

City of Lompoc

CAPER

**Consolidated Annual Performance
and Evaluation Report
Fiscal Year 2010-11
(July 1, 2010-June 30, 2011)**



September 22, 2011



Program Year 2010
CAPER

FY 2010-2011

GENERAL

Executive Summary

Lompoc’s Consolidated Annual Performance and Evaluation Report (CAPER) summarizes accomplishments made using federal Community Development Block Grant (CDBG), HOME and local human service funds during CDBG Program Year 2010, FY 2010-11, which covers the period of July 1, 2010 through June 30, 2011. *Lompoc’s CAPER report does not include Lompoc activities using Lompoc CDBG and HOME activities funded through the Santa Barbara County Urban CDBG Consortium or the HOME Consortium.* These activities are reported in the Urban Consortium’s PY 2010 CAPER. Highlights of Lompoc’s 2010-11 activities include:

- The distribution of \$45,105 in CDBG program income to five (5) different agencies under the City’s Public Services Program;
- The completion of the 1st year of a three (3) year Consortium Agreement for the purpose of receiving federal CDBG funds for PY 2010-11, 2011-12, 2012-13;
- The Single Family Rehab Loan Program initiated four (4) housing rehab projects, loaned \$130,000, and managed a loan portfolio of 53 loans. Four (4) loans repaid a total of \$109,976 to the City;
- Investigation and follow-up of 150 Code Enforcement Cases in the low- and moderate-income (LMI) census tract areas and the closing and resolution of 154 cases;
- Construction continued on the Richard DeWees Senior and Community Center; and
- Design and engineering work completed, and a request for bids prepared for the Public Library Heating Ventilation and Air Conditioning (HVAC) Energy Efficiency Project.

Financial Summary

The following amounts were available for use during the reporting period:

Unexpended CDBG funds at the end of June 30, 2010	\$ 2,542,306
Program Income earned in FY 2010-11	\$ 180,660
Total CDBG funds available July 1, 2010 through June 30, 2011	\$ 2,722,966
Total 2010-101 Program Year Expenditures	\$ 1,337,323
Unexpended balance June 30, 2011	\$1,385,643

One hundred percent (100%) of Lompoc’s project expenditures (excluding administrative expenses) benefited low/moderate-income persons, households, or areas of the City.

General Questions

1. Assessment of the five-year goals and objectives:
 - a. Describe the accomplishments in attaining the goals and objectives for the reporting period.
 - b. Provide a breakdown of the CPD formula grant funds spent on grant activities for each goal and objective.
 - c. If applicable, explain why progress was not made towards meeting the goals and objectives.
2. Describe the manner in which the recipient would change its program as a result of its experiences.
3. Affirmatively Furthering Fair Housing:
 - a. Provide a summary of impediments to fair housing choice.
 - b. Identify actions taken to overcome effects of impediments identified.
4. Describe Other Actions in Strategic Plan or Action Plan taken to address obstacles to meeting underserved needs.
5. Leveraging Resources
 - a. Identify progress in obtaining "other" public and private resources to address needs.
 - b. How Federal resources from HUD leveraged other public and private resources.
 - c. How matching requirements were satisfied.

CAPER General Questions response:**Assessment of one-year goals & objectives**

The City's FY 2009-10 Community Development Block Grant (CDBG) Program addressed several Community Objectives identified in the Urban Consortium Strategic Plan, providing decent affordable housing. The following are the accomplishments of the CDBG Housing Program for Program Year 2010:

2010-11 City of Lompoc CDBG Housing Accomplishments							
Retaining the Affordable Housing Stock							
Project	Strategic Plan Specific Objective	Priority Need	5 Year Goal	2010 CDBG Funds Expended	Annual Accomplishment	5 Year Accomplishment	Outcome Statement
Housing Rehabilitation Loan Program • IDIS #497, #522, #517, #539, #550, #551, #553	• Provide low cost loans to low-income homeowners for repairs to, and to remove architectural barriers in, their homes.	High	Rehabilitate 25 Units	\$130,033	4 Units Developed	4 Units Developed	• Accessibility for the purpose of creating decent affordable housing
Housing Rehabilitation Loan Program Delivery Costs • IDIS # 548	• Assist housing activities by providing housing rehab loan counseling, preparation of loan documents for homeowners, loan processing, inspections, ordering of lead based paint inspections and remediation work, as needed.	High	Administer 20 rehab and housing loans	\$122,088	Initiated 6 new rehab loans.	6 Units Developed	• Sustainability and accessibility for the purpose of creating decent affordable housing

2010-11 City of Lompoc CDBG Public Service and Public Facility Accomplishments							
Create Suitable Living Environments							
Project	Strategic Plan Specific Objective	Priority Need	5 Year Goal	2010 CDBG Funds Expended	Annual Accomplishment	5 Year Accomplishment	Outcome Statement
Good Samaritan Recovery Way Home • IDIS # 542	Provide funding for essential services and programs that provide needed resources for homeless persons	H	205 persons	\$5,400	47 persons assisted with shelter	47 persons	Availability/Accessibility for the purpose of creating suitable living environments
Family Service Agency Family Resource Center • IDIS # 543	Support public service programs for low- and moderate-income households including programs for housing and other community development needs	H	180 persons	\$3,555 (plus \$6,445 in CDBG Urban County Consortium)	2,721 persons assisted with services and training.	2,721 persons	Availability/Accessibility for the purpose of creating suitable living environments
Catholic Charities Community Services • IDIS # 544	Support public service programs for low- and moderate-income households including programs for housing and other community development needs	H	38,735 persons	\$12,700	6,830 persons assisted with rental/utility assistance & services	6,830 persons	Availability/Accessibility for the purpose of creating suitable living environments
Catholic Charities Food Distribution • IDIS # 545	Support public service programs for low- and moderate-income households including programs for housing and other community development needs	H	25,345 persons	\$14,800	5,105 persons assisted with food	5,105 persons	Availability/Accessibility for the purpose of creating suitable living environments
City of Lompoc Parks & Rec Summer Drop In • IDIS # 546	Support public service programs for low- and moderate-income households including programs for housing and other community development needs	H	165 persons	\$8,650	88 children assisted with summer program	88 children	Availability/Accessibility for the purpose of creating suitable living environments
Legal Aid of Santa Barbara County Fair Housing • IDIS # 547	Support public service programs for low- and moderate-income households including programs for housing and other community development needs	H	55 persons	\$5,775	55 person were assisted with Fair Housing Services	55 persons	Availability/Accessibility for the purpose of creating suitable living environments
Dick DeWees Community and Senior Center • IDIS # 552	Provide assistance to low income neighborhoods by funding critical community facilities	H	4,040 persons	\$1,034,942	0 persons Facility still under construction	0 persons Facility still under construction	Availability for the purpose of creating suitable living environments

5 Year Goal numbers calculated from agencies' 2010-11 contract "Quantified Goals". 5 Year Goal number for persons benefiting from the DeWees Community and Senior Center is based on 2005-2009 Census American Fact finder number of adults 65 years of age and over.

The previous tables summarize accomplishments during the past year.

