

Paul Farrow
County
Executive

Dale R. Shaver
Director



Waukesha County
Department of Parks and Land Use

April 14, 2016

Ms. Charlotte John-Gomez
Director
Community Planning & Development Division
US Department of HUD
310 W. Wisconsin Avenue, Suite W950
Milwaukee, WI 53203

RE: Annual Plan Submittal
Waukesha County, Wisconsin

Dear Ms. John-Gomez:

Attached for your review and processing is a copy of the 2016 Waukesha County Annual Plan. The 2016 Annual Plan submitted by Waukesha County covers the 2nd Year of the approved 2015-2019 Consolidated Plan. Waukesha County submitted its Annual Plan in IDIS, but the attachments could not be submitted with the narrative, so they are included in this document.

Please contact Kristin Silva, Community Development Manager, with any questions at (262) 896-3370 or ksilva@waukeshacounty.gov.

Sincerely,

A handwritten signature in black ink that reads "Kristin Silva". The signature is fluid and cursive, with a long horizontal stroke at the end.

Kristin Silva
Community Development Manager

Executive Summary

AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

Waukesha County and the HOME Consortium, which includes Jefferson, Ozaukee, Washington, and Waukesha Counties, have prepared this 2016 Annual Plan to detail specific activities to carry out the 2015—2019 Consolidated Plan's priorities and goals. This Plan outlines priorities by which the County's Community Development Block Grant (CDBG) Program and the HOME Consortium's HOME Investment Partnership (HOME) Program funds will be used over the next year. It provides guidance on the investment of HUD dollars, as well as other federal, State, and local funding dollars.

2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

Strategic priorities identified in this Consolidated Plan are identified below:

Housing

- *Housing Rehabilitation* Extend the useful life of existing affordable housing through weatherization, repair, and rehabilitation programs.*Housing Affordability* Support the development of affordable rental and owned housing, including projects located near job centers that will be affordable to service employees and other low-wage members of the workforce. Support homeownership opportunities for households throughout the HOME Consortium through downpayment assistance.*Homelessness & Homelessness Prevention* Assist persons who are homeless through the development and rehabilitation of transitional and permanent housing. Assist households at risk of homelessness with short-term rental payment and other assistance.

Public Services

- Fund projects that provide supportive services to low and moderate income household as well as persons with special needs, specifically including transportation assistance to low income households.
- Fund projects that provide supportive services and shelter to persons who are homeless.

- Support efforts to develop a social service collaborative to coordinate the work of social service organizations, disseminate news and information, and eliminate duplication of effort.

Public Facility & Infrastructure Improvements

- *Public Facility Improvements* Fund public facility improvements that benefit low income households and persons, and persons with special needs to include senior centers, neighborhood facilities, youth centers, childcare centers, health facilities, handicapped centers, homeless facilities, abused and neglected children facilities, parks to include community gardens, recreational facilities, and other facilities not listed here.*Infrastructure Improvements* Fund non-housing community development proposals that eliminate a threat to public health and safety to include water/sewer improvements, flood /drainage improvements, sidewalks, street improvements including streetscaping, sidewalks, and lighting, beautification projects/tree planting, and other improvements not listed here.

Economic Development

- Provide assistance to businesses to create and/or retain jobs for low and moderate income persons.
- Support business development in mixed-use environments with access to affordable and/or accessible housing.

Neighborhood Revitalization Strategy Areas (NRSAs)

- Provide focused funding to the three NRSAs within the City of Waukesha. Encourage a mix of strategies for revitalization in the NRSAs including economic development, housing development, public services, and facilities improvements

3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

Each year, Waukesha County and the HOME Consortium reports progress in meeting the five-year and annual goals in a Consolidated Annual Performance Evaluation Report (CAPER). The CAPER is submitted to HUD within ninety (90) days after the start of the new program year. Copies of the most recent CAPER are available for review at the Waukesha County Community Development Division. Waukesha County consistently meets its goals and priorities.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

Citizen participation was achieved through several methods during the development of the Annual Plan. Citizens are always welcome to attend the monthly HOME and CDBG Board meetings, which are posted and public, and have an agenda item for a public comment period.

On May 21, 2015, the HOME Board met in a public meeting to approve a draft allocation for the 2016 HOME funds. On June 10, 2015, the CDBG Board met in a public meeting to approve the draft allocation for the 2016 CDBG funds.

Waukesha County held a 30 day public comment period (June 15—July 16, 2015) to obtain public comments relating to community needs and funding priorities for the year 2016 annual allocations. The public comment period and public hearing date were posted on the community development website and published in the local paper. The public hearing was held July 8, 2016.

Waukesha County completed a draft of the Annual Action Plan narrative and posted the Plan for citizen comments on the County website and published the notice in the local paper. The thirty day comment period was held from October 13 to November 11, 2015. A public hearing was held on October 28, 2015. No public comments were received.

5. Summary of public comments

This could be a brief narrative summary or reference an attached document from the Citizen Participation section of the Con Plan.

Two comments were received by the Community Development office in writing. There were also public comments on the proposed 2016 CDBG funding received at the public hearing on July 8, 2015. Seven citizens or representatives from subgrantee organizations attended the public hearing, and most were there to support UW-Extension and the Wisconsin Women's Business Initiatives Corporation, Inc. (WWBIC). The CDBG Board had proposed to fund WWBIC at \$55,000, instead of their requested grant amount of \$65,000. Citizen's comments supported the work UW Extension and WWBIC have been doing in the NRSAs and for small businesses in downtown Waukesha. The CDBG Board reviewed the public comments and unanimously approved increasing the WWBIC allocation to \$65,000 in the Economic Development category at their July 16, 2015 meeting.

6. Summary of comments or views not accepted and the reasons for not accepting them

All comments were taken into consideration in preparing the Annual Plan. Some of the public comments shared at the public meeting on July 8, 2015 supported increasing the amount the CDBG Board proposed to allocate to UW Extension for the West Side NRSA Strategic Plan. The grant request was \$23,000 and the proposed funding was \$15,000. The CDBG Board considered the request, but decided to maintain funding at \$15,000 since the funding source is administration and that category is capped at 20%. The project will be able to go forward, with a slightly more limited scope of work.

7. Summary

Waukesha County was allocated \$1,317,868 in CDBG funds and \$1,060,871 in HOME funds for FY2016. This grant award represents a stable level of funding from 2015 for CDBG, and an increase of approximately 7% in HOME dollars from 2015. In addition to the grant award, Waukesha County anticipates the receipt of \$460,000 in CDBG program income and \$157,000 in HOME program year from repayment of loans made using funds from each program. The allocation of the 2016 funds is consistent with the goals and objectives identified in the Five Year Consolidated Plan.

PR-05 Lead & Responsible Agencies – 91.200(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
Lead Agency	WAUKESHA COUNTY	
CDBG Administrator		
HOME Administrator		
ESG Administrator		

Table 1 – Responsible Agencies

Narrative (optional)

The Waukesha County Department of Parks and Land Use – Community Development Division administers CDBG funds for Waukesha County and is the lead agency for the HOME Consortium, which includes Jefferson, Ozaukee, Washington, and Waukesha Counties. Waukesha County is responsible for developing the Consolidated Plan, Annual Plan, and CAPER.

Consolidated Plan Public Contact Information

Kristin Silva, Manager

Waukesha County Community Development Division

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Waukesha, Wisconsin 53188

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Website: <http://www.waukeshacounty.gov/communitydevelopment>

AP-10 Consultation – 91.100, 91.200(b), 91.215(l)

Introduction

Waukesha County, as the lead agent and federal fund grantee, has primary responsibility for the development and implementation of the Consolidated Plan and all subsequent Annual Action Plans.

Waukesha County is the designated lead agent in the HOME Investment Partnership (HOME) Program, a collaborative, cooperative program including the counties of Waukesha, Washington, Jefferson and Ozaukee counties and 97 of 101 current municipal jurisdiction participants.

Together with community leaders, municipal government representatives and local advocates for community development, housing and homeless issues, the County worked to develop a set of priority needs, in addition to specific goals and objectives, for related programming from 2015-2019.

Representatives from over 50 agencies, groups, and organizations, including housing, social service, and other entities, participated in the planning process for the Consolidated Plan. This group included housing and community development agencies working in Waukesha County, and housing agencies working in Jefferson, Washington, and Ozaukee Counties. Staff and/or elected officials from each HOME Consortium county and several municipalities also participated. Methods of consultation included in-person and telephone interviews, participation in public meetings, and submission of written comments.

Provide a concise summary of the jurisdiction’s activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(l))

Waukesha County is an active member of the Housing Action Coalition of Waukesha County, (a local continua member of the Balance of State Continuum of Care). The Community Development Manager has also participated in the Thriving Waukesha Homeless Group from 2013--2016, which was organized to strengthen the Housing Action Coalition, and more effectively coordinate the collaboration between homeless service agencies, housing groups, the public housing authority, health and mental health providers, law enforcement, local and county officials and the general community. This group has been very active and has made real progress in it goals to set up a new system for preventing and combatting homelessness, using a Housing First approach.

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.

