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2020 New Mexico Consolidated Annual Performance Report (CAPER)

New Mexico Mortgage Finance Authority

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New Mexico Department of Finance and Administration



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List of Acronyms and Abbreviations for CAPER

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Attachment B – ESG Match Source 2020

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CAPER

CR-05 - Goals and Outcomes

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

This New Mexico Consolidated Annual Performance and Evaluation Report (CAPER) describes progress on implementation of New Mexico's Consolidated Plan during 2020. The Consolidated Plan covers the use of five formula grant programs: Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Emergency Solutions Grants (ESG), Housing Opportunities for Persons With AIDS (HOPWA), and Housing Trust Fund (HTF) for the period of January 1, 2020 through December 31, 2020. During 2020, the New Mexico Mortgage Finance Authority (MFA) administered HOME, ESG, HOPWA and HTF. The New Mexico Department of Finance and Administration, Local Government Division, administered CDBG.

As part of the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), MFA and DFA received funding from HUD that is available to CDBG, ESG and HOPWA. These funds will be identified as "CDBG-CV," "ESG-CV" and "HOPWA-CV," respectively. References in the Action Plan narratives for CARES Act funds will refer to "CDBG-CV1," "ESG-CV1" and "HOPWA-CV1", respectively, for the first allocation and "CDBG-CV2" and "ESG-CV2", respectively, for the second allocation. The annual allocations of the federal grant programs will be referred to as "regular CDBG," "regular ESG" and "regular HOPWA" throughout the narratives. Unless noted or depicted as above or otherwise, the terms "CDBG," "ESG" and "HOPWA" in the narratives will refer to *all* CDBG, ESG, or HOPWA funds, inclusive of all CARES Act allocations and all annual allocations.

HOME Highlights:

During 2020, MFA HOME funds were used to meet the following goals:

- Goal 2A: Rehabilitate Owner-Occupied Housing expected 68 household units; 8 HOME units were rehabilitated in 2020.
- Goal 2B: Increase Homeownership Opportunities expected 6 household units to be added and 6 household units to be assisted with direct financial assistance; 0 HOME units were completed for both indicators.
- Goal 2C: Develop Affordable Rental Housing expected 7 rental household units constructed and 7 rental household units rehabilitated; 7 rental units were constructed, and 7 rental units were rehabilitated.

ESG Highlights:

Serving homeless and special needs populations by expanding housing for targeted populations and increasing services through overnight shelter and homelessness prevention were the focus of MFA's Emergency Housing Assistance Program (EHAP), Continuum of Care Match (CoC) and Rental Assistance Program (RAP) programs in 2020. MFA funded EHAP, RAP and CoC agencies without duplicates with regular ESG funding for _____ individuals and ESG-CV funding for _____ individuals.

ESG funds were used to meet the following goals:

- Goal 4A: Provide Assistance to Reduce Homelessness expected 2,809 households assisted through tenant-based rental assistance/Rapid Rehousing and 9,899 persons assisted through Homelessness Prevention; _____ households were assisted through tenant-based rental assistance/Rapid Rehousing and _____ persons were assisted through Homelessness Prevention.

Commented [DF1]: Data is derived from ESG Sage CAPER and data will be updated upon completion.

- Goal 4B: Provide Assistance for Shelters expected 6,684 persons assisted through homeless person overnight shelters; _____ persons were assisted.

HOPWA Highlights:

The 2020 goal for the HOPWA program encompassed providing funding for housing operations to 266 individuals. For 2020, a total of ____ HOPWA-eligible individuals were assisted with HOPWA funding for tenant-based rental assistance (TBRA), short-term rent, mortgage and utilities (STRMU) and permanent housing placement (PHP) or to provide supportive services to client households.

Commented [DF2]: HOPWA CAPER is a separate document and in process of completion.

HOPWA funds were used to meet the following goals:

- Goal 4C: Provide Housing Assistance to Persons with HIV/AIDS expected 95 households assisted through tenant-based rental assistance/Rapid Rehousing and 171 households assisted through Homelessness Prevention; _____ households were assisted through tenant-based rental assistance/Rapid Rehousing and _____ households were assisted through Homelessness Prevention.

CDBG Highlights:

The strategic focus of the regular CDBG program for non-entitlement communities is to enhance the quality of New Mexico's community development activities by improving the quality of New Mexico's infrastructure. The Community Development Council (CDC) as part of the Department of Finance and Administration (DFA) was successful in meeting this strategic goal by awarding funds to 14 qualified regular CDBG applications during the 2020 review period. **See Attachment A - 2020 CDBG Applications Funded.** The majority of the applications were for infrastructure projects, with additional funding set aside for planning and economic development. According to the IDIS PR- 23 CDBG Summary of Accomplishments for 2020, regular CDBG projects assisted a total of 115,229 beneficiaries; 86,959 are from open projects and 28,270 are from completed projects.

CDBG funds were used to meet the following goals:

- Goal 1A: Expand & Improve Public Infrastructure and Facilities expected 33,057 persons assisted; 28,270 were assisted for public facility or infrastructure activities.
- Goal 2A: Rehabilitate Owner-Occupied Housing expected 68 household units to be rehabilitated; 168 household units were rehabilitated.
- Goal 2B: Increase Homeownership Opportunities expected 6 homeowner housing units to be added and 6 household units assisted with direct financial assistance to homebuyers; 0 household housing units added and assisted with direct financial assistance.
- Goal 3A: Provide Assistance for Job Creation expected 0 jobs created/retained and 0 businesses assisted.

HTF Highlights:

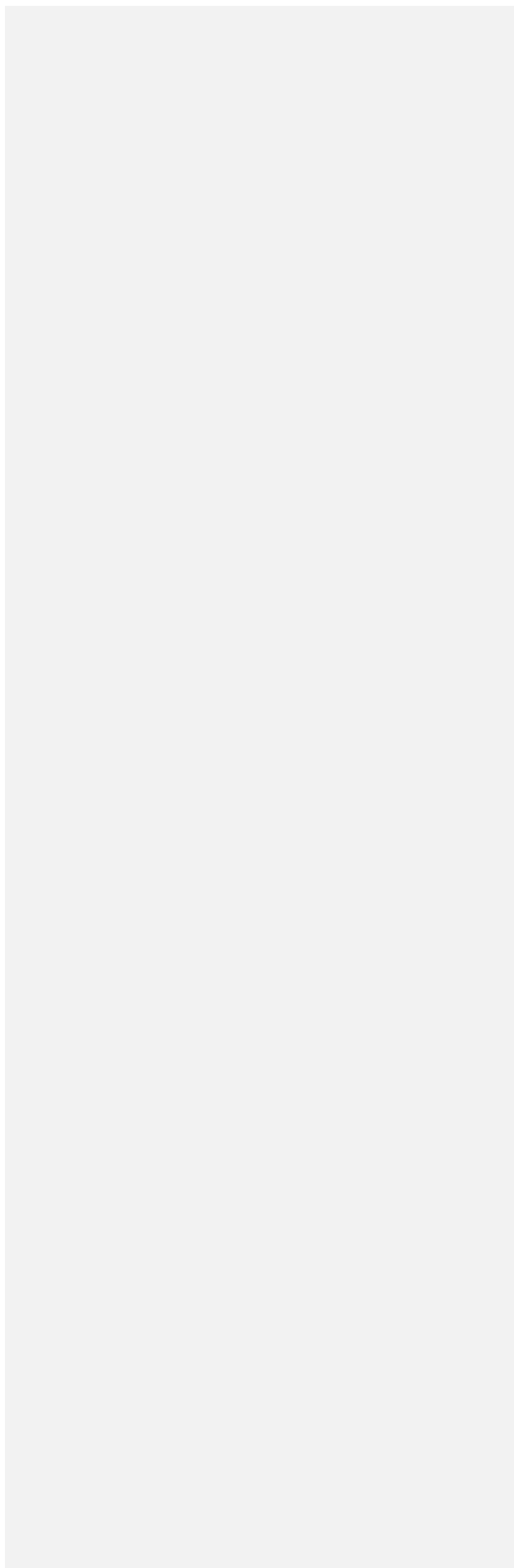
MFA has received five annual HTF allocations of \$3,000,000 each through 2016 – 2020. MFA published a Notice of Funding Availability (NOFA) for HTF in 2017. Applications are currently accepted on a rolling basis. These funds were used to meet 2020-2024 Consolidated Plan and 2020 Action Plan goals. In 2020, two projects were completed producing ten HTF units.

HTF funds were used to meet the following goals:

- Goal 2D: Develop Housing for Vulnerable Populations expected 8 rental units constructed and 8 rental units rehabilitated; 3 rental units were constructed, and 7 rental units were rehabilitated.

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

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee's program year goals are shown in the following table:



	Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
1	1A. Expand & Improve Public Infrastructure and Facilities	Non-Housing Community Development	CDBG: \$10,403,890	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	162,708	28,270	17.37%	33,057	28,270	85.52%
2	2A. Rehabilitate Owner-Occupied Housing	Affordable Housing	HOME: \$6,673,651 CDBG: \$550,956	Homeowner Housing Rehabilitated	Household Housing Units	193	176	91.19%	68	176	258.82%
3	2B. Increase Homeownership Opportunities	Affordable Housing	HOME: \$937,450 CDBG: \$250,000	Homeowner Housing Added	Household Housing Unit	16	0	0.00%	6	0	0.00%
				Direct Financial Assistance to Homebuyers	Households Assisted	8	0	0.00%	6	0	0.00%
4	2C. Develop Affordable Rental Housing	Affordable Housing	HOME: \$4,411,517	Rental units constructed	Household Housing Unit	21	7	33.33%	7	7	100.00%
				Rental units rehabilitated	Household Housing Unit	28	7	25.00%	7	7	100.00%
5	2D. Develop Housing for Vulnerable Populations	Affordable Housing	HTF: \$4,830,000	Rental units constructed	Household Housing Unit	28	3	10.71%	8	3	37.50%
				Rental units rehabilitated	Household Housing Unit	28	7	25.00%	8	7	87.50%

6	3A. Provide Assistance for Job Creation	Non-Housing Community Development	CDBG: \$0	Jobs created/retained	Jobs	17	0	0.00%	0	0	0.00%
				Businesses assisted	Businesses Assisted	1	0	0.00%	0	0	0.00%
7	4A. Provide Assistance to Reduce Homelessness	Homeless	ESG: \$570,523 ESG-CV1: \$2,115,107 ESG-CV2: \$5,070,622 CDBG: \$1,030,625 CDBG-CV1: \$6,802,356 CDBG-CV2: \$5,528,301	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	3,291	0	0.00%	2,809		0.00%
				Homelessness Prevention	Persons Assisted	11,456	0	0.00%	9,899		0.00%
8	4B. Provide Assistance for Shelters	Homeless	ESG: \$630,217 ESG-CV1: \$2,025,376 ESG-CV2: \$3,725,197	Homeless Person Overnight Shelter	Persons Assisted	33,422	0	0.00%	6,684		0.00%
9	4C. Provide Housing Assistance to Persons w/ HIV/AIDS	Non-Homeless Special Needs	HOPWA: \$1,004,413 HOPWA-CV1: \$146,170	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	426	0	0.00%	95		0.00%
				Homelessness Prevention	Households Assisted	752	0	0.00%	171		0.00%

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

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

Based upon information reported in the Consolidated Plan, the highest needs were construction and rehabilitation of public facilities and public infrastructure, rehabilitation of owner-occupied single-family housing, new construction of single-family housing for homeownership, provision of down payment assistance, development of affordable rental housing, development of housing for vulnerable populations, which may include special needs housing and housing for persons experiencing homelessness, promote job growth and retention through investment into local economies, and provide assistance to individuals and families experiencing or at-risk of homelessness and persons with HIV/AIDS.

