



DRAFT Fourth Program Year CAPER

The CPMP 2013 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.

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 2013 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 2013 program year, spanning April 1, 2013 to March 31, 2014, was \$523,133. Requests for funding totaled \$618,133; approximately \$1.18 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 2013 program year include:

- 6 individuals received down payment assistance
- 33 low and moderate income (LMI) households had their homes rehabilitated with no-interest loans
- 3 rental units were refurbished for tenants with extremely low and low income
- 349 persons received emergency shelter and services as a result of homelessness
- 126 families facing domestic violence sought shelter and support services
- 546 persons were provided with financial and money management counseling/training

Appleton's 2013 CDBG funding was focused primarily on housing rehabilitation, but funds were also used for public services 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 following page).

- 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 qualifying 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.
- 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.

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)

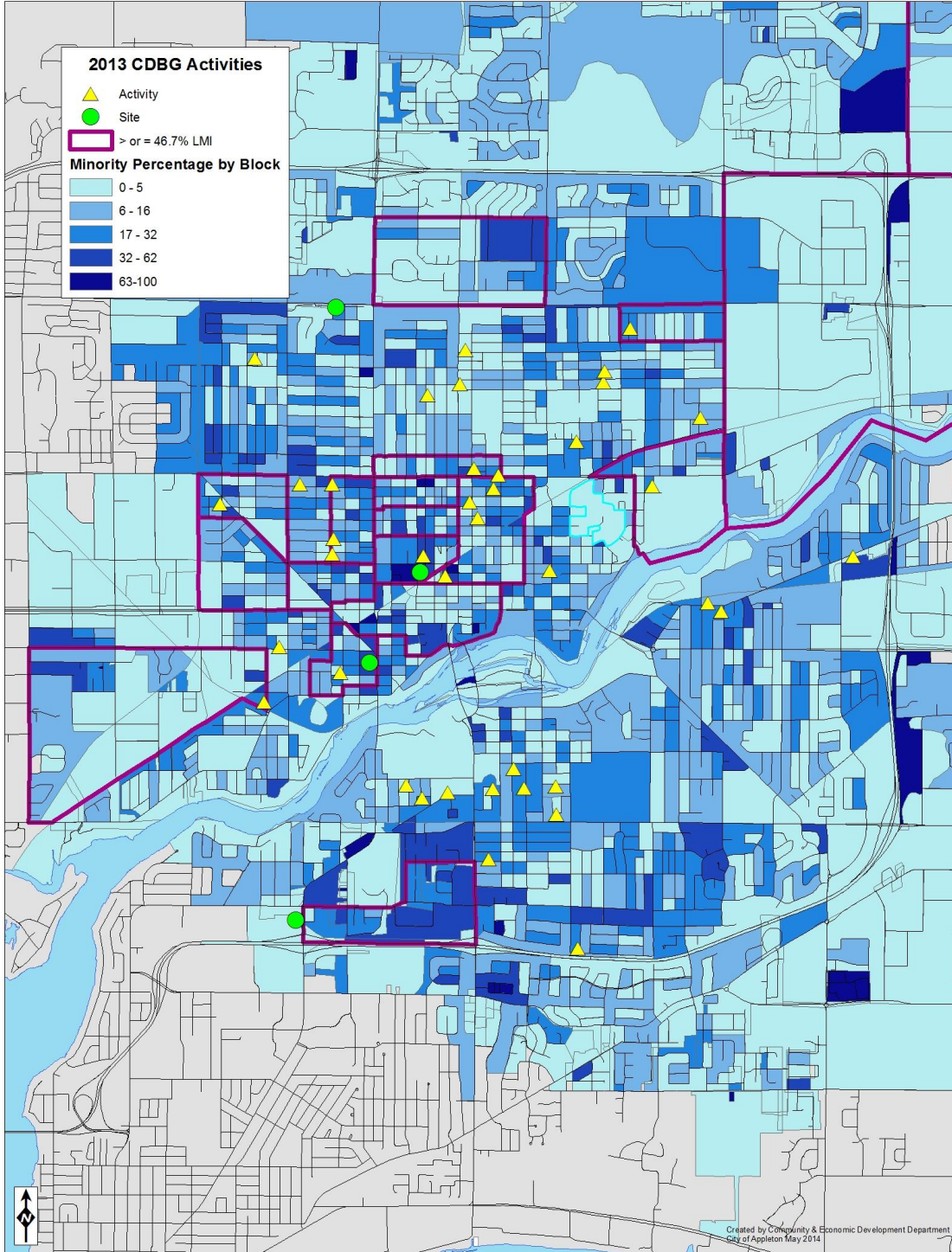
Summary of Resources and Distribution of Funds

