



# Fourth Program Year CAPER (2017)

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

## GOALS & OUTCOMES (CR-05)

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

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

The City of Appleton's CDBG entitlement award for the 2017 program year, operating April 1, 2017, through March 31, 2018, was \$550,037. Requests for funding totaled \$553,319; approximately a 1:1 ratio for distribution. The resulting 2017 CDBG awarded programs all addressed priority needs from the 2015-2019 Consolidated Plan and approximately 87 percent of the funding benefited low- to moderate-income individuals and families.

**The City of Appleton's Homeowner Rehabilitation Loan Program-** provided financial and related technical assistance for low- to moderate-income homeowners in the City of Appleton for the rehabilitation of 28 properties- four assisted through a combination of HOME and Lead Hazard funds, and 24 through CDBG funding.

**The City of Appleton's Neighborhood Grant Program-** *developed bonds and strengthened communications between City Hall and Appleton neighborhoods* through a local senior center, which received funding to significantly upgrade the facility and serve approximately 469 individuals.

**Appleton Housing Authority-** *while promoting quality affordable housing for all residents of the City of Appleton*, seven households received rehabilitation assistance, eight first-time homebuyers received assistance with down payment and closing costs, and 37 households received home-buyer counseling.

**Fox Valley Warming Shelter-** offered shelter and basic necessities to 561 individuals experiencing

homelessness, totaling 19,630 shelter nights, in 2017.

**Harbor House-** led a community-wide partnership in the prevention of domestic violence and abuse and offered safety and support to 125 diverse households in crisis.

**Homeless Connections-** provided shelter and case management to 210 individuals and families, and connected them to resources that promoted self-sufficiency and prevented future episodes of homelessness.

**LEAVEN, Inc.-** through the provision of financial assistance, referrals, and case management, 64 households on the brink of homelessness were stabilized and empowered to address their near-term and long-term basic needs.

**Metropolitan Milwaukee Fair Housing Council-** promoted fair housing and provided services to 1,322 recipients, including fair housing education and outreach for consumers and providers, social service agencies, and community-based organizations; complaint intake and counseling; and technical assistance.

**Mooring Programs-** served 209 men- for a total of 11,495 days- providing treatment needed to help in the recovery from alcohol, drug, and chemical dependency.

**National Alliance on Mental Illness Fox Valley (NAMI)-** through their Iris Place Peer Run Respite program, provided mental health peer support and resource connection to 139 individuals experiencing emotional distress or crisis.

**Salvation Army of the Fox Cities-** upgraded a local food pantry facility to ensure safety, accessibility, and code compliance for 5,555 individuals served in the Appleton community.

**STEP Industries-** offered hope to 369 individuals (83 City of Appleton) recovering alcoholics, chemical dependents and co-dependents by providing job readiness training, vocational skills, and residential living programs.

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

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Acquisition-new housing	Affordable Housing	CDBG: \$	Homeowner Housing Added	Household Housing Unit	15	6	40.00%	0	0	0.00%

Acquisition - new housing	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	0	0		0	0	
Admin	Admin	CDBG: \$	Other	Other	1	1	100.00%			
Homebuyer assistance	Affordable Housing	CDBG: \$	Public service activities for Low/Mod Income Housing Benefit	Households Assisted	40	40	100.00%	40	40	100.00%
Homebuyer assistance	Affordable Housing	CDBG: \$	Direct Financial Assistance to Homebuyers	Households Assisted	40	13	32.50%	4	8	200.00%
Improve & maintain housing stock	Affordable Housing Non-Homeless Special Needs	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	181	118	65.19%	30	35	116.67%
Neighborhood revitalization	Non-Housing Community Develop.	CDBG: \$	Public Facility/ Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	10000	0	0.00%	4000	0	0.00%
Public facilities improvement and maintenance	Non-Housing Community Develop.	CDBG: \$	Public Facility/ Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	900	6860	762.22%	6500	6024	92.68%
Public services	Homeless Non-Homeless Special Needs Non-Housing Community Develop.	CDBG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	5500	1624	29.53%	623	572	91.81%
Public services	Homeless Non-Homeless Special Needs Non-Housing Community Develop.	CDBG: \$	Homeless Person Overnight Shelter	Persons Assisted	0	1738		1054	896	85.01%

Rental rehabilitation	Affordable Housing	CDBG: \$	Rental units rehabilitated	Household Housing Unit	40	6	15.00%	0	0	0.00%
Rental rehabilitation	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	0	0		0	0	

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

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

The City of Appleton's 2017 CDBG funding was focused primarily on housing and public facility rehabilitation, with four awarded agencies addressing this category. In addition, funds were allocated to six public service agencies . Funded projects addressed strategic plan objectives- decent housing, suitable living environment, and expanded economic opportunity- and high priority needs identified in the 2015-2019 Consolidated Plan-housing rehabilitation and accessibility improvements, public services and public facility improvements.

