



Third Program Year CAPER (2016)

The CPMP Second 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.

GOALS & OUTCOMES (CR-05)

*Progress the jurisdiction has made in carrying out its strategic plan and its action plan. 91.520(a)
This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year.*

The primary goal of the City of Appleton's CDBG program is to develop a viable urban community through *the provision of decent housing, suitable living environments, and economic opportunities, namely for low- and moderate-income persons*. Although rehabilitation of affordable housing has traditionally been the largest, single use of CDBG funds in Appleton, the program also assisted agencies who provided public services and improved public facilities for lower-income populations.

The City of Appleton CDBG entitlement award for the 2016 program year, operating April 1, 2016, through March 31, 2017, was \$535,325. Requests for funding totaled \$474,375; approximately \$0.89 for every dollar available to distribute. In addition to offering awarded applicants more than they applied for, the City of Appleton reallocated an award that was unable to meet the time constraints for drawing down funds. The resulting 2016 CDBG awarded programs all addressed priority needs from the 2015-2019 Consolidated Plan and approximately 92 percent of the awarded funding benefited low- to moderate-income individuals and families.

The City of Appleton's Homeowner Rehabilitation Loan Program- *provided financial and related technical assistance for low- to moderate-income homeowners in the City of Appleton for the rehabilitation of 13 properties.*

The City of Appleton's Neighborhood Grant Program- *by developing bonds and strengthening communications between City Hall and Appleton neighborhoods, with the ultimate goal of strengthening Appleton's neighborhoods, a local school's playground received significant upgrades serving approximately 836 individuals, including families from surrounding neighborhoods.*

Appleton Housing Authority- *while promoting quality affordable housing for all residents of the City of Appleton, 6 households received rehabilitation assistance, 5 first-time homebuyers received assistance with down payment and closing costs, and 40 households received home-buyer counseling.*

Greater Fox Cities Habitat for Humanity- *provided simple, decent, and affordable housing for three families, who will become homeowners of a newly renovated, green-built home.*

Housing Partnership of the Fox Cities- *while enhancing the dignity and self- sufficiency of families by providing quality, affordable homes and exceptional supportive services a 4-bedroom household was rehabilitated into a rental property, serving a low-income family.*

Metropolitan Milwaukee Fair Housing Council- *promoted fair housing throughout the State of Wisconsin by combating illegal housing discrimination and by creating and maintaining racially and economically integrated housing patterns.*

STEP Industries- *offered hope to 95 City of Appleton recovering alcoholics, chemical dependents and co-dependents by providing vocational and personal growth.*

Homeless Connections- *connected 378 individuals and families to resources that promoted self-sufficiency and prevented future homeless episodes.*

Harbor House- *led a community-wide partnership in the prevention of domestic violence and abuse and offered safety and support to 148 diverse families in crisis.*

LEAVEN, Inc.- *by stabilizing and empowering people in financial crisis through the provision of financial assistance, referrals, and case management to address their near-term and long-term basic needs 72 households on the brink of homelessness received emergency financial payment assistance.*

Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee’s program year goals.

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Acquisition-new housing	Affordable Housing	CDBG: \$	Homeowner Housing Added	Household Housing Unit	15	6	40.00%	4	3	75.00%
Acquisition - new housing	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	0	0		0	0	
Admin	Admin	CDBG: \$	Other	Other	1	0	0.00%			
Homebuyer assistance	Affordable Housing	CDBG: \$	Public service activities for Low/Mod Income Housing Benefit	Households Assisted	80	40	50.00%	40	40	100.00%

Homebuyer assistance	Affordable Housing	CDBG: \$	Direct Financial Assistance to Homebuyers	Households Assisted	40	5	12.50%	4	5	125.00%
Improve & maintain housing stock	Affordable Housing Non-Homeless Special Needs	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	175	54	30.86%	24	13	54.17%
Neighborhood revitalization	Non-Housing Community Develop.	CDBG: \$	Public Facility/ Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	10000	0	0.00%	4000	0	0.00%
Public facilities improvement and maintenance	Non-Housing Community Develop.	CDBG: \$	Public Facility/ Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	900	836	98.89%		836	98.89%
Public services	Homeless Non-Homeless Special Needs Non-Housing Community Develop.	CDBG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	5500	528	9.60%	135	95	70.37%
Public services	Homeless Non-Homeless Special Needs Non-Housing Community Develop.	CDBG: \$	Homeless Person Overnight Shelter	Persons Assisted	0	544		633	371	58.61%
Rental rehabilitation	Affordable Housing	CDBG: \$	Rental units rehabilitated	Household Housing Unit	40	6	15.00%	2	1	50.00%
Rental rehabilitation	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	0	0		0	0	

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

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

The City of Appleton's 2016 CDBG funding was focused primarily on housing rehabilitation- four awarded agencies addressed this category. In addition, funds were allocated to four public service agencies, as well as allocated to public facility improvements and administration. Funded projects addressed both strategic plan objectives- decent housing, suitable living environment, and expanded economic opportunity- and the high priority needs identified in the 2015-2019 Consolidated Plan- housing rehabilitation and accessibility improvements, public services and public facility improvements.