Waukesha County participates in a Continuum of Care called the Housing Action Coalition (a local continua that is part of the Balance of State Continuum of Care) that seeks to address and meet the needs of homeless populations through the provision of permanent, transitional, and emergency

housing, supportive services, and methods to accurately capture the number of homeless individuals. Waukesha County does not receive or manage the ESG funds—the Housing Action Coalition is the recipient of ESG. However, many agencies that meet the needs of homeless populations receive CDBG funding, including emergency shelters, shelters for women and families, organizations that provide food and nutritional assistance, agencies that provide case management and supportive services, and health and medication assistance. The Community Action Coalition for South Central Wisconsin, Inc. (CAC) and the Supportive Services for Veteran Families (SSVF) programs operate in Waukesha and Jefferson Counties and supply services, such as, assistance obtaining shelter, health care, transportation, child care, and other veteran benefits to homeless veterans and their families. Stakeholders report limited homeless shelter facilities, Jefferson, Ozaukee, and Washington Counties having only one homeless shelter, and vouchers for motel assistance being extremely limited and fiscally inadequate. Several stakeholders reported that waiting lists for shelter and voucher services were limited and that space openings prioritization of first come first serve often mean that the most needy do not receive assistance in a timely fashion.

Waukesha County utilizes its network of public sector, private sector, and non-profit organizations to implement the strategic plan and coordinate efforts of the COC. In 2016, Waukesha County will diligently work to overcome gaps in the institutional structure and delivery system by:

- Monitoring the count of homeless and chronically homeless residents and planning for ongoing service provision based on need, as an active participant in the Housing Action Coalition (Waukesha County Continuum of Care).
- Continuing as a lead member of the Thriving Waukesha Initiative, whose main purpose is to facilitate training and capacity building for non-profit organizations.
- Monitoring programs to identify inefficiencies, improve performance, and ensure compliance with applicable regulations.
- Encouraging collaboration among agencies to eliminate duplicative services and better serve residents, especially low- and moderate-income households, the homeless, and special needs population.

Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

Waukesha County does not receive or allocate ESG, or participate in the administration of HMIS.

2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction’s consultations with housing, social service agencies and other entities

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	WAUKESHA COUNTY HOUSING AUTHORITY
	Agency/Group/Organization Type	PHA
	What section of the Plan was addressed by Consultation?	Public Housing Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	

Identify any Agency Types not consulted and provide rationale for not consulting

Efforts were made to include as broad a group of community stakeholders as possible. No agency types were excluded from participation.

Other local/regional/state/federal planning efforts considered when preparing the Plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Housing Action Coalition of Waukesha County	Homelessness and affordable housing are the top priorities in the Waukesha County Consolidated and Annual Plan. This overlaps with the goals of the Continuum of Care.

Table 3 – Other local / regional / federal planning efforts

Narrative (optional)

AP-12 Participation – 91.105, 91.200(c)

1. Summary of citizen participation process/Efforts made to broaden citizen participation Summarize citizen participation process and how it impacted goal-setting

Citizen participation was achieved through several methods during the development of the Annual Plan. Citizens are always welcome to attend the monthly HOME and CDBG Board meetings, which are posted and public, and have an agenda item for a public comment period.

On May 21, 2015, the HOME Board met in a public meeting to approve a draft allocation for the 2016 HOME funds. On June 10, 2015, the CDBG Board met in a public meeting to approve the draft allocation for the 2016 CDBG funds.

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CDBG Board considered the request, but decided to maintain funding at \$15,000 since the funding source is administration and that category is capped at 20%. The project will be able to go forward, with a slightly more limited scope of work.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (if applicable)
1	Public Meeting	Non-targeted/broad community	2 written comments, 7 individuals attended the public meeting.	Commenters requested increasing the CDBG funding levels of UW-Extension and WWBIC.		

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.220(c) (1, 2)

Introduction

The 5-year Consolidated Plan for 2015 – 2019 identifies the federal, state, local, and private resources expected to be available to Waukesha County to address priority needs and specific objectives identified in the Strategic Plan. The County is a direct entitlement community for the following HUD-funded programs: the Community Development Block Grant (CDBG) Program and the HOME Investment Partnership (HOME) Program. Below is a breakdown of these anticipated funding resources for Year 2 (2016) of the Plan.

Priority Table

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1			Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	1,317,868	0	1,777,868	7,172,932	In 2016, Waukesha County received \$12,292 less than in 2015 for CDBG.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1			Narrative Description		
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$		Total: \$	
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	1,060,871	157,000	0	1,217,871	4,521,002	In 2016, Waukesha County received \$70,078 more in 2015 for HOME.

Table 5 - Expected Resources – Priority Table

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

Due to the strategic decision-making reflected in the allocations for 2016, the County anticipates leveraging other public and private investments for a higher return on investment. The County rarely fully funds any program or project, instead it requires leverage ranging from 1:1 in program service dollars, to 3:1 in economic development loans, to a typical 10:1 or larger ratio for housing development. Program income funds generated during this Action Plan period will be leveraged to increase services to low and moderate residents within the jurisdiction.

If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

Waukesha County does not intend to address the needs identified in this plan with publically owned land or property located with the

Jurisdiction.

Discussion

Annual Action Plan
2016

15

Annual Goals and Objectives

AP-20 Annual Goals and Objectives - 91.420, 91.220(c)(3)&(e)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Homeless	2015	2019	Homeless			CDBG: \$264,500	Homeless Person Overnight Shelter: 514 Persons Assisted Homelessness Prevention: 1120 Persons Assisted HIV/AIDS Housing Operations: 58 Household Housing Unit
2	Housing Rehabilitation/Zero Interest Loans	2015	2019	Affordable Housing		Housing	CDBG: \$190,000 HOME: \$1,096,084	Rental units constructed: 4 Household Housing Unit Homeowner Housing Rehabilitated: 45 Household Housing Unit Direct Financial Assistance to Homebuyers: 70 Households Assisted
4	Public Services	2015	2019	Non-Homeless Special Needs		Services	CDBG: \$268,025	Public service activities other than Low/Moderate Income Housing Benefit: 4107 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Public Facilities and Improvements	2015	2019	Non-Housing Community Development		Public Facility & Infrastructure Improvements	CDBG: \$250,456	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 216 Persons Assisted
7	Planning and Administration	2015	2019	Planning and Administration		CDBG Program Administration	CDBG: \$353,000 HOME: \$121,787	
8	Special Economic Development	2015	2019	Non-Housing Community Development		Economic Development	CDBG: \$485,000	Jobs created/retained: 31 Jobs Businesses assisted: 15 Businesses Assisted
9	Fair Housing Services	2015	2019	Fair Housing Services		CDBG Program Administration	CDBG: \$15,000	Public service activities other than Low/Moderate Income Housing Benefit: 50 Persons Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Homeless
	Goal Description	Homeless prevention, rapid re-housing, shelter, transitional and permanent housing.

2	Goal Name	Housing Rehabilitation/Zero Interest Loans
	Goal Description	CDBG rehab loans and housing counseling, and HOME downpayment assistance, rehab loans, purchase rehab loans and housing development.
4	Goal Name	Public Services
	Goal Description	Public Services provided throughout Waukesha County.
6	Goal Name	Public Facilities and Improvements
	Goal Description	Public improvements and infrastructure for landmarks, historic properties, ADA improvements, streets, parks, etc.
7	Goal Name	Planning and Administration
	Goal Description	
8	Goal Name	Special Economic Development
	Goal Description	Small business development, commercial facade repair, loans to businesses for job creation or retention.
9	Goal Name	Fair Housing Services
	Goal Description	Fair Housing outreach and education.

Table 7 – Goal Descriptions

Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.215(b):

The HOME Consortium estimates that the following number of persons/households will be provided affordable housing through the HOME program in 2016, through its Downpayment Assistance program, Homeowner Rehab Program, Purchase-Rehab Program, and housing

development by CHDOs and other developers: 13 extremely low income households, 20 low income households, and 50 moderate income households (all under 80 AMI).

AP-35 Projects – 91.220(d)

Introduction

The County will undertake activities that will address priority needs and objectives established as adopted by the Waukesha County Community Development Block Grant (CDBG) and HOME Boards. Section AP-38 provides a summary of proposed activities including local objectives and priority needs, proposed accomplishments, and a target date for completion.

#	Full Agency Title	Project
CDBG Program		
1	180° Juvenile Diversion	Creating Lasting Families
2	Big Brothers Big Sisters of Metropolitan Milwaukee	Mentoring Program
3	City of Waukesha	Adaptive Recreational Programs
4	City of Waukesha	ADA Compliance
5	City of Waukesha	Cemetery Sidewalk
6	City of Waukesha	Entrance Sign
7	City of Waukesha	Façade Program
8	City of Waukesha	Homeless Services
9	City of Waukesha	Landmark Historic Springs
10	City of Waukesha	Landmark Paint & Repair
11	City of Waukesha	Saratoga/Haertel Field Summer Playground
12	City of Waukesha	Senior Activity Coordinator
13	City of Waukesha	Sentinel Park Summer Program
14	City of Waukesha	Shelter Improvements
15	Elmbrook Senior Taxi	Taxi Replacement
16	Family Promise of Western Waukesha County	Family Promise
17	Family Service Agency	C.A.R.E. Center
18	Food Pantry of Waukesha County, Inc	Food Allocation Improvement Project
19	Hebron House	Emergency Shelter
20	Hebron House	Jeremy House
21	Hebron House	Operations – Outside In Program
22	Hebron House	Outside In Program – Case Management
23	Hope Center	Day Center
24	Hope Center	Outreach Meal Program
25	Housing Resources Inc	Homebuyer Education & Counseling
26	Interfaith Senior Programs	Housing Support for Seniors & Disabled Adults

