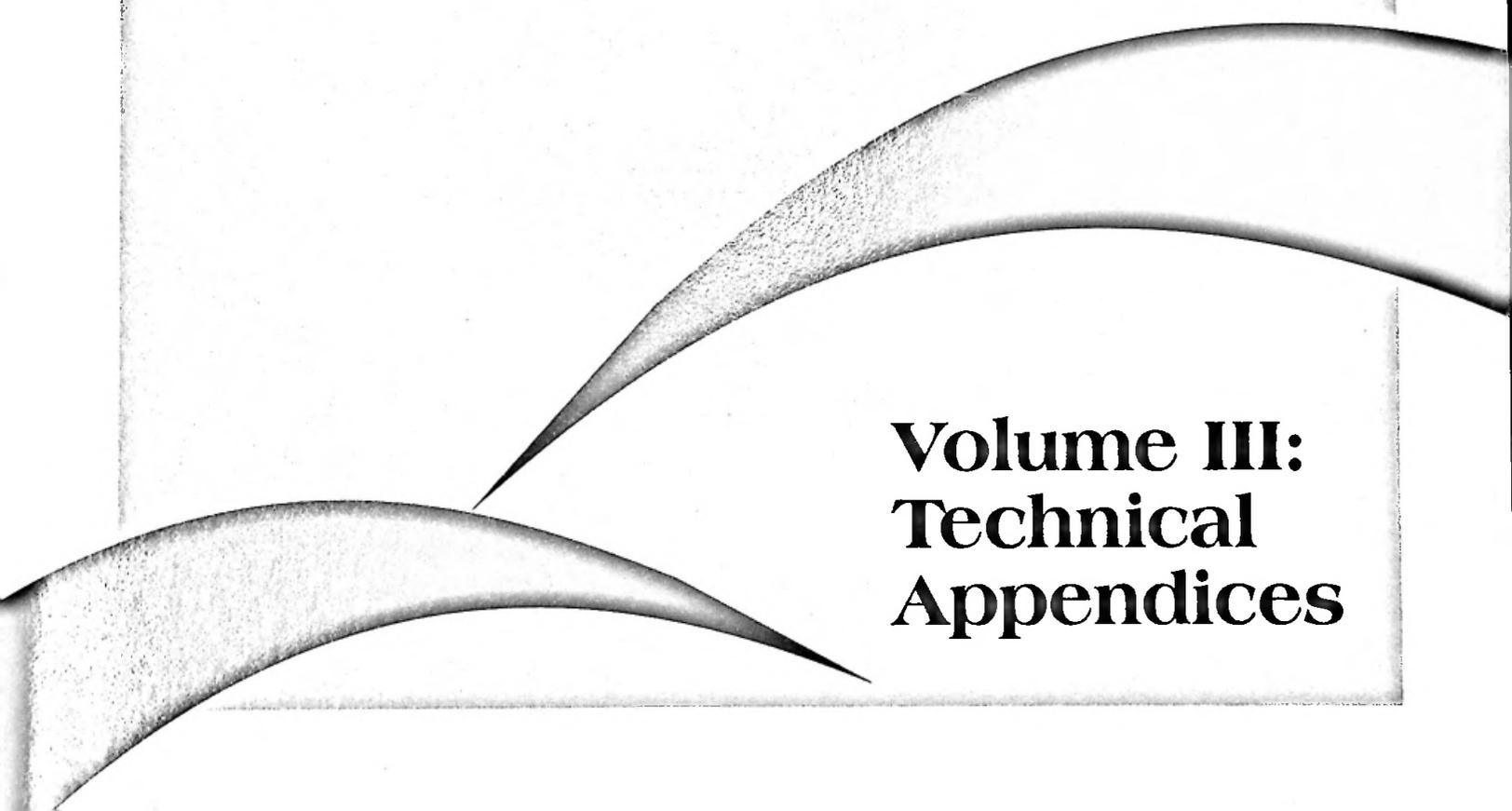


Evaluation of the Emergency Shelter Grants Program



**Volume III:
Technical
Appendices**



Evaluation of the Emergency Shelter Grants Program

Volume III: Technical Appendices

Prepared for:

U.S. Department of Housing and Urban Development
Office of Policy Development and Research

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The contents of this report are the views of the contractor and do not necessarily reflect the views or policies of the Department of Housing and Urban Development or the U.S. Government.

FOREWORD

The Emergency Shelter Grants (ESG) program is one of the oldest and most widely used of the McKinney Act programs. *Evaluation of the Emergency Shelter Grants Program* provides valuable information on the activities and resources of grantees and providers, their needs for and uses of Federal assistance, and the effectiveness of ESG in meeting those needs.

The evaluation shows that, although ESG provides only 10 percent of the average ESG provider's operating budget, it has been an important resource for shelter providers. By meeting the most basic needs for operating funds and appropriate facilities, ESG has enabled providers to use other funding sources to offer additional programs and services. As a formula grant, ESG also targets funding to areas of need. With expansions in the range of eligible ESG activities, providers have shifted a growing share of their grants away from capital expenditures and toward essential services and homeless prevention initiatives.

ESG is one of HUD's oldest programs to assist the homeless. However, as we have gained experience, our approaches to serving homeless people have evolved to focus more on permanent solutions. We now recognize that emergency care alone will not solve homelessness and is only the first step toward the long-term goal of enabling homeless people to make the transition into permanent housing.

The lessons that emerge from this evaluation have immediate relevance to ongoing efforts to reform assistance to the homeless. HUD is working with other Federal agencies, State and local governments, shelter and social service providers, and homeless persons to reshape and coordinate Federal assistance. This approach will foster the development of comprehensive local systems capable of providing the "continuum of care" needed to reduce homelessness. Homeless persons will be brought into a system which assesses their problems, provides them with the services and housing they need to lead independent lives, and helps them make a successful transition from temporary shelter to permanent housing. HUD has proposed to reorganize the existing array of HUD McKinney homeless assistance grants for the purpose of enabling communities to establish comprehensive systems to meet the multidimensional needs of homeless persons. Many of the issues discussed in this evaluation—formula funding, the role of grantees, local strategic planning, and others—will be central to this dialogue. *Evaluation of the Emergency Shelter Grants Program* offers useful information to anyone interested in the future of Federal homeless assistance efforts.

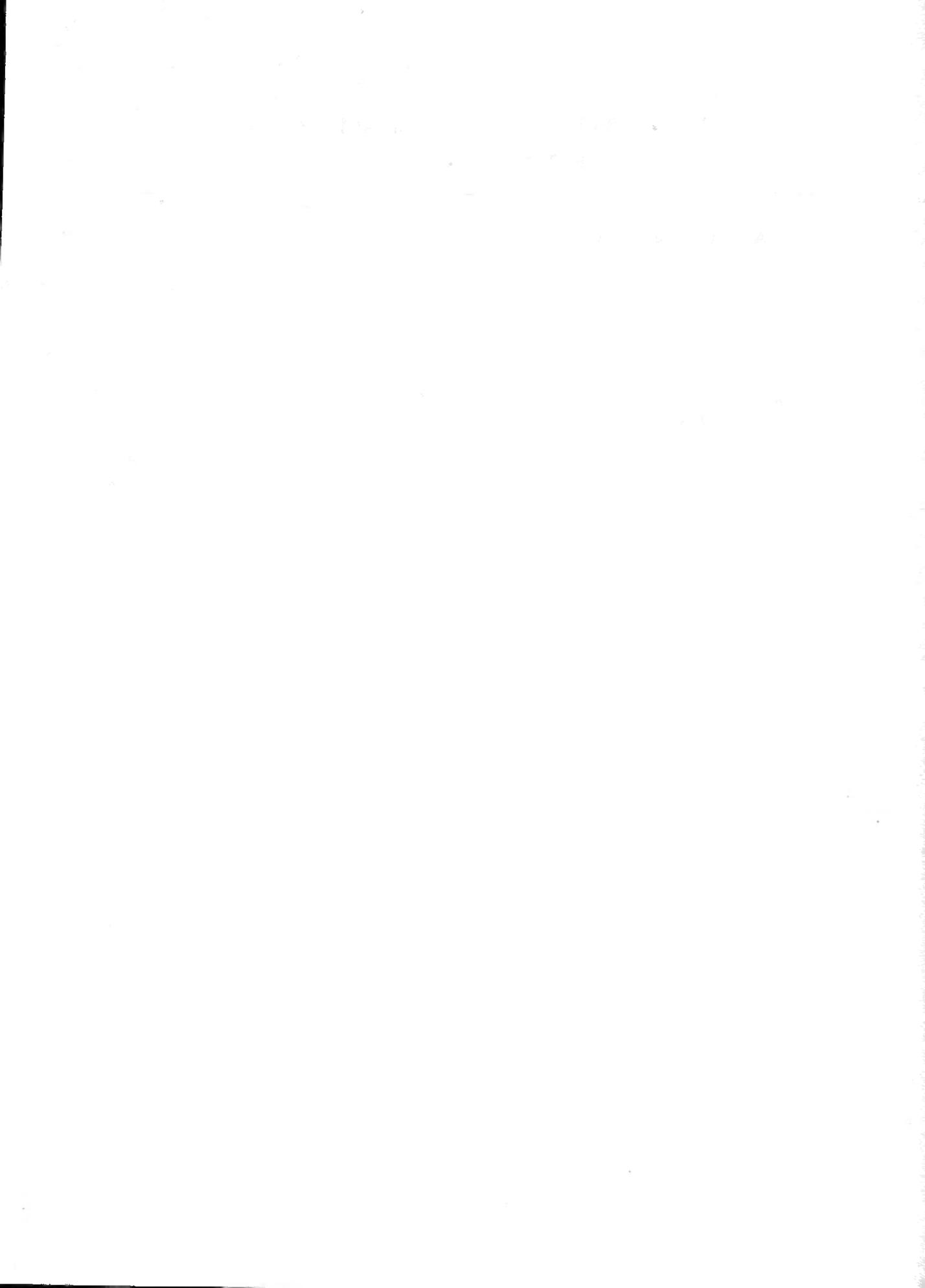


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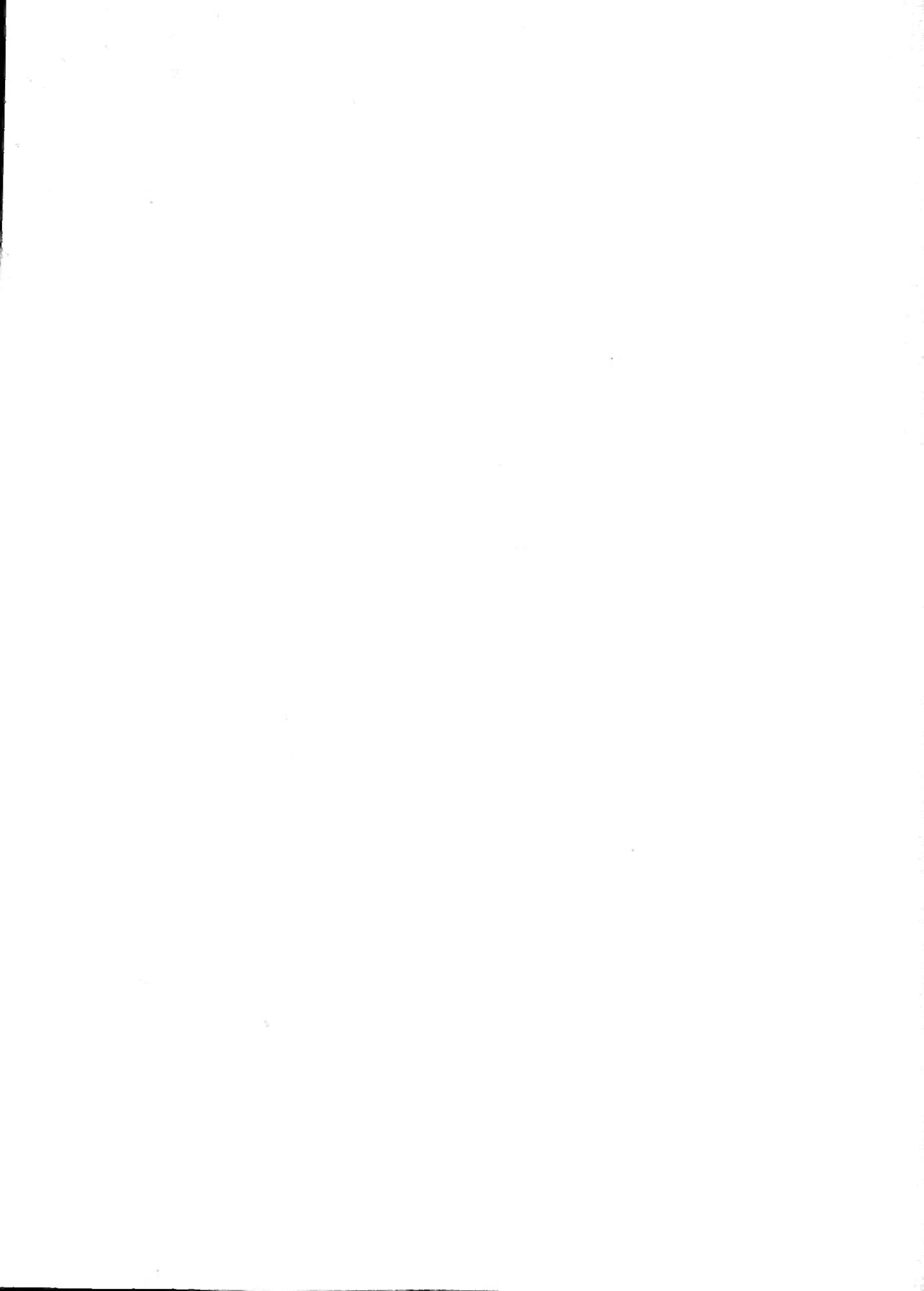
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APPENDIX A

SUPPLEMENTARY TABLES



APPENDIX A

SUPPLEMENTARY TABLES

Introductory Note to Appendix A

This appendix contains supplementary tables corresponding to all the research questions posed by HUD for this evaluation. The questions are organized according to the list in the Contract Scope of Work and numbered for correspondence with the crosswalk in the evaluation's Research Design.¹ The subject areas are in the following ranges:

Analytic Theme	Research Questions	Item Numbers
Description	A.1 to A.8.e	1 to 110
Implementation	B.1 to B.16	111 to 165
Impact	C.1 to C.10.a	166 to 198

The tables are uniform in format, with the same elements in each. There is one version for reporting data about grantees, a second for reporting data about providers. Empty shells of each are shown in Exhibits A.1 and A.2, so that the common elements can easily be located. These elements are listed here.

Item(s) -- Indicates the item numbers in the Research Design crosswalk.

Research Question(s) -- Gives the number(s) and text of the research question(s) posed by HUD

Shaded bar

Responses -- Shows the answer categories or identifying labels of rows in the table.

Respondent groups --

Grantees are always grouped by grantee type (state/territory, metropolitan city, urban county).

Recipients (the middle level of the program) are reported all together, sometimes in the same table as grantees.

¹ Abt Associates, Inc., *Evaluation of the Emergency Shelter Grants Program: Research Design, Data Collection and Analysis Plan* (March 24, 1992), pp. 59-75.

Exhibit A.1

Sample Table for Grantees

Item(s)	Research Question(s):							
	State/Territory Number	Percent	Metropolitan City Number	Percent	Urban County Number	Percent	All Respondents Number	Percent
<i>Question 1</i>								
TOTAL RESPONSES								
<i>Question 2</i>								
TOTAL RESPONSES								
Source:								
Missing Cases:								
Notes: (1)								

Exhibit A.2

Sample Table for Providers

Item(s)	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Research Question(s):										
<i>Question 1</i>										
TOTAL RESPONSES										
<i>Question 2</i>										
TOTAL RESPONSES										
Source										
Missing Cases:										
Notes: (1)										

Providers are always grouped by stratum (homelessness prevention, essential services, conversion/rehabilitation, operations). Assignment of providers to strata indicates one but not all of the ESG-eligible activities for which funding was received in FY 91; many providers were conducting more than one eligible activity. The hierarchical assignment of providers to strata is explained in Chapter 2 and described in detail in Appendix B.

Measure -- Shows the statistical measure being reported (mean, percent, median).

Left column

Questions -- Shows wording of survey question when it differs from research question.

Total responses -- Shown when response categories are mutually exclusive (no multiple responses). Notes indicate when multiple responses are possible.

Source -- Indicates data collection instrument and whether data are weighted.

Missing cases -- Shows the unweighted number of missing responses.

Notes -- Gives information about multiple responses, definitions of data items, and other details. General notes are numbered (1); notes for specific items in table are lettered (a). General notes are listed before specific notes.

Research Questions A.1, A.2.e: What are the characteristics of the grantee internal agencies designated by the grantees to administer ESG?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Primary mission of grantee agency:</i>								
Community development	18	32.4%	139	63.3%	72	67.6%	229	60.1%
Economic development	5	8.2%	4	2.0%	2	1.9%	11	2.9%
Health care	0	0.0%	2	0.8%	0	0.0%	2	0.4%
Housing	11	19.1%	41	18.8%	13	12.2%	65	17.0%
Social services	10	18.4%	12	5.5%	8	7.4%	30	7.9%
Welfare/public assistance	6	11.3%	3	1.1%	1	1.0%	10	2.6%
Other	6	10.5%	19	8.5%	11	9.9%	35	9.2%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%

Does grantee have primary responsibility for homeless programs, or is the responsibility shared?

Primary	28	51.2%	104	47.5%	29	27.4%	162	42.4%
Shared	27	48.8%	116	52.5%	78	72.7%	220	57.6%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%

In what division are homeless programs located?

Economic development	1	1.8%	12	5.4%	1	1.3%	14	3.7%
Emergency assistance	0	0.0%	5	2.1%	0	0.0%	5	1.2%
Housing division	10	18.6%	31	14.5%	24	23.0%	66	17.5%
Community development	13	23.5%	54	25.1%	29	27.4%	95	25.2%
Human or social services	22	39.8%	36	16.7%	29	27.4%	87	23.1%
Other	9	16.3%	78	36.2%	22	20.8%	110	29.2%
TOTAL RESPONSES	55	100.0%	215	100.0%	106	100.0%	376	100.0%

Source: Grantee Survey, Questions 2-7 (weighted data); Recipient Survey, Questions 5-7.
Grantee Universe=392, Survey Sample=234.

Missing Cases: 4 grantees from third question.

Items 1-5 (cont.)

Research Question A.1.A.2.e: What are the characteristics of the grantee internal agencies designated by the grantees to administer the ESG?

Responses	State/Territory Number	Metropolitan City Number	Urban County Number	All Grantees Number	Recipients Number
Mean number of staff assigned primarily to issues regarding homeless	2.87	2.49	4.35	3.07	2.75
Mean number of volunteers assigned primarily to issues regarding homeless	0.00	0.52	3.57	1.30	0.00
<i>How many staff have primary duties for...</i>					
Program administration	2	2	2	2	3
Direct program management	1	1	2	1	0
Housing search	0	0	0	0	0
Health care	0	0	0	0	0
<i>What was grantee's/recipient's total budget for homeless activities/services?</i>					
Mean budget	\$3,832,656	\$931,182	\$589,474	\$1,236,171	\$321,637
Median budget	\$1,030,000	\$163,000	\$150,000	\$210,000	\$27,500
<i>What was the grantee's/recipient's ESGF Budget?</i>					
Mean budget	\$698,532	\$164,417	\$84,115	\$235,768	\$59,899
Median budget	\$557,000	\$77,000	\$68,500	\$86,000	\$19,400

Source: Grantee Survey, Questions 2-7 (weighted data); Recipient Survey, Questions 5-7.
Grantee Universe=382, Survey Sample=234.

Missing Cases: For numbers of staff, 4 grantees; for budgets, 7 grantees.

Item 2

Research Question A.1.a: Is there a relationship between the type of grantee agency selected and how the grant funds are allocated?

Grantee Agency Mission (a)	Grantee FY 91 ESG Funds Allocation														
	Operations			Conversion/Rehabilitation			Essential Services			Homelessness Prevention			Administration		
	Mean Percent	Median Percent	Percent	Mean Percent	Median Percent	Percent	Mean Percent	Median Percent	Percent	Mean Percent	Median Percent	Percent	Mean Percent	Median Percent	Percent
Community Development (229)	55.7%	60.4%	19.1%	0.0%	15.6%	14.7%	8.3%	0.0%	1.3%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Economic Development (11)	41.1%	38.9%	40.1%	36.8%	7.8%	2.7%	9.2%	10.4%	1.7%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Housing (65)	55.8%	57.0%	25.7%	13.8%	11.5%	13.7%	5.3%	0.0%	1.7%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Health Care (2)	66.4%	66.4%	5.5%	5.5%	0.0%	0.0%	28.1%	28.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Social Services (30)	53.4%	51.7%	13.9%	13.0%	20.3%	18.5%	9.2%	7.5%	3.2%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Welfare (10)	47.6%	44.3%	42.4%	28.8%	8.9%	7.5%	5.0%	1.7%	3.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Other (35)	49.4%	59.6%	27.6%	50.9%	14.0%	13.0%	7.0%	0.0%	2.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

Source: Grantee Survey, Question 2 (weighted data); Grantee Census for funds allocations.
Grantee Universe=392, Survey Sample=234.

Missing Cases: None.

Notes: (a) Numbers in parentheses are weighted numbers of grantees.

Items 3, 5, 6

Research Questions A.2, A.2.b, A.2.c: What are ESG recipients' organizational objectives?
How are ESG recipient organizations structured?

Responses	Number of Recipients	Percent of Recipients
Recipient's primary mission:		
Local government	9	75.0%
Human Services	1	8.3%
Neighborhood and Community Services	1	8.3%
Department of Public Works	1	8.3%
TOTAL RESPONSES	12	100.0%
Does recipient have primary responsibility for homeless programs or is responsibility shared?		
Primary	9	75.0%
Shared	3	25.0%
TOTAL RESPONSES	12	100.0%
In what division are homeless programs located?		
Housing	2	16.7%
Neighborhood and Community Services	1	8.3%
Local Government (general unit)	4	33.3%
Human Services	1	8.3%
Planning	2	16.7%
Public Works	1	8.3%
Community Development	1	8.3%
TOTAL RESPONSES	12	100.0%

Source: Recipient Survey, Questions 2-4.

Missing Cases: None.

Research Questions A.2.a, A.2.d, A.3.g, A.3.h : What are the characteristics of the ESG participants?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
What percentage are operated by...										
Local governments	48	11.0%	59	6.1%	14	3.5%	40	3.5%	162	5.4%
Non-profits with no religious affiliation	322	73.7%	777	79.7%	304	74.7%	823	71.0%	2227	74.8%
Non-profits with religious affiliation	67	15.2%	138	14.2%	89	21.8%	296	25.6%	590	19.8%
TOTAL RESPONSES	437	100.0%	974	100.0%	408	100.0%	1160	100.0%	2978	100.0%
How long have these organizations been in operation?										
Mean number of years in operation	20.3	---	15.1	---	19.7	---	15.6	---	17.0	---
Median number of years in operation	16.0	---	10.0	---	10.5	---	10.0	---	11.0	---
Percent in operation under 5 years	---	12.0%	---	10.0%	---	13.0%	---	22.0%	---	16.0%
What are the sizes of the shelters?										
Number of beds	---	---	---	---	---	---	---	---	---	---
Mean	---	---	53.6	---	46.4	---	49.4	---	50.2	---
Median	---	---	31	---	20	---	28	---	26	---

Source: Provider Phone Survey, Question 4, 5 and 7 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 11 providers for the first question, 30 providers for the third question.

Notes: (1) Shelter size not asked of HP staturm.

Research Questions A.3., A.3.f.: What are the characteristics of shelters receiving ESG funds? How are the facilities configured?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Group home or large house	146	52.6%	424	52.0%	201	51.0%	463	42.1%	1234	47.7%
Dormitory	60	21.7%	274	33.6%	107	27.1%	386	35.1%	826	31.9%
Entire apartment building divided into rooms/apartments	30	10.6%	16	2.0%	22	5.7%	118	10.7%	186	7.2%
Group of apartments in same building	25	9.1%	38	4.6%	18	4.7%	35	3.2%	116	4.5%
Rooms in single room occupancy building	6	2.0%	0	0.0%	18	4.6%	35	3.2%	59	2.3%
Single apartment	4	1.6%	18	2.3%	3	0.9%	0	0.0%	26	1.0%
Hotel or motel	0	0.0%	7	0.9%	0	0.0%	4	0.4%	11	0.4%
Other	7	2.4%	38	4.7%	24	6.1%	59	5.4%	128	4.9%
TOTAL RESPONSES	278	100.0%	815	100.0%	393	100.0%	1099	100.0%	2587	100.0%

What is the physical setup of this shelter? (a)

Source: Provider Mailed Survey, Question 21 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 13 providers.

Notes: (a) Question asked only of shelters.

Research Questions A.3.b, A.3.c: What proportion of shelters are short-term (overnight) and what proportion are other than short-term (transitional or day shelters)? What proportion are day centers or drop-in centers?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Providers that are shelters:</i>	156	---	751	---	411	---	1159	---	2477	---
<i>Shelters reporting they operate:</i>										
Day shelter or drop-in center only	9	5.5%	48	6.5%	5	1.7%	62	6.2%	124	5.6%
Night shelter only	8	5.0%	47	6.4%	35	11.3%	119	11.8%	209	9.5%
24-hour shelter with day program	140	89.5%	639	87.1%	270	87.0%	825	82.0%	1874	84.9%
TOTAL RESPONSES	156	100.0%	734	100.0%	310	100.0%	1006	100.0%	2206	100.0%
<i>Characteristics of shelters: (a)</i>										
Temporary, overnight	---	---	392	53.4%	216	69.8%	521	51.8%	1129	51.2%
Short-term, 90 days or less	---	---	573	78.1%	275	88.7%	872	86.7%	1720	78.0%
Longer-term, transitional	---	---	368	50.1%	254	82.0%	465	46.2%	1087	49.3%
No time limits, clients with special needs, e.g. substance abusers	---	---	244	33.2%	117	37.7%	290	28.8%	650	29.5%

Source: Provider Phone Survey, Questions 7 and 31 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: None.

Notes: (a) Second question not asked of providers in HP stratum.

**Research Questions A.3.d., A.3.e.: What hours are the shelters open?
How many days out of the year are shelters operational?**

Responses	Shelters		Non-shelters		All Respondents	
	Number	Percent	Number	Percent	Number	Percent
Open 24 hours/7 days per week	2044	75.4%	255	32.4%	2299	65.7%
Open during daytime hours	326	12.0%	489	62.1%	815	23.3%
Open overnight	310	11.4%	44	5.6%	354	10.1%
Other ⁽¹⁾	32	1.2%	0	0.0%	32	0.9%
TOTAL RESPONSES	2712	100.0%	788	100.0%	3500	100.0%

Source: Provider Mailed Survey, Question 10 (weighted data).
Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 6 providers.

Notes: (1) Includes, for example, an organization that runs a day program 5 days per week and an overnight shelter 2 nights per week.

Item 16

Research Question A.3.f: Where are the facilities located (national distribution)?

Responses	Homelessness Prevention Number	Homelessness Prevention Percent	Essential Services Number	Essential Services Percent	Conversion/Rehabilitation Number	Conversion/Rehabilitation Percent	Operations Number	Operations Percent	All Respondents Number	All Respondents Percent
<i>Where are the shelters located?</i>										
Northeast	11	7.3%	157	21.0%	130	31.7%	314	27.1%	613	24.7%
South	59	37.7%	214	28.6%	94	22.8%	389	33.6%	757	30.5%
Midwest	66	41.3%	225	30.0%	128	31.2%	252	21.8%	670	27.1%
West	22	13.7%	154	20.5%	59	14.2%	204	17.6%	438	17.7%
TOTAL RESPONSES	158	100%	750	100%	411	100%	1159	100%	2478	100%

Source: Provider Phone Survey, location information (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651

Missing Cases: None.

Notes: (1) Data are on shelters only, non-shelter providers are excluded.

Research Question A.3.i.: How many staff are employed (including volunteers)?

Responses	Local Government Shelters	Private Shelters	All Shelters
Shelters			
Full-Time Equivalent Staff			
Mean	13.5	14.1	14.0
Median	4.6	6.3	6.0
Full-Time Equivalent Volunteers			
Mean	1.6	3.2	3.2
Median	0.6	1.4	1.3
Non-Shelters			
	Local Government Agencies	Private Agencies	All Non-Shelters
Full-Time Equivalent Staff			
Mean	4.5	11.8	10.5
Median	2.6	3.8	3.6
Full-Time Equivalent Volunteers			
Mean	0.3	2.4	2.1
Median	0.0	1.0	0.6

Source: Provider Mailed Survey, Question 12 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 5 providers from staff, 22 providers from volunteers.