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

**The City of Appleton's Neighborhood Grant Program** collaborated with a local neighborhood and nonprofit agency to upgrade a senior center facility that offers activities and programs specifically for elderly and disabled, low- to moderate-income households in the community.

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

**Fox Valley Warming Shelter** provided supportive services to individuals experiencing homelessness including shelter, basic necessities, and access to additional community services in an effort to improve their current situation.

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

**Homeless Connections** provided extremely low and no-income individuals and families experiencing homelessness with shelter, basic necessities, and access to community supportive services to improve their situation. Additionally, the Case Management Services Program helped clients achieve a greater level of self-sufficiency by assessing their barriers to housing and employment.

**LEAVEN, Inc** provided emergency financial assistance to low- and moderate-income households on the

brink of homelessness in an effort to stabilize housing.

The **Mooring Programs** provided individualized comprehensive treatment programs to men struggling with alcohol, drug, and chemical dependency.

**NAMI Fox Valley** provided mental health peer support and resource connection to respite center guests and warm-line callers.

The **Salvation Army of the Fox Cities** improved access to food pantry services for City of Appleton low-income residents.

**STEP Industries** provided transitional employment, job skills training, advocacy, and mentoring to individuals in recovery from alcohol and substance abuse.

Progress was not made toward meeting goals under new housing acquisition due to circumstances beyond the City's control. Community partners and nonprofit agencies that have provided services meeting these goals in the past experienced setbacks preventing additional progress, as originally anticipated. It is the City's hope, and expectation, that progress will be made under this priority need in future program years.

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

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

	<b>CDBG</b>
White	1,844
Black or African American	362
Asian	247
American Indian or American Native	89
Native Hawaiian or Other Pacific Islander	32
<b>Total</b>	<b>2,574</b>
Hispanic	269
Not Hispanic	2,305

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

A map has been attached to this report (2017 CDBG LMI) that depicts the location of 2017 CDBG-funded activities. "Site" represents locations where these projects originate, while "Activity" represents locations where CDBG-funded projects occurred (i.e. housing rehabilitation). LMI Block Groups are outlined and Blocks are shaded according to minority percentages.

## RESOURCES & INVESTMENTS (CR-15)

### *Identify the resources made available*

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG		712,109	897,267

**Table 3 – Resources Made Available**

All of the 2017PY sub recipients utilized several other funding resources for the successful implementation of their programs. The City of Appleton gives preference to CDBG applicants who can demonstrate well-established budgets utilizing various funding sources for their programs.

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

### **Identify the geographic distribution and location of investments**

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

**Table 4 – Identify the geographic distribution and location of investments**

A map has been attached to this report (view 2017 CDBG LMI map, located under CR-10, *Racial and Ethnic Composition of Families Assisted*) that depicts the location of 2017 CDBG-funded activities. "Site" represents locations where these projects originate, while "Activity" represents locations where CDBG-funded projects occurred (i.e. housing rehabilitation). LMI Block Groups are outlined and Blocks are shaded according to minority percentages.

### **Leveraging**

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

While the City of Appleton does not implement a match requirement associated with CDBG funding, all of the 2017 CDBG sub recipients utilized several other funding resources for the successful implementation of their programs.

**STEP Industries (now operating as Apricity)** has always operated as a social enterprise with the goal of being as self sustaining as possible. In 2017, STEP was 85 percent self-sufficient through revenue generated by their co-packing services, accumulating a total of approximately \$1,595,259. In addition to seeking CDBG dollars, STEP sought support from local community organizations, including the

Community Foundation for Fox Valley Region, United Way, US Venture, the JJ Keller Foundation, and the Oshkosh Area Community Foundation, totaling nearly \$290,000 in grants.

**Appleton Housing Authority** continued to utilize multiple funding sources, including HOME (\$170,000) and HCRI (\$230,517), in addition to CDBG. During the 2017PY, AHA partnered with SECURA Insurance to administer an Employer-Assisted Homeownership Program.