#	Full Agency Title	Project
27	Interfaith Senior Programs	Transportation Collaborative
28	Lake Area Free Clinic	Medication Assistance
29	Literacy Council of Greater Waukesha	Outreach & Recruitment
30	Metropolitan Milwaukee Fair Housing	Fair Housing Services
31	Muskego Senior Taxi	Taxi Replacement
32	NAMI	SSI/SSDI Outreach
33	Parent's Place	Community Education Program
34	Richard's Place	HIV/AIDS Support
35	Safe Babies Healthy Families, Inc	Case Management Program
36	Salvation Army	Emergency Lodge
37	Salvation Army	Community Meal Program
38	St. Joseph's Medical Clinic	Prescription Payment Assist.
39	The Caring Place, Inc.	Meals-On-Wheels
40	The Women's Center	Family Support
41	The Women's Center	Emergency Shelter
42	The Women's Center	Sexual Abuse Counseling
43	Town of Oconomowoc	Handicap Ramp & ADA Bathroom
44	UW Extension	West Side NRSA Strategic Plan
45	Unallocated	TBD
46	Wauk. Co. Community Dental Clinic	Healthy Smiles for Tots & Teens
47	Wauk. Co. Community Dental Clinic	Adult Dental Clinic
48	Waukesha County Dept. of Parks & Land Use	Fox Brook Park Accessible Fishing Pier
49	Wisconsin Partnership for Housing Development	Housing Rehabilitation
50	Wisconsin Women's Business Initiative	Downtown Waukesha Business Attraction
51	Wisconsin Women's Business Initiative	Revolving Loan Fund
HOME Program		
1	HOME Program	Administration Housing Development
2	CHDO Reserve	TBD
3	CORE Programs	Downpayment Assistance Program Housing Rehabilitation Program Purchase Rehabilitation Program

#	Project Name
1	Administration
2	Housing
3	NRSA - Neighborhood Revitalization Strategy Areas
4	Public Services - Non NRSA
5	Public Facilities
6	Economic Development

Table 8 – Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

For the Annual Action Plan, the results of citizen input strongly supported homeownership and housing stock rehabilitation as well as social and supportive services for low to moderate income individuals and families. The County has maintained a broad priority of encouraging new homeownership, preserving existing homeownership, increasing economic development, enhancing public services, and public facility improvements.

Projects

AP-38 Projects Summary Project Summary Information

Table 9 – Project Summary

1	Project Name	Administration
	Target Area	
	Goals Supported	
	Needs Addressed	CDBG Program Administration
	Funding	CDBG: \$353,000 HOME: \$121,787
	Description	2016 Administration
	Target Date	12/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

<p>Planned Activities</p>	<p>Metropolitan Milwaukee Fair Housing ServicesDescription: The purpose of the proposed activities is for all people to have equal access to housing in Waukesha County through the provision of comprehensive fair housing enforcement and education services.</p> <p>WI Partnership: Housing Rehabilitation</p> <p>Description: This program provides no interest loans to LMI owners of single family housing in Waukesha County, and small grants to households where home modifications designed to improve accessibility will allow individuals to remain in their home.</p> <p>WI Partnership: HOME Administration</p> <p>Description: Funding to administer the HOME Consortium's DPA, Rehab and Purchase-Rehab programs.</p> <p>UW Extension: West Side NRSA Strategic Plan</p> <p>Description: This project will increase community capacity to collectively identify/address shared issues, challenges, and barriers to neighborhood improvements and to update the West Side NRSA Strategic Plan to retain eligibility for US Department of Housing and Urban Development Neighborhood Revitalization Strategy Area program.</p> <p>General administrative functions for Waukesha County to run the HOME and CDBG programs for the County and the HOME Consortium.</p>
<p>2</p>	<p>Housing</p>
<p>Project Name</p>	<p>Housing</p>
<p>Target Area</p>	<p>Housing Rehabilitation/Zero Interest Loans</p>
<p>Goals Supported</p>	<p>Housing</p>
<p>Needs Addressed</p>	<p>CDBG: \$190,000 HOME: \$1,096,084</p>
<p>Funding</p>	<p>2016 Housing</p>
<p>Description</p>	<p>2016 Housing</p>

	12/31/2016	
<p>Target Date</p> <p>Estimate the number and type of families that will benefit from the proposed activities</p>	<p>For CDBG: 15 low income homebuyer rehab loans and 275 low-to-moderate income families will be provided housing counseling.</p> <p>For HOME: 60 homeowners will buy homes with downpayment assistance, so homeowners will use our rehab program, 10 homeowners will use our purchase-rehab program, and between 4 and 8 units of permanent housing will be developed using CHDO or housing development funding.</p>	
<p>Location Description</p>	<p>County wide for CDBG. HOME is available in the 4 county Consortium of Jefferson, Ozaukee, Washington and Waukesha Counties.</p>	
<p>Planned Activities</p>	<p>CDBG: City of Waukesha: Landmark Paint/Repair Description: Financial and administration/design assistance to owners of qualified historic properties for the care and maintenance of their properties.</p> <p>CDBG: Housing Resources Inc: Homebuyer Education & Counseling Description: Housing Resources is seeking funding to support our Homebuyer Education and Counseling Program for first-time homebuyers in Waukesha County. The primary target populations assisted is low and moderate income and other underserved populations.</p> <p>CDBG and HOME: WI Partnership: Housing Rehabilitation Description: This program provides no interest loans to LMI owners of single family housing, and small grants to households where home modifications designed to improve accessibility will allow individuals to remain in their home.</p> <p>HOME: WI Partnership: Downpayment Assistance Description: This program provides forgivable loans to LMI homebuyers in the HOME Consortium area.</p> <p>HOME: WI Partnership: Purchase Rehab Program Description: Combines the DPA and Rehab programs for those homes which need work to be up to code immediately after closing.</p>	
<p>Project Name</p>	<p>NRSA - Neighborhood Revitalization Strategy Areas</p>	

3	Target Area	HAERTEL FIELD PHOENIX HEIGHTS WESTSIDE NRSA
	Goals Supported	Homeless Public Services
	Needs Addressed	Housing Services Economic Development Neighborhood Revitalization Strategy Areas (NRSAs)
	Funding	CDBG: \$179,000
	Description	2016 NRSA
	Target Date	12/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	1744 low-to-moderate income people
	Location Description	Activities will be undertaken mainly in the City of Waukesha, available to all residents in Waukesha County.

<p>Planned Activities</p>	<p>Hope Center: Outreach Meal Program Description: Meals provided to the homeless, those living in rooming houses or shelters, families trying to stretch their budget, and elderly persons on a fixed income.</p> <p>Salvation Army: Community Meal Program Description: The Community Meal Program provides nutritionally balanced evening meals three days a week for low income individuals and families in Waukesha County.</p> <p>The Women’s Center: Sexual Abuse Counseling Description: This project provides assistance to child victims of sexual assault and abuse and their parents in coping with the painful experiences.</p> <p>Parent’s Place: Community Education Program Description: The primary focus of the Community Education program is to prevent child maltreatment; to that end, it offers accessible, comprehensive and coordinated services that meet the specific needs of each participating family.</p> <p>The Caring Place, Inc.: Meals-On-Wheels Description: Meals-On-Wheels provides specialized meals that can be provided by the Dietary Department at Waukesha Memorial Hospital to senior citizens, disabled adults, an people in need.</p> <p>Literacy Council of Greater Waukesha: Outreach & Recruitment Description: The purpose of this project is to meet the needs of people who are low-to-moderate income and need to improve their basic skills including reading, writing, math and speaking.</p> <p>Safe Babies Healthy Families, Inc.: Case Mgmt. Program Description: Providing a Continuum of Care where each family has one Case Manager who bonds and works with them to improve circumstances from prenatal phase up to age 5 of the child.</p> <p>Family Service Agency: C.A.R.E Center Description: The purpose is to coordinate the response of medical, legal, law enforcement and social service providers to ensure that victims of child abuse in Waukesha County are not re-traumatized by the very systems in place to protect and empower them.</p>
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	<p>St. Joseph's Medical Clinic: Prescription Payment Assistance Description: The Prescription Payment Assistance Project includes: outreach, screening and triage, intake/assessment, processing, referral, and payment.</p> <p>The Women's Center: Family Support Description: The Family Support Project is the agency's child abuse prevention program with a goal to reduce the likelihood of family violence, child abuse and neglect by providing a comprehensive set of support services for families.</p> <p>Waukesha County Community Dental Clinic: Healthy Smiles for Tots & Teens Description: This project provides access to comprehensive dental care that includes screening, emergency treatment, exams, preventative care, restorative care, and periodontal care to low-income children in Waukesha County.</p> <p>Waukesha County Community Dental Clinic: Adult Dental Clinic Description: This project provides access to comprehensive dental care that includes emergency treatment, exams, preventative care, and restorative care to low-income, uninsured adults in Waukesha County.</p> <p>180° Juvenile Diversion: Creating Lasting Families Description: 180° Juvenile Diversion provides a valuable program opportunity for positive change in the lives of young adults who have had contact with law enforcement and the legal system.</p>
4	Public Services - Non NRSA
	Homeless Public Services
	Services
	CDBG: \$268,025

Description	2016 Public Services
Target Date	12/31/2016
Estimate the number and type of families that will benefit from the proposed activities	4107 low-to-moderate income families
Location Description	County wide.