In 2010-11, no new **Economic Development loans** were made, although staff provided applications to several applicants. CDBG staff also attended a **Small Business Development Workshop** sponsored by the **Lompoc Chamber of Commerce** and the **Santa Barbara County Small Business Development Center** held in Lompoc in April-May, 2011. Staff shared information on the City's Business Loan Program. Staff also worked on an Economic Development Loan application submitted in 2011 by the **California Space Authority** for the development of a business park and museum near **Ken Adam Park** in Lompoc dedicated to the space exploration and commercial development industry. The proposed loan was not executed, but the City is still considering development proposals for a project at that site.

In order to develop an overall economic development strategy for the City which may ultimately lead to additional rehabilitation and economic development loan participation from the community, the City contracted with **California Association for Local Economic Development (CALED)**. Recommendations from the CALED report may be implemented by the CDBG program in 2010-11. The CDBG Program will continue to make available CDBG loan funds available to qualified applicants to the **Single Family Rehab and Economic Development Loan Programs**. In March the City Council voted to increase its **CDBG Code Enforcement** efforts by hiring a full time code enforcement inspector which doubles earmarked CE CDBG funds from \$100,000 to \$200,000 in 2010-11.

Affirmatively Further Fair Housing

The City Affirmatively Furthered Fair Housing through a \$5,775 annual contract with the **Legal Aid Foundation of Santa Barbara County**, which carries out the City's Fair Housing Program. The Legal Aid Foundation's 2010-11 Annual Report on Fair Housing Education, Testing and Resolution is an attachment to this CAPER.

Other Actions Which Address Underserved Needs

In 2010-11, the City carried out the following activities which addressed Underserved Needs:

1. Supported the implementation of the Homeless Prevention Rapid Re-Housing (HPRP) Program in Lompoc through Federal Stimulus funds (administered by the County of Santa Barbara under the Urban County Consortium);
2. Worked with the Housing Authority and Pacific West Developers on the development of 55 and 60, respectively, new affordable housing units in Lompoc;
3. Worked with the Lompoc Housing and Community Development Corporation, the Enterprise Foundation, HUD, and other groups, on the development of additional organizational (capacity building); and
4. Provided staffing and organizational support to the City's five (5) member Human Services Commission, which meets every first Monday of each month. In FY 2010-11, the Human Services Commission recommended and the City Council approved the allocation of \$41,020 in Lompoc Human Services funds.

Leveraging Resources

Every project the City provided CDBG or other public funding toward was able to leverage these resources with other private funds and donations. A leverage chart is an attachment to this CAPER. [See Attached Leverage Chart] Projects funded through the County's HOME Consortium were required to submit match documentation as part of their funding application. Matching requirements for City HOME funds were met by the County of Santa Barbara HOME Consortium. The County's FY 2010-11 HOME CAPER includes additional detail on HOME match compliance.

Managing the Process

1. Describe actions taken during the last year to ensure compliance with program and comprehensive planning requirements.

CAPER Managing the Process response:

Several actions were taken to ensure compliance with CDBG Program and comprehensive planning requirements.

- Maintained financial and client beneficiary records on accomplishment information
- Held three (3) City Council meetings to discuss the CDBG budget, public service allocations and annual accomplishments under the CDBG program
- Ensured public participation with two (2) public hearings this past year
- Community participation of grant allocation and grantee monitoring provided by the City's five (5) member Human Service Commission
- Preparation of Environmental Review Records (ERR) for each project, noticing, and preparing of FONSI and RROF when required
- Worked cooperatively with other City departments, non-profit agencies, the Housing Authority for the County of Santa Barbara, the County's Housing and Community Development, HUD's Los Angeles office and other governmental offices
- Ensured that all City contracts include required federal HUD language covering General Conditions, Administrative Requirements, Personnel clauses and Participant Conditions.

Citizen Participation

1. Provide a summary of citizen comments.
2. In addition, the performance report provided to citizens must identify the Federal funds made available for furthering the objectives of the Consolidated Plan. For each formula grant program, the grantee shall identify the total amount of funds available (including estimated program income), the total amount of funds committed during the reporting period, the total amount expended during the reporting period, and the geographic distribution and location of expenditures. Jurisdictions are encouraged to include maps in describing the geographic distribution and location of investment (including areas of minority concentration). The geographic distribution and expenditure requirement may also be satisfied by specifying the census tracts where expenditures were concentrated.

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

CAPER Citizen Participation response:

The availability of the 2010 CAPER for public comment and review was publicly noticed in the Lompoc Record on September 9, 2011. The **15-day public review period began on September 9, 2011 and concluded on September 23, 2011**. The City held a publicly noticed City Council meeting on September 20, 2011 to review the CAPER.

No Public Comments were received on the CAPER. Copies of the CAPER were available for review at the Lompoc City Hall, 100 Civic Center Plaza, and the Public Library, 501 East North Avenue. A copy of the CAPER is also available on City web site at <http://www.cityoflompoc.com>. Several maps included in this CAPER show the geographic distribution and location of expenditures.

Institutional Structure

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

CAPER Institutional Structure response:

- The City and County continued their successful collaboration through their joint participation in the Santa Barbara County HOME Consortium and **Urban County Partnership under the CDBG, ESG, and HPRR programs.**
- As part of the on-going implementation of the **County's 10-Year Plan to End Chronic Homelessness**, the City of Lompoc participated in the countywide **Continuum of Care** for the provision of homeless and housing services to homeless persons and persons at risk of homelessness, and the regional **Bring Our Community HOME (BOCH)** and the **Common Ground** inspired homeless county and homeless vulnerability assessment that was conducted in February-March 2011.
- The City works closely with several institutional partners including the **Housing Authority of the County of Santa Barbara** and the **Housing and Community Development Department of the County of Santa Barbara**. In addition to reserving \$500,000 in federal HOME funds and \$1 million in Redevelopment funds for the Housing Authority's **Santa Rita Village** Family Apartments Project, in 2011 the City also prepared letters of support to the California Tax Allocation Committee (CTAC) for the allocation of Low Income Housing Tax Credit Allocation (LIHTC) to the St. Rita project.
- The City awarded \$1,000 in local human service funding in 2010-11 to the Homeless Inmate Jail Discharge Program in coordination with **Santa Barbara County Jail** and **Casa Esperanza**, a Santa Barbara based homeless coalition and service provider.
- In FY 2010, the City Council followed recommendations from its **Human Services Commission** and allocated \$41,020 in **Human Service Donation Funds** and \$81,892 in 2010-11 CDBG Urban Consortium funds and \$49,455 in CDBG program income for a total of \$172,367 in CDBG /Human Service Program Funds to 24 social service programs. The CDBG Program provides staffing support to the Human Commission, which meets every 1st Monday of the month at City Hall.

Monitoring

1. Describe how and the frequency with which you monitored your activities.
2. Describe the results of your monitoring including any improvements.
3. Self Evaluation
 - a. Describe the effect programs have in solving neighborhood and community problems.
 - b. Describe progress in meeting priority needs and specific objectives and help make community's vision of the future a reality.
 - c. Describe how you provided decent housing and a suitable living environment and expanded economic opportunity principally for low and moderate-income persons.
 - d. Indicate any activities falling behind schedule.
 - e. Describe how activities and strategies made an impact on identified needs.
 - f. Identify indicators that would best describe the results.