Research Question A.3.j: What are the shelter rules for client behavior?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
No drinking/drug use in facility	255	91.7%	815	100.0%	363	97.7%	1084	98.6%	2518	98.2%
No possession of weapons	220	100.0%	815	100.0%	368	99.0%	1046	95.1%	2449	97.7%
Cannot steal from/assault persons	220	83.2%	809	99.3%	369	99.1%	1075	97.7%	2473	96.9%
Curfew	214	78.8%	798	97.9%	300	92.9%	1047	95.3%	2359	94.0%
Certain standards of personal hygiene	227	81.5%	730	89.5%	287	79.9%	966	87.9%	2210	86.6%
No engaging in prostitution	200	71.7%	687	84.3%	289	78.8%	997	90.7%	2174	84.9%
Must meet with caseworker	206	84.8%	641	78.9%	263	82.1%	943	86.2%	2053	83.1%
Client must actively seek housing	261	93.6%	583	72.2%	257	80.6%	942	85.7%	2043	81.6%
Required chores	232	83.3%	622	76.5%	292	90.6%	853	78.9%	2000	80.1%
No sexual activity in facility	182	67.7%	632	80.3%	280	75.4%	869	79.0%	1963	77.7%
Children must enroll in/attend school	175	91.3%	660	84.2%	254	84.7%	669	66.0%	1758	76.8%
Adherence to case management plan	156	56.2%	611	75.2%	270	83.7%	848	77.5%	1885	75.2%
No foul language in facility	182	65.3%	715	87.7%	214	68.3%	766	69.7%	1876	74.9%
No drinking/drug use anywhere	228	81.8%	530	65.3%	286	79.8%	829	75.5%	1874	73.5%
Limited visitors allowed	238	86.1%	709	87.0%	228	71.4%	638	60.5%	1813	73.5%
No actively suicidal clients	177	63.6%	474	60.7%	228	65.1%	720	67.0%	1600	64.4%
Loss of bed if long absence occurs	130	47.0%	613	76.7%	162	51.1%	649	60.8%	1554	63.2%
No smoking in facility	116	44.0%	483	59.6%	161	51.2%	606	57.5%	1365	55.9%

(continued)

Item 22 (cont.)

Research Question A.3.j.: What are the shelter rules for client behavior?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Must look for job unless handicapped	155	64.0%	334	41.8%	150	48.6%	636	58.4%	1275	52.9%
No sexual offenders allowed	179	64.4%	306	39.0%	112	36.6%	425	40.1%	1023	42.1%
Must attend training sessions	120	49.4%	274	33.8%	116	37.0%	494	45.9%	1004	41.1%
Health screen required upon admission	116	41.7%	140	17.3%	139	43.2%	376	34.4%	771	30.8%
No outside visitors allowed	29	10.7%	132	16.6%	141	38.0%	370	34.7%	672	26.8%
Savings (escrow) program required	28	10.3%	150	18.5%	90	29.1%	353	32.9%	621	25.2%
Location of facility kept confidential	119	42.6%	299	37.1%	94	29.2%	98	9.0%	610	24.4%
Participation in vocational counseling	98	35.1%	172	21.1%	70	21.8%	243	22.3%	582	23.3%
No violence in criminal records	87	31.3%	157	19.8%	91	29.5%	193	17.8%	528	21.4%
Non-school youth do volunteer work	42	21.7%	170	21.9%	28	9.9%	47	5.1%	286	13.2%
No police referrals	0	0.0%	37	4.5%	17	5.4%	96	8.8%	150	6.0%
Other	52	35.3%	103	56.0%	131	72.3%	239	57.9%	525	56.7%

Source: Provider Mailed Survey, Question 22 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 15-48 providers.

Notes: (1) Multiple responses possible.

Research Question A.3.k: How do shelters vary by client type?

Responses	All Non-Shelters	All Shelters	Day-only Shelters	Night-Only Shelters	24-Hour Shelters
Percent serving:					
Single men	78.5%	44.9%	65.6%	83.0%	38.4%
Single women	88.3%	75.7%	80.9%	81.9%	78.4%
Single youth	33.8%	30.7%	56.4%	18.7%	31.7%
Families	95.4%	82.7%	91.1%	57.7%	86.8%
Women and children	93.6%	78.6%	88.0%	53.3%	82.6%
Families with no children	80.1%	44.9%	62.2%	57.3%	43.0%

Source: Provider Phone Survey, Question 17 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing cases: 0-3 providers.

Research Questions: A.3.l., A.7., A.7.e., A.7.f.: Which shelters provide supportive services, and what type of services are offered/required? On what services are ESGP funds being spent? Who provides services and where? How are residents linked to services?

Responses	Percent Offering Service	Percent Funding Service with ESGP	Percent Providing Service On -Site	Percent Requiring Participation by All
Bed space	89.2%	66.5%	85.8%	35.2%
Breakfast	79.3%	52.2%	88.7%	10.4%
Lunch	69.3%	55.8%	85.4%	10.9%
Dinner	79.6%	49.5%	87.9%	11.9%
Additional services beyond referrals	93.1%	---	---	---
Assistance in obtaining benefits	94.2%	38.4%	91.0%	11.0%
Assistance obtaining permanent housing	92.2%	52.1%	91.8%	16.4%
Assistance with daily living skills	86.2%	40.1%	87.9%	30.3%
Transportation	79.1%	41.4%	95.9%	17.1%
Support groups	78.6%	17.9%	82.7%	32.0%
Nutritional counseling	50.1%	22.9%	90.1%	26.9%
Job referrals	69.8%	36.6%	87.6%	14.0%
Child care	42.2%	25.6%	67.3%	3.8%
Clothing	81.7%	17.8%	77.6%	2.9%

(continued)

Research Questions: A.3.I., A.7., A.7.e., A.7.f.: Which shelters provide supportive services, and what type of services are offered/required? On what services are ESGP funds being spent? Who provides services and where? How are residents linked to services?

Responses	Percent Offering Service	Percent Funding Service with ESGP	Percent Providing Service On-Site	Percent Requiring Participation by All
Additional services beyond referrals (cont.)				
Assistance in GED preparation	47.9%	30.5%	69.9%	14.1%
Other basic skills (e.g. budgeting)	32.0%	17.2%	60.9%	5.8%
Vocational counseling	50.6%	30.1%	65.8%	21.1%
Job training	28.1%	40.8%	56.2%	25.1%
English as a second language classes	20.3%	2.8%	38.9%	14.9%
Substance abuse counseling	53.4%	22.7%	65.6%	15.5%
Psychological counseling	45.5%	19.6%	60.6%	16.3%
Medical care	44.2%	24.1%	56.3%	12.1%
Detoxification/other drug treatment	22.5%	24.1%	13.2%	12.4%
Legal assistance	39.6%	15.5%	47.9%	13.3%

Source: Provider Mailed Survey, Question 19 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 3-16 providers.

Notes: (1) Multiple responses possible.

Research Question A.4: How many homeless have been assisted by the ESG and what are their characteristics?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Mean number of clients served annually:										
Shelter days/nights	7286	---	12816	---	12804	---	13167	---	12644	---
Individuals	3368	---	948	---	877	---	761	---	1247	---
Families	1613	---	992	---	730	---	551	---	936	---
Which of the following groups does provider serve?										
Unaccompanied men over 18	320	73.0%	526	53.3%	208	50.9%	490	41.6%	1545	51.2%
Unaccompanied women over 18	387	88.3%	822	83.3%	264	64.6%	888	75.2%	2361	33.0%
Unaccompanied youth under 18	104	23.7%	353	35.7%	129	31.6%	360	30.5%	946	31.4%
Families with children, headed by:										
Single men over 18	342	78.5%	571	58.1%	145	35.6%	531	45.0%	1590	52.9%
Single women over 18	415	94.8%	857	86.8%	263	64.2%	927	78.8%	2462	81.8%
Youth 18 and under	231	52.8%	398	40.9%	151	36.9%	521	44.4%	1301	44.0%
Two parents 18 and over	350	81.0%	604	61.2%	158	38.6%	560	47.5%	1673	55.6%
Two parents 18 and under	187	42.9%	331	34.1%	96	23.6%	264	22.4%	879	35.0%
Families with no children	348	79.3%	551	55.8%	188	45.9%	452	39.0%	1538	51.4%

Source: Provider Phone Survey, Questions 17, 19 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 44 providers for first question, 3-8 providers for second question.

Notes: (1) Multiple responses possible.

Item 28, 37, 39, 110

Research Questions A.4, A.8.e: *What are the characteristics of the homeless assisted by the ESG? Characteristics include special problems, e.g. mental illness, substance abuse, physical disabilities.*

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Provider offers services to:</i>										
Battered women	278	63.5%	608	61.1%	199	48.5%	604	51.0%	1689	55.8%
Children/youth/child victims (1)	97	22.1%	329	33.0%	68	16.6%	229	19.3%	722	23.8%
Chronically mentally ill	176	40.2%	407	40.9%	132	32.0%	409	34.6%	1124	37.1%
Mentally retarded individuals	212	48.3%	342	34.4%	87	21.1%	277	23.4%	918	30.3%
HIV Positive	218	49.8%	422	42.4%	100	24.4%	446	37.6%	1186	39.2%
Alcohol dependent	260	59.4%	575	57.8%	168	41.0%	579	48.9%	1582	52.3%
Drug dependent	273	62.2%	539	54.2%	163	39.8%	583	49.3%	1559	51.5%
Elderly	286	65.2%	481	48.4%	180	43.8%	432	36.5%	1380	45.6%
Veterans	257	58.6%	447	44.9%	169	41.2%	411	34.7%	1284	42.4%
Physically disabled	240	54.7%	486	48.9%	165	40.2%	415	35.0%	1306	43.1%

Source: Provider Phone Survey, Question 18 (weighted data).
 Provider Universe=3000 - 3500 (estimated), Survey Sample=651.

Missing Cases: 3 - 8 providers.

Notes: (1) Separate from battered women.
 (2) Multiple responses possible.

Research Question A.4: What are the employment status and income sources of the homeless assisted by the ESG?

Responses	Homelessness Prevention	Essential Services	Conversion/Rehabilitation	Operations	All Respondents
Median percent of clients with no income	10.0%	35.0%	30.0%	34.0%	25.0%
<i>Of clients with income, median percent receiving:</i>					
Wages	30.0%	11.0%	15.0%	15.0%	20.0%
AFDC	35.0%	25.5%	29.5%	27.0%	30.0%
General Assistance	2.5%	5.0%	5.0%	0.0%	2.0%
Child Support	5.0%	0.0%	0.0%	0.0%	1.0%
Social Security Income	7.0%	5.0%	3.5%	3.0%	5.0%
Social Security Disability Income	5.0%	2.0%	2.0%	2.0%	3.0%
Other Disability income	0.0%	0.0%	0.0%	0.0%	0.0%

Source: Provider Phone Survey, Question 21 (weighted data).
 Provider Universe = 3000 - 3035 (estimated), Survey Sample = 651.

Missing Cases: 44 providers.

Research Question A.4.: What are the prior places of residency of providers' clients?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Mean Percent	Median Percent	Mean Percent	Median Percent	Mean Percent	Median Percent	Mean Percent	Median Percent	Mean Percent	Median Percent
<i>Percent of clients from...</i>										
Streets	15.6%	5.0%	25.5%	20.0%	19.6%	5.0%	29.7%	10.0%	24.0%	10.0%
Living with friends/relatives	16.6%	9.5%	11.8%	7.5%	17.0%	10.0%	18.5%	10.0%	15.7%	10.0%
Private rental housing	25.5%	20.0%	8.9%	2.5%	14.5%	4.5%	8.4%	0.0%	13.0%	5.0%
Emergency shelters	5.4%	3.0%	11.3%	5.0%	8.9%	5.0%	11.8%	5.0%	9.9%	5.0%
Public housing	8.9%	5.0%	5.4%	0.0%	5.0%	0.5%	3.6%	0.0%	5.5%	1.0%
Jail/prison	4.3%	0.0%	3.8%	0.0%	4.6%	0.0%	4.9%	1.0%	4.4%	1.0%
Owner - occupied home	6.4%	2.0%	9.1%	0.0%	3.9%	0.0%	4.2%	0.0%	6.3%	0.0%
Detox/substance abuse shelter/program	4.0%	0.0%	3.2%	0.0%	6.1%	1.0%	6.4%	0.0%	4.8%	0.0%
Psychiatric facility	2.2%	0.0%	1.6%	0.0%	1.9%	0.0%	1.8%	0.0%	1.8%	0.0%
Residential treatment programs	2.1%	0.0%	0.9%	0.0%	1.6%	0.0%	1.7%	0.0%	1.5%	0.0%
Transitional shelters	2.1%	0.0%	1.4%	0.0%	1.7%	0.0%	1.4%	0.0%	1.6%	0.0%

Source: Provider Mailed Survey, Question 18 (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample = 301.

Missing cases: 5 - 31 providers.

Research Question A.5: What are the ESG costs, including operating costs?

Responses	Number	Operations Percent
<i>Which of the following operating costs are supported with ESG funds?</i>		
Maintenance	708	70.5%
Operations (excluding staff), rent, repairs, security, fuels, equipment	931	92.8%
Insurance	564	56.2%
Utilities	941	93.8%
Furnishings	392	39.1%
Supplies	126	12.6%

Source: Provider Phone Survey, Question 30 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 2 providers.

Notes: (1) Question asked of operations stratum only.

Research Questions A.5., A.6.a.: What are the ESG costs, including operating costs?

Responses	Number of Providers Reporting	Minimum	Maximum	Mean	Median
Total project costs (a)	40	\$31,680	\$1,741,470	\$316,432	\$269,884
Per bed (b)	25	\$722	\$60,595	\$8,087	\$5,569
Per square foot (b)	24	\$4	\$386	\$62	\$41
Conversion/rehabilitation costs					
Total	14	\$3,050	\$1,859,558	\$302,493	\$51,978
Per bed (b)	6	\$1,250	\$92,978	\$19,068	\$4,332
Per square foot (b)	9	\$2	\$214	\$38	\$12
Operating costs					
Total	35	\$10,090	\$767,059	\$132,029	\$76,165
Non-staff costs (c)	35	\$10,090	\$268,988	\$88,280	\$76,087
Total per bed (b)	25	\$336	\$16,926	\$2,879	\$1,618
Total per square foot (b)	23	\$3	\$60	\$18	\$16
Staff costs					
General administration	38	\$7,035	\$198,446	\$52,206	\$41,833
Essential social services	32	\$8,112	\$1,658,730	\$183,771	\$112,696
Homelessness prevention	12	\$6,682	\$129,888	\$38,522	\$25,066
Total staff costs	38	\$15,625	\$1,658,730	\$219,126	\$163,918
Essential services costs					
Staff	32	\$9,112	\$1,658,730	\$183,771	\$112,696
Total	36	\$17,006	\$315,231	\$103,803	\$85,600
Total per bed (b)	25	\$169	\$36,323	\$3,630	\$1,902
Homelessness prevention costs					
Staff	12	\$6,682	\$129,888	\$38,522	\$25,066
Non-staff	14	\$753	\$424,499	\$88,621	\$18,679
Total	36	\$753	\$385,250	\$28,017	\$18,000
Total per bed (b)	25	\$47	\$2,277	\$176	\$333

Source: Cost data from a purposive sample of providers in the 15 intensive-study sites. These providers were not selected randomly; their costs may not be typical of all ESG-funded providers.

- Notes: (1) These data are from a small, non-representative group of providers. They are illustrative only.
 (2) The number of providers with data varies from item to item. Totals may be present without components; details may be present without totals.
 (3) The cost forms for collecting these data were often difficult for providers to reconcile with their budgets. Sub-elements are therefore less reliable than total project costs.
 (a) Total project costs reflect entire agency budget.
 (b) Total project cost per bed and per square foot reflects costs for homeless programs and services divided by number of beds or number of square feet.
 (c) Operating costs include payment for shelter maintenance, operation (including administration but excluding staffing costs), rent, repairs, security, fuel, equipment, insurance, utilities, food, and furnishings.

Research Question A.5.a: What proportion of costs are paid by the ESG and what proportion are paid by other sources?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Providers receiving funding from:										
Department of Housing & Urban Development	311	70.9%	759	76.3%	302	73.6%	972	82.1%	2344	77.4%
CDBG	58	13.2%	328	33.0%	128	31.2%	306	25.8%	820	27.1%
ESG from another grantee (a)	73	16.6%	163	16.4%	54	13.2%	251	21.2%	541	17.9%
Section 8 Moderate Rehabilitation	2	0.5%	19	1.9%	9	2.1%	6	0.5%	35	1.2%
SHDP	7	1.6%	23	2.3%	21	5.0%	57	4.8%	107	3.9%
SAFAH	6	1.4%	16	1.6%	15	3.6%	19	1.6%	56	1.8%
Federal Emergency Management Agency Emergency Food and Shelter Program	244	55.7%	642	64.5%	223	54.2%	798	67.2%	1905	62.0%
Department of Health & Human Services	89	20.2%	191	19.2%	66	16.0%	268	22.6%	613	20.3%
Community Mental Health Services for the Homeless	2	0.5%	11	1.1%	0	0.0%	33	2.8%	46	1.5%
Emergency Community Services Homeless Grant Program	15	3.5%	12	1.2%	12	2.9%	19	1.6%	58	1.9%
Health Care for the Homeless	3	0.6%	25	2.5%	9	2.1%	57	4.9%	94	3.1%
Department of Veterans Affairs	5	1.2%	3	0.3%	2	0.5%	7	0.6%	18	0.6%
Homeless Chronically Mentally Ill Veterans Program	5	1.2%	0	0.0%	2	0.5%	7	0.6%	15	0.5%
Domiciliary Care for Homeless Veterans	5	1.2%	3	0.3%	2	0.5%	7	0.6%	18	0.6%
Department of Education	14	3.1%	46	4.6%	13	3.1%	38	3.2%	111	3.7%
Adult Education for the Homeless	1	0.3%	11	1.1%	0	0.0%	21	1.7%	32	1.1%
Education for Homeless Children and Youth	2	0.5%	22	2.2%	0	0.0%	17	1.4%	41	1.3%
Department of Labor	10	2.3%	22	2.3%	14	3.4%	8	0.7%	55	1.8%
Homeless Veterans Reintegration Program	0	0.0%	0	0.0%	2	0.5%	0	0.0%	2	0.1%
Job Training for the Homeless	1	0.3%	11	1.1%	0	0.0%	0	0.0%	12	0.4%

Source: Provider Phone Survey, Questions 9-12 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 55-71 providers.

Notes: (1) Multiple responses possible.

(a) ESG funding from a grantee other than the one through which the provider was sampled for the study.

Research Question A.5.a: What proportion of costs are paid by the ESG and what proportion are paid by other sources?

Responses	State/Territory		Metropolitan/City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Number and percent of grantees reporting that they receive funds from...</i>								
Department of Housing & Urban Development (a)	47	85.5%	145	66.1%	68	64.0%	261	68.3%
CDBG	21	38.4%	128	58.4%	54	50.2%	203	53.2%
Section 8 moderate rehabilitation	2	4.2%	22	9.9%	4	3.5%	28	7.3%
Supportive housing demonstration program	14	24.7%	17	7.9%	7	6.6%	38	9.9%
Supplemental assistance for facilities to assist the homeless	12	21.2%	13	5.8%	6	5.2%	30	7.8%
Department of Health & Human Services	30	54.7%	14	6.5%	4	3.6%	48	12.6%
Community mental health services for the homeless block grant	4	7.1%	3	1.6%	1	1.4%	9	2.3%
Emergency community services homeless grant program	25	44.8%	9	4.0%	1	1.3%	35	9.2%
Health care for the homeless	1	2.3%	8	3.7%	0	0.0%	9	2.5%
Department of Veteran's Affairs	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Homeless chronically mentally ill veteran's programs	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Domiciliary care for homeless veterans	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Department of Education	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Adult education for the homeless	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Education for homeless children and youth	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Department of Labor	0	0.0%	7	3.2%	1	1.0%	8	2.1%
Homeless veteran's reintegration projects	0	0.0%	2	0.9%	0	0.0%	2	0.4%
Job training for the homeless	0	0.0%	4	1.6%	1	1.0%	5	1.2%
Federal Emergency Management Agency	0	0.0%	16	7.4%	14	13.2%	30	7.9%
Emergency food and shelter program	0	0.0%	9	4.0%	12	10.9%	20	5.3%

Source: Grantee Survey, Question 9.b (weighted data).
Grantee Universe=362, Survey Sample=234.

Missing Cases: None.

Notes: (a) In addition to ESG.

Research Question A.5.a.: What proportion of costs are paid by the ESGP, and what proportion are paid by other sources?

Responses	Total Funding	Percent of Grand Total
Funding Source		
Emergency Shelter Grant Program	\$1,240,430	10.9%
Other Federal Programs:		
Community Development Block Grant	331,427	2.9%
Supplemental Assistance for Facilities to Assist the Homeless	50,000	0.4%
Department of Health and Human Services	209,186	1.8%
Federal Emergency Management Agency	293,135	2.6%
Supportive Housing Demonstration Program	72,624	0.6%
Department of Labor	65,000	0.6%
Other Federal Programs	1,272,406	11.2%
State	875,677	7.7%
Local government	1,363,248	12.0%
Foundation contribution	632,358	5.6%
Corporate contribution	503,001	4.4%
Individual contribution	1,431,487	12.6%
In-kind contributions	1,350,050	11.9%
Client fees	269,665	2.4%
Rental income	90,499	0.8%
Paid by tenants	8,945	0.1%
Lease income	5,900	0.1%
Business income	156,873	1.4%
Provider agency or organization	133,594	1.2%
Other	1,012,509	8.9%
GRAND TOTAL	\$11,368,014	100.0%

Source: Cost assessment forms from 40 providers at intensive study sites.

Notes: (1) Cost data were obtained from a purposive sample of providers at the intensive study sites. These sites were not selected randomly; their costs may not be representative of all ESGP-funded providers.

Research Question A.5.a: What proportion of costs are paid by the ESGP and what proportion are paid by other sources?

Response	State/Territory Percent of funds	Metropolitan City Percent of funds	Urban County Percent of funds	All Respondents Percent of funds
Federal government	74.9%	84.2%	80.0%	81.7%
State government	26.8%	9.4%	16.7%	14.5%
Local government	1.3%	12.9%	12.5%	10.7%
Private foundations	1.0%	1.5%	0.6%	1.2%
Businesses	0.0%	0.0%	0.8%	0.2%
Individuals	0.0%	0.0%	0.1%	0.0%

What percent of these funds come from the:

Percent of grantee agency's budget from ESGP:

Mean	46.1%	58.5%	55.6%	56.0%
Median	46.7%	61.7%	50.4%	53.1%

Source: Grantee Survey, Question 9 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 3 grantees from sources of funding, 1 grantee from ESGP percentage.

Items 81 - 86 (cont.)

Research Question A.5.a: What proportion of costs are paid by the ESG Program and what proportion are paid by other sources?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median
Total operating budget in FY91 ⁽¹⁾⁽²⁾	\$1,303,481	\$304,519	\$689,160	\$275,000	\$613,549	\$323,500	\$508,678	\$300,799	\$691,691	\$300,000
FY91 ESGP funding excluding C/R/R ⁽³⁾	\$22,343	\$14,000	\$24,758	\$28,600	\$11,850	\$8,739	\$17,276	\$13,025	\$20,592	\$13,565
Mean percent ESGP ⁽³⁾	16.0%	4.7%	11.6%	12.5%	8.0%	4.6%	7.5%	4.5%	10.3%	10.6%
Funding by eligible category										
Conversion/Rehabilitation	\$7,099	\$3,950	\$14,073	\$10,000	\$28,488	\$15,000	\$3,164	\$1,089	\$20,325	\$4,275
Essential Services	\$4,089	\$2,400	\$12,604	\$8,348	\$2,235	\$0	\$3,183	\$0	\$9,267	\$4,850
Operations	\$10,321	\$15,962	\$14,949	\$8,169	\$7,925	\$6,300	\$16,409	\$11,625	\$14,827	\$9,400
Homelessness Prevention	\$15,051	\$18,333	\$1,161	\$0	\$228	\$0	\$335	\$0	\$8,744	\$4,275

Source: Provider Phone Survey, Questions 9-11 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 46 providers.

- Notes:
- (1) For the provider's fiscal year in which FY 91 ESGP funding was received.
 - (2) Budget figures capped at \$10 million; providers reporting agency budgets over \$10 million excluded.
 - (3) ESGP funding excluding the portion for capital projects (conversion, rehabilitation, renovation) if any. Values greater than zero only.

Items 81-86 (cont.)

Research Question A.5.a: What proportion of the costs are paid by the ESG and what proportion are paid by other sources?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	378	86.7%	963	97.2%	381	92.7%	1154	97.5%	2876	95.2%
No	58	13.3%	28	2.8%	30	7.3%	30	2.5%	146	4.8%
TOTAL RESPONSES	436	100.0%	991	100.0%	411	100.0%	1184	100.0%	3022	100.0%

Does provider receive funds from more than one source?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Mean Percent of funds	Number	Mean Percent of funds	Number	Mean Percent of funds	Number	Mean Percent of funds	Number	Mean Percent of funds
Federal government	---	25.0%	---	26.4%	---	31.4%	---	29.8%	---	30.5%
State government	---	15.4%	---	19.4%	---	24.6%	---	19.7%	---	19.7%
County or local government	---	8.4%	---	13.2%	---	10.9%	---	8.8%	---	10.5%
Private foundations	---	11.1%	---	10.7%	---	11.7%	---	14.4%	---	12.4%
Businesses	---	3.1%	---	5.0%	---	4.1%	---	4.3%	---	4.4%
Individuals	---	9.2%	---	13.3%	---	7.3%	---	16.5%	---	13.3%

For providers with multiple funding sources, mean percent of funds from:

Source: Provider Phone Survey, Question 12 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 1 provider.

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Research Question A.5.b.: What proportion of emergency shelters were developed with ESGP funds?

Responses	Day Shelters		Night Shelters		24-Hour Shelters		All Shelters	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	19	18.8%	15	10.2%	294	22.4%	328	21.0%
No	82	81.2%	135	89.8%	1016	77.6%	1233	79.0%
TOTAL RESPONSES	101	100.0%	150	100.0%	1311	100.0%	1562	100.0%

Did the shelter receive rehabilitation/conversion funding from ESGP?

Source: Provider Phone Survey, Question 3d, (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing: 6 providers.

Research Question A.6: How have grantees apportioned their expenditures of ESGP funds among the four broad categories of eligible activities?

YEAR	CONVERSION	OPERATIONS	ESSENTIAL SERVICES	HOMELESSNESS PREVENTION	ADMINISTRATION	TOTAL ⁽¹⁾
FY87	\$4,523,766	\$3,480,321	\$521,207			\$8,525,294
FY87 S ⁽²⁾	\$22,893,759	\$14,248,643	\$3,157,349			\$40,099,751
FY88	\$3,716,126	\$3,031,198	\$336,932			\$7,084,256
FY89	\$14,865,575	\$16,487,905	\$4,436,435	\$417,950		\$36,007,865
FY90	\$16,319,409	\$31,764,412	\$7,831,795	\$1,935,195		\$57,850,751
FY91 ⁽³⁾	\$11,637,065	\$28,224,980	\$12,398,953	\$5,495,455	\$1,665,182	\$57,421,035
FY91 ⁽⁴⁾	\$14,185,143	\$34,405,186	\$15,113,125	\$8,698,752	\$2,029,794	\$72,432,000

Mean percent of total for grantees funding activity

FY87	65.6%	54.4%	11.3%		
FY87 S	63.3%	59.2%	13.5%		
FY88	74.2%	76.4%	17.6%		
FY89	53.0%	64.1%	15.8%	12.4%	
FY90	43.0%	66.0%	17.2%	12.7%	
FY91	41.0%	61.9%	22.2%	16.3%	4.5%

Median percent of total by activity

FY87	67.14%	50.97%	10.00%		
FY87 S	66.16%	62.22%	13.8%		
FY88	92.38%	85.07%	15.00%		
FY89	50.00%	72.73%	1685.0%	14.87%	
FY90	34.36%	73.66%	1711.0%	11.23%	
FY91	28.86%	67.43%	2078.0%	14.63%	5.0%

Source: Grantee Census.
Grantee Universe=382.

Missing Cases: 67 grantees.

- Notes: (1) Total is based on HUD data and may not equal the sum of the funding reported by grantees.
 (2) FY87 S designates the FY87 supplemental ESG appropriation.
 (3) All years are funds spent except FY91, which is funds obligated.
 (4) Full program estimates of FY91 obligations, based on inflating data from 315 grantees to program total.

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Research Question A.5.c: What proportion of emergency shelters use ESGP funds to meet part or all of their operating costs?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	223	52.3%	759	76.3%	132	32.1%	1169	98.9%	2292	75.8%
No	204	47.7%	236	23.7%	279	67.9%	13	1.1%	732	24.2%
TOTAL RESPONSES	427	100.0%	995	100.0%	411	100.0%	1182	100.0%	3024	100.0%

Did provider receive ESG FY91 funding for operating costs?

Source: Provider Phone Survey, Question 3 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 1 provider.

Notes: (1) Data reflect funding of providers for multiple activities, not just for assigned stratum.