	<p>Planned Activities</p> <p>City of Waukesha: Adaptive Recreational Programs, Sentinel Park Summer Program, Saratoga/Haertel Park Summer Playground, Senior Activity Coordinator, Homeless Services.</p> <p>Salvation Army: Emergency Lodge.</p> <p>The Women’s Center: Emergency Shelter.</p> <p>Hope Center: Day Center.</p> <p>Hebron House: Emergency Shelter.</p> <p>Interfaith Senior Programs: Transportation Collaborative.</p> <p>Hebron House: Jeremy House.</p> <p>Interfaith Senior Programs: Housing Support for Seniors & Disabled Adults.</p> <p>Family Promise of Western Waukesha Co.: Family Promise.</p> <p>Food Pantry of Waukesha County Inc.: Food Allocation Improvement Project.</p> <p>Lake Area Free Clinic: Medication Assistance.</p> <p>Richard's Place, Inc.: HIV/AIDS Support.</p> <p>Big Brothers Big Sisters of Metropolitan Milwaukee: Mentoring Program.</p> <p>Hebron House: Operations – Outside In Program.</p> <p>Muskego Senior Taxi: Taxi Replacement.</p> <p>Elmbrook Senior Taxi: Taxi Replacement.</p> <p>Hebron House: Case Management Outside In Program.</p> <p>NAMI: SSI/SSDI Outreach.</p>
5	Public Facilities
	Target Area
	Goals Supported

Needs Addressed	Public Facility & Infrastructure Improvements
Funding	CDBG: \$250,456
Description	2016 Public Facilities
Target Date	12/31/2016
Estimate the number and type of families that will benefit from the proposed activities	216 improvements to public facilities will be done to benefit low-to-moderate income families and persons with disabilities.
Location Description	Various locations throughout the City of Waukesha and 2925 N. Barker Rd., Brookfield, WI 53045, and N87W35441 Mapleton Rd., Oconomowoc, WI 53066.

<p>Planned Activities</p> <p>City of Waukesha: Cemetery Sidewalk Description: This project will upgrade walk ways in a public facility that is greatly used by the public.</p> <p>City of Waukesha: Entrance Sign Description: This project will serve to enhance and promote the Downtown, which is located in the Haertel Field Neighborhood Revitalization Strategy area.</p> <p>City of Waukesha: Shelter Improvements Description: This money will be used to establish additional homeless capacity and/or shelter facility in the City of Waukesha.</p> <p>City of Waukesha: Historic Springs Restoration Description: Repairs to and eventual restoration of at least one spring house or spring remnant, depending on the extent of the deterioration.</p> <p>City of Waukesha: ADA Compliance Description: This project will upgrade 210 audible pushbuttons at 30 various intersections within the City of Waukesha's NRSA districts.</p> <p>Town of Oconomowoc: Handicap Ramp & ADA Bathroom Description: The Town will install a handicap ramp from grade level to the main level of the building to meet all ADA requirements. The Town will also modify the existing bathrooms on the main level to make them ADA compliant.</p> <p>Waukesha County Department of Parks & Land Use: Fox Brook Park Accessible Fishing Pier Description: This project will implement a disabled accessible fishing pier at the Fox Brook Park lake to provide ADA-compliant access to fishing opportunities at the Park lake for persons of all ages and abilities.</p>	<p>6</p> <p>Project Name Economic Development</p> <p>Target Area</p> <p>Goals Supported</p> <p>Needs Addressed Economic Development</p>
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Funding	CDBG: \$485,000
Description	2016 Economic Development
Target Date	12/31/2016
Estimate the number and type of families that will benefit from the proposed activities	31 jobs are estimated to be created with the Economic Development revolving loan fund and business owner assistance. 15 businesses are estimated to be assisted with their facades.
Location Description	Jobs will be created and facades improved in various locations in the City of Waukesha.
Planned Activities	<p>City of Waukesha: Façade Program Description: The project serves downtown and nearby property owners by providing matching funds for upgrading building facades, awning, and storefront signage.</p> <p>Wisconsin Women's Business Initiative: Revolving Loan Fund Re-Cap Description: WWBIC will administer the Waukesha County revolving loan fund to make loans to businesses creating low and moderate income jobs.</p> <p>Wisconsin Women's Business Initiative: Downtown Waukesha Business Attraction Description: This project will recharge economic development activities for Downtown Waukesha by combining public, private and non-profit business resources to attract and support small business success.</p>

AP-50 Geographic Distribution – 91.220(f)

Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed

Neighborhood Revitalization Strategy Areas (NRSAs)

Waukesha County identified three NRSAs in the City of Waukesha in 1999 – Phoenix Heights, Haertel Field, and West Side, as shown in the maps on the following pages. The County will continue to prioritize the three NRSAs for funding and community development efforts during 2016. Up to 10% of the total CDBG allocation is targeted toward Community Based Development Organizations (CBDOs) who concentrate their services in one of these three areas. Economic development is the highest priority for funding in the NRSAs, including services that assist low and moderate income families in finding and maintaining jobs.

Strategies for all of the NRSAs include the following economic development and neighborhood revitalization initiatives:

- Connecting residents to job training and education resources;
- Linking families to neighborhood resources that support sustained employment;
- Housing revitalization and homeownership;
- Crime prevention; and
- Resident empowerment.

Geographic Distribution

Target Area	Percentage of Funds
HAERTEL FIELD	3
PHOENIX HEIGHTS	3
WESTSIDE NRSA	3

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

Affordable housing and community development needs are present in areas throughout Waukesha County and the HOME Consortium. CDBG funds for direct benefit categories are allocated based on the percentage of LMI persons within the LMA neighborhoods. Regarding the Public Services category of the CDBG funds, the proposed projects will focus on the basic needs of the residents such as healthcare, transit services, essential and supportive services, as well as housing services. Special populations such as seniors, homeless, and youth will continue to receive funding for healthcare, child care, nutrition, education, shelter support and recreational needs. Funding will continue for targeted efforts in the Neighborhood Revitalization Strategy Areas. The County will also provide a portion of its allocation to

the City of Waukesha, as shown in the table above.

HOME funds will be distributed based on the income eligibility of clients throughout the four-county HOME Consortium.

Discussion

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

Waukesha County and the HOME Consortium anticipate supporting 806 households with affordable housing over the next year. Homeless facilities including the Salvation Army Emergency Lodge, Jeremy House, and the Heron House Emergency Shelter are projected to assist 348 homeless individuals or families in Waukesha County. Special needs housing providers are projected to support 338 individuals or families in Waukesha County, including victims of domestic violence, persons with HIV/AIDS, and seniors or disabled adults in need of housing support services. Note that emergency shelters for domestic violence victims are included in the special needs category and not the homeless category to prevent double counting households supported by these facilities.

Affordable housing for non-homeless households is projected to assist 135 households in the HOME Consortium area. Approximately 45 of these households will be supported via rehab of existing units through the HOME purchase and housing rehabilitation programs (estimated to assist a combined total of 30 households), WI Partnership housing rehab program (10 households), and the City of Waukesha housing rehab and homeowner loan programs (combined total of 16 households). Through the HOME program, an estimated 4 new units will be produced by a CHDO and 60 households will be assisted in acquiring homes using the downpayment assistance program. Finally, the HOME Consortium has set aside \$125,000 in unallocated funds and program income dollars generated in 2015 for a new Tenant Based Rental Assistance program (TBRA) to be administered in Jefferson and Waukesha Counties for 2016. These funds are expected to help approximately 15 families move from homelessness to permanent housing.

One Year Goals for the Number of Households to be Supported	
Homeless	348
Non-Homeless	120
Special-Needs	338
Total	806

Table 11 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	15
The Production of New Units	4
Rehab of Existing Units	56
Acquisition of Existing Units	60
Total	135

Table 12 - One Year Goals for Affordable Housing by Support Type

Discussion

AP-60 Public Housing – 91.220(h)

Introduction

The public housing authorities in the HOME Consortium will continue to provide affordable housing options for residents during this Action Plan period to the greatest extent possible. However it must be noted the authorities have extensive waiting lists and will continue to monitor expenditure of funds to maximize the number of families currently being served.

Actions planned during the next year to address the needs to public housing

Waukesha County plans to work more closely with the Waukesha County Housing Authority in 2016, to address the public housing and voucher needs of the community. The County worked with the Housing Authority at the end of 2015 to create an RFP process in which the Housing Authority will issue up to 250 project based vouchers. This is expected to happen in the first quarter of 2016. This process will help to alleviate the waiting list by creating new affordable housing units. The County also hopes to work with the Housing Authority to encourage landlords to use the Section 8 Voucher program.

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

The housing authorities for Waukesha, Jefferson and Washington each have resident counsels to ensure resident involvement in the housing authority's decision-making process. The Waukesha County Housing Authority also has a Family Self Sufficiency program that assists families to become economically and socially independent. The program provides the following services: job training, educational, child care, medical or mental health services, transportation, life skills, legal information, emergency services, and housing services. Families are also provided information to assist in their quest to transition from subsidized housing to eventual homeownership. The FSS program provides financial incentives through an escrow saving account for continual participation and investment in the program.

If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance

In 2014, the Waukesha County Housing Authority entered into an Intergovernmental Agreement with the Waukesha Housing Authority to eliminate duplication and create efficiency in the administration of the Section 8 Housing Choice Voucher Program. Through the Agreement, the Waukesha Housing Authority is authorized and designated to carry out the powers of the Waukesha County Housing Authority. Specifically, the Waukesha Housing Authority is granted jurisdictional authority to operate the Section 8 Housing Choice Voucher Program within the geographic area of Waukesha County.