The overall goal of each formula grant program is to provide safe, decent and affordable housing and community development to low- income New Mexicans. As shown in Table 1, formula grant programs are distributing funds and completing projects in a timely manner. The programs are constantly reevaluated to make sure they are run in the most efficient manner possible to serve the greatest number of New Mexicans with the most serious needs. All of the formula grant programs work in collaboration with partners statewide, including citizens, local housing providers, units of local government and the private sector to maximize program accessibility. The information presented in Table 1 was drawn from goals set during the Consolidated Plan/Action Plan process that have since been updated to more closely reflect the production capacity.

CDBG: DFA's objectives in the distribution of housing and community development resources are to create suitable living environments and to create economic opportunities within the state. The highest priorities for the CDBG program translated into three primary goals: 1) Fund improvements to CDBG non-entitlement area water/wastewater systems and streets, 2) Encourage planning that includes the entities' comprehensive plans, asset management, preliminary engineering reports and any other studies, 3) Expand and improve public infrastructure and facilities, 4) Rehabilitate owner-occupied housing, 5) Provide assistance through job creation and 6) provide assistance to reduce homelessness. The source amount for regular CDBG is \$12,235,471, CDBG-CV1 is \$6,802,356, and CDBG-CV2 is \$5,528,301.

ESG: MFA assists the greatest number of people experiencing homelessness through MFA's Emergency Housing Assistance Program, funded with ESG and state homeless funding. ESG assistance includes operating and supportive service costs for emergency shelter facilities, rental assistance, housing relocation and stabilization services for people experiencing homelessness and those at imminent risk of homelessness that need to be re-housed. The source amount for regular ESG is \$1,200,740, ESG-CV1 is \$4,140,483, and ESG-CV2 is \$8,795,819.

HOME: HOME funding addresses the high priority needs of rehabilitation of owner-occupied single-family housing, new construction of single-family housing for homeownership, provision of down payment assistance, and development of affordable rental housing. The source amount for HOME is \$12,022,618.

HOPWA: HOPWA funding was used primarily to address the continuing need for assistance with short term rental, mortgage and utilities and rental assistance to secure permanent housing for clients diagnosed with HIV/AIDS. Additionally, HOPWA was used to provide supportive services for clients. The source amount for regular HOPWA is \$1,004,413 and HOPWA-CV1 is \$146,170.

HTF: A NOFA for our Housing Trust Fund Program was posted in June of 2017 and was revised in July 2017. HTF funding was used to address the priorities of Rental New Construction and Development of Special Needs Housing, specifically for extremely low-income households whose incomes do not exceed the higher

of 30 percent AMI or the federal poverty level. The source amount for HTF is \$4,830,000.

CR-10 - Racial and Ethnic composition of families assisted

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

91.520(a)

	CDBG	HOME	HOPWA	ESG	HTF
White	167	14			10
Black or African American	1	0			0
Asian	0	0			0
American Indian or American Native	0	8			0
Native Hawaiian or Other Pacific Islander	0	0			0
American Indian/American Native & White	0	0			0
American Indian/American Native & Black	0	0			0
Black African American & White	0	0			0
Other Multi-Racial	0	0			0
Data Not Collected/Client Refused	0	0			0
Total	168	22			0
Hispanic	164	11			9
Not Hispanic	4	11			1
Data Not Collected/Client Refused	0	0			0

Table 2 – Table of assistance to racial and ethnic populations by source of funds

Commented [DF3]: Waiting for HOPWA CAPER to be completed

Commented [DF4]: Waiting for Sage CAPER to be completed.

Narrative

Table 2 above has been modified to include additional definitions of race that were collected during 2020 by MFA and DFA. CDBG data is for beneficiaries or individuals shown on the PR-23 CDBG Summary of Accomplishments for Program Year 2020. CDBG Beneficiaries by Racial/Ethnic Category, used in the table CR-10, is derived from IDIS report PR 23. The “direct beneficiary” data for projects completed in 2020 only applies to projects using the LMI methodologies LMC, LMH, and LMJ. Projects qualifying using LMI methodology LMA does not require race and ethnicity data in IDIS thus are not included in the PR 23. However, this information is kept on file at the state as required by HUD.

HOME data is from IDIS and MFA’s database.

HOPWA data is extracted from the Homeless Management Information System (HMIS).

ESG data is from ESG CAPER reports uploaded into Sage.

HTF data is from IDIS and MFA’s database.

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Source of Funds	Source	Resources Made Available (IDIS Report)	Amount Expended During Program Year
CDBG	CDBG	12,235,471	8,632,336
HOME	HOME	12,022,618	3,055,614
HOPWA	HOPWA	1,004,413	1,004,413
ESG	ESG	1,200,740	1,200,740
HTF	HTF	4,830,000	1,675,000
Other	CDBG-CV1	6,802,356	0
Other	CDBG-CV2	5,528,301	0
Other	HOPWA-CV1	146,170	146,170
Other	ESG-CV1	4,140,483	424,853
Other	ESG-CV2	8,795,819	0

Table 3 - Resources Made Available

Narrative

The amounts expended shown above reflect actual expenditures for eligible activities.

Identify the geographic distribution and location of investments

CDBG Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description
COLONIAS NEIGHBORHOOD	10	0%	CDBG did not award a Colonias applicant/project.
Statewide	90	100%	The state does not prioritize funds geographically. Funds are available statewide, awarded \$10,583,849.

Table 4 – Identify the geographic distribution and location of investments

Narrative

DFA did not fund a Colonias project, however, DFA has actively promoted Colonias projects to increase the likelihood of Colonias eligible projects during the next program year.

HOME, ESG, HOPWA and HTF do not prioritize funding geographically.

Leveraging

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

HOME: New Mexico has qualified for match reductions for many years, 100 percent in 2015, 2016, 2017 and 2018. In 2019, New Mexico qualified for a 50% match reduction. In 2020, New Mexico qualified for a 100% match reduction due to the statutory suspension and regulatory waivers available to major disaster areas is for the reduction of the matching contribution requirement for funds expended between October 1, 2019 and September 30, 2021.

ESG: Leveraged sources included cash from other federal funds, state government, local government, private sources, fundraising events and charitable organizations included in “other” along with in-kind donations such as rent for office space, case management services and volunteer services. ESG Match data for 2020 is \$807,361 with details contained in **Attachment B - ESG Match Source 2020**.

CDBG: All CDBG infrastructure projects funded by DFA require a minimum cash match by the respective county or municipality. In New Mexico, “rural” communities are required to contribute 5 percent of the CDBG grant award and “non-rural” communities are required to contribute 10 percent of the CDBG grant award. Rural communities are defined as counties with population less than 25,000 and incorporated municipalities with a population less than 3,000. “Non-rural” communities consist of counties and municipalities with a population greater than the rural definitions. Any additional contribution toward the project in excess of the cash match requirement is considered leveraged funding. In 2020, the total matching fund contribution for completed projects was \$ _____, which consisted of \$ _____ in cash match and \$ _____ in leveraging.

Commented [DF5]: CDBG data will be updated when received.

HOPWA: HOPWA funds can be leveraged with housing assistance through Ryan White funds, or by City of Albuquerque emergency and transitional housing funds. More information on those sources can be found in **Attachment H - HOPWA CAPER 2020**.

HTF: HTF funds can be leveraged with HOME and other rental financing sources. There is no match requirement for HTF.

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	\$8,121,968
2. Match contributed during current Federal fiscal year	\$0
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	\$8,121,968
4. Match liability for current Federal fiscal year	\$0
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	\$8,121,968

Table 5 – Fiscal Year Summary - HOME Match Report

HOME Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match
n/a	n/a	0	0	0	0	0	0	0

Table 6 – Match Contribution for the Federal Fiscal Year

HOME Report				
Program Income – Enter the program amounts for the reporting period				
Balance on hand at begin-ning of reporting period \$	Amount received during reporting period \$	Total amount expended during reporting period \$	Amount expended for TBRA \$	Balance on hand at end of reporting period \$
2,146,612.48	2,388,374.63	729,612.53	0.00	3,805,374.58

Table 7 – Program Income

MBE/WBE Report						
Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period						
	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Contracts						
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0
Sub-Contracts						
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0
	Total	Women Business Enterprises	Male			
Contracts						
Number	0	0	0			
Dollar Amount	0	0	0			
Sub-Contracts						
Number	0	0	0			
Dollar Amount	0	0	0			

Table 8 - Minority Business and Women Business Enterprises

Minority Owners of Rental Property – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0

Table 9 – Minority Owners of Rental Property

Relocation and Real Property Acquisition – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition

	Number		Cost			
Parcels Acquired	0		\$0			
Businesses Displaced	0		\$0			
Nonprofit Organizations Displaced	0		\$0			
Households Temporarily Relocated; not Displaced	0		\$0			
Households Displaced	Total	Minority				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	\$0	\$0	\$0	\$0	\$0	\$0

Table 10 – Relocation and Real Property Acquisition

CR-20 - Affordable Housing 91.520(b)

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

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	0	0
Number of Non-Homeless households to be provided affordable housing units	81	190
Number of Special-Needs households to be provided affordable housing units	0	0
Total	81	190

Table 11 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	0	14
Number of households supported through The Production of New Units	12	0
Number of households supported through Rehab of Existing Units	69	176
Number of households supported through Acquisition of Existing Units	0	0
Total	81	190

Table 12 – Number of Households Supported

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

For **Tables 11 and 12** the one-year goals were taken from the 2020 Action Plan and reflect HOME and CDBG goals.

