

City of Carpinteria
City Council Regular Meeting Agenda
Monday, February 11, 2013
Council Chamber, 5775 Carpinteria Avenue

4:30 Closed Session - 5:30 p.m. Regular Session

INFORMATION ABOUT CITY COUNCIL MEETINGS:

- The time at which an item on the agenda is scheduled to be heard is an estimate only. The City Council may consider and act on an agenda item in any order it deems appropriate. In addition, an item may be considered earlier or later than the Estimated Time, depending on the length of time which is devoted to other agenda items. All persons interested in an item listed on the agenda are advised to be present throughout the meeting to ensure that they are present when the item is called.
- The regular meeting will be broadcast live over Government Access Television Channel 21. The City Council meetings will be rebroadcast on Wednesdays at 8:00 p.m. and Saturdays at 5:00 p.m.
- Materials related to an Agenda item submitted to the City Council after distribution of the agenda packet are available for public inspection in the City Clerk's Office at 5775 Carpinteria Avenue, Carpinteria, during normal business hours. Such documents are also available on the City of Carpinteria website at www.carpinteria.ca.us subject to staff's ability to post the documents before the meeting.
- Any written or printed material and/or exhibits presented at a City Council meeting or work session become the property of the City.
- Any information presented to the City Council by the public on any agenda item and during Public Comment using electronic media to be displayed on the overhead projector must be arranged with staff for review of materials in advance of the meeting and no later than Friday prior to the Council meeting.
- As a courtesy to others and to avoid interference with the public address system, please refrain from using cell phones in the Council Chambers and please turn off all audible pagers and rings.
- If you wish to speak on a matter scheduled for consideration in a closed session, you will have an opportunity to address the City Council before the Council retires to its closed session deliberations.

ESTIMATED

TIME:

4:00 p.m.

CALL TO ORDER

ROLL CALL

CLOSED SESSION

1. a) Conference with Real Property Negotiator(s) – Government Code Section 54956.8

Property: Assessor's Parcel No. 004-105-01. Property located on Linden at the railroad.

Property Owner: Southern Pacific Railroad Corporation

Negotiating Parties: Matt Roberts, Parks and Recreation Director; Jackie Campbell, Community Development Director; John Thornberry, Administrative Services Director; and Beth Collins-Burgard and Dylan Johnson, Deputy City Attorneys.

Under Negotiation: price and/or terms of payment.

- b) Public Employee Performance Evaluation – Government Code Section 54957

Title: City Manager Dave Durflinger

PUBLIC COMMENT ON CLOSED SESSION MATTERS

TEMPORARY ADJOURNMENT TO CLOSED SESSION

5:30 p.m.

CALL BACK TO ORDER

CLOSED SESSION REPORT

ROLL CALL

PLEDGE OF ALLEGIANCE

5:33 p.m.

INTRODUCTIONS, PROCLAMATIONS AND PRESENTATIONS

2. Presentation to Chief Banks congratulating him on his retirement from Law Enforcement and providing 35 years of service to the City of Carpinteria.

3. Annual Presentation and Status Report by Santa Barbara Metropolitan Transit District (MTD)
4. Presentations to Outgoing Architectural Review Board Member Wade Nomura and Mobile Home Park Rent Review Board Member Fred Shaw in Recognition of Service.

PUBLIC INFORMATION REPORTS AND ANNOUNCEMENTS

CITY MANAGER'S REPORT

The City Manager will report to the City Council regarding various City and/or community events and/or matters of interest. There will be no City Council discussion except to ask questions or refer matters to staff; and no action will be taken unless listed on a subsequent agenda.

5:53 p.m.

PRESENTATIONS BY CITIZENS/PUBLIC COMMENT

This is a time for public comments on matters not otherwise on the agenda but within the subject matter jurisdiction of the City Council. The Public Comment period is limited to 15 minutes and divided among those persons desiring to speak. No person shall speak longer than three minutes; however, the Mayor may establish shorter periods based on the time available and/or the number of persons waiting to speak. Persons wishing to speak on a specific item will be recognized at the time the agenda item is considered.

Please be aware that items on the consent calendar are considered to be routine and are normally enacted by one unanimous vote of the Council. If you wish to speak on a consent calendar item, or on a matter scheduled for consideration in a closed session at the end of the agenda, please do so during the Presentations by Citizens/Public Comment portion of the meeting.

The City and the City Council are not responsible for the content of statements made during the public comment period, or the factual accuracy of any such statements.

AGENDA MODIFICATIONS: The City Council may modify the regular agenda by tabling items, adding urgency items to the agenda, or changing the order in which items are considered. Changes to the Consent Calendar are considered at the time the Consent Calendar is considered.

6:08 p.m.

CONSENT CALENDAR (to be approved by roll call vote on one motion with all resolutions and ordinances as read by title only).

Individual items may be removed and considered separately at the request of a Councilmember. Any item, which is removed from the Consent Calendar, will be added to the end of the agenda under Other Business.

5. Minutes of the regular meeting held February 25, 2013.
6. Expenditures for the period ending March 6, 2013.
7. Ratification of Resolution No. 5430 entitled, A Resolution of the City Commending and Congratulating Andrea Delgado Upon Being Named Junior Carpenterian of the Year for 2012.
8. Ratification of Resolution No. 5430 entitled, A Resolution of the Carpinteria City Council Commending and Congratulating Louis J. Panizzon Upon Being Named Carpenterian of the Year for 2012.

ADMINISTRATIVE MATTER:

6:10 p.m.

9. Appointment to the Various City Council Advisory Groups.

Recommendation: Appoint representatives to the Planning Commission, Architectural Review Board, Parking and Business Improvement Area Advisory Board, Buffs Management Advisory Board, Tree Advisory Board, Mobil Home Rent Stabilization Board, Carpinteria First Committee and Integrated Pest Management Advisory Committee.

- a. Staff Report
- b. Public Comment
- c. City Council Determination

PUBLIC HEARING:

6:25 p.m.

10. Linden Avenue & Casitas Pass Road Interchanges Project – Authorization to Execute a Freeway Agreement with California Department of Transportation and Presentation of Soundwall Information.

Recommendation:

- a. Adopt Resolution No. 5441 authorizing the execution of a Freeway Agreement with the State of California Department of

Transportation for the Linden Avenue and Casitas Pass Road Interchanges Project.

- b. Receive information on the location of proposed soundwalls that will be constructed in association with the Project.

Staff presenter: Charles Ebeling, Public Works Director/City Engineer/Traffic Engineer

- a. Staff Report
- b. Public Comment
- c. City Council Determination

OTHER BUSINESS:

- 11. Receive Recommendations on the Community Development Block Grant (CDBG) Public Services Grant Applications and Allocate Program Funds.

Recommendation: Accept and approve the recommendations of the Community Development Block Grant Committee and allocate funding as stated in the staff report.

Staff presenter: Shanna Farely-Judkins, Assistant /Jackie Campbell, Community Development Director

- a. Staff Report
- b. Public Comment
- c. City Council Determination

- 12. Request to Reserve City Funds from the Community Development Block Grant (CDBG) Entitlement Funds to Peoples' Self-Help Housing Corporation's Casas de las Flores Apartments at 4096 Via Real (Camper Park)

Recommendation: Reserve CDBG funds in the amount of \$80,770 (or 100%) of the City of Carpinteria 2013-2014 CDBG capital fund for the Casas de las Flores Apartments.

Staff presenter: Jackie Campbell, Community Development Director.

- a. Staff Report
- b. Public Comment

c. City Council Determination

7:25 p.m.

**COMMITTEE REPORTS, INQUIRIES AND OTHER MATTERS
PRESENTED BY COUNCILMEMBERS**

Informational reports from Councilmember representatives on the committees, commissions and organizations listed below. This is also an opportunity for Councilmembers to request information from staff or seek support from fellow Councilmembers for future agenda items.

1. Representatives to Regional Agencies and Committees

- a. Beach Erosion Authority for Clean Oceans and Nourishment (BEACON) (Shaw/Alt. Carty)
- b. California Joint Powers Insurance Authority (CJPIA) (Clark/Alt. Shaw)
- c. Channel Counties Division, League of California Cities (Nomura/Alt. Shaw)
- d. Santa Barbara Association of Governments (SBCAG) (Clark/Alt. Nomura)
- e. Santa Barbara County Air Pollution Control District (APCD) (Clark/Alt. Nomura)
- f. Santa Barbara Joint Housing Task Group (Carty & Shaw)
- g. Central Coast Collaborative on Homelessness (C3H) (Carty)
- h. South Coast Task Force on Youth Gangs Leadership and Executive Council (Carty & Clark)

2. Joint and Special Committees

- a. City Council/Chamber of Commerce Board of Directors Committee (Carty & Nomura)
- b. City Council/Public Safety Committee (Clark & Shaw)
- c. City Council/School Board Committee (Stein & Carty)
- d. City Council/Utilities Committee (Stein & Nomura)
- e. City Council/First District Supervisor Committee (Stein & Carty)

3. Ad Hoc Committees

- a. Budget Committee (Stein & Clark)
- b. Public Facility Site Acquisition/Development Committee (Carty & Nomura)
- c. Transportation Committee (Stein & Shaw)

4. City Representatives on other Committees

- a. Community Media Access Center (Gary Dobbins)
- b. Santa Barbara Coastal Vector Control District (Ronald Hurd)
- c. Santa Barbara Metropolitan Transit District (Chuck McQuary)

7:30 p.m.

ADJOURNMENT

The next regular meeting to be held on **Monday, February 25, 2013**, at **5:30 P.M.**, in the Council Chamber, City Hall, 5775 Carpinteria Avenue, Carpinteria, California.

In compliance with the Americans with Disabilities Act, if you need assistance to participate in this meeting, please contact the City Clerk's Office at 684-5405, extension 403 or the California Relay Service at (866) 735-2929. Notification 72 hours prior to the meeting will enable the City to make reasonable arrangements for accessibility to this meeting.

This agenda was posted on Thursday, February 7, 2103, in the City Clerk's Office, on the City Hall Public Notices Board, and on the Internet.

RESOLUTION NO. 5440

**A RESOLUTION OF THE CITY COUNCIL
OF THE CITY OF CARPINTERIA
COMMENDING AND THANKING GEOFF BANKS
FOR HIS APPROXIMATELY 35 YEARS OF SERVICE
TO THE CITY OF CARPINTERIA AND
CONGRATULATING HIM ON HIS RETIREMENT**

WHEREAS, Geoff Banks began his career in local law enforcement with the City of Carpinteria Police Department in 1978 where he served the community as a Reserve Police Officer, Patrol Officer, Detective, and Sergeant; and

WHEREAS, in 1992 Geoff was hired by the Santa Barbara County Sheriff's Department as a part of the City's consolidation of law enforcement services with the County where he continued to serve the citizens of Carpinteria as a Patrol Sergeant in Carpinteria; and

WHEREAS, Geoff's superior performance has allowed him to rise through the ranks of the Department serving as Lieutenant, Commander and now as Chief Deputy (Third in Command); and

WHEREAS, during his tenure with the Sheriff's Department, Geoff served on the Special Operations unit (Gang Enforcement Team), Patrol, Community Resources, Jail Operations, and in his current role, in charge of countywide Law Enforcement Operations; and

WHEREAS, as a Carpinteria High School Graduate (Class of '73) and longtime resident of the Carpinteria Valley, Geoff and his wife Terry Hickey-Banks have raised their four children in Carpinteria and Geoff has also contributed to the community through many organizations including the High School Boosters, Lions Club, Red Cross, Boys and Girls Club, Girl's Inc., and Little League Baseball; and

WHEREAS, through his professional work and personal efforts, Geoff has made a significant contribution to the safety and wellbeing of the citizens of Carpinteria. Now Therefore, Be It Resolved by the Carpinteria City Council that Geoff Banks be commended and extended thanks for his service to the Carpinteria community.

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Carpinteria congratulates Geoff Banks on the occasion of his retirement from the Santa Barbara County Sheriff's Department.

PASSED, APPROVED AND ADOPTED on this 11th day of February 2013 by the following vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

J. Bradley Stein, Mayor

ATTEST:

Fidela Garcia, City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held on on this 11th day of February 2013.

Fidela Garcia, City Clerk

APPROVED AS TO FORM:

Peter N. Brown, City Attorney

RESOLUTION NO. 5442

**A RESOLUTION OF THE CITY COUNCIL
OF THE CITY OF CARPINTERIA
COMMENDING AND THANKING WADE NOMURA
FOR HIS SERVICE TO THE CITY OF
CARPINTERIA AS A MEMBER OF THE
ARCHITECTURAL REVIEW BOARD
1995-2012**

WHEREAS, Wade Nomura served with distinction and dedication as a member of the Architectural Review Board (ARB) from December 1995 to December 2012; and

WHEREAS, Wade Nomura's conduct as a member of the ARB serves as a stellar example of the City's commitment to open, honest and equitable government; and

WHEREAS, In his role as an ARB member, Wade Nomura contributed significantly to the Board's carrying out its duties and implementing established policies, goals and objectives for the physical development of the City including the protection and enhancement of its natural and historic charm and beauty; and

WHEREAS, during his tenure as a member of the Architectural Review Board, Wade Nomura applied his professional skills in the interpretation of architectural and landscape drawings, his knowledge of plant species, habitat and form providing value added suggestions to applicants that ranged from homeowners to professionals; and

WHEREAS, Wade was always generous with his personal time, assisting staff with analyzing landscape projects that did not go before the Board and also providing suggestions for public park and parkway projects.

NOW, THEREFORE, BE IT RESOLVED by the Carpinteria City Council that Wade Nomura be commended and extended thanks for the time and effort that he has given on behalf of the City of Carpinteria.

PASSED, APPROVED AND ADOPTED ON this 11th day of February 2013, by the following vote:

Resolution No. 5442

Page two

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

J. Bradley Stein, Mayor

ATTEST:

Fidela Garcia, City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held on this 11th day of February 2013.

Fidela Garcia, City Clerk

APPROVED AS TO FORM:

Peter Brown, City Attorney

RESOLUTION NO. 5443

**A RESOLUTION OF THE CITY COUNCIL
OF THE CITY OF CARPINTERIA
COMMENDING AND THANKING FRED SHAW
FOR HIS SERVICE TO THE CITY OF
CARPINTERIA AS A MEMBER OF THE
MOBILE HOME PARK RENT STABILIZATON
BOARD FROM 2007-2012**

WHEREAS, Fred Shaw served as a member of the Mobile Home Park Rent Stabilization Board (MHPRRB) from February 2007 to December 2012; and

WHEREAS, Fred Shaw's conduct as a member of the MHPRRB serves as a stellar example of the City's commitment to open, honest and equitable government; and

WHEREAS, The City Council is appreciative of Fred's willingness and enthusiasm to serve on the Mobile Home Park Rent Stabilization Board; and

WHEREAS, Fred contributed significantly to the Board carrying out its duties in ensuring that mobile home park rents are fair and equitable to both park tenants and owners; and

NOW, THEREFORE, BE IT RESOLVED by the Carpinteria City Council that Fred Shaw be commended and extended thanks for the time and effort that he has given on behalf of the City of Carpinteria.

PASSED, APPROVED AND ADOPTED ON this 11th day of February 2013, by the following vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

J. Bradley Stein, Mayor

ATTEST:

Fidela Garcia, City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held on this 11 day of February 2013.

Fidela Garcia, City Clerk

APPROVED AS TO FORM:

Peter Brown, City Attorney

**City of Carpinteria
City Council Minutes
Regular Meeting
Council Chambers
Monday, January 28, 2013**

CALL TO ORDER

The meeting was called to order by Mayor Stein at 4:30 p.m.

ROLL CALL

Councilmember Al Carty, Councilmember Wade Nomura, Councilmember Fred Shaw, Vice Mayor Gregg Carty, and Mayor J. Bradley Stein were present.

CLOSED SESSION

Mayor Stein announced that the City Council would temporarily adjourn to a Closed Session for the purpose of the following item:

1. Conference with Legal Counsel – Anticipated Litigation
Initiation of litigation pursuant to Government Code section 54956.9(c):
One potential case.

PUBLIC COMMENT ON CLOSED SESSION MATTERS

No public comment was heard.

TEMPORARY ADJOURNMENT TO CLOSED SESSION

The City Council recessed to Closed Session at 4:37 p.m.

CALL BACK TO ORDER

The meeting was called to order by Mayor Stein at 5:30 p.m.

Peter Brown, City Attorney, reported that there was no reportable action from the Closed Session Item.

ROLL CALL

Councilmembers present:

Councilmember Al Clark
Councilmember Wade Nomura
Councilmember Fred Shaw
Vice Mayor Gregg Carty
Mayor J. Bradley Stein

Staff members present:

Dave Durflinger, City Manager
Peter Brown, City Attorney
Fidela Garcia, City Clerk
Charlie W. Ebeling, Public Works Director/City Engineer/Traffic Engineer
John Thornberry, Finance Director

PLEDGE OF ALLEGIANCE

All present were led in the salute to the flag by Mayor Stein.

INTRODUCTIONS, PROCLAMATIONS AND PRESENTATIONS: NONE

PUBLIC INFORMATION REPORTS AND ANNOUNCEMENTS

Mayor Stein acknowledged the Carpinteria Valley Chamber of Commerce for hosting the Annual Awards Banquet and congratulated Louis Pannizzon for being named Carpinterian of the Year. He noted that Junior Carpinterian of the Year finalists included Audrey Lint, Gabrielle Mendoza, and Andrea Delgado (who was named Junior Carpinterian of the Year) and he acknowledged them for their accomplishments and their community service.

CITY MANAGER'S REPORT: NONE

PRESENTATIONS BY CITIZENS/PUBLIC COMMENT: NONE

AGENDA MODIFICATIONS: NONE

CONSENT CALENDAR

Motion by Councilmember Nomura, seconded by Councilmember Shaw, to approve the Consent Calendar with the resolution as ready by title only.

Upon voice vote, motion carried. Councilmember Shaw and Mayor Stein abstained from Item No. 5 because their residences are in the vicinity of the project area for which the grant is being requested.

2. Minutes of the regular meeting held January 14, 2013.
3. Expenditures for the period ending January 23, 2013.
4. Review the Quarterly Investment Results and Certifications Concerning Compliance with Investment Policy and Cash Flow Needs for the Next Six Months.
5. Adopt Resolution No. 5429, as read by title only, Authorizing Submittal of an Application to the Department of Water Resources for Stormwater Flood Management Grant Funding.

ADMINISTRATIVE MATTER(S): NONE

PUBLIC HEARING(S): NONE

OTHER BUSINESS:

6. Linden Avenue and Casitas Pass Interchanges Project – Design Review Team Recommendations and Updated Traffic Analysis

Recommendation: Staff recommends that Council:

- a. Receive a report on the aesthetic design recommendations from the Design Review Team.
- b. Direct Staff to continue to work on the project construction plans incorporating the Design Review Team recommendations.
- c. Receive the updated traffic and circulation report for the project.
- d. Direct staff to continue to work on the construction plans for the Linden Avenue and Casitas Pass Road Interchanges Project based on a four-lane Casitas Pass Road overcrossing with a landscaped center lane (raised median).

Councilmember Nomura recused himself from this item due to the proximity of the project to his residence. He stepped down from the dais and exited the Council Chambers at 5:45 p.m.

Dave Durflinger, City Manager, and Charles Ebeling, Public Works Director/City Engineer/Traffic Engineer, presented the staff report and PowerPoint presentation.

Greg Hart, Santa Barbara County Association of Governments (SBCAG), provided a brief project update to widen Highway 101.

Steve Orosz reviewed the traffic analysis.

Councilmember Clark inquired regarding the traffic counts and growth projections and the use of a standard incremental percentage. Steve Orosz responded that the growth percentage used for the analysis was considered two ways by looking at the traffic model. He noted that the recommendation was focused on a conservative 1 to 2 percent growth rate. Mr. Ebeling added that the growth forecast included sensitivity analysis to look at how land use and growth would be projected in the areas immediately around the City. He noted that the growth forecast models do not include any changes in land use or increase in intensity. Councilmember Clark inquired whether traffic counts would have been affected if the project components were in place on Linden Avenue with new on and off-ramps. Steve Orosz responded that the traffic volume forecast and model take into account how traffic would re-route itself when there is more capacity, where there are different on and off-ramp arrangements, or where Via Real is extended. Councilmember Clark commented that the traffic count was conducted in August and there were higher numbers than not usually seen. Mr. Ebeling responded that the counts conducted in August 2012 were conservative because they did not include the normal rush hour school traffic. He stated that there was a balance of tourist traffic versus school traffic.

Mayor Stein inquired how far would this project would extend beyond the Linden Interchange and whether soundwalls would be installed at the time the longer extended on-ramp is installed. Mr. Ebeling responded that soundwalls are included as part of this project; however, they were not included in tonight's presentation. He indicated that he would bring back additional information at a future meeting.

Councilmember Shaw inquired whether surrounding communities in Carpinteria would build out as much as housing can absorb by 2035. Mr. Ebeling responded that this was correct and that it was his understanding that the City is projected to be at build out in 2022.

Mayor Stein inquired whether traffic signals with sensors would be installed. Mr. Ebeling responded that traffic signals are key safety concerns and traffic signals will be coordinated and linked and fully actuated with sensors for signal timing and phasing.

Kathleen Reddington, member of the Design Review Team, spoke regarding regional traffic issues and slow growth in Carpinteria. She asked the City Council to consider voting in favor of building a four-lane bridge at Casitas Pass Road in scale with the small beach town. She also asked that the soundwalls be built as soon as possible.

John Nahas, part owner of AM/PM Arco Station on Casitas Pass Road, expressed concern with financial stress for local business owners during construction and asked whom the business community could contact to communicate and voice their concerns. Mr. Ebeling responded that people could contact the City's Public Works Department. He noted that notification of activities would be posted on the City's website, scroll, and Coastal View News, and mailer would be sent. Mr. Namas inquired whether the

southbound entrance to his business and to IHOP Restaurant would remain available. Mr. Ebeling responded that design work continues on the approach roadways for this project. He indicated that it was likely there would be a lane drop that may require a painted or raised median that would likely prevent left turns into the AM/PM.

Harry Manuras expressed concern that whenever there is traffic backup on Highway 101, southbound drivers exit the freeway and drive on Carpinteria Avenue and re-enter the freeway at Bates Road. He inquired whether Caltrans could facilitate something to widen the freeway to three lanes before the entrance to Carpinteria during construction.

Kathleen Reddington suggested that the City Council form a committee to look at the oversight of construction and work with Public Works, Caltrans, SBCAG, and the City Council similar to the task given to the Design Review Team.

Jim Taylor inquired whether noise abating pavement material would be used. Mr. Ebeling responded that the mainline freeway project would include gap graded/open graded asphalt pavement treatment that will reduce the noise footprint on the pavement.

David Beard, Caltrans, addressed the question regarding the number of vehicles that travel on Highway 101 per day by stating that it ranges approximately 75,000 vehicles per day. He noted that the project will go north beyond Linden Avenue to Franklin Creek and will incorporate soundwalls on both sides of the freeway, including the area of Franklin Creek and Nipomo Drive. He stated that Caltrans will install actuated traffic signals rather than fixed timing traffic signals. He noted that for the construction phase, Caltrans, SBCAG, and the City would work closely to inform the public, manage traffic, and conduct public outreach. He stated that both entrances to the AM/PM would be accessible with the exception of the left turn due to the proximity to the freeway ramps. He also stated that noise abating pavement for this particular project would only be for the construction of the overcrossing ramps and frontage road, and noise abating material could be considered for the Phase 4 widening project. He noted that there will be four soundwalls with one along the section of Via Real from Hales to beyond Vallecito, one towards Linden between Via Real and the freeway, one northbound from Linden to Franklin Creek adjacent to the Nipomo Drive area, one southbound from Franklin Creek to near the offramp at Linden, and another near the end of Vallecito and Church along the southbound lanes of Highway 101.

Vice Mayor Carty inquired regarding impacts to Carpinteria Creek Park. Mr. Ebeling responded that City staff realigned the initial design to alleviate safety concerns and minimize impacts to the Oak Knolls area, and City staff worked with Caltrans to redesign Via Real to design a traffic-friendly curve for the on and off-ramps for Casitas Pass Road

Motion by Vice Mayor Carty, seconded by Councilmember Shaw, to a) receive a report on the aesthetic design recommendations from the Design Review Team; b) direct Staff to continue to work on the project construction plans incorporating the Design Review Team recommendations; c) receive the updated traffic and circulation report for the project; and d) direct staff to continue to work on the construction plans for the Linden Avenue and Casitas Pass Road Interchanges Project based on a four-lane Casitas Pass Road overcrossing with a landscaped center lane (raised median).

Councilmember Clark acknowledged City staff, Caltrans, SBCAG, and Design Review Team for their efforts on this project. He inquired regarding when the median would be developed as a fifth lane. Mr. Ebeling responded that it would be up to the City to work with Caltrans and SBCAG and to seek funding to make this change.

Councilmember Shaw thanked everyone involved in putting this project together and said that it was a creative idea for the addition of the landscaped fifth lane median which could be created as a fifth lane as traffic increases on Casitas Pass Road. Vice Mayor Carty and Mayor Stein thanked everyone involved for their efforts.

Upon voice, motion carried.

The City Council recessed to a break at 6:47 p.m. and reconvened at 6:57 p.m.

Councilmember Nomura returned to the Council Chambers at 6:57 p.m. and took his seat at the dais.

7. Review of Fiscal Year 2012-13 Mid-Year Financial Results and Adjustment of Appropriations.

Recommendation:

- a. The two following changes to the budget are recommended.
 - (1) Increase the appropriation for Legal Services by \$100,000. The new total appropriation will then be \$430,000.
 - (2) Increase the estimate of Transient Occupancy Tax (TOT) by \$156,000. The new estimate of TOT revenue will then be \$1.6 million.
- b. Receive the report and direct staff as appropriate.

John Thornberry, Administrative Services Director, presented the staff report.

No public Comment.

Motion by Councilmember Clark, seconded by Councilmember Nomura, to 1) increase the appropriation for Legal Services by \$100,000 for a new total appropriation of \$430,000; 2) increase the estimate of Transient Occupancy Tax (TOT) by \$156,000 for a new estimate of TOT revenue of \$1.6 million.

Upon voice vote, motion carried.

COMMITTEE REPORTS, INQUIRIES AND OTHER MATTERS PRESENTED BY COUNCILMEMBERS

Mayor Stein noted that the City Council held a very successful workplan workshop on January 26. He acknowledged staff for their efforts.

Vice Mayor Carty reported that he attended the BEACON meeting where they received and filed the budget for the year ended December 31, 2012. He noted that the budget included donations of \$161,000 towards single use bag ban and BEACON would be pursuing an environmental impact report (EIR) contract with Rincon Consulting. He also noted that a letter seeking donations was sent to all cities; however, Carpinteria had not made a contribution. City Manager Dave Durflinger responded that the donations would be used for preparation of an EIR so that other agencies in the region, unlike Carpinteria, may consider adopting single use bag regulations. He noted that Carpinteria had already adopted a ban and this could be the reason a request was not sent to the City. Vice Mayor Carty reported that BEACON is also looking into restoring the kilt beds at Goleta Beach.

Councilmember Nomura reported that he and Councilmember Shaw attended the League of California Cities New Mayors and Councilmembers Conference, which was attended by 450 elected officials. He stated that they received an orientation, very good pertinent information, and networking opportunities.

Councilmember Clark reported that he, Vice Mayor Carty, and City Manager Dave Durflinger attended the South Coast Task Force on Youth Gangs meeting where they received a report on work done to date.

Councilmember Shaw reported that he and Vice Mayor Carty attended the Housing Task Force meeting where they discussed People Self Help Housing and the Lagunitas development.

Mayor Stein announced that the City was still taking applications for various boards and committees and the City Council would be making appointments at a future Council meeting.

ADJOURNMENT

The meeting was adjourned at 7:10 p.m. by Mayor Stein.

J. Bradley Stein, Mayor

ATTEST:

Fidela Garcia, CMC
City Clerk

12:37 PM
02/06/13

CITY OF CARPINTERIA
Warrant Register
January 24 through February 6, 2013

City Council Meeting: 2/11/13
Agenda Section: Consent
Agenda Item #6

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96385	01/24/13 10:14:58	1/24/13	79674	SO CA SWIMMING	SO CA SWIMMI...	MEET ENTRY FEES	100010...	
96384	01/24/13 10:14:21	1/24/13	ENTRY F...		SO CA SWIMMI...	2013 CA PVST JO 02-02-13 - 02/0...	486830...	-205.00
TOTAL								-205.00
96460	01/30/13 12:39:19	1/30/13	79675	ATT	ATT	ACCOUNT 030-149-5366-001	100010...	
96433	01/30/13 10:14:31	1/19/13	030-149-5...		ATT	CIVIC CENTER	101330...	-346.48
					ATT	PW	253130...	-15.45
					ATT	BEACHES	286230...	-56.27
					ATT	POOL	486630...	-61.79
TOTAL								-479.99
96461	01/30/13 12:39:20	1/30/13	79676	BATCHELDER, CON...	BATCHELDER,...	REFUND LANDSCAPE MAINTEN...	100010...	
96430	01/30/13 10:03:37	1/14/13	LANDSCA...		BATCHELDER,...	REFUND LANDSCAPE MAINTEN...	310026...	-591.36
TOTAL								-591.36
96462	01/30/13 12:39:21	1/30/13	79677	BEGA	BEGA	PROJ 1627 REFUND	100010...	
96436	01/30/13 10:23:55	1/24/13	PROJ 162...		BEGA	PROJ 1627 REFUND	100025...	-312.61
TOTAL								-312.61
96463	01/30/13 12:39:22	1/30/13	79678	BRANCH, SCOTT	BRANCH, SCOTT	PROJECT 1476 REFUND	100010...	
96402	01/30/13 09:15:00	1/29/13	PROJ 147...		BRANCH, SCOTT	PROJ 1476 REFUND	100025...	-330.31
TOTAL								-330.31
96464	01/30/13 12:39:22	1/30/13	79679	CA DEPT CONSERV...	CA DEPT CON...	SMIP REPORT: OCT - DEC 2012	100010...	
96439	01/30/13 10:27:34	1/22/13	OCT - DE...		CA DEPT CON...	SMIP REPORT: OCT - DEC 2012	100020...	-1,967.96
TOTAL								-1,967.96
96465	01/30/13 12:39:23	1/30/13	79680	CACEO	CACEO	TRAINING REGISTRATION	100010...	
96400	01/30/13 09:10:22	1/20/13	5312514		CACEO	CACEO MEMBERSHIP - ECHEVE...	102230...	-65.00
TOTAL								-65.00
96466	01/30/13 12:39:24	1/30/13	79681	CALIFORNIA BUILDI...	CALIFORNIA B...	CBSC OCT - DEC 2012	100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96438	01/30/13 10:26:16	1/22/13	OCT-DEC ...		CALIFORNIA B...	STATE BUILDING STANDARDS F...	100022...	-670.05
TOTAL								-670.05
96467	01/30/13 12:39:25	1/30/13	79682	CalPERS	CalPERS	FEBRUARY 2013 HEALTH	100010...	
96429	01/30/13 10:02:12	1/14/13	FEB 2013 ...		CalPERS	FEBRUARY 2013 HEALTH	105119...	-6,621.03
					CalPERS	FEBRUARY 2013 HEALTH	101119...	-1,089.86
					CalPERS	FEBRUARY 2013 HEALTH	101219...	-1,991.25
					CalPERS	FEBRUARY 2013 HEALTH	101319...	-1,379.95
					CalPERS	FEBRUARY 2013 HEALTH	101419...	-4,621.78
					CalPERS	FEBRUARY 2013 HEALTH	101619...	-1,174.92
					CalPERS	FEBRUARY 2013 HEALTH	103019...	-3,379.65
					CalPERS	FEBRUARY 2013 HEALTH	253119...	-4,139.85
					CalPERS	FEBRUARY 2013 HEALTH	104119...	-4,872.78
					CalPERS	FEBRUARY 2013 HEALTH	104219...	-1,306.24
					CalPERS	FEBRUARY 2013 HEALTH	106919...	-2,114.86
					CalPERS	FEBRUARY 2013 HEALTH	102219...	-2,441.45
					CalPERS	FEBRUARY 2013 HEALTH	236119...	-1,379.95
					CalPERS	FEBRUARY 2013 HEALTH	333219...	-2,441.45
					CalPERS	FEBRUARY 2013 HEALTH	104419...	-1,379.95
					CalPERS	FEBRUARY 2013 HEALTH	101619...	-115.31
					CalPERS	FEBRUARY 2013 HEALTH	486819...	-530.75
TOTAL								-40,981.03
96468	01/30/13 12:39:26	1/30/13	79683	CARPINTERIA MASO...	CARPINTERIA ...	PROJECT 1644 REFUND	100010...	
96440	01/30/13 10:28:56	1/22/13	PROJ 164...		CARPINTERIA ...	PROJ 1644 REFUND	100025...	-357.09
TOTAL								-357.09
96469	01/30/13 12:39:27	1/30/13	79684	CARPINTERIA VALL...	CARPINTERIA ...	INVOICE #4945	100010...	
96399	01/30/13 09:08:21	1/23/13	4945		CARPINTERIA ...	COMMUNITY AWARDS BANQUE...	101631...	-720.00
TOTAL								-720.00
96470	01/30/13 12:39:28	1/30/13	79685	CARPINTERIA VALL...	CARPINTERIA ...	ACCOUNT 164	100010...	
96441	01/30/13 10:40:34	12/31/12	DECEMB...		CARPINTERIA ...	144846 PW SUPPLIES	253130...	-32.22
					CARPINTERIA ...	147351 STREETS	253130...	-8.58
					CARPINTERIA ...	147355 PW SUPPLIES	253130...	-10.11
					CARPINTERIA ...	147504 HOSPICE TREE	253130...	-9.36
					CARPINTERIA ...	147571 SEAL PLAZA	292322...	-22.07
					CARPINTERIA ...	148044 ROW REPAIR	333230...	-29.51

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
					CARPINTERIA ...	148111 ROW REPAIR	253122...	-16.11
					CARPINTERIA ...	148127 STREETS	253122...	-22.55
					CARPINTERIA ...	148378 VETS HALL	486530...	-14.00
					CARPINTERIA ...	148387 SEAL PLAZA	292322...	-16.47
					CARPINTERIA ...	148661 POOL COVERS	486630...	-44.66
					CARPINTERIA ...	148727 STREET LIGHTS	292322...	-36.66
					CARPINTERIA ...	148766 SIGNAGE	333222...	-9.68
					CARPINTERIA ...	148778 SIGNAGE	333222...	-9.47
					CARPINTERIA ...	148945 STREETS	292322...	-59.50
					CARPINTERIA ...	149362 DONATION BOX	236122...	-15.61
					CARPINTERIA ...	FINANCE CHARGE	236122...	-0.50
TOTAL								-357.06
96471	01/30/13 12:39:29	1/30/13	79686	CITY OF SANTA BAR...	CITY OF SANT...	OCT - DEC 2012 REPORTS	100010...	
96443	01/30/13 10:45:24	1/18/13	OCT - DE...		CITY OF SANT...	OCT - DEC 2012 REPORTS	420027...	-2,000.00
TOTAL								-2,000.00
96472	01/30/13 12:39:30	1/30/13	79687	COASTAL VIEW NEWS	COASTAL VIE...		100010...	
96398	01/30/13 09:07:47	12/19/12	40028		COASTAL VIE...	LEGAL NOTICES	101130...	-280.00
96394	01/30/13 09:05:34	1/3/13	40103		COASTAL VIE...	LEGAL NOTICES	101130...	-546.00
96397	01/30/13 09:07:23	1/10/13	40172		COASTAL VIE...	LEGAL NOTICES	101130...	-90.44
96396	01/30/13 09:06:35	1/21/13	40184		COASTAL VIE...	LEGAL NOTICES	101130...	-296.00
96444	01/30/13 10:45:51	1/21/13	40201		COASTAL VIE...	PET ADS	102230...	-20.00
96395	01/30/13 09:06:01	1/24/13	40225		COASTAL VIE...	LEGAL NOTICES	101130...	-90.00
96403	01/30/13 09:15:50	1/24/13	40226		COASTAL VIE...	PET ADS	104730...	-40.00
TOTAL								-1,362.44
96473	01/30/13 12:39:31	1/30/13	79688	CONOCOPHILLIPS	CONOCOPHIL...	PROJ 1325 REFUND	100010...	
96401	01/30/13 09:13:33	1/29/13	PROJ 132...		CONOCOPHIL...	PROJ 1325 REFUND	100025...	-2,590.58
TOTAL								-2,590.58
96474	01/30/13 12:39:32	1/30/13	79689	COUNCIL ON ALCOH...	COUNCIL ON A...	INVOICE 123112CALGRIP	100010...	
96457	01/30/13 11:04:36	1/23/13	123112CA...		COUNCIL ON A...	CALGRIP GRANT	200026...	-15,095.93
TOTAL								-15,095.93
96475	01/30/13 12:39:32	1/30/13	79690	DUNCAN, MICHAEL	DUNCAN, MIC...	REFUND LANDSCAPE MAINTEN...	100010...	
96432	01/30/13 10:06:09	1/14/13	REF LAN...		DUNCAN, MIC...	REFUND LANDSCAPE MAINTEN...	310026...	-545.42

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
TOTAL								-545.42
96476	01/30/13 12:39:33	1/30/13	79691	FLOYD, COLLEEN	FLOYD, COLLE...	REFUND LANDSCAPE MAINTEN...	100010...	
96431	01/30/13 10:05:04	1/14/13	LANDSCA...		FLOYD, COLLE...	REFUND LANDSCAPE MAINTEN...	310026...	-552.26
TOTAL								-552.26
96477	01/30/13 12:39:34	1/30/13	79692	LEIGH, SHERI	LEIGH, SHERI	EEMP GRANT PREPARATION	100010...	
96449	01/30/13 10:55:42	1/20/13	EEMP GR...		LEIGH, SHERI	EEMP GRANT PREPARATION	310024...	-1,500.00
TOTAL								-1,500.00
96478	01/30/13 12:39:36	1/30/13	79693	MNS ENGINEERS INC	MNS ENGINEE...		100010...	
96404	01/30/13 09:16:36	1/9/13	62879		MNS ENGINEE...	PROJ 5007	100025...	-110.00
96405	01/30/13 09:17:58	1/9/13	62880		MNS ENGINEE...	PROJ 5218	100025...	-55.00
					MNS ENGINEE...	PROJ 5224	100025...	-55.00
					MNS ENGINEE...	GENERAL ENGINEERING SERVI...	253622...	-1,760.00
96406	01/30/13 09:18:38	1/9/13	62881		MNS ENGINEE...	PROJ 5109	100025...	-385.00
96407	01/30/13 09:19:09	1/9/13	62882		MNS ENGINEE...	PROJ 5052	100025...	-907.50
96408	01/30/13 09:19:36	1/9/13	62883		MNS ENGINEE...	PROJ 5187	100025...	-220.00
96410	01/30/13 09:20:51	1/9/13	62885		MNS ENGINEE...	PROJ 5051	100025...	-82.50
96411	01/30/13 09:21:10	1/9/13	62886		MNS ENGINEE...	PROJ 5086	100025...	-55.00
96412	01/30/13 09:22:19	1/9/13	62887		MNS ENGINEE...	GENERAL ENGINEERING SERVI...	253622...	-7,787.50
96413	01/30/13 09:22:46	1/9/13	62888		MNS ENGINEE...	PROJ 1614	100025...	-55.00
96414	01/30/13 09:23:23	1/9/13	62889		MNS ENGINEE...	LINDEN/CASITAS INTERCHANGE	310023...	-2,493.75
96417	01/30/13 09:25:41	1/9/13	62892		MNS ENGINEE...	FLOODPLAIN MGMT SERVICES	253622...	-218.75
96418	01/30/13 09:26:30	1/9/13	62893		MNS ENGINEE...	EL CARRO INFILL SIDEWALK P...	417961...	-4,725.00
96419	01/30/13 09:27:35	1/9/13	62895		MNS ENGINEE...	REEVES QUIT CLAIM PROPERTY	253622...	-832.50
96421	01/30/13 09:29:01	1/9/13	62897		MNS ENGINEE...	SANTA YNEZ AVE IMPROVEME...	277962...	-1,213.75
96422	01/30/13 09:29:51	1/9/13	62898		MNS ENGINEE...	KITTIE BAILARD OIL SEEP PRO...	100025...	-27.50
96423	01/30/13 09:30:36	1/9/13	62925		MNS ENGINEE...	3RD ST RECONSTRUCTION PRO...	277041...	-8,716.65
96424	01/30/13 09:31:09	1/9/13	62900		MNS ENGINEE...	EL CARRO SIDEWALK INSPECTI...	417961...	-7,680.00
96425	01/30/13 09:32:04	1/9/13	62902		MNS ENGINEE...	SILVER SANDS/ASH STREET	417962...	-1,073.75
96409	01/31/13 13:53:33	1/9/13	62884		MNS ENGINEE...	BICYCLE MASTER PLAN	207927...	-328.13
					MNS ENGINEE...	BICYCLE MASTER PLAN	200026...	-328.12
96415	01/31/13 13:54:32	1/9/13	62890		MNS ENGINEE...	CONCHA LOMA INTERSECTION ...	207927...	-218.75
					MNS ENGINEE...	CONCHA LOMA INTERSECTION ...	200026...	-218.75
96416	01/31/13 13:55:29	1/9/13	62891		MNS ENGINEE...	CARP AVE/SEVENTH ST INTERS...	207927...	-240.63
					MNS ENGINEE...	CARP AVE/SEVENTH ST INTERS...	200026...	-240.62
96420	01/31/13 13:56:25	1/9/13	62896		MNS ENGINEE...	9TH STREET BRIDGE	207927...	-21.88
					MNS ENGINEE...	9TH STREET BRIDGE	200026...	-21.87
TOTAL								-40,072.90

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96479	01/30/13 12:39:38	1/30/13	79694	NOMURA, WADE	NOMURA, WADE		100010...	
96446	01/30/13 10:49:04	1/14/13	TRAVEL ...		NOMURA, WADE	NEW COUNCILMEMBERS ACDY ...	105130...	-421.85
96426	01/30/13 09:57:33	1/29/13	MEETING ...		NOMURA, WADE	LEAGUE OF CA CITIES MEETIN...	105130...	-30.00
TOTAL								-451.85
96480	01/30/13 12:39:39	1/30/13	79695	ROCKWELL PRINTING	ROCKWELL P...	INVOICE #22515	100010...	
96448	01/30/13 10:50:43	1/20/13	22515		ROCKWELL P...	BUSINESS CARDS - CLARK	105130...	-45.26
TOTAL								-45.26
96481	01/30/13 12:39:40	1/30/13	79696	SHAW, FRED	SHAW, FRED	LEAGUE OF CA CITIES MEETIN...	100010...	
96427	01/30/13 09:58:27	1/29/13	MEETING ...		SHAW, FRED	LEAGUE OF CA CITIES MEETIN...	105130...	-30.00
TOTAL								-30.00
96482	01/30/13 12:39:40	1/30/13	79697	STAPLES ADVANTAGE	STAPLES ADV...	INVOICE 3189752686	100010...	
96177	01/15/13 12:07:49	1/5/13	3189752686		STAPLES ADV...	PW SUPPLIES	253130...	-223.34
TOTAL								-223.34
96483	01/30/13 12:39:41	1/30/13	79698	VERNON, THOMAS	VERNON, THO...	REFUND LANDSCAPE BOND	100010...	
96428	01/30/13 09:59:57	1/29/13	REF LAN...		VERNON, THO...	REFUND LANDSCAPE BOND	310026...	-501.82
TOTAL								-501.82
96484	01/30/13 12:39:42	1/30/13	79699	WEST GROUP	WEST GROUP	565-139-500	100010...	
96458	01/30/13 11:05:18	1/4/13	826438357		WEST GROUP	SUBSCRIPTION PRODUCT CHA...	105130...	-2,907.10
TOTAL								-2,907.10
96485	01/30/13 12:39:43	1/30/13	79700	ZEP SALES & SERVI...	ZEP SALES & ...	INVOICE #9000014279	100010...	
96459	01/30/13 11:05:57	12/13/12	9000014279		ZEP SALES & ...	POOL SUPPLIES	486630...	-262.58
TOTAL								-262.58
96486	01/30/13 12:42:54	1/30/13	79701	BONDELL AWARDS ...	BONDELL AW...	INVOICE #773542	100010...	
96437	01/30/13 10:24:41	1/25/13	773542		BONDELL AW...	NAMEPLATES - SHAW, NOMURA	105130...	-15.77

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
TOTAL								-15.77
96487	01/30/13 12:42:55	1/30/13	79702	CHEVRON & TEXAC...	CHEVRON & T...	789-819-058-7	100010...	
96442	01/30/13 10:44:19	1/22/13	574410		CHEVRON & T...	VEHICLE FUEL	101330...	-175.60
					CHEVRON & T...	VEHICLE FUEL	333230...	-543.65
					CHEVRON & T...	VEHICLE FUEL	236130...	-144.13
TOTAL								-863.38
96488	01/30/13 12:42:56	1/30/13	79703	SANTA BARBARA C...	SANTA BARBA...	13-168	100010...	
96310	01/23/13 10:28:35	1/9/13	13-168		SANTA BARBA...	SHERIFF OVERTIME	102121...	-1,005.89
TOTAL								-1,005.89
96489	01/30/13 12:42:57	1/30/13	79704	SATCOM GLOBAL FZE	SATCOM GLO...	INVOICE AX01130399	100010...	
96286	01/23/13 09:51:28	1/7/13	AX011303...		SATCOM GLO...	IRIDIUM TRADE UP	102430...	-36.15
TOTAL								-36.15
96490	01/30/13 12:42:58	1/30/13	79705	STAPLES ADVANTAGE	STAPLES ADV...		100010...	
96180	01/15/13 12:11:16	1/9/13	3189842744		STAPLES ADV...	CITY HALL	101330...	-43.08
					STAPLES ADV...	VETS HALL	486530...	-323.21
					STAPLES ADV...	PW SUPPLIES	103030...	-70.12
96183	01/15/13 12:14:56	1/9/13	3189842743		STAPLES ADV...	PARKS	236122...	-81.87
					STAPLES ADV...	CITY HALL	101330...	-63.32
					STAPLES ADV...	VETS HALL	486530...	-42.54
					STAPLES ADV...	PW SUPPLIES	253130...	-24.18
TOTAL								-648.32
96491	01/30/13 12:42:59	1/30/13	79706	VJS BIOLOGICAL CO...	VJS BIOLOGIC...	DECEMBER 2012 BIOLOGICAL S...	100010...	
95941	01/08/13 10:27:29	1/7/13	DEC 2012 ...		VJS BIOLOGIC...	PROJ 1607 - MAULHARDT	100025...	-127.50
					VJS BIOLOGIC...	PROJ 1407 - LAGUNITAS	100025...	-240.00
					VJS BIOLOGIC...	PROJ 1631 - KITTY BAILARD	100025...	-108.75
TOTAL								-476.25
96496	01/30/13 15:39:27	1/30/13	79707	PETER LAPIDUS CO...	PETER LAPIDU...	INVOICE 2761	100010...	
96494	01/30/13 15:37:39	12/11/12	2761		PETER LAPIDU...	JOB #12-046	286222...	-10,000.00

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
TOTAL								-10,000.00
96495	01/30/13 15:39:20	1/30/13	79708	ECHVERRIA, SILVIA	ECHVERRIA, ...	REIMBURSEMENT - CACEO TRA...	100010...	
96493	01/30/13 15:36:47	1/25/13	REIMBUR...		ECHVERRIA, ...	REIMBURSEMENT FOR MEALS	102230...	-32.00
					ECHVERRIA, ...	REIMBURSEMENT FOR GASOLI...	101330...	-38.96
TOTAL								-70.96
96592	02/06/13 11:50:17	2/6/13	79709	A T & T MOBILITY	A T & T MOBILI...	ACCOUNT 337015224648	100010...	
96516	02/06/13 09:56:59	1/23/13	33701522...		A T & T MOBILI...	CELL PHONE - PW SUPERVISOR	253130...	-114.75
					A T & T MOBILI...	CELL PHONE - PW CREW	101330...	-11.21
					A T & T MOBILI...	CELL PHONE - PW CREW	333230...	-11.21
					A T & T MOBILI...	CELL PHONE - PW CREW	253130...	-82.11
TOTAL								-219.28
96593	02/06/13 11:50:18	2/6/13	79710	AMERICAN RED CRO...	AMERICAN RE...	CRS NO: 2713885	100010...	
96515	02/06/13 09:55:36	1/16/13	CRS NO: ...		AMERICAN RE...	LIFEGUARD CERTIFICATION - A...	486630...	-27.00
TOTAL								-27.00
96594	02/06/13 11:50:18	2/6/13	79711	AT & T MOBILITY	AT & T MOBILI...	ACCOUNT #832685259	100010...	
96517	02/06/13 09:58:12	1/21/13	832685259		AT & T MOBILI...	CODE ENFORCEMENT	104721...	-125.03
					AT & T MOBILI...	CODE ENFORCEMENT	104721...	-44.20
					AT & T MOBILI...	CODE ENFORCEMENT	104721...	-61.21
TOTAL								-230.44
96595	02/06/13 11:50:19	2/6/13	79712	BALMADRID, ARLENE	BALMADRID, A...	CELL PHONE REIMBURSMNT -...	100010...	
96518	02/06/13 09:58:40	2/6/13	FEB 2013 ...		BALMADRID, A...	CELL PHONE REIMBURSEMENT...	101630...	-65.00
TOTAL								-65.00
96596	02/06/13 11:50:20	2/6/13	79713	BARBER-FORD, R.E.	BARBER-FOR...		100010...	
96519	02/06/13 09:59:17	1/18/13	149679		BARBER-FOR...	VEHICLE MAINTENANCE	253130...	-25.76
96520	02/06/13 09:59:55	1/21/13	FOCS559...		BARBER-FOR...	VEHICLE MAINTENANCE	253130...	-945.80
TOTAL								-971.56
96597	02/06/13 11:50:20	2/6/13	79714	CAL-COAST MACHIN...	CAL-COAST M...	INVOICE 84712	100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96521	02/06/13 10:00:27	1/29/13	84712		CAL-COAST M...	PARTS SALES	253130...	-64.09
TOTAL								-64.09
96598	02/06/13 11:50:21	2/6/13	79715	CALIFORNIA ELECT...	CALIFORNIA E...	60-22980	100010...	
96522	02/06/13 10:01:11	1/8/13	7700-6322...		CALIFORNIA E...	UNIT 320	253130...	-35.24
TOTAL								-35.24
96599	02/06/13 11:50:22	2/6/13	79716	CAMPBELL, JACQUE...	CAMPBELL, JA...	CELL PHONE REIMBURSMENET...	100010...	
96523	02/06/13 10:01:33	1/8/13	FEB 2013 ...		CAMPBELL, JA...	CEL PHONE REIMBURSEMENT -...	104130...	-65.00
TOTAL								-65.00
96600	02/06/13 11:50:22	2/6/13	79717	CARPINTERIA-SUMM...	CARPINTERIA-...	JANUARY 2013 FIRE FEES	100010...	
96524	02/06/13 10:04:52	2/4/13	JAN 2013 ...		CARPINTERIA-...	BP 10821 - 329 HOLLY	100026...	-205.00
					CARPINTERIA-...	BP 10816 - 1486 LA PALOMA	100026...	-205.00
					CARPINTERIA-...	BP 10641 - 4870 5TH STREET	100026...	-205.00
					CARPINTERIA-...	BP 10824 - 1137 CHURCH LANE	100026...	-205.00
TOTAL								-820.00
96601	02/06/13 11:50:23	2/6/13	79718	CARPINTERIA VETE...	CARPINTERIA ...		100010...	
96527	02/06/13 10:06:32	1/8/13	185147		CARPINTERIA ...	DOG LICENSE	104721...	-70.00
96525	02/06/13 10:05:49	1/18/13	185709		CARPINTERIA ...	DOG LICENSE	104721...	-90.00
TOTAL								-160.00
96602	02/06/13 11:50:24	2/6/13	79719	CENTRAL COAST IM...	CENTRAL COA...	INVOICE #AR23464	100010...	
96528	02/06/13 10:07:14	1/31/13	AR23464		CENTRAL COA...	COPIES	101822...	-188.25
TOTAL								-188.25
96603	02/06/13 11:50:25	2/6/13	79720	COAST AUTO PARTS...	COAST AUTO ...	ACCT NO 1165	100010...	
96529	02/06/13 10:09:22	1/31/13	JAN 2013 ...		COAST AUTO ...	601622 VEHICLE MAINTENANCE	253130...	-204.17
					COAST AUTO ...	601644 VEHICLE MAINTENANCE	253130...	-100.66
					COAST AUTO ...	601693 VEHICLE MAINTENANCE	253130...	-16.52
					COAST AUTO ...	601750 VEHICLE MAINTENANCE	253130...	-80.88
					COAST AUTO ...	601868 VEHICLE MAINTENANCE	253130...	-35.34

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
TOTAL								-437.57
96604	02/06/13 11:50:26	2/6/13	79721	COASTAL VIEW NEWS	COASTAL VIE...		100010...	
96532	02/06/13 10:11:52	1/24/13	40218		COASTAL VIE...	LINDEN CASITAS INTERCHANGES	310023...	-148.00
96533	02/06/13 10:12:16	1/24/13	40224		COASTAL VIE...	LEGAL NOTICES	417961...	-49.00
96531	02/06/13 10:10:25	1/31/13	40287		COASTAL VIE...	PET ADS	104730...	-20.00
TOTAL								-217.00
96605	02/06/13 11:50:27	2/6/13	79722	COLSON'S TOWING I...	COLSON'S TO...	DECEMBER 2012 TOWS	100010...	
95938	01/08/13 10:24:20	1/12/13	DEC 2012 ...		COLSON'S TO...	TOW FEES DECEMBER 2012	102222...	-120.00
TOTAL								-120.00
96606	02/06/13 11:50:27	2/6/13	79723	COLSON, MARY ANN	COLSON, MAR...	WELLNESS REIMBURSEMENT - ...	100010...	
96534	02/06/13 10:20:15	2/6/13	FEB 2013 ...		COLSON, MAR...	WELLNESS REIMBURSEMENT - ...	101419...	-415.75
TOTAL								-415.75
96607	02/06/13 11:50:28	2/6/13	79724	COUNCIL ON ALCOH...	COUNCIL ON A...	INVOICE 103112CALGRIP	100010...	
96535	02/06/13 10:21:05	11/19/12	103112CA...		COUNCIL ON A...	CALGRIP GRANT	200026...	-8,835.56
TOTAL								-8,835.56
96608	02/06/13 11:50:29	2/6/13	79725	DIAZ, JAYNE	DIAZ, JAYNE	WELLNESS REIMBURSEMENT - ...	100010...	
96536	02/06/13 10:21:31	2/6/13	FEB 2013 ...		DIAZ, JAYNE	WELLNESS REIMBURSEMENT F...	101419...	-415.75
TOTAL								-415.75
96609	02/06/13 11:50:29	2/6/13	79726	DRIGGERS, LARRY	DRIGGERS, LA...	WELLNESS REIMBURSEMENT - ...	100010...	
96537	02/06/13 10:21:51	2/6/13	FEB 2013 ...		DRIGGERS, LA...	WELLNESS REIMBURSEMENT - ...	101419...	-415.75
TOTAL								-415.75
96610	02/06/13 11:50:30	2/6/13	79727	DURFLINGER, DAVID	DURFLINGER, ...	CELL PHONE REIMBURSEMENT...	100010...	
96538	02/06/13 10:22:18	2/6/13	FEB 2013 ...		DURFLINGER, ...	CELL PHONE REIMBURSEMENT...	101230...	-65.00
TOTAL								-65.00

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96611	02/06/13 11:50:31	2/6/13	79728	EBELING, CHARLES	EBELING, CHA...	CELL PHONE REIMBURSEMENT...	100010...	
96539	02/06/13 10:22:42	2/6/13	FEB 2013 ...		EBELING, CHA...	CELL PHONE REIMBURSEMENT...	103030...	-65.00
TOTAL								-65.00
96612	02/06/13 11:50:32	2/6/13	79729	EDD-SDI	EDD-SDI	ACCT #776-5147-9	100010...	
96507	02/06/13 09:46:52	2/6/13	PAYROLL...		EDD-SDI	PAYROLL 02-07-13	100022...	-849.23
TOTAL								-849.23
96613	02/06/13 11:50:32	2/6/13	79730	EDD-SIT	EDD-SIT	ACCT #932-0283-6	100010...	
96508	02/06/13 09:47:16	2/6/13	PAYROLL...		EDD-SIT	PAYROLL 02-07-13	100022...	-3,385.30
TOTAL								-3,385.30
96614	02/06/13 11:50:33	2/6/13	79731	FIDELITY SECURITY ...	FIDELITY SEC...	INVOICE 4720982	100010...	
96540	02/06/13 10:26:16	2/4/13	4720982		FIDELITY SEC...	WELLNESS FEBRUARY 2012	101619...	-17.56
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	104119...	-8.78
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	103019...	-25.81
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	104119...	-25.81
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	102219...	-8.78
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	253119...	-25.81
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	333219...	-16.68
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	106919...	-25.81
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	104419...	-16.68
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	253119...	-17.56
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	101119...	-17.56
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	102219...	-17.56
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	106919...	-8.78
					FIDELITY SEC...	WELLNESS FEBRUARY 2012	103019...	-17.56
TOTAL								-250.74
96615	02/06/13 11:50:34	2/6/13	79732	FRONTADO, JOHN	FRONTADO, J...	WELLNESS PAYMENT- FEB 2013	100010...	
96541	02/06/13 10:26:49	2/4/13	FEB 2013 ...		FRONTADO, J...	WELLNESS - FEB 2013	101419...	-415.75
TOTAL								-415.75
96616	02/06/13 11:50:35	2/6/13	79733	GRANICUS	GRANICUS	INVOICE #41648	100010...	
96543	02/06/13 10:28:15	1/15/13	41648		GRANICUS	FEBRUARY 2013 SERVICES	101822...	-599.00

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
TOTAL								-599.00
96617	02/06/13 11:50:35	2/6/13	79734	HD SUPPLY FACILITI...	HD SUPPLY FA...	INVOICE #9119898254	100010...	
96291	01/23/13 09:58:24	1/11/13	9119898254		HD SUPPLY FA...	CAUTION SIGNAGE	486630...	-43.08
TOTAL								-43.08
96618	02/06/13 11:50:36	2/6/13	79735	HIDALGO, BENNY	HIDALGO, BEN...	WELLNESS REIMBURSEMENT - ...	100010...	
96544	02/06/13 10:28:42	2/6/13	FEB 2013 ...		HIDALGO, BEN...	WELLNESS REIMBURSEMENT - ...	101419...	-415.75
TOTAL								-415.75
96619	02/06/13 11:50:37	2/6/13	79736	HILLYARD	HILLYARD	INVOICE 600533040	100010...	
96546	02/06/13 10:30:00	1/9/13	600533040		HILLYARD	CITY HALL RESTROOM SUPPLIES	101322...	-103.62
TOTAL								-103.62
96620	02/06/13 11:50:37	2/6/13	79737	HUGO'S AUTO DETAIL	HUGO'S AUTO ...	VEHICLE MAINTENANCE - JANU...	100010...	
96549	02/06/13 10:33:28	1/31/13	JAN 2013 ...		HUGO'S AUTO ...	VEHICLE MAINTENANCE - JANU...	101330...	-45.00
TOTAL								-45.00
96621	02/06/13 11:50:38	2/6/13	79738	JIMENEZ, ERNEST	JIMENEZ, ERN...	WELLNESS REIMBURSEMENT - ...	100010...	
96550	02/06/13 10:33:51	1/31/13	FEB 2013 ...		JIMENEZ, ERN...	WELLNESS REIMBURSEMENT - ...	101419...	-415.75
TOTAL								-415.75
96622	02/06/13 11:50:39	2/6/13	79739	JOHNSON SUPPLY	JOHNSON SUP...	INVOICE #327295	100010...	
96551	02/06/13 10:36:09	1/24/13	327295		JOHNSON SUP...	POOL	486630...	-104.12
TOTAL								-104.12
96623	02/06/13 11:50:39	2/6/13	79740	JOHNSTONE SUPPLY	JOHNSTONE S...	INVOICE #326416	100010...	
96181	01/15/13 12:13:13	1/8/13	326416		JOHNSTONE S...	POOL SUPPLIES	486630...	-131.24
TOTAL								-131.24
96624	02/06/13 11:50:40	2/6/13	79741	LEMERE, PATRICIA	LEMERE, PAT...	WELLNESS REIMBURSEMENT - ...	100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96552	02/06/13 10:36:31	1/24/13	FEB 2013 ...		LEMERE, PAT...	WELLNESS REIMBURSEMENT F...	101419...	-415.75
TOTAL								-415.75
96625	02/06/13 11:50:41	2/6/13	79742	LINCOLN FINANCIAL...	LINCOLN FINA...	FEB 2013 BILLING	100010...	
96553	02/06/13 10:38:12	2/1/13	FEB 2013 ...		LINCOLN FINA...	FEBRUARY 2013	105119...	-59.18
					LINCOLN FINA...	FEBRUARY 2013	101119...	-81.13
					LINCOLN FINA...	FEBRUARY 2013	101219...	-116.49
					LINCOLN FINA...	FEBRUARY 2013	101319...	-30.57
					LINCOLN FINA...	FEBRUARY 2013	101419...	-154.66
					LINCOLN FINA...	FEBRUARY 2013	101619...	-145.82
					LINCOLN FINA...	FEBRUARY 2013	103019...	-170.16
					LINCOLN FINA...	FEBRUARY 2013	253119...	-170.43
					LINCOLN FINA...	FEBRUARY 2013	104119...	-333.09
					LINCOLN FINA...	FEBRUARY 2013	104219...	-178.65
					LINCOLN FINA...	FEBRUARY 2013	106919...	-153.57
					LINCOLN FINA...	FEBRUARY 2013	102219...	-123.06
					LINCOLN FINA...	FEBRUARY 2013	333219...	-70.64
					LINCOLN FINA...	FEBRUARY 2013	104419...	-88.90
					LINCOLN FINA...	FEBRUARY 2013	236119...	-57.21
					LINCOLN FINA...	FEBRUARY 2013	486819...	-31.94
TOTAL								-1,965.50
96626	02/06/13 11:50:42	2/6/13	79743	MNS ENGINEERS INC	MNS ENGINEE...	INVOICE 62894	100010...	
96560	02/06/13 11:00:26	1/9/13	62894		MNS ENGINEE...	UPRR ACQUISITION	310024...	-292.50
TOTAL								-292.50
96627	02/06/13 11:50:43	2/6/13	79744	MONTECITO BANK &...	MONTECITO B...		100010...	
96554	02/06/13 10:42:24	1/24/13	4270		MONTECITO B...	CPRS AWARD SUBMITTAL	106930...	-65.00
					MONTECITO B...	JG CAMPOUT	286232...	-438.00
					MONTECITO B...	USAT SANCTION	486330...	-250.00
					MONTECITO B...	USA WATER POLO	486330...	-85.00
					MONTECITO B...	CARP AQUATIC CLUB	486830...	-245.00
					MONTECITO B...	CAC PARTY SUPPLIES	486830...	-45.33
96555	02/06/13 10:44:01	1/24/13	0740		MONTECITO B...	LOTTERY SUPPLIES	104130...	-46.00
					MONTECITO B...	HOUSING TASK GROUP MEETING	105131...	-44.71
96556	02/06/13 10:55:07	1/24/13	3769		MONTECITO B...	CITY HALL MAINTENANCE	101322...	-18.10
					MONTECITO B...	NHRA REGISTRATION - BALMA...	101622...	-40.00
					MONTECITO B...	BREAKROOM SUPPLIES	101330...	-8.08
					MONTECITO B...	GET WELL FLOWERS - FARLEY...	101631...	-68.50
					MONTECITO B...	VETS HALL	486530...	-20.38
					MONTECITO B...	BLUFFS DONTATION BOX GRANT	200026...	-72.70

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
					MONTECITO B...	CERTIFICATE OF ACHIEVEMEN...	101422...	-435.00
					MONTECITO B...	COMPUTER HARDWARE	217041...	-2,212.24
					MONTECITO B...	INTEREST CHARGES	486530...	-34.08
96557	02/06/13 10:57:04	1/24/13	4563		MONTECITO B...	TRAVEL REGISTRATION - JEAKLE	102421...	-280.75
96558	02/06/13 10:58:57	1/24/13	4379		MONTECITO B...	PROJ 4864 - LUNCHEON	100025...	-50.42
					MONTECITO B...	PW SUPPLIES	103030...	-0.26
					MONTECITO B...	MEASURE A EL CARRO PROJECT	277041...	-231.12
TOTAL								-4,690.67
96628	02/06/13 11:50:45	2/6/13	79745	MSC INDUSTRIAL SU...	MSC INDUSTRI...	INVOICE C76065403	100010...	
96559	02/06/13 10:59:51	1/11/13	C76065403		MSC INDUSTRI...	POOL MAINTENANCE	486630...	-191.72
TOTAL								-191.72
96629	02/06/13 11:50:45	2/6/13	79746	NAVPLG	NAVPLG	INVOICE #1238	100010...	
96561	02/06/13 11:01:14	2/3/13	1238		NAVPLG	NAVPLG MEMBERSHIP - JEAKLE	104530...	-50.00
TOTAL								-50.00
96630	02/06/13 11:50:46	2/6/13	79747	POINTER, STEPHEN	POINTER, STE...	SFRHIP PROGRAM REFUND	100010...	
96564	02/06/13 11:03:32	1/24/13	SFRHIP R...		POINTER, STE...	SFRHIP PROGRAM REFUND	101019...	-150.00
TOTAL								-150.00
96631	02/06/13 11:50:46	2/6/13	79748	PROFESSIONAL WA...	PROFESSIONA...	INVOICE 1681	100010...	
96565	02/06/13 11:04:21	1/16/13	1681		PROFESSIONA...	FLAGS	292322...	-16.36
TOTAL								-16.36
96632	02/06/13 11:50:47	2/6/13	79749	ROBERTS, MATTHEW	ROBERTS, MA...	CELL PHONE REIMBURSEMENT...	100010...	
96567	02/06/13 11:16:33	1/28/13	FEB 2013 ...		ROBERTS, MA...	CELL PHONE REIMBURSEMENT...	106930...	-65.00
TOTAL								-65.00
96633	02/06/13 11:50:48	2/6/13	79750	SANTA BARBARA C...	SANTA BARBA...	INVOICE #42248	100010...	
96568	02/06/13 11:17:38	1/15/13	42248		SANTA BARBA...	SMALL ANNUAL EMISSIONS FE...	101322...	-396.44
TOTAL								-396.44
96634	02/06/13 11:50:49	2/6/13	79751	SANTA BARBARA C...	SANTA BARBA...	INVOICE #00151301	100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96570	02/06/13 11:19:35	1/22/13	00151301		SANTA BARBA...	PROJECT 720622 - CARP/LINDE...	292321...	-3,405.65
TOTAL								-3,405.65
96635	02/06/13 11:50:49	2/6/13	79752	SEUI LOCAL 620	SEUI LOCAL 620	UNION DUES	100010...	
96509	02/06/13 09:47:38	2/6/13	PAYROLL...		SEUI LOCAL 620	PAYROLL 02-07-13	100022...	-146.19
TOTAL								-146.19
96636	02/06/13 11:50:50	2/6/13	79753	SILK, KEVIN	SILK, KEVIN	CELL PHONE REIMBURSEMENT...	100010...	
96573	02/06/13 11:20:55	1/17/13	FEB 2013 ...		SILK, KEVIN	CELL PHONE REIMBURSEMENT...	104430...	-35.00
TOTAL								-35.00
96637	02/06/13 11:50:51	2/6/13	79754	SO CA EDISON	SO CA EDISON		100010...	
96576	02/06/13 11:24:08	1/24/13	2-00-378-2...		SO CA EDISON	CIVIC CENTER	101331...	-1,493.58
					SO CA EDISON	ROW	333231...	-308.51
					SO CA EDISON	PARKING	333231...	-143.04
					SO CA EDISON	PARKS	236131...	-259.72
					SO CA EDISON	POOL	486631...	-960.79
					SO CA EDISON	STREET LIGHTING	292322...	-431.97
					SO CA EDISON	BIKEWAYS	292322...	-78.35
96450	01/30/13 10:56:26	1/26/13	2-19-146-8...		SO CA EDISON	9TH ST BATHROOM	292322...	-28.75
96451	01/30/13 10:57:13	1/26/13	2-17-070-7...		SO CA EDISON	1 CARP TC	292322...	-49.11
TOTAL								-3,753.82
96638	02/06/13 11:50:52	2/6/13	79755	SOLID WASTE SOLU...	SOLID WASTE ...	INVOICE NO 91	100010...	
96575	02/06/13 11:22:12	2/1/13	91		SOLID WASTE ...	AB 939 COORDINATION	393722...	-387.00
TOTAL								-387.00
96639	02/06/13 11:50:52	2/6/13	79756	STAPLES ADVANTAGE	STAPLES ADV...	INVOICE 3189947347	100010...	
96283	01/23/13 09:45:24	1/11/13	3189947347		STAPLES ADV...	OFFICE SUPPLIES	101330...	-163.03
					STAPLES ADV...	PW SUPPLIES	103030...	-22.91
					STAPLES ADV...	COMPUTER HARDWARE	217041...	-455.93
TOTAL								-641.87
96640	02/06/13 11:50:53	2/6/13	79757	THORNBERRY, JOHN	THORNBERRY,...	CELL PHONE REIMBURSEMENT...	100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96584	02/06/13 11:29:18	1/30/13	FEB 2013 ...		THORNBERRY,...	CEL PHONE REIMBURSEMENT ...	101430...	-65.00
TOTAL								-65.00
96641	02/06/13 11:50:54	2/6/13	79758	UNITED WAY OF SA...	UNITED WAY O...	PAYROLL CONTRIBUTION	100010...	
96510	02/06/13 09:48:04	2/6/13	PAYROLL...		UNITED WAY O...	PAYROLL 02-07-13	100022...	-20.00
TOTAL								-20.00
96642	02/06/13 11:50:55	2/6/13	79759	VANTAGEPOINT TRA...	VANTAGEPOIN...	PAYROLL DEPOSIT PLAN #303555	100010...	
96511	02/06/13 09:48:28	2/6/13	PAYROLL...		VANTAGEPOIN...	PAYROLL 02-07-13	100010...	-910.00
TOTAL								-910.00
96643	02/06/13 11:50:56	2/6/13	79760	VENCO WESTERN INC	VENCO WEST...	INVOICE 0147307-IN	100010...	
96586	02/06/13 11:31:45	1/15/13	0147307-IN		VENCO WEST...	ROW	333222...	-1,793.19
					VENCO WEST...	CITY HALL	101322...	-742.10
					VENCO WEST...	PROJ 4865	100025...	-221.26
					VENCO WEST...	VETS HALL	486522...	-108.66
					VENCO WEST...	POOL	486622...	-221.73
					VENCO WEST...	ROW PARKING LOT	332322...	-422.38
					VENCO WEST...	PARKS	236122...	-4,523.56
TOTAL								-8,032.88
96644	02/06/13 11:50:56	2/6/13	79761	VERIZON CALIFORNIA	VERIZON CALI...	01 1711 1265125066 01	100010...	
96587	02/06/13 11:32:33	1/22/13	01171112...		VERIZON CALI...	OUTSIDE PD	101330...	-85.93
TOTAL								-85.93
96645	02/06/13 11:50:57	2/6/13	79762	VOLGISTICS INC	VOLGISTICS INC	ORDER-INVOICE #18794252	100010...	
96589	02/06/13 11:33:48	2/4/13	18794252		VOLGISTICS INC	VOLUNTEER TRACKING	104530...	-96.00
TOTAL								-96.00
96646	02/06/13 11:50:58	2/6/13	79763	WEST COAST ARBO...	WEST COAST ...	INVOICE 85317	100010...	
96590	02/06/13 11:34:19	12/31/12	85317		WEST COAST ...	TREE MAINTENANCE	273222...	-21,041.00
TOTAL								-21,041.00
96647	02/06/13 12:24:36	2/6/13	79764	ALL AROUND LANDS...	ALL AROUND ...		100010...	

