



# DRAFT Fifth Program Year CAPER

The CPMP 2014 Consolidated Annual Performance and Evaluation Report includes Narrative Responses to CAPER questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning

Regulations. The Executive Summary narratives are optional.

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

## GENERAL

**GRANTEE: City of Appleton**  
**CON PLAN PERIOD: 2010 to 2014**

### Executive Summary (92.220(b))

***The Executive Summary is required. Provide a brief overview that includes major initiatives and highlights how activities undertaken during this program year addressed strategic plan objectives and areas of high priority identified in the consolidated plan.***

#### **PY 2014 Action Plan Executive Summary:**

The City of Appleton continually dedicates itself to meeting the needs of our community and enhancing the quality of life through emphasis on maintaining various urban amenities, such as reasonable costs of living, high levels of job availability and vibrant neighborhoods. The primary goal of the City's Community Development Block Grant (CDBG) Program is the development of a viable urban community through provision of decent housing, suitable living environments and economic opportunities, namely for low and moderate income persons. Although the rehabilitation of affordable housing has traditionally been the largest single use of CDBG funds in Appleton, the program also assists agencies in providing services and improving public facilities for lower income populations.

The City of Appleton CDBG entitlement award for the 2014 program year, spanning April 1, 2014 to March 31, 2015, was \$525,200. Requests for funding totaled \$645,900; approximately \$1.23 for every dollar available to distribute. Our seven CDBG subrecipient programs all addressed priority needs from the Consolidated Plan, while approximately 90 percent of funds benefited the low-moderate income (LMI) population.

Specific accomplishments from the 2014 program year include:

- 4 households received down payment assistance
- 27 low and moderate income (LMI) households had their homes rehabilitated with no-interest loans
- 10 rental units were refurbished for tenants with extremely low and low income
- 202 persons received emergency shelter and services as a result of homelessness
- 118 families facing domestic violence sought shelter and support services

- 334 persons were provided with financial and money management counseling/training
- 24 persons/households participated in homebuyer counseling classes
- 11 persons affected by mental illness received training that will allow them to seek employment
- 12 persons in recovery from alcohol and drug addiction received training and services to help them increase their readiness for employment
- 2 properties were acquired for single-family homes that will be available to low/moderate income households
- 2 public facilities were improved for the use of families in low and moderate income neighborhoods

Appleton's 2014 CDBG funding was focused primarily on housing rehabilitation, but funds were also used for public services, public facilities and administration. Funded projects addressed both strategic plan objectives (decent housing, suitable living environment and expanded economic opportunity) and the high priority needs listed in the Consolidated Plan (see table below).

- Low and moderate income persons were given the opportunity to buy their first home, get new windows and roofs, correct code violations, and live in a safe environment.
- Affordable housing was rehabbed and leased to income qualified households.
- Women and children in abusive situations were provided with counseling and a safe place to stay.
- Financial counseling was provided to those citizens currently homeless and those who want to improve their opportunities for financial security.
- Individuals in recovery for alcohol and drug addiction were given an opportunity to receive job readiness training.
- Individuals affected by mental illness participated in training that allowed them to obtain employment or increase their skills to improve their earning potential.
- Homeless individuals and families were given shelter and education about resources available to them in the community to improve their situation.
- Families were provided the opportunity to own a home and neighborhoods were improved with the addition of new, affordable, green-built homes.
- Neighborhood facilities were improved and made safer for the enjoyment of families living in low and moderate income areas.

## HIGH PRIORITY COMMUNITY DEVELOPMENT NEEDS (2010-2014)

### Community Development:

- Public Facilities & Improvements
  - Neighborhood Facilities/Improvements
  - Senior Centers
  - Homeless Facilities
  - Youth Centers
  - Parks & Recreational Facilities
- Public Services
  - Health/Safety
  - Persons with Special Needs
  - Children/Youth
  - Financial Literacy
- Economic Development
  - Small Business Development
  - Small Business Expansion
  - Job Creation
  - Commercial Corridor Development
- Other
  - Neighborhood-Focused Revitalization (including needs listed in various categories)
  - Fair Housing Services
  - CDBG Administration

### Homeless:

- Affordable Housing (including permanent supportive housing and transitional housing)
- Rent Payment and Security Deposit Assistance
- Supportive Services (basic needs, healthcare, employment, childcare, transportation, etc.)

### Housing:

- Renter households with:
  - household income less than 50% of the median family income (MFI)
  - cost burden greater than 30% of their monthly income
- Owner households with:
  - household income less than 80% of the median family income (MFI)
  - cost burden greater than 30% of their monthly income
  - homes that do not meet building code, energy, accessibility, or lead paint standards
- First-time homebuyers with:
  - household income between 50% to 80% of the median family income (MFI)
  - inability to purchase a home

### Non-Homeless/Special:

- Housing and supportive services for:
  - Elderly
  - Frail elderly
  - Severely mentally ill
  - Physically disabled
  - Developmentally disabled
  - Alcohol/other drug addicted (AODA)

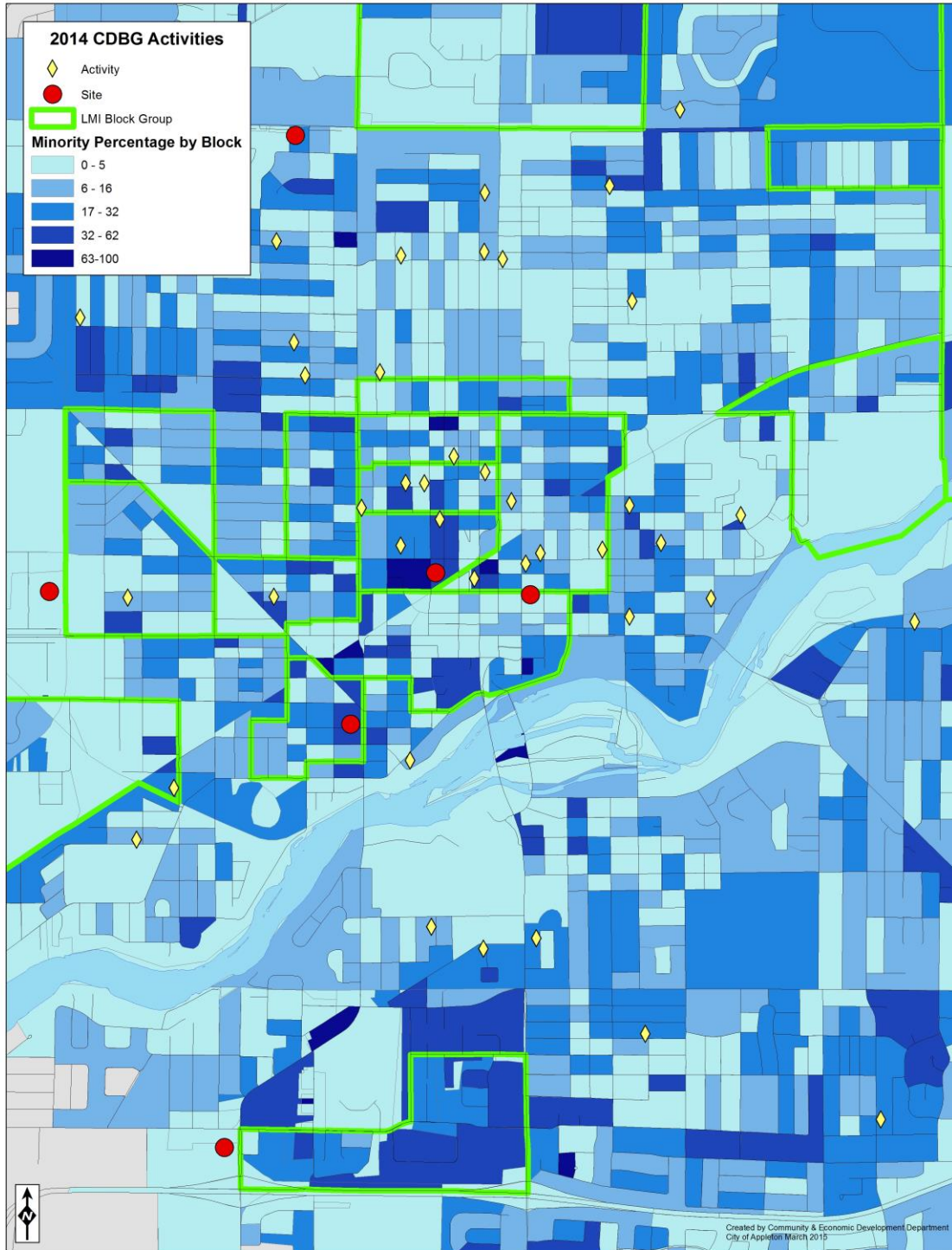
## Summary of Resources and Distribution of Funds

**1) Provide a description of the geographic distribution and location of investment (including areas of low-income and minority concentration).**

***You are encouraged to include maps in this description. Specifying census tracts where expenditures were concentrated and the percentage of funds expended in NRSAs or local target areas may satisfy this requirement***

**PY 2014 CAPER #1 response:**

The following map depicts the location of 2014 CDBG-funded activities. "Site" represents locations where these projects originate, while "Activity" represents locations where CDBG-funded projects occurred (i.e. housing rehabilitation). LMI Block Groups are outlined and Blocks are shaded according to minority percentages.



## General CAPER Narratives:

### 2) Assessment of Three to Five Year Goals and Objectives

- a) Describe the accomplishments in attaining the goals and objectives for the reporting period.
- b) Provide a breakdown of the CPD formula grant funds spent on grant activities for each goal and objective.

*\*If not using the CPMP Tool: Use Table 2A, 2B, 3B, 1C, 2C, 3A*

*\*If using the CPMP Tool: Use Needs Tables, Annual Housing Completion Goals, Summary of Specific Annual Objectives. (Use of these tables is sufficient, additional narrative is not required.)*

The Needs, Annual Housing Completion Goals and Summary of Specific Annual Objectives tables were utilized to answer questions 2a) and 2b).

- c) If applicable, explain why progress was not made towards meeting the goals and objectives.

#### **PY 2014 CAPER General Questions #2c response:**

Areas in which progress was not made toward meeting goals and objectives was due to circumstances beyond the City's control. Community partners that may have applied in the past and have provided services that would help meet the goals and objectives set in 2010 did not apply for CDBG funds during the following years as anticipated. The administrative burden outweighed the benefit of receiving grant funds for some of the non-profit organizations that have previously applied for CDBG funding.

### 3) Affirmatively Furthering Fair Housing

- a) Provide a summary of impediments to fair housing choice.

#### **PY 2014 CAPER General Questions #3a response:**

The City of Appleton is committed to furthering fair housing opportunities for its residents. In order to demonstrate this commitment, the City contracts annually with a qualified organization to provide various fair housing services. For the 2014 Program Year, the City awarded this contract to the Metropolitan Milwaukee Fair Housing Council (MMFHC) and their affiliate Fair Housing Center of Northeast Wisconsin (FHCNW). The organization was specifically asked to provide outreach, education, enforcement and investigation services related to fair housing.