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 2013 CAPER #1 response:

The following map depicts the location of 2013 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 2013 CAPER General Questions #2c response:

With the reduction of funds and staff, Economic Development goals have lessened in importance compared to rehabilitation of homes, provision of public services and public facility repair. The City is in the process of rolling out a Neighborhood Program. It is a possibility that this program may eventually have a business development facet, but there are no solid plans for that as of this date. In the Consolidated Plan, only 3% of funds were projected to be dedicated to the goal "Improve Appleton's Economy". With the current economic climate and the reduction of award amounts, it follows that this goal would become a lower priority, as more people require assistance with keeping their homes and getting access to public services.

3) Affirmatively Furthering Fair Housing

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

PY 2013 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 2013 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. The City contracted with MMFHC to update the City's 2006 Analysis of Impediments to Fair Housing (AI) over the course of two program years (2011-2012). The final updated AI was available in late March 2013.

In the newly updated AI, 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 2013 CAPER General Questions #3b response:

In 2013, 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:

124 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 2013 include:

- Appleton Housing Authority
- COTS, Inc.
- ESTHER - Immigration Task Force
- Fox Valley Literacy Coalition
- Harmony Café LGBT Services
- Hmong American Partnership
- Lawrence University Office of Multicultural Affairs
- Options for Independent Living
- Ryan Community, Inc.
- The Salvation Army
- Toward Community
- Valley Packaging Industries
- Volunteer Center

Two presentations were offered by MMFHC/FHCNW staff. These presentations reached approximately 46 audience members and were located at Villa Phoenix in June and the Emergency Shelter of the Fox Valley in February. FHCNW staff did conduct three additional presentations 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 23, 2013, and 19 persons attended. Training #2 was held at the Oshkosh Senior Center on June 16, 2013, and 10 persons attended. Training #3 was held at Appleton Public Library on September 19, 2013, with 21 persons attended. Training #4 was held at the City of Appleton Police Department on January 17, 2014, and 65 persons attended.

Ten 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:

- Occupancy guidelines as they pertain to fair housing laws
- Information on familial status as a protected class
- Age protections as pertaining to fair housing laws
- Assistance animals as pertaining to fair housing laws
- Screening criteria in compliance with fair housing law
- Reasonable accommodations for persons with mental illness
- Reasonable accommodations related to service animals for persons with disabilities
- Accessibility for persons with a disability
- Termination and cause as it pertains to fair housing laws
- Determining home lending needs and how they are met

20 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 (5)
- Fox Cities Housing Coalition (8)
- Fox Valley Refugee Resettlement (1)
- Hmong American Partnership (6)

In addition, the Fair Housing Council also received nine complaints for the Appleton area during the 2013 program year. None of these complaints were referred to HUD, the WI Equal Rights Division (ERD) or a local agency. All complaints are summarized below:

Month	Gender	Race	Income Level	# in Family	Protected Class
June	Female	Hispanic	N/A	3	Race, familial and marital status
July	Female	White	Extremely Low	1	Race
July	Female	White	Extremely Low	1	Lawful source of income and disability
July	Male	Hispanic	Low	2	Race and national origin
July	Female	Multiracial	Low	4	Race
July	Male	Black	Low	4	Race
January	Male	White	Extremely Low	3	Disability
March	Male	White	Very Low	1	Disability
March	Female	Black	Extremely Low	3	Race
March	Female	Black	Extremely Low	3	Race
March	Male	White	Extremely Low	1	Disability

Finally, the following 2013 tasks addressed specific impediments as described below:

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

As part of their CDBG-funded Homebuyer Program, the Appleton Housing Authority required instruction on “protecting yourself from predatory lending”

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

Although this project is not funded by CDBG dollars, it does address two impediments. Union Square Apartments is a WHEDA tax credit project that was awarded just over \$600,000 in 2014. The development proposes 50 units of affordable housing and will be located in a LMI block group, just north of downtown.

The City of Appleton’s Municipal Code, which contains an article related to fair housing, was amended this year 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 2013 CAPER General Questions #4 response:

In order to address obstacles to meeting underserved needs, those needs must first be identified. This occurs on several levels, with the list of high-priority needs outlined in the Five-Year Consolidated Plan serving as a basis for further analysis.