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96514	02/06/13 09:53:03	1/15/13	S1633416....		ALL AROUND ...	SHOP SUPPLIES	333230...	-13.82
96513	02/06/13 09:51:34	1/16/13	S1633637....		ALL AROUND ...	PW SUPPLIES	253130...	-35.58
TOTAL								-49.40
96648	02/06/13 12:24:37	2/6/13	79765	CARPINTERIA VETE...	CARPINTERIA ...	INVOICE 186081	100010...	
96526	02/06/13 10:06:08	1/25/13	186081		CARPINTERIA ...	DOG LICENSE	104721...	-75.00
TOTAL								-75.00
96649	02/06/13 12:24:38	2/6/13	79766	HIGHWAY TECHNOL...	HIGHWAY TEC...	INVOICE 455791-002	100010...	
96445	01/30/13 10:46:29	1/14/13	455791-002		HIGHWAY TEC...	VIA REAL @ SANTA YNEZ	277041...	-700.00
TOTAL								-700.00
96650	02/06/13 12:24:38	2/6/13	79767	HILLYARD	HILLYARD	INVOICE 600542482	100010...	
96545	02/06/13 10:29:21	1/16/13	600542482		HILLYARD	VEHICLE WASH	333230...	-59.96
TOTAL								-59.96
96651	02/06/13 12:24:39	2/6/13	79768	PAPER DIRECT	PAPER DIRECT	INVOICE 3508832401011	100010...	
96447	01/30/13 10:50:13	1/14/13	35088324...		PAPER DIRECT	CERTIFICATE PAPER	105130...	-30.68
TOTAL								-30.68
96652	02/06/13 12:24:40	2/6/13	79769	SMARDAN HATCHER...	SMARDAN HAT...	CUSTOMER 180	100010...	
96574	02/06/13 11:21:44	1/31/13	LATE FEE		SMARDAN HAT...	LATE CHARGES	236122...	-1.78
TOTAL								-1.78
96653	02/06/13 12:24:41	2/6/13	79770	SO CA EDISON	SO CA EDISON		100010...	
96577	02/06/13 11:24:54	1/29/13	2-22-684-6...		SO CA EDISON	100 LINDEN	292322...	-29.87
96578	02/06/13 11:25:28	1/29/13	2-14-791-5...		SO CA EDISON	101 ASH AVE	292322...	-105.18
96581	02/06/13 11:27:43	1/30/13	2-30-652-4...		SO CA EDISON	SEASIDE BUILDING	486530...	-72.80
96579	02/06/13 11:26:11	1/31/13	2-26-504-7...		SO CA EDISON	CARP/CASITAS	292321...	-32.97
96580	02/06/13 11:26:58	1/31/13	2-32-832-7...		SO CA EDISON	PROJ 4865 - VETS HALL	100025...	-491.02
					SO CA EDISON	UTILITIES VETS HALL	486530...	-418.27
TOTAL								-1,150.11

12:37 PM

02/06/13

CITY OF CARPINTERIA
Warrant Register
 January 24 through February 6, 2013

Trans #	Entered/Last Modified	Date	Num	Name	Source Name	Memo	Account	Paid Amount
96654	02/06/13 12:24:42	2/6/13	79771	STANLEY SECURITY ...	STANLEY SEC...	INVOICE 902485162	100010...	
96582	02/06/13 11:28:19	1/15/13	902485162		STANLEY SEC...	CITY HALL LOCKS	101322...	-45.72
TOTAL								-45.72
96655	02/06/13 12:24:42	2/6/13	79772	STAPLES ADVANTAGE	STAPLES ADV...		100010...	
96452	01/30/13 10:58:06	1/15/13	3190274091		STAPLES ADV...	PW SUPPLIES	253130...	-15.64
					STAPLES ADV...	PW SUPPLIES	253130...	-88.21
					STAPLES ADV...	PARKS	236122...	-83.80
96454	01/30/13 11:01:29	1/16/13	3190335719		STAPLES ADV...	POOL SUPPLIES	486630...	-64.79
96455	01/30/13 11:02:07	1/16/13	3190335718		STAPLES ADV...	POOL SUPPLIES	486630...	-152.69
TOTAL								-405.13
96656	02/06/13 12:24:43	2/6/13	79773	VERIZON CALIFORNIA	VERIZON CALI...	01 1711 1286125057 09	100010...	
96588	02/06/13 11:33:10	1/25/13	01171112...		VERIZON CALI...	ASH AVE	101330...	-85.93
TOTAL								-85.93
96657	02/06/13 12:24:44	2/6/13	79774	WALLACE GROUP	WALLACE GR...	INVOICE #34552	100010...	
96316	01/23/13 10:36:08	1/14/13	34552		WALLACE GR...	MEASURE A GRANT 1	207927...	-292.14
					WALLACE GR...	MEASURE A GRANT 1	200026...	-292.13
TOTAL								-584.27
96658	02/06/13 12:24:44	2/6/13	79775	WATER GEAR INC	WATER GEAR I...	INVOICE 00224419	100010...	
96289	01/23/13 09:56:57	1/15/13	00224419		WATER GEAR I...	POOL RESALE ITEMS	486630...	-124.83
TOTAL								-124.83
TOTAL								\$199,054.60

RESOLUTION NO. 5430

**A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
COMMENDING AND CONGRATULATING
ANDREA DELGADO
UPON BEING NAMED
JUNIOR CARPINTERIAN OF THE YEAR FOR 2012**

WHEREAS, Andrea Delgado is ranked fifth in her graduating class at Carpinteria High School (CHS) with a GPA of 4.30, and was recently lauded as one of the finest student athlete leaders to graduate from the high school, by her peers, coaches and instructors. She is an active leader in the Associated Student Body (ASB), and has represented the high school well, with her dedication and skill on the Varsity swimming and water polo teams.

WHEREAS, Ms. Delgado has also served her church with scores of volunteer hours, and has worked to instruct young children in the 'Safety Town' program, and continues to be an assistant instructor for the Head Start program at the Children's Project at Main.

WHEREAS, Ms. Delgado while taking a very challenging academic load, has had a flawless academic record during all four years at CHS, and has taken time to volunteer for a wide variety of programs at Girls Incorporated of Carpinteria, and also is a member of the CHS Marching, Concert and Jazz Ensemble bands.

WHEREAS, Ms. Delgado represented CHS as State Assembly Member and Vice President at Junior State of America, is an active member of the CHS' Rotary Interact Club, serving as its President, and has received the CHS President's Education Award for Outstanding Academic Excellence. Ms. Delgado has also been selected as a College Board National Hispanic Scholar, one of only 5,000 named nationally, and was selected to attend the Minority Introduction to Engineering and Science at MIT in the summer of 2012.

WHEREAS, Ms. Delgado was elected President of the ASB during her senior year, is a six semester member of the California Scholarship Federation, and has been named to the California State Honor Society. Ms. Delgado is also the recipient of the Girls Incorporated National Scholarship, a \$15,000 scholarship awarded to only ten individuals nationwide.

THEREFORE, THE CITY OF CARPINTERIA CITY COUNCIL hereby resolves and recognizes Andrea Delgado as the "2012 Junior Carpinterian of the Year," honoring her outstanding scholarship, personal commitment to giving back to the Carpinteria community and her strong leadership at Carpinteria High School.

PASSED, APPROVED AND ADOPTED this 11th day of February, 2013 by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5431

**A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
COMMENDING AND CONGRATULATING
LOUIS J. PANIZZON
UPON BEING NAMED
CARPINTERIAN OF THE YEAR FOR 2012**

WHEREAS, Louis J. Panizzon is a first generation Carpinterian, and life-long resident who graduated from Carpinteria High School in 1959, graduated from UCSB in 1966, served our nation in Vietnam as a First Lieutenant in the US Army, earning a Bronze Star for Valor, a Purple Heart, an Army Commendation Medal, and the Combat Infantryman's Badge for his courage and leadership.

WHEREAS, Mr. Panizzon was elected to the UCSB Hall of Fame for Outstanding Achievement in the Field of Athletics, selected as the Coach of the Year in 1987 for the CIF Inland Conference, was a seven time Santa Barbara Athletic Round-Table Coach of the Year and is a member of its Hall of Fame, was the recipient of the Southern California Interscholastic Football Coaching Association, Clare Van Hoorebeke Award, is a member of the CIF, Southern Section Hall of Fame, and in 2011 was inducted into Carpinteria High School Athletic Hall of Fame.

WHEREAS, for the past 33 years, Mr. Panizzon has served local youth and their families in the Carpinteria Unified School District as a teacher, coach, Dean of Students, Athletic Director, Counselor, Assistant Principal and Principal of Carpinteria High School all with grace and total dedication. As Volunteer Capital Campaign Director, he spent several years raising more than \$1.25 million towards the Veterans Memorial Field project at Carpinteria High School.

WHEREAS, Mr. Panizzon was elected to serve as a Board member for the Carpinteria-Summerland Fire Protection District, from 1991 to 2008 and also served as an elected trustee for the Carpinteria Unified School District Board, from 2008 to 2012.

THEREFORE, THE CITY OF CARPINTERIA CITY COUNCIL hereby resolves and recognizes Louis J. Panizzon as the "2012 Carpinterian of the Year," and for his service and dedication towards the Carpinteria community and its citizens.

PASSED, APPROVED AND ADOPTED this 11th day of February, 2013 by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney

STAFF REPORT
COUNCIL MEETING DATE
February 11, 2013

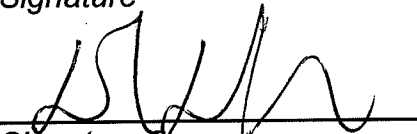
ITEM FOR COUNCIL CONSIDERATION

Consideration of making Appointments to the Planning Commission, Architectural Review Board, Parking and Business Improvement Area Advisory Board, Bluffs Management Advisory Board, Tree Advisory Board, Mobile Home Rent Stabilization Board, Carpinteria First Committee and Integrated Pest Management Committee.

Report prepared by: Fidela Garcia, City Clerk


Signature

Reviewed by: Dave Durflinger, City Manager


Signature

STAFF RECOMMENDATION

Action Item X; Non-Action Item

Motion:

I move to adopt Resolution Nos. 5432 through 5439, approving the appointments to City Boards, Commissions and Committees as discussed.

I. BACKGROUND

In accordance with the Carpinteria Municipal Code, appointments to the City Boards, Commissions and Committees expire every two years on January 31st. Each Board, Commission and Committee member serves at the pleasure of the City Council and shall be appointed by the mayor with the advice and consent of the City Council. Each term is automatically extended until a successor is appointed.

The City Clerk sent letters to each of the current members thanking them for their service to the City and requested of them to advise the City as to whether they wished

to retire from service at this time or be considered for reappointment. Simultaneously, a notice inviting new interested persons to apply was published in the local newspaper on three separate occasions and a notice for membership recruitment was also placed on the City Scroll and at the public library. Additionally, a notice listing all the expiring and vacant positions for all groups was posted on the bulletin board at City Hall.

II. DISCUSSION

Planning Commission

The Planning Commission consists of five members with the qualifications for membership being residency within the city at the time of their appointment and during their tenure in office. All five positions are currently filled and all members have stated, in writing, a desire to continue their service and be considered for reappointment. The City has received no additional applications for consideration. The following members are requesting reappointment: David Allen, Glen LaFevers, John Moyer, Jane Benefield, and John Calendar.

Architectural Review Board

The Architectural Review Board consists of five members with the qualifications for membership being residency within the city at the time of their appointment and during their tenure in office and that the membership consist of a mix of lay and professional citizens skilled in the interpretation of architectural and landscaping drawings and able to evaluate the effects of the proposed development upon surrounding areas. The following four current members have all stated, in writing, a desire to continue their service and be considered for reappointment: William Araluce, Scott Ellinwood, Jim Reginato, and Richard E. Johnson. Wade Nomura has retired from service as he was elected to the City Council.

Currently, one position is vacant. The City has received five new applications for consideration from Dylan Chappell, Kris E. Kimpel, Scott Miners, Rachelle Gahan, and Jason Rodriguez. The applications are attached for Council's consideration.

Parking and Business Improvement Area Advisory Board

The Parking and Business Improvement Area Board is comprised of five members with at least three of those members paying assessments within Parking and Business Improvement District No. 4, and two members being qualified persons as determined by the City Council. The following current members have all stated, in writing, a desire to be considered for reappointment: Assessment paying members Kiona Gross and Gloria Tejeda, and qualified person Lynda Lang.

Currently, two positions are vacant. The City has received one new application from Arthur Willner. The application is attached for Council's consideration.

Bluffs Management Advisory Board

The Bluffs Management Advisory Board is comprised of seven members from the community at-large. The following current members have stated, in writing, a desire to be considered for reappointment: David Allen, Ted Rhodes, Andrea Adams-Morden, Caroline Kuizenga, Niels Johnson-Lameijer and Arturo Tello.

Currently, one position is vacant. The City has received one new application from Kelley Skumautz. The application is attached for Council's consideration.

Tree Advisory Board

The Tree Advisory Board consists of five members with the qualifications for membership being residency within the Carpinteria Valley and a composition of a mix of lay citizens and professionals from a pertinent discipline. Municipal Code 12.28.080A provides examples of some of the characteristics or attributes to be used in creating a composition of mixed members. The following five members have all stated, in writing, a desire to continue their service and be considered for reappointment: Carol Terry, Leland Walmsley, Peter Winn, Christopher Newton and Kathy Henry.

The City has received one new application from Julie Broughton. The application is attached for Council's consideration.

Mobile Home Park Rent Stabilization Board

The Mobile Home Park Rent Stabilization Board consists of five members with the qualifications for membership being at-large. The following two members have stated, in writing, a desire to continue with their service and be considered for reappointment: Tom McBride and John Litsinger. William Cross has stated his desire to retire from service at this time and Fred Shaw has retired from service as he was elected to the City Council.

Currently, three positions are vacant. The City has received two new applications from Catherine Overman and Danel Trevor. The applications are attached for Council's consideration. Staff plans to continue its recruiting efforts so that all positions may be filled.

Carpinteria First Committee

The Carpinteria First Committee is comprised of nine members from the community with four being at-large, four being Chamber of Commerce representatives, and one being a member of the Parking Business Improvement Area Advisory Board (PBIAAB). The following members have all stated, in writing, their desire to continue service and be considered for reappointment: at-large representatives Kiona Gross and Maxine Kelly, Chamber of Commerce representatives Lynda Lang, Pat Kistler, and Karen Clark, and

PBIAAB representative Gloria Tejeda. At-large representative Rosie Cabello has stated her desire to retire from service at this time.

Currently six positions are filled and three are vacant. The three vacant positions consist of one Chamber of Commerce and two at-large representatives.

The City has received three new applications for consideration from the following: Lauren Wilson, Shannen A. Gibbs, and Greg Fehr. Lauren Wilson is requesting to be considered for the Chamber of Commerce representative position. The applications are attached for Council's consideration.

Integrated Pest Management Advisory Committee

The Integrated Pest Management Advisory Committee is comprised of up to nine members with a representative from the Parks and Recreation Department, the Public Works Department, the Bluffs Advisory Committee, and at least two at-large community members that can make recommendations on implementation and amendment of the Integrated Pest Management Policy. The following members have all stated, in writing, a desire to be considered for reappointment: Will Carleton, Trish Stone-Damen, Michael Gonella, Jay Sullivan, Ben Pitterle and Corey Wells.

Currently, one position is vacant. The City has received one new application for consideration from Mary Ann Rajala. The new application is attached for Council's consideration.

III. LEGAL ISSUES

As per the Carpinteria Municipal Code, Commission, Board, and Committee members serve at the pleasure of the City Council and shall be appointed by the Mayor with the advice and consent of the City Council.

IV. Persons Expected

None.

V. ATTACHMENT

- A. Board, Commission and Committee Membership List
- B. New Applications for City Council Advisory Groups
- C. Resolution Nos. 5432 through 5439 for each Board, Commission and Committee

Attachment A

City Council Boards, Commissions and Committees

January 2013

Members Desiring to be Reappointed	Ethics Training Compliance Certificat on File	New Applicants
Planning Commission		
Allen, David	Yes	None
Benefield, Jane	Yes	
Callender, John	Yes	
LaFevers, Glenn	Yes	
Moyer, John	Yes	
ARB		
Araluce, Bill	Yes	Dylan Chappell
Ellinwood, Scott	Yes	Kris E. Kimpel
Johnson, Richard	Yes	Scott Miners
Reginato, Jim	Yes	Rachelle Gahan
Vacant		Jason Rodriguez
PBIAAB		
Gross, Kiona	Yes	Arthur Willner
Lang, Lynda	Yes	
Tejeda, Gloria	Yes	
Vacant - Assessment Dist Rep		
Vacant - Qualified Person		
Bluff Management Advisory Board		
Adams-Morden, Andrea	Yes	Kelley Skumautz
Allen, David	Yes	
Johnson-Lameijer, Niels	Yes	
Kuizenga, Caroline	Yes	
Rodes, Ted	Yes	
Tello, Arturo	No	
Vacant		

Members Desiring to be Reappointed	Ethics Training Compliance Certificat on File	New Applicants
Tree Advisory Board		
Henry, Kathy	Yes	Julie Broughton
Newton, Christopher	No	
Terry, Carol	Yes	
Walmsley, Leland	Yes	
Winn, Peter	Yes	
MHPRSB		
McBride, Tom	Yes	Catherine Overman
Litsinger, John	No	Danel Trevor
Vacant		
Vacant		
Vacant		
Carpinteria First		
Kiona Gross - At-large Rep	Yes	Lauren Wilson - Chamber Rep
Maxine Kelley - At-large Rep	Yes	Shannen A. Gibbs
Vacant - At-large Rep		Greg Fehr
Vacant - At-large Rep		
Gloria Tejeda - PBIAAB Rep	Yes	
Clark, Karen - Chamber Rep	Yes	
Kistler, Pat - Chamber Rep	Yes	
Lang, Lynda - Chamber Rep	Yes	
Vacant-Chamber Rep		
IPM Advisory Committee		
Trish Stone-Damen	Yes	Mary Ann Rajala
Michael Gonella	Yes	
Jay Sullivan	Yes	
Ben Pitterle	Yes	
Corey Wells	Yes	
Will Carleton	No	
Vacant		

Attachment B



**CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE**

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED
CITY OF CARPINTERIA

JAN 22 2013

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

Architectural Review Board

FIDELA GARCIA
CITY CLERK

APPLICANT: Scott Miners

Name

312 El Gaucho Road, SB, CA 93111

Address

scott@youngconst.com

Email

PO Box 30042 Santa Barbara, CA 93130

Business Address

805.895.6562

Phone Number(s)

Are you a resident of the City of Carpinteria? No

EXPERIENCE/ BACKGROUND:

BS Construction Management, Cal Poly, SLO

Education

Project Manager, Young Construction

Present Occupation (Please describe any relevant past work experience)

past member of Carpinteria Morning Rotary, SB Contractor's Assoc. Board Member

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

I have managed projects in Santa Barbara County for 15 years. I have attended several ARB, BAR, and ABR meetings over the years and aware of the basic

function and procedures. I believe in property rights, yet believe owners have a responsibility to improve the community.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

None

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

[Signature]
Signature

1/16/13
Date



**CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE**

ARB

Please return to: City Clerk's Office

City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED

DEC 14 2012

COMMUNITY DEVELOPMENT
DEPARTMENT

APPLICANT: Rachelle Gahan
Name

1598 Linden Ave Carpinteria CA 93013 rachellehallett@yahoo.com
Address Email

P.O. Box 1166 Carpinteria CA 93013 (805) 550-9748
Business Address Phone Number(s)

Are you a resident of the City of Carpinteria? Yes

EXPERIENCE/ BACKGROUND:

Cal Poly San Luis Obispo CA
Education

Landscape Designer
Present Occupation (Please describe any relevant past work experience)

Ø
Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

It would be an honor and great opportunity to be able to serve
on Carpinteria's Architectural Review Board. With my educational
background, work experience, and appreciation for landscape I believe I would
be able to contribute to the board's decision making process.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

Ø

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Rachelle Gahan 12.14.12
Signature Date



**CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE**

Please return to: City Clerk's Office **RECEIVED**
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

JAN 22 2013

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

CITY OF CARPINTERIA

Architectural Review Board

APPLICANT: Jason Rodriguez

Name

1093 Holly Avenue, Carpinteria CA 93013

jasonrod2@yahoo.com

Address

Email

N/A

661-816-8738

Business Address

Phone Number(s)

Are you a resident of the City of Carpinteria? Yes

EXPERIENCE/ BACKGROUND:

B.S. Criminal Justice Administration, A.A. Business Management

Education

Police Officer

Residential and commercial real estate (2005-2008)

Present Occupation (Please describe any relevant past work experience)

Law Enforcement Explorer Program (Advisor), School Resource Officer on High School Campus, Parent Project Program (Facilitator),
Ventura County Crime Stoppers.

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

I wish to become a member of the Architectural Review Board to add my knowledge

and experience to Carpinteria's means of providing harmony within our city's

surrounding developments. (See attached)

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

None.

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Signature

01/21/13

Date



**CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE**

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

ARB
RECEIVED
CITY OF CARPINTERIA

JAN 09 2012

FIDELA GARCIA
CITY CLERK

APPLICANT: KRIS E. KIMPEL

Name

4021 INVIERNO DR, SANTA BARBARA KRIS@KRISKIMPEL.COM
Address Email

1211 COAST VILLAGE RD. #5

805.565.9514

Business Address MONTECITO, CA

Phone Number(s)

Are you a resident of the City of Carpinteria? NO

EXPERIENCE/ BACKGROUND:

UNIVERSITY CALIF. @ DAVIS (1985) BS LANDSCAPE ARCHITECTURE
Education

LANDSCAPE ARCHITECT - PRINCIPAL KRIS E. KIMPEL LANDSCAPE
Present Occupation (Please describe any relevant past work experience) ARCHITECTURE

AMERICAN SOCIETY OF LANDSCAPE ARCHITECTS (1989- PRESENT)
Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

PLEASE SEE ATTACHED

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

- HISTORIC LANDMARKS ARCHITECTURAL REVIEW BOARD (S.B 1995-1999)
- HOPE RANCH ARCHITECTURAL REVIEW BOARD (S.B 2001- PRESENT)

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Kris E. Kimpel
Signature

12.10.12
Date

K R I S E . K I M P E L
L A N D S C A P E A R C H I T E C T U R E

1211 Coast Village Road, Suite No. 5 Montecito, California 93108
Telephone 805•565•9514 Fax 805•565•9214 California License 3216

January 8, 2013

City of Carpinteria City Council
5775 Carpinteria Avenue
Carpinteria, CA 93013

RE: Application for Appointment for the Architectural Review Board

Dear Members of the City of Carpinteria City Council,

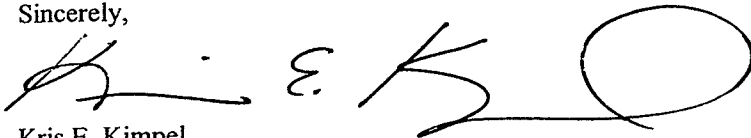
I have been informed about the upcoming vacancy on the City of Carpinteria Architectural Review Board. I am very interested in becoming a member and would like to take this opportunity to introduce myself.

I received my degree in Landscape Architecture from the University of California at Davis and graduated receiving the American Society of Landscape Architects Student Award in 1985. After graduating, I worked with various Landscape Architectural firms focusing on Estate Residential and International Resort Design. This tremendous experience provided a smooth transition for launching my own design firm in Santa Barbara 15 years ago. As per my professional standing, I am a current member of the American Society of Landscape Architects and served on the Santa Barbara Historical Landmarks commission from 1995 to 1999. I am currently a commissioner for the Hope Ranch Architectural Board of Review, a position that I have held since 2001.

Being a native Santa Barbaran and having lived a majority of my life here, I am very concerned with the quality of life and the direction future growth takes in our area. By working outside of the Santa Barbara area I have gained the ability to appreciate the taste and flavor of Santa Barbara and Carpinteria's heritage, and the realization that it must be preserved. However, I feel that new and exciting ideas need to be incorporated into our environmental and architectural designs, creating a harmonious relationship between the past and present. I feel that as a member of the Architectural Review Board I can contribute to the preservation of Carpinteria's high quality of architectural and environmental standards.

I would very much like to contribute my knowledge and experience by being a member of the Architectural board of Review and believe I would be an asset to the Board. Thank you very much for your serious consideration.

Sincerely,

A handwritten signature in black ink, appearing to read 'Kris E. Kimpel', with a large circular flourish at the end.

Kris E. Kimpel
Landscape Architect
Ca Lic. # 3216

Kris E. Kimpel, ASLA

Landscape Architect

Kris E. Kimpel is dedicated to distinctive creative design and providing services within a timely and professional manner. Her design expertise extends into virtually all areas of Landscape Architecture with a particular emphasis on Residential Estate Design and Hotel/Resort Design. She combines a perceptive, insightful approach with a strong commitment to the design process, producing successful and sensitive projects at all scales.

EDUCATION

University of California at Davis (1985) – Bachelor of Science, Landscape Architecture
California State Polytechnic University (1980) Graphic Design

REGISTRATION

Registered Landscape Architect, State of California License No. 3216 (1989)

PROFESSIONAL EXPERIENCE

Kris E. Kimpel Landscape Architecture, Montecito, CA – Owner, Landscape Architect, 1997 – Present
George W. Girvin Associates, Inc., Santa Barbara, CA – Sr. Associate Landscape Architect, 1991-1997
Castleberg Associates, Santa Barbara, CA – Landscape Architect, 1988-1991
Quincy Johnson Associates, Boca Raton, FL – Landscape Designer, 1987-1988
David Reed Landscape Architects, San Diego, CA – Landscape Designer, 1985-1987

SELECT PROJECT EXPERIENCE

HOTEL & RESORT:

Cabo San Lucas, MX.

Cabo Del Sol Resort-Sales Office, Golf Club House, Tennis Club, Resort Entry & Interior streetscape, Resort Landscape Guidelines

Grand Hyatt Hotel- Planting design

Palmilla Hotel & Resort –Main entry and streetscape

La Caleta Resort Homes- Main entry and streetscape

Punta Ballena Resort- Main entry, streetscape and Villas

Karmina Palace Hotel – Planting design

Westlake Village Inn

Waterfront Park Plaza Hotel- Landscape Master Plan

Manzanillo, MX.

Westlake, CA

Santa Barbara, CA

ESTATE RESIDENTIAL:

Montecito, CA

Bradford Estate
Bodine Residence
Chrisman Residence
Hurst Residence
Jarc Residence
Kass Estate
Mishra Residence
Mitchell Estate
Bohn Residence
Bonn Residence
Cagan Residence
Hinkens Residence
Petersen Residence
Shiflett Residence

Oak Creek Canyon Lots 4 & 5
Schall Residence
Schnell Residence
Sheakley Residence
Sherin Residence
Short Residence
Stegall Estate
Wilczak Estate
Hartman Residence
H.R. Property Estate
Perry Residence
Rasher Residence
Messenger Residence

Hope Ranch, CA

Santa Ynez, CA

Newport Beach, CA

MEMBERSHIP SERVICES HONORS

American Society of Landscape Architects Student Honor Award, 1985

American Society of Landscape Architects, member, 1989 – Present

Santa Barbara Beautiful Awards, Santa Barbara, CA – Judge 1996

Historic Landmarks Architectural Review Commission, Santa Barbara, CA – Commissioner 1995-1999

Hope Ranch Architectural Review Board, Santa Barbara, CA – Commissioner 2001 – Present

Santa Barbara Beautiful Award Recipient - 2001



APPLICATION FOR APPOINTMENT
TO A CITY OF CARPINTERIA
BOARD/COMMITTEE

RECEIVED
CITY OF CARPINTERIA

Please Forward To:

City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

NOV 01 2012

FIDELA GARCIA
CITY CLERK

Name: DYLAN CHAPPELL ARB
Board/Committee Applied For

Residence: 4874 SAWYER AVE CARP. 93013
Street Address City Zip Code

Email: dylan@dylanchappell.com

Valid CA Driver's License: _____ Class: _____ No: _____

Business Address: 550 MAPLE ST UNIT A

Telephone: 805-205-4760 Business Telephone: 805 852 1677

Are you a Registered Voter for the City/County: YES

Are you a full-time paid officer/employee of the City/County Govt: No

Experience/Background:

Education: SEE RESUME ATTACHED
Resume may be attached

Present Occupation: SEE RESUME ATTACHED
Describe any relevant past work experience

Memberships in Organizations: _____

Reasons why you believe you should be appointed to this Board/Committee: SEE ATTACHED.

Have you served on any City Commission/Committee before: _____

If so, please list Commission(s)/Committee(s) and dates served: _____
Please use additional pages if necessary

I, the undersigned, hereby certify that all the statements contained herein above, are the true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any commission/committee of the City of Carpinteria. THIS APPLICATION MUST BE SIGNED IN INK AND DATED



Signature

10/19/12

Date

 **DYLAN CHAPPELL ARCHITECTS**

November 1st, 2012

Dylan Chappell
550 Maple Street, Unit A
Carpinteria, CA 93013
dylan@dylanchappell.com

RECEIVED

NOV 01 2012

RE: Architectural Review Board Application

CITY OF CARPINTERIA

Fidela Garcia
City Of Carpinteria
5575 Carpinteria Avenue
Carpinteria, CA 93013

Dear Ms. Fidela,

Please consider the attached application for a seat on the City of Carpinteria Architectural Review Board.

My knowledge and experience as an Architect provide the specific skills necessary to serve on the Architectural Review Board. I have made presentations to design review boards and planning commissions from San Luis Obispo to Ventura County which has given me valuable experience and understanding of the role of the Architectural Review Board in the development process.

More importantly my love of Carpinteria and appreciation for all it has to offer is my true passion for serving the community. Having the ability to live and work here is a true blessing. Being able to experience the genuine small town charm while walking to work with my dog everyday, really gives me the true essence of Carpinteria.

I look forward to discussing the role of an ARB member. I will follow up with you next week.

Respectfully,



Dylan Chappell, Architect
LIC# 32913

cc: Jackie Campbell
David Durlinger
Al Clark

DYLAN CHAPPELL

dylan@dylanchappell.com

550 MAPLE AVE SUITE A
CARPINTERIA, CA 93013
TEL 805.205.4760

SUMMARY OF QUALIFICATIONS

Dylan Chappell Architects, Carpinteria, CA
Owner-

[2010-Current]

- Marketing of all sales materials, graphic design, websites, and publications.
- Acquisition of new projects, clients and networking.
- Construction Administration on large college projects.
- Onsite and offsite project management of Prefab Construction.
- Responsible for: design and production of construction documents, City and County design review boards, and building permit acquisition.

Blackbird Architects, Inc. Santa Barbara, CA
Project Architect/ Construction Administration-

[2009-2012]

- Construction Administration on large college projects.
- Complex master plan design of public and private Universities.
- Consultant coordination and design of large multi-family developments.
- Responsible for extensive historic renovation plans and entitlement.
- Onsite and offsite project management of Prefab Construction.

Ridgetop Development, Santa Barbara, CA
Vice President/ Marketing Director

[2008-Current]

- Marketing of all sales materials, graphic design, websites, and publications.
- Acquisition of new projects, clients and networking.
- Project feasibility studies and detailed cost estimates.
- Architectural consultant on complex residential projects.

The Warner Group Architects, Inc. Santa Barbara, CA
Project Manager/ Designer-

[2006-2009]

- Accuracy of architectural and consultants construction drawings on 20,000+ sq. ft. residences.
- Coordination and design of international Country Club developments in Panama (golf courses, country clubs, high rise condo towers, low rise condos, private residences, beach clubs).
- Created unique architectural details for high end custom residential projects.
- Full spectrum of architectural, interior, land planning and landscape services for the design of high-end residential and country club project.

EDUCATION:

California Architects License

[2010]

California Polytechnic State University, San Luis Obispo_ Bachelor of Architecture

[2006]

Denmark's International Study Program_ Architectural Design

[2005]

PRO-BONO PROJECT

Tea Fire Rebuild_ Santa Barbara

[2008-2009]

Casa de Una Esperanza, Orphanage_ Juarez, Mexico

[2007-2008]



**APPLICATION FOR APPOINTMENT
TO A CITY OF CARPINTERIA
BOARD/COMMITTEE**

RECEIVED
CITY OF CARPINTERIA

Please Forward To: City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

MAY 22 2012

FIDELA GARCIA
CITY CLERK

Name: Arthur Willner Parking and Business Improvement
Board/Committee Applied For Area Advisory Board

Residence: 1254-1 Cravens Lane, Carpinteria 93013
Street Address City Zip Code

Email: artwillner@cox.net

Valid CA Driver's License: Yes Class: _____ No: _____

Business Address: See above

Telephone: 805-684-3589 Business Telephone: 805-680-4342

Are you a Registered Voter for the City/County: Yes

Are you a full-time paid officer/employee of the City/County Govt: No

Experience/Background:

Education: B. A., Queens College of the City University of NY
Resume may be attached

M.B.A. UC Berkeley / Golden Gate University

See resume

Present Occupation: Practitioner Faculty, University of Phoenix

Describe any relevant past work experience

Vice-President and officer of two corporations, both startups.

Management Consultant to many large companies - See list on resume

President of Villas of Carpinteria Home Owners Association (6 years)

University instructor of many business courses including:

Memberships in Organizations: Partners in Education, Santa Barbara

Reasons why you believe you should be appointed to this Board/Committee: See Resume.

Extensive and Significant experience in business, management, Consulting and
Skilled at writing reports, making and presenting analyses, working collaboratively,
Managed parking issues at Villas of Carpinteria and recommendations.

Have you served on any City Commission/Committee before: No

If so, please list Commission(s)/Committee(s) and dates served: _____
Please use additional pages if necessary

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Signature

12/24/2012
Date

SUMMARY

Business systems professional with 30+ years of information industry experience in programming and systems development, management, management consulting, and business operations, including two startups and a breadth of different sized companies.

University and college instructor teaching courses in management and business systems, in both classroom and online environments.

EDUCATION

- MBA, University of California, Berkeley + Golden Gate University (combined)
- BA in Sociology and Mathematics, Queens College, Flushing, New York
- Full New York State four-year Regents College Scholarship

EXPERIENCE - INDUSTRY

PRINCIPAL & MANAGEMENT CONSULTANT of a business systems consulting practice
Trianna, Inc., Oakland, CA/Carpinteria, CA March 1998 to present

- Implemented a web-based decision support system for a very large health care organization
- Designed interactive web reporting and did cost analyses for a very large physician web site
- Performed audit, analysis, risk assessment, and consulting for a multi-line insurance company
- Managed enterprise Year 2000 analysis and planning for a computer hardware components manufacturer

VICE PRESIDENT OF CONSULTING SERVICES, Managed Operations for a consulting firm
BlackHawk Information Services, Inc., Danville, CA 1997 - 1998

- Managed products and operations, including sales, projects, staffing, and clients.
- Managed project managers including recruiting, hiring and staff development.
- Successfully completed all projects on time and under budget.
- Created marketing materials, proposals, and a comprehensive Year 2000 methodology.
- Developed strategic alliances with other firms, typically software utility and tool providers.
- Analyzed tools, new products, utilities, conversion and migration services to support clients.

MANAGING CONSULTANT, Regional Operations Manager for a Year 2000 consulting firm
Data Dimensions, Inc., Walnut Creek, CA 1995 - 1997

- Managed operations of multi-million dollar projects including initiation, planning, recruitment, and training.
- Sold additional engagements to existing clients and won new business.
- Completed engagements estimating cost and scope, solutions planning, and project initiation.
- Provided management consulting, change control, staffing plans, gap analysis and planning.
- Served 19 clients including banks, utilities, HMOs, insurance, public sector and manufacturing.
- Successfully started and managed an offshore program with international network in Ireland.
- Recruited, managed and trained project managers and principal consultants.

PROJECT MANAGER and CONSULTANT to operating regions and HQ staff of very large HMO
Kaiser Foundation Health Plan, Inc., Oakland, CA 1989 – 1994

Project Manager

- Implemented a client/server corporate database environment using Sybase and Powersoft.
- Developed extensive cost models for a \$70 million, 10-year outsourcing contract for 5 regions.
- Converted a defined contribution benefits system from outsourced to in-house reducing costs 35%.
- Negotiated vendor contracts and established enterprise-wide progressive discount structure.

Cost Management System Consultant

- Consulted to management to implement a comprehensive health care cost management system.
- Saved over \$1 million by eliminating outside consultants, improving efficiency and support.
- Provided decision-making data on planning, budgeting, scheduling and resources.
- Established information exchange between regions and vendor via conferences and consulting.

INFORMATION SYSTEMS CONSULTANT for a variety of firms 1988 – 1989, 1994

- Provided management guidelines and software evaluation for a large benefits system proposal.
- Implemented new software versions of the Genesys Human Resources Management System.
- Designed and implemented testing for a flexible benefits system at John Hancock Life Ins. Co.
- Trained staff, programmed salary changes, and performed upgrades for Hitachi Data Systems.

SENIOR VICE PRESIDENT, Product Development and Customer Support, for a software vendor
Genesys Software Systems, Inc., Methuen, MA 1981 – 1987

Management

- A company founder and officer.
- Led and managed operations for products, support and computing environment.
- Key contributor in growth from \$2 to \$10 million revenue in 5 years, doubling the client base.
- Developed and recruited professional staff, managing 1/3 of the company, about 45 personnel.
- Gave keynote speeches at annual user conferences.

Product Development

- Directed development of new product lines – 3 new applications and 3 trademarked products.
- Designed and planned version control and product migration strategies.
- Decreased costs by consolidating source code freeing up 20% of maintenance staff.
- Managed company's computing as outsourced; implemented in-house mainframe data center.

Customer Support

- Reengineered customer support, major improvements in customer satisfaction and references.
- Designed and implemented quantitative measurements and controls to manage customer problems.
- Established new departments for Quality Control and Product Documentation.
- Improved responsiveness to customer phone calls by more than 100%.

DIRECTOR OF DATA PROCESSING for a 50-unit restaurant chain operating in 8 states
International Kings Table, Inc., Eugene, OR 1978 - 1981

- Directed a department of eight staff of programmers, operations, and production control.
- Developed and installed a comprehensive payroll-personnel system package.
- Managed an in-house DEC and an outsourced IBM mainframe system with file interfaces.
- Designed, developed and installed a fixed asset system.
- Negotiated contracts to sell excess computer time.

PROJECT LEADER and SENIOR PROGRAMMER ANALYST developing systems for a large HMO
Kaiser Foundation Health Plan, Inc., Oakland, CA 1972 - 1978

- Maintained major membership systems generating \$40 million in yearly revenue, directed 2 staff.
- Lead programmer in development of billing systems generating 60,000 bills per month.
- Developed a system producing embossed credit-card-type member identification cards.
- Converted systems from Honeywell to IBM as part of an enterprise-wide platform conversion.
- Served on Information Services Standards Committee developing enterprise-wide standards.
- Developed a comprehensive multi-purpose software utility for testing and file comparisons.

PROGRAMMER ANALYST developing and maintaining COBOL systems for a large insurance company
Metropolitan Life Insurance Co., Inc., San Francisco, CA 1970 - 1972

- Programmed illustrations of personal insurance for marketing featuring 1-day turnaround.
- Analyzed, designed and developed an audit system of insurance sold.
- Implemented utility software interfaces between two computer systems.

EXPERIENCE - TEACHING

FACULTY, University Of Phoenix, January 2001 to present

- Teach online, classroom, and flexnet (hybrid of online and classroom)
- Taught 150+ graduate and undergraduate classes
- Taught 100+ online classes
- Approved to teach 75+ courses in the following colleges:
 - Business and Management (Undergraduate and Graduate)
 - College of Arts and Sciences
 - Information Systems and Technology (Undergraduate and Graduate)

Courses taught include:

- Managerial Communication and Ethics
- Interdisciplinary Capstone Course
- Critical Thinking and Decision Making
- Skills for Lifelong Learning (I and II)
- Applied Studies in Information Technology
- Fundamentals of Business Systems Development
- Information Management in Business
- Information Resource Management
- Project Planning and Implementation
- Project Management in the Technological Environment

INSTRUCTOR, Santa Barbara City College

Taught Introduction to Computer Applications (MS Office), COMP 101, Spring & Fall, 2011
Taught Introduction to Computer Information Systems, CIS 101, Fall 2007
Taught Strategic Planning in Business, MGMT 104, Spring 2006

INSTRUCTOR, various community colleges, 1976 - 1980

Laney College, Oakland, California
College of Alameda, Alameda, California
Lane Community College, Eugene, Oregon

Taught data processing and programming courses.

CONSULTING CLIENTS, 1989 to present

Aetna Health Services	John Hancock Life Insurance Company
Bank of Boston	Kaiser Permanente
Blue Cross Blue Shield of Nebraska	Lawrence Livermore National
Board of Equalization (State of California)	Laboratory
California State Automobile Assn.	Levi Strauss and Company
California State Lottery	Los Angeles Dept. of Mental Health
CalTrans (State of California)	Massachusetts Mutual Insurance Co.
Century National Insurance	Oacis Health Systems
Children's Hospital, Boston	Pacific Gas and Electric Co.
Clorox	Philip Morris International
Consolidated Edison of New York	Quick Response Systems
Contra Costa County (California)	San Joaquin County (California)
Department of Industrial Relations, CA	Siemens Business Communications
Franchise Tax Board (California)	Sonoma County (California)
Hitachi Data Systems	Vanstar
	Viking Components, Inc



CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE

RECEIVED

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

JAN 22 2013

CITY OF CARPINTERIA

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

Bluffs Property Management Advisory Board

APPLICANT:

Kelley Skumautz

Name

5290 Ogan Rd Carpinteria
CA 93013

Address

906 Garden St Santa Barbara
CA 93101

Business Address

Kelley@13trees.net

Email

310-871-6934

Phone Number(s)

Are you a resident of the City of Carpinteria? yes

EXPERIENCE/ BACKGROUND:

B.A. Cultural Anthropology/Environmental Studies Univ. of WI-Madison
Education M.A. Humanities Mount St. Mary's College, Los Angeles

Development Director, Environmental Defense Center, TreePeople, Heal
Present Occupation (Please describe any relevant past work experience) the Ba,

Carpinteria Beautiful, West Bluffs Conservancy
Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

Please see attached

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

n/a

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Signature

Kelley Skumautz

Date

1/18/13

**Kelley Skumautz
5290 Ogan Rd
Carpinteria, CA 93013**

January 18, 2013

Dear City of Carpinteria,

Thank you for the opportunity to express my interest in serving on Carpinteria's Bluffs Property Management Advisory Board. Two and a half years ago my husband and I found our lives in flux. I was ready to make a career move and together we had the luxury of determining where in the world I might want to pursue something new. My husband has a long time connection to Santa Barbara County (UCSB grad and his best friend lives in Carp) and he resoundingly chose this area to be the place to which we escaped from Los Angeles, and therein I pursued a new job opportunity. In our twelve years together, my (now) husband has brought me to Carpinteria beaches and city parks to enjoy recreational and aesthetic offerings. Our very first weekend away together was to Santa Barbara, in 2005 we were engaged on Santa Claus beach, and after we adopted our dog, his initiation to any beach experience occurred at Rincon. Needless to say, Carpinteria was a very special place to me long before I became a proud resident.

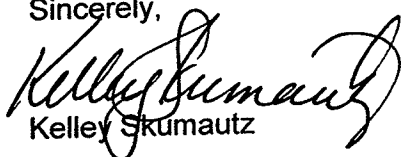
My personal, professional, and extracurricular lives often overlap and I am many things including outdoor recreationalist, organizer, environmentalist, and committed volunteer. These are the primary qualities I will bring to the Bluffs Property Management Advisory Board. I also understand the complexities of urban planning and design as well as open space management, and I am unbiased in weighing options for proposed uses to benefit the general good.

From 2004-2009, I served as Treasurer of the West Bluffs Conservancy – a grassroots organization founded to protect and preserve the Ballona West Bluff, a 44-acre parcel south of the Ballona Wetlands in L.A. And, in my work-a-day world, I am the Development Director of the Environmental Defense Center, a key player in the preservation of the Bluffs and via which I participate in open space management discussions of all kinds.

The Bluffs are an iconic part of Carpinteria's natural beauty. Ideas for enhancement projects are of great interest to me and I believe I am a qualified candidate to serve on the Advisory Board and will bring a fair approach to management issues as they arise.

Thank you for your time and consideration.

Sincerely,


Kelley Skumautz



**CITY OF CARPINTERIA
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City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED

JAN 17 2013

CITY OF CARPINTERIA

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

Tree Advisory Board

APPLICANT: Julie Broughton

Name

714 Oak Ave, Carpinteria

Address

180 N. Ashwood, Ventura

Business Address

jbroughton@

Email

vinconconsultants.com

805 452-9192

Phone Number(s)

805 644-4455

Are you a resident of the City of Carpinteria? yes

EXPERIENCE/ BACKGROUND:

BS Ecology + Evolution UCSB, PhD (c), Earth Science, UCSB

Education

Certified Arborist, Senior Botanist

Present Occupation

(Please describe any relevant past work experience)

ISA ASCA

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

see attached

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

none

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

[Signature]

Signature

14 Jan 13

Date

Julie Broughton
Tree Advisory Board, City of Carpinteria

Reasons why I believe I should be appointed:

As a life-long resident of Carpinteria I have a unique view into the trees and 'urban forest' that surround the City and understand the emotions residents can have concerning those trees. As a botanist, Certified Arborist/Municipal Specialist and Certified Tree Risk Assessor I have the ability to integrate scientific knowledge into decisions made about the trees of Carpinteria. As an environmental consultant I have experience working with municipal regulations for both regulatory agencies and public clients. The combination of these qualifications would allow me to assist in determining appropriate decisions for all aspects of tree protection, health assessment, necessary maintenance and public requests.



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5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED

JAN 17 2013

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

CITY OF CARPINTERIA

Mobilhome Park Rent Stabilization Board

APPLICANT: Catherine Overman

Name

5750 Via Real

Address

catarina.lux@hotmail.com

Email

805-566-0999

Phone Number(s)

Business Address

Are you a resident of the City of Carpinteria? YES

EXPERIENCE/ BACKGROUND:

College,

Education

Lighting Designer - Bookkeeper -

Present Occupation (Please describe any relevant past work experience)

CVAC - R&ME, Inc - LiveWork Committee - Streetscapes committee

Memberships in Organizations

Telluride Co

Reasons why you believe you should be appointed (attach additional sheets if necessary):

Homeowner at Rancho Coronada - legislative committee
I have a vested interest in protecting mobilhome rent
stabilization. Served on local G&SMDL committee.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

none

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THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Coverman

Signature

1.15.13

Date



CITY OF CARPINTERIA
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RECEIVED

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

JAN 11 2013

COMMUNITY DEVELOPMENT
DEPARTMENT

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

Mobile Home ^{Rent} Stabilization Board

APPLICANT:

Daniel Trevor
Name

5700 Via Real # 112
Address

N/A
Email

Retired
Business Address

566-1252
Phone Number(s)

Are you a resident of the City of Carpinteria? Yes 27 years

EXPERIENCE/ BACKGROUND:

1 year college - Radiology Tech. + many years Carpinteria Volunteer
Education

Retired - Program Director Am. Cancer Society; Judicial Asst. Muni Court
Present Occupation (Please describe any relevant past work experience)

Carp. Host, Seal Watch, St. Joseph Food Distribution, Past Project Chair Camp.
Memberships in Organizations Museum, whale watch, Plant Sale Chair Museum
for 5 years -

Reasons why you believe you should be appointed (attach additional sheets if necessary):

Lived in mobile home since 1986. Involved in Community.
Recommended to apply by Fred Shaw & Lisa Gurvitz. Willing to
come forward and state my opinions. Reliable. Dedicated.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

Iowa City, Iowa Housing Commission 1985

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Daniel Trevor 1-11-13
Signature Date



CITY OF CARPINTERIA
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COMMITTEE

Please return to: City Clerk's Office

City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

*Camp First
Committee*

APPLICANT: Greg Fehr

Name

830 San Ysidro Rd., Montecito 93108 greg@cidib.com

Address

Email

1024 Casitas Pass Rd.

Cell: 858-775-9953

Business Address

Phone Number(s)

Are you a resident of the City of Carpinteria? NO

EXPERIENCE/ BACKGROUND:

Some College - ASU Tempe AZ

Education

Owner/Operator Do it Best Hardware Former V.P. Sales
United Pet Group

Present Occupation

(Please describe any relevant past work experience)

New to area; formerly involved on committees in Del Mar CA

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

Willing to commit and actively participate

Personally invested in community

Business owner with sales and marketing background

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

N/A

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

[Signature] 12/4/12

Signature

Date



CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED
CITY OF CARPINTERIA

JAN 23 2013

FIDELA GARCIA
CITY CLERK

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

First Friday Committee

APPLICANT: Shannen A. Gibbs
Name

601 Grande Ave, Ojai CA 93023 50142@Coffeebean.com
Address Email

4991 Carpinteria Ave 805-745-5861
Business Address Phone Number(s)

Are you a resident of the City of Carpinteria? No, I live in Ojai and Manage the
Coffee Bean & Tea Leaf in Carpinteria
EXPERIENCE/ BACKGROUND:

BAUCSB Psychology/Sociology
Education

General Manager
Present Occupation (Please describe any relevant past work experience)

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary):

I am dedicated to helping our businesses in
Carpinteria grow. I look forward to developing
ideas with our group to grow our community.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Shannen A. Gibbs 1/22/13



CITY OF CARPINTERIA
APPLICATION FOR APPOINTMENT
TO A CITY BOARD, COMMISSION OR
COMMITTEE

Please return to: City Clerk's Office
City of Carpinteria
5775 Carpinteria Avenue
Carpinteria, CA 93013

RECEIVED

CITY OF CARPINTERIA

JAN 28 2013

FIDELA GARCIA
CITY CLERK

BOARD, COMMISSION OR COMMITTEE APPLIED FOR:

CARPINTERIA FIRST

APPLICANT: LAUREN WILSON

Name

7385 SHEPARD MESA RD.

Address

4859 CARPINTERIA AVE.

Business Address

DNADESIGNART@GMAIL.COM

Email

818-355-9371

Phone Number(s)

Are you a resident of the City of Carpinteria? YES

EXPERIENCE/ BACKGROUND:

B.A. SCREENWRITING : LOYOLA MARYMOUNT UNIVERSITY SCHOOL OF FILM & TELEVISION

Education

CO-FOUNDER/STORE MANAGER DNA DESIGN & ART : GRAPHIC DESIGNER

Present Occupation (Please describe any relevant past work experience)

MEMBER CARPINTERIA CHAMBER OF COMMERCE

Memberships in Organizations

Reasons why you believe you should be appointed (attach additional sheets if necessary): SEE ATTACHED

I am a young entrepreneur who wants to help small businesses thrive in Carpinteria through collaboration and community building. I have creative ideas and solutions, and I want to be an active member of our great, small town.

Please list City Commission/Committee/Board (including dates) you are currently serving on or have served on:

NONE

I, the undersigned, hereby certify that all the statements contained herein above, are true and correct to the best of my knowledge and belief. I understand that false statements in my application will disqualify me from service on any Commission/Committee/Board of the City of Carpinteria. If appointed, I understand I will be responsible for filing an annual Statement of Economic Interests and fulfilling ethics training, and failure to do so in a timely manner may be cause for termination of position. This application is a public document and is available for review.

THIS APPLICATION MUST BE SIGNED IN INK AND DATED

Lauren B. Wilson
Signature

1-23-13
Date

I opened my first business, *DnA design & art*, in Carpinteria this past July with my mother, Theresa Wilson. Within just a few months I had met dozens of Carpinteria business owners, artisans, restaurateurs, and city representatives who all had honest advice and a warm welcome to offer. My hope is to continue to foster Carpinteria's healthy sense of community by conceiving of and implementing exciting new events that attract Carpinterians and outside visitors.

As a 25 year old, I'd like to reach out to my generation and get them enthused about all that Carpinteria has to offer - from great food, to cool shops, outdoor activities, art galleries, and a budding young social scene. We are a town brimming with artists and agriculture, in perhaps one of the planet's most beautiful corners. And our businesses need to work together to discuss the best paths toward collaboration and growth.

I am a big supporter of the First Friday and Saturday Sales events, and I believe they need a bit of a resurrection. The participation and enthusiasm shown by local merchants corresponds to the number of visitors who seek out the event. We need to open up communication between businesses and work together to bring First Fridays, and other downtown events, back to life.

Thank you for your consideration,

Kindly, *Gauren G. Wilson*

and a variety of organizations. I have been the Department's IPM Specialist for 20 years. With my background and passion for safe pest management, I believe I can contribute to the IPM Committee in the areas of the regulatory aspects of safe use of pesticides, the biological aspects of pest management and my experience in IPM education and outreach.

Mary Ann Rajala

25 Jan 13



Agricultural Commissioner's Office
Weights & Measures • County of Santa Barbara

MARY ANN RAJALA
Supervising Biologist

263 Camino del Remedio • Santa Barbara, CA 93110
Phone (805) 681-5600 • Fax (805) 681-5603
mrajala@co.santa-barbara.ca.us

Attachment C

RESOLUTION NO. 5432

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
PLANNING COMMISSION FOR
THE TERM ENDING JANUARY 31, 2013

WHEREAS, under the provisions of Carpinteria Municipal Code Chapter 2.32 a Planning Commission, composed of five members, exists to serve as the City's planning body and to advise the City Council on land use, planning and related matters; and

WHEREAS, pursuant to Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the Commission.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect at the pleasure of the City Council for the two-year term ending January 31, 2015.

APPOINTED TO THE PLANNING COMMISSION:

1. _____
2. _____
3. _____
4. _____
5. _____

RESOLVED FURTHER THAT any appointed Commission member who fails to attend two consecutive regular meetings of the Commission without excuse acceptable to the City Council shall be deemed to have resigned from said Commission and the position declared vacant.

Resolution No. 5432

Page 2

PASSED, APPROVED AND ADOPTED this 11th day of February 2013, by
the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced
and adopted at a regular meeting of the City Council of the City of Carpinteria
held the 11th day of February, 2013.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5433

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
ARCHITECHURAL REVIEW BOARD FOR
THE TERM ENDING JANUARY 31, 2015

WHEREAS, under the provisions of Carpinteria Municipal Code Chapter 2.36 an Architectural Review Board, composed of five members, exists to advise City staff, the Planning Commission and City Council on architectural design and landscape matters; and

WHEREAS, pursuant to Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the Board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect at the pleasure of the City Council for the two-year term ending January 31, 2015.

APPOINTED TO THE ARCHITECHURAL REVIEW BOARD:

1. _____
2. _____
3. _____
4. _____
5. _____

RESOLVED FURTHER THAT any appointed Board member who fails to attend two consecutive regular meetings of the Commission without excuse acceptable to the City Council shall be deemed to have resigned from said Commission and the position declared vacant.

Resolution No. 5433
Page 2

PASSED, APPROVED AND ADOPTED this 11th day of February 2013, by
the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced
and adopted at a regular meeting of the City Council of the City of Carpinteria
held the 11th day of February 2013.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5434

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
PARKING AND BUSINESS IMPROVEMENT
AREA ADVISORY BOARD FOR
THE TERM ENDING JANUARY 31, 2013

WHEREAS, under the provisions of Carpinteria City Council Resolution No. 1882, a Parking and Business Improvement Area Advisory Board, composed of five members, exists to advise the City Council on parking and business improvement matters within a designated retail business area of the City; and

WHEREAS, pursuant to Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the Board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect at the pleasure of the City Council for the two-year term ending January 31, 2015.

APPOINTED TO THE PARKING AND BUSINESS
IMPROVEMENT AREA ADVISORY BOARD:

1. _____
2. _____
3. _____
4. _____
5. _____

RESOLVED FURTHER THAT any appointed boardmember who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013,
by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5435

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
BLUFFS MANAGEMENT ADVISORY BOARD FOR
THE TERM ENDING JANUARY 31, 2013

WHEREAS, under the provisions of Carpinteria City Council Resolution No. 4694 a Bluffs Management Advisory Board, composed of seven members, was created as a requirement of the Bluffs Conservation Easement; and

WHEREAS, the Bluff Management Advisory Board is needed to assist the City in its compliance with the terms of the Bluffs Conservation Easement, the authoring of a management plan, and the application for grant and endowment funds to further protect the property; and

WHEREAS, pursuant to Carpinteria Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect, at the pleasure of the City Council, for the two-year term ending January 31, 2015.

APPOINTED TO THE BLUFFS MANAGEMENT ADVISORY BOARD:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

RESOLVED FURTHER THAT any appointed boardmember who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013, by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor

ATTEST:

City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

City Clerk

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5436

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
TREE ADVISORY BOARD FOR
THE TERM ENDING JANUARY 31, 2013

WHEREAS, under the provisions of Carpinteria Municipal Code Chapter 12.28, a Tree Advisory Board, composed of five members, exists to advise the City Council on street tree and other tree and planting matters; and

WHEREAS, pursuant to Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the Board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect at the pleasure of the City Council for the two-year term ending January 31, 2013.

APPOINTED TO THE TREE ADVISORY BOARD:

1. _____
2. _____
3. _____
4. _____
5. _____

RESOLVED FURTHER THAT any appointed boardmember who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013 by
the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor

ATTEST:

City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced
and adopted at a regular meeting of the City Council of the City of Carpinteria
held the 11th day of February 2013.

City Clerk

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5437

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA
MOBILE HOME PARK RENT STABILIZATION BOARD FOR
THE TERM ENDING JANUARY 31, 2013

WHEREAS, under the provisions of Carpinteria Municipal Code Chapter 5.69 a Mobile Home Park Rent Stabilization Board, composed of five members, exists to approve, set and adjust the rent schedule and maximum rents for mobile home tenancies in the City in accordance with Chapter 5.69; and

WHEREAS, pursuant to Municipal Code Section 2.24.010, the terms of all appointed commissions and boards expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the Board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect at the pleasure of the City Council for the two-year term ending January 31, 2015.

APPOINTED TO THE MOBILE HOME PARK RENT
STABILIZATION BOARD:

1. _____
2. _____
3. _____
4. _____
5. _____

RESOLVED FURTHER THAT any appointed Boardmember who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013,
by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor

ATTEST:

City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 14th day of February 2013.

City Clerk

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5438

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE CARPINTERIA FIRST COMMITTEE
FOR THE TERM ENDING JANUARY 31, 2013

WHEREAS, the Carpinteria City Council on May 11, 2009, approved by Council action the Carpinteria First Committee, composed of nine members; and

WHEREAS, the Carpinteria First Committee is needed to assist the City in improving the marketing of the City so as to generate local and tourist interest in its shopping areas, providing economic vitality for the businesses and the City; and

WHEREAS, pursuant to Carpinteria Municipal Code Section 2.24.010, the terms of all appointed commissions, boards and committees expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect, at the pleasure of the City Council, for the two-year term ending January 31, 2015.

APPOINTED TO CARPINTERIA FIRST COMMITTEE:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____

RESOLVED FURTHER THAT any appointed committee member who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013, by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

Mayor

ATTEST:

City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

City Clerk

APPROVED AS TO FORM:

City Attorney

RESOLUTION NO. 5439

A RESOLUTION OF THE CARPINTERIA CITY COUNCIL
APPOINTING MEMBERS TO THE
INTEGRATED PEST MANAGEMENT ADVISORY COMMITTEE
FOR THE TERM ENDING JANUARY 31, 2013

WHEREAS, the Carpinteria City Council on January 9, 2012, approved by Council action the Integrated Pest Management Advisory Committee, composed of nine members; and

WHEREAS, the Integrated Pest Management Advisory Committee is needed to assist the City in implementing and amending the City's IPM Policy; and

WHEREAS, pursuant to Carpinteria Municipal Code Section 2.24.010, the terms of all appointed commissions, boards and committees expire on January 31, 2013, and therefore all such positions are vacant subject to certain exceptions; and

WHEREAS, pursuant to California Government Code Section 54970 et seq., all vacancies on appointed boards and commissions have been duly advertised and all interested persons have been invited to indicate their interest in serving; and

WHEREAS, the City Council has reviewed and considered all persons who have indicated an interest in serving and the Mayor has recommended that certain persons be appointed to the board.

NOW, THEREFORE, the Carpinteria City Council hereby resolves that the following appointments are approved and confirmed effective February 11, 2013, and that such appointments are to continue in effect, at the pleasure of the City Council, for the two-year term ending January 31, 2015.

APPOINTED TO INTEGRATED PEST MANAGEMENT ADVISORY
COMMITTEE:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____

RESOLVED FURTHER THAT any appointed committee member who fails to attend two consecutive regular meetings of the Board without excuse acceptable to the City Council shall be deemed to have resigned from said Board and the position declared vacant.

PASSED, APPROVED AND ADOPTED this 11th day of February 2013, by the following called vote:

AYES: COUNCILMEMBER:

NOES: COUNCILMEMBER:

ABSENT: COUNCILMEMBER:

ABSTAIN: COUNCILMEMBER:

ATTEST:

Mayor

City Clerk

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 11th day of February 2013.

APPROVED AS TO FORM:

City Clerk

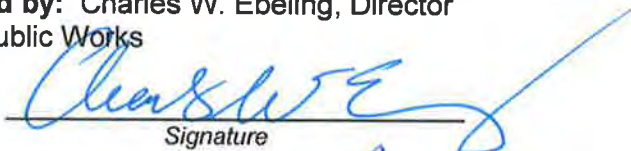
City Attorney

STAFF REPORT
COUNCIL MEETING DATE:
February 11, 2013

ITEMS FOR COUNCIL CONSIDERATION:

**Linden Avenue and Casitas Pass Road Interchanges Project –
Authorization to Execute a Freeway Agreement with the
California Department of Transportation and Presentation of Soundwall Information**

Report prepared by: Charles W. Ebeling, Director
Department: Public Works


Signature

**Reviewed by
City Manager:**


Signature

ACTION X **NON-ACTION** ____ **STAFF RECOMMENDATION:**

Staff Recommends that the Council:

1. Adopt Resolution No. 5441 authorizing the execution of a Freeway Agreement with the State of California, Department of Transportation for the Linden Avenue and Casitas Pass Road Interchanges Project.
2. Receive information on the location of proposed soundwalls that will be constructed in association with the Project.

Sample Motion: I move to adopt Resolution No. 5441, authorizing the execution of a Freeway Agreement with the State of California, Department of Transportation for the Linden Avenue and Casitas Pass Road Interchanges Project and to receive and file information on the location of proposed Soundwalls for the Project

I. PROJECT DESCRIPTION:

The Linden Avenue and Casitas Pass Road Interchanges Project consists of replacing both the Linden Avenue and Casitas Pass Road overcrossings of US 101, reconfiguring the northbound on- and off-ramps at Casitas Pass Road, extending the northbound Linden Avenue on-ramp, replacing the US 101 freeway bridges over Carpinteria Creek and extending Via Real to Casitas Pass Road and to Linden Avenue. The project will also include new retaining walls, sound walls, traffic signals and drainage structures. Caltrans is the lead agency in proposing the joint City/SBCAG/Caltrans project. The project objectives are to improve access and operations at these two interchanges, improve operations on US 101, reduce the use of US 101 for local trips, improve public transportation accessibility, improve local vehicular, bicycle and pedestrian circulation and reduce emergency response times.

The project also includes a Local Coastal Program Amendment (LCPA). The LCPA will address environmental issues related to the design and construction of the Interchanges Project. The LCPA will propose to add coastal trail connections to the north and south of the City. To the north, the Santa Claus Lane Trail extension between the freeway and the Salt Marsh would be built; to the south, the Rincon Trail that connects Carpinteria to Rincon Beach County Park would be built.

The construction cost of the Linden Avenue and Casitas Pass Road Interchanges project is estimated to be approximately \$75 million. The project is now fully funded by the State Transportation Improvement Plan. Additional project information, including a detailed description, project history, funding and schedule, were presented to the City Council in a Staff Report and presentation on June 25, 2012 and can be found on the City's website at <http://www.carpinteria.ca.us/agendas/cc/ccagsm062512.htm>.

I. BACKGROUND:

As Caltrans works through its extensive process to deliver a major project such as the Linden Avenue and Casitas Pass Road Interchanges Project, several parallel steps are occurring including obtaining the necessary right-of-way property and easements from the project's adjacent private property owners. The right-of-way needed for the project is for sound walls, retaining walls, fencing and for temporary construction access. These will all be easements that will be acquired from the adjacent private property owners. Caltrans will also purchase all or some of three properties for the project. The purchased property will be for the Casitas Pass Interchange on and off-ramps and for the Via Real extensions. At this time, the appraisals have been completed for all of the properties. Caltrans has also reported that all of the property owners have been contacted and all are willing to sell the needed property or easements at this time. The following is a list of easements and purchases that are needed for the project:

- Sound Wall Easements 20
- Retaining Wall Easements 1
- Access Denial Fencing Easements 2
- Temporary Construction Easements 2
- Purchases of Rights-of-Ways
 - 0.17 Acres from Verizon for Via Real
 - 5.09 Acres from a private owner for Casitas Pass Road On and Off Ramps and Via Real
 - 2.15 Acres from the County of Santa Barbara for the Via Real extensions

The number of easements refers to the number of parcels that easements are required to be obtained from. The number does not represent the number of walls or fences. At its May 29, 2012 meeting, the City Council passed Resolution No. 5392. Passing the resolution was the first step in the process, required by state law and Caltrans administrative policies for the acquisition of right-of-way (real property). To consummate the property acquisition process, the Freeway Agreement, discussed herein, must be completed.

II. DISCUSSION:

The California Streets and Highways Code requires Caltrans to document the understanding between the City and Caltrans relating to the planned traffic and circulation features of the freeway. The Freeway Agreement must be completed before Caltrans can purchase right-of-way, as previously discussed. The purpose of the Freeway Agreement between the State and the City is, generally, to recognize where and how local streets will be affected by the State highway project. The Freeway Agreement is Exhibit A to Resolution No. 5441, which is contained in Attachment A of this Staff Report. The key terms of the agreement are summarized below:

1. The proposed Freeway Agreement supersedes portions of two previous Freeway Agreements. Previous Freeway Agreements covered different sections of the freeway through the City. The latest agreement was dated November 5, 1971.
2. The City agrees and consents to street closures and relocations affecting City streets to be conducted by Caltrans, as shown in the map attached to the Freeway Agreement.
3. The State shall make all such changes to City Streets at its expense
4. The State agrees to acquire all of the necessary rights-of-way for the project improvements
5. The City will accept control and maintenance over rights-of-way for local streets that were relocated, reconstructed or newly built

In addition to the Freeway Agreement discussed above, the current January 10, 1974 Freeway Maintenance Agreement, contained in Attachment B of this report, assigns responsibilities for the freeway, local road freeway overcrossings and adjacent local roadways. The Freeway Maintenance Agreement is not under consideration at this time. The Freeway Maintenance Agreement may be updated, as necessary, at the request of Caltrans or the City.

The Freeway Agreement and Freeway Maintenance Agreement do not compromise the regulatory authority delegated to the City under the Coastal Act for development review and permitting. The project must go through the extensive City of Carpinteria development review process that ultimately includes the City issuing Caltrans a Coastal Development Permit for the project, which will include conditions dictating the manner in which the construction work must proceed. The upcoming development review and permit process has been previously described in several recent Staff Reports and summarized below:

- Local Coastal Program Amendment Application (City of Carpinteria) 2013 – This is a permitting process that addresses portions of the project that do not meet the City's current Local Coastal Program.
- City Development Review Process (Caltrans/City of Carpinteria) 2013 – This is another permitting process required of all projects within the City. This process includes review by the ARB.

- Completion of Construction Plans, Specifications and Estimates (Caltrans) – The current status of these documents is that they are 60% complete. The Department of Public Works and other agencies are reviewing the plans at this time.
- Right-of-way acquisition and clearance (Caltrans) – Caltrans is making progress on acquiring and obtaining the necessary land to construct the project. The Freeway Agreement is necessary to complete this process.
- Utility Coordination (Caltrans) – Caltrans is coordinating the project impacts and requirements with all of the affected utilities including SCE, The Gas Company, Verizon, Cox, Carpinteria Valley Water District, Carpinteria Sanitary District, and others.
- Bidding and Awarding of the Project (Caltrans) – Caltrans is targeting the fall of 2014 for the bidding and award of the project. Construction is anticipated to begin in January 2015 with completion about three years later.

Additionally, Caltrans understands that it accepts the risk of obtaining the rights-of-way in advance of project permitting. In the event the Linden Avenue and Casitas Pass Road Interchanges Project does not proceed as planned or some of the right-of-way is not usable, Caltrans can and will be the property owner and would likely sell the properties under its policies and procedures.

Soundwalls

In response to project questions from the City Council at its regular meeting on January 28, 2013, information on the project's proposed soundwall locations is included in a map that is in Attachment C of this report.