Research Questions A.7, A.7.a: On what specific essential services for the homeless are ESG Program funds being spent? What is the level of services provided?

Responses	Percent Offering Service	Percent Funding Service with ESGP	Percent Providing Service On-Site	Percent Requiring Participation by All
Providers offering:				
Concrete services				
Bed space	89.2%	66.5%	85.8%	35.2%
Breakfast	79.3%	52.2%	88.7%	10.4%
Lunch	69.3%	55.8%	85.4%	10.9%
Dinner	79.6%	49.5%	87.9%	11.9%
Essential services (beyond referrals)				
Assistance in obtaining benefits	93.1%	---	---	---
Assistance obtaining permanent housing	94.2%	38.4%	91.0%	11.0%
Assistance with daily living skills	92.2%	52.1%	91.8%	16.4%
Transportation	86.2%	40.1%	87.9%	30.3%
Support groups	79.1%	41.4%	95.9%	17.1%
Nutritional counseling	78.6%	17.9%	82.7%	32.0%
Job referrals	50.1%	22.9%	90.1%	26.9%
Child care	69.8%	36.6%	87.6%	14.0%
Clothing	42.2%	25.6%	67.3%	3.8%
	81.7%	17.8%	77.6%	2.9%

(continued)

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Research Question A.6: How have grantees apportioned their expenditures of ESG funds among the four broad categories of eligible activities?

Number of Funded Activities For Provider	FY 87		FY 88		FY 89		FY 90		FY 91			
	Number of Providers	Percent of Providers										
One category	219	62.9%	740	61.6%	472	78.8%	922	62.3%	1135	60.2%	1375	62.2%
Two categories	97	27.9%	332	27.7%	109	18.2%	414	28.0%	589	31.3%	573	25.9%
Three categories	32	9.2%	125	10.4%	18	3.0%	141	9.5%	147	7.8%	231	10.5%
Four categories	---	---	---	---	---	---	2	0.1%	13	0.7%	31	1.4%
TOTAL RESPONSES	348	100.0%	1197	100.0%	599	100.0%	1479	100.0%	1884	100.0%	2210	100.0%

Mix of Funded Activities	FY 87		FY 88		FY 89		FY 90		FY 91			
	Number of Providers	Percent of Providers										
Conversion/Rehabilitation only	101	29.0%	316	26.4%	187	31.2%	256	17.3%	244	13.0%	242	11.0%
Any Conversion/Rehabilitation	183	52.6%	618	51.6%	249	41.6%	582	39.4%	581	30.8%	502	22.7%
Any Essential Services	88	25.3%	358	29.9%	121	20.2%	457	30.9%	645	34.2%	814	36.8%
Operations plus Essential Services or Homelessness Prevention	79	22.7%	280	23.4%	83	13.9%	365	24.7%	531	28.2%	652	29.5%
Operations Only	113	32.5%	367	30.7%	255	42.6%	525	35.5%	698	37.0%	823	37.2%
TOTAL FUNDED PROVIDERS	348	---	1197	---	599	---	1479	---	1884	---	2210	---

Source: Grantee Census, (Provider-level Data).
Grantee Universe=982.

Missing Cases: 67 Grantees.

Notes: (1) As reported by grantees.
(2) Categories in second panel are not mutually exclusive.

Research Questions A.7, A.7.a: On what specific essential services for the homeless are ESG Program funds being spent? What is the level of services provided?

Responses	Percent Offering Service	Percent Funding Service with ESGP	Percent Providing Service On-Site	Percent Requiring Participation by All
Essential services (beyond referrals) (cont.)				
Assistance in GED preparation	47.9%	30.5%	69.9%	14.1%
Other basic skills (e.g. budgeting)	32.0%	17.2%	60.9%	5.8%
Vocational counseling	50.6%	30.1%	65.8%	21.1%
Job training	28.1%	40.8%	56.2%	25.1%
English as a second language classes	20.3%	2.8%	38.9%	14.9%
Substance abuse counseling	53.4%	22.7%	65.6%	15.5%
Psychological counseling	45.5%	19.6%	60.6%	16.3%
Medical care	44.2%	24.1%	56.3%	12.1%
Detoxification/other drug treatment	22.5%	24.1%	13.2%	12.4%
Legal assistance	39.6%	15.5%	47.9%	13.3%

Source: Provider Mailed Survey, Question 19 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 3-16 providers.

Notes: (1) Multiple responses possible.

Research Questions A.7.c., A.7.d.: Who identifies service needs? How are needs identified?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Intake interview	767	99.6%	1127	99.8%	404	100.0%	1137	100.0%	3435	99.9%
Referral from agency/provider	758	100.0%	1117	100.0%	340	100.0%	1023	92.1%	3238	97.3%
Self-referral	701	91.5%	1080	96.7%	312	94.3%	1115	99.2%	3209	96.1%
Case worker assessment	591	83.2%	832	77.8%	254	81.4%	946	86.7%	2623	82.4%
Medical examination/diagnosis	160	23.3%	277	26.2%	116	37.4%	305	31.0%	857	28.2%
Standardized tests	27	3.9%	56	5.7%	19	6.5%	83	8.5%	185	6.3%
Other	131	39.9%	37	8.2%	21	27.4%	34	13.2%	223	20.2%

Source: Provider Mailed Survey, Question 15 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 10-52 providers.

Notes: (1) Multiple responses possible.

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Research Questions A.8, A.8.b: *On what specific homelessness prevention activities are ESG funds being spent?*

Responses	Homelessness Prevention Number	Percent
Back rent/utility payments for families that received eviction/termination notices.	358	82.4%
Security deposits or first month's rent to obtain new housing for person(s) about to lose permanent housing	336	77.5%
Mediation for landlord/tenant disputes	179	41.3%
Legal services for indigent tenants	87	20.2%
Payments/loans to prevent foreclosure	172	39.9%
Referrals/Counseling	111	25.3%

Source: Provider Phone Survey, Questions 25-26 (weighted data).
Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 2 providers.

Notes: (1) Multiple responses possible.

Research Question A.8.a.: Which grantees/recipients are supporting homelessness prevention activities?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
FY89	14	6.4%	13	23.2%	7	6.7%	34	9.0%
FY90	44	20.2%	19	33.9%	21	20.2%	84	22.2%
FY91	73	34.4%	30	53.6%	39	37.1%	142	38.1%

Source: Grantee Census, Grantee-level data.
 Grantee Universe = 382, Survey Sample = 234.

Missing cases: None.

Research Question A.8.c: How do recipients determine who is "at risk" of homelessness?

Responses	Homelessness Prevention Number	Prevention Percent
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Criteria used to determine eligibility for homelessness prevention services:

Eviction Notice	230	52.4%
Utilities shut-off notice	120	27.4%
Client has no place to go	113	25.9%
Victim of domestic violence	72	16.5%

Source: Provider Phone Survey, Question 27 (weighted data).
 Provider Universe=3000 –3500 (estimated), Survey Sample=651.

Missing Cases: None.

Notes: (1) Question asked only of HP stratum.
 (2) Multiple responses possible.

Research Question A.8.d.: What methods of outreach are employed?

Responses	Homelessness Prevention Number	Homelessness Prevention Percent	Essential Services Number	Essential Services Percent	Conversion/Rehabilitation Number	Conversion/Rehabilitation Percent	Operations Number	Operations Percent	All Respondents Number	All Respondents Percent
<i>Does the provider employ outreach workers to seek potential clients?</i>										
Yes	153	20.2%	258	22.4%	67	16.5%	291	25.2%	769	22.1%
No	605	79.8%	897	77.6%	338	83.5%	864	74.8%	2705	77.9%
TOTAL RESPONSES	758	100.0%	1156	100.0%	404	100.0%	1156	100.0%	3474	100.0%
<i>Outreach workers contact:</i>										
Social service providers	144	94.0%	193	74.5%	60	90.3%	231	79.2%	627	81.5%
Police	120	78.2%	162	62.9%	58	86.4%	172	59.0%	512	66.5%
Public housing agencies	138	90.4%	125	48.2%	46	69.0%	106	36.5%	415	54.0%
Detox or substance abuse treatment facilities	75	48.9%	43	16.5%	58	86.4%	190	65.2%	365	47.4%
Psychiatric facilities	87	57.1%	22	8.6%	54	81.3%	173	59.4%	337	43.8%
Private landlords	95	62.1%	78	30.1%	38	56.8%	71	24.2%	281	36.5%
Utility companies	87	56.8%	9	3.7%	22	32.7%	78	26.8%	196	25.5%
Other	33	21.6%	91	35.2%	42	62.8%	171	58.8%	337	43.8%

Source: Provider Mailed Survey, Question 17 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 8 providers.

Notes: (1) Multiple responses possible in second question.

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Research Question B.1: How have grantees assessed the need for the assistance to be provided by the ESG?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Made surveys of needs of homeless	37	67.4%	144	65.4%	86	80.8%	267	70.0%	1	8.3%
Used state or local CHAP/CHAS	45	82.5%	200	90.9%	102	95.4%	347	91.0%	0	0.0%
Gathered information from service providers	55	100.0%	211	95.8%	107	100.0%	373	97.6%	7	58.3%
Relled on experience of agency staff	49	89.8%	203	92.4%	98	91.7%	351	91.9%	3	25.0%
Relled on testimony of homeless advocates	47	85.9%	167	76.0%	89	83.8%	304	79.5%	4	33.0%

Source: Grantee Survey, Question 23 (weighted data); Recipient Survey, Question 18.
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 grantee.

Notes: (1) Multiple responses possible.

Research Question B.2: How have grantees selected their specific strategies for utilizing the ESG Program to meet the needs of their homeless populations?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Does agency rely on ESG funding to fill particular needs in it's strategy to address the problems of the homeless?</i>										
Yes	53	95.5%	200	90.9%	95	89.0%	348	91.0%	6	54.6%
No	3	4.5%	20	9.1%	12	11.0%	34	9.0%	5	45.5%
Total	55	100.0%	220	100.0%	107	100.0%	382	100.0%	11	100.0%
<i>How does agency select specific strategies for using ESG funds? (2)</i>										
Recommendations from staff	48	90.9%	166	83.1%	73	77.0%	287	82.6%	3	25.0%
Recommendations from interagency council	30	57.2%	81	40.6%	60	63.5%	172	49.4%	1	8.3%
Preparation of CHAP/CHAS	41	78.6%	173	86.2%	81	85.3%	295	84.8%	0	0.0%
Recommendations of homeless advocates	42	80.5%	163	81.7%	74	77.9%	280	80.5%	4	33.3%
State criteria	---	---	---	---	---	---	---	---	1	8.3%

Source: Grantee Survey, Question 8 (weighted data); Recipient Survey, Question 8.
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 recipient first question, 3-4 grantees second question.

Notes: (1) Only respondents answering "yes" to the first question were asked the second question.
(2) Multiple responses possible to second question.

Research Question B.2: How have grantees selected their specific strategies for utilizing the ESG to meet the needs of their homeless populations?

Responses	State/Territory		Metropolitan/City		Urban County		All Grantees		Recipients	
	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1
<i>How would you rank the agency's top priorities for use of ESG funds?</i>										
Rehabilitation	45.9%	21.3%	37.8%	21.0%	39.0%	14.7%	39.3%	19.3%	16.7%	16.7%
Increase number of beds	2.2%	2.2%	2.2%	0.7%	4.5%	3.3%	2.8%	1.7%	8.3%	8.3%
Increase number of shelters	13.1%	8.4%	6.1%	4.3%	3.3%	2.2%	6.3%	4.3%	0.0%	0.0%
Provide essential services	54.0%	6.7%	47.0%	6.9%	55.7%	9.6%	49.6%	7.7%	33.3%	16.7%
Improve access to services	8.8%	4.5%	1.8%	0.7%	2.2%	1.0%	2.9%	1.4%	8.3%	0.0%
Prevent homelessness	53.8%	4.2%	31.3%	6.7%	40.8%	9.1%	37.2%	7.0%	16.7%	0.0%
Support existing shelters	74.4%	48.5%	67.5%	40.8%	65.3%	43.2%	67.9%	42.6%	---	---

Source: Grantee Survey, Questions 8 & 24 (weighted data), Recipient Survey, Questions 8 & 20.
 Grantee Universe=382, Survey Sample=234.

Missing Cases: None in first question, 2 grantees in second question.

Item 112 (cont.)

Research Question B.2: How have grantees selected their specific strategies for utilizing the ESG to meet the needs of their homeless populations?

Responses	State/Territory		Metropolitan/City		Urban County		All Grantees		Number of Recipients Responding
	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	% Ranking #1-3	% Ranking #1	
<i>What are the most pressing needs of homeless population served by ESGP?</i>									
Alcohol abuse treatment	0.0%	0.0%	0.6%	0.0%	1.1%	0.0%	0.7%	0.0%	100.0%
Daily living skills	0.0%	0.0%	3.0%	0.8%	0.0%	0.0%	1.7%	0.4%	0.0%
Drug abuse treatment	1.8%	0.0%	0.6%	0.0%	1.0%	1.0%	0.9%	0.3%	100.0%
Emergency shelter	72.3%	50.6%	73.7%	59.5%	70.2%	54.7%	72.5%	56.9%	0.0%
Employment opportunities	2.3%	0.0%	8.7%	0.5%	11.3%	0.0%	8.5%	0.3%	300.0%
Food	39.2%	2.2%	21.9%	0.8%	21.7%	1.1%	24.3%	1.1%	200.0%
Homelessness prevention	25.2%	8.7%	15.7%	6.9%	27.7%	9.1%	20.5%	7.8%	0.0%
Job training	20.8%	4.8%	22.5%	2.4%	14.0%	2.2%	19.9%	2.7%	200.0%
Life skills training	2.4%	0.0%	11.3%	0.8%	9.2%	0.0%	9.4%	0.4%	0.0%
Medical care	7.5%	2.4%	19.6%	0.8%	17.6%	1.0%	17.3%	1.1%	500.0%
Permanent low cost housing	19.1%	14.5%	19.3%	11.3%	12.3%	5.6%	17.3%	10.2%	100.0%
Psychological counseling	11.7%	0.0%	3.7%	0.0%	13.5%	3.8%	7.6%	1.1%	100.0%
Transitional or sheltered housing	21.0%	4.8%	20.6%	3.7%	24.6%	6.8%	21.8%	4.7%	300.0%

Source: Grantee Survey, Questions 8 & 24 (weighted data), Recipient Survey, Questions 8 & 20.
Grantee Universe=382, Survey Sample=234.

Missing Cases: 3 grantees.

Notes: (1) Multiple responses possible.

Item 112 (cont.)

Research Question B.2: How have grantees selected their specific strategies for utilizing the ESG to meet the needs of their homeless population?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Fund what is requested	20	36.9%	100	45.5%	42	39.0%	162	42.4%
Administrative decision	21	38.0%	49	22.4%	34	32.1%	105	27.4%
Input of providers and others	12	21.1%	53	23.9%	19	17.5%	83	21.7%
Based on CHAS/CHAP	3	5.8%	26	11.6%	17	16.0%	46	12.0%
Through community needs assessment	3	6.0%	15	6.8%	6	5.5%	24	6.3%
Federal guidelines/HUD restrictions	2	2.7%	5	2.4%	2	2.0%	9	2.4%
Other ⁽²⁾	14	46.4%	53	24.3%	21	19.2%	88	23.0%

How does [agency] set priorities among the four categories of activities?

Source: Grantee Survey, Question 26 (weighted data).
Grantee Universe = 382, Survey Sample = 234.

Missing Cases: 3 grantees.

Notes (1): Multiple responses possible

(2) Examples of "Other" responses are: Mayor's office recommendation, City Task Force on Homelessness, Human Service Advisory Council, government personnel.

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Research Question B.2.a: To what extent does the block grant mechanism influence the strategies undertaken by grantees?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
To a very considerable extent	12	22.9%	40	20.4%	18	18.8%	70	20.3%
To a considerable extent	19	37.1%	93	47.1%	40	42.3%	153	44.3%
To a small extent	10	19.5%	52	26.2%	26	27.7%	88	25.6%
Not at all	7	13.8%	10	4.8%	7	7.7%	24	7.0%
Don't understand the question	4	6.7%	3	1.5%	3	3.4%	10	2.8%
TOTAL RESPONSES	53	100.0%	198	100.0%	95	100.0%	346	100.0%

Source: Grantee Survey, Question 8 (weighted data).
 Grantee Universe=382, Survey Sample=234.

Missing Cases: 2 grantees.

Notes: (1) Question asked only of grantees that said they relied on ESGP to fill particular needs.
 (2) Columns may not total due to rounding.

Research Question B.3: To what extent have grantees' strategies for addressing homelessness recognized the unique needs of special groups?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Have strategy for meeting needs of...</i>								
Homeless families	55	100.0%	215	97.5%	107	100.0%	377	98.6%
Victims of domestic violence	55	100.0%	194	88.0%	100	93.9%	349	91.4%
Migrants	31	55.9%	52	23.8%	30	28.4%	114	29.7%
Elderly	34	61.3%	106	48.1%	59	55.1%	199	52.0%
Veterans	36	65.9%	127	57.8%	51	47.7%	215	56.2%
Chronically mentally ill	44	80.7%	162	73.8%	69	64.6%	276	72.2%
Homeless youth	26	46.8%	65	29.6%	23	21.5%	114	29.8%
HIV/AIDS	4	8.2%	28	12.9%	7	6.4%	40	10.4%
Substance abusers	8	14.9%	58	26.4%	15	13.8%	81	21.2%

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Mean	Mean	Mean	Mean	Mean	Mean	Mean	Mean
<i>Mean ranking, where 1 is low and 5 is high, of effectiveness of services for...</i>								
Victims of domestic violence	4.2	---	4.0	---	4.0	---	4.1	---
Homeless youth	3.6	---	4.0	---	3.9	---	3.9	---
Homeless families	3.8	---	3.8	---	3.8	---	3.8	---
Elderly	3.3	---	3.7	---	3.1	---	3.5	---
Veterans	3.1	---	3.2	---	3.0	---	3.2	---
Substance abusers	2.2	---	3.2	---	3.5	---	3.1	---
Chronically mentally ill	3.0	---	3.1	---	3.1	---	3.1	---
Migrants	2.8	---	3.2	---	2.7	---	3.0	---
HIV/AIDS	3.5	---	2.8	---	2.6	---	2.9	---

Source: Grantee Survey, Question 25 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 grantee in first question, 7-15 grantees in second question.

Notes: (a) Multiple responses possible to first question.

Research Questions B.4, B.4.a: To what extent do grantees coordinate internally ESGP with their other homeless activities?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Very effective	21	45.5%	80	55.0%	45	64.5%	147	55.8%	6	50.0%
Somewhat effective	23	49.6%	64	43.8%	24	34.1%	111	42.5%	0	0.0%
Somewhat ineffective	1	2.1%	2	1.2%	1	1.4%	4	1.4%	0	0.0%
Very ineffective	1	2.8%	0	0.0%	0	0.0%	1	0.9%	1	8.3%
TOTAL RESPONSES	47	100.0%	145	100.0%	70	100.0%	263	100.3%	7	58.3%

How would you rate your agency's internal coordination of various sources of homeless funding?

Source: Grantee Survey, Question 10 (weighted data); Recipient Survey, Question 10.
Grantee Universe=382, Survey Sample=234.

Missing Cases: 5 recipients.

Notes: (1) Question asked only of grantees and recipients with multiple funding sources.

Research Questions B.4, B.4.a: To what extent do grantees coordinate internally ESGP with other homeless activities?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Very Effective	307	82.1%	755	80.6%	309	82.3%	977	85.9%	2375	83.2%
Somewhat effective	64	17.3%	174	19.1%	63	16.9%	158	13.9%	464	16.5%
Very ineffective	2	0.6%	2	0.2%	3	0.9%	3	0.3%	11	0.4%
TOTAL RESPONSES	373	100.0%	931	100.0%	376	100.0%	1138	100.0%	2850	100.0%

How would provider/recipient rate internal coordination?

Source: Provider Survey, Question 13 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 6 providers.

Notes: (1) Question asked only of those with multiple funding sources.

Research Question B.5: How do grantees select recipients?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Is the application process for ESG funds separate, or combined with other funding sources?(1)</i>										
Separate	43	79.9%	192	87.9%	89	84.8%	325	85.9%	---	---
Combined	11	20.1%	26	12.1%	16	15.2%	54	14.1%	---	---
TOTAL RESPONSES	55	100.0%	218	100.0%	105	100.0%	379	100.0%	---	---
<i>How does agency publicize availability of ESG funds?</i>										
Advertise in newspapers	23	41.0%	128	58.3%	50	46.8%	201	52.6%	3	25.0%
Advertise in bid opportunity publications	11	20.4%	24	10.9%	15	13.9%	50	13.1%	0	0.0%
Send announcement to prior recipients	53	95.9%	197	89.6%	99	93.0%	349	91.4%	1	8.3%
Send RFP to prior recipients	49	88.8%	154	70.2%	83	77.2%	286	74.9%	3	25.0%
Meet with prospective recipients	47	85.4%	195	88.7%	98	91.3%	340	88.9%	0	0.0%
Send announcement to prospective recipients	51	93.3%	178	80.8%	96	90.1%	326	85.2%	0	0.0%
Send RFP to prospective recipients	42	75.6%	134	61.1%	72	67.7%	248	65.0%	1	8.3%

Source: Grantee Survey, Questions 13-14 (weighted data); Recipient Survey, Question 11.
Grantee Universe=382, Survey Sample=234.

Missing Cases: 2 grantees from first question, 0-1 grantees from second question.

- Notes: (1) This question was not asked of the 12 recipients.
(2) Multiple responses possible to second question.

Item 120 (continued)

Research Question B.5: How do grantees select recipients?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>How do you determine prospective ESG recipients?</i>								
Mailing lists	50	90.5%	129	58.4%	69	64.1%	247	64.7%
Homeless Task Force	50	91.1%	143	64.8%	82	76.2%	274	71.8%
Homeless advocates' recommendations	44	80.7%	141	63.9%	75	69.9%	260	68.0%
CHAP/CHAS	37	67.7%	164	74.4%	72	67.7%	273	71.5%
Association memberships	27	49.7%	65	29.5%	44	41.4%	137	35.8%
Homeless provider networks	51	92.0%	161	73.4%	91	85.2%	303	79.4%
Word of mouth	44	79.5%	171	77.6%	82	76.7%	296	77.6%
Providers in areas with overflow problems	33	60.4%	92	42.0%	41	38.4%	167	43.7%

Source: Grantee Survey, Questions 13-14 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 grantee.

Notes: (1) Question asked only of respondents mentioning prospective recipients.
(2) Multiple responses possible.

Research Question B.5.a: What methods are being employed by grantees to allocate funds?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Does agency require written application for ESG funds?										
Yes	54	97.3%	194	88.0%	99	92.6%	348	90.6%	9	75.0%
No	2	2.7%	26	12.0%	8	7.4%	36	9.4%	3	25.0%
Total Responses⁽¹⁾	55	100.0%	220	100.0%	107	100.0%	382	100.0%	12	100.0%
What are the required contents of the ESG application?										
Budget for how funds will be spent	54	97.3%	192	87.4%	96	89.5%	342	89.4%	9	75.0%
Budget for facility/program operation	41	74.2%	149	67.9%	67	62.8%	257	67.4%	7	58.3%
Narrative of activities to be funded	54	97.3%	190	86.5%	99	92.6%	343	89.8%	9	75.0%
Narrative on matching funds	52	94.9%	180	81.9%	97	90.5%	329	86.2%	9	75.0%
Description of client population	54	97.3%	187	84.9%	98	91.3%	335	87.7%	8	66.7%
Is any special effort made to recruit providers...										
In underserved areas	34	62.0%	95	43.3%	51	47.5%	180	47.2%	---	---
Among underserved populations	26	46.7%	111	50.3%	59	55.5%	196	51.3%	---	---
Are entitlement communities within your jurisdiction, or their providers eligible to compete for your ESG funds? (states & urban counties only)										
Yes, entitlement communities eligible	44	80.4%	---	---	53	49.2%	97	59.8%	1	8.3%
Yes, service providers eligible	43	77.7%	---	---	68	64.0%	111	68.6%	3	25.0%

Source: Grantee Survey, Questions 15-17 (weighted data); Recipient Survey, Questions 12-13.
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (1) Column may not total due to rounding.

(2) Multiple responses possible for second, third and fourth questions.

Research Question B.5.b: How are specific shelters selected for funding?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Who is involved in the decision?										
Form an interagency committee to decide	33	59.2%	87	39.5%	65	60.4%	184	48.2%	1	8.3%
Refer decision to some local coalition	5	8.7%	48	21.8%	40	37.5%	93	24.3%	1	8.3%
Make decisions among own agency staff	54	98.2%	169	76.6%	75	70.0%	297	77.9%	7	58.3%
Elected officials decide	9	16.0%	105	47.5%	25	23.6%	139	36.3%	9	75.0%
Who makes the final decision?										
Interagency committee	9	16.7%	24	11.7%	18	17.2%	22	14.0%	0	0.0%
Local coalition	1	1.8%	14	6.7%	11	10.3%	21	7.0%	0	0.0%
Agency staff	36	65.5%	73	35.4%	49	48.0%	75	43.4%	1	8.3%
Elected officials	9	16.0%	96	46.2%	20	19.6%	125	34.2%	10	83.3%
State coordinator	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	8.3%
Community development department	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	8.3%
Other	0	0.0%	0	0.0%	5	4.9%	5	1.4%	0	0.0%
TOTAL RESPONSES	55	100.0%	207	100.0%	98	100.0%	243	100.0%	13	108.3%⁽²⁾

Source: Grantee Survey, Questions 18-19 (weighted data); Recipient Survey, Questions 14 & 15.
Grantee Universe=382, Survey Sample-234.

Missing Cases: 17 grantees.

Notes: (1) Multiple responses possible.
(2) One recipient has agency staff and the local community development department jointly make the final decision, therefore total sums to more than 100%.

Research Question B.5.c: What methods are used to monitor shelter activities?

Responses	State/Territory		Metropolitan City		Urban County		All Grantees		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>What role does grantee/recipient play in monitoring the ESGP delivery process after allocation of funds?</i>										
Active role, including site visits	51	92.2%	200	90.7%	97	91.0%	348	91.0%	7	58.3%
Moderate role, by phone reports, finances and program	2	3.2%	15	7.0%	3	3.3%	21	5.4%	2	16.7%
Moderate role, phone and reports, reports, finances only	3	4.5%	4	1.8%	2	1.9%	8	2.1%	1	8.3%
Distant monitoring (reports only)	0	0.0%	2	0.7%	3	2.8%	4	1.2%	2	16.7%
No monitoring role	0	0.0%	0	0.0%	1	1.0%	1	0.3%	0	0.0%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%	12	100.0%

Source: Grantee Survey, Question 21, (weighted data) Recipient Survey, Question 16.
Grantee Universe = 382, Survey Sample = 234.

Missing Cases: None.

Notes: (1) Columns may not total due to rounding.

Item 123 (con't)

Research Question B.5.c: What methods are used to monitor program activities?

Responses	Number	Percent
<i>How does grantee monitor recipient handling of ESG funds?</i>		
Budget approval	10	90.9%
Reports on spending	11	100.0%
Reports on achievement	11	100.0%
Phone contact	11	100.0%

Source: Recipient Survey, Question 17.

Missing Cases: 1 recipient.

Notes: (1) Multiple responses possible.

Research Questions B.6, B.6.a: To what extent do non-state grantees reallocate grant awards to recipients?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Do you distribute ESG funds to other agencies that make further ESGP funding decisions?</i>								
Yes	17	30.2%	9	4.0%	4	3.9%	30	7.77%
No	38	69.8%	211	96.0%	103	96.1%	352	92.93%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.7%

Source: Grantee Survey, Question 20 (weighted data).
Grantee Universe - 382, Survey Sample = 234.

Missing Cases: None.

Notes: (1) See text in Chapter 3 for discussion.

Research Questions B.7., B.7.a.: To what extent have grantees matched ESG funds equally with funds from other sources, as required? What has been the primary source of matching funding?

Responses **Percent of Providers using Source**
A: Match for ESG

Source of Matching Funds

<p>Federal Sources: Community Development Block Grant Federal Emergency Management Agency Department of Health and Human Services Aid for Families with Dependent Children Department of Agriculture</p> <p>United Way</p> <p>Contributions/donations</p> <p>Foundations</p> <p>In-kind, including volunteer time</p> <p>State</p> <p>Local (city or county)</p>	<p>24.4%</p> <p>24.4%</p> <p>4.1%</p> <p>6.1%</p> <p>4.1%</p> <p>20.4%</p> <p>46.9%</p> <p>22.5%</p> <p>20.4%</p> <p>28.6%</p> <p>24.5%</p>
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Source: Based on information gathered from a purposive sample of 49 providers during visits to 15 intensive-study sites. These providers were not selected randomly; their matching fund sources may not be typical of all ESG-funded providers.

Notes: (1) Most providers cited multiple sources of matching funds.

