



# Fourth Program Year: 2013 Action Plan

The CPMP Fourth Annual Action Plan includes the [SF 424](#) and Narrative Responses to Action Plan 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.

## Narrative Responses

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

### GENERAL

#### Executive Summary

The Executive Summary is required. Include the objectives and outcomes identified in the plan and an evaluation of past performance.

Program Year 4 Action Plan Executive Summary:

Located in northeastern Wisconsin, 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 serves as a catalyst for economic development activities that expand jobs and business opportunities for lower income families and neighborhoods.

Although several objectives and outcomes are addressed, Appleton's 2013 CDBG-funded activities primarily focus on rehabilitation of both rental and homeowner housing units in the City. Funds were also awarded under public services and administration. The following tables summarize goals for the 2013 CDBG program year by presenting:

- Each specific combination of objective and outcome
- Related annual objectives
- Activities that address annual objectives

<b>OBJECTIVE 1: DECENT HOUSING</b>	
<b><i>Outcome: Availability/Accessibility</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Increase supply of affordable housing units for LMI persons</li> <li>Increase supply of housing for persons with special needs</li> </ul>	<ul style="list-style-type: none"> <li>Appleton’s Homeowner Rehabilitation Loan Program will provide no-interest rehabilitation loans to low-income homeowners.</li> <li>Appleton Housing Authority will make more handicapped accessible public housing available.</li> </ul>
<b><i>Outcome: Affordability</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Assist LMI persons to obtain and/or maintain housing</li> </ul>	<ul style="list-style-type: none"> <li>Appleton’s Homeowner Rehabilitation Loan Program provides rehabilitation loans to low-income homeowners.</li> <li>Appleton Housing Authority will provide LMI persons with down payment assistance.</li> <li>A contracted provider will assist with fair housing outreach, education, investigation and enforcement.</li> </ul>
<b><i>Outcome: Sustainability</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Preserve existing units of affordable housing</li> <li>Provide assistance to persons at risk of becoming homeless</li> </ul>	<ul style="list-style-type: none"> <li>Appleton Housing Authority and Housing Partnership of the Fox Cities will continue to operate and update/maintain affordable housing units throughout the City.</li> <li>Appleton Housing Authority will work with residents to ensure decent safe and sanitary housing options for persons at risk of becoming homeless.</li> </ul>

<b>OBJECTIVE 2: SUITABLE LIVING ENVIRONMENT</b>	
<b><i>Availability/Accessibility of a Suitable Living Environment</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Increase availability of quality services to LMI persons</li> </ul>	<ul style="list-style-type: none"> <li>Appleton’s Neighborhood Services Program will facilitate services in neighborhoods serving LMI persons.</li> <li>Community organizations such as Habitat for Humanity and other local partners will implement programs to further these objectives.</li> </ul>
<b><i>Sustainability of a Suitable Living Environment</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Improve safety and livability of local neighborhoods</li> </ul>	<ul style="list-style-type: none"> <li>Appleton’s Neighborhood Services Program will facilitate beautification and special projects in LMI neighborhoods.</li> </ul>

<b>OBJECTIVE 3: ECONOMIC OPPORTUNITY</b>	
<b><i>Availability/Accessibility of Economic Opportunity</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Empower low-income persons to become self-sufficient</li> </ul>	<ul style="list-style-type: none"> <li>Community organizations such as FISC provide services to empower LMI persons to become self sufficient.</li> </ul>
<b><i>Sustainability of Economic Opportunity</i></b>	
<b>Annual Objective:</b>	<b>Related Activity:</b>
<ul style="list-style-type: none"> <li>Improve economic viability of local neighborhoods</li> </ul>	<ul style="list-style-type: none"> <li>Appleton’s Neighborhood Services Program will facilitate revitalization projects in LMI neighborhoods.</li> </ul>

The focus remains on each of the activities discussed below to address high priority needs identified in the 2010-2014 Consolidated Plan.

**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)

Over the past ten years, the City of Appleton has primarily designated its CDBG entitlement funding toward affordable housing, revitalization and public services-related activities via a competitive subrecipient application process. The percentage of CDBG funding allocated toward each category for the years 2003-2012 is summarized below:

- 53% = Housing
- 16% = Neighborhood/Business Revitalization
- 15% = Public Services
- 6% = Administration

- 4% = Public Facilities
- 4% = Fair Housing

Until 2008, Appleton generally funded between 15-25 subrecipients annually, allowing for each agency to receive a small portion of the total CDBG Entitlement amount for their various community development-related request. Because the annual award began to decrease yearly, however, the City implemented a \$10,000 minimum CDBG award limit in 2009. This strategy tests the theory that larger monetary awards among fewer subrecipients yields greater number of strategic outputs based on the priority housing, homeless, non-homeless/special and community development needs identified. The success of this minimum limit, in addition to other changes identified via the next several allocation processes, will continue to be measured throughout 2010-2014.

During the Consolidated Plan period of 2005-2009, the following results were achieved:

- 83 low-moderate income households became first time homeowners
- 119 low-moderate income households had their homes rehabilitated
- 14 vacant lots were acquired for construction of affordable single family homes
- 101 units of affordable housing were rehabilitated
- 30 new units of transitional housing were created
- 5 rental units were refurbished for tenants with special accessibility needs
- 45 households received accessibility improvements for their homes
- 1,425 persons received emergency shelter and services as a result of homelessness
- 1,107 persons facing domestic violence received shelter and support services
- 285 persons received emergency housing financial assistance
- 1,432 new parents were provided with education on how to care for an infant
- 3,065 persons were provided with financial counseling or education
- 8 public facilities, including those serving the homeless and seniors, were improved
- 6 beautification/special projects were completed as part of neighborhood revitalization
- 24 businesses were assisted as part of neighborhood revitalization
- 137 at-risk youth received AODA and mental health counseling services
- 401 at-risk youth and young adults participated in vocational skills development
- 1,539 persons received literacy training and/or job development education/training
- 679 families received assistance or support in caring for their disabled child
- 5,716 persons received primary health care services at a community clinic

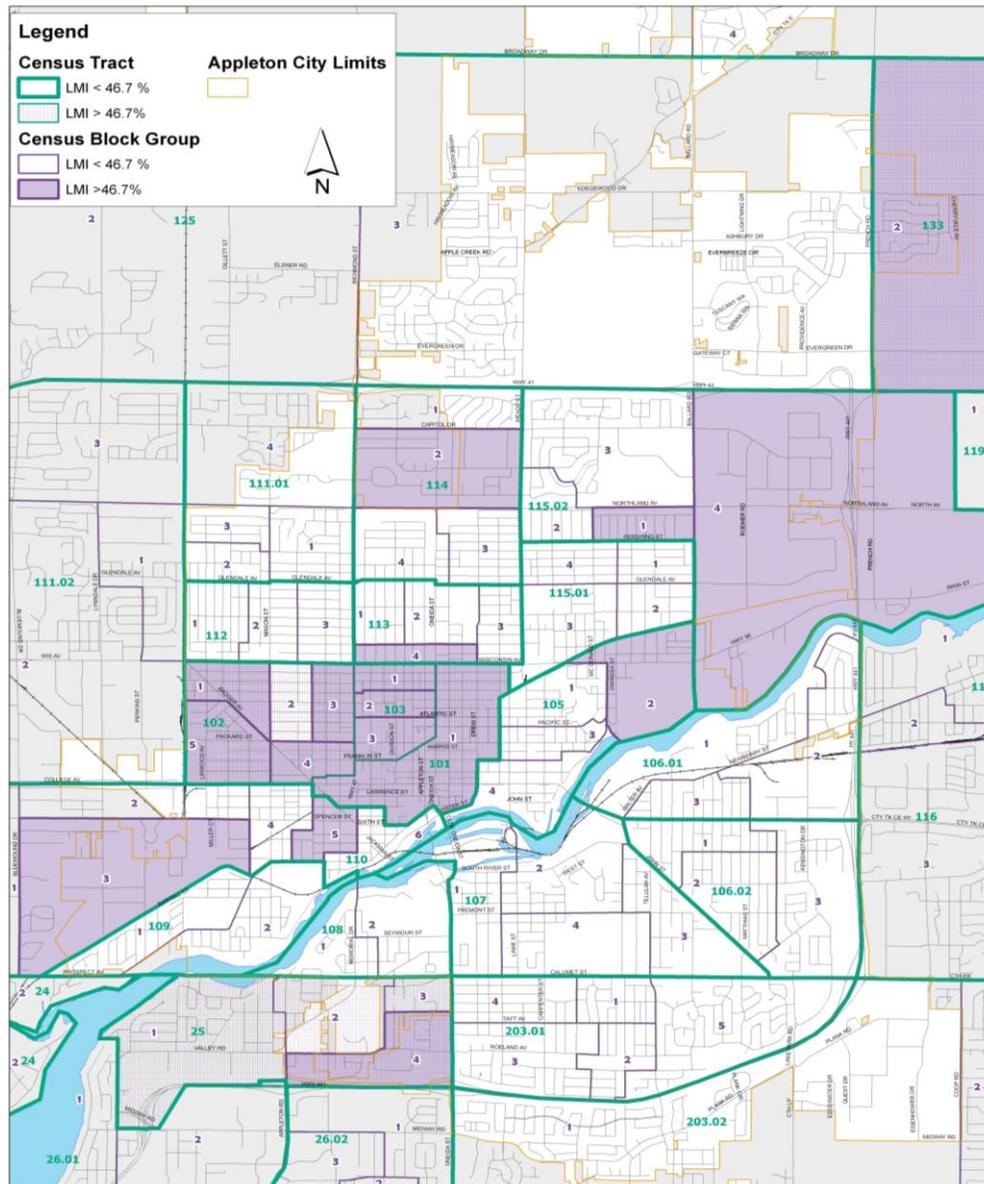
## General Questions

1. Describe the geographic areas of the jurisdiction (including areas of low income families and/or racial/minority concentration) in which assistance will be directed during the next year. Where appropriate, the jurisdiction should estimate the percentage of funds the jurisdiction plans to dedicate to target areas.
2. Describe the basis for allocating investments geographically within the jurisdiction (or within the EMSA for HOPWA) (91.215(a)(1)) during the next year and the rationale for assigning the priorities.
3. Describe actions that will take place during the next year to address obstacles to meeting underserved needs.