V. ATTACHMENTS:

Attachment A: Resolution No. 5441
 Attachment B: Freeway Maintenance Agreement
 Attachment C: Soundwall Location Map

ATTACHMENT A

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RESOLUTION NO. 5441

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARPINTERIA AUTHORIZING THE EXECUTION OF A FREEWAY AGREEMENT WITH THE STATE OF CALIFORNIA, DEPARTMENT OF TRANSPORTATION FOR THE LINDEN AVENUE AND CASITAS PASS ROAD INTERCHANGES PROJECT

WHEREAS, the purpose of the funding agreement is to recognize that the project will affect the City's local street system and that the City and State of California, Department of Transportation have developed the Linden Avenue and Casitas Pass Road Interchanges Project cooperatively. The Agreement is based on and recognizes the interrelationship between State and local roadway and roadway right-of-way;

WHEREAS, the State of California, Department of Transportation is the lead agency and project manager for the Linden Avenue and Casitas Pass Road Interchanges Project;

WHEREAS, the Linden Avenue and Casitas Pass Road Interchanges Project generally includes, but is not limited to, replacing the Linden Avenue and Casitas Pass Road US 101 overcrossings, reconfiguring of US 101 on and off-ramps, extending and connecting two segments of Via Real, replacing freeway bridges over Carpinteria Creek, installing a new Via Real bridge over Carpinteria Creek, and constructing intersection improvements, drainage improvements and soundwalls;

WHEREAS, during the course of delivering and completing the Linden Avenue and Casitas Pass Road Interchanges Project, the State of California, Department of Transportation and the City of Carpinteria may enter into agreements, when necessary, including, but not limited to, a Freeway Agreement, Cooperative Agreement, Freeway Maintenance Agreement, and Property Exchange Agreement;

WHEREAS, as the need for additional agreements to provide for specific elements of the Linden Avenue and Casitas Pass Road Interchanges Project becomes apparent, such additional agreements will be provided by the State of California, Department of Transportation to the City for consideration;

WHEREAS, the State of California, Department of Transportation, prior to commencing construction work, must apply for and receive City of Carpinteria permits including, but not limited to, Conditional Use and Coastal Development permits, which will impose reasonable conditions on construction work performed by the Department of Transportation in order to protect public health and safety;

WHEREAS, a city may, pursuant to Streets and Highways Code Section 100.21, subdivision (b), authorize by resolution the purchase of rights-of-way limited to the mainline corridor of the freeway prior to the approval of an agreement required by subdivision (a), if the alignment of the freeway is not at issue;

WHEREAS, the City of Carpinteria City Council adopted Resolution No. 5392, a resolution authorizing the acquisition of rights-of-way by the State of California, Department of Transportation for the Linden Avenue and Casitas Pass Road Interchanges Project;

WHEREAS, City of Carpinteria City Council Resolution No. 5392 recognized that the Linden Avenue and Casitas Pass Road Interchanges Project does not involve a change in the alignment of US 101;

WHEREAS, no City street may be closed, either directly or indirectly, by the construction of a freeway except pursuant to an agreement ("Freeway Agreement") entered into between the State of California, Department of Transportation and the City Council pursuant to Streets and Highways Code Section 100.2;

WHEREAS, California Streets and Highways Code Section 100.21, subdivision (a), requires Caltrans to first execute a Freeway Agreement required by Section 100.2 with a city before acquiring any real property for a freeway through a City;

WHEREAS, a new Freeway Agreement will supersede, in its entirety, the Freeway Agreement with the County of Santa Barbara dated April 19, 1965 prior to the incorporation of the City of Carpinteria. A new Freeway Agreement will also supersede those portions of Freeway Agreements dated December 16, 1968 from 0.4 miles south of Cravens Lane to 0.2 miles north of Craven Lane and Freeway Agreement dated November 5, 1971 from 0.1 miles south of State Route 150 to 0.25 miles north of State Route 150;

NOW, THEREFORE, it is hereby resolved by the City Council of the City Carpinteria, California as follows:

1. The City of Carpinteria City Council authorizes the execution of the Freeway Agreement, attached herein in Exhibit A, by the Mayor on behalf of the City.
2. This Resolution shall become effective immediately upon its adoption.

PASSED, APPROVED AND ADOPTED this 11th day of February, 2013, by the following called vote:

AYES: COUNCIL MEMBER:

NOES: COUNCIL MEMBER:

ABSENT: COUNCIL MEMBER:

ABSTAIN: COUNCIL MEMBER:

Mayor, City of Carpinteria

ATTEST:

City Clerk, City of Carpinteria

I hereby certify that the foregoing resolution was duly and regularly introduced and adopted at a regular meeting of the City Council of the City of Carpinteria held the 29th day of May, 2012.

City Clerk, City of Carpinteria

APPROVED AS TO FORM:

City Attorney, City of Carpinteria

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EXHIBIT A

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05-SB-101 PM 0.5/R 4.9
In the City of Carpinteria from
0.1 mile South of Route
150 to 0.2 mile North of Cravens Lane

FREEWAY AGREEMENT

THIS AGREEMENT, made and entered into on this _____ day of _____, 2013, by and between the STATE OF CALIFORNIA acting by and through the Department of Transportation (herein referred to as "STATE"), and the City of Carpinteria (herein referred to as "CITY")

WITNESSETH:

WHEREAS, the highway described above has been declared to be a freeway by Resolution of the California Highway Commission on November 17, 1948, April 19, 1950, and October 19, 1962; and

WHEREAS, STATE and County Of Santa Barbara have entered into a Freeway Agreement dated April 19, 1965, related to that portion of State Highway Route 101 from 0.25 mile west of Route 150 and Valencia Road; and

WHEREAS, STATE and County Of Santa Barbara have entered into a Freeway Agreement dated December 16, 1968, related to that portion of State Highway Route 101 from 0.4 mile south of Cravens Lane and Sheffield Drive; and

WHEREAS, STATE and County Of Santa Barbara have entered into a Freeway Agreement dated November 5, 1971, related to that portion of the Ventura/Santa Barbara County Line and 0.25 mile west of Route 150; and

WHEREAS, CITY has subsequently incorporated and included certain areas including portions of such freeway covered by said Freeway Agreements dated November 5, 1971, April 19, 1965, and December 16, 1968 with the County of Santa Barbara; and

WHEREAS, it is the mutual desire of the parties hereto to enter into a new Freeway Agreement in accordance with the revised plan of said freeway;

NOW, THEREFORE, IT IS AGREED:

1. This Agreement supersedes in its entirety said Freeway Agreement dated April 19, 1965.
2. This Agreement supersedes those portions of Freeway Agreements dated December 16, 1968 from 0.4 mile south of Cravens Lane to 0.2 mile north of Cravens lane, and Freeway Agreement dated November 5, 1971 from 0.1 mile south of Route 150 to 0.25 mile north of Route 150.
3. CITY agrees and consents to the closing of CITY streets, relocation of CITY streets, construction of frontage streets and other local streets, and other construction affecting CITY streets, all as shown on the plan map attached hereto marked Exhibit A and made a part hereof by this reference.

4. STATE shall, in construction of the freeway and at STATES'S expense, make such changes affecting CITY streets in accordance with the plan map attached hereto marked Exhibit A.
5. STATE agrees to acquire all necessary right of way as may be required for construction, reconstruction, or alteration of CITY streets, frontage roads, and other local streets, and CITY hereby authorizes STATE to acquire in its behalf all such necessary right of way.
6. It is understood between the parties that the right of way may be acquired in sections or units, and that both as to the acquisition of right of way and the construction of the freeway projects, the obligations of STATE hereunder shall be carried out at such a time and for such unit or units of the projects as funds are budgeted and made lawfully available for such expenditures.
7. CITY will accept control and maintenance over each of the relocated or reconstructed CITY streets, and frontage roads, and other STATE constructed local roads on receipt of written notice to CITY from STATE that the work thereon has been completed, except for any portion which is adopted by STATE as a part of the freeway proper. CITY will accept title to the portions of such streets lying outside the freeway limits upon relinquishment by STATE.
8. This Agreement may be modified at any time by the mutual consent of the parties hereto, as may become necessary for the best accomplishment, through STATE and CITY cooperation, of the whole freeway project for the benefit of the people of the STATE and of the CITY.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their respective duly authorized officers.

STATE OF CALIFORNIA
Department of Transportation

THE CITY OF CARPINTERIA
By

MALCOLM DOUGHERTY
Director of Transportation
By

TERRY L. ABBOTT
Chief Design Engineer

APPROVED AS TO FORM:

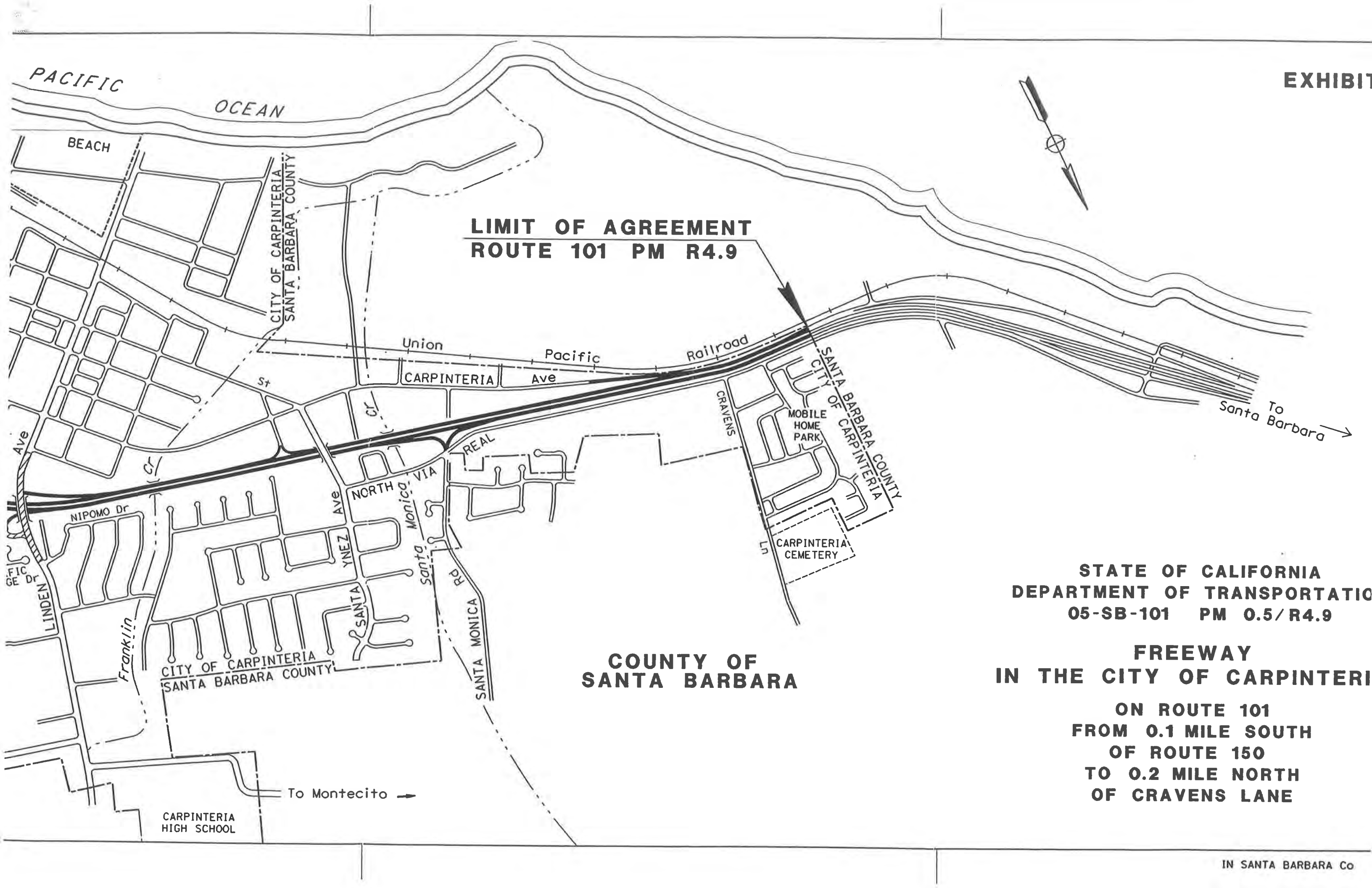
APPROVED AS TO FORM:

Attorney City of Carpinteria

Attorney State of California

ATTACHMENT B

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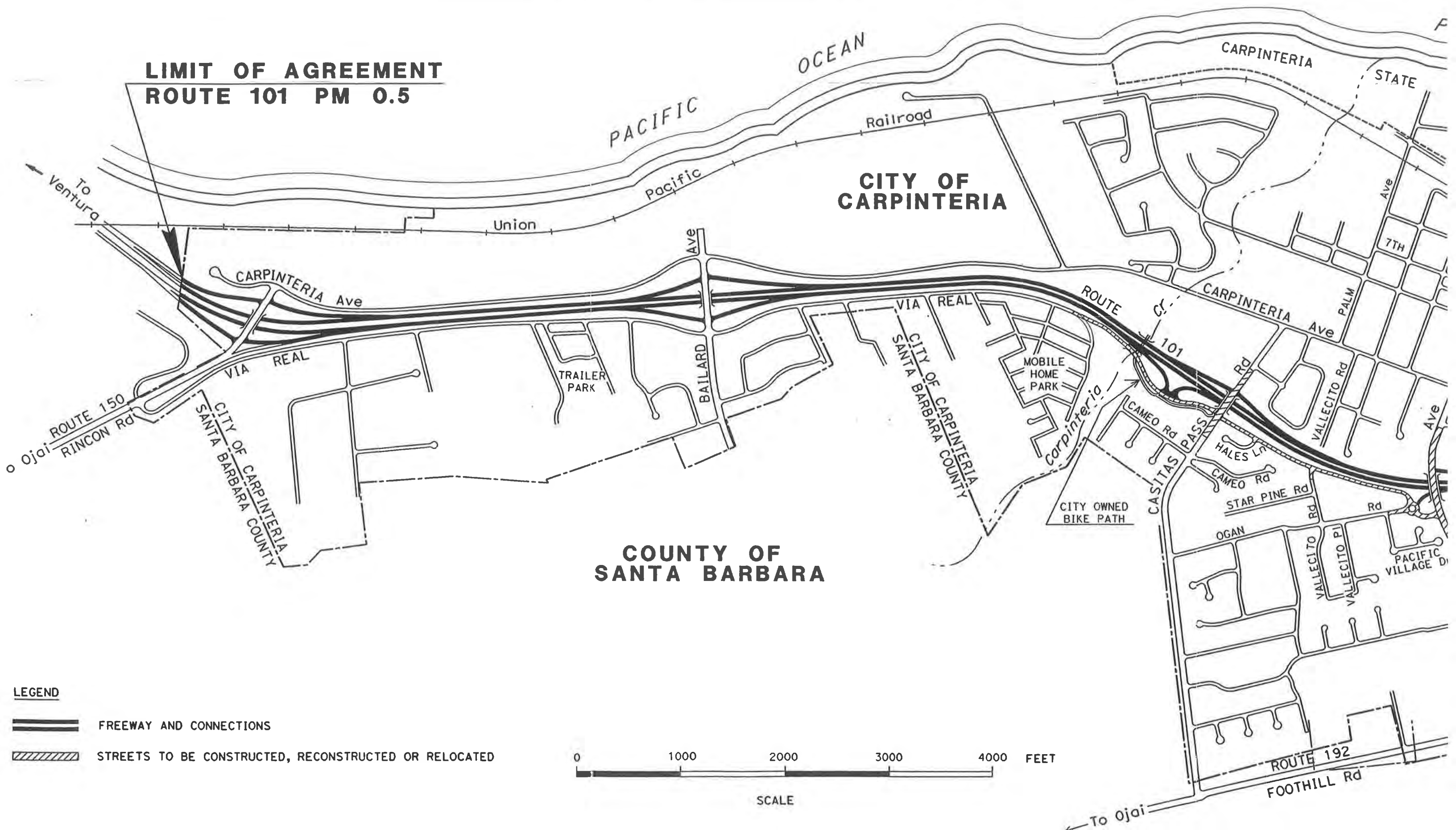
**LIMIT OF AGREEMENT
ROUTE 101 PM R4.9**

**COUNTY OF
SANTA BARBARA**

**STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION
05-SB-101 PM 0.5/R4.9**

**FREEWAY
IN THE CITY OF CARPINTERIA**

**ON ROUTE 101
FROM 0.1 MILE SOUTH
OF ROUTE 150
TO 0.2 MILE NORTH
OF CRAVENS LANE**



CITY COUNCIL
CITY OF CARPINTERIA

December 10, 1973, at 7:30 o'clock, P.M.

Present:

Mayor Henry Camacho
Councilman Ernest C. Wullbrandt
Councilwoman Margaret M. Mills
Councilman Raymond E. Seider
Councilman Kenneth B. Kilbourne
Allan R. Coates, Jr., City Manager/Clerk

RE: Authorization for the Mayor and City Clerk to execute "Freeway Maintenance Agreement" with the State Department of Transportation.

Motion was made by Councilman Wullbrandt and seconded by Councilwoman Mills to authorize the Mayor and City Clerk to execute a "Freeway Maintenance Agreement" with the State Department of Transportation.

Ayes: Councilman Ernest C. Wullbrandt
Councilwoman Margaret M. Mills
Councilman Raymond E. Seider
Councilman Kenneth B. Kilbourne
Mayor Henry Camacho

Noes: None

Received Copies:

Local Assistance Section, State
Department of Transportation

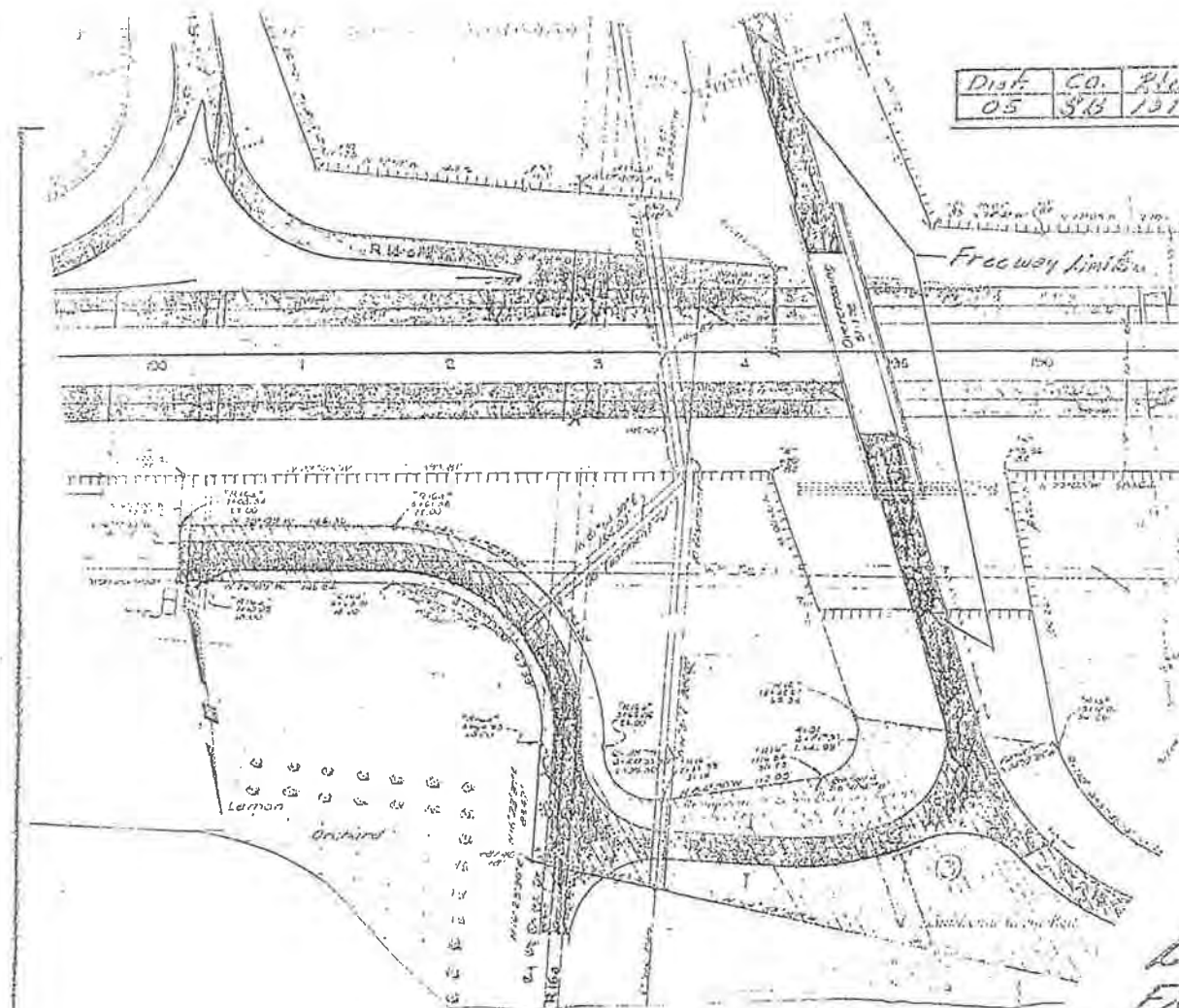
STATE OF CALIFORNIA)
County of Santa Barbara) ss

I, Allan R. Coates, Jr., City Clerk of the City of Carpinteria, Santa Barbara County, do hereby certify that the foregoing is a true and correct copy of the original now on file in my office.

In testimony whereof, I have hereunto set my hand and seal, at the City of Carpinteria, California, this 10th day of December, 1974.

By *Raymond E. Seider*, Deputy

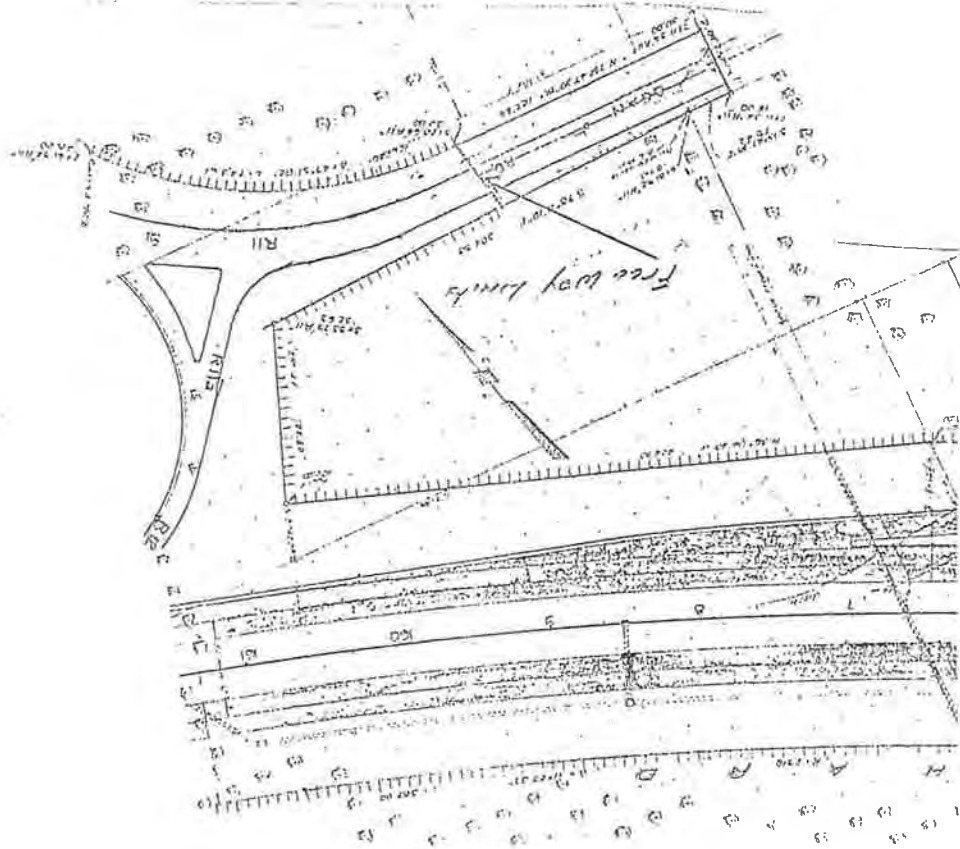
Dist.	Co.	Rte.	Mile Post	Sheet No.
05	S.B.	101	179-184	7 of 10



Area maintained by  

Loc 100 12
EXHIBIT "A"
VICINITY MAP
FREIGHTWAY MAINTENANCE AGREEMENT

DATE	CO.	Mile Post	Sheet No.
05	810	195 4.01	1 of 3



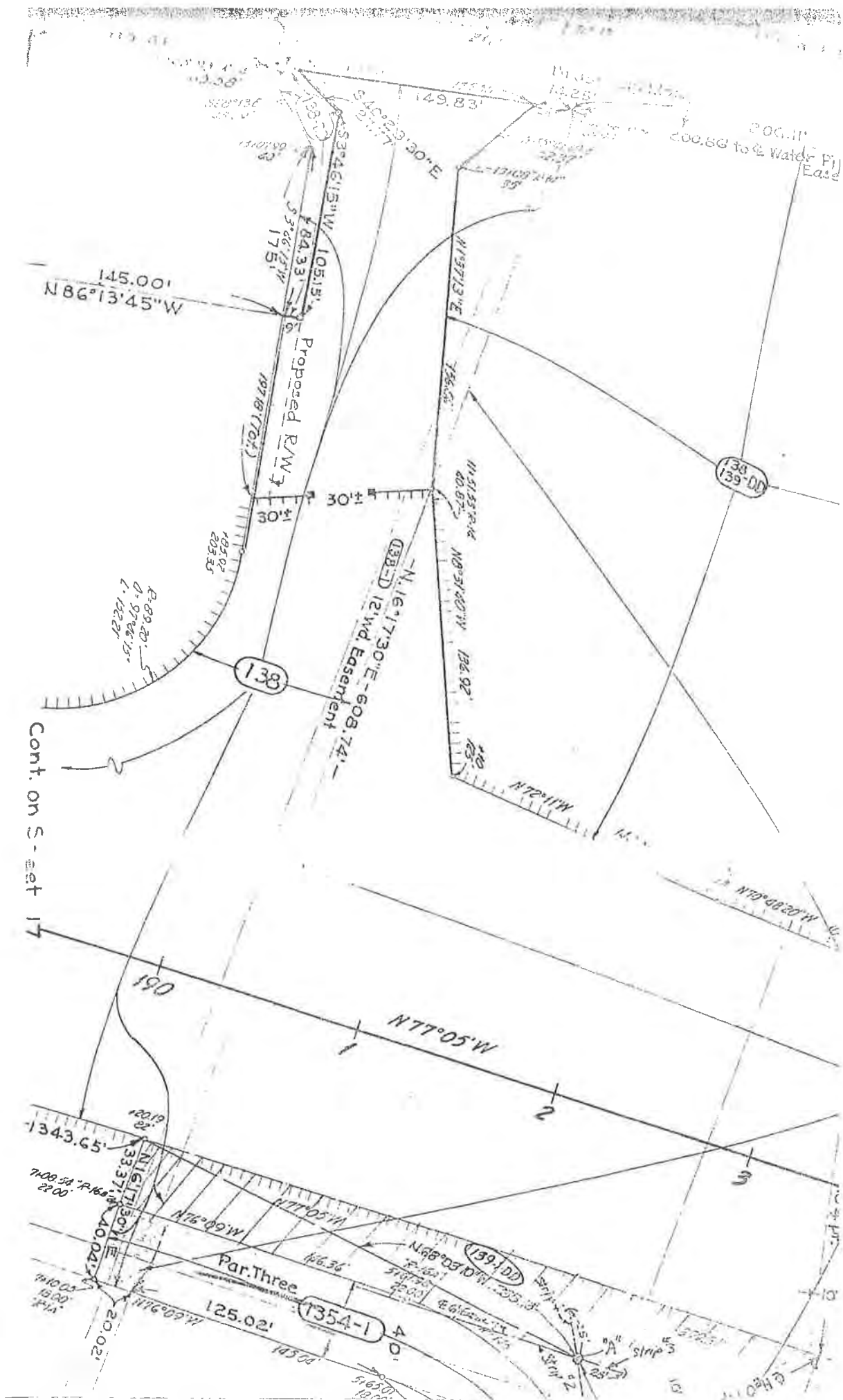
Area maintained by C&D

VICINITY MAP

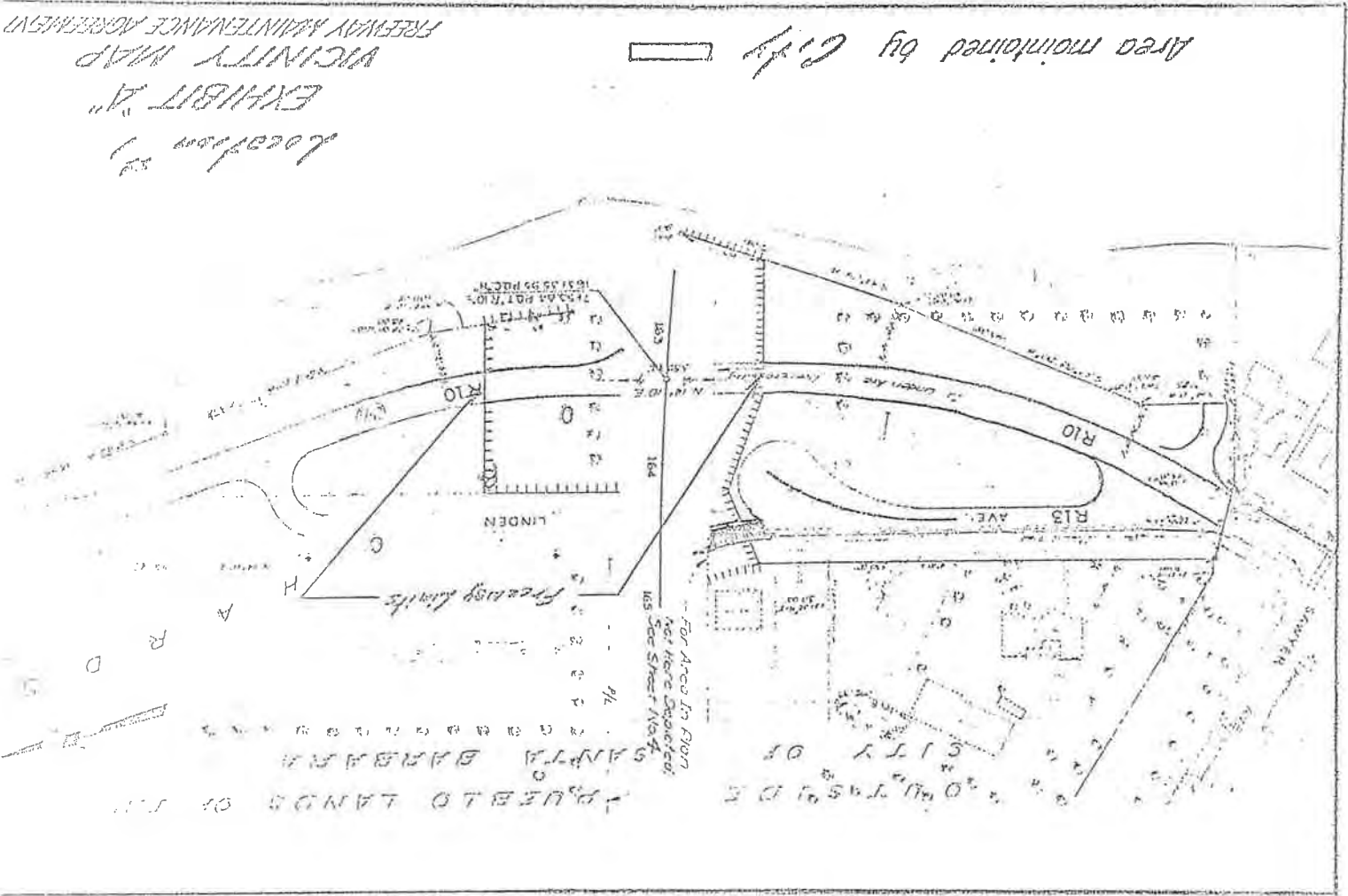
EXHIBIT "A"

Location of

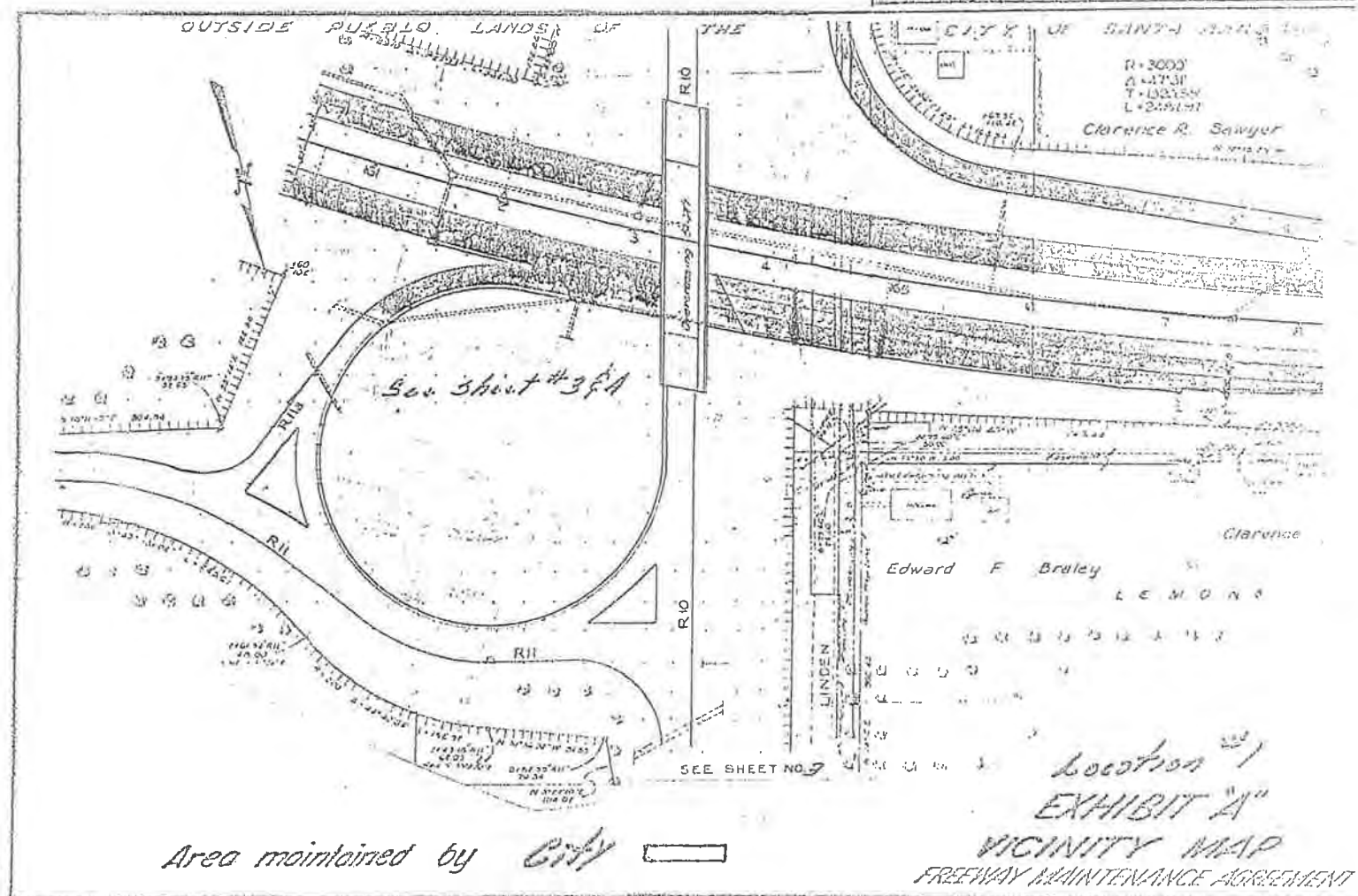
FREEWAY MAINTENANCE AGREEMENT



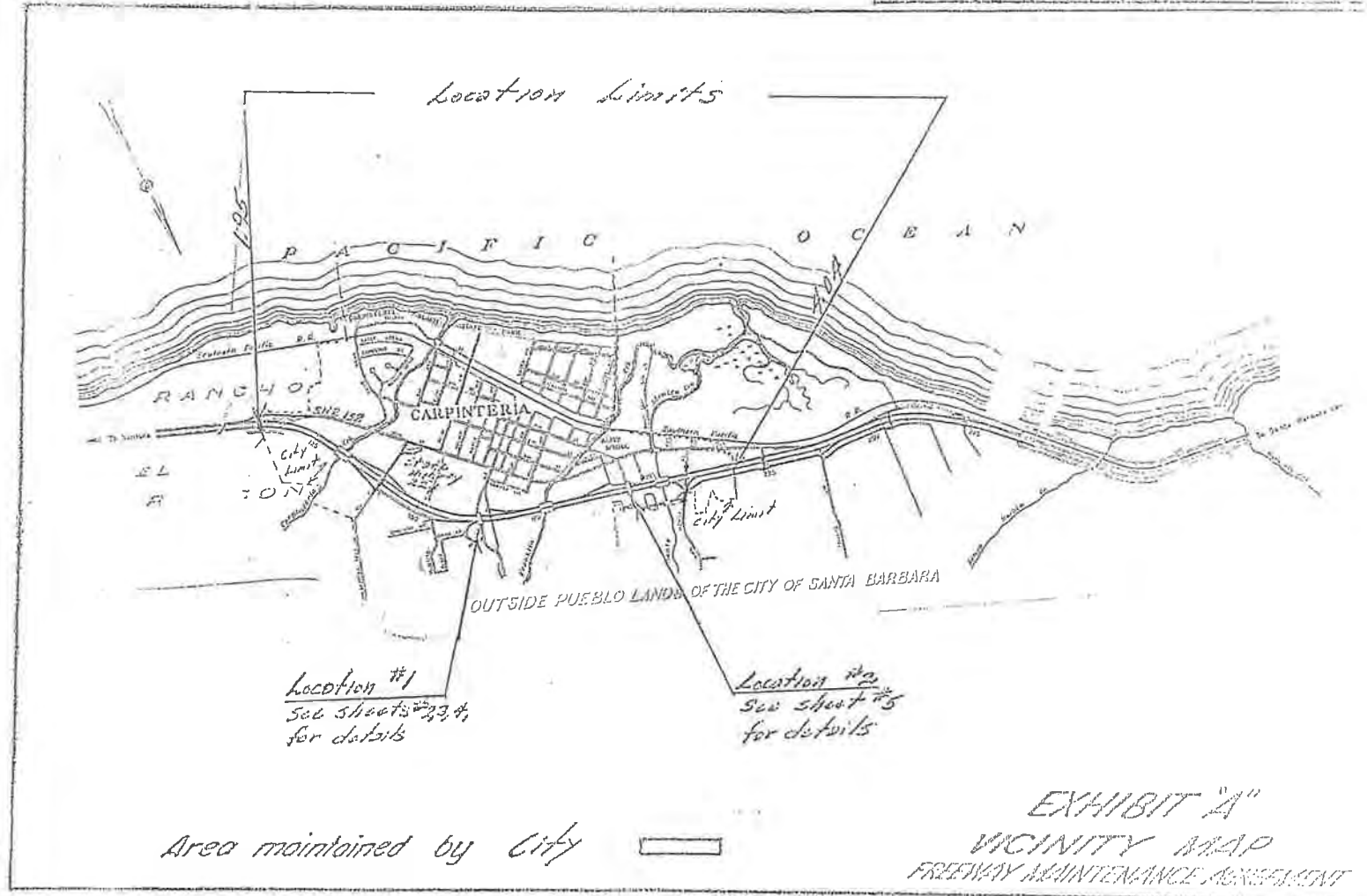
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05	SB	101	198.00	1 of 2
05	SB	101	198.00	2 of 2



Dist	Co.	Plat	Mile Post	Sheet of 50
05	84	101	1.95-2.04	2 of 5



Dist.	Co.	Pto.	Mile Post	Sheet of 36
05	SA	101	193-194	1 of 36



STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

J. A. MOE
DIRECTOR OF TRANSPORTATION

By *E. J. Gregory*
District Director of
Transportation

CITY OF CARPINTERIA

By *Benjamin Canham*
(Mayor)

By *Walter R. Adair*
City Clerk

[Signature]
Attorney

City under or in connection with any work, authority or jurisdiction delegated to the City under the Agreement.

It is understood and agreed that neither the City nor any officer or employee thereof, is responsible for any damage or liability occurring by reason of anything done or omitted to be done by the State under or in connection with any work, authority or jurisdiction not delegated to the City under the Freeway Agreement and this Freeway Maintenance Agreement. It is also understood and agreed, that pursuant to the Government Code Section 895.4, the Department shall fully indemnify and hold the City harmless from any damage or liability occurring by reason of anything done or omitted to be done by the State under or in connection with any work, authority or jurisdiction not delegated to the City under the Freeway Agreement and this Freeway Maintenance agreement.

4. EFFECTIVE DATE

This Agreement shall be effective upon the date of its execution by the State, it being understood and agreed, however, that the execution of this Agreement shall not affect any pre-existing obligations of the City to maintain designated areas pursuant to prior written notice from the State that work in such areas, which the City has agreed to maintain pursuant to the terms of the Freeway Agreement, has been completed.

those portions thereof adopted as a part of the freeway proper.

NOW THEREFORE, IT IS AGREED:

1. ROADWAY SECTIONS

The City will maintain at City expense, all portions of City Streets and appurtenant structures and bordering areas, within the designated areas on the attached maps marked EXHIBIT "A" and made a part hereof by this reference.

2. VEHICULAR OVERCROSSINGS

The State will maintain, at State expense, the entire structure below the deck surface except as hereinafter provided. The City will maintain, at City expense, the deck and/or surfacing and shall perform such work as may be necessary to ensure an impervious and/or otherwise suitable surface. The City will also maintain all portions of the structure above the bridge deck, as above specified, including lighting installations, as well as all traffic service facilities that may be required for the benefit or control of City Street traffic.

3. RESPONSIBILITY

It is understood and agreed that neither the State, nor any officer or employee thereof is responsible for any damage or liability occurring by reason of anything done or omitted to be done by the City under or in connection with any work, authority or jurisdiction delegated to the City under the Freeway Agreement and this Freeway Maintenance Agreement. It is also understood and agreed that pursuant to Government Code Section 895.4, the City shall fully indemnify and hold the State harmless from any damage or liability occurring by reason of anything done or omitted to be done by the

FREEWAY MAINTENANCE AGREEMENT

05-SB-101-1.95/4.04

THIS AGREEMENT, made and entered into, in duplicate, this 11th, day of December, 19 73, by and between the State of California, acting by and through its Business and Transportation Agency, Department of Transportation, hereinafter for convenience referred to as "the State," and the City of CARPINTERIA; hereinafter for convenience referred to as "the City," witnesseth:

WHEREAS, on May 1, 1961, a freeway agreement and on April 19, 1965, a supplemental freeway agreement were executed between the County of Santa Barbara and the State wherein the County agreed and consented to certain adjustment of the new city street system required for the development of that portion of State Highway Route 101, within the limits of the City of CARPINTERIA, as a freeway, and

WHEREAS, the City has by incorporation assumed jurisdiction over a portion of State Highway 101 included in the County's aforesaid Freeway Agreements, and has succeeded to the rights and obligations of the County thereto, and

WHEREAS, said freeway has now been completed or is nearing completion, and the parties hereto mutually desire to clarify the division of maintenance responsibility as to separation structures, and city streets or portions thereof, and landscaped areas, within the freeway limits, and

WHEREAS, under Section III of the above freeway agreement, the City will resume control and maintenance over each of the relocated or reconstructed city streets except on

Memorandum

To : District Maintenance

Date: January 10, 1974

File : 05-SB-101-1.95/4.04
Freeway Maintenance
Agreement

District Local Assistance

From : **DEPARTMENT OF TRANSPORTATION**

Subject: Freeway Maintenance Agreement

Attached for your files and reference are four copies of Freeway Maintenance Agreement covering that portion of State Highway 101, in the City of Carpinteria, between mile post 1.95 and 4.04.


CEM:mmmb
Attach.
cc-CEM

ATTACHMENT C

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LEGEND

- Caltrans Right of Way
- Proposed Soundwall
- Proposed Concrete Median Barrier
- Proposed Roadway

Soundwall B-2 (Nipomo Drive)
Height: 12 ft higher than NB 101 lanes
(15 -12 ft tall face)
Length: Approx 1200 ft.

Soundwall B-4,5,6,8 Combined (Via Real)
Height: 12 ft
Length: Approx 980 ft.

**Soundwall B-9
(Holly Ave)**
Height: 10 ft
Length: Approx 475 ft.

Soundwall B-7 (Vallecito/Church)
Height: 10 ft
Length: Approx 600 ft.

LINDEN CASITAS

Interchanges Project

Sound Wall Overview



STAFF REPORT
COUNCIL MEETING DATE
February 11, 2013

ITEM FOR COUNCIL CONSIDERATION

Receive recommendations on the Community Development Block Grant (CDBG) Public Services Grant Applications and allocate program funds.

Report prepared by:
Shanna R. Farley, Assistant Planner
Community Development Department

Shanna R. Farley
 Signature

Reviewed by: **Jackie Campbell**
Community Development Director

Jackie Campbell
 Signature

Dave Durflinger, City Manager

[Signature]
 Signature

STAFF RECOMMENDATION

Action Item X; Non-Action Item ____

Follow the recommendations of the Community Development Block Grant Committee and allocate funding as follows:

- | | |
|--|---------|
| 1. Friendship Adult Day Care Center, Inc – Adult Day Care Service Program | \$3,636 |
| 2. Girls, Inc. of Carpinteria – Academic Coordinator for Low Income Students | \$5,000 |
| 3. Peoples' Self-Help Housing – Housing the Homeless | \$5,000 |
| 4. Peoples' Self-Help Housing – Youth Education Enhancement Program | \$5,000 |
| 5. United Way of Santa Barbara – Fun in the Sun (FITS) | \$0 |

Motion: I move to allocate Community Development Block Grant Funding in the amounts recommended by the CDBG Committee.

I. BACKGROUND

Under the 2013-2014 Comprehensive Notice of Funding Availability, the County of Santa Barbara invited applications for funding through the federal Community Development Block Grant (CDBG) program. The funding is made available by the United States Department of Housing and Urban

Development. As a lead agency, the County of Santa Barbara heads up the CDBG Urban County which includes the cities of Santa Maria, Lompoc, Goleta, Buellton, Solvang and Carpinteria.

In November 2006, the County of Santa Barbara received approval of an application for Urban County status to allow participation in the Community Development Block Grant Program. To assist in allocating the grant funds from this program, the Council appointed a three-member committee comprising one City Planning Commissioner and two members of the public who reside in the City. The Committee serves as a review body and each year reviews the submitted applications and makes recommendations to the City Council on grant funding to support the following priorities identified in the Consolidated Plan:

- ☐ **Goal I – Decent, Affordable Housing:** Provide decent, affordable housing for the community's lowest income households, including households with special needs.
- ☐ **Goal II – Suitable Living Environment:** Improve the living environment / quality of life in low-income neighborhoods.
- ☐ **Goal III – Expanded Economic Opportunity:** Create economic opportunities for residents and businesses in low-income areas of the community.

The City's first program year was 2007. Each successive year we have seen more applicants and have received a slightly larger amount of funds, until the past two years when our allocation was reduced through the federal budget process for the overall CDBG program. Given the potential modification of the final CDBG allocation, the staff report and committee's recommendation includes both a monetary and percentage allocation as part of the recommended action. The City's historic annual allocation amounts and the Council's history of grant awards is included in Attachment A of this staff report.

II. DISCUSSION

The CDBG Committee met on January 23, 2013. Together, the Committee reviewed and discussed the five applications. All of the applicants were present to provide a summary of their programs and answered questions from the Committee members. The Committee's recommendations are summarized in Table 1 with a discussion of each program and the Committee's recommendations below. Overall, the Committee felt that keeping people in permanent housing again was the top priority for this year's allocations. The Committee's second priority was addressing youth education programs. As can be seen in Table 1 below, there are more requests for grant awards than grant awards available. This is an indication that the funds are a needed contribution to services offered in our community. The City's 2013-2014 CDBG allocation is \$18,636. The following table summarizes the requests and the CDBG Committee's recommendations.

Friendship Adult Day Care Center, Inc – Adult Day Care Services Program

The Friendship Adult Day Care Center provides adult care services which allow aging and dependent adults to continue living independently as long as possible while supporting their family caregivers. The Friendship Center has two locations: Goleta and Montecito and also provides transport for some of its clients. The majority of clients have Alzheimer's disease, while others have related cognitive disorders or conditions related to aging, with an increasing number of developmentally disabled adults as this population ages. The Center serves adults from 55 to 100 years old, with an average age of 83. The program also aims to allow adult caregivers an opportunity to meet their own needs and gain respite from the duties of adult care. Approximately 50% are adult children with full-time jobs and families of their own, while others are spouses or friends who may themselves be elderly. Respite allows caregivers the time and peace of mind to meet other responsibilities.

The Adult Day Care Center provides enlivening activities and social interaction for its participants. The activities reduce loneliness, anxiety and depression and often delay or prevent the need for long-term care or institutionalization. The program provides a safe, secure and nurturing environment with an on-site nurse and counselor. The program provides warm nutritious meals, promotes physical and mental health and can prevent self-neglect or possible elder abuse. Respite from the stress and demands of care giving allows caregivers time to rest, attend to their own well-being and to fulfill other responsibilities such as jobs and families, thus supporting their ability to care for their loved ones, who are then able remain at home as long as possible. The requested funding would be used to support the South Santa Barbara County area, where 70% of participants are of low to moderate incomes. During the last year, the Friendship Center in Montecito provided services to seven clients from Carpinteria. During the 2012 funding cycle, the City Council allocated \$4,500 to the Adult Day Care Services Program.

The applicant had requested \$8,000 during this fiscal grant period. The applicant was appreciative of any support which would improve and increase services provided to Carpinteria residents. The Committee appreciated the need for elderly and aging care services in the community, and recognized that the program currently provides services directly to residents of the City of Carpinteria and plans to increase the number of Carpinterians served by offering increased transportation services. Therefore, the Committee recommended allocating funding of \$3,636 or 20% of the CDBG allocation.

Girls, Inc. of Carpinteria - Academic Coordinator for Low Income and Working Poor Students

Girls, Inc. provides an after-school program for nearly 140 low-income and children of working poor, between the ages of 5 to 18 years old. The program offers education-related activities to girls in Carpinteria. Girls, Inc. has requested funding to support ongoing staffing of an Academic Coordinator (AC). The AC works closely with students, parents, and teachers to improve academic achievement among students from low-income and working poor families. The AC position helps low performing students in Carpinteria by working closely with necessary stakeholders to develop support plans for students during after-school hours. There are many students performing below grade level and many face significant structural barriers to success on a constant basis. Girls, Inc. is currently working with the Carpinteria Unified School District to determine how the AC can improve youth programs and activities to promote enhanced academic performance. The program offers structured homework assistance and tutoring also includes programs that address economic literacy, media literacy, engineering, math, adventure sports, leadership and advocacy. During the 2012-2013 school year, the program served 140 children between the ages of 5-18 years old.

During the 2012 funding cycle, the City Council allocated \$4,000 of the CDBG funds to Girls, Inc Academic Coordinator.

Girls, Inc. requested \$10,000 during this fiscal grant period. The Committee appreciated the need for youth day care and educational services in the community and recognized that the program provides services directly to residents of the City of Carpinteria. Therefore, the Committee recommended allocating funding of \$5,000 or 27% of the CDBG allocation.

Peoples' Self-Help Housing Corporation - Housing the Homeless

Peoples' Self-Help Housing's "Housing the Homeless" program seeks to end homelessness and encourage independent living, by working to implement many of the policies outlined in the County of Santa Barbara's Ten-Year Plan to End Chronic Homelessness. The program provides supportive services to ensure that homeless individuals stay housed and are successful in their transition from homelessness to stable, independent lives. The program includes a director and a case worker who work directly with families at risk of homelessness. Case management may include counseling, budgeting, working with employer insurance programs, job search, medical assistance, school liaisons, and emergency funds for food and household goods. Additionally, there is collaboration with various other community agencies such as the Rescue Mission, Casa Esperanza and Domestic Violence Solutions.

Target populations benefited by this program are homeless individuals, low income and very low income residents of Peoples' Self-Help Housing's affordable rental complexes in Carpinteria, Isla Vista, Goleta, Guadalupe and Orcutt. In Carpinteria, 20 families continued to be housed at the Camper Park and are considered chronically homeless due to the type of housing which they occupy. Currently, Dahlia Court provides 54 units and Chapel Court provides 28 units to local families. Households that remain in housing for more than six month are considered stable. In the past 18 months, 11 newly placed households have remained stable and therefore have shown a 100% success rate. During the second half of 2012, 23 persons were served by the program and three households were placed into permanent housing in Carpinteria. Additionally in Carpinteria, 33 new apartment units are under construction at Dahlia Court with plans to move current residents from the Camper Park to Dahlia Court once those units are completed (Summer 2013). In the 2012 funding cycle, the City granted \$4,500 to the Housing the Homeless Program.

The Committee appreciated the need for a regional effort to address the issue of chronic homelessness and recognized that the program provides services directly within the City. The applicant requested \$10,000 during this fiscal grant period. The Committee recommended allocating funding of \$5,000 or 27% of the CDBG allocation.

Peoples' Self-Help Housing Corporation – Youth Education Enhancement Program

The Youth Education Enhancement Program (YEEP) is a year-round educational program for children from kindergarten to 12th grade that operates at both the Chapel Court and Dahlia Court Apartments complexes. The program provides individualized lesson plans, one-on-one instruction and regular communication with parents and teachers. The objectives of the program are to maintain an average daily attendance, improve students' study habits, survey parents to obtain feedback on the program's success and incorporate volunteers into the program. The programs aim to increase grade levels in math and language arts and improve STAR test scores in math and English. The programs also provide parent educational workshops which reinforce their children's school success and include topics in college preparation, scholarship opportunity, drug and gang prevention and career exploration. Additionally, the programs receive no school district funding for

the programs which are provided free of charge at the two learning centers in Carpinteria. In the 2012 funding cycle, the City granted \$4,000 to the YEOP. The Program served 60 youths at Chapel Court and Dahlia Court Apartments in the 2012-2013 school year.

The Committee expressed strong support for the program, particularly in its ability to directly and efficiently provide services to a large number of low income families within the City and its mission to complement the education that students receive in our local schools. The Committee recognized one important asset of the YEOP in that the program is provided where the students / parents live and there is no added transportation for the children or their families. The applicant requested \$10,000 during this fiscal grant period. The Committee recommended allocating funding of \$5,000 or 27% of the CDBG allocation.

United Way of Santa Barbara County – Fun in the Sun Carpinteria (FITS)

FITS was created in 1997 as a response to Santa Barbara County's need for a summer program for the hundreds of children who do not have a safe place to go during the summer vacation months. The United Way of Santa Barbara County (UWSBC) coordinated with various local agencies and the Santa Barbara School District to offer a summer enrichment program for local, at-risk children. The programs serve children between the ages of six and 14 years who are qualified on an income basis. The program aims to reduce the education gaps and losses when students are out of school during the summer break. The FITS program served 36 children and six high school students from Carpinteria in 2012 assisted in implementing the program locally. Although the FITS Program has applied for CDBG funds in the past, the City Council has opted not to fund the program in prior cycles.

The Committee expressed appreciation for the services provided by UWSBC – FITS Carpinteria Program. The Committee analyzed the application and the beneficiary information provided and found that the services provided as part of the FITS program were duplicative of services provided by other local agencies already operating in Carpinteria such as the Boys and Girls Club and Girls, Inc. The Committee noted that UWSBC receives funding from other sources too. Based on the review of the application and consideration of other service requests, the Committee recommended that the FITS program not receive CDBG funding during this grant period given the limited funds available and the priorities established by the Committee.

Table 1
2013 Grant Recommendations

Applicant	Proposed Program	Amount Requested	Amount / % Recommended
Friendship Adult Day Care Center, Inc.	Adult Day Care Services Program	\$8,000	\$3,636 / 20%
Girls, Inc. of Carpinteria	Academic Coordinator for Low Income and Working Poor Students	\$10,000	\$5,000 / 27%
Peoples' Self-Help Housing	Housing the Homeless	\$10,000	\$5,000 / 27%
Peoples' Self-Help Housing	Youth Education Enhancement Program for Low-Income Youth (YEOP)	\$10,000	\$5,000 / 27%
United Way of Santa Barbara	Fun in the Sun (FITS)	\$4,000	\$0 / 0%

III. FINANCIAL CONSIDERATIONS

The City's CDBG funds are intended to be used to support improved community facilities and services which support affordable housing, suitable living environments and expanded economic opportunities. The amount of money the City receives is determined by HUD through a statutory formula, which uses several objective measures of community needs including the extent of poverty, population, housing overcrowding and age of housing.

IV. LEGAL ISSUES

HUD has approved the Urban County as a long-term CDBG-eligible program. Therefore, the City can expect to continue to receive funds through the CDBG program into the future.

V. ALTERNATIVES

The Council could choose to modify the Committee's recommendation and disburse the funds differently.

The Council could choose to award the grants as recommended by the Committee as well as supplement those awards with general fund money as has been done on a limited exceptional basis in past years.

The Council could also choose to fund only some of the requests and defer the remainder of the funding until next year's allocation cycle. However, the City cannot stockpile the money indefinitely under this program and would eventually have to allocate the funds or they would be lost.

VI. ATTACHMENTS

A. Prior Grant Awards – 2007 to 2012

B. 2013-2014 Community Development Block Grant Public Service Applications

Attachment A

Prior Grant Awards – 2007 to 2012

City Council Allocation for CDBG

2012

Friendship Adult Day Care Center, Inc. – Adult Day Care Program	\$4,500
Girls, Inc. of Carpinteria – Academic Coordinator for Low Income and Working Poor Students	\$4,000
Peoples' Self-Help Housing Corp - Housing the Homeless	\$4,500
Peoples' Self-Help Housing – Youth Education Enhancement Program	\$4,000
United Boys & Girls Club of Santa Barbara County – Carpinteria Club	\$4,000

2011

Bringing Our Community Home - Homeless Inmate Discharge Program	\$1,500
Peoples' Self-Help Housing Corp - Housing the Homeless	\$8,000
Peoples' Self-Help Housing – Youth Education Enhancement Program	\$6,404.50
United Boys & Girls Club of Santa Barbara County – Carpinteria Club	\$6,404.50

2010

City of Santa Barbara - Rental Housing Mediation Task Force	\$8,000
Peoples' Self-Help Housing – Youth Education Enhancement Program	\$7,500
Peoples' Self-Help Housing – Housing the Homeless	\$8,000
Bringing our Community Home (Casa Esperanza) – Homeless Inmate Jail Discharge Planning Program	\$1,500

2009

City of Santa Barbara, Rental Housing Mediation Task Force	\$7,500
Boys and Girls Club, Carpinteria Clubhouse Daycare Program	\$6,000
Peoples Self Help Housing, Youth Education Enhancement Program	\$7,500
Peoples Self Help Housing – Housing the Homeless	\$5,000

2008

Peoples' Self-Help Housing – Youth Education Enhancement Program	\$5,000
City of Santa Barbara, Rental Housing Mediation Task Force	\$7,500
Peoples' Self-Help Housing – Housing the Homeless	\$2,071
Boys and Girls Club – Carpinteria Clubhouse Daycare Program	\$5,000

2007

Peoples' Self-Help Housing – Education Enhancement Program	\$4,000
Peoples' Self-Help Housing – Supportive Housing Program	\$4,000
City of Santa Barbara, Rental Housing Mediation Task Force	\$10,000
Casa Esperanza – Bringing Our Community Home	\$2,335

Attachment B

2013-2014 Community Development Block Grant Public Service Applications

Friendship Adult Day Care Center, Inc – Adult Day Care Services Program



County of Santa Barbara
Housing and Community Development

CDBG PUBLIC SERVICES

Program Application for Program Year 2013-2014

FOR OFFICE USE ONLY

1-22-13 P05:53
Rec'd

Initials

☐ Logged
☐ Scanned

Total Requested Program Funding by Jurisdiction:
Check all that apply and indicate amounts.

☒ Santa Barbara County \$ 10,000
☒ Carpinteria \$ 8,000
☐ Solvang \$
☐ Buellton \$

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply and indicate amounts.)

☒ Goleta \$ will request 8,000
☐ Lompoc \$
☐ Santa Maria \$

Section A – Program Summary

1. Program Title Adult Day Services Program
2. Program Service Area Goleta, Santa Barbara, Carpinteria
3. Number of Persons to be Served 380
4. Provide a brief program description. Include an explanation of how the CDBG funds sought will be utilized.

Friendship Center's adult day services allow aging and dependent adults in South Santa Barbara County to continue living independently as long as possible, while also providing respite, support, and education to their family caregivers.

CDBG funding will be used to partially support salary for one program staff. These staff members provide "front-line" caregiving services to our members.
5. Provide your agency's mission statement.

Friendship Center preserves and enriches the quality of life for aging and dependent adults through innovative programs that value the dignity and worth of every person. We provide respite, support and education, enabling families to continue to be engaged in their community, careers and commitments.
6. Date most recent Form 990 was filed 11/07/11
7. Date of most recent audit (if any) 6/30/12
8. How long has your agency been in operation? 36 years
9. Are there current vacancies on your agency's Board of Directors?

☒ Yes ☐ No

If yes, when do you expect these vacancies to be filled? July, 2013

10. If your agency has a current contract with the County or partner cities, has your agency submitted all required performance reports? If no, please attach all outstanding reports. ☒ Yes ☐ No
-

Section B – General Applicant Information

1. Legal Name of Applicant Organization: Friendship Adult Day Care Center, Inc.
2. Are you a 501(c) organization? ☒ Yes ☐ No
(All agencies must complete a Board of Directors Affidavit on page 14)
3. Address of Organization:
Street: 89 Eucalyptus Lane Suite # _____
City: Santa Barbara State: CA Zip: 93108
4. Mailing Address (if different from above):
Street: N/A Suite # _____
City: _____ State: _____ Zip: _____
5. Person to Contact Regarding this Application:
Name: Heidi Holly
Relationship to Agency: Executive Director
Street: 89 Eucalyptus Lane Suite # _____
City: Santa Barbara State: CA Zip: 93108
Work Phone: (805) 969 - 0859 Ext. _____
Fax: (805) 565 - 3828
E-mail: heidi@friendshipcentersb.org
6. Person to Contact Regarding the Proposed Program:
Name: same
Relationship to Agency: _____
Street: _____ Suite # _____
City: _____ State: _____ Zip: _____
Work Phone: (_____) _____ - _____ Ext. _____
Fax: (_____) _____ - _____
E-mail: _____

7. Name and contact information of Fiscal Agent:

Name: Harvey Wolf, Board of Directors' CFO
Agency / Organization: Attorney
Street: 1114 State St. Suite # 200
City: Santa Barbara State: CA Zip: 93101
Work Phone: (805) 966 - 1671 Ext. _____
Fax: (_____) _____ - _____
E-mail: harvey@harveywolf.com

8. Agency's Federal Identification Number (Tax ID #) 95-3398938

9. Agency Organizational DUNS number: 170-944367
(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register)

10. Are you registered with the California Attorney General Registry of Charitable Trusts? ☒ Yes ☐ No

If yes, please provide your Registry of Charitable Trusts Registration Number. # CT-037419

11. For all programs/projects: Using the following link, please attach Excluded Parties List System (EPLS) for project/program applicant (sponsors, owners, developers, contractors, subcontractors, and subrecipients) to demonstrate compliance that none are debarred or suspended. <https://www.epls.gov/eplsearch.do>

Section C – Program Description

1. Select the activity that best describes the proposed program. If the listed activities are not applicable to the proposed program, please select Other Public Service.

- | | |
|---|---|
| ☐ Operating Costs for Homeless/AIDS Programs | ☐ Health Services |
| ☒ Senior Services | ☐ Services for Abused and Neglected Children |
| ☐ Handicapped Services | ☐ Mental Health Services |
| ☐ Legal Services | ☒ Screening for Lead-Based Paint/Lead Hazards |
| ☐ Youth Services | ☐ Subsistence Payments |
| ☐ Transportation Services | ☐ Homeownership Assistance |
| ☐ Substance Abuse Services | ☐ Rental Housing Subsidies |
| ☐ Services for Battered and Abused Spouses | ☐ Security Deposits |
| ☐ Employment Training | ☐ Housing Counseling |
| ☐ Crime Awareness | ☐ Neighborhood Cleanups |
| ☐ Fair Housing Activities | ☐ Food Banks |
| ☐ Tenant/Landlord Counseling | ☐ Other Public Service |
| ☐ Child Care Services | |

2. Select the Consolidated Plan objective that aligns with the proposed program. For details, please consult the County of Santa Barbara's 2010-2015 Consolidated Plan available at <http://www.countyofsb.org/housing>.

- ☒ **Public services that assist persons with special needs**
(e.g., homeless and AIDS patients programs, food distribution services, senior services, services for battered and abused spouses, mental health services)
- ☒ **Public service programs for low- and moderate-income households including programs for housing and other community development needs**
(e.g., family services, youth services, crime awareness services)
- ☐ **Programs that promote and provide services that prevent discrimination and eliminate barriers to housing**
(e.g., fair housing services, housing counseling services, legal services, communitywide educational presentations)

3. Describe the target population (include population characteristics) and unmet community need that the proposed program will serve. Include in your description the methodology and specific sources (e.g., census data, research reports, community surveys) used to identify the unmet community need. Specify how the proposed program will align with the objective selected in Question 2 above.

The population served is aging and dependent adults, aged 55 to 100, with an average of 83. The majority have Alzheimer's, while some have other age-related physical and cognitive conditions. The developmentally disabled adult population continues to increase. Equally important are services for their family caregivers. Approximately 50% are adult children with full-time jobs and families of their own, while others spouses or friends who themselves may be elderly. In our annual caregiver survey, 100% of respondents reported that Friendship Center has helped both the member and themselves and that they would recommend Friendship Center to others in need of respite and/or support in caring for their dependent adult loved ones.

4. Describe your organization's previous experience in implementing programs/projects similar to the activity proposed and describe your agency's track record with regard to past quarterly reporting, meeting performance targets and expending funds in a timely fashion. Please attach a project/program schedule signed by project manager and supervisor.

In order to demonstrate previous experience in implementing similar projects, please find attached the timeline and project schedule for the expansion project which resulted in the opening of Friendship Center's new site in Goleta in July of 2011.

Friendship Center values the County's funding and makes every effort to meet requirements for the administration of grants received. Quarterly reports have always been submitted, performance targets met, and funds expended in a timely manner.

5. Explain how the service provided by the proposed program will address the unmet community need identified in Question 3 above and lead to successful outcomes for beneficiaries.

Friendship Center's adult day services program serves families in South Santa Barbara County who are caring for aging and dependent adult loved ones. Of these families we serve, approximately 70% qualify as low- to moderate-income. This program helps participants to live independently as long as possible, and provides their family caregivers with an affordable alternative to expensive long-term care placement or in-home care, also avoiding the high emotional costs involved.

6. Describe collaborative efforts and linkages (current and planned) between your agency and other existing government agency programs (federal, state, and/or local) that will help ensure that the target population identified in Question 3 above has access to a full range of necessary services. Include names of specific programs and federal, state, and local agencies and programs. Specify referral methods that will be utilized by your agency in implementing the proposed program.

Friendship Center has a strong relationship with Adult Protective Services through our Gatekeeper Program. This community education program trains "gatekeepers", those who have regular contact with seniors--police officers, firefighters, mail carriers, meter readers and other utility workers--in the procedure to follow should they encounter instances of elder abuse or self-neglect. Calling APS is the first step in this process, which will lead to the senior getting the help they need to be healthy and well-cared for.

7. Describe your agency's current/planned collaborative efforts with other service providers addressing the needs of a similar population.

Friendship Center collaborates with other programs serving aging and dependent elders in Santa Barbara County. We share our resources and enjoy positive relationships with All Saints-by-the-Sea, Live Oak Unitarian Universalist Congregation, Alzheimer's Association, Santa Barbara Food Bank, Food From The Heart, Community Action Commission, Easy Lift Transportation, Visiting Nurse & Hospice Care, and Coast Caregiver Resource Center. We strongly believe in collaboration in order to better use available resources for dependent elders and enhance the positive impact of all services.

Clients are referred by some of the above agencies, as well as Cottage Hospital, care managers, home health care agencies, doctors, churches, phone directories, our Web site, signage on our vans, media ads, PSAs, and word of mouth. Presentations on our services are made at low-income senior housing and brochures are included with home-delivered meals.

8. Select the statement below that best describes the service to be provided by the proposed program.

- ☒ A service that was funded by the County's CDBG program last year and will maintain the same or provide a greater level of service.
- ☐ A service that is a quantifiable increase in the level service above which was funded with state or local funds during the past twelve (12) calendar months.
- ☐ A new service.
- ☐ None of the above.

9. Is a fee charged or donation suggested for any service provided by the proposed program?

☒ Yes ☐ No

If yes, attach a copy of the fee schedule and describe pricing methodology below.

Each family's income level and expenses are reviewed on a case-by-case basis, and daily fees are determined upon this information. We believe it is important to work with families regarding the daily fee so it is affordable and cost-effective for them, and so that our services are as accessible as possible.

Section D – Staffing

1. Describe existing and planned staff positions (paid and unpaid) dedicated in whole or in part to the proposed program. Include the name, title, experience and qualifications, and roles and responsibilities for all staff persons that will be funded by this CDBG award.

This grant request is to partially fund the salary for Miguel Meraz, Program Specialist. Miguel has been employed by Friendship Center for twenty years, and in this time he has exhibited compassion, care, and dedication to the job and to those we serve. His duties include transporting members in Friendship Center vans and caring for them in all aspect of their daily activities at the Center—serving meals, assisting them in the restroom, and conducting enriching and enjoyable discussions, games, and entertainment for them.

2. Does the agency have a personnel policy manual with an affirmative action plan and grievance procedure? ☒ Yes ☐ No
Please attach a copy.

Section E – Evaluation

1. Describe how the quality and effectiveness of the proposed program will be assessed. Include descriptions of any evaluation methods and review processes. Indicate the frequency of such evaluations and reviews.

Friendship Center monitors its quality of services by surveying clients (caregivers) annually. Cases are reviewed on a regular basis by Family Services Director and Program Manager to ensure program staff is adequately informed of changes in client health care. In addition, an advisory committee of staff and members meets weekly for suggestions and review of the program.

2. Describe the unit(s) of service (e.g., meals served, shelter bed nights, rental assistance, utility payments), other than persons, that will be used to assess the program.

In addition to number of individuals served, measurable units of service provided by the adult day services program include hours of care for participants, hours of respite for caregivers, and meals served to participants.

3. Provide at least three specific performance targets that will be used to assess how the proposed program is addressing the unmet community need described above. If awarded, the outcome measures provided in this application will be incorporated into any contract and progress towards meeting performance targets will be required for quarterly reporting.

In FY2013-14:

Friendship Center will provide 86,000 hours of day services to 380 elders and dependent adults.
Friendship Center will provide 199,000 hours of respite to 950 family caregivers.
Friendship Center will provide 29,500 nutritious meals (breakfast, lunch, and afternoon snack) to 380 elders and dependent adults.

Section F – Beneficiary Information

1. **Verification of Eligibility:** Please identify the beneficiaries of this proposed project. Select LMA or LMC.

☐ Low/Moderate Income Area Benefit (LMA)

Program service area has been identified and determined to be statistically low-income based on the 2010 Census.
(Please attach map to allow us to determine Census Tract eligibility.)

☒ Low/Moderate Income Limited Clientele (LMC)

Self Certification:

☐ Yes ☐ No

Clients independently "self-certify" on a membership form, intake form, etc. *If you use this method, **please attach blank intake form**. Ensure the form has a place for signatures for Case Manager and Supervisor to ensure eligibility documentation was sought.*

Client Document Review:

☐ Yes ☐ No

Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. *If you use this method, please **attach blank worksheet**.*

Presumed Beneficiaries:

☒ Yes ☐ No

Clients served are primarily and specifically from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. *If you use this method, please indicate which group.*

Elderly/handicapped persons

2. **Ethnicity and Race:**

- a. Does your organization request information on whether your clients are of Hispanic ethnicity? ☐ Yes ☒ No
- b. Does your organization ask all clients (including Hispanic clients) whether they are one or more of the following races? ☒ Yes ☐ No

- | | |
|---|---|
| <ul style="list-style-type: none">▪ White▪ Black or African American▪ American Indian or Alaska Native▪ Asian▪ Native Hawaiian or Other Pacific Islander▪ American Indian or Alaska Native and White▪ Asian and White▪ Black or African American and White | <ul style="list-style-type: none">▪ American Indian or Alaska Native and Black or African American▪ Balance/Other <p><i>The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.</i></p> |
|---|---|

- c. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, explain how this information will be obtained to meet this requirement.

N/A

3. **Data Collection and Reporting:** Describe how beneficiary data is collected and reported. If applicable, include the name of the software used.