The actual numbers are HOME and CDBG program completion numbers from 2020. The 14 units completed under “Number of households supported through Rental Assistance” were rental rehabilitation and new construction projects, as MFA does not use HOME funds to provide TBRA. Additionally, 168 CDBG units and 8 HOME units were completed under "Number of households supported through Rehab of Existing Units." Production of new units under MFA’s HOME single family development program was expected to occur through a proposed project that was not awarded due to delays on the part of the project’s developer. Rehabilitation of existing units under MFA’s HOME homeowner rehabilitation program experienced unexpected delays in 2019 and 2020 but is expected to accelerate significantly in 2021.

Discuss how these outcomes will impact future annual action plans.

MFA will evaluate production and adjust goals accordingly. MFA is evaluating new single family development activity.

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

Number of Households Served	CDBG Actual	HOME Actual	HTF Actual
Extremely Low-income	10	18	10
Low-income	80	4	0
Moderate-income	78	0	0
Total	168	22	10

Table 13 – Number of Households Served

Narrative Information

CDBG actual numbers of persons served by income was taken from IDIS PR23 CDBG Summary of Accomplishments for 2020. When census data is used for national benefit qualification, IDIS does not have a screen to populate beneficiary race, ethnicity or LMA income specifics.

HOME numbers are compared against the PR23 HOME Summary of Accomplishment report for Program Year 2020. Both MFA’s HOME numbers and the PR23 numbers match.

HTF numbers are compared against the PR110 HTF Production Report for Program Year 2020. Both MFA’s HTF numbers and PR110 numbers match.

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

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

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

The New Mexico Coalition to End Homelessness (NMCEH) manages two Coordinated Entry Systems (CES) that cover their respective Continuums of Care (NM-500 and NM-501). CES is a geographical triage system that functions by completing vulnerability assessment for people experiencing homelessness, identifying their needs and making referrals to the most appropriate housing interventions. CES relies heavily on collaborative work in communities across the state to coordinate support, services, and housing assistance to reduce the time a household will experience homelessness. Since 2014, CES has become a foundational system throughout the state in identifying the needs of all persons seeking assistance or those returning to homelessness from a previously housed destination that is inclusive of veterans, families, youth and those experiencing chronically homeless. CES uses the Vulnerability Index - Service Prioritization Decision Assistance Tool (VI-SPDAT), which helps to determine each applicant's acuity, relative need for housing and the type of housing that would be most appropriate to assist their needs. The assessments are done at the NMCEH as well as CoC and ESG-funded agencies, health centers, veteran programs, correctional facilities and during street outreach. Since its inception, CES has assessed over 51,000 individuals.

Addressing the emergency shelter and transitional housing needs of homeless persons

Through its Emergency Housing Assistance Program (EHAP), MFA provides ESG funds for shelter operating costs and eligible essential services to those in shelters.

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

The State of New Mexico Human Services Department has discharge planning policies in place for people exiting mental health facilities, health care facilities and foster care. In New Mexico MFA works with a network of providers to administer the Rental Assistance Program (RAP), funded with ESG and state funding, which provides short-term rental assistance and other housing assistance for those at risk of homelessness.

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

recently homeless from becoming homeless again

CES collects and manages data showing how long people are waiting for housing when they have been placed in housing, and if a person returns to homelessness. In Albuquerque, CES implements a broad network of connectivity, providing people diverse options to housing, support, and services. From inception to date, Albuquerque CES has surveyed over 12,000 duplicated households. In the calendar year 2019, the Albuquerque CES identified 3,076 households seeking assistance. Of those, 317 identified as veterans and 1,197 identified as experiencing chronic homelessness. During the 2019 calendar year, CES connected 776 households to housing assistance. This included 196 veterans and 297 that were chronically homeless. Furthermore, the average length of time from identification to residential move-in date in Albuquerque was 225 days.

In the Balance-of-State CoC (all geographic areas outside Albuquerque), among the 1,194 total number of applicants assessed in CY2019, there were 107 veterans and 421 chronically homeless. Furthermore, among the 222 total number of CY2019 applicants placed into housing or supportive housing programs, there were 47 veterans and 78 chronically homeless. The average length of time from identification to residential move-in date for Balance-of-State was 75.44 days.

Commented [DF6]: Data will be updated upon ESG CAPER completion.

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

Actions taken to address the needs of public housing

There are a total of 17 Public Housing Authorities (PHAs) in New Mexico, within the jurisdiction of the State Consolidated Plan. There are three Regional Housing Authorities (RHAs) that serve large rural regions of the state. MFA has oversight responsibility for the RHAs pursuant to state statute and provides the RHAs with training, technical assistance and review and approval of board members and certain contracts and expenditures. However, neither DFA nor MFA operate public housing or directly plan resident initiatives.

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

DFA and MFA do not operate public housing or plan resident initiatives.

Actions taken to provide assistance to troubled PHAs

In 2009, MFA was mandated by the New Mexico legislature to restructure and to provide oversight for the state's RHAs. MFA also provides technical assistance to enhance the organizational and financial capacity of RHAs. This assistance helps the RHAs to preserve and enhance public housing, retain vouchers and expand affordable housing services and programs in rural communities where they are critically needed.

MFA has oversight responsibility but no actual authority over PHAs; however, if needed, MFA can assist when troubled PHAs consolidate with larger RHAs which operate at more sustainable economies of scale. MFA continues to assist the regional housing authorities to build capacity and provide financial and technical assistance, which includes three specific goals: establish the regionals as strong, effective organizations by improving their financial and operational capacity; enable the regional housing authorities' expansions into new program areas to provide a full-range of affordable housing opportunities in rural communities; and enable the regionals to readily consolidate with failing public housing authorities.

Northern Regional Housing Authority (NRHA) is in troubled status with HUD. MFA efforts toward assisting NRHA in 2020 included:

- Contracting with Gallup Housing Authority to provide training and technical assistance to the acting Executive Director;
- Contracting with Eastern Regional Housing Authority and El Camino Real Housing Authority to provide an assessment of the overall status of NRHA;
- Hosting NRHA's Board Meetings at MFA and encouraging their Board members to be present and engaged;
- Vetting four new NRHA Commissioners who are now official and allowing for an operational Board;
- Providing numerous hours of assistance to the Board Chair to manage the staffing issues at NRHA;
- Meeting numerous times with the Board Chair to discuss options for NRHA staffing issues; and
- Providing financial assistance for NRHA to complete their re-certifications.

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

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

Passed in General Election of 2004, the New Mexico State Legislature created the Affordable Housing Act, which exempts affordable housing from the anti-donation clause of the New Mexico State Constitution.

By reviewing and approving the affordable housing plans of local governments under the Affordable Housing Act, MFA performs a comprehensive review of community and housing needs, land use policies, zoning, and makes recommendations to the local government for modifying policies to mitigate barriers to affordable housing. Pursuant to the Affordable Housing Act, MFA also supports local governments in drafting and adopting ordinances that maximize contributions to affordable housing development.

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

MFA oversees the Affordable Housing Act and approves affordable housing donations, plans and ordinances that target underserved housing needs. The Affordable Housing Act is pivotal to developing new affordable housing, addressing housing needs of cost-burdened households and advancing structural rehabilitation and preservation initiatives. MFA provides comprehensive technical training and assistance on an ongoing basis to affordable housing projects as needed, and collaborates with communities and local governments in fostering affordable housing, as well as economic development in New Mexico communities statewide. To date, 41 local governments have affordable housing ordinances, and 47 have affordable housing plans. As of 12/31/20, local governments have contributed over \$72.6 million to affordable housing development.

DFA recognizes that community development needs far exceed the available resources to address those needs. DFA actively participates in conferences and workshops sponsored and attended by other federal and state agencies and affiliates who also have funding for Colonias, infrastructure and economic development projects. This cross-agency collaboration informs and educates all involved and can be of great benefit to our municipalities. By leveraging multiple funding streams, New Mexico's local government areas can plan and successfully complete large infrastructure projects.

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

MFA continues to set aside a percentage of the state's formula HOME allocation for eligible lead-based paint assessment and remediation activities. In 2020, MFA disbursed \$10,756 toward those activities. **See Attachment D: HOME - LBP Expended.** These additional funds for lead hazard remediation and abatement have encouraged additional businesses and organizations to obtain appropriate training in order to provide remediation services. MFA encourages service providers and professionals statewide to receive formal training and any applicable lead-based paint certifications in an effort to improve the efficiency of the rehabilitation services delivery system.

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

Having safe and affordable housing is the foundation for reducing poverty. Reducing housing costs gives families more money to spend on necessities like food and medicine as well as providing the security and stability needed to achieve economic wellbeing. Overall, it is an improvement in the quality of life.

MFA has allocated the resources below to try to reach those families living below the poverty line:

1. Low-interest mortgages for first-time homebuyers,
2. Pre-purchase housing counseling,
3. Down payment and closing cost assistance,
4. NM EnergySmart Program (weatherization) serving households with incomes below 200 percent of poverty,
5. Additional points in the LIHTC Qualified Allocation Plan (QAP) for projects that house lower-income tenants and special needs households,
6. Collaborative work with other agencies whose goals and objectives support New Mexicans living below the poverty line, such as the New Mexico Coalition to End Homelessness and the Behavioral Health Collaborative,
7. Rehabilitation of owner occupied homes, and
8. Development of affordable rental units.

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

MFA administers the HOME, HOPWA, ESG and HTF programs. For each of these programs, MFA provides training, makes funding available through a Request for Proposal and/or NOFA process and manages Integrated Disbursement and Information System (IDIS). Examples of how MFA develops institutional infrastructure include: utilizing its own general funds to provide training and technical assistance to grantees; publishing a statewide housing resource directory which includes all housing providers in the state; holding New Mexico's only Housing Summit which provides training, information sharing and networking for housing professionals across the full continuum of housing; and providing financial support to the New Mexico Coalition to End Homelessness to administer the HMIS data management system. The 2020 Housing Summit was postponed due to the COVID-19 pandemic and state public health orders. MFA is in the process of creating a virtual conference for the next Housing Summit, virtual trainings and outreach to potential service providers depending on the stature of the pandemic and state public health orders.