- g. Identify barriers that had a negative impact on fulfilling the strategies and overall vision.
- h. Identify whether major goals are on target and discuss reasons for those that are not on target.
- i. Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.

CAPER Monitoring response:

This past year the City of Lompoc conducted the following monitoring:

- ✓ The City **monitored CDBG funded public service agencies** during the year using a written site visit tool, and visiting each program site with the Lompoc Human Services Commission. Letters were written to each agency for a **summary of its observations and results of the City's monitoring**.
- ✓ The City CDBG and RDA Programs provide "drive-by" **monitoring of several affordable housing developments** that had received loan assistance from the City. The City's Redevelopment Agency (RDA) provides extensive monitoring of affordable housing properties improved with both CDBG and other affordable housing funds. The City assists the **County of Santa Barbara Housing and Community Development Department (HCD) with annual on-site monitoring** of affordable housing properties in Lompoc.
- ✓ City reported to HUD on **Semi-Annual Labor Standards Enforcement Report – Local Contracting Agencies (HUD Form 4710) for the period October 1, 2010 to March 31, 2011**. There was no enforcement activity to report.
- ✓ As part of the proposed new Dick DeWees Senior and Community Center and the Library HVAC project that are currently underway, the City will **monitor compliance with Davis Bacon prevailing wage, Section 3, Affirmative Action, Minority and Women Businesses Enterprise regulations**, and other federal regulations during the course of the project. Staff ensured that federal regulatory language was included in all bid documents and construction contracts, with prime- and sub-contractors.

Self Evaluation

The City's various CDBG programs have helped to address such community issues as **lack of services**, intervention services for **at-risk youth, housing and neighborhood deterioration, architectural barriers** for persons with disabilities, and the need for **community meeting space** for senior adults and other persons in Lompoc. The City's efforts, along with the County of Santa Barbara Urban Consortium Programs and resources **helped to make Lompoc's vision of the future a reality**. This includes improvements to public infrastructure (such as streets and sidewalks), code enforcement efforts in the low- and moderate-income census tracts to address health and safety and habitability issues in Lompoc's neighborhoods. Much still needs to be accomplished, but tangible results are evident, as discussed throughout this CAPER.

This CAPER has also discussed how **the City has provided and facilitated decent housing and a suitable living environmental and expanded economic opportunity for low- and moderate-income persons**. These activities are summarized in the tables on **pages 3 & 4**. Although the City did not issue any new economic development loans, the City did have an active Housing Rehabilitation Loan Program, which used local contractors to complete rehabilitation work on homes. This has created economic opportunities for local businesses.

No activities have fallen behind schedule. Resources have been re-prioritized, as need, to meet emergent opportunities, such as the availability of Federal Stimulus funds, the issuance of redevelopment agency bond indebtedness this year, and the availability of State Low Income Housing Tax Credits for affordable housing.

All **activities have made an impact on identified need**, as demonstrated in statistics on houses rehabilitated; persons and households provided services, and the improvement of public infrastructure. Additional detail on the improvement of public infrastructure is discussed in the County's Urban Consortium 2010-2011 CAPER under the Federal Stimulus American Recovery and Restoration Act (ARRA) funding and capital development discussion.

Barriers that have had a negative impact on fulfilling the strategies and overall vision include a lack of financial resources, in comparison to the magnitude of need and the challenges to the capacity of community partners, such as non-profit organizations, and even the City during this recent economic downturn. However, these challenges have not prevented the CDBG program from achieving real tangible results as discussed in this report. For example, as discussed under the Assessment of Five Year Goals and Objectives, **most of the City's goals are on target**.

With respect to **identifying any adjustments or improvements** to strategies and activities that might meet the City's needs more effectively, the City is committed to working closely with all communities partners, the State, the County, other local jurisdictions, the business, educational, and faith-based communities, the Vandenberg Air Force Base community, the Federal Prison (FCI), and other relevant partners in developing local and regional solutions to these community development issues. The City has recently hired an Economic Development Director/ Assistant City Administrator in order to re-focus existing economic development strategies and programs. The net result will be improved economic opportunities for local residents and a strengthening of the business community. This will improve economic opportunities for all residents, particularly low- and moderate-income households.

Lead-based Paint

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

CAPER Lead-based Paint response:

The City contracted with Sigma Engineering and the Tabbara Corporation in Oxnard, California to perform **lead based paint (LBP) testing** on all homes that receive federal CDBG funds for rehabilitation and that were built before 1978. In PY 2010, two (2) LBP Tests were performed on single family homes. Small areas of the homes tested positive for lead. In the first case, a small fence between 2 homes was removed. The second case involved a patio frame which was removed. All work was performed by LBP certified contractors and received a clean clearance from a LBP company.

HOUSING

Housing Needs

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

1. Describe Actions taken during the last year to foster and maintain affordable housing.

CAPER Housing Needs response:

Lompoc has worked to both foster and maintain affordable housing. The following provides a brief chronology of affordable housing activity undertaken by the Lompoc CDBG Program this past year:

Project Name	Action Taken	2010-11 Accomplishments
Good Samaritan Services Transitional Shelter/ Recovery Program (16 perinatal, 6 detox for 22 total beds).	In May 2010, the City provided a State HOME Program Income loan of \$232,000 to Good Samaritan to provide permanent financing and rehabilitation funds.	Flooring replaced and installation of block wall fence at site.
Santa Rita Village Family Apartments, 55 affordable units development by the Housing Authority of Santa Barbara County (HASBC)	In 2011, project applied for low income housing tax credits (LIHTC). Project is still under consideration.	City staff provided letters of support and a local agency review by the City's redevelopment agency.
Cypress Courts Senior Apartments, a 60 unit affordable housing development proposed by Pacific West and Surf Development	In 2011, project applied for low income housing tax credits (LIHTC). Project is still under consideration.	While the City supports the development of this project, significant regional competition may impact an award of LIHTC to this project this year.

Specific Housing Objectives

1. Evaluate progress in meeting specific objective of providing affordable housing, including the number of extremely low-income, low-income, and moderate-income renter and owner households comparing actual accomplishments with proposed goals during the reporting period.
2. Evaluate progress in providing affordable housing that meets the Section 215 definition of affordable housing for rental and owner households comparing actual accomplishments with proposed goals during the reporting period.
3. Describe efforts to address "worst-case" housing needs and housing needs of persons with disabilities.

CAPER Specific Housing Objectives response:

Affordable Housing Evaluation

The City's Single Family Rehabilitation Revolving Loan Fund Program assisted four (4) low income elderly households during the past fiscal year. A total of \$130,030 in loan funds was disbursed.

Assessment of Housing Goals

The implementation of the 2010-2015 Consolidated Plan resulted in planned developed of two new affordable housing developments in Lompoc. Given limited resources, the City continues to make significant progress toward its Housing Goals.