- Identify the federal, state, and local resources expected to be made available to address the needs identified in the plan. Federal resources should include Section 8 funds made available to the jurisdiction, Low-Income Housing Tax Credits, and competitive McKinney-Vento Homeless Assistance Act funds expected to be available to address priority needs and specific objectives identified in the strategic plan.

Program Year 4 Action Plan General Questions response:

- In identifying low-moderate income (LMI) areas for the City of Appleton, per federal regulations, HUD has determined that the upper quartile equals 46.7 percent. More specifically, only census tracts, block groups or other designated areas where the population contains at least 46.7 percent low-moderate income persons will qualify as an LMI area; the below map depicts these block groups within the City. However, based on analysis beyond census data, it has been determined that the majority of area benefit activities will be undertaken in the central city residential neighborhoods – Census Tracts 101, 102 and 103.

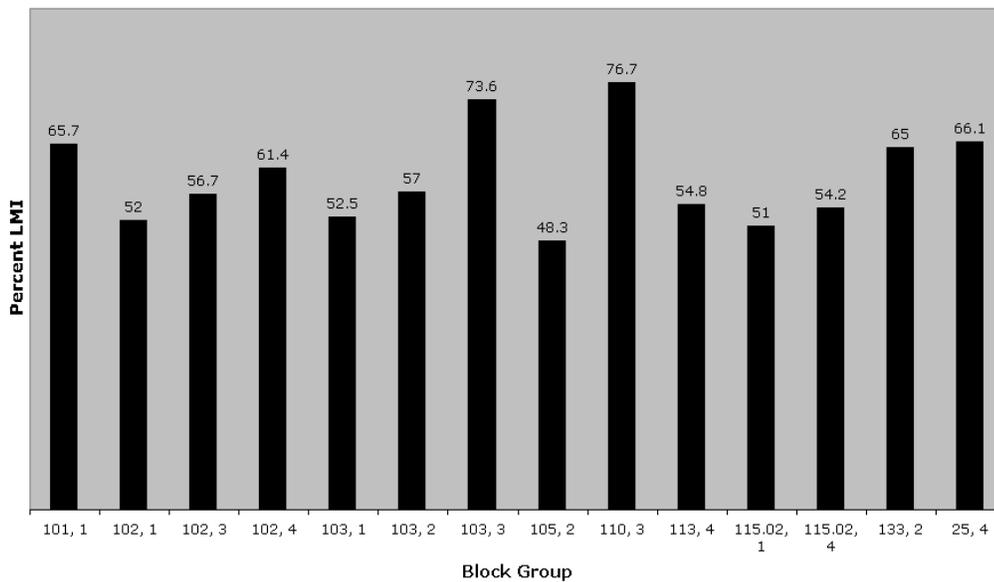


The below table summarizes LMI percentages by block group in Appleton’s qualifying areas.

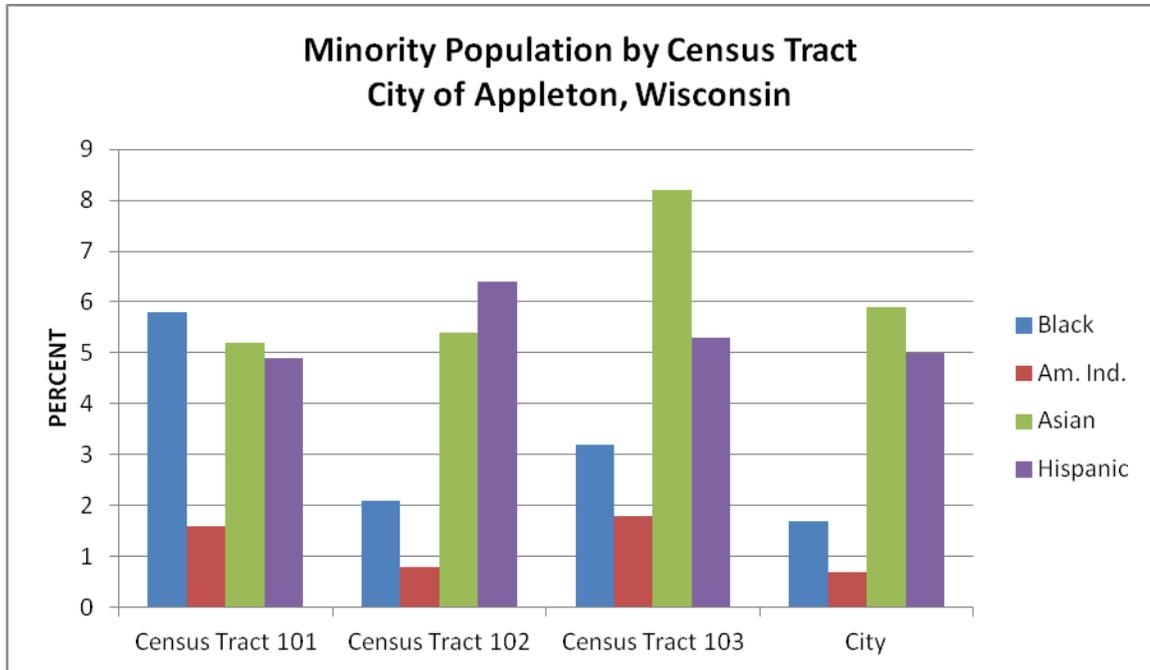
LOW-MOD CENSUS TRACTS & BLOCK GROUPS (APPLETON, WI)				
Tract	Block Group	LMI Population	Total Population	Percent LMI
011000	3	140	180	77.8
010300	3	707	928	76.2
010100	1	1574	2360	66.7
002500	4	380	575	66.1
011400	2	455	700	65.0
013300	2	26	40	65.0
010200	4	488	769	63.5
010300	2	418	721	58.0
010200	3	587	1025	57.3
011502	4	81	144	56.2
010200	1	499	903	55.3
010300	1	339	617	54.9
011300	4	348	635	54.8
011502	1	508	983	51.7
010500	2	367	747	49.1
010200	5	453	928	48.8
011000	5	392	839	46.7

Within tracts located in Appleton’s central city, the total of areas with the greatest concentration of LMI persons, at 63.2 percent, includes: Census Tract 101, Block Group 1; Census Tract 102, Block 3 and 4; Census Tract 103, Block Groups 1, 2 and 3; and Census Tract 113, Block Group 4. The highest LMI percentage for an isolated block group, at 77.8 percent, falls in Census Tract 110, Block Group 3 – located on the southwest side of the city.

**LMI Population by Block Group in the City of Appleton, WI**



Also located in the central city, the area with the greatest racial/minority concentration includes Census Tract 103. Census Tract 103 boasts a diverse population, with three percent Black or African American, eight percent Asian, five percent Hispanic and two percent American Indian and Alaska Native. Other Census Tracts containing significant minority populations include 101 and 102.



While Black or African Americans comprise only two percent of the overall Appleton population, 20 percent of the Black or African American population resides within Census Tracts 101, 102 and 103. Meanwhile, the largest Asian populations reside in Census Tracts 102 and 103.

2. CDBG funds will be used to address high priority needs, which were identified via a comprehensive community needs identification and prioritization process. Efforts will not necessarily be targeted geographically. The City’s Neighborhood Services Program, which operates as a low-moderate income area benefit project providing public facilities and other special projects that work together to increase vitality and sustainability of at-risk, targets neighborhoods in Appleton’s central city.
3. While City staff undertook a thorough process to identify priority community needs, it remains inevitable that all needs will not be met with the limited amount of CDBG and other grant funding available in 2013. The following table outlines additional obstacles identified in the Consolidated Plan and how they will be addressed with HUD funds in 2013.

<b>OBSTACLES TO MEETING UNDERSERVED NEEDS</b>	
<b>Obstacle:</b>	<b>How to Address</b>
1. CDBG is preferred to fund hard costs of innovative projects rather than operational and maintenance costs of existing programs	<ul style="list-style-type: none"> <li>▪ Explore various ways to work with numerous HUD and other grants to maximize efficiency and success of projects serving LMI populations; leveraging funds is key to grant success.</li> </ul>
2. Government regulations often limit flexibility for specific use of funds, which may disallow for addressing the highest priorities	<ul style="list-style-type: none"> <li>▪ Enhance relationships with private and other funders to assist with grants for activities not covered under HUD grants to ultimately achieve project success as described in number one above.</li> </ul>
3. The number of low-moderate income households increased in 2010 and 2011 due to the economic recession that continues from late 2008	<ul style="list-style-type: none"> <li>▪ Proactively market the Homeowner Rehab program through a variety of service providers so the funds achieve their most productive and effective use throughout the community.</li> </ul>
4. Stringent documentation procedures and requirements have become administratively burdensome for subrecipients and have discouraged many public service organizations from applying for CDBG funds.	<ul style="list-style-type: none"> <li>▪ Continue training for existing and potential subrecipients and encourage them to establish protocols that ease the burden of documentation.</li> </ul>

4. During 2013, the City of Appleton will directly administer several grants acquired for the purpose of addressing the priority needs identified in the Five-Year Comprehensive Plan, including:
- Community Development Block Grant (CDBG)
  - Permanent Supportive Housing – Transitional Housing Program (PSH-THP)
  - Emergency Transitional Housing (ETH)