DFA is the administering agency for CDBG, the Neighborhood Stabilization Program (NSP) and legislative capital outlay projects. Some of the capital outlay projects, if appropriate, provide leveraged funds to CDBG projects. DFA provides training and technical assistance, makes CDBG funding available through an application process, provides monitoring and programmatic oversight and manages US Department of Housing and Urban Development (HUD) data systems (IDIS for CDBG and Disaster Recovery Grant Reporting system for NSP).

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

Many of MFA's programs and projects, including those using HOPWA, ESG, HOME and HTF directly involve social service agencies in assisting residents to obtain and maintain their housing. Social services are provided within the HOPWA program and MFA's two homeless prevention programs that utilize ESG

funds (EHAP: Emergency Homeless Assistance Program and RAP: Rental Assistance Program). To the extent HTF and HOME funds are utilized for special needs housing, social and supportive services are often provided on-site for special needs residents. MFA also administers a state-funded voucher program called Linkages, in which we partner with the New Mexico Human Services Department (HSD). MFA's sub-grantees that utilize Linkages vouchers are required to have a housing administrator and a qualified services provider because the Linkages program serves persons with severe mental illness who are precariously housed or experiencing homelessness.

MFA is a member of the Behavioral Health Collaborative, which is led by HSD and includes the cabinet secretaries of 15 state agencies and the Governor's office. The Collaborative enables broad, state-level collaboration for behavioral health prevention, treatment and recovery work to improve mental health and substance abuse issues in New Mexico. MFA also serves on the Colonias Infrastructure Board, is a member of the City of Albuquerque Affordable Housing Committee and participates in numerous initiatives, including HUD initiatives, to enhance coordination among public and private housing entities and social service agencies. MFA also works directly with local communities and agencies to identify new service providers and partners, particularly in rural areas where fewer providers and services exist.

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

MFA and DFA have incorporated the Analysis of Impediments (AI) in agency operations and are striving to address impediments identified in the analysis. Please note that **Attachment C – Fair Housing Impediments Tasks Accomplished 2020** follows the original list of impediments in the 2020-2024 New Mexico Consolidated Plan.

While MFA and DFA have no enforcement capacity, it is the policy and commitment of MFA to ensure that fair and equal housing opportunities are granted to all persons, in all housing opportunities and development activities funded by MFA. MFA has a designated Fair Housing Officer who is responsible for assisting the public with housing complaints, which are referred to the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development. In 2020, 22 members of the public were referred to the Office of Fair Housing and Equal Opportunity.

MFA requires that Equal Housing Opportunity logos are displayed appropriately at properties and building sites, and on our advertising and marketing materials. MFA distributes fair housing information and ensures that information and resources are available on MFA's website, housingnm.org. On an annual basis, MFA also provides funding to New Mexico Legal Aid to print rental guides which direct people to fair housing resources.

Additionally, the Citizen Participation Plan states that "direct efforts will be undertaken to publish and/or post information at locations that will elicit maximum low and moderate income and minority participation." New Mexico published notices of the CAPER in five newspapers, including the Albuquerque, Santa Fe, Las Cruces, Roswell and Clovis newspapers. As described in the following chart, the service areas for these newspapers ensure outreach to a large number of low and moderate income and minority individuals. The chart utilizes 2018 American Community Survey data and has combined Hispanic individuals with other minorities as "Non-White."

Newspaper	County	LMI Households as a % of All Households	Race	Number of LMI Individuals by Race	Percentage of LMI Individuals by Race
Albuquerque Journal	Bernalillo	41%	Non-White*	168,829	61%
			White	107,979	39%
			Total	276,809	100%
Albuquerque Journal	Sandoval	39%	Non-White*	30,943	56%
			White	24,300	44%
			Total	55,243	100%
Albuquerque Journal	Valencia	40%	Non-White*	20,591	67%
			White	10,142	33%
			Total	30,734	100%
Santa Fe New Mexican	Santa Fe	40%	Non-White*	34,152	57%
			White	25,478	43%
			Total	59,630	100%
Santa Fe New Mexican	Los Alamos	39%	Non-White*	1,972	28%
			White	5,105	72%
			Total	7,078	100%
Santa Fe New Mexican	San Miguel	41%	Non-White*	9,511	82%
			White	2,079	18%
			Total	11,591	100%
Las Cruces Sun	Dona Ana	41%	Non-White*	64,692	72%
			White	24,541	28%
			Total	89,233	100%
Roswell Daily Record	Chaves	41%	Non-White*	16,116	61%
			White	10,520	39%
			Total	26,636	100%
Farmington Daily Times	San Juan	41%	Non-White*	31,879	61%
			White	20,132	39%
			Total	52,011	100%
Eastern New Mexico News	Curry	41%	Non-White*	10,737	52%
			White	9,982	48%
			Total	20,719	100%
Eastern New Mexico News	Roosevelt	41%	Non-White*	3,727	47%
			White	4,119	53%
			Total	7,846	100%

DFA extends affirmative (targeted) marketing to significantly underrepresented groups throughout the year and throughout each individual CDBG project. All CDBG subgrantees are required to adopt plans pertaining to citizen participation, fair housing, Section 3 residential anti-displacement and relocation by resolution on an annual basis. These resolutions require that the subgrantees take actions to affirmatively market to underrepresented groups. In addition to these annual requirements, all subgrantees must conduct an activity to further fair housing and post signage both within their government offices and at the construction sites pertaining to employee rights, workplace health, equal opportunity and resources for the public.

CR-40 - Monitoring 91.220 and 91.230

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

MFA's Community Development staff conducts contract-based program compliance monitoring for HOME, ESG, HOPWA, DOE, and HSD programs. MFA program managers prepare and use risk assessments at the beginning of every program year as a tool to develop their monitoring schedules for the various programs. MFA's Asset Management Department staff conducts long-term compliance monitoring for HOME/HTF-funded multifamily rentals in accordance with the guidelines set out in 24 CFR Part 92 and 24 CFR Part 93, including income eligibility, certification and recertification and habitability.

All regular CDBG service providers are required to be monitored once a year for the life of the project, and each regular CDBG project has two years to be completed. To ensure that all federal and state requirements are being followed, DFA staff conducts both interim monitoring and close-out monitoring using both desk reviews and on-site monitoring reviews.

At <http://www.housingnm.org/developers/relevant-federal-regulations1>, MFA's "Developer" submenu for "Federal Regulations" explains that there are a variety of federal regulations that apply to federal loan programs, and direct the attention of the applicant to the listings of forms and reference materials from Environmental Review to Section 3, Affirmative Marketing and Equal Employment Opportunity, along with a Minority Business Directory.

As required by regulations, MFA provides a certification of compliance with the Consolidated Plan to those public housing authorities (PHAs) who qualify. If the required background information is provided, MFA supplies the certification. Forms are located on MFA's web page.

See **Attachment F – Monitoring Process 2020** for a full explanation of the processes used by both MFA and DFA.

See **Attachment G – Consolidated Plan Certification of Consistency 2020** for the PHAs qualified list.

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

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

MFA and DFA invite public comments on all planning and reporting activities pursuant to the New Mexico Citizen Participation Plan. For the 2020 CAPER, the public comment period ran from **March 9, 2021** through **March 24, 2021**. A draft of the 2020 CAPER was made available on MFA's web page on **March 9, 2021**. The CAPER will remain available on the web page for a minimum of five years. Printed copies of the CAPER were available at the MFA office (344 Fourth St. SW Albuquerque, New Mexico 87102) or at the offices of the DFA Community Development Bureau (Bataan Memorial Building, Room 202, Santa Fe, New Mexico 87501) upon request. Persons needing the information contained in the CAPER in an alternate format can call MFA's Policy and Planning Department, 505-843-6880 or in-state toll free at 800-444-6880.

Public notices, in English and Spanish, announcing the public comment period for the CAPER and the virtual public hearing on **Thursday, March 25, 2021** at 12:30 pm, were placed in the Albuquerque, Santa Fe, Las Cruces, Roswell and Clovis newspapers. Copies of those notices are included as **Attachment H - Public Notice Publication Certifications**.

Comments received during the public hearing and MFA's responses will be reflected here.

New Mexico Gov. Michelle Lujan Grisham executed a new public health order instructing New Mexicans to stay home. Due to this order, individuals could have attended the public hearing via webcast or by phone to provide their comments on March 25th, 2021, 12:30pm – 1:30pm. Copies of these notices and presentation are also included in **Attachment H - Public Notice Publication Certifications**.

For CDBG, DFA follows a detailed citizen participation plan that provides for and encourages citizen participation. This integral process emphasizes participation by persons of low- and moderate-income, particularly residents of predominantly low- and moderate-income neighborhoods, slum or blighted areas and areas in which DFA proposes to use CDBG funds. The plan provides citizens with the following: reasonable and timely access to local meetings, an opportunity to review proposed activities and program performance, timely written answers to grievances and written complaints and a description of how the needs of non-English speaking residents will be met in the case of public hearings where a significant number of non-English speaking residents can be reasonably expected to participate. DFA also requires all grantees seeking CDBG funds to develop and adopt by resolution a Citizen Participation Plan.

MFA and DFA may, at their discretion, actively solicit input on housing and community development issues during the course of the year with regional forums, town hall meetings and other venues, as they may present themselves. Title II of the Americans with Disabilities Act and Section 504 of the Rehabilitation Act prohibits discrimination on the basis of disability in the programs of a public agency.

CR-45 - CDBG 91.520(c)

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

There were no changes in program objectives in 2020.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants? [BEDI grantees] Describe accomplishments and program outcomes during the last year.

This jurisdiction does not have any open Brownfields Economic Development Initiative (BEDI) grants.

CR-50 - HOME 91.520(d)

Include the results of on-site inspections of affordable rental housing assisted under the program to determine compliance with housing codes and other applicable regulations

Please list those projects that should have been inspected on-site this program year based upon the schedule in §92.504(d). Indicate which of these were inspected and a summary of issues that were detected during the inspection. For those that were not inspected, please indicate the reason and how you will remedy the situation.