LEAVEN, Inc provided emergency financial assistance to households on the brink of homelessness to ensure their housing stability.

Housing Partnership of the Fox Cities rehabilitated a dilapidated housing unit and is renting it to qualifying low-income family.

The City of Appleton's Neighborhood Grant Program collaborated with a local registered neighborhood and school district to upgrade a playground that serves low- to moderate-income households in the surrounding neighborhoods.

The **Appleton Housing Authority** provided low- and moderate-income households with homebuyer and rehabilitation assistance, which enabled households to buy their first home, correct code violations, and live in a safe environment.

The City of Appleton's Homeowner Rehabilitation Loan Program (HRLP) assisted low- and moderate-income homeowners with the ability to live in decent, safe, and sanitary housing by providing zero-interest loans for rehabilitation needs.

Greater Fox Cities Habitat for Humanity provided homeownership opportunities for low- and moderate-income families after rehabilitating dilapidated, existing residential properties, while also improving neighborhoods with the addition of new, affordable, green-built homes.

STEP Industries provided job skills training, as well as support and mentoring, to individuals in recovery from alcohol and substance abuse.

Homeless Connections provided individuals and families suffering from homelessness with shelter, basic needs, and access to community supportive services to improve their situation.

Harbor House, the only domestic violence shelter serving the City of Appleton, provided women and children in abusive households access to a safe living environment with basic necessities, safety planning, emotional support, counseling, and education.

Areas in which progress was not made toward meeting goals- public facilities improvement and

maintenance- were due to circumstances beyond the City's control. Community partners and nonprofit agencies that have applied in the past, and provided services that met these goals, did not apply for funding for the 2016 program year as anticipated.

RACIAL & ETHNIC COMPOSITION OF FAMILIES ASSISTED (CR-10)

Describe the families assisted (including the racial and ethnic status of families assisted). 91.520(a)

	CDBG
White	364
Black or African American	167
Asian	10
American Indian or American Native	27
Native Hawaiian or Other Pacific Islander	3
Total	571
Hispanic	76
Not Hispanic	495

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

A map has been attached to this report (2016 CDBG LMI) that depicts the location of 2016 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.

RESOURCES & INVESTMENTS (CR-15)

Identify the resources made available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG		1,500,000	184,776

Table 3 – Resources Made Available

All of the 2016PY sub recipients utilized several other funding resources for the successful implementation of their programs. The City of Appleton gives preference to CDBG applicants who can demonstrate well-established budgets utilizing various funding sources for their programs.

The resources directly reflected in this report include: CDBG grant awards and program income generated from the Appleton Housing Authority and the City of Appleton's Homeowner Rehabilitation Loan Program (HRLP).

Identify the geographic distribution and location of investments

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description

Table 4 – Identify the geographic distribution and location of investments

A map has been attached to this report (view 2016 CDBG LMI map, located under CR-10, *Racial and Ethnic Composition of Families Assisted*) that depicts the location of 2016 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.

Leveraging

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

While matching is not a requirement associated with CDBG funding, all of the 2016 CDBG sub recipients utilized several other funding resources for the successful implementation of their programs.

STEP Industries was 85 percent self-sufficient through revenue generated by their co-packing services, accumulating a total of approximately \$890,561. In addition to seeking CDBG dollars, STEP sought support from local community organizations, such as the Community Foundation for Fox Valley Region, Bemis, and the Green Bay Packers, totaling nearly \$55,000 in grants; hosted a United in Recovery fundraiser resulting in nearly \$25,000 in donations; and received individual donations of about \$10,000. STEP's revenue, whether through services or through fundraising, supports its programming.

Funding for **Harbor House Domestic Violence Shelter** was obtained from numerous sources: government (\$26,133) and non-government grants (\$34,579), United Ways (\$34,750), donations (\$137,879), and fundraising events (\$51,197). The Shelter also received significant amounts of in-kind donations, totaling \$188,136, which helped to provide food, personal care items, linens, etc. that benefited the residents and kept the Shelter's operation in budget.

Homeless Connections develops a Strategic Fund Development plan annually, which incorporates specific activities to sustain their vital programs. For 2016, these activities included two major fundraising events, and garnering contributions from United Way Fox Cities (\$149,000), Thrivent Financial (\$100,000), US Venture (\$10,000), and the JJ Keller Foundation (\$50,000).

