

# **City of Lompoc**

# **CAPER**

## **Consolidated Annual Performance and Evaluation Report**

**Fiscal Year 2013-14  
(July 1, 2013-June 30, 2014)**



Council Agenda Public Hearing: September 2, 2014





## 2013-14 City of Lompoc CAPER Table of Contents

Executive Summary .....	2
General Questions.....	4
Managing the Process .....	8
Citizen Participation.....	9
Institutional Structure .....	9
Monitoring.....	10
Lead-based Paint .....	14
Housing Needs .....	14
Specific Housing Objectives .....	15
Public Housing Strategy.....	17
HOME/American Dream Down Payment Initiative (ADDI) .....	18
Homeless Needs .....	19
Specific Homeless Prevention Elements .....	19
Emergency Shelter Grants (ESG).....	19
Community Development .....	21
Antipoverty Strategy .....	28
Non-homeless Special Needs .....	29
Specific HOPWA Objectives.....	30

### INSERTS:

- 1) IDIS CDBG Summary of accomplishments PY 2012
- 2) IDIS PR06 Summary of Consolidated Plan Projects for Report Year
- 3) IDIS PR26 CDBG Financial Summary Report PY 2012
- 4) IDIS PR01 HUD Grants and Program Income
- 5) IDIS CDBG Activity Summary Report (GPR) for PY 2013
- 6) Legal Aid Foundation 2013-14 Annual Fair Housing Report



Program Year 2013  
 CAPER  
 FY 2013-14

**Executive Summary**

Lompoc’s Consolidated Annual Performance and Evaluation Report (CAPER) summarizes accomplishments made using Federal Community Development Block Grant (CDBG) funds during Program Year 2013, which covers the period of July 1, 2013, through June 30, 2014.

The United States Department of Housing and Urban Development (HUD) awards federal grant funding annually to participating jurisdictions and entitlement communities under a variety of programs.

The City of Lompoc received funding through the following programs:

- Santa Barbara County CDBG Urban County Partnership
- Santa Barbara County HOME Consortium
- City of Lompoc CDBG Program Income (Revolving Residential Loan Program Income)
- City of Lompoc Human Services Program (Local Community Donations)

The County serves as the lead agency in two funding partnerships – County of Santa Barbara HOME Consortium and Urban County Partnership and prepares and submits the required CAPER on behalf of the partner cities, which includes the City of Lompoc. Detailed below are all members of those two partnerships:

<b>Funding Partnerships</b>	
<b>Santa Barbara County HOME Consortium:</b>	<b>Santa Barbara County CDBG Urban County Partnership:</b>
County of Santa Barbara	County of Santa Barbara
City of Buellton	City of Buellton
City of Carpinteria	City of Carpinteria
City of Goleta	City of Lompoc
City of Lompoc	City of Solvang
City of Santa Maria	
City of Solvang	

---

The County of Santa Barbara has been the lead agency of the HOME Consortium since 1997. In 2007, the City of Lompoc, along with the cities of Buellton, Carpinteria and Solvang, partnered with the County of Santa Barbara to qualify as an Urban County under the CDBG annual funding.

While the County of Santa Barbara is required to report on those activities funded with CDBG Urban County Partnership funds, the City of Lompoc will highlight the accomplishments of that funding in this CAPER as well.

The following are a few highlights of 2013-14 activities:

- The City Council, through recommendations from the Human Services Commission, allocated the following funding:
  - \$55,000 in Human Services Donation Funds;
  - \$58,246 in FY 2012-2013 CDBG Urban Consortium Funds; and
  - \$23,754 in CDBG Program Income;
  - An additional \$165 in prior year CDBG Program Income was also added to the allocation; and
  - \$137,165 total funds were allocated to assist 17 human services programs.
- Program staff assisted the City's housing activities by providing housing rehabilitation loan counseling, loan processing and servicing, inspections, lead-based paint inspections and remediation work, as needed. The City's total CDBG loan portfolio consists of 37 loans, with a cumulative principal balance totaling \$1,680,971. Throughout the 2013 program year, staff promoted the Housing Rehabilitation Loan Program and directly assisted 33 interested households. Of those 33 interested households, four completed applications, and one was approved and funded.
- Investigation and follow-up of 361 new Code Enforcement cases in the Low- and Moderate-Income (LMI) census tract areas, and the closing and resolution of 331 cases.
- Annual monitoring of 17 human services activities was conducted and technical assistance was provided to ensure compliance with CDBG program regulations.
- While no new Economic Development loans were made, staff worked with many business prospects and provided loan applications and referrals to the Small Business Development Center. Staff also worked

to: promote business development in partnership with the City's 23-member Economic Development Committee; implement the City's Economic Development Strategic Plan; provide public outreach; and actively seek out and participate in regional partnership opportunities.

Financial Summary

The following CDBG Program Income Funds (Fund 43) were available for use during the reporting period:

**Table I-1 Financial Summary**

Unexpended CDBG Program Income Funds as of 6/30/2013	\$ 1,183,892.07
***Program Income Earned in FY 2013-14	\$ 439,510.44
***CDBG Program Income Funds Available 7/1/2013-6/30/2014	\$ 1,623,402.51
***FY 2013-14 Program Income Fund Expenditures	\$ 776,501.48
<b>***Unexpended Balance as of 6/30/2014</b>	<b>\$ 846,901.03</b>

\*\*\*Estimated unaudited amounts. Fiscal year end reconciliation not complete at time of CAPER submission.

One hundred percent (100%) of Lompoc's project expenditures (excluding administrative expenses) benefited LMI 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 and Objectives**

The City’s FY 2013-14 CDBG Program addressed several Community Objectives identified in the Urban Consortium Strategic Plan to provide decent affordable housing. The following tables contain the accomplishments of the CDBG Program for Program Year 2013:

2013-14 City of Lompoc CDBG Housing Accomplishments Table I-2							
Decent, Affordable Housing: Provide decent, affordable housing for the community's lowest income households, including households with special needs.							
Project	Strategic Plan Specific Objective	Priority Need	5 Year Goal	2013 CDBG Funds Expended	Accomplishment		Outcome Statement
					Annual	5 Year	
Housing Rehabilitation Loan Program • IDIS # 577	Provide low cost loans to low-income homeowners for repairs to their homes.	High	20 Units	\$25,000	1 Unit	1 Unit	Sustainability and accessibility for the purpose of creating decent affordable housing
Housing Rehabilitation Loan Program Delivery Costs • IDIS # 579	Assist housing activities by providing housing rehabilitation loan counseling, preparation of loan documents for homeowners, loan processing, inspections, ordering of lead-based paint inspections and remediation work, as needed.	High	20 New Loans	\$125,643	Initiated 4 new loans 1 Loan approved 1 Unit	1 New Loan	Sustainability and accessibility for the purpose of creating decent affordable housing
Multi-Family Rehabilitation Marks House Rehabilitation • IDIS # 576	Rehabilitate Marks House Family Transitional Shelter (lead-based paint remediation and repairs)	High	6 Units	\$39,130	6 Unit	6 Unit	Sustainability and accessibility for the purpose of creating decent affordable housing

