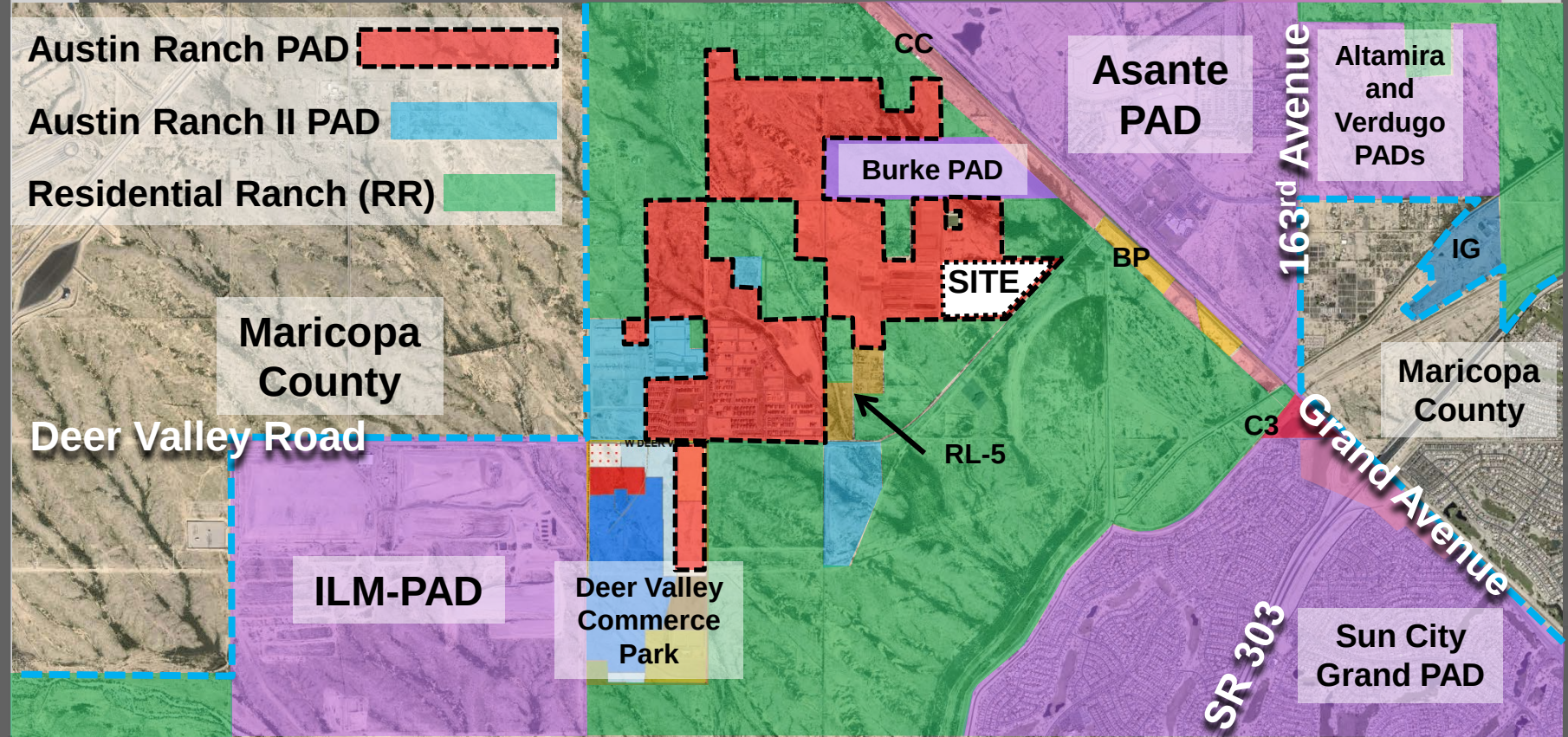
FS19-721

North Copper Canyon

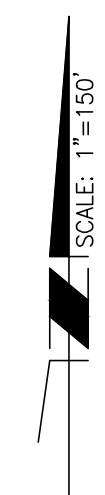
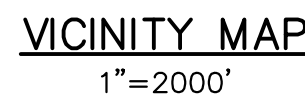


ZONING MAP

FS19-721
North Copper Canyon



A PORTION OF THE NORTH HALF OF SECTION 14, TOWNSHIP 4 NORTH, RANGE 2 WEST OF THE GILA AND SALT RIVER BASE AND MERIDIAN, CITY OF SURPRISE, MARICOPA COUNTY, ARIZONA.



COURTLAND HOMES, INC.
CONTACT: HANS KOPPENHOEFER
4160 WEST KITTY HAWK
CHANDLER, ARIZONA 85226
PHONE (480) 893-7575

CARDNO, INC.
DANIEL J. POTTINGER, P.E.
19621 N. 23RD DRIVE, SUITE 150
PHOENIX, ARIZONA 85027
PHONE (602) 977-8000
FAX (602) 977-8099

CARDNO, INC.
JAMES M. HART, R.L.S.
19621 N. 23RD DRIVE, SUITE 150
PHOENIX, ARIZONA 85027
PHONE (602) 977-8000
FAX (602) 977-8099

1	COVER SHEET
2	NOTES & DETAILS
3-9	PRELIMINARY PLAT

2,913,686 SF (66.89 A.C.)

NGS POINT #4401
ELEVATION=1393.41 (NAVD 88)
ELEVATION=1393.22 (NAVD 88) (PROJECT DATUM)
DIFFERENCE =0.19'

STAINLESS STEEL ROD LOCATED APPROX. 95' NORTH OF THE DEER VALLEY RD
CENTERLINE, AND APPROX. 2.5 MI. WEST OF US 60 (GRAND AVE).

BEARINGS ARE REFERENCED TO THE NORTH AMERICAN DATUM OF 1983 AND ARE EXPRESSED IN TERMS OF GRID NORTH OF THE ARIZONA COORDINATE SYSTEM 1983 (1992) (ACSR83-92) CENTRAL ZONE, DETERMINED LOCALLY BY THE EAST LINE OF THE NORTHEAST QUARTER OS SECTION 14, TOWNSHIP 4 NORTH, RANGE 2 WEST, G&SRM, HAVING A BEARING OF NORTH 00 DEGREES 28 MINUTES 35 SECONDS EAST. THIS LINE IS DEFINED BY THE EAST 1/4 CORNER OF SECTION 14 MONUMENTED WITH AN IRON PIPE WITH 2 INCH DIAMETER MARICOPA COUNTY ALUMINUM CAP SET FLUSH AND STAMPED "T4N R2W 1/4 S14 S13 RLS 35832 2003", AND THE NORTHEAST CORNER OF SECTION 14 MARKED WITH GDACS POINT ID 12500.

THE PROPERTY IS LOCATED WITHIN AN AREA HAVING FLOOD ZONE "X" BY THE FEDERAL EMERGENCY MANAGEMENT AGENCY, ON FLOOD INSURANCE RATE MAP NO. 04013C1210L, WITH A DATE OF IDENTIFICATION OF OCTOBER 16, 2013, FOR COMMUNITY NO. 040053, IN MARICOPA COUNTY, STATE OF ARIZONA, WHICH IS THE CURRENT FLOOD INSURANCE RATE MAP FOR THE COMMUNITY IN WHICH SAID PROPERTY IS SITUATED.

—8"W—	PROPOSED WATER
	PROPOSED FIRE HYDRANT
	PROPOSED WATER VALVE
—8"S—	PROPOSED SEWER
	PROPOSED SEWER MANHOLE
	PROPOSED SEWER CLEANOUT
—EX 8"W—	EXISTING WATER
	EXISTING WATER VALVE
	EXISTING FIRE HYDRANT
—EX 8"S—	EXISTING SEWER
	EXISTING SEWER MANHOLE
	EXISTING SEWER CLEANOUT
	EXISTING CONTOURS
VNAE	VEHICLE NON-ACCESS EASEMENT
	PARCEL BOUNDARY
	STREET DRAINAGE
	PROPOSED SEWER FLOW
PUE	PUBLIC UTILITY EASEMENT
	EFFECTIVE FLOODWAY
SVT	SIGHT VISIBILITY TRIANGLE

CERTIFICATE OF 100 YEAR ASSURED WATER SUPPLY
NO. 27-700980.0000 PURSUANT TO SECTION 45-576,
A.R.S. ISSUED BY THE ARIZONA DEPARTMENT OF
WATER RESOURCES ON SEPTEMBER 29, 2010.

GAS	SOUTHWEST GAS
ELECTRIC	APS
TELEPHONE/CATV	CENTURYLINK/COX COMMUNICATIONS
WATER	BEARDSLEY WATER COMPANY
SEWER	CITY OF SURPRISE



PRELIMINARY PLAT
AUSTIN RANCH MDR - PHASE 1
COURTLAND HOMES, INC
SURPRISE, AZ

[illegible]

DATE | FEB/2020
DRAWN | LPJ
DESIGNED | DLP
CHECKED | DJP
PROJECT # | 4191421000

SHEET TITLE
COVER SHEET

SHEET NUMBER
1

OF 9 SHEETS

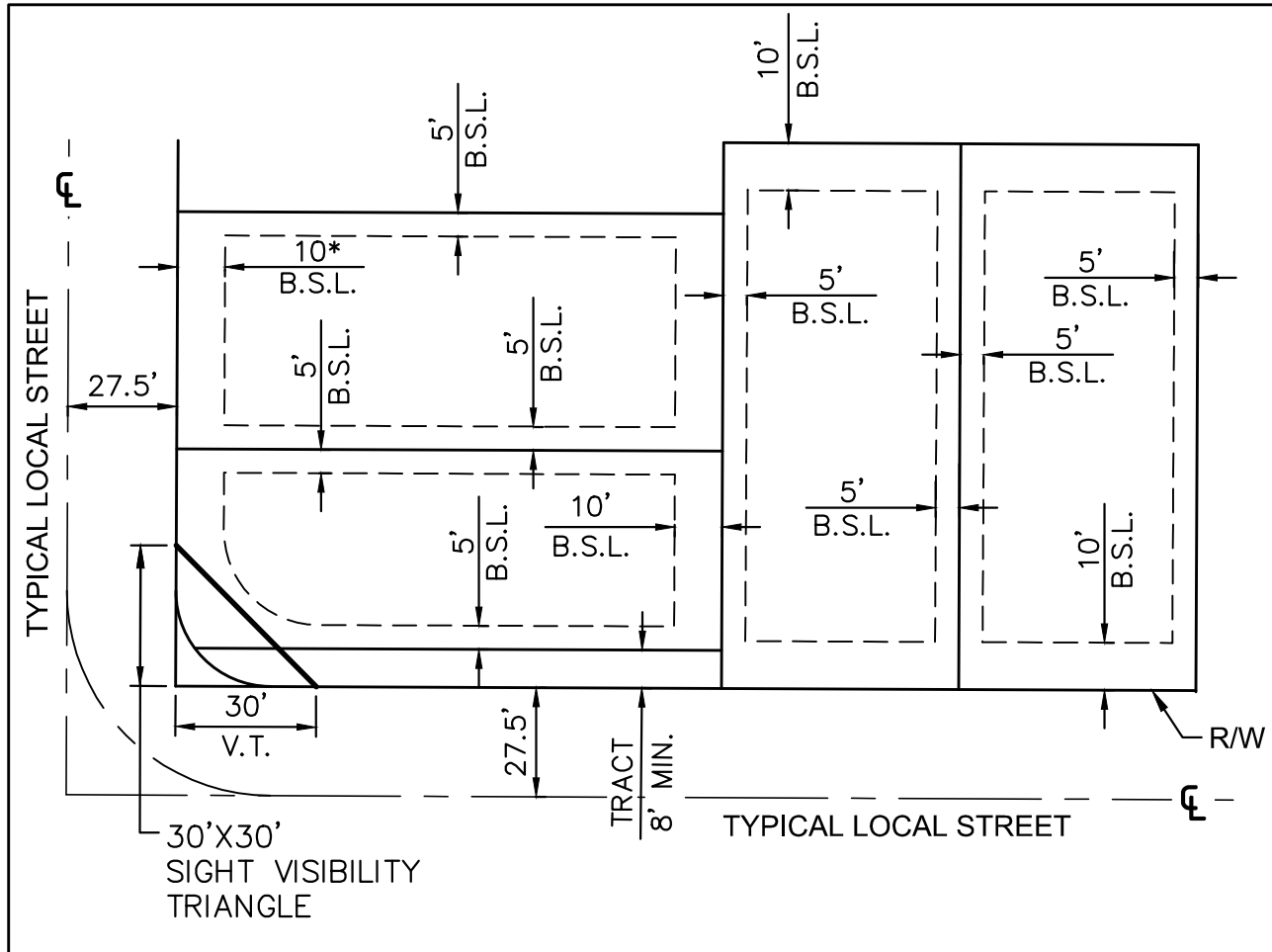
LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE		LOT AREA TABLE	
LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area	LOT #	Area
1	4906.25 SF	21	5712.01 SF	41	4160.00 SF	61	4160.00 SF	81	4160.00 SF	101	4160.00 SF	121	4160.00 SF	141	4270.57 SF	161	4160.00 SF	181	4863.50 SF	201	4160.00 SF
2	5653.91 SF	22	5714.81 SF	42	4160.00 SF	62	4160.00 SF	82	4160.00 SF	102	4160.00 SF	122	4160.00 SF	142	4160.00 SF	162	4160.00 SF	182	3758.09 SF	202	4160.00 SF
3	5656.70 SF	23	5717.60 SF	43	4160.00 SF	63	4160.00 SF	83	4160.00 SF	103	4160.00 SF	123	4160.00 SF	143	4160.00 SF	163	4160.00 SF	183	3954.63 SF	203	4160.00 SF
4	5659.50 SF	24	5720.40 SF	44	4160.00 SF	64	4088.00 SF	84	4160.00 SF	104	4160.00 SF	124	4160.00 SF	144	4160.00 SF	164	4160.00 SF	184	4124.08 SF	204	4160.00 SF
5	5662.30 SF	25	5723.20 SF	45	4160.00 SF	65	5101.35 SF	85	4088.00 SF	105	4160.00 SF	125	4160.00 SF	145	3952.00 SF	165	4160.00 SF	185	4160.00 SF	205	4160.00 SF
6	5665.09 SF	26	5725.99 SF	46	4088.00 SF	66	4869.41 SF	86	4088.00 SF	106	4160.00 SF	126	4160.00 SF	146	4160.00 SF	166	4088.00 SF	186	4160.00 SF	206	4160.00 SF
7	5667.89 SF	27	5728.79 SF	47	4088.00 SF	67	5057.48 SF	87	4160.00 SF	107	4160.00 SF	127	4160.00 SF	147	4160.00 SF	167	4088.00 SF	187	4160.00 SF	207	4160.00 SF
8	5670.69 SF	28	5731.59 SF	48	4160.00 SF	68	4088.00 SF	88	4160.00 SF	108	4160.00 SF	128	4160.00 SF	148	4088.00 SF	168	4160.00 SF	188	4160.00 SF	208	4160.00 SF
9	5673.48 SF	29	5734.38 SF	49	4160.00 SF	69	4160.00 SF	89	4160.00 SF	109	4160.00 SF	129	4160.00 SF	149	4088.00 SF	169	4160.00 SF	189	4160.00 SF	209	4160.00 SF
10	5676.28 SF	30	5735.78 SF	50	4160.00 SF	70	4160.00 SF	90	4160.00 SF	110	4160.00 SF	130	4160.00 SF	150	4160.00 SF	170	4160.00 SF	190	4160.00 SF	210	4160.00 SF
11	5679.08 SF	31	5738.58 SF	51	4160.00 SF	71	4160.00 SF	91	4160.00 SF	111	4160.00 SF	131	4160.00 SF	151	4160.00 SF	171	4160.00 SF	191	4160.00 SF	211	4088.00 SF
12	5681.87 SF	32	5751.94 SF	52	4160.00 SF	72	4160.00 SF	92	4160.00 SF	112	4160.00 SF	132	4088.00 SF	152	4160.00 SF	172	4160.00 SF	192	4160.00 SF	212	4088.00 SF
13	5684.67 SF	33	4072.24 SF	53	4160.00 SF	73	4160.00 SF	93	4160.00 SF	113	4160.00 SF	133	4088.00 SF	153	4160.00 SF	173	4160.00 SF	193	4088.00 SF	213	4160.00 SF
14	5687.47 SF	34	4160.00 SF	54	4160.00 SF	74	4160.00 SF	94	4160.00 SF	114	4088.00 SF	134	4160.00 SF	154	4160.00 SF	174	4160.00 SF	194	4088.00 SF	214	4160.00 SF
15	5690.26 SF	35	4160.00 SF	55	4160.00 SF	75	4160.00 SF	95	4160.00 SF	115	4088.00 SF	135	4160.00 SF	155	4160.00 SF	175	4160.00 SF	195	4160.00 SF	215	4160.00 SF
16	5693.06 SF	36	4160.00 SF	56	4160.00 SF	76	4160.00 SF	96	4160.00 SF	116	4160.00 SF	136	3952.00 SF	156	4160.00 SF	176	4190.32 SF	196	4160.00 SF	216	4160.00 SF
17	5618.40 SF	37	4160.00 SF	57	4160.00 SF	77	4160.00 SF	97	4160.00 SF	117	4160.00 SF	137	4160.05 SF	157	4160.00 SF	177	4349.09 SF	197	4160.00 SF	217	4160.00 SF
18	5626.10 SF	38	4160.00 SF	58	4160.00 SF	78	4160.00 SF	98	4160.00 SF	118	4160.00 SF	138	4328.76 SF	158	4160.00 SF	178	4545.38 SF	198	4160.00 SF	218	4160.00 SF
19	5706.42 SF	39	4160.00 SF	59	4160.00 SF	79	4160.00 SF	99	4088.00 SF	119	4160.00 SF	139	5469.77 SF	159	4160.00 SF	179	4740.57 SF	199	4160.00 SF	219	4160.00 SF
20	5709.21 SF	40	4160.00 SF	60	4160.00 SF	80	4160.00 SF	100	4234.97 SF	120	4160.00 SF	140	4381.52 SF	160	4160.00 SF	180	4856.72 SF	200	4160.00 SF	220	4160.00 SF