These efforts will assist the Waukesha Housing Authority in raising its current status of substandard to a high performing agency. The Housing Authority has also implemented various changed related to timely

reporting, streamlining expenditures, and decreasing vacancies.

Discussion

AP-65 Homeless and Other Special Needs Activities – 91.220(i)

Introduction

Waukesha County is a participant in the Wisconsin Balance of State Continuum of Care Committee on Homelessness. The WIBOSCOC conducts the point-in-time count twice per year in January and July. This count is intended to include persons that are homeless and are living in emergency shelters, transitional housing, safe havens for the homeless, domestic violence shelters, or who are unsheltered living on the streets or any other place not mean for human habitation.

Data provided by the WIBOSCOC shows that the total homeless population in Waukesha County during the January 2015 PIT count was 174. Washington County had 64, Jefferson County had 60, and Ozaukee County had 12 total homeless people, either sheltered or unsheltered, in January 2015. The numbers have been consistent for the last three years in Ozaukee and Washington Counties, but have increased each year in Jefferson and Washington Counties.

Data provided by the WIBOSCOC shows that a total of 32 homeless persons were counted as chronically homeless in the Counties of Jefferson, Ozaukee, Waukesha and Washington during the January 2015 point-in-time counts. As of the January 2015 PIT, one chronically homeless person made up .4% of the total sheltered/unsheltered population in Jefferson; 31 chronically homeless persons comprised 4.8% of the sheltered/unsheltered population in Waukesha County. No chronically homeless persons were counted in Ozaukee or Washington Counties in the January PIT count.

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

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

The Wisconsin Balance of State Continuum of Care (WBOSCoC) reached out to homeless persons (especially unsheltered persons) through soup kitchens, day programs, drop-in centers, and hospitals. In addition, information is collected annually using the point-in-time survey form and is then summarized. The point-in-time surveys are one-on-one interviews are also held with the consumers. Additionally, outreach teams regularly go under bridges, visit camps, and go to other known homeless areas to tend to the needs of the homeless.

Addressing the emergency shelter and transitional housing needs of homeless persons

Waukesha County will continue to provide financial assistance to nonprofit agencies to develop and implement a coordinated assessment system throughout the jurisdiction. Waukesha County funds all of the emergency shelters in the County through the CDBG program, and is an active member in the

Housing Action Coalition.

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

Waukesha County will continue to support homeless service providers, funders, and stakeholders who recognize the need to shift focus and resources from short-term, emergency shelter to long-term, permanent housing, in order to end homelessness. Waukesha County and the Housing Action Coalition support the adoption of the Housing First model by all shelter, transitional and permanent housing providers.

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

Waukesha County will continue to support the Wisconsin Balance of State Continuum of Care Regional Plan to End Homelessness by:

- Supporting non-profit organizations that provide affordable housing opportunities for low- and moderate-income individuals and families.
- Providing CDBG funds for programs that help maintain the County's housing stock, and enable low-income individuals to stay in their homes through the Home-Owner Rehabilitation program.
- Advocating to secure funding for homeless programs and participates in policy development through the Wisconsin Balance of State Continuum of Care.

The CoC has outlined its discharge policy for assisting persons aging out of foster care, and being

released from health care facilities, mental health facilities, and correction facilities.

Discussion

One year goals for the number of households to be provided housing through the use of HOPWA for:
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family
Tenant-based rental assistance
Units provided in housing facilities (transitional or permanent) that are being developed, leased, or operated
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds
Total

AP-75 Barriers to affordable housing – 91.220(j)

Introduction

Barriers to affordable housing can present in a variety of aspects and multiple entities including, but not limited to government and political agencies, banking and finance institutions, insurance industry regulations, zoning regulations, social and economic variables, neighborhood conditions, public policy legislation, and fair housing enforcement. Sections MA 40 and SP 55 of the Consolidated Plan describe barriers to affordable housing within Waukesha County and the Consortium in greater detail. This section will describe specific strategies Waukesha County will employ to address barriers to affordable housing.

Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment

As indicated in section SP-55, Waukesha County participated in and adopted the Regional Housing Plan recommendations. Waukesha County will continue to work with government, public, private, and nonprofit community agencies to remove or ameliorate the negative effects of public policies that serve as current barriers to affordable housing. Action steps as recommended and accepted by the County are summarized below:

Waukesha County will work to implement the various recommendations from the Regional Housing Plan adopted into the Waukesha County Comprehensive Development Plan. Specifically, the County will work with local municipalities which provide municipal services to encourage that comprehensive neighborhood plans and zoning ordinances/regulations encourage a variety of housing types including single and multi-family homes, apartments, townhomes, duplexes, and live-work units. This year and for the remainder of the Consolidated Plan period, the County will seek strategies, as appropriate, to evaluate standards and processes to determine if amendments could be made to reduce of housing to residents without reducing safety, functionality, or aesthetic quality.

Waukesha County will evaluate the extent to which housing counseling is available to provide credit repair advice to members of the protected classes and to low- and moderate-income residents, in order to ensure that to the maximum extent possible, residents have access to means of improving their ability to obtain and maintain decent, affordable housing. In the case that counseling is unavailable, inadequate or not well advertised, Waukesha County should work with its community partners to increase its availability and use.

Waukesha County will support education and outreach efforts by community partners regarding needs

assessments for affordable housing and subsidized housing.

Waukesha County will encourage neighborhood development plans, zoning ordinances, and regulations that encourage a variety of housing types, lot sizes, and housing values in order to encourage housing affordability.

Finally, Waukesha County has taken and will continue to take a number of steps to incorporate the 2015-2019 Analysis of Impediments into HOME and CDBG processes. Waukesha County updated the 2016 CDBG and HOME developer applications to include the list of impediments and solutions outlined in the Analysis of Impediments and required applicants to select how they have or intend to ameliorate them. Applicants received points for selecting solutions that their organizations or communities committed to implementing.

Waukesha County updated the language in Waukesha County's Cooperation Agreements for HOME and CDBG. Staff from the Department of Parks and Land Use held meetings with planning staff and elected officials from the various municipalities in 2015 to discuss the findings in the Analysis of Impediments, and to outline how planning and zoning changes may be helpful in addressing the issues raised. We anticipate continuing to hold these meetings in 2016. In addition, staff have met with many municipalities individually, and provided information to staff, Village Boards, City Councils and attorneys throughout 2015 and so far into 2016.

The 2015—2019 Analysis of Impediments identified five Impediments to Fair Housing.

1. Zoning Regulations and Housing Mix Ratios that Reduce Opportunities for Affordable Housing Development
2. Lack of Fair Housing Knowledge
3. Imbalance Between Job Centers and Affordable Housing Options
4. NIMBY / Prejudiced Attitudes
5. Limited Housing Options for People with Disabilities and the Aging Population

The new Cooperation Agreements include a list of the impediments and possible solutions and require that all participating communities select two to report on, annually. This information will be reported to HUD in the 2016 CAPER.

Discussion

AP-85 Other Actions – 91.220(k)

Introduction

Actions planned to address obstacles to meeting underserved needs

To help remove obstacles to meeting underserved needs and improve service delivery, Waukesha County will support the development of a social service collaborative to coordinate the work of social service organizations, disseminate news and information, eliminate duplication of effort, and spearhead community-wide solutions to local needs. Waukesha County will also continue to use CDBG funds for taxi services in order to ensure that residents without private transportation are able to access social service providers.

Actions planned to foster and maintain affordable housing

Waukesha County and the HOME Consortium will continue to offer their core programs, including purchase rehab, homeowner rehab, and downpayment assistance, in order to maintain housing affordability. The County will also set aside 15% of HOME funds to support development of affordable housing by a local CHDO. The City of Waukesha will also offer a home rehab program to assist homeowners with maintenance as their housing units age.

In addition to specific programs designed to foster and maintain affordable housing, the County will also encourage participating jurisdictions to review their zoning ordinances for prospective barriers to affordable housing development, and to make amendments as needed. Waukesha County has adopted less restrictive zoning regulations based on SEWRPC's *Regional Housing Analysis* and has adopted the housing recommendations of that document into the Housing Element of the Comprehensive Plan. Some other cities such as Oconomowoc have also taken actions to reduce barriers to affordable housing in their zoning and land use regulations.

Actions planned to reduce lead-based paint hazards

Waukesha County will continue to promote lead based paint inspections and, if a hazard is found, remediation. This action will both reduce lead exposure risks and help to maintain the County's older, lower- and moderately-priced housing. Any housing rehabilitation activities conducted using HOME or CDBG funds will continue to be monitored closely for any potential lead exposure. Waukesha County will also continue to work with the health departments of other Consortium counties to identify possible units with lead based paint hazards.

Actions planned to reduce the number of poverty-level families

Waukesha County will continued to address poverty through its economic development efforts that

provide assistance to companies that create low and moderate income jobs and offer small business development programs. Homeless service providers will continue to offer job search and resume assistance. A focus on improving the jobs/housing balance in existing and emerging job centers will aim to help poverty-level families access more employment opportunities, while potentially lowering transportation and housing costs.