2013-14 City of Lompoc CDBG Public Service and Public Facility Accomplishments Table I-3

Suitable Living Environment: Improve the living environmental / quality of life in low-income neighborhoods.							
Project	Strategic Plan Specific Objective	Priority Need	5 Year Goal	2013 CDBG Funds Expended	Accomplishments		Outcome Statement
					Annual	5 Year	
Legal Aid Foundation Fair Housing • IDIS # 554	Promote and provide services that prevent discrimination and eliminate barriers to housing.	High	275 Persons	\$5,775	128 Persons	640 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Legal Aid Foundation Emergency Legal Services • IDIS # 585	Support public service programs for low-income households, including programs for housing and other community development needs.	High	750 Persons	\$9,000	97 Persons	485 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Family Service Agency Family Resource Center • IDIS # 581	Support public service programs for low-income households, including programs for housing and other community development needs.	High	400 Persons	\$4,600	65 Persons assisted with services and training	325 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Family Service Agency Big Brothers & Big Sisters • IDIS # 580	Support public service programs for low-income households, including programs for housing and other community development needs.	High	225 Persons	\$1,000	45 Children were served	225 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Foodbank of Santa Barbara County Lompoc Food Distribution • IDIS # 586	Support public service programs for low- and moderate-income households including programs for housing and other community development needs.	High	25,662 Persons	\$4,600	6,065 Persons	24,260 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Valley Haven Adult Day Program • IDIS # 584	Support public service programs for low-income seniors including programs for housing and other community development needs.	High	350 Persons	\$1,500 (\$1,000 Human Services Fund \$500 CDBG)	70 Persons	350 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
North County Rape Crisis Lompoc Shelter • IDIS # 583	Support public service programs for low-income households, including programs for housing and other community development needs.	High	12,355 Persons	\$11,290 (\$60 CDBG \$11,230 UCP CDBG)	3,000 Persons	15,000 Persons	Availability/Accessibility for the purpose of creating suitable living environments.
Lompoc Public Library Roofing Project • IDIS # 565	Provide assistance to low-income neighborhoods by funding critical community facilities.	High	1 Facility	\$546,993.68	1 Facility	1 Facility	Availability/Accessibility for the purpose of creating suitable living environments.

---

The previous tables summarize the annual accomplishments during the past year, in addition to the five-year goals.

While no new Economic Development loans were made, staff worked with many business prospects and provided loan applications and referrals to the Small Business Development Center. Staff also worked to: promote business development in partnership with the City's 23-member Economic Development Committee; implement the City's Economic Development Strategic Plan; provide public outreach; and actively seek out and participate in regional partnership opportunities.

Additionally, in order to address the rehabilitation needs of the City's aging housing stock, the CDBG Program continues to provide CDBG loan funds as available to qualified applicants through the Single-Family Rehabilitation Loan Program.

In order to identify and address the life, safety and livability standards for those homes most in need of rehabilitation, which are located in the City's Low- and Moderate-Income (LMI) areas, the City continued to support its Code Enforcement in FY 2013-14, with an allocation of \$118,715 in CDBG funding through the Urban County Partnership.

### **Affirmatively Furthering 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. In addition to the annual contract amount, the City funded \$9,000 in CDBG prior year program income to the Legal Aid Foundation. The Legal Aid Foundation's 2013-14 Annual Report on Fair Housing Education, Testing and Resolution is attached to this CAPER.

### **Other Actions Which Address Underserved Needs**

In FY 2013-14, the City carried out the following activities, which addressed Underserved Needs:

1. Worked with HUD, the Housing Authority of the County of Santa Barbara, Good Samaritan Services, Inc., and People's Self Help Housing and is always willing to work with any additional organizations that demonstrate capacity;
2. Provided staffing and organizational support to the City's five-member Human Services Commission, which meets the first Monday of each month. In FY 2013-14, the Human Services Commission recommended, and the City Council approved, the allocation of \$42,994 in Lompoc Human Services Funds;
3. Continued to work with Good Samaritan Shelter, Inc., shelter service provider for the Marks House Homeless Family Shelter, to improve the condition of the facilities through renovation activities, completed lead-based paint abatement



---

work and entered into a three-year Memorandum of Understanding with such agency to continue operation of the Marks House.

## **Leveraging Resources**

For every project where the City provided CDBG or other public funding, the City was able to leverage those resources with other private funds and donations. A leverage chart (Table VI-7) is attached to this CAPER.

## **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 City Council meetings to discuss the CDBG budget, public service allocations, compliance and annual accomplishments under the CDBG program;
- Ensured public participation with one public hearing this past year;
- Enabled community participation of grant allocation;
- Enabled grantee monitoring provided by the City's five-member Human Services Commission;
- Prepared Environmental Review Records (ERR) for each project listed on page 5, performed noticing and preparation 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 Department, HUD's Los Angeles office and other governmental offices; and
- 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 all Citizen Comments and Responses received will be included as additional files within the CPMP Tool.

CAPER Citizen Participation response:

The availability of the 2013-14 CAPER for public comment and review was publicly noticed in the Lompoc Record on August 8, 2014. The 15-day public review period began on August 11, 2014, and concluded on August 26, 2014. The City held a publicly-noticed City Council meeting on September 2, 2014 to review the CAPER. No public comments were received.

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 the 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 collaboration through joint participation in the Santa Barbara County HOME Consortium and Urban County Partnership.
- The City works 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.

