2012 Program Year CAPER

The CPMP 2012 Consolidated Annual Performance and Evaluation Report includes Narrative Responses to CAPER questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning Regulations. The Executive Summary narratives are optional.

GENERAL

GRANTEE: City of Fond du Lac
CON PLAN PERIOD: 2012 to 2016

Executive Summary (92.220(b))

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

PY 2012 Action Plan Executive Summary:
Program Year (PY) 2012 was the first year of a five-year Consolidated Plan (2012-2016). The Consolidated Plan was heavily influenced by the changing economy, budgetary challenges and increasing needs within the community. In addition, during PY2012, the City had developed and implemented a Work Out Plan to achieve compliance with the timeliness ratio standards. As a result, the City was not only implementing projects allocated as part of the PY2012 Annual Action Plan but also completing projects and reallocating funds from prior program years in order to achieve that compliance. The project description and funding for the PY2012, as proposed in the Annual Action Plan, is outlined below:

a. Owner Occupied Housing Rehabilitation Loans, 1-4 unit structures	$204,000
b. Renter Occupied Housing Rehabilitation Loans, 1-4 unit structures	20,000
c. Rehabilitation Program Administration	60,000
d. Homestead Opportunity Program	15,000
e. Blight Elimination	30,000
f. Rehabilitation Grant Program	20,000
g. Boys & Girls Club	22,000
h. Salvation Army	12,000
i. Homeless Shelter Utility Assistance	12,000
j. Warming Shelter Extended Hours	5,000
k. Undesignated	38,328
l. Administration	109,942
Total	$548,270

Estimated 2012 Entitlement: $448,270
Estimated 2012 Revolving: $100,000
$548,270

A summary of the City of Fond du Lac's major initiatives to accomplish the above-mentioned projects include:

a. Owner Occupied Housing Rehabilitation Loans – A total of eight (8) owner-occupied units were rehabilitated using CDBG funds. Of the 8 projects, 3 have been completed. Approximately $40,200 has been expended to date. Seven (7) additional units were rehabilitated under another program and $75,324 has been expended to date. *The City was required to utilize funding from the other program by December 2012. As result, many of the owner occupied housing rehab projects used funding from this program early PY2012 and CDBG funding was used for projects later in PY2012.*

b. Renter Occupied Housing Rehabilitation Loans – One (1) unit was rehabilitated using PY2012 funds and approximately $116,957 was expended for acquisition and rehabilitation. The project was going to be a donation to a local non-profit for a permanent supportive housing program but was converted to a homeownership opportunity when the non-profit had organizational and programmatic changes. A transitional housing unit for ADVOCAP was rehabilitated during PY2012 using $35,045 in CDBG funds from PY2011.

c. Homestead Opportunity Program (HOP) – Four (4) lots were purchased during PY2012 as part of the Homestead Opportunity Program.

- A property located at 132 W Arndt Street was acquired during PY2012 using unexpended PY2011 funds and $116,957 was expended for acquisition and rehabilitation. The project was undertaken as a donation to a non-profit organization for their Permanent Supportive Housing Program. Due to organizational and programmatic changes at the non-profit and concerns regarding long term compliance and maintenance of the property, the Redevelopment Authority approved converting the activity to a homeownership opportunity. The property is listed for sale and is expected to sell in PY2013 with the assistance of funding from the Neighborhood Stabilization Program (NSP).
- A vacant property located at 471 W. Division was acquired during PY2012 using $17,673 of PY2011 funding. The vacant lot was donated to Habitat for Humanity. The property will be a part of their 2014 build season subject to the enrollment of an eligible family into their program.
- A property located at 24 N. Butler Street was acquired during PY2012 and the deteriorated and blighted structure was razed using $5,514 in PY2010 funds and $7,555 in PY2011 funds.
- The property at 239 N. Military Road was acquired during PY2012 and the deteriorated and blighted structure was razed using $10,576 in PY2010 and PY2011 funds.
- The property at 301 E First Street was acquired with PY2012 funds. The home will be rehabbed during PY2013 and sold to a low-and-moderate income family.

d. Blight Elimination – The project that was allocated funding from PY2009, PY2010 and PY2011 was canceled and reallocated towards a Public Facilities project due to ongoing delays. The $9,630 expended in PY2009 funds was used for environmental professional services as part of the preliminary assessment for any potential acquisition.

The $30,000 in PY2012 funds was reallocated towards the Brownfield project. This project involved the clean –up and remediation of a vacant gas station in a low-and-moderate income neighborhood.

e. Rehabilitation Grant Program – This activity provides grant funding for façade design assistance and historic research for historic buildings located within the downtown. The activity has $20,000 in committed funding of which $2,852 has been expended. Staff will be monitoring the utilization of these activity funds in PY2013. If the activity continues to be underutilized, staff will recommend ending the program and reallocating grant funds.

f. Boys & Girls Club – The Boys & Girls Club PY2011 subrecipient agreement for $25,000 extended from December 2011 to November 2012. The PY2012 subrecipient agreement extended from December 2012 to November 2013. The Boys & Girls Club tracks services based on average daily attendance. For the period of December through February of PY2012, the average daily attendance was 200 children and teens from low-moderate income families which exceeded their goal of an average daily attendance of 175 children and teens. For the Money Matters program, the Boys & Girls Club set a total goal of 40 teens enrolled in the program. For the PY2011 agreement, which extended into November 2012, they reach their goal of 40 teens.

g. Salvation Army – The PY2012 funding for this activity was reallocated to the Homestead Opportunity Program. Salvation Army had expended $7,371 of the $16,000 PY2010 funding that was allocated during PY2011. Due to a lack of progress towards goals, the remaining funding will be reallocated to another activity in PY2013.

h. Homeless Shelter Utility Assistance – This activity provides funding for utility costs associated with the operation of the men's and women's homeless shelter. Of the $12,000 allocated to the activity, $9,101 has been expended. Through this activity, approximately 272 individuals have received improved access and supportive assistance at both shelters.

i. Warming Shelter Extended Hours – This funding is used to extend the hours of the warming shelter which is open from November 1 to March 31. The funds are used for case management and utilities. In PY2011, $10,000 in was allocated towards the project. $5,000 in funds were used during PY2011 and the remaining $5,000 in funds was used during PY2012. For PY2012, $5,000 in CDBG funds was allocated towards

this activity of which $2,500 was reallocated towards motel vouchers and the remaining $2,500 has not been expended.

For the motel voucher activity, $2,000 of the $2,500 allocated funds have been expended and has benefitted 9 individuals to date with 33 motel night stays.

j. Undesignated – Funding from Undesignated was used to provide assistance for the following activity:

- Homestead Opportunity Program – The PY2012 Undesignated funds were reallocated to Homestead Opportunity Program to acquire a property at 301 E 1st Street. The property will be rehabilitated and sold as homeownership opportunity for a low-and-moderate income household. Subject to the availability of funding, staff anticipates completing the rehab and listing it for sale in PY2013.

K. Brownfields – The project involves the clean-up and remediation of a vacant gas station at 129 Forest Avenue. Approximately $155,130 in CDBG funds had been expended to complete the Phase I and Phase II Environmental Site Assessments; demolition of the existing building; removal of the underground storage tanks, pumps and associated lines; and remediation of the site (removal of the contaminated soil). The $30,000 in CDBG funds from PY2012 reallocated from Blight Elimination to Brownfields will be used to complete the remediation and prepare the site for future redevelopment.

l. Public Facilities – Due to delays in the proposed Blight Elimination project, staff reallocated approximately $200,000 (less what was expended) from PY2009, PY2010 and PY2011 to a Public Facilities project. The project involves stormwater improvements to a low-and-moderate income neighborhood that has experienced flooding. The project will be completed in PY2013.

Summary of Resources and Distribution of Funds

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

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

   PY 2012 CAPER #1 response:
   The City conducted an analysis of the 2000 Census to identify areas, on a block group basis, which have a concentration of 51% or more low and moderate income persons. That study indicates the following block groups as meeting the criteria:

402-4	405-1	405-4	407-3
403-4	405-2	407-1	410-3

Please see the Attachments section for maps which identify the specific block groups graphically.

We also have identified the location of racial and ethnic minority group concentrations by census tract. In order to make the analysis more useful, we have excluded tract 420 from the city totals due to its large institutional population which would otherwise distort the analysis.

African-American (AA): the AA population is concentrated in these census tracts: 411 (1.2%), 405 (1.3%), and 403 (1.6%). While these are concentrations, they still represent small numbers of AA and percentage-wise only a relatively slight increase over the City wide rate of 0.8%.

Hispanic (HSP): The City wide distribution of Hispanics is 2.9%. Slight concentrations of this group are found in census tracts 405 (5.0%) and 403 (6.5%).

American Indian /Alaska Native (AIAN): The City wide distribution of AIANs is 0.4%. Slight concentrations of this group are found in census tracts 402 (0.6%) and 405 (0.6%).

Asian/Native Hawaiian and Pacific Islander (ANHPI): The City wide distribution of ANHPIs is 1.5%. Slight concentrations of this group are found in census tracts 403 (2.6%), 405 (3.0%), and 402 (3.7%).

Some Other Race (SOR): The City wide distribution of SOR is 1.3%. Slight concentrations are found in census tracts 405 (2.4%) and 403 (3.6%).

Overall concentrations of minorities are most pronounced in census tracts 403 and 405 with 4 of the 5 groups having concentrations in 403 and all 5 in 405.

The City intended to use the large majority of its funds within the census block groups that have high concentrations of LMI persons. This is the area of greatest need for housing rehabilitation, replacement of deteriorated public infrastructure, concentration of housing affected by lead paint, location of historic properties, location of concentration of minority groups, and other community development priorities.

Although the target area is the area of greatest need, there is significant need in areas outside the target area. According to the attached map, three (3) owner-occupied homes were rehabilitated within the target area, and 12 homes were rehabilitated elsewhere in the City. The City lends money from the owner-occupied rehabilitation program according to the availability of qualified applicants. Please see the attached map for a geographic distribution of projects.

General CAPER Narratives:

2) Assessment of Three to Five Year Goals and Objectives

a) Describe the accomplishments in attaining the goals and objectives for the reporting period.

The goals and objectives for the projects undertaken by the City in PY2012 fell within providing decent housing and improving access to suitable living environment.

Decent Housing

1) The City's progress on PY2012 CDBG activities has resulted in increases in decent housing through the owner-occupied rehabilitation program with three (3) owner-occupied rehabs have been completed with five (5) more units still under rehab. Seven (7) additional units were rehabilitated using HOME funding which was received through the City's partnership with ADVOCAP.
2) The City's partnership with Habitat for Humanity resulted in one home for a low-to-moderate income family that was constructed on a lot donated in PY2011. A single family home was acquired using PY2012 Homestead Opportunity Program funds and will be rehabilitated in PY2013 and sold to a low-and-moderate income family.
3) In PY2012, the City acquired a single-family home that was going to be rehabilitated and donated to a non-profit organization as part of their Permanent Supportive Housing Program. Due to changes at the non-profit organization, staff received approval from the Redevelopment Authority to convert the property from a donation to a homeownership opportunity. Using Neighborhood Stabilization Program (NSP) funds to provide down payment assistance, the City anticipates selling the home to a household at or below 50% of the County Median Income (CMI).

Suitable Living Environment

1) The Boys & Girls Club is on track to reach their goals for participation in the After-School Program; Summer Program and Money Matters Program. For PY2011 funding (which ended in December 2012), they exceeded their goals for the After-School Program from a projected goal of 175 average daily attendance to 190 average daily attendance. For the Summer Program, 210 low-and-moderate income persons were assisted with CDBG funds. For the Money matters Program, the Boys & Girls Club met their goal of 40 kids completing the class.
2) The City continued the Consolidated Plan goal of improving accessibility and availability to suitable living environment through support of the homeless shelters.
    a. The City provided funding support for motel vouchers. Due to the mild winter in PY2011, the demand for the motel vouchers were not as high as expected and funds were available from PY2011 to utilize in PY2012. In addition, PY2012 funds were also allocated towards this activity. Between PY2011 dollars used during PY2012 and PY2012 dollars, 31 homeless individuals were assisted through this activity.
    b. In PY2012, the City provided funding for utility assistance at the men's and women's shelter. The use of CDBG funds to assist with some of the utility costs enabled Solutions Center to direct funds towards direct services, such as case management. Through this activity, 272 individuals received assistance and support or 34 individuals per month.
    c. One of the factors that create demand for motel vouchers, besides shelter capacity, is when Solutions Center is contacted by a homeless family. In this instance, families are either divided between the two shelters or placed in motels. Separating families during this time increases stress and anxiety in an already trying situation. In

partnership with Solutions Center, the City provided $30,000 in CDBG funding assistance towards the acquisition of a family shelter.

3) Salvation Army initiated a Permanent Supportive Housing Program to increase availability and accessibility to a suitable living environment. The Program had enrolled 6 out of the 10 individuals. Funding was provided using PY2010 funds in addition to an allocation for PY2012. Due to low utilization, the PY2012 funding was reallocated towards another activity. In addition, in PY2013, staff will be requesting reallocation of the unspent funding from PY2010 to another activity due to organizational and programmatic changes.

Through these programs, the City is on track to attain the goals and objectives outlined in the 2012-2016 Consolidated Plan.

Provide a breakdown of the CPD formula grant funds spent on grant activities for each goal and objective.

If not using the CPMP Tool: *Use Table 2A, 2B, 3B, 1C, 2C, 3A*
If using the CPMP Tool:* *Use Needs Tables, Annual Housing Completion Goals, Summary of Specific Annual Objectives.* *(Use of these tables is sufficient, additional narrative is not required.)***

Please see attached CPMP worksheets – Needs Tables, Annual Housing Completion Goals and Summary of Specific Objectives.

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

PY 2012 CAPER General Questions #2c response:
Progress was not made toward meeting certain goals and objectives.

The lagging economy and housing market continues to be a factor in the slower activity for certain projects and increased activity for other projects, such as public service-related programs.