In the City's Analysis of Impediments (AI), last updated in 2013, the following impediments were identified:

1. Flawed Fair Housing Ordinance
  - Lacks clarification of persons protected under the ordinance
  - Limited protection for persons with disabilities
  - Lacks protections for gender identity and gender expression
  - Penalties for violations of the Law are substantially lower than those under either Federal or State Fair Housing Laws
  - Issuance of fines requires the act of discrimination be willful
  - The scope of a civil action is unclear



- Whether victims of illegal housing discrimination can obtain compensatory or punitive damages is unclear
  - Lack of clarity in prohibiting discrimination in the homeowners insurance industry
  - Prohibition against discriminatory advertising is limited and restrictive
  - Some provisions are limiting and burdensome to a complainant and may be a disincentive to file complaints with the City
2. Need for Accurate Assessment of Affordable and Accessible Housing Supply
    - There is no data available which quantifies the supply of accessible housing in Appleton
  3. Inadequate Affordable Housing Supply Relative to Residents' Income
    - The Appleton Housing Authority has a list of 1,300 families waiting for rent assistance vouchers
  4. Restriction of Group Homes, Community Based Residential Facilities and Community Living Arrangements
    - City Zoning Code specifies the total capacity of CLAs within any aldermanic district may not exceed one percent of the total population of that aldermanic district

Moreover, County, State and Federal housing policies that contribute to fair housing impediments in Appleton included:

1. Transit Needs
  - Precarious federal and local funding and the structure of funding through municipal property taxes are not adequate to sustain an effective transit system
2. Lack of Section 8 Housing Choice Voucher Availability to meet Affordable Housing Need
  - The current level of funding for the Section 8 program impedes local communities' ability to assist their population in finding quality affordable housing
3. Lack of Resources/Incentives for Developers to Build for the Lowest Income Households
  - Federal resources for the development of affordable housing have lagged far behind the demand

Finally, private market impediments present in the City of Appleton include:

1. Inadequate Production of Affordable Housing
  - Monetary incentives to produce affordable housing are lacking
2. Mortgage Lending
  - Discrimination based on the race of the loan seeker or on the racial composition of the neighborhood where the home being purchased is located impedes home seekers from obtaining financing to purchase a home
3. Homeowners Insurance
  - Insurance is a requirement for a home mortgage and discrimination in the insurance industry is reflected in the disparity in racial and ethnic homeownership rates
4. Housing Sales and Rental Market
  - Discrimination based on disability remains the major form of discrimination in the housing market in Appleton, based on complaints received by MMFHC since 2003

***b) Identify actions taken to overcome effects of impediments identified in the jurisdiction's Analysis of Impediments.***

**PY 2014 CAPER General Questions #3b response:**

In 2014, MMFHC/FHCNW utilized \$22,000 in CDBG funding to undertake the following tasks that addressed private market impediments and provided enforcement alternatives to Appleton's fair housing ordinance:

632 outreach/education contacts were made to the general public, civic organizations, social service agencies and governmental staff. FHCNW staff disseminates a wide variety of information about fair housing laws, the nature and prevalence of illegal housing discriminations and the services available to community members through the City's contract. Examples of entities contacted in 2014 include:

- Fox Valley Warming Shelter
- Fox Valley Technical College – Minority Student Service Center
- B.A.B.E.S., Inc., Respite & Counseling Services
- Fox Valley Literacy Council
- World Relief Fox Valley (Appleton location)
- Riverview Gardens
- Appleton Area School District
- Salvation Army Fox Cities
- City of Appleton Community and Economic Development
- Housing Partnership of the Fox Cities
- Fox Valley Apartment Association

Three fair housing presentations were offered by MMFHC/FHCNW staff. These presentations reached approximately 43 audience members and were located at the Outagamie County Aging and Disability Resource Center in April, Ryan Community, Inc in April and at B.A.B.E.S., Inc. in October. FHCNW staff did conduct three additional presentations reaching 57 persons in the City of Appleton during this program year; however, they were supported by a different grant.

Presentations covered the following topics:

- purposes and provisions of local, state and federal fair housing laws
- contemporary forms of illegal discrimination in the housing market
- remedies available to people who have experienced illegal housing discrimination
- "red flags" that may indicate the presence of illegal housing discrimination
- how complaints of illegal discrimination are investigated

Audience members received printed educational materials and staff was available for follow up inquiries.

Four collaborative rental management trainings were held as part of a joint effort between the Cities of Appleton, Oshkosh and Neenah. One training session each was held in Oshkosh and Neenah and two were held in Appleton during the contract period. A training session is an educational event held for owners and managers of rental property. The trainings covered in-depth information about local, state and federal fair housing laws; how to make reasonable accommodations and modifications for tenants with disabilities;

advertising rental units in compliance with fair housing laws; non-discriminatory negotiation with prospective tenants, and much more. Attendees learned how to implement fair housing practices at every stage of a housing transaction, from advertising and showing available units to terminating tenancies. Because these trainings are provided free of charge to attendees, they attract audience members who may not otherwise have access to high-quality fair housing information and the expertise of fair housing professionals.

Training #1 was held at Neenah City Hall on April 30, 2014, and 24 persons attended. Training #2 was held at the Oshkosh Senior Center on September 23, 2014, and 16 persons attended. Training #3 was held at Appleton Public Library on October 9, 2014, with 24 persons attending. Training #4 was held at the City of Appleton Police Department on January 16, 2015, and 44 persons attended.

16 occasions of technical assistance were administered for City of Appleton residents, housing providers and social service agencies. Specific sessions of technical assistance addressed the following topics:

- Reasonable accommodations for persons with disabilities
- Application criteria for the housing choice program as it pertains to fair housing laws
- Unrelated households as it pertains to fair housing laws
- Rental criteria as it pertains to fair housing laws
- Implications of termination of tenancy in a transitional living program
- Termination of tenancy as it pertains to fair housing laws
- Reasonable accommodations related to service animals for persons with disabilities
- Accessibility for persons with a disability
- Fair housing protections for victims of domestic abuse
- Fair housing law and the protected classes
- Tenancy of criminal sexual offenders as pertaining to fair housing
- Arrest and conviction records as pertaining to fair housing

13 local "interagency" meetings were attended by a FHCNW staff person who was able to offer a fair housing perspective on various issues. These meetings included:

- Casa Hispana's Hispanic Interagency (1)
- Fox Cities Housing Coalition (9)
- Hmong American Partnership (3)

In addition, the Fair Housing Council also received six complaints for the Appleton area during the 2014 program year. None of these complaints were referred to HUD, the WI Equal Rights Division or a local agency. All complaints are summarized below:

Month	Gender	Race	Income Level	# in Family	Protected Class
September	Female	White	Extremely Low	1	Disability
November	Female	White	Very Low	4	Disability
January	Male	White	Extremely Low	1	Disability
February	Female	Hispanic	Very Low	1	Family Status



Month	Gender	Race	Income Level	# in Family	Protected Class
February	Female	White	Extremely Low	1	Disability
March	Female	White	N/A	2	Family Status

Finally, the following 2014 tasks addressed specific impediments as described below:

- Impediment: Lack of Equal Opportunity in the Mortgage Lending Market

FISC provided education to low-income individuals and families about the pitfalls of predatory financial practices. They provided information on how to avoid predatory practices and gave them alternatives to high cost financial practices including housing counseling and education services and helped them establish a banking relationship with area banks or credit unions.

- Impediment: Shortage of Affordable Housing, Inadequate Accessible Housing Supply

Although this project is not funded by CDBG dollars, it does address two impediments. Woolen Mills Lofts is a WHEDA tax credit project that was awarded just over \$600,000 in 2015. The development proposes 60 units of housing that will be located on the Fox River in a historic building. 15 of the units will be reserved for veterans, 36 for moderate-income workforce households and nine units will be market rate. Services will be provided for the veterans housed here by the Supportive Services for Veteran Families Program.

The City of Appleton’s Municipal Code, which contains an article related to fair housing, was amended and the changes addressed many of the impediments listed in the newest AI (listed under question 3a above). The impediments and how they were addressed through the amendment are as follows:

**Flawed Fair Housing Ordinance**

- Lacks clarification of persons protected under the ordinance  
*The new ordinance lists and defines 13 protected classes within the first two sections*
- Limited protection for persons with disabilities  
*The ordinance specifically states that reasonable modifications may be made if necessary to afford a disabled person full enjoyment of the property*
- Lacks protections for gender identity and gender expression  
*Gender identity and expression are included in the list of protected classes which is printed under the first section of the Fair Housing article of the City’s municipal code*
- Penalties for violations of the Law are substantially lower than those under either Federal or State Fair Housing Laws  
*Penalties issued by the City for violations of the Article are the same as those in place under the Wisconsin Open Housing Law*
- Issuance of fines requires the act of discrimination be willful  
*The word “willful” was removed from the article*
- The scope of a civil action is unclear  
*A provision was added to the Article that states “...an aggrieved person may commence a civil action in any court of competent jurisdiction to obtain appropriate relief with respect to violations set forth in this Article.”*

- Whether victims of illegal housing discrimination can obtain compensatory or punitive damages is unclear  
*Language was added that stated the aggrieved person may receive punitive and compensatory awards*
- Lack of clarity in prohibiting discrimination in the homeowners insurance industry  
*Discrimination in the procurement of property owner's insurance is specifically called out in the amended Article*
- Prohibition against discriminatory advertising is limited and restrictive  
*The amendment expanded the prohibition of discriminatory advertising to include all facets of housing practices*
- Some provisions are limiting and burdensome to a complainant and may be a disincentive to file complaints with the City  
*The requirement for a complainant to verify a statement upon oath or before a notary was removed from the Article and the statute of limitations to file a complaint was changed from 300 days to 365 days, which makes the City's requirements consistent with state or federal regulations.*

#### **4) Address Obstacles to Meeting Underserved Needs**

***Identify actions taken to address obstacles to meeting underserved needs.***

##### **PY 2014 CAPER General Questions #4 response:**

Underserved needs of the community are reflected in the list of high-priority needs from the Five-Year Consolidated Plan which are listed in the table found on page 3.

A few of the ways in which organizations that received CDBG funding this year addressed obstacles to meeting underserved needs include:

Harbor House encountered challenges in finding affordable housing for its clients, resulting in increased average length of shelter stay. The Economic Advocacy Program focused on helping clients obtain employment and remove barriers to employment such as lack of childcare and transportation, which in turn increased the housing options for clients. If the reason for request for shelter was something other than domestic abuse, people were referred to more appropriate programs.

STEP Industries saw an increase in the number of persons with opiate/heroin addictions. The aftermath of these drugs includes cognitive challenges, in addition to the typical employment challenges someone early in recovery experiences. STEP initiated a Recovery Coach position to help address these challenges and offer supportive services to this group of individuals.

With the increase of shelter capacity rising from 50 to 60, Fox Valley Warming Shelter increased the number of staff persons on duty during the peak hours of 5 pm-10 pm. The shelter also purchased brochure racks and bulletin boards to more effectively promote the understanding of and access to vital community resources.

A homeowner had a number of urgent house repairs that could not be funded by one program alone. Rebuilding Together Fox Valley and the City's Homeowner Rehabilitation Loan Program partnered to take on this project, making the house livable and allowing this elderly homeowner to remain in her home.

## **5) Foster and Maintain Affordable Housing**

### ***Identify actions taken to foster and maintain affordable housing.***

#### **PY 2014 CAPER General Questions #5 response:**

Actions taken to foster and maintain affordable housing in 2014 are listed below by agency.