Housing Partnership of the Fox Cities utilized private funding from individual donors and foundations

(\$100,000) to finance the materials for their rental rehabilitation project, in addition to securing in-kind labor (totaling nearly \$388,800 and over 13,000 hours) through Fox Valley Technical College. The monthly rent paid [based on 30 percent of a household's income] continues to fund Housing Partnership's affordable housing programs.

Habitat for Humanity of the Fox Cities secured approximately \$260,000 in other public and private resources to complete the purchase, construction, and renovation of the housing units. Funding was committed primarily through HUD's SHOP program, local corporations and churches, individual donations, and profits from the Habitat for Humanity ReStore.

Because **LEAVEN's** CDBG allocation only represents about four percent of their total operating budget, their fundraising efforts are continuous. LEAVEN's administration relied heavily on in-kind donations through a team of volunteers writing approximately 80 grant applications, which resulted in funding of nearly \$63,400 in faith-based funds; \$208,000 from various foundations; and \$46,000 from other government funding. Fundraising events held in 2016 resulted in \$11,500 donated by businesses and \$9,600 by various individuals.

The "leverage" for the **Homeowner Rehabilitation Loan Program** was primarily in the form of maintaining the housing stock of the City of Appleton, and increasing the tax base. Although that doesn't directly benefit the program financially, it does increase the quality of life for the participants, the neighborhoods they live in, and the City as a whole. In addition to CDBG funds, the HRLP received CDBG program income (\$167,733), HOME Homeowner program income (\$96,944), and Lead Hazard Control program income (\$7,506) to supplement the rehabilitation program.

Metropolitan Milwaukee Fair Housing Council primarily received funding through the US Department of Housing and Urban Development; however, additional funds were received from the State of Wisconsin (\$1,297) and private foundation funds (\$3,160).

AFFORDABLE HOUSING (CR-20)

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

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	0	0
Number of Non-Homeless households to be provided affordable housing units	119	93
Number of Special-Needs households to be provided affordable housing units	0	0
Total	119	93

Table 5- Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	83	72
Number of households supported through The Production of New Units	2	0
Number of households supported through Rehab of Existing Units	30	17
Number of households supported through Acquisition of Existing Units	4	4
Total	119	93

Table 6 - Number of Households Supported

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

Trending the past several years, release of the 2016 CDBG funds was delayed, and as a result, the expenditure of the award was delayed. This specifically disrupted the activity for sub recipients' affordable housing projects. Additionally, the three agencies that addressed affordable housing projects encountered other causes for delayed and modified goals.

While **Housing Partnership of the Fox Cities** was able to acquire a property for rehabilitation, they were only able to acquire a single family unit. As a result, the anticipated benefit to families served was decreased from multiple families to one.

The **Appleton Housing Authority** was inhibited from utilizing the 2016 funds, in addition to the delayed disbursement, due to receiving significant amounts of program income, and late in the 2016 program year, experiencing program staffing changes.

Habitat for Humanity was able to acquire three of the four units for rehabilitation, but due to market competition has not been able to secure the final property for rehabilitation prior to the program year end.

The **Homeownership Rehabilitation Loan Program** provided technical assistance to 15 homeowners in the City of Appleton, 12 of which received rehabilitation assistance. An additional nine homeowners were assisted with the initial components of the rehabilitation schedule, but were not able to sign contracts by the end of the program year (March 31, 2017). These additional nine projects will be completed and reported on for the 2017 program year.

Discuss how these outcomes will impact future annual action plans.

Because of the shift in the housing market, and the difficult program year sub recipients had in renting or selling their newly rehabilitated affordable homes to qualified households, the City of Appleton intends to focus future CDBG funds on one-time use applications from community agencies- largely including projects that make repairs and necessary modifications to their program's current housing stock and public facilities. Also, the City intends to retain a larger portion of the award for in-house projects and programs.

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

Number of Persons Served	CDBG Actual	HOME Actual
Extremely Low-income	563	0
Low-income	29	0
Moderate-income	16	0
Total	608	0

Table 7 – Number of Persons Served

All of the City of Appleton's CDBG funded programs for the 2016 program year, with the exception of the administrative activities, benefited low- to moderate-income persons and households.

HOMELESS & OTHER SPECIAL NEEDS (CR-25)

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

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

LEAVEN identified individuals experiencing homelessness through their intake process. Once identified, housing is secured for those who can sustain rent and those that cannot are referred to emergency shelter (Fox Valley Warming Shelter, Homeless Connections, or Harbor House based on their specific needs), transitional or supportive housing programs- as appropriate for their situation.