Research Question B.8: What are the major features of local ESG?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Provider received 1991 ESG funds for:										
Payment of operations costs	233	53.2%	759	76.3%	132	32.1%	1169	98.7%	2292	75.7%
Provision of essential services	202	46.0%	981	98.7%	88	21.5%	264	22.3%	1534	50.7%
Homelessness prevention activities	426	97.3%	172	17.3%	75	18.2%	96	8.1%	769	25.4%
Conversion/renovation/rehabilitation	58	13.1%	157	15.8%	401	97.6%	85	7.2%	701	23.1%
Provider is operated by:										
Local or county government	48	11.0%	59	6.1%	14	3.5%	40	3.5%	162	5.4%
Non-profit with no religious affiliation	322	73.8%	777	79.7%	304	74.7%	823	71.0%	2227	74.8%
Non-profit with religious affiliation	67	15.2%	138	14.2%	89	21.8%	296	25.6%	590	19.8%
TOTAL RESPONSES	437	100.0%	974	100.0%	408	100.0%	1160	100.0%	2979	100.0%
Mean number of years in operation	20.3	---	15.1	---	19.7	---	15.6	---	17.0	---
Is provider currently providing services?										
Yes	438	100.0%	990	99.6%	409	99.6%	1180	99.6%	3018	99.7%
No	0	0.0%	4	0.4%	2	0.4%	4	0.4%	10	0.3%
TOTAL RESPONSES	438	100.0%	995	100.0%	411	100.0%	1184	100.0%	3028	100.0%

Source: Provider Phone Survey, Questions 3-7 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 1-3 providers.

- Notes:
- (1) Multiple responses possible to first question.
 - (2) Columns may not total due to rounding.

Research Question B.8.a: Is local program success or failure related to any particular type of administrative or organizational approach (such as interagency cooperation or non-profit management)?

Responses	Local/County Agency		Non-Profit, No		Non-Profit, With		All Respondents	
	Number	Percent	Religious Affiliation	Percent	Religious Affiliation	Percent	Number	Percent
Very effective	117	75.4%	1511	68.1%	417	71.9%	2045	69.2%
Somewhat effective	37	23.5%	680	30.7%	153	26.3%	869	29.4%
Somewhat ineffective	2	1.2%	24	1.1%	1	0.2%	27	0.9%
Very ineffective	0	0.0%	4	0.2%	10	1.7%	14	0.5%
TOTAL RESPONSES	156	100%	2219	100%	581	100%	2955	100%

How would you rate your program's overall effectiveness in meeting the needs of the homeless?

Source: Provider Phone Survey, Questions 4, 36 (weighted data).

Provider Universe=3000 - 3500 (estimated); Survey Sample=651.

Missing Cases: 8 providers.

Notes: (1) Responses are shown by type of provider, not by provider stratum.

Research Questions B.11., B.11.a., B.11.b.: What types of technical assistance have recipients needed as they implement the program?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Has the provider received any technical assistance from outside organizations or individuals in applying for or implementing ESGP-funded programs?</i>										
Yes	383	50.2%	370	31.2%	156	40.8%	397	33.6%	1306	37.2%
No	360	49.8%	815	68.8%	227	59.2%	785	66.4%	2207	62.8%
TOTAL RESPONSES	764	100.0%	1185	100.0%	383	100.0%	1182	100.0%	3514	100.0%
<i>Who has provided this assistance?</i>										
State government agencies	163	42.5%	122	33.0%	25	15.7%	0	0.0%	309	23.7%
Local government agencies	20	5.2%	62	16.7%	83	52.9%	105	26.5%	270	20.7%
Local development office	9	2.3%	72	19.4%	2	1.3%	97	24.5%	180	13.8%
State development office	147	38.3%	14	3.8%	0	0.0%	3	0.9%	164	12.6%
United Way	8	2.0%	0	0.0%	14	8.7%	5	1.4%	27	2.0%
HUD local office	8	2.0%	0	0.0%	4	2.5%	5	1.4%	17	1.3%
Other	21	5.4%	18	4.9%	57	36.3%	121	30.3%	216	16.5%

Source: Provider Mailed Survey, Question 22.a (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 4 providers.

Notes: (1) Multiple responses possible to second question.

Research Question B.11.: What types of technical assistance have recipients needed as they implement the program?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Prior to and during the application process, did you receive technical assistance with:</i>										
Proposal preparation	213	57.2%	342	100.0%	107	76.5%	267	77.2%	929	77.4%
Identification of matching funds sources	203	56.8%	118	34.5%	50	49.5%	168	42.6%	539	45.1%
Budget development	149	42.4%	143	41.2%	94	64.0%	116	33.6%	502	42.2%
Other	121	65.5%	93	48.5%	12	22.0%	20	40.0%	246	51.2%
<i>During start-up, did you receive technical assistance with:</i>										
Service program provision	157	41.5%	138	44.0%	91	61.0%	173	50.4%	558	47.2%
Identification of matching funds sources	204	57.8%	75	22.6%	45	48.7%	133	35.1%	458	39.5%
Building rehabilitation	49	13.3%	145	41.8%	57	61.7%	163	48.7%	414	36.2%
Other	15	16.6%	0	0.0%	0	0.0%	0	0.0%	15	4.7%
<i>During project operations, have you received technical assistance with:</i>										
Client record keeping	235	62.5%	108	38.3%	14	9.2%	184	55.4%	541	47.5%
Service program provision	259	74.0%	58	23.8%	34	21.8%	145	44.7%	496	46.1%
Developing an accounting system	89	25.4%	110	39.1%	24	17.1%	164	49.4%	387	35.0%
Identification of matching funds sources	183	51.4%	78	30.0%	26	18.5%	107	28.0%	393	34.6%
Other	13	16.7%	22	42.3%	0	0.0%	0	0.0%	36	13.3%

Source: Provider Mailed Survey, Questions 23.b, 23.c, 23.d (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample = 301.

Missing cases: 4 providers.

Notes: (1) Multiple responses possible.

Research Question B.11.b: *What have been the sources of technical assistance to the providers?*

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Number of grantees indicating their providers receive technical assistance?</i>	52	95.2%	169	76.6%	75	70.0%	297	77.9%
Sources of technical assistance:								
Grantee agency	49	88.7%	163	74.2%	63	59.3%	275	72.1%
County human services department	3	6.1%	13	5.8%	15	13.8%	31	8.1%
United Way	1	1.8%	14	6.4%	2	2.0%	17	4.5%
Coalition for the homeless	12	21.7%	10	4.5%	4	4.0%	26	6.8%

Source: Grantee Survey, Question 12 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 5 grantees for second question.

- Notes: (1) Multiple responses possible.
(2) Second question asked only of respondents indicating their providers receive technical assistance.

Research Question B.12.: How long does it take to rehabilitate/convert a structure, with ESGP funds, for use as an emergency shelter?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Mean	Median	Mean	Median	Mean	Median	Mean	Median	Mean	Median
Number of months to complete all projects	5.3	4	5.6	6	8.0	7	6.2	7	6.2	6
Number of months to complete conversion projects	8.0	16	---	---	11.4	9	7.0	7	8.8	7

How long did the ESGP-funded improvements take, from the notification of the grant award until the project was completed?

Source: Provider Mailed Survey, Question 6 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 8 providers.

Notes: (1) No conversion projects reported by providers in essential services stratum.

Research Question B.12.a.: What were the critical factors in the implementation schedule (type/experience of sponsor, degree of site control, complexity of rehab, etc.)?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Were changes implemented on schedule?										
Yes	247	87.6%	386	86.8%	203	64.8%	248	65.8%	1084	76.5%
No	35	12.4%	59	13.2%	110	35.3%	129	34.2%	333	23.5%
TOTAL RESPONSES	282	100.0%	445	100.0%	313	100.0%	377	100.0%	1417	100.0%
Providers indicating they encountered problems with:										
Contractor delays	35	100.0%	44	84.7%	73	82.6%	21	17.0%	173	57.5%
Procurement delays	4	11.8%	17	45.3%	74	71.7%	21	17.0%	117	38.6%
Competitive bidding process delays	4	11.8%	14	27.0%	71	81.8%	21	17.0%	111	36.9%
Environmental review delays	27	78.1%	13	24.7%	15	19.0%	3	2.4%	58	23.5%
Health or building codes/permits	4	11.8%	17	33.1%	12	38.1%	6	4.9%	40	15.9%
Objections from neighbors, community groups, local businesses	0	0.0%	0	0.0%	12	36.3%	0	0.0%	12	4.8%
Planning commission delays	0	0.0%	0	0.0%	0	0.0%	3	2.4%	3	1.3%
Other	0	0.0%	7	11.7%	1	1.3%	3	2.4%	11	3.4%

Source: Provider Mailed Survey, Question 7 (weighted data).

Provider Universe = 3000 - 3500 (estimated), Survey Sample = 301.

Missing cases: 3 - 7 providers.

Notes: (1) Multiple responses possible in second question.

Research Question B.12.b.: What were the major obstacles to timely implementation?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operating		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>What has been the most significant problem in trying to implement ESGP-funded physical changes?</i>										
Excessive documentation was required	46	16.4%	92	20.7%	26	8.4%	122	32.4%	286	20.3%
Three bids requirement	2	0.7%	30	0.7%	12	3.9%	18	4.7%	62	4.4%
Administrative oversight was extensive	0	0.0%	17	3.9%	18	5.7%	2	0.6%	37	2.6%
It took so long, the estimates were invalid when work began	36	12.6%	0	0.0%	0	0.0%	0	0.0%	36	2.5%
Environmental review	0	0.0%	16	3.7%	5	1.6%	13	3.4%	34	2.4%
Other	4	1.5%	28	6.2%	71	23.0%	0	0.0%	102	7.3%
No significant problem	194	68.6%	262	58.8%	177	57.6%	222	59.0%	855	60.6%

Source: Provider Mailed Survey, Question 8 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: None.

Notes: (1) Multiple responses possible.

Item 149

Research Question B.13.a: *How do recipients establish networks of service providers in the local community?*

Responses	Recipients Number	Percent
<i>How does the recipient agency publicize availability of ESGP funds?</i>		
Advertise in newspapers	3	37.5%
Advertise in bid opportunity publications	0	0.0%
Send announcement to prior recipients	1	12.5%
Send RFP to prior recipients	3	37.5%
Meet with prospective recipients	0	0.0%
Send announcement to prospective recipients	0	0.0%
Send RFP to prospective recipients	1	12.5%
TOTAL RESPONSES	8	100.0%

Source: Recipient Survey, Question 11.

Missing Cases: 4 recipients.

Notes: (1) See research question B.5 for grantee responses to similar questions.

Research Question B.14: To what extent has the ESG enhanced client access to social services?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Respondents indicating that ESG has...</i>								
Increased social services offered	53	96.8%	197	89.4%	100	93.4%	350	91.6%
Reduced number of under-served homeless	36	66.0%	138	62.8%	66	61.9%	241	63.0%

Source: Grantee Survey, Question 31 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (1) Multiple responses possible.

Research Question B.14.: To what extent has ESG enhanced client access to social services?

Responses	Homelessness Prevention Number	Homelessness Prevention Percent	Essential Services Number	Essential Services Percent	Conversion/Rehabilitation Number	Conversion/Rehabilitation Percent	Operations Number	Operations Percent	All Respondents Number	All Respondents Percent
<i>Have providers added new services as result of ESG funding?</i>										
Yes, direct result	177	40.7%	321	32.9%	103	25.7%	211	18.2%	813	27.3%
Yes, indirect result	48	11.1%	228	23.3%	40	9.9%	321	27.7%	637	21.4%
No	210	48.2%	428	43.8%	259	64.4%	627	54.1%	1525	51.2%
TOTAL RESPONSES	436	100.0%	978	100.0%	402	100.0%	1160	100.0%	2975	100.0%
<i>What services have been added? (a)</i>										
Education and training	18	7.8%	72	13.2%	25	17.5%	180	33.9%	295	20.4%
Child-related services	23	10.3%	89	16.2%	31	21.5%	95	17.8%	238	16.4%
Housing-related services	68	30.1%	54	9.8%	22	15.6%	56	10.6%	200	13.8%
Transportation services	9	4.1%	8	1.5%	15	10.5%	138	25.9%	170	11.7%
Health/medical assessments	19	8.5%	59	10.7%	7	5.2%	52	9.9%	138	9.5%
Family services	10	4.3%	38	7.0%	14	10.1%	49	9.3%	112	7.7%
Increased service capacity	98	43.2%	233	42.4%	54	37.7%	483	90.8%	868	59.8%
Building improvement	8	3.7%	95	17.2%	47	33.1%	106	19.9%	256	17.7%
Other (b)	102	44.9%	194	35.3%	32	22.7%	68	12.8%	396	27.3%

Source: Provider Phone Survey, Question 35 (weighted data).

Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing cases: 11 providers.

Notes: (a) Multiple responses possible.

(b) Includes homelessness prevention services, case management, rent/mortgage assistance, utilities assistance, outreach, and new counseling programs.

Item 154 (cont.)

Research Question B.14.: To what extent has the ESGP enhanced client access to social services?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	205	27.3%	666	61.3%	58	15.6%	323	29.0%	1252	37.7%
No	545	72.7%	421	38.7%	315	84.4%	790	71.0%	2071	62.3%
TOTAL RESPONSES	749	100.0%	1087	100.0%	373	100.0%	1113	100.0%	3322	100.0%

Are ESGP funds used to pay all or part of the salaries of those who provide services?

Source: Provider Mailed Survey, Question 20 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 20 providers.

Research Questions B.14.a., B.14.b.: How do clients learn about the services available under ESGP?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Social service agencies	765	100.0%	1144	100.0%	388	97.1%	1107	98.5%	3404	98.2%
Clergy/churches	744	97.6%	1065	95.8%	343	88.2%	1122	98.8%	3274	96.3%
Friends	751	99.6%	1086	96.5%	287	84.4%	1074	94.9%	3197	95.4%
Other shelters	661	88.7%	1115	98.9%	330	85.7%	1091	95.1%	3197	93.9%
Citizens	755	99.6%	1059	93.4%	284	80.1%	1056	93.5%	3134	93.5%
Doctors/hospitals	681	89.5%	1035	92.0%	268	81.6%	1010	90.8%	2994	90.0%
Police	657	89.4%	1080	93.6%	290	74.9%	1028	91.8%	3035	90.0%
Walk-ins	717	94.2%	997	87.6%	258	76.2%	998	92.6%	2970	89.6%
Detox/substance abuse treatment programs	567	77.3%	868	80.7%	234	76.3%	883	80.4%	2552	79.4%
Psychiatric programs and treatment centers	576	77.0%	815	75.7%	276	81.1%	828	74.2%	2496	76.1%
Courts	603	80.3%	781	72.2%	248	71.6%	795	72.8%	2424	74.2%
Public housing agencies	668	88.5%	826	74.9%	222	67.2%	691	64.9%	2407	74.0%
Parents	551	76.2%	648	58.5%	282	85.5%	779	73.3%	2281	70.1%
Hotline	378	52.0%	738	68.6%	282	72.7%	881	80.5%	2278	69.4%
Therapists	362	52.4%	790	72.8%	281	77.8%	608	62.4%	2021	65.5%
School personnel	544	74.6%	588	55.0%	213	64.6%	594	56.1%	1938	60.9%
Landlords	563	77.7%	529	49.4%	219	67.0%	459	44.9%	1769	56.3%
Outreach workers from this shelter/program	420	59.0%	541	49.7%	202	61.8%	555	54.1%	1717	54.5%
Referral center	302	43.0%	414	40.3%	181	52.9%	648	65.2%	1545	50.4%
Alliance for the Mentally Ill	164	24.0%	274	26.2%	84	26.1%	315	31.3%	838	27.4%
Utility companies	361	49.9%	184	17.6%	71	23.0%	173	18.2%	789	26.1%
Other	33	9.9%	120	34.1%	28	21.6%	115	33.0%	295	25.4%

Providers indicating they receive referrals from:

Source: Provider Mailed Survey, Question 16 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 13-45 providers.

Notes: (1) Multiple responses possible.

Research Question B.15.: To what extent have recipients established shelter admission policies?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	531	78.0%	860	78.4%	302	76.9%	958	87.9%	2652	81.3%
No	150	22.0%	237	21.6%	91	23.1%	131	12.1%	609	18.7%
TOTAL RESPONSES	682	100.0%	1097	100.0%	393	100.0%	1089	100.0%	3261	100.0%

Does your organization have a written policy for access to the services you offer?

Source: Provider Mailed Survey, Question 14 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 301.

Missing cases: 35 providers.

Research Question B.15.b.: To what extent are ineligible clients being admitted to ESGP shelters and eligible clients refused admission?

Responses	Homelessness Prevention Number	Homelessness Prevention Percent	Essential Services Number	Essential Services Percent	Conversion/Rehabilitation Number	Conversion/Rehabilitation Percent	Operations Number	Operations Percent	All Respondents Number	All Respondents Percent
<i>Has provider ever turned away eligible clients?</i>										
Yes	339	77.3%	795	80.6%	335	82.0%	951	80.8%	2421	80.4%
No	90	22.7%	192	19.4%	74	18.0%	225	19.2%	590	19.6%
TOTAL RESPONSES	438	100.0%	987	100.0%	409	100.0%	1177	100.0%	3011	100.0%
<i>In the past 30 days, how many eligible clients have been turned away?</i>										
Mean number turned away	52.1	---	36.8	---	37.8	---	48.5	---	43.4	---
<i>Has provider ever admitted ineligible clients?</i>										
Yes	154	36.8%	404	42.6%	217	53.8%	543	46.8%	1318	45.0%
No	265	63.2%	544	57.4%	188	46.2%	617	53.2%	1612	55.0%
TOTAL RESPONSES	419	100.0%	948	100.0%	404	100.0%	1160	100.0%	2930	100.0%
<i>For what reason/under what conditions have clients been turned away?</i>										
Shelter at capacity	115	33.9%	593	74.6%	251	74.9%	702	73.7%	1661	68.6%
Security problems	16	4.7%	106	13.3%	85	25.3%	147	15.5%	354	14.6%
Inebriated/high	15	4.4%	98	12.3%	60	17.8%	176	18.5%	349	14.4%
Wrong type of client	37	11.0%	77	9.7%	66	19.8%	128	13.5%	309	12.8%
Insufficient funds	120	35.5%	55	6.9%	21	6.2%	26	2.8%	222	9.2%
Insufficient services	15	4.3%	60	7.5%	20	6.1%	62	6.6%	158	6.5%
Alcohol/drug abuse	27	7.9%	19	2.4%	7	2.2%	57	6.0%	110	4.6%
Other	16	4.9%	34	4.2%	34	10.2%	54	5.6%	138	5.7%

Source: Provider Phone Survey, Question 20 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.
 Missing cases: 3 providers from first question, 21 providers from second question.
 Notes: (1) Multiple responses possible to last question.

Research Question B.16: To what extent have recipient efforts continued following completion of the ESG grant term?

Responses	State/Territory Mean Percentage	Metropolitan City Mean Percentage	Urban County Mean Percentage	All Respondents Mean Percentage
<i>When no further ESG funding was forthcoming, what percentage of providers have...</i>				
Continued services at same or higher service level	62.9%	67.3%	60.0%	64.6%
Continued, but at reduced service level	16.7%	8.8%	16.1%	12.0%
Discontinued services (e.g., closed the shelter)	0.8%	2.0%	4.3%	2.5%
Does not apply – all agencies still receiving ESG funding	19.6%	21.9%	19.6%	20.9%

Source: Grantee Survey, Question 22 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 – 5 grantees.

Research Question C.1.: To what extent has the ESGP increased the quantity of shelters across the nation?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Increased number of beds	53	96.8%	193	87.8%	103	96.1%	349	91.4%
Increased number of shelters	53	96.8%	155	70.3%	78	72.6%	285	74.7%
Reduced number of underserved homeless	36	66.0%	138	62.8%	66	61.9%	241	63.0%

Since the beginning of the ESGP in FY 87, have the following changes occurred?

Responses	State/Territory			Metropolitan City			Urban County			All Respondents		
	Mean Ranking	Percent	Ranking 5	Mean Ranking	Percent	Ranking 5	Mean Ranking	Percent	Ranking 5	Mean Ranking	Percent	Ranking 5
Increased number of beds	4.1	40.8%		3.9	42.8%		3.9	47.6%		3.9	43.9%	
Increased number of shelters	3.6	29.8%		3.4	33.9%		3.4	30.8%		3.4	32.3%	
Reduced number of underserved homeless	3.8	25.1%		3.6	29.5%		3.6	24.1%		3.6	27.4%	

How important was the ESGP to this change? (5=highest, 1=lowest)

Source: Grantee Survey, Question 31 (weighted data).
Grantee universe = 382, Survey Sample = 234.

Missing Cases: 0-1 grantee.

Notes: (1) Multiple responses possible to first question.

Research Question C.1.: To what extent has the ESGP increased the quantity of shelters across the nation?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Have you seen the following changes since the beginning of the ESGP in FY87?										
Increased number of beds	241	55.1%	657	66.1%	283	68.8%	794	67.0%	1975	65.2%
Increased number of shelters	167	38.1%	529	53.2%	184	44.8%	582	49.2%	1463	48.3%
Reduced number of underserved homeless	210	47.8%	567	57.0%	186	45.2%	640	54.0%	1602	52.9%

	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5
Increased number of beds	3.9	36.9%	3.9	42.0%	4.2	44.2%	4.4	65.2%	4.1	50.9%
Increased number of shelters	3.9	44.1%	3.6	44.1%	4.2	48.0%	4.0	54.9%	3.9	48.6%
Reduced number of underserved homeless	4.0	32.5%	3.7	28.7%	3.8	39.4%	3.9	43.4%	3.8	36.2%

How important was the ESGP to this change? (5= highest, 1= lowest)

Increased number of beds	3.9	36.9%	3.9	42.0%	4.2	44.2%	4.4	65.2%	4.1	50.9%
Increased number of shelters	3.9	44.1%	3.6	44.1%	4.2	48.0%	4.0	54.9%	3.9	48.6%
Reduced number of underserved homeless	4.0	32.5%	3.7	28.7%	3.8	39.4%	3.9	43.4%	3.8	36.2%

Source: Provider Phone Survey, Question 39 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing Cases: 40-47 providers.

Notes: (1) Multiple responses possible.

Item 166. cont.

Research Question C.1: To what extent has the ESGP increased the quantity of shelters across the nation?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes	---	---	246	33.5%	141	35.7%	145	13.0%	532	23.7%
No	---	---	489	66.5%	254	64.3%	966	87.0%	1710	76.3%
TOTAL RESPONSES	---	---	735	100.0%	395	100.0%	1111	100.0%	2241	100.0%
Mean number of beds added	---	---	11.6	---	20.2	---	20.3	---	16.9	---

Have ESGP funds been used to increase the number of available beds?

Source: Provider Phone Survey, Question 34 (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample = 651.

Missing Cases: 12 providers on number of beds added.

Notes: (1) Questions not asked of homelessness prevention providers.

Research Question C.1: To what extent has the ESGP increased the quality of shelters across the nation?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Improved habitability of shelters	55	100.0%	203	92.4%	101	94.4%	359	94.1%
Improved amenities in shelters	53	95.6%	195	88.5%	95	88.4%	342	89.5%
Increased security of shelters	42	75.9%	170	77.4%	73	68.4%	285	74.6%
Enhanced drug-free environment	45	81.4%	143	65.2%	82	76.4%	270	70.7%
Reduced number of homeless	16	28.7%	72	32.9%	28	26.2%	116	30.4%
Increased public awareness	11	20.4%	48	21.7%	16	15.1%	77	20.2%
More cooperation	7	13.1%	25	11.3%	18	17.1%	50	13.2%

Since the beginning of the ESGP in FY87, have the following changes occurred?

	State/Territory		Metropolitan City		Urban County		All Respondents	
	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5
Improved habitability of shelters	4.2	20.0%	4.1	23.4%	3.8	23.5%	4.0	22.9%
Improved amenities in shelters	3.8	16.3%	3.7	25.8%	3.9	22.4%	3.8	23.2%
Increased security of shelters	3.7	24.0%	3.4	30.3%	3.2	33.1%	3.4	30.1%
Enhanced drug-free environment	3.5	22.1%	3.5	31.5%	3.3	21.7%	3.4	27.8%
Reduced number of homeless	3.5	40.2%	3.5	40.0%	3.3	42.5%	3.5	40.8%
Increased public awareness	4.3	37.5%	4.2	58.6%	4.5	62.5%	4.3	37.5%
More cooperation	4.3	40.0%	3.7	69.2%	4.1	35.3%	4.3	40.0%

How important was the ESGP to this change? (5=highest, 1=lowest)

Source: Grantee Survey, Question 31 (weighted data).
Grantee Universe = 382, Survey Sample = 234.

Missing Cases: None.

Notes: (1) Multiple responses possible to first question.

Item 167, cont.

Research Question C.1: To what extent has the ESGP increased the quality of shelters across the nation?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Have you seen the following changes since the beginning of the ESGP in FY87?										
Improved habitability of shelters	251	57.3%	781	78.6%	352	85.7%	1020	86.1%	2404	79.4%
Improved amenities in shelters	279	63.7%	756	76.0%	331	80.7%	952	80.4%	2318	76.6%
Increased security of shelters	123	28.0%	501	50.4%	205	50.0%	451	38.1%	1281	42.3%
Enhanced drug-free environment	185	42.3%	551	55.4%	193	46.9%	572	48.3%	1501	49.6%
Reduced number of homeless	119	27.1%	233	23.4%	74	18.1%	335	28.3%	761	25.1%
Increased public awareness	371	84.6%	825	83.0%	354	86.3%	1020	86.2%	2571	84.9%

How important was the ESGP to this change? (5=highest, 1=lowest)

	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5	Mean Ranking	Percent Ranking 5
Improved habitability of shelters	4.2	52.6%	4.0	41.5%	4.4	59.6%	4.2	47.7%	4.2	48.2%
Improved amenities in shelters	4.2	50.2%	3.8	31.3%	4.3	50.7%	4.1	46.5%	4.0	42.4%
Increased security of shelters	3.5	29.6%	3.0	20.5%	4.0	50.6%	3.7	35.9%	3.4	31.4%
Enhanced drug-free environment	3.7	30.9%	3.3	23.2%	3.4	32.9%	3.7	42.6%	3.5	33.3%
Reduced number of homeless	3.6	29.7%	3.8	29.2%	3.6	32.6%	3.9	53.5%	3.8	40.4%
Increased public awareness	3.4	25.1%	3.0	21.9%	3.1	18.8%	3.4	35.9%	3.2	27.5%

Source: Provider Phone Survey, Question 39 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing Cases: 21-64 providers.

Notes: (1) Multiple responses possible to first question.

Item 168

Research Question C.1.a: Is there a continuing unmet need for emergency shelters for the homeless?

Responses	Homelessness Prevention Mean Ranking	Essential Services Mean Ranking	Conversion/Rehabilitation Mean Ranking	Operations Mean Ranking	All Respondents Mean Ranking
More night shelter beds	4.5	4.2	4.4	4.5	4.4
More night shelter facilities	4.3	3.9	4.0	4.1	4.1
More day shelter facilities	4.2	4.0	3.9	4.1	4.0
More essential services support	4.7	4.6	4.7	4.7	4.7
More homelessness prevention support	4.9	4.7	4.7	4.8	4.8
More affordable housing	4.8	4.8	4.8	4.9	4.8
More public awareness	4.4	4.3	4.3	4.4	4.3

Mean ranking of unmet needs, where 1 is low and 5 is high:

Source: Provider Phone Survey, Question 40 (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample = 651.

Missing Cases: 11 providers.

Research Question C.1.a: Is there a continuing unmet need for emergency shelters for the homeless?

Responses	State/Territory Mean Ranking	Metropolitan City Mean Ranking	Urban County Mean Ranking	All Respondents Mean Ranking
More night shelter beds	4.38	4.08	4.25	4.17
More night shelter facilities	4.23	3.77	4.05	3.92
More day shelter facilities	4.00	3.71	3.84	3.79
Increased security of shelters	3.50	3.34	3.27	3.34
Enhanced drug-free environment	3.50	3.32	3.33	3.35
Improving habitability	4.12	3.77	3.85	3.84
Improving amenities	3.94	3.60	3.81	3.71
Reducing the number of homeless	4.65	4.18	4.14	4.24
More essential services support	4.41	4.36	4.34	4.36
More homelessness prevention	4.48	4.31	4.37	4.35
More transitional/permanent housing	4.70	5.00	4.72	4.85

Mean ranking of unmet needs, on a scale where 1 is low and 5 is high:

Source: Grantee Survey, Question 32 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 -3 grantees.