A program summary is prepared monthly to capture data, which is reported to the Board of Directors quarterly.

Section G - Financial Information

- Financial Capacity:** Describe the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.
- What percentage of your agency's total revenue is generated from the County of Santa Barbara?
2%
- Federal Grant Experience within the Past 5 Years** (e.g., County & City CDBG/ESG grants):

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
Co. CDBG	Adult Day Services	Support for adult day svcs.	7/10/12	\$9,500
SB CDBG	Adult Day Services	Support for adult day svcs.	9/18/12	\$15,000
SB CDBG	Adult Day Services	Support for adult day svcs.	3/22/11	\$20,000
Gol CDBG	Adult Day Services	Support for adult day svcs.	9/13/11	\$42,54
SB CDBG	Adult Day Services	Support for adult day svcs.	3/24/10	\$22,000

Fiscal Year and Audit Reports

- What is your agency's fiscal year end date? June 30
- Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. (Please include a copy of the most recent financial audit with your completed application—See Required Attachments).

What fiscal year did this most recent audit include?

July 2011- June 2012 (Month/Year - Month/Year)

- Are there any outstanding financial audit findings which remain unresolved?

If yes, please explain.

☐ Yes ☒ No

N/A

- Has your agency expended more than \$500,000 in federal funds in its last operating year?
(Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

☐ Yes ☒ No

If you answered "yes" to question 7, please answer questions 8 and 9 below. If you answered "no" to question 7, please proceed to question 10.

8. Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)? ☐ Yes ☐ No

9. Are there any outstanding single audit findings which remain unresolved? ☐ Yes ☐ No
If yes, please explain.

10. If your organization is a non-profit organization, does your organization comply with the following:

a) OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Non-Profit Organizations" ☒ Yes ☐ No

b) OMB Circular A-122 "Cost Principles for Non-Profit Organizations" ☒ Yes ☐ No

c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations" ☐ Yes ☒ No

d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" ☐ Yes ☒ No

e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month? ☒ Yes ☐ No

f) Does your organization have any outstanding litigation or other legal issues? ☐ Yes ☒ No
If yes, please attach written explanation as a separate sheet.

11. How many members serve on your Board of Directors? 17

12. How often does your Board of Directors meet? Min. 9 times per yr.

13. Does your Board of Directors have an audit committee? Yes

14. Describe the financial expertise currently serving on your Board of Directors.

Harvey Wolf, Attorney--CFO; Mark Jackson, CPA--member, Board of Directors

15. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.

Nate Cultice
Castle Wealth Planning
1105 Chapala St., Suite 4, Santa Barbara, CA 93101
962-5630

16. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.

Section H – Program and Agency Revenue and Expense Information**1. Funding Sources for Proposed Program**

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	0	9,500	10,000
Other CDBG Public Services funds	24,254	15,000	18,000
Other local cities' funds	1,500	0	0
County Human Services Program funds	16,245	13,245	15,000
HOME funds	0	0	0
ESG funds	0	0	0
HOPWA funds	0	0	0
Other Federal funds	0	0	0
State funds	25,025	29,555	25,500
Private trusts and foundation funds	218,162	230,500	237,000
Donations	63,255	44,700	47,500
Special fundraising events	105,922	107,000	109,000
Client fees	641,329	708,000	720,000
Other funds (specify): <u>Interest & Dividends, Realized/Unrealized Losses, In-kind</u>	-97,014	77,500	78,000
Total Project Budget	998,678	1,235,000	1,260,000

2. Expenditures for Proposed Program

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	770,785	750,000	765,000
Consultants and Contracts	64,278	79,500	81,000
Facility, Utilities, Maintenance	67,599	86,500	89,000
Telephone, Fax	8,207	7,000	7,500
Supplies	88,028	104,000	107,000
Postage & Shipping	18,879	20,000	20,500
Marketing (Printing, Advertising)	55,334	62,500	63,500
Travel, Mileage, Training	4,387	8,000	8,000
Equipment Rental/Maintenance	36,960	39,000	39,000
Insurance	19,199	20,000	20,500
Other uses (specify): <u>Depreciation, In-kind, Contingency</u>	109,725	58,500	59,000
Total Project Budget:	1,243,381	1,235,000	1,260,000

3. Funding Sources for Agency

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	Program and	agency are same	so one budget.
Other CDBG Public Services funds			
Other local cities' funds			
County Human Services Program funds			
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds			
State funds			
Private trusts and foundation funds			
Donations			
Special fundraising events			
Client fees			
Other funds (specify): _____ _____			
Total Agency Budget			

4. Expenditures for Agency

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes			
Consultants and Contracts			
Facility, Utilities, Maintenance			
Telephone, Fax			
Supplies			
Postage & Shipping			
Marketing (Printing, Advertising)			
Travel, Mileage, Training			
Equipment Rental/Maintenance			
Insurance			
Other uses (specify): _____ _____			
Total Agency Budget:			

5. Describe your agency's short to mid-term financial forecast: What factors are causing your agency's budget to increase, decrease, or remain level in the next three years?

The economic downturn of recent years has caused a drop in funding from foundations and private donations. However, Friendship Center is making every effort to overcome these obstacles by diversifying its funding sources. Contracts with Veterans Administration and Tri-Counties Regional Center augment the organization's revenue by covering the costs of services for qualified clients.

6. If this request is not fully funded, can your proposed program operate with a reduced CDBG award? ☒ Yes ☐ No
Please explain what services can be offered with lower funding.

With reduced funding, Friendship Center would have to ask for a higher level of participant contributions to cover costs. This would be a hardship for low- to moderate-income families we serve. In addition, reduced funding may mean having to adjust the staff-to-participant ratio from the current 1:6 to 1:8. While the 1:8 ratio still meets state licensing requirements, we feel it is always better when possible to maintain a higher ratio. Currently, there is a plan to undertake more outreach and increase services to the residents of Carpinteria, including transportation services to the Montecito center. With reduced funding, we may have to delay or abandon this plan.

Section I – Certifications

// certifications must be executed in BLUE INK.

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in all attachments is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to operate the project as proposed.

Friendship Adult Day Care Center, Inc.

Name of Agency

Heidi Holly

Typed Name of Agency Official

Executive Director

Title of Agency Official

Heidi Holly

Agency Official Signature

12-11-12

Date of Signature

805-969-0859

Telephone Number of Agency Official

heidi@friendshipcentersb.org

Email address of Agency Official

Board of Directors Affidavit

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee Marty Moore

depose and say that I am President of the Board of Directors

[insert title] of Friendship Adult Day Care Center, Inc.

89 Eucalyptus Lane, Santa Barbara, CA 93108 [insert name and address of Agency].

The other members and officers of the Board of Directors of this Agency are:

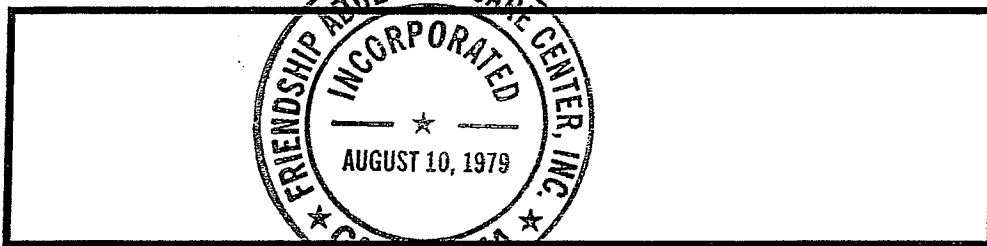
(Please list names of current Board Members and attach an additional sheet if necessary):

	<u>Name:</u>	<u>Title:</u>	<u>Term Expires:</u>
1.	<u>Sue Adams</u>	<u>Vice President</u>	<u>2013</u>
2.	<u>Dana VanderMey</u>	<u>Secretary</u>	<u>2012</u>
3.	<u>Harvey Wolf</u>	<u>Chief Financial Officer</u>	<u>2014</u>
4.	<u>David Borgatello</u>	<u>Member-At-Large</u>	<u>2013</u>
5.	<u>Marti Correa de Garcia</u>		<u>2015</u>
6.	<u>Inge Gatz</u>		<u>2012</u>

DATE: December 11, 2012

AT: Santa Barbara, California [City & State]

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.

(MAKE NOTE THAT IF AGENCY HAS NO BOARD, PLEASE HAVE DIRECTOR SIGN AND MARK THIS N/A.)

[Signature]
Signature

MARTIN L. MOORE PRESIDENT
Print Name and Title

Friendship Center Board of Directors *(continued)*:

Name	Term expires
Jared Green	2015
Karolyn Hanna	2013
Mark Jackson, CPA	2014
Ken Jewesson	2013
Kathy Marden, MFCC	2014
David Medina, MD	2014
Tony Mendesh, MD	2014
Susan Plummer, MFT, Ph.D.	2014
Joanne Talbot, MFT, RN	2013
Karen Telleen-Lawton	2015

Checklist of Required Documents

Note: This completed checklist must be turned in with application. The documents listed below are required of Agencies applying for CDBG Public Service funds:

- ☒ **Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board**
 - Form 501(c)
- ☒ **Verification of non-debarment or non-suspension**
- ☒ **Evidence of Insurance**
 - Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☒ **Most recent financial audit**
- ☒ **Program fee schedule, if applicable** Attachment 2
- ☐ **Explanation of outstanding legal/litigation issues, if applicable** N/A
- ☐ **Blank client intake form with signature block for intake staff/supervisor** N/A
- ☐ **Performance Reports (if applicable)** N/A
- ☒ **Personnel policy and procedures manual/program manuals**

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: JUL 14 1997

FRIENDSHIP ADULT DAY CARE CENTER
INC
83 EUCALYPTUS LN
SANTA BARBARA, CA 93108-2901

Employer Identification Number:
95-3398938
DLN:
17053172705007
Contact Person:
D. A. DOWNING
Contact Telephone Number:
(513) 241-5199
Our Letter Dated:
November 1979
Addendum Applies:
No

Dear Applicant:

This modifies our letter of the above date in which we stated that you would be treated as an organization that is not a private foundation until the expiration of your advance ruling period.

Your exempt status under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3) is still in effect. Based on the information you submitted, we have determined that you are not a private foundation within the meaning of section 509(a) of the Code because you are an organization of the type described in section 509(a)(1) and 170(b)(1)(A)(vi).

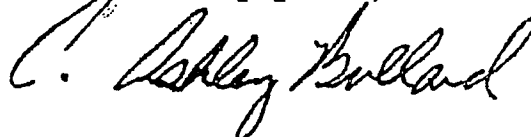
Grantors and contributors may rely on this determination unless the Internal Revenue Service publishes notice to the contrary. However, if you lose your section 509(a)(1) status, a grantor or contributor may not rely on this determination if he or she was in part responsible for, or was aware of, the act or failure to act, or the substantial or material change on the part of the organization that resulted in your loss of such status, or if he or she acquired knowledge that the Internal Revenue Service had given notice that you would no longer be classified as a section 509(a)(1) organization.

If we have indicated in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help resolve any questions about your private foundation status, please keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown above.

Sincerely yours,



District Director

Letter 1050 (DO/CG)



STATE OF CALIFORNIA

FRANCHISE TAX BOARD

P.O. BOX 942857

SACRAMENTO, CA 94257-0026

In reply refer to : 725:39LD

Date : September 14, 1999

FRIENDSHIP ADULT DAY CARE CENTER, INC.
89 EUCALYPTUS LANE
SANTA BARBARA, CA 93108

EXEMPT LETTER OF GOOD STANDING

CORPORATE NAME

FRIENDSHIP ADULT DAY CARE CENTER, INC.

CORPORATE NUMBER

0927649

STATUS DATE

September 14, 1999

The above organization is currently exempt from tax under Section 23701d of the Bank and Corporation Tax Law and is in good standing with this office at the present time.

LISA 1084

Public Service Information

Telephone: 1-(800)852-5711

Entity Overview**Entity Information****DUNS:** 170944367**Name:** FRIENDSHIP ADULT DAY CARE CENTER, INC.**Business Type:** Business or Organization**POC Name:** None Specified**Registration Status:** Active**Expiration Date:** 01/17/2013**Exclusions****Active Exclusion Records?** No

SAM | System for Award Management 1.0

IBM v1.474.20121216-2150

WWW1

Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.





CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
10/4/2012

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER TWIW Insurance Services LLC - #0E52073 196 S. Fir Street PO Box 1388 Ventura CA 93002-1388	CONTACT NAME: Christina Klug PHONE (A/C No. Ext): (805) 585-6100 E-MAIL ADDRESS: cklug@twiw.com FAX (A/C No.): (805) 585-6200
INSURED Imperial Electric Co. Inc. 6445 Calle Real Goleta CA 93117	INSURER(S) AFFORDING COVERAGE INSURER A: Mt. Hawley Insurance Co 37974 INSURER B: American Economy Insurance Co 19690 INSURER C: Republic Underwriters Ins Co 24538 INSURER D: American States Insurance Co 19704 INSURER E: INSURER F:

COVERAGES CERTIFICATE NUMBER: 12/13 GL/AU/WC/EQUIP REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	GENERAL LIABILITY			MGL0177550 THIS POLICY CONTAINS AN EXCLUSION FOR ALL OPERATIONS ASSOCIATED WITH WRAP OR OCIP JOBS	10/1/2012	10/1/2013	EACH OCCURRENCE \$ 1,000,000
	☒ COMMERCIAL GENERAL LIABILITY		DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 50,000				
	☐ CLAIMS-MADE ☒ OCCUR		MED EXP (Any one person) \$ 5,000				
	GEN'L AGGREGATE LIMIT APPLIES PER: ☐ POLICY ☒ PROJECT ☐ LOC		PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COM/PROP AGG \$ 2,000,000				
B	AUTOMOBILE LIABILITY			02CE090604-9	10/1/2012	10/1/2013	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000
	☒ ANY AUTO		BODILY INJURY (Per person) \$				
	☐ ALL OWNED AUTOS	☐ SCHEDULED AUTOS	BODILY INJURY (Per accident) \$				
	☐ HIRED AUTOS	☐ NON-OWNED AUTOS	PROPERTY DAMAGE (Per accident) \$				
	UMBRELLA LIAB						EACH OCCURRENCE \$
	EXCESS LIAB		CLAIMS-MADE				AGGREGATE \$
	DED		RETENTION \$				\$
	C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N ☐				N/A
D	Rented, Borrowed and/or Leased Equipment			01CG907044-8	10/1/2012	10/1/2013	LIMIT - \$80,000 DEDUCTIBLE - \$500

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)
Verification of Coverage

CERTIFICATE HOLDER

xKAK

Friendship Adult Day Care Center
89 Eucalyptus Lane
Montecito, CA 93108

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

D Sutton, AAI, AIS/CH Denise A Sutton

FRIENDSHIP ADULT DAY CARE CENTER, INC.

Financial Statements for year ended

June 30, 2012 and Independent Auditor's Report

**GARY A. SMITH
CERTIFIED PUBLIC ACCOUNTANT**

815 DE LA VINA, SUITE A3
SANTA BARBARA, CALIFORNIA 93101
(805) 965-7970

INDEPENDENT AUDITOR'S REPORT

Board of Directors
Friendship Adult Day Care Center, Inc.
Santa Barbara, California

I have audited the accompanying statement of financial position of the Friendship Adult Day Care Center, Inc. (Center) as of June 30, 2012, and the related statements of activities, functional expenses and cash flows for the year then ended. These financial statements are the responsibility of the Center's management. My responsibility is to express an opinion on these financial statements based on my audit. The prior year comparative and summarized comparative information has been derived from the Center's June 30, 2011 financial statements and, in my report dated January 12, 2012, I expressed an unqualified opinion on those financial statements.

I conducted my audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. I believe that my audit provides a reasonable basis for my opinion.

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Friendship Adult Day Care Center, Inc. as of June 30, 2012 and the changes in its net assets and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

Gary A. Smith

October 24, 2012

FRIENDSHIP ADULT DAY CARE CENTER, INC.
Statement of Financial Position
June 30, 2012
(With comparative totals for 2011)

ASSETS

	<u>2012</u>	<u>2011</u>
Cash and cash equivalents	\$ 265,071	\$ 309,928
Interest receivable	14,916	3,538
Accounts receivable	63,395	72,366
Grants receivable	10,885	8,427
Pledges receivable	1,400	14,081
Prepaid expenses	21,989	29,437
Investments (Note 2)	2,370,375	2,477,980
Charitable trust agreements (Note 3)	66,195	71,371
Property and equipment, net (Note 5)	<u>103,034</u>	<u>182,559</u>
Total assets	<u>\$ 2,917,260</u>	<u>\$ 3,169,687</u>

LIABILITIES AND NET ASSETS

Liabilities:

Accounts payable and accrued expenses	\$ 46,372	\$ 54,964
Accrued vacation	34,461	32,053
Deferred revenue	<u>12,841</u>	<u>14,381</u>
Total liabilities	<u>93,674</u>	<u>101,398</u>

Net assets:

Unrestricted net assets:

Undesignated	780,767	1,028,145
Board designated (Note 6)	<u>1,045,969</u>	<u>819,382</u>
Total unrestricted net assets	1,826,736	1,847,527
Temporarily restricted net assets (Note 7)	375,201	593,937
Permanently restricted net assets (Note 8 and 9)	<u>621,649</u>	<u>626,825</u>
Total net assets	<u>2,823,586</u>	<u>3,068,289</u>
Total liabilities and net assets	<u>\$ 2,917,260</u>	<u>\$ 3,169,687</u>

See notes to financial statements.

FRIENDSHIP ADULT DAY CARE CENTER, INC.

Statement of Activities

For the year ended June 30, 2012

(With comparative totals for 2011)

	<u>Unrestricted</u>	Temporarily <u>Restricted</u>	Permanently <u>Restricted</u>	<u>2012 Totals</u>	<u>2011 Totals</u>
Revenues, gains and support:					
Participant contributions	\$ 641,329	\$ -	\$ -	\$ 641,329	\$ 680,309
Donations and bequests	5,225			5,225	6,424
Memorials, trusts, and tributes	8,041			8,041	3,135
Annual fund	41,989			41,989	47,037
Government grants	67,024			67,024	80,188
Foundation contributions	194,162	24,000		218,162	308,992
United Way	8,000			8,000	11,277
Special events	105,922			105,922	102,495
In-kind contributions	29,750			29,750	17,025
Interest and dividends	35,646	16,195		51,841	50,647
Change in value of charitable trusts			(5,176)	(5,176)	6,039
Realized and unrealized gain (loss) on investments	(78,623)	(94,806)		(173,429)	307,822
Net assets released from restrictions (Note 10)	<u>164,125</u>	<u>(164,125)</u>			
Total	<u>1,222,590</u>	<u>(218,736)</u>	<u>(5,176)</u>	<u>998,678</u>	<u>1,621,390</u>
Expenses:					
Program services	996,249			996,249	931,144
Supporting services:					
Management and general	127,319			127,319	115,181
Fundraising	<u>119,813</u>			<u>119,813</u>	<u>111,171</u>
Total expenses	<u>1,243,381</u>	<u>-</u>	<u>-</u>	<u>1,243,381</u>	<u>1,157,496</u>
Change in net assets	(20,791)	(218,736)	(5,176)	(244,703)	463,894
Net assets, beginning of year	1,847,527	593,937	626,825	3,068,289	2,604,395
Net assets, end of year	<u>\$ 1,826,736</u>	<u>\$375,201</u>	<u>\$ 621,649</u>	<u>\$2,823,586</u>	<u>\$3,068,289</u>

See notes to financial statements.

FRIENDSHIP ADULT DAY CARE CENTER, INC.
Statement of Functional Expenses
For the year ended June 30, 2012
(With comparative totals for 2011)

	Program <u>Services</u>	Management <u>and General</u>	Fund <u>Raising</u>	2012 <u>Totals</u>	2011 <u>Totals</u>
Salaries	\$ 524,890	\$ 47,465	\$ 65,917	\$ 638,272	\$ 585,414
Employee benefits and payroll taxes	<u>108,974</u>	<u>9,854</u>	<u>13,685</u>	<u>132,513</u>	<u>126,237</u>
	633,864	57,319	79,602	770,785	711,651
Special events			25,729	25,729	26,963
Volunteer services	28,262	1,488		29,750	17,025
Professional services	11,327	52,159	792	64,278	63,104
Food supplement	61,662			61,662	55,426
Depreciation	79,796	4,200		83,996	89,024
Vehicle operations and maintenance	17,211			17,211	32,216
Insurance	17,279	1,920		19,199	17,675
Office supplies and postage	14,725	2,832	1,322	18,879	16,306
Printing	810	1,351	5,907	8,068	4,897
Rent	36,960			36,960	13,160
Building repair and maintenance	31,463	1,656		33,119	31,448
Program activities	22,918			22,918	26,278
Minor furnishings and equipment	1,102			1,102	5,165
Advertising and publicity	10,769	4,307	6,461	21,537	21,169
Telephone and utilities	20,353			20,353	14,703
Staff travel and training	4,387			4,387	7,042
Miscellaneous expenses	<u>3,361</u>	<u>87</u>		<u>3,448</u>	<u>4,244</u>
Total	<u>\$ 996,249</u>	<u>\$ 127,319</u>	<u>\$ 119,813</u>	<u>\$ 1,243,381</u>	<u>\$ 1,157,496</u>

See notes to financial statements.

FRIENDSHIP ADULT DAY CARE CENTER, INC.
Statement of Cash Flows
For the year ended June 30, 2012
(With comparative totals for 2011)

	<u>2012</u>	<u>2011</u>
Cash flows from operating activities:		
Change in net assets	\$ (244,703)	\$ 463,894
Adjustments to reconcile increase in net assets to net cash provided by operating activities:		
Depreciation	83,996	89,024
Realized and unrealized (gain) or loss on investments	173,429	(307,822)
Change in value of charitable trusts	5,176	(6,039)
Change in operating assets and liabilities:		
(Increase) decrease in:		
Interest receivable	(11,378)	(2,611)
Accounts receivable	8,971	(32,420)
Grants receivable	(2,458)	12,202
Pledges receivable	12,681	56,154
Prepaid expenses	7,448	(9,753)
Increase (decrease) in:		
Accounts payable and accrued expenses	(8,592)	12,295
Accrued vacation	2,408	(216)
Deferred revenue	(1,540)	12,028
Net cash provided by operating activities	<u>25,438</u>	<u>286,736</u>
Cash flows from investing activities:		
Purchase of investments	(2,452,587)	(647,172)
Sale of investments	2,386,763	430,072
Purchase of property and equipment	(4,471)	(1,950)
Net cash used by investing activities	<u>(70,295)</u>	<u>(219,050)</u>
Net increase (decrease) in cash and equivalents	(44,857)	67,686
Cash and equivalents, beginning of fiscal year	<u>309,928</u>	<u>242,242</u>
Cash and equivalents, end of year	<u>\$ 265,071</u>	<u>\$ 309,928</u>

See notes to financial statements.

FRIENDSHIP ADULT DAY CARE CENTER, INC.
Notes to Financial Statements
June 30, 2012

Note 1 Summary of significant accounting policies

General

The Friendship Adult Care Center, Inc. (the "Center") is organized to preserve and enrich the quality of life for the frail elderly, and provide respite and support for caregivers in the Santa Barbara, California area.

Recognition of donor restrictions

All contributions are considered to be available for unrestricted use unless specifically restricted by the donor.

Support that is restricted by the donor is reported as an increase in unrestricted net assets if the restriction expires in the reporting period in which the support is received. All other donor-restricted support is recorded as an increase in temporarily or permanently restricted net assets depending on the nature of the restriction. When a restriction expires, temporarily restricted net assets are classified as unrestricted net assets.

Cash and cash equivalents

For the purposes of the statement of cash flows, the Center considers all temporary, short-term, highly liquid investments purchased with original maturities of three months or less to be cash and cash equivalents.

Property and equipment

Property and equipment is carried at cost or, if acquired by gift, at fair value at the date donated. Depreciation is computed using the straight-line method over the estimated useful life of the assets, ranging from three to fourteen years. Equipment with a useful life of more than one year is capitalized.

Taxes

The Center has been granted tax-exempt status by the Internal Revenue Service and Franchise Tax Board. Management believes that the tax positions taken are more likely than not to be sustained upon examination for this year or for those for which the statute remains open.

Investments

Investments are stated at fair value.

Use of estimates

The preparation of financial statements requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

Concentration of credit risk

Financial instruments that potentially subject the Center to concentrations of credit risk consist primarily of cash and cash equivalents, investments, and receivables.

The Center places its cash and cash equivalents with high credit quality financial institutions. These account balances may, at times, exceed federally insured limits. However, the Center has not experienced any losses in such accounts and believes it is not exposed to any significant credit risk on cash and cash equivalents.

With respect to investments, the Center holds significant investments in the form of debt and equity securities with third party money managers. The Center has never sustained a loss on any investment due to non-performance by these third parties and does not anticipate any non-performance by these third parties in the future.

With respect to receivables, the Center routinely assesses their collectability and believes that credit risk exposure is limited.

Reclassifications

Certain reclassifications have been made to the 2011 financial statements to conform to the 2012 presentation.

Note 2 Investments

Investments consist of the following:

	<u>2012</u>	<u>2011</u>
Cash and cash equivalents	\$ 33,357	\$ 43,313
Fixed income	1,068,298	1,045,313
Equities	956,517	1,362,363
Bond funds	230,622	
Alternative strategies and commodity funds	<u>81,581</u>	<u>26,991</u>
	<u>\$2,370,375</u>	<u>\$2,477,980</u>

Note 3 Charitable trust agreements

These gifts are time-restricted contributions not available to the Center until after the death of the donors, who, while living receive an annual payouts from trusts based on a fixed percentage of the market value of the invested funds. The present value of the deferred gifts is computed using published IRS actuarial tables and discount rate of 1.2%.

Note 4 Fair value measurements

The Center measures the fair value of financial instruments in accordance with ASC Topic 820, Fair Value Measurements and Disclosures. ASC 820 applies to financial instruments that are measured and reported on a fair value basis. The standard establishes a fair value hierarchy that prioritizes the inputs used to measure fair value as follows:

Level 1: Quoted prices in active markets for identical assets or liabilities.

Level 2: Inputs other than quoted prices within Level 1 that are observable, either directly or indirectly; valuations of assets and liabilities that are traded in less active dealer or broker markets; or valuations that are obtained from third party pricing services for identical or similar assets or liabilities.

Level 3: Inputs that are unobservable, with valuations based on cash flow models and similar techniques, and not based on market activity.

The table below presents assets measured at fair value on a recurring basis as of June 30, 2012:

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Investments:				
Cash and cash equivalents \$	33,357	\$ -	\$ -	\$ 33,357
Fixed income	1,068,298			1,068,298
Equities	956,517			956,517
Bond funds	230,622			230,622
Alternative strategies and commodity funds	81,581			81,581
	<u>2,370,375</u>	-	-	<u>2,370,375</u>
Charitable trust agreement			66,195	66,195
Total	<u>\$2,370,375</u>	<u>\$ -</u>	<u>\$ 66,195</u>	<u>\$2,436,570</u>

The following is a reconciliation of the beginning and ending balances for assets measured at fair value on a recurring basis using significant unobservable inputs (Level 3) during the year ended June 30, 2012:

Level 3 balance at beginning of year	\$ 71,371
Change in value of charitable trusts	<u>(5,176)</u>
Level 3 balance at end of year	<u>\$ 66,195</u>

Note 5 Property and Equipment
Property and equipment is as follows:

	<u>2012</u>	<u>2011</u>
Furniture and equipment	\$ 83,893	\$ 80,004
Vehicles	137,796	137,796
In-kind rent	240,000	240,000
Leasehold improvements	<u>332,066</u>	<u>332,066</u>
	793,755	789,866
Less accumulated depreciation	<u>(690,721)</u>	<u>(607,307)</u>
Total property and equipment	<u>\$ 103,034</u>	<u>\$182,559</u>

In 1998, the Center contributed \$300,000 toward the construction costs of its facilities. This amount has been capitalized as a leasehold improvement.

Note 6 Board designated net assets

Designated net assets consist of funds received and set-aside by the Board of Directors for the following purposes:

	<u>2012</u>	<u>2011</u>
Endowment	\$ 845,969	\$619,382
Maintenance and leasehold improvements	<u>200,000</u>	<u>200,000</u>
	<u>\$1,045,969</u>	<u>\$819,382</u>

Note 7 Temporarily restricted net assets

Temporarily restricted net assets are available for the following purposes or periods:

	<u>2012</u>	<u>2011</u>
Program activities	\$ 51,000	\$ 90,125
Expansion project		53,000
Periods after June 30:		
In-kind rent	72,000	120,000
Portion of perpetual endowment funds subject to time restrictions under SPMIFA:		
Without purpose restrictions	<u>252,201</u>	<u>330,812</u>
	<u>\$ 375,201</u>	<u>\$593,937</u>

Note 8 Permanently restricted net assets

Permanently restricted net assets consist of the following:

	<u>2012</u>	<u>2011</u>
Endowment (funds to be invested for perpetuity, the income is available for general use)	<u>\$ 621,649</u>	<u>\$626,825</u>

Note 9 Endowment

The Center's endowment includes both donor-restricted endowment funds and funds designated by the Board of Directors to function as endowments. As required by GAAP, net assets associated with endowment funds, including funds designated by the Board of Directors to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of relevant law

The Board of Directors has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the Center classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the

donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the Center in a manner consistent with the standard of prudence prescribed by SPMIFA. In accordance with SPMIFA, the Center considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

- (1) The duration and preservation of the fund
- (2) The purposes of the Center and the donor-restricted endowment fund
- (3) General economic conditions
- (4) The possible effect of inflation and deflation
- (5) The expected total return from income and the appreciation of investments
- (6) Other resources of the Center
- (7) The investment policies of the Center

Return objectives and risk parameters

The Center has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Center must hold in perpetuity as well as board-designated funds. Under this policy, the endowment assets are invested in a manner that is intended, at a minimum, to equal or exceed the rate of inflation plus the annual endowment spending percentage (if any) set by the Board of Directors.

Strategies employed for achieving objectives

To satisfy its long-term rate-of-return objectives, the Center relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Center targets a diversified asset allocation to achieve its long-term return objectives, with a significant allocation to equities.

Spending policy and how the investment objectives relate to spending policy.

In order to avoid major fluctuations from year to year and in recognition of the volatility inherent in equity markets, the Center's spending policy is to withdraw in any given year no more than 7% of the average value of the Center's investment over a trailing three-year period, as determined from time to time by resolution of the Board of Directors. Absent such a resolution, the Spending Policy shall be not to withdraw any of the Center's investments. There were no withdrawals in 2012 and 2011.

Endowment net assets composition by type of fund as of June 30, 2012:

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Donor-restricted endowment	\$ -	\$ 252,201	\$ 621,649	\$ 873,850
Board designated endowment	845,969			845,969
	<u>\$ 845,969</u>	<u>\$ 252,201</u>	<u>\$ 621,649</u>	<u>\$ 1,719,819</u>

Change in endowment net assets for the year ended June 30, 2012:

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Endowment net assets, beginning of year	\$ 933,073	\$ 330,812	\$ 626,825	\$ 1,890,710
Investment return:				
Interest and dividends	16,195	16,195		32,390
Realized and unrealized loss	(94,806)	(94,806)		(189,612)
Investment management fees	(8,493)			(8,493)
Total investment returns	(87,104)	(78,611)	-	(165,715)
Change in value of charitable remainder trusts			(5,176)	(5,176)
Endowment net assets, end of year	<u>\$ 845,969</u>	<u>\$ 252,201</u>	<u>\$ 621,649</u>	<u>\$ 1,719,819</u>

From time to time, the fair values of endowment assets may, due to unfavorable market fluctuations, fall below the level that donors require to be retained as a fund of perpetual duration. In accordance with generally accepted accounting principles, declines of this nature are reported as losses first in temporarily restricted net assets, if any are available, then in unrestricted net assets. As values recover, the increases are reported first as unrestricted gains, then as temporarily restricted gains, until the previous declines have been recovered. As of June 30, 2012 there were no such declines in value below the amount of the original endowments.

Note 10 Net assets were released from donor restrictions by incurring expenses satisfying the restricted purposes or by occurrence of other events specified by donors.

Purpose restrictions:

Program expenses	\$ 63,125
Expansion	53,000

Time restrictions expired:

Passage of specified time	
(In-kind rent)	48,000
Total restrictions released	<u>\$ 164,125</u>

Note 11 Functional expenses

Direct expenses are charged to the appropriate program or supporting function. Salaries and related expenses have been allocated to programs, administration and fundraising based upon estimates of the time spent on each function.

Note 12 In-kind donations

A significant number of volunteers have contributed their services to the Center. However, in accordance with generally accepted accounting principles, only those services provided by professionals have been valued and recorded in these financial statements.

Note 13 Employee benefits plan

The Center provides a 403 (b) retirement plan for employees working 20 hours or more a week. The Center makes matching contributions ranging from .5% to 5% of the employee's salary. This match amounted to \$12,509 and \$14,285 in 2012 and 2011 respectively.

Note 14 Operating leases

The Center leases its Montecito facilities for \$1 per year under an agreement that expires in December 2013. The value of donated rent attributable to this lease is \$240,000. That amount is being released from time restrictions over a 5 year period. In addition, the Center pays \$1,533 per month for the purpose of defraying the expenses of maintenance, repairs and improvements of the premises. The Center leases its Goleta facilities for \$3,000 per month for a 2 year period ending December 31, 2012, with a \$1,000 discount for the first 6 months. The lease grants an option to renew for an additional 2 years.

Note 15 June 30, 2011 financial information

The financial statements include certain prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with generally accepted accounting principles. Accordingly, such information should be read in conjunction with the organization's financial statements for the year ended June 30, 2011, from which the summarized information was derived.

Note 16 Subsequent events

Subsequent events have been evaluated through October 24, 2012, which is the date the financial statements were available to be used.

Attachment 2

Daily Fee Guidelines—Friendship Center

The daily cost of the program is based upon a family's ability to pay, each case individually considered by Friendship Center's Social Services staff. Our rate ranges from \$30 - \$95 per day. Fees for qualified veterans are paid by the Veterans Administration, and Tri-Counties Regional Center clients are eligible for reduced fees.

From Friendship Adult Day Care Center Employee Handbook:

Equal Employment Opportunity

The Friendship Center is an equal employment opportunity employer and complies with all applicable civil rights statutes. The Friendship Center recruits, hires, trains, promotes, discharges, provides benefits, and undertakes other personnel actions without regard to race, color, national origin, ancestry, age, sex, sexual orientation, gender identity, marital status, religion, disability, or other characteristics protected by applicable statute. The discrimination precluded by this policy includes any discrimination against an individual because that individual is perceived to have any of the foregoing characteristics or is associated with a person who has or is perceived to have any of the foregoing characteristics.

The Friendship Center will make reasonable accommodations for the known physical or mental disabilities of an otherwise qualified applicant or employee, unless the proposed accommodation would create an undue hardship. If you require an accommodation in order to perform the essential functions of your job, you should immediately apprise the Executive Director of the need and describe the requested accommodation. The Friendship Center will consider any such request for accommodation, as well as other possible alternative accommodations that might allow you to perform your job. The Friendship Center reserves the right to determine what, if any, reasonable accommodation it will implement following a request for accommodation.

If you believe you have been the victim of any illegal discrimination, you should immediately report your concerns to the Executive Director or the Board President. The Friendship Center takes all complaints of illegal discrimination seriously, and will investigate any such complaint. Should you so desire, you may report incidents of discrimination to the California Department of Fair Employment and Housing or the United States Equal Employment Opportunity Commission, contact information for which can be found in the telephone book. Please understand that the Friendship Center has a legal obligation to investigate all claims of illegal discrimination. However, the Friendship Center will consider discrimination complaints to be highly confidential, and in the course of conducting its review will discuss concerns only with those whom the Friendship Center determines necessary in order to conduct a proper investigation and achieve an effective resolution. Further, the Friendship Center will not tolerate any retaliation against any person who registers a complaint of illegal discrimination or supports a co-worker's complaint of discrimination.

Any violation of our anti-discrimination rules will result in disciplinary action, up to and possibly including termination of employment. Friendship Adult Day Care Center does not discriminate against any employment applicant or employee with respect to race, color, marital status, religion, age, national origin, ancestry, sex, sexual orientation, gender identity, pregnancy, medical condition or physical and mental disabilities, except in those cases when it is necessary due to a bona-fide occupational qualification. All employment will be based on qualifications and/or other indicated competence for the specific position.

Employee Grievance Procedure

This grievance policy is designed to provide employees with a means for raising and hopefully resolving workplace concerns. Employees wishing to raise concerns about employment discrimination, retaliation or harassment should also refer to the Equal Employment Opportunity and Antiharassment policies set forth at pages 1-2 and 15-16, respectively for additional suggestions for addressing those specific concerns.

Problems, misunderstandings, and frustrations can arise in any workplace. The Friendship Center's intent is to be responsive to employees and their concerns. Therefore, employees who encounter problems at work may use this procedure to try to resolve their problems or concerns (again, employees with questions or concerns about discrimination or harassment should review the complaint procedures set forth at pages 2 and 15-16).

Step 1: Employees should initially discuss their concerns with their immediate supervisor. Immediate supervisors should respond to such concerns within ten (10) calendar days. If the matter is not resolved through

discussions with the supervisor or if an employee does not believe that discussion with the supervisor is appropriate, then the employee should proceed to Step 2.

Step 2: The employee should submit a written request for review to the Executive Director. The request should be submitted no later than five (5) days after the employee's receipt of the supervisor's response under Step 1 or if the employee is proceeding directly to Step 2, within thirty (30) days of the incident giving rise to the concern. The written request for review need not be formal and may be hand-written, but should contain the following information: (a) a brief description of the problem, and, if applicable, the date(s) any relevant incident(s) occurred; (b) a brief summary of the supervisor's response, or, if the supervisor responded at Step 1 in writing, then in lieu of a summary, the employee should simply attach a copy of the supervisor's response; and (c) the employee's suggestion(s) for resolving the matter. If the matter specifically concerns the Executive Director and the employee is therefore uncomfortable raising the issue directly with the Executive Director, then the employee may proceed directly to Step 4 without submitting a written request for review to the Executive Director.

Step 3: The Executive Director will arrange to meet with the employee within ten (10) calendar days after receipt of the employee's written request for review (or, if a meeting within such timeframe is not feasible, then the Executive Director will let the employee know of that fact and propose an alternative timeframe for meeting). At the meeting, the Executive Director will: (a) discuss the request for review with the employee; (b) determine if the matter can be resolved at that time; and (c) determine if additional information or investigation is necessary or appropriate, and if so, discuss a tentative timeframe for completion of review. Unless the Executive Director indicates an alternative timeframe, the Executive Director will endeavor to respond in writing to the employee's request within fifteen (15) calendar days of meeting with the employee, but may, if necessary take such additional time as is necessary to respond effectively. If the employee is not satisfied with the Executive Director's response, if the Executive Director does not respond to the grievance, or if the matter specifically involves the Executive Director and the employee has elected to skip Steps 2 and 3, then the employee should proceed to Step 4.

Step 4: The employee should submit a written request for review to the President of the Friendship Center's Board of Trustees. The request should be submitted no later than: (a) five (5) days after the employee's receipt of the Executive Director's response if the Executive Director responds in writing under Step 3; (b) fifteen (15) days of the employee's submission of the request for review to the Executive Director if the Executive Director does not meet with the employee within ten (10) days of the written request for review; or (c) thirty (30) days of the incident giving rise to the concern if the employee is proceeding directly to Step 4. The written request for review should include (a) a copy of the employee's prior written request for review submitted to the Executive Director (or, if no such prior written request for review was submitted to the Executive Director, a written request containing the information described under Step 2), (b) a copy of the supervisor and Executive Director's responses, if any, received pursuant to Steps 1 and/or 3, and (c) the employee's suggestion(s) for resolving the matter.

Step 5: The Board President will submit the written request for review to the Board of Trustees' Personnel Committee. The Personnel Committee may undertake its review based solely on the written materials received, or may elect to meet with the employee, the Executive Director and/or such other individuals as it determines appropriate. Any such meetings will be informal, and, absent written requests and approvals to the contrary, neither The Friendship Center nor employees shall have counsel present. The Personnel Committee shall respond to the employee in writing within fifteen (15) calendar days of the Board President's receipt of the employee's written request for review, but may, if necessary, take such additional time as is necessary to respond effectively if the Personnel Committee feels further investigation is necessary. The decision of the Personnel Committee shall conclude the grievance procedure.

No employee will be retaliated against for utilizing this grievance procedure, and any employee who feels that they have experienced any form of retaliation should immediately contact the Executive Director, or the President of the Board of Trustees, if the perceived retaliation involves the Executive Director.

Attachment 1

Friendship Center II Implementation Plan & Status Report

F/Y 2009-2011

Agency	Activity	Status/Results/Action Time-Line
City of Goleta	● Conditional Use Permit (CUP)	☒ July 2010 – Inquiry re: CUP (Minor) ☒ Oct. 2010 – Request for radius map sent County Assessor ☒ Nov. 2010 – CUP application sent to City of Goleta – including waiver for CUP fees ☒ Dec. 2010 – Meeting with City Planner – Follow-up with 3 items in order to complete application 1) Educate neighbor re: FC 2) Contact County Health Dept. re: Lunch Program 3) City Staff to look into traffic flow ☒ Jan. 13, 2011 – CUP fee deposit paid \$1,520, waiver pending ☒ Feb. 2011 – General description re: CAC lunch for expansion provided ☒ Feb. 8, 2011 - Application complete – public hearing pending Pending: ☐ Feb. 24, 2011 – Hearing date for CUP ☐ Apr. 22, 2011 – CUP obtained
SB County Fire Dept.	● Jan. 19, 2011 Fire Dept. Clearance/Conditions (See attachment A)	☒ July 2010 – I-4 occupancy interpretation and “code modification” in order to be in compliance with the fire safety code ☒ July 2010 - Hired Code Analyst to interpret fire codes ☒ Aug. 2010 – Code modified to A-3 and no need for fire sprinklers

Attachment 1

Friendship Center II Implementation Plan & Status Report

F/Y 2009-2011

Agency	Activity	Status/Results/Action Time-Line
Goleta Water District	● Expanded Water Service	☒ Jan 2011 – Receive application re: expanded water usage Completed application with Michael Wittman (Live Oak) ☒ Feb. 2011 – Received notification – No expansion of water utilization – water expansion application exempt at this time
Live Oak Site (LO)	● Lease agreement	☒ June 2010 – Lease Discussions & negotiations ☒ July 1, 2010 – Live Oak site Board Member tour ☒ July 13, 2010 – Board Motion approved – Authorizes the Executive Director and Executive Committee to negotiate the terms of the lease agreement, prepare fundraising information, budget and plan ☒ Sept. 2010 – Start Connections Program at Live Oak ☒ Oct. 2010 – Live Oak Lease signed ☒ Feb. 2011 – Paid deposit and rent to Live Oak ☒ Feb. 8, 2011 – Hired Site coordinator to set-up new site ☒ Feb. 9, 2011 – Develop Task list for new site (see attachment A) ☐ Move in date to Live Oak – July 1, 2011 Pending: ☐ Live Oak – Welfare exemption – State Board of Equalization *negotiate Property tax if Live Oak does not qualify for exemption ☐ Review utility costs in the lease ☐ Review lease in its entirety

Attachment 1

Friendship Center II Implementation Plan & Status Report

F/Y 2009-2011

Agency	Activity	Status/Results/Action Time-Line
Department of Social Services - Community Care Licensing (CCL)	● Application for Adult Day Program (ADP) ● Secure Adult Day Program License for Live Oak Site	☒ May 2010 – Inquiry re: Second Site – informed by CCL Program Analyst to contact County Fire Dept. re: sprinklers ☒ Aug. 2010 – Received notification from SB Fire Dept. that facility would not require fire sprinklers ☒ Oct. 2010 – Send ADP application to CCL for Live Oak Site ☒ Oct.-Nov. 2010 – Continue with additional forms /information to CCL in order to secure License ☒ Nov. 4, 2010 – Application for CCL facility has been received and accepted – Facility # 425801731 ☒ Dec. 7, 2010 – Expansion postponed as per Executive Committee ☒ Dec. 15, 2010 – Meeting with CCL. Items to be sent re: application prior to scheduling pre-License visit. Required items completed: ☒ (License Forms) 404 ☒ (License Forms) 401 ☒ (License Forms) 500 ☒ (License Forms) 610 Pending: ☐ Feb – June 2011 - Purchase items for site ☐ March – June 2011 - Make modifications and complete fire clearance/conditions from the Fire Dept. ☐ May 2011 - Pre-license visit ☐ June 15, 2011 – obtain CCL License ☐ July 1, 2011 – Site Opens!

Girls, Inc. of Carpinteria
Academic Coordinator for Low Income and Working Poor Students



County of Santa Barbara
Housing and Community Development

CDBG PUBLIC SERVICES

Program Application for Program Year 2013-2014

FOR OFFICE USE ONLY

Rec'd _____

Initials _____

☐ Logged

☐ Scanned

Total Requested Program Funding by Jurisdiction:

Check all that apply and indicate amounts.

☐ Santa Barbara County

\$ _____

☒ Carpinteria

\$ 10,000

☐ Solvang

\$ _____

☐ Buellton

\$ _____

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply and indicate amounts.)

☐ Goleta

\$ _____

☐ Lompoc

\$ _____

☐ Santa Maria

\$ _____

Section A – Program Summary

1. Program Title Academic Coordinator for Low Income and Working Poor Students

2. Program Service Area City of Carpinteria

3. Number of Persons to be Served 55

4. Provide a brief program description. Include an explanation of how the CDBG funds sought will be utilized.

The Girls Inc. Academic Coordinator (AC) works closely with students, parents and teachers to improve academic achievement amongst low income and working poor students. Our goal is help students perform at grade level, be promoted to the next grade and pursue post-secondary educational opportunities.

5. Provide your agency's mission statement.

In order to inspire girls and young women to be smart, strong and bold, the mission of Girls Inc. of Carpinteria seeks to empower girls and women to achieve personal, social, economic and political success.

6. Date most recent Form 990 was filed June 2011

7. Date of most recent audit (if any) June 30, 2012

8. How long has your agency been in operation? 1971

9. Are there current vacancies on your agency's Board of Directors?

☐ Yes ☒ No

If yes, when do you expect these vacancies to be filled? _____



CDBG PUBLIC SERVICES

Grant Application Submittal Instructions

Application Deadline: **WEDNESDAY, JANUARY 2, 2013 at 5:00 pm**

Deliver to: **Community Services Department**
Housing & Community Development Division
105 E. Anapamu Street, Room 105
Santa Barbara, California 93101
(805) 568-3520

Format Instructions

- The Application must be typed in 12-point font size or larger.
- Answer all questions in the order presented without variation.
- Print all documents double-sided.
- Three-hole punch all documents submitted.
- Secure each copy with paper clip in upper left corner. Do not staple.
- No covers, dividers, binders, etc.

Submission Instructions

- Applications received after 5:00 p.m. will NOT be considered.
- Handwritten Applications will NOT be considered.
- Applications may NOT be submitted by fax.
- Postmarks will NOT be considered.
- Write into the application in the space provided, no written attachments will be accepted
- Send a copy of the Application by email to HCDNOFA@co.santa-barbara.ca.us.
- Provide ONE original "wet ink" application and 7 copies.
- Submit only ONE Required Attachment packet, 3-hole punched.

10. If your agency has a current contract with the County or partner cities, has your agency submitted all required performance reports? If no, please attach all outstanding reports. ☒ Yes ☐ No

Section B – General Applicant Information

1. Legal Name of Applicant Organization: Girls Incorporated of Carpinteria
2. Are you a 501(c) organization?
(All agencies must complete a Board of Directors Affidavit on page 14) ☒ Yes ☐ No
3. Address of Organization:
Street: 5315 Foothill Road Suite # _____
City: Carpinteria State: CA Zip: 93013
4. Mailing Address (if different from above):
Street: _____ Suite # _____
City: _____ State: _____ Zip: _____
5. Person to Contact Regarding this Application:
Name: Victoria Juarez
Relationship to Agency: Executive Director
Street: 5315 Foothill Road Suite # _____
City: Carpinteria State: CA Zip: 93013
Work Phone: (805) 684 6364 Ext. _____
Fax: (805) 566 3425
E-mail: vjuarez@girlsinc-carp.org
6. Person to Contact Regarding the Proposed Program:
Name: Victoria Juarez
Relationship to Agency: Executive Director
Street: 5315 Foothill Road Suite # _____
City: Carpinteria State: CA Zip: 93013
Work Phone: (805) 684 6364 Ext. _____
Fax: (805) 566 3425
E-mail: vjuarez@girlsinc-carp.org

7. Name and contact information of Fiscal Agent:

Name: Victoria Juarez
Agency / Organization: Girls Incorporated of Carpinteria
Street: 5315 Foothill Road Suite #
City: Carpinteria State: CA Zip: 93013
Work Phone: (805) 684-6364 Ext.
Fax: (805) 566-3425
E-mail: vjuarez@girlsinc-carp.org

8. Agency's Federal Identification Number (Tax ID #) 23-7430292

9. Agency Organizational DUNS number: 930346770
(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register)

10. Are you registered with the California Attorney General Registry of Charitable Trusts? ☐ Yes ☒ No

If yes, please provide your Registry of Charitable Trusts Registration Number. #

11. For all programs/projects: Using the following link, please attach Excluded Parties List System (EPLS) for project/program applicant (sponsors, owners, developers, contractors, subcontractors, and subrecipients) to demonstrate compliance that none are debarred or suspended. <https://www.epls.gov/epls/search.do>

Section C – Program Description

1. Select the activity that best describes the proposed program. If the listed activities are not applicable to the proposed program, please select Other Public Service.

- | | |
|---|--|
| ☐ Operating Costs for Homeless/AIDS Programs | ☐ Health Services |
| ☐ Senior Services | ☐ Services for Abused and Neglected Children |
| ☐ Handicapped Services | ☐ Mental Health Services |
| ☐ Legal Services | ☐ Screening for Lead-Based Paint/Lead Hazards |
| ☐ Youth Services | ☐ Subsistence Payments |
| ☐ Transportation Services | ☐ Homeownership Assistance |
| ☐ Substance Abuse Services | ☐ Rental Housing Subsidies |
| ☐ Services for Battered and Abused Spouses | ☐ Security Deposits |
| ☐ Employment Training | ☐ Housing Counseling |
| ☐ Crime Awareness | ☐ Neighborhood Cleanups |
| ☐ Fair Housing Activities | ☐ Food Banks |
| ☐ Tenant/Landlord Counseling | ☐ Other Public Service |
| ☒ Child Care Services | |

2. Select the Consolidated Plan objective that aligns with the proposed program. For details, please consult the County of Santa Barbara's 2010-2015 Consolidated Plan available at <http://www.countyofsb.org/housing>.

- ☐ **Public services that assist persons with special needs**
(e.g., homeless and AIDS patients programs, food distribution services, senior services, services for battered and abused spouses, mental health services)
- ☒ **Public service programs for low- and moderate-income households including programs for housing and other community development needs**
(e.g., family services, youth services, crime awareness services)
- ☐ **Programs that promote and provide services that prevent discrimination and eliminate barriers to housing**
(e.g., fair housing services, housing counseling services, legal services, communitywide educational presentations)

3. Describe the target population (include population characteristics) and unmet community need that the proposed program will serve. Include in your description the methodology and specific sources (e.g., census data, research reports, community surveys) used to identify the unmet community need. Specify how the proposed program will align with the objective selected in Question 2 above.

The AC is improving the performance of low income, at-risk students by working with Carpinteria Unified School District (CUSD) to implement individual academic plans for students attending our licensed child care program. We interviewed stakeholders: CUSD Superintendent, Paul Cordeiro; high school counselors; teachers; and youth development leaders to determine how to best serve the community's needs. CUSD performance measures show that 2/3 of our girls are performing below grade level and 1/3 are English-language learners. Of girls served - 52% are between the ages of 5 and 12; 48% are between 13 and 18; 65% Latina; 29% Caucasian; 2% African Am.; 4% Asian; and 68% qualify for scholarships and live below Federal poverty level.

4. Describe your organization's previous experience in implementing programs/projects similar to the activity proposed and describe your agency's track record with regard to past quarterly reporting, meeting performance targets and expending funds in a timely fashion. Please attach a project/program schedule signed by project manager and supervisor.

We have been providing licensed child care since 1994. Girls Inc. is much more than just a place to "house" girls after school, we provide age-appropriate, research based programming for girls ages 5-18 during 51 weeks of the year. The Academic Coordinator now allows us to focus more intently on academics and college bound programs. Our track record with regard to reporting, meeting goals and expending funds is excellent. Our program and accounting teams work together to ensure we meet all requirements from funding agencies.

5. Explain how the service provided by the proposed program will address the unmet community need identified in Question 3 above and lead to successful outcomes for beneficiaries.

Access the CUSD academic database, Measures, and build an individualized plan in our after school program. This academic plan will help ensure the core fundamental to academic success. We also work in partnership to help each student meet key performance benchmarks that will lead to graduation and graduate. We are the only after school program in the area.

6. Describe collaborative efforts and linkages (current and planned) between your agency and other existing government agency programs (federal, state, and/or local) that will help ensure that the target population identified in Question 3 above has access to a full range of necessary services. Include names of specific programs and federal, state, and local agencies and programs. Specify referral methods that will be utilized by your agency in implementing the proposed program.

Girls Inc. is working with Santa Barbara County THRIVE Cradle-to-Career initiative to help close the achievement gap and provide our girls with the academic support that they need during after school hours. We collaborate with other THRIVE members to share successes, challenges and (non-monetary) resources. Our Academic Coordinator (AC) works closely with Carpinteria Unified School District teachers, counselors and parents to assess the girls' academic needs and create individual academic support plans to help them perform at or above grade level. The AC utilizes the district's database to track progress and homework assignments. Additionally, we collaborate with the Carpinteria Unified School District (CUSD) to provide programs in CUSD elementary and middle schools such as Kid-Ability (focusing on child abuse prevention) and Will Power, Won't Power (an assertiveness training program to deter sexual activity among teens). CUSD and other THRIVE partners refer students and parents to our services.

7. Describe your agency's current/planned collaborative efforts with other service providers addressing the needs of a similar population.

The Boys & Girls Club of Carpinteria is the only other licensed after school program in Carpinteria. We refer families to one another when our own organizations cannot meet the specific needs of a family. Our Teen Department works throughout the year with the local non-profit, Carp Cares for Youth to address issues such as youth violence, alcohol, drugs and teen suicide.

8. Select the statement below that best describes the service to be provided by the proposed program.

- ☐ A service that was funded by the County's CDBG program last year and will maintain the same or provide a greater level of service.
- ☒ A service that is a quantifiable increase in the level service above which was funded with state or local funds during the past twelve (12) calendar months.
- ☐ A new service.
- ☐ None of the above.

9. Is a fee charged or donation suggested for any service provided by the proposed program?

☒ Yes ☐ No

If yes, attach a copy of the fee schedule and describe pricing methodology below.

The after school program is fee for service and operates on a sliding scale depending on household income. Two-thirds of the participants receive partial scholarships. To receive a scholarship, a parent or guardian must complete an application and submit proof of income. Eligibility is verified through tax returns, calls to employers, proof of extenuating circumstances and/or interviews with the after school program director.

Section D – Staffing

1. Describe existing and planned staff positions (paid and unpaid) dedicated in whole or in part to the proposed program. Include the name, title, experience and qualifications, and roles and responsibilities for all staff persons that will be funded by this CDBG award.

Victoria Juarez is the Executive Director and has over twelve years of non-profit experience serving youth and families in after school programs, leadership, management and daily operational capacity. Juarez has a BA in History, an MA in Public Administration and a certificate in non profit finance and management. Jessica Wetzel is the full-time Academic Coordinator with a BA degree in Liberal Studies, Elementary Education from California State University, Fullerton. Jessica provides academic support to girls in the after school, teen mentoring and Eureka! programs.

2. Does the agency have a personnel policy manual with an affirmative action plan and grievance procedure? ☒ Yes ☐ No
Please attach a copy.

Section E – Evaluation

1. Describe how the quality and effectiveness of the proposed program will be assessed. Include descriptions of any evaluation methods and review processes. Indicate the frequency of such evaluations and reviews.

We actively track the academic progress of each girls enrolled in our after school program. The Academic Coordinator and CUSD staff discuss each girl's strengths and areas for improvement so that our support is tailored appropriately. This information is also communicated to the parents so they can create a supportive environment for learning at home. Through our THRIVE partnership, the Academic Coordinator has access to the CUSD academic database, Measures, so we can see directly how to best build a plan for academic support that ensures the mastery of math and reading skills that are fundamental to academic success. The Academic Coordinator views the academic database weekly and regularly communicates with CUSD teachers.

2. Describe the unit(s) of service (e.g., meals served, shelter bed nights, rental assistance, utility payments), other than persons, that will be used to assess the program.

Each girl will receive nearly 480 hours of programming annually, 240 hours of which will be intentional academic support. The remaining 240 hours will include Girls Inc. identity programs and choices. Identity programs include: Operation SMART, Bone Zone, Project Bold, Media Literacy and Economic Literacy.

3. Provide at least three specific **performance targets** that will be used to assess how the proposed program is addressing the unmet community need described above. If awarded, the outcome measures provided in this application will be incorporated into any contract and progress towards meeting performance targets will be required for quarterly reporting.

- 1) Improved academic performance.
- 2) Collaboration and communication between the Girls Inc. Academic Coordinator, CUSD teachers and counselors, and parents regarding each student's successes and challenges.
- 3) Promotion to the next grade level.

Section F – Beneficiary Information

1. **Verification of Eligibility:** Please identify the beneficiaries of this proposed project. Select LMA or LMC.

☐ **Low/Moderate Income Area Benefit (LMA)**

Program service area has been identified and determined to be statistically low-income based on the 2010 Census.
(Please attach map to allow us to determine Census Tract eligibility.)

☒ **Low/Moderate Income Limited Clientele (LMC)**

☐ Yes ☒ No

Self Certification:

Clients independently "self-certify" on a membership form, intake form, etc. *If you use this method, **please attach blank intake form.** Ensure the form has a place for signatures for Case Manager and Supervisor to ensure eligibility documentation was sought.*

Client Document Review:

Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. *If you use this method, please **attach blank worksheet.***

☒ Yes ☐ No

Presumed Beneficiaries:

Clients served are **primarily and specifically** from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. *If you use this method, please indicate which group.*

☐ Yes ☒ No

Section G - Financial Information

1. **Financial Capacity:** Describe the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.
2. What percentage of your agency's total revenue is generated from the County of Santa Barbara?
\$15,000 which is 2% of total revenue
3. **Federal Grant Experience within the Past 5 Years** (e.g., County & City CDBG/ESG grants):

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
OJJDP	YOGB	incarcerated youth program	July 1, 2012	\$99,380
OJJDP	YOGB	incarcerated youth program	July 1, 2011	\$97,000
OJJDP	YOGB	incarcerated youth program	July 1, 2010	\$136,276
OJJDP	YOGB	incarcerated youth program	July 1, 2009	\$78,503
OJJDP	YOGB	incarcerated youth program	July 1, 2008	\$124,800

Fiscal Year and Audit Reports

4. What is your agency's fiscal year end date? June 30
5. Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. (Please include a copy of the most recent financial audit with your completed application—See Required Attachments).

What fiscal year did this most recent audit include?

7/11 - 6/12 (Month/Year - Month/Year)

6. Are there any outstanding financial audit findings which remain unresolved?
 If yes, please explain.

☐ Yes ☒ No

7. Has your agency expended more than \$500,000 in federal funds in its last operating year?
 (Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

☐ Yes ☒ No

2. **Ethnicity and Race:**

- a. Does your organization request information on whether your clients are of Hispanic ethnicity? ☒ Yes ☐ No
- b. Does your organization ask all clients (including Hispanic clients) whether they are one or more of the following races? ☒ Yes ☐ No

- White
- Black or African American
- American Indian or Alaska Native
- Asian
- Native Hawaiian or Other Pacific Islander
- American Indian or Alaska Native and White
- Asian and White
- Black or African American and White
- American Indian or Alaska Native and Black or African American
- Balance/Other

The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.

- c. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, explain how this information will be obtained to meet this requirement.

N/A

3. **Data Collection and Reporting:** Describe how beneficiary data is collected and reported. If applicable, include the name of the software used.

Girls Inc. application and tracking through MS Excel.

If you answered "yes" to question 7, please answer questions 8 and 9 below. If you answered "no" to question 7, please proceed to question 10.

8. Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)? ☐ Yes ☐ No
9. Are there any outstanding single audit findings which remain unresolved?
If yes, please explain. ☐ Yes ☐ No
10. If your organization is a non-profit organization, does your organization comply with the following:
- a) OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Non-Profit Organizations" ☒ Yes ☐ No
 - b) OMB Circular A-122 "Cost Principles for Non-Profit Organizations" ☒ Yes ☐ No
 - c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations" ☐ Yes ☒ No
 - d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" ☐ Yes ☒ No
 - e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month? ☒ Yes ☐ No
 - f) Does your organization have any outstanding litigation or other legal issues?
If yes, please attach written explanation as a separate sheet. ☐ Yes ☒ No
11. How many members serve on your Board of Directors? 17
12. How often does your Board of Directors meet? Monthly
13. Does your Board of Directors have an audit committee? Yes
14. Describe the financial expertise currently serving on your Board of Directors.

CFO from YMCA of Channel Islands, VP from Montecito Bank, Bank Executive from Santa Barbara Bank and Trust, attorneys and small business owners.

15. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.

John Franklin, Montecito Bank and Trust, jfrankl@montecito.com
Lucinda "Cindy" Young, Santa Barbara City College, lucinda.young@gmail.com
Terry Banks, Hickey Brothers Land Co., hbhc_365@yahoo.com

16. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.

Section H – Program and Agency Revenue and Expense Information**1. Funding Sources for Proposed Program**

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds			
Other CDBG Public Services funds			
Other local cities' funds			
County Human Services Program funds			
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds			
State funds	\$2,000	\$2,000	\$2,000
Private trusts and foundation funds	\$5,000	\$10,000	\$10,000
Donations	\$1,000	\$1,000	\$1,000
Special fundraising events			
Client fees	\$11,209	\$44,179	\$47,200
Other funds (specify): _____ _____			
Total Project Budget	\$19,209	\$57,179	\$60,200

2. Expenditures for Proposed Program

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	\$19,209	\$50,000	\$50,000
Consultants and Contracts			
Facility, Utilities, Maintenance		\$2,000	\$2,000
Telephone, Fax		\$179	\$200
Supplies		\$3,000	\$3,000
Postage & Shipping			
Marketing (Printing, Advertising)			\$500
Travel, Mileage, Training			\$1,000
Equipment Rental/Maintenance			
Insurance		\$2,000	\$2,000
Other uses (specify): <u>Transportation</u> _____			\$1,500
Total Project Budget:	\$19,209	\$57,179	\$60,200

3. Funding Sources for Agency

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	0	0	\$10,000
Other CDBG Public Services funds	0	0	0
Other local cities' funds	\$17,000	\$17,000	\$17,000
County Human Services Program funds	\$20,485	\$19,000	\$20,000
HOME funds	0	0	0
ESG funds	0	0	0
HOPWA funds	0	0	0
Other Federal funds	\$104,478	\$100,000	\$95,000
State funds	\$11,000	\$12,000	\$12,000
Private trusts and foundation funds	\$255,872	\$140,279	\$150,800
Donations	\$81,267	\$102,833	\$68,089
Special fundraising events	\$88,445	\$112,750	\$115,000
Client fees	\$151,674	\$139,915	\$140,543
Other funds (specify): <u>rentals, affiliates,</u> <u>outreach programs</u>	\$186,991	\$161,691	\$165,098
Total Agency Budget	\$959,020	\$805,468	\$793,530

4. Expenditures for Agency

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	\$428,290	\$469,014	\$457,730
Consultants and Contracts	\$48,237	\$7,200	\$7,000
Facility, Utilities, Maintenance	\$86,328	\$75,112	\$74,000
Telephone, Fax	\$3,189	\$2,880	\$2,900
Supplies	\$70,691	\$70,000	\$71,000
Postage & Shipping	\$1,753	\$2,500	\$2,500
Marketing (Printing, Advertising)	\$5,119	\$5,100	\$5,000
Travel, Mileage, Training	\$16,019	\$8,820	\$8,000
Equipment Rental/Maintenance	\$2,966	\$2,832	\$2,500
Insurance	\$18,798	\$21,600	\$22,400
Other uses (specify): <u>depreciation, permits,</u> <u>office general, uncollected fees, events</u>	\$140,227	\$140,410	\$140,500
Total Agency Budget:	\$821,617	\$805,468	\$793,530

5. Describe your agency's short to mid-term financial forecast: What factors are causing your agency's budget to increase, decrease, or remain level in the next three years?

The Girls Inc. organizational and financial strategy is to be very intentional with each of our programming choices. Our board's charge is that resources will be directed to ensure that we are providing girls and young woman with opportunities to explore, grow and gain the confidence necessary to be successful. Most importantly, our vision is to serve more girls with a stronger emphasis on academics, dropout prevention and college bound programming. Financially, Girls Inc. lost many annual foundation and individual donors due to the Great Recession in 2008, and the effects of the slowed economy are still being felt today. Annual foundation grants disappeared and created the need to lower expenses and generate more diverse income sources. Girls Inc. is in a better financial position than it has been in years due to staff and programming reductions, coupled with the support of foundations and individuals who know our potential and made an investment. Program fees are also an important aspect of our budget. While we provided almost \$98,000 in scholarships last year, we do rely on the fees from families at the level they can afford to pay. We forecast incremental growth with increases in revenue of 10% annually over the next three years.

6. If this request is not fully funded, can your proposed program operate with a reduced CDBG award? ☒ Yes ☐ No
Please explain what services can be offered with lower funding.

If request is not funded in full, the Academic Coordinator position will be funded by soliciting major gifts from individuals and foundations to supplement financial shortfalls. Our services can be offered with lower funding, however, the number of girls served will be less if we do not meet the projected budget for this position.

Section I – Certifications

All certifications must be executed in BLUE INK.

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in all attachments is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to operate the project as proposed.

Girls Incorporated of Carpinteria

Name of Agency

Victoria Juarez

Typed Name of Agency Official

Executive Director

Title of Agency Official

Agency Official Signature

December 19, 2012

Date of Signature

805-684-6364

Telephone Number of Agency Official

VJuarez@girlsinc-carp.org

Email address of Agency Official

Board of Directors Affidavit

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee Victoria Juarez
 depose and say that I am Executive Director
 [insert title] of Girls Incorporated of Carpinteria

 _____ [insert name and address of Agency].

The other members and officers of the Board of Directors of this Agency are:
 (Please list names of current Board Members and attach an additional sheet if necessary):

Name:	Title:	Term Expires:
1. <u>Mary Crowley</u>	<u>President</u>	<u>2013</u>
2. <u>Clyde Freeman</u>	<u>Vice President</u>	<u>2013</u>
3. <u>Cindy Halstead</u>	<u>Treasurer</u>	<u>2013</u>
4. <u>Patricia Madrigal</u>	<u>Secretary</u>	<u>2014</u>
5. <u>Cindy Abbott</u>	<u>Member</u>	<u>2014</u>
6. <u>Lea Boyd</u>	<u>Member</u>	<u>2014</u>

DATE: December 17, 2012

AT: Carpinteria, CA [City & State]

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.
 (MAKE NOTE THAT IF AGENCY HAS NO BOARD, PLEASE HAVE DIRECTOR SIGN AND MARK THIS N/A.)

[Signature]
 Signature

Victoria Juarez, Exec. Dir.
 Print Name and Title

2012-2013 Board of Trustees - Girls Inc. - CONTINUED - from Affidavit

Name	City	Affiliation/Profession	Term
Geri Carty	Carpinteria	Nurse	2010-2012
Donna Downs	Carpinteria	Retired	2010-2012
Christine Fredericks	Carpinteria	Licensed Psychologist	2012-2015
Diana Freeman	Carpinteria	Retired Office Manager	2008-2012
Kiona Gross	Carpinteria	Small Business Owner	2011-2014
Stephanie Herrington	Carpinteria	Attorney	2012-2015
Linda Hernandez	Carpinteria	Branch Manager, Banking	2012-2015
Beth Mather	Summerland	Wardrobe Consultant	2010-2012
Craig Price	Santa Barbara	Attorney	2007-2013
Nini Seaman	Carpinteria	Volunteer	2010-2012
Cheryl Wright	Carpinteria	Paralegal	2009-2012

Girls Inc. of Carpinteria Board Roster List 2012-2013

updated as of 12-17-12

Name	Address	City	Zip	email/occupation
President Mary Crowley	1317 Trieste Lane	Carpinteria	93103	mumsvincarp@gmail.com
Secretary Dr. Patricia Madrigal	432 W. Valerio Street #10	Santa Barba	93101	drpmadrigal@yahoo.com THRIVE Westside Director
Treasurer Cindy Halstead	605 Shady Lane	Ojai	93023	cindy.halstead@ciymca.org Chief Financial Officer
First Vice Pres. Clyde Freeman	236 Toro Caynon Road	Carpinteria	93103	cfreeman@montecito.com VP, Montecito Bank
Cindy Abbott	1717 Prospect Ave.	Santa Barba	93101	cabbott@cusd.net CUSD Assistant Super.
Lea Boyd				leaboyd@yahoo.com Editor
Geri Carty		Carpinteria	93103	gacarty79@yahoo.com Nurse
Donna Downs	5586 Canalino	Carpinteria	93103	mddowns@gte.net Retired
Christine Fredricks	4845 El Carro Lane	Carpinteria	93103	cfederi@uci.edu
Diana Freeman	236 Toro Caynon Road	Carpinteria	93103	hmbird2@msn.com Retired Office Manager
Kiona Gross	929 Linden Aveune	Carpinteria	93103	kiona@curiouscup.com Business Owner
Linda Hernandez	1471 Trenora	Carpinteria	93103	linda.hernandez@sbbt.com
Stefanie Herrington	285 N. Ventura Ave No 20	Ventura	93001	stefanie@lawbh.com Attorney
Beth Mather	P.O. Box 1273	Summerlanc	93103	sbbethel@yahoo.com wardrobe consultant
Craig Price	8 E. Figueroa Stret, 3rd Flr. P.O. Box 9	Santa Barba	93101 93102	Price@g-tlaw.com Attorney
Nini Seaman	805 Sand Point Road	Carpinteria	93103	NinibySea@aol.com Artist
Cheryl Wright	1215-4 Franciscan Court	Carpinteria	93103	wright@taxlawsb.com Paralegal

County of Santa Barbara – CDBG Grant Application
Girls Incorporated of Carpinteria – Program Schedule

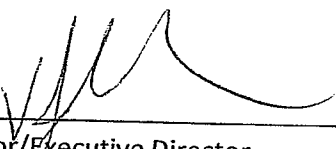
We will comply with all reporting requirements for receiving CDBG funds and will submit quarterly reports and invoices for funds by the following dates:

October 31, 2013

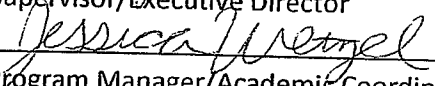
January 31, 2014

April 30, 2014

June 30, 2014



Supervisor/Executive Director



Program Manager/Academic Coordinator

12/19/12
Date
12/19/12
Date

Checklist of Required Documents

Note: This completed checklist must be turned in with application. The documents listed below are required of Agencies applying for CDBG Public Service funds:

- ☒ Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board
 - Form 501(c)
- ☒ Verification of non-debarment or non-suspension
- ☒ Evidence of Insurance
 - Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☒ Most recent financial audit
- ☒ Program fee schedule, if applicable
- ☐ Explanation of outstanding legal/litigation issues, if applicable
- ☒ Blank client intake form with signature block for intake staff/supervisor
- ☐ Performance Reports (if applicable)
- ☒ Personnel policy and procedures manual/program manuals

12-17-11 1:40 PM R000

Internal Revenue Service

Department of the Treasury

District
Director

P.O. Box 2350 Los Angeles, Calif. 90053

GIRLS INCORPORATED OF CARPINTERIA
5315 FOOTHILL ROAD
CARPINTERIA, CA 93013

Person to Contact:
L BARRAGAN
Telephone Number:
(213) 894-2336
Refer Reply to:
EO(0515)95
Date:
AUGUST 1, 1995

EIN: 23-7430292

Dear Taxpayer:

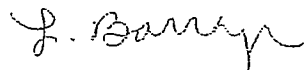
This letter is in response to your request for a copy of the determination letter for the above named organization.