LOT SIZE SUMMARY

CATEGORY	MINIMUM LOT SIZE	LOT YIELD
MDR	35' X 80'	352 UNITS

DEVELOPMENT STANDARDS

LOT CATEGORY	MDR
MINIMUM LOT WIDTH	35'
FRONT SETBACK	12' FOR LIVING AREA, 20' FOR FRONT LOAD GARAGE
SIDE SETBACK	5'/5'
CORNER SIDE SETBACK	10' FROM RIGHT-OF-WAY
REAR SETBACK	10' LIVING AREA, 5' GARAGE
MINIMUM LOT DEPTH	80'



TYPICAL LOT DIMENSIONS & BUILDING SETBACK LINES

*20' FOR FRONT LOAD GARAGE, 10' FOR FRONT LIVING AREA

SITE SUMMARY TABLE

GROSS AREA	66.89 ACRES	2,913,686 SQUARE FEET
AREA OF PUBLIC STREETS	19.77 ACRES	861,044 SQUARE FEET
NET ACREAGE (GROSS AREA MINUS PUBLIC STREETS)	47.12 ACRES	2,052,642 SQUARE FEET
AREA OF TRACTS (OPEN SPACE, DRAINAGE, WELL SITE, AMENITIES, AND LANDSCAPE)	9.94 ACRES	258,765 SQUARE FEET
OPEN SPACE PERCENTAGE (GROSS)	14.9%	
AREA OF LOTS	35.75 ACRES	1,557,446 SQUARE FEET
TOTAL NUMBER OF LOTS	352	
OVERALL GROSS DENSITY	5.26 DWELLING UNITS / ACRE	
AVERAGE AREA PER LOT (NET ACREAGE DIVIDED BY THE NUMBER OF LOTS)	0.13 ACRES	5,831 SQUARE FEET
MINIMUM LOT AREA	0.09 ACRES	3,758 SQUARE FEET
AVERAGE LOT AREA (AREA OF LOTS DIVIDED BY THE TOTAL NUMBER OF LOTS)	0.10 ACRES	4,336 SQUARE FEET
MAXIMUM LOT AREA	0.13 ACRES	5,758 SQUARE FEET
PROJECTED POPULATION (3.2 PERSONS PER DWELLING UNIT)	1,126	

LEGAL DESCRIPTION

A PARCEL OF LAND LOCATED IN THE NORTH HALF OF SECTION 14, TOWNSHIP 4 NORTH, RANGE 2 WEST, OF THE GILA AND SLT RIVER MERIDIAN, MARICOPA COUNTY, ARIZONA, MORE PARTICULARLY DESCRIBED AS FOLLOWS:

COMMENCING AT THE EAST 1/4 OF SAID SECTION 14 FROM WHICH THE CENTER OF SAID SECTION BEARS NORTH 89°44'25" WEST, 2621.80 FEET;

THENCE, NORTH 89°44'25" WEST, ALONG THE EAST-WEST MID-SECTION LINE, 1084.22 FEET TO THE POINT OF BEGINNING;

THENCE, NORTH 89°44'25" WEST, 1537.58 FEET;

THENCE, NORTH 89°44'59" WEST, 10.00 FEET;

THENCE, NORTH 00°13'20" EAST, 1126.11 FEET TO THE BEGINNING OF A TANGENT CURVE, CONCAVE WESTERLY, WITH A RADIUS OF 200.00 FEET;

THENCE, NORTHERLY ALONG SAID CURVE, 24.29 FEET THROUGH A CENTRAL ANGLE OF 06°57'29";

THENCE, NORTH 06°44'10" WEST, 152.93 FEET;

THENCE, NORTH 00°13'20" EAST, 16.57 FEET;

THENCE, SOUTH 89°41'44" EAST, 467.93 FEET;

THENCE, NORTH 00°15'51" EAST, 95.62 FEET;

THENCE, SOUTH 89°38'25" EAST, 1341.88 FEET;

THENCE, SOUTH 00°21'35" WEST, 104.00 FEET;

THENCE, SOUTH 89°38'25" EAST, 28.28 FEET;

THENCE, NORTH 45°21'35" EAST, 28.28 FEET;

THENCE, SOUTH 89°38'25" EAST, 55.00 FEET;

THENCE, SOUTH 44°38'25" EAST, 28.28 FEET;

THENCE, SOUTH 00°21'35" WEST, 55.00 FEET;

THENCE, SOUTH 45°21'35" WEST, 28.28 FEET;

THENCE, SOUTH 00°21'35" WEST, 25.00 FEET;

THENCE, SOUTH 89°38'25" EAST, 429.94 FEET;

THENCE, NORTH 65°13'52" EAST, 347.74 FEET;

THENCE, SOUTH 00°28'32" WEST, 190.99 FEET;

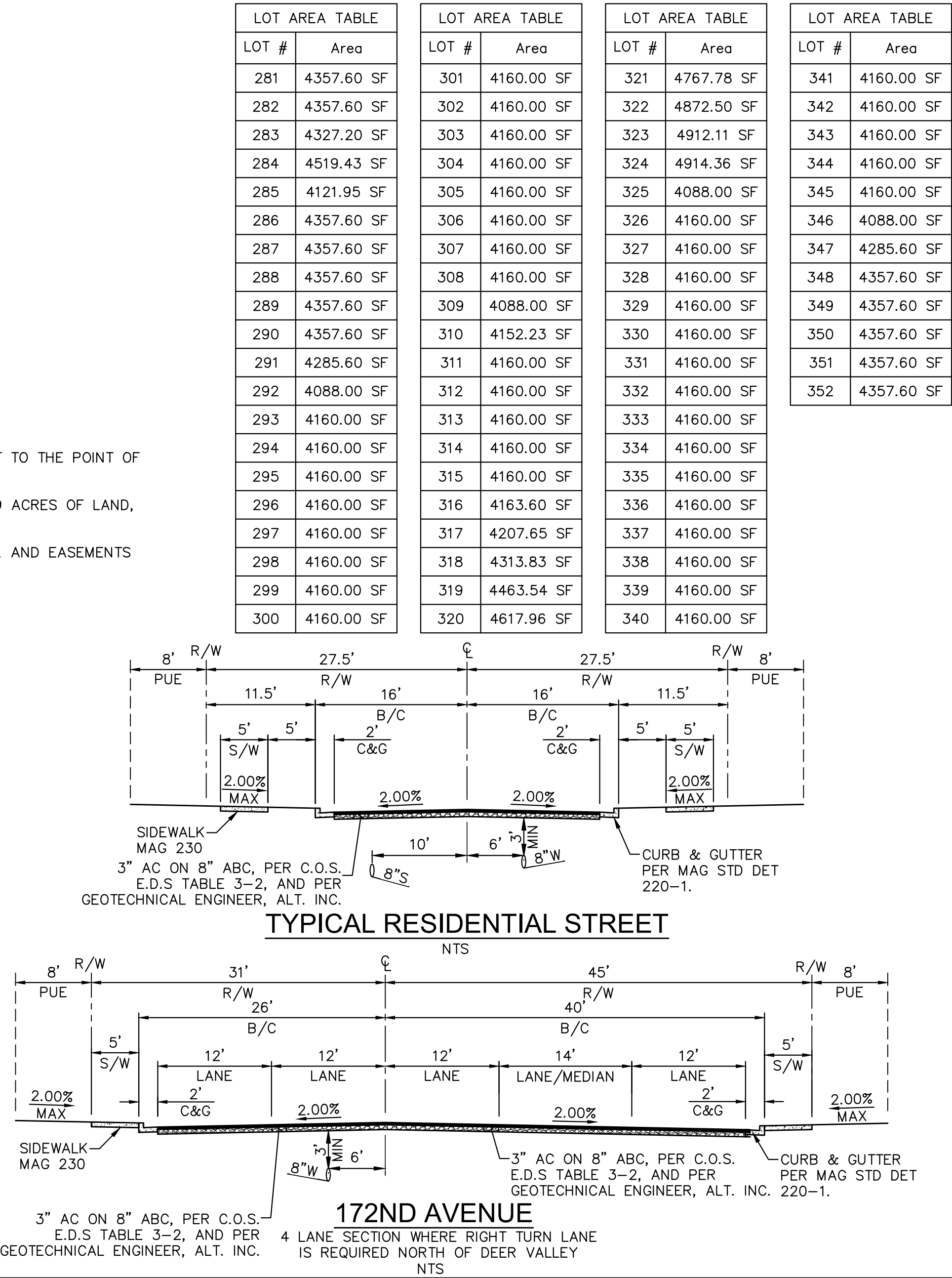
THENCE, SOUTH 43°22'19" WEST, 1592.85 FEET TO THE POINT OF BEGINNING.

CONTAINING 2,913,684 SQUARE FEET OR 66.89 ACRES OF LAND, MORE OR LESS.

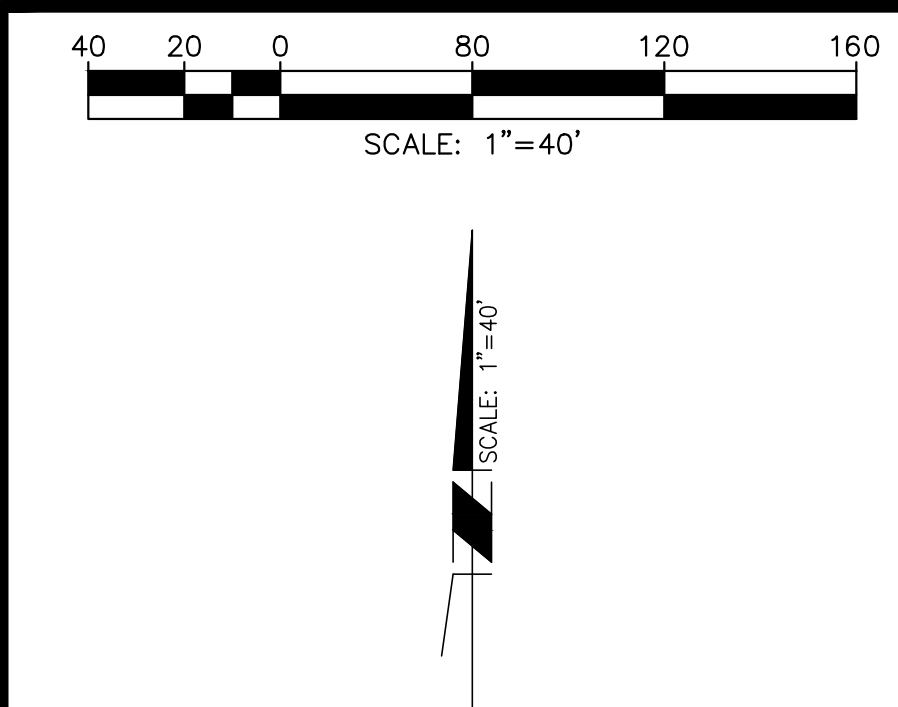
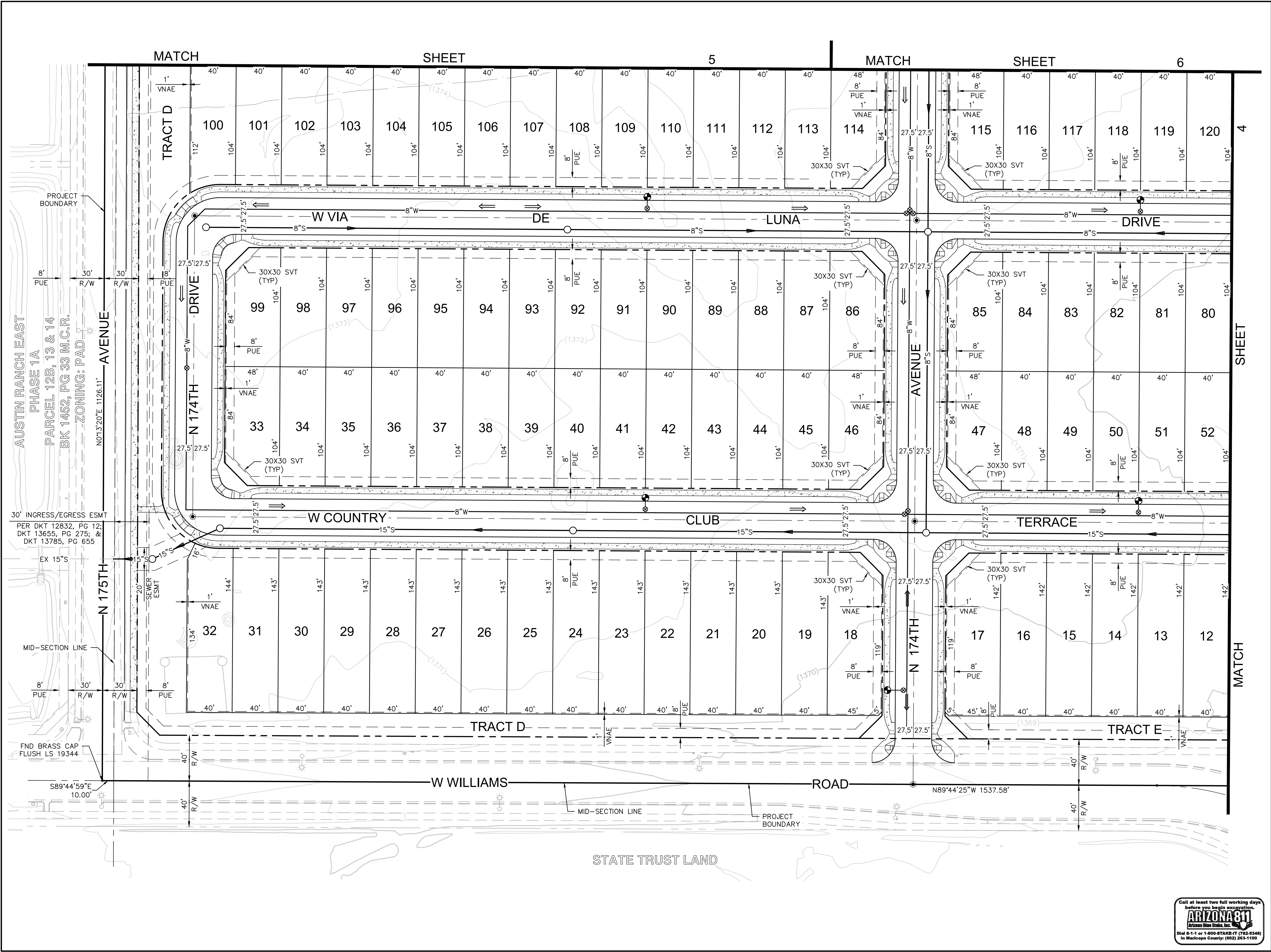
SUBJECT TO ALL COVENANTS, RIGHTS OF WAY, AND EASEMENTS OF RECORD.