"Worst case housing needs" and the needs of **persons with disabilities** were met with two (2) recent projects assisted with HOME and CDBG. City loan assistance to Transition Mental Health resulted in the development of **HomeBase on G**, an affordable Single Room Occupancy (SRO) project of 39 units for **persons with mental disabilities** and/ or **very low-income persons** located at 513 North G in Lompoc. "Worst case housing needs" for **homeless substance abusing women and their children** were addressed by the development of **Recovery Way Home**, a sixteen (16) bed **transitional housing facility for women in recovery and their children**. The City supported and provided financial assistance to the following **homeless shelter** program:

- **Domestic Violence Solutions**, a nine (9) bed emergency shelter for women and their children fleeing domestic violence (\$15,500)

Due to the Lompoc Housing and Community Development Corporation's inability to provide current financial audit documentation to the City, City grant award contracts made in 2010-11 to the

Bridgehouse homeless shelter, a 56-bed shelter and to the **Marks House**, a 19-bed transitional housing shelter for families, could not be executed by the City, due to City financial concerns and in compliance with federal regulations. These shelters continue to operate without federal CDBG funds. The City's CDBG funds are in reserve for an eligible provider of emergency shelter services.

Public Housing Strategy

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

Public Housing Strategy response:

The City continued to work collaboratively with the **Housing Authority of the County of Santa Barbara**. As indicated earlier in this CAPER, the City is working with the Housing Authority on the development of Santa Rita Village Apartments, 55-family units of new affordable public housing units currently in development at 815 West Ocean Avenue in Lompoc. The Housing Authority is also using Public Housing Capital Improvement funds to rehabilitation public housing units in Lompoc and install **solar energy conservation** devices in these units. **The City's new Dick DeWees Community and Senior center, which is currently under construction using CDBG funds, is across the street from the Housing Authority's office and Lompoc Terrace public housing units.** The two (2) projects will improve services and resources in this low-income area of the City. The Housing Authority's Five (5) Year Plan for FY 2005-2009 and Annual Plan for 2009 are on its website.

Barriers to Affordable Housing

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

CAPER Barriers to Affordable Housing response:

The City carried out the following actions to eliminate barriers to affordable housing:

1. Continued participation in the Santa Barbara County HOME Consortium in order to receive federal HOME funds for affordable housing projects in Lompoc;
2. Continued state density bonus provision in the City's zoning ordinance;
3. Implemented a housing in-lieu fee program for the creation of an 'affordable housing' trust fund to subsidize development of affordable units and the 2009 allocation of Housing Trust Funds to the Cypress Courts and St. Rita Apartment projects in Lompoc;
4. Promotion of funds available to affordable housing developers (private & non-profit) through the Redevelopment Agency's Affordable Housing Set-Aside Fund;
5. Continued City Inclusionary Housing Program, which requires 10% affordable housing in developments of 10 or more units, and in the City's Redevelopment Area, the requirement is 15% of developments of 10 or more units must be made affordable;
6. Continued providing owner-occupied and multifamily housing rehabilitation loans through the HOME and CDBG programs;
7. Continued its efforts to strengthen the capacity of the Lompoc Housing and Community Development Corporation, a HUD recognized Community Housing Development Organization (CHDO) and Community-based Development Organization (CBDO). This year HUD provided technical assistance to the City, the County Housing and Community Development Department, and the Lompoc Housing and Community Development Corporation to address concerns found in the agency's compliance with monitoring requirements and property maintenance.
8. Contracted with the Legal Aid Foundation of Santa Barbara to conduct fair housing testing and education in Lompoc in 2010-11; and
9. Worked cooperatively with the Housing Authority for the County of Santa Barbara (HACSB) in the implementation of the Section 8 Program in Lompoc and in the development of the proposed Santa Rita Village residential units, a 55-unit development proposed on West Ocean Avenue.

HOME/ American Dream Down Payment Initiative (ADDI)

1. Assessment of Relationship of HOME Funds to Goals and Objectives
 - a. Evaluate progress made toward meeting goals for providing affordable housing using HOME funds, including the number and types of households served.
2. HOME Match Report
 - a. Use HOME Match Report HUD-40107-A to report on match contributions for the period covered by the Consolidated Plan program year.
3. HOME MBE and WBE Report
 - a. Use Part III of HUD Form 40107 to report contracts and subcontracts with Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs).
4. Assessments
 - a. Detail results of on-site inspections of rental housing.
 - b. Describe the HOME jurisdiction's affirmative marketing actions.
 - c. Describe outreach to minority and women owned businesses.

CAPER HOME/ADDI response:

The City does not receive ADDI funds. The City's use of HOME funds was previously discussed in the Housing Sections of the CAPER. The City receives HOME funds from its participation in a HOME Consortium with the County of Santa Barbara and five (5) other county cities. The City uses these limited funds to leverage additional funding sources brought by affordable housing developers.

Additional information on the City's HOME Consortium participation can be found in the County of Santa Barbara's 2010-2011 CAPER and Performance Report.

HOMELESS

Homeless Needs

Identify actions taken to address needs of homeless persons.

1. Identify actions to help homeless persons make the transition to permanent housing and independent living.
2. Identify new Federal resources obtained from Homeless SuperNOFA.

CAPER Homeless Needs response:

Page 4 of this CAPER details accomplishments under the **Urban County Consortium's** goal to *"provide funding for essential services and programs that provide needed resources for homeless persons."*

Specific Homeless Prevention Elements

1. Identify actions taken to prevent homelessness.

CAPER Specific Homeless Prevention Elements response:

Page 11 and 12 of this CAPER discuss Homeless Prevention measures taken by the City in 2010. The City has several affordable and supportive housing projects over the past three (3) years including: **College Park Apartments** (35 units); and **HomeBase on G** (39 SRO-type apartment units for very low income persons and persons with mental disabilities), and **Good Samaritan's Recovery Way Home**, a 19-bed residential recovery program for women and their children. The City financially supported the **Casa Esperanza Homeless Inmate Jail Discharge Program** (\$1,000 in 2010) which provided case management and linkage services to individuals discharged from the County jail, and assisted these individuals from becoming homeless upon discharge.

IN 2010 the City benefitted from the County-wide **Homeless Prevention and Rapid Re-Housing (HPRP)** program. Agencies in Lompoc's HPRP's Plan include: the **Lompoc Housing and Community Development Corporation (LHCDC)**; **Good Samaritan Services Recovery Way Home**; **Santa Barbara County Legal Aid (eviction prevention)**; the **Lompoc Unified School District's Homeless Children's Program and Catholic Charities**. Accomplishments under the HPRP in 2010-11 are provided in greater detail in the County's Urban Consortium 2010-11 CAPER.

Santa Barbara County Urban Consortium administers the federal **Continuum of Care** program in Lompoc. In PY 2009 there were two (2) C of C recipients in the Lompoc Valley: **Bridgehouse** (\$49,875) and **Marks House** (\$36,565). Additionally Lompoc's **HomeBase on G** received \$123, 519 in competitive **McKinney-Vento Ace Supportive Housing Program** funds for operations and supportive services for formerly chronically homeless mentally ill persons.