MFA's multifamily portfolio encompasses HOME, LIHTC, Risk Sharing, bond funded, Tax Credit Exchange Program, Tax Credit Assistance Program, Resolution Trust Corporation (RTC), Section 811 PRA and Project Based Section 8 properties. In most instances, the monitoring visits are not just for HOME units, but for all funding sources used at a particular property. MFA's Asset Management Department completes an annual review of the department work plan to ensure that all required reviews are scheduled and reports the information quarterly to ensure compliance. If for some reason a HOME property was not monitored during the appropriate timeframe, MFA's Asset Management Department would immediately schedule a monitoring at the earliest opportunity. Due to the COVID-19 health crisis, we were unable to perform physical inspections for all the required reviews. In an effort to maintain compliance, MFA performed remote audit compliance reviews including the full review of compliance documents and tenant files on a portion of the required reviews. See **Attachment E - Asset Management HOME Inspections 2020** for results of inspections and compliance monitoring for affordable rental units.

Provide an assessment of the jurisdiction's affirmative marketing actions for HOME units. 92.351(b)

In accordance with the applicable statutes and regulations pertaining to the CAPER, MFA certifies that it does and will affirmatively further fair housing. In 2020 MFA performed the following activities:

- MFA worked with ___ owners on Affirmative Fair Housing Marketing Plans (AFHMP),
- MFA conducted property visits to confirm general FHEO compliance (site signage, FHEO poster, AFHMP on-site) on ___ HOME rental properties, and
- MFA completed Section 504 certifications for 11 of MFA's Community Development Department HOME contracts.

Refer to IDIS reports to describe the amount and use of program income for projects, including the number of projects and owner and tenant characteristics

The total amount of program income received in 2020 was \$2,388,375, and the total amount expended in 2020 was \$729,613.

Describe other actions taken to foster and maintain affordable housing. 91.220(k) (STATES ONLY: Including the coordination of LIHTC with the development of affordable housing).

91.320(j)

MFA's most competitive program is the nine percent federal Low-Income Housing Tax Credit (LIHTC) program, which has one annual competitive round for the new construction and acquisition/rehabilitation of multifamily projects. Many of these projects also receive gap financing in the form of low-interest loans funded through HOME, HTF, USDA, state, local, private and MFA sources. In 2020, MFA awarded nine percent LIHTCs to eight projects throughout New Mexico, for a total of 464 units, over 98 percent of which are reserved for low-income families earning 60 percent AMI or less. MFA also administers the noncompetitive four percent LIHTC program on a rolling basis. Four percent projects may utilize the same types of gap financing as nine percent projects but also include a bond financing component.

CR-55 - HOPWA 91.520(e)

Identify the number of individuals assisted and the types of assistance provided

Table for report on the one-year goals for the number of households provided housing through the use of HOPWA activities for: short-term rent, mortgage, and utility assistance payments to prevent homelessness of the individual or family; tenant-based rental assistance; and units provided in housing facilities developed, leased, or operated with HOPWA funds.

Number of Households Served Through:	One-year Goal	Actual
Short-term rent, mortgage, and utility assistance payments	95	
Tenant-based rental assistance	171	
Units provided in transitional housing facilities developed, leased, or operated with HOPWA funds	0	0
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	0	0
Total	266	

Table 14 – HOPWA Number of Households Served

Commented [DF7]: Will update once HOPWA CAPER is completed.

Narrative

HOPWA short-term rent, mortgage and utilities (STRMU) and tenant-based rental assistance (TBRA) are used statewide to provide housing assistance for eligible clients. HOPWA service providers continue to prioritize housing stability and will make every effort to increase the number of clients receiving HOPWA TBRA, depending upon funding.

See Attachment I - HOPWA CAPER 2020. The HOPWA CAPER was reviewed and approved by the Cloudburst Group before submission of this CAPER. The HOPWA CAPER will be submitted to HUD HOPWA Headquarters and sent via e-mail to the local HUD Office in Albuquerque on, or before, **March 31, 2021.**

CR-56 - HTF 91.520(h)

Describe the extent to which the grantee complied with its approved HTF allocation plan and the requirements of 24 CFR part 93.

Tenure Type	0 – 30% AMI	0% of 30+ to poverty line (when poverty line is higher than 30% AMI)	% of the higher of 30+ AMI or poverty line to 50% AMI	Total Occupied Units	Units Completed, Not Occupied	Total Completed Units
Rental	7	3	0	10	0	10
Homebuyer	0	0	0	0	0	0

Table 15 - CR-56 HTF Units in HTF activities completed during the period

There were two projects completed for a total of 10 HTF units. The HTF projects completed are as follows:

- Generations at West Mesa in Albuquerque, NM: new construction of 54 units, of which 3 units were funded by HTF; completion date: January 22, 2020
- Mission La Posada in Carlsbad, NM: acquisition/rehabilitation of 80 units, of which 7 units were funded by HTF; completion date: July 30, 2020

There were no emergency transfers requested under 24 CFR 5.2005(e) or 24 CFR 92.359.

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

ESG Supplement to the CAPER in *e-snaps* For Paperwork Reduction Act

1. Recipient Information—All Recipients Complete

Basic Grant Information

Recipient Name	NEW MEXICO
Organizational DUNS Number	808561567
EIN/TIN Number	850252748
Identify the Field Office	ALBUQUERQUE
Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance	Albuquerque CoC

ESG Contact Name

Prefix	Ms
First Name	Jackie
Middle Name	0
Last Name	Garrity
Suffix	0
Title	Program Manager

ESG Contact Address

Street Address 1	344 4th Street SW
Street Address 2	0
City	Albuquerque
State	NM
ZIP Code	-
Phone Number	5058436880
Extension	0
Fax Number	0
Email Address	jgarrity@housingnm.org

ESG Secondary Contact

Prefix	Mrs
First Name	Shannon
Last Name	Tilseth
Suffix	0
Title	Program Manager
Phone Number	
Extension	0
Email Address	stilseth@housingnm.org

2. Reporting Period—All Recipients Complete

Program Year Start Date	01/01/2020
Program Year End Date	12/31/2020

CAPER

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3a. Subrecipient Form – Complete one form for each subrecipient

Subrecipient or Contractor Name: LA CASA, INC

City: Las Cruces

State: NM

Zip Code: 88004, 2463

DUNS Number: 184816833

Is subrecipient a victim services provider: Y

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 28916.63

Subrecipient or Contractor Name: THE LIFE LINK

City: Santa Fe

State: NM

Zip Code: 87502, 6094

DUNS Number: 610653909

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 26497.85

Subrecipient or Contractor Name: THE ROSWELL REFUGE

City: Roswell

State: NM

Zip Code: 88202, 0184

DUNS Number: 963243639

Is subrecipient a victim services provider: Y

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 21208.91

Subrecipient or Contractor Name: SAN JUAN COUNTY PARTNERSHIP

City: Farmington

State: NM

Zip Code: 87402, 8814

DUNS Number: 805200433

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 41665.39

Subrecipient or Contractor Name: CENTER OF PROTECTIVE ENVIRONMENT (COPE)

City: Alamogordo

State: NM

Zip Code: 88310, 5307

DUNS Number: 182581579

Is subrecipient a victim services provider: Y

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 19072.25

Subrecipient or Contractor Name: COMMUNITY AGAINST VIOLENCE (CAV)
City: Taos
State: NM
Zip Code: 87571, 0169
DUNS Number: 940672629
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 23970.82

Subrecipient or Contractor Name: ST. ELIZABETH SHELTER
City: Santa Fe
State: NM
Zip Code: 87505, 3040
DUNS Number: 038507351
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 72953.13

Subrecipient or Contractor Name: YOUTH SHELTERS & FAMILY SERVICES
City: Santa Fe
State: NM
Zip Code: 87592, 8279
DUNS Number: 795320761
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 14559.8

Subrecipient or Contractor Name: New Mexico Coalition to End Homelessness
City: Santa Fe
State: NM
Zip Code: 87504, 0865
DUNS Number: 151290272
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 88000

Subrecipient or Contractor Name: El Refugio
City: Silver City
State: NM
Zip Code: 88061, 5284
DUNS Number: 106612260
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 21271.66

Subrecipient or Contractor Name: Carlsbad Battered Families Shelter
City: Carlsbad
State: NM
Zip Code: 88221, 2396
DUNS Number: 963267372
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 19701.53

Subrecipient or Contractor Name: Family Crisis Center
City: Farmington
State: NM
Zip Code: 87401, 6904
DUNS Number: 182379107
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 35273.99

Subrecipient or Contractor Name: People Assisting the Homeless
City: Farmington
State: NM
Zip Code: 87401, 5961
DUNS Number: 120580753
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 28640.18

Subrecipient or Contractor Name: Hartley House
City: Clovis
State: NM
Zip Code: 88102, 1732
DUNS Number: 165090697
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 22596.96

Subrecipient or Contractor Name: Battered Families Services
City: Gallup
State: NM
Zip Code: 87301, 6105
DUNS Number: 556546570
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 9973.71

Subrecipient or Contractor Name: New Day Youth and Family Services (A New Day)
City: Albuquerque
State: NM
Zip Code: 87110, 6749
DUNS Number: 021242524
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 16142.7

Subrecipient or Contractor Name: Option, Inc.
City: Hobbs
State: NM
Zip Code: 88240, 8427
DUNS Number: 061437281
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 20815.55

Subrecipient or Contractor Name: Enlace Comunitario
City: Albuquerque
State: NM
Zip Code: 87198, 8919
DUNS Number: 801555603
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 22608.3

Subrecipient or Contractor Name: CLNkids
City: Albuquerque
State: NM
Zip Code: 87102, 4658
DUNS Number: 613246313
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 16222.42

Subrecipient or Contractor Name: Samaritan House, Inc.
City: Las Vegas
State: NM
Zip Code: 87701, 1687
DUNS Number: 182570606
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 5706.43

Subrecipient or Contractor Name: St. Martin's Hospitality Center
City: Albuquerque
State: NM
Zip Code: 87125, 7258
DUNS Number: 182589663
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 30024.32

Subrecipient or Contractor Name: Catholic Charities
City: Albuquerque
State: NM
Zip Code: 87107, 1965
DUNS Number: 147263594
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 93443.24

Subrecipient or Contractor Name: Valencia Shelter Services
City: Los Lunas
State: NM
Zip Code: 87031, 9277
DUNS Number: 611988007
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 43425.48

Subrecipient or Contractor Name: Heading Home
City: Albuquerque
State: NM
Zip Code: 87107, 2122
DUNS Number: 789188872
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 44069.55