1) For the renter occupied rehabilitation program using CDBG funds, insufficient program income and a shortage of applicants led to a lack of projects.
   a. While the City did not assist any renter occupied units under the "traditional" renter/landlord model, the Redevelopment Authority did allocate PY2012 grant funds towards renter rehab to assist with the rehabilitation of a transitional housing units (a single-family home) owned and operated by ADVOCAP. The rehabilitation will result in improved conditions for up to six (6) families.
   b. The Redevelopment Authority allocated PY2012 grant funds towards the rehabilitation of a home that was to be donated to a nonprofit organization for their Permanent Supportive Housing Program. This activity would have assisted up to 10 individuals through their program. This activity was later converted to a homeownership opportunity.
2) For the owner occupied rehabilitation program using CDBG funds, there continued to be a shortage of rehabilitation loans compared to previous years. Staff increased outreach which resulted in more inquiries; however, many of the potential applications exceeded income limits, lacked equity to undertake a rehabilitation loan or had other underlying financial issues. In addition, one of the City's other programs had funds that had to be used by December

2012. Many eligible housing rehab activities utilized the other program funding early in PY2012 and CDBG funds later in PY2012.

3) For the Homestead Opportunity Program, the City acquires and donates lots to nonprofit organizations for construction of new single family homes for low-and-moderate income households. Habitat for Humanity has been the recipient for the most recent acquisitions. The City has a goal of assisting two (2) LMI households achieve homeownership through this program. In PY2012, only one family was assisted. One of the reasons the City and Habitat for Humanity were unable to achieve the goal of two LMI families was that one of the available lots is located in a neighborhood that struggles against a bad perception by the public. The City, in collaboration with many community partners (Housing Authority, Police Department, nonprofit organizations), are trying to address the misconceptions within the community.

3) Affirmatively Furthering Fair Housing

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

PY 2012 CAPER General Questions # 3a response:
The "City of Fond du Lac Analysis of Impediments (AI) to Exercise of Fair Housing Choice" was originally conducted in 2004 and was updated in 2010. The City adopted the updated AI in December 2010.

The 2010 AI did not indicate that any policies, procedures and practices within the jurisdiction were impediments to fair housing. Zoning; building codes; municipal and other services and programs; transportation linkages; Public Housing Authority procedures and local real estate and lending practices are consistent with fair housing laws. Staff interviewed lenders, real estate professionals, appraisers and insurance agents. The interviews indicated that industry training has worked to eliminate discriminatory actions that would serve as impediments to fair housing choice. Continued training will be important to ensure that discriminatory actions do not occur.

No changes were made to the City's Zoning and Building Codes that would result in an impediment to fair housing.

- Zoning ordinances – The City closely examined its Zoning Ordinance with particular emphasis on its definition of "family" and how it may impact certain types of housing development including Community Based Residential Facilities (CBRF) and other assisted care homes. After a review of the zoning ordinance by HUD- Milwaukee's FHEO division, it was found to be nondiscriminatory and in accord with State law.
- The City's Building Code is in accord with various State building codes including those related to barrier free design and multi-family structures, which are enforced through state and local plan review and the permitting process. As such, the protections granted to person with disabilities are being reinforced through the requirements of state and local law.

Since the adoption of the AI, two (2) issues have emerged that may impact fair housing choice.

In summer 2011, the City of Fond du Lac adopted an ordinance that would enable the City to place unpaid water bills onto the property taxes. This

means that landlords that have tenants that are directly billed for their water service and if these tenants are delinquent on their payment, landlords will have those delinquencies placed on their property taxes.

a. The policy was implemented for the first time as part of the 2011 tax collection. Staff monitored the impact of this policy as part of PY2012. Staff did not receive any calls from tenants regarding any actions undertaken by landlords that have impacted fair housing choices.

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

PY 2012 CAPER General Questions # 3b response:
The City attempts to overcome effects of impediments in several ways:

1) The City continued to follow the Comprehensive Plan which provides for a variety of residential land use designations designed to promote housing choice and includes a variety of affordable housing projects/programs sponsored or endorsed by the City.
2) The City's Equal Opportunities Ordinances – Chapter 9.3 of the Municipal Code - prohibits discrimination in housing and public accommodations, and also provides for an Equal Opportunities Commission (EOC). The Equal Opportunities Commission previously met on an as-needed basis. In PY2011, with new membership, there was a desire to become more involved in education and outreach. The EOC's efforts included:
    a. The City of Fond du Lac updated their website. As part of the update, staff created a separate page for Fair Housing/Equal Opportunity. Prior to the update, information related to the Equal Opportunities Commission was included as part of a list of documents that included planning, floodplain, housing rehab and other reports.
    b. The EOC reviewed the Fair Housing Poster and Essay submittals for the 2013 Fair Housing competition. The EOC held a small presentation ceremony for local winners and forwarded them to the State. Winners from the State competition were acknowledged with a Proclamation at the December 12, 2012 City Council meeting.
    c. In PY2011, staff contacted Metropolitan Milwaukee Fair Housing Council to initiate discussions regarding opportunities to assist with enforcement and outreach activities. Staff anticipates returning to those discussions in PY2013.
3) In conjunction with the Fond du Lac Housing Authority and Fond du Lac Police Department, the City started planning a Landlord Training event that will be held in June of PY2013. Fair housing education will be an essential component of this training.
    a. Staff is also working with UW-Extension Fond du Lac regarding the potential for creating a landlord version of the Rent Smart program. The Rent Smart Program educates tenants about their rights and responsibilities as a renter. The landlord version will teach landlords their rights and responsibilities, including fair housing practices.
4) The City continued its focus on the Housing Rehabilitation Program, for both owner-occupied and renter-occupied units, to assure that no impediments to fair housing choice exist in the City as it relates to the availability of safe and affordable housing. This program helps to maintain and improve the availability of the City's affordable housing stock.

5) The City continued funding support for the Fond du Lac Area Transit which provides direct links from the central city and other target areas to industrial areas to expand housing choices and remove barriers and create ease of access.
6) The City incorporated fair housing requirements in CDBG subreceipient agreements when non-profits undertake housing activities.
7) The City published a quarterly Fair Housing Notice in the Action Advertiser, a local free paper, stating that the City is a Fair Housing community and contact information for individuals who believe they have been discriminated against in housing.
8) In PY2011, staff met with the Community Development Educator at UW-Extension to brainstorm ideas to improve and increase education and outreach for all of Community Development and CDBG programs, including fair housing. Staff will continue to implement these efforts, such as attending a Fond du Lac County Commission on Aging meeting to share information about the CDBG Program to the group. This group works with the elderly population within the County, including seniors residing within the City.
9) On March 28, 2012, the City Council declared April 2012 Fair Housing Month.
10) In April 2012, staff attended the "Walk in Hour in My Shoes", Hispanic Life Seminar which educated individuals on Hispanic culture. The speakers highlighted some of the traditions and etiquette that impact how individuals from different cultures interact with the Hispanic community.
11) In April 2012, staff attended the Wisconsin Fair Housing Network Conference. This conference provides an opportunity to learn what other communities are undertaking in terms of fair housing and current topics inb fair housing law and enforcement.
12) In April 2012, staff attended the Diversity in Planning Workshop, sponsored by the East Central Wisconsin Regional Planning Commission. The workshop discussed the importance of diversity in planning, Wisconsin's changing demographics and the importance of increasing public involvement from all cultures as well as tools and challenges to overcome in order to enable that involvement to move forward. While the overall theme was planning, the workshop also discussed outreach and obstacles to involvement which impact fair housing efforts but also getting individuals from diverse backgrounds to participate in the fair housing process, including coming forward with complaints and concerns.

4) Address Obstacles to Meeting Underserved Needs

Identify actions taken to address obstacles to meeting underserved needs.

<u>PY 2012 CAPER General Questions # 4 response:</u>

1) The lack of viable housing rehabilitation applications continued to be an obstacle to meeting underserved needs. In PY2012, the City undertook the following actions:
    a. Continued a direct mailing effort to new homeowners as identified by the Assessor's office through new home sales.
    b. The City IT Department worked with Charter Communications to improve the quality and abilities of the Cable Access Channel. Staff placed a short slideshow regarding the Housing Rehabilitation Loan Program on the Cable Access Channel.

c. Staff saw an increase in interest in the Housing Rehabilitation Loan Program; however, many applicants exceeded income limits upon verification; had insufficient equity or other financial obstacles.
    i. For applicants that had insufficient equity to undertake the needed rehabilitation items, staff recommended a pilot test of a combination of deferred loan with repayment to the Redevelopment Authority. For the value of the work that exceeded equity, the applicant agreed to a manageable repayment plan.

2) The lack of funds to meet all underserved needs continues to be an obstacle. This obstacle is compounded by budget cuts, staff cuts and reductions in grant programs at the federal, state and local level. Working with community partners, staff continued to look at innovative ways to meet needs and effectively use available funds.
    a. The Fond du Lac County Health Department as part of their annual assessment identified lack of access to dental care for low-and-moderate income persons as a priority need within the community. Through public and private partnerships any commitment of CDBG funds would be maximized by other funds, in-kind contributions, and other resources. Access to dental care continues to be an ongoing demand. The Health Department utilized their $20,000 in PY2008 funds during PY2012. The activity was included in the Annual Plan for PY2013, however, there is typically a lag between the start of a Program Year and funding availability. To fill the gap, staff looked at underperforming activities or unspent funds in order to provide resources for a needed activity and also insure the timely expenditure of funds. Since the underperforming activities were already Public Service activities the City would be able to maintain compliance with the 15% cap on Public Services.
    b. Staff continued to look at opportunities to collaborate with other agencies to undertake projects. For example, late in PY2012, the City and Housing Authority started planning efforts on a landlord training session for early PY2013. The City is sponsoring the Fair Housing portion of the training and the Housing Authority will sponsor other landlord-tenant speakers/sessions.

5) Foster and Maintain Affordable Housing

Identify actions taken to foster and maintain affordable housing.

<u>PY 2012 CAPER General Questions # 5 response:</u>

1) The City continued to focus a significant proportion of the annual allocation/program income on owner-occupied housing rehabilitation. These loans are provided to low-and-moderate income homeowners for properties that are typically located within the older areas of the City. These homes represent a large portion of the City's affordable housing.
2) The City continued to collaborate with community partners, ADVOCAP & Habitat for Humanity, to provide affordable homebuyer opportunities within the community. The City purchased vacant, deteriorated or damaged properties and donated them to Habitat for Humanity for construction of single family homes to be sold to income eligible households. In PY2012, the City had an opportunity to acquire four (4) lots. One lot will be part of Habitat's 2014 build season; one property was rehabilitated and will be sold in

PY2013 to a low-and-moderate income (LMI) household at or below 50% County Median Income (CMI); and one was sold to an adjoining property for the appraised value improve the property and one may be donated to adjoining LMI household.

3) The City, through a partnership with ADVOCAP, completed reconditioning of a foreclosed property early in PY2011 using Neighborhood Stabilization Program (NSP) funds and listed the home fore sale in July 2011. Staff closed on the property with an eligible homebuyer on April 2, 2012.
4) In March 2013, the City received approval from the State to utilize NSP funds to provide down payment assistance to sell a property acquired with CDBG funds as a homeownership opportunity.
5) The City partnered with Salvation Army for their Permanent Supportive Housing Program. CDBG funds were used to provide assistance with case management so that other organizational funds could be utilized for housing assistance. This program helped 6 individuals obtain rental units and receive case management services as of the end of October 2012. Due to changes within their organization, staff will be seeking reallocation of their funding in PY2013.
6) The City continued to work with the Fond du Lac Housing Authority on the CDBG-EAP grant for the renovation of Calumet Apartments. The Fond du Lac Housing Authority is the primary resource for affordable housing and the grant enabled the City and Housing Authority to update several units, address damage from the 2008 floods and provide six (6) accessible units. The rehabilitation was completed in September 2013 and 14 of the 35 units are occupied.
7) The City continues to support local developers that pursue low-income housing tax credit projects. In PY2011, a local developer started work on a project that would result in 35 affordable townhomes and the construction was completed in PY2012. In PY2012, a senior low-income housing tax credit project started construction.

6) Leveraging Resources

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

<u>PY 2012 CAPER General Questions # 6a response:</u>

1) The City received a CDBG-EAP ($3,450,000) from the State for renovation of the Fond du Lac Housing Authority's Calumet apartments. The project was completed in September 2012.
2) Other resources include the City's participation on the Neighborhood Stabilization Program ($115,000) project with ADVOCAP for the reconditioning and sale of a foreclosed home. Program income ($60,000) from the sale of the home on April 2, 2012 will be used to undertake another NSP eligible activity. The City received activity approval from the State in March 2013 to use NSP funds towards a homeownership opportunity that was initially funded using CDBG funds. Staff anticipates that the home will be sold in PY2013.
3) The City allocates funds to the Community Development Department through the City's budget. The Community Development Department's net budget in support of relevant programs in 2012 was $462,173.

4) The City received HOME funds ($112,000) as a subrecipient to ADVOCAP for housing rehabilitation loans. These funds were used to rehabilitate seven (7) housing units for low-and-moderate income households.
5) The City applied for DNR brownfield grants to assist with the clean-up and redevelopment for a manufacturing site that is also being assisted with City funds.
6) As part of the support for the Boys & Girls Club, the CDBG funds were used to provide scholarships to the After-School and Summer Programs. This enabled the private resources the Boys & Girls Club received through fundraising and donations to be used for programming and other activities.

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

PY 2012 CAPER General Questions # 6b response:

1) The City's use of CDBG funds for acquisition and demolition of vacant and deteriorated property leveraged the private resources of Habitat for Humanity. Through their grants, fundraising and in-kind contributions, Habitat constructed one (1) single family homes in 2012.
2) The City's use of CDBG funds to assist Salvation Army's Permanent Supportive Housing (through case management) leveraged their resources towards rent assistance and other components of the program. Salvation Army receives grant funds from various foundations and other entities (e.g. United Way) as well as through their fundraising and resale/thrift store.
3) The City's use of CDBG funds to assist Solution Center with motel vouchers, extending hours of the warming shelter, utility assistance and acquisition of a family shelter leveraged the funds they were currently receiving (ESG, United Way, etc) for their services as well as volunteer efforts to staff the warming shelter during the extended hours. For the family shelter acquisition, Solutions Center leveraged $30,000 in private and public funds towards the acquisition and $60,000 from a local industry for the continued maintenance of the property. This does not include the volunteer time or donated materials for painting, cleaning, and furnishing the home for occupancy.
4) The assistance provide to the Dental Care Assistance Program leveraged approximately $21,000 of in-kind donations from dental providers. (As of the end of PY2012, $18,627 of CDBG funds have been expended of the $20,000 allocated towards this activity. To date, the activity has resulted in a higher use of private resources than CDBG funds.)

c) Describe how matching requirements were satisfied.