Specifically related to homeless needs, two annual surveys undertaken by the Fox Cities Housing Coalition serve as additional means to identify underserved needs. First, the Homeless Priority Needs Survey asks both homeless-related agency representatives and their clients to actually rank priority needs in the community. A survey of priority needs was conducted in January of 2011. 30 agency representatives returned surveys, in addition to 138 from their clients. The homeless needs survey results were then discussed and ranked as follows:

- rent/security deposit/utility payment assistance
- income-qualifying, subsidized housing
- subsidized housing w/ supportive services
- public assistance
- food (pantries, vouchers)

- employment assistance
- transportation assistance
- skills enhancement (training, work experience)
- routine mental health care
- routine medical care
- urgent medical care
- homeless shelter/emergency shelter
- routine dental care
- short-term life skills education (1-24 months)
- urgent dental care
- urgent mental health care
- short-term case/care management (1-24 months)
- household goods (clothing, diapers, etc.)
- disability insurance (SSI, SSDI, Medicare)
- long-term life skills education (24+ months)
- substance abuse services
- fair housing services
- regular childcare (Monday-Friday, 7am-7pm)
- regular childcare (weekends, 2nd and 3rd shifts)
- one-time financial assistance (permits, bills)
- childcare subsidies
- vocational education
- financial literacy training
- childhood developmental needs programming
- graduation requirements programs (GED)
- affordable post-high school educational opportunities
- long-term case/care Management (24+ months)
- youth development programs
- unscheduled childcare (sick, drop-in, etc.)
- mentoring programs
- legal services
- personal automobile assistance
- literacy programs/translation services
- specialized transit programs
- contact assistance (voicemail, email, etc.)

The second survey, the Homeless Point-in-Time Count, seeks to identify the number of homeless families and individuals in the Fox Valley area on one given day. The survey was conducted in January 2014, as part of a statewide effort and the results showed that 351 individuals were considered homeless in the city of Appleton.

By identifying the underserved needs in the community, it becomes clear that this community has a wide variety of needs that will need to be addressed by multiple agencies. Needs are addressed in the following ways:

1. Appleton Housing Authority continues its partnership with FISC and Habitat for Humanity to ensure clients get financial education to better complement homeownership readiness. The partnership allows better identification of area of financial readiness that need to be addressed.

2. In order to serve the city's homeless population, the Emergency Shelter of the Fox Valley (ESFV) provides services that are customized to the individual's unique needs. In this way, the individual is provided with opportunities that will successfully address their unique obstacles and help elevate them to self-sufficiency. Specifically, the ESFV connects shelter residents to physical/medical healthcare services, legal services, mental health services, economic subsidies, financial coaching and many other services.

3. FISC has increased their outreach efforts to find more low-income individuals and families through area social service agencies. In the specific case of ESFV, the continuity of the same FISC counselor seeing an individual at the shelter is a way to build trust in what can be a long and difficult journey to stability and self-sufficiency.

4. Maintaining affordability has become a challenge for the community and for Habitat for Humanity as an organization. To help address this, Habitat has put a higher emphasis on acquiring blighted homes for rehabilitation. This work can be done more affordably for the families served by Habitat and helps improve the landscape of the city.

5) Foster and Maintain Affordable Housing

Identify actions taken to foster and maintain affordable housing.

PY 2013 CAPER General Questions #5 response:

Actions taken to foster and maintain affordable housing in 2013 are listed below by agency.

- Appleton Housing Authority (AHA). The homebuyer program has reacted to the uncertain economic climate and higher number of foreclosures by increasing educational requirements for homebuyer clients to ensure they would not only qualify for a mortgage but have the financial education to better plan for their long-term success, like having a savings plan and budget. The increased requirements include more one-on-one sessions for those clients in need of additional guidance. This is accomplished in part through a partnership with FISC and Habitat for Humanity. In 2013, six households received down payment assistance to purchase their first home.
- 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 2013, 23 households received assistance in making necessary repairs to their home.
- Housing Partnership of the Fox Cities. The Housing Partnership continues to maintain and improve more than 80 housing units reserved for low-income households and available to them at no more than 30% of their gross monthly income. In 2013, two units of affordable rental/transitional housing were rehabilitated to maintain safety and viability.

- *Emergency Shelter of the Fox Valley.* Through the case management system, counselors have nurtured relationships with local landlords and housing providers so that when they have available rental units they contact the Shelter looking for possible tenants. Training is provided to clients at the shelter to help them establish a budget, save and manage money, and help them to be a good tenant. The ESFV also provides permanent housing to six chronically homeless individuals in apartments located a short distance from the shelter facility.