Actions planned to develop institutional structure

Waukesha County has been receiving HUD grant funds for a number of years and has developed a robust administrative structure to manage its CDBG and HOME funds. The County's Community Development Division also offers seminars for potential subrecipients, CHDOs, and contractors to learn more about the CDBG and HOME programs. In addition to working with organizations, the County's Citizen Participation process is designed to make engaged and informed citizens another vital part of the institutional structure.

Actions planned to enhance coordination between public and private housing and social service agencies

Waukesha County is a founding member of the Thriving Waukesha County Alliance, whose goals include the development of a more sustainable and comprehensive plan for addressing homelessness. Recommendations emerging from the Thriving Waukesha effort which will help enhance coordination include a community outreach and education campaign to provide information about resources available through homeless prevention programs; development of a lead agency to work with homelessness prevention and intervention agencies to produce information for provider networks; and establish a backbone agency that can plan, oversee, and coordinate homeless assistance across the community.

Waukesha County is an active participant in the local Continuum of Care, known as the Housing Action Coalition, which is undergoing a transition. The HAC (currently a collection of nonprofit organizations focused on homelessness issues) is planning to change into that "backbone agency" with a new Board of Directors, hired staff, and a mission to bring the community together around affordable housing and homelessness. Waukesha County has been an active member of the steering committee driving this change, and will continue to take an active role through 2016, both in terms of leadership and funding. The goals for 2016 are to have a new Board of Directors and a full-time staff person in place by the end of March 2016.

Discussion

Program Specific Requirements

AP-90 Program Specific Requirements – 91.220(I)(1,2,4)

Introduction

Community Development Block Grant Program (CDBG) Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	0
5. The amount of income from float-funded activities	0
Total Program Income:	0

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	85.00%

HOME Investment Partnership Program (HOME) Reference 24 CFR 91.220(I)(2)

1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:

N/A

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

1. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

The HOME Consortium's Policy and Procedure Manual requires that, for homebuyer activities, the participating jurisdiction (PJ) must impose long-term affordability through resale or recapture provisions:

- Resale ensures that units assisted with HOME funds remain affordable throughout the affordability period. If a unit is sold during the affordability, it must be sold to another low-income homebuyer at an affordable sales price, while also providing a "fair return" for the original homebuyer. The period of affordability is based on the total HOME assistance in the project including direct assistance and development assistance to an owner, developer or sponsor.
- Recapture allows the PJ to recapture all or a portion of the HOME subsidy in a property that is sold or transferred during the affordability period, and subsequently reinvested in other HOME eligible activities. The amount subject to recapture and the affordability period is based on the amount of direct assistance to the homebuyer. The HOME Consortium usually uses the Recapture provision.

3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:

1. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:

The HOME Consortium's Down Payment Assistance (DPA) program outlines the following resale/recapture provisions in its Homebuyer Grant Agreement:

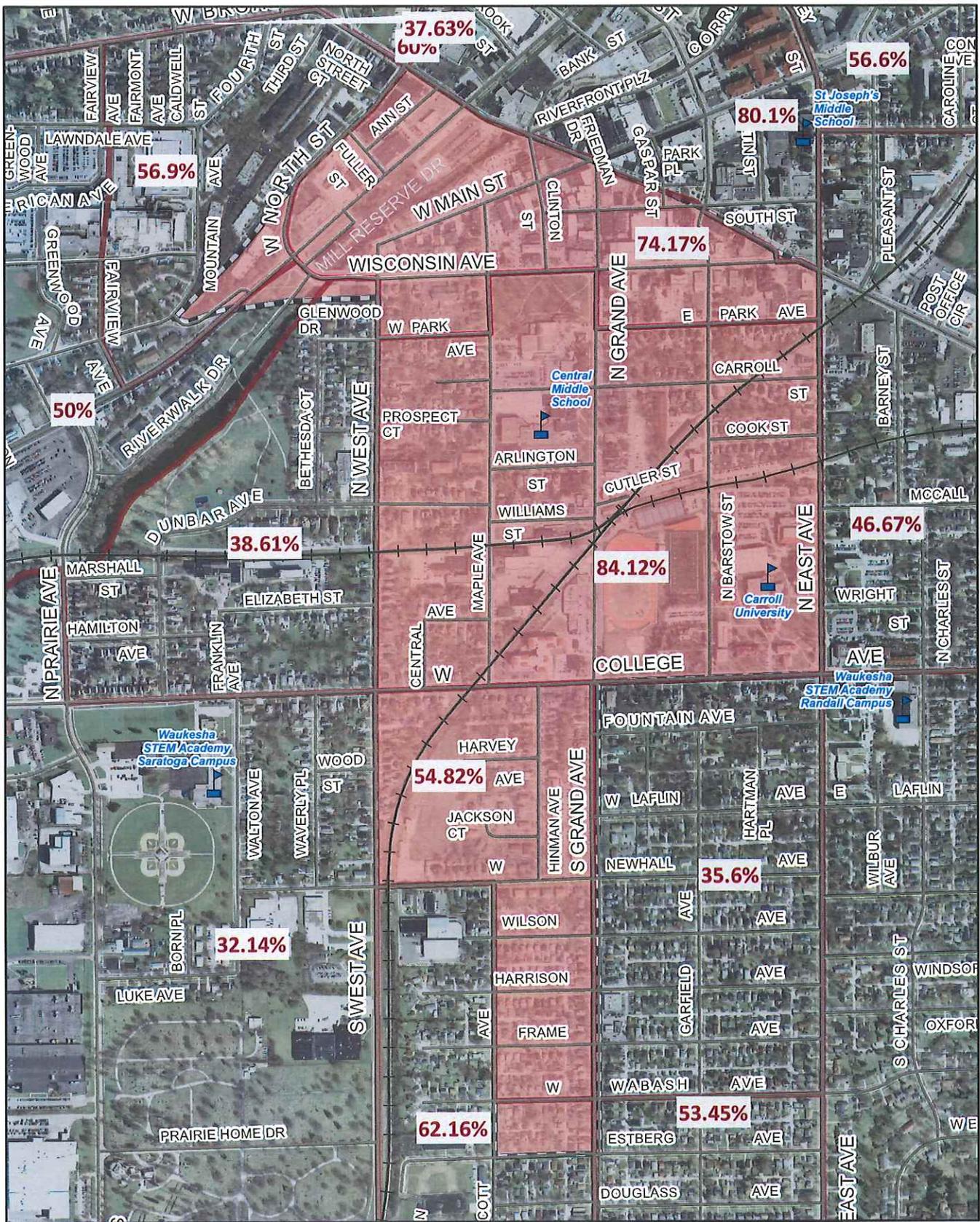
- Grantee shall be entitled to retain such funds provided the Grantee remains in both ownership and occupancy of the mortgaged premises for a period of five (5) years. In the event the Grantee terminates either ownership or occupancy of the premises within five (5) years, Grantee shall be required to reimburse the HOME Consortium an amount equal to the grant amount less a deduction equal to twenty percent (20%) thereof for each full year Grantee has owned and resided in the mortgaged premises, commencing on the date of the grant.
- In the event of a voluntary or involuntary transfer of the property during the applicable period of affordability, the Grantor will recapture all or a portion of the direct subsidy provided to the homebuyer. This direct subsidy is provided as downpayment assistance in the form of a deferred 0% interest loan. The loan will be forgiven prorata over the period of affordability (5 years), as long as the home remains the principal residence of the home buyer. If the net proceeds from a voluntary or involuntary sale are insufficient to repay the prorated amount of the HOME subsidy, the Grantor

shall recapture the balance due on the loan or 100% of net proceeds from the sale, whichever is less. If there are no net proceeds from the sale, no repayment is required. Net proceeds is defined as the sales price minus superior loan repayment and any closing costs incurred by the homebuyer.

- If Grantee refinances and the Property remains subject to the encumbrance created by this Agreement, then Grantee shall not be required to repay any portion of the Grant.
4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:

N/A

Discussion



-  Schools
-  Railroads
-  >30.34% with Low to Moderate Income
-  Haertel Field Neighborhood Boundary