Emergency Shelter Grants (ESG)

1. Identify actions to address emergency shelter and transitional housing needs of homeless individuals and families (including significant subpopulations such as those living on the streets).
2. Assessment of Relationship of ESG Funds to Goals and Objectives
 - a. Evaluate progress made in using ESG funds to address homeless and homeless prevention needs, goals, and specific objectives established in the Consolidated Plan.
 - b. Detail how ESG projects are related to implementation of comprehensive homeless planning strategy, including the number and types of individuals and persons in households served with ESG funds.
3. Matching Resources
 - a. Provide specific sources and amounts of new funding used to meet match as required by 42 USC 11375(a)(1), including cash resources, grants, and staff salaries, as well as in-kind contributions such as the value of a building or lease, donated materials, or volunteer time.
4. State Method of Distribution
 - a. States must describe their method of distribution and how it rated and selected its local government agencies and private nonprofit organizations acting as subrecipients.
5. Activity and Beneficiary Data
 - a. Completion of attached Emergency Shelter Grant Program Performance Chart or other reports showing ESGP expenditures by type of activity. Also describe any problems in collecting, reporting, and evaluating the reliability of this information.
 - b. Homeless Discharge Coordination
 - i. As part of the government developing and implementing a homeless discharge coordination policy, ESG homeless prevention funds may be used to assist very-low income individuals and families at risk of becoming homeless after being released from publicly funded institutions such as health care facilities, foster care or other youth facilities, or corrections institutions or programs.
 - c. Explain how your government is instituting a homeless discharge coordination policy, and how ESG homeless prevention funds are being used in this effort.

CAPER ESG response:

The City of Lompoc does not receive **Emergency Shelter Grant (ESG)** funding. A greater discussion on the use of ESG funding in Santa Barbara County is contained in the 2010-11 Urban Consortium CAPER.

COMMUNITY DEVELOPMENT

Community Development

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

1. Assessment of Relationship of CDBG Funds to Goals and Objectives
 - a. Assess use of CDBG funds in relation to the priorities, needs, goals, and specific objectives in the Consolidated Plan, particularly the highest priority activities.
 - b. Evaluate progress made toward meeting goals for providing affordable housing using CDBG funds, including the number and types of households served.
 - c. Indicate the extent to which CDBG funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.
2. Changes in Program Objectives
 - a. Identify the nature of and the reasons for any changes in program objectives and how the jurisdiction would change its program as a result of its experiences.
3. Assessment of Efforts in Carrying Out Planned Actions
 - a. Indicate how grantee pursued all resources indicated in the Consolidated Plan.
 - b. Indicate how grantee provided certifications of consistency in a fair and impartial manner.
 - c. Indicate how grantee did not hinder Consolidated Plan implementation by action or willful inaction.
4. For Funds Not Used for National Objectives
 - a. Indicate how use of CDBG funds did not meet national objectives.
 - b. Indicate how did not comply with overall benefit certification.
5. Anti-displacement and Relocation – for activities that involve acquisition, rehabilitation or demolition of occupied real property
 - a. Describe steps actually taken to minimize the amount of displacement resulting from the CDBG-assisted activities.
 - b. Describe steps taken to identify households, businesses, farms or nonprofit organizations that occupied properties subject to the Uniform Relocation Act or Section 104(d) of the Housing and Community Development Act of 1974, as amended, and whether or not they were displaced, and the nature of their needs and preferences.
 - c. Describe steps taken to ensure the timely issuance of information notices to displaced households, businesses, farms, or nonprofit organizations.
6. Low/Mod Job Activities – for economic development activities undertaken where jobs were made available but not taken by low- or moderate-income persons
 - a. Describe actions taken by grantee and businesses to ensure first consideration was or will be given to low/mod persons.
 - b. List by job title of all the permanent jobs created/retained and those that were made available to low/mod persons.
 - c. If any of jobs claimed as being available to low/mod persons require special skill, work experience, or education, provide a description of steps being taken or that will be taken to provide such skills, experience, or education.

7. Low/Mod Limited Clientele Activities – for activities not falling within one of the categories of presumed limited clientele low and moderate income benefit
 - a. Describe how the nature, location, or other information demonstrates the activities benefit a limited clientele at least 51% of whom are low- and moderate-income.
8. Program income received
 - a. Detail the amount of program income reported that was returned to each individual revolving fund, e.g., housing rehabilitation, economic development, or other type of revolving fund.
 - b. Detail the amount repaid on each float-funded activity.
 - c. Detail all other loan repayments broken down by the categories of housing rehabilitation, economic development, or other.
 - d. Detail the amount of income received from the sale of property by parcel.
9. Prior period adjustments – where reimbursement was made this reporting period for expenditures (made in previous reporting periods) that have been disallowed, provide the following information:
 - a. The activity name and number as shown in IDIS;
 - b. The program year(s) in which the expenditure(s) for the disallowed activity (ies) was reported;
 - c. The amount returned to line-of-credit or program account; and
 - d. Total amount to be reimbursed and the time period over which the reimbursement is to be made, if the reimbursement is made with multi-year payments.
10. Loans and other receivables
 - a. List the principal balance for each float-funded activity outstanding as of the end of the reporting period and the date(s) by which the funds are expected to be received.
 - b. List the total number of other loans outstanding and the principal balance owed as of the end of the reporting period.
 - c. List separately the total number of outstanding loans that are deferred or forgivable, the principal balance owed as of the end of the reporting period, and the terms of the deferral or forgiveness.
 - d. Detail the total number and amount of loans made with CDBG funds that have gone into default and for which the balance was forgiven or written off during the reporting period.
 - e. Provide a List of the parcels of property owned by the grantee or its subrecipients that have been acquired or improved using CDBG funds and that are available for sale as of the end of the reporting period.
11. Lump sum agreements
 - a. Provide the name of the financial institution.
 - b. Provide the date the funds were deposited.
 - c. Provide the date the use of funds commenced.
 - d. Provide the percentage of funds disbursed within 180 days of deposit in the institution.
12. Housing Rehabilitation – for each type of rehabilitation program for which projects/units were reported as completed during the program year
 - a. Identify the type of program and number of projects/units completed for each program.
 - b. Provide the total CDBG funds involved in the program.
 - c. Detail other public and private funds involved in the project.
13. Neighborhood Revitalization Strategies – for grantees that have HUD-approved neighborhood revitalization strategies
 - a. Describe progress against benchmarks for the program year. For grantees with Federally-designated EZs or ECs that received HUD approval for a neighborhood revitalization strategy, reports that are required as part of the EZ/EC process shall suffice for purposes of reporting progress.

CAPER Community Development response:

An **Assessment of Relationship of CDBG funds to Goals and Objectives** was shown in the tables under Section B. General Questions at the beginning of this document.

In **Evaluating Progress Made Toward Meeting Goals for Providing Affordable Housing Using CDBG funds**, the following affordable projects were assisted using Lompoc CDBG funds in 2010-11:

Prog Year	IDIS Activity	Project Name	Dollars Involved	Action Taken This Year
		Rehab:		
2010	548	Rehab Loan Delivery Cost	\$127,711	Administration of City's Rehab Loan Program including eight (8) loans underway or completed
2010	553	SF Rehab Loan #66	\$43,147	Rehabilitation of house addressed health and safety concerns.
2010	551	SF Rehab Loan #65	\$11,835	Rehabilitation of house addressed health and safety concerns
2010	550	SF Rehab Loan #64	\$13,645	Rehabilitation of house addressed health and safety concerns/ code violations
2010	539	SF Rehab Loan #63	\$50,039	Rehabilitation of house addressed health and safety concerns/ code violations

For details concerning the accomplishment of affordable housing goals using Lompoc HOME funds, please see page 10 of this report. For additional detail on the HOME program in Santa Barbara County, consult the FY 2010-11 Urban County HOME consortium CAPER for additional details. FY 2010-11 was the 1st year in the Urban County Consortium's 2010-15 Consolidated Plan, so accomplishments are consistent with the 2010 Action Plan. The City did not make any **Changes in its Program Objectives**.