- Appleton Housing Authority (AHA). The homebuyer program allows program participants to purchase and improve homes in the Appleton that may otherwise be purchased by investors and converted to rental properties. An increase in the number of owner occupied homes can result residents becoming more invested in the well-being of their neighbors as well as the surrounding neighborhood.
- City of Appleton Homeowner Rehabilitation Loan Program (HRLP). The HRLP operates under the notion that offering assistance to low-income homeowners for necessary maintenance to their homes will ultimately allow the house to remain affordable. This mission is accomplished by providing low-income Appleton residents with no-interest, deferred loans for rehabilitation of their owner-occupied home. Care is taken in determining the necessity of repairs and the amount of the loans so the homeowners don't use all their equity. In 2014, many of the properties renovated had been neglected for years so that the result of the rehabilitation was noticeable and made a tremendous impact on the neighborhood. This kind of impact may inspire other homeowners to make repairs, resulting in a widespread neighborhood improvement.
- Housing Partnership of the Fox Cities. The Housing Partnership continued to maintain and improve more than 96 housing units reserved for low-income households and available to them at no more than 30% of their gross monthly income.
- Rebuilding Together Fox Valley (RTFV). RTFV serves primarily elderly and handicapped homeowners. Clients served this year had accessibility and health issues that had they not been addressed, would have forced them to leave their homes or continue to live in an unsafe environment.
- Greater Fox Cities Area Habitat for Humanity. Since Habitat holds the mortgage for the homes it builds or rehabilitates, the monthly mortgage payment that is established is always affordable for the family, never exceeding 23% of the family's income. Habitat also has first right of refusal so that if a family wishes to sell, Habitat has the option of purchasing the home and giving another low-income family the opportunity to become a homeowner.

## **6) Leveraging Resources**

### ***a) Identify progress in obtaining "other" public and private resources to address needs.***

**PY 2014 CAPER General Questions #6a response:**

Several resources beyond CDBG and other HUD funding were utilized to assist subrecipient agencies in implementing their 2014 programming. The City of Appleton will give preference to CDBG applicant agencies that are well established and can demonstrate both a commitment to and success in achieving additional funding for their programs.

Rebuilding Together Fox Valley has two annual fundraising events that contribute a large amount to their budget (\$150,000-\$200,000). They also ask corporations to sponsor individual building projects, which totals \$300,000 in support every year.

The Housing Partnership of the Fox Cities uses its monthly rental income to fund their affordable housing programs. Besides the funding received from the State of Wisconsin, a variety of foundations, corporations and individual donors also contribute to their budget.

STEP Industries is 95% self-supported through the revenue generated by their co-packing services. They experienced growth in their current customer based with new projects for Sturm Enterprises, Clearwater Paper, Great Northern Company and Pacon. Sources of other private grants included: JJ Keller Foundation, U.S. Venture, Green Bay Packers Foundation and WE Energies Foundation.

Sustainable Fox Valley utilized partnerships with the East Central Wisconsin Regional Planning Commission, Appleton Area School District and a private business, Landscape Associates to design and renovate the playground at Columbus Elementary School.

***b) Describe how Federal resources from HUD leveraged other public and private resources.***

**PY 2014 CAPER General Questions #6b response:**

The following list illustrates the type of additional resources – in addition to CDBG funds – used to assist CDBG-funded agencies carry out their programming.

- Federal Resources:
  - Emergency Solutions Grant (ESG)
  - Federal Home Loan Bank
  - Homeless Prevention Program (HPP)
  - HUD HOME Program → passed through the State of WI
  - It Takes a Village
  - Projects for Assistance in the Transition from Homelessness (PATH)
  - Permanent Housing Program
  - Self-help Homeownership Opportunity Program (SHOP)
  - Rapid Rehousing Program
  - SI/SSDI Outreach, Access & Recovery (SOAR)
  - Transitional Housing Program (THP)
- State/Local Resources:
  - Outagamie County
  - WI Housing Cost Reduction Initiative (HCRI)
  - Wisconsin Investment Grant
  - State Shelter Subsidy Grants (SSSG)
- Private Resources:

- Affinity Health Systems
- Bemis
- Goodwill
- Green Bay Packers Foundation
- Home Depot Foundation
- JJ Keller
- Kimberly-Clark Corporation Foundation
- Menasha Packaging
- Plexus
- Secura Insurance
- St. Vincent DePaul Society
- Thrivent Financial
- United Way of the Fox Cities
- United Way New London
- U.S. Venture
- WE Energies Foundation
- Wells Fargo
- Other Resources:
  - Churches
  - Fundraising Events
  - In-Kind Donations
  - Individual Contributions
  - Volunteer Hours

***c) Describe how matching requirements were satisfied.***

**PY 2014 CAPER General Questions #6c response:**

Because the City of Appleton receives only CDBG funds as an Entitlement Community, matching requirements are not relevant.

**7) Citizen Participation**

***a) Provide a summary of citizen comments.***

***\*Please note that Citizen Comments and Responses may be included as additional files within the CPMP Tool.***

**PY 2014 CAPER Citizen Participation #7a response:**

Citizens are provided with two separate opportunities for public comment on this CAPER: a 30-day public comment period and a public hearing at a regular meeting of the Community and Economic Development Committee (CEDC). The public comment period is May 11-June 9 and the public hearing at CEDC will be held June 10<sup>th</sup>. All comments will be included in the final submission of this report.

***b) Describe how consideration was given to comments or views of citizens, received in writing or orally at public hearings, in preparing the CAPER.***

**PY 2014 CAPER Citizen Participation #7b response:**

Comments and views of citizens are taken into consideration by including them within the CAPER and any comments received before the public hearing held on June 10<sup>th</sup> at the CEDC meeting will be included in a memo attached to the meeting agenda. Comments and views are accepted before the final report is submitted to HUD so that any part of the report that may be affected can be altered.

## **8) Institutional Structure**

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

### **PY 2014 CAPER Institutional Structure #8 response:**

Public institutions, non-profit organizations and private companies comprise the institutional structure that supports Appleton's community development activities. In general, the City of Appleton, as the major public sector component, serves as the lead fiscal and administrative agent for all community development grant programs, including the Community Development Block Grant (CDBG) Program, Continuum of Care/Supportive Housing Program (COC/SHP), and the Emergency Shelter Grant/Transitional Housing Program/Homeless Prevention Program (ESG/THP/HPP). The Community and Economic Development and Finance Departments work together to administer the CDBG grant. The Finance Department acts as a pass through agent for the remainder of the grants listed above.

The following list outlines the major players within Appleton's institutional structure by sector.

1. City of Appleton Departments/Programs
  - a. Community and Economic Development Department
  - b. Finance Department
  - c. Parks & Recreation Department
2. Other Public Sector
  - a. Appleton Housing Authority
  - b. Outagamie County Housing Authority
  - c. Outagamie County Department of Health & Human Services
3. Other Funders
  - a. United Way of the Fox Cities
  - b. Community Foundation for the Fox Valley Region
  - c. J.J. Keller Foundation
  - d. U.S. Venture/Schmidt Family Foundation
4. Private Sector
  - a. Churches
  - b. Contractors for housing/commercial rehabilitation
  - c. Companies that provide grants, services, discounts, donations, in-kind services, etc.

Gaps within the institutional structure rarely occur as the City of Appleton – lead fiscal agent – continues to encourage open lines of communication and discussion regarding community development needs in the area. Regular discussions with public, non-profit and private entity representatives allow for coordination of efforts.

The Housing Coordinator from the Community and Economic Development Department has been chosen to represent the City at Fox Cities Housing Coalition meetings. The Coalition includes over 25 agencies that meet monthly with a mission "to ensure that all people in the Fox Cities have decent affordable housing." See Attachment A for a diagram of the Fox Cities Housing Coalition's COC, including roles of member agencies.



Other specific examples of how 2014 subrecipients worked to overcome gaps and enhance coordination with other community agencies include:

- Appleton Housing Authority – Homebuyer Program. AHA partnered with Secura Insurance for their Employer Assisted Homeownership Program. They also worked closely with the lenders in the area to reduce fees associated with the home purchase process and have negotiated reduced cost inspections, closing and mortgage products. Participants in their program have benefitted from a no PMI, 30 year mortgage.
- Harbor House. The Economic Advocacy Program enhances coordination between COTS, the Housing Partnership of the Fox Cities and Harbor House. Most of the female clients served by COTS and the HPFC are either former residents of Harbor House or have domestic violence issues. The Economic Advocate works across the three agencies to assist clients with finding and maintaining employment.
- Fox Cities Housing Coalition (FCHC). The FCHC (of which several subrecipients are members) has been working in collaboration with the Balance of the State Continuum of Care to create a common intake form. It has recently been finalized and put into action. When individuals come to any of the housing organizations (Homeless Connections (formerly Emergency Shelter of the Fox Cities), Fox Valley Warming Shelter, COTS, Harbor House, etc.), the same form will be used so the most appropriate services will be recommended for the individual. The Balance of State Continuum of Care has also implemented a VI SPDAT (Vulnerability Index & Service Prioritization Decision Assistance Tool) form which gives the individuals a score based on their needs. This allows everyone in the Coalition to have the same information when evaluating the needs of an individual.
- Emergency Shelter of the Fox Valley. Clients that enter the system through ESFV’s Street Outreach Program are offered shelter at either ESFV or at the Fox Valley Warming Shelter. Many of those individuals that enter the system through the Street Outreach Program are averse to accessing these shelters. To provide a safe, comfortable living environment and some sense of immediate stabilization, ESFV will pursue openings with one of the transitional shelters or housing providers or pay for the client to stay in a hotel/motel until the client can be housed in permanent housing. Some of the organizations ESFV works with to provide housing include:
  - Fox Valley Warming Shelter
  - Community Outreach Temporary Services (COTS)
  - Salvation Army Transitional Housing
  - Appleton Housing Authority
  - Outagamie County Housing Authority
  - Housing Partnership of the Fox Cities
  - Ryan Community – It Takes a Village
  - Calumet, Outagamie and Winnebago County Residential Care
  - Fox Valley Apartment Association Network

**9) Monitoring**

***a) Describe actions taken to monitor the jurisdiction's performance in meeting objectives and outcomes set forth in its strategic plan.***

**PY 2014 CAPER Monitoring #9a response:**

The first step in assuring CDBG funds are utilized to meet the objectives and outcomes set forth in Appleton's Consolidated Plan is taken with the review of applications. In 2014, applications were reviewed first by Community and Economic Development Department staff, and then a board of various City Council, City Committee and community members with experience in awarding grants and knowledge of community needs. From there the funding recommendations were sent to the Community and Economic Development Committee for review, then ultimately to City Council for final approval.

Throughout this process, two of the most discussed aspects of the applications were: 1) What products/services were going to be realized and 2) Was this the highest and best use of these funds. The return on investment is a factor that is highly scrutinized. Meeting high priority needs and objectives as identified in the Consolidated Plan is the second question on the application and the High Priority Needs table from the Consolidated Plan was included with each application. This emphasized, to both applicants and reviewers, the importance the City places on focusing on these community-identified needs.

During the program year, accomplishment reports and payment requests were used to track activities, expenditures and record keeping. Sufficient documentation, reasonable expenses as well as qualifying activities were evaluated by these means. Lack of documentation, activity or expenditures, are all triggers for some kind of communication with the subrecipient. A subrecipient's overall performance is examined when they apply the next program cycle and that score helps reviewers evaluate the activities and how well those activities fill the communities' needs.