- 
- The City has provided a total of \$1,635,000 in Lompoc Affordable Housing Trust Fund (LAHTF) assistance; \$686,662 in federal HOME funds, which is included in the County's federal HOME commitment of \$1,578,133 to the Housing Authority's Santa Rita Village Apartments Project; and additional Redevelopment funding of \$1,000,000 in Redevelopment housing funds and \$100,000 in Redevelopment CalHFA Help loan funds dispersed to the project. In 2014, the City also prepared letters of support for the project to be awarded Low Income Housing Tax Credit Allocation (LIHTC) by the California Tax Allocation Committee (CTAC). Phase One completed 36 units in December 2012, and the remaining 19 units were completed during the reporting period. The development consists of one-, two-, three-, and four-bedroom affordable rental housing units, which will assist varied-sized households, including large low-income families.
  - In FY 2013-14, the City Council allocated \$42,994 in Human Services Donation Funds, \$2,000 in Human Services Fund Reserves, \$58,246 in FY 2013-14 CDBG Urban Consortium funds, and \$19,760 in CDBG program income, for a total of \$123,000 to assist 17 social service programs. This assistance enables such human service agencies the additional financial assistance to fill the gap between their various funding sources and continue to serve the Lompoc community. The CDBG Program provides staffing support to the Human Services Commission, which meets the first Monday of the month at City Hall.
  - The City received a report from Urban Futures, Inc., which provided a loan and monitoring compliance audit of Lompoc Housing Community Development Corporation (LHCDC) projects with City funding and findings from this audit were used in the development of a City policy that Council directed staff to develop to help minimize the risks associated with City funding in projects. The Monitoring Policy was approved by City Council on May 6, 2014.

## **Monitoring**

Describe how and the frequency with which you monitored your activities.

1. Describe the results of your monitoring including any improvements.
2. 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:

- CDBG-funded public service agencies were visited during the reporting period for prior year funding. The HUD-approved monitoring checklist was used for both "program" and "fiscal" monitoring purposes. Follow-up letters were written to the agencies visited and included a summary of observations and results of the City's monitoring. All agencies funded were visited.
- Annually, all agencies requesting funding are scheduled for a formal interview at City Hall regarding their program and are monitored throughout the fiscal year through the agency's submittal of the required Request for Payments, with documentation and Accomplishment Data Forms.
- The County Consortium is the lead agency for City CDBG and HOME programs and has engaged the services of Urban Futures, Inc. to provide affordable housing monitoring services. The City of Lompoc conducted a comprehensive affordable housing monitoring inspection for 2013 of 23 affordable housing sites. The visit consisted of a physical inspection (HQS), as well as tenant files and program review.
- The City reported to HUD, on the Semi-Annual Labor Standards Enforcement Report – Local Contracting Agencies (HUD Form 4710) for the period April 1, 2013, to September 30, 2013, five contracting activities "Library Reroofing Construction," "Library Reroofing Inspection" and three projects for the "Lompoc Civic Auditorium." The City also reported to HUD, on Semi-Annual Labor Standards Enforcement Report – Local Contracting Agencies (HUD Form 4710) for the period October 1, 2013, to March 31, 2014, two contracting activities "Marks House Rehabilitation" and "Marks House Lead-Based Paint Abatement."
- As part of the Marks House Rehabilitation Project, the City monitored compliance with Davis Bacon prevailing wage, Section 3, Affirmative Action, Minority and Women Businesses Enterprise regulations, and other federal regulations. Staff ensured federal regulatory language was included in all bid documents and construction contracts, with prime- and sub-contractors.

- 
- The City's consultant, Urban Futures, Inc., provided a loan and monitoring compliance audit on City-funded LHCDL projects. The results of the audit were used to assist the City in development of the City's Monitoring Policy, which was approved by City Council on May 6, 2014.
  - Upon accepting the title to the Marks House Homeless Shelter from LHCDL, the City did an inspection of the facility and a lead-based paint test was conducted. The test concluded the house was habitable and lead-based paint should be abated on the exterior of the Marks House. FY 2013-14 CDBG funding was used for a portion of the abatement and re-painting of the Marks House. Additional information on the City's participation of the Marks House Lead Abatement Project can be found in the County of Santa Barbara's 2013-14 CAPER.

### **Self Evaluation**

Improvements to public infrastructure, such as public facilities ADA improvements, housing rehabilitation revolving loans, and Code Enforcement efforts in the low- and moderate-income census tracts to address health and safety and habitability issues in Lompoc's neighborhoods, have helped to move Lompoc closer to its vision of a healthier community. The City's various CDBG programs have helped to address such community issues as lack of services, homelessness, affordable housing, neighborhood deterioration, and architectural barriers for persons with disabilities. While much still remains to be done, the results obtained from CDBG-funded efforts are evident throughout the community, such as those discussed in the CAPER.

This CAPER also discusses how the City has provided and facilitated decent housing and a suitable living environment and expanded economic opportunity for low- and moderate-income persons. Those activities are summarized in the tables on pages 5 and 6. Although the City did not issue any new economic development loans, the City has created economic opportunities assisting local businesses that created jobs.

Indicate activities falling behind schedule:

The Marks House lead-based paint abatement activity did fall behind schedule during the program year due to the need to re-bid. The project was completed during the program year. Additional information on the City's Urban Partnership participation on the Marks House Lead-Based Paint Abatement Project can be found in the County of Santa Barbara's 2013-14 CAPER.

Parks' Restroom ADA Improvements Project, which received \$37,800 in initial funding, had fallen behind schedule in FY 2011-12. The project was completed February 2013. Additionally, the Council approved \$20,000 in CDBG funding on July 17, 2012, for additional Park Restroom ADA Improvements that were completed in July 2014.

---

Resources have been re-prioritized, as needed, to meet emergent needs, such as the reprogramming of funds dedicated to the Public Library Capital Improvements Flooring Project to the Library Re-roofing Project, which was approved by City Council in FY 2012-13. Bids closed for the re-roofing project on June 4, 2013. Five consulting contracts were awarded for the purpose of: design work, asbestos surveying, asbestos abatement monitoring, roof construction, and management oversight, totaling \$555,853. With full funding for this project available, work began the week of August 19, 2013, with a completion date estimated by the end of October 2014.

As reported in the FY 2011-12 CAPER, the budget for the Charlotte's Web Children's Library Project has had numerous funding challenges. In July 2012, an alternative to a permanent building was discussed by the City Library Board of Trustees consisting of a book mobile. On November 29, 2012, City Council voted to move forward with staff's recommendation to purchase a book mobile. The site improvements are scheduled to begin during fiscal year 2014-15.