In the City's **Assessment of Efforts in Carrying Out Planned Actions**, the City **Pursued All Resources** as shown in the Consolidated Plan. These resources included HOME Consortium funds, Lompoc Human Service funds, Continuum of Care funds, CDBG Program Income, and State HOME Program Income. These resources, in turn, were able to leverage low-income housing tax credits and housing bond financing.

In the past, the City has provided **Certifications of Consistency** to several affordable housing developers, such as the Lompoc Housing and Community Development Corporation (LHCDC) and the Santa Barbara Housing Assistance Corporation and Good Samaritan Services, Inc. for State EHAP and other funding. Staff evaluated each request in a **fair and impartial manner** and provided the certifications, since they were all consistent with Consolidated Plan housing goals. In 2009-10 the Housing Authority of the County of Santa Barbara also requested and received a **Certificate of Consistency** with the City's Consolidated Plan for their draft **2010 PHA Annual Plan** and for their proposed **development of 55 new family units** (Santa Rita Village Apartments) in Lompoc.

As far as the City is aware, there were no intentional ineligible uses of CDBG funds, or other **Uses That Did Not Meet a National Objective**. There were no activities that involved acquisition, rehabilitation or demolition of occupied real property that involved **displacements or relocations**. **No displacements or relocations** occurred during this time period.

Low- / Moderate-Income Job Activities

The City's Economic Development Revolving Loan Program did not generate any new loans. The City continues to receive payments (\$30,741 in 2010) on one (1) existing economic development loan made to a local restaurant. However, the City has supported job creation efforts through the Housing Rehabilitation Loan Program, which indirectly assists job creation among local contractors.

Low-/ Moderate- Income Clientele Activities

For activities involving low- and moderate-income clientele, the City targeted CDBG funds in the following way:

1. Self certification and/or certification of household income via third party documentation (for public services, affordable housing, and economic development); and
2. Public facility improvements (sidewalks and street pedestrian curb cuts, park improvements) are targeted within the low- and moderate-income census tract areas of the City.

A map is included with this CAPER which shows the L/M areas of the City where these activities were located.

Program Income Received in 2010-11

A total of \$180,660 was received as program income in 2010-11. This income from the following sources:

Interest Income	\$1,029
Single & Multi Family Housing Loan Repayments, Fees	\$148,890
Economic Development Loan Repayments	\$30,741

The City had no **Prior Period Adjustments** for any expenditures disallowed.

Loans and other Receivables

The City has no **Float-Funded Activities**.

The City had four (4) CDBG rehab loan **payoffs** in 2010-11, which totaled \$109,977.

There are 46 outstanding **housing rehab loans** with a total principal balance of \$1,391,418. Thirty six (36) of the 46 loans are **deferred until sale or transfer** of title with borrowers 60 years of age or older or deemed disabled by the State.

Three (3) of the 46 outstanding housing rehab loans a **Multi-Unit Housing Rehab Loans** with a combined outstanding balance of \$256,269. The borrowers include: Lompoc Housing and Community Development Corporation (Marks House and the B Street Apartments) and Domestic Violence Solutions – Shelter Services for Women.

There are five (5) CDBG **property acquisition** loans with an outstanding principal balance of \$961,465 (500-504 North T (Voelker); 501-513 North S and 508 North T (Jay); LHDCDC undeveloped land on T & College; Good Samaritan Shelter at 608 W. Ocean Avenue; and LHDCDC's Lompoc Theater loan).

There is one (1) outstanding **economic development loan** with a principal balance of \$309,012 (Saletti's).

There is one (1) **construction loan** with a principal balance of \$169,640 for 328 North K Street.

The City does not have any **Lump Sum Agreements**.

The City's **Housing Rehabilitation** Accomplishments are discussed on page 2 of this CAPER.

The City does not have a **Neighborhood Revitalization Strategy** and was ineligible to receive Neighborhood Stabilization Program (NSP) funds.

Antipoverty Strategy

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

CAPER Antipoverty Strategy response:

The City of Lompoc's anti-poverty strategy is three-fold: 1) to encourage the preservation and expansion of the affordable housing stock in order to reduce housing costs for very-low income households, 2) to increase the capacity of very-low income persons by improving skills and training, and 3) to support efforts of the local private sector to locate new, and expand existing businesses, with the aim of increasing overall local employment and the wage levels of employees.

Under Strategy #1, the City provided **Code Enforcement** services in the low- and moderate-income areas of the City to improve the housing stock. By encouraging property owners and homeowners to improve their housing, the City encourages this effort through the use of the City's CDBG **Housing Rehabilitation Loan Program**. This program provides loan funds to homeowners, who can hire local contractors, which provides an **Economic Stimulus** to the local economy and employment opportunities for contractors and tradespersons (such as plumbers, electricians, etc)

Under Strategy #2, this past year the City provided **CDBG Public Service** funding and other financial resources to, a number of community groups, such as the Boys and Girls Club, the YMCA after school child care program, the Family Service Agency Helpline, etc. which provide 'before and after' school childcare services to families, **facilitating parents' ability to work**, study and encourage personal development.

Under Strategy #3, the City administered the **CDBG Economic Development Revolving Loan Fund**, which provides gap loan assistance to employers who are either starting a new business, or expanding an existing business and can demonstrate their action will create new jobs for low income workers. Although no new loans were issued, the City administered one (1) existing economic development loan, which to date has created 13 new jobs, 11 of which were made available to low-income persons. The City was involved in two (2) **public facility construction projects** in 2010-11. **Design, engineering, and a Request For Bids** were complete for the Lompoc Library HVAC Project and construction began on the Dick DeWees Senior Community Center. These projects are **creating jobs** for local workers and providing an **economic stimulus** to local contractors and suppliers.

NON-HOMELESS SPECIAL NEEDS

Non-homeless Special Needs

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

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

CAPER Non-homeless Special Needs response:

In FY 2010-11, the City addressed the needs of persons that are not homeless but require supportive housing, by supporting the following programs with CDBG program income:

- Good Samaritan Recovery Way Home - \$5,400

Through Lompoc CDBG Urban Consortium funds (\$3,400) the City assisted Transitions' Lompoc Drop-In Center for persons with mental disabilities and \$15,500 to Domestic Violence Solutions for housing for women and children fleeing domestic violence situations. HomeBase on G, a 39-unit Single Room Occupancy SRO development which targets individuals with mental disabilities and very low income small-households received previous HOME assistance. Other affordable housing in the community for special needs individuals is provided by the Lompoc Housing and Community Development Corporation, the Housing Authority of the County of Santa Barbara, and Good Samaritans Recovery Way Home, among other special needs housing providers.