PY 2012 CAPER General Questions # 6c response:

The City of Fond du Lac receives only CDBG funds as an Entitlement Community. Matching requirements do not apply.

7) **Citizen Participation**

a) Provide a summary of citizen comments.
*Please note that Citizen Comments and Responses may be included as additional files within the CPMP Tool.

PY 2012 CAPER Citizen Participation # 7a response:
The City held three (3) public hearings in PY2012. Public hearings were held in April, September, and January. As part of the April public hearing, the Redevelopment Authority approved reallocation of funds from PY2009, PY2009, PY2010 and PY2011 to other activities to insure a timely expenditure of funds as part of the City's Work Out Plan. The September public hearing was a review on progress on past projects and needs identification and assessment for the 2013 Annual Action Plan. At the January public hearing, staff presented the 2013 Annual Action Plan for adoption by the Redevelopment Authority.

At the September Public Hearing, the following comments were received from individuals/organizations:

Molly Martzke, indicated that Clarity Care is a non-profit organization providing services in North East Wisconsin. They were looking to expand their services into the Fond du Lac area. They provide supportive residential home care services, of approximately 2-6 hours per day, enabling these clients to remain in their home. None of their clients qualify for Medicare or Medicaid. She inquired about availability of grant funding to support their program.

Beth Puddy, stated that New Beginnings Pregnancy Care Center provides a home, free of charge, to women in crisis situations. The center assists these women in the continuation of their education, finding jobs and locating apartments. They are also taught life skills such as taking care of their babies, cooking and cleaning. In addition, the center provides diapers, formula, baby clothes and maternity clothes to the community at no cost. Ms. Puddy also thanked the Redevelopment Authority for previously providing funding for a new roof.

Ryan Scheel, Boys & Girls Club, thanked the Redevelopment Authority for their previous support. Because of the Redevelopment Authority's funding the Boys & Girls Club was able to provide services for up to 250 children a day during the week. The children are helped with their reading and math homework and 67% have shown an improvement in these skills. The older children are helped with career development and college preparation courses.

Bishop Haywood, had several questions regarding notification of the Public Hearings, how organizations are chosen and the application process.

Daisy Frazier, stated that Ebony Vision is a non-profit organization for African Americans. She stated that they work with the Fond du Lac Police Department for outreach into the City's distressed areas. They also work in collaboration with the UW Fond du Lac for the Juneteenth & All About Kid's events. Frazier stated that all community partners needed to work together to create a solution to the needs that are being identified tonight.

At the January Public Hearing, the following comments were received from individuals/organizations:

Mary Kummerow-Johnson, Clarity Care, stated that the Help at Home for the Elderly and Disabled was a program developed by Clarity Care in 2008 for

clients wishing to remain in their own home. They found that there was a gap between those who could afford the cost of at home health care and assistance and those who qualified for government assistance. The program is income based and is cost shared by their approximately 150 clients. She stated that Clarity Care has been in business for 40 years and is supported by fund raising efforts and by applying for grant assistance. They have 3 group homes in Fond du Lac for the developmentally challenged and disabled of all ages. She thanked the Redevelopment Authority (RDA) for this assistance.

Ryan Scheel, Fond du Lac Boys & Girls Club, said thank you for the opportunity to partner with the RDA. He indicated that the Boys & Girls Club provides assistance for approximately 350 children per day between their three locations. These children receive an evening meal, tutorial help with homework, attend field trips and have the opportunity to make new friends. He stated their vision is to eliminate their current waiting list by opening another location.

The City did not receive any written comments.

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

PY 2012 CAPER Citizen Participation # 7b response:

In regards to the comments received regarding notification and selection at the September Public Hearing, staff explained at the Public Hearing how Public Hearing Notices are published in the Action Advertiser and sent to a List Serve via email. Staff indicated that any interested party from may be added to this listing. Staff explained the application and selection at the Public Hearing.

For comments or requests regarding funding availability, staff provided CDBG Funding Applications as well as met with many of the organizations to discuss the CDBG program requirements and proposed activities in further detail. As a result, Help at Home and Boys & Girls Club were included in the PY2013 Annual Action Plan. Staff will continue to work with New Beginnings on possible activities. Staff is working with Ebony Vision to refine their activity design and goals as well as review organizational capacity.

8) Institutional Structure

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

PY 2012 CAPER Institutional Structure # 8 response:

1) To increase exposure to CDBG and other supportive programs, staff initiated a quarterly newsletter to educate and increase awareness of the City's efforts to community partners and service providers. The newsletter distribution lagged during PY2012 due to other commitments. The newsletter will return in PY2013.
2) The CDBG-EAP grant for the Calumet Apartments, primarily administered by the City in partnership with the Fond du Lac Housing Authority, has increased communication between staff of both agencies.

3) The Redevelopment Planner attends the monthly Housing Coalition meetings. The Housing Coalition is comprised of multiple social, health and advocacy agencies within the community. In PY2012, staff and ADVOCAP, lead agency in the Coalition, worked to bring additional partners to the table, such as Fond du Lac County Department of Community Programs. In addition, each monthly meeting includes agency updates as well as a focused agency presentation or presentation on a topic of interest. For example, Goodwill Industries attended a meeting to discuss how Goodwill operates and its mission as well as how they may be able to assist the community and the clients served by agency members through workshops on interviewing skills or dressing for job interviews.
4) The Redevelopment Planner served as Secretary to the Hispanic/Latino Advisory Leadership Group. Members of the group either serve or have involvement with members of the Hispanic/Latino community. The goal of the group is to share programs and activities that may assist their clients; identify obstacles or concerns for members of this community and identify opportunities to meet those needs.
5) Community Development staff continued to participate with various groups and committees, such as the Hamilton Area Neighborhood District, Downtown Fond du Lac Partnership Program Management Team (PMT), Downtown Architectural Review Board, and Fond du Lac County Economic Development Corporation (FCEDC) Loan Review Committee to increase communication and partnerships within the community. By participating in these committees, staff is able to learn about issues within the community and intervene, if possible, at the front end versus later in the process.
6) Community Development staff meets quarterly with representatives from the Fond du Lac County Economic Development Corporation (FCEDC) and Wisconsin Economic Development Corporation (WEDC) to focus specifically on economic development issues.

9) Monitoring

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

<u>PY 2012 CAPER Monitoring # 9a response:</u>

City staff and the Redevelopment Authority (RDA) monitor performance of the Entitlement Program through the following activities:

1) The overall financial performance of the Program is monitored through monthly reports to the RDA. Financial reports must be approved by the RDA.
2) Financial performance of the City's Program is monitored through the CAPER at the local level and the federal level. Staff continued to maintain a "mini" CAPER (non-HUD report form) that summarizes funds expended and accomplishments for all program years. This mini CAPER is presented to the RDA.
3) Staff monitored financial performance through review of IDIS reports, measurements against the timeliness factor and the City's drawdown history.
4) The overall management performance of the Program was monitored through review of progress toward implementation of goals by RDA at monthly meetings.

5) Staff monitored management performance through review of progress toward implementation of goals through CAPER.
6) Staff monitored the management performance of subrecipients through the level of technical assistance required by the subrecipient and quarterly reports to the City. Staff also meets on-site with the subrecipients to review progress towards goals and reported outcomes.
    a) For example, the Boys & Girls Club receives funding to support their after-school and summer programs. As a result of the on-site review, City and Club staff revised the documentation provided to show how the funds were being used to assist low-and-moderate income families through scholarships. The new documentation provides family size, income, which families are funded through CDBG funds and which families are supported through other non-CDBG resources.
    b) Although not the result of a direct on-site monitoring, the City has initiated action as a result of a lack of progress towards goals and nonresponsive to City communications. Progress towards goals lagged in the Salvation Army Permanent Supportive Housing Program. There was no reimbursement request for the October-December 2012 quarter. There was no reimbursement request for the January – March 2013 quarter. In addition, there was no response and follow-up to the City's communications from the organization regarding finalizing the agreement for the donation of a rehabbed property for their Permanent Supportive Housing Program. As a result, staff received approval from the Redevelopment Authority to convert the donation to a homeownership opportunity. In early PY2013, staff will be requesting approval from the Redevelopment Authority to reallocate remaining funds from the Permanent Supportive Housing Program to an eligible activity. Upon approval, staff will contact Salvation Army to begin termination of the agreement and closeout of the grant funding.
7) Satisfaction with the Program and its impact on the community is monitored through citizen comments or complaints, or lack thereof. The City received more feedback through the public hearings during PY2012 than previous program years. The comments received during the public hearings were related to the CDBG program itself and the overall process rather than specific activities.
    a) Staff continued to implement the outreach ideas identified in collaboration with the Community Development Educator from UW-Extension. Staff utilized the improved cable access channel to increase outreach and awareness of the City's Housing Rehabilitation Loan Program and to promote the City's Homestead Opportunity Program and partnership with Habitat for Humanity.
    b) The quarterly newsletter about the CDBG program is the initial step in promoting outreach of the program. Staff anticipates increasing the distribution list over time.
8) Staff monitored progress towards meeting the needs identified in the Consolidated Plan through the number and type of requests received by groups for funding. As the City received new requests for funding, staff compared them to the Consolidated Plan. Requests that were not identified in the Consolidated Plan may suggest that the needs in the community are changing and that the Consolidated Plan may need to be amended to reflect the proper allocation to meet those needs.

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

PY 2012 CAPER Monitoring # 9b response:

1) Overall program activities are monitored through monthly meetings of the Redevelopment Authority. As part of the financial reports, staff reported the current level of funds drawn on activities and projected draws. Staff also provided information on pipeline projects which reflect activities that may result in a request in funding or draw from current funded projects that require reallocations.
2) Staff monitored the progress on activities through IDIS reports. Staff viewed IDIS reports monthly to track draw downs by activity and the entering of activities details in IDIS.
   a. During PY2012, staff implemented the Work Out Plan to ensure compliance with the timeliness standard ratio. Staff submitted quarterly reports to the HUD Field Office regarding progress towards the Work Out Plan goals. This included status on proposed activities, completion of approved activities and progress on expenditures.
3) Subreceipients are desk monitored quarterly to determine progress toward implementation of activities to fulfill the requirements of the agreements with the City. The subrecipients submit a quarterly report on outcomes to date with reimbursement requests. Staff reviews each request and outcomes and contacts the subrecipient if clarifications are needed.
   (Prior to PY2012, staff tried to meet with subrecipients on-site more frequently. Due to the on-site monitoring of the Economic Development Revolving Loan Fund by U.S. Department of Housing and Urban Development; on-site monitoring by the State of Wisconsin of the CDBG-EAP grant for the Calumet Apartments project; remote/desk monitoring by HUD for Labor Standards and Environmental Records; and implementation of the Work Out Plan created timing/scheduling difficulties. Staff will return to a more consistent monitoring schedule as part of PY2013.)

   Staff meets with a representative on-site to review the program and progress towards goal. Staff continues to make efforts to improve the monitoring process.
   a. Boys & Girls Club – As part of PY2012, staff met on-site with the Boys & Girls Club on June 21, 2012 and December 18, 2012. The on-site meetings were not formal monitorings, but were opportunities to meet on-site to review the quarterly reports and reimbursement requests, meet with staff and review the program.
   b. Salvation Army – Staff met with staff and Board members in August to discuss the long term plans for the Permanent Supportive Housing Program and the donation of a residential property for the program.
4) The Homestead Opportunity Program is monitored annually (once during the program year). This program provides vacant lots for the construction of single-family homes by community partners, such as ADVOCAP Fresh Start or Habitat for Humanity. Staff monitored compliance with low-and-moderate income housing once the home construction is complete and the household has moved into the home.

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

PY 2012 CAPER Monitoring # 9c response:
As part of PY2012, staff desk monitored the Boys & Girls Club, Dental Care Assistance Program and Solutions Center as part of their quarterly reporting and reimbursement requests. There were no changes made as a result of the desk monitoring. Solutions Center had an on-site monitoring on April 8, 2013. This will be reported as part of the PY2013 CAPER.

The Salvation Army was not formally monitored. However, the lack of progress and nonresponsive to the City's communications during the Program Year resulted in the following actions being taken:

1) The lack of responsive from the organization to meet to finalize a subrecipient agreement to accept the donation of a rehabbed single family home for their Permanent Supportive Housing Program resulted in the City turning the property into a homeownership opportunity for a low-and-moderate income household at or below 50% CMI.
2) The lack of progress towards goals and the lack of communication has resulted in staff requesting approval from the Redevelopment Authority to terminate the subrecipient agreement for the case management services for the Permanent Supportive Housing Program and reallocate the remaining funds to meet a community need.
    i. The subrecipient had a change over in staff. The City would typically allow a little extra time for reporting to compensate for redistribution of job duties, hiring of new staff and meet to discuss the City's expectations as it relates to CDBG funds and activity goals. However, the subrecipient did not respond to the City's communication efforts. In order to ensure compliance with CDBG regulations, staff will request the Redevelopment Authority to terminate and reallocate funds at their April 2013 meeting.
3) The Homestead Opportunity Program complied with the CDBG regulations regarding low-and-moderate income housing. To date, all households living in completed homes meet the income thresholds.
4) As part of PY2012, staff implemented a Work Out Plan to ensure compliance with the timeliness standard ratios. The Work Out Plan and subsequent quarterly reports to the HUD Field Office identified proposed activities; proposed schedule of activities; approved activities and progress towards expenditures. As a result, the City achieved compliance with the timeliness standard ratio by January 31, 2013 and also either completed activities, made significant progress towards completion or identified new activities to ensure timely expenditure of funds.
    i. The implementation of the Work Out Plan created another level of monitoring activities internally that will be carried forward in future program years in a less formal manner.
5) City staff continued to improve monitoring of subrecipients. While on-site monitorings lagged behind PY2011's efforts, desk and telephone monitorings continued throughout PY2012. Staff will return to more consistently scheduled on-site visits in PY2013.
    i. As part of the process to draft and adopt the PY2013 Annual Action Plan, staff met with organizations that were requesting

CDBG funding. All of the organizations that had requested funds had not received CDBG funding previously as a Public Service. CDBG regulations and guidelines are extensive and compliance with them is critical not only to the success of the City's Program, but also to the success of their program. In order to begin introducing the general regulations and expectations, staff met with representatives of organization's requesting CDBG funding to discuss their proposed activity design, documentation and organizational capacity. These meetings would provide the foundation for subsequent meetings if approved for CDBG funding to review the subrecipient agreement, reporting forms and subrecipient handbook.