City Council had directed staff to work with HUD to repay the \$140,322 loan made to LHDCDC, because LHDCDC did not complete the project at College and T Street, according to the timeline set. By agreement with HUD, an initial payment of \$35,322 was submitted on May 11, 2012. A second payment was made on June 25, 2013, in the amount of \$35,000. A third payment in the amount of \$35,000 was made on June 20, 2014. A final payment of \$35,000 will be set-aside, unless HUD acknowledges, in writing, that the remaining funds are to be returned to the City's CDBG account for future project use. City staff has resent the letter requesting direction with regards to this required repayment and will continue to follow-up to resolve this. Without affirmative direction from HUD on an alternate action prior to June 30, 2015, the remaining \$35,000 will be repaid by June 30, 2015.

Barriers that have had a negative impact on fulfilling the strategies and overall vision include a lack of 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. Yet, in spite of the challenges, the City of Lompoc's CDBG Program has achieved the positive results discussed in this report. The housing market fluctuation over the past years has made it difficult to find eligible borrowers for the Single Family Rehabilitation Loan Program. The program offers a 90% loan to value guideline and many of the applicants cannot meet that requirement, as many owe more than the value of their home. Staff is reevaluating the loan program to make it accessible to more borrowers.

The City is committed to working closely with all community partners, the State, the County, other local jurisdictions, the business, educational, and faith-based communities, the Vandenberg Air Force Base community, and other relevant partners in developing local and regional solutions to community development issues.

---

In this fiscal year, the City hired a Community Development Program Manager responsible for the management of a variety of grant programs, including CDBG and HOME. City Council and administration continue to make economic development the City's top priority and have implemented steps from the guidance provided in the California Association for Local Economic Development (CALED) Professional Advisory Service and the Economic Development Committee's Strategic Plan, in order to improve economic opportunities for Lompoc businesses and residents, including LMI 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:

Lead-based paint abatement work was completed on the Marks House Homeless Family Shelter during the reporting period. Additional information on the City's Urban County participation on the Marks House Lead Abatement Project can be found in the County of Santa Barbara's 2013-14 CAPER.

### **Housing Needs**

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. Table II-4 provides an overview of affordable housing activity undertaken by the Lompoc CDBG Program this past year:



## Housing Needs Response Table II-4

Project Name	Action Taken	Accomplishments
<p>Marks House 203 North N Street Lompoc, CA 93436</p> <p>19-Bed Transitional Housing for Homeless Families for up to 24 months. Families receive case management services that support their transition out of homelessness.</p>	<p>The City has provided Good Samaritan Shelter, Inc. (as the shelter services provider), for the Marks House, \$20,000 in CDBG funding to Good Samaritan for operating costs.</p> <p>The City worked in partnership with the City's Parks and Recreation Divisions, Good Samaritan Shelter, Inc., and various community service agencies to clear the shelter property of debris and other safety hazards to ensure decent, safe and sanitary housing to all its residents.</p> <p>City of Lompoc provided a total of \$89,130 in CDBG funding (\$39,130 City of Lompoc CDBG and \$50,000 Urban County Partnership CDBG) to assist in the completion of Lead-Based Paint work at the Marks House.</p>	<p>Provided transitional housing for 45 clients during the fiscal year.</p> <p>Provided 5,240 bed-nights during the fiscal year.</p> <p>38% of clients participating in the program moved into permanent housing during the fiscal year.</p> <p>100% of clients received on-site case management services to assist with job search, education, parenting and other life skills necessary to move on to self-sufficiency.</p>
<p>Santa Rita Village Family Apartments, 55- affordable units development by the Housing Authority of Santa Barbara County (HASBC)</p>	<p>Phase I of the project completed and the project is fully occupied.</p>	<p>The City provided federal HOME, Lompoc Affordable Housing Trust Fund, and RDA funding to assist in project development. Phase I of 36 one- (1), two- (2), three- (3), and four- (4) bedroom rental units, with the remaining 19 units projected to be completed in Phase II at a future date.</p>
<p>Catholic Charities MERG/ERG Program</p> <p>Mobile Home Emergency Repair Grants for seniors and other low-income households facilitating emergency repairs to their properties.</p>	<p>FY 2013-14 CDBG funds in the amount of \$33,254 were expended to provide grants to 10 low-income households for emergency repairs to their properties.</p>	<p>Ten Grants were provided to 10 persons during the fiscal year; safeguarding against imminent danger to human life health, safety, and to protect the properties from further structural damage due to natural disaster, fire, or structural collapse.</p>

## Specific Housing Objectives

1. Evaluate progress in meeting specific objectives 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 CDBG staff assisted the City’s housing activities by providing housing rehabilitation loan counseling, preparation of loan documents for homeowners, loan processing, inspections, ordering of lead-based paint inspections and remediation work as needed, for the Single-Family Rehabilitation Revolving Loan Fund Program.

The total loan portfolio of the City’s CDBG Program consists of 37 loans, with a cumulative principal balance totaling \$1,680,971. Throughout the 2013-14 program year, staff promoted the program and directly assisted 33 interested households with the application process, unfortunately due to the market fluctuation most applicants exceeded the 90% loan-to-value ratio requirement, and only one qualified for the loan.

The City’s CDBG staff began 2013 monitoring of affordable housing projects currently under regulatory agreements with the City. Monitoring will continue through the end of the 2013-14 fiscal year and should all be completed by August 2014. Twenty-three affordable housing projects will be visited during this annual monitoring. Three hundred eighty-four affordable housing units under affordability agreement with the City will be monitored for program compliance and physical inspections will be conducted on a spot-check basis for a total of 59 units inspected (a minimum of three units at each project).

#### Assessment of Housing Goals

##### “Worst case housing needs”

“Worst case housing needs” was met on a recent CDBG-funded Code Enforcement complaint. The City was contacted by a rental tenant who complained of sub-standard living conditions. During the site visit, numerous violations were found that needed immediate attention: excessive hazardous mold, poor or no drainage from the sinks and toilet, and water leaking from the upstairs unit. Through the efforts of the Senior Code Enforcement Officer and the City’s Building Inspector, the violations were corrected and the unit was made habitable.

The City supported and provided financial assistance to the following shelter programs:

- Domestic Violence Solutions, Lompoc Emergency Shelter is a nine-bed emergency shelter for women and their children fleeing domestic violence. Funding in the amount of \$9,000 was provided for operating costs;

- 
- Marks House, a 19-bed transitional housing shelter for families, appointed to Good Samaritan Shelter, Inc. for operating costs in the amount of \$20,000; and
  - Bridgehouse Homeless Shelter, a 56-bed homeless shelter, operated by Good Samaritan Shelter, Inc. for operating costs in the amount of \$6,680.