Furthermore, non-City entities, including the Emergency Shelter of the Fox Valley and the Appleton Housing Authority, administer the following grants that also address priority needs:

- State Shelter Subsidy Grant (SSSG)
- Continuum of Care/Supportive Housing Program (COC/SHP)
- Projects for Assistance in the Transition from Homelessness (PATH)
- SSI/SSDI Outreach, Access, and Recovery (SOAR)
- Low Income Housing Tax Credits
- HUD VASH Voucher Program
- HUD HOME Funds
- HUD Public Housing Funds
- Tenant Based Rental Assistance (TBRA)

**Community Development Block Grant**

As an Entitlement Community receiving funds directly from HUD, the City of Appleton provides grant assistance for local projects through use of Community Development Block Grants (CDBG). Each year, programs may apply for funding to implement activities that meet the goals and objectives as defined in the City’s Five-Year Consolidated Plan. The following subrecipients will receive CDBG funds in 2013:

<b>Organization/Program Name</b>	<b>Program Type</b>	<b>Award</b>
City of Appleton <i>CDBG Administration</i>	administration	\$ 20,000
City of Appleton <i>Fair Housing Services</i>	administration	\$ 22,000
City of Appleton <i>Homeowner Rehabilitation Loan Program</i>	housing	\$ 225,000
City of Appleton <i>Neighborhood Services</i>	public facilities/ economic development	\$ 40,000
Appleton Housing Authority <i>Homebuyer Program</i>	housing	\$ 60,000
Harbor House <i>Shelter Program</i>	public service	\$ 15,000
FISC <i>Self-Sufficiency Program</i>	public service	\$ 10,000
Emergency Shelter of the Fox Valley <i>Homeless Program</i>	public facilities	\$ 10,000
Habitat for Humanity <i>Green Built Affordable Homeownership</i>	Housing	\$ 15,000
Housing Partnership of the Fox Cities <i>Affordable Rental Housing</i>	Non-homeless special needs housing	\$ 13,000
<b>TOTAL CDBG AWARDS:</b>		<b>\$ 430,000</b>

For the purposes of 2013 Program Year planning, it is anticipated that the City of Appleton will receive a \$430,000 CDBG entitlement award. As the previous program year end approaches, additional funds resulting from carryover may also be reprogrammed. Regardless of the final amount, the funding will be distributed among 3-6 subrecipient programs, in addition to \$20,000 for CDBG Administration activities, for implementation of various programs that address the priority needs listed on page 3.

### **Emergency Shelter Grant/Transitional Housing Program/Homeless Prevention Program**

While the City of Appleton does not receive any Emergency Shelter Grant (ESG) funds as an entitlement, the City has served as the lead fiscal and administrative agent for the State of Wisconsin's competitive Emergency Shelter Grant/Transitional Housing Program/Homeless Prevention Program (ESG/THP/HPP) Program. The goal of this program involves:

- Improving the quality of emergency shelters for the homeless
- Making additional emergency shelters available
- Meeting the costs of operating emergency shelters
- Providing prevention programs and essential services to homeless persons

ESG/THP/HPP funds serve all homeless populations, including victims of domestic violence, runaway adolescents and persons with disabilities. Furthermore, the funding may be used in four categories of activities: renovation, prevention, essential services and operation costs.

Within the City of Appleton the following local agencies receive ESG/THP/HPP funding to carry out the above tasks: Salvation Army of the Fox Cities, Housing Partnership of the Fox Cities, Emergency Shelter of the Fox Valley, COTS, ADVOCAP and Legal Action of WI.

### **Continuum of Care/Supportive Housing Program (COC/SHP)**

The City of Appleton receives Continuum of Care/Supportive Housing Program (COC/SHP) dollars through a competitive process as part of the Balance of State Continuum of Care (BOS COC), rather than as an entitlement community. Emergency Shelter of the Fox Valley, Salvation Army of the Fox Cities, Housing Partnership of the Fox Cities and ADVOCAP provide the direct services associated with the three separate COC/SHP Programs. Their match sources include rental income and private donations.

Appleton's three COC/SHP Programs, (Fox Cities Transitional Housing Program, Wireworks Permanent Supportive Housing Program and Fox Cities Housing First Program) are designed to promote the development of supportive housing and services to assist homeless persons in the transition from homelessness and to enable them to live as independently as possible. Assistance in the supportive housing program is provided to help homeless persons meet three overall goals:

1. Achieve residential stability
2. Increase skill levels and/or incomes
3. Obtain greater self-determination

Supportive services provided by partner agencies include case management, life skills education, employment assistance, health/mental health services, housing counseling, nutritional counseling, security arrangements and guidance for other assistance.

### **Neighborhood Stabilization Program (NSP)**

Authorized under Title III of the Housing and Economic Recovery Act (HERA) of 2008 as an adjunct to the Community Development Block Grant (CDBG) Program, the federal Neighborhood Stabilization Program (NSP) provides grants to every state and certain local communities to purchase foreclosed or abandoned homes and to rehabilitate, resell, or redevelop these homes in order to stabilize neighborhoods and stem the decline of values of neighboring homes. In Wisconsin, the City of Milwaukee received approximately \$9.2 million in direct NSP1 funding, while the State received approximately \$38.8 million to allocate via a competitive grant application process. In 2009, the City of Appleton received approximately \$1.2 million from Wisconsin's NSP1 award to fund four subrecipients carrying out NSP-eligible activities. These activities are described below and will conclude in 2013.

1. *Appleton Housing Authority* – this activity involves a vacant commercial property ordered for demolition by the City of Appleton. Upon acquisition of the property with other funds, NSP funds were used to demolish the existing blighted structure and construct a no-step entrance, handicap-accessible, side-by-side duplex for households under 50 percent CMI.
2. *WI Partnership for Housing Development* – the activity involved acquisition of single-family foreclosed homes. These homes were rehabilitated as necessary and eventually sold to home buyers between 80-120 percent of the CMI. Program income from the first two sales would be utilized for purchase and rehabilitation of a third home. This program is ended in 2012 and program income from the sale of the third home was made available to Habitat for Humanity.
3. *Habitat for Humanity* – this activity will utilize NSP program income to demolish a foreclosed, blighted home that lowers property values, degrades community morale, and reduces neighborhood pride. A new home will then be built to fit the current neighborhood character, adding a new and vibrant structure in place of an abandoned property. This home will be completed in early 2013.

4. *Housing Partnership of the Fox Cities* – this activity involves NSP-funded acquisition and rehabilitation of two duplexes for additional units in a collaborative 'Housing First' project, as well as acquisition and rehabilitation of two single-family homes to serve low-income, disabled residents. All four properties were acquired in late 2010, but rehabilitation will be completed in early 2013.

#### **State Shelter Subsidy Grant (SSSG) – Emergency Shelter of the Fox Valley**

The Emergency Shelter of the Fox Valley has received significant funding from the SSSG Program for operation of their facility. This program provides up to 50 percent of an emergency shelter or voucher program's annual operating budget and is available to shelters with additional funding needs due to: 1) renovation/expansion of an existing shelter facility; 2) development of an existing building into a shelter facility; 3) expansion/development of shelter services; or 4) inability of a program to obtain adequate funding to continue an existing level of service. In total, the emergency shelter programs funded by the State Shelter Subsidy Grant Program provided approximately 398,000 nights of shelter to 24,000 persons annually.

#### **Projects for Assistance in the Transition from Homelessness (PATH) Emergency Shelter of the Fox Valley**

Created in 1991 under the McKinney-Vento Act, PATH is a federal formula grant program administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). PATH funds serve individuals with serious mental illness, as well as individuals with co-occurring substance abuse disorders, who are homeless. Under the PATH grant program, SAMHSA provides a flexible stream of funding that encourages community commitment to serving individuals who are homeless and living with serious mental illness and helps fill critical gaps in services. PATH, by nature of the selective focus, draws attention to the most vulnerable of the homeless population and allows for implementation of programming to meet their needs. In 2013, the Emergency Shelter will continue their local PATH program.

#### **SSI/SSDI Outreach, Access, and Recovery (SOAR) – Emergency Shelter of the Fox Valley**

Many homeless adults, particularly those who have mental illness and are chronically homeless, do not receive Social Security Administration (SSA) benefits. While many are likely to be eligible, only 11 percent of the people who are homeless are currently estimated to receive Supplemental Security Income (SSI) or Social Security Disability Income (SSDI) benefits. Nationally, only 37 percent of SSA disability applicants are approved for benefits upon initial application. Although approvals increase to 53 percent after appeal, that process can take years. Using SSI/SSDI Outreach Access and Recovery (SOAR) methods, initial approval rates can increase to 60-90 percent of applicants, without appeals. In 2013, the Emergency Shelter will sustain the SOAR program with CDBG assistance from Outagamie County and the State of WI.

#### **HUD VASH Voucher Program – Appleton Housing Authority**

Federal funding for homeless veterans under the HUD VASH Voucher Program will assist 50 families/individuals; federal funding will continue for a baseline of 547 families/individuals under the Housing Choice Voucher Program.

#### **HUD HOME Funds – Appleton Housing Authority**

Federal HOME dollars passed through the State of Wisconsin will provide continued funding for the AHA's First Time Homebuyer Program, which in return greatly aids in the local foreclosure crisis while creating new affordable housing and neighborhood revitalization.

**Tenant Based Rental Assistance (TBRA) – Appleton Housing Authority**

State TBRA dollars received through the State of Wisconsin will help provide rental assistance to homeless/disabled individuals living in transitional housing at Housing Partnership of the Fox Cities and through private market landlords under Salvation Army of the Fox Cities.