Specific HOPWA Objectives

1. Overall Assessment of Relationship of HOPWA Funds to Goals and Objectives
Grantees should demonstrate through the CAPER and related IDIS reports the progress they are making at accomplishing identified goals and objectives with HOPWA funding. Grantees should demonstrate:
 - a. That progress is being made toward meeting the HOPWA goal for providing affordable housing using HOPWA funds and other resources for persons with HIV/AIDS and their families through a comprehensive community plan;
 - b. That community-wide HIV/AIDS housing strategies are meeting HUD's national goal of increasing the availability of decent, safe, and affordable housing for low-income persons living with HIV/AIDS;
 - c. That community partnerships between State and local governments and community-based non-profits are creating models and innovative strategies to serve the housing and related supportive service needs of persons living with HIV/AIDS and their families;
 - d. That through community-wide strategies Federal, State, local, and other resources are matched with HOPWA funding to create comprehensive housing strategies;
 - e. That community strategies produce and support actual units of housing for persons living with HIV/AIDS; and finally,
 - f. That community strategies identify and supply related supportive services in conjunction with housing to ensure the needs of persons living with HIV/AIDS and their families are met.
2. This should be accomplished by providing an executive summary (1-5 pages) that includes:
 - a. Grantee Narrative
 - i. Grantee and Community Overview
 - (1) A brief description of your organization, the area of service, the name of each project sponsor and a broad overview of the range/type of housing activities and related services
 - (2) How grant management oversight of project sponsor activities is conducted and how project sponsors are selected
 - (3) A description of the local jurisdiction, its need, and the estimated number of persons living with HIV/AIDS
 - (4) A brief description of the planning and public consultations involved in the use of HOPWA funds including reference to any appropriate planning document or advisory body
 - (5) What other resources were used in conjunction with HOPWA funded activities, including cash resources and in-kind contributions, such as the value of services or materials provided by volunteers or by other individuals or organizations
 - (6) Collaborative efforts with related programs including coordination and planning with clients, advocates, Ryan White CARE Act planning bodies, AIDS Drug Assistance

Programs, homeless assistance programs, or other efforts that assist persons living with HIV/AIDS and their families.

- ii. Project Accomplishment Overview
 - (1) A brief summary of all housing activities broken down by three types: emergency or short-term rent, mortgage or utility payments to prevent homelessness; rental assistance; facility based housing, including development cost, operating cost for those facilities and community residences
 - (2) The number of units of housing which have been created through acquisition, rehabilitation, or new construction since 1993 with any HOPWA funds
 - (3) A brief description of any unique supportive service or other service delivery models or efforts
 - (4) Any other accomplishments recognized in your community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.
- iii. Barriers or Trends Overview
 - (1) Describe any barriers encountered, actions in response to barriers, and recommendations for program improvement
 - (2) Trends you expect your community to face in meeting the needs of persons with HIV/AIDS, and
 - (3) Any other information you feel may be important as you look at providing services to persons with HIV/AIDS in the next 5-10 years
- b. Accomplishment Data
 - i. Completion of CAPER Performance Chart 1 of Actual Performance in the provision of housing (Table II-1 to be submitted with CAPER).
 - ii. Completion of CAPER Performance Chart 2 of Comparison to Planned Housing Actions (Table II-2 to be submitted with CAPER).

CAPER Specific HOPWA Objectives response:

The City of Lompoc does not receive **HOPWA** funding. In 2009-10 the County of Santa Barbara received \$168,709 in HOPWA grant funds which were distributed to three (3) Santa Barbara-based programs- Sarah House, Casa Esperanza HOPWA Street Outreach Program, and the Pacific Pride Foundation.

OTHER NARRATIVE

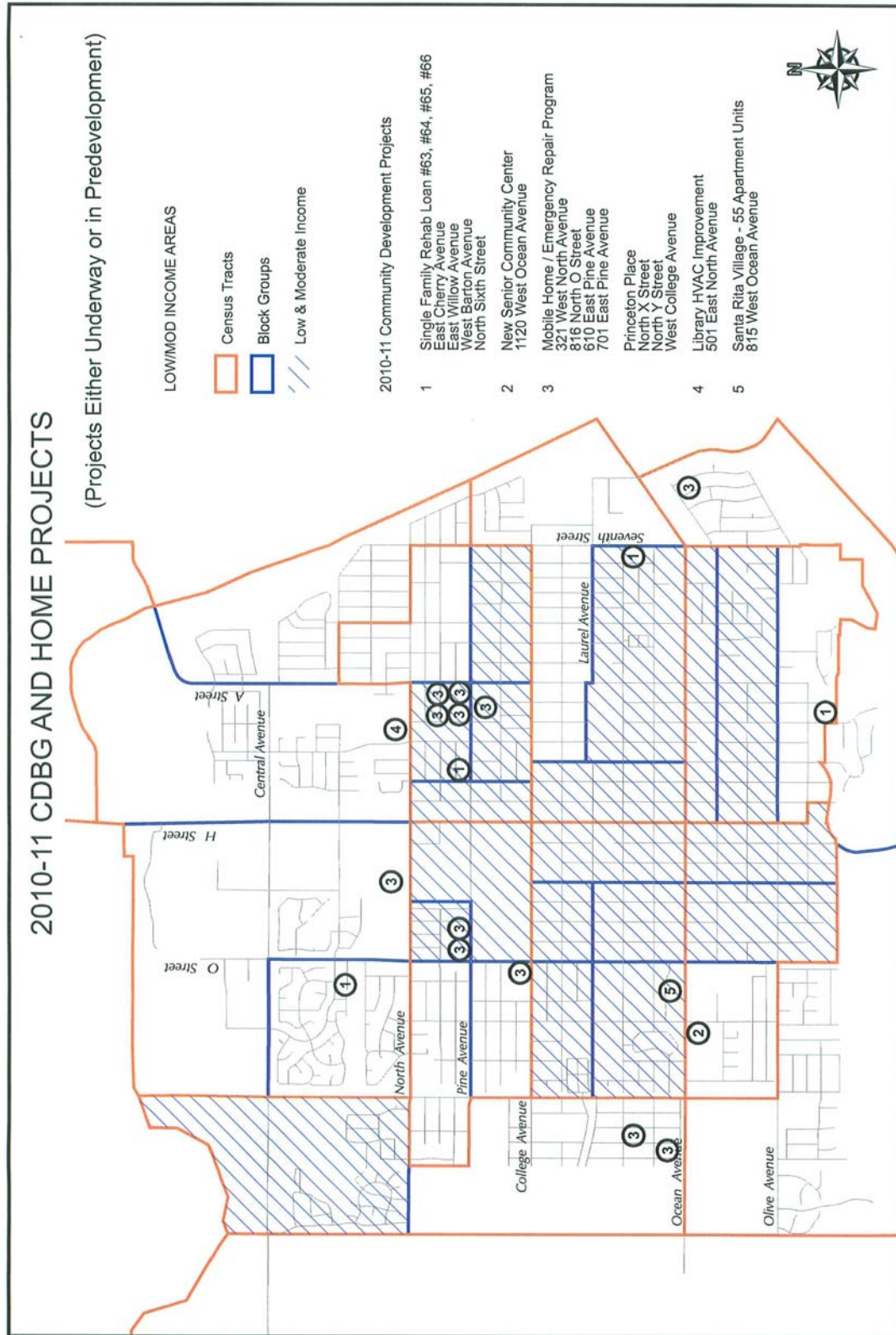
Include any CAPER information that was not covered by narratives in any other section.