***b) Describe how and the frequency with which you monitored your activities, including subrecipients (including sponsors or administering agents).***

**PY 2014 CAPER Monitoring #9b response:**

Staff undertook these tasks to monitor 2014 subrecipient activities:

- *Review of Support Documentation:* Subrecipients are required to include support documentation (i.e. invoices, time sheets) with each of their requests for reimbursement; support documentation is reviewed thoroughly and a checklist completed with every request to ensure compliance with CDBG regulations.
- *Review of Quarterly Reports:* Subrecipients are required to submit quarterly program progress reports addressing outputs, demographic data, and program funding specifics, as well as HUD-defined Performance Measures & Indicators. Staff reviews these reports and shares the information gleaned from the reports with the Community and Economic Development Committee every quarter.

- *Review of Financial Audits:* CDBG subrecipients are required to submit copies of year-end financial audits; these are reviewed for compliance with both HUD regulations and subrecipient agreements.
- *Involvement in the Fox Cities Housing Coalition:* Participation by the City of Appleton's Housing Coordinator in the Coalition allows the City to keep abreast of activities carried out by CDBG-funded agencies.
- *Review of progress in spending down allocation:* When each quarterly report is due, subrecipients' progress in spending down their allocation is examined. If there is a question, City staff contacts each agency and discusses their situation. Due to the small number of subrecipients Appleton normally has, this method of monitoring has proven to be the most efficient and successful in ensuring funds are being used in a timely manner.

***c) Describe the results of your monitoring including any improvements made as a result.***

**PY 2014 CAPER Monitoring #9c response:**

Communication between staff and subrecipients is very important and the method by which staff has chosen to monitor progress is through phone calls and emails. Follow ups to payment requests and quarterly reports were most often the key to opening discussions about activities being funded and the progress being made in spending down funds. The lack of payment requests from any subrecipient was a trigger for staff to make contact with that subrecipient. Due to the relatively small number of subrecipients and the fact that many subrecipients are quite knowledgeable about CDBG regulations and have received funds in the past, staff can easily maintain oversight of their progress or lack of activity and keep communication lines open for any issues that may arise.

***d) Describe actions taken to ensure compliance with program requirements, including requirements involving the timeliness of expenditures.***

**PY 2014 CAPER Monitoring #9d response:**

Actions taken to insure compliance with program requirements, including requirements involving the timeliness of expenditures include:

1. At the beginning of the 2014 Program Year, staff met with new subrecipients to discuss requirements of the CDBG Program. Documentation required to accompany payment requests and data regarding accomplishments to be reported in IDIS were explained along with the importance of using the funds in a timely manner.
2. Subrecipients each sign a contract that details program requirements, i.e. services provided, payment request process, reporting accomplishments and client data, termination conditions, availability of records for examination, procurement and other Federal regulations that must be followed.
3. Payment requests and supporting documentation is reviewed by staff before payment authorization.
4. Communication is initiated by City staff if there has not been any activity by the subrecipient for an extended length of time, or the end of the program year is

approaching and there is a substantial amount of their award allocation left to be expended.

5. Reports to the Community and Economic Development Committee are done quarterly, where Council members or the public may pose questions regarding CDBG activities and expenditures.

6. Staff from the Finance Department has the responsibility of entering payment requests into IDIS. This creates a "checks and balances" situation that may prevent errors or noncompliance issues.

***e) Describe steps/actions taken to ensure long-term compliance with housing codes, including any actions or on-site inspections undertaken during the program year.***

**PY 2014 CAPER Monitoring #9e response:**

At least two inspections are completed during the course of a project in the Homeowner Rehabilitation Loan Program. The first inspection is an evaluation of the property as a whole, so in addition to identifying lead hazards, any code violations or unsafe living conditions are noted. After a project is complete, another inspection is done to ensure all lead hazards and code violations have been addressed. If a permit is required for plumbing, electrical or heating work, a City Inspector will also need to look at the completed work. The Appleton Housing Authority also performs a HQS inspection prior to purchase of a home. Any identified hazards are addressed during rehabilitation.

***f) What is the status of your grant programs?***

***i) Are any activities or strategies falling behind schedule?***

***ii) Are grant disbursements timely?***

***iii) Do actual expenditures differ from letter of credit disbursements?***

**PY 2014 CAPER Monitoring #9f response:**

i) The Neighborhood Program has been in flux for the past few years. Staff changes and changes in the scope of the program have delayed expenditure of the award. However, at the end of the 2014 program year, a project that will use a large share of their allocation was approved by City Council and will commence this summer. Also, since there was a delay in the release of funding to entitlement communities, subrecipients did not sign their contracts with the City until the sixth month of the program year. Some subrecipients were wary of beginning projects without having a solid idea of when funds would be available for reimbursement.

ii) There has been a delay in payment disbursements for some activities. All subrecipients that had funds remaining at the end of the 2014 Program Year were contacted and asked to explain why their allocations had not been expended. They were also asked to provide a timeline in which they expected to spend the CDBG funds they had been awarded. Disbursements for other activities have been completed in a timely manner.

iii) Actual expenditures do not differ from letter of credit disbursements.

## 10) **Antipoverty Strategy**

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

### **PY 2014 CAPER Antipoverty Strategy #10 response:**

The July 2014 Point-in-Time Survey identified 312 homeless persons in the Fox Valley on that single day. This only begins to illustrate the great number of persons who live in poverty and are thus unable to establish self-sufficiency. To address the needs of persons living in poverty, the City of Appleton used 2014 CDBG dollars to help support anti-poverty activity with these subrecipients:

- Appleton Housing Authority provides a mechanism for breaking the poverty cycle through its affordable homeownership program for low-income persons. Obtaining a mortgage and home for many lower income families provides some stability with a lower cost of living and community investment. The lower cost of homeownership has made this a dream come true for many residents of Appleton.
- Emergency Shelter of the Fox Valley provides residents with on-site financial literacy training, life skills training, parenting training, tenant education, GED/HSED Education, and mental health/AODA counseling, in addition to vocational case management. These services help build the basic skills that allow one to leave a life of poverty.
- FISC increases financial literacy through counseling, education and workshops by partnering with area agencies and organizations. Educating clients about the wise use of credit, securing and maintaining affordable housing and how to deal with creditors empowers them to get on the path to financial stability.
- Habitat for Humanity helps families break the cycle of poverty by giving them an opportunity to build equity through homeownership. In addition, families are provided supportive services including job coaching, assistance in accessing further education and budget counseling. Through these services Habitat is able to help people move out of poverty.
- Harbor House added the position of Economic Advocate to work with their clients to improve their ability to get and maintain employment. The position is a collaboration between Harbor House, COTS and the Housing Partnership of the Fox Cities, as most of the women living in those programs have been residents of Harbor House. If victims of domestic violence are able to maintain a living wage they are less apt to return to an abusive partner.
- Housing Partnership of the Fox Cities provides safe, decent and affordable housing to help households in poverty create a more stable life and have access to resources like education, help with budgeting, job searches, etc. Using these resources increase their self-sufficiency and increase the chances that they will no longer be living below the poverty level.
- NAMI Fox Valley provides training to individuals affected by mental illness to help them become capable of obtaining and maintaining secure, living wage jobs. Some graduates of the program go on to obtain certification as a Certified Peer Specialist (CPS) which enables them to be embedded in other

community agencies as part of a supportive services team. A CPS is someone who is living well with mental illness and serves as a support person others living with mental illness.

- *STEP Industries* provides employment and supportive services to individuals in recovery from alcohol/drug addiction. These men and women are earning a wage at the same time as receiving much needed job skills and life skills training. Two important pieces to someone transitioning from being homeless or living in poverty to being economically independent are provided by holding a job. In addition to having the potential to become self-sufficient, earning a wage also plays a major role in one's self-esteem and self-confidence. Increasing these are integral in believing in oneself which leads to hope and self-determination.

### **Self-Evaluation**

- 11) Provide an evaluation of accomplishments. This evaluation must include a comparison of the proposed versus actual outcomes of each outcome measure submitted with the strategic plan and explain, if applicable, why progress was not made toward meeting goals and objectives.**

*\*If not using the CPMP Tool: Use Table 1C, 2C, 3A*

*\*If using the CPMP Tool: Use Summary of Specific Annual Objectives.*

*(The following IDIS Reports will be reviewed to determine satisfaction of this requirement: PR03, PR06, PR23, PR80, PR81, PR82, PR83, PR84, PR85)*

**Consider the following when providing this self-evaluation:**

- a) Describe the effect programs had in solving neighborhood and community problems.**
  - b) Describe the progress made in meeting priority needs and specific objectives.**
  - c) Describe how activities and strategies made an impact on identified needs.**
  - d) Identify indicators that best describe the results of activities during the reporting period.**
  - e) Identify barriers that had a negative impact on fulfilling the strategic and overall vision.**
- 12) Identify whether major goals are on target and discuss reasons for those that are not on target.**
- 13) Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.**

#### **PY 2014 CAPER Self-Evaluation # 11, 12, 13 response:**

11) In 2014, progress was made on each goal as listed in the Consolidated Plan.

Goal 1: Improve Appleton's Housing

- The greatest amount of CDBG funds were dedicated to this goal and as a result, 43 households received assistance to improve their homes. The most prevalent repair/update this year was the installation of new windows. This repair saves the homeowner money in terms of heating and/or cooling costs,



- and although the homes are not certified Energy Star homes, the City's Homeowner Rehabilitation Loan Program only authorizes the purchase of energy star rated windows. Other repairs included foundation repairs, roofs and siding, furnace and water heater replacement. All improvements work toward making housing in Appleton decent, safe and sanitary.
- The Appleton Housing Authority's Homebuyer Program assisted four first time homebuyers with down payments. As a result of mortgage loan underwriting becoming stricter, it has become difficult for some clients to obtain financing. For the short term, this may also force clients to stay in higher cost rental housing. The combination of group and individualized financial education requirements offers an LMI family an important opportunity to move toward financial stability as well as the achievement of being a homeowner. Participants of the program are purchasing homes that may otherwise be bought by investors and become rental units. One of the four homebuyers assisted this year was a single mother who qualified for the program and was able to purchase a HUD foreclosed home. The home was in need of significant rehabilitation, including lead hazard remediation, and with the use of many sources of funding, the home was revitalized and made safe for a low income family.
  - The City of Appleton Homeowner Rehabilitation Loan Program assisted 23 homeowners with much-needed home repairs done at affordable prices. These repairs maintain property values, eliminate slum and blight and stabilize neighborhoods. An example of this program's value is in the story of a homeowner whose home had structural problems resulting from foundation issues. The City's program worked with Rebuilding Together Fox Valley to address all of the problems in the home so that it is safe and she can continue to live there long-term. In addition, volunteers from RTFV will return to the property after work is complete to do landscaping work.
  - Habitat for Humanity purchased two lots in the city and the construction of affordable homes for two low income families in is progress. These families will be moving from substandard or subsidized housing which allows other families to move up the Continuum of Care.
  - The Housing Partnership of the Fox Cities rehabbed nine units of affordable rental housing. Many of the households served were previously homeless or had a severe housing cost burden. Offering these families a place to live where 30% of their income pays for their housing, allows them to pay off debt that may include past due utility bills or previous rental debt, which in turn may help to eliminate their poor rental history.