Subrecipient or Contractor Name: Haven House
City: Rio Rancho
State: NM
Zip Code: 87174, 0611
DUNS Number: 128906877
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 14471.21

Subrecipient or Contractor Name: Assurance Home
City: Roswell
State: NM
Zip Code: 88201, 7532
DUNS Number: 182362855
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 18541.18

Subrecipient or Contractor Name: The Healing House
City: Deming
State: NM
Zip Code: 88031, 1223
DUNS Number: 095487208
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 14956.57

Subrecipient or Contractor Name: Crisis Center of Northern NM
City: Espanola
State: NM
Zip Code: 87532, 2911
DUNS Number: 962865424
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 33959.81

Subrecipient or Contractor Name: Southwestern Regional Housing & CDC
City: Deming
State: NM
Zip Code: 88030, 3747
DUNS Number: 145793332
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 24596.36

Subrecipient or Contractor Name: Mesilla Valley Community of Hope
City: Las Cruces
State: NM
Zip Code: 88005, 2739
DUNS Number: 040944659
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 39853.91

Subrecipient or Contractor Name: Help End Abuse for Life (HEAL)
City: Ruidoso Downs
State: NM
Zip Code: 88346, 9153
DUNS Number: 611081386
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 10384.01

Subrecipient or Contractor Name: Youth Development, Inc.
City: Albuquerque
State: NM
Zip Code: 87105, 2036
DUNS Number: 002286946
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 21339.29

Subrecipient or Contractor Name: Dream Tree Project, Inc.
City: Taos
State: NM
Zip Code: 87571, 1677
DUNS Number: 004827353
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 14041.26

Subrecipient or Contractor Name: New Mexico Mortgage Finance Authority
City: Albuquerque
State: NM
Zip Code: 87102, 3206
DUNS Number: 083214742
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 85175.15

Subrecipient or Contractor Name: GRAMMY'S HOUSE
City: Artesia
State: NM
Zip Code: 88211, 0654
DUNS Number: 024712072
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 13340.94

Subrecipient or Contractor Name: S.A.F.E. HOUSE
City: Albuquerque
State: NM
Zip Code: 87125, 0363
DUNS Number: 602115305
Is subrecipient a victim services provider: Y
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 48897.82

CR-65 - Persons Assisted

All data in this section is covered in the attached ESG CAPER downloaded from SAGE, see *Attachment J – ESG CAPER from SAGE 2020*

4. Persons Served

4a. Complete for Homelessness Prevention Activities

Number of Persons in Households	Total
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 16 – Household Information for Homeless Prevention Activities

4b. Complete for Rapid Re-Housing Activities

Number of Persons in Households	Total
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 17 – Household Information for Rapid Re-Housing Activities

4c. Complete for Shelter

Number of Persons in Households	Total
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 18 – Shelter Information

4d. Street Outreach

Number of Persons in Households	Total
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 19 – Household Information for Street Outreach

4e. Totals for all Persons Served with ESG

Number of Persons in Households	Total
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 20 – Household Information for Persons Served with ESG

5. Gender—Complete for All Activities

	Total
Male	
Female	
Transgender	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 21 – Gender Information

6. Age—Complete for All Activities

	Total
Under 18	
18-24	
25 and over	
Don't Know/Refused/Other	
Missing Information	
Total	

Table 22 – Age Information

7. Special Populations Served—Complete for All Activities

Number of Persons in Households

Subpopulation	Total	Total Persons Served – Prevention	Total Persons Served – RRH	Total Persons Served in Emergency Shelters
Veterans				
Victims of Domestic Violence				
Elderly				
HIV/AIDS				
Chronically Homeless				
Persons with Disabilities:				
Severely Mentally Ill				
Chronic Substance Abuse				
Other Disability				
Total (unduplicated if possible)				

Table 23 – Special Population Served

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

Commented [DF8]: Data will be updated once Sage CAPER is completed.

10. Shelter Utilization

Number of New Units – Rehabbed	0
Number of New Units – Conversion	0
Total Number of bed - nights available	231,836
Total Number of bed - nights provided	
Capacity Utilization	%

Table 24 – Shelter Capacity

11. Project Outcomes Data measured under the performance standards developed in consultation with the CoC(s)

This CAPER is submitted with the ESG CAPER from SAGE attached. Data from family and domestic violence service providers who receive ESG funding is included. Inconsistencies with the comparable database vs. HMIS still continue to be addressed.

CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2018	2019	2020
Expenditures for Rental Assistance	267,000	106,821	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	43,016	23,975	0
Expenditures for Housing Relocation & Stabilization Services - Services	58,982	175,362	334,530
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Homelessness Prevention	368,998	306,158	334,530

Table 25 – ESG Expenditures for Homelessness Prevention

11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2018	2019	2020
Expenditures for Rental Assistance	273,870	168,885	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	75,362	31,320	0
Expenditures for Housing Relocation & Stabilization Services - Services	58,118	227,121	388,024
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
Subtotal Rapid Re-Housing	407,350	427,326	388,024

Table 26 – ESG Expenditures for Rapid Re-Housing

11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2018	2019	2020
Essential Services	111,238	142,235	183,551
Operations	660,345	665,466	713,937
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	771,583	807,701	897,488

Table 27 – ESG Expenditures for Emergency Shelter

11d. Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2018	2019	2020
Street Outreach	0	0	0
HMIS	178,133	89,611	161,992
Administration	98,404	308,032	265,434

Table 28 - Other Grant Expenditures

11e. Total ESG Grant Funds

Total ESG Funds Expended	2018	2019	2020
	1,824,468	1,938,828	2,047,468

Table 29 - Total ESG Funds Expended

11f. Match Source

	2018	2019	2020
Other Non-ESG HUD Funds	0	0	
Other Federal Funds	25,135	35,078	166,250
State Government	128,479	155,977	213,597
Local Government	379,148	304,399	309,796
Private Funds	86,254	75,575	72,868
Other	179,215	180,552	211,100
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	798,231	751,581	973,611

Table 30 - Other Funds Expended on Eligible ESG Activities

11g. Total

Total Amount of Funds Expended on ESG Activities	2018	2019	2020
	2,622,699	2,690,409	3,021,079

Table 31 - Total Amount of Funds Expended on ESG Activities

List of Acronyms/Abbreviations for CAPER 2020

AMI	Area Median Income
ARRA	American Recovery and Reinvestment Act
BoS	Balance of State
CAPER	Consolidated Annual Performance and Evaluation Report
CDBG	Community Development Block Grants
CDC	Community Development Council
CFR	Code of Federal Regulations
CHDO	Community Housing Development Organization
COC	Continuum of Care
DFA	Department of Finance and Administration
DOE	Department of Energy
DPA	Down Payment Assistance
EHAP	Emergency Housing Assistance Program
ESG	Emergency Solutions Grant
FHEO	Fair Housing and Economic Opportunity
HMIS	Homeless Management Information System
HOME	HOME Investment Partnerships
HOPWA	Housing Opportunities for Persons with AIDS
HTF	Housing Trust Fund
HUD	US Department of Housing and Urban Development
IDIS	Integrated Disbursement and Information System
LIHTC	Low Income Housing Tax Credits
MBE	Minority Business Enterprise
MFA	New Mexico Mortgage Finance Authority
NMCEH	New Mexico Coalition to End Homelessness
NSP	Neighborhood Stabilization Program
PHA	Public Housing Authority
PHP	Permanent Housing Placement
RAP	Rental Assistance Program
Rehab	Rehabilitation
RFP	Request for Proposals
RHA	Regional Housing Authority
SPEARS	Section 3 - Performance Evaluation and Registry System
STRMU	Short Term Rent, Mortgage and Utilities
TBRA	Tenant Based Rental Assistance
VI/SPDAT	Vulnerability Index - Service Prioritization Decision Assistance Tool
WBE	Women's Business Enterprise

Attachment A - 2020 CDBG Applications Funded

2020 CDBG Allocations CR-15 Table 4			
	Entity	Project	Funding
1	Anthony, City of	Street Improvements on Acosta Road / Street and/or Drainage	\$ 750,000.00
2	Bayard, City of	Wastewater Improvements	\$ 750,000.00
3	Clovis, City of	Hillcrest Senior Center - Phase I / Public Facility	\$ 750,000.00
4	Dexter, Town of	Water System Improvements / Water	\$ 703,830.12
5	Fort Sumner, Village of	Wastewater Treatment Plant Upgrades / Wastewater	\$ 750,000.00
6	Gallup, City of	West Logan Avenue (6th to 9th) Street & Drainage Project / Street and/or Drainage	\$ 1,000,000.00
7	Luna County	Luna County Health Complex Renovations and Expansion	\$ 749,077.00
8	Mora County	EMS Base/Communications Upgrade	\$ 750,000.00
9	Otero County	Public Facility Improvements / Public Facility	\$ 728,346.16
10	Ruidoso, Village of	Town and Country Water & Sewer System Improvements / Water	\$ 750,000.00
11	San Juan County	ADA Improvements at Various County Facilities / Public Facility	\$ 750,000.00
12	San Miguel County	Country Acres Road and Drainage / Street and/or Drainage	\$ 750,000.00
13	Silver City, Town of	Chihuahua Hill East Water System Improvements Project / Water	\$ 652,596.00
14	Socorro, City of	Cuba Road Street and Drainage Improvements / Street and/or Drainage	\$ 750,000.00
	Total Funded		\$ 10,583,849.28

Geographic Distribution and Location of Investments		
Target Area	Allocation Percentage	Funding
Colonias	0.00%	\$ -
Statewide (Non-Colonias)	100.00%	\$ 10,583,849.28

Attachment B - ESG Match Source 2020

Row Labels	Sum of MatchAmount
City of Albuquerque	\$ 63,282.17
City of Hobbs	\$ 50,765.75
City of Las Vegas	\$ 45,342.28
City of Santa Fe	\$ 85,579.92
Department of Health	\$ 14,523.32
Donated building rent, City of Alamogordo	\$ 57,750.00
Donated building rent, City of Las Cruces	\$ 7,076.23
Donations: cash or in-kind	\$ 154,872.09
Foundations	\$ 55,074.21
Fundraising	\$ 1,153.83
HUD-Permanent Housing	\$ 88,000.00
NM Children Youth and Families Department (CYFD)	\$ 199,073.14
San Juan United Way	\$ 38,823.50
United Way of Northern NM	\$ 24,044.86
United Way SNM	\$ 10,000.00
VOCA	\$ 78,250.11
Grand Total	\$ 973,611.41