**Salvation Army of the Fox Cities** utilized private funding totaling approximately \$33,702 to complete the roofing project, as well as interior improvements. A local contractor donated a new HVAC system, valued at \$7,000.

**Fox Valley Warming Shelter's** funding sources were wide-ranging, including churches (\$35,554); government grants, a State of Wisconsin Shelter Subsidy grant (\$31,300); a State of Wisconsin Emergency Solutions grant (\$25,000); corporate donations (\$80,188); private organization donations (\$38,726); and individual donations (\$154,633).

The **Mooring Programs** leveraged funding from multiple sources to assist with the entire treatment facility rehabilitation project. These sources included private donations (\$119,372), income from self-paying clients (\$118,056), AODA Crisis On-Call income (\$38,325), and insurance payments (\$39,470).

**NAMI** leveraged funds granted from the State of Wisconsin (\$444,665) to subsidize staff wages and provide peer run respite services.

Funding for **Harbor House's Domestic Violence Shelter** was obtained from numerous sources, including government (\$53,500) and non-government grants (\$55,000), United Ways (\$35,879), donations (\$218,503), and fundraising events (\$64,276). The Shelter also received significant amounts of in-kind donations, totaling \$207,626, which helped to provide food, personal care items, linens, etc. that benefited the residents and kept the Shelter's operation in budget.

**Homeless Connections** develops a Strategic Fund Development plan annually, which incorporates specific activities to sustain their vital programs. For 2017, these activities included garnering contributions from United Way Fox Cities (\$144,000), Bemis Foundation (\$40,000), US Venture (\$35,000), the JJ Keller Foundation (\$75,000), and Outagamie County (\$45,000).

Because **LEAVEN's** CDBG allocation only represents about four percent of their total operating budget, fundraising efforts are continuous. LEAVEN's administration relied heavily on in-kind donations through a team of volunteers writing approximately 80 grant applications, which resulted in funding of nearly \$114,154 in faith-based funds; \$385,005 from various foundations; \$113,204 from other government funding; and \$16,685 from other organizations. Fundraising events held in 2017 resulted in \$98,636 donated by businesses and \$228,358 by various individuals.

The "leverage" for the **City of Appleton's Homeowner Rehabilitation Loan Program** was primarily in the

form of maintaining the housing stock of the City of Appleton, and increasing the tax base. Although that doesn't directly benefit the program financially, it does increase the quality of life for the participants, the neighborhoods they live in, and the City as a whole. In addition to CDBG funds, the HRLP received CDBG program income (\$287,203), HOME Homeowner program income (\$23,990), and Lead Hazard Control program income (\$2,153) to supplement the rehabilitation program.

**Metropolitan Milwaukee Fair Housing Council** primarily leveraged CDBG funds with funding received through the US Department of Housing and Urban Development (\$9,018); however, additional funds were received from the State of Wisconsin (\$680) and private foundation sources (\$3,409).

## AFFORDABLE HOUSING (CR-20)

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

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	0	0
Number of Non-Homeless households to be provided affordable housing units	30	35
Number of Special-Needs households to be provided affordable housing units	0	0
<b>Total</b>	<b>137</b>	<b>107</b>

**Table 5- Number of Households**

	One-Year Goal	Actual
Number of households supported through Rental Assistance	103	64
Number of households supported through The Production of New Units	0	0
Number of households supported through Rehab of Existing Units	30	35
Number of households supported through Acquisition of Existing Units	4	8
<b>Total</b>	<b>137</b>	<b>107</b>

**Table 6 - Number of Households Supported**

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

Trending the past several years, release of the 2017 CDBG funds was significantly delayed, and as a result, the expenditure of the award was delayed. This specifically disrupted the activity for sub recipients' projects. Some agencies encountered specific causes for delayed and modified goals.

Both **Homeless Connections** and the **Fox Valley Warming Shelter** experienced several external influences which affected outcomes and clients served. However, the primary unforeseen influence was operating at maximum capacity with an extensive waiting list every single night in 2017. This prohibited client access to shelter during times of housing crisis and need.

***Discuss how these outcomes will impact future annual action plans.***

While the timeliness of the release and award of funding is beyond discretionary control, the City of Appleton intends to focus future funds on one-time use applications from community agencies- largely including projects that make repairs and necessary modifications to their program's current housing stock and public facilities. Also, the City intends to retain a larger portion of the award for in-house projects and programs.