### **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 worked with the Housing Authority on the development and completion of 36 of 55 total units at the Santa Rita Village Apartments, a new affordable housing project located at 815 West Ocean Avenue and Pacific West Communities, Inc., on the development and completion of Cypress Court, consisting of 60 new affordable senior housing units located at 1420 East Ocean Avenue. The two projects will improve services and resources in those low-income areas of the City. The Housing Authority's Five-Year Plan and Annual Plan are on its website at [www.hasbarco.org](http://www.hasbarco.org). Phase II of Santa Rita Village is on hold while the Housing Authority applies for tax credits this funding round.

### **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 during the program year:

1. Continued participation in the Santa Barbara County Urban County Partnership and HOME Consortium in order to receive federal funds for affordable housing projects in Lompoc;
2. Continued state density bonus provision in the City's zoning ordinance;
3. Continued a housing in-lieu fee program for the creation of an 'affordable housing' trust fund to provide 0% construction funding to assist the development of affordable units and began development of a Homebuyer Assistance Program for low-income households;

- 
4. Continued City Inclusionary Housing Program, which requires 10% affordable housing in developments of 10 or more units, and a 15% requirement in developments of 10 or more units must be made affordable in the City's Redevelopment Area;
  5. Continued providing single-family rehabilitation loans for owner-occupied homes in Lompoc through CDBG program;
  6. Contracted with the Legal Aid Foundation of Santa Barbara County to conduct fair housing testing and education in Lompoc in FY 2013-14; and
  7. Worked cooperatively with the Housing Authority of the County of Santa Barbara (HACSB) in the implementation of the Section 8 Program in Lompoc and in the development and completion of Phase I of the Santa Rita Village Apartment units, a 55-unit development 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 continues to participate in the HOME Consortium with the County of Santa Barbara and five other county cities. However, the City did not receive HOME Funds for FY 2013-14, due to HUD suspending available funds pending the result of an audit of the County of Santa Barbara. Additional information on the City's HOME Consortium participation can be found in the County of Santa Barbara's 2013-14 CAPER.

## **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 Super NOFA.

CAPER Homeless Needs response:

The City provided funding to Good Samaritan Services, Inc., as the service provider for the Marks House Homeless Shelter to continue shelter services in the City of Lompoc, and provided \$20,000 in CDBG program income to Good Samaritan Services, Inc. for program services.

## **Specific Homeless Prevention Elements**

1. Identify actions taken to prevent homelessness.

CAPER Specific Homeless Prevention Elements response:

Legal Aid Foundation of Santa Barbara County received 2013-14 CDBG Funds in the amount of \$5,775 to provide Fair Housing Services, and 2013-14 CDBG Funds in the amount of \$9,000 to provide Emergency Legal Services to Lompoc residents. Recent data collected by Legal Aid shows that nonpayment of rent is the single largest reason for eviction. Many renters face eviction due to job loss, salary reduction, and other economic reasons. Others are unable to pay their rent due to unstable family situations brought on by ongoing health problems (including mental health), substance abuse, domestic violence, or by personal debt. In order to prevent homelessness, Legal Aid Foundation is able to provide legal guidance to renters in Lompoc in order to work out financial plans and retain housing.

## **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 requirements of 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 County of Santa Barbara's 2013-14 CAPER.

## 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 use 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 is shown in the tables on pages 5 and 6 of this report.

In Evaluating Progress Made Toward Meeting Goals for Providing Affordable Housing Using CDBG Funds, Table IV-5 lists affordable projects assisted using Lompoc CDBG Funds in FY 2013-14:



**Affordable Housing Projects funded by CDBG Table IV-5**

Program Year	IDIS Activity Number	Housing Project Activity Name	Dollars Involved	Action Taken This Year
2013	578	Rehabilitation Loan Administration	Estimated \$125,643	Administration of City's Rehabilitation Loan Program, including delivery and servicing cost.
2013	577	Single-Family Residence Rehabilitation Loan #70	\$25,000	Rehabilitation of the single-family residence addressed health, safety, and code concerns, along with maintenance and upgrades.
2013	576	Marks House Renovation	\$40,036	Rehabilitation of the single-family residence used as a Homeless Facility. The rehabilitation addressed some health, safety and code concerns, one of which was Lead-Based Paint.

For detail on the HOME Program in Santa Barbara County, consult the County of Santa Barbara's 2013-14 CAPER. FY 2013-2014 was the fourth year in the Urban County Consortium's 2010-2015 Consolidated Plan and accomplishments are consistent with the 2013 Action Plan. The City did not make any Changes in Program Objectives (Item 2).

In the City's Assessment of Efforts in Carrying Out Planned Actions (Item 3), the City pursued all resources indicated in the Consolidated Plan (Item 3a). These resources included HOME Consortium funds, Lompoc Human Services funds, CDBG Program Income, and State HOME Program Income.

**Public Service Activities funded with City CDBG, County Urban County Partnership and Human Services Funds:**

- Santa Barbara Region of Catholic Charities received a Human Services Donation in the amount of \$10,300, which allowed the agency to fund one full-time employee who administered the program to provide Rental & Utility Financial Assistance, provide individuals access to emergency social services, which included the Food Pantry and other appropriate support agencies. There were 4,081 unduplicated low-, very low- or extremely low-income Lompoc citizens aided with funds from this grant.
- Community Partners in Caring, Volunteer Program, was funded \$3,240 to provide for the salary of one part-time volunteer coordinator's salary, as well as provide funding for supplies, training and screening. Within small communities such as ours, many service providers do not keep traditional hours and low-income seniors often have to travel out of town to keep their regular medical appointments. One of the benefits to our low-income seniors getting these services is it allows them to maintain their healthcare regime, in a safe and

---

affordable way. The agency provides other services that benefit low-income seniors, and because of the coordination of volunteers, it is a smooth operation. During the program year, 234 seniors were assisted.