6) Staff improved the timely entry of projects/activities into IDIS and beneficiary data. The timely input of data into IDIS enables HUD to monitor progress towards completion and beneficiaries. An area in continued need of improvement is entering receipt of program income/repayments into IDIS. Reports generated by IDIS have been inconsistent with the CAPER report. In PY2012, staff inputted more program income receipt data than PY2011 and PY2010. Staff also submitted questions to HUD OneCPD Resource Exchange to get guidance in regards to the proper procedure to receipt program income in IDIS. However, the reporting of program income is still incomplete and staff will continue to work towards correcting this in PY2013.

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

PY 2012 CAPER Monitoring # 9d response:

1) Staff utilized the CDBG regulations when reviewing proposed projects and activities to ensure that they met the eligibility and National Objective criteria. This review is documented in Project Summary memos that are included in each activity file that outlines the description of the proposed activity, the appropriate regulation reference for eligible activities and meeting a National Objective and the documentation that will be used/provided to meet the regulations.
2) The City keeps abreast of regulatory changes by attending HUD sponsored training and through HUD correspondence (primarily electronic communications and reports). In PY2012, staff attended the Entitlement Conference/All Grantee Meeting in Milwaukee.
3) Staff consulted with HUD-Milwaukee staff on questions not clearly defined by the regulations, HUD memoranda or other HUD resources. For example, staff requested clarification on entering receipt of program repayments into IDIS from HUD OneCPD Resource Exchange. In addition, staff requested clarification on beneficiary location as it related to a funding request in which the individuals receiving services were only temporarily living in the City.
4) In PY2011, the City was not in compliance with the timeliness of expenditures. In PY2012, staff implemented the Work Out Plan to ensure timely expenditure of CDBG grant funds and completion of

activities. As a result of the Work Out Plan, the City achieved compliance with the timeliness standard ratio by January 31, 2013.

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

PY 2012 CAPER Monitoring # 9e response:

1) Upon verification of housing rehabilitation loan eligibility, the City's Housing Rehabilitation Specialist (HRS) visited the owner's home and with their assistance determined the scope of the rehabilitation activities. Included in this is a lead risk assessment/inspection that is based on an XRF machine's analysis of existing painted surfaces. The HRS also used a room-by-room Housing Quality Standards (HQS) form on which "failed" items are noted. These observations form the basis for the HRS's rehab work specifications which are used to obtain bids from qualified contractors. Health and safety and other housing code compliance items are the priority of the housing rehabilitation loan program.
2) The HRS monitored and inspected the project progress through a combination of frequent phone contacts with the property owner, the contractor, and on-site visits. Final payments required the concurrence by the appropriate City building inspector (i.e. building, plumbing, electrical). This division of authority provides a greater level of assurance that each project is properly completed.
   a. As part of the Housing Rehabilitation Loan Program, in addition to ensuring long-term compliance with housing codes, staff also works to ensure quality workmanship. Upon inspection, if work items were not done in a good workman-like manner staff will request that each work item be redone to the appropriate level of workmanship.
3) The HRS worked closely with the City's Code Enforcement Officer to ensure that any housing rehabilitation projects do not fall into disrepair as well as referrals to the program from the Code Enforcement Officer to bring a non-compliant home into compliance.

f) What is the status of your grant programs?
   i) Are any activities or strategies falling behind schedule?
   ii) Are grant disbursements timely?
   iii) Do actual expenditures differ from letter of credit disbursements?

PY 2012 CAPER Monitoring # 9f response:

The status of grant programs is as follows:

i) For PY2012, the City implemented a Work Out Plan that enabled the City to meet the timeliness standard ratio. As a result, all activities were kept on schedule. For activities that appeared to be falling behind schedule, staff was able to address scheduling obstacles or reallocate funds towards another eligible activity.

ii) All grant disbursements are timely once an activity is able to proceed and complies with all notice requirements, environmental review requirements and submittal of the required reporting and reimbursement forms (for subreceipients).

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

10) Antipoverty Strategy

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

PY 2012 CAPER Antipoverty Strategy #10 response:
Poverty is a great concern for the City of Fond du Lac. According to the 2000 Census, 2,992 individuals within the City of Fond du Lac had income below the poverty level. This represents 7.5% of the City's population. By comparison, 5.8% of Fond du Lac County's population had income below the poverty level. According to the 2007-2011 American Community Survey, 5,364 individuals, or 13.1% of the City's population, had income within the last 12 month time period that was below poverty level. By comparison, 9.54% of Fond du Lac County's population was at poverty level for the same time period.

Efforts to reduce the number of individuals living below the poverty level is a community-wide activity. CDBG funds support a small portion of the efforts with other organizations being supported by the City and staff with other funding mechanisms and participation.

1) The primary action involved the City's Economic Development Revolving Loan Fund (EDRLF) administered by the Fond du Lac County Economic Development Corporation (FCEDC). The EDRLF was funded through CDBG Small Cities monies and outcomes reported to the HUD. Job creation is a requirement of any EDRLF loan and requires family supporting wages to qualify as a job created. Increasing job opportunities is a primary means of helping individuals move out of poverty.
2) The City, through the Community Development Department, actively promoted the industrial and business parks. These parks provide opportunities for new business location and for business expansion. Businesses locating or expanding within the industrial/business parks often utilize the EDRLF which requires job creation.
    a. During PY2012, the City and State of Wisconsin provided funding (non-CDBG) support for the expansion of a vehicle electronics manufacturer located within the City. The assistance enabled the City to retain approximately 200 manufacturing jobs and create 70 new jobs.
    b. The City received a Transportation Facilities and Economic Assistance (TEA) Grant from the Wisconsin Department of Transportation to assist a local business extend a rail spur that will allow them to create 70 new jobs.
3) The Salvation Army received CDBG funds to assist with their Permanent Supportive Housing Program. This program helps individuals that are homeless or at imminent risk of homeless (most likely living below the poverty level) obtain permanent housing with supportive services. This program helps individuals work through their obstacles, to obtain employment by assisting them with a primary need (shelter). Individuals completing or moving out to the program will hopefully have the skills to maintain stable employment and move out of poverty. At the end of October 2012, 6 individuals had entered into the program and were receiving services. Funding for this activity was reallocated due to concerns with maintaining compliance with CDBG regulations as the agency underwent organizational and programmatic changes.

4) The Boys & Girls Club received CDBG funds for a financial management/budgeting class targeting teens. While it is critical that individuals obtain employment with supporting wages, it is also essential that they have money management skills to manage the money they earn and budget for monthly expenses. Through this program, teens will learn vital money management skills prior to leaving the household so that they do not face financial pitfalls later. For PY2011 (which extended until November 2012), 40 teens completed the Money Matters Program out of an anticipated goal of 40.
5) The City utilized Tax Increment Financing (TIF) where necessary and appropriate to foster development, redevelopment and hopefully economic opportunities for individuals within the community. In PY2012, the City utilized TIF to assist a local manufacturer to expand their facility in a local industrial park which resulted in job retention and job creation.
6) The City continued to provide funding for the Fond du Lac Area Transit System to ensure that individuals have access to job opportunities.
7) Staff also collaborated with social service organizations, such as ADVOCAP, Solutions Center, Salvation Army and St. Vincent De Paul through the Housing Coalition and grant opportunities. These agencies undertake the direct actions to help reduce the number of individuals in poverty through their programs, with City staff providing input at meetings, support for grant applications, grant partnerships (HOME, Neighborhood Stabilization Program through ADVOCAP) and potential CDBG funding.
    a) In PY2011, the City provided CDBG funding to Solutions Center for motel vouchers. This funding was continued in PY2012. At the end of PY2011, $788 of $2500 had been used to place individuals and/or families in motel rooms when the shelters were at capacity or the shelter was not an appropriate place for a family. This resulted in 17 night stays at a motel and assisted 17 individuals that would otherwise have had no place to go and would not have received supportive services from Solutions Center. In PY2012, the remaining $1,712 from PY2011 was used to assist 22 individuals in motels for 53 nights. For PY2012, nine individuals were assisted for 33 motel night stays.
    b) Solutions Center received CDBG funding to extend the hours of the warming shelter to provide additional case management and offset operation costs. From November-March in PY2012, 71 different individuals received improved access to case management and support services provided by Solutions Center staff and volunteers.
8) Continued expansion of the role and outreach of the City's Equal Opportunities Commission will insure that local fair housing ordinances are explained and enforced. This should reduce the impact of discrimination against the various protected classes as they work to escape poverty.

Self-Evaluation

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

If not using the CPMP Tool: Use Table 1C, 2C, 3A
If using the CPMP Tool: Use Summary of Specific Annual Objectives.

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

Please see attached CPMP worksheet – Summary of Specific Objectives and IDIS Reports.

Consider the following when providing this self-evaluation:

a) Describe the effect programs had in solving neighborhood and community problems.
b) Describe the progress made in meeting priority needs and specific objectives.
c) Describe how activities and strategies made an impact on identified needs.
d) Identify indicators that best describe the results of activities during the reporting period.
e) Identify barriers that had a negative impact on fulfilling the strategic and overall vision.

12) Identify whether major goals are on target and discuss reasons for those that are not on target.

13) Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.

PY 2012 CAPER Self-Evaluation # 11, 12, 13 response:

11a) The City's programs in PY2012 assisted and complimented efforts to solve neighborhood and community problems.

a. The City's programs assisted in eliminating blight within the target area where private and public investment were occurring in the neighborhood.

i. The City assisted with the acquisition and redevelopment of two parcels with CDBG and City funds that will preserve a historic property and remove a vacant manufacturing building. A private developer is constructing low-income tax credit housing near these projects.

ii. The City funds were used to acquire a blighted and vacant gas station from Fond du Lac County. The City used CDBG funds to complete the demolition and tank removal in PY2012. The gas station is across the street from two historic buildings that have received public grants (Calumet Apartments and El Dorado Apartments) and private investment (El Dorado Apartments). The City is utilizing CDBG funds to complete the next steps of environmental assessment to help encourage redevelopment of this lot in future program years. Staff is currently working with the Wisconsin Department of Natural Resources and environmental consulting to identify the type and duration of assessment and testing.

b. The City's Housing Rehabilitation Loan Program assisted 8 families with decent, safe and sanitary housing. Another 7 families were assisted with non-CDBG funds. The City focuses on target areas which includes the oldest areas of the City and therefore, the oldest housing stock. However, some loans assisted low-and-moderate income

families outside the target areas which include the "next generation" of older stock. Deteriorated housing stock not only impacts the availability of affordable housing but contributes to the overall impression a neighborhood has and how it is perceived by the community.

c. In addition, one family moved into a new home constructed by Habitat for Humanity in 2012. Another four (4) lots were acquired during PY2012 using PY2011 and PY2012 funding. One lot will be donated to Habitat for Humanity for a future homeownership opportunity; one property was rehabilitated and will be sold as a homeownership opportunity in PY2013; one property was sold to an adjoining nonconforming property for the appraised value to improve the property; and one(1) maybe donated to an adjoining low-and-moderate income property owners.

11b) Progress towards meeting certain priority needs slowed in PY2012 while remaining strong in other areas.

a. The number of residential rehabilitation loans remained the same as PY2011 but was still lower when compared to previous years. This program is an essential and large component to meeting priority needs and the objective of providing decent, safe and sanitary housing.

i. The City improved its outreach and did receive more inquiries regarding the program. However, many of the potential loan applicants exceeded income requirements (they often overlooked part of their household income); had insufficient equity or other financial obstacles (recent bankruptcies, large number of collections, unpaid City taxes, etc).

b. The City made strong progress towards eliminating blight in one of the target areas of the City, Hamilton Neighborhood. The City acquired a vacant gas station and completed the demolition and tank removal at the site. With the assistance of CDBG funds, the blight was removed, the property cleaned-up and will eventually redeveloped. In PY2012, a vacant manufacturing property was razed and 35 units of low-income housing was constructed on the site. In addition to the affordable housing, the separate part of the project also included job creation when a church was converted into a restaurant.

c. The City made strong progress towards contributing to homeownership opportunities through the acquisition of vacant or deteriorated properties and donating them to a local non-profit.

i. In PY2012, the City acquired a single-family home that was going to be rehabilitated and donated to a local nonprofit for their Permanent Supportive Housing Program. Due to organizational changes within the nonprofit, staff received Redevelopment Authority approval to convert the rehabilitated single-family home from a donation to homeownership opportunity with the assistance of Neighborhood Stabilization Program (NSP) funds.

d. The City made significant progress, in collaboration with Solutions Center, to address the needs of individuals experiencing homelessness. In PY2012, the City provided funding towards extending the hours at the warming shelter; motel vouchers to assist those in need when the men's and women's shelter are at capacity; utility assistance at the men's and women's shelter and assistance

towards the acquisition of a family shelter so that families can remain together.