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

<b>Number of Persons Served</b>	<b>CDBG Actual</b>	<b>HOME Actual</b>
Extremely Low-income	847	0
Low-income	1,727	0
Moderate-income	63	0
<b>Total</b>	<b>2,637</b>	<b>0</b>

**Table 7 – Number of Persons Served**

All of the City of Appleton's CDBG funded programs for the 2017 program year, with the exception of the administrative activities, benefited low- to moderate-income persons and households.

**HOMELESS & OTHER SPECIAL NEEDS (CR-25)**

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

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

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

While staying at the **Fox Valley Warming Shelter**, clients were provided with a safe, secure facility to sleep, and were offered hot meals, shower facilities, access to laundry, as well as opportunities to connect with resources based on individual assessment. The Warming Shelter offered these opportunities and provisions as many times as necessary- through ups and downs- because oftentimes, the Warming Shelter is the last, but best hope for these individuals.

**Homeless Connections** operated a Street Outreach Program, which sought out individuals and families experiencing homelessness and connected them with the appropriate agencies and services. Homeless Connections also offered a Shelter Program, which provided safe, temporary shelter for men, women, and children who were experiencing homelessness. Residents were provided with personal care items and meals to meet their basic needs, as well as an opportunity to participate in the Case Management Program. In this program, case managers assessed each individual, and identified their barriers to achieving self-sufficiency. Clients and case managers collaborated to develop an individualized plan with short- and long-term goals addressing these barriers and connecting them to community resources. Some of these community resources were offered in-house to best meet the needs of clients, including financial coaching (through FISC), legal services (through Legal Action), physical and emotional health services (through Partnership Community Health Center), economic support services (through Outagamie Health and Human Services), and occupational therapy services (through Fox Valley Technical College).

**Harbor House** provided 24-hour access to safe shelter for victims of domestic violence, including their children. No victim of domestic violence seeking shelter was turned away [if eligible]. During the 2017PY, only three percent of victims that sought shelter at Harbor House were considered ineligible. The Shelter's intake process included a full assessment of immediate physical and emotional needs. Advocates met with the Shelter families continuously to assess their needs and modify accordingly.

**Metropolitan Milwaukee Fair Housing Council (MMFHC)** and the local satellite office, Fair Housing Council of Northeast Wisconsin (FHCNW), conducted regular outreach services to organizations that serve individuals experiencing homelessness with intentions to provide education and resources that may impact housing solutions. During the 2017PY, staff provided four presentations at Homeless Connections, covering topics such as: purposes and provisions of local, state, and federal fair housing laws; contemporary forms of illegal discrimination in the housing market; "red flags" that may indicate the presence of unlawful discrimination in housing transactions; remedies available to people who have experienced illegal housing discrimination; and how complaints of illegal discrimination are investigated.

### ***Addressing the emergency shelter and transitional housing needs of homeless persons***

The main objective of **Homeless Connections'** housing first shelter model is to encourage clients to achieve housing stability and independence by connecting them to permanent housing solutions. Through the Fox Cities Housing Coalition, Homeless Connections continued to participate in the local coordinated entry process, which assesses, prioritizes, and connects clients with suitable housing solutions based on their individual needs.

Similarly, the **Fox Valley Warming Shelter** provided clients with information for various transitional housing options based on client assessment and prioritization through the Fox Cities Housing Coalition coordinated entry process.

Part of the advocacy **Harbor House** provides includes assistance with obtaining permanent housing. Also members of the Fox Cities Housing Coalition, Harbor House remained abreast of current affordable housing availability in the community, and participated in efforts made by the Coalition to improve housing solutions for individuals experiencing homelessness.

Financial independence is the number one indicator of reoccurrence. The economic advocacy offered through Harbor House is intended to help reduce length of homelessness by offering opportunities to work on long-term economic independence.

**LEAVEN** collaborated with the Fox Valley Warming Shelter, Harbor House, Homeless Connections, and COTS to help shelter residents move into permanent housing solutions, specifically providing financial assistance.