- The Good Samaritan Shelter oversees Bridgehouse, a homeless shelter in the Lompoc Valley. CDBG funds in the amount of \$6,680 were allocated to provide assistance to 256 persons. The transition center includes emergency shelter for homeless individuals and families up to 90 days and transitional housing for up to 24 months. Case management is provided in addition to drug testing, referrals to partner agencies and basic life skills. The goals for Bridgehouse include, but are not limited to, providing a safe, sober-based living environment for homeless individuals and families, a stable living environment for homeless children who have previously lived in compromised living situations, and support the residents in sustaining self-sufficiency.
- The Santa Barbara County Sexual Assault Response Team (SART) was awarded a grant in the amount of \$2,500 to provide service to six very low- and low-income persons. This grant enabled forensic interviewer training, ensuring witnesses and victims receive the most competent treatment, allowing for the most supportive and least invasive interviews. The SART team tries to reduce trauma to victims and connect them with support services, supports not only a quick response, but enables law enforcement to carry out their job without having to repeatedly question victims and witnesses. Often the victims or witnesses are under five years of age, are Spanish speaking, or have disabilities limiting their comprehension.
- Transitions-Mental Health Association Lompoc Recovery Learning Center (RLC) provided services for 754 disabled adults in Lompoc who have psychiatric disabilities. Funds in the amount of \$3,300 enabled the purchase of groceries that are handed out each week to clients who are faced with not only the mental disability challenges, but also low income. Those who depend on the supplemental food they receive at the center can focus on working on their mental health recovery, instead of being concerned with where their next meal is coming from. Food is also served at the center during group gatherings, meetings and learning events. By creating a social interaction for those who are often isolated or ostracized, it enables them as a group to concentrate on improving mental health issues.
- United Boys & Girls Club Lompoc Clubhouse received a grant of \$8,300 this year to provide program salaries for those not funded through other resources, which allowed the agency to provide services to 63 very low- and low-income children in Lompoc. The program is known for increasing positive behaviors and deterring youth from making poor choices that can lead to criminal activity. The

---

children served are low-income and the facility itself is located in the lower income area of the City of Lompoc.

- Valley Haven Adult daycare program provided 3,990 hours of daycare for seniors, as well as 9,978 hours of respite for 25 caregivers and family members. This program received a grant of \$1,500, which provided scholarships to those seniors and their families in need of time away from each other, allowing the seniors social time with their peers, and allowing the caregivers away time as well.
- Domestic Violence Solutions received a grant in the amount of \$9,000, which provided a place for domestic violence survivors to recover and move forward in their lives. Case Workers and networking partnerships enables the clients to get needed help and also provides a safety net for that first step of independence. This is the only agency offering full service to survivors in Santa Barbara County. Forty-six victims of domestic violence benefited from this program during the year.
- Lompoc Valley Meals on Wheels provides one hot meal to a homebound senior each day of the week. The agency received a grant in the amount of \$4,250 to provide meals to 21 very low-income seniors in Lompoc. This much needed service has a great impact on seniors who cannot cook for themselves and provides the nourishment needed to keep healthy.

There were no intentional ineligible uses of CDBG funds or Funds Not Used for National Objectives. There were no activities that involved acquisition, rehabilitation or demolition of occupied real property that involved permanent displacements or relocations.

#### Low- and Moderate-Income Job Activities

The City received payoff of an existing economic development loan made to a local restaurant in the amount of \$292,062.55.

While no new Economic Development loans were made, staff worked with many business prospects and provided applications and referrals to the Small Business Development Center.

The City has also supported job creation efforts through the Housing Rehabilitation Loan Program, which indirectly assists job creation among local contractors.

---

### Low- and Moderate-Income Clientele Activities

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

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 are targeted within the low- and moderate-income census tract areas of the City.

A map is included with this CAPER which shows the low- and moderate-income areas of the City where these activities were located.

### Program Income Received in FY 2013-14

A total of \$439,510.44 was received as program income in FY 2013-14. This income came from the following sources:

Interest Income	\$( 1,084.01)
Single and Multi Family Housing Loan Repayments, Fees	\$148,531.90
Economic Development Loan Payments	\$292,062.55

### Prior Period Adjustments

The City had no Prior Period Adjustments for any expenditures.

### Loans and other Receivables

The City has no Float-Funded Activities.

The City had four CDBG rehabilitation loan payoffs in FY 2013-14, totaling \$133,582.

There are 34 outstanding housing rehabilitation loans, with a total cumulative principal balance of \$1,036,331. Twenty-nine of the 34 loans are deferred until sale or transfer of the title, with borrowers 60 years of age or older, or deemed disabled by the State of California. Two of the 34 outstanding housing rehabilitation loans are multi-unit housing rehabilitation loans. The total outstanding balance of those loans is \$178,980 for the properties located at 503, 507, and 507-½ North B Street, and an undisclosed address (for security purposes) with the Domestic Violence Solutions for Santa Barbara County–Lompoc Emergency Shelter.

There are two CDBG property acquisition loans with a total cumulative outstanding principal balance of \$475,000, as follows:

<b>Borrower</b>	<b>Balance</b>	<b>Maturity</b>
Good Samaritan Shelter, Inc. Recovery Way Home 608 West Ocean Avenue	\$250,000	Principal Due 5/20/2018
Lompoc Housing Community Development Corporation Lompoc Theatre 112 and 122 North H Street	\$225,000	Principal Due upon Sale or Transfer
<b>TOTAL</b>	<b>\$475,000</b>	

Lump sum agreements

The City does not have any Lump Sum Agreements.

Housing Rehabilitation

The City’s Housing Rehabilitation Accomplishments are discussed on page 5 of this CAPER.

Neighborhood Revitalization Strategies

The City does not have a Neighborhood Revitalization Strategy.

**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 No. 1, the City provided complaint-based 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 No. 2, this past year the City provided CDBG Public Service funding to a number of service providers, such as the Community Action Commission and Family Service Agency, who provided numerous services to families. The services provided included counseling, education, and guidance for both parents and children, resulting in stronger and more stable family environments and a stronger community.

Under Strategy No. 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 worked with many businesses and promoted the loan program.

### **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:

- The City assisted Transitions Mental Health Association-Lompoc Recovery Learning Community for persons with mental disabilities (\$3,300).
- Through Lompoc CDBG Urban Consortium funds, the City assisted Domestic Violence Solutions for Santa Barbara County – Lompoc Emergency Shelter with (\$9,000) for housing women and children fleeing domestic violence situations.
- Other affordable housing in the community for special needs individuals is provided by the Housing Authority of the County of Santa Barbara and Good Samaritan's Recovery Way Home.
- Catholic Charities received CDBG funding of \$14,440 to provide food distribution to agencies in the Lompoc Valley and provide emergency help to low-income citizens in need.