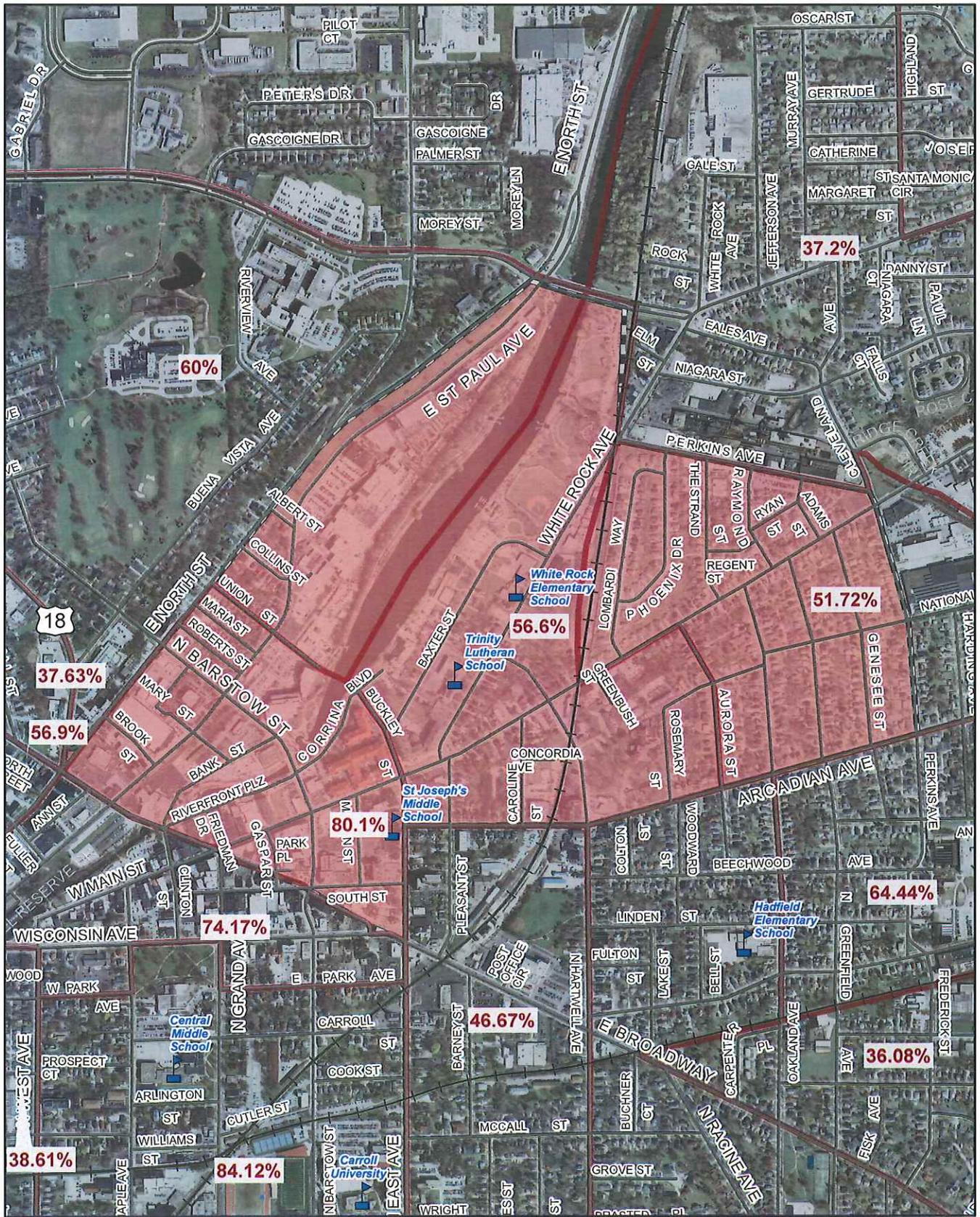
Haertel Field NRSA

>30.34% with LMI

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-  >30.34% with Low to Moderate Income
-  Phoenix Heights Neighborhood Boundary
-  Schools
-  Railroads

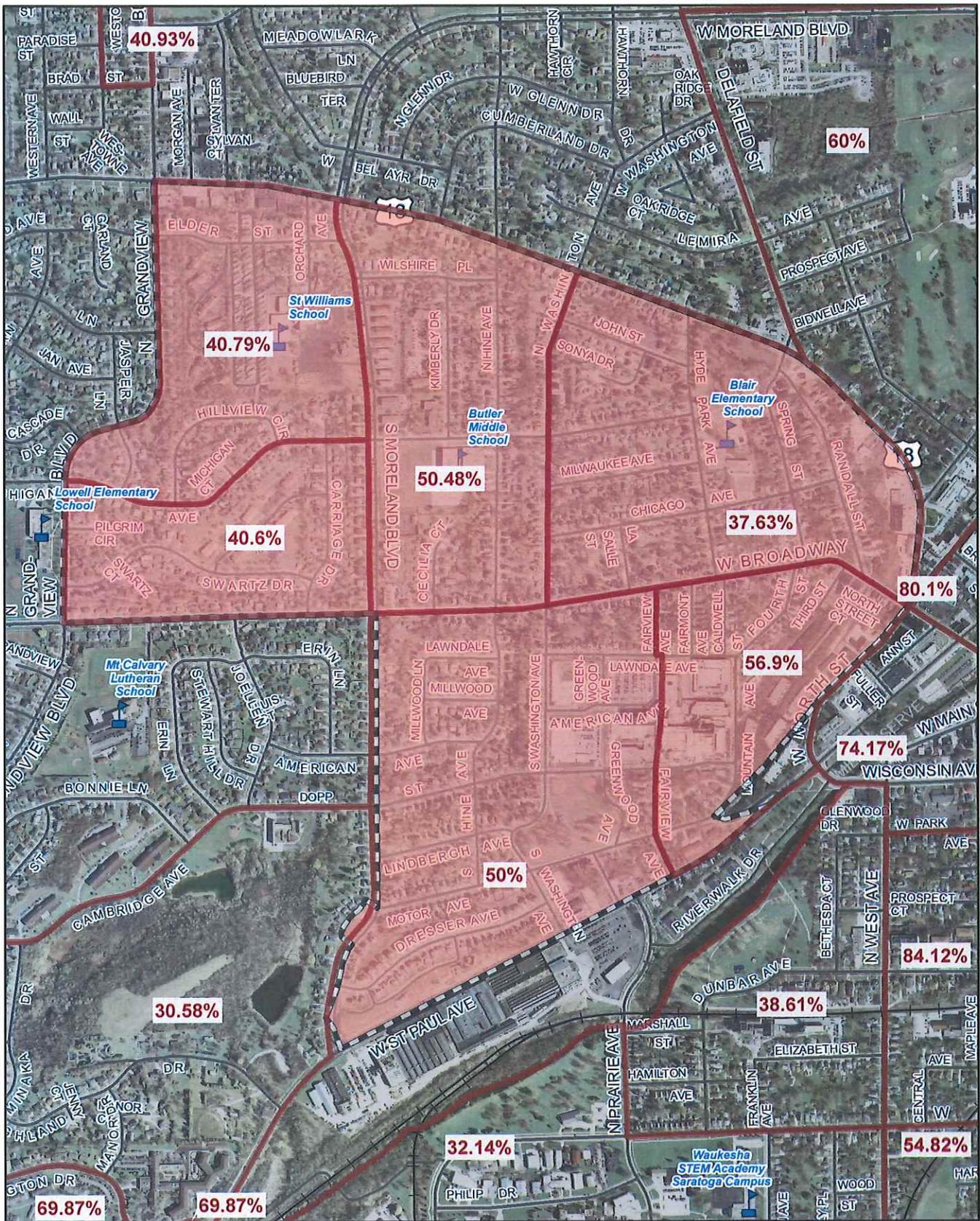
Phoenix Heights NRSA

>30.34% with LMI

The information and depictions herein are for informational purposes and Waukesha County specifically disclaims accuracy in this reproduction and specifically admonishes and advises that if specific and precise accuracy is required, the same should be determined by procurement of certified maps, surveys, plats, Flood Insurance Studies, or other official means. Waukesha County will not be responsible for any damages which result from third party use of the information and depictions herein, or for use which ignores this warning.

Printed on 12/2/2014
PhoenixHeights_05X11_WebAMI.mxd





-  >30.34% with Low to Moderate Income
-  West Side Neighborhood Boundary
-  Schools
-  Railroads

West Side NRSA >30.34% with LMI

The information and depictions herein are for informational purposes and Waukesha County specifically disclaims accuracy in this reproduction and specifically admonishes and advises that if specific and precise accuracy is required, the same should be determined by procurement of certified maps, surveys, plats, Flood Insurance Studies, or other official means. Waukesha County will not be responsible for any damages which result from third party use of the information and depictions herein, or for use which ignores this warning.

Printed on 12/2/2014
WestSide_85X11_WithLMI.mxd





SF 424

The SF 424 is part of the CPMP Annual Action Plan. SF 424 form fields are included in this document. Grantee information is linked from the 1CPMP.xls document of the CPMP tool.

SF 424

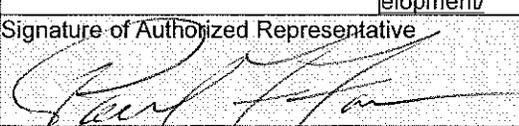
Complete the fillable fields (blue cells) in the table below. The other items are pre-filled with values from the Grantee Information Worksheet.