Our records indicate that this organization was recognized to be exempt from Federal income tax in DECEMBER 1974 as described in Internal Revenue Code Section 501(c)(3). It is further classified as an organization that is not a private foundation as defined in Section 509(a) of the Code, because it is an organization described in Section 509(a)(2).

The exempt status for the determination letter issued in DECEMBER 1974 continues to be in effect.

If you need further assistance, please contact our office at the above address or telephone number.

Sincerely,



Disclosure Assistant

Search Results

Current Search Terms: Girls* incorporated* of carpinteria*

No records found for current search.

SAM | System for Award Management 1.0

IBM v1.474.20121216-2150

Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



Search Results

Current Search Terms: 930346770*

No records found for current search.

SAM | System for Award Management 1.0

IBM v1.474.20121216-2150

Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



Client#: 381130

GIRLCARP

ACORD™

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

8/03/2012

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER		CONTACT NAME: Bianca Rodriguez	
HUB Int'l Insurance Serv. Inc.		PHONE (A/C, No, Ext): 805 879-9542	FAX (A/C, No): 805 617-1762
40 East Alamar Avenue		E-MAIL ADDRESS: bianca.rodriguez@hubinternational.com	
Santa Barbara, CA 93105		INSURER(S) AFFORDING COVERAGE	
		INSURER A: New York Marine And General Ins	NAIC # 16608
INSURED		INSURER B:	
Girls Inc. of Carpinteria		INSURER C:	
5315 Foothill Road		INSURER D:	
Carpinteria, CA 93013		INSURER E:	
		INSURER F:	

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
	GENERAL LIABILITY						EACH OCCURRENCE \$
	COMMERCIAL GENERAL LIABILITY						DAMAGE TO RENTED PREMISES (Ea occurrence) \$
	CLAIMS-MADE ☐ OCCUR ☐						MED EXP (Any one person) \$
							PERSONAL & ADV INJURY \$
	GEN'L AGGREGATE LIMIT APPLIES PER:						GENERAL AGGREGATE \$
	☐ POLICY ☐ PRO-JECT ☐ LOC						PRODUCTS - COMP/OP AGG \$
	AUTOMOBILE LIABILITY						COMBINED SINGLE LIMIT (Ea accident) \$
	ANY AUTO						BODILY INJURY (Per person) \$
	ALL OWNED AUTOS						BODILY INJURY (Per accident) \$
	HIRED AUTOS						PROPERTY DAMAGE (Per accident) \$
	SCHEDULED AUTOS						
	NON-OWNED AUTOS						
	UMBRELLA LIAB						EACH OCCURRENCE \$
	EXCESS LIAB						AGGREGATE \$
	DED ☐ RETENTIONS ☐						
A	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below			WC201200001834	06/30/2012	06/30/2013	☒ WC STATU-TORY LIMITS ☐ OTH-ER E.L. EACH ACCIDENT \$1,000,000 E.L. DISEASE - EA EMPLOYEE \$1,000,000 E.L. DISEASE - POLICY LIMIT \$1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)

Ref Contract#: CN14074

Evidence of insurance is provided to the certificate holder listed below.

CERTIFICATE HOLDER

CANCELLATION

County of Santa Barbara
Public Health Dept; Contract Unit
300 N. San Antonio Road
Santa Barbara, CA 93110

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

Debra O. Paster

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GIRLS INCORPORATED OF CARPINTERIA
FINANCIAL STATEMENTS
FOR THE YEAR ENDED
JUNE 30, 2012

GIRLS INCORPORATED OF CARPINTERIA

TABLE OF CONTENTS

	<u>PAGE</u>
Independent Auditors' Report	1
Financial Statements:	
Statement of Financial Position	2
Statement of Activities	3
Statement of Functional Expenses	4
Statements of Cash Flows	5
Notes to Financial Statements	6-12

REED S. SPANGLER
JANE E. RUSSELL
GAIL H. ANIKOUCHINE
WILLIAM L. JACKSON

INDEPENDENT AUDITORS' REPORT

JAMES W. FISCHER
TIMOTHY A. O'KEEFE
ARJUN S. MCAVOY
HOWARD B. ATKINSON
MARILYN D. PARKE
KELLY A. SCHON
VANESSA M. GARCIA
DAVID E. LEHMAN

ROBERT R. BABCOCK
Consultant
RICHARD L. HUNT
Consultant
SUSAN M. FRAZIER
Consultant

Santa Barbara
115 E. MICHELTORENA ST.
SUITE 200
SANTA BARBARA
CALIFORNIA 93101
PHONE (805)966-4157
FAX (805)965-2454

Los Olivos
2948 NOJOQUI AVE.
SUITE 3
P.O. BOX 336
LOS OLIVOS
CALIFORNIA 93441
PHONE (805)688-6449
FAX (805)688-6440

E-MAIL cpa@mfco.com
WEBSITE www.mfco.com

Board of Directors Girls Incorporated of Carpinteria:

We have audited the accompanying Statement of Financial Position of Girls Incorporated of Carpinteria (a California nonprofit organization) as of June 30, 2012, and the related Statements of Activities and Functional Expenses for the year ended June 30, 2012, and the Statements of Cash Flows for the years ended June 30, 2012 and 2011. These financial statements are the responsibility of the Organization's management. Our responsibility is to express an opinion on these financial statements based on our audit. The prior year summarized comparative information has been derived from the Organization's 2011 financial statements and, in our report dated November 14, 2011, we expressed an unqualified opinion on those financial statements.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Girls Incorporated of Carpinteria as of June 30, 2012, and the changes in net assets, functional expenses and cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

MacFarlane, Faletti & Co. LLP

Santa Barbara, California
September 27, 2012

GIRLS INCORPORATED OF CARPINTERIA
STATEMENT OF FINANCIAL POSITION
FOR THE YEAR ENDED JUNE 30, 2012
WITH COMPARATIVE TOTALS FOR THE YEAR ENDED JUNE 30, 2011

	Unrestricted	Temporarily Restricted	Permanently Restricted	2012 Total	2011 Total
<u>ASSETS</u>					
Current operating assets:					
Cash and cash equivalents	\$ 303,189	\$ 162,907	\$ -	\$ 466,096	\$ 422,568
Accounts receivable	14,728	-	-	14,728	16,601
Total current operating assets	317,917	162,907	-	480,824	439,169
Property and equipment - net (Note 3)	1,499,574	-	-	1,499,574	1,404,307
Endowment assets					
Endowment cash and cash equivalents (Note 6)	-	-	63,476	63,476	63,476
Total endowment assets	-	-	63,476	63,476	63,476
Total Assets	<u>\$ 1,817,491</u>	<u>\$ 162,907</u>	<u>\$ 63,476</u>	<u>\$ 2,043,874</u>	<u>\$ 1,906,952</u>
<u>LIABILITIES AND NET ASSETS</u>					
Current liabilities:					
Accounts payable and other accrued expenses	\$ 9,557	\$ -	\$ -	\$ 9,557	\$ 3,633
Accrued payroll, vacation, and other related items	19,632	-	-	19,632	13,418
Current portion of note payable (Note 5)	11,484	-	-	11,484	10,979
Deferred revenue	-	-	-	-	1,640
Total current liabilities	40,673	-	-	40,673	29,670
Long term portion of note payable (Note 5)	314,257	-	-	314,257	325,741
Total Liabilities	354,930	-	-	354,930	355,411
Net Assets (Note 6)	1,462,561	162,907	63,476	1,688,944	1,551,541
Total Liabilities and Net Assets	<u>\$ 1,817,491</u>	<u>\$ 162,907</u>	<u>\$ 63,476</u>	<u>\$ 2,043,874</u>	<u>\$ 1,906,952</u>

See accompanying notes

GIRLS INCORPORATED OF CARPINTERIA
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2012
WITH COMPARATIVE TOTALS FOR THE YEAR ENDED JUNE 30, 2011

	Unrestricted	Temporarily Restricted	Permanently Restricted	2012 Total	2011 Total
Public Support and Revenue:					
Public support:					
Contributions	\$ 89,967	\$ 23,800	\$ -	\$ 113,767	\$ 113,012
United Way	26,519	-	-	26,519	33,916
Grants and contracts	153,777	-	-	153,777	146,731
Foundations	91,900	163,972	-	255,872	158,435
Special events, net of expenses of \$41,807 and \$25,737 respectively	88,446	-	-	88,446	54,199
Net assets released from restriction	128,865	(128,865)	-	-	-
Total public support	579,474	58,907	-	638,381	506,293
Revenue:					
Program services (net of scholarships granted of \$81,127 and \$68,807 respectively)	151,673	-	-	151,673	156,901
Rental income	117,982	-	-	117,982	116,690
Other revenue	7,881	-	-	7,881	7,657
Loss on disposal of assets	-	-	-	-	(1,270)
Investment income	1,295	-	-	1,295	2,401
Total revenue	278,831	-	-	278,831	282,379
Total public support and revenue	858,305	58,907	-	917,212	788,672
Expenses:					
Program services	621,900	-	-	621,900	670,197
Management and general	116,411	-	-	116,411	109,525
Fundraising	41,498	-	-	41,498	46,559
Total expenses	779,809	-	-	779,809	826,281
Excess/(Deficit) of Support over Expenses	78,496	58,907	-	137,403	(37,609)
Net Assets at Beginning of Year	1,384,065	104,000	63,476	1,551,541	1,589,150
Net Assets at End of Year	\$ 1,462,561	\$ 162,907	\$ 63,476	\$ 1,688,944	\$ 1,551,541

GIRLS INCORPORATED OF CARPINTERIA
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE YEAR ENDED JUNE 30, 2012
WITH COMPARATIVE TOTALS FOR THE YEAR ENDED JUNE 30, 2011

	Program Services		Support Services		Total Support Services	Total 2012 Expenses	Total 2011 Expenses
	Program Services	Management and General	Fundraising				
Salaries	\$ 284,844	\$ 65,731	\$ 8,724	\$	74,455	\$ 359,299	\$ 395,173
Payroll taxes and related costs	23,151	5,342	710		6,052	29,203	33,662
Employee health and retirement benefits	29,257	6,751	897		7,648	36,905	38,587
Total Salaries and Related Expenses	337,252	77,824	10,331		88,155	425,407	467,422
Bad debt	-	4,195	-		4,195	4,195	-
Building and grounds	13,432	1,708	1,390		3,098	16,530	16,102
Conferences, conventions and meetings	-	2,881	-		2,881	2,881	380
Contract services	2,929	215	13,208		13,423	16,352	65,099
Insurance	15,392	2,501	905		3,406	18,798	18,252
Interest	12,689	1,493	746		2,239	14,928	11,869
National and other dues	6,747	-	-		-	6,747	9,572
Office expense and supplies	8,948	4,085	2,869		6,954	15,902	13,885
Postage, printing and publicity	4,953	1,414	2,738		4,152	9,105	6,786
Professional fees	27,102	3,189	1,594		4,783	31,885	30,066
Program expenses and supplies	70,691	-	-		-	70,691	47,901
Rental expenses	-	4,404	-		4,404	4,404	3,683
Repair and maintenance	7,682	888	648		1,536	9,218	9,501
Security	1,106	130	65		195	1,301	1,347
Telephone	2,711	319	159		478	3,189	4,265
Training	7,994	472	1,545		2,017	10,011	4,400
Travel and auto	11,998	92	-		92	12,090	11,168
Utilities	27,863	3,259	1,629		4,888	32,751	32,403
Total Expenses Before Depreciation	559,489	109,069	37,827		146,896	706,385	754,101
Depreciation expense	62,411	7,342	3,671		11,013	73,424	72,180
Total Expenses- June 30, 2012	\$ 621,900	\$ 116,411	\$ 41,498	\$	157,909	\$ 779,809	
Total Expenses- June 30, 2011	\$ 670,197	\$ 109,525	\$ 46,559	\$	156,084	\$ 826,281	

See accompanying notes

GIRLS INCORPORATED OF CARPINTERIA
STATEMENTS OF CASH FLOWS
FOR THE YEARS ENDED JUNE 30, 2012 AND 2011

	<u>2012</u>	<u>2011</u>
Cash Flows from Operating Activities:		
Change in net assets	\$ 137,403	\$ (37,609)
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	73,424	72,180
Loss on disposal of assets	-	1,270
Changes in:		
Accounts receivable	1,873	2,799
Accounts payable and other accrued expenses	5,924	(1,294)
Accrued payroll, vacation, and other related items	6,214	(19,860)
Deferred revenue	(1,640)	1,640
Net cash provided by operating activities	<u>223,198</u>	<u>19,126</u>
Cash Flows from Investing Activities:		
Acquisition of property and equipment	<u>(168,691)</u>	<u>(29,104)</u>
Net cash used by investing activities	<u>(168,691)</u>	<u>(29,104)</u>
Cash Flows from Financing Activities:		
Proceeds from borrowing	-	344,253
Payments on note payable	<u>(10,979)</u>	<u>(175,518)</u>
Net cash (used)/provided by financing activities	<u>(10,979)</u>	<u>168,735</u>
Net Increase in Cash	43,528	158,757
Cash and Cash Equivalents at Beginning of the Year	<u>422,568</u>	<u>263,811</u>
Cash and Cash Equivalents at End of The Year	<u>\$ 466,096</u>	<u>\$ 422,568</u>
Supplementary Information:		
Cash paid for interest	<u>\$ 14,928</u>	<u>\$ 11,869</u>

See accompanying notes

GIRLS INCORPORATED OF CARPINTERIA
NOTES TO FINANCIAL STATEMENTS

NOTE 1: ORGANIZATION

Girls Incorporated of Carpinteria (the "Organization") is a charitable and educational corporation, organized under the general nonprofit corporation law of the State of California on November 8, 1974. The Organization was established as a social organization for school-age girls to provide learning experiences that promote self-esteem, cultural awareness, creative expression, and physical and mental development.

The Organization serves the communities of Carpinteria, southern Santa Barbara County and Ventura. The operating revenues consist of contributions from the public, grants and contracts from local governmental agencies and other nonprofit organizations, membership and program service fees, facilities' rental, special events, and earnings from investment holdings.

NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Financial Statement Presentation

The accompanying financial statements of the Organization have been prepared on the accrual basis. To ensure observance of limitations and restrictions placed on the use of resources available to the Organization, the accounts of the Organization are maintained in accordance with the principles of fund accounting. The accounting and reporting method classifies resources by their nature and purpose, based on the presence or absence of donor-imposed restrictions, into three classes of net assets:

Unrestricted Net Assets

Unrestricted net assets consist of funds free of any legally enforceable donor-imposed restrictions. This net asset class includes board designated net assets.

Temporarily Restricted Net Assets

Temporarily restricted net assets consist of contributions and other inflows of funds temporarily subject to donor-imposed restrictions. The restrictions are temporary in that they are expected to expire with the passage of time or be satisfied and removed by actions of the Organization that fulfill donor stipulations. Donor-restricted support is recorded as an increase in unrestricted net assets if the restriction expires in the reporting period in which the support is recognized.

GIRLS INCORPORATED OF CARPINTERIA
NOTES TO FINANCIAL STATEMENTS

NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Financial Statement Presentation (Continued)

Permanently Restricted Net Assets

Permanently restricted net assets consist of contributions and other inflows of funds subject to donor-imposed restrictions that neither expire by the passage of time nor can be fulfilled or otherwise removed by actions of the Organization.

Public Support and Revenue

Public and private contracts, grants and contributions are generally available for unrestricted use in the related fiscal year awarded unless specifically restricted by the funding source. The Organization records contributions or similar inflows subject to donor-imposed restrictions as an increase in temporarily or permanently restricted net assets depending upon the nature of the restriction. When a restriction expires, temporarily restricted net assets are reclassified as unrestricted or permanently restricted net assets. Unconditional promises to give are recorded as received.

Cash and Cash Equivalents

For purposes of the statement of cash flows, cash and cash equivalents consist of cash on hand, cash in demand deposit accounts at banks and cash in money market accounts that is highly liquid, which can be converted into known amounts of cash and have a maturity period of ninety days or less at the time of purchase. Cash held for endowment is not included as cash and cash equivalents for purposes of the statement of cash flows.

Land, Buildings, Equipment and Depreciation

Land, buildings and equipment are recorded at cost or, if donated, at fair value at the time of the donation. Such donations are reported as unrestricted support unless the donor has restricted the donated asset to a specific purpose. Depreciation of buildings, improvements, equipment and vehicles is provided over the estimated useful lives, ranging from 3 to 39 years, of the respective assets on a straight-line basis. The Organization capitalizes all assets which are considered tangible personal or real property acquired through purchase or donation with a cost or fair value of greater than or equal to \$1,000 and an expected useful life of over one year. Maintenance and repairs are charged to operations when incurred.

Accounts Receivable

Accounts receivable consist of amounts earned by the Organization but not yet received at year end. Management considers these receivables to be fully collectible within one year; therefore, management has not provided an allowance for uncollectible accounts or grants receivable.

GIRLS INCORPORATED OF CARPINTERIA
NOTES TO FINANCIAL STATEMENTS

NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Income Tax Status

On July 24, 1989, the Internal Revenue Service determined the corporation was exempt from Federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3). The California Franchise Tax Board also granted tax exempt status to the Organization. As a tax exempt corporation, the Organization has no provision for income taxes. The Organization is not considered a private foundation. The Organization is unaware of any uncertain tax positions at June 30, 2012, or for any period for which the statute of limitations remain open.

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Significant estimates used in preparing these financial statements include:

- Depreciable lives and estimated residual value of fixed assets
- Allocation of expenses among functions
- Collectability of accounts receivable

It is at least reasonably possible that the significant estimates used will change within the next year.

Vacation and Sick Leave Policy

All employees can accumulate vacation and sick pay. The accumulation of vacation is limited to fifteen to twenty-five days based upon the employee's classification. The accumulation of sick pay is limited to eighteen days. Accrued vacation days are vested and are paid to an employee upon termination.

Fair Value of Financial Instruments

The carrying value of cash in banks, accounts receivable, accounts payable and accrued expenses, approximate fair value due to the relatively short maturity of these instruments. The amount shown for the note payable approximate fair value since the interest rate is at current market rates.

GIRLS INCORPORATED OF CARPINTERIA
NOTES TO FINANCIAL STATEMENTS

NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Donated Services

The Organization relies heavily on a substantial number of volunteers to perform certain services for some of its programs and fund raising campaigns. Because these services do not meet specified criteria for recognition as income and expense, the value of these services have not been included in the Statement of Activities.

NOTE 3: PROPERTY AND EQUIPMENT AND DEPRECIATION

Depreciation of buildings and equipment is provided on a straight-line basis over the estimated useful lives of the assets, ranging from 3-39 years. As of June 30, 2012 and 2011 the historical costs and useful lives of such assets are as follows:

	Estimated Life in Years	2012	2011
Land		132,456	132,456
Building	39	2,324,450	2,157,525
Equipment	3-7	203,967	202,201
Furniture and fixtures	5-10	85,267	85,267
Vehicles	5	<u>51,306</u>	<u>51,306</u>
Total Cost		2,797,446	2,628,755
Less accumulated depreciation		<u>(1,297,872)</u>	<u>(1,224,448)</u>
Property and Equipment, net		<u>\$ 1,499,574</u>	<u>\$ 1,404,307</u>

NOTE 4: CREDIT CARD

The Organization has available an unsecured line of credit on a credit card totaling \$5,500. The credit card is used by the Organization to make routine purchases and the balance due is typically paid in full each month. Unpaid balances bear a 15.5% interest rate per annum. At June 30, 2012, the Organization had an outstanding balance of \$2,865.

GIRLS INCORPORATED OF CARPINTERIA
NOTES TO FINANCIAL STATEMENTS

NOTE 5: NOTE PAYABLE

The Organization originally borrowed \$425,000. In March 2008, the Organization refinanced the then balance due of \$210,000 with a new lender, the June G. Outhwaite Foundation. In November 2010, the Organization again refinanced this loan with the same Foundation, borrowing an additional amount of approximately \$175,000, bringing the loan to \$344,253. The loan bearing interest at 4.5% is payable in monthly installments of \$2,159 with a balloon payment of approximately \$257,000 due November 30, 2017. The Foothill Road Complex secures the note.

Future minimum principal payments are as follows:

2013	\$	11,484
2014		12,011
2015		12,563
2016		13,140
2017		13,744
Thereafter		<u>262,799</u>
Total	\$	<u>325,741</u>

NOTE 6: RESTRICTIONS ON NET ASSETS

Temporarily Restricted

Temporarily restricted net assets are available for the following purposes:

	<u>2012</u>	<u>2011</u>
Programs	\$ 24,907	\$ 19,000
Future periods - core support	80,000	-
Future periods - teen programs	50,000	75,000
Future periods - computer software & training	<u>8,000</u>	<u>10,000</u>
Total Temporarily Restricted Net Assets	<u>\$ 162,907</u>	<u>\$ 104,000</u>

Girls Incorporated of Carpinteria
5315 Foothill Rd. • Carpinteria • 684-6364

**After School Enrichment Program
2012-2013 Registration Form
Grades k-5**

To be completed by parent or guardian. PLEASE PRINT

Child's Name _____ Grade _____ Age _____

Birthday _____ Doctor/Phone# _____

School _____ Teacher _____

Child's Address _____
(street or P.O.) (City, Zip Code)

Parent/Guardian _____ Phone Day _____
(circle one) Eve _____

Parent/Guardian _____ Phone Day _____
(circle one) Eve _____

Parent/Guardian email: _____

Please circle the days of the week you would like your child to attend:
Monday Tuesday Wednesday Thursday Friday

FEES:

Grade K
\$21.00 a day or \$90.00 a week

Grades 1 through 5
\$20.00 a day or \$85.00 a week

Full week enrollment (Monday-Friday) includes all Minimum and SIP Days

A current 2012-2013 Membership is needed to enroll in any program

.....
For Office Use only

Date admitted to program _____ Exit date from program _____

Employment

TERMS OF EMPLOYMENT

The employment relationship between Girls Inc. of Carpinteria and its employees is "at-will".

Accordingly, either the employee or Girls Inc. of Carpinteria can terminate the employment relationship at any time, for any reason, with or without cause or prior notice. Additionally, an employee can be demoted, transferred, suspended or otherwise disciplined by Girls Inc. of Carpinteria in its sole and absolute discretion. There is no agreement, expressed or implied, between the Organization and the employee for continuing or long-term employment. While supervisors and managers have certain hiring authority, no supervisor or manager or representative of the Organization has any authority to alter the at-will relationship with the exception of the Executive Director and The Board of Directors.

Management reserves the right to schedule work hours, manage the business, and direct the work force. In addition, Girls Inc. of Carpinteria management team retains the right to establish compensation, benefits and working conditions for all employees. Due to occasional staffing issues, illnesses, injuries or disabilities, you may be asked to accept a temporary assignment in your department.

EQUAL EMPLOYMENT OPPORTUNITY

All hiring decisions are non-discriminatory. Girls Inc. of Carpinteria is an equal opportunity employer and strives to have the best-qualified individual in every job. Therefore, it is our commitment not to discriminate against our employees or applicants based on race, color, religion, sex, sexual orientation, pregnancy, national origin, marital status, veteran status, citizenship, ancestry, age, medical condition, physical or mental disability, or any other consideration in accordance with applicable laws. Equal employment opportunity is extended to all persons during recruitment, hiring, training, promotion, transfer, discipline, lay-off, re-hire and termination. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including discharge.

Girls Inc. of Carpinteria is firmly committed to the ideals behind the Americans with Disabilities Act (ADA) and comparable state laws. Employees who have any physical or mental disability that may affect their ability to perform essential functions of their job are encouraged to come forward and disclose their needs, in confidence, so that reasonable accommodations may be made whenever possible.

As part of our commitment to equal opportunity, Girls Inc. of Carpinteria strictly prohibits harassment of employees in the workplace based on race, color, national origin, ancestry, religion, sex, marital status, age, disability, sexual preference or medical condition. Harassment includes all forms of offensive or unwelcome physical or verbal conduct that interferes with an employee's work or creates an offensive or hostile work environment.

Employees with questions or concerns about any type of discrimination in the work place are encouraged to bring these issues to the attention of their supervisor or Executive Director.

CATEGORIES OF EMPLOYMENT

Girls Inc. of Carpinteria complies with the provisions of the Fair Labor Standards Act and state wage-hour laws by establishing appropriate categories of employment. Categories are defined as:

Exempt: Any salaried executive, administrative, or professional who is exempt from overtime payment as stipulated by the Fair Labor Standards Act and state wage-hour laws.

Nonexempt: A salaried or hourly employee who is entitled to receive payment for overtime hours as defined by the Fair Labor Standards Act or state wage-hour laws. At a minimum, and dependent upon state law, employees working over 40 hours in a work-week are entitled to overtime pay.

Regular Full-Time: Exempt or nonexempt employees who are scheduled to work a regular shift, typically 40 hours per week.

Regular Part-Time: Exempt or nonexempt employees who are scheduled to work a regularly scheduled shift, of less than 40 hours per week.

Temporary: An employee who is hired directly or through an agency to temporarily supplement the workforce or assist in the completion of a specific project and typically does not exceed six (6) months. Temporary employees retain this status unless and until notified of a change. While temporary employees receive all legally mandated benefits (such as workers' compensation insurance), they are NOT eligible for all Girls Inc. of Carpinteria benefit programs.

ALTERNATIVE WORKING ARRANGEMENTS

Girls Inc. of Carpinteria offers an Alternative Work Arrangements Plan. This plan allows the Organization and its staff the ability to remain flexible while meeting the needs of its clients both internal and external. Employees interested in alternate work arrangements should contact their manager for information. Requests will be handled on a case by case basis. Eligibility for participation will depend on an assessment by the supervisor of the department.

REHIRE

If you terminate your employment with Girls Inc. of Carpinteria voluntarily or if your employment is terminated because of reorganization or a reduction in workforce, you may be eligible for rehire, provided you have left the organization in good standing.

EMPLOYMENT OF RELATIVES

Girls Inc. of Carpinteria may employ members of your immediate family; however, employees may not work under the direct supervision of a relative or where other conflicts of interest may exist.

OUTSIDE EMPLOYMENT

While employed at Girls Inc. of Carpinteria, you are expected to devote your full time and exclusive attention, as well as your best efforts, to the welfare of the Organization. Successful attainment of the goals and objectives of Girls Inc. of Carpinteria requires full attention and concentration and may require unusual hours or work schedules on occasion. Employment outside the Organization may not interfere in any way with your performance or attendance at the Organization.

IMMIGRATION LAW COMPLIANCE

Girls Inc. of Carpinteria is committed to full compliance with the Immigration Reform and Control Act of 1986. Therefore, we are required to verify the identity and legal ability to work for all individuals before they can begin work. Each applicant is required to provide documentation that shows his or her identity and legal authority to work. An I-9 Form provided by the federal government is given to each employee, so he or she can attest to his or her legal authority to work and to prove identity.

LIFE-THREATENING ILLNESS

Employees with long-term life threatening or other serious illness may, after reasonable accommodation, work as long as they are physically and mentally able to perform the essential functions of their job without undue risk to their own health and safety, or to that of other employees and clients. Such illnesses may include, but are not limited to; cancer, heart disease, multiple sclerosis, hepatitis, tuberculosis and AIDS.

CONFLICTS OF INTEREST

Employees are expected to devote their best efforts to the interests of the Organization and the conduct of its affairs. It is the policy of Girls Inc. of Carpinteria that no employee of this Organization shall use his or her position or the knowledge gained therein, or engage in any activity, in such manner that a conflict arises between Girls Inc. of Carpinteria interests and the employees' personal interests. Any questions regarding a possible conflict of interest should be resolved by a full and prompt disclosure of the circumstances to the employee's immediate manager.

Compensation

WAGE AND SALARY ADMINISTRATION

Girls Inc. of Carpinteria compensates employees based upon position requirements, responsibilities, experience and quality of job performance. When formulating compensation decisions, the Organization uses information from job descriptions, industry/community-wide surveys and internal equity to ensure competitive and fair processes.

TIME REPORTING SYSTEMS

Time records for nonexempt employees are maintained by the bi-weekly completion of a time record. Your supervisor will instruct you on the use of the time recording system.

It is your responsibility to prepare an individual time record showing actual hours worked for each payroll period. The record is to be completed each workday showing total hours worked. Non-exempt employees shall not work past the end of the scheduled workday without approval from management for overtime. All employees must also document any time-off including holidays, paid time off, lost times due to injury at work, jury duty, military leave, etc. Altering, falsifying, tampering with records or signing in/out for a co-worker may result in disciplinary action, up to and including termination of employment.

Exempt employees: Although not required to complete a time record for every week, are required to approve their time card each week and report exceptions to a normal workweek that would be eligible for paid time off benefits (Vacation, Sick Leave, etc.) Exempt employees who fail to report exceptions to a normal workweek are subject to disciplinary action, up to and including termination of employment.

PAYDAYS

Paydays are on the 15th and the last working day of the month. Direct deposit to your bank account is available and encouraged.

HOURS OF WORK

Hours of work and workweek schedules are determined and scheduled by management based on business operation and legal requirements. Typical business hours are 9:00 A.M. through 6:00 P.M., Monday through Friday. Some departments may modify work schedules and you will be informed of scheduled changes as far in advance as possible.

Overtime is scheduled by management and compensated in accordance with the applicable policy and state and federal law. Non-exempt employees are not permitted to work overtime without prior management approval.

REST AND MEAL PERIODS

Non-exempt employees are allowed a paid ten (10) minute rest period for every four (4) hours worked or major portion thereof. (A rest period includes time at your desk or work station when you attend to personal business or otherwise relax.)

Employees who work no more than four hours in a day are entitled to take one ten minute rest period following the first two hours of work. Since this time is paid as time worked, employees must not be absent from their workstations beyond the allotted rest period.

Regular full-time employees are provided with a lunch period of up to one hour. In the event that the workday is not more than six hours, the employee and their manager may mutually agree that no meal period is required to be taken by the employee for that workday. Supervisors will schedule meal periods to accommodate operating requirements. Non-exempt employees will be relieved of all active responsibilities and restrictions during meal periods and will not be compensated for that time.

OVERTIME FOR NON-EXEMPT EMPLOYEES

All non-exempt employees are eligible for overtime pay in accordance with state and federal regulations. Overtime must be authorized, in advance, by management when necessary to meet critical business needs. The Girls Inc. of Carpinteria workweek begins at 12:00 a.m. Sunday and ends at 11:59 p.m. on the following Saturday.

PERFORMANCE APPRAISAL

Girls Inc. of Carpinteria believes that all employees are entitled to receive feedback on a periodic basis regarding their performance in order to continue to improve and to ensure clear understanding of position expectations.

The objectives of a performance appraisal are to document performance history, establish work goals and expectations, improve employee performance, ensure open communication and provide a basis for equitable wage determination. Our compensation philosophy is to "pay for performance" and the Organization utilizes the performance appraisal process as one way to recognize and document an employee's performance.

If you are promoted into a position determined to require increased responsibilities and qualifications, you may receive a performance evaluation and a salary increase that supports the new level of responsibility.

Benefits

Girls Inc. of Carpinteria offers a variety of benefits to regular full-time and part-time employees who work at least 20 hours a week. Health and welfare benefits become available to employees after the initial waiting period of one year following the starting date of employment.

CONFIDENTIALITY

Girls Inc. of Carpinteria complies with all HIPPA regulations regarding the protection of confidential health information for its employees. The Organization employs a third party administrator to receive and handle all information in a confidential manner.

MEDICAL/DENTAL INSURANCE

Girls Inc. of Carpinteria has a Medical healthcare program, including provisions for dependent coverage, for eligible employees. From these plans, you can select the right health care coverage for your needs. Details of each plan are available to you from your manager.

DISABILITY INSURANCE

Girls Inc. of Carpinteria offers fully paid short-term disability (STD). Full details of the plan are available to you from your manager.

Employees must use accrued paid sick time and may use accrued vacation time for any disability that requires a medical leave of absence. Any available paid time off will be coordinated with available disability insurance, workers' compensation or social security payments that the employee is eligible to receive.

403(b) RETIREMENT SAVINGS PLAN

All eligible Girls Inc. of Carpinteria employees may participate in the 403(b) Retirement Savings plan on the 1st of the month following 2 full years of service and during the open enrollment period for the 403(b). You may contribute up to the legal maximum per year on a pre-tax basis. The Organization will match a portion of your savings in the Retirement Savings plan. For complete plan details, see plan document.

Girls Inc. Carpinteria Employee Handbook

WORKERS COMPENSATION

Girls Inc. of Carpinteria provides Workers' Compensation Insurance in accordance with applicable Federal, State and local law. Workers' Compensation Insurance is intended to provide for payment of medical expenses and partial salary continuation in the event of a work-related injury or illness.

Should you experience any work-related injury or illness, please contact your direct supervisor immediately. Your supervisor will coordinate medical treatment and related follow-up.

SOCIAL SECURITY BENEFIT

This Federal government program provides payments to eligible employees when they retire or become totally disabled. It is financed by deductions from your paycheck and a matching contribution by the Organization.

UNEMPLOYMENT INSURANCE

Girls Inc. of Carpinteria complies with Federal, State and local laws regarding unemployment insurance. Upon termination of employment, your manager will provide you with the contact and procedural information in order to file your claim through the applicable state agency.

RECURRING HOLIDAYS

- o New Year's Day
- o Memorial Day
- o Lincoln's Birthday
- o Presidents' Day
- o Independence Day
- o Labor Day
- o Thanksgiving Day
- o Day after Thanksgiving
- o Christmas Eve's Day
- o Christmas Day
- o New Year's Eve Day

The annual calendar is available to each employee.

Eligible employees will be given a day off with pay for each recurring holiday observed. Employees on a leave of absence are not eligible for holiday pay. Due to operational needs, it may be necessary for employees to work on a holiday. Non-exempt employees required to work on a holiday will be paid their regular salary for the hours worked and may be given one other day off with pay or holiday pay at their regular rate, based upon management discretion.

PAID TIME OFF

Sick Leave: Girls Inc. of Carpinteria employees earn up to 10 hours per year with cap of 175 hours at any one time during employment with the organization. A part-time employee of 20 hours per week or more, sick time is prorated. Sick Leave per year (to be used in hour increments) to minimize the financial hardship that would otherwise confront employees who are required to miss work due to illness or injury for themselves or their immediate family.

When Sick Leave hours are used for the employee's or a family member's illness, employees are expected to telephone their supervisor each day they are not at work. Employees who return from an extended absence due to medical reasons may be required to furnish a release to return to work. Sick time will stop accruing after an employee has exceeded four (4) consecutive weeks on leave of absence. Employees may elect to donate unused hours (in 8 hour increments) up to a maximum of 5 days to help co-workers who have extended illness or family crisis.

Vacation Leave: The amount of Vacation time earned provides eligible employees a period of rest and relaxation without loss of pay. Full time employees may accrue up to 160 hours per year with a cap of 200 hours maximum at any one time during employment with the organization. A part-time employee of 20 hours per week or more, vacation time is prorated. This time is to be used in a planned way and as flexibly as possible, to take vacation, cover

temporary illness, attend to personal business, etc. The employee's immediate supervisor must approve usage of Vacation in advance whenever possible.

Vacation time will stop accruing after an employee has exceeded four (4) consecutive weeks on leave of absence.

MEDICAL LEAVE OF ABSENCE

Medical leaves of absence are leaves taken due to serious illness as defined in the FMLA guidelines.

Girls Inc. of Carpinteria grants up to four (4) months for an unpaid medical leave of absence for extended illness, injury or disability. The leave contains a guarantee of reinstatement to the same or to a comparable position at the end of the leave, subject to any defense allowed under the law. A medical leave of absence may be granted for any illness, injury or disability, including work related, or pregnancy disability, which exceeds 7 consecutive calendar days. Any absence of 7 days or less, including the first 7 days of any medical leave of absence, may be covered under our paid time off policies. Whenever possible, employees must provide at least 30 days advance notice for foreseeable events requiring a medical leave of absence.

Health insurance coverage will continue during this leave and the employee will be responsible for paying the employee portion of the health insurance premium.

Pay may be received during a medical leave of absence under the provisions of our paid time off policies, disability insurance benefits, workers' compensation and/or Social Security disability benefits. It is your responsibility to apply for benefits when eligible.

When requesting a personal medical leave, and at any time thereafter, upon the Organization's request, you must submit a statement from a licensed physician to your supervisor verifying the need for the leave and the anticipated date of return. Upon return to work, you must provide a physician's certification that the disability has ended and return to work is authorized.

Employees must use accrued sick time off benefits for any disability that requires a medical leave of absence and may additionally use accrued vacation time. Any available paid time off will be coordinated with the disability insurance, workers' compensation or social security payments that the employee is eligible to receive.

Employees are responsible for regularly communicating with their supervisor on the status of their leave. Communication must be a direct communication exchange.

Reoccurrence within 60 days of the date of return to work for the same disabling condition will be considered a continuation of the same medical leave of absence. If you fail to return from a medical leave of absence (when medically able to do so) without prior approval of an extension, the Organization will consider that you have voluntarily resigned.

Due to variability in State laws and regulations, see your manager for policy and procedure provisions that apply in your situation.

PREGNANCY DISABILITY LEAVE

If you are disabled by pregnancy, childbirth or related medical conditions, you are entitled to take a pregnancy disability leave for six (6) weeks. You are also entitled to 12 work weeks off in a year; per the California Family Rights Act of 1993 (Family Leave is unpaid). The leave contains a guarantee of reinstatement to the same or to a comparable position at the end of the leave, subject to any defense allowed under the law. Health insurance coverage will continue during this leave and the employee will be responsible for paying for the employee portion of the health insurance premium.

If possible, you must provide at least 30 days advance notice for foreseeable events (such as the expected birth of a child). We may require certification from your health care provider before allowing you a leave for pregnancy. When medically necessary, leave may be taken on an intermittent or reduced work schedule.

BEREAVEMENT & COMPASSIONATE LEAVE

Full time employees may be granted up to three days with pay in the event of the death of a member of an employee's immediate family and one day for others outside immediate family. Additional unpaid time may be allowed at the discretion of management. Employees who wish to take time off due to the death of an immediate family member should notify their supervisor immediately.

Girls Inc. of Carpinteria defines "immediate family member" as the employee's spouse, domestic partner, or fiancée, parent, child, step child, sibling, grandparent, grandchild, or comparable in-law; the employee's child's spouse; or the employee's fiancé's parent, child or sibling.

MILITARY LEAVE

Any employee who volunteers or is called to active military duty in a branch of the U.S. Armed Forces or the National Guard will be granted a leave of absence and re employment rights according to applicable state and federal law for the period of active duty. Employees are responsible for notifying their immediate supervisor in advance of the military leave as soon as possible by presenting a copy of the military papers.

JURY DUTY / COURT SUBPOENA

Girls Inc. of Carpinteria allows a regular employee to take up to 5 paid working days off to fulfill jury duty obligation or subpoena to testify. Additional time-off without pay may be granted as necessary. You must submit documentation (subpoena, pay voucher or proof of appearance) to your supervisor.

COURT APPEARANCE IN A DOMESTIC VIOLENCE CASE

An employee who is a victim of domestic violence will be granted a leave of absence for the length of time required for him or her to obtain or attempt to obtain relief from the Court for the domestic violence situation. Such relief includes a temporary restraining order, restraining order, or other injunctive relief, which will help ensure the health, safety, or welfare of the victim or his or her child. Employees may utilize any unused Paid Time Off they have on the books during this leave.

VOTING

We encourage all eligible employees to exercise their right to vote in statewide and national elections. Since polls are normally open from 7 AM to 7 PM, you should have ample opportunity to vote outside your work hours. If you do not have sufficient time otherwise, you may take up to two hours off to vote. You must submit the request at least 48 hours in advance. The time off will be granted only at the beginning or end of the regular work shift.

SCHOOL OR DAY CARE ACTIVITIES

Any employee, who is the parent or guardian of a child in kindergarten or grades 1 through 12, or attending a licensed day care facility, may take up to 40 hours off per calendar year for the purpose of participating in activities of the school or licensed day care facility. Advanced notice to your supervisor is required and a request for time off form must be submitted for payroll and personnel records. Unused Vacation Time, or Leave without Pay may be used during this leave.

EMPLOYEE PROGRAM DISCOUNTS

Any employee of Girls Inc. of Carpinteria that has a daughter who is enrolled in one of our programs is entitled to a 60% discount on the cost of program fee.

Employee Relations

OPEN DOOR POLICY

At Girls Inc. of Carpinteria, we encourage open-door communication between employees and management at all levels. Therefore, we believe those work-related questions, concerns, suggestions or complaints can best be resolved by frank and prompt discussion between the employee and their direct supervisor.

As a Girls Inc. of Carpinteria employee, you are encouraged to discuss questions, problems or suggestions relating to the job with your immediate supervisor. If you believe the matter cannot be resolved at this level or involves your immediate supervisor, we encourage you to discuss the matter with the next level of department management. Unless the concern poses a legal risk to Girls Inc. of Carpinteria, or is unethical or immoral, any conversation with management will be kept in confidence.

You can come forward and express your concerns without fear of reprisal or discrimination.

PROBLEM RESOLUTION

Girls Inc. of Carpinteria is committed to providing the best possible working conditions for its employees. Part of this commitment includes encouraging an open and frank atmosphere in which any problem, complaint, suggestion, observation or question can be raised. Employees should not fear reprimand or retribution of any type for raising such issues or concerns. Girls Inc. of Carpinteria's management is devoted to providing time, as readily practical, to discussing issues and ideas for improvement with any employee. In this way, we can insure that the organization will benefit from continuous improvement through the full involvement of its employees.

Practically speaking, we all must understand that not every problem can be resolved to everyone's total satisfaction. However, through understanding and discussion of mutual problems employees and management can develop confidence in each other and work together towards a positive and successful future.

EMPLOYEE GUIDELINES

Girls Inc. of Carpinteria expects all employees to behave in a manner that represents the highest standards of professionalism. These standards include, but are not limited to:

- Treating all fellow employees, visitors and clients in a courteous, respectful manner
- Refraining from behavior or conduct considered offensive or undesirable, or which is contrary to the best interest of Girls Inc. of Carpinteria.
- Performing assigned responsibilities efficiently and in accordance with established quality guidelines
- Helping co-workers willingly and with focus upon team accomplishment
- Complying with all safety and security regulations
- Dressing appropriately for our work environment
- Reporting for scheduled work on time, and being prepared to begin work at your assigned start time. If you are unable to do so, give proper advance notice to your supervisor
- Reporting to management any suspicious, unethical or illegal conduct by fellow employees, customers, or suppliers

Girls Inc. Carpinteria Employee Handbook

The following conduct is considered serious and may result in disciplinary action, up to and including termination.

- Refusals to do the job assigned or perform work in the manner described by Girls Inc. of Carpinteria.
- Engaging in any form of unlawful discrimination, harassment or abusive language directed toward another employee or offensive to another employee or any conduct that could be construed as discrimination or harassment
- Bringing or possessing firearms, weapons, or other hazardous or dangerous devices or substances on Girls Inc. of Carpinteria property
- Failure to observe safety/ security regulations
- Excessive absenteeism or tardiness
- Insubordination, including improper conduct toward a supervisor or refusal to perform tasks assigned by supervisor
- Falsifying, altering, destroying or willfully omitting information from any timesheet or organization record (including employment applications);
- Job abandonment
- Unauthorized use of office equipment, time, materials or facilities
- Improper disclosure of proprietary information, trade secrets, or information which may be considered confidential by Girls Inc. of Carpinteria
- Threatening, intimidating, coercing or harassing another employee, client or visitor
- Use, possession, or sale of unlawful drugs while on Girls Inc. of Carpinteria premises or while on the job, or reporting to work under the influence of any unlawful drugs or alcohol
- Theft, destruction, defacement or misuse of Organization property, or another employee's property
- Misuse of communication systems such as telephones, electronic mail, voicemail, the Internet, facsimile machines and computer systems
- Acceptance of gifts, gratuities or benefits from Girls Inc. of Carpinteria suppliers vendors or other business contacts in return for favorable treatment
- Abuse or misuse of employee benefits and programs
- Violation of security policies and practices, including the misuse or negligent use of security badges or keys, and refusal to cooperate with a security investigation or search

The above list is not all-inclusive and Girls Inc. of Carpinteria reserves the right to add or delete work or safety rules at any time.

WORKPLACE VIOLENCE PREVENTION

Girls Inc. of Carpinteria is committed to preventing workplace violence and to maintaining a safe work environment. Girls Inc. of Carpinteria has adopted the following guidelines to deal with intimidation, harassment, or other threats of (or actual) violence that may occur during business hours or on its premises.

All employees, including supervisors and temporary employees, should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, "horseplay," or other conduct that may be dangerous to others. Firearms, weapons, and other dangerous or hazardous devices or substances are prohibited from the premises of Girls Inc. of Carpinteria without proper authorization.

Conduct that threatens, intimidates, or coerces another employee, a customer, or a member of the public at any time, will not be tolerated. This prohibition includes all acts of harassment, including harassment that is based on an individual's sex, race, age, or any characteristic protected by federal, state, or local law.

All threats of (or actual) violence, both direct and indirect, should be reported immediately to your immediate supervisor or any other member of management. When reporting a threat of violence, you should be as specific and detailed as possible. All suspicious individuals or activities should also be reported as soon as possible to a supervisor. Do not place yourself in peril. If you see or hear a commotion or disturbance near your workstation, do not try to intercede or see what is happening.

Girls Inc. of Carpinteria will promptly and thoroughly investigate all reports of threats of (or actual) violence and of suspicious individuals or activities. The identity of the individual making a report will be protected as much as is practical. In order to maintain workplace safety and the integrity of its investigation, Girls Inc. of Carpinteria may suspend employees, either with or without pay, pending investigation.

Anyone determined to be responsible for threats of (or actual) violence or other conduct that is in violation of these guidelines will be subject to prompt disciplinary action up to and including termination of employment.

Girls Inc. of Carpinteria encourages employees to bring their disputes or differences with other employees to the attention of their supervisor, before the situation escalates into potential violence. Girls Inc. of Carpinteria is eager to assist in the resolution of employee disputes, and will not discipline employees for raising such concerns.

WORKPLACE HARASSMENT

Girls Inc. of Carpinteria is committed to providing a work environment free of unlawful harassment. The Organization will not tolerate verbal, non-verbal, or physical conduct by any employee that harasses, disrupts, or interferes with another's work performance or which creates an intimidating, offensive or hostile work environment.

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature. It is illegal whenever (a) submission to such conduct is made a condition of employment, either expressly or implied, (b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting that individual, or (c) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Employees and Supervisors at Girls Inc. of Carpinteria are expected to treat all fellow employees in a manner free from verbal or physical harassment. Harassment may include, but is not limited to, sexual advances, the use of obscene or objectionable language, name-calling, and any other action considered offensive, based upon the race, religion, national origin, disability or sex of the employee.

This policy applies to all employees of the Organization as well as to customers, suppliers and other persons at the workplace whom the Organization knows or has reason to know is violating this policy. All Organization personnel are expected to avoid any conduct that could be construed as harassment by any employee. Appropriate corrective action will be taken against all offenders, including discipline or discharge of employees who violate this policy.

Any employee who believes he or she has been unlawfully harassed should bring the matter to the attention of their supervisor immediately, and provide a full and accurate report of the underlying facts. Employees are urged to report first to their immediate supervisor, but this is not required if the employee feels uncomfortable in doing so or if the employee believes his or her supervisor is violating this policy. In all such cases, employees are encouraged to report such problems directly to the Executive Director. All reports of harassment will be investigated thoroughly.

All such reports will be kept confidential to the greatest extent possible, but some disclosure will be necessary to conduct a proper investigation. In each case, the employee reporting the problem will receive an oral or written reply from management on the results of the investigation, and the actions taken, if any. Any employee who is not satisfied with the reply may appeal to the Executive Director.

No employee shall be subject to any form of retaliation for reporting any violation or participating in any investigation under this policy truthfully and in good faith. Employees who believe they have been retaliated against in violation of this policy may utilize the appeal procedure described above.

This policy also applies to unlawful harassment based on any of the other illegal criteria set forth in the Organization's Equal Employment Policy, including race, color, religion, national origin, age, sexual orientation, disability, marital status, or medical condition.

The Organization will not tolerate any unlawful harassment or discrimination in employment. Any supervisor who observes or knows of any harassment is responsible to take immediate action to stop it.

DRUGS AND ALCOHOL

Girls Inc. of Carpinteria Corporation maintains a workplace free from the effects of drug and alcohol abuse. Management has the responsibility of providing a safe and hazard-free work environment for all employees. Therefore, all employees are expected to arrive to work fit for their responsibilities, and to remain so for the remainder of the work period.

If you must use prescribed drugs or narcotics that affect ability to work during work hours, please notify your supervisor and present acceptable medical documentation prior to starting work. Management will assess your ability to perform your job duties safely and properly. Such matters will be kept confidential to the full extent provided by the law.

It is essential that all employees comply fully with the Drug-Free Workplace Act. An employee must notify Management within 5 days of any criminal drug statute conviction for a violation occurring in the work place. Management reserves the right to require and conduct drug or alcohol tests whenever reasonable cause exists that an employee has used or is under the influence of alcohol or drugs while on work time, on the Organization property or while conducting business.

Employees who voluntarily come forward to management and request a leave of absence to enter a drug or alcohol rehabilitation program will be permitted an unpaid leave of absence to enroll in such a program, provided the absence does not cause an undue hardship on the Organization. The leave will be subject to the same provisions and rules that apply to medical leaves. Employees entering such a voluntary program may be required to provide medical validation of satisfactory completion of the program. A recurrence of a positive drug or alcohol test following return to work may lead to disciplinary action up to, and including, termination.

ATTENDANCE

Punctuality is important to efficient and respectful business operations. Employees are expected to report to work on time and to contribute during all scheduled hours including any required overtime.

Supervisors are responsible for notifying nonexempt employees of their starting, ending and break times and to communicate to all employees what is expected in terms of attendance and performance.

You should notify your supervisor as far in advance as possible, prior to scheduled start time whenever you are unable to report to work, know you will be late or must leave early. If your supervisor is unavailable, another member of management should be contacted. If necessary, voice mail may be utilized provided you leave the contact phone number where you may be reached. Unreported or excessive absences may result in discharge or other discipline. If you are absent for more than 5 days for medical reasons or if you have had a serious medical condition, you will be required to provide a return to work notice. If you are absent from work for 3 consecutive days without giving proper notice, the Organization will consider that you have voluntarily resigned.

EMPLOYEE ATTIRE

As Girls Inc. of Carpinteria employees, each one of us reflects our Organization's image to the world. Our work environment provides for a business-casual dress guideline. Employees should utilize their best judgment and common sense and be aware of the expected presence of customers, potential investors, or specific, more formal business events. If you are uncertain about the appropriateness of certain attire, please discuss your questions with your immediate supervisor.

PERSONAL DATA CHANGE

Please notify your Manager of any changes to your personal mailing address, telephone number, number and names of dependents, and emergency contacts and educational information in order to keep your data up to date and accurate. Some of this information may also be updated through the applicable employer intranet site.

USE OF COMMUNICATION SYSTEMS

Girls Inc. of Carpinteria provides communication services and equipment to enable you to conduct business efficiently. Communication systems include, but are not limited to, telephones, voice-mail, E-Mail, Internet, FAX machines, postal and delivery services. All such services and equipment are intended for proper business use. Use for informal or personal purposes is permissible only within reasonable limits. However, employees must realize that they have no right to privacy in the Organization's communication services or equipment.

Girls Inc. of Carpinteria reserves the right to monitor use of such communication services and equipment and to access, retrieve, print, and copy all material placed in such services and equipment.

Employees should always ensure that the business information contained in E-Mail/Internet messages is accurate, appropriate and lawful. Abuse of the E-Mail or Internet systems, through excessive personal use, or use in violation of the law or Girls Inc. of Carpinteria policies, will result in disciplinary action, up to and including termination of employment.

COPYRIGHT CONCERNS

Staff members on the Internet may not transmit Girls Inc. of Carpinteria proprietary information or copyrighted materials belonging to Girls Inc. of Carpinteria, Girls Inc. National, or any other Girls Inc. affiliates. Users are not permitted to copy, transfer, rename, add or delete information or programs belonging to other users unless given express permission to do so by the owner. Failure to observe copyright or license agreements may result in disciplinary action from the Organization and/or legal action by the copyright owner.

TERMINATION OF EMPLOYMENT

Employment with the Organization is at-will. "At-will" means you are free to leave the Organization at any time with or without notice, and with or without cause, as is the Organization free to determine with or without notice or cause that the continued relationship is not in its best interest. The Organization reserves the right to reassign, transfer, demote or terminate any employee at any time, with or without cause and with or without notice. The Organization also reserves the right to lay-off or terminate employees if or when a position no longer exists or there is an economic need or legitimate business reason to reduce the workforce.

Should you decide to resign, the Organization requests that you submit your resignation in writing. The Organization has no obligation to compensate any employee during any period beyond the resignation date unless the employee actually performs work beyond the resignation date.

On your last day of employment with the Organization, you will be asked to report to your supervisor to complete the necessary paperwork, and return any Organization property see Return to Organization Property section for details.

RETURN OF ORGANIZATION PROPERTY

Separating employees are responsible for returning all organization property issued to them prior to leaving Girls Inc. of Carpinteria including, but not limited to, the following:

- Computers (desktops and laptops)
- Mobile telephones
- Pagers
- Printers
- Keys
- Building Access Cards
- Client Lists
- Credit Cards
- Manuals
- Any organization information whether in written or electronic form

EXIT INTERVIEW

Your Supervisor will conduct an exit interview for all employees voluntarily resigning from Girls Inc. of Carpinteria.

This interview gives the employee an opportunity to discuss his/her views and reasons for leaving the Organization. It also provides the employee an opportunity to discuss insurance and other benefit provisions. At the time of the exit interview, an employee must return all equipment, materials or organization property. Arrangements for clearing any outstanding debts and issuance of the final paycheck are also made at this time.

Health & Safety

SECURITY

We, at Girls Inc. of Carpinteria, will make reasonable efforts to provide security for our employees, our property and authorized visitors to our premises. You are expected to understand and comply with the Organization's security procedures, and must report any violations or potential problems to management.

You will be issued a key or security card for entrance to our facilities. If a visitor is issued a card, it must be returned to the receptionist before the visitor leaves the premises.

All employees are subject to search, surveillance and interrogation whenever management determines such action is appropriate or should be taken to maintain security. This includes the employee's work area, desk, computer files and any belongings brought on to Organization property.

PERSONAL PROPERTY

Employees are expected to exercise reasonable care to safeguard personal items of value brought to work. Employees are encouraged to lock up their personal belongings when away from their desks.

SAFETY PROCEDURES

Every employee is expected to take all safety and health policies seriously and help enforce these policies within the workplace. Safety is everyone's job. The responsibilities of all employees in this regard include, but are not limited to:

Never block fire exits, extinguishers, fire alarm boxes, aisle ways, switches, or power panels. Bring any unsafe conditions to management's attention. Report all accidents or injuries to management immediately. Employees should familiarize themselves with the location of the nearest outside exit from their work areas.

EMERGENCY POLICY

If an emergency occurs, the Organization shall take all steps to ensure the emergency is responded to as soon as possible. For your safety, Girls Inc. of Carpinteria has developed procedures that need to be followed in case of an emergency. It is very important that you try to remain calm. Do not run or panic.

In the event of an earthquake or tornado, try to take cover under a desk or table, in a doorway or against an inside wall. Keep clear of glass windows and doors, unanchored machinery or equipment, and tall objects such as shelves or file cabinets. DO NOT proceed outdoors until instructed to do so.

In the event of fire, follow building evacuation procedures posted in the facility. Follow instructions and proceed calmly outside.

In general emergency (e.g. accident or sudden illness), you should notify your supervisor immediately and/or dial 911 for assistance.

MEDICAL

To summon an ambulance in the event of a medical emergency, Dial 911. Advise management and have an employee posted at the building entrance to wait for the emergency response service in order to direct them to the proper area quickly. An employee should accompany the person being treated. The incident should be reported to the Supervisor immediately so a family member may be contacted as soon as possible.

FIRE

In the event of a fire in the building, use the nearest Fire Alarm Pull Box immediately and call, or instruct the nearest person to call, the Fire Department using 911. Give the street address and the location of the fire as best you can. All employees must evacuate immediately whenever the alarms are activated. Employees should proceed without delay to the nearest exit. After exiting, the doors should be closed to prevent further spreading of smoke and heat. Do not attempt to use any building elevators. All employees are expected to meet at pre-designated areas outside of the building so that we may account for everyone in an efficient manner.

The same procedure will be used for responding to Fire Drills, with the exception of calling 911. All employees, without exception, are required to evacuate the building immediately at the time of a drill.

USE OF EQUIPMENT AND VEHICLES

Equipment and vehicles, including forklifts, essential in accomplishing job duties are expensive and may be difficult to replace. Only employees specifically authorized and properly licensed and trained may operate organization equipment and vehicles. When using the Organization's property, employees are expected to exercise care, perform required maintenance, and follow all operating instructions, safety standards, and guidelines.

Please notify the supervisor if any equipment, machines, tools, or vehicles appear to be damaged, defective, or in need of repair. Prompt reporting of damages, defects, and the need for repairs could prevent deterioration of equipment and possible injury to employees or others. The supervisor can answer any questions about an employee's responsibility for maintenance and care of equipment or vehicles used on the job.

The improper, careless, negligent, destructive, or unsafe use or operation of equipment or vehicles, as well as excessive or avoidable traffic and parking violations, can result in disciplinary action, up to and including termination of employment.

WEATHER

In the event of snow, rain or unusual weather conditions creating hazardous commuting during work hours, management will decide if and when the Girls Inc. of Carpinteria offices will be closed. If this occurs during business hours and employees are in the office, they will be advised orally of the office closing.

If a decision is made during off hours to close or delay our normal opening, the Organization will notify employees. If employees have not been notified of an office closing or delay, they must use their own best judgment regarding the weather.

NON-SMOKING ENVIRONMENT

Girls Inc. of Carpinteria strives to maintain a safe and comfortable working environment. Smoking is prohibited throughout the facility.

Employee Services

COMMUNITY AFFAIRS

Girls Inc. of Carpinteria encourages you to participate, when appropriate and practical, in community or charitable civic affairs. However, your participation in such community affairs must not adversely affect your job performance, be detrimental to the Organization interests, or place you in the position of serving conflicting interests.

CORPORATE COMMUNICATIONS

Girls Inc. of Carpinteria may be contacted by print or broadcast press for information about the organization and industry activities. Only media-trained spokespersons are authorized to represent and communicate the organization's position during media interviews. In the event someone contacts you from the media, always refer them to the Executive Director or members of the Board of Directors. Under no circumstances should you discuss internal confidential matters in a public forum.

Acknowledgements

EMPLOYEE HANDBOOK RECEIPT

I have a copy of the Girls Inc. of Carpinteria Employee Handbook. I understand and agree that it is my responsibility to read and familiarize myself with the policies and procedures contained in the Handbook. I also understand that it is my responsibility when notified to check with my immediate supervisor or Human Resources for updates to the Employee Handbook and other Girls Inc. of Carpinteria policies.

I understand that except for employment "at-will" status, the Organization can change any and all policies or practices at any time. The Organization reserves the right to change my hours, wages and working conditions at any time. I understand and agree that other than the Executive Director or Girls Inc. of Carpinteria, no manager, supervisor or representative of the Organization has authority to enter into any agreement, express or implied, for employment for any specific period of time, or to make any agreement for employment other than at-will.

I understand and agree that nothing in the Employee Handbook creates or is intended to create a promise or representation of continued employment and that employment at the Organization is employment "at-will." My employment may be terminated at the will of either the Organization or me. I understand that the foregoing agreement on "at-will" status is the sole and entire agreement between the organization and myself concerning the duration of my employment and the circumstances under which my employment may be terminated. It supersedes all prior agreements, understandings and representations concerning my employment with the Organization.

Print Employee Name

Employee's Signature

Date

**Peoples' Self-Help Housing Corporation
Housing the Homeless**



County of Santa Barbara
Housing and Community Development

CDBG PUBLIC SERVICES

Program Application for Program Year 2013-2014

FOR OFFICE USE ONLY	
1-22-13 204:35	Rec'd
Initials	<i>Ask</i>
☐ Logged	
☐ Scanned	

Total Requested Program Funding by Jurisdiction:

Check all that apply and indicate amounts.

☐ Santa Barbara County \$ _____

☒ Carpinteria \$10,000 _____

☐ Solvang \$ _____

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply and indicate amounts.)

☐ Goleta \$0 _____

☒ Lompoc \$5,000 (youth education)

☒ Santa Maria \$5,000 (youth education)

Section A – Program Summary

1. Program Title: Housing the Homeless and Homeless Prevention in Carpinteria

2. Program Service Area: Carpinteria _____

3. Number of Persons to be Served 55 _____

4. Provide a brief program description. Include an explanation of how the CDBG funds sought will be utilized. Peoples' provides supportive services to ensure that homeless individuals stay housed and are successful in their transition from homelessness to stable, independent lives. The requested funding will provide salary for a case worker to provide these much needed services.

PSHH owns and manages 14 low-income rental complexes throughout Santa Barbara County, including Camper Park, Dahlia Court Apartments (54 units), and the 28-unit Chapel Court complex in Carpinteria. Peoples' is uniquely positioned to offer permanent, affordable housing in its apartments to the formerly homeless and to provide effective transition with a case management plan by its professional support services team.

In working with the homeless or at-risk households, we have found that there are several obstacles in engaging them in services. Access to social services is limited by client low wages and seasonal employment, lack of transportation, government agencies budget cuts, and client adjustment to frequent staff changes in social services departments, as well as client physical and mental disabilities. We have found that the key to success in keeping at-risk populations housed is our service delivery model: provided on-site and by a consistent staff person who is clinically trained and familiar with community resources. The 24/7 availability of our counselors also ensures that residents get immediate help if they are in crisis.

For example, at the Carpinteria Camper Park residents are technically considered homeless because they are living in tiny, substandard campers not meant for permanent housing. Case management is needed to help transition them into affordable housing as it becomes available. The Dahlia Court 2 expansion will provide 33 new units of affordable housing in Carpinteria, which will provide some relief in housing low income and homeless households in Carpinteria.

5. Provide your agency's mission statement.

To provide affordable housing and programs leading to self-sufficiency for low income families, seniors, and other special needs households on California's Central Coast.

6. Date most recent Form 990 was filed: 11/8/2012_____
7. Date of most recent audit (if any) FYE 6/30/12_____
8. How long has your agency been in operation? 42 years _____
9. Are there current vacancies on your agency's Board of Directors? One slot X ☐ Yes ☐ No
If yes, when do you expect these vacancies to be filled? Within 3 months _____
10. If your agency has a current contract with the County or partner cities, has your agency submitted x ☐ Yes ☐ No
all required performance reports? If no, please attach all outstanding reports.

Section B – General Applicant Information

1. Legal Name of Applicant Organization: Peoples' Self-Help Housing Corporation

2. Are you a 501(c) organization?

(All agencies must complete a Board of Directors Affidavit on page 14)

☒ Yes ☐ No

3. Address of Organization:

Street: 26 E. Victoria Street _____ Suite # _____

City: Santa Barbara State: CA Zip: 93101

4. Mailing Address (if different from above):

Street: _____ Suite # _____

City: _____ State: _____ Zip: _____

5. Person to Contact Regarding this Application:

Name: Rochelle Rose, CFRE _____

Relationship to Agency: Development Director _____

Street: 26 E. Victoria Street _____ Suite # _____

City: Santa Barbara _____ State: CA _____ Zip: 93101 _____

Work Phone: (805) 699-7227 Ext. _____

Fax: (805) 962-5152

E-mail: rocheller@pshhc.org _____

6. Person to Contact Regarding the Proposed Program:

Name: Rick Gulino, LCSW _____

Relationship to Agency: Supportive Housing Manager _____

Street: _____ Suite # _____

City: 3533 Empleo St. _____ State: CA _____ Zip: 93401 _____

Work Phone: (805) 540-2498 Ext. _____

Fax: (805) 544-1901

E-mail: rickg@pshhc.org _____

7. Name and contact information of Fiscal Agent:

Name: Maura Shannon, Director of Accounting _____
Agency / Organization: Peoples' Self-Help Housing _____
Street: 3533 Empleo Street _____ Suite # _____
City: San Luis Obispo _____ State: CA _____ Zip: 93401 _____
Work Phone: (805) 540-2451 Ext. _____
Fax: (805) 544-1901 _____
E-mail: Mauras@pshhc.org _____

8. Agency's Federal Identification Number (Tax ID #) 95-2750154 _____

9. Agency Organizational DUNS number: 096414412 _____
(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register)

10. Are you registered with the California Attorney General Registry of Charitable Trusts? ☐ X Yes ☐ No

If yes, please provide your Registry of Charitable Trusts Registration Number. # 13421 _____

11. For all programs/projects: Using the following link, please attach Excluded Parties List System (EPLS) for project/program applicant (sponsors, owners, developers, contractors, subcontractors, and subrecipients) to demonstrate compliance that none are debarred or suspended. <https://www.epls.gov/eplsearch.do>

Section C – Program Description

1. Select the activity that best describes the proposed program. If the listed activities are not applicable to the proposed program, please select Other Public Service.

- | | |
|---|--|
| ☐ Operating Costs for Homeless/AIDS Programs | ☐ Health Services |
| ☐ Senior Services | ☐ Services for Abused and Neglected Children |
| ☐ Handicapped Services | ☐ Mental Health Services |
| ☐ Legal Services | ☐ Screening for Lead-Based Paint/Lead Hazards |
| ☐ Youth Services | ☐ Subsistence Payments |
| ☐ Transportation Services | ☐ Homeownership Assistance |
| ☐ Substance Abuse Services | ☐ Rental Housing Subsidies |
| ☐ Services for Battered and Abused Spouses | ☐ Security Deposits |
| ☐ Employment Training | ☐ Housing Counseling |
| ☐ Crime Awareness | ☐ Neighborhood Cleanups |
| ☐ Fair Housing Activities | ☐ Food Banks |
| ☐ Tenant/Landlord Counseling | ☒ Other Public Service Homelessness prevention, housing the homeless |
| ☐ Child Care Services | |

2. Select the Consolidated Plan objective that aligns with the proposed program. For details, please consult the County of Santa Barbara's 2010-2015 Consolidated Plan available at <http://www.countyofsb.org/housing>.

- ☐ **Public services that assist persons with special needs**
(e.g., homeless and AIDS patients programs, food distribution services, senior services, services for battered and abused spouses, mental health services)
- ☒ **Public service programs for low- and moderate-income households including programs for housing and other community development needs**
(e.g., family services, youth services, crime awareness services)
- ☐ **Programs that promote and provide services that prevent discrimination and eliminate barriers to housing**
(e.g., fair housing services, housing counseling services, legal services, communitywide educational presentations)

3. Describe the target population (include population characteristics) and unmet community need that the proposed program will serve. Include in your description the methodology and specific sources (e.g., census data, research reports, community surveys) used to identify the unmet community need. Specify how the proposed program will align with the objective selected in Question 2 above.

The target population that we intend to serve is low-income households living in Carpinteria. 85% of our intended clients are Latino. We intend to serve the low-income families and seniors living at the Carpinteria Camper Park who are technically considered homeless due to the temporary and substandard of housing in which they live—tiny travel trailers without running water or toilets. Laundry facilities, showers, and bathrooms are located in a communal building. We plan to move these households, as appropriate affordable apartments become available in our other affordable housing in Dahlia Court and Chapel Court (100% farm worker-restricted), Ladera Apartments in Santa Barbara, or other Peoples' affordable apartments. Most families want to stay in Carpinteria because many walk or bicycle to work at local orchards, hotels, restaurants, etc. and their children are enrolled in school in Carpinteria. We also can provide housing for homeless persons at other Peoples' housing sites, such as the Victoria Hotel in Santa Barbara (28 units) and the El Patio Hotel (42 units) in Ventura, as well as the services of the case workers to ensure a stable and successful transition from homelessness.

In addition we intend to serve low-income households who are at risk of losing their housing due to unemployment, layoff or reduced work hours. Social workers assist families with developing a budget, temporary rental assistance, link to community resources, emergency food, move in kits and furniture, and flexible rent plans.

4. Describe your organization's previous experience in implementing programs/projects similar to the activity proposed and describe your agency's track record with regard to past quarterly reporting, meeting performance targets and expending funds in a timely fashion. **Please attach a project/program schedule signed by project manager and supervisor.**
- 5.
6. Explain how the service provided by the proposed program will address the unmet community need identified in Question 3 above and lead to successful outcomes for beneficiaries.

Homelessness in Santa Barbara County is a complex and persistent problem. Shelters in Santa Barbara County are at capacity and the operators and the homeless census report an increasing number of homeless families and individuals living in cars, doubling or tripling up, or living outside in the elements. It is estimated that there are 6,000 or more homeless living on the streets in Santa Barbara County. The cost of dealing with the homeless strains the resources of private and government social services, including Alcohol, Drug and Mental Health Services (ADMHS), Probation, Child Protective Services, as well as hospitals, schools, police, the courts, jails, and medical facilities.

A key component of Peoples' mission to address this unmet community need for housing for the homeless and to prevent homelessness is to identify permanent, affordable housing options through our agency or others in the community, provide supportive case management services to ensure those newly housed remain housed, and prevent homelessness in those at-risk. This method has been proven to be the most effective way to minimize transition problems of the homeless and to create permanent self-sufficiency for this fragile population.

The need for housing the homeless with supportive services was recently documented in a "Homeless Cost Avoidance Study" submitted by the So. Calif. Assn. of Nonprofit Housing that showed that the public cost for every type of homeless person decreases dramatically when they are housed--decreasing 79% when housed, from a monthly average of \$2,897 to \$605. "The key finding of this study is that providing housing and supportive services reduces public costs and improves the quality of life for homeless persons."

7. Describe collaborative efforts and linkages (current and planned) between your agency and other existing government agency programs (federal, state, and/or local) that will help ensure that the target population identified in Question 3 above has access to a full range of necessary services. Include names of specific programs and federal, state, and local agencies and programs. Specify referral methods that will be utilized by your agency in implementing the proposed program.