---

## 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 (Housing Opportunities for Persons with AIDS) funding.

#### OTHER NARRATIVE

#### Chapter VI

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

CAPER Other Narrative response:



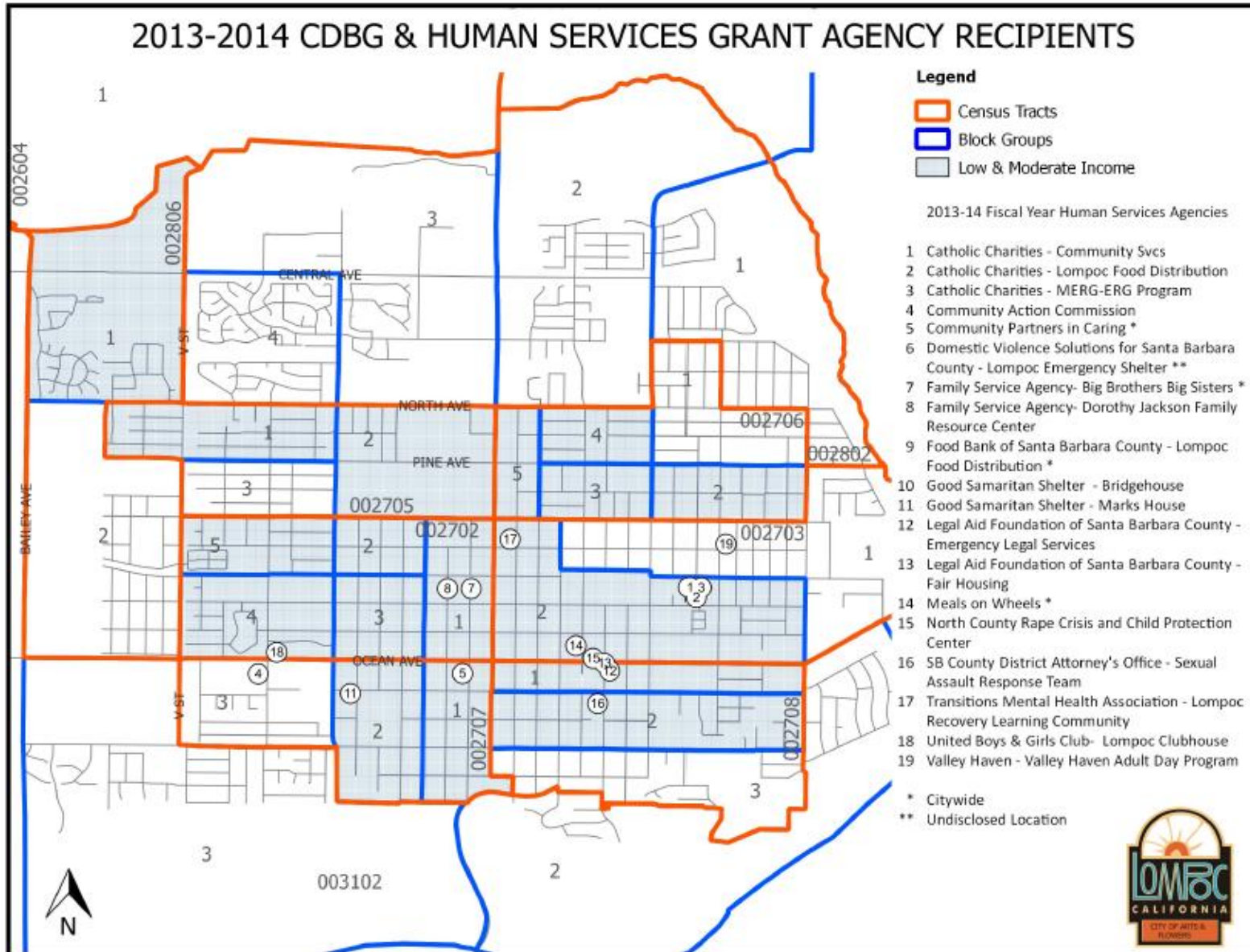
---

The County of Santa Barbara’s 2013-14 CAPER provides additional narratives and information on the use of Lompoc CDBG funds during that time period.

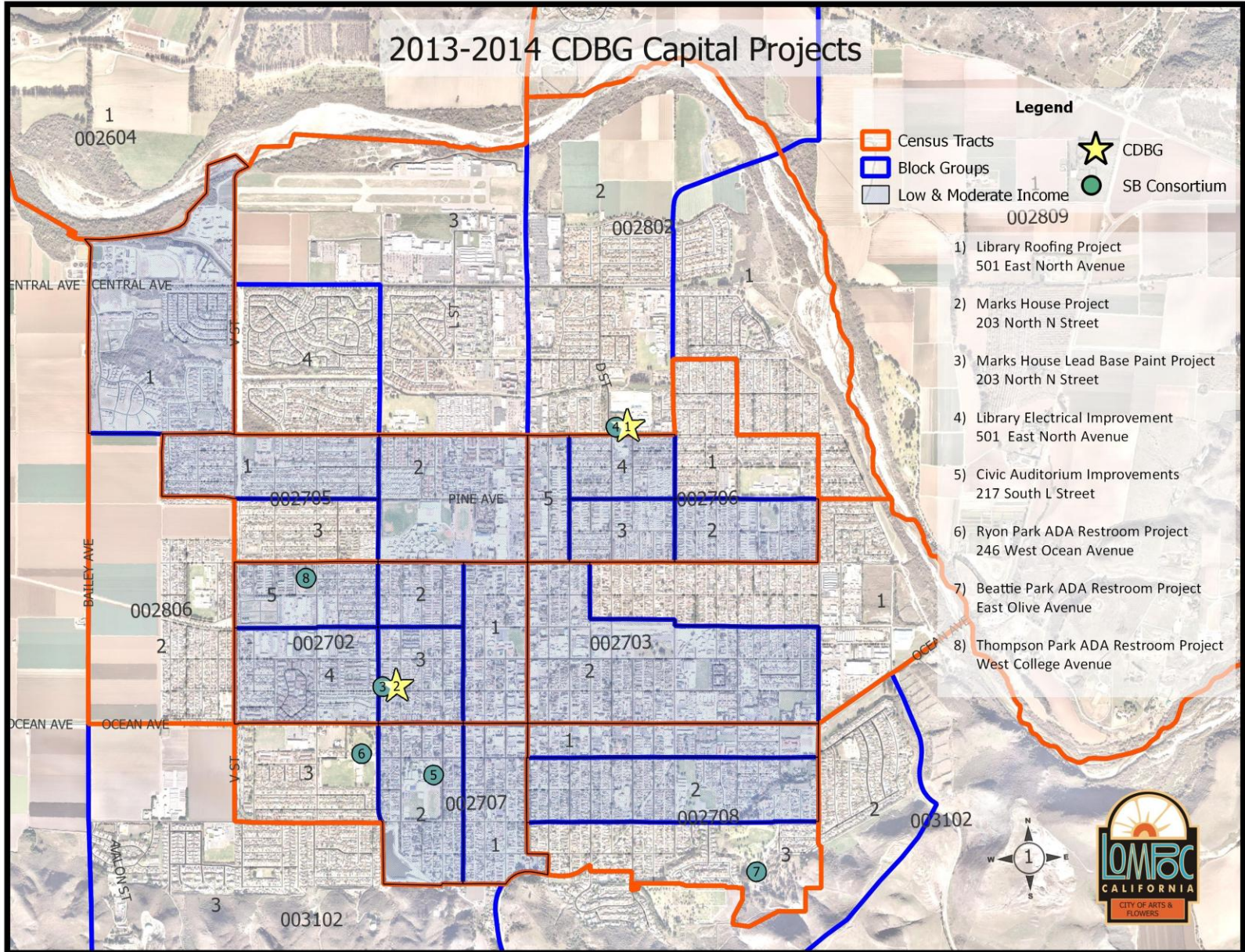
All CDBG activities benefitted low- and moderate-income persons and households because of their location in a CDBG qualifying census tract, or because the household qualified as low-income, or was a ‘presumed beneficiary.’ The following maps show the low-income areas of Lompoc and activities carried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