Goal 2: Strengthen Community Services/Facilities

- STEP Industries applied for and received CDBG funds for the first time in 2014. STEP provides employment and supportive services to individuals in recovery from alcohol/drug addiction. STEP added two new services this year. STEP saw an increase in the number of men and women in recovery from opiate/heroin addictions. The aftermath of these drugs causes cognitive challenges in addition to the typical employment challenges someone early in recovery can experience. STEP initiated a Recovery Coach position to help address these challenges and offer additional supportive services to this group of men and women. STEP also opened a Vocational Training Center within its facility. In 2014, 60% of their participants didn't have high school diplomas. The computer lab within the Training Center can be used to help people study and prepare for an HSED test. It is also being utilized for soft

skills training, online job searches, Microsoft Word certification and mock interviewing.

- Harbor House Domestic Abuse Program used their award to pay the salaries of client advocates. This facility served 118 families utilizing CDBG funds. It is the only domestic abuse shelter serving Appleton residents. Victims of domestic violence are considered homeless, therefore the provision of a safe place to stay along with counseling services are essential. This program allows them to make plans and connections with community services to help them move forward. An example of the program working is Sheila, a mother of six children. Her husband used his religious beliefs to establish his role as head of the family and right to control Sheila and use physical abuse when not obeyed. Sheila had home schooled her children for the past ten years. Over a two-year period, Sheila made contact with Harbor House through the crisis line and met with an advocate to discuss the abuse happening in their home and worked through the decision to leave or stay. Sheila left her husband and when his behaviors became more threatening, Sheila fled to Harbor House with her children. Sheila filed for divorce and Harbor House staff accompanied her to court for the restraining order and divorce hearings so she wouldn't be alone. She worked with the Economic Advocate at Harbor House who provided support as she wrote a resume and applied for jobs and eventually found a job that would support her and her children. When the restraining order was in effect she returned to the house that had been awarded to her in the divorce proceedings. Sheila started classes at Fox Valley Technical College to update her skills and was upgraded from a part-time to full-time employee. Her children transitioned to public school and continued to receive support from the Children's Advocate at Harbor House to help them process their feelings about the abuse they witnessed and transition into visits with their father. Sheila continues to contact Harbor House for emotional support, resources and advice as the family moves into a safer way of life.
- NAMI Fox Valley applied and received CDBG funds for the first time in 2014. They used the funding for staff to teach the Consumers as Providers (CAP) program which trains individuals living with mental illness to serve in a variety of settings by obtaining state certifications as Certified Peer Specialists (CPS). CPS can obtain and maintain secure, living wage jobs, using their life experience as a powerful and impactful tool. A CPS can be embedded in other community agencies as part of a supportive services team. Of the 11 graduates of the program this year, all are employed and 10 of the 11 jobs are newly created. 9 of the graduates passed the state exam to become a CPS. The value of the program is illustrated in the example of a man in his mid-thirties that was primarily isolated; he kept to himself in his apartment and did not drive. After completing the course he obtained employment, got a driver's license, now has a girlfriend and is actively involved in NAMI's speakers bureau.

### Goal 3: Revitalize Selected Target Areas

- Sustainable Fox Valley was awarded funds for revitalization of a school playground in an LMI neighborhood. The playground was a flat asphalt slab. The CDBG funds awarded were used to create green space in its place. This was phase one of a project that will continue to improve the playground for an elementary school located in a LMI neighborhood.
- The City of Appleton's Facilities, Parks & Recreation Department used CDBG funds to improve a city park located in an LMI neighborhood. Arbutus Park is

situated in a ravine, and has in the past been the location of crime activity. Funds were used to upgrade the lighting in hopes of discouraging illegal activity. Also, because it is located in a ravine, the stairway to enter the south side of the park is essential and with the CDBG funds the stairway was built with sustainable materials and lighting along the stairway was improved.

Goal 4: Improve Appleton's Economy

- The City's Neighborhood Revitalization Program was the main proponent of activities related to this goal, but the City has retooled and renamed this program to focus primarily on the residential aspects of revitalization. Improving Appleton's economy was listed as one of the lowest priorities in the current Consolidated Plan, but if projects proposed within the new Neighborhood Program address economic initiatives, those projects would certainly be considered.

Goal 5: Plan and Administer Programs Effectively

- The City contracted with Metropolitan Milwaukee Fair Housing Council (MMFHC) for fair housing services. Details about the services provided by MMFHC can be found under #3b above.
- Funds for administration of the CDBG grant supported a portion of the salary paid to Finance Department staff responsible for the financial administration portion of the program. Funds also paid for any CDBG training expenses for Community and Economic Development Department staff.

12) Most major goals set at the beginning of the 2014 Program Year finished on target. The Neighborhood Program will be expending a large portion of their award during the summer and fall of 2015. This program is new and proposals from registered neighborhoods have started to be submitted more frequently. Due to the delay in HUD issuing contracts for the 2014 Program Year, subrecipients were not able to request funds until six months of the 2014 year has passed. Some recipients were not comfortable commencing work on projects without having a signed contract; therefore their projects were not complete by the end of the program year. Staff has contacted those subrecipients and is confident 2014 funds will be expended within the next few months.

13) Implementation of the Neighborhood Program will assist the City in moving forward with the goal of revitalizing LMI neighborhoods.

## HOUSING

### **Affordable Housing**

**14) Evaluate progress in meeting its specific affordable housing objectives, including:**

- a) Comparison of proposed numeric goals (from the strategic plan and annual plan) with the actual number of extremely low-income, low-income, and moderate-income renter and owner households assisted during the reporting period.**

**\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)**

***\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.***

**PY 2014 CAPER Affordable Housing #14a response:**

Proposed versus Actual:

<b>CDBG ACTIVITY</b>	<b># OF UNITS</b>	
	<b>Proposed</b>	<b>Actual</b>
<b>Rental Housing Goals</b>		
<i>Rehabilitation of existing units:</i>	11	10
<b>Owner Housing Goals</b>		
<i>Production of new units:</i>	2	2
<i>Rehabilitation of existing units:</i>	32	27
<i>Homebuyer Assistance</i>	4	4
<b>Annual Affordable Housing Goals - ALL</b>		
Annual Rental Housing Goal	11	10
Annual Owner Housing Goal	38	33
<b>TOTAL:</b>	<b>49</b>	<b>43</b>
<b>Housing Goals by Population Served</b>		
<i>Special Needs:</i>	0	1
<b>TOTAL:</b>	<b>0</b>	<b>1</b>

<b>CDBG ACTIVITY</b>	<b>INCOME</b>		
	<b>0-30</b>	<b>30-50</b>	<b>50-80</b>
<b>Rental Housing</b>			
<i>Rehabilitation of existing units:</i>	6	4	0
<b>Owner Housing</b>			
<i>Production of new units:</i>	0	0	2
<i>Rehabilitation of existing units:</i>	2	3	22
<i>Homebuyer Assistance</i>	0	0	4
<b>Annual Affordable Housing</b>			
Annual Rental Housing	6	4	0
Annual Owner Housing	2	3	26
<b>TOTAL:</b>	<b>8</b>	<b>7</b>	<b>28</b>
<b>Housing by Population Served</b>			
<i>Special Needs:</i>	0	1	0
<b>TOTAL:</b>	<b>0</b>	<b>1</b>	<b>0</b>

***b) Report the number of households served meeting the Section 215 requirements of affordable housing (essentially meeting the definitions in 24 CFR 92.252 and 92.254 for renters and owners, respectively).***

***\*If not using the CPMP Tool: Use Table 3A***

***\*If using the CPMP Tool: Annual Housing Completion Goals***

***(Use of this table is sufficient no additional narrative is required)***

The Annual Housing Completion Goals table was utilized to answer this question.

***c) Describe efforts to address worst case needs (defined as low-income renters with severe cost burden, in substandard housing, or involuntarily displaced).***

**PY 2014 CAPER Affordable Housing #14c response:**

In 2014, nine rental units were rehabbed by Housing Partnership of the Fox Cities (HPFC). Five of these units were occupied by households defined as low income, while four units were occupied by extremely low income households.

Emergency Shelter of the Fox Valley, Warming Shelter of the Fox Valley and Harbor House connect their clients to the various housing resources in the community that can accommodate their income limitations. Two of those housing resources, Appleton Housing Authority and Housing Partnership of the Fox Cities also received CDBG funds.

***d) Description of efforts to address the accessibility needs of persons with disabilities.***

**PY 2014 CAPER Affordable Housing #14d response:**

Two of Appleton's CDBG subrecipients dealt indirectly with addressing the housing needs of persons with disabilities while one program works specifically with persons having accessibility needs. These programs included:

- Appleton Housing Authority – Homebuyer Program. Whenever a household with a person with a physical disability purchases a home, modifications are included in the repairs to provide accessibility, safety, and independence.
- Homeowner Rehabilitation Loan Program. When someone has accessibility needs, they are first referred to another program that specializes in that need. If they cannot be helped through one of those programs, the Homeowner Rehabilitation Loan Program addresses those issues as part of the rehabilitation work.
- Rebuilding Together Fox Valley prioritizes rehabilitation work on homes owned by low income elderly and disabled persons. Improving accessibility for those with mobility issues due to age or disability allows homeowners to remain safely in their own homes instead of having to enter a nursing home or other care facility.

## ***Public Housing Strategy***

***15) Describe actions taken during the last year to improve public housing and resident initiatives.***

**PY 2014 CAPER Public Housing #15 response:**

While the City of Appleton works closely with the Appleton Housing Authority to address issues related to public housing, no portion of the 2014 CDBG funds were directly used to create or address needs of public housing.

Public Housing Resident Initiatives:

The Appleton Housing Authority and the City of Appleton have entered into an agreement for the services of a public health nurse who performs work as the Service Coordinator for Oneida Heights, a 159 unit public housing senior high rise. These services include linking residents to a wide variety of resources to maintain long term independent living. This rather unique partnership provides independent living enhancement and the highest quality of life for the residents. The Service Coordinator utilizes her public health background paying great detail to the medical needs of the residents and links services/resources that are at times, life saving measures.

In addition, the City of Appleton implements a Crime Free Housing program, in which the Appleton Housing Authority participates to the greatest extent possible. The public housing units have been visibly assessed by the Police Department and tools implemented to maintain visible deterrents for crime. The AHA is also an active participant in the Appleton Police Department's annual landlord crime free housing initiative training. This collaboration provides residents a safer place to live.

Public Housing Capital Improvement:

The Appleton Housing Authority (AHA) aggressively plans and implements capital improvement projects to maintain the long-term viability of its public housing stock ensuring that each public housing resident lives in a decent, safe and sanitary environment. The City of Appleton works cooperatively with the AHA on code definitions/building permits and inspections.

***Barriers to Affordable Housing***

***16) Describe actions taken during the last year to eliminate barriers to affordable housing.***

***PY 2014 CAPER Barriers to Affordable Housing #16 response:***

The East Central Wisconsin Regional Planning Commission (ECWRPC) and Appleton Housing Authority worked together to identify consistent barriers to affordable housing, which include:

- *Political Barriers:* those that result from public opposition, lack of awareness, disinterest in quality of life issues or inadequate resources
- *Regulatory Barriers:* legal barriers to affordable housing that exist in zoning, subdivision, health/safety codes, and environmental codes.
- *Economic Barriers:* monetary barriers, including the costs associated with project development, maintenance and management.

Several recommendations for improvement of affordable housing were clearly identified in ECWRPC's publication, *Overcoming Barriers to Affordable Housing in the East Central Region*. Along with building upon these recommendations, the City of Appleton continues to address barriers to affordable housing through its grant making, policymaking, collaborative grant applications, funding and involvement in the Fox Cities Housing Coalition, of which the City is a member. Housing Coalition



member agencies regularly offer events and/or initiatives that address barriers within the existing housing network.