6) Leveraging Resources

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

PY 2013 CAPER General Questions #6a response:

Several resources beyond CDBG and other HUD funding were utilized to assist subrecipient agencies in implementing their 2013 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.

The City's Homeowner Rehabilitation Loan Program uses program income from the CDBG, HOME and Lead Hazard Control Programs which amounted to over \$230,000 during the 2013 program year.

The Emergency Shelter of the Fox Valley has an expansive network of friends, volunteers and supporters who have expressed an interest in helping the ESFV maintain clean, comfortable and modern facilities to serve those individuals and families who need our services. Many of these people seek out ways to share their time, talents and financial resources for the greater good of the community and its people. ESFV is also the recipient of funds from local charitable organizations.

Habitat for Humanity uses funding from corporations, churches, individuals and the profits from the local Habitat for Humanity ReStore in addition to grant funds to construct homes for low-income families.

Harbor House receives funds from many sources: government and non-government grants, area United Way organizations, individual contributions, fundraisers and a large amount of in-kind donations that include food, personal care items, linens, etc.

FISC receives support for the self-sufficiency program from the United Way Fox Cities and Thrivent Financial for Lutherans. Goodwill Industries of North Central WI provides substantial financial support but also significant in-kind support including accounting and finance, human resources, marketing and technology services.

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

PY 2013 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
 - Bank of America
 - Bemis
 - Community Foundation
 - Guardian Life Insurance
 - Goodwill
 - JJ Keller
 - Kimberly-Clark Corporation Foundation
 - Menasha Corporation
 - Ministry Health Care
 - Secura Insurance
 - St. Vincent DePaul Society
 - Thrivent Financial
 - United Way of the Fox Cities
 - United Way of New London
 - U.S. Venture
- Other Resources:
 - Churches
 - Fundraising Events
 - In-Kind Donations
 - Individual Contributions
 - Volunteer Hours

c) Describe how matching requirements were satisfied.

PY 2013 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 2013 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 22-June 20 and the public hearing is June 9th. 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 2013 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 9th 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 2013 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). Monies from these grants are provided to the City's Finance Department, who in turn passes them on to the various programs that implement community development and housing programs.

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. Park & Recreation Department
 - d. City of Appleton Inspections Division

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.

Due to the transition of grant administration duties to the Community and Economic Development Department during the 2013 program year, 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 2013 subrecipients worked to overcome gaps and enhance coordination with other community agencies include:

- *Appleton Housing Authority – Homebuyer Program.* This program works closely with other agencies to celebrate graduates of Self-Sufficiency programs, take referrals from Habitat, Movin’ Out and other housing authorities and work with banks, realtors, insurance companies, contractors and people throughout the Fox Cities to support affordable housing.
- *Harbor House.* Regular referrals are made between Harbor House and other agency members of the Coalition, each agency working to make sure that all homeless people, regardless of the reason for the homelessness, are provided with the shelter and support they need. The Housing Partnership operates six transitional living apartments within the Harbor House facility specifically for families who have experienced domestic violence. In the W.O.W. program, Harbor House works to coordinate services with local All-State employees, Goodwill Industries, Fox Valley Technical College Foundation and Employability.
- *Homeowner Rehabilitation Loan Program.* Every applicant is notified of other programs they may also qualify for and may better serve them. For example, homeowners with accessibility needs are referred to other programs that specialize in meeting those needs so that each program can utilize their funding for the best possible use, as well as provide the best benefits to the participants. If the other programs cannot serve them, the Homeowner Rehabilitation Loan Program will serve them.
- *Housing Partnership of the Fox Cities.* This agency offers an intake component to the application process. This component provides guidance for households applying for the housing program with overcoming barriers, such as utility

debt and poor rental history. As a member of the COC, HPFC regularly works with collaborating agencies and organizations to best meet the needs of families and individuals that are homeless. A coordinated intake form is currently being created to be used by all the housing organizations in the COC to expedite the time a homeless individual or family applies for housing and when they are connected with the agencies to best meet their needs.

- *FISC*. FISC's self-sufficiency program is designed to serve low-income individuals and families that struggle with day-to-day financial pressures, and may be facing housing issues including eviction and foreclosure. FISC works closely with many Appleton-based organizations by providing financial counseling and education for their clients including but not limited to: CAP Services, Community 2000, Emergency Shelter of the Fox Valley, Harbor House, Housing Partnership of the Fox Cities, LEAVEN and Salvation Army.

9) Monitoring

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

PY 2013 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 2013, 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, quarterly 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 2013 CAPER Monitoring #9b response:

Staff undertook these tasks to monitor 2013 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.