DRAFT

# 2013-2014 CDBG & HUMAN SERVICES GRANT AGENCY RECIPIENTS











---

Public Participation Notice

NOTICE OF A PUBLIC HEARING  
Consolidated Annual Performance and Evaluation Report  
(CAPER)

NOTICE IS HEREBY GIVEN that the City of Lompoc has prepared a draft copy of the 2013-14 Consolidated Annual Performance and Evaluation Report (CAPER) on activities funded with federal Community Development Block Grant (CDBG) funds between July 1, 2013, through June 30, 2014. 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 August 11, 2014 and ending August 26, 2014.

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, attention: Christie Alarcon, Community Development Program Manager, [c\\_alarcon@ci.lompoc.ca.us](mailto:c_alarcon@ci.lompoc.ca.us)

City Council will review the CAPER during its regularly scheduled meeting of September 2, 2014, at 7:00 pm in City Council Chambers, 100 Civic Center Plaza, Lompoc, California. The CAPER will be available for review on the City's web site at <http://www.cityoflompoc.com>.

**City of Lompoc CAPER, FY 2013-2014**  
**Private and Non-Federal Leverage Funds Table VI-7**

Human Services Agency	City Funds	County Funds	State Funds	Federal Funds	Private Foundation	Donations	Fund Raisers	Program Fee	Volunteer Hours	Other	Total
Catholic Charities (Food Distribution)	14,440	18,400	-	-	15,000	6,500	58,100	-	20,200	-	132,640
Catholic Charities (Community Services)	10,300	44,000	-	19,800	40,000	9,000	85,000	-	-	-	208,100
Community Action Commission (Senior Nutrition)	9,000	10,140	31,070	-	7,915	56,168	-	1,950	42,200	18,048	176,491
Community Partners in Caring (Faith in Action)	3,240	2,000	6,000	-	8,550	3,000	10,500	-	25,410	-	58,700
Domestic Violence Solutions (Emergency Shelter)	9,000	6,650	93,100	3,750	35,400	1,600	-	2,200	-	-	151,700
Family Service Agency (Big Brothers/Sisters)	1,000	24,179	-	-	-	15,567	-	-	-	-	40,746
Family Service Agency (Dorothy Jackson FRC)	4,600	123,689	-	-	83,241	-	-	-	-	-	211,530
Food Bank of Santa Barbara County	4,600	-	-	-	-	56,000	18,200	-	-	-	78,800
Good Samaritan Shelter Inc. (Bridgehouse)	6,680	103,830	-	65,000	10,000	15,689	-	8,000	-	21,230	230,429
Good Samaritan Shelter, Inc. (Marks House)	20,000	4,415	-	60,000	4,000	-	-	5,800	-	-	94,215
Legal Aid Foundation (Emergency Legal Services)	9,000	15,453	14,776	-	3,600	400	-	300	-	4,800	48,329
Meals on Wheels (Lompoc Food Program)	4,250	-	-	-	-	8,000	2,700	26,000	29,000	255	70,205
North County Rape Crisis	11,290	23,500	26,500	93,800	90,050	18,500	42,500	-	58,500	63,900	428,540
SB County DA Office (Sexual Assault Response Team)	2,500	-	-	-	-	2,800	-	-	-	10,900	16,200
Transitions (Lompoc Recovery to Learning Center)	3,300	105,000	-	-	5,700	500	-	-	-	-	114,500
United Boys & Girls Club (Clubhouse Scholarships)	8,300	4,250	-	-	-	10,310	84,250	-	-	210,490	317,600
Valley Haven (Senior Day Care)	1,500	4,400	-	-	26,500	13,000	8,000	135,000	-	125	188,525
<b>TOTAL:</b>	<b>123,000</b>	<b>489,906</b>	<b>171,446</b>	<b>242,350</b>	<b>329,956</b>	<b>217,034</b>	<b>309,250</b>	<b>179,250</b>	<b>175,310</b>	<b>329,748</b>	<b>2,567,250</b>



---

## **Summary of Citizen Comments**

No Citizen Comments were received.

DRAFT

---

## 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. Requiring 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 paragraphs 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  
Patrick Wiemiller, City Administrator

\_\_\_\_\_  
Date

DRAFT

---

## 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 24 CFR 570.2 and 24 CFR 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) 2011, 2012, 2013 (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% 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  
Patrick Wiemiller, 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 workplace(s) 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 5).
  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

Santa Barbara County

100 Civic Center Plaza

Lompoc, CA 93436

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).

- 
- INSERTS:
- 1) [IDIS CDBG Summary of accomplishments PY 2013](#)
  - 2) [IDIS PR26 CDBG Financial Summary Report PY 2013](#)
  - 3) [IDIS PR06 Summary of Consolidated Plan Projects for Report Year](#)
  - 4) [IDIS PR01 HUD Grants and Program Income](#)
  - 5) [IDIS CDBG Activity Summary Report \(GPR\) for PY 2013](#)
  - 6) [Legal Aid Foundation's 2013-14 Annual Report on Fair Housing Education, Testing and Resolution](#)

DRAFT