**Private Funding Sources**

Numerous local private sector entities offer additional monetary assistance and in-kind services as leverage for projects that address priority needs. Local funding/leverage for meeting priority community development needs comes from several sources, including foundations and private companies. The following list represents only a sampling of the larger local funding/resource providers:

- United Way of the Fox Cities
- Community Foundation Fox Valley
- J. J. Keller Foundation
- U.S. Oil/Schmidt Family Foundation
- Bemis Foundation
- Community First Credit Union
- Affinity Health Systems
- Kimberly Clark Corporation
- Menasha Corporation
- Thrivent Financial for Lutherans
- UW-Fox Valley
- Fox Valley Technical College

**Non-Federal Public Sources**

City of Appleton subrecipient agencies utilize various non-federal public sources, namely in the homeless grant funding arena. Specifically, the State's Transitional Housing Program (THP) and Homeless Prevention Program (HPP) are awarded in tandem with federal ESG funds, while the State Shelter Subsidy Grant (SSSG) is administered separately. In addition, several county health and human service grant programs – in Outagamie, Winnebago, and Calumet – complement our federal and private sources. Furthermore, City staff continues to encourage all current and past subrecipients to be creative with using CDBG as a complementary funding source on a range community development projects.

**Managing the Process**

1. Identify the lead agency, entity, and agencies responsible for administering programs covered by the consolidated plan.
2. Identify the significant aspects of the process by which the plan was developed, and the agencies, groups, organizations, and others who participated in the process.
3. Describe actions that will take place during the next year to enhance coordination between public and private housing, health, and social service agencies.

Program Year 4 Action Plan Managing the Process response:

1. The City of Appleton serves as the lead fiscal and administrative agent for the Community Development Block Grant (CDBG) program, in addition to several other homeless, housing and community development grants. The Community and Economic Development Department staff maintains responsibility for development of the Five-Year Consolidated Plan, in addition to each respective Annual Action Plan and Consolidated Annual Performance & Evaluation Report (CAPER). The Finance Department administers the financial aspect of the CDBG program.
2. Together with community leaders, municipal government representatives and local advocates for community development, housing and homeless issues, the City worked to develop a Consolidated Plan that included a set of priority needs, in addition to specific goals and objectives, for related programming during 2010-2014. In an effort to increase public involvement in the development of the 2010-2014 Consolidated Plan, the City of Appleton contracted with the consultant firms of Urban Strategies and Community Planning & Development Advisors (CPDA), LLC to conduct two online surveys – one community wide and one for stakeholders – and two focus groups – one for practitioners and one for community leaders. In addition, CPDA staff performed various data analysis to assist in developing both the listing of high priority needs and the goals/objectives for 2010-2014.
3. For Program Year 2013, the City of Appleton’s Community and Economic Development Department will oversee implementation of the CDBG funding allocations. Approximately 14.7% of the entitlement for PY2013 will be distributed among community partners via a competitive application process. Categories of focus for PY2013 include public service and non-homeless special needs housing.

Over the next year, coordination among the subrecipients and other relevant bodies will improve as the City of Appleton continues to encourage open lines of communication and discussion regarding community development needs in the area. Representatives will be asked to participate in various reporting activities to demonstrate how accurately both the Five Year Consolidated Plan and this Annual Action Plan reflect the changing needs of each respective population served. In 2013, the Housing Coordinator will maintain regular participation in the Fox Cities Housing Coalition.

The City of Appleton greatly utilizes its membership in the Fox Cities Housing Coalition (FCHC) as a means to enhance coordination with community sectors involving housing, health and social services. Staff from the Community and Economic Development and Health Departments participates actively in the FCHC in order to monitor potential opportunities for collaborations with other agencies/programs.

The City’s Diversity Coordinator has engaged local government, shelters, faith-based organizations, and other stakeholders in addressing the need of individuals that utilize the Valley Transit location as a hangout. Some of the individuals utilizing the area called Washington Square are experiencing poverty, homelessness and other issues in their lives which may cause them to be marginalized by the community and services at large. This discussion continues on a quarterly basis to ensure that Appleton is a welcoming and inclusive place for all. The Diversity Coordinator also offers training opportunities exploring bias regarding Race, Religion, Sexual Orientation, Gender, Disability and Mental Health to ensure that public, private, health and social service agencies are meeting the needs of marginalized community members.

## Citizen Participation

1. Provide a summary of the citizen participation process.
2. Provide a summary of citizen comments or views on the plan.
3. Provide a summary of efforts made to broaden public participation in the development of the consolidated plan, including outreach to minorities and non-English speaking persons, as well as persons with disabilities.
4. Provide a written explanation of comments not accepted and the reasons why these comments were not accepted.

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

Program Year 4 Action Plan Citizen Participation response:

### **1. Annual Plan Citizen Participation**

Citizens of Appleton are welcomed and encouraged to attend meetings of the Community and Economic Development Committee (CEDC) and/or Common Council, as various community development-related items arise throughout the program year. On an annual basis, however, public input is specifically sought in the following manners:

- *Community Development Needs Hearing* → the CEDC typically holds a formal public hearing on community development needs in the summer, as the CDBG subrecipient application process commences. At this public hearing, citizens are encouraged to identify needs and suggest community development programs/projects to address those needs. The CEDC – in formulating Appleton’s CDBG program for the upcoming year – utilizes both information gained from this hearing and the Consolidated Plan.
- *Action Plan Public Hearing/Comment Period* → both a public hearing and a 30-day public comment period are held in January/February upon completion of the DRAFT Annual Action Plan for the upcoming program year. Citizens are encouraged to review the Plan and provide comments, which are included with the Final Annual Plan.
- *CAPER Public Hearing/Comment Period* → both a public hearing and a 30-day public comment period are held in May/June upon completion of the DRAFT Consolidated Annual Performance and Evaluation Report (CAPER), which summarizes the previous year’s CDBG activities. All comments received during the public comment period will be included with the Final CAPER.
- *As-Needed Public Hearings/Comment Periods* → appropriate forms of public comment will be sought under special circumstances, such as proposed amendments to plans/reports, significant changes in priority needs or identification of additional funding sources.

Public Notices announcing these hearings/comment periods are published in the local newspaper, the *Appleton Post Crescent*, and on the City of Appleton web page. The 2013 Annual Action Plan was released for public comment on January 11, 2013; comments were accepted via email or written letter until February 11, 2013. In addition, a public hearing on the plan was held at a regularly scheduled Community and Economic Development Committee (CEDC) meeting on Monday, January 21, 2013, beginning at

5:00 p.m. at Appleton City Hall. Despite offering services from Appleton CDBG staff, minimal TA was provided to programs seeking funding under the grant program. Specific questions posed were answered via email or phone.

In addition to opportunities for public input during the consolidated planning process, public input was also heavily sought upon publishing the first draft of this 2010-2014 Consolidated Plan. The DRAFT Plan Executive Summary, including the list of high priority needs and specific goals/objectives, was released on July 14, 2009, with the Executive Summary as the main point of publicity, as it summarized the two most vital components of the plan – the priority needs and the goals/objective for the next five years. On July 20, 2009, a public hearing was held in order to allow citizens to voice their community development-related concerns related to the DRAFT Plan directly to the Community Development Committee (CDC). Furthermore, a 40-day public comment period was held in order to allow all interested parties ample time for communicating their thoughts, concerns, questions and ideas regarding the DRAFT Plan to the Grants Administrator. Comments received after the public hearings were presented to the CDC before final approval of the Plan on September 21, 2009, with Common Council approval following on October 7, 2009.

2. One citizen made a comment at the public hearing on Monday, January 7<sup>th</sup>. An employee of Goodwill Services offered information about a program offered by Goodwill that was instituted last year helping homeowners with foreclosures. No other public comments were received.
3. Public Notices announcing the consolidated planning public hearing and comment periods were published in both the local newspaper, the *Appleton Post Crescent*, and on the City of Appleton web page. In addition, the City began specifically soliciting input from organizations representing protected classes (minorities, non-English speaking persons, persons with disabilities, etc) by sending direct email notices to the following organizations:
  - AGAPE
  - ARC Fox Cities
  - Casa Hispana
  - Fox Cities Rotary Multicultural Center
  - Hmong American Partnership
  - Cultural Diversity (City of Appleton)
  - Metropolitan Milwaukee Fair Housing
  - NAMI Fox Valley

This plan, as well as subsequent Annual Plans and CAPERs, will be released for public comment using the same strategies to broaden public participation.

To further facilitate citizen participation in its CDBG process, the City of Appleton also maintains a CDBG web site to provide easy access to a wealth of information. The site contains the following information: application information (forms, schedules, etc.); related plans, reports and documents; general and local policy information; and fair housing information. The web site ([www.appleton.org](http://www.appleton.org)) also encourages citizens to contact the City for technical assistance involving program policies, project eligibility and applications.

4. All citizen comments were accepted and included.

## **Institutional Structure**

1. Describe actions that will take place during the next year to develop institutional structure.

Program Year 4 Action Plan Institutional Structure response:

## **1. Lead Agency: City of Appleton – Community and Economic Development Department**

The Community and Economic Development Committee (CEDC) – composed of five aldermen appointed by the Mayor – serves as the jurisdiction for Common Council oversight of Appleton’s Community Development Block Grant (CDBG) Program. Local financial oversight lies with the City of Appleton Finance Department, which also serves as the lead fiscal and administrative agent for the Continuum of Care/Supportive Housing Program (COC/SHP). In addition, the City will serve as lead agency for the Neighborhood Stabilization Program (NSP), which is closing out in March 2013. Monies from these grants are provided to the City, who in turn passes them on to the various non-profit agencies or City Department programs for their programming.