Date Submitted 4/14/16	Applicant Identifier	Type of Submission	
Date Received by state	State Identifier 39-600-5756	Application	Pre-application
Date Received by HUD	Federal Identifier	<input type="checkbox"/> Construction	<input type="checkbox"/> Construction
		<input checked="" type="checkbox"/> Non Construction	<input type="checkbox"/> Non Construction
Applicant Information			
Jurisdiction Waukesha County, Wisconsin		UOG Code	
Street Address Line 1 515 W. Moreland Blvd.		Organizational DUNS 14-220-1529	
Street Address Line 2 Room AC320		Organizational Unit County	
City Waukesha	Wisconsin	Department Parks and Land Use	
ZIP 53188	Country U.S.A.	Division Community Development	
Employer Identification Number (EIN): ##-####-####		County Waukesha	
Applicant Type: Urban County		Specify Other Type if necessary:	
County Consortium		Specify Other Type	
Program Funding		U.S. Department of Housing and Urban Development	
Catalogue of Federal Domestic Assistance Numbers; Descriptive Title of Applicant Project(s); Areas Affected by Project(s) (cities, Counties, localities etc.); Estimated Funding			
Community Development Block Grant		14.218 Entitlement Grant	
CDBG Project Titles		Description of Areas Affected by CDBG Project(s) Waukesha County	
\$CDBG Grant Amount \$1,317,868	\$Additional HUD Grant(s) Leveraged	Describe	
\$Additional Federal Funds Leveraged		\$Additional State Funds Leveraged	
\$Locally Leveraged Funds \$10,000,000		\$Grantee Funds Leveraged	
\$Anticipated Program Income \$460,000		Other (Describe)	
Total Funds Leveraged for CDBG-based Project(s) \$10,000,000			
Home Investment Partnerships Program		14.239 HOME	
HOME Project Titles		Description of Areas Affected by HOME Project(s) Jefferson, Ozaukee, Washington and Waukesha Counties	
\$HOME Grant Amount \$1,060,871	\$Additional HUD Grant(s) Leveraged	Describe	
\$Additional Federal Funds Leveraged		\$Additional State Funds Leveraged	
\$Locally Leveraged Funds \$10,000,000		\$Grantee Funds Leveraged	

\$Anticipated Program Income \$157,000		Other (Describe)	
Total Funds Leveraged for HOME-based Project(s) \$10,000,000			
Housing Opportunities for People with AIDS		14.241 HOPWA	
HOPWA Project Titles		Description of Areas Affected by HOPWA Project(s)	
\$HOPWA Grant Amount	\$Additional HUD Grant(s) Leveraged	Describe	
\$Additional Federal Funds Leveraged		\$Additional State Funds Leveraged	
\$Locally Leveraged Funds		\$Grantee Funds Leveraged	
\$Anticipated Program Income		Other (Describe)	
Total Funds Leveraged for HOPWA-based Project(s)			

Emergency Shelter Grants Program		14.231 ESG	
ESG Project Titles		Description of Areas Affected by ESG Project(s)	
\$ESG Grant Amount	\$Additional HUD Grant(s) Leveraged	Describe	
\$Additional Federal Funds Leveraged		\$Additional State Funds Leveraged	
\$Locally Leveraged Funds		\$Grantee Funds Leveraged	
\$Anticipated Program Income		Other (Describe)	
Total Funds Leveraged for ESG-based Project(s)			

Congressional Districts of:		Is application subject to review by state Executive Order 12372 Process?	
Applicant Districts 1, 2, 5	Project Districts 1, 2, 5		
Is the applicant delinquent on any federal debt? If "Yes" please include an additional document explaining the situation.		<input type="checkbox"/> Yes	This application was made available to the state EO 12372 process for review on DATE
		<input checked="" type="checkbox"/> No	Program is not covered by EO 12372
<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Program has not been selected by the state for review

Person to be contacted regarding this application		
First Name Paul	Middle Initial	Last Name Farrow
Title County Executive	Phone 262-548-7902	Fax
eMail countyexec@waukeshacounty.gov	Grantee Website www.waukeshacounty.gov/communitydevelopment/	Other Contact Kristin Silva, Community Development Manager
Signature of Authorized Representative 		Date Signed 4/13/16



CPMP Non-State Grantee Certifications

Many elements of this document may be completed electronically, however a signature must be manually applied and the document must be submitted in paper form to the Field Office.

This certification does not apply.

This certification is applicable.

NON-STATE GOVERNMENT CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about –
 - a. The dangers of drug abuse in the workplace;
 - b. The grantee's policy of maintaining a drug-free workplace;
 - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
 - a. Abide by the terms of the statement; and
 - b. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted –
 - a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Jurisdiction

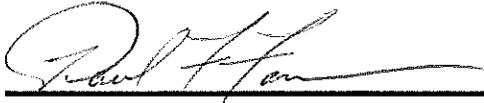
Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

- 8. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
- 9. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- 10. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.



4/14/16

Signature/Authorized Official

Date

Paul Farrow

Name

County Executive

Title

515 W. Moreland Blvd. Room AC320

Address

Waukesha, WI 53188

City/State/Zip

262-548-7902

Telephone Number

- | |
|------------------------------------------------------------------------------|
| <input type="checkbox"/> This certification does not apply. |
| <input checked="" type="checkbox"/> This certification is applicable. |

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

11. **Maximum Feasible Priority** - With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
12. **Overall Benefit** - The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 2___, 2___, 2___, (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
13. **Special Assessments** - It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

14. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
15. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Jurisdiction

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of part 35, subparts A, B, J, K and R, of title 24;

Compliance with Laws -- It will comply with applicable laws.



4/14/16

Signature/Authorized Official

Date

Paul Farrow

Name

County Executive

Title

515 W. Moreland Blvd. Room AC320

Address

Waukesha, WI 53188

City/State/Zip

262-548-7902

Telephone Number

<input checked="" type="checkbox"/> This certification does not apply. <input type="checkbox"/> This certification is applicable.

**OPTIONAL CERTIFICATION
CDBG**

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having a particular urgency as specified in 24 CFR 570.208(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities, which are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

<hr/>	<input type="text"/>
Signature/Authorized Official	Date
<input type="text"/>	
Name	
<input type="text"/>	
Title	
<input type="text"/>	
Address	
<input type="text"/>	
City/State/Zip	
<input type="text"/>	
Telephone Number	

<input type="checkbox"/> This certification does not apply.
<input checked="" type="checkbox"/> This certification is applicable.

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;



Signature/Authorized Official

4/14/16

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<input checked="" type="checkbox"/> This certification does not apply. <input type="checkbox"/> This certification is applicable.

HOPWA Certifications

The HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

<hr/>	<input type="text"/>
Signature/Authorized Official	Date
<input type="text"/>	
Name	
<input type="text"/>	
Title	
<input type="text"/>	
Address	
<input type="text"/>	
City/State/Zip	
<input type="text"/>	
Telephone Number	

- This certification does not apply.**
 This certification is applicable.

ESG Certifications

I, _____, Chief Executive Officer of **Error! Not a valid link.**, certify that the local government will ensure the provision of the matching supplemental funds required by the regulation at 24 *CFR* 576.51. I have attached to this certification a description of the sources and amounts of such supplemental funds.

I further certify that the local government will comply with:

1. The requirements of 24 *CFR* 576.53 concerning the continued use of buildings for which Emergency Shelter Grants are used for rehabilitation or conversion of buildings for use as emergency shelters for the homeless; or when funds are used solely for operating costs or essential services.
2. The building standards requirement of 24 *CFR* 576.55.
3. The requirements of 24 *CFR* 576.56, concerning assurances on services and other assistance to the homeless.
4. The requirements of 24 *CFR* 576.57, other appropriate provisions of 24 *CFR* Part 576, and other applicable federal laws concerning nondiscrimination and equal opportunity.
5. The requirements of 24 *CFR* 576.59(b) concerning the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.
6. The requirement of 24 *CFR* 576.59 concerning minimizing the displacement of persons as a result of a project assisted with these funds.
7. The requirements of 24 *CFR* Part 24 concerning the Drug Free Workplace Act of 1988.
8. The requirements of 24 *CFR* 576.56(a) and 576.65(b) that grantees develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted with ESG funds and that the address or location of any family violence shelter project will not be made public, except with written authorization of the person or persons responsible for the operation of such shelter.
9. The requirement that recipients involve themselves, to the maximum extent practicable and where appropriate, homeless individuals and families in policymaking, renovating, maintaining, and operating facilities assisted under the ESG program, and in providing services for occupants of these facilities as provided by 24 *CFR* 76.56.
10. The requirements of 24 *CFR* 576.57(e) dealing with the provisions of, and regulations and procedures applicable with respect to the environmental review responsibilities under the National Environmental Policy Act of 1969 and related

authorities as specified in 24 *CFR* Part 58.

11. The requirements of 24 *CFR* 576.21(a)(4) providing that the funding of homeless prevention activities for families that have received eviction notices or notices of termination of utility services will meet the requirements that: (A) the inability of the family to make the required payments must be the result of a sudden reduction in income; (B) the assistance must be necessary to avoid eviction of the family or termination of the services to the family; (C) there must be a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and (D) the assistance must not supplant funding for preexisting homeless prevention activities from any other source.
12. The new requirement of the McKinney-Vento Act (42 *USC* 11362) to develop and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons. I further understand that state and local governments are primarily responsible for the care of these individuals, and that ESG funds are not to be used to assist such persons in place of state and local resources.
13. HUD's standards for participation in a local Homeless Management Information System (HMIS) and the collection and reporting of client-level information.

I further certify that the submission of a completed and approved Consolidated Plan with its certifications, which act as the application for an Emergency Shelter Grant, is authorized under state and/or local law, and that the local government possesses legal authority to carry out grant activities in accordance with the applicable laws and regulations of the U. S. Department of Housing and Urban Development.

Signature/Authorized Official

Date

Name

Title

Address

City/State/Zip

Telephone Number

This certification does not apply.
 This certification is applicable.

APPENDIX TO CERTIFICATIONS

Instructions Concerning Lobbying and Drug-Free Workplace Requirements

Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (Street address, city, county, state, zip code) Check if there are workplaces on file that are not identified here. The certification with regard to the drug-free workplace is required by 24 CFR part 21.

Place Name	Street	City	County	State	Zip

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules: "Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15); "Conviction" means a finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes; "Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any

Jurisdiction

controlled substance; "Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including:

- a. All "direct charge" employees;
- b. all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and
- c. temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Note that by signing these certifications, certain documents must be completed, in use, and on file for verification. These documents include:

1. Analysis of Impediments to Fair Housing
2. Citizen Participation Plan
3. Anti-displacement and Relocation Plan



4/14/16

Signature/Authorized Official

Date

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