Other Non-ESG HUD Funds	
Other Federal Funds	\$ 166,250.11
State Government	\$ 213,596.46
Local Government	\$ 309,796.35
Private Funds	\$ 72,868.36
Other	\$ 211,100.13
Fees	
Program Income	
Total Match Amount	\$ 973,611.41

*ESG Match without Federal Funding	\$ 807,361.30
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Attachment D: HOME - Lead Based Pant Activity Summary Report

Reporting Range: 1/1/20 - 12/31/2020

Contract	IDIS Activity	DrawDate	Amount	City	County
17-01-MFA-HOR-Lead	9135	9/2/2020	\$533.98	Ohkay Owingeh	Rio Arriba
17-01-MFA-HOR-Lead	9147	9/9/2020	\$550.00	Espanola	Rio Arriba
17-01-MFA-HOR-Lead	9206	3/11/2020	\$696.72	Albuquerque	Bernalillo
18-01-MFA-HOR-LEAD	9209	1/29/2020	\$857.61	Silver City	Grant
18-01-MFA-HOR-LEAD	9220	5/6/2020	\$1,530.00	Columbus	Dona Ana
18-01-MFA-HOR-LEAD	9221	5/6/2020	\$1,530.00	Columbus	Dona Ana
18-01-MFA-HOR-LEAD	9222	5/6/2020	\$1,530.00	Mesquite	Dona Ana
18-01-MFA-HOR-LEAD	9230	12/22/2020	\$1,502.80	Silver City	Dona Ana
18-01-MFA-HOR-LEAD	9231	12/22/2020	\$1,625.00	Artesia	Dona Ana
18-01-MFA-HOR-LEAD	9244	9/16/2020	\$400.00	Alamogordo	Otero

\$10,756.11

Attachment E - Asset Management HOME Inspections

Property Name	IDIS #	Inspection Date	Total # HOME Units	HOME Units Inspected	File Findings	Tenant Selection Plan	AFHMP	Review Closed Date	Notes
Azotea Senior Apartment Homes	5010	TBD	3				NA		File review & inspection not performed due to COVID
Belen Crossing	7162	TBD	3				NA		File review & inspection not performed due to COVID
Bella Vista	731	6/15/2020	8	5	0	Yes	Yes	6/26/2020	Remote review performed due to COVID; physical inspection not performed
Casa Del Rio I & II	5536	TBD	32						File review & inspection not performed due to COVID
Cliffside III Apartments	3243	3/31/2020	4	4	3	Yes	Yes	4/20/2020	Remote review performed due to COVID; physical inspection not performed
Echols Place Apartments	6227	9/11/2020	4	4	13	Yes	N/A	2/10/2021	Remote review performed due to COVID; physical inspection not performed
Franklin Vista V	3745	6/19/2020	7	5	5	Yes	Yes	9/3/2020	Remote review performed due to COVID; physical inspection not performed
Hilltop Terrace	7161	2/26/2020	3	2	0	Yes	Yes	5/28/2020	Remote review performed due to COVID; physical inspection not performed
Ladera Apartment Homes	3208	TBD	11						File review & inspection not performed due to COVID
Ladera Village (Regency Terrace)	4200	3/18/2020	7	5	1	Yes	Yes	4/13/2020	Remote review performed due to COVID; physical inspection not performed
Las Palomas	5222	TBD	11						File review & inspection not performed due to COVID
Loma Parda (Tierra Foothills)	2272	6/25/2020	7	5	5	Yes	Yes	8/17/2020	Remote review performed due to COVID; physical inspection not performed
Main Street Townhomes	3668	5/7/2020	4	3	3	No	NA		Remote review performed due to COVID; physical inspection not performed
Mariposa Village	4167	TBD	7						File review & inspection not performed due to COVID
Mesa del Norte	8175	7/14/2020	3	2	2	Yes	NA	9/29/2020	Remote review performed due to COVID; physical inspection not performed

Property Name	IDIS #	Inspection Date	Total # HOME Units	HOME Units Inspected	File Findings	Tenant Selection Plan	AFHMP	Review Closed Date	Notes
Mesquite Village	3829	5/7/2020	5	5	5	No	No		Remote review performed due to COVID; physical inspection not performed
Pinon Palmer Rental Rehab	7067	TBD	13						File review & inspection not performed due to COVID
Playa Escondida	8737	9/1/2020	2	2	2	Yes	NA	10/14/2020	Remote review performed due to COVID; physical inspection not performed
Rio Abajo	7218	4/9/2020	4	4	2	Yes	NA	5/7/2020	Remote review performed due to COVID; physical inspection not performed
Roselawn Apartments	6147	6/18/2020	7	5	2	Yes	Yes	8/31/2020	Remote review performed due to COVID; physical inspection not performed
Ruth Visage	3843	TBD	8						File review & inspection not performed due to COVID
Sage	7220	TBD	5						File review & inspection not performed due to COVID
San Tierra (Cedar Creek Apts.)	7872	6/25/2020	5	5	1	No	Yes	8/5/2020	Remote review performed due to COVID; physical inspection not performed
Santa Fe Community Living	8670	TBD	4						File review & inspection not performed due to COVID
Santa Teresa II (Comerciantes Terrace)	3569	TBD	6						File review & inspection not performed due to COVID
Socorro Village	6744	TBD	10						File review & inspection not performed due to COVID
Stage Coach Apartments	7663	TBD	4						File review & inspection not performed due to COVID
Taos Haus	8182	5/21/2020	2	2	2	Yes	NA	6/30/2020	Remote review performed due to COVID; physical inspection not performed
Valle Del Sol	3150	TBD	6						File review & inspection not performed due to COVID
Villa Consuelo	6374	TBD	55						File review & inspection not performed due to COVID

Property Name	IDIS #	Inspection Date	Total # HOME Units	HOME Units Inspected	File Findings	Tenant Selection Plan	AFHMP	Review Closed Date	Notes
Villa De Gallup I	725	5/19/2020	5	5	1	Yes	Yes	7/24/2020	Remote review performed due to COVID; physical inspection not performed
Villa De Tularosa Sr. Housing	7149	8/25/2020	19	5	5	Yes	Yes	10/8/2020	Remote review performed due to COVID; physical inspection not performed
Villa Del Norte	5538	TBD	30						File review & inspection not performed due to COVID
Villa Las Vegas (Las Vegas Village)	3476	4/15/2020	10	5	5	Yes	Yes	5/26/2020	Remote review performed due to COVID; physical inspection not performed
Villa San Jose	9035	TBD	10						File review & inspection not performed due to COVID
Villas de San Ignacio	6754	4/29/2020	7	2	2	Yes	Yes	7/1/2020	Remote review performed due to COVID; physical inspection not performed
Vista Montano	5539	TBD	8						File review & inspection not performed due to COVID
Washington Place	8812	6/24/2020	5	5	5	Yes	Yes	2/8/2021	Remote review performed due to COVID; physical inspection not performed

ATTACHMENT F: Monitoring Processes

DFA CDBG Monitoring

The purpose of monitoring CDBG grantees is to ensure compliance with all applicable federal and state requirements governing the program, in addition to providing technical assistance. All CDBG grantees are monitored by DFA staff starting on the 1 year anniversary of the grant execution and annually thereafter. CDBG grant agreements are effective for a period of 2 years unless formally amended, thus monitoring generally takes place twice for each grant. The first “interim” monitoring is conducted on or before the anniversary date of the grant execution. The second “closeout” monitoring is conducted on the second anniversary of the grant execution or once the project is once construction is complete, whichever comes first.

DFA staff uses 2 forms of monitoring for compliance with CDBG program requirements, desk audits and on site monitoring reviews. Desk audits consist of reviewing the project files to ensure compliance and identify concerns. Desk audits are typically conducted for interim monitoring of high performing CDBG grantees. On site monitoring is generally conducted for closeout reviews to ensure that the project scope of work was completed as awarded and to ensure proper maintenance of the project files. Additionally, on site monitoring is conducted during the interim reviews on the basis of administrative capacity at the local level and project complexity. On site monitoring incorporates everything in a desk audit in addition to providing technical assistance as well as construction site inspections as appropriate.

DFA staff use detailed monitoring checklists to determine if there are any concerns and/or findings that must be addressed by the CDBG grantee to ensure successful project completion. Staff review numerous processes such as the environmental assessment, procurement of professional services and construction contracting, financial management and the timeliness of grant fund utilization. In addition to procedural oversight, staff ensure compliance with federal requirements for Citizen Participation, Section 3, Minority Business Outreach, Fair Housing, Anti-displacement and Relocation, and Equal Employment Opportunity. As part of monitoring, DFA staff also review quarterly progress reports signed by the grantee’s local elected official. These progress reports document project accomplishments and are utilized to report updates into the Integrated Disbursement and Information System. Desk audits and on site reviews include a comprehensive monitoring of overall program administration, a review of the project files, and satisfy CDBG monitoring criteria.

DFA staff provides five basic elements to assist in monitoring reviews:

1. Grantees are notified in writing the purpose of the monitoring, date and time the monitoring will take place, as well as all areas to be reviewed. DFA staff are encouraged to assess the project file to assist CDBG grantees in the gathering outstanding documentation (as appropriate) prior to the monitoring review.
2. For on-site reviews, DFA staff schedule an entrance conference with the CDBG grantee’s chief elected official or other managing member of the unit of local government to provide a clear understanding of the purpose of the monitoring.
3. DFA staff will review all necessary documentation using CDBG monitoring checklists. CDBG grantees receive copies of these checklists during the implementation workshop prior to grant execution and utilize them throughout the project. During all monitoring reviews, DFA staff ensure all necessary documents are contained in the project files. Details of the review as well as any findings/concerns are reflected in the monitoring letter. For on-site reviews, DFA staff inspect the CDBG grantee’s files, provide technical assistance and construction site inspections as appropriate.

4. For on-site reviews, an exit conference is held at the end of the monitoring visit to discuss the results of the monitoring. CDBG grantees are given 10 days from the date of the monitoring (desk audit and on-site) to provide DFA with documentation that may not have been provided during the monitoring visit.
5. DFA staff will provide CDBG grantees with a letter reflecting the results of the monitoring review and any unresolved issues within 45 days of the review. Unresolved issues that violate program or statutory requirements are classified as concerns or findings. A concern is defined as a deficiency in program performance not based on statutory, regulatory or other program requirements. A finding is defined as a deficiency in program performance based on statutory, regulatory or program requirements for which corrective actions are required. Upon receipt of documentation confirming that corrective action has taken place, DFA staff will clear all findings and concerns.