TRACT AREA TABLE

TRACT	SQUARE FEET	ACREAGE	USE
A	3,417	0.08	LANDSCAPING
B	5,240	0.12	LANDSCAPING
C	26,208	0.60	LANDSCAPING
D	36,384	0.84	LANDSCAPING, DRAINAGE
E	187,516	4.30	LANDSCAPING, DRAINAGE
F	174,457	4.00	LANDSCAPING, DRAINAGE
TOTAL	433,222	9.94	



NO.	BY	DESCRIPTION	APP'D	DATE
REVISIONS				
AUSTIN RANCH MDR-PHASE 1 PRELIMINARY PLAT				
PHOENIX 19621 N. 23RD DR, STE 150, PHOENIX, AZ 85027 TEL: (602) 977-8000 FAX: (602) 977-8099 www.cardno.com				
Cardno				
172ND AVENUE				
35384 DANIEL J. POTTINGER				
DRAWING SCALE(S)				
N.T.S.				
PLAN DATE				
FEB/2020				
PROJECT NUMBER				
4191421000				
SHEET NO.				
2				
OF 9 SHEETS				



NO.	BY	DESCRIPTION	APP'D	DATE

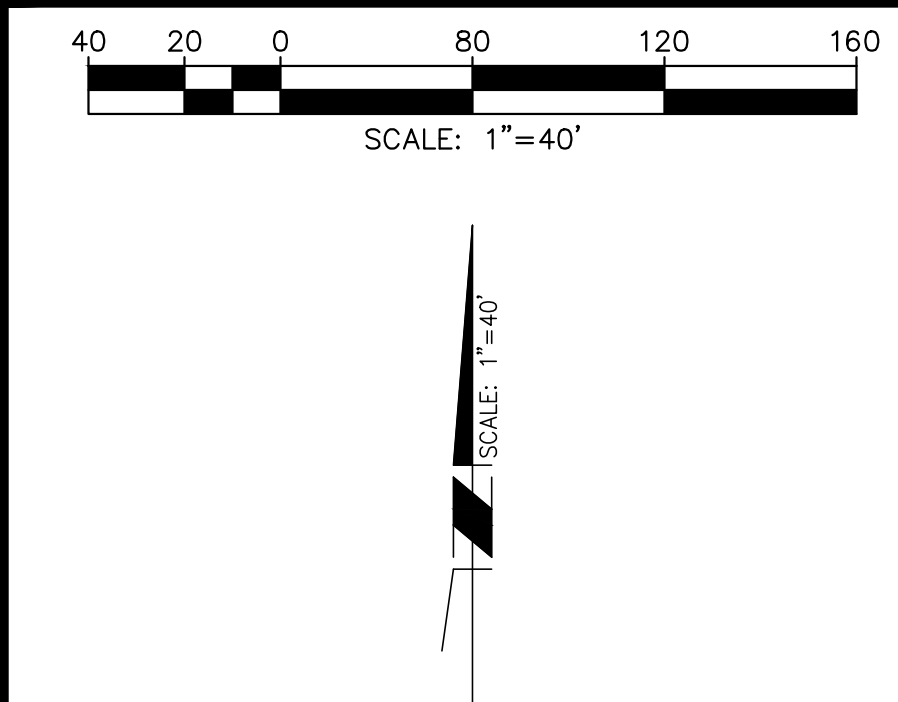
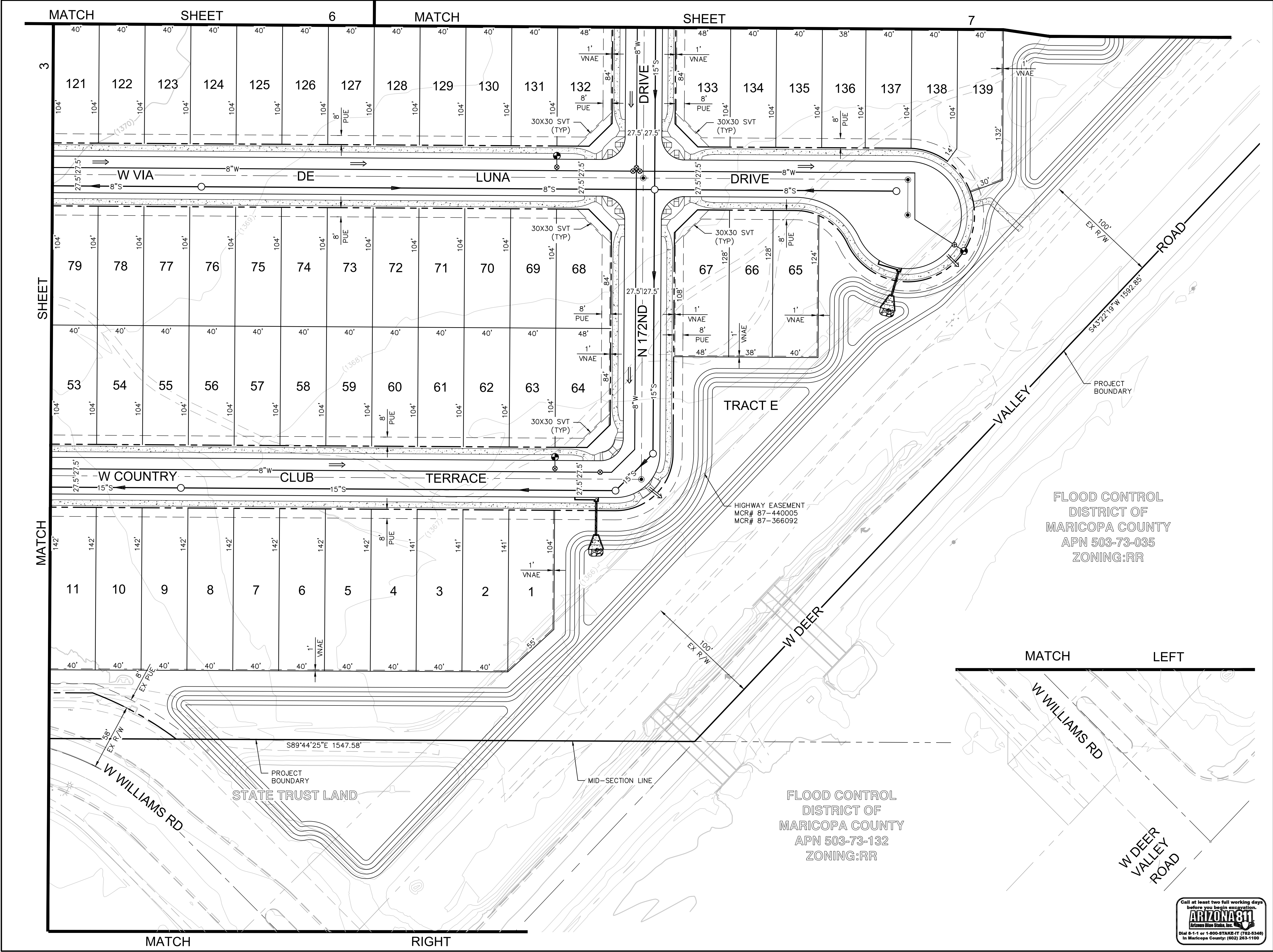
REVISIONS

AUSTIN RANCH MDR-PHASE 1 PRELIMINARY PLAT

Cardno PHOENIX
19621 N. 23RD DR, STE 150, PHOENIX, AZ 85027
TEL: (602) 977-8000 FAX: (602) 977-8099
www.cardno.com

LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
DRAWING SCALE(S) 1" = 40'		
PLAN DATE FEB/2020		
PROJECT NUMBER 4191421000		
SHEET NO. 3 OF 9 SHEETS		





FLOOD CONTROL
DISTRICT OF
MARICOPA COUNTY
APN 503-73-035
ZONING:RR

FLOOD CONTROL
DISTRICT OF
MARICOPA COUNTY
APN 503-73-132
ZONING:RR

NO.	BY	DESCRIPTION	APP'D	DATE

REVISIONS

AUSTIN RANCH MDR-PHASE 1
PRELIMINARY PLAT

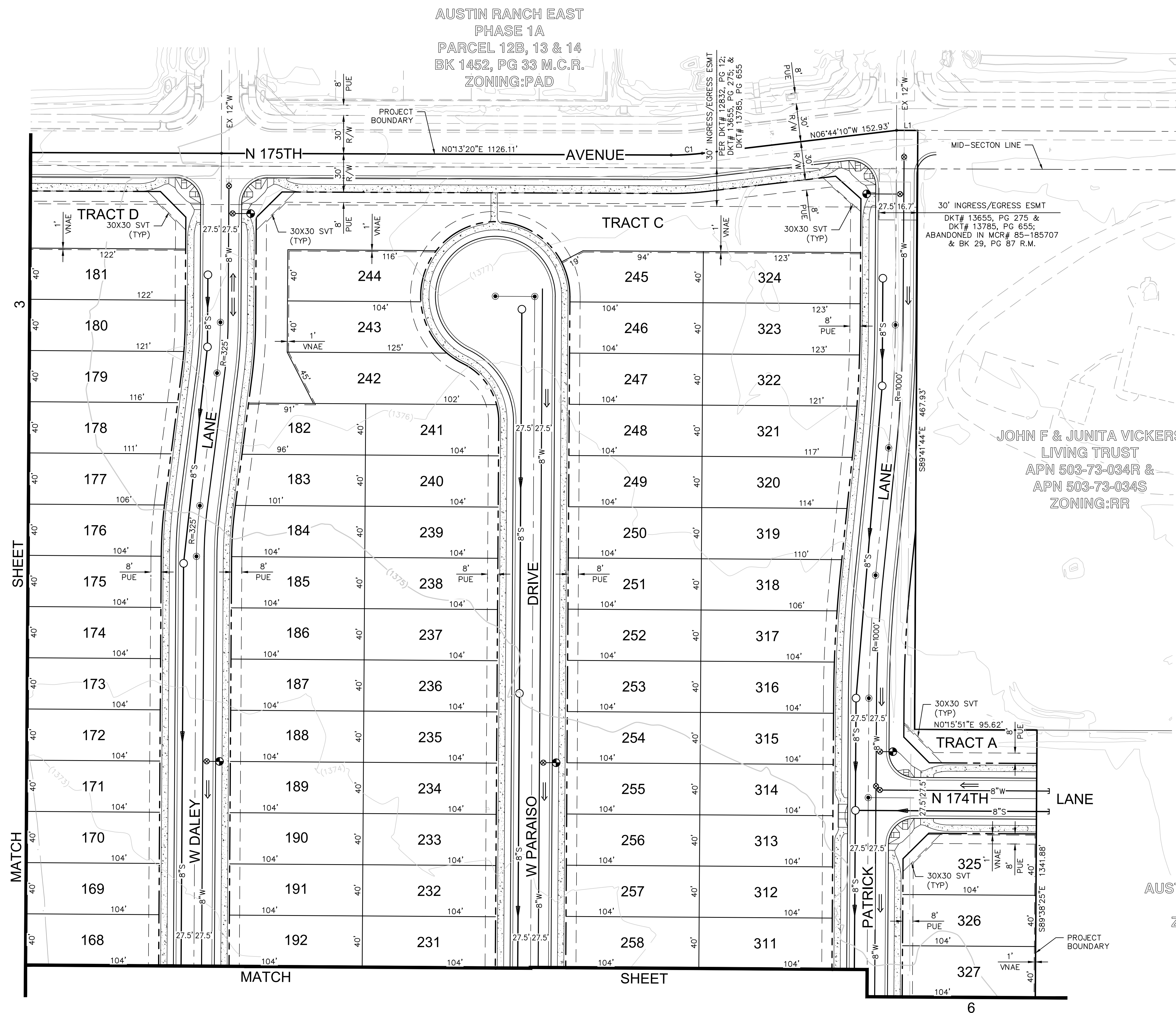
PHOENIX
19621 N. 23RD DR, STE 150, PHOENIX, AZ 85027
TEL: (602) 977-8000 FAX: (602) 977-8099
www.cardno.com

LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
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DRAWING SCALE(S)
1" = 40'

PLAN DATE FEB/2020	SHEET NO. 4
PROJECT NUMBER 4191421000	OF 9 SHEETS





LINE/CURVE DATA TABLE				
NO.	BEARING/DELTA	RADIUS	LENGTH	TANGENT
C1	6°57'29"	200.00	24.29	12.16
L1	N0°13'20"E	--	16.57	--

NQ	RY	DESCRIPTION	APP'D	DATE

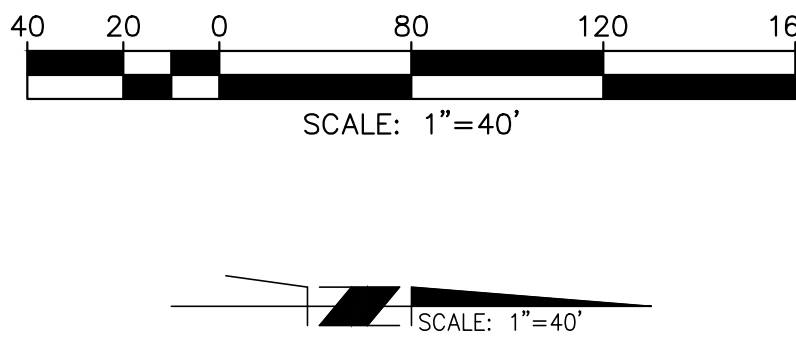
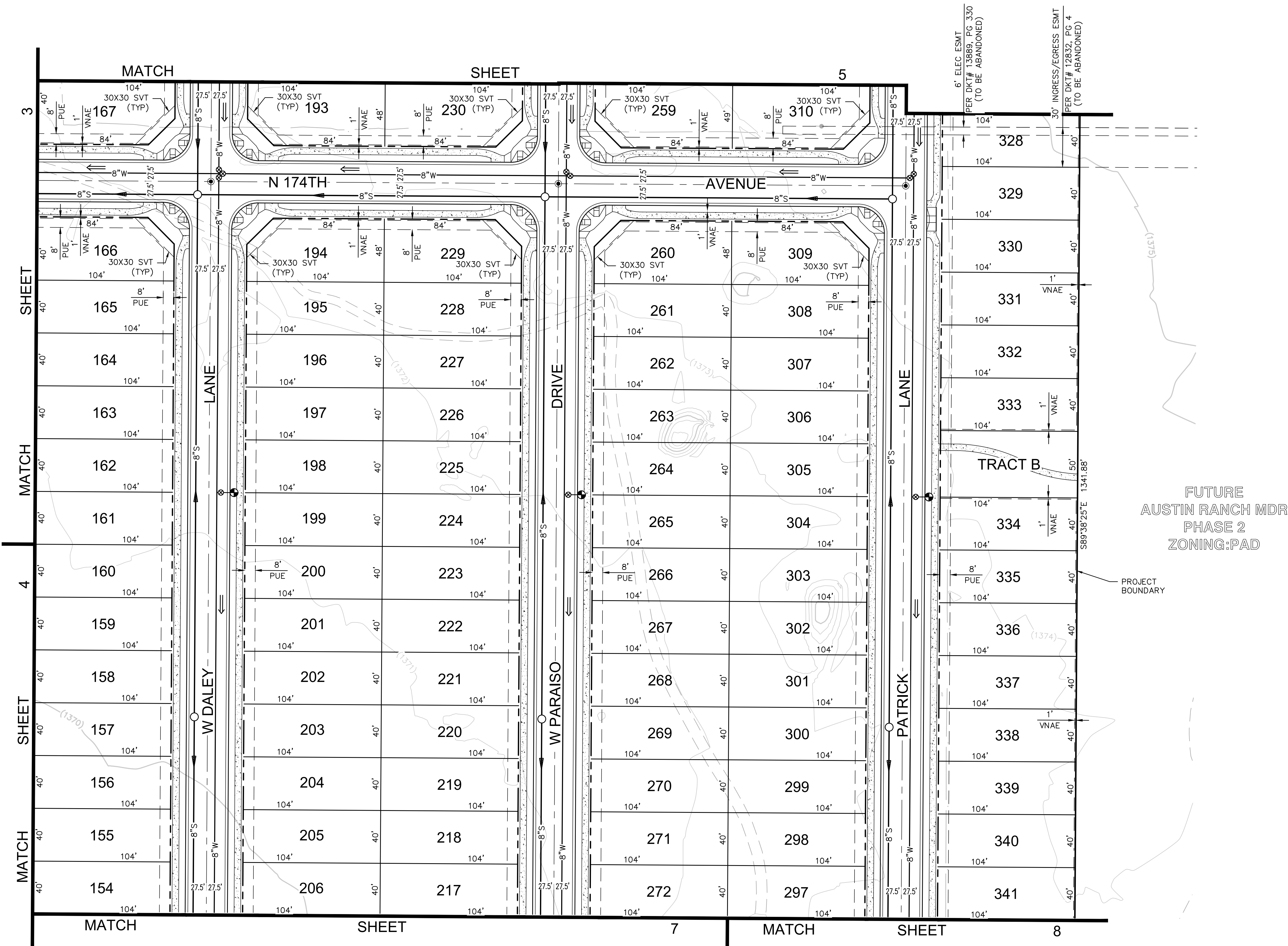
R E V I S I O N S