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

PY 2013 CAPER Monitoring #9c response:

Communication between staff and subrecipients is very important and is the method by which staff has chosen to monitor progress. 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 insure compliance with program requirements, including requirements involving the timeliness of expenditures.

PY 2013 CAPER Monitoring #9d response:

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

1. 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.

2. Payment requests and supporting documentation is reviewed by staff before payment authorization.
3. 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 left to be expended.
4. 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.
5. Staff from the Finance Department has the responsibility of entering information 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 2013 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 2013 CAPER Monitoring #9f response:

i) The Neighborhood Revitalization 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, in April of 2013, the new Neighborhood Services Program was introduced and staff expects interest in the program to grow quickly, which will result in fund expenditures.

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.

ii) There has been a delay in some of the disbursements for rehabilitation activities. The main cause for delay is the inclement weather. Projects have had to wait due to the extraordinarily cold and long winter, and the cold and wet spring. When the weather is good, the contractors have to pull workers from other ongoing projects,

which means there are fewer people working on a single project and work slows down. 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 2013 CAPER Antipoverty Strategy #10 response:

The January 2014 Point-in-Time survey identified 351 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 2013 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. Victims of domestic abuse are often not allowed to work outside the home. This tactic of control is used to keep a victim of domestic abuse in a situation where she has no means to support herself, so she cannot leave. She may be trying to obtain a job with no recent history or the skills needed to get a job. 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. These things increase their self-sufficiency and increase the chances that they will no longer be living below the poverty level.

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 2013 CAPER Self-Evaluation # 11, 12, 13 response:

11) In 2013, progress was made on each goal as listed in the Consolidated Plan.

Goal 1: Improve Appleton's Housing

- The most funds were dedicated to this goal and as a result, 30 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. Another popular repair was the replacement of furnaces. Obviously this is a very important appliance in homes in Wisconsin and the replacement of furnaces often results in savings on heating bills. Other repairs included

- foundation repairs, roofs and siding. All improvements work toward making housing in Appleton decent, safe and sanitary.
- The Appleton Housing Authority's Homebuyer Program assisted six first time homebuyers. 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. Owner occupied housing has a positive effect on neighborhoods.
 - The City of Appleton 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 that became disabled after moving into her home. This Program worked with Rebuilding Together Fox Valley to address needed maintenance and made her home accessible so she could continue to live there long term. A difficulty faced by the program is the decrease in property values which means owners have lost equity in their properties. This, combined with the decrease in HUD's Income Limits over the past few years, is creating an issue where people in need of repairs are not qualifying for the program. Approximately 30% of applicants are being denied due to income or equity issues. At the same time, the Program is seeing more serious health and safety issues on homes, particularly when maintenance has been deferred for many years.
 - Habitat for Humanity purchases two lots in the city and the construction of affordable homes for two low income families is in 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 three units of affordable rental housing. Due to the cold and snowy winter and the fact that CDBG funds were not available until September, projects have been slightly delayed. Those projects will commence in April and be included in 2014 accomplishments.

Goal 2: Strengthen Community Services/Facilities

- The Emergency Shelter of the Fox Valley (ESFV) is a facility located in Appleton that serves a large area encompassing several smaller communities. ESFV estimated helping 810 individuals but the total was 794, of which 348 were from the city of Appleton. ESFV used funds to update seven of the eight restrooms in the facility. Research has demonstrated that the level of safety, security and comfort a homeless shelter is able to provide influences how quickly a person stabilizes and achieves independence. Improving overall appearance can make people feel more comfortable. The decrease in maintenance supplies and staff time performing maintenance on the restrooms has reduced costs. ESFV uses board approved logic models for each of their programs which help measure success. The most recent review of logic models showed that 86% of clients moved to permanent housing, the average length of stay before transition was 34 days, more than 50% either connected to employment or increased their income during their stay, 95%