**The City of Appleton** acted as the fiscal administrator for the Fox Cities Continuum of Care Rapid Re-Housing Program and State of Wisconsin Emergency Homeless and Housing Program, serving as the lead agency and administering funds to Housing Partnership of the Fox Cities, Salvation Army of the Fox Cities, Fox Valley Warming Shelter, Homeless Connections, and ADVOCAP. While not all of these agencies received 2017PY CDBG funds, all of these agencies maintain housing units and programs that address needs of individuals and families experiencing homelessness in the Appleton community.

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

Homelessness and poverty are expensive, and impact the quality of life for the entire community; prevention is relatively affordable compared to the costs of waiting for the crisis to escalate. “An ounce of prevention is worth a pound of cure.” This adage describes why it’s easier and more cost-effective to prevent a problem from occurring than it is to repair the damage done later. While all 2017PY CDBG subrecipients focused their programs and efforts on serving low- and moderate-income families and individuals, several community agencies focused on preventing families and individuals from experiencing homelessness.

**LEAVEN's** financial support and assistance prevented individuals and families from slipping into greater poverty, homelessness, and ill health. LEAVEN’s rental and utility assistance ensured that individuals and families were stably housed, thereby preventing eviction, disconnection, and homelessness. The security

deposit assistance ensured occupancy in safe, affordable housing, thereby preventing extended shelter stay or remaining in abusive relationships.

**Homeless Connections**, partnering with LEAVEN, operated a Homeless Prevention Program, which addressed the needs of people imminently at-risk of homelessness. In 2017, the prevention assistance served 274 households (755 people), successfully keeping 99 percent of those households in their community housing and out of shelter. Only 29 percent of the 968 individuals assisted in 2016 returned for additional assistance in 2017.

The **Mooring Programs** and **STEP Industries** (now operating as Apricity) offered a resource for those in early recovery to have a new beginning living a clean and healthy lifestyle. Because learning to live a drug and alcohol free life takes more than 28 days of treatment, STEP offered three Sober Living Houses- two for men and 1 for women- available to individuals leaving treatment who needed a safe place to work, live, and socialize. The Mooring Programs' Male Apartment Program played an important role in helping clients find stability and prevent episodes of homelessness. By offering a supportive environment to practice the tools necessary, the men were able to continue forward on their road to recovery.

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

Harbor House also offered the Rent Smart curriculum, which helped victims get into housing with landlords, understand their rights and responsibilities, and ultimately prevent future episodes of homelessness.

Any services provided by the **Metropolitan Milwaukee Fair Housing Council's (MMFHC)** that prevent housing discrimination from being a barrier to housing opportunities may have prevented episodes of homelessness. Similarly, MMFHC's Enforcement Services- which assisted complainants in losing housing due to unlawful discrimination- served to prevent homelessness.

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

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

appropriately in the community.

Reports and recent data had shown that the number of individuals and families experiencing homelessness in the Fox Cities has not been decreasing. As a result, the City of Appleton, and its partners, identified that additional rapid re-housing and permanent supportive housing programs were necessary. Throughout 2017, the Fox Cities Housing Coalition reclassified all transitional housing programs to rapid re-housing programs in an effort to minimize the affordable housing gap and get clients housed quickly.

In addition, the FCHC initiated the planning process to open a Day Resource Center, which will house many local service providers on-site, as well as a housing navigator, in the summer of 2018.

## **PUBLIC HOUSING (CR-30)**

### ***Actions taken to address the needs of public housing***

While the City of Appleton worked closely with the Appleton Housing Authority to address issues related to affordable housing, no portion of the 2017 CDBG funds were directly used to create or address needs of their public housing stock.

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

The Appleton Housing Authority's Homebuyer Program marketed their program to the Family Self-Sufficiency Program and the Public Housing Family Program. Past and current participants of both programs received home buyers counseling throughout 2017 and comprised five percent of total households receiving counseling.

### ***Actions taken to provide assistance to troubled PHAs***

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

## **OTHER ACTIONS (CR-35)**

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

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

those barriers.

Often, the homeowner down payment assistance administered by the **Appleton Housing Authority** made mortgage payments affordable for first-time homebuyers, and sometimes the funds provided by supplemented a homeowner's down payment enough to avoid paying private mortgage insurance (PMI). Many times, the affordable houses purchased were in significant need of rehabilitation and without the Housing Authority's rehabilitation assistance, upgrades would not have been affordable.

**LEAVEN's** goal is to strengthen outcomes to ensure their clients are transitioning from crisis management to self-sufficiency. LEAVEN eliminated many barriers their clients faced by offering vital services on-site through their Community Resource Center, and developing action plans that addressed both short- and long-term needs.