### **City of Appleton Departments/Programs**

While the Finance Department administers funds, the Community and Economic Development Department will oversee the administration of the program and implementation of funds, and will be involved in the delivery of CDBG and other grant programs, both directly and indirectly. They include:

- *Community and Economic Development Department* will administer the City's Homeowner Rehabilitation Loan Program, Rental Rehabilitation Program and Neighborhood Services Program.
- *Park & Recreation Department* will collaborate with the City of Appleton’s Neighborhood Services Program to coordinate beautification efforts in target neighborhoods and improvement of neighborhood parks.
- *Public Works Department* will collaborate with the Neighborhood Services Program to coordinate street improvements, sidewalks installation/repair and other infrastructure.
- *Police Department* will work with a variety of local, community development programs, including committees, agencies, and providers, by serving as liaisons and advisors.

### **Other Public Sector**

Additional governmental and quasi-governmental entities will also play a role in implementation of grant funding for the benefit of Appleton residents. They include:

- *Appleton Housing Authority (AHA)* is a component of the City of Appleton, although legally a separate organization. The mission of the AHA involves providing low-rent housing and other housing opportunities in accordance with HUD regulations.
- *Appleton Redevelopment Authority (ARA)* is a quasi-governmental organization operated by the City’s Community and Economic Development staff with Mayor-appointed members. ARA assists in commencing various redevelopment initiatives, namely in old industrial areas.
- *Outagamie County Department of Health & Human Services* is committed to assisting County residents in achieving health, safety, and self-sufficiency. Services include: aging & disability, family, economic, mental health, and AODA support.

**Private Sector**

Many CDBG-funded programs, including the Neighborhood Services Program, the Homeowner Rehabilitation Loan Program, the Housing Partnership's Rental Rehabilitation Program and the Appleton Housing Authority's Homebuyer Program, utilize private sector businesses to complete residential or commercial rehabilitation that benefits LMI households. In addition, numerous private companies provide assistance to CDBG subrecipients and related programs through grants, program development, discounts, donations and/or in-kind services. In fact, without the support of local business, many of the aforementioned programs would not be able to serve their target populations to the great extent they do.

**Non-Profit Organizations/Program Delivery Agencies**

A portion of Appleton's CDBG and other grant funds are distributed to local non-profit agencies for delivery of community development, housing and homeless services. The City intends to maintain its strong relationship with these providers, by serving as lead agent for their state and federal grants whenever possible and appropriate.

**Other Funders**

Local funders are also part of the institutional structure, as they provide the additional funds often required by some federal- and state-grant funded community development, housing and homeless programs (i.e. match and/or leverage). Other funders in the Appleton area include:

- *United Way of the Fox Cities* disburses its proceeds by three methods: focused funding, community initiatives and long-term support to partner agencies. First, focused funding supports programs designed to address emerging or unmet needs through support for innovative programs/projects, general program expansion, emergency needs, and/or capacity building. Second, United Way funds projects related to four large community initiatives – The Connector (public transit for second and third shift workers), Family Mentoring Program, Early Language/Literacy Initiative, and School-Based Mental Health Access Project – in addition to convening and/or funding many smaller community initiatives. Third, volunteers related to the four Impact Areas of Providing Basic Needs/Self-Sufficiency, Developing Children/Youth, Strengthening Families, and Promoting Health/Healing/Crisis Intervention review funding requests from partner agencies every two years before making investment recommendations.
- *Community Foundation of the Fox Valley Region* is a charitable vehicle that helps individuals, families, businesses, private foundations and others accomplish their charitable giving objectives. The Community Foundation awards grants from charitable funds that donors establish to give back to the community in a permanent way. Donors choose the level of involvement they prefer, ranging from directly recommending grants to charitable organizations they select, to allowing the Foundation's volunteer grants committees to make grant recommendations following application review processes.
- *J.J. Keller Foundation* provides funding to organizations, projects and programs that will positively impact lives in the greater Fox Valley community. Specifically, funding is targeted toward needs that would otherwise remain unmet. The focus population for foundation giving is: homeless/disadvantaged; elderly; and children/youth. Furthermore, the focus giving areas include: physical and mental health and healing; human services; education; preventative programming; and critical community needs.

- *U.S. Oil/J.J. Keller Basic Needs Partnership* provides support to prevent people in episodic crisis from becoming people in chronic need. This joint initiative involves two family-owned companies in Northeast Wisconsin who shared a desire to help people struggling to secure basic life needs such as food, housing and health care. U.S. Oil Co. fully funds the expenses of its annual golf outing, ensuring that all of the contributions raised from the U.S. Oil Open are available to reach people in need. Then, the J.J. Keller Foundation matches the grant-making budget in each of these funds, doubling the grant dollars available for basic needs. Appleton-area applicants apply for these funds via the Community Foundation of the Fox Valley Region.

### **Fox Cities Housing Coalition (FCHC)**

The local housing coalition involves over 25 agencies that meet monthly with a mission "to promote the most efficient and cooperative use of resources, both fiscal and human, by non-profits, businesses and local units of government, and to enhance housing stability and opportunities for all persons in the Fox Cities Community." See Attachment A for a diagram of the FCHC Continuum of Care, including member agency roles.

Specific actions that will take place to build institutional structure include:

- 1.** Due to the transition from the former Grants Administrator to the Community Development Specialist in this role for the City of Appleton, new relationships will be built between the new staff and all the subrecipients, City Departments and other stakeholders in the community who are touched by the CDBG and other grant programs. The new staff will meet individually with all subrecipients, conduct site visits and exchange regular email communication on an ongoing basis.
- 2.** Recent change in focus from CDBG funds being completely administered from within the Finance Department to a joint effort with Community and Economic Development will also build institutional structure by familiarizing more City staff members with the processes and regulations, goals and required outcomes of CDBG funding. Ongoing communication, working through specific issues/questions, and general knowledge sharing, works to build institutional structure.
- 3.** Direct meetings including brainstorming sessions to be held with the Community and Economic Development Department staff responsible for the Neighborhood Program to ensure complete understanding of the program's parameters so as to foster the most effective use of funds for the most significant improvements possible. The Neighborhood Services Program is replacing the Neighborhood Revitalization Program that was in place for 15 years. Staff turnover and redefinition of goals of the program will require open and frequent communication between staff.
- 4.** The City of Appleton staff will work with any unsuccessful applicants (to the extent practical), to assist them to have a better chance of success in the future, and/or point them in the direction of other funding options for their particular activity.

### **Monitoring**

1. Describe actions that will take place during the next year to monitor its housing and community development projects and ensure long-term compliance with program requirements and comprehensive planning requirements.

Program Year 4 Action Plan Monitoring response:

1. In order to ensure that CDBG-funded activities are: 1) meeting a national objective; 2) addressing priority needs described in the Five-Year Consolidated Plan; and 3) complying with federal program standards, several forms of monitoring are undertaken.
  - Quarterly Reports: subrecipients will be required to submit quarterly program progress reports addressing outputs, demographic data, and program funding specifics, as well as HUD-defined Performance Measures & Indicators.
  - Support Documentation: subrecipients will be required to submit supporting documentation (invoices, time sheets, etc) with reimbursement requests; this information is reviewed thoroughly to ensure compliance.
  - Alteration Requests: proposed alterations to CDBG-funded programs must be submitted to CDBG staff for review; further expenditures may not be processed until approval.
  - Fox Cities Housing Coalition (FCHC) Involvement: participation by the Housing Coordinator in the FCHC allows the City to keep abreast of activities carried out by many CDBG-funded agencies/programs.
  - HUD/CDBG Training: prior to the start of the 2013 program year, CDBG staff will hold a meeting for new subrecipients to discuss record-keeping and accounting requirements.

All subrecipients will be provided with an analysis of their current CDBG grant status at the end of each quarter throughout the 2013 Program Year. This will ensure that City of Appleton records match those of the subrecipient, thus avoiding any major lack of spend down. Moreover, subrecipients who anticipate being unable to expend their total award amount by the end of the 2013 year (March 31, 2014) will need to file a formal request for an extension. CDBG staff will then work with the Community and Economic Development Committee (CEDC) to resolve any timeliness issues that negatively affect the citywide ratio.

Compliance with CDBG program requirements is monitored mainly via quarterly reports and requests for payment. First, the quarterly reports require an accomplishments narrative. If this description appears vague or unrelated to approved activities, CDBG staff will do a follow-up call with program representatives. Similarly, if the numbers are not appearing to relate back to the original proposal, a follow-up call will be made. Second, payment request documentation is thoroughly analyzed by CDBG staff before any reimbursement requests are granted. Thus, if this documentation raises any red flags, a follow-up call is made and proper documentation is requested. If an agency struggles to provide said information, CDBG staff may perform a site visit to address concerns and work out a plan with program representatives.

All 2013 projects that are completed through the City of Appleton Homeowner Rehabilitation Loan Program and the Appleton Housing Authority First Time Homebuyer Program must meet HUD's HQS and local codes. These items are completed as part of the rehabilitation work and final inspections are done upon completion of work. Project managers of both programs perform the inspections, and verify/confirm all repair work to ensure it meets HQS and local code. In 2013, it is anticipated that inspections will occur at 44 homes, including 24 under the City's Homeowner Rehabilitation Program and 20 under the Appleton Housing Authority Homebuyer Program.

During the 2013 Program Year, on-site monitoring will occur for 2-4 CDBG subrecipients, who will be selected based on a risk assessment process. CDBG staff will utilize these on-site visits to ensure that each subrecipient is:

- carrying out its funded activities as described in the application for CDBG assistance
- carrying out its activities in a timely manner
- charging costs to projects which are eligible and reasonable
- conducting its activities with adequate control over financial performance
- gauging its capacity to carry out the approved project
- complying with applicable laws and regulations relevant to their funded activity
- maintaining the required records to demonstrate compliance with applicable regulations

## Lead-based Paint

1. Describe the actions that will take place during the next year to evaluate and reduce the number of housing units containing lead-based paint hazards in order to increase the inventory of lead-safe housing available to extremely low-income, low-income, and moderate-income families, and how the plan for the reduction of lead-based hazards is related to the extent of lead poisoning and hazards.