Some of Appleton's CDBG subrecipients worked to eliminate barriers to affordable housing. These specifically included:

- *Appleton Housing Authority – Homebuyer Program.* This program works closely with the banks in the area to reduce fees associated with the home purchase process and has negotiated reduced cost inspections, closings and mortgage products. Participants in our program benefit from a no PMI, 30 year mortgage as well as significantly reduced closing cost with Evans Title. This reduces the cost of homeownership.
- *City of Appleton Homeowner Rehabilitation Loan Program.* This program helps property owners maintain their homes so that they can continue to live in a home that is affordable to them. Many homeowners have their home paid for or have a low mortgage. With rents always increasing, for many people, homeownership is a better option for long-term affordability.
- *Emergency Shelter of the Fox Cities.* Case management plans for shelter clients incorporate strategies for assisting the person in gaining meaningful employment which leads to steady income that will eventually help the client achieve affordable housing. The client's plan may also require the case manager to provide housing advocacy and placement services that help the individual or family secure affordable housing.
- *FISC.* Struggling families are routinely victimized by unethical practices of mortgage modification, debt settlement, payday loan brokers, check cashing operations and commercial tax preparers. Educating extremely low-income individuals and families about the pitfalls of predatory financial practices is critical. FISC provides information on how to avoid predatory practices and link low-income individuals and families with alternatives to high cost financial practices. This includes providing free housing counseling and education services and helping them establish a banking relationship with area banks or credit unions through the "Get Checking" program.
- *Greater Fox Cities Habitat for Humanity.* Habitat is an equal housing opportunity program that reaches out to people of all populations. Marketing efforts encompass a wide spectrum of outreach to people who have faced barriers to housing. The program provides all families that meet the guidelines with the opportunity to own their own homes. Homes remain affordable for as long as the family stays in the home. Since Habitat for Humanity holds the mortgage, a monthly mortgage payment, including property taxes and insurance, does not ever exceed 23% of the family's income. In addition, Habitat has a right of first refusal on every property built to allow them to purchase the home if the family wants to sell. The house would then be made available for another low-income qualified family.
- *Housing Partnership of the Fox Cities.* The intake process for housing applicants helps to eliminate barriers such as having poor rental history or an eviction record. Applicants are able to access our affordable housing units by receiving help with paying down landlord and utility debt, putting together

income verification and having family size used as a determining factor in calculating the monthly rent.

- *Rebuilding Together Fox Valley.* RTFV works to preserve and revitalize homes and communities, assuring that low-income homeowners, specifically seniors, and those with disabilities, can continue to live in warmth, safety and independence. One of their top priorities is to improve accessibility for those persons with mobility issues due either to age or disability. By making these changes to homes that the homeowners would not be able to afford, RTFV is allowing these people to stay in their home longer and in a safer manner.

## **Lead-based Paint**

### **17) Describe actions taken during the last year to evaluate and reduce lead-based paint hazards.**

#### **PY 2014 CAPER Lead-based Paint #17 response:**

CDBG funds for the 2014 Program Year were awarded to agencies that provide housing rehabilitation and homeownership renovation assistance. Through these programs, a total of 24 units (all homeowner) had lead based paint hazards reduced in order to achieve successful clearance. Specific subrecipients undertook the following activities:

- *City of Appleton Homeowner Rehabilitation Loan Program.* This no interest, deferred loan program requires that all lead hazards, which are identified in a Risk Assessment, are corrected as part of the rehabilitation process and final clearance tests are performed to ensure the home is lead safe; 23 units were assisted in 2014.
- *Appleton Housing Authority – Homeowner Rehabilitation Program.* A portion of this first-time homebuyer program involves loan assistance for the purpose of eliminating lead-based paint hazards in newly purchased homes. An HQS of each home before purchase identifies lead hazards and a risk assessment may be performed. If lead hazards exist in a home that is purchased, the Program addresses those as part of the rehabilitation component. One of the homes in 2014 required lead hazard remediation.

In January 2014, the Appleton Health Department launched a new lead prevention outreach program to families of children who are six months of age and live in pre-1950 housing. The families receive a letter and brochure informing them about lead paint and its hazards. A follow up phone call is made a few weeks after this letter offering lead prevention education services. Although CDBG funds are not used for this program, the overall goal of the program to create healthy and lead-free housing for Appleton residents contributes to HUD's goal of reducing lead hazards.

## HOMELESS

### **Homeless Needs**

#### **18) Identify actions taken to address needs of homeless persons.**

**PY 2014 CAPER Homeless Needs #18 response:**

Three shelters serve the Appleton area homeless population. The *Emergency Shelter of the Fox Valley* (now known as Homeless Connections) – a 78-bed facility for homeless individuals and families – offers residents a clean, safe environment. Basic necessities, ranging from meals to clothing, along with support services, are provided at no cost to the residents. The supportive services include housing counseling/case management, vocational case management, AODA/mental health counseling, physical healthcare, financial counseling and life skills training. In 2014, the Emergency Shelter received \$15,000 in CDBG funding to assist with paying for a house supervisor salary and for utilities. *Harbor House* – a 44-bed shelter – also provides safe, emergency housing, but specifically for victims of domestic violence. Similar to the Emergency Shelter, residents are provided with counseling, advocacy, information and referrals to other community agencies as part of a comprehensive delivery of services. In 2014, Harbor House received \$19,000 to assist with salaries of their client advocates. The *Fox Valley Warming Shelter* accepts all adult homeless persons unless disruptive or proven to be a danger to themselves or others. The Shelter applied for CDBG funds for the first time in 2014 and received \$10,000 to fund additional staff that is needed to cover the growing number of those using the shelter on a nightly basis.

**19) Identify actions to help homeless persons make the transition to permanent housing and independent living.**

**PY 2014 CAPER Homeless Needs #19 response:**

*The Housing Partnership of the Fox Cities*, an organization that dedicates itself to the development of affordable housing in the Fox Cities, rehabilitates various properties to create affordable housing units for low-income families. Their transitional housing program includes about 20 units (six of which are located at Harbor House) throughout Appleton and neighboring communities, assists formerly homeless families with housing and supportive services over the course of their 18-24 month stay. In 2014, the Housing Partnership utilized its CDBG award to rehabilitate and maintain nine units of existing transitional housing for families. In addition, two other agencies offer transitional housing programs (funded with non-CDBG sources) in Appleton. *Salvation Army of the Fox Cities* provides 26 units for families and individuals, while *COTS* provides 64 units for individuals in transitional shelters. The City of Appleton also acts as fiscal administrator for the Fox Cities Continuum of Care Transitional Housing Program, administering funds for the Housing Partnership of the Fox Cities, Salvation Army and ADVOCAP.

Emergency Shelter of the Fox Valley shared two examples of successful transitions of their clients to permanent supportive housing.

JB has been homeless since 2012 and has experienced multiple crisis interventions including detox and hospitalizations for mental health. When he demonstrated interest in connecting to mental and physical health care, he was provided with these services through the shelter's Street Outreach/PATH Program. A case manager assisted JB in getting back into the shelter and maintaining sobriety. JB's case ended with a successful transition into permanent supportive housing, ongoing mental and physical health care, DVR supports, SSI income and ongoing case management through a housing program.

SR has been a client since 2009 that had been in and out of shelter, often sleeping outside. In the summer of 2014, SR was found sleeping under a bridge and was

assisted with short term housing support through the Street Outreach/PATH Program. When that program was over, he transitioned into shelter where his physical and mental health continued to stabilize due to established care through Outagamie County and Partnership Community Health Center. He was also connected to DVR services and transitioned into permanent supportive housing.

**20) Identify actions taken to implement a continuum of care strategy for the homeless and new Federal resources obtained during the program year, including from the Homeless SuperNOFA.**

***\*If not using the CPMP Tool: Use Table 3B, 1C***

***\*If using the CPMP Tool: Use Needs/Homeless, Needs/Non-Homeless, Annual Housing Completion Goals, Summary of Specific Annual Objectives.***

**PY 2014 CAPER Homeless Needs #20 response:**

At least four of Appleton's 2014 CDBG subrecipient programs dealt with addressing the needs of homeless persons, including activities related to emergency shelter, domestic abuse, transitional housing programs and the opportunity for homeownership. These subrecipient organizations work together, with facilitation from the Fox Cities Housing Coalition (FCHC) of which the City of Appleton is a member, to ensure that a Continuum of Care strategy is executed within the community.

Three organizations receive funding from the Continuum of Care Transitional Housing grant: Housing Partnership of the Fox Cities (HPFC), ADVOCAP and Salvation Army of the Fox Cities. HPFC also receives funding for a Permanent Supportive Housing grant for the Wireworks Project. The City of Appleton provides administrative services for these grants.

The FCHC started a \$75,000 research project in January 2015. It will include a detailed study of the availability of affordable housing in the Fox Cities. 500 interviews, including those who are homeless and those who are no longer in need of assistance, will be conducted. The Coalition will also focus on the "hidden homeless" defined as people with unstable housing situations who haven't sought shelter services.

## **Specific Homeless Prevention Elements**

**21) Identify actions taken to prevent homelessness.**

**PY 2014 CAPER Specific Homeless Prevention #21 response:**

- Harbor House. Part of the work to prevent homelessness is to work to prevent domestic violence. This agency has a Prevention Education component that provides education at the elementary, middle and high school level. Over 10,000 students in the classroom in 2014 were exposed to this education component and our teen drama troupe, Zero Tolerance, continues to provide a peer training component to our prevention education. Harbor House has worked with local men to form "Fox Valley Voices of Men," a group whose mission is "dedicated to changing the attitudes and actions of men and boys that contribute to the abuse of women and girls." In 2014, this group hosted its 5<sup>th</sup> annual awareness breakfast to encourage increased involvement in the work to end men's violence against women. There were approximately 800 men who attended the breakfast. Other components of Voices of Men are a

sub-committee working to train coaches to incorporate anti-violence messages into their coaching sessions and an Advocacy Committee that works to promote positive male role-modeling.

- *Housing Partnership of the Fox Cities.* Homeless people were served in the Transitional Housing Program (THP) in some of the units funded by CDBG dollars. Supportive services offered in the THP include help with budgeting, parenting, job skills, access to health services and transportation.
- *Emergency Shelter of the Fox Valley.* The shelter in conjunction with LEAVEN operates a Homeless Prevention Program that provide limited emergency assistance funding and case management services to those people who are at imminent risk of becoming homeless.

## **Emergency Shelter Grants (ESG)**

### **22) Identify actions to address emergency shelter and transitional housing needs of homeless individuals and families (including significant subpopulations such as those living on the streets).**

#### **PY 2014 CAPER ESG #22 response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.

### **23) Assessment of Relationship of ESG Funds to Goals and Objectives** **a) Evaluate progress made in using ESG funds to address homeless and homeless prevention needs, goals, and specific objectives established in the Consolidated Plan.**

**\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)**

**\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.**

#### **PY 2014 CAPER ESG #23a response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.

### **b) Detail how ESG projects are related to implementation of comprehensive homeless planning strategy, including the number and types of individuals and persons in households served with ESG funds.**

#### **PY 2014 CAPER ESG #23b response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.

**24) Matching Resources**

- a) Provide specific sources and amounts of new funding used to meet match as required by 42 USC 11375(a)(1), including cash resources, grants, and staff salaries, as well as in-kind contributions such as the value of a building or lease, donated materials, or volunteer time.**

**PY 2014 CAPER ESG #24 response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.

**25) State Method of Distribution**

- a) States must describe their method of distribution and how it rated and selected its local government agencies and private nonprofit organizations acting as subrecipients.**

**PY 2014 CAPER ESG #25 response:**

Not applicable to the City of Appleton.