AUSTIN RANCH MDR-PHASE 1
PRELIMINARY PLAT



LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
DRAWING SCALE(S) 1" = 40'		
PLAN DATE FEB/2020		SHEET NO. 5 OF 9 SHEETS
PROJECT NUMBER 4191421000		





NO.	BY	DESCRIPTION	APP'D	DATE	

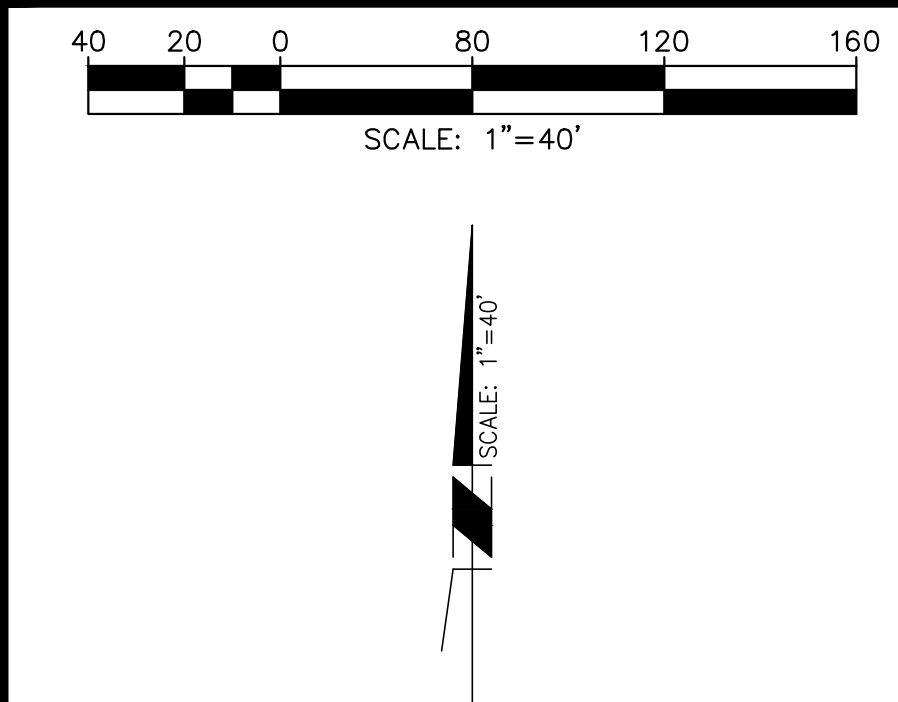
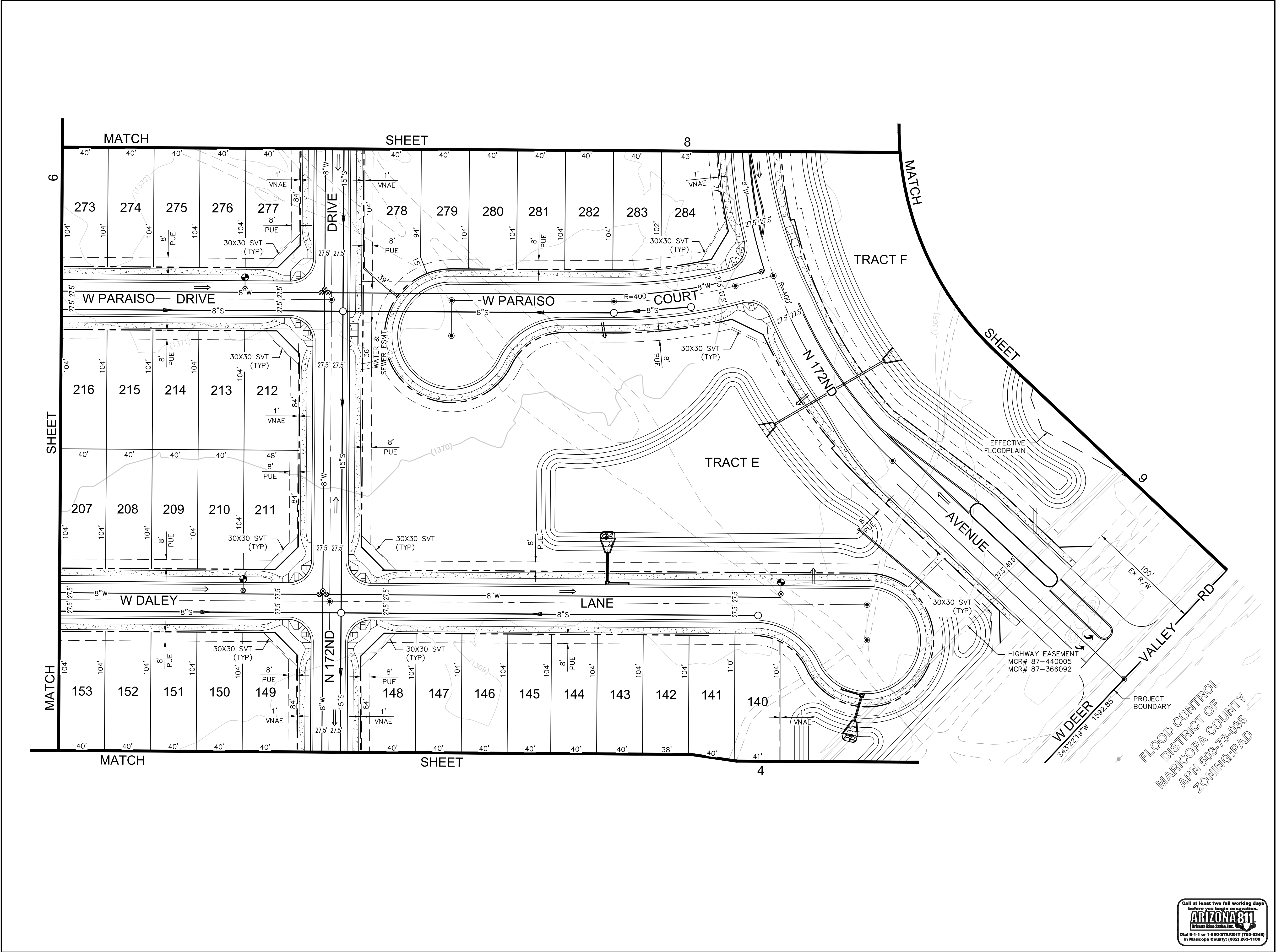
REVISIONS

AUSTIN RANCH MDR-PHASE 1 PRELIMINARY PLAT

Cardno PHOENIX
19621 N. 23RD DR., STE 150, PHOENIX, AZ 85027
TEL: (602) 977-8000 FAX: (602) 977-8099
www.cardno.com

	LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
	DRAWING SCALE(S) 1" = 40'		
	PLAN DATE FEB/2020		
	PROJECT NUMBER 4191421000		
			SHEET NO. 6 OF 9 SHEETS





NO.	BY	DESCRIPTION	APP'D	DATE

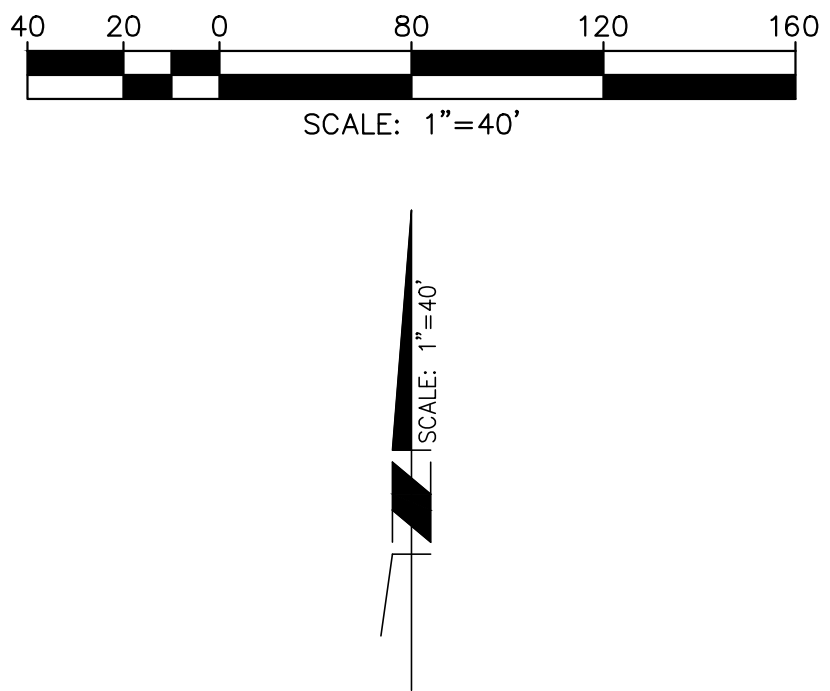
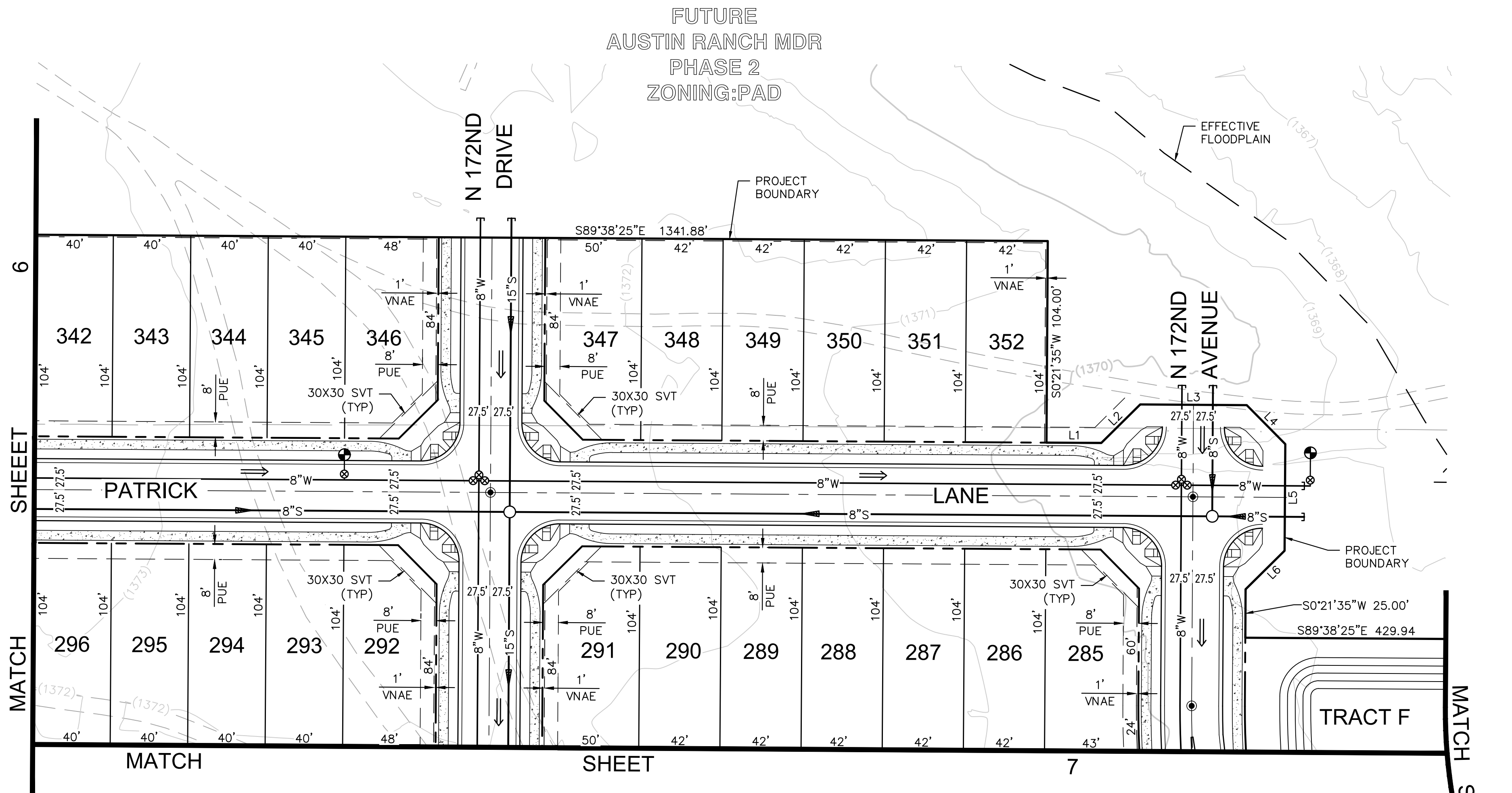
REVISIONS

AUSTIN RANCH MDR-PHASE 1
PRELIMINARY PLAT

Cardno PHOENIX
19621 N. 23RD DR, STE 150, PHOENIX, AZ 85027
TEL: (602) 977-8000 FAX: (602) 977-8099
www.cardno.com

	LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
	DRAWING SCALE(S) 1" = 40'		
	PLAN DATE FEB/2020		SHEET NO. 7
	PROJECT NUMBER 4191421000		

Call at least two full working days
before you begin excavation.
ARIZONA811
Arizona One Stop, Inc.
In Maricopa County: (602) 255-1100



LINE/CURVE DATA TABLE				
NO.	BEARING/DELTA	RADIUS	LENGTH	TANGENT
L1	S89°38'25"E	--	28.28	--
L2	N45°21'35"E	--	28.28	--
L3	S89°38'25"E	--	55.00	--
L4	S44°38'25"E	--	28.28	--
L5	S0°21'35"W	--	55.00	--
L6	S45°21'35"W	--	28.28	--