11c) The City's identified needs are best summarized by: a need for decent housing; removing blight and assisting individuals which are homeless or at imminent risk of homelessness. The majority of the programs that the City undertakes assist with one of these needs.

a. The housing needs within the community consist mainly of affordability rather than availability, size or quality and remains concentrated among the lowest income population. The City's owner-occupied and renter occupied residential rehabilitation programs attempt to maintain the existing stock of affordable housing. If existing housing stock is razed at high levels that impacts the overall inventory of affordable housing. New housing construction, unless subsidized, is often unaffordable for a segment of the population. The rental rehabilitation program also monitors rents that can be charged to potential tenants.
b. As the City continues to grow, newer development occurs on the fringes. At times, this new development may include businesses moving from an existing site to a newer site. This leaves a vacant, often abandoned building, in the older section of the City. These sites are often slow to redevelop or see reinvestment. The Blight Elimination and Brownfields activities acquire these sites, raze the structures and hopefully, overtime will see redevelopment. A secondary benefit to these activities is that as the owner of a property, the City can ensure the property is properly maintained and can wait for the appropriate redevelopment use to bring the best benefit to the neighborhood.
c. The City utilizes CDBG funding to assist Solutions Center which provides services to individuals that are homeless. Solutions Center utilized motel vouchers to help individuals when the shelter was at capacity. Without this assistance, individuals would have been referred to other agencies farther away (Oshkosh, Fox Valley, etc) and have limited transportation to get there or would have been without shelter. The Warming Shelter is most frequently used by those individuals that are chronically homeless. Extending the hours provided a greater opportunity to involve these individuals in case management. Utility assistance enabled Solutions Center to direct their funding towards case management and other needed services. Assistance with the acquisition of the family shelter will enable families experiencing homeless to remain together instead of being divided between the two shelters.

11d) Indicators that describe the results of activities include:

a. Housing Rehabilitation Loan Program/Homestead Opportunity Program:
   Number of housing units assisted and income level of the household– Housing units represent the best indicator to reflect the objective of providing decent housing and income level helps to define which individuals are utilizing and benefitting from the program. These indicators also help define areas for improvement. For example, a low number of households at 30% Median Income that utilize the program may suggest a need to review and expand outreach.
b. Blight Elimination/Brownfields:

Number of properties razed and/or remediated – Properties razed or remediated reflects the immediate indicator to describe the results of an activity. A secondary indicator could be number of persons, however, removal of blight impacts not only the immediate neighborhood, but also the community as a whole. Finally, if a property that is razed/remediated under the activity is redeveloped, there may be another indicator that could more accurately describe the results. For example, a property that is razed/remediated and then donated to a non-profit, could be number of housing units assisted or if a business moves into a neighborhood the number of people served (neighborhood grocery, doctor's clinic) or businesses assisted.

c. Boys & Girls Club/ Salvation Army/Solutions Center/Dental Care Assistance:
Number of people assisted by income level – These organizations provide services to people at an individual level through programs, case management or other services. The City expects that for every investment of CDBG funds, the organization will maximize the number of people it can serve and/or focus services at individuals at a greater need. For example, individuals that have a greater need (individuals at or below 30% Median Income or Non-Homeless Special Needs Populations), may require additional time and effort to achieve a positive outcome. Therefore, the City acknowledges that is not always about serving the greatest number of people for each activity.

11e) Barriers that had a negative impact on fulfilling the strategic and overall vision for PY2012 included:

a. The lack of applicants for the owner occupied and rental rehabilitation program. This impacted the number of housing units that could be rehabbed as well as the number of rental units that would be monitored for rent limits.

b. A second barrier was the change in staffing at one of the local nonprofits that served individuals at imminent risk of homelessness. Organizational changes limited the case management services on the Permanent Supportive Housing Program and also resulted in the Redevelopment Authority redirecting a property from donation to homeownership as well as reallocating their funding to another community need in PY2013.

c. A third barrier was lack of interest and/or eligible families for the Homestead Opportunity Program. While the City utilizes CDBG funds to acquire and raze deteriorated and/or vacant structures for donation to a nonprofit organization, Habitat for Humanity is the one the directly creates the homeownership opportunity through the construction of the single-family home and family selection. The City, in collaboration with Habitat for Humanity, has a goal of constructing two (2) homes per year. In PY2012, due to either the lack of interest or lack of eligible families, Habitat was only able to construct one new home.

12) *Identify whether major goals are on target and discuss reasons for those that are not on target.*

The major goals for the 2012-2016 Consolidated Plan principally for extremely low, low and moderate income individuals are to:

- provide decent housing and
- a suitable living environment and
- expand economic opportunities

The City of Fond du Lac met many of the goals at the end of PY2012, the start of the 2012-2016 Consolidated Plan.

Decent Housing

1) The City had a goal of assisting 30 owner-occupied units each year of the Consolidated Plan. In 2012, the 15 assisted units were far below the established goal. The economy and housing market appeared to impact individuals wanting to undertake any additional debt and the Housing Rehabilitation Loan Program received fewer viable applications. The increased outreach efforts implemented in PY2012 generated additional inquiries about the program, many of the potential applicants either did not meet income eligibility requirements; had insufficient equity or other underlying financial obstacles, such as recent bankruptcy or a larger number of collections. If this trend continues in PY2013, the City will review its goal of assisting 30 households.
2) The City had a goal of assisting 4 renter-occupied units each year. In PY2009 and 2010, the City did not assist any rental units and in PY2011 only assisted 2 units. In PY2012, the City did not assist any "traditional" renter-occupied housing units, but did assist with the rehabilitation of a transitional housing units owned by ADVOCAP. In addition, the City rehabilitated a single-family home in anticipation of donation to a local nonprofit organization as part of their Permanent Supportive Housing Program as a rental unit. This was eventually converted to a homeownership opportunity.
3) The Homestead Opportunity Program exceeded the City's goal of acquiring vacant or deteriorated property per year to donate to a nonprofit (Habitat for Humanity or ADVOCAP) for a new homeownership opportunity. In PY2012, the City acquired five (5) properties using unexpended funds from PY2010 and PY2011 as well as PY2012 funds. In addition to the acquisition goals, the City has a goal of two (2) homes being constructed per year in collaboration with community partners. In PY2012, only one (1) affordable home was built. Habitat for Humanity was unable to secure an eligible family for the other lot that was available.

Suitable Living Environment

1) The Boys & Girls Club had a goal of assisting an average 175 kids and teens each day through their After-School and Summer Program. The Boys & Girls Club has exceeded that goal and has provided programming for an average of 187 kids and teens per day. The Money Matters program almost reached its goal of 40 kids at the end of PY2010 agreement (October 2011) and is still working towards that goal for the PY2011 agreement.
2) The City reached its goal of razing and remediating one (1) property under the Brownfields Program. The first phase of the project was completed in August 2012. Staff is working on the next phase which would increase the viability and feasibility of redevelopment of the site.
3) The Salvation Army was unable to reach its goal of 10 individuals for the Permanent Supportive Housing Program. Six (6) individuals were enrolled in the program. Staffing changes throughout the organization from administration to case management created challenges for remaining focused on the program. No activity has been reported since September 2012. Staff

will recommend termination of the remaining funding and reallocation of the funds to another community need/eligible activity in PY2013. No activity was reported during the fourth quarter of 2012 due to the organization's holiday assistance programs/efforts.

4) Solutions Center continues to work towards achieving the goals for the Motel Voucher Program. The activity had a goal of 30 individuals and 55 motel night stays. With the balance of funds from PY2011 used during PY2012 and PY2012 funds used to date, 31 individuals had been assisted and 86 motel night stays have been accommodated.

Economic Opportunities

1) The City of Fond du Lac utilizes the Fond du Lac County Economic Development Corporation (FCEDC) as a subrecipient to administer the Economic Development Revolving Loan Fund (EDRLF). The City did not have any goals established for PY2011. In PY2010, since the EDRLF was funded with Small Cities funds, the consultant and management staff transferred the direct oversight to the State of Wisconsin. Program income and goals were removed from the PY2011 Annual Action Plan. However, upon further review, the EDRLF is Entitlement monies until otherwise directed U.S. Department of Housing and Urban Development.

   To date 34 jobs, have been created from the four (4) loans issued in PY2011. Of the 34 jobs created, 28 jobs are held by LMI persons. Assisted businesses continue to create jobs and have opportunity to meet the 51% LMI threshold.

13) *Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.*

The City identified the following adjustments or improvements to more effectively meet needs within the community:

1) Increased marketing/outreach is a continuing need for the overall CDBG program and specific programs to improve the effectiveness of activities. Outreach is essential to receiving Housing Rehabilitation Loan applications.

   a. Information regarding the Housing Rehabilitation Loan Program was placed on the City Cable Access Channel.

   b. At the end of PY2012, staff started a new outreach effort that included sending information letters out to adjoining property owners where a recent Housing Rehabilitation Loan had been approved.

2) Reviewing the type and conditions of Housing Rehabilitation Loans is another way to improve the effectiveness of the Program. In the past, when the housing market and economy was strong, the number of individuals that qualified for the Program was high. However, the downturn in the housing market and economy had significant impacts on the Housing Rehabilitation Loan Program and more specifically, low-and moderate income (LMI) households. LMI households experienced decreases in housing values (less equity), had greater challenges overcoming financial obstacles and lower incomes. However, the need for rehabilitation work items was still strong.

   a. Using the existing Housing Rehabilitation Loan guidelines as is, some of the 15 households that were assisted would have been denied outright and had no other options. In PY2012, as a pilot test, staff looked at ways to assist LMI households that would not meet the guidelines as presented, but could be assisted under a more flexible approach. However, any flexibility still required compliance with CDBG regulations and overall

underwriting. For example, a homeowner that needed a roof repair only had $6,000 in equity as identified using the existing program guidelines. The roof repair work was estimated at $8,000. Instead of denying the application, the Redevelopment Authority would approve a deferred loan of $6,000 as permitted under the Housing Rehabilitation Loan Program guidelines and the homeowner would repay the $2,000 (above available equity) over an agreed upon term and manageable monthly repayment. The RDA will consider adopting this flexible approach on an individual basis as part of a revised Housing Rehabilitation Loan Program Guidelines and Policies in PY2013.

HOUSING

Affordable Housing

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

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

***If not using the CPMP Tool:** Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
If using the CPMP Tool: *Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

Please see attached CPMP worksheets – Housing Needs Table; Community Development Needs Table; Annual Housing Completion Goals; & Summary of Specific Annual Objectives

PY 2012 CAPER Affordable Housing # 14a response:
Extremely low income owner occupied goal: 3, actual: 0
Low income owner occupied goal: 13, actual: 3
Moderate income owner occupied goal: 14, actual: 5

Extremely low income renter occupied goal: 1, actual: 0
Low income owner renter occupied goal: 1, actual: 0
Moderate income renter occupied goal: 0, actual: 0

Through non-CDBG funds (primarily HOME funds received as a subrecipient to ADVOCAP) the City assisted the following renter-occupied and owner occupied households:

Extremely low income owner occupied: 0
Low income owner occupied: 2
Moderate income owner occupied: 5

Extremely low income renter occupied: 0
Low income owner renter occupied: 0
Moderate income renter occupied: 0

Through the two programs combined, the City was able to assist:

Extremely low income owner occupied goal: 3, actual: 0
Low income owner occupied goal: 13, actual: 5
Moderate income owner occupied goal: 14, actual: 10

The City did not achieve its goals for meeting affordable housing objectives. Staff's efforts to increase outreach resulted in more inquiries into the Housing Rehabilitation Loan Program. Many of the potential applicants could not be assisted due to exceeding income eligibility requirements; outstanding financial issues (excessive collections, recent bankruptcy, etc); and/or insufficient equity. Staff will continue its outreach efforts to increase awareness about the program and applications in order to improve progress towards goals during the Consolidated Plan period (2012-2016).

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

***If not using the CPMP Tool**: Use Table 3A*
***If using the CPMP Tool: Annual Housing Completion Goals**
(Use of this table is sufficient no additional narrative is required)

Please see attached CPMP worksheet – Annual Housing Completion Goals

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

PY 2012 CAPER Affordable Housing # 14c response:

a. The City partnered with the Fond du Lac Housing Authority to secure a CDBG-EAP grant to renovate the Calumet Apartments. The project was completed in September 2012. The Fond du Lac Housing Authority is the primary agency for meeting the needs of low-income renters with severe cost burden. Historically, the Calumet was a hotel that provided lodging to individuals using the railroad. As such many of the rooms were quite small and out of date. The goal of the renovation was to increase the size of the units by consolidating some of the adjoining units; improving accessibility and the overall quality of the development.
b. The City continues to focus funds on the owner-occupied and renter-occupied housing rehabilitation loan program. This is the primary means of addressing substandard housing. The City's Code Enforcement Officer refers individuals to the program when he has concerns regarding the condition of the property.
c. The Salvation Army received CDBG funding to assist with a Permanent Supportive Housing Program. This program moves individuals who are homeless or at imminent risk of homelessness into permanent housing and providing case management. These individuals represent low-income renters with severe cost burden. As of September 2012, six (6) individuals had enrolled in the Salvation Army's program. The Salvation Army had a goal of 10 individuals and it is unlikely that they will achieve that goal. This program compliments the Transitional Housing Program administered by ADVOCAP. Both programs establish a "stepped" rent system so that

individuals can learn to become independent. The funding for the Permanent Supportive Housing Program was terminated and reallocated due to a lack of progress towards goals.

d. As indicated above, ADVOCAP's Transitional Housing Program provides a "stepped" rent system that enables individuals that are entering stable employment become independent while still receiving supportive services. In PY2012, the Coity assisted with the rehabilitation of one of ADVOCAP's transitional housing units (a single-family home).

e. The City continued to provide funding to the Warming Shelter to increase operating hours. Clients could utilize the warming shelter from approximately 8PM to 8AM. The warming shelter is open an additional 4-5 hours each day or remains open all day if weather is severe. Through expanded hours, there are more opportunities for case management, including providing services to individuals that may have involuntary been displaced. On average, 17 individuals received improved access to case management and supportive services.

f. The City provided support to two low-income tax credit (LIHTC)/affordable housing developments. This support included relevant data; a letter of support for a LIHTC application; tax increment financing (TIF); or provision of other City funding (development of a parking lot adjoining the housing development that may be used by the tenants). One project that added 35 affordable units was completed in PY2012. The other project was under construction in PY2012 and should be completed in mid-PY2013.

g. Salvation Army, St. Vincent De Paul, Fond du Lac County Veterans Services and Church of Peace provide utility assistance or rent assistance to individuals with severe cost burdens as well as other services for individuals who may have been involuntary displaced. The City supports these efforts through participation in Housing Coalition meetings and Hamilton Area Neighborhood District (HAND) meetings. In addition, the City and Housing Authority acts as a resource for these agencies when additional services for an individual or household are needed.