Housing Partnership of the Fox Cities recognized that families have varying housing and supportive service needs, and offered distinct programs to ensure optimal success for participating families, including the transitional housing programs- time limited transitional housing programs with intensive case management; the permanent supportive housing program for families that need longer-term housing and case management support due to financial restraints; the Independent Affordable Housing program for families that need quality affordable housing due to persistent financial constraints; and the It Takes A Village (ITAV) program for rapid housing assistance with extended case management services.

Homeless Connections offered a Shelter Program, which provided safe, temporary shelter for approximately 378 men, women, and children who were experiencing homelessness. Residents were also provided with personal care items and meals to meet their basic needs. Homeless Connections offered their Case Management Program to individuals and families in the Shelter Program. Case managers assessed each individual, and identified barriers to self-sufficiency. Individuals then worked with their case managers to develop a plan with goals to address these barriers and connect to community resources, like workforce development, health care, and housing providers.

Homeless Connections also brought select services in-house to best meet the needs of their clients. These included: financial coaching (through FISC), legal services (through Legal Action), a nurse practitioner and therapist (through Partnership Community Health Center), an economic support specialist (through Outagamie Health and Human Services), and occupational therapy students (through Fox Valley Technical College).

Harbor House provided 24-hour access to safe shelter for victims of domestic violence, including their children. No victim of domestic violence seeking shelter was turned away if eligible. According to performance results, only two percent of victims that sought shelter at Harbor House were considered ineligible. The Shelter's intake process includes a full assessment of immediate physical and emotional needs. Advocates met with the Shelter families to continually assess their needs as their shelter stay continued.

Metropolitan Milwaukee Fair Housing Council (MMFHC) and Fair Housing Council of Northeast Wisconsin (FHCNW) conducted regular outreach services to organizations that serve individuals experiencing homelessness. For example, during the 2016 program year, staff of MMFHC and FHCNW conducted four presentations at Homeless Connections, covering topics such as: purposes and provisions of local, state, and federal fair housing laws; contemporary forms of illegal discrimination in the housing market; "red flags" that may indicate the presence of unlawful discrimination in housing transactions; remedies available to people who have experienced illegal housing discrimination; and how complaints of illegal discrimination are investigated.

Addressing the emergency shelter and transitional housing needs of homeless persons

Housing Partnership of the Fox Cities dedicated itself to the development of affordable housing in the Fox Cities by rehabilitating various properties to benefit low-income families. Their transitional housing program includes 20 units (six of which are located at the local domestic abuse shelter, Harbor House) throughout the City of Appleton and neighboring communities, providing formerly homeless families with housing and supportive services over the course of 18-24 months.

Homeless Connections operated a Street Outreach Program, in collaboration with the local emergency shelter (Fox Valley Warming Shelter), which connected individuals to community resources and housing. This program also assisted individuals who were eligible for Social Security Income with the process. Homeless Connections maintains six affordable housing units for chronically homeless individuals

identified through this program.

The City of Appleton acted as the fiscal administrator for the Fox Cities Continuum of Care Transitional Housing Program, serving as the lead agency and administered funds to Housing Partnership of the Fox Cities, Salvation Army of the Fox Cities, and ADVOCAP. All of these agencies maintain transitional housing units and programs that address needs of individuals and families experiencing homelessness.

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

While all 2016 program year CDBG sub recipients focused their programs and efforts on serving low- and moderate-income families and individuals, four community agencies specifically assisted families and individuals to avoid becoming homeless.

LEAVEN's emergency financial assistance program is intended to help stabilize households in crisis and at risk of homelessness. The assistance is provided to cancel eviction or secure housing- if there is an assurance of the household's ability to sustain housing.

In addition, LEAVEN's High-Risk Prevention Program- a collaboration with **Homeless Connections**- provided financial assistance, referrals and case management to households imminently at risk of homelessness because of the magnitude of their crisis or their chronic inability to meet their own basic needs.

Although not included in the 2016 application, **STEP Industries** offered a resource for those in early recovery to have a new beginning living a clean and healthy lifestyle. While eliminating the use of drugs and alcohol remains the first step in recovery, learning to live a drug and alcohol free life takes more than 28 days of treatment. Studies indicate that the likelihood of maintaining long-term sobriety doubles when coupled with residency in a Sober Living House. STEP offers three Sober Living Houses- two for men and 1 for women- available to individuals leaving treatment who need a safe place to work, live, and socialize.

Without safe and affordable housing options, families experiencing domestic violence are more apt to become homeless or homeless again. **Harbor House** continued to partner with Housing Partnership of the Fox Cities providing six transitional housing units, specifically for those affected by domestic violence. The support received at Harbor House continued once they became a part of the transitional housing program.

Harbor House also offered the Rent Smart curriculum, which helped victims get into housing with

landlords, understand their rights and responsibilities, and ultimately prevent future episodes of homelessness.