- reported they felt their needs were met and 100% reported they received necessary food and other basic necessities while staying at ESFV. A specific example of how the programs work is Pam, who had been homeless since 2010 and entered ESFV in 2013, where it was identified that mental health was a barrier to self-sufficiency. Pam had the desire to be successful, but was challenged by the traditional work setting. She attended Adult Basic Education (ABE) classes every day, a program through Fox Valley Technical College. She received mental health services through the Partnership Community Health Center and was assisted in applying for Social Security benefits. Pam was one of the first clients to be housed at 319 North Appleton Street, the location of one of the apartments that was rehabbed with CDBG funds in 2013. Pam completed the ABE program and received her GED.
- Harbor House Domestic Abuse Program used their award to pay the salaries of client advocates. This facility served 273 women and children for a total of 10,457 days of care. 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 Susan, a 57 year old woman that was living with her father. Susan found that her father was in contact with husband who had convinced her father that Susan was mentally unstable and that there was no reason for her to flee. Susan was afraid her husband may come to Wisconsin to harm or kill her. She contacted Harbor House and started attending the Women of Wisdom Group which is structured to meet the needs of women over fifty. The women of the group encouraged her to leave her father's house and Susan decided part of her safety plan was to come into shelter at Harbor House. It was difficult for Susan to find a job so she got some computer training through Harbor House's Economic Advocacy program which improved her computer skills and increased her self-confidence and she eventually found employment. Susan continued brief visits with her father, with her sister acting as a buffer and found support and friendship in the community by joining a choir and pursuing other recreational activities. She filed for divorce and sought legal advice from the Legal Action attorney that meets with women at Harbor House on a weekly basis. Susan established her own residence and furnished it with help from Goodwill and St. Vincent DePaul. She continued with the support group at Harbor House and has been a mentor to a number of women in the programs at Harbor House.
 - FISC helps individuals and families that are struggling with their finances by analyzing their current situation and developing a plan to manage their financial situation while educating them about budgets, predatory lenders and how to communicate with landlords, utility companies, medical providers and other creditors. This assistance will in many situations, keep a family in their home and feel empowered to improve their financial stability. A regularly scheduled three-part class teaches participants the fundamentals of budgeting, how to secure and read a credit report, how to improve a credit score and how to secure and maintain affordable housing. 546 Appleton households were assisted by FISC counselors financed by CDBG funds. FISC utilizes pre- and post-surveys to measure changes in financial behaviors and financial position. In 2013, 483 new residents of the Emergency Shelter attended workshops for the first time. The surveys showed that 80% of the shelter residents found the information about money issues useful; 75%

increased their awareness of personal financial wellness; 79% planned to use what they learned to make better financial decisions and 78% planned to improve their money management techniques.

Goal 3: Revitalize Selected Target Areas

- Sustainable Fox Valley (SFV) was awarded funds for revitalization of a playground in an LMI neighborhood. Since the funds were not available until after the school year started, the project has been delayed until the end of the 2013-14 school year and will be completed during the summer of 2014. Accomplishments for this activity will be reported in 2014.

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 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 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 entry of drawdowns and accomplishments data. Funds also paid for any training expenses for Community and Economic Development Department staff.

12) All major goals set at the beginning of the 2013 Program Year finished on target.

13) Implementation of the Neighborhood Registration Program will allow the City to move 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 2013 CAPER Affordable Housing #14a response:

Proposed versus Actual:

CDBG ACTIVITY	# OF UNITS	
	Proposed	Actual
Rental Housing Goals		
<i>Rehabilitation of existing units:</i>	11	3
Owner Housing Goals		
<i>Production of new units:</i>	3	2
<i>Rehabilitation of existing units:</i>	31	32
<i>Homebuyer Assistance:</i>	7	6
Annual Affordable Housing Goals - ALL		
<i>Annual Rental Housing Goal:</i>	11	3
<i>Annual Owner Housing Goal:</i>	41	40
TOTAL:	52	43
Housing Goals by Population Served		
<i>Special Needs:</i>	0	1
TOTAL:	0	1

Breakdown by Income:

CDBG ACTIVITY	INCOME		
	0-30	30-50	50-80
Rental Housing			
<i>Rehabilitation of existing units:</i>	1	1	0
Owner Housing			
<i>Production of new units:</i>	0	0	0
<i>Rehabilitation of existing units:</i>	3	2	27
<i>Homebuyer Assistance</i>	1	0	5
Annual Affordable Housing			
<i>Annual Rental Housing</i>	1	1	0
<i>Annual Owner Housing</i>	4	2	32
TOTAL:	5	3	32
Housing by Population Served			
<i>Special Needs:</i>	0	1	0
TOTAL:	0	1	0

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 2013 CAPER Affordable Housing #14c response:

In 2013, three rental units were rehabbed by Housing Partnership of the Fox Cities (HPFC). Two of these units were occupied by households defined as low income, while one unit was vacant.

Emergency Shelter of the Fox Valley (ESFV) connects low-income renters who are overburdened with living expenses and are on the verge of becoming homeless to the shelter's High Risk Prevention Program which provides limited emergency financial assistance to help cover rental assistance, utility payments and other expenses in order to help the clients remain in their community based housing.