Research Question C2: What effect does the limitation on expenditures for essential services have on the quality of services provided?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Has the cap affected service quality?								
Yes	22	39.6%	83	37.9%	53	49.4%	156	41.4%
No	32	58.1%	137	62.2%	54	50.6%	223	58.4%
Don't Know	1	2.0%	0	0.0%	0	0.0%	1	0.3%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%
How has the ES limitation affected the quality of services?								
Quality diminished with cap	13	68.9%	61	73.5%	33	62.0%	107	69.0%
Limits opportunity for on-going services/not enough ES money	7	38.9%	30	36.3%	28	48.6%	63	40.8%
Other	3	13.4%	8	9.1%	9	17.6%	19	12.5%
Would you assign a different priority to the 4 activities if caps on essential services and homelessness prevention were removed?								
Yes	28	50.9%	100	45.2%	52	48.5%	179	47.0%
No	27	49.1%	121	54.8%	55	51.5%	203	53.1%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%
If the spending limitations on ES & HP were removed, what would you do differently?								
Devote more money to HP	9	33.9%	41	41.0%	23	44.4%	73	19.2%
Devote more money to ES	13	47.6%	48	48.8%	0	0.0%	62	16.2%
Redirect funding into different categories	4	13.5%	2	1.6%	13	25.5%	19	4.9%
Fund transitional housing	0	0.0%	6	6.2%	9	17.3%	15	4.0%
Have HP available for 1 year	1	3.6%	3	2.8%	9	17.5%	13	3.4%
Expand current projects	3	9.2%	0	0.0%	7	12.6%	9	2.4%
Other	4	12.5%	8	8.2%	1	2.7%	13	3.4%

Source: Grantee Survey, Questions 27, 27a, 33a (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes (1) Multiple responses possible to the second and fourth questions.

Research Questions C.2.a, C.2.b: What effect does waiver of the limitation have on the ability of grantees to meet the needs of their homeless populations? (non-state grantees only)

Responses	Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent
<i>Has your agency ever... (counts of 'Yes' responses)</i>						
Considered applying for a waiver, but didn't	10	4.7%	5	4.7%	15	4.7%
Applied for a waiver and received it	13	5.9%	7	6.5%	20	6.1%
Applied for a waiver and been turned down	41	18.5%	14	12.7%	54	16.6%
None of the above	156	70.9%	81	76.1%	237	72.6%
TOTAL RESPONSES	220	100.0%	107	100.0%	327	100.0%
<i>Did the waiver enable you to increase the effectiveness of ESGP funding?</i>						
Substantially	3	19.4%	4	63.4%	7	34.8%
Somewhat	10	80.6%	3	36.6%	13	65.2%
Not at all	0	0.0%	0	0.0%	0	0.0%
TOTAL RESPONSES	13	100.0%	7	100.0%	20	100.0%

Source: Grantee Survey, Question 34 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (1) State grantees excluded.
(2) Second question asked only of grantees receiving waivers.

Research Question C.3, C.3.a: *What are the outcomes of homelessness prevention activities? How many potentially homeless individuals have been able to retain their current housing as a result of the homeless prevention measures funded by the ESG.*

Responses	Homelessness Prevention Median
<i>[For HP Providers:] How many ... have been able to retain their current housing or find other permanent housing?</i>	
Individuals in past year	55.0
Families in past year	62.8
Clients in previous years	42.6
Families in previous years	54.4

Responses	Homelessness Prevention Number	Percent
<i>Do these clients have other unmet needs?</i>		
Yes	391	92.7%
No	31	7.4%
TOTAL RESPONSES	422	100.0%

Source: Provider Phone Survey, Questions 28 - 29 (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample - 651.

Missing Cases: 3 providers.

Notes: (1) Question asked only of providers in HP stratum.

**Research Questions C.3, C.3.a: What are the outcomes of homelessness prevention?
How many potentially homeless individuals have been able to retain their current housing as a result of the homelessness prevention measures funded by the ESG?**

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Does your agency allocate ESG funds for HP activities?								
Yes	45	82.6%	119	54.2%	66	61.6%	231	60.4%
No	10	17.4%	101	45.8%	41	38.4%	151	39.6%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%

Individuals who retained housing as a result of homelessness prevention measures:

Total.	8723	---	7008	---	1060	---	16790	---
Mean per grantee	432	---	210	---	59	---	235	---

Families who retained housing as a result of homelessness prevention measures:

Total	6374	---	7940	---	3016	---	17390	---
Mean per grantee	297	---	128	---	79	---	142	---

Source: Grantee Survey, Question 36 (weighted data).
Grantee Universe=362, Survey Sample-234.

Missing Cases: None.

Notes: (1) Means calculated for grantees reporting some number assisted.

Research Question C.4: How successful have been the grantees' strategies to match the needs of their homeless populations with available ESG Program services and facilities?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Very effective	22	40.3%	88	39.9%	43	40.4%	153	40.1%
Somewhat effective	27	49.5%	113	51.4%	56	52.5%	197	51.5%
Somewhat ineffective	4	7.4%	18	8.1%	6	5.9%	28	7.4%
Very ineffective	2	2.7%	1	0.6%	1	1.3%	4	1.1%
TOTAL RESPONSES	55	100.0%	220	100.0%	107	100.0%	382	100.0%

How would grantee rank it's overall effectiveness in meeting needs of the homeless?

Source: Grantee Survey, Question 28 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Research Question C.4.a: *What role has the ESG played in the development of these strategies?*

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>How has the availability of ESG funds influenced your strategies?</i>								
Can't run program without these funds	19	48.4%	65	37.2%	27	35.0%	111	38.1%
Enhances program/services	9	22.7%	70	40.4%	32	41.5%	111	38.3%
Low level of funding restricts strategies	5	12.4%	29	16.4%	16	20.5%	49	16.9%
Allows better organization in funding sources	1	2.6%	2	1.0%	5	6.0%	7	2.5%
Allows money for prevention	1	3.1%	7	3.9%	4	5.0%	12	4.1%
Allows us to deal with special populations	1	3.3%	0	0.0%	2	2.7%	3	1.1%
Other	6	14.9%	17	10.0%	3	3.6%	26	9.0%

Source: Grantee Survey, Question 29a (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 63 grantees.

Notes: (1) Base is grantees indicating some strategies have been more successful than others.
(2) Multiple responses possible.

Research Question C.4.b: Have some strategies to meet the needs of the homeless been more effective than others?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Targeting of special populations	5	16.9%	30	25.8%	8	17.8%	43	22.5%
Affordable housing initiatives	2	7.3%	18	15.7%	15	33.6%	35	18.6%
Homelessness prevention services	2	8.0%	11	9.9%	4	9.6%	18	9.5%
Rent abatement programs/efforts to keep people in apartments	2	5.0%	4	3.4%	8	19.1%	14	7.3%
Rehabilitation	0	0.0%	9	7.5%	2	4.5%	11	5.6%
Adding new beds	1	4.3%	2	2.1%	4	9.1%	8	4.0%
Substance abuse counseling	0	0.0%	5	4.7%	0	0.0%	5	2.9%
Interagency coordination among public and private agencies	4	12.1%	0	0.0%	2	4.0%	5	2.8%
Essential services/provision of supportive services	1	3.3%	4	3.4%	0	0.0%	5	2.6%
Other ⁽¹⁾	14	46.8%	38	32.6%	10	23.1%	62	32.6%

Source: Grantee Survey, Question 28a (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes (1) Includes a variety of specialized programs and services, such as job training, educational programs, assistance with rent and utilities, life skills training, health services.
(2) Multiple responses possible

Item 178

Research Question C.5: Is there a relationship between the types of activities undertaken with ESG funds by grantees/recipients and effectiveness in meeting the needs of the clients?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Very effective	248	57.4%	601	61.3%	298	73.5%	935	79.1%	2083	69.4%
Somewhat effective	163	37.8%	377	38.5%	105	26.0%	232	19.7%	878	29.3%
Somewhat ineffective	21	4.8%	2	0.2%	2	0.6%	2	0.2%	27	0.9%
Very ineffective	0	0.0%	0	0.0%	0	0.0%	14	1.1%	14	0.5%
TOTAL RESPONSES	432	100%	980	100%	405	100%	1183	100%	3002	100%

How would you rate your program's overall effectiveness in meeting the needs of the homeless?

Source: Provider Phone Survey, Question 36 (weighted data).
 Provider Universe = 3000 - 3500 (estimated); Survey Sample = 651.

Missing Cases: 8 providers.

Item 179

Research Question C.6: To what extent has the homeless assistance provided by the ESG complemented the services already provided by the grantee/provider?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Prior to receiving ESG funding, were you offering any of the ESG-supported programs or services to the homeless?</i>										
Yes	331	79.1%	759	78.9%	295	75.3%	777	75.8%	2182	77.3%
No	87	20.9%	203	21.1%	97	24.7%	248	24.2%	636	22.7%
TOTAL RESPONSES	418	100.0%	962	100.0%	392	100.0%	1026	100.0%	2798	100.0%
<i>How would provider rate effectiveness in using ESG funding to expand services to the homeless?</i>										
Very effective	260	79.9%	487	64.2%	183	73.9%	415	55.2%	1345	64.5%
Somewhat effective	52	16.1%	259	34.1%	62	24.9%	288	38.3%	861	31.7%
Somewhat ineffective	12	3.7%	11	1.4%	3	1.2%	5	0.6%	30	1.5%
Very ineffective	1	0.4%	2	0.3%	0	0.0%	44	5.9%	47	2.3%
TOTAL RESPONSES	328	100.0%	759	100.0%	248	100.0%	752	100.0%	2084	100.0%

Source: Provider Phone Survey, Question 41 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample-651.

Missing Cases: 49 providers from first question, 16 providers from second question.

Notes: (1) Only respondents answering "yes" to the first question were asked the second.
 (2) Columns may not total due to rounding.

Research Question C.6.a, C.6.b: Have ESG funds been substituted for other resources being used to address homelessness?

Responses	State/Territory		Metropolitan/City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Yes, increase	29	54.4%	92	41.6%	43	40.5%	165	43.1%
Yes, decrease	0	0.0%	2	0.7%	1	1.3%	3	0.8%
No	21	38.3%	110	49.9%	49	46.0%	180	47.1%
Don't know	4	7.3%	17	7.8%	13	12.2%	34	9.0%
TOTAL RESPONSES	54	100.0%	220	100.0%	107	100.0%	982	100.0%

Has there been any change in the level of private donations or voluntary support as a result of the ESG?

Source: Grantee Survey, Question 35 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (1) columns may not total due to rounding.

Research Question C.7.: What factors influence how long clients stay in program?

Responses	Homelessness Number	Prevention Percent	Essential Services Number	Percent	Conversion/Rehabilitation Number	Percent	Operations Number	Percent	All Respondents Number	Percent
Length of stay (in nights):										
Mean	---	---	54.5	---	92.6	---	72.6	---	70.5	---
Median	---	---	28	---	40	---	30	---	30	---
Extent of client problems	186	42.3%	467	46.9%	121	29.5%	531	44.8%	1304	43.1%
Availability of permanent housing	135	30.8%	440	44.2%	151	36.8%	566	47.8%	1293	42.7%
Cooperation of client	100	22.9%	365	36.7%	203	49.4%	528	44.6%	1197	39.5%
Shelter time limit expires	71	16.3%	205	20.6%	92	22.5%	286	24.1%	655	21.6%
Financial stability	114	26.1%	209	21.0%	86	20.9%	238	20.1%	647	21.4%
Length of time to get entitlements	45	10.2%	74	7.4%	35	8.6%	127	10.7%	280	9.3%
Safety of client	14	3.3%	12	1.2%	38	9.2%	184	15.5%	248	8.2%
Availability of staff/services/funding	36	8.2%	78	7.8%	20	4.8%	59	5.0%	192	6.4%
Length of time to get Section 8	44	10.1%	41	4.1%	16	3.9%	54	4.5%	155	5.1%
None/no time limit	13	3.0%	39	3.9%	19	4.5%	56	4.7%	127	4.2%
Other	64	14.6%	185	18.6%	37	9.0%	143	12.1%	429	14.2%

Source: Provider Phone Survey, Question 22 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing cases: 15 providers.

Notes: (1) Multiple responses possible.

(2) Length of stay not asked of homelessness prevention stratum.

Research Questions C.7.b., C.7.c.: What methods have been employed for tracking clients after they leave ESGP shelters?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Does your program follow-up on clients who leave?</i>										
Yes	328	75.1%	734	75.6%	236	57.7%	764	64.9%	2062	68.9%
No	109	24.9%	237	24.4%	173	42.3%	413	35.1%	932	31.1%
TOTAL RESPONSES	437	100.0%	970	100.0%	409	100.0%	1177	100.0%	2994	100.0%
<i>How?</i>										
Periodic telephone calls	181	55.0%	435	59.3%	152	64.3%	425	55.6%	1193	57.8%
In-person visits	140	42.7%	359	48.9%	95	40.3%	390	51.0%	984	47.7%
During clients' return visits	108	32.9%	329	44.8%	122	51.7%	378	49.5%	937	45.4%
Postcards/mailings	141	42.8%	232	31.6%	52	22.1%	202	26.5%	627	30.4%
Other contacts (counselors, landlords, etc.)	42	12.9%	81	11.1%	36	15.1%	101	13.2%	260	12.6%
Word of mouth	28	8.5%	88	12.0%	48	20.2%	56	7.4%	220	10.7%
Group meetings	24	7.3%	53	7.3%	27	11.5%	74	9.7%	179	8.7%
Other	0	0.0%	41	5.6%	6	2.7%	19	2.5%	66	3.2%

Source: Provider Phone Survey, Question 23 (weighted data).
 Provider Universe = 3000-3500 (estimated), Survey Sample = 651.

Missing cases: 7 providers.

Notes: (1) Second question asked only of providers conducting follow-up.
 (2) Multiple response possible for methods of follow-up.

Research Question C.8: What effect have changes in program requirements had on the operation and administration of the ESG?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>How have the program changes affected your administration of the ESG?</i>								
Changes have had no effect	3	6.1%	82	37.2%	31	28.5%	116	30.3%
Environmental review is restricting	38	68.3%	40	18.0%	34	31.8%	111	29.1%
Raising cap on services has been positive	22	40.3%	59	26.8%	27	25.2%	108	28.3%
Adding HP has been positive	16	28.2%	34	15.6%	21	19.7%	71	18.6%
Changes have given us more flexibility	7	13.3%	17	7.8%	10	8.9%	34	8.9%
Increased paperwork is a problem	4	7.6%	13	5.8%	3	2.4%	19	5.1%
Dislike 180-day restriction on HP	5	9.4%	0	0.0%	3	2.4%	8	2.0%
Other	2	2.7%	17	7.6%	6	5.6%	24	6.3%

Source: Grantee Survey, Question 38 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 2 grantees.

Notes (1) Multiple responses possible.

Research Question C.9: What is the relationship between the ESG Program and programs of the Department of Labor, FEMA, Department of Health and Human Services, as well as other Federal homeless programs?

Responses	Homelessness Prevention		Essential Services		Conversions/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<i>Providers receiving funding from:</i>										
Department of Housing & Urban Development	311	70.9%	759	76.3%	302	73.6%	972	82.1%	2344	77.4%
CDBG	58	13.2%	328	33.0%	128	31.2%	306	25.8%	820	27.1%
ESG from another grantee (a)	73	16.6%	163	16.4%	54	13.2%	251	21.2%	541	17.9%
Section 8 Moderate Rehabilitation	2	0.5%	19	1.9%	9	2.1%	6	0.5%	35	1.2%
SHDP	7	1.6%	23	2.3%	21	5.0%	57	4.8%	107	3.5%
SAFAH	6	1.4%	16	1.6%	15	3.6%	19	1.6%	56	1.8%
Federal Emergency Management Agency Emergency Food and Shelter Program	244	55.7%	642	64.5%	223	54.2%	796	67.2%	1905	62.9%
Department of Health & Human Services	89	20.2%	191	19.2%	66	16.0%	268	22.6%	613	20.3%
Community Mental Health Services for the Homeless	2	0.5%	11	1.1%	0	0.0%	33	2.8%	46	1.5%
Emergency Community Services Homeless Grant Program	15	3.5%	12	1.2%	12	2.9%	19	1.6%	58	1.9%
Health Care for the Homeless	3	0.6%	25	2.5%	9	2.1%	57	4.9%	94	3.1%
Department of Veterans Affairs	5	1.2%	3	0.3%	2	0.5%	7	0.6%	18	0.6%
Homeless Chronically Mentally Ill Veterans Program	5	1.2%	0	0.0%	2	0.5%	7	0.6%	15	0.5%
Domiciliary Care for Homeless Veterans	5	1.2%	3	0.3%	2	0.5%	7	0.6%	18	0.6%
Department of Education	14	3.1%	46	4.6%	13	3.1%	38	3.2%	111	3.7%
Adult Education for the Homeless	1	0.3%	11	1.1%	0	0.0%	21	1.7%	32	1.1%
Education for Homeless Children and Youth	2	0.5%	22	2.2%	0	0.0%	17	1.4%	41	1.3%
Department of Labor	10	2.3%	22	2.3%	14	3.4%	8	0.7%	55	1.8%
Homeless Veterans Reintegration Program	0	0.0%	0	0.0%	2	0.5%	0	0.0%	2	0.1%
Job Training for the Homeless	1	0.3%	11	1.1%	0	0.0%	0	0.0%	12	0.4%

Source: Provider Phone Survey, Questions 9-12 (weighted data).
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 55-71 providers.

Notes: (1) Multiple responses possible.
 (a) ESG funding from a grantee other than the one through which the provider was sampled for the study.

Research Question C.9: What is the relationship between the ESG Program and programs of the Department of Labor, FEMA, Department of Health and Human Service as well as other Federal homeless programs?

Responses	State/Territory		Metropolitan/City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Number and percent of grantees reporting that they receive funds from...								
Department of Housing & Urban Development (a)	47	85.5%	145	66.1%	68	64.0%	261	68.3%
CDBG	21	38.4%	128	58.4%	54	50.2%	203	53.2%
Section 8 moderate rehabilitation	2	4.2%	22	9.9%	4	3.5%	28	7.3%
Supportive housing demonstration program	14	24.7%	17	7.9%	7	6.6%	38	9.9%
Supplemental assistance for facilities to assist the homeless	12	21.2%	13	5.8%	6	5.2%	30	7.8%
Department of Health & Human Services	30	54.7%	14	6.5%	4	3.6%	48	12.6%
Community mental health services for the homeless block grant	4	7.1%	3	1.6%	1	1.4%	9	2.3%
Emergency community services homeless grant program	25	44.8%	9	4.0%	1	1.3%	35	9.2%
Health care for the homeless	1	2.3%	8	3.7%	0	0.0%	9	2.5%
Department of Veteran's Affairs	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Homeless chronically mentally ill veteran's programs	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Domiciliary care for homeless veterans	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Department of Education	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Adult education for the homeless	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Education for homeless children and youth	0	0.0%	1	0.4%	0	0.0%	1	0.2%
Department of Labor	0	0.0%	7	3.2%	1	1.0%	8	2.1%
Homeless veteran's reintegration projects	0	0.0%	2	0.8%	0	0.0%	2	0.4%
Job training for the homeless	0	0.0%	4	1.6%	1	1.0%	5	1.2%
Federal Emergency Management Agency	0	0.0%	16	7.4%	14	13.2%	30	7.9%
Emergency food and shelter program	0	0.0%	9	4.0%	12	10.9%	20	5.3%

Source: Grantee Survey, Question 9.b (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (a) In addition to ESG.

Research Question C.9.a: To what extent do other federal programs overlap or duplicate the ESG?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Considerable overlap	3	5.7%	8	5.4%	3	3.9%	13	5.1%
Some overlap	19	40.9%	74	51.1%	21	29.3%	114	43.4%
No Overlap	24	51.3%	63	43.5%	46	65.2%	133	50.7%
Don't Know	1	2.1%	0	0.0%	1	1.6%	2	0.8%
TOTAL RESPONSES	47	100.0%	145	100.0%	70	100.0%	263	100.0%

Source: Grantee Survey, Question 11 (weighted data).
 Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes: (1) Grantees reporting only one funding source were not asked this question.
 (2) Columns may not total due to rounding.

Item 191 (cont.)

Research Question C.9.a: To what extent do these programs overlap or duplicate the ESG Program?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Providers		Recipients	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Very effective	307	82.1%	755	80.6%	309	82.3%	977	85.6%	2375	83.2%	6	85.7%
Somewhat effective	64	17.3%	174	18.1%	63	16.9%	158	13.9%	464	16.5%	0	0.0%
Very ineffective	2	0.6%	2	0.2%	3	0.9%	3	0.3%	11	0.4%	1	14.3%
TOTAL RESPONSES	373	100.0%	931	100.0%	376	100.0%	1138	100.0%	2850	100.0%	7	100.0%

How would provider/recipient rate internal coordination of funding sources?

Source: Provider Phone Survey, Question 13 (weighted data); Recipient Survey, Question 10.
 Provider Universe=3000-3500 (estimated), Survey Sample=651.

Missing Cases: 6 providers, 5 recipients.

Notes: (1) Question asked only of respondents with multiple funding sources.

Item 192

Research Question C.9 b: *In what ways could the ESG be better coordinated with other homeless funding or services?*

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Make into big homeless block grant	13	22.8%	40	18.2%	14	12.8%	66	17.4%
Coordinate/centralize different deadlines & requirements/simplify application process	6	11.5%	31	14.2%	14	13.4%	52	13.6%
Okay as is/satisfied	14	25.4%	20	8.9%	10	9.2%	43	11.3%
Eliminate match requirements	0	0.0%	8	3.8%	5	4.5%	13	3.4%
Combine all HUD sources of funding	0	0.0%	2	0.7%	2	2.0%	4	1.0%
Increase dissemination of information	0	0.0%	2	1.0%	0	0.0%	2	0.6%
Other	11	19.3%	42	19.3%	31	28.9%	84	22.0%
None/no comment	7	12.7%	38	17.3%	21	19.6%	65	17.0%

Source: Grantee Survey, Question 40 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: 37 grantees.

Notes (1) Multiple responses possible.

Research Question C.10: Are there any ESG requirements that contribute to inefficiencies in the operation of your program

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Environmental review	14	24.7%	6	2.6%	15	13.7%	34	8.9%
Amount of paperwork/reporting	5	9.5%	11	5.0%	14	12.8%	30	7.8%
Caps on spending	2	4.2%	10	4.4%	6	5.7%	18	4.7%
Timing between notice and due date for application	1	1.8%	5	2.3%	10	9.0%	16	4.1%
180-day HP requirement	4	7.0%	1	0.4%	10	9.2%	15	3.8%
Other	7	12.5%	14	6.3%	2	1.7%	23	5.9%
No/none	25	45.4%	171	77.7%	62	57.9%	258	67.5%

Source: Grantee Survey, Question 41 (weighted data).
 Grantee Universe=382, Survey Sample=234.

Missing Cases: 1 grantee.

Notes (1) Multiple responses possible.

Research Question C.10.a: What changes in sponsor eligibility, application requirements, monitoring procedures, etc. would improve the effectiveness and efficiency of the ESGP?

Responses	State/Territory		Metropolitan City		Urban County		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Increased funding	26	47.9%	96	43.5%	72	66.9%	194	50.7%
Eliminate caps	10	17.5%	52	23.8%	25	23.5%	87	22.8%
Eliminate paperwork load	2	3.6%	16	7.4%	7	6.5%	25	6.6%
Change environmental review restrictions	6	11.0%	3	1.4%	7	6.2%	16	4.1%
Okay as is/satisfied	1	2.0%	11	4.8%	1	1.1%	13	3.4%
Expand HP 180-day restriction to 1 year	5	8.9%	3	1.5%	0	0.0%	8	2.2%
Make ESGP funding coincide with calendar year	0	0.0%	3	1.4%	2	2.3%	5	1.4%
Make into block grant	2	2.7%	4	1.7%	0	0.0%	5	1.4%
Other	7	13.4%	24	10.8%	14	13.2%	45	11.8%

What other changes would you like to see HUD consider for the ESGP?

Source: Grantee Survey, Question 39 (weighted data).
Grantee Universe=382, Survey Sample=234.

Missing Cases: None.

Notes (1) Multiple responses possible.

Research Question C. 10.a.: What changes in sponsor eligibility, application requests, permitted uses of grant assistance, monetary procedures, or other program criteria would improve the effectiveness of the operation and administration of ESGP?

Responses	Homelessness Prevention		Essential Services		Conversion/Rehabilitation		Operations		All Respondents	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Increased funding	151	34.5%	400	40.3%	133	32.3%	660	55.7%	1344	44.4%
Increase in allowable activities	163	37.1%	245	24.6%	164	39.9%	359	30.3%	930	30.7%
Raise funding caps	159	36.3%	314	31.5%	65	15.9%	229	19.4%	768	25.3%
Ease application process	66	15.1%	140	14.0%	63	15.3%	366	30.9%	635	21.0%
Less paperwork and red tape	89	20.4%	73	7.4%	46	11.1%	112	9.5%	321	10.6%
More local/personal involvement of ESGP and HUD staff	40	9.2%	11	1.1%	2	0.4%	48	4.1%	101	3.3%
Longer time period to receive funding	8	1.9%	23	2.4%	13	3.1%	24	2.1%	69	2.3%
Other	45	10.2%	77	7.7%	66	16.1%	87	7.3%	275	9.1%

Source: Provider Phone Survey, Question 43 (weighted data).
 Provider Universe = 3000 - 3500 (estimated), Survey Sample = 651.

Missing cases: 80 providers.

Notes: (1) Multiple responses possible.

APPENDIX B

SUMMARY OF SAMPLING, SURVEY RESPONSE, AND DATA COLLECTION

APPENDIX B

SUMMARY OF SAMPLING, SURVEY RESPONSE, AND DATA COLLECTION

This Appendix provides a summary of the evaluation's sample design in Section B1.0, a summary of survey response in Section B2.0, and a synopsis of the data collection in Section B3.0.

B1.0 Sampling for the Emergency Shelter Grants Program Evaluation

For this study, several separate samples were required. The sample design was based upon both the hierarchical structure of the ESG Program and the different data collection requirements to answer the research questions posed by HUD. The following samples were drawn and used:

- A sample of grantees, for purposes of a telephone survey and selection of intensive-study sites ("the grantee sample");
- A sample of shelters and other homeless services providers receiving ESG funds in FY 91 from the sampled grantees, for purposes of a telephone survey, a mailed survey, and selection of intensive-study sites ("the provider sample"); and
- A set of intensive-study sites, each consisting of a grantee and selected providers.

Grantees are at the head of the program hierarchy, and shelters and other homeless services providers are at the bottom of the hierarchy. From reconnaissance work in the field, and through discussions with our consultants, it was realized that use of an intermediate category of *recipient* was quite infrequent. For the study, *the definition of recipient was restricted to a second-level decision-making entity*, such as a county, with authority to reallocate ESG funds. Recipients identified by grantees during the course of the data collection were interviewed.

Grantees may be states, metropolitan cities, urban counties, territories, and (beginning in fiscal year 1991) Indian tribes. Indian tribes were excluded from the study since they had not yet received their first ESG allocations (from FY 91) when the research began. Data reported in the tables below also exclude Indian tribes. All states are grantees only and must fully distribute ESG funds (except administrative monies) to recipients or directly to service providers. Shelters may be day shelters, night shelters, or 24-hour operations. It is clear that shelters are

not the only kinds of service providers funded by ESG; other types include health and counseling service agencies, residential treatment facilities, local government agencies, and a variety of other entities serving the homeless and at-risk populations.

The population structure suggested the selection of a cluster sample nested across levels. Therefore, a national probability sample of grantees was drawn. A sample of providers was then drawn from the sample grantees. This resulted in a two-stage cluster sample of providers. However, it was also necessary to identify the recipients directly funded by grantees who in turn funded sampled providers.

This approach offered three key advantages. First, it was only necessary to create a complete sampling frame (list) of recipients and providers for the sample grantees and not for all grantees in the population. Keeping in mind the lack of any complete and up-to-date national list of recipients or providers, this approach made the sampling frame construction task much easier to implement.

Second, the selection of a nested cluster sample limited the number of grantees that must be contacted and asked to provide information. It thus limited respondent burden and allowed use of our knowledge of the grantee when dealing with the recipients, shelters, and other service providers.

Third, nesting the provider and recipient samples within the grantee sample offered the ability to link grantee characteristics to the other organizations in the program. This linking of characteristics strengthened the analysis. It was particularly useful for answering research questions that cut across the levels. Examples included linking differences in grantee strategies with variations in local ESG services and facilities, or comparing shelter services and facilities by type of grantee.

B1.1 Sampling of Grantees

The Grantee Population

Sample design began with a census of all 382 grantees ever funded in the Emergency Shelter Grants Program. A data base provided by HUD on the ESG Program was used to analyze the size and nature of the organizations in the program over the years. The size of the population of grantees is shown in Exhibit B.1 for the years 1987 through 1991. The initial

FY 87 allocation is referred to as FY 87, the supplemental from the same year is referred to as FY 87S.¹

The total number of grantees in the ESG Program did not change very much after FY 87S; there was relatively steady participation of grantees in the ESG Program over the years. Fully 367 grantees had annual participation from FY 87S through FY 91, and the mean grantee population for that period was 376. While many new grantees entered the program with the supplemental appropriation in 1987, none who received the initial allocation left the program in 1987. There were only nine grantees that were participants in the ESG Program in at least one previous year that were not still participants in FY 91. Of these, six were steady participants from FY 87S through FY 90. There were only two grantees that did not participate in FY 90 but did in FY 91; of these, one was a steady participant in the previous years.