Although **Metropolitan Milwaukee Fair Housing Council (MMFHC)** did not provide supportive housing, many of MMFHC's service recipients had disabilities, as unlawful discrimination based on disability is one of the most common forms of discrimination in the housing market. MMFHC provided extensive technical assistance and training on disability-related topics to housing providers.

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

The City of Appleton, collaborated with several CDBG sub recipient organizations, with the facilitation of the Fox Cities Housing Coalition, to ensure that a Continuum of Care strategy was executed appropriately in the community.

Much like the CDBG funds, the City of Appleton served as the lead agency and financial pass through for Continuum of Care transitional housing program grant funding, of which Housing Partnership of the Fox Cities was also a recipient. Housing Partnership offered supportive services that addressed budgeting, parenting, job skills, access to health services and transportation. It is intended that learning these life skill sets will lead to stability and more permanent housing solutions.

Part of the advocacy provided for residents at **Harbor House** included assistance obtaining permanent housing. As a member of the Fox Cities Housing Coalition, Harbor House remained aware of available affordable housing in the community and improved the housing situation for individuals and families experiencing homelessness.

PUBLIC HOUSING (CR-30)

Actions taken to address the needs of public housing

While the City of Appleton worked closely with the Appleton Housing Authority to address issues related to affordable housing, no portion of the 2016 CDBG funds were directly used to create or address needs of their public housing stock.

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

The Appleton Housing Authority's Homebuyer Program markets their program to the Family Self-Sufficiency Program and the Public Housing Family Program. Past and current participants of both programs received home buying counseling throughout 2016. A portion of CDBG funding was allocated toward the Homebuyer Counseling program.

The **Greater Fox Cities Habitat for Humanity** worked very closely with the local housing authorities, including Appleton Housing Authority, to encourage residents to prepare for the next step into homeownership. The case managers from the agencies communicated regularly to help move individuals and families to their next step in the housing journey.

Actions taken to provide assistance to troubled PHAs

The Appleton Housing Authority is not designated as a trouble housing authority.

OTHER ACTIONS (CR-35)

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

The **City of Appleton** worked closely with developers and homeowners that encountered barriers to affordable housing and guided them through any administrative channels they could utilize to overcome the barriers.

The **Appleton Housing Authority** collaborated with East Central Wisconsin Regional Planning Commission to identify consistent barriers to affordable housing, which included political, regulatory, and economic barriers. Often, the down payment assistance administered by the Appleton Housing Authority made mortgage payments affordable for first-time homebuyers. Sometimes, the funds provided by the Housing Authority supplemented a homeowner's down payment to avoid paying PMI. Many times, the affordable houses were in significant need of rehabilitation; the Housing Authority provided rehabilitation funds that were affordable.

Housing Partnership of the Fox Cities' rental intake process for low- to moderate-income housing applicants helped to eliminate barriers to affordable rental housing, such as poor rental history or eviction records. Being a part of the affordable housing rental program, where households only paid a rental amount based on 30 percent of their income, enabled households to lower their debt and stabilize their financial situation.

LEAVEN, Inc. took a more holistic approach to assist their clients need to increase economic security, reduce financial liability, and improve health and stability. LEAVEN's goal is to strengthen outcomes to ensure their clients are transitioning from crisis management to self-sufficiency. LEAVEN eliminated many barriers their clients faced by offering vital services on-site, and developing action plans that addressed both short- and long-term needs.

Although not included in the 2016 application, **STEP Industries** offered a resource for those in early recovery to have a new beginning living a clean and healthy lifestyle. While eliminating the use of drugs and alcohol remains the first step in recovery, learning to live a drug and alcohol free life takes more than 28 days of treatment. Studies indicate that the likelihood of maintaining long-term sobriety doubles when coupled with residency in a Sober Living House. STEP offers three Sober Living Houses- two for men and 1 for women- available to individuals leaving treatment who need a safe place to work, live, and socialize.

The **Greater Fox Cities Habitat for Humanity**, as an equal housing opportunity program, reached out to individuals and families of all populations, providing an opportunity for homeownership, if eligible. The marketing efforts utilized encompassed a wide spectrum of outreach to populations facing barriers to housing.

The **Homeownership Rehabilitation Loan Program** helped property owners maintain their homes so that they could continue to live in the home most affordable to them. Many of these homeowners have satisfied their mortgage, or have a low mortgage payment. With increased rents and an extremely competitive housing market, for most, homeownership is a better option for long-term affordability.

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

STEP Industries took on a more holistic approach in 2016, to better serve the men and women of Appleton who were once mired in addiction and are now striving to create healthier lives. The organization employed eight Life Coaches, who assisted participants to identify and understand the issues that have restrained them from moving forward (i.e. obtaining GED), and have gained knowledge on adverse childhood experiences, trauma-informed care and motivational interviewing. STEP's Vocational Learning Center Coordinator worked closely with the Programming Director to establish goals with participants within weeks of initial employment. All of these components enhanced the services offered through STEP and helped participants achieve self-sufficiency quicker.