NO.	BY	DESCRIPTION	APP'D	DATE

REVISIONS

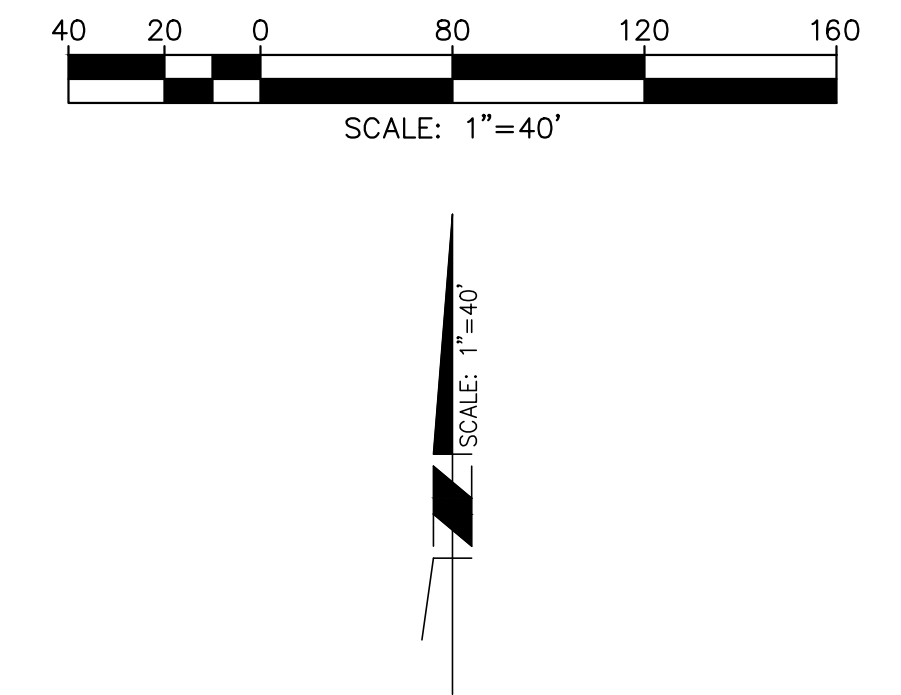
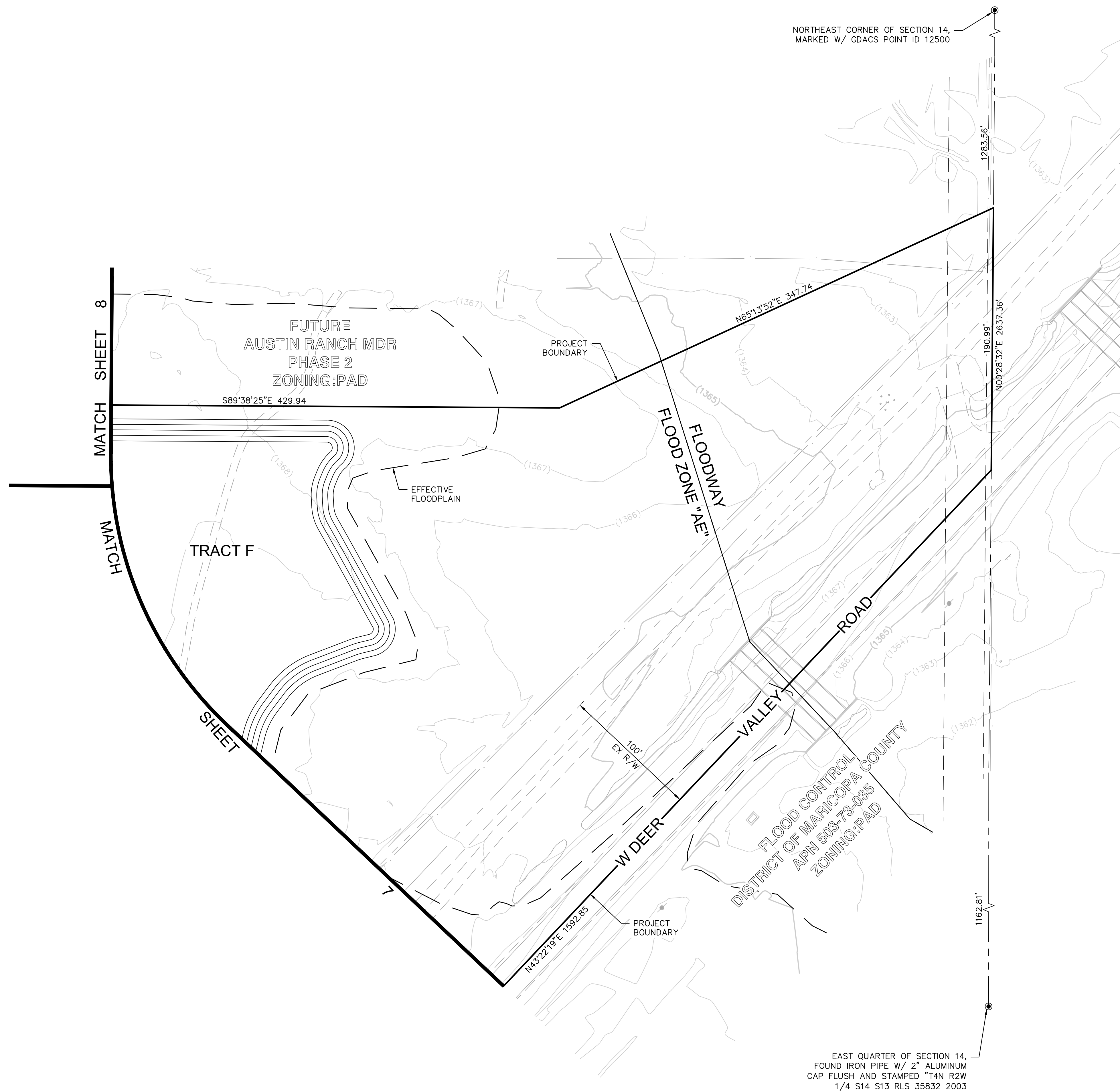
AUSTIN RANCH MDR-PHASE 1
PRELIMINARY PLAT

Cardno PHOENIX
19621 N. 23RD DR, STE 150, PHOENIX, AZ 85027
TEL: (602) 977-8000 FAX: (602) 977-8099
www.cardno.com



LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
DRAWING SCALE(S) 1"= 40'		
PLAN DATE FEB/2020		SHEET NO. 8
PROJECT NUMBER 4191421000		OF 9 SHEETS





NO	RY	DESCRIPTION	APP'D	DATE

DESCRIPTION	
R E V I S I O N S	

AUSTIN RANCH MDR-PHASE 1
PRELIMINARY PLAT

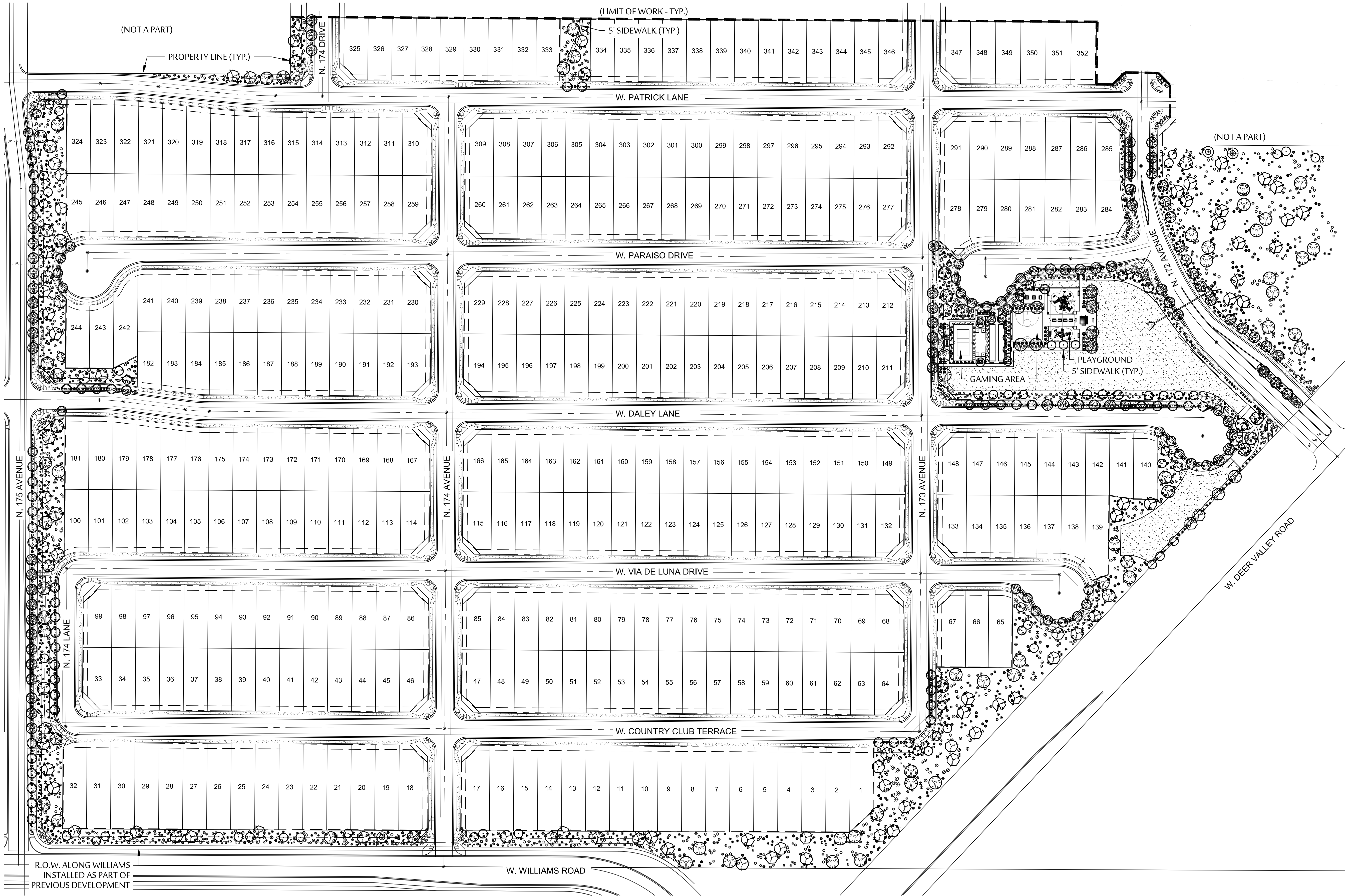


LAYOUT DLP	DRAFTED LPJ	CHECKED DJP
DRAWING SCALE(S) 1" = 40'		
PLAN DATE FEB/2020		SHEET NO. 9 OF 9 SHEETS
PROJECT NUMBER 4191421000		

Call at least two full working days before you begin excavation.

ARIZONA 811
Arizona Blue Stake, Inc.

Dial 8-1-1 or 1-800-STAKE-IT (782-5324) for more information.

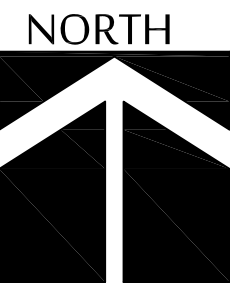
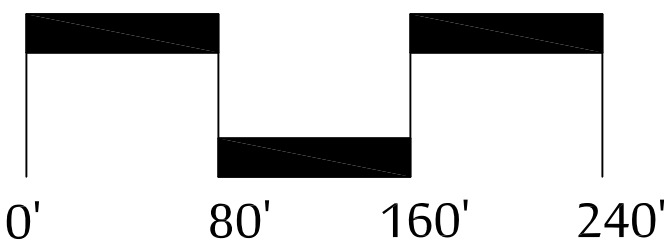


PLANT LEGEND

TREES - ALL 24" BOX		ACACIA ANEURA / MULGA
		*ACACIA SALICINA / WILLOW ACACIA
		*CHIOLOPSIS SP. 'RIO SALADO' / 'RIO SALADO' DESERT WILLOW
		OLNEYA TESOTA / IRONWOOD
		PARKINSONIA HYBRID / DESERT MUSEUM PALO VERDE
SHRUBS - ALL 5 GAL.		PARKINSONIA FLORIDA / BLUE PALO VERDE
		PROSOPIS HYBRID 'AZT' / 'AZT THORNLESS MESQUITE'
		* INDICATES A CITY APPROVE STREET / R.O.W. TREE THAT IS TO BE INSTALLED WITH DEEP ROOT BARRIERS.
		CALLIANDRA ERIOPHYLLA / NATIVE FAIRY DUSTER
		ENCELIA FARINOA / BRITTLEBUSH
ACCENTS - ALL 5 GAL.		HYPTIS EMORYI / DESERT LAVENDER
		JUSTICIA CALIFORNICA / CHUPAROSA
		LARREA TRIDENTATA / CREOSOTE BUSH
		LEUCOPHYLLUM LAEVIGATUM / CHIHUAHUA SAGE
		SIMMONDSIA CHINENSIS / JOJOBA
GROUND COVERS - ALL 5 GAL.		SPHAERALCEA AMBIGUA / GLOBE MALLOW
		AGAVE AMERICANA / AMERICAN AGAVE
		AGAVE PARRII / PARRY'S AGAVE
		ASCLEPIUS SUBULATA / DESERT MILKWEED
		BOUTELOUA GRACILIS / BLONDE AMBITION GRASS
NOTES		DASYLIRION WHEELERI / DESERT SPOON
		FOUQUERIA SPLENDENS / OCOTILLO
		HESPERALOE PARVIFLORA 'PERPA' / BRAKELIGHTS RED YUCCA
		MUHLENBERGIA RIGENS / DEER GRASS
		OPUNITA ENGELMANNII / NATIVE PRICKLY PEAR
SCALE		AMBROSIA DELTOIDEA / TRIANGLELEAF BUR-SAGE
		BAILEYA MULTIRADIATA / DESERT MARIGOLD
		EREMOPHILA GLABRA HYB. / 'OUTBACK SUNRISE'
		ACACIA REDOLENS / TRAILING ACACIA
		TURF- MID-IRON BERMUDA SOD. (54,456 SQ.FT)
NORTH		DECOMPOSED GRANITE- TO BE DETERMINED BY OWNER.

- NOTES:
1. DUE TO PLANT MATERIAL AVAILABILITY, SUBSTITUTIONS FOR PLANT MATERIAL LISTED ABOVE MAY BE USED. ANY ALTERNATES OR SUBSTITUTIONS MUST BE ON THE ADWR LOW WATER USE PLANT LIST.
 2. SUB-SPECIES OR HYBRIDS OF PLANT MATERIAL LISTED ABOVE MAY BE USED AS ALTERNATES/SUBSTITUTIONS.
 3. ADDITIONAL PLANT MATERIAL MAY BE ADDED TO THE LIST ABOVE DUE TO UTILITY COMPANY OR H.O.A. REQUESTS AND/OR PLANTING RESTRICTIONS WITHIN UTILITY EASEMENTS.
 4. NO TREES TO BE LOCATED WITHIN THE P.U.E. OR ANY OTHER NOTED EASEMENTS. FINAL PLANT MATERIAL SIZE AND LOCATION SHALL COMPLY WITH EDS STANDARD DETAILS 4-01 AND 4-02.
 5. SIGHT DISTANCE REQUIREMENTS ON ARTERIALS AND COLLECTORS WILL ADHERE TO SURPRISE DETAIL 4-01. SIGHT VISIBILITY WITHIN THE UNOBSTRUCTED VIEW EASEMENT AREA AND IN FRONT OF STOP SIGNS MUST MEET OR EXCEED REQUIREMENTS IN SURPRISE DETAILS 4-01 AND 4-02.
 6. LOTS THAT HAVE SIDE YARD STREET FRONTAGES WILL BE LANDSCAPED AND MAINTAINED BY THE PROPERTY OWNER. THE HOME PRODUCT REVIEW WILL PROVIDE REQUIREMENTS FOR SIDE YARD STREET FRONTAGES WHICH INCLUDE (1) 24" BOX TREE AND (4) FIVE GALLON SHRUBS AND/OR GROUND COVER PLANTS LOCATED EVERY 25' LINEAR FEET.

SCALE: 1"=80'-0"



FS19-721

AUSTIN RANCH EAST - MDR
PRELIMINARY LANDSCAPE PLAN

SHEET L1

NEC OF WILLIAMS ROAD AND 175TH AVE., SURPRISE, AZ
FEBRUARY 24, 2020



WALL PLAN LEGEND	
	THEME WALL (≈ 3,392 LN.FT.) - SEE DETAIL 'A' ON SHEET L5.
	PARTIAL VIEW FENCE (≈ 158 LN.FT.) - SEE DETAIL 'C' ON SHEET L5.
	PROJECT THEME COLUMNS - (31) TOTAL - SEE DETAIL 'A' ON SHEET L5.

- NOTES:
- ANY QUANTITIES SHOWN ON THIS SHEET ARE FOR CONVENIENCE ONLY. CONTRACTOR TO UTILIZE THE FINAL SITE PLAN TO VERIFY ALL QUANTITIES NECESSARY TO BID AND INSTALL WALLS, COLUMNS AND FENCING.
 - ALL FOOTINGS, WALLS, FENCES AND THEME COLUMNS ARE TO BE LOCATED OUTSIDE OF THE P.U.E., R.O.W., SITE VISIBILITY TRIANGLES AND FRONT YARD SETBACKS.
 - THEME COLUMNS AND/OR ENDS OF WALLS ARE TO BE 25'-0" OFF THE BACK OF THE R.O.W. SOME THEME COLUMNS MAY HAVE TO BE LOCATED 30' OFF THE BACK OF THE R.O.W. WHERE SITE VISIBILITY TRIANGLE EASEMENTS ARE PRESENT. CONTRACTOR TO INSTALL 6"X6" CONCRETE HEADER FROM THE FRONT OF THE COLUMN (OR END OF WALL) TO THE BACK OF THE SIDEWALK OR STREET FRONTAGE CURB.
 - SIGN REQUIRES A SEPARATE PERMIT. DETAILS ARE FOR INFORMATION ONLY.
 - SEE CIVIL PLANS FOR RETAINING WALL LOCATIONS.