Exhibit B.1

Grantee Population and Funding

YEAR	FY 87	FY 87S	FY 88	FY 89	FY 90	FY 91
Number of grantees	87	378	374	379	378	373
Total funding (\$'000 appropriated)	\$10,000	\$50,000	\$8,000	\$46,500	\$73,164	\$72,432

Stratification of Grantees

The sample of grantees was drawn from the 367 grantees with steady participation from FY 87S to FY 91. An advantage of this approach was that historic data on grantees could be collected without any missing years. However, the grantee census still included all 382 grantees ever receiving ESG funds.

¹ The \$10 million FY 87 appropriation and the \$50 million FY 87 supplemental appropriation are referenced in the HUD 1989 Annual Report to Congress on Community Development Programs as the 1986 Program and the 1987 Program respectively. This study refers to the FY 87 initial appropriation as FY 87, and the FY 87 supplemental appropriation as FY 87S. The FY 91 total here excludes \$732,000 reserved for Indian tribes, as explained above.

Exhibit B.2

Grantee and Funds Distribution by Census Region

YEAR Region	FY 87	FY 87S	FY 88	FY 89	FY 90	FY 91
Northeast (\$'000)	19 \$2,955	115 \$14,788	115 \$2,367	116 \$13,719	103 \$19,028	98 \$18,767
Midwest (\$'000)	21 \$2,468	76 \$12,320	73 \$1,972	75 \$11,395	75 \$17,928	76 \$17,758
South (\$'000)	27 \$2,901	106 \$14,478	106 \$2,317	108 \$13,565	120 \$23,904	120 \$123,706
West (\$'000)	20 \$1,676	81 \$8,414	80 \$1,344	80 \$7,821	80 \$12,304	79 \$12,201

Region	Average Percent of National Funds (Excluding Territories)	Homeless Population Percent 1991 ²
Northeast	27.0%	32.7%
Midwest	25.5%	13.4%
South	30.2%	22.1%
West	17.3%	31.8%
TOTAL	100.0%	100.0%

² U. S. Bureau of the Census, Shelter and Street Night counts (March 20, 1991). The Census Bureau states that the results of its *Shelter and Street Night* (S-night) operation are estimates of the number of persons housed in emergency shelters and situated on the streets during the time of the S-night survey (evening of March 20, 1991, and early morning of March 21, 1991). The Census Bureau cautions that the data are not and were never intended to be a count of the total population of homeless persons at the national, state or local level. However, there are no such counts available.

The grantee sample was stratified by *region* and *type*. The HUD data base provided information to examine how these stratifiers were distributed. Exhibit B.2 shows the numbers of grantees and the dollar allocations by the four Census Regions. The West and Midwest regions had fewer grantees compared to the Northeast and South (around 80 versus around 100). An examination of the ESG Program allotments over time showed that in FY 87, the Northeast received the highest average award per grantee (\$155,526 vs. \$114,943 on average), presumably because of New York City's grant. When the FY 87S grants were allocated, a ratio of average allocation by region was established and has remained relatively stable through FY 91. Each region's allocation as a percentage of the national, excluding territories, averaged over time, is shown in the lower panel of Exhibit B.2 along with the regional distribution of homeless persons in 1991 counted by the Census Bureau. One region—the Midwest—received roughly twice the proportion of funding relative to its homeless count in 1991; by contrast, the West has the reverse situation, with about half the proportion of funding compared to the homeless population. As HUD wished to ensure a geographically representative sample, the variations in funding relative to homeless population were not taken into account in sampling but formed part of the background for the research.

The second stratifier for the grantee sample was *grantee type*. Based on the HUD database information, the grantee population was classified into the following three categories: state or territory, urban county, and metro city. (A grantee that is a metro city may be either a central city or a suburban area.) Exhibit B.3 summarizes the types of grantees from 1987 through 1991. It shows that, from FY 87S to FY 91, roughly 14 percent of the grantees have been states, 28 percent have been urban counties, and 57 percent have been metropolitan cities. Grantees were stratified by type because there are significant differences in program authority and administrative structure among the types.

Exhibit B.3

Types of ESG Program Grantees

YEAR Type	FY 87	FY 87S	FY 88	FY 89	FY 90	FY 91
STATE	51	51	51	51	51	51 (13.7%)
TERRITORY	0	5	5	5	5	5 (1.3%)
URBAN COUNTY	5	103	101	105	104	105 (28.2%)
METRO CITY						
-Central city	31	191	190	190	190	187 (50.1%)
-Suburb	0	28	27	28	28	25 (6.7%)
TOTAL	87	378	374	379	378	373 (100%)

The Grantee Census

An intensive effort to collect documentation on all the grantees from HUD (including the applications, interim, annual performance, and final reports) produced a complete enumeration of the jurisdictions receiving funding over the study period. The documentation available at HUD provided considerable information on the ESG Program grantees from FY 87 to FY 89, but the records were notably incomplete for FY 90 and FY 91. In many cases, the only information available for these two years was the total program funding allocated to the grantee. The census was conducted by mail using data abstracted from the applications and reports. After relevant fields had been abstracted and a data base created, a printout was sent to each grantee for checking, with telephone contacts to fill in the information gaps.

Data items verified during the grantee census included:

- grantee contacting information (agency name, address, phone, and contact person);
- ESG funding amounts obligated and spent, for each eligible activity category, from FY 87 to FY 91;
- identification of all recipients and providers receiving ESG funds from the grantee;

- for each recipient and provider, the ESG funding amount and the eligible activity categories funded, from FY 87 to FY 91;
- for each recipient and provider, the type of organization (public or nonprofit, shelter or non-shelter) and the organization's role (recipient or provider).

The Grantee Sample

The grantee census was used to create the sampling frame for grantees. This census was used to draw a probability proportional to size (PPS) sample of grantees, from the population of 367 steady grantees still active in FY 91. The measure of size was the cumulative annual dollar grant amount. Annual figures were converted into constant dollars to adjust for inflation over time.

PPS sampling was used for two key reasons. First, it gave the larger grantees a greater probability of selection. This is important when the population consists of units that vary greatly in terms of size.³ Second, selecting grantees with PPS sampling follows classical cluster sampling theory⁴ regarding the later selection of recipients within grantees and of shelters and other service providers within grantees and recipients.

After some concern was expressed that the allocation of ESG dollars (which is based on the CDBG formula) might not match up well with the distribution of the homeless population, further investigation was made of the relationship between ESG funding and homeless population counts at the state level. The correlations between ESG funding (in the years 1987 through 1991) for all grantees within the state and the Bureau of the Census counts of homeless population across states in 1991 were very high.⁵ The product-moment correlation of approximately +0.88 showed a very strong relationship between the distribution of homeless population across states and ESG funding amounts. These high correlations suggested that, even

³ Kish, L., 1987. *Statistical Design for Research*, John Wiley & Sons, New York, Section 7.5.

⁴ Kish, L., 1965. *Survey Sampling*, John Wiley & Sons, New York, Chapter 6.

⁵ The Census Bureau states that the results of its *Shelter and Street Night* (S-night) operation are estimates of the number of persons housed in emergency shelters and situated on the streets during the time of the S-night survey (evening of March 20, 1991, and early morning of March 21, 1991). The Census Bureau cautions that the data are not and were never intended to be a count of the total population of homeless persons at the national, state or local level. However, there are no such counts available.

though unevenly distributed by region, dollars funded was an acceptable measure of size for this sample design.

A grantee sample of 310 was drawn from the grantee population of 367 steady ESG Program participants. (Nine grantees were excluded from the sample since they had already been interviewed by Abt or Aspen staff during the reconnaissance visits for the evaluation, and the extensive information gathered from them had already informed the understanding of the ESG Program.) Grantees were sampled with probability proportional to size (PPS); the size measure was the constant dollar⁶ cumulative funding of ESG from FY 1987 to FY 1991. The sample was stratified based on Census region (Northeast, South, Midwest, and West) and grantee type (state or territory, urban county, and metropolitan city). Exhibit B.4 shows a cross-tabulation of type by census region in the grantee sample. Of the sample of 310 grantees, 101 are in the South, 81 in the Northeast, 64 in the West, and 64 in the Midwest. There are 176 metropolitan cities in the sample (56.8 percent of the total). The number of urban counties is 86 (27.7 percent), and the number of State or Territories is 48 (15.5 percent).

HUD requested that Abt Associates examine the grantee sample distribution relative to two other characteristics (beyond the stratifiers): HUD region and activity mix. As Exhibit B.5 indicates, the grantee sample contained a minimum of 10 grantees in each HUD region. There were 10 and 12 sampled grantees in Regions 8 and 10, respectively.

The interest in grantee activity mix concerns the allocation of ESG funds among the four eligible activity categories: operations; rehabilitation; essential services; and homelessness prevention. Until the grantee census, there were no complete or recent data available on patterns of funding allocation among the categories. Exhibit B.6 shows the number of eligible activity categories grantees funded in FY 91. (The categories exclude administration, to focus on the uses of funds for helping the homeless.) About half the sample grantees funded 3 or 4 types of eligible activities. Only 37 sample grantees funded a single category. Exhibit B.7 shows that substantial proportions of the sample grantees are funding each type of activity. Even homelessness prevention, the newest stand-alone category, is being supported with ESG funds

⁶ ESG funding amounts from FY 1987 to FY 1991 were converted into 1991 dollars using the implicit price deflator for gross domestic product compiled by the Bureau of Economic Analysis, Department of Commerce.

Exhibit B.4

Census Region by Grantee Type
Grantee Sample

Census Region Count Row Pct. Col. Pct.	Grantee Type			Total
	State/Territory	Urban County	Metro City	
Northeast	8	27	46	81
	9.88	33.33	56.79	100.00
	16.67	31.40	26.14	26.31
South	15	23	63	101
	14.85	22.77	62.38	100.00
	31.25	26.74	35.80	32.58
Midwest	12	14	38	64
	18.75	21.87	59.38	100.00
	25.00	16.28	21.59	20.65
West	13	22	29	64
	20.31	34.38	45.31	100.00
	27.08	25.58	16.48	20.65
Total	48	86	176	310
	15.48	27.74	56.77	100.00
	100.00	100.00	100.00	100.00%

Exhibit B.5

HUD Region by Grantee Type
Grantee Sample

HUD Region Count Row Pct. Col. Pct.	Grantee Type			Total
	State/Territory	Urban County	Metro City	
Boston (1)	4	0	17	21
	19.05	0.00	80.95	100.00
	8.33	0.00	9.66	6.77
New York (2)	2	16	19	37
	5.41	43.24	51.35	100.00
	4.17	18.60	10.80	11.94
Philadelphia (3)	4	17	17	38
	10.53	44.74	44.74	100.00
	8.33	19.77	9.66	12.26
Atlanta (4)	9	14	37	60
	15.00	23.33	61.67	100.00
	18.75	16.28	21.02	19.35
Chicago (5)	6	12	31	49
	12.24	24.49	63.27	100.00
	12.50	13.95	17.61	15.81
Dallas (6)	5	3	20	28
	17.86	10.71	71.43	100.00
	10.42	3.49	11.36	9.03
Kansas City (7)	4	2	7	13
	30.77	15.38	53.85	100.00
	8.33	2.33	3.98	4.19
Denver (8)	5	2	3	10
	50.00	20.00	30.00	100.00
	10.42	2.33	1.70	3.23
San Francisco (9)	5	16	21	42
	11.90	38.10	50.00	100.00
	10.42	18.60	11.93	13.55
Seattle (10)	4	4	4	12
	33.33	33.33	33.33	100.00
	8.33	4.65	4.65	3.87
Total	48	86	176	310
	15.48	27.74	56.77	100.00
	100.00	100.00	100.00	100.00

Exhibit B.6

**Number of Eligible Activity Categories
Funded by Grantees in 1991**

Number of Categories*	All Grantees		Grantee Sample	
1	53	16.8%	37	14.1%
2	106	33.7	90	34.2
3	90	28.6	75	28.5
4	66	21.0	61	23.2
Total	315	100.0	263	100.0

*Excludes administration (capped at 5%).

Missing cases: 67 grantees from the universe (non-respondents to the grantee census),
47 grantees from the sample.

Exhibit B.7

**Proportion of Sample Grantees
Funding ESG-Eligible Activity Categories
in FY91**

	All Grantees	Grantee Sample
Operations	72.5%	74.8%
Rehabilitation	44.8	47.7
Essential Services	54.7	59.7
Homelessness Prevention	37.2	39.0

by almost 40 percent of the sample grantees; operations funding is provided to shelters by about three-fourths the sample grantees.

Completion of the Grantee Census

After all relevant data were abstracted from the documents (and after drawing of the grantee sample), a printout of the existing data was sent to each grantee for review. There were two purposes to this step: obtaining full data on the use of program funds in FY 90 and FY 91, and obtaining a full list of recipients and providers to build those sampling frames. If necessary, grantees were contacted by telephone to obtain a response or to deal with incomplete or missing items. Grantees were asked to:

- Confirm their allocation of funds among the eligible activity categories;
- Check for completeness and accuracy in the list of funded organizations;
- Check for completeness and accuracy in the annual funding amounts and activity categories for each funded organization;
- Indicate whether the organization is a governmental agency or a private nonprofit; and
- Indicate which organizations have further funds allocation authority (i.e., are recipients) and which organizations provide services to the homeless population.

Exhibit B.8 shows the results of the grantee census as they related to the previously drawn grantee sample. Overall, 84.8 percent of the grantees provided usable responses. *For purposes of recipient and provider sampling, usable responses were those that had sufficient data on the entities funded in FY 91 to identify their funded activities.* Both the distribution of usable responses by grantee type (Exhibit B.8) and the distribution by Census region (Exhibit B.9) indicate that the usable responses were representative of the universe and of the sample as a whole.

Constructing the Recipient and Provider Sampling Frames

After drawing the PPS sample of grantees and completing the grantee census, a list was generated from the grantee census data base of all the recipients and service providers associated with each sampled grantee. This list reflected all the funded entities the sample grantees had

**Exhibit B.8
Usable Grantee Responses by Grantee Type**

Grantee Type	All Grantees, FY 91		Grantee Sample		Useable Grantees	
	Number	Percent	Number	Percent	Number	Percent
Metropolitan City	220	57.6%	176	56.8%	148	56.3%
State or Territory	55	14.4%	48	15.5%	37	14.1%
Urban County	107	28.0%	86	27.7%	78	29.7%
TOTALS	382	100.0%	310	100.0%	263	100.0%

Note: Percentages may not add to 100 due to rounding.

**Exhibit B.9
Usable Grantee Responses by
Census Region**

Census Region	All Grantees, FY 91		Grantee Sample		Useable Grantees	
	Number	Percent	Number	Percent	Number	Percent
Northeast	103	27.0%	81	26.1%	66	25.1%
South	121	31.7%	101	32.6%	87	33.1%
Midwest	77	20.2%	64	24.5%	57	21.7%
West	81	21.2%	64	24.5%	53	20.2%
TOTALS	382	100.0%	310	100.0%	263	100.0%

previously reported to HUD, as confirmed and updated during the processing of the grantee census. The data indicated whether the funded entity was a direct service provider or an agency with further authority to allocate ESG funds (a recipient). In a few instances, second-level decision makers were also reported to provide services. These entities were classified as providers for sampling purposes, since service provision was of greater interest to the study.

B1.2 Sampling of Recipients

One purpose of the grantee census was to identify grantees that used a middle layer of funding decision-makers to further allocate ESG funds. The evaluation's research design calls for sampling of these middle-layer funders -- termed recipients -- as the second stage cluster, with sampling of providers funded by the selected recipients representing the third-stage cluster.

At the time the research design was completed, it was already known from reconnaissance efforts that few recipients were likely to be found; the sample size for recipients was estimated at 100. During the grantee census data collection, considerable attention was paid to clarifying whether grantees used "pass-through" agencies as conduits for funding shelters and other homeless-services providers, or whether the agencies actually made further ESG allocation decisions.

Results of the grantee census indicated that state grantees used counties and localities to pass through ESG monies to providers in the earlier years of the program; indeed, this was required in FY 87 and FY 87S. States providing data on pass-through agencies over the program period (FY 87 to FY 91) included New York, Delaware, West Virginia, Illinois, Ohio, Texas, and Washington. However, it appears that in FY 91 only two states in the grantee sample -- Missouri and Alabama -- used county or local governments to make further funding choices. California was a third state that still actively used recipients; however, its recipients are on a two-year cycle, and none received FY 91 funding. Therefore, these are the only sample grantees for which a middle layer exists.

As a result of this minute number of recipients, the sampling strategy was altered to draw a uniform 2-stage (grantee-provider) cluster sample. For the two states where recipients were present, recipients were traced back from the sampled providers, and these recipients were interviewed. In the course of the provider survey, only two other recipients were identified and interviewed.

B1.3 Sampling of Providers

The Provider Population

The HUD database contained some information on ESG-funded shelters and other service providers for FY 87, FY 87S, and FY 88. Unfortunately, there were no data after FY 88. Until the completion of the grantee census, therefore, there was no estimate of the total number of providers funded by ESG monies in FY 91. Based on the data abstracted from HUD records and completed and verified by the grantees, Exhibit B.10 shows selected characteristics of the providers reported to receive ESG funding in FY 91, including number of activities funded and geographical distribution (by HUD region and Census region). Exhibit B.11 shows what proportion of the providers received funding for each of the eligible activities. Over 70 percent received some monies in FY 91 for operations. Over a third received some essential services funding. About a fifth were funded for capital work (conversion, renovation, or rehabilitation), and roughly the same proportion for homelessness prevention.

Stratification of Shelters and Other Service Providers

Using the grantee census data for the grantees in the sample, a sampling frame was constructed of providers eligible for inclusion in the sample. Criteria for eligibility include receipt of funding from FY 91 to provide services to the homeless and availability of data on the mix of ESG-funded FY 91 activities. These criteria excluded agencies that received only administrative funding and agencies for which no activity data were available from the grantee.

The evaluation's research design called for the providers to be sampled by type of funded activity. There were to be four strata: rehab, operations, essential services, and homelessness prevention. It is easy to assign a provider to a stratum if only one activity is being supported by FY 91 ESG funding. However, as shown in Exhibit B.10, many of the providers in this sampling frame conducted more than one activity.

Providers carrying out multiple activities with ESG funds were to be randomly assigned to sampling strata. However, based upon examination of actual activity distributions, as well as estimation of the effect of random selection on numbers of completed interviews by activity category, it was decided that a hierarchical assignment would be used instead, in order to

Exhibit B.10

**Providers' Number of Eligible Activity
Categories Funded in FY 91**

Number of Categories* Funded in FY 91	All Grantees' Providers		Sampled Grantees' Providers	
1	1375	62.2%	1205	60.9%
2	573	25.9	517	26.1
3	231	10.5	226	11.4
4	31	1.4	31	1.6
Total**	2210	100.0%	1979	100.0%
HUD Region				
1	236	9.7%	175	8.0%
2	234	9.6	208	9.5
3	167	6.9	136	6.2
4	487	20.0	474	21.7
5	447	18.4	413	18.9
6	212	8.7	205	9.4
7	196	8.1	193	8.9
8	46	1.9	46	2.1
9	267	11.0	195	8.9
10	140	5.8	135	6.2
Total	2432	100.0	2180	100.0%
Census Region				
Northeast	553	22.7%	467	21.4%
South	771	31.7	719	33.0
Midwest	667	27.4	630	28.9
West	441	18.1	364	16.7
Total	2432	100.0	2180	100.0%

*Excludes administration (usually retained by grantees).

**All grantees: 222 providers had admin only or no FY 91 activity mix data.
Sample grantees: 201 providers had admin only or no FY 91 activity mix data.

Exhibit B.11
Number and Percentage of Providers Receiving
Funding for Eligible Activity Categories
in FY 91

	All Grantees' Providers		Sample Grantees' Providers	
Operations	1578	71.4%	1431	72.3%
Rehabilitation	502	22.7	452	22.8
Essential Services	814	36.8	753	38.0
Homelessness Prevention	429	19.4	405	20.5

Percentages add to more than 100%, due to multiple activity funding (see Exhibit B.10).

achieve a more even distribution of sample across the strata, and to assure that providers of lower-incidence services would be represented in the sample.

A hierarchical assignment of providers to the four strata was made according to the following rules, based on FY 91 activities:

- All providers who deliver *homelessness prevention* services are assigned to that stratum (H), regardless of what other activities they conduct.
- Providers not funded for homelessness prevention services but delivering *essential services* are assigned to that stratum (E), regardless of what other activities they conduct.
- Providers funded for neither homelessness prevention nor essential services but that are conducting *conversion, renovation or rehabilitation* are assigned to that stratum (C), regardless of whether they also are funded for operations.
- The remaining providers are assigned to the *operations* stratum (O). They consist of agencies only funded for operations (not in combination with other activities), as reported by the grantees.

Note that these assignments were made according to activity, not according to budget allocations. They were also made on the basis of grantee reports, unverified by the provider.⁷

Using this approach, about a fifth of all the providers eligible to be sampled fell in the homelessness prevention stratum, 28 percent into the essential services stratum, 16 percent into conversion/renovation/rehabilitation, and the remaining 36 percent into shelter operations. There was considerable variation in this distribution for particular grantees.

Sampling Shelters and Other Service Providers

The sampling of service providers assumed that only currently funded (FY 91) shelters and non-shelter service providers were to be sampled. Grantees indicated the service providers that no longer received funding, but the service provider sample did not include former service providers, because there was likely to be substantially greater non-response and overall higher survey costs to reach this segment. (However, some former providers were included in the site visits.)

A random sample of current FY 91 shelters and other service providers was drawn within the strata defined above for each of the 263 usable grantees. (Usable grantees were those who responded to the grantee census and provided updated information on funded providers, including activity mix and dollar amount of FY 91 grant.). At the bottom level of the ESG Program, it was not desirable that only the largest providers fall into the sample; therefore, size variations were allowed to occur naturally in the sample. This avoided the problems that could have resulted from PPS sampling based on ESG grant size. (The reconnaissance had already shown that grant size was not a good indicator of overall provider size.)

Once the providers were assigned to the four strata within a usable grantee, sample selection was accomplished. The provider sample selection method had the following main characteristics:

- A target sample size of 1075 allowed for 40 percent provider nonresponse.
- The selection method used in each of the 263 usable grantees was simple random sampling by activity stratum.

⁷ In a small number of cases, it appears that the data provided by grantees in the census were in error or out of date.

- An equal allocation of sample to the four strata would select 269 providers for each. This was modified because equal allocation was balanced against taking roughly equal numbers of providers per grantee.⁸
- Sampling of roughly equal numbers of providers per grantee, by taking all providers for any grantee with 5 or fewer providers, then sampling at random from the providers of the grantees with more than 5.

Thus, the provider sample is a cluster sample within the sampled grantees. Providers were sampled within grantees according to the number and stratum mix of providers funded by the grantee. For grantees with more than five providers in FY 91, not all providers fell in the sample.

Characteristics of the Provider Sample

A provider sample of 1131 members was drawn from the sample grantees. The actual sample size differed from the target sample size (1075) due to the stochastic rounding procedure used to convert the individual grantee stratum sample sizes to integer stratum sample sizes. Note, too, that, because only 263 of the 310 sample grantees had usable responses, the mean number of sampled providers per grantee was slightly over 4.

Exhibit B.12 provides information on the characteristics of the providers selected for the sample. Like the sampling frame, the sample is not very evenly spread across strata. Some 22 percent falls into the H (homelessness prevention) stratum and 18 percent into the C (conversion/renovation/ rehabilitation) stratum. There are at least 90 providers in each HUD region, except Region 7 (70 providers), Region 8 (29), and Region 10 (62).

Finally, Exhibit B.13 shows the numbers and actual combinations of ESG-funded activities being carried out by sampled providers with FY 91 monies. It shows that they represent a good range of agencies in terms of number and mix of activities. A full set of activity combinations is present.

⁸ An initial sample draw used strict equal allocation and produced an extremely "lumpy" sample -- i.e. there were large numbers of providers included for some grantees and few or none for others. This reflected the fact that a few grantees make very large numbers of small grants, while others make fewer and larger grants and, thus, have fewer providers. It also reflected some differences in the activities funded by the grantees.

Exhibit B.12

Characteristics of Sampled Providers

	Sampled Providers for All Sampled Grantees		
	Number	Percent	
STRATUM	H	253	22.4%
	E	300	26.5
	C	201	17.8
	O	377	33.3
	Total	1131	100.0%
HUD REGION	1	90	8.0%
	2	131	11.6
	3	111	9.8
	4	188	16.6
	5	198	17.5
	6	118	10.4
	7	70	6.2
	8	29	2.6
	9	134	11.8
	10	62	5.5
	Total	1131	100.0%
CENSUS REGION	Northeast	278	24.6%
	South	348	30.8
	Midwest	281	24.8
	West	224	19.8
	Total	1131	100.0%

Note: Percent columns may not add to 100, due to rounding.

Key: H = Homelessness Prevention
E = Essential Services

C = Conversion/Renovation/Rehabilitation
O = Operations

B1.4 Recommended Sample Sizes of Completed Interviews

Recommended sample sizes play a major role in determining the level of precision that will result for the sample estimates. The total sample sizes also needed to be allocated to the domains of interest so that reliable subgroup estimates could be provided. Target sample sizes of completed interviews were:

- Grantees—216;
- Recipients—~ 100 (as population allows)
- Providers—648.

For the grantee sample, the sample size had to be large enough to yield reliable estimates for the 3 grantee type categories or the 4 Census regions. A sample size of 54 completed interviews per Census region would yield 95 percent confidence limits for survey estimates of about plus or minus 7 percentage points, comparing proportions between groups for $P = 50$ percent. (The calculation incorporated a finite population correction and a design effect due to weighting.) This yielded 216 completed grantee interviews in total. The grantee type stratifier has 3 categories, so that an average of 72 completed interviews could be allocated to each type. This would yield estimates with the same or better precision as the grantee type estimates. The target response rate for the grantee telephone survey was 70 percent. This meant that 310 grantees should be sampled in order to achieve about 216 completed interviews.

As noted above, little was initially known about the recipient level. However, it became evident that many grantees do not use recipients. Had the number of completed recipient interviews been about 100, with no stratifiers, then the 95 percent confidence limits would have been around plus or minus 10 percentage points, taking into account the effects of using a cluster sample. (The calculation also takes into account the finite population correction and a design effect due to weighting.) However, the actual confidence interval was open to the final number of recipients identified.

The total recommended service provider sample size was 648 interviews. With stratified sampling to achieve an even division among the 4 activity categories, the yield would be 162 interviews for each activity type. Service provider activity type estimates would then have 95 percent confidence limits of roughly plus or minus 7.5 percentage points.

Non-response of 30 to 40 percent was anticipated from the service provider sample. Experience during reconnaissance and instrument pre-testing had already shown that it was more difficult to obtain the cooperation of the providers compared to the grantees; both the nature of their business and their greater distance from HUD were factors reducing their ability and incentive to respond. Therefore, an initial sample of 1075 providers was planned to allow for a 60 percent response rate. (As noted, the actual draw was 1131 providers.)

B1.5 Sample Weighting and Variance Calculations

It was necessary to weight the grantee and provider samples so that inferences could be drawn about each of the target populations. The weights adjusted for the oversampling and were also constructed to incorporate adjustments for nonresponse. Final weights are described in Section B2.0 below. No weights were calculated for the recipient sample, due to its very small size.

The grantee sample had a stratified unequal selection probability design. The variance calculations for key grantee estimates took the design structure into account. The recipient sample was of such a small size as to be descriptive only; no statistics were calculated from it. The provider sample was a stratified cluster sample involving provider stratification within grantee, but equal selection probabilities within the provider strata. For this type of design, variance approximation methods (such as Taylor Series linearization) as implemented by the SUDAAN standard error computer software, were used.

B1.6 Selection of Intensive-Study Sites

In contrast to the formal sampling for the grantee and provider phone surveys, the selection of sites for visits by senior project staff was purposive. In consultation with the HUD GTR and GTM, sites were selected for visits based on their specific characteristics, using information gathered in the grantee census and in the process of constructing the recipient and provider sampling frames.

Fifteen sites were visited, a number which provided ample additional data to support and supplement the phone survey results. Each visit included contact with the grantee, one recipient (if present), and 2 to 4 shelters or other service providers. The visitors often spoke to one or more other organizations involved in the local provision of homeless services (whether or not

they received ESG funds), such as homeless coalitions or inter-agency councils. The purpose of the site visits was to enhance the analysis by:

- improving the understanding of the environment in which the ESG-funded organizations operate, including linkages to other local programs;
- gathering further data on the characteristics of the client population, on strategies for meeting homeless needs, and on planning and implementation of service elements; and
- gathering further data on program costs, matching funds, outputs, and impacts.