**Homeless Connections** employed a specialized case manager known as a housing navigator in late 2017. This role is responsible for assisting clients in locating and securing housing. Oftentimes, clients have multiple evictions, civil judgments, poor rental history, bad credit and criminal histories that result in their applications for housing being rejected. The housing navigator will help to improve a client's standing with rental companies and landlords by resolving credit issues and civil judgments, and steering clients into programming that demonstrates self-improvement. The housing navigator will also advocate on behalf of the client with landlords and attempt to demonstrate the benefits of providing housing.

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

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

**STEP Industries** (now known as Apricity Contract Packaging) shifted towards a more direct approach in 2017, focusing on solutions rather than issues to better serve the men and women who were once mired in addiction and are now striving to create healthier lives. The organization employed eight Life Coaches, who assisted participants to identify and understand the issues that have restrained them from moving forward (i.e. obtaining GED), and have gained knowledge on adverse childhood experiences, trauma-informed care and motivational interviewing. The Education Development Specialist worked closely with the Programming Director to establish goals with participants within weeks of initial employment. All of these components enhanced the services offered through STEP and helped participants achieve self-sufficiency quicker.

The **Mooring Programs** offered both treatment for clients substance use disorder and education. These two aspects together are vital for living effectively. Participating men were required to be actively involved in counseling for support and education on substance use disorder, and were expected to develop regular attendance to support group meetings. In addition, educational opportunities were

available for the men through FISC and the AIDS Resource Center of Wisconsin.

Individuals and families experiencing homelessness must overcome many obstacles to access services that are or will be necessary in attaining self-sufficiency. For example, many are not yet enrolled for healthcare insurance, either through the federal exchanges or through Wisconsin Badger Care. In addition, connecting clients to some form of housing is vitally important. Studies have shown that once a client is connected to housing, they can focus on other aspects of importance in their life. **Homeless Connections** partnered with various agencies to provide services to assist clients with overcoming their obstacles, including: shelter facilities, case management services, peer support, access to mental and physical healthcare, SSI/SSDI applications and advocacy, provision of basic necessities, homeless prevention services, housing advocacy, rental assistance, and transportation assistance.

The Thompson Center's public facility upgrades, funded through the **City of Appleton's Neighborhood Grant Program**, ensured safety and code compliance for the elderly and disabled clients served through the programs and activities offered. Without the upgrades, continued operations at this facility would have been in jeopardy and the programs offered at this facility likely would have ceased.

Finding safe and affordable housing continued to be a significant challenge for **Harbor House** residents and continued to strain Shelters resources, particularly contributing to remaining over capacity. When operating over capacity, Harbor House utilized programming rooms as living quarters. As a result, capital campaigning was conducted and bed capacity will be increased from 55 to 68 in future years.

Becoming self-sufficient is a key component to finding and maintaining adequate housing for families beyond shelter. Harbor House's Economic Advocacy Program, implemented in 2013, continued to help clients remove barriers to maintaining employment, such as lack of childcare and transportation. In 2017, the shelter was over capacity 63 percent of the time. Twenty percent of Harbor House shelter residents participated in the Economic Advocacy Program- which resulted in 54 percent of participants obtaining employment and earning a minimum income of \$1,200 per month. Fifty-nine percent of participants increased their income overall.

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

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

Every home that participated in the **Homeownership Rehabilitation Loan Program** received a Lead Risk Assessment and was inspected for lead hazards. All lead hazards were corrected as part of the

rehabilitation process and final clearance tests were performed to ensure that the home was lead safe.

While the City of Appleton Health Department did not utilize CDBG dollars to fund the program in 2017, they administer a Lead Prevention Outreach Program to families in the City of Appleton who have children at least six months of age and are residing in pre-1950 housing.

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

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

**Salvation Army of the Fox Cities** offered food pantry access and services to low-income residents of Appleton. While it doesn't eliminate poverty, access to food during financially stressful times has shown to reduce the likelihood of deciding between paying rent or buying a gallon of milk.

**Homeless Connections** collaborated with the Fox Valley Technical College to operate an Adult Basic Education Program, enabling clients to earn their GED or HSED. Once GEDs or HSEDs were earned, clients could enter the Fox Valley Technical College and pursue a Certificate Program or an Associate Degree program that, upon graduation- could assist the client in obtaining a job that provided a living wage.