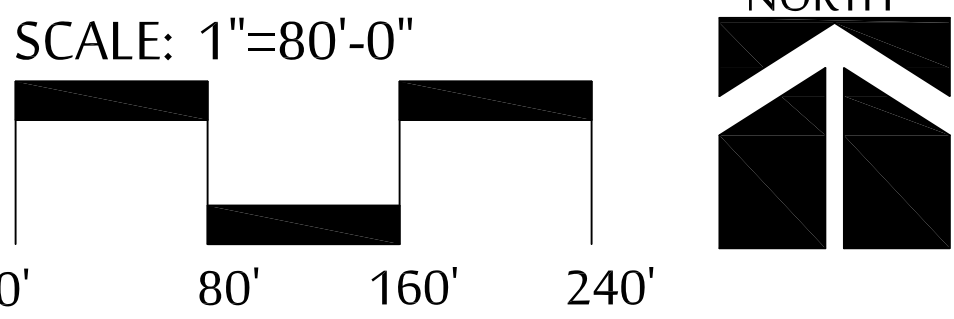
FS19-721

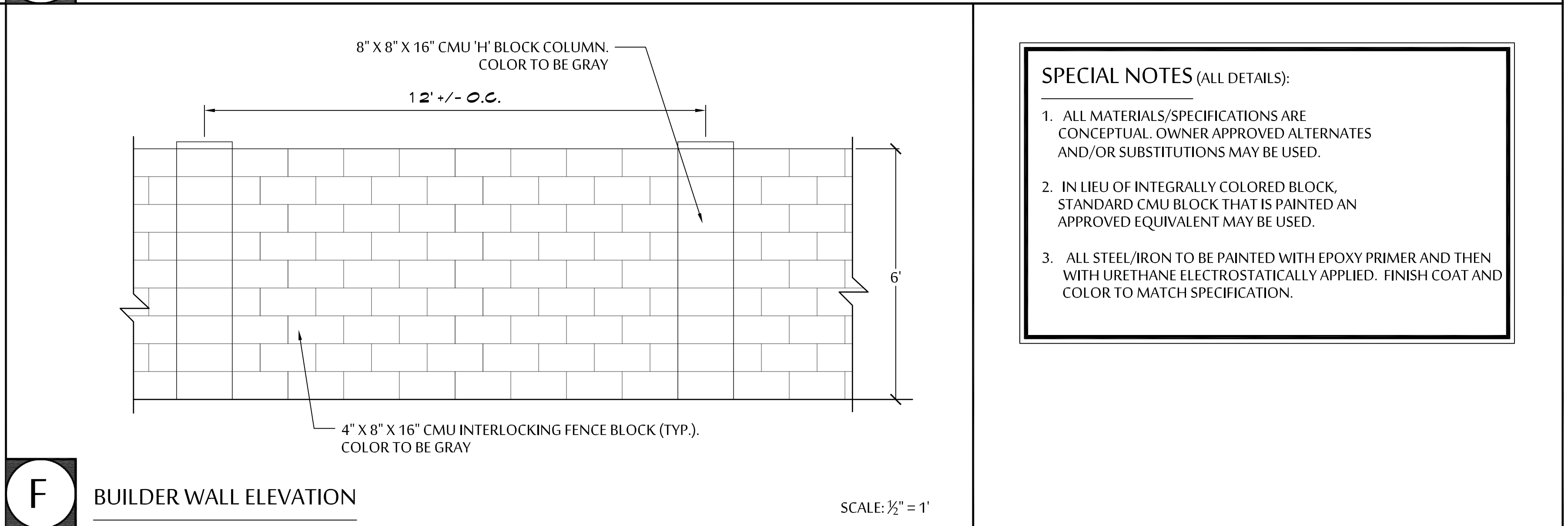
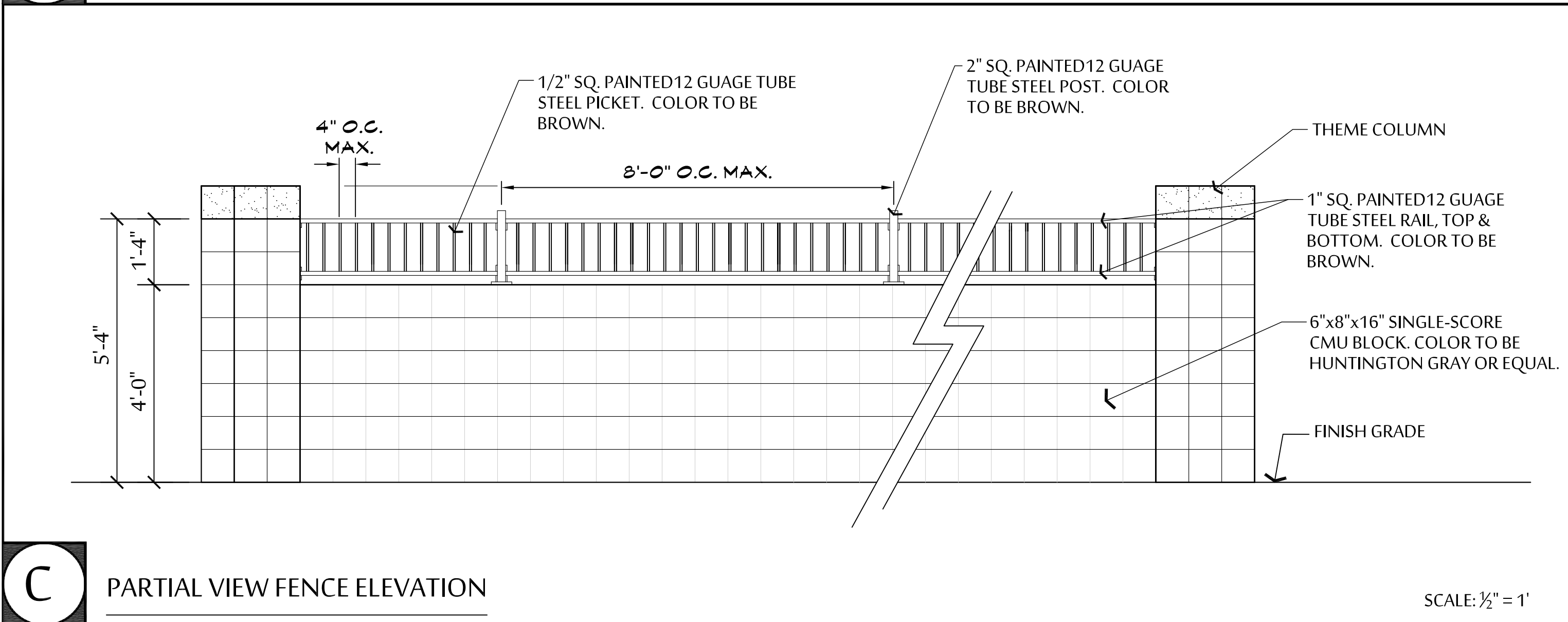
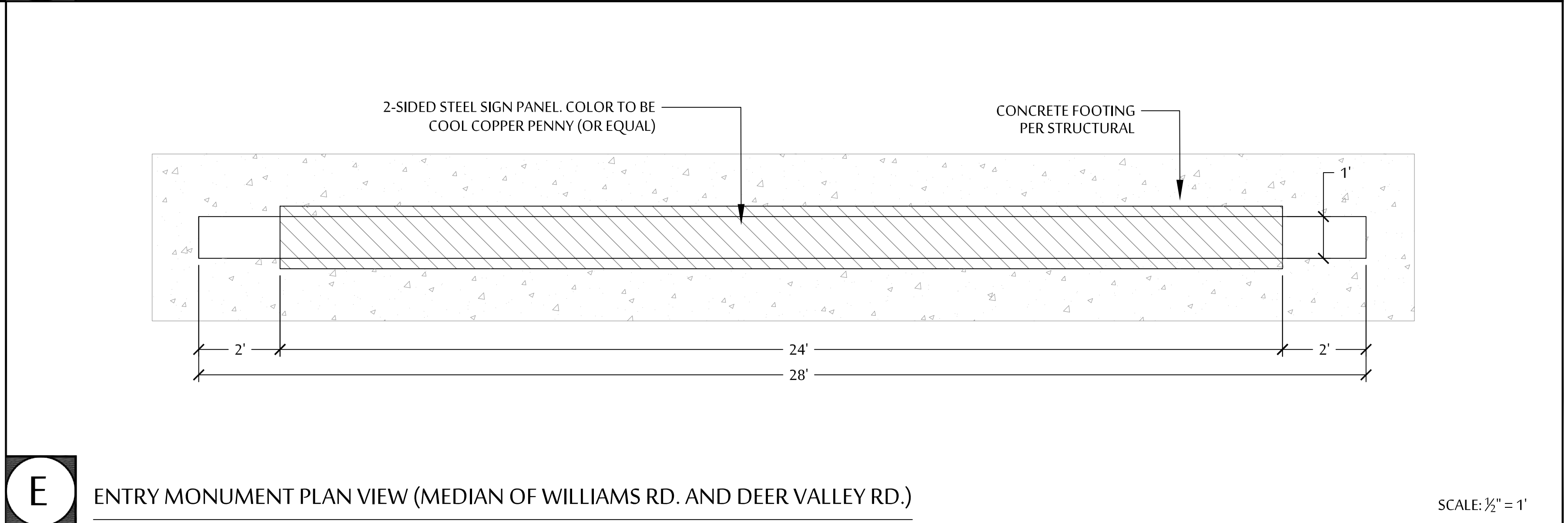
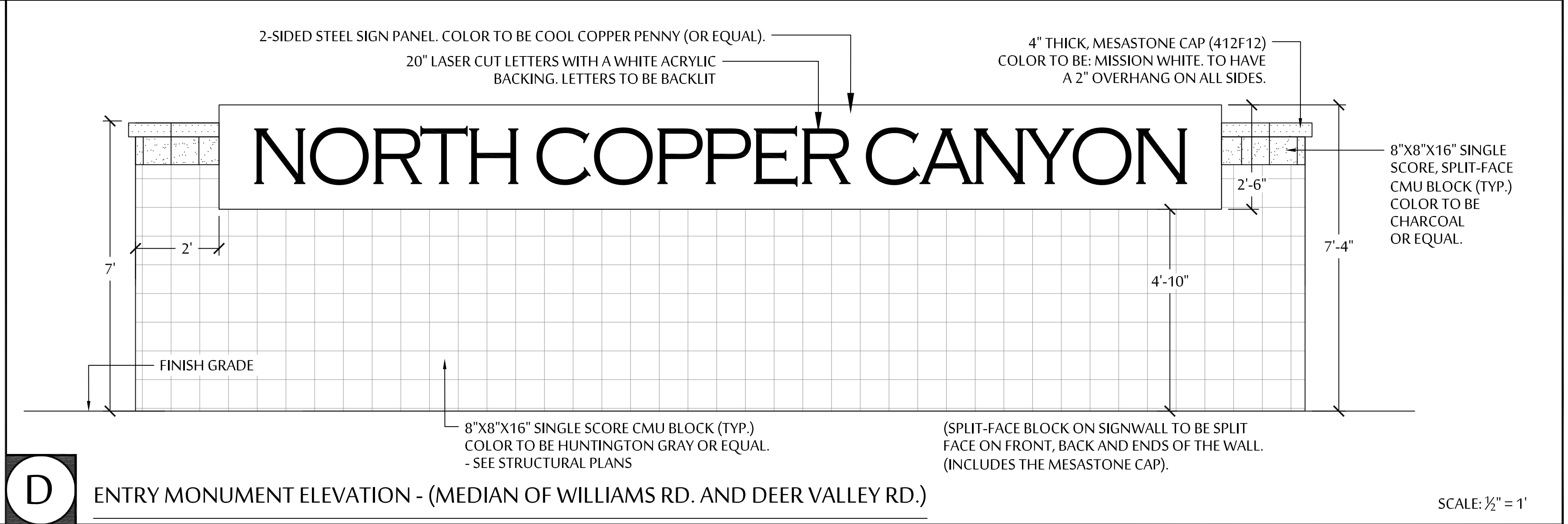
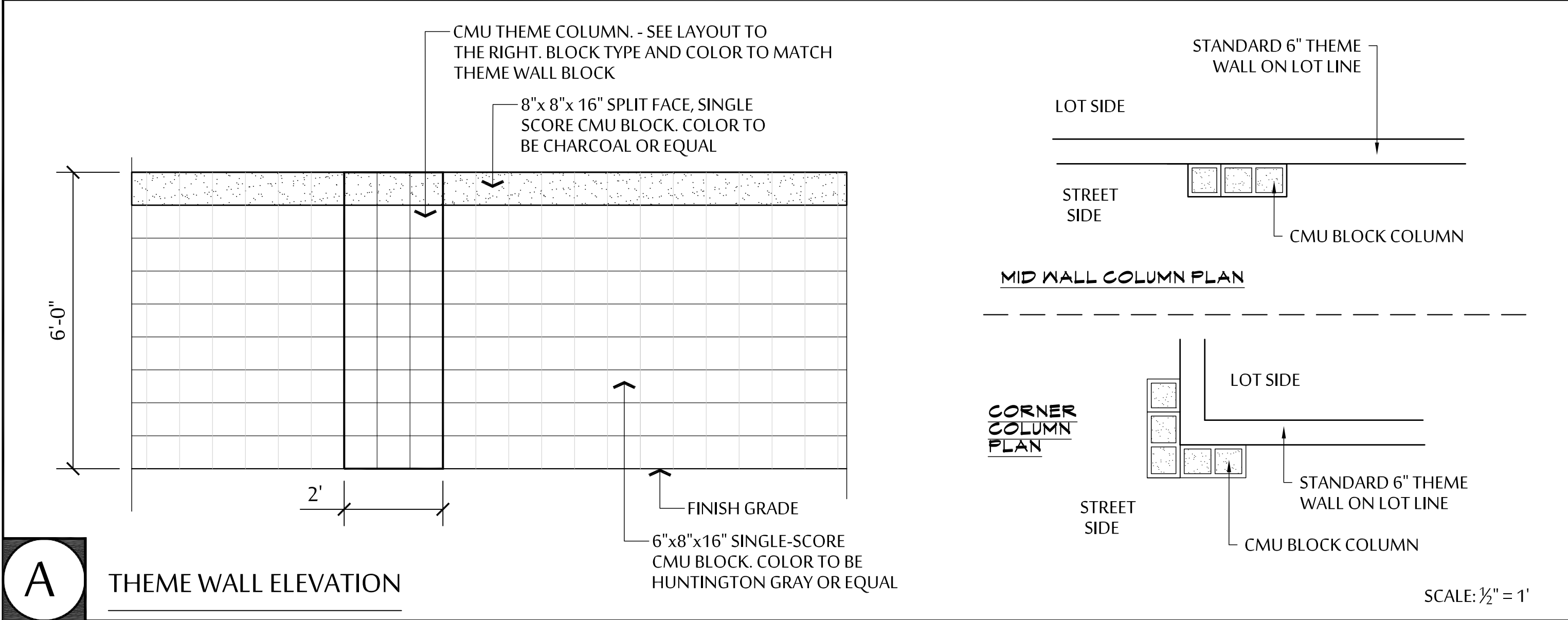
AUSTIN RANCH EAST - MDR