Program Year 4 Action Plan Lead-based Paint response:

1. Of Appleton's 30,768 total housing units, over 19,800, or 65 percent, were built prior to 1978, implying a presence of lead-based paint in each of these units. Utilizing this housing unit data and the City percentages of LMI population, it can be estimated that approximately 7,000 housing units containing lead based paint hazards are occupied by persons earning 80 percent or below the area median income. Thus, specific actions will be taken during the 2013 program year – via multiple programs – to address these potential lead paint hazards, including:

- *City of Appleton (two programs):* the Homeowner and Rental Rehabilitation Loan Programs, which are federally assisted, have regulations and requirements to deal with lead based paint hazards. Specifically, all lead hazards are addressed – and clearance achieved – for each project.
- *Housing Partnership of the Fox Cities:* HPFC acquires older, neglected homes in the Appleton area and renovates the properties for use as affordable housing. In doing so, the agency works to ensure that all lead based paint hazards are eliminated and a lead safe clearance is achieved.
- *Appleton Housing Authority:* the AHA Homebuyer Program abides by both HOME and CDBG standards in addressing lead-based paint hazards in each home purchased by a client. Clearance tests are administered after all rehabilitation projects are completed in homes built before 1978.

### **City of Appleton Health Department**

The City's Childhood Lead Poisoning Prevention Program, includes two components:

- *Assessment/Intervention* involves testing for elevated blood levels (EBL). The Health Department contacts the family to schedule an appointment to get their child tested; interpreter services are utilized when working with non-English speaking families. The majority of referrals are received from the City Home Rehabilitation Loan

Programs, Housing Partnership of the Fox Cities, Emergency Shelter of the Fox Valley and WIC. After testing, intervention efforts range from provision of lead information, to home visits to perform joint environmental-nursing inspections.

- *Education/Outreach* efforts of the lead prevention program include: presentation of lead information at public events, posting of lead-related articles/web site links on the Health Department web page, translation of lead outreach documents to Spanish and Hmong, and participation in the Fox Valley Lead Task Force, Fox Cities Housing Coalition and Hmong/Hispanic Interagency Coalition.

In 2013, the City and Appleton Housing Authority housing rehabilitation programs will together eliminate lead hazards from approximately 35 units, namely owner-occupied. Furthermore, the Appleton Health Department anticipates testing 15 children for Elevated Blood Levels in 2013, before linking lead-poisoned children and families to appropriate medical, housing, and support services. Educational material related to lead based paint will also be distributed at shot clinics, as well as via the home rehabilitation programs.

## HOUSING

### Specific Housing Objectives

\*Please also refer to the Housing Needs Table in the Needs.xls workbook.

1. Describe the priorities and specific objectives the jurisdiction hopes to achieve during the next year.
2. Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by this Action Plan.

Program Year 4 Action Plan Specific Objectives response:

1. Goals for 2013 Annual Affordable Housing in Appleton are presented in the following table:

<b>CDBG ACTIVITY</b>	<b># OF UNITS</b>
<b>Rental Housing Goals</b>	
<i>Rehabilitation of existing units:</i>	26
<b>Owner Housing Goals</b>	
<i>Production of new units:</i>	1
<i>Rehabilitation of existing units:</i>	24
<i>Homebuyer Assistance:</i>	12
<b>Annual Affordable Housing Goals - ALL</b>	
Annual Rental Housing Goal	26
Annual Owner Housing Goal	37
<b>TOTAL:</b>	<b>63</b>

2. In 2013, the City of Appleton will continue to explore ways to work with local funders to develop the most efficient grant-making policies that ultimately result in positive affordable housing preservation and development. Specifically, as noted in the City's Consolidated Plan:

It became evident that many opportunities exist for the City CDBG to collaborate with other funding organizations, including, but not limited to the Community Foundation of the Fox Valley Region, United Way of the Fox Cities, J.J. Keller Foundation, and the U.S. Oil/J.J. Keller Basic Needs Partnership...Thus, the City Finance Department intends to arrange exploratory meetings with representatives from each of the aforementioned organizations to research potential partnerships for funding multi-faceted projects that benefit LMI residents.

Furthermore, the City will continue to utilize various funds including NSP and Lead Hazard Control (LHC) – to develop/preserve units of affordable housing within the city limits. In addition, City staff will continue to keep abreast of new grant opportunities that might fill a community need for development of more affordable housing.

CDBG-funded actions to be undertaken in 2013 that foster/maintain affordable housing include:

- City of Appleton Homeowner Rehabilitation Loan Program = provide 24 low-moderate income homeowners with no-interest and no down payment loans to perform necessary rehabilitation, including control of lead hazards, at their single-family home or duplex.
- Appleton Housing Authority Homebuyer Program = provide 20 low-moderate income families purchasing their first home with down payment assistance and/or rehabilitation loans (including necessary lead testing) to bring their homes into compliance.
- The Housing Partnership of the Fox Cities = maintain 6 units that are rented to LMI families.

Additional projects that will occur in 2013 include:

- NSP funds will facilitate development of one new unit of affordable housing through Habitat for Humanity's program.
- Greater Fox Cities Area Habitat for Humanity will acquire land, demolish any existing structures and install necessary infrastructure on that land to facilitate construction of one green-built, single-family home for low-moderate income residents.
- Greater Fox Cities Area Habitat for Humanity was chosen as one of 55 affiliates throughout the U.S. to participate in Habitat for Humanity International's Neighborhood Revitalization Initiative, which encourages affiliates to serve more families and create more sustainable communities by offering a variety of services in addition to new home construction. The services provide critical home repairs, energy efficiency improvements and aesthetic enhancements to the owner-occupied homes of low-income families. The City's Neighborhood Services Program may partner with Habitat on this effort.

## Needs of Public Housing

1. Describe the manner in which the plan of the jurisdiction will help address the needs of public housing and activities it will undertake during the next year to encourage public housing residents to become more involved in management and participate in homeownership.
2. If the public housing agency is designated as "troubled" by HUD or otherwise is performing poorly, the jurisdiction shall describe the manner in which it will provide financial or other assistance in improving its operations to remove such designation during the next year.

Program Year 4 Action Plan Public Housing Strategy response:

1. While CDBG entitlement funds have historically only funded the Appleton Housing Authority's First Time Homebuyer Program, the City of Appleton Mayor's Office, Community and Economic Development, Health and Finance Departments also work closely with the Appleton Housing Authority to address issues related to public housing. The strong working relationship between AHA and City staff allow for housing authority opportunities and issues to be explored in a timely and efficient manner.

### **First Time Homebuyer Program**

Since 1993, the Appleton Housing Authority has successfully implemented an award-winning First Time Home Buyer Program. The program combines several funding sources, including:

- federal HUD HOME grant administered by the WI Department of Commerce
- federal CDBG entitlement funds awarded by the City of Appleton
- federal HUD Lead Hazard Control (LHC) grant administered by the City of Appleton
- state HCRI funds from the State of WI General Purpose Revenue fund
- other private and nonprofit foundation grants

These funding sources combine to provide down payment assistance and rehabilitation loans to low-moderate income families wishing to purchase their first home. In fact, the Appleton Housing Authority has entered into agreements with both the Outagamie County and Kaukauna Housing Authorities to offer the First Time Homebuyer Program within their respective PHA jurisdictions. While some of the clients have come from the Section 8 Housing Choice Voucher Program and the Public Housing Family units, no Section 8 funds were used in assisting these families with homeownership. In some cases, the families utilize their FSS Program Escrows to increase their down payment dollars and/or cover moving costs.

2. The Appleton Housing Authority is not designated as "troubled" by HUD.

## Barriers to Affordable Housing

1. Describe the actions that will take place during the next year to remove barriers to affordable housing.

Program Year 4 Action Plan Barriers to Affordable Housing response:

1. The *Blueprint to Affordable Housing*, published by the Appleton Housing Authority in 2004, identified eleven key affordable housing issues, one of which involves the "appropriate public role in affordable housing development." One of the action steps

identified under this issue is for the City to develop policies that address proposed affordable housing programs, projects, and activities. A sub-committee was formed to champion this issue by identifying barriers and potential solutions in order to help communities and organizations reduce those barriers.

In addition, at the same time, the East Central Wisconsin Regional Planning Commission (ECWRPC) began its regional plan update. ECWRPC expanded its' committee's mission to include learning what methods local urban communities have used to reduce barriers to affordable housing in their communities. Thus, these two groups 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 2004 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.

### **Fair Housing Practices**

The City of Appleton is committed to furthering fair housing opportunities for its residents. In 2013, the City will award \$22,000 of CDBG Funds to a qualified agency (identified through an RFP process) as a means to provide fair housing services, such as outreach, education, investigation and enforcement, when necessary. Educational programs are also provided to assist current and future renters in developing and maintaining their qualifications as prospective tenants. The programs cover such topics as the fair housing laws, landlord-tenant law, conflict management and basic housing finance.

In 2006, the Fair Housing Council also assisted the City of Appleton in updating its' *Analysis of Impediments to Fair Housing Choice*, which identifies issues and make recommendations to address those issues. In 2010, the Metropolitan Milwaukee Fair Housing Council assisted the City with a Phase 1 update of the *Analysis of Impediments*. The following recommendations have been undertaken and/or explored:

- Facilitate the production of affordable housing
- Advocate for changes in state/federal programs to expand housing options
- Facilitate the production and modification of accessible units
- Encourage/require community reinvestment by banks and lending
- Fund post-purchase counseling services
- Advocate for open and inclusive real estate and rental markets
- Promote integrated neighborhoods through inclusionary zoning
- Perform outreach to linguistically isolated and bilingual communities

The Phase 2 update of the Analysis of Impediments will be completed in 2013, utilizing the newly released 2010 Census data.