While CDBG funding did not directly contribute to the job creation, **NAMI Fox Valley** was able to incorporate eight new jobs that provided entry-level job skills and training that will help equip these individuals in pursuance of careers in the peer support field.

Nearly 80 percent of **STEP** clients who received one-on-one group education through the Vocational Learning Center advanced onto new employment during 2017. Since the implementation of the Vocational Learning Center, STEP has experienced a higher percentage of participants exiting to permanent employment, further education, or return to family. Throughout the past several years, more than half of participants have been positively exiting to permanent employment opportunities.

The **Mooring Program's** foundation for recovery is imperative to the development of a life of self-sufficiency and economic independence. Addressing the substance use disorder, understanding and recognizing the triggers that often lead to the initial and relapsed use, and utilization of tools learned to combat those triggers are what forms the foundation. The responsibility and self-respect that is built off of that foundation are the behaviors that foster the desire to establish solid work histories and become productive citizens. By providing a high quality of treatment, Mooring experienced a significant drop of unemployed men at admittance (55%) to unemployed men at discharge (14%).

The goal of **LEAVEN's** Community Resource Center is to help clients transition from crisis management

to self-sufficiency. The Center provided ease of access and imposed accountability on clients connected with resources that address the root causes of poverty. Onsite partners provided education, employment, and financial literacy services, enrollment in public benefits and health insurance, access to legal aid and mental health counseling, support and advocacy to victims of domestic violence, and linkages to medical and dental care.

Coming into shelter can be a stressful time for all clients. As a result of the crisis in their lives, some individuals are actually unable to maintain employment. They find it difficult to fulfill job duties, and lose jobs because of poor attendance and moral. By focusing more on economic advocacy, a number of **Harbor House Shelter** residents have moved into economic independence. Participating in job skills training opportunities and receiving support after obtaining employment has proven to increase the levels of success. With this stability and the potential of earning a wage above the poverty level, participants are less likely to return to Harbor House once they leave. Nearly 59 percent of individuals who participated in the Economic Advocacy Program reported an increase of income after 30 days.

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

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

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

1. City of Appleton Departments/Programs
  - a. Community and Economic Development Department
  - b. Finance Department
2. Other Public Sector
  - a. Appleton Housing Authority
  - b. Outagamie Housing Authority
  - c. Outagamie County Department of Health & Human Services
3. Other Funders
  - a. United Way of the Fox Cities
  - b. Community Foundation for the Fox Valley Region
  - c. JJ Keller Foundation
  - d. US Venture/ Schmidt Family Foundation
4. Private Sector
  - a. Churches

- b. Contractors for housing/commercial rehabilitation
- c. Companies that provide grants, services, discounts, donations, in-kind services, etc.

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

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

Throughout the reporting period, **Appleton Housing Authority** worked with several other private housing agencies to identify first-time homebuyers in the City of Appleton who would benefit from down payment and closing cost assistance to achieve affordable homeownership.

The **Fox Cities Housing Coalition**, of which all 2017 CDBG sub recipients are members, actively sought to continue and enhance coordination between public and private housing and social service agencies. Each agency in the Coalition worked to ensure that all individuals experiencing homelessness- regardless of the reason- were provided with the shelter and support needed. Further, several of these agencies are also members of the Wisconsin Balance of State Continuum of Care, which is a state-wide membership actively seeking to enhance coordination between public and private housing and social service agencies, and ultimately end homelessness.

The fourteen organizations comprising the **LEAVEN** Community Resource Center will connected people with both public benefits and nonprofit services. The new client database ensure that systems are keeping pace with the new delivery model, allowing LEAVEN to monitor the initiation, follow-through, and outcomes of the referrals made between organizations.

The **Mooring Programs** incorporated a Client Care Coordinator to streamline services, and coordinate with Partnership Community Health Services and dental clinic to provide participating clients with medical and dental care.

**Harbor House's** Economic Advocacy Program enhanced coordination between three local agencies to assist clients find and maintain housing and employment.