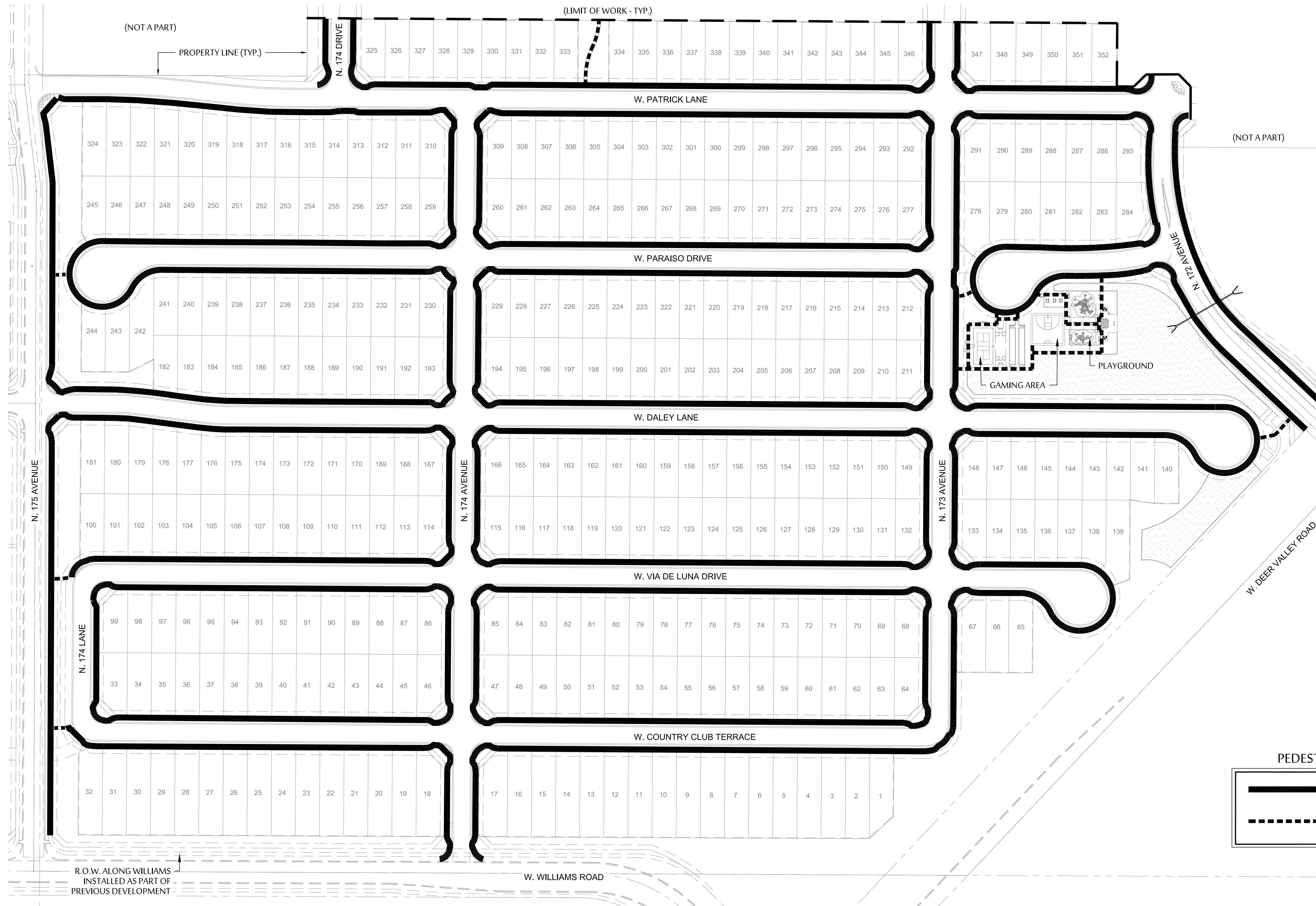
PRELIMINARY WALL PLAN

NEC OF WILLIAMS ROAD AND 175TH AVE., SURPRISE, AZ
FEBRUARY 24, 2020

SHEET L2







PEDESTRIAN CIRCULATION LEGEND

	STREET FRONTAGE CONCRETE SIDEWALK
	INTERIOR LANDSCAPE TRACT CONCRETE SIDEWALK

MCGOUGH
ADAMSON

Landscape
Architects

Land
Planning

Irrigation

FS19-721

AUSTIN RANCH EAST - MDR

PEDESTRIAN CIRCULATION PLAN

NEC OF WILLIAMS ROAD AND 175TH AVE., SURPRISE, AZ
FEBRUARY 24, 2020

SHEET L4

SCALE: 1"=80'-0"

NORTH



**DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND**

24 October 2019

Mr. James R. Mitchell
Director, Community Initiatives Team
56th Fighter Wing
14185 West Falcon Street
Luke AFB AZ 85309-1629

Ms. Lorraine Nevarez
Planning Project Coordinator
Community Development
16000 N. Civic Center Plaza
Surprise AZ 85374

Re: FS19-721; Austin Ranch East MDR Phase 1 (APN: 503-73-034W)

Dear Ms. Nevarez

Thank you for the opportunity to provide comments on the Final Plat for Austin Ranch East MDR Phase 1. The site sits on 61.3 acres of vacant land located at northwest corner of Williams Rd and 175 Ave in Surprise AZ. This request is for 352 residential units for a density of 5.7 du/ac. The site is approximately 1.9 miles outside the Aux-1 2004 JLUS 65 Ldn, "high noise or accident potential zone" as defined by A.R.S. § 28-8461 and is outside the "territory in the vicinity of a military airport" also defined by A.R.S. § 28-8461.

In an effort to promote a more compatible co-existence Luke AFB follows the guidelines in the Graduated Density Concept (GDC). The GDC proposes, in the absence of a more restrictive state, county or municipal general or comprehensive plan, graduating densities away from the 65 Ldn as follows: a maximum of 2 du/acre from the 65 Ldn to 1/2 mile, a maximum of 4 du/acre from 1/2 to 1 mile, and a maximum of 6 du/acre from 1 to 3 miles. Austin Ranch East MDR Phase 1 with a density of 5.7 du/ac falls within these guidelines.

As stated in the narrative, this request will not have a negative impact on Luke AFB Flight Operations. Since the site will be located within the "territory in the vicinity of a military airport," it will be subjected to approximately 165 over flights a day, with some as low as 1,500 feet above ground level. If this development is approved, we recommend you review the sound attenuation requirements found in A.R.S. § 28-8482. In addition, a strong notification program on the part of the applicant would be essential to inform potential residents about Luke AFB operations.

If there are any questions, please contact my Community Planner, Mr. Reggie Christianson at (623) 856-9981.

Sincerely

for
Chris Toole

JAMES R. MITCHELL

cc:

Colonel Scott W. Walker, Vice Commander, 56th Fighter Wing

Ms. Cindy L. Allen, GS-13, General and Environmental Law Attorney, 56th Fighter Wing