**26) Activity and Beneficiary Data**

- a) Completion of attached Emergency Shelter Grant Program Performance Chart or other reports showing ESG expenditures by type of activity. Also describe any problems in collecting, reporting, and evaluating the reliability of this information.**

**PY 2014 CAPER ESG #26a response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.

**b) Homeless Discharge Coordination**

- i) As part of the government developing and implementing a homeless discharge coordination policy, ESG homeless prevention funds may be used to assist very-low income individuals and families at risk of becoming homeless after being released from publicly funded institutions such as health care facilities, foster care or other youth facilities, or corrections institutions or programs.**
- ii) Explain how your government is instituting a homeless discharge coordination policy, and how ESG homeless prevention funds are being used in this effort.**

**PY 2014 CAPER ESG #26b response:**

While the City of Appleton serves as the lead fiscal and administrative agent for Emergency Shelter Grant (ESG) funding awarded through the State of Wisconsin's competitive grant process, it does not receive ESG funds as an entitlement community.



## NON-HOMELESS SPECIAL NEEDS

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

*\*Refer to the Non-homeless Special Needs Table in the Needs.xls workbook or Table 1C.*

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

**PY 2014 CAPER Non-homeless Special Needs #27 response:**

The priority needs for non-homeless and special needs persons, as identified in the Five-Year Consolidated Plan for Appleton, include housing and supportive services for:

- Elderly
- Frail Elderly
- Severely Mentally Ill
- Developmentally Disabled
- Physically Disabled
- Alcohol/Other Drug Addicted (AODA)

In 2014, one subrecipient worked directly to address non-homeless special needs:

- *Rebuilding Together Fox Valley*, an organization whose mission involves helping elderly and disabled persons remain in their homes, uses CDBG funds to improve accessibility and safety. Examples of past projects include installation of accessible bathrooms, removal of wheelchair hazards and addition of ramps. Three units were rehabbed in 2014 using CDBG funds awarded in previous years. One unit is owned by an elderly, disabled, veteran homeowner. Due to his deteriorating health, his home required modifications to allow him to stay in his home including a wheelchair ramp, bathroom modifications and interior door widening to allow for wheelchair access. Another unit is owned by a homeowner that, due to a health condition, needs to have her home at 65 degrees. In order to maintain this constant temperature, a generator was installed to supplement the home's electrical service. The third unit was owned by an elderly woman who had limited mobility. She needed bathroom modifications in order for her to stay in her home. The windows, which were original to the home built in 1953, were also replaced with funding from a private corporate donor.

Although no other subrecipient specifically works to address the housing needs of the special needs population, oftentimes, subrecipients will work with multiple agencies by referring or collaborating on a project on behalf of those persons with special needs to make sure their needs are met.

## COMMUNITY DEVELOPMENT

### ***Community Development Block Grant***

**28) Assessment of Relationship of CDBG Funds to Goals and Objectives**

**a) Assess use of CDBG funds in relation to the priorities, needs, goals, and specific objectives in the Consolidated Plan, particularly the highest priority activities.**

**\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)**

**\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.**

**PY 2014 CAPER CDBG #28a response:**

The City of Appleton strives to use CDBG funds for those needs identified as most important in the Consolidated Plan. All the agencies funded in 2014 address needs listed on page three of this report.

COMMUNITY DEVELOPMENT – 1) Two public facilities in low/moderate income census tracts were updated; 2) Financial education was provided to over 300 individuals; 3) 118 families fleeing an abusive situation were sheltered; 4) Fair housing services were provided to Appleton residents and landlords; 5) 11 individuals affected by mental illness were provided with training that will help them seek and maintain employment; 6) 12 people in recovery from alcohol/drug addiction received training and supportive services to help them increase their readiness for employment

HOMELESS – Three agencies that provide shelter for the homeless were funded

HOUSING – 40 renters, owners and first-time homebuyers were all assisted with either rehabilitation work or down payment assistance

NON-HOMELESS/SPECIAL – An agency dedicated to helping the elderly and disabled homeowner stay in their homes provided rehabilitation assistance to three homeowners

**b) Evaluate progress made toward meeting goals for providing affordable housing using CDBG funds, including the number and types of households served.**

**\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)**

**\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.**

**PY 2014 CAPER CDBG #28b response:**

Proposed versus Actual:

CDBG ACTIVITY	# OF UNITS	
	Proposed	Actual
<b>Rental Housing Goals</b>		
Rehabilitation of existing units:	11	10
<b>Owner Housing Goals</b>		
Production of new units:	2	2
Rehabilitation of existing units:	32	27
Homebuyer Assistance	4	4
<b>Annual Affordable Housing Goals - ALL</b>		
Annual Rental Housing Goal	11	10
Annual Owner Housing Goal	38	33

<b>TOTAL:</b>	<b>49</b>	<b>43</b>
<b>Housing Goals by Population Served</b>		
<i>Special Needs:</i>	0	1
<b>TOTAL:</b>	<b>0</b>	<b>1</b>

<b>CDBG ACTIVITY</b>	<b>INCOME</b>		
	<b>0-30</b>	<b>30-50</b>	<b>50-80</b>
<b>Rental Housing</b>			
<i>Rehabilitation of existing units:</i>	6	4	0
<b>Owner Housing</b>			
<i>Production of new units:</i>	0	0	2
<i>Rehabilitation of existing units:</i>	2	3	22
<i>Homebuyer Assistance</i>	0	0	4
<b>Annual Affordable Housing</b>			
Annual Rental Housing	6	4	0
Annual Owner Housing	2	3	26
<b>TOTAL:</b>	<b>8</b>	<b>7</b>	<b>28</b>
<b>Housing by Population Served</b>			
<i>Special Needs:</i>	0	1	0
<b>TOTAL:</b>	<b>0</b>	<b>1</b>	<b>0</b>

A large percentage of the City’s CDBG funds expended in 2014 were used toward housing. The tables above show the proposed goals at the beginning of the 2014 program year, the actual number of activities completed, and the income levels of the households that received assistance.

The owner occupied housing activities were close to goal. Appleton Housing Authority (AHA) did not complete the number of rehabilitation activities it had estimated because they received more program income in their revolving loan program than in an average year and per HUD regulations, program income must be expended before grant funds are used. City staff consulted AHA staff at the end of the 2014 program year and was assured that 2014 funds will be used in the first few months of the 2015 program year.

***c) Indicate the extent to which CDBG funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.***

**PY 2014 CAPER CDBG #28c response:**

All of Appleton’s CDBG-funded programs, with the exception of administration activities, benefited low-moderate income (LMI) persons or households. The following table breaks down the income category of households assisted:

<b>2013 SUMMARY OF ACCOMPLISHMENTS BY INCOME CATEGORY</b>						
	Extremely Low (<30%)	Low (30% - 50%)	Moderate (50% - 80%)	Total Low-Mod	Not Low-Mod (>80%)	Total Benefiting
<b>HOUSING – OWNER OCCUPIED</b>						
Households	2	3	28	33	0	33
Percent	6.1%	9.1%	84.8%	100.0%	0.0%	100.0%
<b>HOUSING – RENTAL OCCUPIED</b>						
Households	6	4	0	10	0	10
Percent	60.0%	40.0%	0.0%	100.0%	0.0%	100.0%
<b>HOUSING – TOTAL</b>						
Households	8	7	28	43	0	43
Percent	18.6%	16.3%	65.1%	100.0%	0.0%	100.0%
<b>NON-HOUSING</b>						
Households	625	27	16	668	8	676
Percent	92.5%	4.0%	2.4%	98.8%	1.2%	100.0%
<b>TOTAL</b>						
Households	750	34	44	828	8	836
Percent	89.7%	4.1%	5.1%	99.0%	1.0%	100.0%
*Income categories were defined as follows for Appleton in 2014: -A single person at ≤30% AMI would have earned between \$0 and \$14,950 annually -A single person at >30% and ≤50% AMI would have earned between \$14,950 and \$24,950 annually -A single person at >50% and ≤80% AMI would have earned between \$24,950 and \$39,900 -A household’s income category is based on household size.						

**29) Changes in Program Objectives**

- a) **Identify the nature of and the reasons for any changes in program objectives and how the jurisdiction would change its program as a result of its experiences.**

**PY 2014 CAPER CDBG #29 response:**

No changes in program objectives occurred during the 2014 Program Year. The City does not anticipate making changes in its program.

**30) Assessment of Efforts in Carrying Out Planned Actions**

- a) **Indicate how grantee pursued all resources indicated in the Consolidated Plan.**
- b) **Indicate how grantee provided certifications of consistency in a fair and impartial manner.**
- c) **Indicate how grantee did not hinder Consolidated Plan implementation by action or willful inaction.**

**PY 2014 CAPER CDBG #30 response:**

a) The City of Appleton Finance Department continued to facilitate local programming related to homelessness, affordable housing and other community development-related activity by pursuing several competitive HUD grants, including Emergency Shelter Grant/Transitional Housing Program/Homeless Prevention Program (ESG/THP/HPP) and Continuum of Care/Supportive Housing Program (COC/SHP) funds.

b) The City of Appleton issued certifications of consistency with the Consolidated Plan to any project that worked toward a goal of addressing outlined high priority needs.

c) The City of Appleton used the Consolidated Plan as a guide in both utilizing existing funding sources related to homeless, housing and community development, in addition to the exploration of new funding sources. Part of the evaluation of activities proposed to be funded by CDBG dollars is consideration of how those activities will help meet the high priority needs listed in the Consolidated Plan.

**31) For Funds Not Used for National Objectives**

- a) Indicate how use of CDBG funds did not meet national objectives.**
- b) Indicate how use of CDBG funds did not comply with overall benefit certification.**

**PY 2014 CAPER CDBG #31 response:**

- a) All 2014 CDBG funds spent under the Appleton program met one of the three national objectives.
- b) All CDBG funds were spent on activities that complied with overall benefit certification.

**32) Anti-displacement and Relocation – for activities that involve acquisition, rehabilitation or demolition of occupied real property**

- a) Describe steps actually taken to minimize the amount of displacement resulting from the CDBG-assisted activities.**

**PY 2014 CAPER CDBG #32a response:**

No displacement occurred due to City of Appleton CDBG-assisted activities. Due to the potential liability for long term assistance and burdens placed on affected tenants, the City will avoid funding CDBG projects that involve permanent residential displacement or business relocation unless displacement/relocation prove to be the only means available to correct a public health/safety hazard or other critical condition.

- b) Describe steps taken to identify households, businesses, farms or nonprofit organizations that occupied properties subject to the Uniform Relocation Act or Section 104(d) of the Housing and Community Development Act of 1974, as amended, and whether or not they were displaced, and the nature of their needs and preferences.**

**PY 2014 CAPER CDBG #32b response:**

No displacement occurred due to City of Appleton CDBG-assisted activities.