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

Through a \$25,000 grant award, the **Metropolitan Milwaukee Fair Housing Council (MMFHC)** conducted activities that affirmatively furthered fair housing and helped create a more equitable, inclusive, and fair housing market in the City of Appleton. While some of the most important outcomes

of the project activities are long-term, and not easily measured in the time span of a single program year, proposed activities were designed to have the following outcomes:

- 1) Appleton residents who received fair housing educational services have increased knowledge of fair housing rights and increased ability to seek appropriate resources for fair housing and non-fair housing related issues, resulting in referrals and complaints. Presentations offered to home seekers and their advocates empowered housing consumers to become better self-advocates, to recognize discriminatory experiences, and seek remedy and/or other resources after experiencing illegal housing discrimination.
- 2) Provision of technical assistance and training to housing providers resulted in greater compliance with fair housing laws and fewer incidents of illegal discrimination. Technical assistance provided to nonprofit housing providers and providers of housing-oriented support services disseminated information regarding the provisions of fair housing laws, including information essential to conducting business in compliance with fair housing laws.
- 3) Direct service fair housing enforcement services provided victims of illegal housing discrimination with increased access to legal remedies. Services provided to victims included counseling on fair housing rights and access to enforcement services, including fair housing testing- the most effective evidence gathering method in fair housing enforcement. The quality of services ensured credible and objective evidence, thus maximizing the successful resolution of complaints. In addition, persons with non-fair housing inquiries received information regarding fair housing issues and were referred to other community resources.

Specifically, MMFHC provided a training opportunity to 23 housing providers- opening doors to hundreds of housing units. The training seminar 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 showing available units to terminating tenancy. Attendees also received written information about fair housing. Staff of MMFHC also conducted dozens of community contacts with City of Appleton organizations and distributed over 1,200 copies of fair housing informational materials. These materials provided a comprehensive overview of fair housing protections and how victims of unlawful discrimination can seek assistance.

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

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

### **Impediment #1: Limited Fair Housing Ordinance**

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

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

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

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

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

Data gathered during a local initiative, known as Project RUSH, shows a significant mismatch in the Appleton community in the availability of affordable housing and the ability of individuals and families to pay for such housing. As such, agencies throughout the community have collaborated to create additional housing options to close this gap.

For example, in January 2017, there was a rise in the average home cost in the Appleton area, therefore making it difficult for the low- to moderate-income population to compete in the housing market.

**MONITORING (CR-40)**

Appleton Housing Authority made it possible, through their affordable housing and homeownership assistance program, for first-time homebuyers to purchase homes in the competitive market. Also, the Fox Cities Housing Coalition re-evaluated and re-allocated all of the transitional housing stock to permanent supportive housing options in an effort to get individuals housed quickly and affordably. Other programs and projects in progress for the upcoming year include the addition of a Homeless Diversion Program; the addition of a housing navigator as proposed through the Project RUSH steering committee; and the creation of a Day Resource Center.

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

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

In 2017, applications were received and initially reviewed by the City of Appleton's Community and Economic Development Department staff. A CDBG Advisory Board, comprised of City Council, City Committee, and community agency members with experience in grant awarding and identifying community needs, was then responsible for reviewing the eligible applications and determining which proposed projects met the greatest needs of the community. These recommendations were reviewed and approved first by the City of Appleton's Community and Economic Development Committee and then by City Council.

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

1. Which products/services were the best use of funds while addressing the highest priority needs of the community?
2. Which proposed projects were requesting a one-time use of CDBG dollars?

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

Throughout the 2017 CDBG program year, sub recipients submitted accomplishment reports and payment requests, which were used by City of Appleton staff to track activity accomplishments and progress, expenditures, and record keeping. Sufficient documentation, reasonable expenses, as well as qualifying activities were evaluated. Failure to submit, or identified discrepancies in any of these areas, triggered additional review and some level of communication with the sub recipient. These reviews, and the overall progress of the agency and/or project, was considered if they submitted an application for the 2018 program year.

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

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

Citizens were provided with two separate opportunities for public comment: a 30-day public comment period and a public hearing at a regularly scheduled meeting of the City of Appleton's Community and Economic Development Committee. The public comment period was open May 7, 2018, through June 6, 2018, and the public hearing was held at the June 13, 2018, meeting of the Community and Economic Development Committee. Comments and views of citizens were taken into consideration and included within the CAPER, as appropriate.

**CDBG (CR-45)**

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

There were no changes in program objectives during the 2017 program year, and the City of Appleton does not anticipate making any changes to the programming.

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

No

**HOME/ADDI**

The City of Appleton did not receive any HOME/ADDI funds during the 2017 program year.

**HOPWA**

The City of Appleton did not receive any HOPWA funds during the 2017 program year.