FS19-721

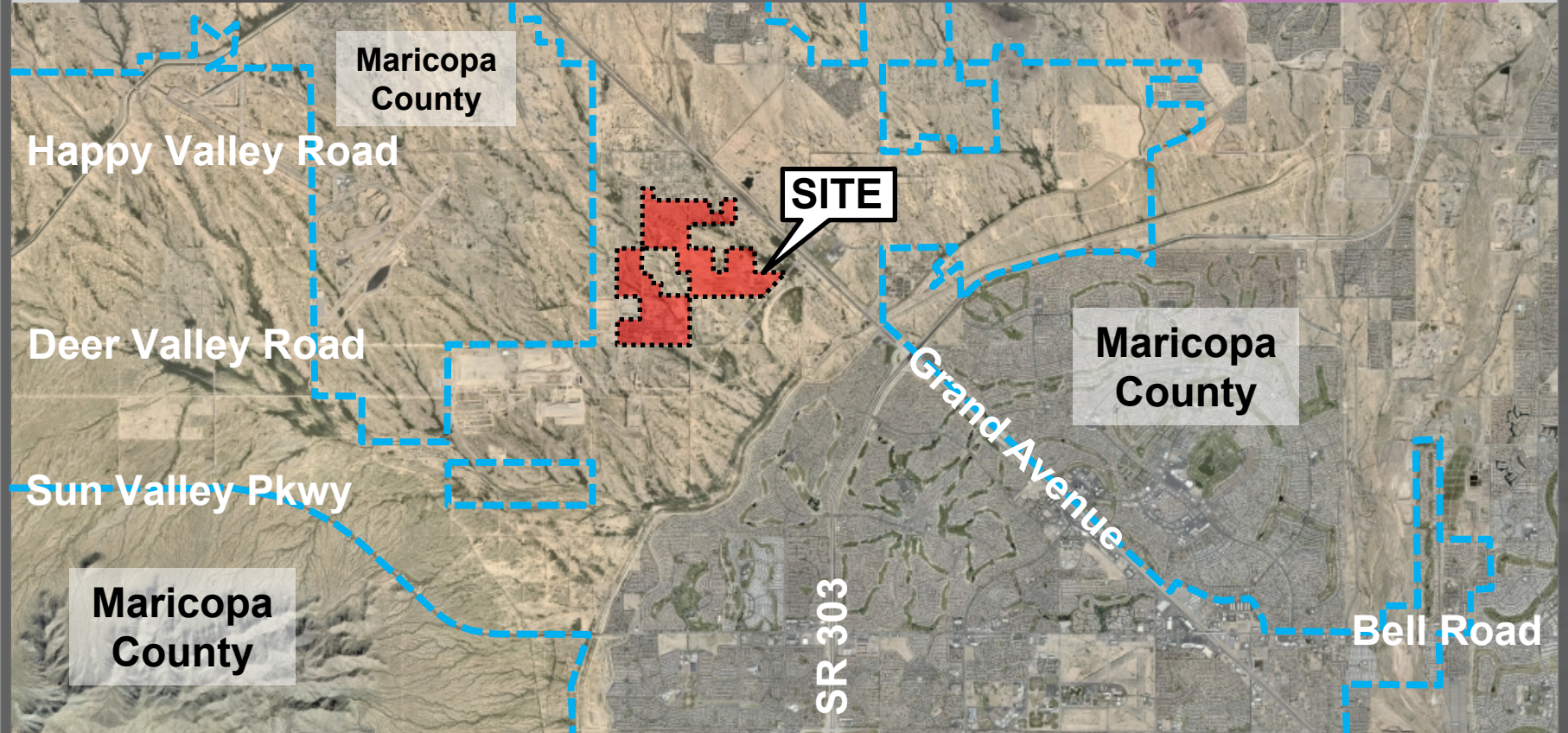
North Copper Canyon

Preliminary Plat

Mayor and City Council – May 19, 2020

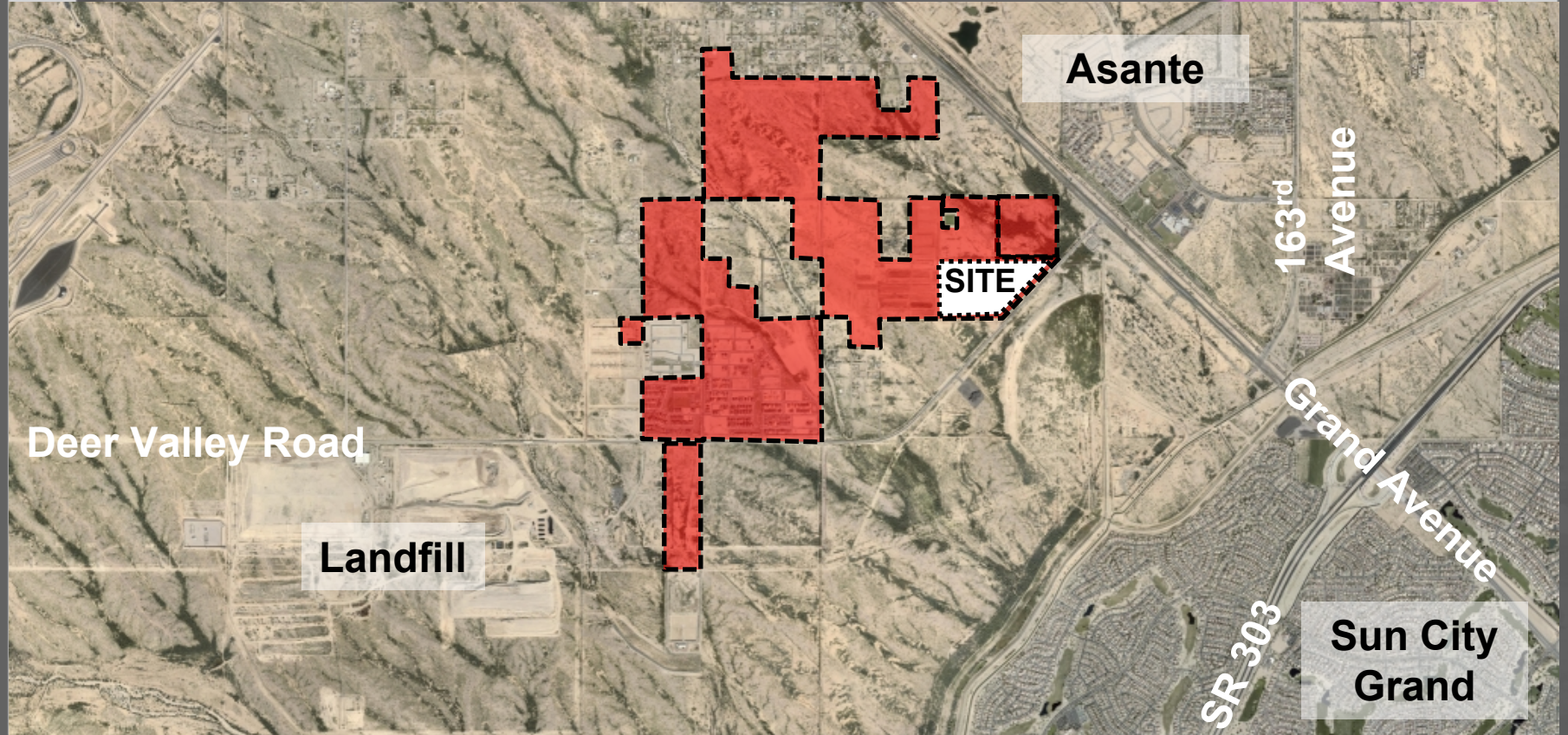
VICINITY MAP

FS19-721
North Copper Canyon



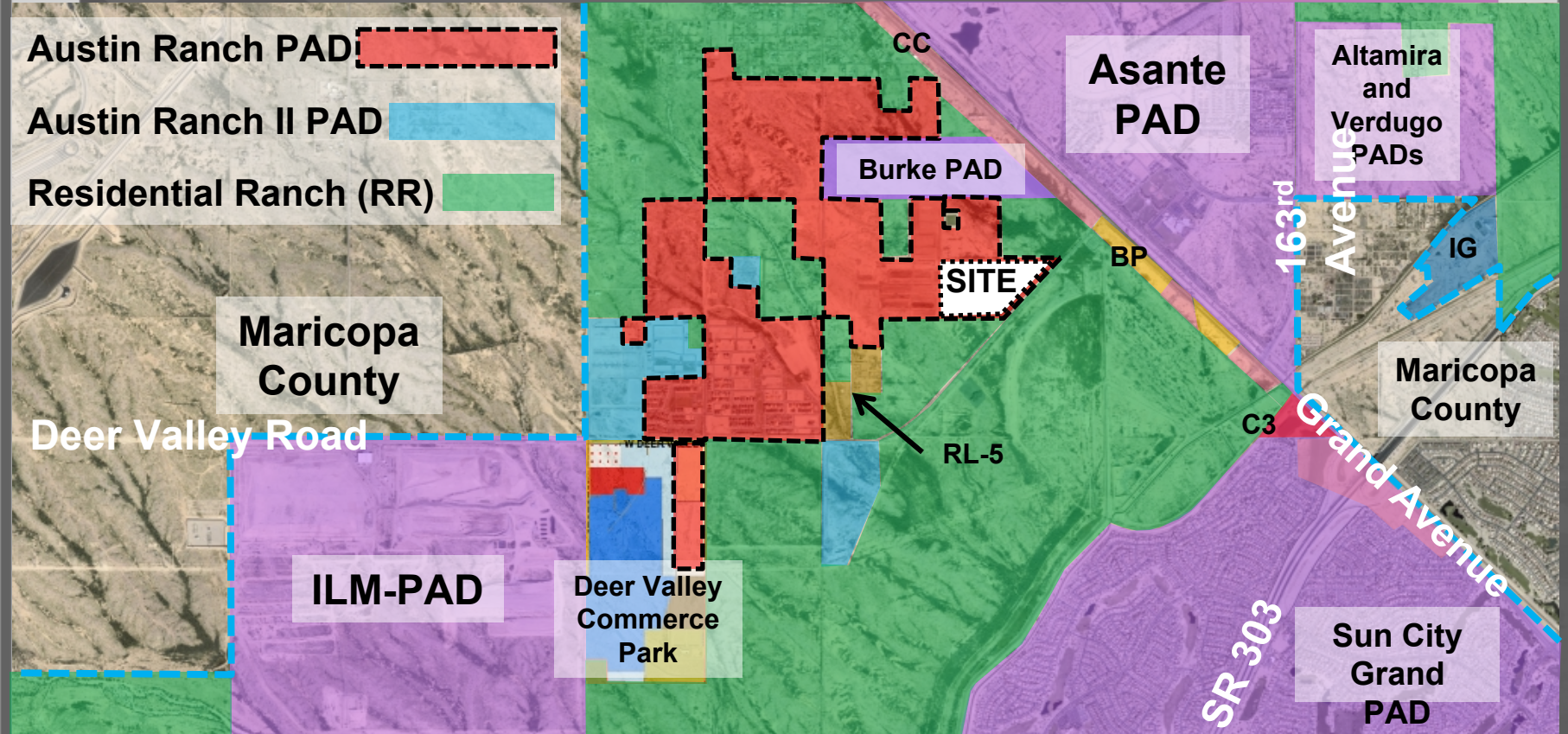
CONTEXT MAP

FS19-721
North Copper Canyon



ZONING MAP

FS19-721
North Copper Canyon

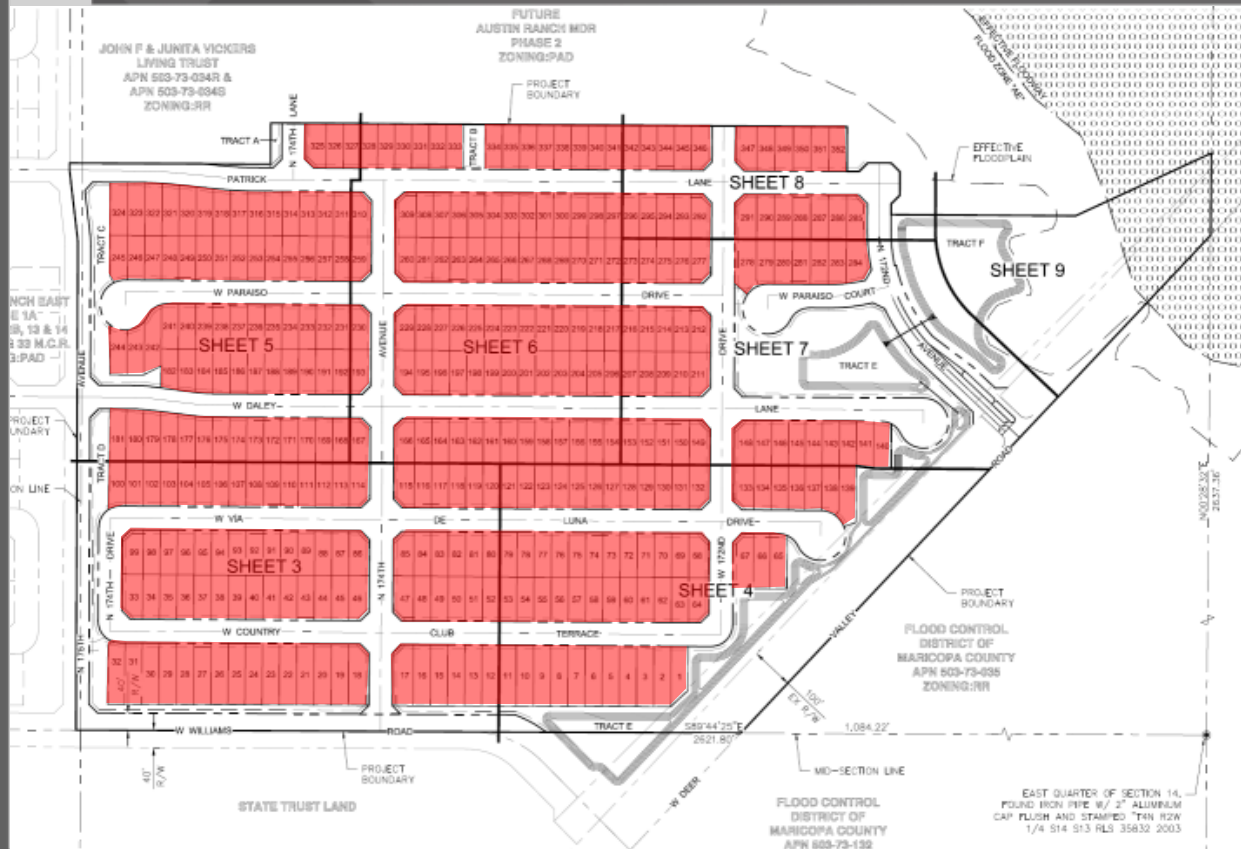


PRELIMINARY PLAT



66.89 Acres

PRELIMINARY PLAT



66.89 Acres

352 Units



PRELIMINARY PLAT



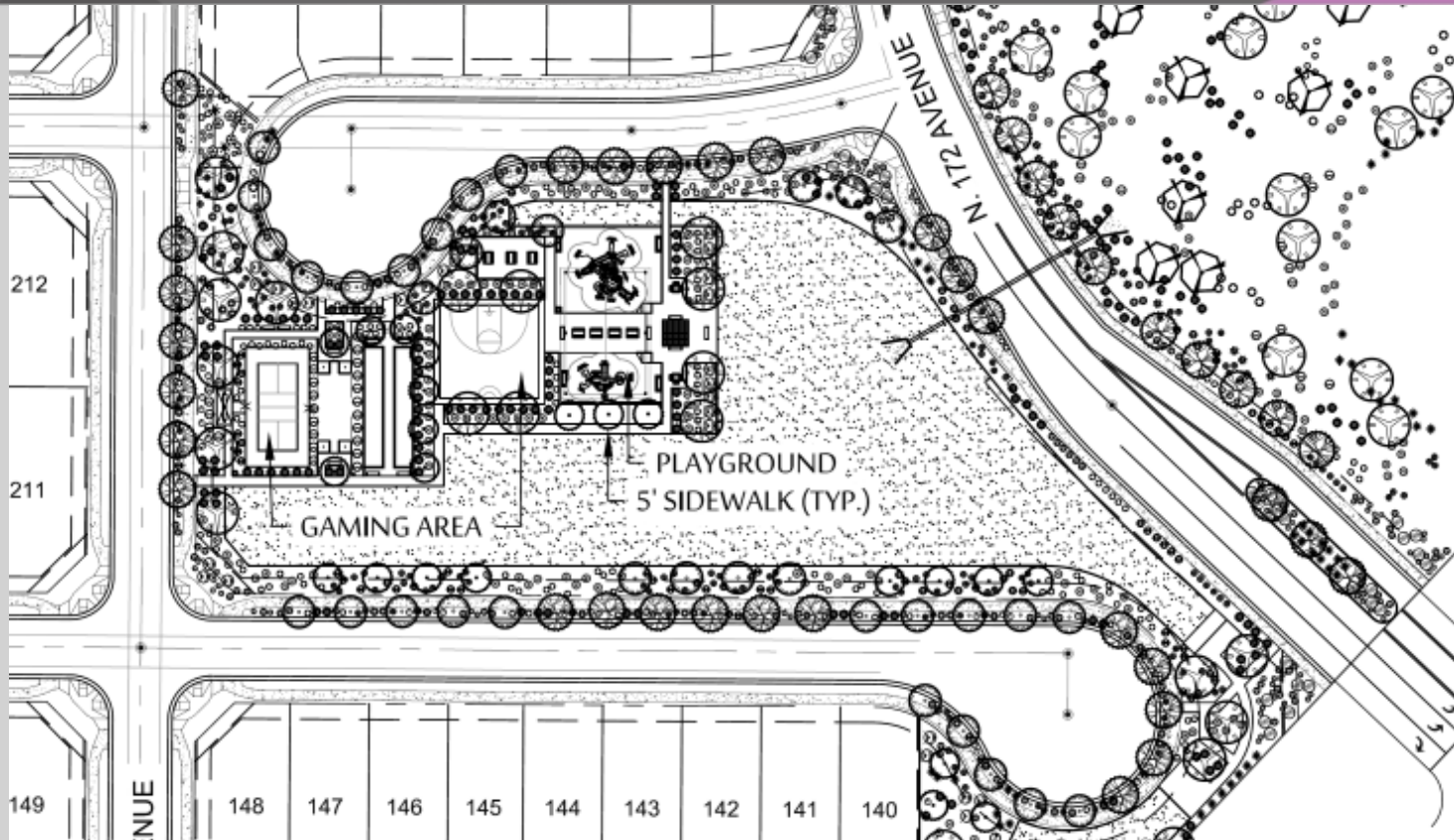
66.89 Acres

352 Units

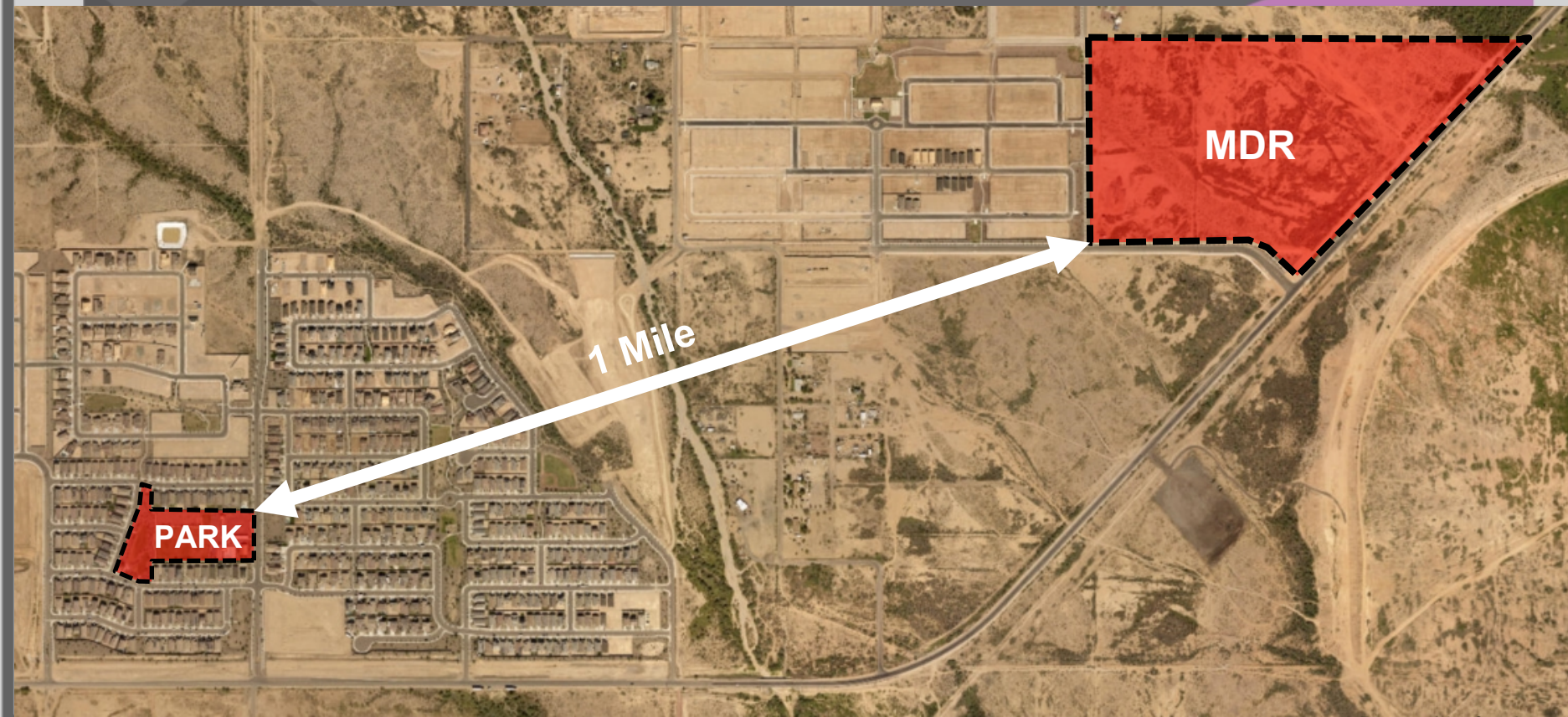
6 Tracts

5.26 DU/Ac

PARK



COMMUNITY POOL / PARK



COMMUNITY POOL / PARK





QUESTIONS OR COMMENTS?

Thank You



CITY OF SURPRISE
Regular City Council Meeting

Council Meeting Date: May 19, 2020

Contact Person: Andrea Davis, DIRECTOR -
FINANCE

Submitting Department: Finance

District: Internal

Staff Recommendations: None

Consent: No

Regular: No

Public Hearing: No

Report/Discussion: No

Agenda Wording:

Presentation and discussion pertaining to the FY2020 Financial Status Report through March 2020.

Motion:

Discussion only, there is no action.

Background:

This update will review the financial activity through the month of March 2020.

Objective Analysis:

The comparison of the actual financial activity to the plan laid out in the budget helps the city to determine the current financial position. This will allow for better short and long term financial planning as the current fiscal year is underway and the planning for the next budget begins.

Policy Compliant:

This item is compliant with City and Council Policy.

Financial Impact:

The attached presentation provides an update of the year to date revenue and expenditures for the General Fund.

Budget Impact:

This item does not amend the current fiscal year budget .There will be discussion of the city's financial performance to-date.

FTE Impact:

This item does not change the full-time equivalent position count.

ATTACHMENTS:

1. March Financial Status Update
-



SURPRISE
ARIZONA

FY2020 Financial Status Update March

May 19, 2020

Sources Category Examples

Local Sales Tax: Tax on Retail, Restaurants, Construction

Intergovernmental: State-shared sales tax, income tax, vehicle license

Charges for Services: Fees for programs and services (permits, youth soccer)

Primary Property Tax: Tax levied on property

Franchise Fees: Fees related to sales from franchised utility companies within the city (APS, Cox, Southwest Gas, EPCOR)

Transfers In: Indirect cost assessments – Enterprise payments for HR, Finance, IT, etc.



Sales and Use Tax Fiscal Year to Date as of March 2020

General Fund	2018 Actual	2019 Actual	2020 Actual	Actual 2020 to 2019		2020 Budget	Actual to Budget 2020	
				\$ Variance	% Variance		\$ Variance	% Variance
Retail	12,467,719	13,415,675	15,464,507	2,048,833	15%	14,286,700	1,177,807	8%
Vehicles	5,637,483	5,576,354	6,162,593	586,239	11%	5,602,800	559,793	10%
Communications/Utilities	3,800,797	3,802,409	3,681,955	(120,454)	-3%	3,944,400	(262,445)	-7%
Contracting	1,250,000	1,250,000	1,250,000	(0)	0%	1,250,000	(0)	0%
Restaurant/Bar	5,722,933	6,093,860	6,275,591	181,730	3%	6,517,100	(241,509)	-4%
Real Estate/Rental & Leasing	3,623,770	3,987,773	4,572,093	584,320	15%	4,262,100	309,993	7%
Arts/Entertainment	418,394	486,655	506,762	20,107	4%	514,900	(8,138)	-2%
Hotel/Motel	448,268	466,720	540,719	73,999	16%	477,900	62,819	13%
Transient Lodging	131,393	132,391	166,505	34,114	26%	131,000	35,505	27%
Use Tax	832,866	1,130,897	1,326,220	195,324	17%	1,377,400	(51,180)	-4%
Other Tax Activity	181,451	198,961	133,324	(65,637)	-33%	210,300	(76,976)	-37%
Total General Fund	34,515,074	36,541,695	40,080,269	3,538,574	10%	38,574,600	1,505,669	4%
Percentage of change from prior period		6%	10%					

FY2020 General Fund Sources

Category	FY20 Budget Thru March	FY20 Actual Thru March*	Amount Variance	Percent Variance
Local Sales Tax	\$ 38.6	\$ 40.1	\$ 1.5	3.9%
Intergovernmental	27.9	29.1	1.2	4.3%
Charges for Services/Other	9.5	15.4	5.9	62.1%
Primary Property Tax	6.0	5.9	(0.1)	(1.7)%
Franchise Fees	3.2	3.0	(0.2)	(6.3)%
Transfers In	5.3	5.3	-	-
Total	\$ 90.5	\$ 98.8	\$ 8.3	9.2%

Amounts in millions

*Unaudited

Uses Category Examples

Personnel: Wages, taxes, benefits, retirement

Supplies: Equipment, fuel, operational supplies

Services: Insurance claims, utilities, landscaping, advertising, postage

Capital: One-time purchases under \$100K

Transfers Out: Funding to Capital and Asset Replacement

FY2020 General Fund Uses

Category	FY20 Budget Thru March	FY20 Actual Thru March*	Amount Variance	Percent Variance
Personnel	\$ 61.9	\$ 58.8	\$ (3.1)	(5.0%)
Supplies	3.8	3.2	(0.6)	(15.8%)
Services	16.4	15.2	(1.2)	(7.3%)
Capital	0.3	0.3	-	-
Contingency	2.0	-	(2.0)	(100%)
Transfers Out	0.6	0.6	-	-
Total	85.0	78.1	(6.9)	(8.1%)
One-Time Capital	2.6	2.6	-	-
Grand Total	\$ 87.6	\$ 80.7	\$(6.9)	(7.9%)

Amounts in millions

*Unaudited



SURPRISE
ARIZONA

**QUESTIONS OR
COMMENTS?**

Thank You