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

<u>PY 2012 CAPER Affordable Housing # 14d response:</u>
The City plays a supporting role in meeting the needs of persons with disabilities. Through CDBG funding and other programs, the City assists persons with disabilities to meet their accessibility needs.

1) The City and Fond du Lac Housing Authority received a CDBG-EAP grant to renovate the Calumet Apartments, a Housing Authority development. Through this grant, six (6) accessible units were constructed. In addition, every bathroom in each unit has an accessible shower stall with supports.
2) The Housing Rehabilitation Loan Program funds accessibility improvements for both owner-occupied and renter-occupied properties.
3) The Redevelopment Authority approved allocating funds towards an ADA ramp at the men's shelter. At a Housing Coalition meeting, a representative of the Aging & Disability resource Center (ADRC) indicated that they had received a call for assistance and that the caller indicated that they did not want to go to the men's shelter because they did not have a ramp. Solutions Center had previously applied for competitive grant funding (NOT City CDBG

funding) and was not approved. Staff took the obstacle to the Redevelopment Authority to direct remaining funds from a Public Facilities Project to the ADA ramp. The project will not be completed until PY2013.

The key organizations involved in assisting persons with disabilities meet their accessibility needs include:
1) The ARC of Fond du Lac works to assist persons with developmental disabilities with housing, transportation and supportive services.
2) The Fond du Lac Housing Authority is undertaking a long-term capital improvement effort to increase accessible units throughout their developments.
3) Fond du Lac Area Transit provides reduced fares for individuals with disabilities riding the regular fixed route and JOBTRANS route (a joint and cooperative effort between the City of Fond du Lac, Fond du Lac Area Transit, and a Taxi contractor to offer access to public transportation to all areas of the City of Fond du Lac presently not served by bus service). In addition, FDLAT provides paratransit HANDIVAN service.
4) The Fond du Lac Aging & Disability Resource Center (ADRC) is a one-stop resource to assist persons with disabilities meet their accessibility needs with referrals to different programs and organizations. Staff contacts ADRC staff if a program or activity could benefit or assist persons with disabilities so that the case workers can refer individuals as appropriate.
5) Habitat for Humanity has programs that extend beyond new affordable single family home construction. Through the A Brush with Kindness Program and other build programs, Habitat for Humanity is able to assist various individuals, including those with disabilities with accessibility needs.

Public Housing Strategy

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

PY 2012 CAPER Public Housing #15 response:
The Housing Authority of the City of Fond du Lac owns and operates several public housing facilities:

Supply
Rosalind Apartments (15 N Marr Street) - 135 units; elderly & disabled.
Westnor Apartments (653 W Arndt Street) – 100 units; elderly & disabled.
Grand Court Apartments (630 W Arndt Street) – 31 units; elderly & disabled.
Calumet Apartments (68 Harrison Place) – 35 units.
Family Units – 62 scattered site single family units
Family Units – 14 scattered site duplex family units

Wait List – (March 2013)
One bedroom – 34 families
Two bedroom – 154 families
Three bedroom – 64 families
Four bedroom – 13 families
Five bedroom – 5 family

Actions to improve public housing and resident initiatives:

1) The Fond du Lac Housing Authority continued to periodically inspect all units and twice a year assessments of long term capital needs.
2) The City and Fond du Lac Housing Authority received a CDBG-EAP grant from the State to assist with renovation of this historic building. In addition to increasing the number of accessible units (6 new accessible units), the project also involved combining units to increase the square footage; creating a common area/lounge space where residents can socialize; and improved security. The project was completed in September 2012.
3) City staff provided information to the Housing Authority on programs that may benefit residents, such as the homeownership opportunity through the Neighborhood Stabilization Program and Fair Housing Poster/Essay Contest.
4) Staff notifies the Housing Authority and Resident Council regarding openings on City Boards and Commission, such as the Equal Opportunities Commission, to help promote participation not only with each housing development but also within the community.

Barriers to Affordable Housing

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

PY 2012 CAPER Barriers to Affordable Housing #16 response:

1) The City of Fond du Lac has a pro-growth, lower tax/fee stance to development and has demonstrated its willingness to react to changing demands in the housing market**.** The City continued a recodification process that started in February 2011 which will include streamlining the code and reviewing any codes that may have negative aspects on development and affordable housing. The recodification process is still underway.
2) The City provided support to two low-income tax credit (LIHTC)/affordable housing developments. This support included relevant data; a letter of support for a LIHTC application; tax increment financing (TIF); or provision of other City funding (development of a parking lot adjoining the housing development that may be used by the tenants).
    a. Both projects received support from staff for the necessary zoning change to enable the project to proceed upon final approval of the LIHTC application.
3) The City maintained the Traditional Neighborhood Design (TND) section of the zoning ordinance, as recommended by "smart growth" proponents. The TND provides for higher density smaller lot types of development which is favored by supporters of affordable housing.
4) The City continued to fund the Homestead Opportunity Program which donated vacant lots to a non-profit organization, Habitat for Humanity, for construction of affordable single-family homes. In PY2012, the City acquired five (5) properties: one (1) for donation to Habitat for Humanity; two (2) for rehabilitation and homeownership; one was sold to an adjoining nonconforming property for the appraised value to improve the property and may be donated to adjoining low-and-moderate income property owner. In PY2012, Habitat for Humanity completed construction of one (1) new single-family home.
5) The City utilized Neighborhood Stabilization Program (NSP) funds to complete the reconditioning of a foreclosed property that was listed for sale in July 2011. The home was sold to a low-and-moderate income individual (80% CMI) on April 2, 2012. In March 2013, staff received approval from the State

of Wisconsin to utilize NSP funds to provide down payment assistance on a home that was acquired and rehabilitated using CDBG funds.

6) As part of the renter-occupied section of the Housing Rehabilitation Loan Program, landlords are required not exceed the rent limits in the loan guidelines and as required under HUD guidelines. This ensures that CDBG funds are used to help maintain the affordable rental stock and that the units are benefitting low-and-moderate income tenants.
7) The Equal Opportunities Commission (EOC) continued its planning efforts for improved fair housing outreach/education. A potential barrier to affordable housing within the community is the failure of landlords to follow fair housing laws in their rental practices thereby preventing individuals from accessing affordable housing opportunities. In PY2012, staff contacted Metropolitan Milwaukee Fair Housing Council regarding assistance with fair housing outreach/education and enforcement. Staff will reinitiate contact in PY2013.

Lead-based Paint

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

PY 2012 CAPER Lead-based Paint #17 response:

1) Using its own funds, the City of Fond du Lac purchased an advanced XRF machine, a Niton XL 309. This product enables the City's Housing Rehabilitation Specialist (HRS) to perform a full lead hazard inspection as part of his regular housing rehabilitation survey inspection.
    a. The HRS is trained to operate the Niton and also is a licensed risk assessor/lead inspector/supervisor by the State of Wisconsin. Having this device enables the City to avoid "assuming lead" on all deteriorated paint surfaces, which can lead to considerable cost savings on our rehab projects.
    b. Deteriorated painted surfaces that contain lead are treated in accord with "lead safe work practices" and, if necessary, occupants are temporarily relocated, and rehab work is performed by trained and licensed lead abatement contractors.
2) The City required any Housing Rehabilitation Loan Program applicant who has a child under age of six (6) to complete testing to determine if the child has elevated blood lead levels.
3) The Housing Rehabilitation Loan Program also receives referrals from the Fond du Lac County Health Department for households that have a lead poisoning that reside in the City. Staff will assist those households with corrective rehab work items or partner with other agencies or private lenders to complete the work.

HOMELESS

Homeless Needs

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

PY 2012 CAPER Homeless Needs #18 response:

The Fond du Lac Area Housing Coalition, formed in 1990 as the Fond du Lac Coalition to End Homelessness, serves as the Continuum of Care (COC) for the

County. The agencies within this group are the primary resource for meeting the needs of homeless persons.

The City's efforts included:

1) Staff participated in monthly Housing Coalition meetings to review and discuss current issues and challenges.
    a. The Housing Coalition provided input in the development of the PY2013 Annual Action Plan that would provide the short term plan for meeting needs of future homeless persons.
    b. As a member of the Housing Coalition, staff participated in discussions regarding allocation of grant resources and efforts to improve coordination among agencies. In March 2013, the Housing Coalition approved the allocation of funds as part of the ESG Grant being submitted by ADVOCAP on behalf of the Housing Coalition/CoC.
    c. Staff serves as Secretary of the Housing Coalition which includes drafting of meeting minutes that enables the sharing of information and efforts among agencies, including those agencies that may be unable to attend the monthly meetings.
2) The City continued to provide CDBG funding to extend the hours of the warming shelter. The warming shelter meets the needs of individuals that have been identified as chronically homeless as well as non-chronic homeless. The warming shelter is open an additional 4-5 hours each day or remains open all day if weather is severe. Through expanded hours, there were more opportunities for case management, including helping individuals secure permanent shelter, obtain employment and learn about eligible benefits and other supportive services.
3) The City provided CDBG funding for motel vouchers. The demand for shelter continued into PY2012 which resulted in the two (2) shelters operated by Solutions Center being at capacity more often. The motel vouchers helped to provide shelter to individuals when the "permanent" homeless shelters were at capacity until they could be brought to the shelter or alternative arrangements/assistance could be made. In addition, the motel vouchers assisted homeless families when one of the shelters was not an appropriate option. For PY2011, this resulted in 86 motel nights and assisted 31 individuals that would otherwise have no where to go and not receive supportive services.
4) The City provided funding assistance to the Salvation Army's Permanent Supportive Housing Program. This program provides permanent housing to homeless individuals and individuals at imminent risk of homelessness followed by supportive services/case management. As of September 2012, six (6) individuals had enrolled in the program. In Py2013, staff will be requesting approval from the Redevelopment Authority to reallocate any remaining funds from this activity due to a continued lack of progress towards goals.
5) The City provided funding assistance towards the acquisition of a family shelter for Solutions Center. The family shelter will enable families that are experiencing homelessness to remain together as a family unit rather than being separated between the two (2) existing shelters. Families at this shelter will also receive case management services but will have less stress and anxiety due to being able to live together.

The City provided support for the following activities:

1) Staff participated in monthly Housing Coalition meetings and provided updates on the CDBG program and funded activities and opportunities for funding.
2) Staff assisted ADVOCAP, lead agency and chair of the group, to identify and contact additional agencies and community partners that should be part of the group either on a monthly basis or to provide occasional updates/presentations. Staff contacted the Department of Community Programs and encouraged them to attend the meetings to share their experience and knowledge in dealing with the mental health and AODA issues.

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

PY 2012 CAPER Homeless Need #19 response:

The Fond du Lac Area Housing Coalition, formed in 1990 as the Fond du Lac Coalition to End Homelessness, serves as the Continuum of Care (COC) for the County. The agencies (ADVOCAP, Solutions Center and Salvation Army) within this group are the primary resource for directly assisting homeless persons make the transition to permanent housing and independent living.

The City's efforts included:

1) The City continued to assist with providing housing opportunities through its Homestead Opportunity Program. The Homestead Opportunity Program facilitates the acquisition of empty residential lots and works with Habitat for Humanity to builds new homes for low income individuals. Although this activity may not serve homeless persons directly, it provides affordable permanent housing to individuals who may not otherwise have an opportunity for homeownership and who may have transitioned from homelessness to supportive housing to independent living.
2) The City provided funding support to extend the hours of the warming shelter. Through expanded hours, there were more opportunities for case management, including helping individuals secure permanent shelter, obtain employment and learn about eligible benefits and other supportive services. The case management is a critical aspect of helping homeless persons enroll into a program and make the transition into permanent shelter and living independently. On average, the extended hours provided improved access to case management and supportive services to 71 different individuals.
3) The City provided funding to the Salvation Army of Fond du Lac for a new Permanent Supportive Housing program. The program places homeless individuals or individuals at imminent risk of homelessness into shelter and then provides supportive services. Upon completion of the program, individuals will be in a position to secure permanent housing and live independently. As of October 2012, six (6) individuals had received assistance from the program. The overall goal was ten (10) individuals which will not likely be reached due to changes within the organization. In PY2013, staff will be requesting approval from the Redevelopment Authority to reallocate any remaining funds from this activity due to a continued lack of progress towards goals.

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

***If not using the CPMP Tool:** Use Table 3B, 1C*
If using the CPMP Tool: *Use Needs/Homeless, Needs/Non-Homeless, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

Please see attached CPMP worksheets – Homeless Needs Table; Non-Homeless Needs Table; Annual Housing Completion Goals; & Summary of Specific Annual Objectives

PY 2012 CAPER Homeless Needs #20 response:
The Fond du Lac Housing Coalition acts as the Continuum of Care (COC). This Coalition is lead by ADVOCAP with primary participation by Solutions Center, Salvation Army and Legal Action of Wisconsin. Additional agencies participate in the meetings to support the efforts to address the needs of the homeless. The primary members are in daily contact with each other as requests for shelter and homeless prevention services are received. Legal Action takes phone referrals as needed and meets with clients in Fond du Lac when necessary.

As such, ADVOCAP is the primary agency for implementing the continuum of care strategy and obtaining Federal funds. ADVOCAP applies for all grant funds on behalf of the COC members. These grant funds include ESG and SHP.

1) As a member of the Housing Coalition/Continuum of Care, staff is made aware of the needs that arise in relation to the Continuum of Care. For example, when permanent supportive housing became a need, staff worked with Salvation Army to provide funding for their Permanent Supportive Housing Program. Also, when longer hours at the warming shelter were needed or additional funding for motel vouchers was needed, the City provided CDBG funding. As needs arise, staff works with the COC members agencies to determine if the activity is eligible for CDBG funding.
2) Staff assisted ADVOCAP, lead agency and chair of the group, to identify and contact additional agencies and community partners that should be part of the group either on a monthly basis or to provide occasional updates/presentations. These participants assist with the overall COC strategy. City staff contacted the Fond du Lac County Department of Community Programs which serves individuals facing mental health and AODA challenges. One of the key issues for many clients as identified by CoC members is mental health and AODA challenges. By including this agency in the CoC, agencies are able to learn about the status of mental health and AODA services in the community, available resources and obstacles to meeting the needs of the community. In addition to the information they provide, each agency that is a member of the CoC brings their own level of funding (whether federal, public or private) which, even if not accessible by the agency, may be accessible to their clients.