Depending on the results of the monitoring, DFA takes appropriate actions when performance problems arise. There are three stages of intervention that DFA conducts depending on the seriousness of the problem.

1. Low-level intervention, DFA may implement all or some of the following items: identify problem areas, which may require corrective actions, plan a strategy with grantees that include technical assistance or training, or require more frequent monitoring.
2. Moderate-level intervention, DFA may implement all or some of the following items: restrict payment, disallow certain expenses or require repayment of funding, or require probationary status.
3. High-level intervention, DFA may implement all or some of the following items: temporarily suspend the grantee from participating in the CDBG program, request the community hire a grants administrator, terminate grantee for the current program year and revert funding, or require legal action.

In order to ensure projects are completed according to all CDBG and NSP requirements, any findings and concerns identified during monitoring must be cleared by DFA in order for grantee to apply for funds in the future. CDBG grantees are also evaluated on Uniform Grant Guidance and assessed about future risk potential based on a variety of factors, one of which is performance during interim and closeout monitoring reviews.

Community Development Department Policies and Procedures
Program Monitoring
Updated 2-2019

Policy:

Funding agencies such as HUD, DOE, and State require monitoring reviews for programs administered by MFA. For HOME programs, all grantees will be monitored once every 365 days. The Emergency Solutions Grant (“ESG”) Desk Guide Section 6: Performance Monitoring and Reporting states: *“Monitoring can take a number of forms and can include review of progress reports, telephone consultation, and performance of on-site assessments.”*

Procedures:

The Community Development Department creates an annual monitoring schedule that determines when each program will be monitored based on a risk assessment tool and the regulatory requirements for each program. Each Program Manager completes their own monitoring schedule with assistance from the Administrative Assistant, with all of the monitoring types and dates for each specific program. The type of monitoring needed by each program will vary depending on the results of the risk assessment. The monitoring schedule is completed after contracts are fully executed and prior to the first monitoring visit of the year which is typically no earlier than August of each year.

The Administrative Assistant will enter all of the monitoring dates into the Tracker System. Notification letters are prepared by the Administrative Assistant and sign by the Program Manager. All notification letters are sent by the Administrative Assistant to the agency being monitored at least thirty days before their scheduled monitoring date. The Administrative Assistant will also prepare travel requests for approval and coordinate travel and hotel arrangements (if needed).

Upon completing monitoring activities, MFA has thirty days to provide the results letter detailing the findings of the monitoring visit. When the letter is complete, the Director reviewing the onsite monitoring letter will verify that all findings and concerns identified in the monitoring tool are included. The details of the visit must be entered into the Tracker System which automatically keeps an account of dates and the status of the visit.

The Agency has thirty days to respond or acknowledge the monitoring letter regardless of whether there are findings or not. This process is not complete until all findings are cleared and updated in the Tracker System. Tracker will automatically send an “open items” notification email to the Director if items have not been cleared. When findings are cleared or in the event of no findings, a final letter is sent to the agencies by the Program Manager. All correspondence between MFA and the Sub-grantee, including the back-up information, should be filed in the appropriate Service Provider file.

MFA representatives will conduct on-site reviews, at least once every three years, of HOME properties and their records to evaluate owner compliance with program requirements. The first inspection for a new project will occur no later than twelve months after the completion date.

During a review, owner/agents must provide monitoring representatives with access to all documents regarding an owner's continued compliance with the HOME program.

MFA will give owners at least two weeks advance notice prior to conducting an on-site visit. The managing agent and key on-site staff should be present during the review whenever possible.

Noncompliance issues identified and corrected by the owner/agent prior to notification of an upcoming compliance review or inspection by the state agency need not be reported (i.e., the owner is in compliance at the time of the state agency's inspection and/or tenant file review.)

A. PRIOR TO THE MONITORING REVIEW

1. At least two weeks prior to a scheduled visit, the owner will receive the visit letter from MFA. Requested documentation will include, but not be limited to:
 - ◆ If applicable, a copy of the current and prior year utility allowance schedule, including supporting documentation;
 - ◆ A copy of the most recent audited financial statements and operating budget;
 - ◆ A copy of the rent roll with the set asides designated;
 - ◆ Documentation confirming compliance with the existing affirmative fair housing marketing plan; and
 - ◆ The tenant selection plan.
2. Upon receipt of the notice, owner/agents must review and confirm compliance in WCMS:
 - ◆ Entry of all tenant data;
 - ◆ Entry of the most recent audited financials; and
 - ◆ Entry of the most recent operating budget.
3. At least twenty-four hours prior to the inspection, owner/agents must notify tenants, in accordance with state and owner's lease requirements, of the physical inspection of their unit by MFA.
4. MFA will need space review tenant files, preferably in a secure location, in an effort to protect the sensitive information being reviewed. More than one analyst may be attending each review depending on the size of the property. The physical review of the property and units will require site staff to accompany and escort each analyst to open doors and assist with the inspection.

B. THE MONITORING REVIEW

The monitoring review will cover:

- ◆ A review of the property’s audited financial statements and operating budget;
- ◆ A review of documentation demonstrating compliance existing affirmative fair housing marketing plan;
- ◆ A review of the tenant selectin plan; and
- ◆ Current and complete entry of all tenant and financial data in WCMS.

C. TENANT FILE REVIEW

At least 20 percent of the tenant files will be selected by MFA at random. The tenant file review will cover an evaluation of utility allowance schedules and respective implementation deadlines; comparison of rents charged and allowable set aside maximums; and evaluation of household income and the applicable set aside income limit. Documents reviewed will include but not be limited to:

- ◆ Tenant Income Certification;
- ◆ Third party verification of income;
- ◆ Student affidavit;
- ◆ Verification of all household assets;
- ◆ Lease;
- ◆ Affordable addenda;
- ◆ Original move-in application;
- ◆ Initial Inspection; and
- ◆ All supporting documentation.

D. PHYSICAL INSPECTION

At least 20 percent of the units will be selected. MFA will conduct physical inspections consistent with standards governed by HUD’s Uniform Physical Conditions Standards. Notwithstanding inspection areas included below, the project must continue to satisfy local health, safety and building codes. UPCS requires properties to be in “decent, safe and sanitary condition and in good repair” and requires inspection of the following five major areas:

1. SITE

The site must be free of health and safety hazards and be in good repair. Areas to be inspected include:

- a. Fencing and retaining walls;

- b. Grounds;
- c. Exterior lighting;
- d. Mailboxes;
- e. Signs (such as those identifying the development or areas of the development);
- f. Parking lots/driveways;
- g. Play areas and equipment;
- h. Refuse disposal;
- i. Roads;
- j. Storm drainage; and
- k. Walkways.

2. BUILDING EXTERIOR

Each building on the site must be structurally sound, secure, habitable and must be free of health and safety hazards, operable and in good repair. Areas to be inspected include:

- a. Doors;
- b. Fire escapes;
- c. Foundations;
- d. Lighting;
- e. Roofs;
- f. Walls; and
- g. Windows.

3. BUILDING SYSTEMS

Each building's systems must be free of health and safety hazards, functionally adequate, operable and in good repair. Areas to be inspected include:

- a. Domestic water;
- b. Electrical system;
- c. Elevators;
- d. Emergency power;
- e. Fire protection;
- f. HVAC; and
- g. Sanitary system.

4. UNITS

Each dwelling unit within a building must be structurally sound, habitable and must be free of health and safety hazards, functionally adequate, operable and in good repair. Areas and aspects of the dwelling unit include:

- a. Bathroom items;
- b. Call-for-aid;
- c. Ceilings/doors;
- d. Electrical systems;
- e. Floors;
- f. Hot water heater;
- g. HVAC (where individual units are provided);
- h. Kitchen items;
- i. Lighting;
- j. Outlets/switches;
- k. Patio/porch/balcony;
- l. Smoke detectors;
- m. Stairs;
- n. Walls;
- o. Windows;
- p. Hot and cold running water; and
- q. At least one battery-operated or hard-wired smoke detector, in proper working condition, on each level of the unit.

5. COMMON AREAS

The common areas must be structurally sound, secure and functionally adequate for the purposes intended. All common area ceilings, doors, floors, HVAC, lighting, outlets/switches, smoke detectors, stairs, walls and windows, to the extent applicable, must be free of health and safety hazards, operable and in good repair. Common areas to be inspected include:

- a. Basement/garage/carport;
- b. Restrooms;
- c. Closets;
- d. Utility rooms;
- e. Mechanical rooms;
- f. Community rooms;
- g. Day care;
- h. Halls/corridors;
- i. Stairs;
- j. Kitchens;
- k. Laundry rooms;
- l. Office;
- m. Porch;
- n. Patio;
- o. Balcony; and

- p. Trash collection areas.

E. EXIGENT HEALTH AND SAFETY

All areas and components of the housing must be free of health and safety hazards. Exigent health and safety issues include:

- a. Air quality;
- b. Electrical hazards;
- c. Elevators;
- d. Emergency/fire exits;
- e. Flammable materials;
- f. Garbage and debris;
- g. Handrail hazards; and
- h. Infestation.

F. FOLLOW-UP TO THE MONITORING REVIEW

Once the monitoring review is completed, MFA will provide a report to the owner within 30 days of the inspection that details the scope and results of the review as well as any noncompliance items.

When responding to the report and the noncompliance items, the owner/agent's response should be addressed in writing along with backup documentation (copy of work order or necessary document) and provided to MFA within 30 days of the date of the report. Any items corrected without backup documentation will not be considered corrected and will remain in noncompliance until proper documentation is received by MFA.

Comments made on the tenant file review worksheet and comments or findings made in the physical report will need to be addressed in the owner/agent's response including all supporting documentation.

Attachment G

Consolidated Plan Certifications of Consistency Completed in 2020

Requesting Entity
Western Regional Housing Authority
Bernalillo County Housing Authority
San Miguel County Housing Authority
El Camino Real Housing Authority
Mesilla Valley Public Housing Authority
Tucumcari Housing Authority
Truth or Consequences Housing Authority
Clovis Housing & Redevelopment Agency Inc.
Eastern Regional Housing Authority
Northern Regional Housing Authority
Housing Authority of the Town of Clayton
Village of Chama Housing Authority
Village of Cuba Housing Authority