PSHH social workers are extremely knowledgeable in community resources available. After a household is referred to the program, the social worker completes an assessment of the family/situation and determines what the appropriate referrals would be. Depending on the situation, referrals are made to the Department of Alcohol and Drug to provide alcohol/substance abuse treatment or mental health services; the Housing Authority of the County of Santa Barbara to provide rental subsidy; Department of Social Services for benefits (general relief, food stamps, etc.) or in cases of suspected child/elder/dependent persons abuse; and the Public Health Department for medical treatment.

Once Dahlia Court 2 is completed, there will be a community building with clinical offices where medical services can be provided on site. In addition there will be free after school education provided in the Dahlia Court 2 Learning Center. Property managers also coordinate with the Food Bank for low cost food for residents as well as healthy snacks for the students.

8. Describe your agency's current/planned collaborative efforts with other service providers addressing the needs of a similar population.

In addition to the government agencies above, social workers also link families to other community resources to provide support. Such agencies include: Catholic Charities, Food Bank, and Unity Shoppe for food; CALM and Family Service Agency for family counseling; Transition House for rental assistance through the Homeless Prevention and Rapid Rehousing Program (HPRP); Legal Aid; and Council on Alcoholism and Drug Abuse. Such linkages are often critical in getting the appropriate support for a family in need, which ultimately results in the ability to remain stably housed. Peoples' also coordinates with local churches who provide transport for the donated food, gift cards for shoes, holiday gifts, move-in kits for formerly homeless households, and furniture and household supplies for new residents. The churches include Carpinteria Community Church, All Saints by the Sea Episcopal, Montecito Covenant, Our Lady of Mt. Carmel, and St. Joseph's.

9. Select the statement below that best describes the service to be provided by the proposed program.

☒ A service that was funded by the County's CDBG program last year and will maintain the same or provide a greater level of service.

Section E – Evaluation

1. Describe how the quality and effectiveness of the proposed program will be assessed. Include descriptions of any evaluation methods and review processes. Indicate the frequency of such evaluations and reviews.

The effectiveness of the program is evaluated as follows:

For households transitioning out of homelessness, remaining stably housed is quantified by length of time in housing (months) paying rent on-time, maintaining stability, and increasing independence. For example, progress is assessed at various markers, including: 6 months housed, 9 months housed, 12 months, 24 months, etc. The longer a household remains in housing, the greater its stability.

For households at imminent risk of homelessness, where prevention services are provided, effectiveness of the program is quantified by tracking the number of households that remain housed due to SHP intervention. SHP workers are able to provide be connection to Peoples' and community resources that will help them maintain housing, including emergency rental assistance, Catholic Charities assistance, emergency food, medical treatment, assisted care, etc.

The program is assessed by annual written survey to tenants asking questions such as whether they have utilized the program, for what purpose, satisfaction with the program, and what changes they would recommend.

2. Describe the unit(s) of service (e.g., meals served, shelter bed nights, rental assistance, utility payments), other than persons, that will be used to assess the program.

A unit of service is one hour of case management by a Peoples' social worker working with a homeless household transitioning to housing or working to prevent a household from becoming homeless. Case management may include counseling, budgeting, working with insurance providers, substance abuse counseling, job search, working with mental health, dental, and medical providers to ensure proper medications and care, youth counseling, school liaison, allocating emergency funds for food/household supplies/furnishings, and more.

3. Provide at least three specific **performance targets** that will be used to assess how the proposed program is addressing the unmet community need described above. If awarded, the outcome measures provided in this application will be incorporated into any contract and progress towards meeting performance targets will be required for quarterly reporting.

The performance targets that we will use to assess how the program is addressing the unmet need above are:

With this level of CDBG grant funding, we define success as:

1. Place 5 households up to 20 homeless people in permanent affordable housing, who may include households at Camper Park who are technically defined as 'homeless' due to their substandard housing in temporary trailers and transitioning them to permanent affordable housing.
2. Prevent 35 at-risk people from falling into homelessness with case management services

Peoples' success is measured in stable households living in safe, clean housing that they can afford. Our supportive housing programs develop life skills that help residents succeed in life. Household financial resources are available for education, nutritious food, and proper healthcare when not all expended on housing costs. We recognize that a decent and affordable place to call home is the basis for a healthy family and stable communities. We believe that success is to provide opportunities for educational and economic advancement for our resident adults and children.

Section F – Beneficiary Information

1. **Verification of Eligibility:** Please identify the beneficiaries of this proposed project. Select LMA or LMC.

☐ Low/Moderate Income Area Benefit (LMA)

Program service area has been identified and determined to be statistically low-income based on the 2010 Census. (Please attach map to allow us to determine Census Tract eligibility.)

☐ Low/Moderate Income Limited Clientele (LMC)

Self Certification:

☐ Yes ☐ No

Clients independently “self-certify” on a membership form, intake form, etc. *If you use this method, **please attach blank intake form**. Ensure the form has a place for signatures for Case Manager and Supervisor to ensure eligibility documentation was sought.*

X Client Document Review:

☒ Yes ☐ No

Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. *If you use this method, please **attach blank worksheet**.*

Presumed Beneficiaries:

☐ Yes ☐ No

Clients served are primarily and specifically from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. *If you use this method, please indicate which group.*

2. **Ethnicity and Race:**

a. Does your organization request information on whether your clients are of Hispanic ethnicity? ☐ Yes ☐ No

b. Does your organization ask all clients (including Hispanic clients) whether they are one or more of the following races? ☒ Yes ☐ No

- ☐ White
- ☐ Black or African American
- ☐ American Indian or Alaska Native
- ☐ Asian
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ American Indian or Alaska Native and White
- ☐ Asian and White
- ☐ Black or African American and White

- ☐ American Indian or Alaska Native and Black or African American
- ☐ Balance/Other

The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.

c. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, explain how this information will be obtained to meet this requirement.

NA

3. **Data Collection and Reporting:** Describe how beneficiary data is collected and reported. If applicable, include the name of the software used.

Resident data is collected during a comprehensive intake assessment upon referral to the program by the social worker and the property manager. This data is inputted into a Microsoft Access database, which is used to collect, organize, and analyze data, including client/social worker appointments, case notes, referrals, etc. This program integrates with the property management's IT system, YARDI.

Section G - Financial Information

1. **Financial Capacity:** Describe the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

2. Peoples' Self-Help Housing operating budget for 7/1/12 to 6/30/13 is \$8,388,469. The largest expense is \$3,794,529 for personnel costs which enable us to provide programs and fulfill our mission. PSHH has commitments for ongoing funds from the federal government (HUD, DOL, USDA), State and local governments, and private foundations. We use MAS90 as our corporate accounting system. We issue checks weekly. Audits are as required for federal grants (OMB A-110, A-122, A-133).

Our grants management is facilitated by Development Director Rochelle Rose CFRE who has over 20 years experience in managing grants, including CDBG, federal, and state grants. PSHH Director of Accounting Maura Shannon is a CPA with over 30 years experience and has managed CDBG and HUD grants for 12 years. Monica de Malleville is PSHH Controller with over 20 years of experience in accounting and in managing CDBG grants. Fiscal procedures are guided by our Accounting Policies Manual and are audited under OMB-133 annually. Our audits have received unqualified reports every year. Our records are designed to properly account for expenditures for each grant, and to meet all regulatory requirements. Due to our accounting knowledge and systems, we have been able to provide accounting training to other nonprofits.

3. What percentage of your agency's total revenue is generated from the County of Santa Barbara? Less than 1%

4. **Federal Grant Experience within the Past 5 Years** (e.g., County & City CDBG/ESG grants):

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
21 st Century Grant	Youth after school education	Close the academic achievement gap in low income children in Paso Robles	FYE 09,10,11,12,13	\$630,000
CDBG	Human Services	Youth Education/Social Services/Foreclosure Counseling	FYE 09,10,11,12,13	\$184,462
HUD	Service Coordination	Support for Elderly, Disabled	FYE 09,10,11,12,13	\$535,710
HRP	Homelessness Prevention	Homelessness Prevention & Rapid Rehousing	FYE 10,11,12	\$104,675
Department of Labor	Farm Worker Job Program	Farm worker housing development	FYE 09,10,11,12,13	\$366,628
USDA Rural Development	Self-Help Housing Program	Technical Assistance	FYE 09,10,11,12,13	\$2,468,800

Fiscal Year and Audit Reports

5. What is your agency's fiscal year end date? 6/30 _____

6. Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. *(Please include a copy of the most recent financial audit with your completed application—See Required Attachments).*

What fiscal year did this most recent audit include?

FYE 6/30/12 _____ (Month/Year - Month/Year)

7. Are there any outstanding financial audit findings which remain unresolved? ☐ Yes ☒ No
If yes, please explain.
8. Has your agency expended more than \$500,000 in federal funds in its last operating year? ☒ Yes ☐ No
(Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

If you answered "yes" to question 7, please answer questions 8 and 9 below. If you answered "no" to question 7, please proceed to question 10.

9. Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)? ☒ Yes ☐ No
10. Are there any outstanding single audit findings which remain unresolved? ☐ Yes ☒ No
If yes, please explain.
11. If your organization is a non-profit organization, does your organization comply with the following:
- a) OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Non-Profit Organizations" ☒ Yes ☐ No
 - b) OMB Circular A-122 "Cost Principles for Non-Profit Organizations" ☒ Yes ☐ No
 - c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations" ☒ Yes ☐ No
 - d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" ☐ Yes ☒ No
 - e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month? ☒ Yes ☐ No
 - f) Does your organization have any outstanding litigation or other legal issues? ☐ Yes ☒ No
If yes, please attach written explanation as a separate sheet.

11. How many members serve on your Board of Directors? 11 _____

12. How often does your Board of Directors meet? Bi-monthly _____

13. Does your Board of Directors have an audit committee? Yes _____

14. Describe the financial expertise currently serving on your Board of Directors.

Board chair Carolyn Johnson is the planning manager at the City of Pismo Beach and has decades of municipal financial experience. Board vice chair David Gustafson is retired manager of City of Santa Barbara, Housing and Redevelopment and also has decades of fiscal expertise. Charles Fruit is an executive vice president with Coast National Bank with decades of career experience in finance. Karol Schulkin is the Homeless Program Manager at the County of Ventura.

15. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.
NA
16. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.

Section H – Program and Agency Revenue and Expense Information

1. Funding Sources for Proposed Program

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	8,000	4,500	10,000
Other CDBG Public Services funds	12,500	7,500	7,500
Other local cities' funds	15,000	5,000	5,000
County Human Services Program funds		15,000	15,000
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds	134,300	113,871	108,371
State funds			
Private trusts and foundation funds		9,500	9,500
Donations		2,500	2,500
Special fundraising events		20,000	20,000
Client fees			
Other funds (specify): <u>Income from PSHHC & Properties</u>	327,403	336,748	336,748
Total Project Budget	497,203	514,619	514,619

2. Expenditures for Proposed Program

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	386,576	394,140	394,140
Consultants and Contracts			
Facility, Utilities, Maintenance	5,535	5,126	5,126
Telephone, Fax	5,800	5,674	5,674
Supplies	2,300	4,052	4,052
Postage & Shipping	550	575	575

Marketing (Printing, Advertising)	750	568	568
Travel, Mileage, Training	16,551	22,504	22,504
Grant funded expenses & miscellaneous	2,460	1,581	1,581
Insurance	2,100	887	887
Other uses (specify): _____ Indirect at 15% _____	74,581	79,512	79,512
Total Project Budget:	497,203	514,619	514,619

3. Funding Sources for Agency

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	8,000	4,500	10,000
Other CDBG Public Services funds	9,444	15,878	15,878
Other local cities' funds	32,308	24,800	24,800
County Human Services Program funds			
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds	1,155,186	1,204,447	1,204,447
State funds	106,581	118,257	118,257
Private trusts and foundation funds	394,030	120,700	120,700
Donations	244,908	162,752	162,752
Special fundraising events	21,132		
Rents- Affordable Housing Program	5,669,692	4,352,836	4,352,836
Gain on Sale (proceeds restricted to new affordable housing construction)	601,869	72,000	72,000
Affordable housing construction & misc revenue	1,889,182	2,693,687	2,693,687
Interest & Dividends	158,930	3,940	3,940
Other funds (specify): _____			
Total Agency Budget	10,291,262	8,773,797	8,779,297

4. Expenditures for Agency

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	3,460,392	3,794,529	3,794,529
Consultants and Contracts	91,898	111,662	111,662

Facility, Utilities, Maintenance	93,722	99,014	99,014
Telephone, Fax	44,737	33,839	33,839
Supplies	232,321	74,456	74,456
Postage & Shipping	13,522	13,945	13,945
Marketing (Printing, Advertising)	18,559	24,633	24,633
Travel, Mileage, Training	104,317	78,992	78,992
Affordable rental property expenses, including accrued interest & depreciation.	5,071,321	4,244,382	4,244,382
Insurance	15,118	14,272	14,272
Depreciation	45,288	41,254	41,254
Construction Warranty		276,144	276,144
Interest & Miscellaneous	241,983	181,492	181,492
Less: construction project costs capitalized	(712,428)	(600,145)	(600,145)
Total Agency Budget:	8,720,750	8,388,469	8,388,469

5. Describe your agency's short to mid-term financial forecast: What factors are causing your agency's budget to increase, decrease, or remain level in the next three years?

Peoples' budget has increased slightly over the past three years because of continuing development of affordable housing, including construction of Dahlia Court 2, which will bring 33 more units of affordable housing to Carpinteria in 2013 and the future development of Casas de las Flores, currently the Carpinteria Camper Park. In addition, we have rental housing development going on in Pismo Beach, Arroyo Grande, and Templeton as well as self-help home building. The increased construction activity required the hiring of additional staff.

Our short to mid-term financial forecast is positive however the loss of Redevelopment Agency funds has made it more time consuming and intensive for us to secure financing for our development projects, thus requiring more time and expert staff to get the job done.

6. If this request is not fully funded, can your proposed program operate with a reduced CDBG award? ☒ Yes ☐ No
Please explain what services can be offered with lower funding.

If offered lower funding, we would reduce hours of service to clients needing services.

Section I – Certifications

All certifications must be executed in BLUE INK.

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in all attachments is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to operate the project as proposed.

Peoples' Self-Help Housing

Name of Agency

Rochelle Rose CFRE

Typed Name of Agency Official

Director of Development

Title of Agency Official

Rochelle Rose

Agency Official Signature

1-2-13

Date of Signature

805-699-7227

Telephone Number of Agency Official

rocheller@pshhc.org

Email address of Agency Official

Board of Directors Affidavit

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee DAVID GUSTAFSON
depose and say that I am VICE-CHAIRMAN OF THE BOARD
[insert title] of PEOPLES' SELF-HELP HOUSING

Peoples' Self-Help Housing, 26 E. Victoria Street, Santa Barbara
CA 93101. [insert name and address of Agency].

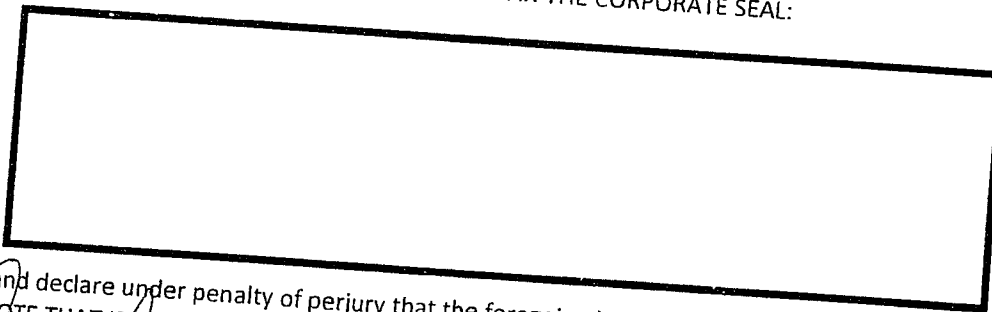
The other members and officers of the Board of Directors of this Agency are:
(Please list names of current Board Members and attach an additional sheet if necessary):

<u>Name:</u>	<u>Title:</u>	<u>Term Expires:</u>
1. <u>See attached list</u>		
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____

DATE: 12/27/12

AT: Santa Barbara, CA [City & State]

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.
(MAKE NOTE THAT IF AGENCY HAS NO BOARD, PLEASE HAVE DIRECTOR SIGN AND MARK THIS N/A.)

Signature

Print Name and Title

DAVID GUSTAFSON
VICE-CHAIRMAN

Peoples' Self-Help Housing

Supportive Housing Program Plan

Definition

The Supportive Housing Program (SHP) is a clinically-based case management and social services program. SHP provides free, voluntary, and confidential services which are available to all Peoples' residents. The program is designed to assist residents in achieving and maintaining independent functioning. This is accomplished by providing direct services by one of our social workers. These services include crisis intervention, case management, counseling, homeless prevention, job search, career education, home management, household budgeting, advocacy, and assistance to secure benefits/entitlements.

Goal

The overall goal is to assist residents in maintaining their tenancy in permanent, affordable housing. The Supportive Housing Program staff strives to support all residents in achieving an improved quality of life and increased self-sufficiency.

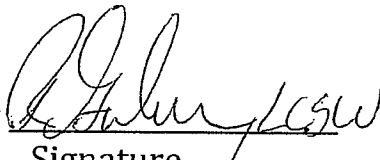
Program Plan

The program plan for a resident or homeless placement to succeed as a Supportive Housing Program client is:

1. Resident is referred by: property manager, self, community agencies, or SHP social worker
2. Client intake form is completed at first meeting with social worker and client. Meeting takes place at property location.
3. Client service plan and goals are developed by the social worker.
4. Social worker reviews client service plan with the SHP program manager and will continue case supervision with the SHP Manager until the client case is closed.
5. Client meets with social worker at client's home or PSHH office location on a regular, pre-determined basis.
6. Social worker makes referrals to client, as necessary, to other community agencies for needed services, such as dental, medical, mental health, entitlement, rental vouchers, emergency food, etc.

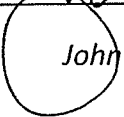
7. Formerly homeless clients are issued 'move in kits' with sheets, towels, pillow, blanket, lamp, rug, wastebasket, and toiletries to ease the move in from the streets or shelters. Clients are made familiar with PSHH housing rules and with PSHH staff on site.
8. Social worker maintains "Client Activity Log" that includes "progress notes" towards case plan goals for each client session. These services are also recorded on the SHP computer data base by the social worker.
9. Client remains on a regular meeting schedule with social worker until they meet their service plan goals and stay stable in their housing. Treatment period can vary from one session to sessions up to a period of one year or more.
10. Social worker closes the client case.

Supportive Housing Program Manager


Signature

Date 12/28/12

I have read the Program Plan for the Supportive Housing Program at Peoples' Self-Help Housing which is attached to the Community Development Block Grant application for the County of Santa Barbara Human Services (Carpinteria). I approve of this program plan and currently supervise the program.

Signed:  Title: CFO/EVP Date: 12/28/12
 John Fowler

Checklist of Required Documents

Note: This completed checklist must be turned in with application. The documents listed below are required of Agencies applying for CDBG Public Service funds:

- ☐ **X Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board**
 - ☐ Form 501(c)
- ☐ **X Verification of non-debarment or non-suspension**
- ☐ **X Evidence of Insurance**
 - ☐ Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - ☐ Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☐ **X Most recent financial audit**
- ☐ **Program fee schedule, if applicable**
- ☐ **Explanation of outstanding legal/litigation issues, if applicable**
- ☐ **X Blank client intake form with signature block for intake staff/supervisor**
- ☐ **Performance Reports (if applicable)**
- ☐ **X Personnel policy and procedures manual/program manuals**

**Peoples' Self-Help Housing Corporation
Youth Education Enhancement Program**



County of Santa Barbara
Housing and Community Development

CDBG PUBLIC SERVICES

Program Application for Program Year 2013-2014

FOR OFFICE USE ONLY	
01-02-13P04:54	RC
Rec'd	
Initials	<i>AK</i>
☐ Logged	
☐ Scanned	

Total Requested Program Funding by Jurisdiction:

Check all that apply and indicate amounts.

☐ Santa Barbara County \$ _____
☒ Carpinteria \$10,000 _____
☐ Solvang \$ _____

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply and indicate amounts.)

☐ Goleta \$ _____
☒ Lompoc \$5,000 _____
☒ Santa Maria \$10,000 _____

Section A – Program Summary

1. Program Title: After School Youth Education for Low-Income Carpinteria Youth
2. Program Service Area: Carpinteria _____
3. Number of Persons to be Served: 95 _____
4. Provide a brief program description. Include an explanation of how the CDBG funds sought will be utilized.

Grant funds will be used to pay for the personnel costs of the educators at Dahlia Court and Chapel Court Learning Centers which serve over 60 children with after school education at the affordable housing sites where they live.

Our program creates an effective team that motivates the child to complete daily homework, improve grades, stay at grade level, and graduate on time. Children receive one-on-one instruction which may not be available in crowded classrooms. YEPP also offers unique enrichment activities in the arts, science, cultural arts, social studies, nutrition, and physical education that reinforces school curriculum.

Our YEPP educators also meet with parents and teachers throughout the school year to assess each student, create individualized curriculum to address the child's academic needs, and to help motivate and train parents to become advocates for their child's academic success. The educator can attend teacher conferences with the parents and serves as a translator which often is not supplied by the schools. YEPP tracts report card grades and STAR test results to monitor progress.

PSHH receives no school district funding for this program and provides it free to low income resident children at two Learning Centers in Carpinteria.

5. Provide your agency's mission statement.

To provide affordable housing and programs leading to self-sufficiency for low income families, seniors, and other special needs groups on California's Central Coast.

6. Date most recent Form 990 was filed: 11/8/2012 _____
7. Date of most recent audit (if any): FYE 6/30/2012 _____

8. How long has your agency been in operation? 42 years _____

9. Are there current vacancies on your agency's Board of Directors? One vacancy.

X ☐ Yes ☐ No

If yes, when do you expect these vacancies to be filled? In three months _____

10. If your agency has a current contract with the County or partner cities, has your agency submitted all required performance reports? If no, please attach all outstanding reports.

X ☐ Yes ☐ No

Section B – General Applicant Information

1. Legal Name of Applicant Organization: Peoples' Self-Help Housing Corporation

2. Are you a 501(c) organization?

X ☐ Yes ☐ No

(All agencies must complete a Board of Directors Affidavit on page 14)

3. Address of Organization:

Street: 26 E. Victoria Street _____ Suite # _____

City: Santa Barbara _____ State: CA _____ Zip: 93101 _____

4. Mailing Address (if different from above):

Street: _____ Suite # _____

City: _____ State: _____ Zip: _____

5. Person to Contact Regarding this Application:

Name: Rochelle Rose CFRE _____

Relationship to Agency: Development Director _____

Street: 26 E. Victoria Street Suite # _____

City: Santa Barbara _____ State: CA _____ Zip: 93101 _____

Work Phone: (805) 699-7227 Ext. _____

Fax: (805) 962-5152

E-mail: rocheller@pshhc.org _____

6. Person to Contact Regarding the Proposed Program:

Name: Rochelle Rose CFRE _____

Relationship to Agency: Development Director and YEEP Manager _____

Street: 26 E. Victoria Street Suite # _____

City: Santa Barbara _____ State: CA _____ Zip: 93101 _____

Work Phone: (805) 699-7227 Ext. _____

Fax: (805) 962-5152

E-mail: rocheller@pshhc.org _____

7. Name and contact information of Fiscal Agent:

Name: Maura Shannon _____

Agency / Organization: Director of Accounting _____

Street: 3533 Empleo Street _____ Suite # _____

City: San Luis Obispo _____ State: CA _____ Zip: 93401 _____

Work Phone: (805) 540-2451 Ext. _____

Fax: (805) 544-1901

E-mail: mauras@pshhc.org _____

8. Agency's Federal Identification Number (Tax ID #) 95-2750154 _____

9. Agency Organizational DUNS number: 096414412 _____
(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register)

10. Are you registered with the California Attorney General Registry of Charitable Trusts? X ☐ Yes ☐ No
If yes, please provide your Registry of Charitable Trusts Registration Number. # 13421 _____

11. For all programs/projects: Using the following link, please attach Excluded Parties List System (EPLS) for project/program applicant (sponsors, owners, developers, contractors, subcontractors, and subrecipients) to demonstrate compliance that none are debarred or suspended. <https://www.epls.gov/eplsearch.do>

Section C – Program Description

1. Select the activity that best describes the proposed program. If the listed activities are not applicable to the proposed program, please select Other Public Service.

- | | |
|---|--|
| ☐ Operating Costs for Homeless/AIDS Programs | ☐ Health Services |
| ☐ Senior Services | ☐ Services for Abused and Neglected Children |
| ☐ Handicapped Services | ☐ Mental Health Services |
| ☐ Legal Services | ☐ Screening for Lead-Based Paint/Lead Hazards |
| X ☐ Youth Services | ☐ Subsistence Payments |
| ☐ Transportation Services | ☐ Homeownership Assistance |
| ☐ Substance Abuse Services | ☐ Rental Housing Subsidies |
| ☐ Services for Battered and Abused Spouses | ☐ Security Deposits |
| ☐ Employment Training | ☐ Housing Counseling |
| ☐ Crime Awareness | ☐ Neighborhood Cleanups |
| ☐ Fair Housing Activities | ☐ Food Banks |
| ☐ Tenant/Landlord Counseling | ☐ Other Public Service |
| ☐ Child Care Services | |

2. Select the Consolidated Plan objective that aligns with the proposed program. For details, please consult the County of Santa Barbara's 2010-2015 Consolidated Plan available at <http://www.countyofsb.org/housing>.

- ☐ **Public services that assist persons with special needs**
(e.g., homeless and AIDS patients programs, food distribution services, senior services, services for battered and abused spouses, mental health services)
- X ☐ **Public service programs for low- and moderate-income households including programs for housing and other community development needs**
(e.g., family services, youth services, crime awareness services)
- ☐ **Programs that promote and provide services that prevent discrimination and eliminate barriers to housing**
(e.g., fair housing services, housing counseling services, legal services, communitywide educational presentations)

3. Describe the target population (include population characteristics) and unmet community need that the proposed program will serve. Include in your description the methodology and specific sources (e.g., census data, research reports, community surveys) used to identify the unmet community need. Specify how the proposed program will align with the objective selected in Question 2 above.

The target population that we intend to serve is 60 youth 5-17 from 94 low income households living in Carpinteria. 85% of our students are Latino with monolingual Spanish speaking parents.

We will serve the low income parents and students living at Dahlia Court, Chapel Court (100% farm worker-restricted), and Carpinteria Camper Park. Youth living in Peoples' low income housing at these three sites often come from families who speak Spanish at home. Parents are unable to help their children with homework or required school projects because they don't read or write English and may have low educational levels themselves. In addition, our students do not have computers or internet access at home, which is provided at the YEEP Learning Centers (8 computers). More and more, computers are needed for printing out homework assignments, accessing homework from the school, and doing research for school projects.

The Chapel Court Learning Center operates out of a leased trailer on the north side of Chapel Court adjacent to Alisos Elementary School; about 25 farm worker children attend this Center. The Dahlia Court Learning Center operates in the Community Room behind the office. It formerly operated in a larger temporary classroom, but the classroom was donated and moved to an educational site in Goleta, when construction began on the Dahlia Court 33-unit addition. The new Dahlia Court 2 Apartments, which should open in June 2013, will have a state-of-the-art classroom and computer class room for our youth education program. Camper Park children are welcome to attend either Carpinteria YEEP center. The Dahlia Center serves 35 students and will have the capacity to serve more students when the new, larger Learning Center opens in June 2013.

4. Describe your organization's previous experience in implementing programs/projects similar to the activity proposed and describe your agency's track record with regard to past quarterly reporting, meeting performance targets and expending funds in a timely fashion. **Please attach a project/program schedule signed by project manager and supervisor.**

Peoples' Self-Help Housing operating budget for 7/1/12 to 6/30/13 is \$8,388,469. The largest expense is \$3,794,529 for personnel costs which enable us to provide programs and fulfill our mission. PSHH has commitments for ongoing funds from the federal government (HUD, DOL, USDA), local governments, and private foundations.

Our grant management is facilitated by Development Director Rochelle Rose CFRE who has over 20 years experience in managing grants, including CDBG, federal, and state grants. PSHH Director of Accounting Maura Shannon is a CPA with over 30 years experience and has managed CDBG and HUD grants for 12 years. Monica de Malleville is PSHH Controller with over 20 years of experience in accounting and in managing CDBG grants. Fiscal procedures are guided by our Accounting Policies Manual and are audited under OMB-133 annually. Our audits have received unqualified reports every year. Our records are designed to properly account for expenditures for each grant, and to meet all regulatory requirements. Due to our accounting knowledge and systems, we have been able to provide accounting training to other nonprofits.

Peoples' has been operating the youth education program at its Carpinteria affordable housing sites for seven years. In total we provide after school education for 300 students daily at YEEP centers in Santa Barbara, Lompoc, Guadalupe, Santa Maria, and Paso Robles as well as Carpinteria. We have an integrated, comprehensive program that requires daily student log-in/log-out attendance sheets, monthly progress reports, weekly program schedules, petty cash and Food Bank invoice management, daily snack that follows State nutritional standards, centralized purchasing for supplies, consistent CPR and First Aid certifications, as well as twice-weekly professional development opportunities for all educators. All of our after school educators hold college degrees and have

teaching and tutoring experience. Half of our YEEP staff are credentialed teachers/ All are fingerprinted and have Dept. of Justice background clearances.

5. Explain how the service provided by the proposed program will address the unmet community need identified in Question 3 above and lead to successful outcomes for beneficiaries.

Research has shown that if a child cannot read by the third grade, they are unlikely to graduate from high school and will have difficulty succeeding later in life. Peoples' has provided a free after school education and homework assistance program to our low-income residents in Carpinteria since 2005 to address this challenge.

Children are not kept behind in school, repeating school years, and graduate from high school on time, thus costly repeat school years don't occur. Having successful, engaged students in Carpinteria ultimately lowers the costs for the City, County, criminal justice system, and school district by preventing outcomes such as drop-outs, juvenile delinquency, gang affiliation, crime, incarceration, and petty theft, as well as lowering the need for graffiti clean-up, probation, and teen pregnancy services. Youth who have graduated from high school and college ultimately make more income over their lifetimes and enjoy better quality of life, health, and citizenship.

The Youth Education Enhancement Program (YEEP) at Peoples' Self-Help Housing addresses this unmet community need by providing one-on-one and small group literacy and homework assistance to children of low-income monolingual Spanish speaking parents. With local school budget cuts, fewer teachers and remedial programs, and class sizes of 30 or more, children who have trouble in reading and math require additional, individual and intensive support or they will fall behind in school and are unlikely will catch up.

Research published in 2007 by the University of California, Irvine documented that students who regularly attend quality after school programs, not only demonstrate significant academic gains and work habits but also have significant reductions in misconduct and substance abuse, both precursors and characteristics of gang involvement. This nationwide study focused on economically disadvantaged minority youth, many who were children of immigrants, which is a similar population to that at our Carpinteria housing complexes. The RAND Corporation also published a study of after school programs and found that low-income families were unlikely to attend after school programs unless transportation was removed as a barrier. By offering the program where the children live, we are removing that barrier. Parents also become involved and support the program.

Our educators and volunteers help students complete their school work daily. Many parents work one or two jobs and cannot deliver or take their children to other programs in Carpinteria. Some of our parents depend on bicycle or the public bus system, thus cannot deliver their children to other after-school programs. Children who walk or take the school bus home after school, can then just walk to the YEEP Learning Center at the apartment complex where they live. Parents feel that their children are safe and near home. There are no overhead, transportation barriers, or transportation costs for our program. YEEP has been able to stay open during the summer when there is the biggest 'learning loss'. It is estimated that elementary school student lose three months of learning during the summer months, with losses in math and language arts the most significant in low income students. Summer school has been cancelled at Carpinteria schools for the past three years, so we are providing an alternative for fee-based summer camps and programs for a targeted low income group of children.

In addition, our YEEP program utilizes students, who have grown up in our program are now attending junior high and high school, to continue with the program where they help the younger students with their homework and earn their own community service hours. Students of all ages feel comfortable with the teacher and coming to the Learning Center where they have 'grown up'. Our teachers are positive role models and are effective in providing positive activities for older youth after school during the hours highest for juvenile delinquency (3:00-6:00 p.m.)

6. Describe collaborative efforts and linkages (current and planned) between your agency and other existing government agency programs (federal, state, and/or local) that will help ensure that the target population identified in Question 3 above has access to a full range of necessary services. Include names of specific programs and federal, state, and local

agencies and programs. Specify referral methods that will be utilized by your agency in implementing the proposed program.

In addition to the government agencies above, educators in the Youth Education Enhancement Program also link families to other community resources to provide support. Such agencies include: Food Bank for healthy daily snack; CALM and Family Service Agency for family counseling; Bellas Artes for bi-monthly cultural and art programs, UCSB Arts & Lectures for free musical and dance presentations, Cate School for weekly science education, Citrix Online for volunteer work days. Peoples' also coordinates with local churches who provide transport for the donated food, gift cards for shoes, holiday gifts, and year round volunteers. The churches include Carpinteria Community Church, All Saints by the Sea Episcopal, Montecito Covenant, Our Lady of Mt. Carmel, and St. Joseph's.

7. Describe your agency's current/planned collaborative efforts with other service providers addressing the needs of a similar population.

Peoples' participates in THRIVE in Carpinteria to address the needs of the similar population that we serve: low income children. Other THRIVE members include Girls Inc., Boys & Girls Club, Carpinteria Unified School District, etc. We are all seeking to help children thrive by obtaining a good education and literacy during their formative years. By offering our youth education program on site we are further meeting the needs of low income parents who cannot drop off their children to other student programs due to lack of funds, lack of transportation, etc. In addition we collaborate with other after school providers in the State Department of Education Region 8.

8. Select the statement below that best describes the service to be provided by the proposed program.

- ☒ A service that was funded by the County's CDBG program last year and will maintain the same or provide a greater level of service.
- ☐ A service that is a quantifiable increase in the level service above which was funded with state or local funds during the past twelve (12) calendar months.
- ☐ A new service.
- ☐ None of the above.

9. Is a fee charged or donation suggested for any service provided by the proposed program?

☐ Yes x ☒ No

If yes, attach a copy of the fee schedule and describe pricing methodology below.

Section D – Staffing

1. Describe existing and planned staff positions (paid and unpaid) dedicated in whole or in part to the proposed program. Include the name, title, experience and qualifications, and roles and responsibilities for all staff persons that will be funded by this CDBG award.

The Carpinteria Youth Education Enhancement Program (YEEP) is currently facilitated by YEEP Educator Svetlana Gizulina. Svetlana works at Chapel Court. She holds a degree in language arts from Ekaterinburg Pedagogical University in Russia. She also earned a teacher's permit from SBCC, Early Childhood Education. She is a talented musician and was a music teacher St. John of Damascus Academy. She is a dedicated teacher who has been with our program for over two years.

Jennifer Wold is the educator at the Dahlia Court Learning Center. She holds a degree in history from California State University, Thousand Oaks. She was on the Dean's List throughout her college career. She also works as a

literacy tutor for AmeriCorps at Alisos Elementary School in Carpinteria. She has also worked for the SB Trust for Historic Preservation and the SB Museum of Natural History.

Rochelle Rose CFRE is Peoples' Director of Development and Youth Education Manager. Rochelle holds a degree in sociology from UCSB. She worked for 15 years for United Boys & Girls Clubs of Santa Barbara which had an after school programs for 5,000 youth members in 6 cities as well as licensed after school programs for over 400 students daily. She also supervises Peoples' five other YEEP centers (total students 350 daily) operating in Paso Robles, Santa Maria, Guadalupe, Lompoc, and Santa Barbara.

Peoples' has a personnel manual with an affirmative action policy and grievance procedure.

2. Does the agency have a personnel policy manual with an affirmative action plan and grievance procedure? X ☒ Yes ☐ No Please attach a copy.

Section E – Evaluation

1. Describe how the quality and effectiveness of the proposed program will be assessed. Include descriptions of any evaluation methods and review processes. Indicate the frequency of such evaluations and reviews.

The mission statement of the YEEP program is “to use after-school programs as a means to close the achievement gap by providing children with opportunities to develop skills and competency in a learning environment that values children, the love of learning, and achievement.” The goal of Peoples’ Youth Education Enhancement Program is to raise math and language arts grades by one point, i.e. ‘C’ to ‘B’ over the course of the school year, complete daily homework, provide educational enhancement activities that align to the school day, and to promote high school graduation and preparation for higher education.

Evaluation methods include tracking each student’s report card grades and annual STAR state test results in math and language arts, as well as the English language proficiency score provided by the school district. Grades are reviewed by our educator 2-3 times per year and the STAR test results are reviewed annually when released by the State. Educator evaluate student homework on an ongoing basis.

Peoples’ issues a “Parent Survey” (in English and Spanish) at the end of each school year to obtain feedback from parents on their satisfaction with the YEEP program and any suggestions for improvement. At Parent Workshops on college & scholarship preparation or gang/drug abuse prevention, pre- and post-tests are conducted to measure learning, such as signs of gang involvement, education/career ideas that they may not have know before, etc.

2. Describe the unit(s) of service (e.g., meals served, shelter bed nights, rental assistance, utility payments), other than persons, that will be used to assess the program.

One unit of service is equal to one hour of after school youth education by a student or participation in an educational workshop by a parent or student.

3. Provide at least three specific **performance targets** that will be used to assess how the proposed program is addressing the unmet community need described above. If awarded, the outcome measures provided in this application will be incorporated into any contract and progress towards meeting performance targets will be required for quarterly reporting.

80% of 60 students will improve by one grade level, i.e. "C" to a "B", in math or language arts during the course of a school year (9 months).

75% of 60 students will improve annual STAR test results in math or English over a period of 12 months.

35 parents will attend one educational workshop during the course of a year that is held on site and hosted by YEEP on topic area that will reinforce their child's school success. Topics may include college preparation & scholarship opportunities, drug abuse and gang prevention, and career exploration.

Section F – Beneficiary Information

1. Verification of Eligibility: Please identify the beneficiaries of this proposed project. Select LMA or LMC.

☐ Low/Moderate Income Area Benefit (LMA)

Program service area has been identified and determined to be statistically low-income based on the 2010 Census. (Please attach map to allow us to determine Census Tract eligibility.)

☐ Low/Moderate Income Limited Clientele (LMC)

Self Certification:

☐ Yes ☐ No

Clients independently “self-certify” on a membership form, intake form, etc. *If you use this method, **please attach blank intake form**. Ensure the form has a place for signatures for Case Manager and Supervisor to ensure eligibility documentation was sought.*

Client Document Review:

☒ Yes ☐ No

Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. *If you use this method, please **attach blank worksheet**.*

Presumed Beneficiaries:

☐ Yes ☐ No

Clients served are primarily and specifically from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. *If you use this method, please indicate which group.*

2. Ethnicity and Race:

a. Does your organization request information on whether your clients are of Hispanic ethnicity? ☒ Yes ☐ No

b. Does your organization ask all clients (including Hispanic clients) whether they are one or more of the following races? ☒ Yes ☐ No

- | | |
|--|--|
| <ul style="list-style-type: none"> ▪ White ▪ Black or African American ▪ American Indian or Alaska Native ▪ Asian ▪ Native Hawaiian or Other Pacific Islander ▪ American Indian or Alaska Native and White ▪ Asian and White ▪ Black or African American and White | <ul style="list-style-type: none"> ▪ American Indian or Alaska Native and Black or African American ▪ Balance/Other <p><i>The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.</i></p> |
|--|--|

c. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, explain how this information will be obtained to meet this requirement.

3. Data Collection and Reporting: Describe how beneficiary data is collected and reported. If applicable, include the name of the software used.

The ethnicity, race, and income data on each resident (including their children) is collected upon start of residency and is updated annually with verification. Income is verified by pay stubs, tax returns, bank records, etc. The information is maintained in our Yardi database system. In the YEEP program, each parent fills out a registration form completed by the parent or guardian. School grades and STAR test results are provided by the parent in order to monitor student progress and report on goals. Parents also fill out a YEEP application that collects data.

Section G - Financial Information

1. **Financial Capacity:** Describe the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

Peoples' Self-Help Housing operating budget for 7/1/12 to 6/30/13 is \$8,388,469. The largest expense is \$3,794,529 for personnel costs which enable us to provide programs and fulfill our mission. PSHH has commitments for ongoing funds from the federal government (HUD, DOL, USDA), State and local governments, and private foundations. We use MAS90 as our corporate accounting system. We issue checks weekly. Audits are as required for federal grants (OMB A-110, A-122, A-133).

Our grants management is facilitated by Development Director Rochelle Rose CFRE who has over 20 years experience in managing grants, including CDBG, federal, and state grants. PSHH Director of Accounting Maura Shannon is a CPA with over 30 years experience and has managed CDBG and HUD grants for 12 years. Monica de Malleville is PSHH Controller with over 20 years of experience in accounting and in managing CDBG grants. Fiscal procedures are guided by our Accounting Policies Manual and are audited under OMB-133 annually. Our audits have received unqualified reports every year. Our records are designed to properly account for expenditures for each grant, and to meet all regulatory requirements. Due to our accounting knowledge and systems, we have been able to provide accounting training to other nonprofits.

Peoples' has been operating the youth education program at its Carpinteria affordable housing sites for seven years. In total we provide after school education for 300 students daily at YEPP centers in Santa Barbara, Lompoc, Guadalupe, Santa Maria, and Paso Robles as well as Carpinteria. We have an integrated, comprehensive program that requires daily student log-in/log-out attendance sheets, monthly progress reports, weekly program schedules, petty cash and Food Bank invoice management, daily snack that follows State nutritional standards, centralized purchasing for supplies, consistent CPR and First Aid certifications, as well as twice-weekly professional development opportunities for all educators. All of our after school educators hold college degrees and have teaching and tutoring experience. Half of our YEPP staff are credentialed teachers/ All are fingerprinted and have Dept. of Justice background clearances.

2. What percentage of your agency's total revenue is generated from the County of Santa Barbara? Less than 1%

3. **Federal Grant Experience within the Past 5 Years (e.g., County & City CDBG/ESG grants):**

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
21 st Century Grant	Youth after school education	Close the academic achievement gap in low income children in Paso Robles	FYE 09,10,11,12,13	\$630,000
CDBG	Human Services	Youth Education/Social Services/Foreclosure Counseling	FYE 09,10,11,12,13	\$184,462
HUD	Service Coordination	Support for the Elderly, Disabled	FYE 09,10,11,12,13	\$535,710
HRP	Homelessness Prevention	Homelessness Prevention & Rapid Rehousing	FYE 10,11,12	\$104,675

Department of Labor	Farm Worker Job Program	Farm worker housing development	FYE 09,10,11,12,13	\$366,628
USDA Rural Development	Self-Help Housing Program	Technical Assistance	FYE 09,10,11,12,13	\$2,468,800

Fiscal Year and Audit Reports

4. What is your agency's fiscal year end date? 6/30 _____

5. Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. *(Please include a copy of the most recent financial audit with your completed application—See Required Attachments).*

What fiscal year did this most recent audit include?

FYE 6/30/2012 _____ (Month/Year - Month/Year)

6. Are there any outstanding financial audit findings which remain unresolved? ☐ Yes ☒ No
If yes, please explain.
7. Has your agency expended more than \$500,000 in federal funds in its last operating year? ☒ Yes ☐ No
(Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

If you answered "yes" to question 7, please answer questions 8 and 9 below. If you answered "no" to question 7, please proceed to question 10.

8. Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)? ☒ Yes ☐ No
9. Are there any outstanding single audit findings which remain unresolved? ☐ Yes ☒ No
If yes, please explain.
10. If your organization is a non-profit organization, does your organization comply with the following:
- a) OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Non-Profit Organizations" ☒ Yes ☐ No
 - b) OMB Circular A-122 "Cost Principles for Non-Profit Organizations" ☒ Yes ☐ No
 - c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations" ☒ Yes ☐ No
 - d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" ☐ Yes ☒ No
 - e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month? ☒ Yes ☐ No
 - f) Does your organization have any outstanding litigation or other legal issues? ☐ Yes ☒ No
If yes, please attach written explanation as a separate sheet.

11. How many members serve on your Board of Directors? 11 _____

12. How often does your Board of Directors meet? Bi-monthly _____

13. Does your Board of Directors have an audit committee? Yes _____

14. Describe the financial expertise currently serving on your Board of Directors.

Treasurer Charles Fruit is an Bank Executive Vice President; Karol Schulkin runs the Homeless Services program, County of Ventura; Secretary Jolie Ditmore was the financial administrator of Central Coast Pathology/she is now a consultant; David Gustafson is the retired manager of Community Development Department, City of Santa Barbara.

15. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.

NA

16. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.

Section H – Program and Agency Revenue and Expense Information

1. Funding Sources for Proposed Program

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	6,405	10,000	10,000
Other CDBG Public Services funds			
Other local cities' funds			
County Human Services Program funds			
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds			
State funds			
Private trusts and foundation funds	33,812	33,928	33,928
Donations		1,667	1,667
Special fundraising events	4,065	5,859	5,859
Client fees			
Other funds (specify): Income from agency and properties		5,190	5,190
Total Project Budget	44,282	56,644	56,644

2. Expenditures for Proposed Program

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	21,043	33,894	33,894
Consultants and Contracts		50	50
Facility, Utilities, Maintenance	4,759	5,750	5,750
Telephone, Fax	1,000	1,800	1,800
Supplies	3,356	3,000	3,000
Postage & Shipping			
Marketing (Printing, Advertising)	150	1,000	1,000
Travel, Mileage, Training	200		
Grant funded expenditures	7,000	2,500	2,500
Insurance	132	150	150
Other uses (specify): Indirect at 15%	6,642	8,500	8,500
Total Project Budget:	44,282	56,644	56,644

3. Funding Sources for Agency

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds	8,000	4,500	10,000
Other CDBG Public Services funds	9,444	15,878	15,878
Other local cities' funds	32,308	24,800	24,800
County Human Services Program funds			
HOME funds			
HOPWA funds			
Other Federal funds	1,155,186	1,204,447	1,204,447
State funds	106,581	118,257	118,257
Private trusts and foundation funds	394,030	120,700	120,700
Donations	244,908	162,752	162,752
Special fundraising events	21,132		
Rents- Affordable Housing Program	5,669,692	4,352,836	4,352,836
Gain on sale (proceeds restricted to new affordable housing construction)	601,869	72,000	72,000
Affordable housing construction & misc revenue	1,889,182	2,693,687	2,693,687
Interest & dividends	158,930	3,940	3,940
Other funds (specify): _____			

Total Agency Budget	10,291,262	8,773,797	8,779,297
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4. Expenditures for Agency

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	3,460,392	3,794,529	3,794,529
Consultants and Contracts	91,898	111,662	111,662
Facility, Utilities, Maintenance	93,722	99,014	99,014
Telephone, Fax	44,737	33,839	33,839
Supplies	232,321	74,456	74,456
Postage & Shipping	13,522	13,945	13,945
Marketing (Printing, Advertising)	18,559	24,633	24,633
Travel, Mileage, Training	104,317	78,992	78,992
Affordable rental property expenses, including accrued interest & depreciation.	5,071,321	4,244,382	4,244,382
Insurance	15,118	14,272	14,272
Depreciation	45,288	41,254	41,254
Construction Warranty		276,144	276,144
Interest & Miscellaneous	241,983	181,492	181,492
Less: construction project costs capitalized	(712,428)	(600,145)	(600,145)
Total Agency Budget:	8,720,750	8,388,469	8,388,469

5. Describe your agency's short to mid-term financial forecast: What factors are causing your agency's budget to increase, decrease, or remain level in the next three years?

In the next three years we anticipate that our agency's budget will increase as we proceed with rental property developments in Carpinteria (Camper Park/Casa de las Flores), Santa Maria (Los Adobes de Maria) , Goleta (Los Caneros) , Templeton, and Arroyo Grande. Due to increased construction activity we plan to hire another project manager in 2013. We have approximately 600 units of affordable housing in our pipeline.

6. If this request is not fully funded, can your proposed program operate with a reduced CDBG award? ☒ Yes ☐ No
Please explain what services can be offered with lower funding.

If not fully funded we can offer the program for fewer hours, reduced number of days per week, or fewer students.

Section I – Certifications

All certifications must be executed in BLUE INK.

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in all attachments is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to operate the project as proposed.

Peoples' Self-Help Housing

Name of Agency

Rochelle Rose CFRE

Typed Name of Agency Official

Director of Development

Title of Agency Official

Rochelle Rose

Agency Official Signature

1-2-13

Date of Signature

805-699-7227

Telephone Number of Agency Official

rocheller@pshhc.org

Email address of Agency Official

Board of Directors Affidavit

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee DAVID GUSTAFSON
 depose and say that I am VICE-CHAIRMAN OF THE BOARD
 [insert title] of PEOPLES SELF-HELP HOUSING

 _____ Peoples' Self-Help Housing, 26 E. Victoria Street, Santa Barbara
 CA 93101. [insert name and address of Agency].

The other members and officers of the Board of Directors of this Agency are:
 (Please list names of current Board Members and attach an additional sheet if necessary):

Name:	Title:	Term Expires:
1. <u>See attached list</u>		
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____

DATE: 12-27-12

AT: Santa Barbara, CA [City & State]

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.
 (MAKE NOTE THAT IF AGENCY HAS NO BOARD, PLEASE HAVE DIRECTOR SIGN AND MARK THIS N/A.)

Signature

David Gustafson

Print Name and Title

DAVID GUSTAFSON
VICE-CHAIRMAN

Peoples' Self-Help Housing

Youth Education Enhancement Program (YEPP)

Definition

Peoples' Self-Help Housing provides the Youth Education Enhancement Program (YEPP) as a free public service programs for low- and moderate-income households living in two of affordable housing sites in Carpinteria. The program includes after school education, youth services, gang involvement and crime awareness, drug abuse prevention, parent education, and improves the overall community.

Goal

The overall goal is to use after school program as a means to close the achievement gap by providing children with opportunities to develop skills and competency in an environment that values children, the love of learning, and achievement.

Program Plan

Grant funds will be used to pay for the personnel costs of the educators at Dahlia Court and Chapel Court Learning Centers which serve over 60 children with after school education at the affordable housing sites where they live. Peoples' has worked with the County of Santa Barbara CDBG for five years and has met its reporting deadlines faithfully during this time and we promise to do so in the future.

Our program creates an effective team that motivates the child to complete daily homework, improve grades, stay at grade level, and graduate on time. Children receive one-on-one instruction which may not be available in crowded classrooms. YEPP also offers unique enrichment activities in the arts, science, cultural arts, social studies, nutrition, and physical education that reinforces school curriculum.

Our YEPP educators also meet with parents and teachers throughout the school year to assess each student, create individualized curriculum to address the child's academic needs, and to help motivate and train parents to become advocates for their child's academic success. The educator can attend teacher conferences with the parents and serves as a translator which often is

not supplied by the schools. YEPP tracts report card grades and STAR test results to monitor progress.

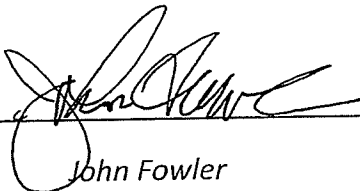
PSHH receives no school district funding for this program and provides it free to low income resident children at two Learning Centers in Carpinteria.

Timeline:

1. Student is referred by: property manager, self, parents, or school.
2. YEPP Enrollment Form is completed at the beginning of the school year in September or when student begins attending.
3. Student service plan and goals are developed by the YEPP Educator, student and parent
4. Grades are reviewed as they come in from the school district, either twice or three times a year, depending on how often grades are issued.
5. Annual STAR state test results are reviewed annually to compare to previous year in June.
6. One or two parent workshops are scheduled during the school year on topics such as scholarship and college preparation, gang prevention, drug abuse prevention, etc.
7. Program progress reports are submitted on time to funding sources.

YEPP Program Manager *Rochele Rose* Date 1-2-13
Signature

I have read the Program Plan for the Youth Education Enhancement Program at Peoples' Self-Help Housing which is attached to the Community Development Block Grant application for the County of Santa Barbara Human Services (Carpinteria). I approve of this program plan and currently supervise the program.

Signed:  Title: CFO/EVP Date: 12/28/12
John Fowler

Checklist of Required Documents

Note: This completed checklist must be turned in with application. The documents listed below are required of Agencies applying for CDBG Public Service funds:

- ☐ **X Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board**
 - ☐ Form 501(c)
- ☐ **X Verification of non-debarment or non-suspension**
- ☐ **X Evidence of Insurance**
 - ☐ Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - ☐ Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☐ **X Most recent financial audit**
- ☐ **Program fee schedule, if applicable**
- ☐ **Explanation of outstanding legal/litigation issues, if applicable**
- ☐ **X Blank client intake form with signature block for intake staff/supervisor**
- ☐ **Performance Reports (if applicable)**
- ☐ **X Personnel policy and procedures manual/program manuals**

United Way of Santa Barbara County
Fun in the Sun Carpinteria (FITS)



County of Santa Barbara
Housing and Community Development

CDBG PUBLIC SERVICES

Program Application for Program Year 2013-2014

FOR OFFICE USE ONLY	
01-02-13 PM 4:50	RCVD
Rec'd	
Initials	<i>[Signature]</i>
☐ Logged	
☐ Scanned	

Total Requested Program Funding by Jurisdiction:

Check all that apply and indicate amounts.

☒ Santa Barbara County	\$ 15,000
☒ Carpinteria	\$ 4,000
☐ Solvang	\$
☐ Buellton	\$

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply and indicate amounts.)

☒ Goleta	\$ 5,000
☐ Lompoc	\$
☐ Santa Maria	\$

Section A – Program Summary

1. Program Title Fun in the Sun (FITS)
2. Program Service Area South Santa Barbara County (Carpinteria to Goleta)
3. Number of Persons to be Served 220

4. Provide a brief program description. Include an explanation of how the CDBG funds sought will be utilized.

FITS is a national award-winning summer learning collaborative (involving 63 service delivery partners, 19 funding partners, and 500 volunteers) that is designed to both: 1) increase academic, social, and behavioral skills in financially and academically at-risk children and families, and 2) address the long-term effects of summer learning loss and the achievement gap on students, families, and the community. CDBG funds would provide educational and enriching materials and activities (for literacy development, service-learning, and field trips) for 2013.

5. Provide your agency's mission statement.

United Way of Santa Barbara County's mission statement is: "Right here, right now, through the Power of Partnership, we are improving lives for children, families, seniors, and you!" Our vision is to ensure that every individual in our community has a hopeful future.

6. Date most recent Form 990 was filed 2-15-12
7. Date of most recent audit (if any) June 30, 2012
8. How long has your agency been in operation? 1923
9. Are there current vacancies on your agency's Board of Directors?

☒ Yes ☐ No

If yes, when do you expect these vacancies to be filled? April 2013

7. Name and contact information of Fiscal Agent:

Name: Jerry Newton
Agency / Organization: United Way of Santa Barbara County
Street: 320 East Gutierrez Street Suite #
City: Santa Barbara State: CA Zip: 93101
Work Phone: (805) 965 - 8591 Ext. 124
Fax: (805) 962 - 3461
E-mail: jnewton@unitedwaysb.org

8. Agency's Federal Identification Number (Tax ID #) 95-1641968

9. Agency Organizational DUNS number: 172851198
(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register)

10. Are you registered with the California Attorney General Registry of Charitable Trusts? ☒ Yes ☐ No

If yes, please provide your Registry of Charitable Trusts Registration Number. # 000660

11. For all programs/projects: Using the following link, please attach Excluded Parties List System (EPLS) for project/program applicant (sponsors, owners, developers, contractors, subcontractors, and subrecipients) to demonstrate compliance that none are debarred or suspended. <https://www.epls.gov/epls/search.do>

Section C – Program Description

1. Select the activity that best describes the proposed program. If the listed activities are not applicable to the proposed program, please select Other Public Service.

- | | |
|---|--|
| ☐ Operating Costs for Homeless/AIDS Programs | ☐ Health Services |
| ☐ Senior Services | ☐ Services for Abused and Neglected Children |
| ☐ Handicapped Services | ☐ Mental Health Services |
| ☐ Legal Services | ☐ Screening for Lead-Based Paint/Lead Hazards |
| ☒ Youth Services | ☐ Subsistence Payments |
| ☐ Transportation Services | ☐ Homeownership Assistance |
| ☐ Substance Abuse Services | ☐ Rental Housing Subsidies |
| ☐ Services for Battered and Abused Spouses | ☐ Security Deposits |
| ☐ Employment Training | ☐ Housing Counseling |
| ☐ Crime Awareness | ☐ Neighborhood Cleanups |
| ☐ Fair Housing Activities | ☐ Food Banks |
| ☐ Tenant/Landlord Counseling | ☐ Other Public Service |
| ☐ Child Care Services | |

2. Select the Consolidated Plan objective that aligns with the proposed program. For details, please consult the County of Santa Barbara's 2010-2015 Consolidated Plan available at <http://www.countyofsb.org/housing>.

- ☐ **Public services that assist persons with special needs**
(e.g., homeless and AIDS patients programs, food distribution services, senior services, services for battered and abused spouses, mental health services)
- ☒ **Public service programs for low- and moderate-income households including programs for housing and other community development needs**
(e.g., family services, youth services, crime awareness services)
- ☐ **Programs that promote and provide services that prevent discrimination and eliminate barriers to housing**
(e.g., fair housing services, housing counseling services, legal services, communitywide educational presentations)

3. Describe the target population (include population characteristics) and unmet community need that the proposed program will serve. Include in your description the methodology and specific sources (e.g., census data, research reports, community surveys) used to identify the unmet community need. Specify how the proposed program will align with the objective selected in Question 2 above.

100% of FITS participants qualify for federal Free/Reduced-Price Lunch and have been identified as at risk of dropping out of high school. Because their parents work an average of 2.2 jobs each, target participants are often unsupervised during summer without meaningful educational experiences, exposed to behavioral risks (i.e., alcohol and drug use, gang involvement, etc.) and summer learning loss, a loss of three months of academic skills each and every summer. FITS was created in 1997 with Family Service Agency, Catholic Charities, and the Santa Barbara Unified School Districts for hundreds of local children without a safe summer environment, who are left home alone in dangerous environments without educational activities.

4. Describe your organization's previous experience in implementing programs/projects similar to the activity proposed and describe your agency's track record with regard to past quarterly reporting, meeting performance targets and expending funds in a timely fashion. Please attach a project/program schedule signed by project manager and supervisor.

UWSBC has been coordinating and implementing FITS since 1997. Over the past sixteen years, FITS participants have met or exceeded the realistic objectives set. In fact, in 2012, 76% of participants gained +2.0 reading grade levels instead of losing academic skills. UWSBC staff have experience managing both federal and private grant funds, meeting reporting requirements and expending funds on time. Please see attached program calendar.

5. Explain how the service provided by the proposed program will address the unmet community need identified in Question 3 above and lead to successful outcomes for beneficiaries.

To stop summer learning loss, FITS helps participants develop in three main areas: 1) reading achievement and enjoyment, 2) positive self-identity and self-control, and 3) positive perceptions of family and community support. Each morning, participants engage in structured literacy programming, through highly individualized, internet-based, accelerated reading programs and journaling. During lunch, adult community members from local organizations volunteer their lunch hour to mentor participants. After lunch, students engage in science/math activities, financial literacy, service-learning, and values-based curriculum. In addition, participants receive critical health screenings (eye/dental), nutritious meals and snacks, school supplies, and clothing.

6. Describe collaborative efforts and linkages (current and planned) between your agency and other existing government agency programs (federal, state, and/or local) that will help ensure that the target population identified in Question 3 above has access to a full range of necessary services. Include names of specific programs and federal, state, and local agencies and programs. Specify referral methods that will be utilized by your agency in implementing the proposed program.

FITS currently works with and refers clients to: Carpinteria Public Health Clinic, Alcohol, Drug, and Mental Health Dept., Healthy Start-Adams School Family Resource Center, Healthy Start-Canalino-Carpinteria, Healthy Start-Cleveland School Family Resource Center, Healthy Start-Franklin School Family Resource Center, Healthy Start-La Cumbre Junior High Resource/Outreach Center, Immunizations-County Health Clinics, Mental Health Children's Services Clinic, Mental Health Family Advocate, Santa Barbara County Public Health Dept., WIC (Women, Infants and Children Nutrition Program), and Santa Barbara Dept. of Social Services.

Family Advocates who identify children and families in need of these services refer families to the appropriate agency.

7. Describe your agency's current/planned collaborative efforts with other service providers addressing the needs of a similar population.

FITS currently works with 63 service delivery partners to provide comprehensive services for participants, including Santa Barbara Neighborhood Clinics, Catholic Charities, Clinic on Wheels, Eastside Health Program Center, Unity Shoppe, Foodbank of Santa Barbara County, among others. In choosing service delivery partners, UWSBC approaches partners whose missions and programs complement and support our community-identified ten-year goals to improve education, financial stability, and health outcomes in at-risk children and youth in Santa Barbara County. UWSBC's intent in choosing partners is to add targeted value to the FITS program and offer more integrated, comprehensive services.

8. Select the statement below that best describes the service to be provided by the proposed program.

- ☐ A service that was funded by the County's CDBG program last year and will maintain the same or provide a greater level of service.
- ☐ A service that is a quantifiable increase in the level service above which was funded with state or local funds during the past twelve (12) calendar months.
- ☐ A new service.
- ☒ None of the above.

9. Is a fee charged or donation suggested for any service provided by the proposed program?

☒ Yes ☐ No

If yes, attach a copy of the fee schedule and describe pricing methodology below.

As we have done for the past two years, UWSBC will have suggested donations for the 2013 program. UWSBC first implemented suggested donations during summer 2011 and saw positive results from parent comments, participations, and support. UWSBC's suggested donation is \$10 per week per child (totaling \$70 per child per summer). UWSBC's total program cost per child is about \$1,400. No family is favored or penalized based on ability to donate.

Section D – Staffing

1. Describe existing and planned staff positions (paid and unpaid) dedicated in whole or in part to the proposed program. Include the name, title, experience and qualifications, and roles and responsibilities for all staff persons that will be funded by this CDBG award.

UWSBC employs a FITS Program Coordinator to oversee volunteers/staff, fundraise, and increase long-term sustainability. Additionally, UWSBC's Community Impact Coordinator supports FITS activities part-time by facilitating collaborations, supporting program design and curriculum choices, and working with local schools throughout the year. Potential program staff are required to undergo a thorough background check that includes fingerprints, child abuse index, health screening and TB. Experience in education, childcare, psychology, or similar fields is desired for hired staff.

2. Does the agency have a personnel policy manual with an affirmative action plan and grievance procedure? ☒ Yes ☐ No
Please attach a copy.

Section E – Evaluation

1. Describe how the quality and effectiveness of the proposed program will be assessed. Include descriptions of any evaluation methods and review processes. Indicate the frequency of such evaluations and reviews.

For the past six years we have used an external evaluator to ensure we are reaching and exceeding the goals set forth for FITS. Jon O'Brien, Th. D., a researcher from Sandy Point Ink LLC, will take the lead for the 2013 evaluation and will use the following data collection activities (consistent with previous evaluations of FITS): 1. Pre/Post student reading assessments to measure targeted reading skills and perceptions; 2. Pre/Post student surveys for participating students targeting positive self-identity, behavior choices, and perceptions of support; 3. Post surveys for program leaders; and 4. Post surveys for parents.

2. Describe the unit(s) of service (e.g., meals served, shelter bed nights, rental assistance, utility payments), other than persons, that will be used to assess the program.

Total hours of educational and enrichment activities (reading, journaling, service-learning, nutrition classes, physical fitness, enriching field trips, etc.) per participant: 312
Total lunches provided for participants: 8,580
Total take-home bags of fresh food on weekends for participants: 1,540

3. Provide at least three specific **performance targets** that will be used to assess how the proposed program is addressing the unmet community need described above. If awarded, the outcome measures provided in this application will be incorporated into any contract and progress towards meeting performance targets will be required for quarterly reporting.

Target 1: At least 60% of participants (132 of 220 participants) will display gains in reading comprehension, phonics, and vocabulary skills.

Target 2: At least 80% of participants (176 of 220 participants) will maintain or display a gain in positive self-control (i.e., thinking carefully before acting, engagement in positive behaviors, and disengagement in negative behaviors).

Target 3: At least 80% of participants (176 of 220 participants) will maintain or display a gain in their ability to identify caring, support, non-parental adults.

Section F – Beneficiary Information

1. **Verification of Eligibility:** Please identify the beneficiaries of this proposed project. Select LMA or LMC.

☐ **Low/Moderate Income Area Benefit (LMA)**

Program service area has been identified and determined to be statistically low-income based on the 2010 Census. (Please attach map to allow us to determine Census Tract eligibility.)

☒ **Low/Moderate Income Limited Clientele (LMC)**

Self Certification:

☒ Yes ☐ No

Clients independently “self-certify” on a membership form, intake form, etc. *If you use this method, **please attach blank intake form**. Ensure the form has a place for signatures for Case Manager and Supervisor to ensure eligibility documentation was sought.*

Client Document Review:

☐ Yes ☒ No

Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. *If you use this method, please **attach blank worksheet**.*

Presumed Beneficiaries:

☐ Yes ☒ No

Clients served are **primarily and specifically** from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. *If you use this method, please indicate which group.*

2. **Ethnicity and Race:**

- a. Does your organization request information on whether your clients are of Hispanic ethnicity? ☒ Yes ☐ No
- b. Does your organization ask all clients (including Hispanic clients) whether they are one or more of the following races? ☒ Yes ☐ No

- White
- Black or African American
- American Indian or Alaska Native
- Asian
- Native Hawaiian or Other Pacific Islander
- American Indian or Alaska Native and White
- Asian and White
- Black or African American and White

- American Indian or Alaska Native and Black or African American
- Balance/Other
The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.

- c. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, explain how this information will be obtained to meet this requirement.

N/A

3. **Data Collection and Reporting:** Describe how beneficiary data is collected and reported. If applicable, include the name of the software used.

Clients self-report ethnicity on enrollment forms, which are collected by UWSBC and recorded in the FITS external evaluation.

Section G - Financial Information

1. **Financial Capacity:** Describe the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

Operating Budget: \$1,613,009. Revenues: Annual Campaign (\$2,016,555), Investment Income (\$235,000), Special Events (\$295,000), Legacies & Bequests (\$162,200), Fees & Grants (\$391,500), Miscellaneous (\$87,400) - total \$3,188,155. Expenses: Salaries, Benefits, & Payroll Taxes (\$1,079,442); Professional Fees (\$72,450); Supplies/Telephone (\$63,225); Postage & Shipping (\$55,700); Occupancy (\$49,715); Equipment Rental/Maintenance (\$36,680); Printing (\$45,789); Travel/Conferences (\$122,285); Misc. (\$87,723). 2012 audit is being finalized.

2. What percentage of your agency's total revenue is generated from the County of Santa Barbara?
7.77%

3. **Federal Grant Experience within the Past 5 Years** (e.g., County & City CDBG/ESG grants):

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
94.018	Fun in the Sun	Service-Learning	04/10/2010	\$75,000
CDBG-Golet	Prekindergarten Inst	Early Education	07/30/2010	\$2,500
Human Svcs	Fun in the Sun	Summer Learning	07/01/2011	\$17,660

Fiscal Year and Audit Reports

4. What is your agency's fiscal year end date? June 30
5. Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. (Please include a copy of the most recent financial audit with your completed application—See Required Attachments).

What fiscal year did this most recent audit include?

7/2011-6/2012 (Month/Year - Month/Year)

☐ Yes ☒ No

6. Are there any outstanding financial audit findings which remain unresolved?
If yes, please explain.

N/A

7. Has your agency expended more than \$500,000 in federal funds in its last operating year?
(Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

☐ Yes ☒ No

If you answered "yes" to question 7, please answer questions 8 and 9 below. If you answered "no" to question 7, please proceed to question 10.

8. Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)?

☐ Yes ☐ No

9. Are there any outstanding single audit findings which remain unresolved?
If yes, please explain.

☐ Yes ☐ No

10. If your organization is a non-profit organization, does your organization comply with the following:

☒ Yes ☐ No

a) OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Non-Profit Organizations"

b) OMB Circular A-122 "Cost Principles for Non-Profit Organizations"

☒ Yes ☐ No

c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations"

☒ Yes ☐ No

d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments"

☐ Yes ☒ No

e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month?

☒ Yes ☐ No

f) Does your organization have any outstanding litigation or other legal issues?
If yes, please attach written explanation as a separate sheet.

☐ Yes ☒ No

11. How many members serve on your Board of Directors? 23

12. How often does your Board of Directors meet? 5 times annually

13. Does your Board of Directors have an audit committee? Yes

14. Describe the financial expertise currently serving on your Board of Directors.

UWSBC's Board of Directors is comprised of former/current business and nonprofit executives with decades of financial experience.

15. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.

Mike Noling – Chair, Audit Committee; ph: 969-0785; email: mnoling@gmail.com
 Rick Nightingale, CPA – Audit Committee; ph: 963-1837; email: rnightingale3@cox.net
 Mike Bergquist – Chair, Investment Committee; ph: 568-5313; Michael@mjbplanning.com
 Rick Scott – CFO, Board of Directors; ph: 682-7300; email: rick@ccsb.org

16. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.

Section H – Program and Agency Revenue and Expense Information

1. Funding Sources for Proposed Program

Sources of revenue	2011-2012	2012-2013	2013-2014
County CDBG Public Services funds			\$15,000
Other CDBG Public Services funds			\$20,000
Other local cities' funds			
County Human Services Program funds	\$8,830	\$8,830	\$8,830
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds			
State funds			
Private trusts and foundation funds	\$44,920	\$60,400	\$72,900
Donations	\$68,942	\$37,637	\$63,862
Special fundraising events	\$28,000	\$45,000	\$42,000
Client fees		\$6,791	\$9,092
Other funds (specify): <u>UWSBC</u>	\$126,170	\$115,000	\$145,000
Total Project Budget	\$276,862	\$264,828	\$367,854

2. Expenditures for Proposed Program

<i>Uses of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
Salaries, Benefit, Payroll Taxes	\$179,622	\$188,489	\$221,588
Consultants and Contracts	\$9,522	\$5,645	\$9,500
Facility, Utilities, Maintenance	\$6,800	\$9,856	\$12,320
Telephone, Fax	\$688	\$914	\$1,100
Supplies	\$18,489	\$14,303	\$18,500
Postage & Shipping	\$383	\$1,047	\$1,100
Marketing (Printing, Advertising)	\$1,921	\$3,539	\$3,800
Travel, Mileage, Training	\$2,913	\$1,925	\$5,122
Equipment Rental/Maintenance	\$2,056	\$2,136	\$3,000
Insurance	\$9,308	\$235	\$1,000
Other uses (specify): <u>Program partner fees, meals, field trips</u>	\$21,623	\$34,622	\$36,000
Total Project Budget:	\$253,325	\$262,711	\$313,030

3. Funding Sources for Agency

<i>Sources of revenue</i>	<i>2011-2012</i>	<i>2012-2013</i>	<i>2013-2014</i>
County CDBG Public Services funds			
Other CDBG Public Services funds			
Other local cities' funds			
County Human Services Program funds	8,830	8,830	
HOME funds			
ESG funds			
HOPWA funds			
Other Federal funds			
State funds			
Private trusts and foundation funds	123,500		
Donations	2,101,980	2,648,825	2,750,000
Special fundraising events	274,889	295,000	300,000
Client fees			
Other funds (specify): <u>Investment income</u>	199,188	235,500	250,000
Total Agency Budget	2,708,387	3,188,155	3,300,000

4. Expenditures for Agency

Uses of revenue	2011-2012	2012-2013	2013-2014
Salaries, Benefit, Payroll Taxes	1,048,002	1,079,442	1,111,825
Consultants and Contracts	67,060	72,450	74,625
Facility, Utilities, Maintenance	43,087	49,715	51,200
Telephone, Fax	10,975	11,725	12,100
Supplies	56,924	51,500	53,000
Postage & Shipping	52,699	55,700	57,500
Marketing (Printing, Advertising)	102,275	95,571	98,500
Travel, Mileage, Training	124,124	122,285	126,000
Equipment Rental/Maintenance	31,819	36,680	38,000
Insurance	28,573	37,941	39,100
Other uses (specify): _____	1,031,092	1,462,665	1,535,800
Total Agency Budget:	2,596,630	3,075,674	3,197,650

5. Describe your agency's short to mid-term financial forecast: What factors are causing your agency's budget to increase, decrease, or remain level in the next three years?