A number of criteria were used in selecting the 15 intensive-study sites. They included *grantee type* (state or territory, metro city, urban county), *region*, *grantee size* (1 or 2 of the largest grantees and 1 very small one), *grantee use of recipients* (1 site out of the 15), and *grantee receipt of a waiver* on the essential services cap (1 site of the 15). In addition, these criteria were considered in making the selections:

- mix of activities funded by the grantee; and
- clustering sites (1 or 2 instances where providers receive ESG funds from multiple grantees).

Exhibit B.14 shows the final sample of intensive-study sites. Among the 15 sites were five states, seven metropolitan cities, and three urban counties. They were well-distributed across the HUD regions. Included were one grantee with a waiver of the cap on essential services spending, one grantee that uses recipients, and two sets of grantees that are clustered. Four grantees received over \$1 million in FY 91 ESG Program funds; seven received under \$250,000.

For selection of providers to include in the site visits, the criteria of interest included *type of activity*, *length of time in the ESG Program*, *type of provider* (shelter or other), and *quality of record-keeping* (client demographics, cost data, service outputs, client impacts). For type of provider, we have used four mutually exclusive categories: shelters; government agencies (such as welfare departments); food service stations; and other non-shelter providers (e.g., substance abuse treatment centers, housing counseling and advocacy organizations, community action agencies). In the case of record keeping, it was necessary to select sites with sufficient data to support the analysis. For the other criteria, care was taken to balance the choices to avoid

**Exhibit B.14
Final Sample of Intensive-Study Sites**

Grantee	Type			HUD Region										ESG Grant Amount FY 91	
	State	Metro City	Urban County	1	2	3	4	5	6	7	8	9	10		Use Recipients Have Waiver
Boston, MA		✓		✓											442,000
Morris County, NJ			✓		✓									Y	44,000
Allegheny Co., PA			✓			✓									336,000
State of Maryland	✓					✓									239,000
Birmingham, AL		✓					✓								164,000
Jefferson County, AL			✓				✓								66,000
State of Alabama	✓						✓						Y		757,000
Chicago, IL		✓						✓							2,029,000
State of Ohio	✓							✓							1,346,000
New Orleans, LA		✓								✓					348,000

Exhibit B. 14, continued

Grantee	Type			HUD Region										ESG Grant Amount FY 91		
	State	Metro City	Urban County	1	2	3	4	5	6	7	8	9	10		Use Recipients	Have Waiver
State of Texas	✓								✓							1,910,000
Corpus Christi, TX		✓							✓							89,000
State of California	✓												✓	Y		1,027,144
San Francisco, CA		✓										✓				422,000
Portland, OR		✓														174,000

selecting sites with a greater likelihood of positive program impacts, because the evaluation's purpose was to give a picture of the full range of ESG Program experience.

For each intensive-study site, a subsample was selected of the providers receiving ESG monies from the grantee in FY 91. Selection was made using the grantee census data, responses to inquiries about record keeping, and discussions with the grantees. Exhibit B.15 summarizes the characteristics of the providers across the 15 sites, against the selection criteria enumerated above.

B1.7 Summary of Sampling Strategy

Exhibit B.16 provides a summary of the sampling and related data collection for the evaluation. (The data collection will be described in Section B3.0 below.)

B2.0 Survey Response for the Emergency Shelter Grants Program Evaluation

The evaluation involved four survey efforts: a telephone survey of grantees, a telephone survey of recipients, a telephone survey of providers, and a mailed survey of providers. The sample design for these surveys was detailed in Section B1.0 above; there, the provider sample for the entire grantee sample was described. In practice, these surveys were nested as follows:

- providers became eligible for the telephone survey only when the grantee providing their ESG funding completed the grantee telephone survey;
- recipients were surveyed only when a recipient was identified between a respondent grantee and a respondent provider; and
- providers became eligible for the mailed survey only when they completed the telephone survey. In fact, these instruments were labelled as Part I (telephone) and Part II (mailed).

Exhibit B.17 shows the anticipated and actual response rates for the four surveys, as well as for the collection of cost assessment forms from the providers in the 15 intensive-study sites. Target response rates were achieved for all efforts except the mailed provider survey, which suffered from timing that coincided with the December holidays.

Exhibit B.15
Characteristics of Selected Providers in Intensive Study Sites

Grantee/Providers	Grantee Type				Selection Criteria for Providers				
	State	Metropolitan	Urban	HUD Region	Type of Activity	Type of Provider	Years in Program	Population of Community	ESG Grant Amount FY 91
Boston, MA		✓		1	(1)	(2)		567,700	\$442,000
Roxbury Multiservice Center Dorchester, MA					C	S	6		\$40,700
Urban Revival, Inc. Jamaica Plain, MA					H	O	2		\$26,500
Women's Lunch Place Boston, MA					O	F	1		\$20,000

- 1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
- 2 S: shelter, O: not a shelter, G: government entity, F: food service station
- 3 R: indicates recipient jurisdiction
- 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type		Selection Criteria for Providers			ESG Grant Amount FY 91		
	State	Metropolitan	Urban County	HUD Region	Type of Activity (1)		Type of Provider (2)	Years in Program
Morris County, NJ			✓	2			428,600	\$44,000
Board of Social Services Morristown, NJ					H	G	5	\$13,200
Jersey Battered Women's Service, Inc. Morris Plains, NJ					E	S	5	\$13,500
Morris Shelter Morristown, NJ					E	S	2	\$15,100
Alfre, Inc. Morristown, NJ					C	S	1	\$23,200 FY '89

- 1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
- 2 S: shelter, O: not a shelter, G: government entity, F: food service station
- 3 R: indicates recipient jurisdiction
- 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				ESG Grant Amount FY 91
	S t a t e	M e t r o C i t y	U r b a n H o u s e h o l d R e g i o n	T y p e o f A c t i v i t y (1)	T y p e o f P r o v i d e r (2)	Y e a r s i n P r o g r a m	Population of Community	
State of Maryland	✓		3					\$239,000
Allegany Co. Human Resources Development Cumberland, MD				O H	G	1	75,400	\$20,050
Family Crisis Resource Center Cumberland, MD				C O	S	4	23,300	\$6,467
Hughesville Regional Shelter Hughesville, MD				O	S	5	1,208	\$29,640
Washington Co. Community Action Council Hagerstown, MD				O E H	O	6	115,800	\$32,000

- 1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
- 2 S: shelter, O: not a shelter, G: government entity, F: food service station
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Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				ESG Grant Amount FY 91
	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	Type of Activity (1)	Type of Provider (2)	Years in Program	
Allgheny Co., PA	State	Urban County	HUD Region	3	✓		1,360,500	\$336,000
Action-Housing, Inc. Pittsburgh, PA						H O	3	\$59,000
Salvation Army Northside Corps Pittsburgh, PA						E S	2	\$59,000
Debra House Braddock, PA						C O	1	\$21,000
Rosalie Center Pittsburgh, PA						O S	2	\$30,630

Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 S: shelter, O: not a shelter, G: government entity, F: food service station
 R: indicates recipient jurisdiction
 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

- 1
- 2
- 3
- 4

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				
	State	County	City	Type of Activity	Type of Provider	Years in Program	Population of Community	ESG Grant Amount FY 91
State of Alabama	✓			State	Urban County	HUD Region		\$757,000
City of Montgomery Montgomery, AL			R				186,700	\$155,095
Alf Cox Fellowship Montgomery, AL							186,700	\$15,000
City of Tuscaloosa Tuscaloosa, AL			R				76,700	\$10,360
Tuscaloosa Spouse Abuse Shelter Tuscaloosa, AL							76,700	\$9,680

- 1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
- 2 S: shelter, O: not a shelter, G: government entity, F: food service station
- 3 R: indicates recipient jurisdiction
- 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers			
	State	Metropolitan	Urban	Type of Activity	Type of Program	Population of Community	ESG Grant Amount FY 91
Birmingham, AL	✓			(1) H U D R e s i o n	(2)	282,900	\$164,000 CB \$80,954 AL
Birmingham PATH Program Birmingham, AL				O S	S		\$18,000 CB \$5,660 AL
Interfaith Hospitality House Birmingham, AL				O S	S		\$17,500 CB \$9,910 AL
Urban Ministries Birmingham, AL				E O H	I		\$21,000 CB

Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 S: shelter, O: not a shelter, G: government entity, F: food service station
 R: indicates recipient jurisdiction
 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

1
2
3
4

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				ESG Grant Amount FY 91
	State	Metropolitan County	Urban HUD Region	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	
Jefferson County, AL (as Grantee and Recipient of State ESGP funds)		✓	4				683,000	\$66,000 \$58,336 ⁴
Bread & Roses Hospitality, Inc. Birmingham, AL (City of B'ham also)				O/O	S	25		\$10,000 JCo. \$20,000 CB
Cooperative Downtown Ministries Birmingham, AL (State of Alabama also)				O E H/O O/O	S	151		\$6,000 JCo. \$29,300 CB \$5,660 AL
Jefferson Co. Housing Authority Fultondale, AL (State of Alabama also)				O/O	H	21		\$10,000 JCo. \$6,200 AL

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 2 S: shelter, O: not a shelter, G: government entity, F: food service station
 3 R: indicates recipient jurisdiction
 4 CB: City of Birmingham; AL: State of Alabama; JCo: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type				Selection Criteria for Providers				
	State	Metropolitan	Urban	HUD Region	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	ESG Grant Amount FY 91
State of Ohio	✓			5				10,847,115	\$1,346,000
Community Action Council of Pike County Pike County, OH					H O		2	25,100	\$20,000
Friends of the Homeless Columbus, OH					O S		5	580,800	\$55,611
The Open Shelter Columbus, OH					O S		5	580,800	\$44,700

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 2 S: shelter, O: not a shelter, G: government entity, F: food service station
 3 R: indicates recipient jurisdiction
 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers			ESG Grant Amount FY 91
	State	Metropolitan	Urban	Type of Activity	Type of Provider	Years in Program	
Chicago, IL	✓			(1)	(2)		\$2,029,300
Bethel New Life Chicago, IL				C	S	5	\$132,453
Christian Industrial League Chicago, IL				O	F	1	\$195,000
House of Mary and Joseph (Franciscan Outreach) Chicago, IL				C	S	5	\$95,000
Southwest Women Working Together Chicago, IL				O	S	1	\$25,000

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 2 S: shelter, O: not a shelter, G: government entity, F: food service station
 3 R: indicates recipient jurisdiction
 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type		Selection Criteria for Providers				ESG Grant Amount FY 91
	State	Metropolitan Area	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	
New Orleans, LA	✓	Urban County				496,938	\$348,000
Associated Catholic Charities Care Center, New Orleans, LA			O	O	5		\$31,680
Recovery Works New Orleans, LA			C	O	1		\$30,800
Salvation Army New Orleans, LA			O	E	5		\$50,500

Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 S: shelter, O: not a shelter, G: government entity, F: food service station
 R: indicates recipient jurisdiction
 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

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Exhibit B.15, continued

Grantees/Providers	Grantee Type				Selection Criteria for Providers				
	State	Metropolitan	Urban	HUD	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	ESG Grant Amount FY 91
State of Texas	✓			6				16,986,510	\$1,910,000
Brighter Tomorrows Duncanville, TX					O E H	S	1	36,000	\$51,636
City of Copperas Cove					O H	S	5	19,469	\$32,970
Collin Intervention to Youth Plano, TX					O E	S	1	117,200	\$50,000

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 2 S: shelter, O: not a shelter, G: government entity, F: food service station
 3 R: indicates recipient jurisdiction
 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				
	State	Metropolitan County	Urban HUD Region	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	ESG Grant Amount FY 91
Corpus Christi, TX	✓		6				270,100	\$89,000
Dos Mundos Day School Corpus Christi, TX				C	O	5		\$30,000
Metro Ministries Homebase Rainbow House Corpus Christi, TX				O	S	5		\$55,000
Battered Women's Shelter Corpus Christi, TX				C	S	4		\$28,800 FY90

Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 S: shelter, O: not a shelter, G: government entity, F: food service station
 R: indicates recipient jurisdiction
 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

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Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				ESG Grant Amount FY 91
	State	Metropolitan	Urban	Type of Activity	Type of Program	Population of Community	Years	
State of California	✓			State (1)	Urban (2)			\$1,027,144
The Depot Marysville, CA				Operations	Shelter	11,400	5	\$175,300
Santa Clara Family Living Center San Jose, CA				Operations	Shelter	740,900	1	\$200,000
San Bernardino County Community Action Agency, Hollister, CA				Operations	Shelter	11,488	1	\$90,250
Tri-City Homeless Coalition Shelter Program Fremont, CA				Operations	Shelter	162,800	1	\$196,455
Kings Community Action Agency Hanford, CA				Operations	Shelter		2	\$147,671

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention

2 S: shelter, O: not a shelter, G: government entity, F: food service station

3 R: indicates recipient jurisdiction

4 CB: City of Birmingham; AL: State of Alabama; ICO: Jefferson County

Exhibit B.15, continued

Grantee/Providers	Grantee Type			Selection Criteria for Providers				ESG Grant Amount FY 91
	State	Metropolitan	Urban HUD Region	Type of Activity (1)	Type of Provider (2)	Years in Program	Population of Community	
San Francisco, CA	✓		9				748,600	\$422,000
American Red Cross, G.G. Chapter San Francisco, CA					H O	1		\$67,625
Larkin Street Youth Services San Francisco, CA					O S	3		\$31,000
Richmond Hills San Francisco, CA					O E	2		\$25,000

Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 S: shelter, O: not a shelter, G: government entity, F: food service station
 R: indicates recipient jurisdiction
 CB: City of Birmingham, AL; State of Alabama; JCO: Jefferson County

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Exhibit B.15, continued

Grantee/Providers	Grantee Type		Selection Criteria for Providers				ESG Grant Amount FY 91
	State	Metropolitan	Urban	Type of Program	Type of Provider	Years in Program	
Portland, OR	✓		10	(1)	(2)	437,319	\$174,000
Transition Projects Inc. Portland, OR				O	S	5	\$14,200
Portland IMPACT Family Resource Center Portland, OR				O	S	3	\$10,800
Raphael House Portland, OR				O	S	5	\$14,000
Red Cross Clearinghouse Portland, OR				H	O	2	\$35,000

1 Funded in FY 91: C: conversion/renovation/rehabilitation, O: operations, E: essential services, H: homelessness prevention
 2 S: shelter, O: not a shelter, G: government entity, F: food service station
 3 R: indicates recipient jurisdiction
 4 CB: City of Birmingham; AL: State of Alabama; JCO: Jefferson County

Exhibit B.16

Emergency Shelter Grants Program Evaluation
Sampling and Data Collection Summary

	Grantees	Recipients	Providers
Population	All 367 ESG grantees with steady participation from FY 1987S to FY 1991 Universe is 382 grantees ever funded	All organizations receiving ESG funding from grantees and with further allocation authority, FY 1991	All shelters and other service providers receiving ESG funds in FY 1991 to assist the homeless.
Sample Size and Nesting	Grantee data base: no selection (universe: N=382) ----- Grantee sample for phone surveys: N = 234 ----- Site visits: N = 15	N < 216, with sampling of 1 recipient only where grantee uses recipients ----- N = 12 ----- Site visits: N = 2	N = 648, with sampling of about 4 providers per grantee ----- For mailed survey, N = 389 (60% response) ----- Site visits: N > 15
Sample Stratifiers	<u>Grantee type:</u> state or territory/urban country/metro city <u>Census region:</u> Northeast/Midwest/South/West ----- <u>HUD region and activity mix</u> to be examined	None	<u>Type of activity:</u> rehab/operations/essential services/homeless prevention. Providers with mixed activities randomly assigned to one category
Method of Selection	PPS (Size is cumulative ESG \$)	All recipients between sampled grantee and sampled provider	Equal probability within provider strata 2-stage cluster
Approximate Confidence Intervals (Phone Surveys)	± 7%	for N = 100, ± 10%	± 4%
Primary Data Sources	Grantee Phone Survey Site Visits	Recipient Phone Survey Site Visits	Provider Phone Survey Provider Mailed Survey Site Visits Cost Assessment Forms
Secondary Data Sources	Annual Reports Application Forms Funding Data	Funding Data	Funding Data
Data Collection Steps	Secondary data abstracting Mail and phone fill-in to assemble recipient and provider lists Reconnaissance visits Phone survey Site visits	Mail and phone fill-in to complete provider lists Reconnaissance visits Phone survey Site visits	Reconnaissance visits Phone survey Mail survey Site visits

Exhibit B.17

**Potential Respondent Universe and
Expected and Actual Numbers of Completed Interviews**

Population Group	Approximate Universe Size	Initial Sample Size	Expected Completion Rate	Expected Number of Completed Interviews	Actual Completion Rate	Actual Number of Completed Interviews
Grantees	382	310	70%	216	75.4%*	234
Recipients	Unknown	12	80%	10	100%	12
Providers/ Telephone Survey	3000- 3500	1131	60%	648	57.6%**	651
Providers/ Mailed Survey	3000- 3500	651	60%	389	46.2%	301
Providers/ Cost Assessment	3000- 3500	45	100%	45	88.9%	40

*Among the 263 usable grantees, the response rate was 89 percent.

**Not all of the 1131 cases were released for interviewing. Due to higher response than anticipated, the sample was reduced in a random fashion across all the strata except B. The final sample released and worked was 975, with a response rate of 66.8 percent.

B2.1 Comparison of Grantee Respondents with Grantee Universe

The 234 respondents to the grantee survey were well representative of the universe of entitlement jurisdictions. Exhibit B.18 shows how the distribution of cases on grantee type and Census region compares to the program as a whole. They are quite similar.

Exhibit B.18

Comparison of Grantee Respondents With Universe

Grantee Type	Grantee Universe		Grantee Respondents	
	#	%	#	%
State/Territory	55	14.4%	37	15.8%
Metropolitan City	220	57.6	129	55.1
Urban County	107	28.0	68	29.1
Total	382	100.0%	234	100.0%
Census Region				
Northeast	103	27.0%	63	26.9%
South	121	31.7	77	32.9
Midwest	77	20.2	54	23.1
West	81	21.2	40	17.1
Total	382	100.0%	234	100.0%

B2.2 Comparison of Provider Respondents with Provider Universe

The 651 providers that responded to the telephone survey were sampled from a universe of 2210 providers funded for FY 91, using information from the grantee census. However, providers only became eligible for the survey when their grantees completed the grantee telephone survey. Therefore, the distribution of provider characteristics could be affected both by grantee non-response and provider non-response. Exhibit B.19 compares the distribution of phone survey respondents to that of the universe, the full sample of providers, and the providers of respondent grantees. It shows that the homelessness prevention and rehab strata were slightly over-represented in the phone respondent group, while the essential services and operations strata were slightly under-represented. In the mailed survey response, the homelessness prevention and essential services strata were slightly over-represented, with rehab and operations under-represented. Sample weights by stratum adjusted for these differences, as described in Section B2.3 below.

Exhibit B.19

Provider Response by Stratum

Stratum	Universe of Providers		Sampled Providers, All Sampled Grantees		Sampled Providers of Grantee Respondents		Provider Respondents (Phone/Mail)	
	#	%	#	%	#	%	#	%
H	444	20.1	253	22.4	240	23.1	126/ 67	19.4/ 22.3
E	598	27.1	300	26.5	274	26.3	162/ 89	24.9/ 29.6
C	345	15.6	201	17.8	187	18.0	143/ 56	22.0/ 18.6
O	823	37.2	377	33.3	340	32.7	220/ 89	33.8/ 29.6
Total	2210	100	1131	100	1041	100	651/ 301	100/ 100

Key: H = Homelessness Prevention C = Conversion/Renovation/Rehabilitation
E = Essential Services O = Shelter Operations

B2.3 Construction of Final Grantee and Provider Weights

Grantee Sample Weights

Section B1.1 above described the sampling of grantees. The size of the sample, combined with selection probabilities proportional to size, meant that a significant number of grantees were selected with certainty (probability of selection equals 1). Smaller grantees were selected with probabilities less than one -- i.e. they were selected from among grantees of the same type and region, with the likelihood of inclusion in the sample proportional to their cumulative ESG funding.

The weighting methodology for the grantees involved assigning to each sample grantee a basic sampling weight equal to the reciprocal of its probability of selection. The basic sampling weight was then adjusted for nonresponse, on a Census region by grantee-type stratum basis. This adjustment brought the weighted count of grantees in each stratum into exact agreement with the number in the program universe (382). Exhibit B.20 shows the distribution of unweighted and weighted grantees on the two stratifying variables. Weighting has brought the distributions into closer alignment with the grantee universe (cf. Exhibit B.18).

Exhibit B.20

**Comparison of Unweighted and Weighted
Distributions of Grantee Survey Responses**

Grantee Type	Unweighted		Weighted	
	#	%	#	%
State/Territory	37	15.8%	55	14.4%
Metropolitan City	129	55.1	220	57.6
Urban County	68	29.1	107	28.0
Total	234	100.0%	382	100.0%
Census Region				
Northeast	63	26.9%	101.3	26.5%
South	77	32.9	122.5	32.1
Midwest	54	23.1	79.0	20.7
West	40	17.1	79.1	20.7
Total	234	100.0%	382	100.0%

Provider Sample Weights

Telephone survey respondents. As described in Section B1.3 above, the provider sample is a cluster sample within the grantees. Providers were assigned to a stratum based on the activities for which they received ESG funding in FY 91; the assignment was hierarchical, in this order: H (Homelessness Prevention); E (Essential Services); C (Conversion, Renovation, or Rehabilitation); and O (Shelter Operations). Providers were sampled within grantees, according to the number and stratum mix of providers funded by the grantee. A selection ratio for each stratum for each grantee governed the number of providers chosen; for grantees with 5 or fewer providers, the selection ratios for all strata were 1:1 (all providers included).

Derivation of provider weights began with the grantee weights. These were multiplied by the selection ratio for the particular stratum and grantee. Weights were then summed by

stratum across the sample and adjusted for non-response based on a comparison to the distributions in the grantee census for the 234 respondent grantees.

Final adjustment of the weights involved comparison of the weighted dollar totals across the whole program for the four eligible activity categories. Adjustment by stratum brought the totals into line with best estimates (from the grantee census) of program-wide funding allocation for FY 91. Specifically, the comparison of funds allocations between the grantee census and the provider phone survey data is as follows:

	Grantee Census	Provider Phone Survey	
Conversion/renovation/rehabilitation	\$14,185,143	\$14,628,351	(+3.12%)
Operations	\$34,405,186	\$34,297,887	(-0.31%)
Essential Services	\$15,113,125	\$14,427,017	(-4.54%)
Homelessness Prevention	\$ 6,698,752	\$ 6,789,756	(+1.36%)
Administration	\$2,029,794		
PROGRAM TOTAL	\$72,432,000		
EXCLUDING ADMINISTRATION	\$70,402,206	\$70,143,012	(- .36%)

Exhibit B.21 shows the distribution of unweighted and weighted provider telephone survey respondents on the provider stratifying variable. The weighted total N is 3,028 providers.

Mailed survey respondents. The response was much lower to the mailed portion of the provider survey. Weights for the analysis of items from the mailed survey therefore required further adjustment for non-response, followed by adjustment against the best estimates of program-wide funding from the grantee census. Exhibit B.21 showed the unweighted and weighted mailed survey response against the provider stratifying variable. Respondents in the

Exhibit B.21

**Comparison of Unweighted and Weighted
Distributions of Provider Survey Responses**

Provider Stratum	Unweighted		Weighted	
	#	%	#	%
Telephone Survey:				
H	143	22.0%	438.36	14.5%
E	162	24.9	994.51	32.8
C	126	19.4	410.79	13.6
O	220	33.8	1184.28	39.1
Total	651	100.0%	3027.95	100.0%
Mailed Survey:				
H	67	22.3%	773.50	21.7%
E	89	29.6	1195.90	33.6
C	56	18.6	404.31	11.3
O	89	29.6	1187.04	33.3
Total	301	100.0%	3560.75	100.0%

homelessness prevention and essential services strata were over-represented, in the rehab stratum slightly over-represented, and in the operations stratum quite under-represented. In addition, there appears to have been some non-response bias relative to the size of the providers, with small agencies more likely to respond. The results of the final weighting, also shown in Exhibit B.21, show larger weighted Ns overall and for the H (Homelessness Prevention) and E (Essential Services) strata, compared to the provider phone survey sample. Relative to program funding, the results are as follows:

	Grantee Census	Provider Mailed Survey	
Conversion/renovation/rehabilitation	\$14,185,143	\$15,784,027	(+11.27%)
Operations	\$34,405,186	\$38,508,214	(+11.93%)
Essential Services	\$15,113,125	\$14,424,559	(-4.56%)
Homelessness Prevention	\$ 6,698,752	\$ 6,703,017	(+0.06%)
Administration	\$2,029,794		
PROGRAM TOTAL	\$72,432,000		
EXCLUDING ADMINISTRATION	\$70,402,206	\$75,419,817	(+6.36%)

B2.4 Level of Accuracy

Statistical tests on the data collected from the grantee and provider samples must take into account the sample designs (grantee stratified sampling and provider cluster sampling within grantees), as well as the sizes of each of the samples relative to the respective universes. Specialized statistical software⁹ was used to make these adjustments: to calculate standard errors incorporating the finite population correction; and to measure design effects resulting from the sample designs. These computations were carried out for selected key variables, as there were far too many variables in the entire study data base to do them for each one.

Exhibit B.22 is a matrix of confidence intervals on observed proportions ranging from 5/95 percent to 50/50 percent in each of the three samples (grantee, provider phone, and provider mail samples). The matrix was developed by calculating average design effects over a number of different variables for a range of observed proportions, then applying them to the standard error of the proportion (computed in the usual manner) and multiplying by 1.96 (for the 95 percent level of confidence). The sample sizes shown are for the full number of responses in each sample and stratum. The confidence intervals are largest, of course, at 50 percent. For grantees, a proportion close to 50 percent in the full sample of 234 has a 95 percent confidence interval of ± 4 percent. For Western grantees, a proportion close to 50

⁹ See Babubhai V. Shah, Beth G. Barnwell, Nileen P. Hunt, and Lisa M. LaVange, *SUDAAN User's Manual, Release 5.50* (Research Triangle Institute, 1991).

EXHIBIT B.22

EMERGENCY SHELTER GRANTS PROGRAM EVALUATION
95 PERCENT CONFIDENCE INTERVALS FOR PROPORTIONS*

	SAMPLE SIZE	OBSERVED PROPORTION						
		5% OR 95%	10% OR 90%	20% OR 80%	30% OR 70%	40% OR 60%	50%	
<u>GRANTEES</u>								
TOTAL	234	1.8	2.4	3.2	3.7	4.0	4.0	4.0
STATES/TERRITORIES	37	4.0	5.5	7.4	8.5	9.0	9.0	9.2
METRO CITIES	129	2.5	3.5	4.6	5.3	5.7	5.7	5.8
URBAN COUNTIES	68	3.1	4.3	5.7	6.5	7.0	7.0	7.1
NORTHEAST	63	3.4	4.7	6.3	7.2	7.7	7.7	7.9
SOUTH	77	2.5	3.5	4.6	5.3	5.7	5.7	5.8
MIDWEST	54	2.7	3.8	5.0	5.8	6.2	6.2	6.3
WEST	40	5.3	7.3	9.8	11.2	12.0	12.0	12.2
<u>PROVIDERS-PHONE SURVEY</u>								
TOTAL	651	2.2	3.1	4.1	4.7	5.0	5.0	5.1
STRATUM=H	126	3.9	5.4	7.2	8.2	8.8	8.8	8.9
STRATUM=E	162	4.8	6.6	8.9	10.1	10.8	10.8	11.1
STRATUM=C	143	3.1	4.3	5.7	6.5	7.0	7.0	7.1
STRATUM=O	220	3.7	5.1	6.7	7.7	8.3	8.3	8.4
<u>PROVIDERS-MAILED SURVEY</u>								
TOTAL	301	3.3	4.5	6.0	6.9	7.4	7.4	7.5
STRATUM=H	67	5.3	7.4	9.8	11.2	12.0	12.0	12.3
STRATUM=E	89	6.5	9.0	12.0	13.7	14.6	14.6	14.9
STRATUM=C	56	5.0	6.8	9.1	10.5	11.2	11.2	11.4
STRATUM=O	89	5.8	8.0	10.6	12.1	13.0	13.0	13.3

* Standard errors incorporating finite population correction, adjusted for average design effects and then multiplied by 1.96.
Stratum key: H=homelessness prevention; E=essential services; C=conversion/renovation/rehab; O=operations

percent in the sample of 40 has a 95 percent confidence interval of ± 12.2 percent. However, an observed proportion of 10 percent in this group has a confidence interval of ± 7.3 percent.

The confidence intervals for the provider phone survey sample range for ± 2.2 percent to ± 5.1 percent for the full sample of 651. They are larger for the essential services stratum than for the other groups, all else equal; for observed proportions around 50 percent in this stratum, the true proportion would have a 95 percent probability of falling between 38.9 and 61.1 percent. However, most intervals are in the ± 5 to 7 percent range for the other strata and for proportions farther from 50 percent. The 95 percent confidence intervals for the mailed survey data are larger, due to much lower response; however, they fall below ± 12 percent in most instances.