Specific Homeless Prevention Elements

21) Identify actions taken to prevent homelessness.

PY 2012 CAPER Specific Homeless Prevention #21 response:

1) The City provided CDBG funding to Solutions Center for a motel voucher, extended hours of the warming shelter, acquisition of a family shelter and utility assistance for the men's and women's shelters. These programs assist individuals that are homeless now, but also work to prevent homelessness by providing a way to introduce individuals to case management and other supportive services so that these individuals can obtain stable housing and hopefully, prevent future or recurring homelessness.
2) The City of Fond du Lac continued funding for the Homestead Opportunities program. The Homestead Opportunities Program facilitates the acquisition of empty residential lots and works with Habitat for Humanity to build new homes for low income individuals. Although this activity may not serve homeless persons directly, it provides affordable permanent housing and independent living to its recipients, thus preventing homelessness.
3) The City of Fond du Lac provided 150 workbooks for the Rent Smart Program (a life skills training program) provided by the Community Development Association, the Landlord's Association and the University of Wisconsin Extension. This program helps individuals understand household budgeting as well as their rights and responsibilities as a tenant in the hopes of avoiding eviction and thus, homelessness.
4) The City of Fond du Lac actively participated in the Fond du Lac Area Housing Coalition. City staff is Secretary of the group.
5) The City is in regular communication with other service providers outside of Coalition meetings to identify needs, recognize gaps and meet the challenges of the homeless population in Fond du Lac.
6) The Salvation Army and the St. Vincent DePaul Society also work to prevent homelessness. Requests for financial assistance may come via calls or visits to area churches or social service providers. The Salvation Army involves those seeking assistance through its agency to develop goal plans to avoid future problems and requires units to be safe and decent; St. Vincent DePaul does not have those mandates. St. Vincent DePaul provides assistance to individuals and/or families with vouchers to assist with utility and rent payments; furniture and clothing; and food.
7) All requests for emergency shelter are centralized through referrals to the Solutions Center. Homeless prevention services provided by Solutions Center are limited to rental assistance to individuals and families leaving the shelter.
8) ADVOCAP also provides 12 units of transitional housing funded through HUD SHP funds, which includes six units of agency-owned housing and six units leased in the community.
9) Local churches, in addition to St. Vincent DePaul and Salvation Army, are providing utility and rent assistance when parish funding/donations are available.
10) The Salvation Army established a new Permanent Supportive Housing program in 2011 modeled after similar programs in other communities. As of October 2012, six (6) individuals have enrolled in the program. These individuals were placed into rental units and receive supportive services from Salvation Army. In PY2013, staff will be requesting approval to reallocate funds due to a lack of progress towards goals.

Emergency Shelter Grants (ESG)

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

PY 2012 CAPER ESG # 22 response:
Not applicable

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

      If not using the CPMP Tool: *Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
      *****If using the CPMP Tool:*** *Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

      PY 2012 CAPER ESG Evaluate Progress # 23a response:
      NA

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

      PY 2012 CAPER ESG # 23b response:
      NA

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

      PY 2012 CAPER ESG # 24 response:
      NA

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

      PY 2012 CAPER ESG # 25 response:
      NA

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

      PY 2012 CAPER ESG # 26a response:
      NA

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

PY 2012 CAPER ESG # 26b response:
NA

NON-HOMELESS SPECIAL NEEDS

Non-homeless Special Needs

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

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

PY 2012 CAPER Non-homeless Special Needs #26 response:
The City of Fond du Lac depends upon community partners to address special needs of persons that are not homeless but require supportive housing. The City provided support for persons with special needs through the following actions:

1) Staff meets with various agencies (Fond du Lac Aging & Disability Resource Center (ADRC); Senior Services; Social Services) to discuss special needs of individuals within the community. These agencies are on the frontline of receiving calls and inquiries from the community about the availability of resources. This ongoing communication enables staff to identify unmet needs and potential means of meeting those needs.
2) The City and Housing Authority partnered on a CDBG-EAP grant through the State of Wisconsin to assist with the renovation of Calumet Apartments. The project provides improved housing options for the elderly and disabled.
3) The Department of Community Development updated and posted a "Summary of Assisted Care and Affordable Housing." This guide provides information on various housing options for non-homeless special needs persons. The guide is available at the City and through the Community Development Department's website.
4) As part of the Annual Plan process, staff reached out to our community partners to identify any specific needs that could be addressed through the Annual Plan. Clarity Care, a local nonprofit organization, identified a need for at-home assistance for the elderly and disabled individuals. At home assistance increases the opportunity for individuals to remain living independently on their own.
5) One of the needs identified within the community was a lack of access to dental care. Many of the individuals in need of dental care are not homeless,

but are in supportive housing and in need of access to dental care. Individuals in need of dental care typically go to the emergency room. With the Dental Care Assistance Program, administered by the Fond du Lac County Health Department, low-and-moderate non homeless special needs adults are able to have access to dental. This decreases emergency room visits and improves overall health.

COMMUNITY DEVELOPMENT

Community Development Block Grant

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

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

***If not using the CPMP Tool:** Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
**If using the CPMP Tool:* *Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

Please see attached CPMP worksheets – Housing Needs Table; Community Development Needs Table; Annual Housing Completion Goals; & Summary of Specific Annual Objectives

PY 2012 CAPER CDBG Assessment # 28a response:
The City allocated and utilized funds based upon priority needs within CDBG guidelines.

1) The highest priority need is decent and affordable housing. As such, the City allocates approximately $264,000 in funds (grant and program income) to the Housing Rehabilitation Loan Program. In previous years, this program was funded solely with program income. Due to declining home sales, declining sale activity and foreclosures, the City allocated approximately $164,000 in grant funds to this program along with the anticipated $100,000 in program income.
2) The next priority was Blight Elimination and Brownfields. The City allocated $30,000 in PY2012 and reallocated $155,000 in PY2009 Public Facilities funds towards a Brownfields activity. These activities are undertaken in the target areas of the City and assist with providing access to a suitable living environment. This Brownfield activity was located within a low-and-moderate income area that had been a focus on community investment and redevelopment.
3) The failure to achieve the timeliness ratio standard in PY2011 resulted in a focus on bringing the CDBG program into compliance. As a result, the Redevelopment Authority reallocated funds towards community needs when "original" activities from PY2010/PY2011 did not see progress.
    a. The City reallocated unexpended funds ($20,000) towards a Dental Care Assistance Program for adults.
4) The Homestead Opportunity Program received approximately $115,000 in CDBG funds during PY2012. This included the $15,000 allocated for the activity in PY2012; $12,000 in PY0212 funds that were reallocated from Salvation Army; $38,000 in Undesignated funds and other unexpended funds from previous program years. Not only does this program provide

homeownership opportunities for low-and-moderate income persons, but it also creates an owner-occupied unit in an area in need of reinvestment and a home on a vacant lot that was a missing piece of a neighborhood.

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

***If not using the CPMP Tool:** Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

Please see attached CPMP worksheets – Housing Needs Table; Community Development Needs Table; Annual Housing Completion Goals; & Summary of Specific Annual Objectives

PY 2012 CAPER CDBG Progress Evaluation # 28b response:
For PY2012, progress toward goals has lagged towards providing affordable housing using CDBG funds, through the City's Owner Occupied Residential Rehabilitation program. The goal for PY2012 was assisting 30 homeowners. Actual results show the City assisted 15 homeowners: eight (8) with CDBG funds and seven (7) under another program (HOME in partnership with ADVOCAP). The City spent $40,000 of the $204,000 estimated. Additionally, the City had a goal to donate one vacant residential lot to Habitat for Humanity through its Homestead Opportunity Program. As part of PY2012 efforts, the City was able to acquire five (5) lots which will be the sites for affordable housing/homeownership opportunities and one will be a build site in 2014.

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

PY 2012 CAPER CDBG LMI Benefit # 28c response:
The City used CDBG funds for the following activities that benefited low-and-moderate income persons. Please note that not all activities were funded with PY2012 grant funds; however, all beneficiaries were reported during PY2012.

Extremely Low Income Persons

1) In PY2012, the City allocated approximately $47,000 to the Solutions Center's homeless programs which assist extremely low income individuals.
    a. Through the Warming Shelter Extended Hours Program, an average of 17 individuals per night received improved access to shelter and services.
    b. Through the Motel Voucher Program, 40 individuals received assistance from Solutions Center for 85 motel night stays.
    c. Through the Utility Assistance Program, 321 individuals or approximately 34 individuals per month received improved access.
    d. Through the acquisition of the Family Shelter, Solutions Center will be able to assist up to six (6) families each year. The family shelter was acquired in late PY2012. Beneficiaries will be reported as part of PY2013. Solutions Center moved the first family into the shelter in April 2013.

2) The Permanent Supportive Housing Program from Salvation Army benefited five (5) individual that was extremely low income.
3) Through the Housing Rehabilitation Loan Program, the City was unable to assist any extremely low income owner occupied units or renter occupied units with rehabilitation loans.
4) Through the Boys & Girls Club, 154 extremely low income children and teens attend after-school programs and 21 teens attended the Money Matters Program.
5) The City used CDBG funds to assist with the renovations at the Calumet Apartments, a public housing development. Ten (10) of the tenants are extremely low income.
6) The City used CDBG funds to assist with the redevelopment of a brownfield into affordable housing. Of the 35 affordable housing units, five (5) are rented to extremely low income households.

Low Income Persons

1) The Permanent Supportive Housing Program from Salvation Army benefited two (2) individuals that were low income.
2) Through the Boys & Girls Club, 636 low income children and teens attended after-school and summer programs and 40 teens participated in Money Matters.
3) Through the Housing Rehabilitation Loan Program, the City was able to assist 3 low income owner occupied units with rehabilitation loans.
4) The City used CDBG funds to assist with the renovations at the Calumet Apartments, a public housing development. Two (2) of the tenants are low income.
5) The Redevelopment provided $20,000 in CDBG funds towards Dental care Assistance for low-and-moderate income adults. Through the program, 67 low income adults have received dental care.
6) The Redevelopment Authority provided funding to assist with public improvements for three new homeownership opportunities as part of ADVOCAP's Neighborhood Stabilization Project. Two (2) of the new homeowners were low income.
7) The City used CDBG funds to assist with the redevelopment of a brownfield into affordable housing. Of the 35 affordable housing units, 22 are rented to low income households.

Moderate Income Persons

1) Through the Boys & Girls Club, 446 moderate income children and teens attend after-school and summer programs and 14 moderate income teens participated in Money Matters.
2) Through the Housing Rehabilitation Loan Program, the City was able to assist 3 moderate income owner occupied units and 1 renter occupied unit with rehabilitation loans.
3) The City used CDBG funds to assist with the renovations at the Calumet Apartments, a public housing development. Two (2) of the tenants are moderate income.
4) The Redevelopment provided $20,000 in CDBG funds towards Dental care Assistance for low-and-moderate income adults. Through the program, six (6) moderate income adults have received dental care.
5) The Redevelopment Authority provided funding to assist with public improvements for three new homeownership opportunities as part of

ADVOCAP's Neighborhood Stabilization Project. One (1) of the new homeowners was moderate income.

6) The City used CDBG funds to assist with the redevelopment of a brownfield into affordable housing. Of the 35 affordable housing units, eight (8) are rented to moderate income households.

29) Changes in Program Objectives

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

PY 2012 CAPER CDBG #29 response:

During PY2012, the City implemented a Work Out Plan that was a result of the City failing to meet the timeliness standard ratio for PY2011. As a result, the City was able to undertake additional activities that were consistent with the original goals and objectives of the 2012-2016 Consolidated Plan.

As part of PY2012, the City reallocated the unexpended funds towards other projects and activities, including dental care, additional homeownership opportunities and support for homeless prevention. The unexpended funds were a result of delayed activities or projects that were identified in the 2009-2011 Consolidated Plan without specific activities being identified.
As part of PY2012, there were few changes to program objectives. The changes were not changes to objectives, but expanding upon the ways that those objectives could be reached. One overall program objective was providing assistance to homeless individuals and individuals at risk of imminent homeless. In PY2012, there was a need to assist families that were experiencing homelessness without separating them during this stressful time while and providing access to a suitable living environment. Another example was directing funds towards a Dental Care Assistance Program for adults.

As a result of the Work Out Plan and failure to meet the timeliness standard ratio,it is important that the City has alternative projects in the pipeline to meet program objectives so that expenditures and momentum are not stagnant. However, it is also important that the City maintains its flexibility in order to meet emerging issues or challenges in the community that may not have been foreseen as part of the development of program objectives for the Consolidated Plan or the Annual Action Plan.

30) Assessment of Efforts in Carrying Out Planned Actions

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

PY 2012 CAPER CDBG # 30 response:

a) CDBG and revolving funds are the only sources of funds indicated in the Consolidated Plan.
b) The City has established loan guidelines which are strictly adhered to for the purposes of approving loans in a fair and impartial manner. These guidelines were consistently followed throughout each and every one of the projects undertaken in PY2012.

c) The City made every effort under its power to implement the Consolidated Plan and the programs outlined in it. No action or willful inaction was taken to hinder its implementation.

31) For Funds Not Used for National Objectives
a) Indicate how use of CDBG funds did not meet national objectives.
b) Indicate how use of CDBG funds did not comply with overall benefit certification.

PY 2012 CAPER CDBG #31 response:
a) All funds were used to meet national objectives. Staff drafts a memo for the Project/Activity file that outlines how an activity meets a National Objective as part of the review to commit funds for a project and prior to disbursing any funds. This ensures that all funds are used to meet a National Objective.
b) All funds were used in compliance with overall benefit certification.

32) Anti-displacement and Relocation – for activities that involve acquisition, rehabilitation or demolition of occupied real property
a) Describe steps actually taken to minimize the amount of displacement resulting from the CDBG-assisted activities.

PY 2012 CAPER CDBG # 32a response:
The City did not undertake any activities in PY2012 that resulted in displacement or relocation.