UWSBC is projecting slight budget increases for the 2013-2014 fiscal year due to modest increases in donations from Santa Barbara County residents (after a period of three consecutive years of decreases). While environmental factors, such as a volatile stock market and changes in Santa Barbara County workplaces, continue to influence budgetary decisions, UWSBC expects to see stabilizing donations. UWSBC is also implementing new fundraising strategies for all current revenue sources and continues to identify and pursue additional federal, state, corporate, foundation, and individual prospects. UWSBC has established a Strategic Revenue Committee to help with this process.

6. If this request is not fully funded, can your proposed program operate with a reduced CDBG award? ☒ Yes ☐ No
Please explain what services can be offered with lower funding.

UWSBC's grants coordinator seeks funding from public organizations, private foundations, and corporations year-round in order to raise enough funding for next summer's FITS program. In addition to grants, UWSBC utilizes contributions from its annual Red Feather Ball to provide funding for FITS. In 2004, UWSBC also established an endowment fund to ensure the longevity of FITS. UWSBC recently reached the trigger point of the fund and will be able to begin program distributions beginning summer 2013. UWSBC is the largest single contributor to the FITS program and will continue to fund FITS at whatever level is feasible. A reduced CDBG award would still support program materials and staff at whatever level is available. All current FITS activities (literacy development, service-learning, educational workshops, field trips, etc.) are scalable and will be offered; however, the number of children and youth served would be reduced.

Section I – Certifications

All certifications must be executed in BLUE INK.

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in all attachments is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to operate the project as proposed.

United Way of Santa Barbara County

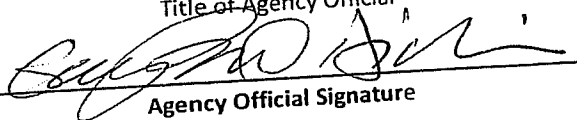
Name of Agency

Paul Didier

Typed Name of Agency Official

President & CEO

Title of Agency Official



Agency Official Signature

January 2, 2013

Date of Signature

(805) 965-8591

Telephone Number of Agency Official

pdidier@unitedwaysb.org

Email address of Agency Official

Board of Directors Affidavit

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee Paul Didier

depose and say that I am President & CEO

[insert title] of United Way of Santa Barbara County, Inc., 320 East Gutierrez Street, Santa Barbara, CA 93101.

[insert name and address of Agency].

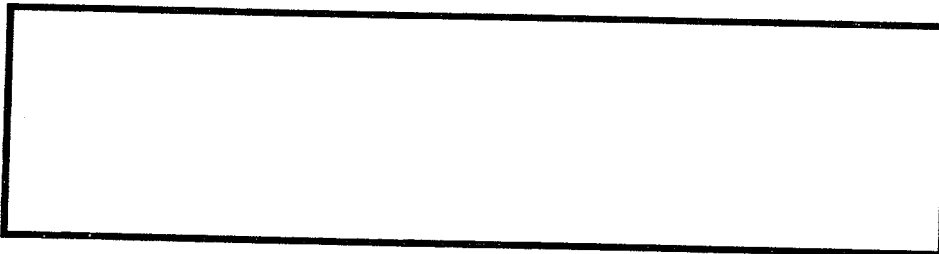
The other members and officers of the Board of Directors of this Agency are:
(Please list names of current Board Members and attach an additional sheet if necessary):

	<u>Name:</u>	<u>Title:</u>	<u>Term Expires:</u>
1.	<u>Jim Armstrong</u>	<u>City Administrator, City of SB</u>	<u>6/2015</u>
2.	<u>Thomas Brashears</u>	<u>Retired Executive</u>	<u>6/2013</u>
3.	<u>David Cash</u>	<u>Superintendent, SBUSD</u>	<u>6/2014</u>
4.	<u>Lance Connor</u>	<u>Reliable Engineering Services</u>	<u>6/2013</u>
5.	<u>Ron Cortez</u>	<u>Asst Vice Chancellor, UCSB</u>	<u>6/2014</u>
6.	<u>William Curtis</u>	<u>Sullivan, Curtis, Monroe, LLC</u>	<u>6/2013</u>

DATE: January 2, 2013

AT: Santa Barbara, CA [City & State]

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.
(MAKE NOTE THAT IF AGENCY HAS NO BOARD, PLEASE HAVE DIRECTOR SIGN AND MARK THIS N/A.)

Paul Didier
Signature

President & CEO

Print Name and Title

Checklist of Required Documents

Note: This completed checklist must be turned in with application. The documents listed below are required of Agencies applying for CDBG Public Service funds:

- ☒ **Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board**
 - ☒ Form 501(c)
- ☒ **Verification of non-debarment or non-suspension**
- ☒ **Evidence of Insurance**
 - ☒ Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - ☒ Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☒ **Most recent financial audit**
- ☒ **Program fee schedule, if applicable**
- ☒ **Explanation of outstanding legal/litigation issues, if applicable**
- ☒ **Blank client intake form with signature block for intake staff/supervisor**
- ☒ **Performance Reports (if applicable)**
- ☒ **Personnel policy and procedures manual/program manuals**

BOARD OF DIRECTORS AFFIDAVIT Continued

	<u>Name</u>	<u>Title</u>	<u>Term Expires</u>
7.	G. Paul Didier, CFP	President and CEO, UWSBC	6/2013
8.	Diane B. Doiron, CLU	Owner, Doiron Financial Associates	6/2015
9.	Henry Dubroff	Executive Editor, Pacific Coast Business Times	6/2015
10.	Joanne Funari	Market President, Business First Bank	6/2013
11.	Blas Garza, Ed.D.	Retired Professor	6/2015
12.	John T. Hanna	Retired Executive	6/2015
13.	Joseph E. Holland	Clerk, Recorder & Assessor, SB County	6/2013
14.	George Leis	President and CEO, SBB&T	6/2013
15.	Cliff Lundberg	Vice President for External Relations, Westmont College	6/2015
16.	Robert K. Montgomery	Member, Gibson, Dunn & Crutcher	6/2013
17.	Michael Noling	Community Volunteer and Business Leader	6/2015
18.	David A. Prichard	Market President, Bank of America	6/2015
19.	Rick W. Scott	President, Cancer Center of SB	6/2014
20.	Andreea M. Serban, Ph.D.		6/2014
21.	William S. Thomas	Community Relations Executive, SBB&T	6/2014
22.	Ron Werft	President and CEO, Cottage Health System	6/2013
23.	John Wigle	Chairman and CEO, AGIA Insurance Services	6/2014

**United Way
of Santa Barbara County**

320 East Gutierrez Street
Santa Barbara, CA 93101
tel 805-965-8591
fax 805-962-3461
www.unitedwaysb.org



**Fun in the Sun 2013
Program Calendar**

By 03/31/13: Confirm sites, finalize FITS overall budget, lock-in site schedules.

By 04/30/13: Send enrollment packets, meet with external evaluator, begin staff recruitment, create and sign partner agencies' MOUs.

By 05/31/13: Conduct FITS staff interviews, verify participant eligibility, hire all program staff, purchase supplies, confirm meal services, schedule field trips.

By 06/17/13: Staff training, coordinate parent orientations at each site, commence program services, kickoff ceremony, administer assessments and pre-tests.

By 08/02/13: Post tests administered, satisfaction surveys completed, closing ceremony and participant/parent recognition, participants "go shopping" for school supplies.

By 8/31/13: Staff debriefing, Lessons Learned meetings.

By 10/15/13: External evaluation completed, evaluation results analyzed and disseminated.

*OK
1-2-13*
*g/c 1-2-13
Sara Semple*

CALIFORNIA STATE BOARD OF EQUALIZATION
**ORGANIZATIONAL CLEARANCE CERTIFICATE
FOR WELFARE OR VETERANS' ORGANIZATION EXEMPTION**



Organization Name and Mailing Address:

United Way of Santa Barbara County
320 East Gutierrez Street

Santa Barbara CA 93101

THIS CERTIFICATE NUMBER MUST BE
SUBMITTED TO A COUNTY WHEN FILING
A CLAIM FOR WELFARE OR VETERANS'
ORGANIZATION EXEMPTION.

Organization Information:

Date of Certificate: 12/11/03
BOE Ex. No.: 13189
Type: Charitable
Corp. ID: 113668
Fiscal Year First Qualified: Information Unavailable

In accordance with section 254.6
of the Revenue and Taxation
Code, the Board has determined
that this organization meets the
organizational requirements of
section 214.

BOE-277-OC (10-03)

**NOTICE TO ORGANIZATIONS
GENERAL INFORMATION REGARDING
WELFARE OR VETERANS' ORGANIZATION EXEMPTION**

Your claim for an Organizational Clearance Certificate has been reviewed and a determination has been made that your organization meets the organizational requirements for exemption under section 214. A claim for the organizational clearance certificate will be mailed to the organization periodically to verify and update information. The claim form must be completed, signed, and filed with the Board, along with supporting documents, in order to maintain eligibility for the certificate. The Board may institute an audit or verification of the organization to determine whether the organization meets the organizational requirements of Revenue and Taxation Code section 214, as required by section 15618 of the Government Code. If you have any questions concerning the organizational requirements, you may contact the State Board of Equalization, Property and Special Taxes Department, Assessment Policy and Standards Division, Exemptions Section, at 916-445-3524.

The Assessor may not approve a property tax exemption claim on any property until the claimant has been issued a valid Organizational Clearance Certificate under section 254.6. The Assessor may deny a claim for the exemption, notwithstanding that the claimant has been granted an organizational clearance certificate. Claim forms for the welfare or veterans' organization exemption for property newly acquired by an organization may be obtained from the Assessor in the county where the property is located.

Annually, claims for the welfare and veterans' organization exemptions and supplemental affidavits, if required, must be filed on or before February 15 with the application to the applicable Assessor to avoid a late filing penalty under section 270. (A separate claim must be filed for each property location.) The Assessor will review all claims to determine that the organization continues to use its property for qualifying purposes and activities, as specified in section 214. Any questions relating to section 214 requirements regarding qualifying purposes and uses of the property may be directed to the Assessor.

ROBERT C. KIRKWOOD, CHAIRMAN
STATE CONTROLLER
JOHN B. PIRCE, VICE-CHAIRMAN
DIRECTOR OF REVENUE
GEORGE R. REILLY
CHAIRMAN BOARD OF EQUALIZATION



STATE OF CALIFORNIA
OFFICE OF

Franchise Tax Board

SACRAMENTO 14
April 15, 1954

Santa Barbara Community Chest
802 Santa Barbara Street,
Santa Barbara, California

Gentlemen:

RE: Exemption From Franchise Tax

It is the opinion of this office, based upon the evidence presented, that you are exempt from State franchise tax under the provisions of Section 23701d of the Revenue and Taxation Code, as it is shown that you are organized and operated exclusively as a charitable organization.

Accordingly, you will not be required to file franchise tax returns unless you change the character of your organization, the purposes for which you were organized, or your method of operation. You are, however, required to file Form X99 on or before March 15 of each year and further you are required to report any changes in the character of your organization, the purposes for which it was organized or in its method of operation.

Contributions made to you are deductible by the donors in arriving at their taxable net income in the manner and to the extent provided by Section 17315, 17316, 17317, and 21121k of the Revenue and Taxation Code.

If the organization is not yet incorporated or has not yet qualified to do business in California, this approval will expire within thirty days unless incorporation or qualification is completed within such period.

Very truly yours

FRANCHISE TAX BOARD
John J. Campbell
Executive Officer

By

Milton A. Huot
Milton A. Huot
Associate Tax Counsel

LAH:aem

cc - Secretary of State
cc - Paul Russell

D*

Date: April 27, 2001

United Way of Santa Barbara County, Inc.
320 E/ Gutierrez St.
Santa Barbara, CA 93101-1707

Person to Contact:
Cheryl Skaggs 31-04010
Customer Service Representative
Toll Free Telephone Number:
8:00 a.m. to 9:30 p.m. EST
877-829-5500
Fax Number:
513-263-3756
Federal Identification Number:
95-1641968
Accounting Period Ends:
June 30

Dear Sir or Madam:

This is in response to your request for a letter affirming your organization's exempt status.

In August 1953, we issued a determination letter that recognized your organization as exempt from federal income tax under section 101(6) of the Internal Revenue Code of 1939 (now section 501(c)(3) of the Internal Revenue Code of 1986). That determination letter is still in effect.

We classified your organization as a publicly supported organization, and not a private foundation, because it is described in section 509(a)(2) of the Code. This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's purposes, character, method of operations, or sources of support have changed, please let us know so we can consider the effect of the change on the organization's exempt status and foundation status.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

As of January 1, 1984, your organization is liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more the organization pays to each of its employees during a calendar year. There is no liability for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

United Way of Santa Barbara County, Inc.
95-1641968

Donors may deduct contributions to your organization as provided in section 170 of the Code.

Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

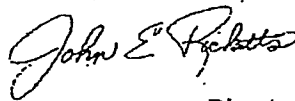
Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. If your organization had a copy of its application for recognition of exemption on July 15, 1987, it is also required to make available for public inspection a copy of the exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the permanent records of the organization.

If you have questions, please call us at the telephone number shown in the heading of this letter.

Sincerely,



John E. Ricketts, Director, TE/GE
Customer Account Services

August 13, 1953

Office of
Commissioner of Internal Revenue

Address reply to
Commissioner of Internal Revenue
and refer to
T:8: EO2
CFH

Santa Barbara Community Chest
c/o George F Hamilton, Executive Director
802 Santa Barbara Street
Santa Barbara, California

Gentlemen:

It is the opinion of this office, based upon the evidence presented, that you are exempt from Federal income tax under the provisions of section 101 (6) of the Internal Revenue Code as it is shown that you are organized and operated exclusively for charitable purposes.

Accordingly, you are not required to file income tax returns unless you change the character of your organization, the purposes for which you were organized, or your method of operation. Any such changes should be reported immediately to the Director of Internal Revenue for your district in order that their effect upon your exempt status may be determined.

Contributions made to you are deductible by the donors in computing their taxable net income in the manner and to the extent provided by section 23 (c) and (q) of the Code.

Bequests, legacies, devises or transfers, to or for your use are deductible in computing the value of the net estate of a decedent for estate tax purposes in the manner and to the extent provided by sections 812 (d) and 861 (a) (3) of the Code. Gifts of property to you are deductible in computing net gifts for gift tax purposes in the manner and to the extent provided in section 1004 (a) (2) (B) and 1004 (b) (2) and (3) of the Code.

It will not be necessary for you to file the annual return of information Form 990-A, generally required of organizations exempt under section 101 (6) of the Internal Revenue Code, as you come within the specific exceptions contained in section 54 (f) of the Code.

In the event you have not filed a waiver of exemption certificate in accordance with the provisions of section 1426 (1) of the Code, no liability is incurred by you for the taxes imposed under the Federal Insurance Contributions Act. Tax liability is not incurred by you under the Federal Unemployment Tax Act by virtue of the provisions of section 1607 (c) (8) of such Act.

The Director of Internal Revenue for your district is being advised of this notice.

Your tax exempt status may be jeopardized if, after this date, you make distributions to organizations which have not established an appropriate exempt status.

Very truly yours,

Norman A Sugarman, Asst Commissioner
By

R C Dunlop
Chief, Exempt Organization Branch
Special Technical Agent

UNITED WAY OF SANTA BARBARA COUNTY, INC.

DUNS: 172851198 CAGE Code: 685V2

Status: Active

320 E GUTIERREZ ST

SANTA BARBARA, CA, 93101-1707,

UNITED STATES

Entity Overview

Entity Information

DUNS: 172851198

Name: UNITED WAY OF SANTA BARBARA COUNTY, INC.

Business Type: Business or Organization

POC Name: None Specified

Registration Status: Active

Expiration Date: 04/23/2013

Exclusions

Active Exclusion Records? No

SAM | System for Award Management 1.0

IBM v1.513.20121222-2220

WWW4

Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.

USA.gov
Customer Service



CERTIFICATE OF LIABILITY INSURANCE

UNITWAY-01

SKRUEGER

DATE (MM/DD/YYYY)

1/30/2012

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Riviera Insurance Services, LLC 3710 State St. Suite B Santa Barbara, CA 93105		CONTACT NAME: PHONE (A/C, No, Ext): (805) 880-4260 FAX (A/C, No): (805) 880-4259 E-MAIL ADDRESS:	
		INSURER(S) AFFORDING COVERAGE	
		NAIC #	
INSURED United Way of Santa Barbara County Attn: Jerold W. Newton 320 E. Gutierrez Santa Barbara, CA 93101		INSURER A: Philadelphia Insurance Co.	
		INSURER B: Markel Insurance Co.	
		INSURER C:	
		INSURER D:	
		INSURER E:	
		INSURER F:	

COVERAGES**CERTIFICATE NUMBER:****REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	☒ GENERAL LIABILITY ☒ COMMERCIAL GENERAL LIABILITY ☐ CLAIMS-MADE ☒ OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: ☐ POLICY ☐ PRO-JECT ☐ LOC			PHPK808688	1/1/2012	1/1/2013	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 100,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000
A	☒ AUTOMOBILE LIABILITY ☒ ANY AUTO ☐ ALL OWNED AUTOS ☐ HIRED AUTOS ☐ SCHEDULED AUTOS ☐ NON-OWNED AUTOS			PHPK808688	1/1/2012	1/1/2013	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$
A	☒ UMBRELLA LIAB ☒ OCCUR ☒ EXCESS LIAB ☐ CLAIMS-MADE DED ☒ RETENTIONS 10,000			PHUB368431	1/1/2012	1/1/2013	EACH OCCURRENCE \$ 7,000,000 AGGREGATE \$ 7,000,000
B	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N/A	MWC0011657-01	9/4/2011	9/4/2012	☒ WC STATU-TORY LIMITS ☐ OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)
Evidence of Coverage

CERTIFICATE HOLDER**CANCELLATION**

To Whom It May Concern

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

United Way of Santa Barbara County, Inc.
(A California Non-Profit Public Benefit Corporation)

Financial Statements

(With Independent Auditors' Report Thereon)

June 30, 2012

Independent Auditors' Report

To the Board of Directors
United Way of Santa Barbara County, Inc.
Santa Barbara, California

We have audited the accompanying statement of financial position of the United Way of Santa Barbara County, Inc. (the Organization) (a California non-profit public benefit corporation) as of June 30, 2012 and the related statements of activities, ~~changes in net assets~~, functional expenses and cash flows for the year then ended. These financial statements are the responsibility of the Organization's management. Our responsibility is to express an opinion on these financial statements based on our audit. Information for the year ended June 30, 2011 is presented for comparative purposes only and was extracted from financial statements for that year, on which a qualified opinion dated January 3, 2012, was expressed.

We conducted our audit in accordance with generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe our audit provides a reasonable basis for our opinion.

As explained in note 2 to the financial statements, various split interest trusts are not recorded in the financial statements. In our opinion, generally accepted accounting principles require that assets to be received under split interest agreements should be recorded at their estimated fair market value when the trust is established. In addition, as described in note 3 to the financial statements, the Organization does not record revenue from charitable life income gift arrangements until the termination of the agreement by the beneficiary or donor. However, the asset and corresponding deferred liability is recorded on the financial statements. As a result net assets are understated and liabilities are overstated. In our opinion, generally accepted accounting principles require that such charitable gift arrangements be recorded as contribution revenue at the date the Organization receives notification of the arrangement. Management has also elected to not disclose the amount of joint-costs incurred during the year ended June 30, 2012. In

our opinion, generally accepted accounting principles require the amount of joint-costs and the allocation of those costs to be disclosed. The effect of the noted departures from generally accepted accounting principles is not practicable to be estimated.

In our opinion, except for the effects of the items discussed in the preceding paragraphs, the financial statements referred to in the first paragraph present fairly, in all material respects, the financial position of the United Way of Santa Barbara County, Inc. as of June 30, 2012 and the changes in net assets and cash flows for the year then ended in conformity with generally accepted accounting principles.

Our audit was conducted for the purpose of forming an opinion on the basic financial statements of United Way of Santa Barbara County, Inc. taken as a whole. The accompanying schedules presented on pages 15 through 23 are presented for purposes of additional analysis and are not a required part of the basic financial statements. The information in the schedules has not been subjected to the auditing procedures applied in the audit of the basic financial statements and accordingly we do not express an opinion on the schedules on pages 15 through 23.

In accordance with *Government Auditing Standards*, we have also issued our report dated _____, 2013, on our consideration of United Way of Santa Barbara County Inc.'s internal control over financial reporting and our tests of its compliance with certain of laws, regulations, contracts and grants.

_____, 2013

United Way of Santa Barbara County, Inc.
(A California Non-Profit Public Benefit Corporation)
Statement of Financial Position
June 30, 2012
(With Comparative Totals for June 30, 2011)

	Fund			2012	2011
	Operating	Property and Equipment	Endowment		
CURRENT ASSETS					
Cash and cash equivalents	\$ 540,943	\$ -	\$ 742,339	\$ 1,283,282	\$ 510,570
Investments (note 9)	862,063	-	-	862,063	803,106
Pledges receivable, net (note 2)	494,721	-	-	494,721	505,282
Due from endowment fund	377,698	-	-	377,698	377,698
Prepaid expenses and other current assets	63,456	-	-	63,456	47,438
Total Current Assets	2,338,881	-	742,339	3,081,220	2,244,094
PROPERTY AND EQUIPMENT (notes 2 and 4)					
Property and equipment	-	2,774,666	-	2,774,666	2,697,059
Less accumulated depreciation	-	(2,316,721)	-	(2,316,721)	(2,250,504)
Total Property and Equipment		457,945	-	457,945	446,555
NON-CURRENT ASSETS					
Investments restricted to long-term use (note 9)	-	-	5,473,421	5,473,421	5,122,321
Future interests (note 3)	-	-	2,063,723	2,063,723	2,233,280
Total Other Assets			7,537,144	7,537,144	7,355,601
TOTAL ASSETS	\$ 2,338,881	\$ 457,945	\$ 8,279,483	\$ 11,076,309	\$ 10,046,250
CURRENT LIABILITIES					
Accounts payable and accrued expenses	\$ 116,367	\$ 106	\$ 905	\$ 117,378	\$ 116,490
Designations payable	402,387	-	-	402,387	363,906
Agency allocations	708,046	-	-	708,046	773,337
Due to operating fund	-	-	377,698	377,698	377,698
Total Current Liabilities	1,226,800	106	378,603	1,605,509	1,631,431
LONG-TERM LIABILITIES					
Deferred revenue (note 3)	-	-	2,063,723	2,063,723	2,233,281
Total Liabilities	1,226,800	106	2,442,326	3,669,232	3,864,712
NET ASSETS (notes 6 and 10)					
Unrestricted:					
Undesignated	617,360	457,839	-	1,075,199	932,586
Board designated	-	-	3,657,609	3,657,609	2,585,959
Temporarily restricted	494,721	-	-	494,721	505,282
Permanently restricted	-	-	2,179,548	2,179,548	2,157,711
Total Net Assets	1,112,081	457,839	5,837,157	7,407,077	6,181,538
TOTAL LIABILITIES AND NET ASSETS	\$ 2,338,881	\$ 457,945	\$ 8,279,483	\$ 11,076,309	\$ 10,046,250

SEE AUDITOR'S REPORT AND NOTES TO FINANCIAL STATEMENTS

United Way of Santa Barbara County, Inc.
(A California Non-Profit Public Benefit Corporation)
Statement of Activities
For The Year Ended June 30, 2012
(With Comparative Totals for the Year Ended June 30, 2011)

	Unrestricted			Temporarily Restricted		Permanently Restricted	Total All Funds	
	Operating	Property and Equipment	Endowment	Operating	Endowment	Endowment	2012	2011
PUBLIC SUPPORT AND REVENUE								
PUBLIC SUPPORT								
Contributions (Note 2):								
Campaign	\$ 1,521,834	\$ -	\$ -	\$ 494,721	\$ -	\$ -	\$ 2,016,555	\$ 2,001,427
Legacies, bequests and other donations (note 1)	(80,203)	-	1,583,949	507,431	-	21,837	2,033,014	809,254
Total Public Support	1,441,631	-	1,583,949	1,002,152	-	21,837	4,049,569	2,810,681
SPECIAL EVENT REVENUE								
Special events - revenue	244,034	-	-	-	-	-	244,034	270,774
Less costs of special events	(113,569)	-	-	-	-	-	(113,569)	(130,402)
Net Special Event Revenue	130,465	-	-	-	-	-	130,465	140,372
OTHER REVENUE								
Investment income (note 9)	(32,377)	-	(263,944)	-	-	-	(296,321)	1,188,370
Gain on sale of assets	-	-	-	-	-	-	-	-
Total Other Revenue	(32,377)	-	(263,944)	-	-	-	(296,321)	1,188,370
TOTAL PUBLIC SUPPORT AND REVENUE	1,539,719	-	1,320,005	1,002,152	-	21,837	3,883,713	4,139,423
ASSETS RELEASED FROM RESTRICTION	(1,012,713)	-	-	(1,012,713)	-	-	-	-
Expenses								
Program	2,127,831	57,750	-	-	-	-	2,185,571	2,461,955
Management & general	338,595	4,641	-	-	-	-	343,236	338,445
Fundraising	125,540	3,827	-	-	-	-	129,367	159,392
Total Expenses	2,591,966	66,218	-	-	-	-	2,658,174	2,959,792
CHANGES IN NET ASSETS BEFORE TRANSFERS	(39,524)	(66,218)	1,320,005	(10,561)	-	21,837	1,225,539	1,179,631
Transfers	161,585	86,770	(248,355)	-	-	-	-	-
CHANGES IN NET ASSETS	122,061	20,552	1,071,650	(10,561)	-	21,837	1,225,539	1,179,631
NET ASSETS, BEGINNING	495,299	437,287	2,585,959	505,282	-	2,157,711	6,181,538	5,001,907
NET ASSETS, ENDING	\$ 617,360	\$ 457,839	\$ 3,657,609	\$ 494,721	\$ -	\$ 2,179,548	\$ 7,407,077	\$ 6,181,538

SEE AUDITOR'S REPORT AND NOTES TO FINANCIAL STATEMENTS

	Program					Total Program	Management and General	Fundraising	Total	
	Planning and Allocation	Education	Planning and Research	Community Impact					2012	2011
Salaries	\$ 33,373	\$ 294,889	\$ 47,782	\$ 347,759	\$ 723,803	\$ 59,011	\$ 40,652	\$ 823,466	\$ 824,162	
Benefits	7,853	62,555	10,040	74,767	155,215	45,743	10,203	211,161	205,679	
Professional services	1,511	5,674	9,322	56,210	65,327	13,981	4,469	83,777	107,110	
Supplies	772	9,608	907	65,301	76,678	6,839	29,202	112,719	395,248	
Telephone	445	3,508	563	4,081	8,563	1,845	484	10,892	12,475	
Postage	515	6,860	658	7,717	19,750	992	2,864	23,606	15,524	
Direct mail program	43	16,325	55	16,801	22,624	68	47	22,739	13,998	
Occupancy	1,689	13,651	2,160	15,362	32,542	5,976	1,838	40,356	56,342	
Equipment maintenance	788	1,593	1,008	8,592	11,981	1,864	857	14,702	41,541	
Printing/publication	540	2,851	690	17,045	20,906	1,922	7,621	30,449	47,165	
Travel	35	1,259	45	6,087	7,421	3,924	3,153	14,498	13,364	
Conferences	13	13,076	17	42,337	55,443	6,101	12,972	74,516	67,953	
Community outreach	538	3,679	1,688	18,899	23,704	1,674	9,647	35,025	42,963	
	1,201	9,476	8,535	11,872	24,084	2,692	1,496	28,272	36,889	
Dues	23	179	29	206	437	36	25	498	2,951	
					257	17	10	257	160	

TOTAL EXPENSES BEFORE
ALLOWANCE FOR
UNCOLLECTIBLE PLEDGES,
ALLOCATIONS TO AGENCIES AND
DEPRECIATION

Allowance for uncollectible pledges
 Allocations to agencies
 Depreciation

TOTAL EXPENSES

SEE AUDITORS' REPORT AND NOTES TO FINANCIAL STATEMENTS

United Way of Santa Barbara County, Inc.
(A California Non-Profit Public Benefit Corporation)
Statement of Cash Flows
For the Year Ended June 30, 2012
(With Comparative Totals for the Year Ended June 30, 2011)

	<u>2012</u>	<u>2011</u>
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$ 1,225,539	\$ 1,179,631
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	66,218	61,988
Unrealized and realized (gain) loss on investments	420,111	(1,053,220)
Contributions permanently restricted	(21,837)	(13,103)
Decrease (increase) in pledges receivable	10,561	148,450
Decrease (increase) in prepaid expenses	(16,018)	5,431
Increase (decrease) in accounts payable and other current liabilities	(25,922)	(155,887)
NET CASH FROM OPERATING ACTIVITIES	<u>1,658,652</u>	<u>173,290</u>
CASH FLOWS USED BY INVESTING ACTIVITIES		
(Purchase)/Proceeds of securities, net	(830,169)	(101,607)
Purchase of property and equipment	(77,608)	(19,987)
NET CASH FROM INVESTING ACTIVITIES	<u>(907,777)</u>	<u>(121,594)</u>
CASH FLOWS FROM FINANCING ACTIVITIES		
Contributions permanently restricted	21,837	13,103
NET CASH FROM FINANCING ACTIVITIES	<u>21,837</u>	<u>13,103</u>
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	772,712	64,799
BEGINNING CASH AND CASH EQUIVALENTS	<u>510,570</u>	<u>445,771</u>
ENDING CASH AND CASH EQUIVALENTS	<u>\$ 1,283,282</u>	<u>\$ 510,570</u>

SEE AUDITOR'S REPORT AND NOTES TO FINANCIAL STATEMENTS

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

(1) Organization

United Way of Santa Barbara County Inc. (the "Organization"), is a California non-profit public benefit corporation that solicits contributions from business and individuals during its annual fund raising campaign and through a variety of other fund raising activities.

The Organization has served the local community since its local founding in 1923 and, through its Power of Partnership programs and initiatives; it improves the lives of children, families and seniors by connecting and empowering resources. The Organization is not merely a fundraising agent, but rather acts as a unifying and multiplying force.

Through funding, volunteer development, and leveraging dozens of local non-profit and public sector agencies, and directing its own unique multi-agency initiatives The Organization seeks to create lasting, meaningful solutions rather than short-lived approaches to community problems.

Most of the pledges received originate from individuals, companies and foundations in south Santa Barbara County. Grant recipient agencies, partners, initiatives and other non-profit organizations present annual or other periodic requests for funds. After reviewing requests, volunteers and staff prepare recommendations to the Board of Directors (the "Board") of the Organization.

(2) Summary of Significant Accounting Policies

Basis of Accounting

The Organization follows the accrual method of accounting. It is the Organization's policy to recognize revenue when earned and to record expenses when incurred.

Financial Statement Presentation

The Organization reports its financial statements in accordance with ASC 958 (formerly Statement of Financial Accounting Standards Board (SFAS) No. 117, *Financial Statements of Non-Profit Organizations*). Under ASC 958, the Organization is required to report information regarding its financial position and activities according to three classes based on the existence and nature of donor imposed restrictions on net assets:

Unrestricted net assets generally result from unrestricted contributions and investment income less expenses incurred in providing services, fund-raising and other administrative expenses.

Temporarily restricted net assets are classified as such based on donor stipulations that they be used in a later period.

Permanently restricted net assets are classified as such based on donor-imposed restrictions prohibiting the Organization from using the asset. Any interest, dividends and unrealized gains or losses recognized on such assets are either reported as an increase to permanently restricted net assets, temporarily restricted net assets or unrestricted net assets in conformance with any donor imposed restrictions.

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

Investments

Under generally accepted accounting principles, investments in marketable securities with readily determinable fair values and alternative investments are valued at their estimated fair values in the statement of financial position. Unrealized gains and losses for the year ended June 30, 2012, are included in the change in net assets in the accompanying statement of activities.

Pledges Receivable

Pledges for campaign contributions are recorded upon receipt of pledge cards, and allowances are provided for amounts estimated to be uncollectible. The allowance for uncollectible pledges is adjusted annually to reflect the Organization's historical collection experience. At June 30, 2012 the Organization had pledges receivable of \$835,519 and allowances for uncollectible pledges of \$340,798. All pledges receivable are based on annual campaigns and thus are considered to be collectible within one year.

Property and Equipment

Land, building and equipment are recorded at cost or, if donated, at the fair value at the time of the donation. Such donations are reported as unrestricted support unless the donor has restricted the donated assets to a specified purpose. Assets donated with explicit restrictions regarding their use and contributions of cash that must be used to acquire property and equipment are reported as restricted support. Absent donor stipulations regarding how long those donated assets must be maintained, the Organization reports expirations of donor restrictions when the donated or acquired assets are placed in service as instructed by the donor. The Organization reclassifies temporarily restricted net assets to unrestricted net assets at that time. Building and equipment are depreciated using the straight-line method of over the respective estimated useful lives, which range from three to twenty years.

Donated Materials and Services

Various agencies, volunteers, business firms and others contribute substantial amounts of materials and services toward the fulfillment of projects initiated by the Organization. To the extent that contributions of materials are made under the control of the Organization, are objectively measurable, and represent program or support expenditures which would otherwise be incurred by the Organization's personnel, they are reflected in both contribution revenue and the appropriate expense category in the accompanying financial statements. For the year ended June 30, 2012, donated materials totaled \$139,157,

In addition, a substantial number of volunteers have donated significant amounts of time to the Organization's program services and to its fundraising campaigns. However, no value has been assigned and no amount has been recorded in the financial statements because no objective basis is available to measure the value of such services.

Contributions

All contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Amounts received that are designated for future periods or restricted by the donor for specific purposes are reported as temporarily restricted or permanently restricted support that increases those net asset classes. However, if a restriction is fulfilled in the same time period in which the contribution is received, the Organization reports the support as unrestricted.

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

Agency Allocations

Agency allocations are made and recorded in the year in which the related pledges for contributions are received and the grants approved.

Functional Expenses

The Organization allocates its expenses on a functional basis among its various programs and support services. Expenses that can be identified with a specific program and support service are allocated directly according to their natural expenditure classification. Other expenses that are common to several functions are allocated based on estimated direct labor hours.

Cash and Cash Equivalents

For purposes of the statement of cash flows, the Organization considers all short-term investments with an original maturity of three months or less to be cash equivalents.

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates. Significant estimates made by management include establishment of a reserve for doubtful contributions receivable, allocation of functional expenses and estimated useful lives of fixed assets.

Income Tax Status

The Organization is exempt from taxes on income under Internal Revenue Code section 501(c)(3) and California Revenue and Taxation Code Section 23701(d), therefore no amounts for income taxes are reflected in the accompanying financial statements.

In June 2006, the Financial Accounting Standards Board issued ASC 740-10 (formerly known as FASB Interpretation No. 48, Accounting for Uncertainty in Income Taxes), which prescribed a comprehensive model for how an organization should measure, recognize, present, and disclose in its financial statements uncertain tax positions that an organization has taken or expects to take on a tax return. The Organization has adopted ASC 740-10. There was no impact to the Organization's financial statements as a result of the implementation of ASC 740-10.

Split Interest Trusts

It is the Organization's policy not to record split interest trusts when the trusts are established, but rather when the funds are actually received. This is because of the unpredictable nature of when the gift will be received and the difficulty in valuing the gift. Split interest trusts include Charitable Remainder Annuity and Unitrusts as well as Pooled Income Funds.

(3) Future Interests

The Organization has entered into several deferred life income gift arrangements. The cash and securities received to fund these contracts are presented on the financial statements as future interests.

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

The offsetting liabilities are presented as deferred income. Generally, income is recognized when the funds are received.

(4) Property and Equipment

A summary of land, building and equipment is as follows:

Land	\$ 218,000
Building	1,327,249
Furniture and fixtures	487,152
Computer hardware and software	691,865
Automobile	<u>50,400</u>
	2,774,666
Less accumulated depreciation	<u>(2,316,721)</u>
Net property and equipment	<u>\$ 457,945</u>

(5) Pension Plan

The Organization has a qualified defined contribution pension plan (the "Plan") for its employees. Full-time employees are eligible to participate after one year of service. Contributions are made by the Organization to the Plan in an amount equal to 15% of the employee's salaries. Pension expense was \$89,471 for the year ended June 30, 2012. In addition, employees are permitted to make voluntary contributions up to 5% of their before tax gross income to a tax deferred annuity plan and the Organization will match ½ of the contribution. The matching contribution for 2012 is included in the above pension expense.

(6) Restrictions of Net Assets

Permanently restricted net assets consist of endowment fund assets to be held indefinitely based on donor restrictions. The income from the endowment fund assets can be used to support the Organization's general activities.

Temporarily restricted net assets consist exclusively of assets subject to donor restrictions for use in future periods. The assets become available at the discretion of the donor.

(7) Trust Funds

The Organization is the income beneficiary of certain trusts of which it is not the custodian of the funds. Since the Organization has only an income interest, the assets of these funds are not included in the accompanying financial statements.

(8) Summarized Financial Information for 2011

The financial statements include certain prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with generally accepted accounting principles. Accordingly, such information should be read in conjunction with the Organization's financial statements for the year ended June 30, 2011, from which the summarized information was derived. Certain comparative 2011 amounts have been reclassified to conform to 2012 presentation.

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

(9) Investments

The Organization's investments at June 30, 2012 are recorded at market value based upon quoted market prices. The Organization's alternative investments are stated at estimated market value based on the estimated fair market value of the underlying assets. The reported values for the investments are as follows:

Mutual funds	\$ 439,235
Corporate bonds	1,187,394
Government securities	154,956
Long-term Certificates of Deposits	100,000
Alternative investments	1,876,116
Common stock	2,877,783
Totals	<u>\$ 6,335,484</u>

Investment income consists of the following:

Interest income	\$ 123,789
Realized gains	23,421
Unrealized gains	<u>(443,531)</u>
Total investment income	<u>\$ (296,321)</u>

(10) Endowment

The Organization's endowment has been established for a variety of program purposes. Its endowment consists of board designated and donor-restricted endowment funds. As required by generally accepted accounting principles (GAAP), net assets associated with endowment funds, including funds designated by the Board of Directors to function as endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

Interpretation of Relevant Law

The Board of Directors of the Organization has interpreted the State Prudent Management of Institutional Funds Act (SPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, The Organization classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund. The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the organization in a manner consistent with the standard of prudence prescribed by SPMIFA. In accordance with SPMIFA, the organization

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

- (1) The duration and preservation of the fund
- (2) The purposes of the Organization and the donor-restricted endowment fund
- (3) General economic conditions
- (4) The possible effect of inflation and deflation
- (5) The expected total return from income and the appreciation of investments
- (6) Other resources of the organization
- (7) The investment policies of the organization.

Endowment net asset composition by type of fund as of June 30, 2012

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Board designated endowment funds	\$ 3,657,609	-	\$ -	\$ 3,657,609
Donor restricted endowment funds	-	-	2,179,548	2,179,548
Total	<u>\$ 3,657,609</u>	<u>\$ -</u>	<u>\$ 2,179,548</u>	<u>\$ 5,837,157</u>

Changes in Endowment Net Assets for the Fiscal Year Ended June 30, 2012 are as follows:

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
Endowment net assets, beginning of year	\$ 2,585,959	\$ -	\$ 2,157,711	\$ 4,743,670
Investment income	(263,944)	-	-	(263,944)
Contributions	1,583,949	-	21,837	1,605,786
Appropriation of endowment assets for expenditure	<u>(248,355)</u>	<u>-</u>	<u>-</u>	<u>(248,355)</u>
Endowment net assets, ending of year	<u>\$ 3,657,609</u>	<u>\$ -</u>	<u>\$ 2,179,548</u>	<u>\$ 5,837,157</u>

Funds with Deficiencies

From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donor or SPMIFA requires the Organization to retain as a fund of perpetual duration. At June 30, 2012 there were no funds with deficiencies.

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

Return Objectives and Risk Parameters

The Organization has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the organization must hold in perpetuity.

Strategies Employed for Achieving Objectives

To satisfy its long-term rate-of-return objectives, The Organization relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The Organization targets a diversified asset allocation that places a greater emphasis on equity mutual funds investments to achieve its long-term return objectives within prudent risk constraints.

Spending Policy and How the Investment Objectives Relate to Spending Policy

The Organization's investment committee will set spending rate equal to a target of up to 5% of the endowment's average three year portfolio value at the Organization's fiscal year end.

(11) Assets Valued at Fair Value

Fair Value Measurements at June 30, 2012 are summarized as follows:

	Quoted Prices In Active Markets For Identical Assets	Significant Other Observable Inputs	Significant Unobservable Inputs
Marketable securities Held For trading Purposes	\$ 4,459,368	\$ -	\$ -
Alternative investments	-	1,876,116	-
Totals	<u>\$ 4,459,368</u>	<u>\$ 1,876,116</u>	<u>\$ -</u>

Changes in fair value measurement using significant observable inputs are summarized as follows:

	Alternative Investments
Beginning balance	\$ 1,112,940
Purchases	800,000
Total gains included in changes in net assets	76,116
Ending balance, market value	<u>\$ 1,876,116</u>

United Way of Santa Barbara County, Inc.
Notes to Financial Statements
June 30, 2012

(12) Subsequent Events

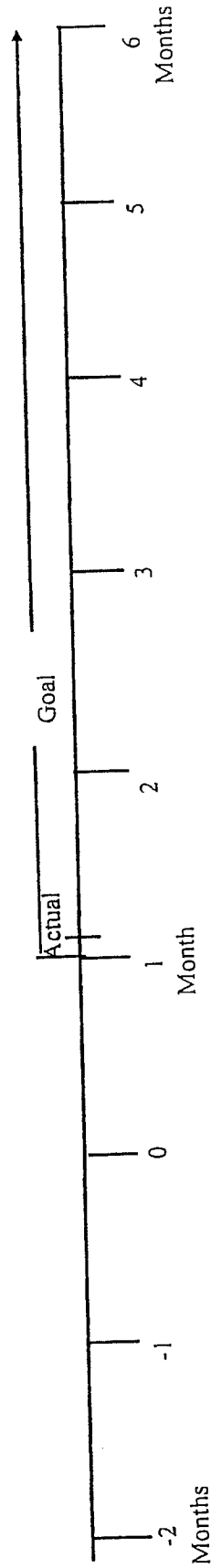
Management has evaluated subsequent events through _____, which is the date the financial statements were available to be issued. Management has determined that no subsequent event requiring disclosure or significantly impacting disclosure occurred.

DRAFT
12-1-12

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

UNCOMMITTED CASH BALANCE ANALYSIS
June 30, 2012

	Available Cash/Cash Equiv. As of 6/30/12	Contingency Reserve	Capital Sinking Fund	Community Disaster Fund	Current Uncommitted Cash Balance	1 & 6 Months Total Allocations & Expenses	\$ Difference	# Months Cash Balance	+/- Goal
One Month	\$1,283,282	\$60,074	\$51,600	\$834,949	\$336,659	\$299,645	\$37,014	1.1	0.1
Six Months	\$1,283,282	\$60,074	\$51,600	\$871,091	\$300,517	\$1,797,870	(\$1,497,353)	1.1	-4.9

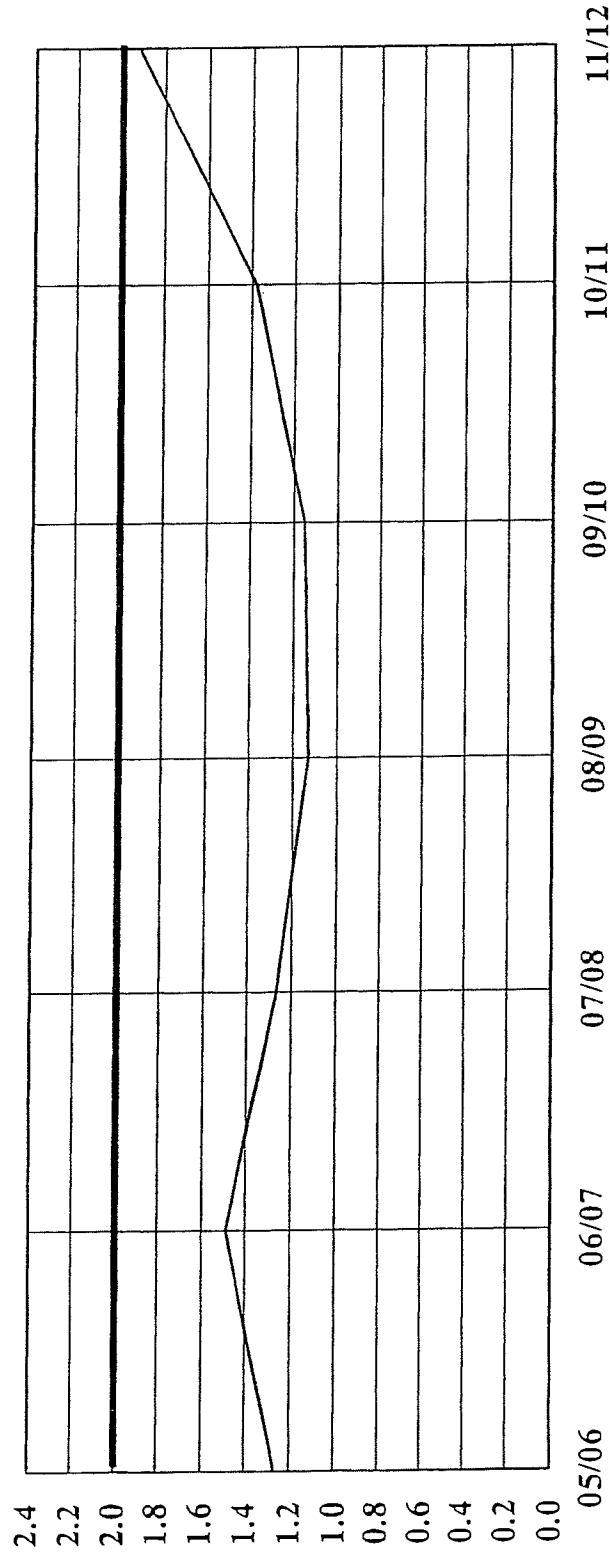


Board Policy States: Maintain an uncommitted cash balance equal to one to six months of total expenses (ie: 1.0-6.0).

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

CURRENT RATIO
(Current Assets/Current Liabilities)

June 30, 2012

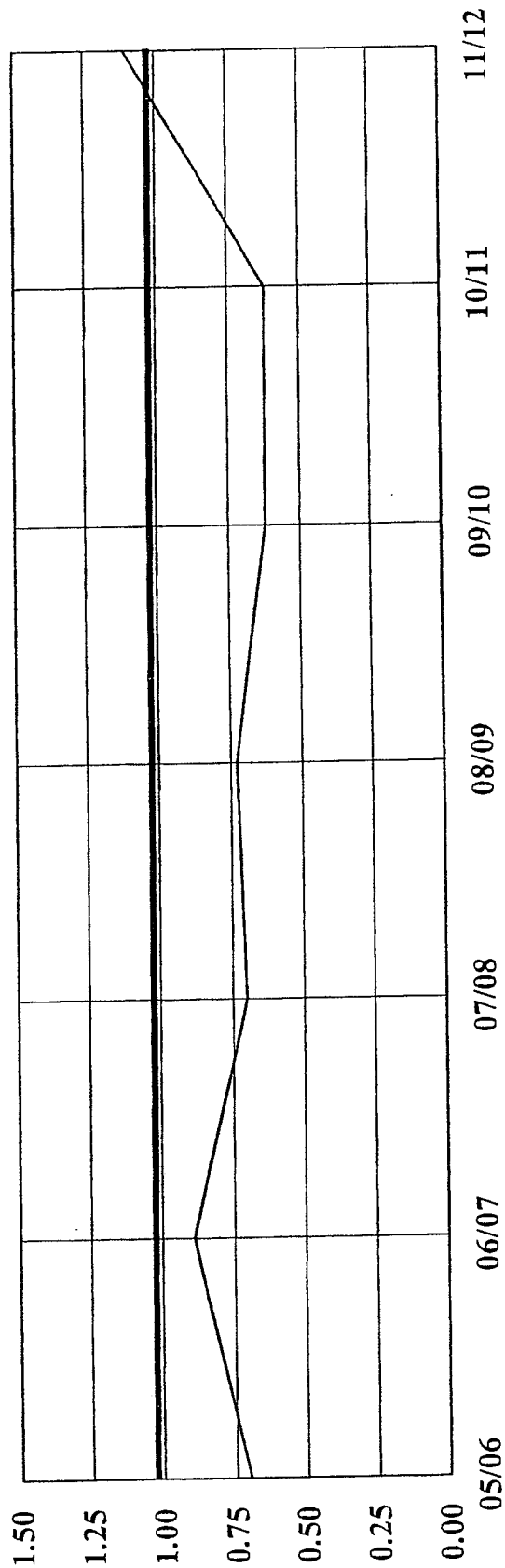


	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Current Assets	\$ 2,574,013	\$ 3,058,888	\$ 2,729,264	\$ 2,389,423	\$ 2,049,432	\$ 2,244,094	\$3,081,220
Current Liabilities	\$ 2,048,685	\$ 2,054,397	\$ 2,143,155	\$ 2,111,274	\$ 1,787,318	\$ 1,631,431	\$1,605,509

UNAUDITED-SEE NOTES TO SUPPLEMENTARY INFORMATION

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

QUICK RATIO
(Cash, Cash Equivalents & Pledge Receivables (Net)/Current Liabilities)
June 30, 2012



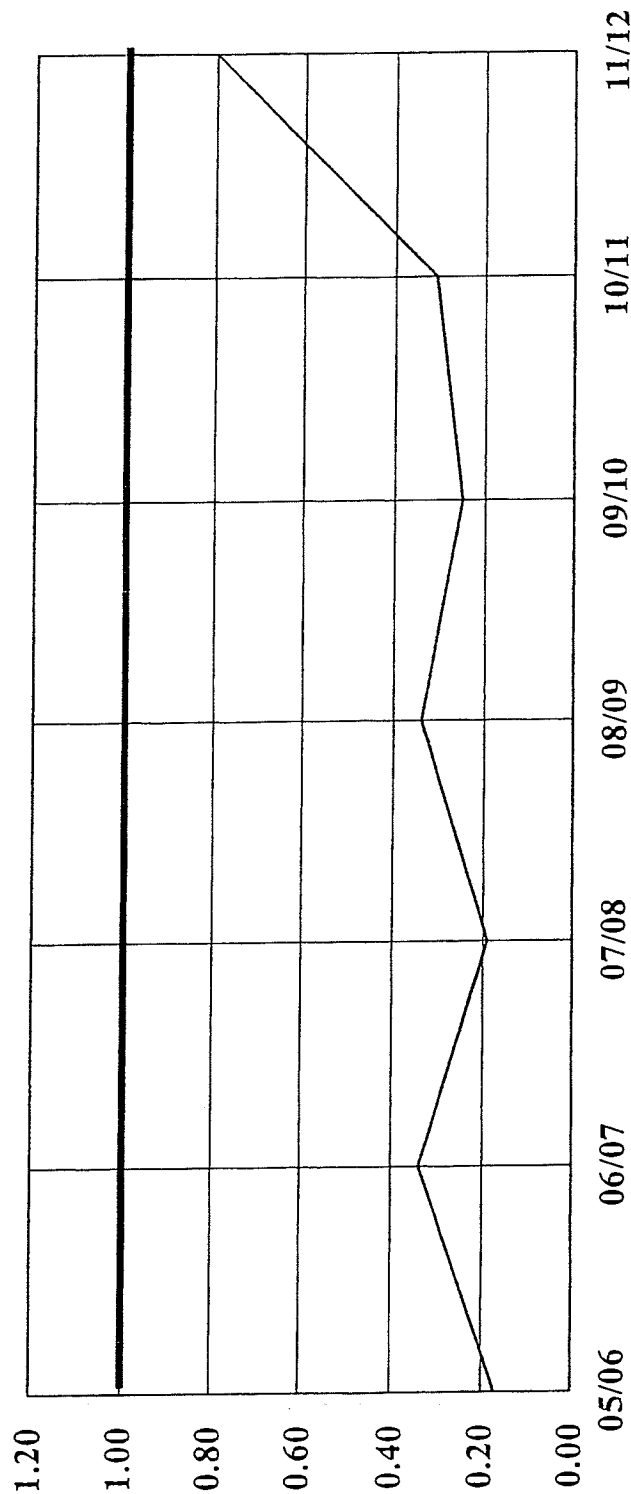
	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Cash & Equip. & Pledge Rec. (Net)	\$ 1,441,514	\$ 1,838,642	\$ 1,506,309	\$ 1,535,480	\$ 1,099,503	\$ 1,015,852	\$ 1,778,003
Current Liabilities	\$ 2,048,685	\$ 2,054,397	\$ 2,143,155	\$ 2,111,274	\$ 1,787,318	\$ 1,631,431	\$ 1,605,509

UNAUDITED-SEE NOTES TO SUPPLEMENTARY INFORMATION

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

ACID TEST RATIO
(Cash & Cash Equivalents/Current Liabilities)

June 30, 2012



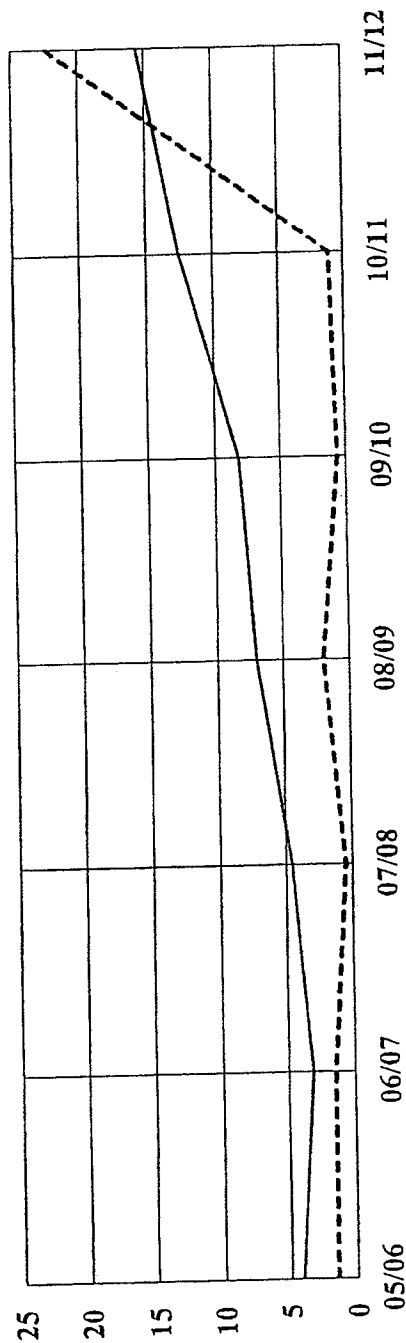
	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Cash & Equivalents	\$ 354,153	\$ 692,349	\$ 417,385	\$ 725,961	\$ 445,771	\$ 510,570	\$1,283,282
Current Liabilities	\$ 2,048,685	\$ 2,054,397	\$ 2,143,155	\$ 2,111,274	\$ 1,787,318	\$ 1,631,431	\$1,605,509

UNAUDITED-SEE NOTES TO SUPPLEMENTARY INFORMATION

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

DOLLAR RAISED PER DOLLAR SPENT RATIO
(Funds Raised/Fund Raising Expense)

June 30, 2012



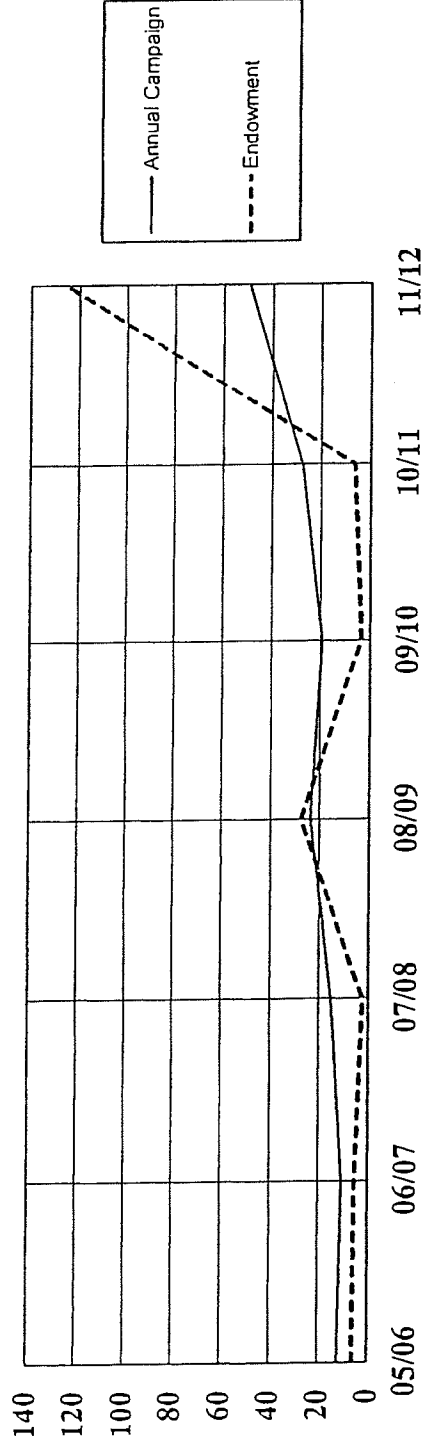
	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Annual Campaign Expense	\$ 678,518	\$ 796,129	\$ 539,860	\$ 342,981	\$ 256,958	\$ 159,392	\$ 129,367
Annual Campaign Pledges Reported (Unaudited)	\$ 2,750,057	\$ 2,478,977	\$ 2,445,954	\$ 2,401,084	\$ 2,107,494	\$ 2,001,427	\$ 2,016,555
Endowment Fund Raising Expense	\$ 156,490	\$ 146,113	\$ 126,636	\$ 83,481	\$ 85,676	\$ 77,659	\$ 71,593
Endowment Funds Raised	\$ 231,240	\$ 205,258	\$ 59,044	\$ 162,158	\$ 53,538	\$ 84,074	\$ 1,605,785

UNAUDITED-SEE NOTES TO SUPPLEMENTARY INFORMATION

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

DOLLAR RAISED PER SALARY DOLLAR SPENT RATIO
(Funds Raised/Fund Raising Salaries)

June 30, 2012



	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Annual Fund Campaign Salary	\$ 229,181	\$ 241,422	\$ 162,494	\$ 101,682	\$ 109,289	\$ 72,798	\$ 40,652
Annual Campaign Pledges Reported (Unaudited)	\$ 2,750,057	\$ 2,478,977	\$ 2,445,954	\$ 2,401,084	\$ 2,107,494	\$ 2,001,427	\$ 2,016,786
Endowment Salary	\$ 40,530	\$ 40,530	\$ 26,422	\$ 5,890	\$ 16,242	\$ 13,497	\$ 12,786
Endowment Funds Raised	\$ 231,240	\$ 205,258	\$ 59,044	\$ 162,158	\$ 53,538	\$ 84,074	\$ 1,605,785

UNAUDITED-SEE NOTES TO SUPPLEMENTARY INFORMATION

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)

REPAIRS/FIXED ASSETS RATIO
(Current Equipment Repairs/Total Fixed Assets)

June 30, 2012

	05/06	06/07	07/08	08/09	09/10	10/11	11/12
0.029							
0.025							
0.021							
0.017							
0.013							
0.009							
0.005							
0.001							

	05/06	06/07	07/08	08/09	09/10	10/11	11/12
Repairs	\$ 30,475	\$ 33,354	\$ 30,995	\$ 25,689	\$ 26,521	\$ 41,541	\$ 14,702
Fixed Assets	\$ 2,473,991	\$ 2,540,401	\$ 2,632,236	\$ 2,632,623	\$ 2,677,072	\$ 2,697,059	\$ 2,774,666

UNITED WAY OF SANTA BARBARA COUNTY, INC.
(A CALIFORNIA NON-PROFIT PUBLIC BENEFIT CORPORATION)
NOTES TO SUPPLEMENTARY INFORMATION
VARIOUS RATIOS AND TREND ANALYSIS REPORTS
June 30, 2012

1) **UNCOMMITTED CASH BALANCE COMPARISON:**

This report shows our long-term objective of maintaining a financial reserve (of uncommitted cash) in the unrestricted fund of an amount equal to 1-6 months operating expenses (including allocation payments).
GOAL: \$299,645-\$1,797,870.

2) **CURRENT RATIO:**

This ratio tells how many dollars should be available in the next 12 months to pay the liabilities that will mature in the next 12 months. Generally, the higher the ratio, the greater the "cushion" between our current obligations and our ability to pay them.
GOAL: Ratio greater than 2.0.

3) **QUICK RATIO:**

This ratio gives an indication of how quickly we can pay our current obligations without relying on future income.
GOAL: Ratio greater than 1.0.

4) **ACID TEST RATIO:**

Even more conservative than the Quick Ratio, since it deals with only cash and cash equivalents compared to current liabilities.
GOAL: "Ideal" ratio greater than 1.0.

5) **DOLLAR RAISED PER DOLLAR SPENT RATIO:**

This ratio shows the total costs of every dollar raised. The endowment funds raised include income not necessarily recorded due to future events.

6) **DOLLAR RAISED PER SALARY DOLLAR SPENT RATIO:**

This shows salary cost only for every dollar raised. This ratio corresponds to sales salaries to sales ratio in for-profit companies

7) **REPAIRS COMPARED TO TOTAL FIXED ASSETS RATIO**

A decrease or low number in this ratio could indicate an inadequate maintenance of fixed assets or recent acquisition of fixed assets.

**Report on Compliance and on Internal Control over
Financial Reporting Based on an Audit of
Financial Statements Performed in Accordance
with Government Auditing Standards**

To the Board of Directors
United Way of Santa Barbara County, Inc.

We have audited the financial statements of United Way of Santa Barbara County (a nonprofit organization) as of and for the year ended June 30, 2012, and have issued our report thereon dated _____, 2013. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management of United Way of Santa Barbara County is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered United Way of Santa Barbara County's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of United Way of Santa Barbara County's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Organization's internal control over financial reporting.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether United Way of Santa Barbara County's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

United Way of Santa Barbara County's response to the findings identified in our audit is described in the accompanying schedule of findings and questioned costs. We did not audit United Way of Santa Barbara County's response and, accordingly, we express no opinion on it.

This report is intended solely for the information and use of management, Audit Committee, others within the entity, the Board of Trustees, and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

Los Olivos, CA
_____, 2013

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12-1-12

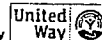
Fun in the Sun Enrollment Application

In order to be considered for the program, this form must be completed in its entirety. Completion of the application does not secure your position in the program. We thank you for your interest in Fun in the Sun!

Please Check One: ☐ New Participant ☐ Returning Participant
 FITS Location: ☐ Carpinteria ☐ Franklin ☐ Goleta ☐ La Cumbre ☐ Lompoc



United Way
of Santa Barbara County



Youth Information	1. Name (FIRST) (MIDDLE) (LAST)
	2. Mailing Address Unit
	City State Zip () Type: ☐ Home ☐ Cell ☐ Other
	3. Phone
	4. E-mail Address (if 13+ years old only) 5. Date of Birth (DD/MM/YYYY) 6. Gender
	7. Current School 8. Grade in Fall 2012 9. Cumulative GPA
	10. Previous School 11. Pant Size 12. Shirt Size 13. Shoe Size
	Fun in the Sun respects and welcomes people from all backgrounds and abilities. By completing the following optional question, you can help ensure community support and funding for FITS in your community. This information is used for statistical purposes only. Thank you for providing this requested information.
	14. Ethnicity (check all that apply): ☐ American Indian ☐ Asian ☐ African American ☐ Hawaiian/Pacific Islander ☐ Hispanic/Latino(a) ☐ Caucasian ☐ Other
	1. Name (FIRST) (MIDDLE) (LAST)
	2. Relationship to Youth: ☐ Mother ☐ Father ☐ Legal Guardian ☐ Other
	3. Mailing Address (if different from Youth Address) Unit
Parent/Guardian 1	City State Zip () Type: ☐ Home ☐ Cell ☐ Work ☐ Other
	4. Phone 1 Type: ☐ Home ☐ Cell ☐ Work ☐ Other
	5. Phone 2
	6. E-mail Address 7. Employer
Parent/Guardian 2	1. Name (FIRST) (MIDDLE) (LAST)
	2. Relationship to Youth: ☐ Mother ☐ Father ☐ Legal Guardian ☐ Other
	3. Mailing Address (if different from Youth Address) Unit
	City State Zip () Type: ☐ Home ☐ Cell ☐ Work ☐ Other
	4. Phone 1 Type: ☐ Home ☐ Cell ☐ Work ☐ Other
	5. Phone 2
	6. E-mail Address 7. Employer
	Donate
Signature	I hereby give my child permission to attend Fun in the Sun 2012. I and my child commit to participating in Fun in the Sun 2012 in its entirety (June 18-August 3, 2012). With my signature, I acknowledge that all information provided is complete and true. Parent/Guardian Signature Date

Fun in the Sun Mission
 It is our mission to provide a safe, supportive, and enriching summer environment for the children in the Santa Barbara community.

Family Demographics

1. Indicate range of your annual family income:
☐ <\$15,000 ☐ \$15-\$25,000 ☐ \$25-\$40,000
☐ \$40-60,000 ☐ \$60-\$75,000 ☐ >\$75,000

2. Describe your housing situation:
☐ Own ☐ Rent ☐ Subsidized, i.e. Sec 8
☐ Homeless ☐ 2+ families in 1 unit

3. Number of people in housing unit:
 _____ Adults
 _____ Children

4. How many summers has this child participated in FITS?
☐ 0 ☐ 1 ☐ 2 ☐ 3 ☐ 4+

5. a. Does your child have relatives also applying to participate in FITS?
☐ Yes ☐ No

b. Name of Relative(s) + Relationship:

6. What is the primary language spoken in your home?
☐ English ☐ Spanish ☐ French ☐ Japanese
☐ Cantonese ☐ Other

7. How would you rate this child's proficiency in English?
☐ Poor ☐ Moderate ☐ Good ☐ Excellent

8. Does your child receive Free/Reduced Lunch during school year? ☐ Yes ☐ No

9. a. Does your child have a learning disability? ☐ Yes ☐ No

b. Type and first year of identification:

10. In which other United Way services has your family participated?
☐ Volunteer Income Tax Assistance (VITA)
☐ Pre-K Institute
☐ Reading Plus
☐ Dolly Parton Imagination Library
☐ Other

Admin Use Only

Date Received _____
☐ Application 100% Complete
☐ Proof of Income Eligibility Provided
☐ Medical Form Complete

Admin Initial _____ Date _____

UWSBC Initial _____ Date _____

**PERSONNEL PRACTICES FOR
UNITED WAY OF SANTA BARBARA COUNTY, INC.**

UPDATED JULY, 2006

UPDATED JULY, 2011

TABLE OF CONTENTS

Letter From The Chief Executive Officer (CEO)	Page 3
GENERAL POLICIES	Page 4
Equal Employment Opportunity	Page 4
Conditions Of Employment	Page 5
At-Will Employment	Page 5
Types Of Employment	Page 6
Introductory Period	
EMPLOYEE BENEFITS	
<i>Legislated</i>	Page 6
Workers Comp	Page 6
Disability Benefits	Page 6
Unemployment Insurance	Page 6
Social Security	Page 6
California Paid Family Leave	
<i>Discretionary</i>	Page 7
Vacation	Page 8
Sick Leave	Page 9
Bereavement Leave	Page 9
Special Leaves of Absence	Page 11
Voting Time	Page 11
Holidays	Page 11
Health Plans	Page 11
United Way Pension Plan	Page 11
Life Insurance	Page 12
Mutual of America Disability	Page 12
Incentive Programs	
WORK SCHEDULES AND COMPENSATION	
Pay Days & Hours of Work	Page 12
Hours	Page 12
Time Cards/Time Sheets	Page 12
Breaks	Page 12
Overtime	Page 13
Exempt Employees	Page 13
Expense Reimbursements	Page 13
Travel	Page 13
Club Membership	Page 13
Company Vehicles	Page 13
Spanish Language Differential	Page 14
Compensation Administration	Page 14
Performance Appraisals	Page 15
Internet, E-Mail and Electronic Communications Policy	Page 16
Code of Conduct	Page 17
Teamwork	Page 17
Mission Statement	Page 17
Harassment	Page 18
Personal Business	Page 18
Conflicts of Interest	Page 19
Other Personal Items	Page 19
Termination and Discipline	

WELCOME

Welcome to United Way of Santa Barbara County!

Please read this booklet carefully. It is designed to provide you with a description of the organization of which you are now a part, as well as the elements of the personnel practices. As a staff member of this organization you are expected to know and abide by all practices described herein. This booklet will serve as an invaluable reference tool, so be sure to keep it within reach.

The contents of this handbook are presented as a matter of information only and are not to be construed as a contract between the employer and the employee. New situations develop constantly, and it is understood that the employer reserves the right, in its sole and absolute discretion, to change, supplement or rescind all or any part of the practices, procedures, or benefits described in this handbook as it deems that circumstances require.

The Principles of United Way of Santa Barbara County are as follows:

- ❖ The donor is the ultimate decision maker.
- ❖ Commitment to research, high quality and superior customer service.
- ❖ Respect and hope for the individual.
- ❖ Commitment to Leadership in those areas we serve.
- ❖ Pursue continuous improvement and excellence in every aspect and area of our organization.

YOU are the most important ingredient in our philosophy and our commitment to ongoing, never-ending, continual improvement in everything we say, think or do. We offer you the opportunity to be part of this exciting enterprise known as United Way of Santa Barbara County. We need and want you to have your individual goals because when this is tied together with the team's goals, then excellence and success follow. We want you to pursue our corporate goals in a way that helps you pursue your own goals. We hope to have a win-win relationship, regardless of the length of your stay here.

As an employer, we are "renting your behavior": More productive behavior receives more rent. We want to compensate you to THINK and provide RESULTS. Our principles and values are not directed at rewarding just your TIME with us. Use your best judgment in all situations. We value your hard work as an individual, as well as your creativity and innovation.

Make yourself valuable. Continuously ask and answer the question, "What have I done today and in the past month to add value to United Way of Santa Barbara County?" Pursue as much knowledge and as many skills as you possibly can while you are here and we will do our best to make learning resources available to you.

We hope that you will find your work both interesting and challenging and that you will look upon this position as not just another job, but as an opportunity to make a real contribution and to make a real difference in the lives of people in need in this community.