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

PY 2013 CAPER Affordable Housing #14d response:

At least two of Appleton's CDBG subrecipients dealt indirectly with addressing the housing needs of persons with disabilities. These programs specifically included:

- Appleton Housing Authority – Homebuyer Program. Whenever a household 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.

Public Housing Strategy

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

PY 2013 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 2013 CDBG funds were 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.

Homebuyer/Home Rehabilitation:

The Affordable Homebuyer Program, a first time affordable homeownership program, has been a part of the Appleton Housing Authority since 1993. The Housing Authority's Homeownership Program is the only program operating within the City of Appleton that provides acquisition with rehabilitation assistance. The program protects the integrity of our older neighborhoods, city neighborhoods are revitalized and some \$200,000 annually is returned to the local economy as a result of hiring local contractors. Homebuyers have a choice of where to live with a home that meets their needs for their family and income level. The City of Appleton provides CDBG funds to the AHA in conjunction with HOME Funds from the State of Wisconsin and is instrumental in the financial continuation of this vital program.

The Appleton Housing Authority and the City of Appleton will continue a cooperative working relationship for the betterment of the community and the public housing residents.

Barriers to Affordable Housing

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

PY 2013 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 the home that is most 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 used 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.

Lead-based Paint

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

PY 2013 CAPER Lead-based Paint #17 response:

CDBG funds for the 2013 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; 19 units were assisted in 2013.
- *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. Two of the homes in 2013 required lead hazard remediation.

HOMELESS

Homeless Needs

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

PY 2013 CAPER Homeless Needs #18 response:

Three shelters serve the Appleton area homeless population. The *Emergency Shelter of the Fox Valley* – a 75-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 2013, the Emergency Shelter received \$25,000 in CDBG funding to assist with updating the facility and improving permanent supportive housing apartments. *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 2013, Harbor House received \$25,000 to assist with salaries of their client advocates. In 2008, *Fox Valley Warming Shelter* first used churches on a rotating schedule to shelter homeless persons. It is now housed in a facility which opened in 2010. The shelter accepts all homeless person unless disruptive or prove to be a danger to themselves or others. The Shelter applied for CDBG funds for the first time in 2014 and will be using their 2014 award to fund additional staff that is needed to cover the growing number of those in need of shelter.

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

PY 2013 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 2013, the Housing Partnership planned to utilize its CDBG award to rehabilitate and maintain five 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.

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 2013 CAPER Homeless Needs #20 response:

At least four of Appleton's 2013 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.

Specific Homeless Prevention Elements

21) *Identify actions taken to prevent homelessness.*

PY 2013 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 2013 were exposed to this education component and our teen dram 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 2013, this group hosted its 4th annual awareness breakfast to encourage increased involvement in the work to end men's violence against women. There were approximately 500 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 High Risk Prevention Program that provide limited emergency assistance funding and case management services to those people who are in imminent risk of becoming homeless. Even though CDBG funds weren't directly used for this program, it is worth mentioning that this program created in 2013, served 1,765 people and was 98% effective in assisting people in maintaining their community based housing and averting a housing crisis.

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 2013 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 2013 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 2013 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 2013 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 2013 CAPER ESG #25 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.

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 2013 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 2013 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 2013 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 2013, 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. One unit was rehabbed for an elderly homeowner.

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 2013 CAPER CDBG #28a response:

The City of Appleton strives to use CDBG funds for those needs identified as most important in the Consolidated Plan. The agencies funded in 2013 all address needs listed on pages two and three of this report.

COMMUNITY DEVELOPMENT – 1) The Emergency Shelter facility was updated; 2) Financial education was provided to over 500 individuals; 3) 273 women and children fleeing an abusive situation were sheltered; 4) Fair housing services were provided to Appleton residents and landlords.

HOMELESS – Three permanent supportive rental units were rehabbed

HOUSING - Renters, owners and first-time homebuyers were all assisted

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

- 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 2013 CAPER CDBG #28b response:

Proposed versus Actual:

CDBG ACTIVITY	# OF UNITS	
	Proposed	Actual
Rental Housing Goals		
<i>Rehabilitation of existing units:</i>	11	3
Owner Housing Goals		
<i>Production of new units:</i>	3	2
<i>Rehabilitation of existing units:</i>	31	32
<i>Homebuyer Assistance</i>	7	6
Annual Affordable Housing Goals - ALL		
Annual Rental Housing Goal	11	3
Annual Owner Housing Goal	42	40
TOTAL:	52	43
Housing Goals by Population Served		
<i>Special Needs:</i>	0	1
TOTAL:	0	1