Housing Partnership of the Fox Cities continued to improve their more than 116 affordable rental units, reserved for low- to moderate-income households paying no more than 30% of their income, by establishing specific programs with supportive services to specific units- 20 units designated to serve individuals with special needs; 12 units designated to young adults experiencing mental health issues; and six units designated to individuals suffering from chronic homelessness. An additional 20 households were served through a third-party landlord but still received supportive services through Housing Partnership. These 20 units are designated for individuals of the highest need, according to

Coordinated Entry; many suffering with substance abuse and mental health issues.

Finding safe and affordable housing continued to be a significant challenge for **Harbor House** residents and continued to strain Shelters resources, particularly over capacity. Becoming self-sufficient is a key component to finding and maintaining adequate housing for families beyond shelter. Harbor House encouraged 22 percent of Shelter residents to participate in the Economic Advocacy Program- which resulted in 58 percent of those participants obtaining employment that provided a minimum income of \$1,200 per month. The Economic Advocacy Program, implemented in 2013, continued to help clients remove barriers to maintaining employment, such as lack of childcare and transportation.

Maintaining affordability has become a challenge for the City of Appleton community and its organizations. To help address this, **Habitat for Humanity** put a higher emphasis on acquiring blighted homes for rehabilitation. This work can be completed more affordably for the families being served and help improve the properties in the City of Appleton.

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

In all instances of affordable housing rehabilitation projects- including the **Appleton Housing Authority**, **the City of Appleton's Homeowner Rehabilitation Loan Program**, **Habitat for Humanity**, and **Housing Partnership**- the units were inspected under multiple assessments, including lead risk. If lead hazards did exist, the organization was required to address the hazards as part of the rehabilitation, and at project completion, undergo clearance tests to ensure that the unit was lead safe.

Although **LEAVEN, Inc.** is not a direct housing provider, they did require participating third-party landlords to disclose lead-based paint information to households with children so that they are knowledgeable of the harm and risks of lead-based paint.

When **Habitat for Humanity** acquired the three housing units for rehabilitation, they were tested for lead-based paint hazards and if identified, those hazards were mitigated using lead safe practices.

Every home that participated in the **Homeownership Rehabilitation Loan Program** received a Lead Risk Assessment and was inspected for lead hazards. All lead hazards were corrected as part of the rehabilitation process and final clearance tests were performed to ensure that the home was lead safe.

While the City of Appleton Health Department did not utilize CDBG dollars to fund the program in 2016, they administer a Lead Prevention Outreach Program to families in the City of Appleton who have children at least six months of age and are residing in pre-1950 housing.

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

The **Appleton Housing Authority** provided a mechanism for breaking the poverty cycle through its affordable Homeownership Program. Obtaining a mortgage and affordable home for many low- to moderate-income families provides some stability with a lower cost of living and community

investment.

Housing Partnership of the Fox Cities provided safe, decent, and affordable rental housing options to enable households in poverty to create a more stable life and utilize resources in education, budgeting, and employment to increase self-sufficiency.

In addition to the job and soft skills training **STEP Industries** offered, the Vocational Learning Center within STEP collaborated with Fox Valley Technical College to encourage participants to complete their degree or redirect their education, if desired.

Key staff members of **STEP Industries**, in conjunction with approximately 25 other agencies throughout the Fox Valley region, became involved with POINT- an 18-month initiative funded by the Basic Needs Giving Partnership within the Community Foundation for the Fox Valley Region. POINT (Poverty Outcomes and Improvement Network Team) focuses on improving methodologies that are focused on reducing poverty, and then use these processes to strengthen existing reduction efforts, address gaps in services, and measure progress.

LEAVEN, Inc. took a more holistic approach to assist their clients need to increase economic security, reduce financial liability, and improve health and stability. LEAVEN's goal is to strengthen outcomes to ensure their clients are transitioning from crisis management to self-sufficiency. LEAVEN has eliminated many barriers their clients face by offering vital services on-site, and developing action plans that address both short- and long-term needs. In 2016, LEAVEN addressed the needs of 6,487 households, providing \$754,062 in direct financial assistance. In addition, the on-site services provided 91 clients with no-cost financial counseling, gave no-cost legal advice to 117 clients, and met with 275 potential students to assist with the enrollment process.

By focusing more on economic advocacy, a number of **Harbor House Shelter** residents have moved into economic independence. Participating in job skills training opportunities and receiving support after obtaining employment has proven to increase the levels of success. With this stability and the potential of earning a wage above the poverty level, participants are less likely to return to Harbor House once they leave. Nearly 68 percent of individuals who participated in the Economic Advocacy Program reported an increase of income after 30 days.