### **Outreach/Education to Protected Classes**

The City of Appleton will again utilize an RFP process to select a qualified organization to provide fair housing services to the residents of Appleton. The organization's scope of

services must include both outreach/education to protected classes and investigation/enforcement of fair housing laws.

While attempting to reach a cross-section of housing market participants, the selected agency will be asked to make efforts to provide fair housing information to groups that are particularly vulnerable to illegal housing discrimination, including but not limited to:

- Persons of color
- Households with children
- Persons with disabilities
- Immigrants/Refugees
- Persons with limited English proficiency
- Households with low to moderate incomes

Specifically, the City and selected agency will undertake the following activities in 2013:

1. Development of written fair housing educational materials for housing providers and consumers. All materials will be available in English, Hmong and Spanish and distributed, among others, at the following locations:
  - Appleton City Hall/Public Library
  - Appleton Housing Authority
  - Emergency Shelter of the Fox Valley
  - Fox Cities Chamber of Commerce
  - Fox Cities Rotary Multicultural Center
  - Harbor House
  - Housing Partnership of the Fox Cities
  - LEAVEN, Inc.
  - Salvation Army of the Fox Cities
  - United Way of the Fox Cities
2. Presentations to community based organizations, social service agencies, civic/ neighborhood organizations, faith-based organizations, and/or academic groups.
3. Informational/training session for CDBG subrecipients, local government staff, alderpersons and other interested parties; these may be done in collaboration with the Cities of Neenah and Oshkosh – two other CDBG entitlement communities.
4. Participation in the Fox Cities Housing Coalition to which they will provide expertise and advice on both general and case-specific fair housing issues.
5. Analysis/Implementation of the Phase 2 Update to the City's *Analysis of Impediments to Fair Housing Choice*, which involves quantitative analysis of impediments to fair housing, based on 2010 Census data and further review of existing conditions.

Finally, Community and Economic Development Department staff who oversee the fair housing portion of the CDBG Program, will work with the selected agency to ensure that fair housing educational materials, presentations and training sessions are appropriately publicized to relevant City staff and alderpersons. City representation at fair housing presentations will allow for decision-makers to better understand the housing struggles of persons within protected classes.

### **HOME/ American Dream Down payment Initiative (ADDI)**

1. Describe other forms of investment not described in § 92.205(b).

2. If the participating jurisdiction (PJ) will use HOME or ADDI funds for homebuyers, it must state the guidelines for resale or recapture, as required in § 92.254 of the HOME rule.
3. If the PJ will use HOME funds to refinance existing debt secured by multifamily housing that is that is being rehabilitated with HOME funds, it must state its refinancing guidelines required under § 92.206(b). The guidelines shall describe the conditions under which the PJ will refinance existing debt. At a minimum these guidelines must:
  - a. Demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing.
  - b. Require a review of management practices to demonstrate that disinvestments in the property has not occurred; that the long-term needs of the project can be met; and that the feasibility of serving the targeted population over an extended affordability period can be demonstrated.
  - c. State whether the new investment is being made to maintain current affordable units, create additional affordable units, or both.
  - d. Specify the required period of affordability, whether it is the minimum 15 years or longer.
  - e. Specify whether the investment of HOME funds may be jurisdiction-wide or limited to a specific geographic area, such as a neighborhood identified in a neighborhood revitalization strategy under 24 CFR 91.215(e)(2) or a Federally designated Empowerment Zone or Enterprise Community.
  - f. State that HOME funds cannot be used to refinance multifamily loans made or insured by any federal program, including CDBG.
4. If the PJ is going to receive American Dream Down payment Initiative (ADDI) funds, please complete the following narratives:
  - a. Describe the planned use of the ADDI funds.
  - b. Describe the PJ's plan for conducting targeted outreach to residents and tenants of public housing and manufactured housing and to other families assisted by public housing agencies, for the purposes of ensuring that the ADDI funds are used to provide down payment assistance for such residents, tenants, and families.
  - c. Describe the actions to be taken to ensure the suitability of families receiving ADDI funds to undertake and maintain homeownership, such as provision of housing counseling to homebuyers.

Program Year 4 Action Plan HOME/ADDI response:

The City of Appleton does not receive any HOME/ADDI funds as an entitlement.

## HOMELESS

### Specific Homeless Prevention Elements

\*Please also refer to the Homeless Needs Table in the Needs.xls workbook.

1. Sources of Funds—Identify the private and public resources that the jurisdiction expects to receive during the next year to address homeless needs and to prevent homelessness. These include the McKinney-Vento Homeless Assistance Act programs, other special federal, state and local and private funds targeted to homeless individuals and families with children, especially the chronically homeless, the HUD formula programs, and any publicly-owned land or property. Please describe, briefly, the jurisdiction’s plan for the investment and use of funds directed toward homelessness.
2. Homelessness—In a narrative, describe how the action plan will address the specific objectives of the Strategic Plan and, ultimately, the priority needs identified. Please also identify potential obstacles to completing these action steps.
3. Chronic homelessness—The jurisdiction must describe the specific planned action steps it will take over the next year aimed at eliminating chronic homelessness by 2014. Again, please identify barriers to achieving this.
4. Homelessness Prevention—The jurisdiction must describe its planned action steps over the next year to address the individual and families with children at imminent risk of becoming homeless.
5. Discharge Coordination Policy—Explain planned activities to implement a cohesive, community-wide Discharge Coordination Policy, and how, in the coming year, the community will move toward such a policy.

Program Year 4 Action Plan Special Needs response:

1. As the lead fiscal and administrative agent for the Balance of State Continuum of Care (COC)/ Supportive Housing Program (SHP), the City of Appleton continually coordinates efforts to reduce homelessness. Additional resources include:
  - Emergency Shelter Grant/Transitional Housing Program/Homeless Prevention Program
  - State Shelter Subsidy Grant (SSSG) – Emergency Shelter of the Fox Valley
  - Projects for Assistance in the Transition from Homelessness (PATH) Emergency Shelter of the Fox Valley
  - SSI/SSDI Outreach, Access, and Recovery (SOAR) – Emergency Shelter of the Fox Valley
  - HUD VASH Voucher Program – Appleton Housing Authority
  - HUD HOME Funds – Appleton Housing Authority
  - Tenant Based Rental Assistance (TBRA) – Appleton Housing Authority

Private Funders

- United Way of the Fox Cities
- Community Foundation Fox Valley
- J. J. Keller Foundation
- U.S. Oil/Schmidt Family Foundation
- Bemis Foundation
- Community First Credit Union
- Affinity Health Systems
- Kimberly Clark Corporation
- Menasha Corporation
- Thrivent Financial for Lutherans
- UW-Fox Valley

- Fox Valley Technical College

Strategies for the investment and use of these funds include supporting programs that: provide rental assistance, such as monthly payments and security deposits (LEAVEN); offer case management specific to the needs of each homeless household (ESFV); aid in development of personal financial management skills (FISC); and encourage developers to build attractive and accessible, yet affordable, properties (City staff)

2. The specific objectives of the strategic plan (decent housing, suitable living environment, economic opportunity) are all addressed when the priority needs as identified in the strategic plan associated with homelessness are addressed. The priority needs as identified in the strategic plan include:

- affordable housing
- rent payment and security deposit assistance
- supportive services

Affordable rental housing is maintained by numerous organizations within the city. Current, qualifying homeowners are offered no-interest loans for repairs by the City's Loan Program and Appleton Housing Authority's (AHA) rehab program. Opportunities for first time homebuyers to get assistance with a down payment are also available from AHA. LEAVEN is one organization that helps with paying rent and security deposits. The supportive services available to all in need are illustrated in the Continuum of Care (Attachment A). All these needs are addressed throughout this action plan.

Potential obstacles are:

- the process by which those in need are made aware of these opportunities
- the ability of those assisted to navigate any roadblocks they may encounter, in terms of paperwork, transportation needs, follow up, etc.
- the diminishing capacity of organizations to fund all these services.

3. Chronic homelessness is often associated with an undiagnosed or untreated illness, disability or addiction. Understanding that leads many programs to approach this topic in a coordinated way:

- The most effective means found for reducing chronic homelessness is permanent supportive housing. The Emergency Shelter of the Fox Valley (ESFV) is an important resource in Appleton that serves as the contact point for connecting chronically homeless individuals with resources that may lead to permanent supportive housing. CDBG funds have been awarded to ESFV this year to repair and update the bathroom facilities at the shelter near downtown. Providing a safe, sanitary and comfortable environment to these individuals allows ESFV staff to work with these individuals in a place where they feel secure and are more likely to be connected with organizations that may provide them with treatment and assistance.
- The City's Diversity Coordinator has also been working with the police and fire departments and Valley Transit, the local mass transportation provider, to conduct sensitivity training for the officers and bus drivers that may have regular contact with the chronic homeless, in an effort to prevent further alienation of this population.
- The Diversity Coordinator is also the facilitator of a system the City and ESFV is trying to put in place to deal with the problems that come with homelessness. Specifically, the downtown bus station and library area are across the street from each other, and each of these facilities tend to be places the homeless gather during the day. Various problems have developed

and complaints have stemmed from activities that are taking place. A recently vacated residential building nearby has become a home to some of these individuals as well as a space for illegal drug use. The police, ESFV staff with the City's Diversity Coordinator have started to form relationships with these individuals in an effort to remove people from this area and get them the assistance they need to help them move toward a more stable lifestyle.

Obstacles to ending chronic homelessness include:

- the scarce availability of living wage employment opportunities for individuals with mental health or addiction problems
- diminished funds and services available to sustain current, and develop additional, housing and support programs for the chronically homeless.

The City of Appleton and local non-profit agencies remain committed to overcoming these barriers to address issues of chronic homelessness.