Exhibit B.23 shows equivalent information for selected continuous variables collected from the grantee and provider phone surveys. For some of these variables, the means are of interest (e.g. average grantee agency budget, average share of grantee budget coming from ESG, average provider agency budget). For others, such as counts of individuals served or beds added to shelters, we are interested in estimating totals across the program (or parts thereof). The exhibit shows standard errors (with finite population correction), design effects, and resulting 95 percent confidence intervals for three grantee-level variables and three provider-level variables, with actual sample sizes and data points. The same specialized SUDAAN software was used for these computations. In the text of the report, statistical tests were applied in selected, key places using output and computations like those shown for Exhibits B.22 and B.23.

B3.0 Data Collection Summary

This portion of Appendix B provides a synopsis of the data collection and data processing undertaken for the evaluation of the Emergency Shelter Grants Program. Section B3.1 provides an overview of the various data collection steps undertaken. Section B3.2 describes each of the data collection steps. Section B3.3 supplies the details of the data processing undertaken to produce this evaluation report.

EXHIBIT B.23

EMERGENCY SHELTER GRANTS PROGRAM EVALUATION
STANDARD ERRORS FOR MEANS AND TOTALS OF SELECTED CONTINUOUS VARIABLES

<u>GRANTEES</u>	<u>Total Grantee Agency Budget</u>				
	<u>Sample Size</u>	<u>Mean</u>	<u>Standard Error of Mean</u>	<u>DEFF* Mean</u>	<u>95% Confidence Interval</u>
TOTAL	225	\$1,202,827	\$150,750	0.35 +/-	\$295,470
STATES/TERRITORIES	34	\$3,943,386	\$715,894	0.33 +/-	\$1,403,152
METRO CITIES	125	\$849,073	\$1,883,877	0.44 +/-	\$3,692,399
URBAN COUNTIES	66	\$599,144	\$136,491	0.33 +/-	\$267,522
NORTHEAST	57	\$1,050,629	\$362,166	0.4 +/-	\$709,845
SOUTH	77	\$937,948	\$168,931	0.15 +/-	\$331,105
MIDWEST	54	\$821,544	\$116,647	0.15 +/-	\$228,628
WEST	37	\$2,215,096	\$508,387	0.6 +/-	\$996,439

<u>GRANTEES</u>	<u>ESGP as % of Grantee Budget</u>				
	<u>Sample Size</u>	<u>Mean</u>	<u>Standard Error of Mean</u>	<u>DEFF* Mean</u>	<u>95% Confidence Interval</u>
TOTAL	225	55.98	1.50	0.40 +/-	2.94
STATES/TERRITORIES	34	46.13	2.86	0.28 +/-	5.61
METRO CITIES	125	58.52	2.05	0.42 +/-	4.02
URBAN COUNTIES	66	55.65	2.93	0.41 +/-	5.74
NORTHEAST	58	66.92	3.20	0.42 +/-	6.27
SOUTH	77	57.06	2.41	0.40 +/-	4.72
MIDWEST	53	62.54	2.42	0.28 +/-	4.74
WEST	37	33.87	3.83	0.69 +/-	7.51

<u>GRANTEES</u>	<u>Number of Individuals Retaining Housing as a Result of HP</u>				
	<u>Sample Size</u>	<u>Total</u>	<u>Standard Error of Total</u>	<u>DEFF* Total</u>	<u>95% Confidence Interval</u>
TOTAL	43	16,790	2,229	0.27 +/-	4,369
STATES/TERRITORIES	12	8,722	1,444	0.27 +/-	2,830
METRO CITIES	20	7,008	1,683	0.34 +/-	3,299
URBAN COUNTIES	11	1,060	222	0.71 +/-	435
NORTHEAST	9	931	280	0.80 +/-	549
SOUTH	13	5,639	1,226	0.27 +/-	2,403
MIDWEST	12	7,640	1,688	0.29 +/-	3,308
WEST	9	2,580	732	0.98 +/-	1,435

* Design effects, although shown separately for purposes of information, are already incorporated in the standard errors.

EXHIBIT B.23 continued

PROVIDERS

	Number of Individuals Served				
	<u>Sample Size</u>	<u>Total</u>	<u>Standard Error of Total</u>	<u>DEFF* Total</u>	<u>95% Confidence Interval</u>
TOTAL	486	2,799,673	516,646	0.94 +/-	1,012,626
STRATUM=H	114	1,218,133	438,873	0.92 +/-	860,191
STRATUM=E	91	551,694	171,828	3.42 +/-	336,783
STRATUM=C	102	302,552	129,324	2.91 +/-	253,475
STRATUM=O	179	727,294	114,693	1.37 +/-	224,798

PROVIDERS

	Number of Beds Added to Shelter as a Result of ESGP				
	<u>Sample Size</u>	<u>Total</u>	<u>Standard Error of Total</u>	<u>DEFF* Total</u>	<u>95% Confidence Interval</u>
TOTAL	98	7,714	1,117	0.82 +/-	2,189
STRATUM=H**	--	--	--	----	--
STRATUM=E	25	2,585	694	2.99 +/-	1,360
STRATUM=C	40	2,672	648	1.30 +/-	1,270
STRATUM=O	33	2,457	626	0.40 +/-	1,227

PROVIDERS

	Provider Total Operating Budget for 1991				
	<u>Sample Size</u>	<u>Mean</u>	<u>Standard Error of Mean</u>	<u>DEFF* Mean</u>	<u>95% Confidence Interval</u>
TOTAL	605	\$691,691	\$72,295	1.64 +/-	141,698
STRATUM=H	128	\$1,303,481	\$273,704	1.34 +/-	536,460
STRATUM=E	157	\$689,160	\$141,324	1.97 +/-	276,995
STRATUM=C	120	\$613,549	\$88,656	0.77 +/-	173,766
STRATUM=O	200	\$508,678	\$80,882	1.40 +/-	158,529

* Design effects, although shown separately for purposes of information, are already incorporated in the standard errors.

** Question not asked of providers in this stratum.

Stratum key: H=homelessness prevention; E=essential services; C=conversion/renovation/rehab; O=operations

B3.1 Overview of the Data Collection for the Emergency Shelter Grants Program Evaluation

The data collection for the ESG evaluation was conducted in three increasingly intensive levels requiring seven steps, as shown in Exhibit B.24. The data sources and methods for collecting the data at each level of the evaluation are summarized in Exhibit B.25.

The first level of the data collection focused on acquiring the background information on the ESG necessary to develop a final data collection plan. It included discussions with HUD personnel to determine the content and location of information and reports from the ESG, assessment of grantee reports in HUD Central Office files, and visits to selected reconnaissance sites. Reconnaissance visits were made to eight communities that administer ESG and interviews were conducted with grantees, shelters, and other service providers, to improve program understanding and assess the feasibility of data collection plans.

The discussions with HUD provided the location of the ESG files that had been forwarded by the HUD field offices to Headquarters. After abstracting all of the available information, it was computerized and used to generate reports for mailing to each grantee. Then each of the 382 ESG grantees was requested to review, correct, and complete the information needed. This information, compiled as the grantee census, was next used as a sampling frame for the telephone interview samples of grantees, recipients, and homeless-services providers.

The second level of the evaluation data collection consisted of telephone surveys of samples of grantees and recipients, and a combination of telephone and mail surveys of service providers. Altogether, four surveys were conducted.

The final and most intensive level of data collection consisted of in-depth site visits to a sample of 15 grantees, their recipients (if present), shelters and other service providers, and selected collateral respondents (e.g., the local Homeless Taskforce). These visits supported our collection of additional information, such as Comprehensive Housing Affordability Strategies (CHASs) and cost data from the providers at each site.

B3.2 Data Collection Steps

The evaluation consisted of seven data collection steps, implemented sequentially. Each step is described below.

Exhibit B.24

Schematic Diagram of ESG Program Evaluation Data Collection

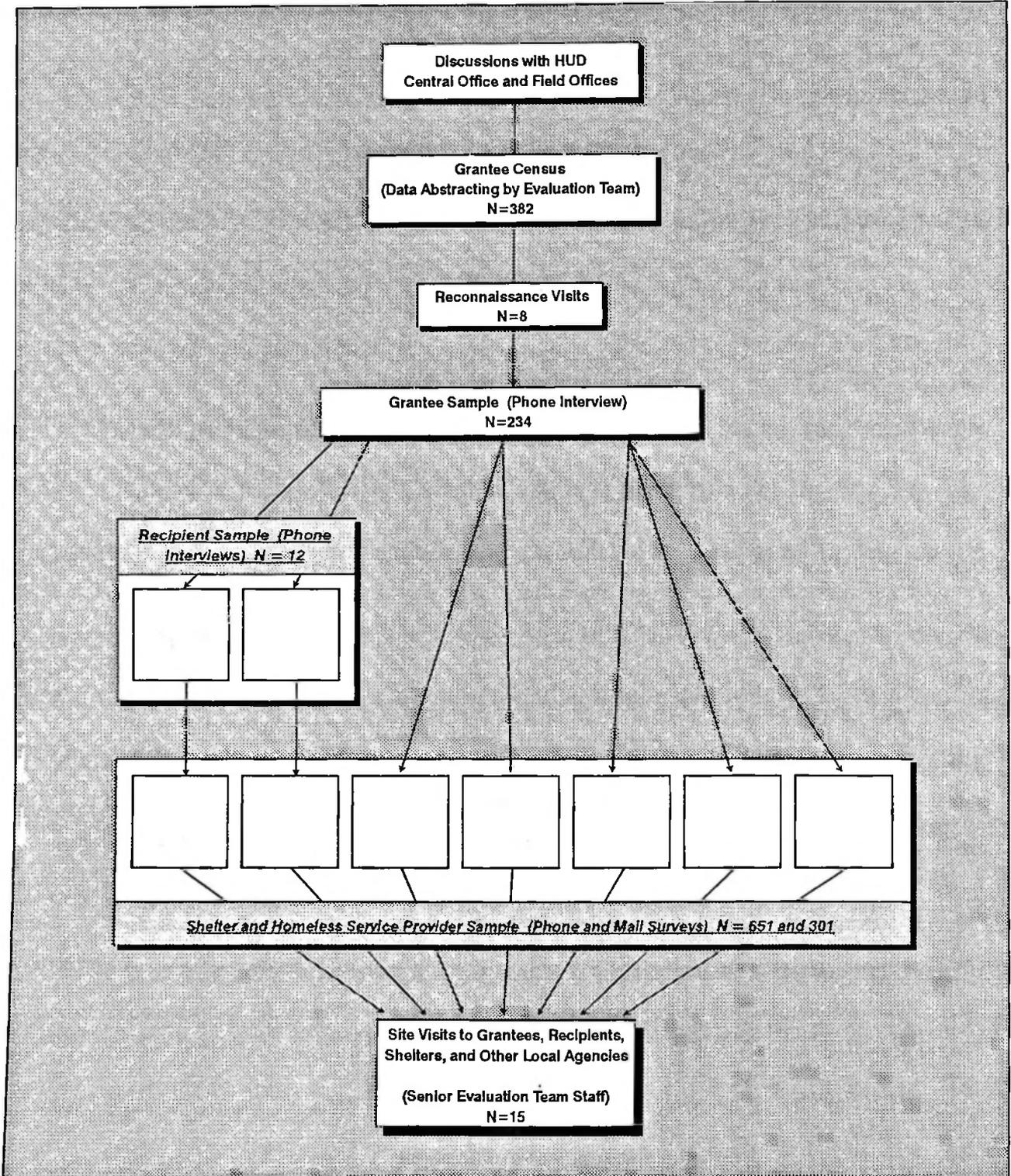


Exhibit B.25

**Data Sources for the Evaluation of the
Emergency Shelter Grants Program**

Data Sources	Primary/Secondary	Methods
HUD Central Office (CO)	P	<ul style="list-style-type: none"> • Discussion of program with CO staff
ESG Applications	S	<ul style="list-style-type: none"> • Abstract applications
Performance Reports	S	<ul style="list-style-type: none"> • Abstract performance reports
CHAPs/CHASs	S	<ul style="list-style-type: none"> • Collect CHAPs or CHASs for intensive-study sites
Grantees	P	<ul style="list-style-type: none"> • Mailing with telephone follow-up to fill in data missing from application abstracts; completion of lists of recipients, shelters, and other service providers • Reconnaissance visits • (Sample) Phone survey • (Sub-sample) Site visits with in-person interviews
Recipients	P	<ul style="list-style-type: none"> • Reconnaissance visits • (Sample) Request for list of shelters and other service providers • (Sample) Phone survey • (Sub-sample) Site visits with in-person interviews
Shelters & Homeless Services Providers	P	<ul style="list-style-type: none"> • Reconnaissance visits • (Sample) Phone survey • (Sample) Mail survey • (Sub-sample) Site visits with in-person interviews • (Sub-sample) Cost assessment forms

Discussions with the HUD Central Office Personnel

The first data collection effort drew upon information from HUD Central Office staff concerning available documentation on the ESG grantees. The objective of these discussions was to develop a strategy for conducting the census of grantees. During the initial discussions with the HUD Central Office staff, we were informed of several HUD automated data files, as well as the location of the existing collection of ESG documents. Further examination of the ESG files at the HUD Central Office revealed that most of the information available pertained to FY 89 or earlier. FY 90 and FY 91 materials were very incomplete. As a consequence, the next step, the census of grantees, was begun with full knowledge that there would be many "holes" to fill before the data could be considered complete.

The Census of Grantees

The census of grantees was conducted using three types of data sources: the HUD automated data on the ESG Program; documents submitted to HUD by the grantees; and mail and telephone follow-ups with grantees to fill in missing data. Using an abstracting form designed for this project, data items were drawn from the following secondary sources:

HUD Data Base: Provided the full list of grantees and their ESG funding totals from FY 87 to FY 91.

Application Forms: Usually only contained the required representations and certifications. Some information was abstracted from these forms for FY 87 to FY 89; forms for FY 90 and FY 91 were seldom available.

Performance Reports: Annual performance reports (FY 87 to FY 89; FY 90 and FY 91 were rarely present) were reviewed to determine the amount of funds obligated and spent for each of the four categories of eligible activities, and to assemble initial lists of recipients and providers. Matching funds data were particularly incomplete.

After all relevant data were abstracted from these three sources and entered into a data base, each grantee organization was contacted by letter to introduce the evaluation and solicit cooperation. Enclosed with the letter were printouts of existing data for the specific grantee. The grantees were asked to check the information carefully, correcting grantee allocations by activity category for each fiscal year, completing names of recipients and homeless-services providers together with total dollar allocations by fiscal year, adding contacting information for recipients and service providers, and identifying funded activities for recipients and service

providers. Telephone follow-up was used to increase response. Additional telephone contacts filled in information gaps so the grantee census information could be used as the sampling frame for drawing samples of grantees, recipients, and homeless-services providers.

Reconnaissance Visits

For this evaluation, the reconnaissance visits had three purposes. The first was to test the evaluation team's ability to identify appropriate respondents at the grantee, recipient, and shelter/service provider levels—that is, to ascertain whether the current understanding of ESG structure was correct. The second was to determine the availability of needed data and the opportunities for collecting (cost-effectively) proxies for those data.

The third purpose of the reconnaissance site selection was to duplicate the sampling design proposed for the full study, that is, selection of sets of grantees and their associated recipients and shelters/service providers. Within the geographic areas of the evaluation team's offices were seven states that offered variation on several variables of interest: size (measured by the amount of ESG funding), grantee type (state/territory, urban county, metropolitan city), and relationship to recipients (whether funds went to recipients for further allocation of ESG funds or went directly to service providers). Variation in HUD region was also sought. The selected states included two in New England (Massachusetts and New Hampshire), three mid-Atlantic states (Maryland, Virginia, and the District of Columbia), and two western states (Colorado and California). The seven states were located in four HUD regions and provided a mix of grantee types:

- Four state grantees (Massachusetts, New Hampshire, the District of Columbia, and Colorado)
- Two urban county grantees (Anne Arundel County, Maryland; Los Angeles County, California)
- Four city grantees (Manchester, New Hampshire; Cambridge, Massachusetts; Richmond, Virginia; Los Angeles, California).

As part of the planning process for the reconnaissance visits, each grantee was asked to supply the following information for all organizations awarded ESG funds:

- Type of organization: unit of local government or nonprofit agency;

- Second-level decision-maker? (yes/no);
- Shelter operator? (yes/no);
- Number of shelters operated; and
- ESG-funded activities (shelter operations, shelter renovation/rehabilitation, homelessness prevention, essential services).

From this information, the selections of recipients and homeless services providers were made, as shown in Exhibit B.26.

Eight visits were made, with contacts at the grantee, recipient, and shelter and other service provider levels. The reconnaissance visits occurred in the early months of the evaluation.¹⁰ From these visits, the evaluation design was refined and the options that could be applied across a wide range of entities receiving ESG funds were clarified, with resulting improvement in the face validity of the research design and the data collection instruments.¹¹

¹⁰ For a detailed discussion on the findings from the reconnaissance, see the *Research Design, Data Collection and Analysis Plan for the Emergency Shelter Grant Program Evaluation*, March 24, 1992, pp. 80-96.

¹¹ It was during the course of setting up and making reconnaissance visits that information on the lack of a widespread recipient level in the ESG emerged. Although a few recipients were later found, this level in the ESG system was rare.

Exhibit B.26

Reconnaissance Visit Sites

Agency Name	G r a n t e e	R e c i p i e n t	S h e l t e r	P r o v i d e r
Commonwealth of Massachusetts Executive Office of Human Services, Department of Public Welfare, Shelter Resources Unit	✓			
Catholic Charities Bureau			✓	
Boston Trustees of Health and Hospitals <i>or</i> Greater Boston Adult Shelter Alliance			✓	
City of Cambridge	✓			
Casper-Albany Street Shelter			✓	
Hildebrand Self-Help Center			✓	
State of New Hampshire, Division of Mental Health and Development Services	✓			
New Horizons			✓	
City of Manchester	✓			
Manchester Welfare Department			✓	
Town of Dover				✓
District of Columbia Department of Human Services	✓			
Emory House			✓	
City of Richmond	✓			
Daily Planet			✓	
Richmond Department of the Mental Health				✓
Anne Arundel County	✓			
Associated Catholic Charities		✓		
Sarah's House			✓	

Exhibit B.26

Reconnaissance Visit Sites

Agency Name	G r a n t e e	R e c i p i e n t	S h e l t e r	P r o v i d e r
State of Colorado, Division of Housing	✓			
Weld County Department of Social Services		✓		
Catholic Community Services, Greeley			✓	
Gateway Battered Women's Shelter. Aurora			✓	
City of Los Angeles, Department of Human Services	✓			
County of Los Angeles, Community Development Commission	✓			
St. Vincent DePaul Society			✓	
El Centro				✓

Telephone and Mail Surveys

This level of the data collection was composed of three telephone surveys of the nested samples of grantees, recipients, and homeless-services providers, plus a follow-up mail survey of the providers. At each stage in the telephone survey, the data collection was used to build hierarchically on prior information gleaned (for example, from the census of grantees). The following three stages of surveys were conducted:

Survey of Grantees: This phone survey of 234 grantees contained questions designed to address relevant research topics. This survey was the first source of data on grantee strategies, decision-making, and implementation; such topics could not be covered in the grantee census.

Survey of Recipients: This phone survey was conducted with each recipient that met the definition of intermediate decision-maker, as these entities were identified between

sampled grantees and sampled providers. It gathered the necessary data on organizational characteristics, strategies, and decision-making about further allocation of ESG funds.

Surveys of Shelters: A phone survey of 651 shelters and other service providers gathered data to answer many of the research questions about shelter operations, clients, service providers, and the like. A follow-up mail survey to phone respondents gathered further information on funding, shelter characteristics and rules, and population served.

The complete instrument package for this portion of the data collection was included in the *Research Design, Data Collection and Analysis Plan for the Emergency Shelter Grant Program Evaluation*.¹²

Intensive-Study Site Visits

Fifteen site visits were made to a sub-set of the grantees, recipients, shelters, and other service providers interviewed in the phone surveys. The purpose of these visits was to provide the five senior members of the evaluation team with the opportunity to gather in-depth information on how the ESG operates, its contexts, its successes and limitations, and its potential for further impact. Through site visits to clustered grantees, recipients (where present), and shelters/service providers, the evaluation team explored the dynamics of program planning, linkages across levels of organization, strategic choices and decisions, plans and hopes for the future.

One or two staff members visited each site for approximately three to three and one-half days. Interview guides for grantees, recipients, shelters, other service providers, and collateral/related respondents were used to ensure that the site visits addressed all the relevant research questions in a consistent way. Separate cost assessment forms were used to collect cost and funding data from the shelters/service providers at each site. The volume of material collected in each of these visits to ESG sites was substantial. One product of the visits was the site profiles contained in Volume 2. Materials from the site visits are also used throughout the report.

¹² Abt Associates, March 24, 1992.

B.3.3 Data Processing Plan

The database for the ESG evaluation consists of each of the data sets from the various data collection instruments. Specifically, these are:

- **The grantee census data set** created from the abstracting forms used to collect comparable information on the universe of ESG grantees from documentation available at the HUD Central or Field offices (including the grantee applications, and interim and annual reports). The HUD data base also contributed to this data set, as did the corrections and additions made by the grantees;
- **The grantee phone survey data set** containing the responses of the grantee sample to questions about program administration, costs, activities, and populations served;
- **The recipient phone survey data set** containing recipient responses about program administration and role;
- **The shelter/services provider phone survey data set** containing shelter/service administrator responses to questions about agency characteristics, budgets, services offered, facilities, and populations served;
- **The shelter/services provider mail survey data set** containing administrator responses to additional detailed questions about funding and clients; and
- **The intensive site profiles** containing data on costs, staffing, funding, program, and site characteristics for the 15 sites visited by senior staff.

Data Entry and Validation

Data collection for this evaluation was conducted by Abt Associates and Aspen Systems. Abt's Survey Research Group (SRG) was responsible for two of the three telephone surveys, and Aspen Systems did the abstracting and follow-up of the data for the grantee census. All data entry was performed in-house at Abt or Aspen using experienced data entry personnel and was 100 percent key verified. Items from one of the three telephone surveys (grantee sample) and the mail survey was entered into ASCII files by the SRG data entry personnel. The provider phone survey was administered using a Computer Aided Telephone Interviewing System (CATI); data entry was direct. The recipient telephone survey (N=12) was performed by an evaluation team member and entered into a small data set.

Data Base Design

A unique Case ID was assigned for each case, with a separate ID for the grantees, recipients, shelters, and service providers. However, due to the hierarchical nature of our sample, the grantee Case ID was embedded in the appropriate recipient and shelter records; likewise the recipient Case ID was embedded in the appropriate shelter or service provider record. This allowed linkage of the data from each of the sources, to enrich the analyses possibilities.

The **grantee ID** is comprised of:

- A 2-digit HUD region in the range 1 through 10.
- A 6-digit unique identifier that is found in the DIRWITH file from the HUD ESG database. This ID consists of a 2-digit state code and a 4-digit sequence number unique to that grantee. Embedding this unique identifier from the DIRWITH file makes it possible for the DIRWITH data and grantee census to be used in conjunction with the survey data.

The **recipient ID** is comprised of:

- The first 8 digits from the grantee ID (the 2-digit Federal region and the 6-digit DIRWITH identifier);
- 3-digit sequence numbers.

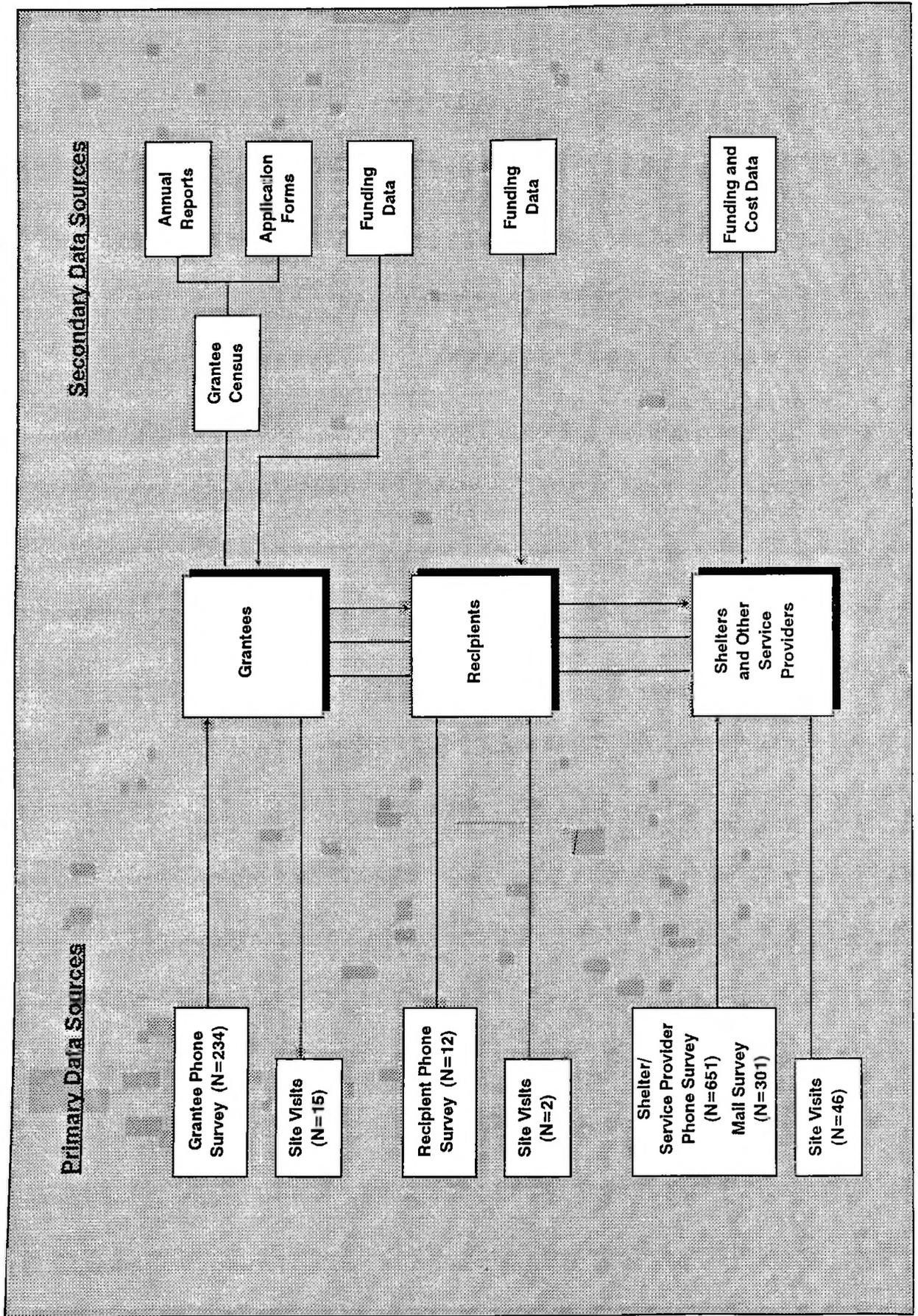
The **shelter/services provider ID** is comprised of:

- The first 8 digits from the grantee ID;
- A 3-digit sequence number.

Data Base Structure

Exhibit B.27 provides a picture of the overall evaluation data base. It shows the primary and secondary data sources that feed into the grantee, recipient, and shelter/service provider files. It also indicates the hierarchical linkages among these files.

Exhibit B.27 ESG Program Data Base Design



B.3.4 Data Processing

All data processing and analysis were performed on IBM AT-compatible microcomputers running under MS-DOS version 3.0 or higher. Once the data were entered and cleaned, SAS system files were created for the grantee census and each of the surveys. All final analysis files were converted to SPSS before they are transmitted to HUD, in keeping with PD&R specifications. The secondary data were also transformed from PARADOX files into SAS files for analysis and then to DBase and Lotus files for transmittal to HUD.

While the database was being built, file descriptions of each data file identifying the contents of the file in terms of the name, position, source, and characteristics of each data item in the file were created. All variables, including the constructed analysis variables, were labelled and all categorical values formatted (defining the range of values and the associated definition for each valid code for the categorical data item) as part of the building of the database. This created a data dictionary which was available to all analysis staff members and ultimately to HUD. Hardcopy versions (and machine-readable versions) of the file descriptions and the data dictionary was also produced.

Typically, during the course of analysis, several analysts worked on different research questions simultaneously and defined and computed their own variables for use in particular analyses. However, all variable construction was centralized under the control of the project programmer, thus ensuring only one version of the complete database, consistency in the definitions of all derived variables, and complete and thorough documentation.

Database Submission to HUD

At the conclusion of the ESG Program evaluation, the database was submitted to HUD following PD&R specifications as requested in the Scope of Work. All files and related documentation were provided on 5.25-inch double-sided, high-density write-protected floppy diskettes for IBM-compatible micro-computers. Documentation was provided in hard-copy.