CDBG ACTIVITY	INCOME		
	0-30	30-50	50-80
Rental Housing			
<i>Rehabilitation of existing units:</i>	1	1	0
Owner Housing			
<i>Production of new units:</i>	0	0	0
<i>Rehabilitation of existing units:</i>	3	2	27
<i>Homebuyer Assistance</i>	1	0	5
Annual Affordable Housing			
Annual Rental Housing	1	1	0
Annual Owner Housing	4	2	32
TOTAL:	5	3	32
Housing by Population Served			
<i>Special Needs:</i>	0	1	0
TOTAL:	0	1	0

A large percentage of the City's CDBG award was used toward housing. The tables above show the proposed goals at the beginning of the 2013 PY, the actual number of activities completed, and the income levels of the households that received assistance.

The owner occupied housing activities were very close to goal, even though there were no new units produced. Habitat for Humanity received funding and did purchase two lots, but due to the difficulty of finding those lots, construction on the homes will not be complete until early summer of 2014.

Rental housing activities did not meet the goal. A reason for lack of activities in the rental housing category would be the City's decision to fund programs associated

with the City fully before accepting applications from outside agencies. Two of these programs support homeowner housing activities, not rental housing. Only one agency that deals with rental housing, Housing Partnership of the Fox Cities (HPFC), applied for funds in 2013 and due to the long winter, the delay in receiving funds and flux in the agency due to change in leadership, projects were not completed before the end of the program year. HPFC will use the remainder of their 2013 funds to complete projects in summer 2014. The City's Rental Rehabilitation Program was dissolved in 2013.

Rebuilding Together Fox Valley has had difficulty completing projects due to a number of different complications. They do have a few projects underway that include rehabbing homes for the elderly and for accessibility purposes, and completed one in 2013. More projects will be completed during 2014.

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

PY 2013 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:

2013 SUMMARY OF ACCOMPLISHMENTS BY INCOME CATEGORY						
	Extremely Low (<30%)	Low (30% - 50%)	Moderate (50% - 80%)	Total Low-Mod	Not Low-Mod (>80%)	Total Benefiting
HOUSING- OWNER OCCUPIED						
Households	4	3	32	39	0	39
Percent	10.3%	7.7%	82.0%	100.0%	0.0%	100.0%
HOUSING - RENTAL OCCUPIED						
Households	2	1	0	3	0	3
Percent	66.7%	33.3%	0.0%	100.0%	0.0%	100.0%
HOUSING - TOTAL						
Households	6	4	32	42	0	42
Percent	14.3%	9.5%	76.2%	100.0%	0.0%	100.0%
NON-HOUSING						
Households	943	30	23	996	25	1,021
Percent	92.4%	2.9%	2.2%	97.6%	2.4%	100.0%
TOTAL						
Households	949	34	55	1,038	25	1,063
Percent	89.2%	3.2%	5.2%	97.6%	2.4%	100.0%
*Income categories were defined as follows for Appleton in 2013: -A single person at ≤30% AMI would have earned between \$0 and \$15,200 annually -A single person at >30% and ≤50% AMI would have earned between \$15,200 and \$25,300 annually -A single person at >50% and ≤80% AMI would have earned between \$25,300 and \$40,450 -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 2013 CAPER CDBG #29 response:

No changes in program objectives occurred during the 2013 Program Year.

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 2013 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 2013 CAPER CDBG #31 response:

a) All 2013 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 2013 CAPER CDBG #32a response:

While several of the City of Appleton's subrecipients utilized CDBG funds for housing rehabilitation (Appleton Housing Authority, Homeowner Rehabilitation Loan Program, Housing Partnership of the Fox Cities), no permanent displacement occurred under any of these programs. 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 CAPER CDBG #34a response:

Appleton sub-grantees 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 2013 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 2013 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 \$196,289. All income is recycled through the program for future loans. AHA received \$20,484 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 CAPER CDBG #37c response:

The total amount of deferred loans for the Homeowner Rehabilitation Loan Program (HRLP) is \$5,836,091.03. 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 \$4,940,147.62. 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 2013 CAPER CDBG #37d response:

The City's HRLP did not have any loans that defaulted during the 2013 program year. The Appleton Housing Authority's program had four loans that defaulted or were written off in 2013, for a total of \$51,445. Three of the four defaulted loans were

short sales in which the Housing Authority accepted a lesser amount in lieu of foreclosure.

- 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 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 2013 CAPER Other Narrative response:

All information is covered in above narratives.