- c) Describe steps taken to ensure the timely issuance of information notices to displaced households, businesses, farms, or nonprofit organizations.**

**PY 2014 CAPER CDBG #32c response:**

No displacement occurred due to City of Appleton CDBG-assisted activities.

**33) Low/Mod Job Activities – for economic development activities undertaken where jobs were made available but not taken by low- or moderate-income persons**

- a) Describe actions taken by grantee and businesses to ensure first consideration was or will be given to low/mod persons.**

**PY 2014 CAPER CDBG #33a response:**

Appleton did not undertake any activities involving low-moderate income job creation/retention.

- b) List by job title of all the permanent jobs created/retained and those that were made available to low/mod persons.**

**PY 2014 CAPER CDBG #33b response:**

Appleton did not undertake any activities involving low-moderate income job creation/retention.

- c) If any of jobs claimed as being available to low/mod persons require special skill, work experience, or education, provide a description of steps being taken or that will be taken to provide such skills, experience, or education.**

**PY 2014 CAPER CDBG #33c response:**

Appleton did not undertake any activities involving low-moderate income job creation/retention.

**34) Low/Mod Limited Clientele Activities – for activities not falling within one of the categories of presumed limited clientele low and moderate income benefit**

- a) Describe how the nature, location, or other information demonstrates the activities benefit a limited clientele at least 51% of who are low- and moderate-income.**

**PY 2014 CAPER CDBG #34a response:**

Appleton subrecipients who did not serve a presumed benefit clientele maintained thorough income documentation at their agency location and submitted enough documentation with payment requests to satisfy staff that low and moderate income families were being served.

**35) Program income received**

- a) Detail the amount repaid on each float-funded activity.**

**PY 2014 CAPER CDBG #35a response:**

The City of Appleton does not have any float-funded activities.

- b) Detail all other loan repayments broken down by the categories of housing rehabilitation, economic development, or other.**

**PY 2014 CAPER CDBG #35b response:**

Only two programs using CDBG funds produce program income. The City of Appleton's Homeowner Rehabilitation Loan Program (HRLP) and Appleton Housing Authority's (AHA) First Time Homebuyer Program utilize rehabilitation loans to assist low income clients.



Program income from the revolving loan fund associated with HRLP totaled \$221,164.48. All income is recycled through the program for future loans. AHA received \$14,019 in CDBG program income for the First Time Homebuyer Program. Through AHA's contract with the City, AHA is permitted to keep this program income but must recycle it through the Homebuyer Program.

***c) Detail the amount of income received from the sale of property by parcel.***

**PY 2014 CAPER CDBG #35c response:**

No income was received from the sale of property.

- 36) Prior period adjustments – where reimbursement was made this reporting period for expenditures (made in previous reporting periods) that have been disallowed, provide the following information:**
- a) The activity name and number as shown in IDIS;**

**PY 2014 CAPER CDBG #36a response:**

No prior period adjustments occurred in this reporting period.

- b) The program year(s) in which the expenditure(s) for the disallowed activity (ies) was reported;**

**PY 2014 CAPER CDBG #36b response:**

No prior period adjustments occurred in this reporting period.

- c) The amount returned to line-of-credit or program account; and**

**PY 2014 CAPER CDBG #36c response:**

No prior period adjustments occurred in this reporting period.

- d) Total amount to be reimbursed and the time period over which the reimbursement is to be made, if the reimbursement is made with multi-year payments.**

**PY 2014 CAPER CDBG #36d response:**

No prior period adjustments occurred in this reporting period.

**37) *Loans and other receivables***

- a) List the principal balance for each float-funded activity outstanding as of the end of the reporting period and the date(s) by which the funds are expected to be received.**

**PY 2014 CAPER CDBG #37a response:**

There are no outstanding float-funded activities.

- b) List the total number of other loans outstanding and the principal balance owed as of the end of the reporting period.**

**PY 2014 CAPER CDBG #37b response:**

There are no outstanding loans or principal balance owed.

- c) List separately the total number of outstanding loans that are deferred or forgivable, the principal balance owed as of the end of the reporting period, and the terms of the deferral or forgiveness.**

**PY 2014 CAPER CDBG #37c response:**

The total amount of deferred loans for the Homeowner Rehabilitation Loan Program (HRLP) is \$5,963,431. The number of outstanding loans is 421. The terms of the deferral are as follows:

- No interest loan and no monthly payments
- Loan is placed as a lien against the homeowner's property and recorded with the Register of Deeds
- Loan is repaid at the time the home is sold, transferred or leased

The total amount of deferred loans for the Appleton Housing Authority's Homebuyer Program is \$480,224. The number of outstanding loans is 133. The terms of the deferral are as follows:

- No interest loan
- Payment is not required until the property is either sold or is no longer the client's main place of residence

- d) Detail the total number and amount of loans made with CDBG funds that have gone into default and for which the balance was forgiven or written off during the reporting period.**

**PY 2014 CAPER CDBG #37d response:**

Neither the City's Homeowner Rehabilitation Loan Program nor the Appleton Housing Authority's Homebuyer Program had any loans that defaulted during the 2014 program year.

- e) Provide a List of the parcels of property owned by the grantee or its subrecipients that have been acquired or improved using CDBG funds and that are available for sale as of the end of the reporting period.**

**PY 2014 CAPER CDBG #37e response:**

No property owned by the City or any subrecipient is available for sale.

**38) Lump sum agreements**

- a) Provide the name of the financial institution.**

**PY 2014 CAPER CDBG #38a response:**

The City of Appleton did not enter into any lump sum agreements.

- b) Provide the date the funds were deposited.**

**PY 2014 CAPER CDBG #38b response:**

The City of Appleton did not enter into any lump sum agreements.

- c) Provide the date the use of funds commenced.**

**PY 2014 CAPER CDBG #38c response:**

The City of Appleton did not enter into any lump sum agreements.

- d) Provide the percentage of funds disbursed within 180 days of deposit in the institution.**

**PY 2014 CAPER CDBG #38d response:**

The City of Appleton did not enter into any lump sum agreements.

**NEIGHBORHOOD REVITALIZATION STRATEGY AREA (NRSA)**

- 39) Jurisdictions with HUD-approved neighborhood revitalization strategy must describe progress against benchmarks for the program year.**

**PY 2014 CAPER NRSA #39 response:**

The City of Appleton does not have a NRSA.

**HOME/ADDI**

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

**NA**

- 40) Assessment of Relationship of HOME Funds to Goals and Objectives**

- a) Assess the use of HOME funds in relation to the priorities, needs, goals, and specific objectives in the strategic plan, particularly the highest priority activities.**

***\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)***

***\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.***

**PY 2014 CAPER HOME #40a response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

- b) Evaluate progress made toward meeting goals for providing affordable housing using HOME funds, including the number and types of households served.**

***\*If not using the CPMP Tool: Use Table 2A, 3B, 2B, 1C, 2C, 3A)***

***\*If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.***

**PY 2014 CAPER HOME #40b response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

- c) Indicate the extent to which HOME funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.**

**PY 2014 CAPER HOME #40c response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

- 41) HOME Match Report**

a) **Use HOME Match Report HUD-40107-A to report on match contributions for the period covered by the Consolidated Plan program year.**

**42) HOME MBE and WBE Report**

a) **Use Part III of HUD Form 40107 to report contracts and subcontracts with Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs).**

**43) Assessments**

a) **Detail results of on-site inspections of rental housing.**

**PY 2014 CAPER HOME Rental #43a response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

b) **Describe the HOME jurisdiction's affirmative marketing actions.**

**PY 2014 CAPER HOME #43b response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

c) **Describe outreach to minority and women owned businesses.**

**PY 2014 CAPER HOME/ADDI #43c response:**

The City of Appleton did not receive HOME or ADDI funds as an entitlement.

## HOPWA

### Specific HOPWA Objectives

**44) Assessment of Relationship of HOPWA Funds to Goals and Objectives.**

a) **Assess the use of HOPWA funds in relation to the priorities, needs, goals, and specific objectives in the strategic plan, particularly the highest priority activities.**

**\*If not using the CPMP Tool: Use Table 2A, 1C, 2C, 3A)**

**\*If using the CPMP Tool: Use Need/Housings, Summary of Specific Annual Objectives.**

**PY 2014 CAPER Specific HOPWA Objectives #44a response:**

The City of Appleton did not receive HOPWA funds as an entitlement.

b) **Evaluate progress made towards meeting the goals of providing affordable housing using HOPWA funds, including the number and types of households served.**

**\*If not using the CPMP Tool: Use Table 2A, 1C, 2C, 3A)**

**\*If using the CPMP Tool: Use Need/Housings, Summary of Specific Annual Objectives.**

**PY 2014 CAPER Specific HOPWA Objectives #44b response:**

The City of Appleton did not receive HOPWA funds as an entitlement.

To report progress under the general and HOPWA specific requirements, the grantee may integrate the HOPWA elements in their standard CAPER report or establish a HOPWA-specific narrative by completing the following information. IDIS Report PR80 has useful financial and accomplishments information for end of year reporting.

## **HOPWA EXECUTIVE SUMMARY**

- 45) Provide an executive summary (1-3 pages) and a specific objectives narrative which address the following:**
- a) Grantee and Community Overview.**
    - i) A brief description of the grant organization, the area of service, the name of the program contact(s), and a broad overview of the range/type of housing activities, along with information on each sponsor by name, main project site by zip code and related organization information.**
  
  - b) Annual Performance under the Action Plan**
    - i) Report on the actions taken during the year that addressed the special needs of persons who are not homeless but require supportive housing, and assistance for persons who are homeless.**
    - ii) Evaluate the progress in meeting the project's objectives for providing affordable housing, including a comparison of actual outputs and outcomes to proposed goals and progress made on the other planned actions indicated in the strategic and action plans. The evaluation can address any related program adjustments or future plans.**
    - iii) Include any assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.**
    - iv) Report on the use of committed leveraging from other public and private resources that helped to address needs identified in the plan. Report the number of stewardship units of housing which have been created through acquisition, rehabilitation or new construction with any HOPWA funds.**
    - v) Describe any other accomplishments recognized in the community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.**
    - vi) Provide an analysis of the extent to which HOPWA funds were distributed among different categories of housing needs consistent with the geographic distribution plans identified in its approved Strategic Plan.**
  
  - c) Barriers or Trends Overview**
    - i) Describe any barriers (including non-regulatory) encountered, actions in response to barriers, and recommendations for program improvement;**
    - ii) Describe any expected trends facing the community in meeting the needs of persons with HIV/AIDS, and provide any other information important in providing services to persons with HIV/AIDS.**

- iii) Note any evaluations, studies, or other assessments of the HOPWA program available to the public.*
- d) Project Accomplishment Data:*
  - i) Complete and submit CAPER Performance Chart 1 Planned Goals and Chart 2 Actual Performance;*
  - ii) Complete and submit CAPER Performance Chart 3 for Housing Stability Outcomes, HOPWA Outcomes on Access to Care and Support in conjunction with HOPWA-funded Housing assistance, Monthly Household Income in conjunction with HOPWA-funded Housing Assistance, and HOPWA Outcomes on Access to Care and Support not in conjunction with HOPWA-funded Housing Assistance.*

**PY 2014 CAPER HOPWA Executive Summary response:**

The City of Appleton did not receive HOPWA funds as an entitlement.

## OTHER NARRATIVE

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

**PY 2014 CAPER Other Narrative response:**

All information is covered in above narratives.



ATTACHMENT A