Habitat for Humanity helped families break the cycle of poverty by giving them an opportunity to build equity through homeownership. In addition, supportive services were provided to all families participating in their programs, including job coaching, assistance furthering education, and budget counseling.

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

Public institutions, non-profit organizations, and private companies comprise the institutional structure that supports the City of Appleton's community development activities. The City of Appleton, as the

major public sector component, served 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 (ETH). The Community and Economic Development and Finance Departments work together to administer these grants.

The following outlines the major components within the City of Appleton's institutional structure by sector.

1. City of Appleton Departments/Programs
 - a. Community and Economic Development Department
 - b. Finance Department
2. Other Public Sector
 - a. Appleton Housing Authority
 - b. Outagamie 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. JJ Keller Foundation
 - d. US 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.

The City of Appleton continued to encourage open lines of communication and discussions regarding community development needs in the area.

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

Throughout the reporting period, **Appleton Housing Authority** worked with the Greater Fox Cities Habitat for Humanity to identify first-time homebuyers in the City of Appleton who would benefit from down payment and closing cost assistance to achieve affordable homeownership.

The **Fox Cities Housing Coalition**, of which several 2016 CDBG sub recipients are members, generated a common intake form utilized by all local housing organizations (Homeless Connections, Fox Valley Warming Shelter, Harbor House), and ensures that individuals receive the most appropriate, necessary services. Further, the Wisconsin Balance of State Continuum of Care requires that all grantees utilize coordinated entry under the most recently implemented VI-SPDAT (Vulnerability Index & Service Prioritization Decision Assistance Tool). This tool scores individuals and families and places them on a

service waiting list based on their needs and risks, and ensures that all City of Appleton supportive services agencies maintain critical information about their clients when providing services and addressing their needs.

Key staff members of **STEP Industries**, in conjunction with approximately 25 other agencies throughout the Fox Valley region, became involved with POINT- an 18-month initiative funded by the Basic Needs Giving Partnership within the Community Foundation for the Fox Valley Region. POINT (Poverty Outcomes and Improvement Network Team) focuses on improving methodologies that are focused on reducing poverty, and then uses these processes to strengthen existing reduction efforts, address gaps in services and measure progress.

Habitat for Humanity has taken a very active role in the Fox Cities Housing Coalition, which helps coordinate efforts among agencies throughout the community. In addition, Habitat for Humanity fully launched a Neighborhood Revitalization program which served very low-income families of owner-occupied housing that was in need of repairs to make their home safe, healthy, and energy-efficient.

Every **Homeownership Rehabilitation Loan Program** applicant was notified of other community programs they would qualify for and that may better serve their needs. For example, homeowners with accessibility needs were referred to other programs that specialize in meeting those needs. In return, other community programs referred clients to the Homeownership Rehabilitation Loan Program when it could better serve their needs.

Through a \$25,000 grant award, the **Metropolitan Milwaukee Fair Housing Council** provided fair housing resources locally through their northeast Wisconsin satellite office, Fair Housing Center of Northeast Wisconsin. Fair housing activities such as outreach and education, complaint intake and investigative services, and technical assistance were provided. During the grant period, 185 community outreach and education contacts to the general public, civic organizations, social services agencies, and government staff were made, providing information about rights and responsibilities under fair housing law, resulting in an increased knowledge of the protected classes under local, state, and federal fair housing law and increased ability to seek appropriate resources for fair housing issues. In addition, 10 instances of technical assistance were provided, including housing providers and social service agencies; nine discrimination complaints were taken and remedied; 20 persons received referrals for non-fair housing issues; five fair housing presentations, serving 70 individuals, were conducted covering topics such as purposes and provisions of fair housing laws, contemporary forms of illegal discrimination in the housing market, remedies available for illegal housing discrimination, and how complaints are investigated; one fair housing training seminar was hosted for rental housing providers covering topics such as reasonable accommodations and modifications for tenants with disabilities, advertising, and non-discriminatory negotiation with prospective tenants; and 136 fair housing education brochures and pamphlets were distributed throughout the community.

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

The following impediments to fair housing were identified through the Metropolitan Milwaukee Fair Housing Council's research and interviews in 2012: 1) limited fair housing ordinance; 2) need for accurate assessment of affordable and accessible housing supply, and 3) inadequate affordable housing supply relative to residents' income.