1) Activities that involved acquisition and demolition were vacant properties. No individuals were residing in the property at the time of acquisition.
2) For activities that involved rehabilitation, the Housing Rehabilitation Specialist works with the homeowner and contractor to determine if relocation is necessary to complete the work items. In PY2012, no relocation was necessary to complete work items approved as part of the Housing Rehabilitation Loan Program.

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

PY 2012 CAPER CDBG # 32b response:
None of the activities proposed in the Annual Action Plan included relocation.

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

PY 2012 CAPER CDBG # 32c response:
Not applicable

33) Low/Mod Job Activities – for economic development activities undertaken where jobs were made available but not taken by low- or moderate-income persons
a) Describe actions taken by grantee and businesses to ensure first consideration was or will be given to low/mod persons.

PY 2012 CAPER CDBG # 33a response:
In PY2010, the City entered into a Subrecipient Agreement with the Fond du Lac County Economic Development Corporation (FCEDC) to administer the City's Economic Development Revolving Loan Fund (EDRLF). In April PY2012, U.S. Depart of Housing and Urban Development (HUD) conducted an on-site monitoring of the Economic Development Revolving Loan Fund (EDRLF) Program. As a result of the on-site monitoring, the City and FCEDC improved the administration of the program and benefits to low-and-moderate income persons.

The primary goal of the EDRLF program for job creation is to have jobs held by low-and-moderate income persons. The EDRLF uses "made available to" as a secondary goal if the assisted business is unable to meet the "held by" goals.

Actions taken by the City and FCEDC include:
1) The City continued to require that available jobs are posted with the local Job Service office and in the Action Advertiser.
2) Assisted businesses are required to track applicants and processes used to advertise and fill positions.
3) EDRLF Manual and Loan Agreements were revised to strengthen the focus on low-and-moderate income (LMI) job creation, including a penalty for failing to meet LMI job creation goals. For all open loans, loan recipients were required to execute a Loan Amendment that included the focus on LMI job creation rather than overall job creation. The revised documents also included required recordkeeping and documentation for both the loan recipient and FCEDC.

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

PY 2012 CAPER CDBG # 33b response:
Thirty-four (34) permanent jobs were created under the following job titles:

a. Office/Manager – 3
b. Professional –
c. Technicians - 1
d. Sales – 1
e. Office/Clerical -0
f. Craft Worker (Skilled) – 6
g. Operatives (Semi-skilled) -19
h. Laborers - 4
i. Service Worker – 0

The total number of jobs created had been reported by the Fond du Lac Economic Development Corporation (FCEDC) to the City of Fond du Lac. The City reported these jobs in IDIS. The City tracked the low-and-moderate income job creation as well as the total job creation.

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

PY 2012 CAPER CDBG # 33c response:
The primary goal of the EDRLF program is job creation – held by.

For jobs that may be made available to:
1) Employers will be required to provide on the job training and education related to each specific job for candidates that meet the general employment requirements and are low-and-moderate income in order to comply with program requirements.
2) FCEDC will work with assisted businesses to identify alternative training programs to help with needed skills or education (such as State training programs and local organizations).
3) Loan recipients are required to demonstrate how a position was made "available to" an LMI applicant, including documentation of applicant's income and process for selecting applicants which would document how first consideration was provided to an LMI applicant.

34) Low/Mod Limited Clientele Activities – for activities not falling within one of the categories of presumed limited clientele low and moderate income benefit
   a) Describe how the nature, location, or other information demonstrates the activities benefit a limited clientele at least 51% of who are low- and moderate-income.

PY 2012 CAPER CDBG # 34a response:
For activities that are categorized as benefitting Limited Clientele that are not a presumed benefit population, staff and subrecipients are required to obtain income verification to ensure that each activity will meet the 51% low-and-moderate income persons. As part of each reimbursement request, each subrecipient report includes a summary report that requires reporting of beneficiaries. The subrecipient agreement specifies whether an activity must be 51% low-and-moderate income and the current income eligibility guidelines are inserted into the agreement. During the initial meeting, staff reviews with the subrecipient how income will be verified and documentation collected by the organization.

1) The Boys & Girls Club offers after-school programs and summer programs to low-and moderate income children. The Boys & Girls Club is located within a target area and a significant number of the children in the program come from schools located within the City's target areas. The target areas are those areas within the City where 51% or more of the residents are low-and moderate income. In addition, the Boys & Girls Club, working with the School District, requests income information.
2) While the clientele served by the Salvation Army's Permanent Supportive Housing Program may be considered presumed benefit, staff collects information for entry into Servicepoint and the City requires verification of income eligibility.
3) For the Dental Care Assistance Program, administered by the Fond du Lac County Health Department, the staff collects income verification.
4) Solutions Center received CDBG funding for utility assistance, motel vouchers and extended hours at the warming shelter. These services are provided through the two (2) homeless shelters and the clientele is a presumed benefit population. Solutions Center collects information on the clients they serve which is also entered into Servicepoint.

35) Program income received

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

PY 2012 CAPER CDBG # 35a response:
There have been no float funded activities.

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

PY 2012 CAPER CDBG # 35b response:
Housing Rehabilitation Repayments - $24,558.76
Economic Development Repayments - $274,065.08
Other – $400 (subordination fees).

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

PY 2012 CAPER CDBG # 35c response:
The City sold a property at 239 N. Military to an adjoining property owner as a blight elimination activity for the appraised value of $7,240.
The City received Neighborhood Stabilization Program (NSP) funds as a subrecipient to ADVOCAP. The City acquired a vacant foreclosed home and rehabbed the property using NSP funds. The home sold in April 2012. The NSP Program Income was $77,673.

36) Prior period adjustments – where reimbursement was made this reporting period for expenditures (made in previous reporting periods) that have been disallowed, provide the following information:

a) The activity name and number as shown in IDIS;

PY 2012 CAPER CDBG # 36a response:
The City did not have any prior period adjustments.

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

PY 2012 CAPER CDBG # 36b response:
The City did not have any prior period adjustments.

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

PY 2012 CAPER CDBG # 36c response:
The City did not have any prior period adjustments.

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

PY 2012 CAPER CDBG # 36d response:
The City did not have any prior period adjustments.

37) Loans and other receivables

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

PY 2012 CAPER CDBG #37a response:
There have been no float funded activities.

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

PY 2012 CAPER CDBG #37b response:
Total number of other loans outstanding = 7
Total principal balance owed = $281,073.50

This represents only those loans that are not deferred or forgivable.

*Total number of **all** loans (deferred, non-deferred, forgivable): 260*
Total principal balance owed: $3,981,076.68

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

PY 2012 CAPER CDBG #37c response:
Total number of deferred/forgivable loans = 253
Total principal balance owed = $3,700,003.18

This represents the number of deferred and forgivable loans.

Low-and-moderate income owner occupied single family residences: Loans are deferred at 0% for as long as the owner continues to occupy the property as their primary residence and hold title to the property in their name. The loans are typically repaid when the property owner sells the home.

Low-and-moderate income owner-occupied 2, 3 and 4 unit structures: Loans are deferred as the long as the property owner occupies the property as their primary residence and holds title to the property. Loans for tenant units that are rented or available to rent to LMI individuals are deferred at 0%. Funds for rehabbing non-LMI occupied units are not available and must come from private resources.

For Non-Owner Occupied 2,3 and 4 unit structures: Loans become payable within 6 months from the closing date at an interest rate between 0% and 4% over 15 years*. Funding for non-LMI occupied units are not available and mist come from private resources.

** The Redevelopment Authority adopted changes to the Housing Rehabilitation Loan Program in May 2013. For PY2013 CAPER, staff will be reporting on the revised loan terms for non-owner occupied 2,3, and 4 unit structures.*

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

PY 2012 CAPER CDBG #37d response:
The Redevelopment Authority wrote off seven (7) loans in June 2012 as part of PY2012.

CDBG loans: 4 loans totaling $60,112.59
Other funding (HOME): 3 loans totaling $44,252
TOTAL: 7 loans totaling $104,364.59

The Redevelopment Authority also wrote off six (6) loans in February 2013. However, the City's Comptroller's does not log the write off until December 2013.

CDBG loans: 3 loans totaling $82,999.45
Other funding (HOME): 3 loans totaling $33,864.20
TOTAL: 6 loans totaling $116,863.65

The Redevelopment Authority wrote off loans in June 2012 since no loans were written off in PY2011 and in February 2013 to establish an annual cycle of reviewing loan write offs.

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

PY 2012 CAPER CDBG #37e response:

132 W. Arndt Street

This property was acquired and rehabbed using CDBG funds. Neighborhood Stabilization Program (NSP) funds will be used to complete some rehab items and provide down payment assistance.

38) Lump sum agreements

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

PY 2012 CAPER CDBG #38a response:
The City did not have any lump sum agreements.

b) Provide the date the funds were deposited.

PY 2012 CAPER CDBG #38b response:
The City did not have any lump sum agreements.

c) Provide the date the use of funds commenced.

PY 2012 CAPER CDBG #38c response:
The City did not have any lump sum agreements.

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

PY 2012 CAPER CDBG #38d response:
The City did not have any lump sum agreements.

NEIGHBORHOOD REVITALIZATION STRATEGY AREA (NRSA)

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

PY 2012 CAPER NRSA # 38 response:
The City of Fond du Lac did not operate a Neighborhood Revitalization Strategy Area (NRSA) in 2011.

HOME/ADDI

HOME/ American Dream Down Payment Initiative (ADDI)

☒ **NA**

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

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

***If not using the CPMP Tool:** Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*

PY 2012 CAPER HOME Assessment # 40a response:

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

***If not using the CPMP Tool:** Use Table 2A, 3B, 2B, 1C, 2C, 3A)*
If using the CPMP Tool: Use Need/Housings, Needs/Community Development, Annual Housing Completion Goals, Summary of Specific Annual Objectives.*
PY 2012 CAPER HOME Progress Evaluation # 40b response:

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

PY 2012 CAPER HOME # 40c response:

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

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

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

      PY 2012 CAPER HOME Rental # 43a response:

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

      PY 2012 CAPER HOME # 43b response:

   c) Describe outreach to minority and women owned businesses.

      PY 2012 CAPER HOME/ADDI # 43c response:

HOPWA

Specific HOPWA Objectives –NOT APPLICABLE

44) Assessment of Relationship of HOPWA Funds to Goals and Objectives.
   a) Assess the use of HOPWA funds in relation to the priorities, needs, goals, and specific objectives in the strategic plan, particularly the highest priority activities.

      ***If not using the CPMP Tool:** Use Table 2A, 1C, 2C, 3A)*
      **If using the CPMP Tool:* Use Need/Housings, Summary of Specific Annual Objectives.*

      PY 2012 CAPER Specific HOPWA Objectives # 43 response:
      The City of Fond du Lac did not receive HOPWA funds.

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

      ***If not using the CPMP Tool:** Use Table 2A, 1C, 2C, 3A)*
      **If using the CPMP Tool:* Use Need/Housings, Summary of Specific Annual Objectives.*

      PY 2012 CAPER Specific HOPWA Objectives # 43 response:
      The City of Fond du Lac did not receive HOPWA funds.

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

HOPWA EXECUTIVE SUMMARY –NOT APPLICABLE

45) Provide an executive summary (1-3 pages) and a specific objectives narrative which address the following:
   a) Grantee and Community Overview.
      i) A brief description of the grant organization, the area of service, the name of the program contact(s), and a broad overview of the range/type of housing activities, along with information on each sponsor by name, main project site by zip code and related organization information.

   b) Annual Performance under the Action Plan
      i) Report on the actions taken during the year that addressed the special needs of persons who are not homeless but require supportive housing, and assistance for persons who are homeless.
      ii) Evaluate the progress in meeting the project's objectives for providing affordable housing, including a comparison of actual outputs and outcomes to proposed goals and progress made on the other planned actions indicated in the strategic and action plans. The evaluation can address any related program adjustments or future plans.
      iii) Include any assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.
      iv) Report on the use of committed leveraging from other public and private resources that helped to address needs identified in the plan. Report the number of stewardship units of housing which have been created through acquisition, rehabilitation or new construction with any HOPWA funds.
      v) Describe any other accomplishments recognized in the community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.
      vi) Provide an analysis of the extent to which HOPWA funds were distributed among different categories of housing needs consistent with the geographic distribution plans identified in its approved Strategic Plan.
   c) Barriers or Trends Overview
      i) Describe any barriers (including non-regulatory) encountered, actions in response to barriers, and recommendations for program improvement;
      ii) Describe any expected trends facing the community in meeting the needs of persons with HIV/AIDS, and provide any other information important in providing services to persons with HIV/AIDS.
      iii) Note any evaluations, studies, or other assessments of the HOPWA program available to the public.

   d) Project Accomplishment Data:
      i) Complete and submit CAPER Performance Chart 1 Planned Goals and Chart 2 Actual Performance;
      ii) Complete and submit CAPER Performance Chart 3 for Housing Stability Outcomes, HOPWA Outcomes on Access to Care and Support in conjunction with HOPWA-funded Housing assistance, Monthly Household Income in conjunction with HOPWA-funded Housing Assistance, and HOPWA Outcomes on Access to Care and Support not in conjunction with

HOPWA-funded Housing Assistance.

PY 2012 CAPER HOPWA Executive Summary response:
The City of Fond du Lac did not receive HOPWA funds.

OTHER NARRATIVE

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

PY 2012 CAPER Other Narrative response:

Looking towards PY2013 and PY2014, staff has identified the following goals to continue to improve the implementation of the CDBG Program and the benefits to the community:

1) Continue to improve Fair Housing outreach and education through collaborations with other agencies and new opportunities for outreach and education beyond the basic media.
2) Continue to improve reporting in IDIS, specifically receipt of Program Income.
3) Identify opportunities for partnerships within the community that will further the effectiveness of funded activities including leveraging private resources and collaboration of services. For example, the Dental Care Assistance Program has resulted in greater private funding/in-kind contributions than use of CDBG funds.
4) Review and update guidelines, policies and procedures that are used as part of the CDBG Program. For example, in early PY2013, staff reviewed the Housing Rehabilitation Loan Program Manual and recommended revisions for adoption by the Redevelopment Authority. Also, in early PY2013, the Redevelopment Authority adopted a Public Service Policy to assist with the review, selection and approval of Public Service activity funding requests. Staff will continue this process during PY2013 and PY2014.