CAPER Other Narrative response:

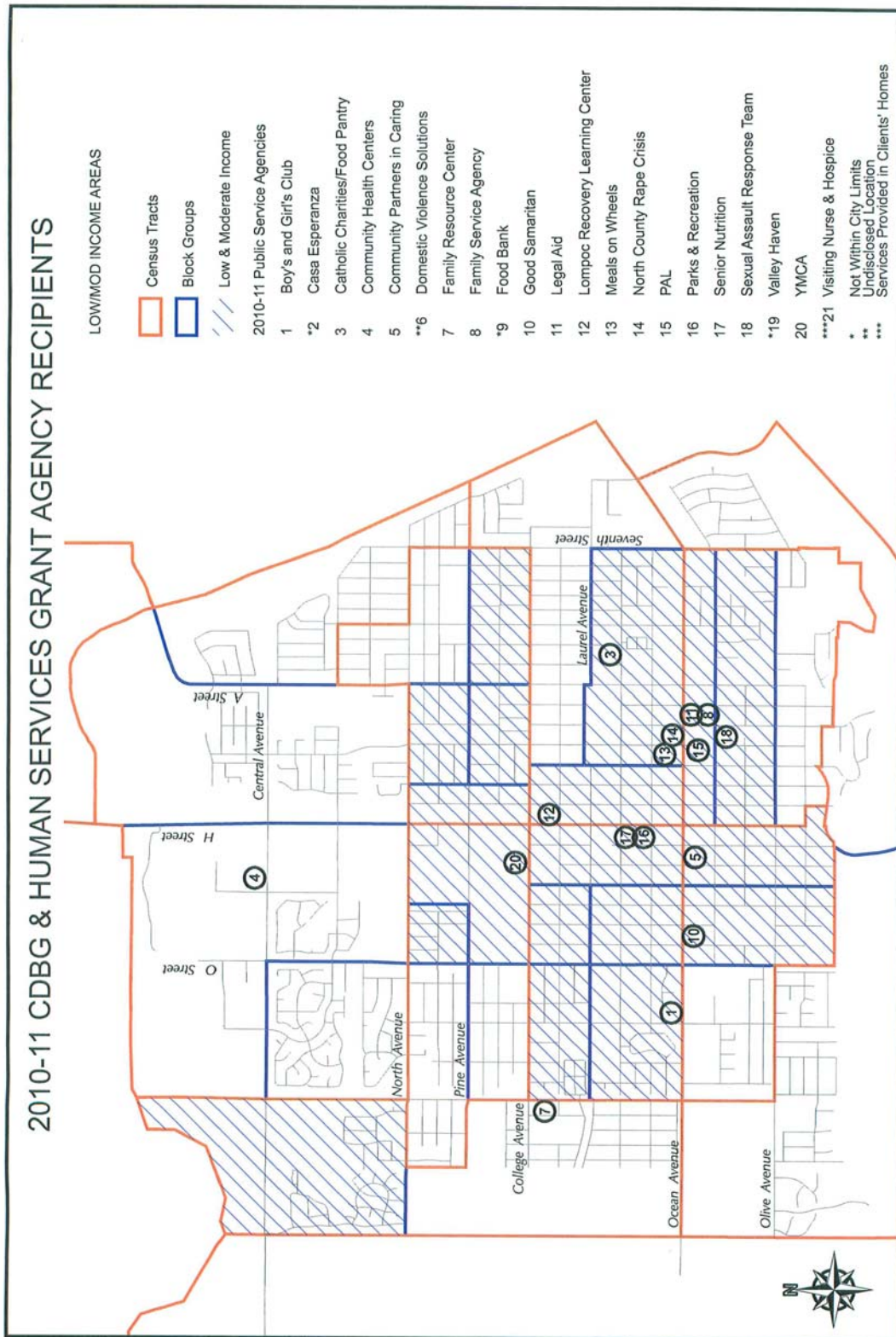
The Santa Barbara County Urban Consortium 2010-11 CAPER provides additional **other narratives** and information on the use of Lompoc CDBG funds during that time period.

All CDBG activities benefitted low- and moderate-income persons and households because of their **location** in a CDBG qualifying census tract or because the **household qualified** as low-income or where a 'presumed beneficiary'. The following maps show the low-income areas of Lompoc and activities carried out, such as Housing Rehabilitation, Public Facilities, Public Service Agency locations, and Code Enforcement activity in the low- and moderate-income census tract areas.

Map 1 – 2010-11 CDBG and HOME Projects



Map 2 – 2010-11 CDBG / Human Services Grant Agency Recipients



Public Participation Notice

**PUBLIC NOTICE
PUBLIC HEARING**

NOTICE IS HEREBY GIVEN that the City of Lompoc has prepared a draft copy of the 2010-11 Consolidated Annual Performance and Evaluation Report (CAPER) on activities funded with federal Community Development Block Grant (CDBG) funds between July 1, 2010 through June 30, 2011. The CAPER details achievements made using CDBG and federal HOME funds towards affordable housing and community development goals established in existing approved Consolidated Plan documents. The City is making the draft plan available for public comment and review for a 15-day public comment period, beginning September 9 and ending September 23, 2011.

Copies of this report are available for review at the Community Development Block Grant Program Office located at the Lompoc City Hall at 100 Civic Center Plaza and the Public Library at 501 East North Avenue, Lompoc. All interested parties are invited to submit their written comments to: CDBG Program, City of Lompoc, 100 Civic Center Plaza, Lompoc, CA 93436, Fax: (805) 736-5347, attention: Dinah Perez Lockhart, Community Development Program Manager, or email at d_lockhart@ci.lompoc.ca.us.

City Council will review the CAPER at a public hearing during its regularly scheduled meeting of September 20, 2011 at 7:00 pm in City Council Chambers, 100 Civic Center Plaza, Lompoc, California. For more information on the CAPER or on any of the City's federal CDBG or HOME programs, please call (805) 875-8245. The CAPER will be available on the City's web site at <http://www.cityoflompoc.com>.

Si desea esta información en español, favor de llamar al teléfono (805) 875-8245.

Summary of Citizen Comments

Citizen Comments were received by September 20, 2011.

Local 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 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.

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

1. 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;
2. 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
3. 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.

Signature/Authorized Official
Laurel Barcelona, City Administrator

Date

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:

1. **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);
2. **Overall Benefit.** The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 2010, 2011, 2012 (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;
3. **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:

1. 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
2. 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;

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.

Signature/Authorized Official
Laurel Barcelona, City Administrator

Date

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. 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.

B. 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. For grantees other than individuals, Alternate I applies. (This is the information to which jurisdictions certify).
4. For grantees who are individuals, Alternate II applies. (Not applicable jurisdictions.)
5. 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.
6. 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).
7. 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 five).
8. 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)

City of Lompoc
100 Civic Center Plaza
Lompoc, CA 93438-8001

Santa Barbara County

Check ____ if there are workplaces on file that are not identified here; the certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F.

9. 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 controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) 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).

Annual Report on Fair Housing Education, Testing, and Resolution

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