4. Prevention activities that will occur in 2013 with various funds include:

- *Emergency Shelter of the Fox Valley* will provide both security deposit and rental assistance in order to prevent eviction and ultimately homelessness.
- *Legal Action of WI* will provide free legal services to low-income households threatened with homelessness due to eviction, foreclosure, loss of income, or other situations.
- *LEAVEN* will provide emergency housing assistance in order to ensure that families do not lose their homes in times of special need or crisis.
- *Salvation Army of the Fox Cities* will provide both utility payment assistance and housing counseling to clients so they become good tenants and maintain the housing they obtain.

5. The Fox Cities Housing Coalition (FCHC) continually works with the Department of Corrections (DOC) to ensure that the residents in the probation and parole system are collaboratively planning with their case managers so the maximum opportunity for self-sufficiency can be realized. In too many cases, however, agencies have had persons discharged from corrections to shelter for various reasons. Thus, FCHC members began meeting formally with probation/parole staff every other week to review/update working policies. The working procedure established with DOC for case management includes coordination between DOC staff, probation/parole staff, and the Emergency Shelter.

While a coordination effort is in place to deal with persons being discharged from healthcare facilities, foster care, and corrections programming, the official policy has yet to be adopted. Members of the Fox Cities Housing Coalition will work with the City in the coming months to develop and adopt such a policy.

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

(States only) Describe the process for awarding grants to State recipients, and a description of how the allocation will be made available to units of local government.

Program Year 4 Action Plan ESG response:

The City of Appleton does not receive any ESG funds as an entitlement.

## COMMUNITY DEVELOPMENT

### Community Development

\*Please also refer to the Community Development Table in the Needs.xls workbook.

1. Identify the jurisdiction's priority non-housing community development needs eligible for assistance by CDBG eligibility category specified in the Community Development Needs Table (formerly Table 2B), public facilities, public improvements, public services and economic development.
2. Identify specific long-term and short-term community development objectives (including economic development activities that create jobs), developed in accordance with the statutory goals described in section 24 CFR 91.1 and the primary objective of the CDBG program to provide decent housing and a suitable living environment and expand economic opportunities, principally for low- and moderate-income persons.

\*Note: Each specific objective developed to address a priority need, must be identified by number and contain proposed accomplishments, the time period (i.e., one, two, three, or more years), and annual program year numeric goals the jurisdiction hopes to achieve in quantitative terms, or in other measurable terms as identified and defined by the jurisdiction.

Program Year 4 Action Plan Community Development response:

#### 1. Non-housing Community Development Needs

##### Public Facilities and Improvements

- Neighborhood Facilities/ Improvements
- Senior Centers
- Parks & Recreational Facilities
- Youth Centers
- Homeless 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

#### 2. Long term community development objectives include:

- Promote access to improved public service programs (particularly for low-to-moderate income individuals), including, but not limited to, those addressing homelessness, youth/children, health/safety, increased self-sufficiency, mental illness and disabilities.
- Assist community-based organizations to acquire/improve facilities to benefit LMI persons
- Assist LMI target neighborhoods with revitalization activities and initiatives
- Improve both the start-up and survival rate among micro-enterprises (very small businesses)
- Provide effective administration and planning, including, but not limited to, fair housing services

Short term community development objectives include:

- Support public service activities with an estimated allocation of \$25,000 for the 2013 Program Year. Activities will include financial education, which has come more to the forefront as the economy continues to struggle.
- Define and implement the neighborhood services program with an estimated allocation of \$40,000. The program will support activities in LMI neighborhoods that improve public facilities, promote safety and livability and revitalize deteriorated areas.
- Support programs for special need groups by improving facilities used by those programs.

## Antipoverty Strategy

1. Describe the actions that will take place during the next year to reduce the number of poverty level families.

Program Year 4 Action Plan Antipoverty Strategy response:

1. In 2013, the City of Appleton can use CDBG, ESG/THP/HPP, and/or COC/SHP dollars to help support anti-poverty activity with the following subrecipients:
  - *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 and thrive in a stable home environment.
  - *FISC* provides one-on-one financial counseling for low-income clients, in addition to offering classes at the Emergency Shelter on budgeting, credit, income, taxes and general money management. Certified financial counselors provide both counseling and financial education workshops, addressing home financing and other money management issues.
  - *Harbor House* staff provides economic advocacy to victims of domestic abuse, including assistance with subsidized housing applications, connection with food programs and provision of life skills education. Through the Women Obtaining Work Program, clients can do a paid work experience program with Goodwill Industries or receive computer training, job skills training, help with resume writing and a paid receptionist internship with Employability. The program also assists with bus passes and helps with fees for IDs, tests or certifications that will lead to job placement.
  - *Housing Partnership of the Fox Cities* utilizes supportive service programs that help families complete transitional or affordable rental programs and move on to obtain permanent housing. In addition, this organization targets the teenage parent population to assist them in completing high school and furthering their education.
  - *LEAVEN* works through volunteers to assist people in crisis who have basic needs that cannot be met elsewhere. While it is not within the organization's means to provide for all of their needs, LEAVEN does provide emergency monetary assistance with the essentials such as shelter, utilities and transportation assistance.

- *Salvation Army of the Fox Cities* provides its transitional housing residents with opportunities to set personal goals with a case manager. Attending regularly scheduled meetings with both case management and life skills support staff are vital to achieving goals related to increasing income and maintaining affordable housing.

Other programs within our community that work towards eliminating poverty include:

- *Projects for Assistance in Transition from Homelessness (PATH)* is a program for adults who are homeless that, like *SSI/SSDI Outreach, Access, and Recovery (SOAR)*, is administered by the Substance Abuse and Mental Health Services Administration (SAMHSA). The Emergency Shelter of the Fox Valley locally operates both programs, which serve people who have serious mental illnesses and/or co-occurring substance use disorders who are homeless or at risk for homelessness. PATH funds provide for community-based outreach, mental health and substance abuse services, case management, and limited housing services for people experiencing serious mental illnesses, while SOAR is an initiative designed to expedite SSI/SSDI for people with physical and/or serious mental illness who are experiencing homelessness or at risk of becoming homeless.
- *Project Promise: A Fox Cities Poverty Coalition* - The mission of Project Promise – a cooperative effort of providers, supporters of social services, businesses, community members and all others who seek to advocate for the needs of people living in poverty – involves engaging the Fox Cities community in the elimination of poverty. Project Promise continues to work toward elimination of poverty by building awareness of the causes and conditions of poverty in the Fox Cities, educating the community about the impact and complexity of poverty, and facilitating collaborative action.

During 2013, the Project Promise group will focus on various goals, including:

1. Maintaining a long-term focus on poverty in the community
2. Establishing priorities based on community needs and consistency with existing plans
3. Facilitating connectivity between all involved in service to those in poverty
4. Document and build awareness of the continuum of care of poverty services
5. Educate the community on poverty and existing services available to address basic needs
  - Create and disseminate a Poverty Pledge in the community
  - Purposefully engage the media to enhance awareness of poverty
  - Maintain and enhance the web site and social networking capacity
  - Build awareness of the United Way's 2-1-1 service
6. Help educate the electorate about public policy and its impact to those living in poverty

7. Act as an entity organized and run by volunteers that engages existing agencies, business and the community at large in activities that work to eliminate poverty
  - Build coalition membership
  - Encourage collaborations and other efficiencies in service delivery

## NON-HOMELESS SPECIAL NEEDS HOUSING

### Non-homeless Special Needs (91.220 (c) and (e))

\*Please also refer to the Non-homeless Special Needs Table in the Needs.xls workbook.

1. Describe the priorities and specific objectives the jurisdiction hopes to achieve for the period covered by the Action Plan.
2. Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by this Action Plan.

Program Year 4 Action Plan Specific Objectives response:

1. The non-homeless/special priority needs, 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)
2. In 2013, approximately \$13,000 has been identified to address the needs of the non-homeless special needs community.

Several organizations in Appleton address the needs of these residents, and have utilized CDBG funds to support their programs.

- Appleton Housing Authority: Oneida Heights and Riverwalk Place offer affordable rent to seniors. Oneida Heights, a 152 unit building, also offers reasonable accommodation for residents with special needs
- Housing Partnership of the Fox Cities: The Permanent Supportive Housing Program offers affordable rent to those that have disabilities and require in-home care. These units will be updated and maintained with CDBG funds.

The Continuum of Care System as shown on Attachment A also illustrates the large support system in place for residents with special needs.

### Housing Opportunities for People with AIDS

\*Please also refer to the HOPWA Table in the Needs.xls workbook.

1. Provide a Brief description of the organization, the area of service, the name of the program contacts, and a broad overview of the range/ type of housing activities to be done during the next year.
2. 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.
3. Evaluate the progress in meeting its specific objective of 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.
4. Report on annual HOPWA output goals for the number of households assisted during the year in: (1) short-term rent, mortgage and utility payments to avoid homelessness; (2) rental assistance programs; and (3) in housing facilities, such as community residences and SRO dwellings, where funds are used to develop and/or operate these facilities. Include any assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.
5. Report on the use of committed leveraging from other public and private resources that helped to address needs identified in the plan.
6. 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 Consolidated Plan.
7. Describe any barriers (including non-regulatory) encountered, actions in response to barriers, and recommendations for program improvement.
8. Please describe the expected trends facing the community in meeting the needs of persons living with HIV/AIDS and provide additional information regarding the administration of services to people with HIV/AIDS.
9. Please note any evaluations, studies or other assessments that will be conducted on the local HOPWA program during the next year.

Program Year 4 Action Plan HOPWA response:

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

### **Specific HOPWA Objectives**

Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by the Action Plan.

Program Year 4 Specific HOPWA Objectives response:

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

## Other Narrative

Include any Action Plan information that was not covered by a narrative in any other section.

All information included above.