Impediment #1: Limited Fair Housing Ordinance

Effective September 2013, the City of Appleton's Fair Housing Ordinance was updated to improve the following aspects:

- 1) *Lacks Clarification of Persons Protected Under the Ordinance.* The ordinance was updated identifying the protected classes to include age, color, family status, gender identity and/or gender expression, marital status, national origin/ancestry, race, religion, color, persons with disability, sex, sexual orientation, source of lawful income, and victims of domestic violence, sexual assault, or stalking.
- 2) *Has Limited Protection for Persons with Disabilities.* The ordinance was updated to permit persons with disabilities to make reasonable modifications to existing housing, allow for the provision of reasonable accommodations in rules, policies, practices and services to permit persons with disabilities full use and enjoyment of housing, provide protection for assistance animals, require that housing be designed and constructed to ensure accessibility for persons with disabilities, and define disability.
- 3) *Lacks Protections for Gender Identity and Gender Expression.* The ordinance was updated to include prohibition of discrimination based on gender identity and gender expression.
- 4) *Penalties for Violations of the Law.* The City of Appleton revised the penalties for illegal housing discrimination to be analogous to the forfeitures enforced under federal law (first offense not exceeding \$10,000; second offense within five-year period not exceeding \$25,000; and not exceeding \$50,000 for a third).
- 5) *Issuance of Fines Requires Act of Discrimination be Willful.* The ordinance was updated to remove the term "willfully," removing the burden of proof from the victim for the purposes of issuing fines under the fair housing laws.
- 6) *Scope of Civil Action is Unclear.* The ordinance was updated to clarify the scope of a civil action to include holding hearings, subpoenaing witnesses, taking testimony, and conducting investigations.

Impediment #2: Need for Accurate Assessment of Affordable and Accessible Housing Supply

The City of Appleton Assessor's Office now assesses and maintains data that quantifies the supply of affordable housing.

Impediment #3: Inadequate Affordable Housing Supply Relative to Residents' Income

Data gathered during a local initiative, known as Project RUSH, shows a significant mismatch in the

Appleton community in the availability of affordable housing and the ability of individuals and families to pay for such housing. As such, agencies throughout the community have collaborated to create additional housing options to close this gap.

For example, in January 2017, there was a rise in the average home cost in the Appleton area, therefore making it difficult for the low- to moderate-income population to compete in the housing market. Appleton Housing Authority made it possible, through their affordable housing and homeownership assistance program, for first-time homebuyers to purchase homes in the competitive market. Also, the Fox Cities Housing Coalition Continuum of Care intends on re-evaluating and potentially re-allocating some of the transitional housing stock to permanent supportive housing. Other programs and projects in progress for the upcoming year include the addition of a Homeless Diversion Program; the addition of a housing navigator as proposed through the Project RUSH steering committee; and the creation of a Day Resource Center.

MONITORING (CR-40)

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

The first step in assuring that CDBG funds are utilized efficiently and effectively, meeting the objectives and goals set forth in the 2015-2019 Consolidated Plan, is conducted during the annual CDBG application process.

In 2016, applications were received and initially reviewed by the City of Appleton's Community and Economic Development Department staff. A CDBG Advisory Board, comprised of City Council, City Committee, and community agency members with experience in grant awarding and identifying community needs, was then responsible for reviewing the eligible applications and determining which proposed projects met the greatest needs of the community. These recommendations were reviewed and approved first by the City of Appleton's Community and Economic Development Committee and then by City Council.

Throughout the process, the primary components of the applications that were evaluated were:

1. What products/services were going to be realized?
2. Which products/services were the best use of funds while addressing the highest priority needs of the community?

The "return on investment" was highly scrutinized throughout the entire allocation process. Meeting high priority needs and objectives, as identified in the 2015-2019 Consolidated Plan, was strongly emphasized to both applicants and reviewers, magnifying the importance the City of Appleton places on community-identified needs and priorities.

Throughout the 2016 CDBG program year, sub recipients submitted accomplishment reports and payment requests, which were used by City of Appleton staff to track activity accomplishments and progress, expenditures, and record keeping. Sufficient documentation, reasonable expenses, as well as qualifying activities were evaluated. Failure to submit, or identified discrepancies in any of these areas, triggered additional review and some level of communication with the sub recipient. These reviews, and the overall progress of the agency and/or project, was considered if they submitted an application for the 2017 program year.

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

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

Citizens are provided with two separate opportunities for public comment: a 30-day public comment period and a public hearing at a regularly scheduled meeting of the City of Appleton's Community and Economic Development Committee. The public comment period was open May 8, 2017, through June 6, 2017, and the public hearing was held at the June 14, 2017, meeting of the Community and Economic Development Committee. Comments and views of citizens were taken into consideration and included within the CAPER, as appropriate.

CDBG (CR-45)

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

There were no changes in program objectives during the 2016 program year, and the City of Appleton does not anticipate making any changes to the programming.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?

No

HOME/ADDI

The City of Appleton did not receive any HOME/ADDI funds during the 2016 program year.

HOPWA

The City of Appleton did not receive any HOPWA funds during the 2016 program year.