I personally wish you success during your employment with United Way. I hope that the excitement, enthusiasm and sense of expectancy of a new job with challenges never wears off. Make the most of the many opportunities and relationships you will experience in personal and professional growth for now and the future.

Sincerely,

G. Paul Didier, CFP
CEO

GENERAL

The following personnel practices apply to staff members employed by the United Way of Santa Barbara County (referred to hereafter as UWSBC or the "Agency"). It is the responsibility of the CEO to administer the personnel practices contained in this document. The CEO is responsible for the general administration of the organization as determined by the Board of Directors. His/her authority, with respect to administrative and/or personnel matters, is complete and final, so long as it is exercised within the procedural framework outlined below.

EQUAL EMPLOYMENT OPPORTUNITY POLICY

United Way of Santa Barbara County is an equal employment opportunity employer and complies with all applicable civil rights statutes. UWSBC recruits, hires, trains, promotes, discharges, provides benefits, and undertakes other personnel actions without regard to sex, race, color, national origin, ancestry, age, sexual orientation, gender identity, marital status, veteran status, medical condition, including genetic characteristics, religion, physical or mental disability, or any other characteristic protected by statute. The discrimination precluded by this policy includes any discrimination against an individual because that individual is perceived to have any of the foregoing characteristics or is associated with a person who has or is perceived to have any of the foregoing characteristics.

UWSBC will make reasonable accommodations for the known physical or mental disabilities of an otherwise qualified applicant or employee, unless the proposed accommodation would create an undue hardship for UWSBC. If you require an accommodation in order to perform the essential functions of your job, you should immediately notify the Director for Financial Services or the CEO of this need and describe the requested accommodation. UWSBC will consider any such request for accommodation, as well as other possible alternative accommodations that might allow you to perform your job. UWSBC reserves the right to determine what, if any, reasonable accommodation it will implement following a request for accommodation.

If you believe you have been the victim of any illegal discrimination, you should immediately report your concerns to the Director for Financial Services or the CEO. UWSBC takes all complaints of illegal discrimination seriously, and will investigate any such complaint. Should you so desire, you may report incidents of discrimination to the California Department of Fair Employment and Housing or the United States Equal Employment Opportunity Commission, contact information for which can be found in the telephone book. Please understand that UWSBC has a legal obligation to investigate all claims of illegal discrimination. UWSBC will not tolerate any retaliation against any person who registers a complaint of illegal discrimination or supports a co-worker's complaint of discrimination. Claims of retaliation against use of this policy may be reported, and will be investigated, in the same manner as claims of illegal discrimination.

Any violation of our antidiscrimination rules will result in disciplinary action, up to and possibly including termination of employment.

CONDITIONS OF EMPLOYMENT

As a condition of employment, an employee must, in accordance with the Immigration Reform and Control Act, provide documentation verifying identity and legal authority to work in the United States within the first three days of employment. Also, before commencing employment, an employee will be required to sign an Employee's Withholding Exemption Certification (W-4 Form). It is the employee's responsibility to complete a new W-4 form whenever there is a change of name, marital status, or number of withholding exemptions being claimed.

AT-WILL EMPLOYMENT

Employment with UWSBC is “at-will”. That means that employees of UWSBC are not hired for any specified period of time, and accordingly are free to resign from their positions at any time, with or without cause, just as UWSBC is free to end its relationship with any employee or to change an employee’s status (e.g., impose discipline, change a position, demote an employee, adjust compensation, etc.) at any time, with or without cause. Nothing in UWSBC’s personnel policies is intended to modify this aspect of UWSBC’s relationship with its employees. No one other than the CEO of UWSBC may modify this understanding and any such modification must be in writing and signed by the CEO.

TYPES OF EMPLOYMENT

As mentioned above, employees are hired for an unspecified duration; therefore, the classifications which follow do not guarantee employment for any specific length of time. Consistent with the at-will employment policy, employment is at the mutual consent of the employee and the Agency. Accordingly, either the employee or the Agency can terminate the employment relationship at will at any time, with or without cause or advance notice. The at-will nature of the employment relationship can be altered only by the CEO in writing.

Volunteers: A volunteer is an individual who has agreed to provide services to the Agency without pay. Volunteers are not deemed employees of United Way for purposes of Worker's Compensation Insurance coverage nor other benefits.

Non-exempt: Non-exempt employees include all regular employees who are covered by the overtime provisions of the Federal Fair Labor Standards Act or any applicable state laws. Employees in this category are entitled to overtime pay for work in excess of 40 hours in a work week or 8 hours in a work day. Such employees include, but are not limited to, clerical and secretarial workers.

Exempt: This category includes all regular employees who are classified by the UWSBC as exempt from the overtime provisions of the Federal Fair Labor Standards Act or any applicable state laws. Such employees include: qualifying executive, administrative or professional employees. Any employee who feels that he/she has been improperly classified as exempt should bring such concerns to the attention of the CEO.

Project: Certain activities carried on by United Way of Santa Barbara are funded from monies derived from grants or contracts, awarded specifically for support of such activities. New employees hired to work on supported projects are classified as project employees, and are hired for the duration of the grant or contract; such employees are subject to satisfactory completion of the 90 day introductory period and continued satisfactory performance. Regardless of the term for which they are hired, project employees remain at-will and either the Agency or the employee may terminate the employment relationship at any time either with or without cause. Benefits and responsibilities of these employees may vary from regular employees, depending on the circumstances.

Temporary: Temporary employees are those hired to meet specific short term needs. Such appointments shall generally be for a specific time period not to exceed eleven months and may be reviewed for one additional period not to exceed six months in duration. Sick leave, vacations, and insurance benefits are not available to temporary employees.

Regular Part-time: Regular part-time employees are those persons who work on a regular schedule of less than 40 hours per week. If such employees work a minimum annual average of 20 hours per week, they will begin to accrue sick leave on a prorated basis after twelve months of continuous employment.

INTRODUCTORY PERIOD

All new employees serve an introductory period up to 180 days, unless UWSBC determines that an extension of that period is warranted. The purpose of the introductory period is for the employee and UWSBC to get acquainted with one another and determine whether the continuation of the employment relationship is in the mutual interest of both parties.

It is important to remember that employment is at the mutual consent of the employee and UWSBC, and may be terminated at will, with or without cause, at any time during or after the introductory period. A new introductory period will apply when employees change jobs within UWSBC, or are promoted to a new position.

An employee will not change from introductory status to any other status merely because of the amount of time worked in an introductory status. An employee will change from an introductory status to a different status if specifically advised of such a change, in writing by their supervisor and the CEO.

EMPLOYEE BENEFITS

Legislated

Workers Compensation - All employees are covered by a policy of Workers Compensation Insurance through the State Compensation Insurance Fund. All work-related accidents must be reported immediately to the CEO or Finance Director.

Disability Benefits - Employees who suffer a non-work-related illness or injury may be entitled to State Disability Insurance (SDI) benefits. SDI benefits are paid by the State and are financed from mandatory payroll deductions from all employees' wages. A deduction for SDI will be noted on the employee's pay receipt.

Unemployment Insurance - UWSBC provides unemployment insurance coverage as required by law. Employees are covered under the California State Unemployment Insurance Program or an equivalent private program as determined by the CEO and Management Committee.

Social Security - All employees are provided coverage under the provisions of the Social Security Act.

California Paid Family Leave Benefits – Employees who are granted leaves of absences by UWSBC to care for seriously ill children, parents, spouses or registered domestic partners, or to bond with new children, may be eligible for state “paid family leave” benefits. Further information on these benefits can be obtained by contacting the California Employment Development Department (the “EDD”) or the Director for Financial Services at UWSBC. Information about paid family leave benefits can also be found at the EDD website (www.edd.ca.gov). Employees must qualify for this leave under the provisions and requirements set forth by the state of California and the EDD. Paid family leave benefits are available for up to 6 weeks and are paid for through employee payroll deductions, similar to SDI benefits.

Note: Paid family leave benefits are not available for leaves of absence due to an employees' own serious health condition or disabilities.

It is UWSBC's policy and practice that employees use their accrued vacation time (but not more than two weeks or paid vacation time) before receiving State paid family leave benefits.

Please understand that the California paid family leave program does not establish any leave of absence rights or job reinstatement guarantees; it only provides a potential state-administered benefit for employees who are granted Company-approved leaves under UWSBC's existing leave of absence policies and practices. If you have any questions regarding paid family leave, please contact the Director for Financial Services or the state EDD.

Discretionary Benefits

UWSBC is pleased to offer the following discretionary benefits to employees who meet applicable eligibility requirements. Please note that the benefits described below are discretionary and that UWSBC expressly reserves the right to modify or eliminate any or all of the benefits described below at any time and for any reason. Please also note that the following information is only a very brief summary of UWSBC's discretionary benefits, and that employees should consult the benefit plan documents or insurance policies, as

the case may be, for more detailed information. In the event of any conflicting information between the summaries provided below, and the official plan documents and insurance policies, the official plan documents and insurance policies shall always govern. Those documents and policies are available for inspection by contacting the Director for Financial Services at 805-965-8591 or (jnewton@unitedwaysb.org)

Vacation: Vacation will be earned by eligible employees on a calendar year basis and will be granted as follows:

- a) After one year of continuous employment with UWSBC qualified employees are eligible for ten working days with pay accrued at the rate of .833 working days per month.
- b) After five years of continuous employment with UWSBC qualified employees begin accruing vacation at the rate of 1.25 working days per month.
- c) After ten years of continuous employment with UWSBC qualified employees begin accruing vacation at the rate of 1.667 working days per month.
- d) UWSBC encourages employees to use vacation time during the year in which it is earned. To insure that employees take a necessary break from their work commitments at UWSBC, once an employee has accrued 20 vacation days, no further vacation time will be earned until at least some of those accrued days have been used.
- e) Vacation may not be taken in advance of accrual.
- f) Request for vacations must be submitted in writing to employee's supervisor for approval at least two weeks prior to requested vacation date and must be approved by the CEO of UWSBC. Supervisors shall review employee vacation requests and grant approval or denial after considering employee's needs and the UWSBC's operational requirements. If the dates that an employee originally requests for vacation time are denied, the supervisor shall explain the reasons for denial and work with the employee in scheduling an alternative period.
- g) Vacation earned must be taken in the form of time off. Cash will not be paid in lieu of vacation entitlement, except in the case of termination of employment.
- h) For purposes of determining vacation and sick leave benefit accrual periods, all employees' time shall be computed as of the first day of each calendar month. Employees working three-quarters of a month or more in any month shall be credited with a full month of employment. Employees shall receive no credit for less than three-quarters of a month of employment any month.
- i) Note: this vacation policy does not create or imply a guarantee of continued employment at UWSBC. Employment with UWSBC is at-will, such that either UWSBC or the employee can terminate the employment relationship at any time, without cause or advance notice.

SICK LEAVE

Sick leave benefits are for the mutual protection of employees.

- a. Employees are required to report to their supervisor or the Finance Director on a daily basis during absences and shall always notify one of these individuals no later than the first hour of the first day of absence. Your supervisor will need to know the cause and probable length of absence to make scheduling decisions. If an employee is eligible for State Disability Insurance ("SDI") due to an illness, the amount of sick pay will be reduced by the amount of insurance pay received by SDI. In these instances, the employee will receive full pay until all of the employee's accrued sick pay is exhausted in combination with SDI. Accrued sick leave benefits will be used to supplement SDI benefits only to the extent necessary to provide a combination of sick leave and SDI benefits equal to the employee's straight-time compensation immediately before the beginning of the illness. An employee will be required to submit a statement from a physician in order to substantiate the need for

an absence of three or more consecutive days. If an employee is absent without cause or if the employee's absenteeism become excessive, supervisors may proceed with disciplinary action, up to and including termination of employment.

- b. After having worked 12 continuous months of at least 20 hours a week, an employee is entitled to begin accumulating, on a proportionate basis, up to 4 hours (not to exceed 6 working days per year) of sick leave with pay per month of employment. The maximum amount of sick leave which may be accumulated is 45 working days (360 hours). If an employee's accumulated sick leave benefits reach 360 hours, the employee will cease accruing benefits. The employee will begin to accrue sick leave benefits again only after the employee uses the benefits and falls below the 360 hour limit. Sick leave must be taken in the form of time off due to an employee's own illness or injury, or that of a family member as defined below; salary will not be paid in lieu of sick leave and sick leave may not be used as vacation time. Accrued unused sick leave will not be paid upon termination.

Purposes for which sick leave benefits may be utilized:

- 1) Personal illness or injury which incapacitates an employee for duty.
- 2) Medical and Dental appointments - In non-emergency medical or dental situations, excusing an employee for an appointment during working hours is at the discretion of the CEO. For non-exempt employees, if two hours or less are required, there will be no charge to sick leave. If more than two hours is required, sick leave will be charged in half-day increments. Non-exempt employees who have not yet accrued sick leave, or who have exhausted accrued sick leave may use "make-up" time to attend such appointments as described in the section on overtime. Employees are encouraged to schedule appointments outside of UWSBC office hours if at all possible.
- 3) Absence by reason of critical illness or injury to a member of the employee's immediate family -- defined to include the employee's ill child, parent, spouse, or registered domestic partner -- (not more than 50% of accrued sick leave benefits may be used for each illness of this type in any 12 month period).
- 4) When employee is quarantined.

The Agency may request that employee present a doctor's note that he or she is able to return to work, when the absence has been longer than three days.

Beginning with the second year of employment, an employee is eligible to receive a \$250 award plus an additional vacation day for each consecutive 12 month employment period for which no sick leave was taken. One month prior to the anniversary date for this award, employee will contact Finance Director in writing requesting such award.

BEREAVEMENT LEAVE

UWSBC allows full-time employees to take up to three paid workdays off as bereavement leave in the event of the death of a parent, spouse, sibling, child, or registered domestic partner. Prior approval from the CEO is required. Additional unpaid leave may be granted with prior approval from the CEO.

SPECIAL LEAVES OF ABSENCE

All leaves of absence require advance approval from their supervisor and Director for Financial Services or the CEO; it is important to request such a leave as soon as the need becomes known. Special Leaves of Absence will be considered in cases of medical disability, maternity, military duty, personal emergency, jury or witness duty, or special education. Leaves of Absence are generally unpaid.

Vacation and sick leave benefits do not accrue during leaves which extend beyond one month.

To the extent that UWSBC continues pay during the following leaves of absence, this is at the discretion of United Way of Santa Barbara County. The Agency reserves the right to modify or terminate any pay continuation benefits as it deems necessary.

Military leave: Employees who enter the Armed Forces of the United States will be granted leaves of absence in accordance with federal and state laws governing such leaves, including the Uniformed Services Employment and Reemployment Rights Act (USERRA). For those purposes, "Armed Forces" includes the Army, the Navy, the Marine Corps, the Air Force, the Coast Guard, the Public Health Services commissioned corps, as well as the reserve components of each of those services, and any other category or persons designated by the President of the United States in time of war or emergency. Federal training or service in the National Guard or the Air National Guard also qualifies. At the state level, the term includes the California National Guard and Naval Militia.

Jury or witness duty: Employees who are selected for jury or witness duty are encouraged to serve their community in this manner and will receive their regular pay up to a maximum of 15 days less jury fees. If the employee is selected during the peak work period and jury duty would create a hardship on the UWSBC, it is expected that the employee and the CEO shall request a deferment of service.

Pregnancy Leave: If an employee is disabled by pregnancy, childbirth or related medical conditions, she is entitled to take an unpaid pregnancy disability leave of up to four (4) months depending on the period(s) of actual disability. An employee may utilize accrued sick and vacation leave during this time. UWSBC will continue to pay its share of the premium cost of health care benefits during the duration of the unpaid portion of the leave. The employee will continue to be responsible for her portion of the premium. Except when business circumstances require (and the law authorizes) a different result, employee who take pregnancy leaves and comply with the provisions of this policy will be guaranteed reemployment upon expiration of their approved leave, provided that their total leave does not exceed the amounts specified above. Employees returning from pregnancy disability leaves will be reinstated to their original position or to a position which is comparable in terms of pay, benefits, working conditions and perquisites, and involves substantially similar duties and responsibilities requiring substantially equivalent skill, effort and authority, which can be performed at the same or a geographically proximate location. Employees will retain their employment status during pregnancy disability leave, and such an absence will not be considered a break in service for purposes of determining seniority, or under an employee benefit plan. Upon returning from leave, an employee will be credited with all seniority and service accrued before her leave commenced.

In lieu of leave of absence, an employee disabled due to pregnancy, childbirth or related medical conditions may, when medically necessary, request a transfer to a less strenuous or hazardous position if any such position exists. If such a transfer can be reasonably accommodated, the employee disabled due to pregnancy, childbirth or related medical condition will be transferred for the duration of her pregnancy, or for such period of time as her healthcare provider recommends, provided that she submits a written request for such transfer and, in addition, furnishes a doctor's written certification attesting that the transfer request is upon the doctor's advice. UWSBC will not, however, undertake to create additional employment/positions it would not otherwise have created to meet its own business needs, nor will UWSBC be required to discharge any employee, transfer any employee with more seniority than the disabled employee, or promote any employee who is not qualified to perform a job. Upon such a transfer, the disabled employee will receive the salary and benefits that are regularly provided to employees in the position to which the employee has been transferred. Due to the relatively small size of UWSBC, transfer accommodations will not be possible in all cases.

UWSBC will also consider requests for reasonable accommodations other than leaves or transfers for conditions related to pregnancy, childbirth, related medical conditions or other disabilities. Such requests for other reasonable accommodations should be accompanied by a certificate from a healthcare provider verifying that the request for accommodation is being made with the advice of such healthcare provider.

If possible, the employee must provide at least 30 days advance notice of the need for leave. If the need is foreseeable, UWSBC requires notification, at least verbally, as soon as the employee learns of the need for

leave. Failure to comply with these notice rules is grounds for, and may result in, deferral of the requested leave until the employee complies with this notice policy.

UWSBC may require certification from the employee's health care provider before allowing a leave for pregnancy disability.

If you want more information regarding your eligibility for a pregnancy leave and/or the impact of the leave on your status and benefits, please contact the Director for Financial Services.

Medical leave of absence: Regular full-time and part-time employees who have successfully completed the introductory period, and who are temporarily disabled and unable to perform the essential functions of their position due to a non-work injury or medical condition other than pregnancy, may, upon written notice, take up to four (4) weeks off on an **unpaid** basis in any rolling 12-month period (measured backward from the day their leave is to commence). Any employee who is actually disabled due to pregnancy, childbirth or related medical conditions will be granted an unpaid medical leave of absence without pay for a period of up to three (3) months, as set forth in the Agency's Pregnancy Disability Leave Policy above. UWSBC will also consider requests for leave by employees who have physical or mental disabilities covered by the California Fair Employment and Housing Act and whose disabilities require a temporary leave as a reasonable accommodation.

If you require a medical leave of absence, you should notify your supervisor and the Director for Financial Services in writing of the need for such leave as soon as you learn that you are, or will become, temporarily disabled and unable to work due to a medical condition. If you are disabled and unable to personally notify your supervisor or the Director for Financial Services, your spouse or other representative should notify the CEO on your behalf. Your notice should specify the reason for the leave, the date such leave will begin, and the expected duration of your disability. If you request such a leave, you will be required initially, and may be required from time to time thereafter, to provide a physician's statement verifying the existence of your disability. When you return from a medical leave of absence, you must submit a physician's statement indicating that you are able to return to work. Failure to provide the medical certification requested by this policy may result in a delay in the commencement of your leave or your return to work, or in termination of your employment due to unexcused absence.

Although UWSBC is unable to guarantee reinstatement of employees on temporary disability leaves of absence (which by definition exclude absences due to pregnancy), upon return to work at the end of your leave of absence you will generally be returned to your former position, if available, or you will be offered the first available opening in a comparable position for which you are qualified. If you are granted a medical leave of absence, you may utilize any accrued sick leave and/or vested vacation benefits during the period of your disability. Employees out on unpaid temporary medical leaves of absence will not accrue vacation pay, holiday pay, or sick pay benefits.

VOTING TIME

Employees should have sufficient time outside working hours to vote at a statewide election. If this is not possible, employees may take up to two hours off (without pay), either at the beginning or end of the working day.

CRIME VICTIMS' LEAVE

If you or a member of your immediate family is a victim of a violent crime, serious felony or felony theft/embezzlement, you may take paid or unpaid vacation time off to attend judicial proceedings related to that crime. Immediate family members include spouse, registered domestic partner, child or step child, brother or stepbrother, sister or stepsister, mother or stepmother, father or stepfather. Please contact the Director of Financial Services who will provide further details.

ORGAN AND BONE MARROW DONORS' LEAVE

You may be eligible for leave if you donate an organ or bone marrow. Please contact the Director of Financial Services who will provide further details.

VOLUNTEER EMERGENCY SERVICE LEAVE

If you are a volunteer firefighter or have other volunteer emergency duties, you may take paid or unpaid vacation time off to perform these services. Please contact the Chief Operations Officer who will provide further details.

HOLIDAYS

The following days shall be designated as holidays without reduction in pay:

New Year's Day	Labor Day
Washington's Birthday	Thanksgiving Day and following day
Memorial Day	Day before Christmas
Independence Day	Christmas Day

- a) In the event that one of the holidays enumerated occurs during the period of an employee's vacation, the day will not be charged against accrued vacation.
- b) Whenever such a holiday falls on a Sunday, it shall be observed on the following Monday. Whenever such a holiday falls on a Saturday, it shall be observed on the previous Friday or on the following Monday, at the discretion of the CEO.
- c) Holiday pay is available for regular full-time (40 hour/week) employees and regular part-time employees on a pro-rata basis of a 40 hour week.
- d) To qualify for holiday pay, an employee must work the day before and the day after the holiday or be absent from work on an approved basis.

HEALTH PLANS

The following benefits are at the discretion of United Way of Santa Barbara County. UWSBC reserves the right to modify or terminate any of the benefit plans as it deems necessary.

After the first three (3) months of employment, regular, full-time employees who meet the plan's eligibility requirements, may enroll in UWSBC's group medical and hospital plan, to be paid by the Agency. (individual coverage only; coverage of dependents is at the employee's sole expense). After the first three (3) months of employment, all regular part-time employees who work 30 hours or more per week will be provided with the same coverage, with the cost of the premiums to be paid by the Agency on a prorated basis. Eligible employees may elect to cover eligible dependents under the group plan by authorizing a personal payroll deduction by the Agency.

When employees become eligible for Medicare, they will no longer be eligible for UWSBC group insurance. Instead, once they have signed up for Medicare, the agency will pay the same percentage of the costs for employee only as it does for UWSBC group health insurance. This will be processed as a quarterly reimbursement.

UNITED WAY PENSION PLAN

All regular full-time employees 21 years of age or older can become members of the United Way's pension plan which is available after one (1) year full-time continuous employment through Mutual of America. Please see official plan documents for more detail.

LIFE INSURANCE

The Mutual of America pension plan includes a life insurance program where, in the event of death of an employee, the program beneficiaries will be paid an amount equal to a percent of the employee's annual salary plus any benefits accrued in the retirement plan in excess of the life insurance amount based on length of service as determined by the CEO and Management Committee. Please see official plan documents for more detail.

MUTUAL OF AMERICA DISABILITY

The Mutual of America pension plan includes a disability benefits program wherein a permanently and totally disabled employee may receive an amount equal to a percent of the employee's monthly salary for a length of time specified in the M.O.A. disability plan. Please see official plan documents for more detail.

INCENTIVE PROGRAMS

UWSBC may possibly offer to eligible employees a variety of incentive programs. Each year these programs and proposals are reviewed and revised periodically. Please refer to Employee Incentive Awards Proposal booklet for the current year's incentive programs. These programs are discretionary and may be revised or eliminated at any time by the Board, Management Committee, Finance Committee or CEO.

WORK SCHEDULES AND COMPENSATION

Pay Days: Pay days will be semi-monthly; on the 15th and on the last day of the month or on the preceding working day in the event that the 15th or last day falls on a non-working day. An employee's pay check reflects: hours worked during the preceding pay period, including overtime; deductions for any leaves without pay; California Disability Insurance (SDI); Social Security (FICA); federal and state withholding taxes; as well as personal deductions (e.g., payments on an employees' United Way pledge, health insurance for dependents).

Hours: UWSBC employees are expected to be at their assigned work place for each scheduled day of work. Compensation and benefit accrual is based on a normal work schedule of forty (40) hours in a work week. Part time employees will accrue benefits on a pro-rata basis dependent upon hours worked, subject to the eligibility requirements of the benefit plan in question. The workday commences at 12:01 am and ends at midnight and the work week commences at 12:01 am on Monday and ends at midnight the following Sunday. Normal office hours are 8:30 am to 5:30 pm. On occasion, such as during campaign time, an employee may perform work at times other than and in addition to, that normally worked. This is a normal part of UWSBC activities.

Time Card: All non-exempt (i.e., hourly) employees must complete a Time Card each day. On this card, employees will note the time of your arrival, departures, beginning and ending times of all lunches, doctor visits, personal errands, etc. Employees who require sick leave, vacation, or the use of any of the forms attached to these policies must use the forms as required or appropriate pay or time cannot be granted. Time Cards must be maintained daily and should accurately reflect all hours worked, meal periods, overtime, absences and vacations.

Unpaid Lunch Breaks: UWSBC non-exempt employees who work more than 5 hours per day must take unpaid lunch breaks of not less than 30 minutes and not more than 1 hour.

Rest Breaks: UWSBC non-exempt employees are required to take a paid rest break of 10 minutes for every 4 hours of work. These breaks may not be combined or added to an employee's lunch period. UWSBC will comply with California law regarding adequate unpaid break time and provide facilities for lactating employees.

Break and meal periods are intended to provide employees an opportunity for rest and relaxation. Accordingly, they should be enjoyed away from employee work areas and employees are not permitted to perform any duties during such periods. Lounge areas and cafeteria are available for these purposes. Employees are entirely relieved of responsibilities and restrictions during their meal periods, unless they have agreed with the employer in writing to work as on-duty meal period that will be paid for by the employer.

Overtime: UWSBC's policy is to limit the use of overtime whenever possible. However, non-exempt employees may be required to work overtime from time to time. UWSBC will attempt to distribute overtime evenly and to accommodate individual schedules, subject to UWSBC's business needs. *All overtime work must be authorized in advance and in writing by the Director for Financial Services or CEO.* Failure to work scheduled overtime, or working overtime without proper prior authorization, may result in disciplinary action, up to and possibly including termination.

For purposes of tracking hours worked and overtime hours, UWSBC uses a seven-day workweek that begins on Monday at 12:01 a.m., and ends the following Sunday night at midnight, and a 24-hour workday that begins at 12:01 a.m. and ends the following midnight. When calculating hours worked for overtime purposes generally only those hours actually worked will be counted; time paid but not worked (for example vacation time, sick time, etc.) will not count towards hours worked.

In accordance with California and federal overtime rules, non-exempt employees will receive overtime compensation hours for hours worked in excess of 40 in a week, eight in a day, or on a seventh consecutive day in a workweek, or in excess of eight and up to and including 12 hours in a single workday, will be compensated at one and one-half an employee's regular rate. Hours in excess of 12 on a single workday or in excess of eight on a seventh consecutive day of work in a single workweek will be paid for at double the employee's regular rate.

Nonexempt employees may work make-up time that is or would be lost as a result of a personal obligation if the make-up time is worked in the same workweek as the lost time. Nonexempt employees will only be allowed to work make-up time if they submit a signed written request to make up the lost time and the request is approved in writing by the CEO or Director for Financial Services. Approval or disapproval of such requests is entirely at UWSBC's discretion. Any nonexempt employee who works make-up time will not be paid overtime for the workday that the make-up time is performed unless the employee works more than 11 hours on that workday or more than 40 hours in the workweek.

Exempt Executive, Administrative and Professional Employees: Persons maintaining positions with exempt designation have responsibilities and individual work performance requirements which require longer hours as part of the job and will not be compensated for overtime.

Expense Reimbursements: Authorized expenses incurred for UWSBC business shall be reimbursed as noted below. Claims for expenses must be submitted on the appropriate vouchers provided by the UWSBC and should be submitted monthly. All staff expenses must be approved in writing by the CEO. Receipts are required for all business related expenditures for which reimbursement is sought. For Internal Revenue Service purposes, records should be retained for a minimum of three years from due date of the organization's tax return (Form 990).

Travel: It is the policy of UWSBC, in connection with official travel, to pay actual transportation costs and additional items such as hotel, meals, taxis, and telephone/telegraph charges, tips, and on prolonged trips, laundry. Employees will also receive reimbursement for authorized expenses including luncheons and dinner meetings necessitated by official agency business and for conferences and institutes which are being attended officially, subject to approval of the CEO. When staff members use their own car for official travel, they will be reimbursed for parking tolls and for mileage at a rate determined by the Management and Finance Committee annually. Use of personal vehicles is at the employee's risk and employees who use their vehicles in connection with UWSBC activities are expected to maintain customary levels of automobile liability insurance (e.g., \$100,000 per person, \$300,000 per accident and \$100,000 for property damage.) A Mileage Reimbursement Request form must be filled out in detail by a staff member and must be approved in advance by supervisor and the CEO. Staff members are expected to keep travel expenditures within reasonable limits. Hotel expense reimbursement will be in the \$50-\$200 per night range. Rental car at compact or intermediate

size expense range only. Meals reimbursed at up to \$65 per day maximum. Reimbursement for expenses at luxury hotels or restaurants will not be considered except in the most unusual case. Reimbursement of travel expenses for a spouse or dependent will be paid only if the travel expense qualifies as nontaxable working condition fringe benefits under IRS Regulations:

- The travel of the spouse or dependent is for a bona fide business purpose.
- The employee substantiates the time, place, amount, and business purpose of the travel under an accountable expense reimbursement plan.
- The following criteria will be evaluated to determine whether a bona fide business purpose exists:
 - (i) The companion's function must be necessary; *i.e.* result in desired business benefits to the Corporation
 - (ii) The companion's contributions to the Corporation must be those which cannot efficiently be performed (or performed at all) by the employee alone.
 - (iii) The companion's services must segment the employee's purpose for the trip.
 - (iv) The benefit to the Corporation's business must be substantial.
- Reimbursements of companion expenses are generally considered taxable income unless the business purpose of the companion's travel has been established.

Issues during trip: If a staff member has a problem during their business trip, he or she may use his or her own discretion to resolve the issue, within the guidelines established above and should notify their supervisor of any changes as soon as possible. Examples include:

- Change of hotel due to unacceptable or safety conditions
- Air travel problems
- Rental car issues

Advances for Travel: Staff members authorized to travel on UWSBC business may receive an advance to cover the estimated expenses. Application should be made to the CEO on the form provided for this purpose. We encourage the use of buses and motel or hotel shuttles. Taxis should be used only when less expensive means of transportation are not available. If car rental is required, we recommend the use of a compact model and the individual must be able to demonstrate the need and purpose for the car rental. (See notes above re: recommended expenditure limits.)

Club Memberships: Membership(s) in country, athletic and luncheon clubs which are used on the conduct of United Way business must be authorized by the CEO. Whenever possible, other senior staff should be authorized to use the memberships for the conduct of the United Way business.

Company Vehicles: The cost of operating these vehicles for business purposes is an authorized company expense. The use of vehicles for personal purposes is a personal expense. The cost assignable to the personal use of the vehicle should be reimbursed to the organization, added to employee's annual income or treated in a manner consistent with current IRS regulations.

Spanish Language Differential: Employees are eligible to receive an additional \$0.50/hr provided they can verify through a verbal testing procedure that they are fluent in Spanish and are required to use their Spanish skills on the equivalent of a bi-weekly basis, *i.e.*, the equivalent of 24+ interaction events with customers or prospects (e.g. presentations to audiences, discussions with accounts payable, designations, etc.) Contact your supervisor if you believe you are eligible to receive the Spanish Language differential. UWSBC management reserves the right to determine frequency requirements or satisfaction of those requirements.

COMPENSATION ADMINISTRATION

The objectives of Compensation Administration are summarized as follows:

- a. To establish and maintain a competitive compensation structure as a basis for attracting conscientious and qualified people; one that rewards greater individual effort and accomplishment.
- b. To reward individuals based on their relative qualifications, experience and contribution to the effectiveness of operations.

- c. To furnish United Way with consistent and effective means of recognizing and rewarding performance improvement and superior performance.

Continued employment and/or compensation adjustment is based upon merit and other criteria such as satisfactory work performance in compliance with United Way's policies and profitability.

The CEO shall review the work and accomplishments of each full time member of the staff and make salary recommendations to the President of the Board. The Board Chair shall make recommendations pertaining to the CEO and shall submit all compensation recommendations to the Management Committee and Finance Committee.

Employees should direct any questions about compensation to the CEO. Employees should not contact Board members regarding compensation or personnel matters unless directed to do so by the CEO.

PERFORMANCE APPRAISALS

The performance of each new employee shall be evaluated at the end of the introductory period, and at least annually thereafter. A satisfactory performance evaluation does not guarantee a compensation increase nor does it alter, modify, or amend the at-will employment relationship of the Agency and the employee.

The conduct of each employee on the job has a direct effect on other employees, and indeed on the organization itself. It is in UWSBC's interest to provide a safe and pleasant work environment. Because of this, policies governing the safety of personnel, security of offices and property, and conduct on the job have been developed. All employees are required to observe these policies. Failure to do so may result in disciplinary action, including dismissal.

INTERNET, E-MAIL AND ELECTRONIC COMMUNICATIONS POLICY

UWSBC has established this Internet, e-mail, and electronic communications policy in an effort to make certain that employees utilize electronic communications devices in a legal, ethical, and appropriate manner. We have devised this policy in a manner that addresses UWSBC's legal responsibilities and concerns regarding the fair and proper use of all electronic communications devices within the organization.

1) Scope of Policy

This policy extends, by way of example only, to all features of UWSBC's electronic communications systems, including computers, e-mails, connections to the Internet, and other internal or external networks, voicemail, video conferencing, facsimiles, cell phones (with or without digital camera features), wireless email or Internet connections (including certain cell phones and Blackberry devices) and telephones. Any other form of electronic communication used by employees currently or in the future is also intended to be encompassed under this policy. Every employee of UWSBC is subject to this policy and is expected to read, understand, and comply fully with its provisions.

2) Rules

It may not be possible to identify every standard and rule applicable to the use of electronic communications devices. Employees are therefore encouraged to utilize sound judgment whenever using any feature of the communications system. In order to offer employees some guidance, the following principles and standards should be clearly understood and followed:

- a) UWSBC's policy against unlawful harassment, including sexual harassment, extends to the use of voicemail, computers, the Internet, wireless Internet connections, any component of the communications systems. In keeping with that policy, employees should not use any

electronic communications device in a manner that would violate that policy. For example, employees may not communicate messages via email or the Internet that would constitute sexual harassment, may not use sexually suggestive screen savers, or wallpaper, and may not receive or transmit pornographic, obscene, or sexually offensive material or information.

- b) UWSBC's anti-discrimination policies extend to the use of the communications system. Any employee who uses any electronic communications device will therefore be subject to disciplinary action, including the possibility of immediate termination, for use of such a device in any manner that violates UWSBC's anti-discrimination policies or commitment to equal employment opportunity.
- c) Employees may not use any electronic communications device for a purpose that is found to constitute, in UWSBC's sole and absolute discretion, a commercial use that is not for the direct and immediate benefit of UWSBC.
- d) Employees may not use any electronic communications device in a manner that violates the trademark, copyright, or license rights of any other person, entity or organization.
- e) Employees may not use any electronic communications device in a manner that infringes upon the rights of other persons, entities or organizations in proprietary, confidential or trade secret information. Use of cell-phone cameras in the workplace in a way that infringes upon privacy rights or rights to trade secret or confidential information is strictly prohibited.
- f) Employees may not use any electronic communications device for any purpose that is competitive, either directly or indirectly, to the interests of UWSBC or for any purpose that creates an actual, potential or apparent conflict of interest with UWSBC.
- g) UWSBC's policies against improper solicitations and distribution extend to the communications systems. Employees may not use any electronic communications device in a manner that violates UWSBC's non-solicitation rule.
- h) Employees should identify all communications as "privileged and confidential" or "attorney/client" privilege when it is accurate and appropriate to do so. In this manner, UWSBC can assert any protections, privileges, and rights relating to communications if it becomes necessary to do so.

3) Access

UWSBC must retain the right and ability to enforce this policy and to monitor compliance with its terms. While computers and other electronic devices are made accessible to employees to assist them to perform their jobs and to promote UWSBC's interests, all such computers and electronic devices, whether used entirely or partially on UWSBC's premises or with the aid of Company equipment or resources, must remain fully accessible to UWSBC and, to the maximum extent permitted by law, will remain the sole and exclusive property of UWSBC.

Employees should not maintain any expectation of privacy with respect to information transmitted over, received by, or stored in any electronic communications device owned, leased or operated in whole or in part by or behalf of UWSBC. UWSBC retains the right to gain access to any information received by, transmitted by, or stored in any such electronic communications device, by and through its agents, employees, or representatives, at any time, either with or without an employee's or third party's knowledge, consent or approval. Employees who are provided access to computers must advise the Database Coordinator and Director for Financial Services in writing of any password they use to gain access to computers or the Internet as well as any changes to such password. Such notices must be made immediately.

4) Compliance is Essential

Employees who violate any aspect of this policy or who demonstrate poor judgment in the manner in which they use any electronic communications device will be subject to disciplinary action, up to and including the possibility of immediate termination. Employees who have any questions regarding this policy should bring them to the immediate attention of the Director for Financial Services.

CODE OF CONDUCT

Common courtesy and decency toward one another is expected in the work place. The following actions are considered as examples contrary to the interests and welfare of the organization and its employees and are therefore subject to disciplinary action, including dismissal: It is important for you to recognize that it is impossible to present a complete list of all types of impermissible conduct and performance. UWSBC reserves the right to add to and modify the following list of examples at any time.

- ❖ Absence during regular work hours without the approval of the CEO or Director for Financial Services or repeated tardiness.
- ❖ Falsification of personnel or payroll records.
- ❖ Failure to observe safety or security regulations; willful or negligent destruction or misuse of UWSBC property.
- ❖ Insubordination, including refusal to perform assigned work, improper conduct toward your supervisor, or refusal to comply with instructions given by your supervisor or any other superior.
- ❖ Gossip regarding donors, prospects, volunteers, agencies and other UWSBC staff and relatives.
- ❖ Use of alcoholic beverages or possession or use of illegal substances or drugs on company property or appearing for duty under the influence of alcohol or drugs is impermissible and will lead to disciplinary action, possibly including immediate discharge. Falsification or material omission on your employment application, or making an intentionally erroneous entry or material omission on any records or reports, including, but not limited to, time-keeping records.
- ❖ Fighting with fellow employees.
- ❖ Failure or refusal to work cooperatively with others.
- ❖ Unsatisfactory performance.
- ❖ Violation of any of UWSBC's policies and procedures, including but not limited to ethical standards.
- ❖ Harassing, threatening, intimidating or coercing other employees or UWSBC's clients or business visitors.
- ❖ Release of trade secrets or other confidential information about UWSBC or its operations, or donors, prospects, volunteers, agencies or UWSBC staff or relatives.

The disciplinary action used to maintain expected standards of conduct will be determined in light of the facts and circumstances of each individual case. UWSBC reserves the right to impose whatever discipline it determines to be appropriate in any particular circumstance, up to and including discharge.

Please remember that employment with UWSBC is at the mutual consent of you and UWSBC. Accordingly, you are free to resign and leave your employment at any time upon notifying UWSBC, and similarly, UWSBC may end its employment relationship with you, with or without cause or advance notice.

TEAMWORK

In accordance with the 'team' philosophy of this nonprofit, the person filling any position may occasionally be required to carry out or assist with other tasks in addition to the duties listed on their job description.

MISSION STATEMENT

As a duty, all staff must believe in and act in accordance with the current UWSBC vision and values statement.

HARASSMENT

UWSBC is committed to providing a work environment that is free of unlawful harassment. In keeping with this commitment, UWSBC strictly prohibits harassment of any type against an individual on the basis of pregnancy, childbirth or related medical condition, race, religious creed, color, national origin or ancestry, physical or mental disability, medical condition, marital status, age, sexual orientation, gender identity, or any other basis protected by Federal, state or local law, ordinance or regulation. It also prohibits unlawful harassment based on the perception that anyone has any of those protected characteristics, or is associated with a person who has or is perceived as having any of those protected characteristics. UWSBC will not tolerate any illegal harassment of employees by managers, supervisors, or co-workers. UWSBC also will not tolerate any harassment of, or by, independent contractors or other non-employees with whom UWSBC has a business relationship (such as vendors or customers). All such harassment is unlawful, and those found to have violated this policy may be held individually liable for their actions.

Harassment includes verbal, visual or physical conduct related to a protected characteristic that creates an intimidating, offensive or hostile work environment that interferes with work performance. It includes, but is not limited to jokes, gestures, name-calling, posting of offensive pictures, suggestive comments, lewd talk, or obstructing an employee based upon any of the protected characteristics listed above. Displaying or sending obscene or sexually explicit written or verbal messages, e-mails, images, photographs, Internet websites, or e-mails is also prohibited. Such conduct constitutes harassment when submission to the conduct (a) is made either explicitly or implicitly a term or condition of employment; (b) becomes a basis for a decision concerning an individual's employment, or (c) unreasonably interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment.

Complaint Procedure:

Employees who believe they have been unlawfully harassed should immediately report the incident to their supervisor. If submitting a complaint to their supervisor is inappropriate, the report should be submitted to another supervisor or to the CEO. Employees reporting unlawful harassment may be asked to submit a written complaint including details of the incident or incidents, names of the individuals involved, and names of any witnesses. Supervisors will refer all harassment complaints to the CEO or Director for Financial Services.

UWSBC will not retaliate against employees for filing a complaint of harassment and will not tolerate or permit retaliation by management, employees or co-workers. UWSBC will undertake an investigation of the harassment allegations. Claims of retaliation against use of this policy may be reported, and will be investigated, in the same manner as claims of harassment.

If UWSBC determines that unlawful harassment has occurred, effective remedial action will be taken in accordance with the circumstances involved. Any employee determined by UWSBC to have violated UWSBC's anti-harassment policies will be subject to appropriate action, up to and including termination.

UWSBC encourages all employees to immediately report and incidents of harassment forbidden by this policy so that complaints can be quickly and fairly resolved. Employees should also be aware that the Federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing investigate and prosecute complaints of prohibited harassment in employment. Contact information for such agency is available in the phone book or on the Internet.

PERSONAL BUSINESS

Employees may not conduct personal business during regular work hours. Use of UWSBC telephones or other office equipment for personal business other than brief calls, or in the event of an emergency is discouraged. Personal long distance telephone calls on UWSBC billings are not allowed; every effort should be made to charge personal long distance calls to a home number or personal credit card. UWSBC prohibits its employees from using any of its property for personal or political purposes, including e-mail.

CONFLICTS OF INTEREST

As UWSBC represents the entire community and since UWSBC employees represent the organization, conduct that creates a conflict of interest will not be allowed. Examples of such conduct include: use of proprietary information, conduct of outside work on UWSBC time or during work hours, use of UWSBC equipment or supplies for outside business, allowing outside employment to adversely affect job performance, use of UWSBC employment/affiliation to market or otherwise represent a product or concept. Although outside employment, per se, is permitted, employees should avoid outside employment or other activities that conflicts with the interests of UWSBC or interferes with their work performance at UWSBC. Employees considering outside employment is strongly encouraged to discuss this with the CEO and their supervisor in order to avoid any misunderstanding.

OTHER SOLICITATION

Employees shall not solicit contributions for other organizations, persons or charities within the UWSBC offices.

APPEARANCE

All employees are expected to dress in manner that is "customer appropriate" and reflects positively and professionally on themselves and UWSBC. We request that you be neat and well-groomed at all times. Hair must be of natural tones, and hairstyles must fall under "customer appropriate" guidelines. T-Shirts, jeans, cut-offs, sweatpants, casual clothing with printed messages, sloppy or torn clothing, bare feet or thongs, non-company related buttons or badges, hats (unless approved by management) or anything else the manager or supervisor deems "customer inappropriate" should not be worn. Employees that do not practice good hygiene or who report to work dressed inappropriately will be sent home and, if this conduct is repeated, will be subject to discipline up to and including termination.

PLANTS

No plants requiring water are allowed in the UWSBC office.

SMOKING

Consistent with California law, smoking is not permitted inside the workplace. Smoking is to be confined to the outside smoking area(s) designated by the CEO.

EMPLOYEE ASSISTANCE PROGRAM

The purpose of this program is to provide assistance to employees experiencing problems associated with drug or alcohol use, personal or family stress, etc. as it impacts work performance. See Employee Assistance Program booklet for details of program.

SUPPORT EQUIPMENT

All employees are expected to be knowledgeable or become knowledgeable in the use of all support equipment. There needs to be a willingness and ability to personally use the available information systems and other technology for the strategic (i.e. fundraising and/or cost control) benefit of the organization on a daily or weekly basis.

RADIOS, TAPE PLAYERS, ETC.

Use of tape players, (with earphones) for listening to educational materials is approved but use of radios and other musical items at employee's workstation for personal entertainment is not acceptable.

ACCIDENT

First Aid: A complete first aid kit is available in either the upstairs or downstairs kitchen area. Employees are to report to the Director for Financial Services immediately in case of an injury or illness that occurs in the workplace.

Liability Insurance: UWSBC carries liability insurance for the protection of UWSBC and the persons using the UWSBC building and facilities. Details of all accidents in which volunteers or employees are involved should be reported immediately to the CEO or Director for Financial Services.

TERMINATION AND DISCIPLINE

Voluntary Resignation: This is separation from UWSBC initiated by the employee. Employees are encouraged to provide as much advance notice of their decision to resign as is possible under the circumstances. Although employees have the same right as the UWSBC to terminate the employment relationship at-will, at any time, and without notice. UWSBC would appreciate at least two weeks notice of an employee's intention to resign whenever it is possible to do so.

Job Abandonment: An employee who is absent from work for three days or more without explanation or authorization, or without submitting medical evidence, and who does not respond to reasonable attempts to contact him/her, will be considered to have voluntarily resigned through job abandonment.

Official Reprimand: Employees are expected to observe certain standards of job performance and good conduct. Discipline for poor performance ordinarily will be preceded by a reasonable opportunity for the employee to correct the deficiency. UWSBC, at its discretion, reserves the right to proceed directly to discipline including verbal warnings, written warnings, probationary action, demotion or termination. Any employee may, of course, resign at any time. UWSBC may also terminate the employment relationship with or without cause at any time, or modify the employment relationship without advance notice and without following any system of discipline or warnings.

Suspension Without Pay: Suspension is a disciplinary measure that temporarily removes an employee from his/her duties without pay. An employee will be notified of a suspension in writing, and the information supplied will include the reason for suspension, the inclusive date, and the date the employee is to return to work. As mentioned above, UWSBC can proceed to immediate termination, or any disciplinary measure, at its discretion, consistent with the at-will policy of employment.

Disciplinary Probation: If any employee's performance is deemed to be unsatisfactory, he/she may be placed on probation for not less than 30 days, but not more than 90 days. The decision to institute disciplinary probation should be made by the CEO. As mentioned above, UWSBC can proceed to immediate termination, or any disciplinary measure, at its discretion, consistent with the at-will policy of employment.

Dismissal: is involuntary termination of employment. As mentioned above, UWSBC can proceed to immediate termination, or any disciplinary measure, at its discretion, consistent with the at-will policy of employment.

Final Paycheck: A terminating employee will receive his/her final paycheck within the time required by law. The final paycheck for employees who resign with at least seventy-two hours advance notice will be provided on their last day of work. Employees who resign without providing at least seventy-two hours' advance notice, will receive their final paycheck within seventy-two hours of their resignation. Employees who are terminated involuntarily will be provided their final paycheck on their last day of work. Upon termination, employees will receive pay for all accrued and unused vacation hours.

Exit Interview: Terminating employees will be scheduled for an exit interview with the Finance Director. The purpose of the interview is to encourage terminating employees to provide information about their work experience that can help make our Company a better place to work. Employees are expected to return all UWSBC property in their possession, including keys, company credit cards, etc. at the exit interview.

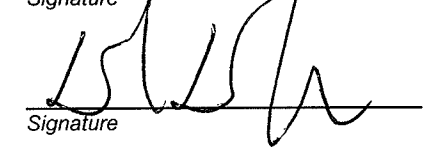
STAFF REPORT
COUNCIL MEETING DATE
February 11, 2013

ITEM FOR COUNCIL CONSIDERATION

Request to reserve City funds from the Community Development Block Grant
Entitlement Funds to Peoples' Self-Help Housing Corporation's
Casas de las Flores Apartments at 4096 Via Real (Camper Park)

**Report prepared by: Jackie Campbell, Director
Community Development Department**


Signature


Signature

Reviewed by: Dave Durflinger, City Manager

STAFF RECOMMENDATION

Action Item X ; Non-Action Item

Reservation of CDBG Funds for the Casas de las Flores Apartments at 4096 Via Real

Motion: I move to reserve \$80,770 (or 100%) of the City of Carpinteria 2013 – 2014
CDBG capital fund for the Casas de las Flores Apartments.

I. BACKGROUND

Since 2006, the City has participated in the Community Development Block Grant (CDBG) program as part of a consortium managed by the County of Santa Barbara and including the cities of Lompoc, Buellton, Solvang and recently, Guadalupe. Carpinteria receives a portion of the overall funds that are made available annually to the County from the federal Department of Housing and Urban Development (HUD). The City Council has full authority over how its funds are allocated and may make recommendations to the County Board of Supervisors on how the County allocates its funds as County funds can be directed to projects located within the county unincorporated area or in one of the member cities. Funds can be used to support housing units or programs that are affordable and available for low and very-low income households.

Notices to announce the availability of this year's CDBG funds were published in November 2012. Two workshops were held in late November to inform potential applicants about the program funding. The Notice of Funding Availability (NOFA) filing period closed on January 2, 2013. The

City received one application from Peoples' Self-Help Housing for 100% of the City's allocation of CDBG funds for fiscal year 2013 – 2014, or \$80,770.

II. DISCUSSION

Peoples' Self-Help Housing Corporation is a private non-profit organization providing and managing affordable housing and programs for low income families, seniors and other special needs groups in the Central Coast region. They have submitted requests for funds from the City of Carpinteria to continue working toward development of the Casas de las Flores Apartments, specifically targeting the CDBG funds to acquire a privately owned parcel that will be incorporated into the overall site plan for Casas de las Flores, currently developed as the Carpinteria Camper Park. The application for CDBG funds is included as Attachment A of this report.

Redevelopment of the Camper Park includes approved construction of 43 apartment units for low and very-low income households. The Casas de las Flores property is zoned for multi-family housing at a maximum density of 20 units per acre. In December 2010, the Planning Commission approved a Development Plan and Coastal Development Permit to authorize the project. Peoples' intends to submit an application for state tax credits to fund the majority of the project construction costs (total budget is approximately \$17.2 million). Peoples' indicates that with all funding secured, construction could begin later in 2013, with a projected completion date in 2014. Given the schedule, the approved status of the permits and the ongoing work by Peoples' to complete this project in a timely manner, all of which contribute to the project's readiness to proceed consistent with CDBG program guidelines, staff recommends support of this funding request with terms of the loan to be discussed as project financing is further developed.

Housing Element Analysis

The City's Housing Element sets out goals and policies to assist in the development of affordable housing. The goals that the City has given priority to and which meet the criteria set forth by HUD in the utilization of funds to be awarded are listed below.

- Attain a housing supply that meets a variety of housing needs.
- Attain a housing supply that meets the needs of low and moderate income households.
- Attain a housing supply that meets the needs of special population groups.

These goals can be attained through the implementation of policies identified in Program Category 2 of the Housing Element which were specifically adopted to fulfill these goals.

Policy 1: Infill development: *Promote infill housing development through land use policies and by reducing development impact fees where the City wants to encourage infill development.*

Policy 3: Housing Unit Sizes: *Provide for a range in the number of bedrooms in assisted housing developments so as to help meet the needs of various household types and special needs populations.*

Policy 7: Acquisition and Rehabilitation of Rental Housing. *Work with non-profit sponsors to acquire and rehabilitate rental housing units in order to maintain long-term affordability of the units. This will include, but not be limited to: (a) technical support needed to obtain funding commitments from county, state and/or federal programs; (b) assistance in permit processing; (c) possible deferral, reduction or waiver of City fees; and (d) contribution of City housing funds, if available.*

By using the City's CDBG funds to support Peoples' Self-Help Housing in the development of the Casas de las Flores Apartments Project, the City is implementing these goals and objectives identified in the 2009 Housing Element. In particular, development of rental apartments in Carpinteria satisfies the currently unmet need for housing in the low and very-low income categories identified in the City's Regional Housing Needs Allocation (RHNA) numbers.

III. FINANCIAL CONSIDERATIONS

Approximately \$1 million in CDBG funds targeted to developing housing opportunities for low and very-low income families was received by the County Consortium for the 2013 – 2014 program year. The funds are distributed among the Consortium members based on a formula of the member cities' populations, instances of overcrowding and number of families living in poverty. Based on the formula, Carpinteria receives approximately 8% of the CDBG funds. All funds are dispersed by the County after receiving input from the Consortium members. Eighty-four percent of the funds are allocated specifically for loans for capital projects as considered in this report; the remaining 16% are used to provide grants to organizations that provide public services to low income households (see item 11 on this City Council agenda for February 11, 2013).

The requested allocation would utilize all of the City's CDBG allocation for this year. Last year, your Council reserved \$62,862 for this project which was 100% of the City's CDBG allocation for fiscal year 2012 – 2013; funds in the amount of \$224,369 were also reserved from the County's portion of the CDBG allocation for 2012 - 2013. These "stockpiled" funds from last year, along with the City's allocation for this year, and possibly a portion of the County's allocation for this year, will be used to complete acquisition of the Van Wingerden property at the northeast corner of the Camper Park. Any shortfall in funds will be made up through other sources available to Peoples' such as through the Housing Trust Fund of Santa Barbara County. This reservation of local funds is beneficial to Peoples' as it satisfies the site acquisition need and bolsters the application for state income tax credits to finance construction of the project once acquisition occurs. The project will be competing for income tax credits in March.

IV. LEGAL ISSUES

The City's participation in the CDBG program is voluntary. The City Council previously entered a cooperation agreement with the County of Santa Barbara to achieve Urban County status and become eligible for CDBG funding. Prior to providing the funding to Peoples' Self-Help, the City would enter a Loan Agreement to ensure repayment of these funds over time. This Agreement will require review and approval by the City at the time the loan is made.

V. ALTERNATIVE

Choose not to recommend allocation of the City's funds for the requested project and allow the CDBG fund balance to increase by this year's allocation.

VI. Persons Expected

Jeannette Duncan, Peoples' Self-Help Housing Corporation

VII. ATTACHMENT

- A. Casas de las Flores Apartments CDBG Funding Application



**COUNTY OF SANTA BARBARA
HOUSING AND COMMUNITY DEVELOPMENT
CDBG CAPITAL PROJECT**

Project Proposal for Program Year 2013-2014

FOR OFFICIAL USE ONLY	
Rec'd	<u>1/2/12</u>
Initials	<u>WJ</u>
☐ Logged	
☐ Scanned	

Total Requested Program Funding by Jurisdiction¹:
(Check all that apply)

☒ Santa Barbara County	\$ <u>529,927.00</u>
☒ Carpinteria	\$ <u>82,484.00</u>
☐ Solvang	\$ _____
☐ Buellton	\$ _____

Are you also applying for program funding through any of the listed jurisdictions' NOFAs? (Check all that apply)

☐ Goleta	\$ _____
☐ Lompoc	\$ _____
☐ Santa Maria	\$ _____

Section A – General Project Information Summary

- Project Title: Casas de las Flores
- Project Address and service area(s) (i.e., specific city, countywide, etc.):
4096 Via Real, Carpinteria
- Amount requested and brief Summary of the Project:
\$612,411 for the acquisition of the final assemblage land parcel required for the approved new construction project to create 43 new affordable rental housing units and community space.
- Identify the number of people to be served: Approximately 172 lower income earning persons.
- Is Relocation required as part of the project? [(URA or Section 104(d))]: Not for acquisition, see attached.

If yes, please attach a copy of the relocation plan, one-for-one replacement plan and all other related documentation
- Is your agency applying for a grant or loan? Loan

Section B – General Applicant Information

- Legal Name of Applicant Organization: Peoples' Self-Help Housing Corporation
- Are you a 501(c) organization? ☒ yes ☐ no

¹ Reminder: Please be sure to include 5% in your budget to cover project activity delivery costs incurred by the implementing jurisdiction. Activity costs are those associated with administration of Federal compliance requirements such as environmental review, contract preparation, bid packet review and other supplementary program-related regulations.



CDBG CAPITAL PROJECTS

Grant Application Submittal Instructions

APPLICATIONS **MUST** BE RECEIVED BY:

5:00 p.m. Wednesday, January 2, 2013

DELIVER TO:

Community Services Department
Housing & Community Development Division
105 E. Anapamu Street, Room 105
Santa Barbara, California 93101
(805) 568-3520

FORMAT INSTRUCTIONS:

- The Application must be typed in 12-point font size or larger.
- Answer all questions in the order presented without variation.
- Print all documents double-sided.
- Three-hole punch all documents submitted.
- Secure each copy with paper clip in upper left corner. Do not staple.
- No covers, dividers, binders, etc.

SUBMISSION INSTRUCTIONS:

- Applications received after 5:00 p.m. will NOT be considered.
- Handwritten Applications will NOT be considered.
- Applications may NOT be submitted by fax.
- Postmarks will NOT be considered.
- Write into the application in the space provided, no written attachments will be accepted
- Send a copy of the Application by email to HCDNOFA@co.santa-barbara.ca.us.
- Provide ONE original "wet ink" application and 11 copies.
- Submit only ONE Required Attachment packet, 3-hole punched.

Federal Grant Experience within past 5 years:

Federal Grant Program	Project Name	Purpose of Grant	Date Obtained	Funding Amount
CDBG/HOME	Dahlia Court II	33 new affordable rental units	2008-2011	\$1,769,605
HOME	El Patio Hotel	42 acq/rehab affordable units	2007-2011	\$408,000
HOME	Casas las Granadas	12 new affordable rental units	2006-2009	\$1,187,585
HOME	Lachen Tara	29 new affordable rental units	2006-2008	\$2,173,966
CDBG/HOME	Villas at Higuera	28 new affordable rental units	2005-2007	\$550,000

Fiscal Year and Audit Reports

- What is your agency's fiscal year end date? June 30
- Please attach a copy of your organizations audited financial statements for the most recent fiscal year beginning after January 1, 2011. *(Please include a copy of the most recent financial audit with your completed application—See Required Attachments).* What fiscal year did this most recent audit include?
July 2011 - June 2012 (Month/Year - Month/Year)
- Are there any outstanding financial audit findings which remain unresolved? ☐ yes ☒ no
If yes, please explain. _____
- Has your agency expended more than \$500,000 in federal funds in its last operating year? ☒ yes ☐ no
(Including federal funds expended that were passed through from other agencies, i.e., State of California, City of Lompoc, etc.)

If you answered "yes" to question 4, please answer questions 5 and 6 below. If you answered "no" to question 4, please proceed to question 7.

- Was there an audit conducted in compliance with the Single Audit Act (OMB A-133)? ☒ yes ☐ no
- Are there any outstanding single audit findings which remain unresolved? ☐ yes ☒ no
If yes, please explain. _____
- If your organization is a non-profit organization, does your organization comply with the following:
 - OMB Circular A-110, as implemented at 24 CFR Part 84 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations" ☐ yes ☐ no
 - OMB Circular A-122 "Cost Principles for Non-Profit Organizations" ☒ yes ☐ no

(All agencies must complete a Board of Directors Affidavit on page 17)

3. Address of Organization:

- a. Street: 3533 Empleo Street Apt. # _____
b. City: San Luis Obispo State: CA Zip: 93401

4. Mailing Address (if different from above):

- a. Street: _____ Apt. # _____
b. City: _____ State: _____ Zip: _____

5. Person to Contact Regarding this Application:

- a. Name: Ken Trigueiro
b. Relationship to Agency: employee-Vice President, Real Estate Finance
c. Street: 3533 Empleo Street Apt. # _____
d. City: San Luis Obispo State: CA Zip: 93401
e. Work Phone: (805) 540-2453 Ext. _____
f. Fax: (805) 544-1901
g. E-mail: KennethT@pshhc.org

6. Name and contact information of Fiscal Agent:

- a. Name: Maura Shannon, Director of Accounting
b. Agency / Organization: Peoples' Self-Help Housing Corporation
c. Street: 3533 Empleo Street Apt. # _____
d. City: San Luis Obispo State: CA Zip: 93401
e. Work Phone: (805) 540-2451 Ext. _____
f. Fax: (805) 544-1901
g. E-mail: MauraS@pshhc.org

7. Organization's Federal Identification Number (Tax ID #) 95-275-01554

8. Agency Organizational DUNS number: 09-641-44112

(If you do not have a DUNS number, go to <http://fedgov.dnb.com/webform> to register.)

9. Please attach verification Excluded Parties List System (EPLS) (<https://www.epls.gov/eplsearch.do>) that the applicant organization and any parties associated with the applicant (contractors/subcontractors/consultants) or proposed project have not been suspended or debarred from entering into federal, state or local contracts.

10. How long has your agency been in operation? Since 1970

Section D – Activity Eligibility

Which specific HUD Activity best describes your project proposal?

- | | |
|---|---|
| ☒ Acquisition of Real Property | ☐ Removal of Architectural Barriers |
| ☐ Disposition of Real Property | ☐ Rehabilitation |
| ☐ Public Facilities and Improvements (General) | ☐ Energy Efficiency Improvements |
| ☐ Senior Centers | ☐ Code Enforcement |
| ☐ Handicapped Centers | ☐ Parks, Recreational Facilities |
| ☐ Homeless Facilities (not operating costs) | ☐ Parking Facilities |
| ☐ Youth Centers | ☐ Solid Waste Disposal Improvements |
| ☐ Neighborhood Facilities | ☐ Flood Drainage Improvements |
| ☐ Water/Sewer Improvements | ☐ Facilities for AIDS Patients |
| ☐ Street Improvements | ☐ Clearance and Demolition |
| ☐ Child Care Centers | ☐ Cleanup of Contaminated Sites |
| ☐ Tree Planting | ☐ Fire Station |
| ☐ Health Facilities | ☐ Asbestos Removal |
| ☐ Abused and Neglected Children Facilities | ☐ Commercial / Industrial Land Acquisition |
| ☐ Commercial / Industrial Rehabilitation | ☐ Other Commercial / Industrial Improvements |
| ☐ Commercial / Industrial Infrastructure Development | |

Section E – Project Information

1. In the space provided below, explain the beneficiaries to be served in more detail and describe how your project will meet the national objective and activity eligibility as identified above.

This project involves the construction of 43 new housing units on property currently occupied by very-low income households living in the dilapidated Carpinteria Camper Park. The Carpinteria Camper Park is a blighted property owned and managed by PSHHC since 2004. There are three parcels involved: two parcels currently owned by PSHHC (Camper Park), and one adjacent parcel of .32 acres containing a single family residence. This 3rd parcel is the final assemblage land parcel required to complete site control for the approved project. The City of Carpinteria approved a Development Plan for the project (No. 10-1543-DP/CDP). The project design and approval incorporates all three parcels. County funds being requested will be utilized for the acquisition of this third parcel. The project will serve low- and very low-income families, including farm laborers, from Carpinteria and unincorporated areas of the County. The design includes handicap accessible/adaptable units with community space where PSHHC program services will be delivered to residents, including youth educational enhancement and supportive housing services. Prior to PSHHC purchasing the property, it had been an entrenched and persistent code enforcement problem for the City, which the project will permanently correct. The City desires to have PSHHC incorporate plantings and maintenance of the street improvements.

- c) OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations" ☒ yes ☐ no
- d) OMB Circular A-87 "Cost Principles for State, Local and Indian Tribal Governments" ☒ yes ☐ no
- e) Does your organization have the financial capacity to administer your program under a cost reimbursement system where invoices are only processed once each month? ☒ yes ☐ no
- f) Does your organization have any outstanding litigation or other legal issues? ☐ yes ☒ no
If yes, please attach written explanation as a separate sheet.
8. How many members serve on your Board of Directors? 11
9. How many vacancies exist on your Board of Directors and when do you expect to fill them? none
10. How often does your Board of Directors meet? 8-10 times per year
11. Does your Board of Directors have an audit committee? Yes
12. Describe the financial expertise currently serving on your Board of Directors. PSHHC's Board includes a former City of SB housing director (over funding) and CPA as Assistant Treasurer
13. What financial experts currently serve in an advisory capacity to your Board of Directors? Please list and provide contact information.
Three staff members at PSHHC are CPAs and one holds an MBA in Finance, who provide advisory services and project support. In addition, PSHHC auditors serve as advisors to Board Staff: Maura Shannon (MauraS@pshhc.org); John Fowler (JohnF@pshhc.org); Mark Wilson (MarkW@pshhc.org); Auditor: Tom Tomaszewski (TomCPA@directcon.net)
14. Please provide the names and contact information of the Board of Directors and the Officers on a separate sheet.
-

Section C – National Objective

Please choose one of the following national objectives pertaining to your project:

- ☒ Benefiting low- and moderate- income persons
- ☐ Preventing or eliminating slums or blight
- ☐ Meeting urgent needs (having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available to meet such needs)

5. **Other:**

☐ yes ☐ no

If yes, please explain: _____

Ethnicity and Race (*HUD exemptions in this area are limited.*)

1. Does your organization request information on whether your clients are of Hispanic ethnicity? ☒ yes ☐ no

2. Does your organization ask all clients (including Hispanic clients) whether they are the one or more of the following races: ☒ yes ☐ no

- White
- Black or African American
- American Indian or Alaska Native
- Asian
- Native Hawaiian or Other Pacific Islander
- American Indian or Alaska Native and White
- Asian and White
- Black or African American and White
- American Indian or Alaska Native and Black or African American
- Balance/Other (The balance category will be used to report individuals that are not included in any of the single race categories or in any of the multiple race categories listed above.)

3. If your organization does not currently obtain ethnicity and race information on the clients to be served by the proposed project, please explain how this information will be obtained to meet this requirement:

Additional Beneficiary Information

1. Number of persons with access to a **new** facility or infrastructure that did not previously exist or was not available for this new purpose: 145
2. Number of persons with access to an **improved or expanded** facility or infrastructure: 25
3. Number of persons that no longer have access to only a **substandard** facility or infrastructure: 25
4. Number of beds created in overnight shelter or other emergency housing: _____
5. **Total persons benefiting from this project:** 170

Section G – Property Ownership

1. Who (agency name) is the legal owner of the property? 2 parcels = PSHH, 3rd parcel = Duncan Group

2. Do you have site control (purchase agreement, entitlements, and permits)? ☒ yes ☐ no

If yes, please attach documentation

2. If awarded funding, does your organization agree to submit monthly construction schedules/inspections/bid documentation, project photographs and other project related reports? ☒ yes ☐ no
3. Personnel/Staff Capacity: In the space below, briefly describe the agency's existing staff positions and qualifications (including whether staff is full-time, part-time, volunteer, etc.), its capacity to carry out this activity, and state whether the agency has a personnel policy manual with an affirmative action plan and grievance procedure. Please attach the agency's personnel policy manual.

PSHHC is fully staffed to complete this project. Staff includes three full-time project managers, representing over 20 years development experience and two full-time executive managers representing over 40 years of development experience. Staff also includes two on-staff general contractors with significant experience in multi-family construction, as well as construction administrative support staff.

PSHHC has a personnel policy manual with an affirmative action plan and grievance procedures.

Section F – Beneficiary Information

Verification of Eligibility: Please identify how client eligibility is determined.

1. **Low/Moderate Income Area Benefit** ☐ yes ☒ no
Program service area has been identified and determined to be statistically low-income based on the 2010 Census. (Please attach map to allow us to determine Census Tract eligibility.)
If you answered yes here, please proceed to "Additional Beneficiary Information" on the following page.
2. **Low/Moderate Income Limited Clientele and Low/Moderate Income Housing** ☐ yes ☒ no
Self Certification:
Clients independently "self-certify" on a membership form, intake form, etc. (If you use this method, please attach blank intake form with signature blocks for intake staff and supervisor(s) that assures eligibility status was sought.)
3. **Client Document Review:** ☒ yes ☐ no
Clients provide tax documents, pay stubs, etc., to verify income. Documents are reviewed by staff. (If you use this method, please attach blank worksheet.)
4. **Presumed Beneficiaries:** ☐ yes ☒ no
Clients served are primarily and specifically from one of the following groups: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons, persons with AIDS. (If you use this method, please indicate which group.) _____

3. If not, does your organization understand this may affect the priority ranking of your application? ☒ yes ☐ no
4. If you are pursuing site control, please provide status summary and date site control is expected:
PSHHC owns the two 1+ acre parcels, and affiliate owns .32 acre parcel.
5. Who (agency name) will be the final owner of the property? Limited Partnership (TBF) with PHHC as GP

Section H – Financial Feasibility

A. Project Budget/Financial Capacity

Please note that Community Development Block Grant funds may not be utilized for ongoing maintenance and operation costs of capital improvements/facilities.

Cost Category	Amount From County CDBG	Amount From Other Sources (list source/amount)	Total Cost
Site Acquisition (Including real estate, closing costs, escrow costs, etc.)	529,927 + 82,484	1,685,458	2,297,869
Architectural and Engineering Services		420,000	420,000
Pre-Construction costs (appraisal, fees, studies, permits, etc.)		288,000	288,000
Off-Site Development Costs (Utilities, roads, access. Please specify)		200,000	200,000
Site Preparation costs (not included in construction contract)		250,000	250,000
Construction labor and materials		9,021,580	9,021,580
Contingency		451,079	451,079
Project Management/Activity Delivery (Including Davis-Bacon compliance)		1,400,000	1,400,000
Eligible Energy Improvements			
Other costs (Please specify) see attached		1,228,017	1,228,017
Other costs (Please specify) local fees		1,691,075	1,691,075
Total	612,411	16,635,209	17,247,620

If project involves construction, Please attach a budget for the construction cost items. Project will not be considered for approval until it has been received.

- I. What percentage of your agency's total revenue is generated from the County? 5.5%
- II. Describe in the box below, the agency's current operating budget, itemizing revenues and expenses. Identify commitments for ongoing funding. Describe the agency's fiscal management, including financial reporting, record keeping, accounting systems, payment procedures, and audit requirements.

The agency has a current operating budget of \$8,388,000 which consists of \$4,244,000 in expenses for affordable housing rentals, and \$4,114,000 for construction of affordable housing and other programs. Revenues total \$8,774,000, which includes \$4,356,000 in affordable housing rents and interest income and \$213,000 in donations. The balance of revenues consist of fees for construction and operation of affordable housing and government grants. Funding for programs looks secure for the foreseeable future. The agency has a professional fiscal staff including three CPAs, an excellent system of internal controls, payment procedures, accounting systems and fund accounting, clean audits are received every year.

B. Funding Sources for Proposed Project

Sources of revenue to be utilized on the project	Amount Secured	Amount Unsecured
CDBG funds requested in this application:		612,411
CDBG funds requested from other jurisdictions (Please list those jurisdictions):		
County	174,369	
County	50,000	
Carpinteria	62,682	
Other Federal funds (list): HOME	41,377	
State funds:		
Local government funds:	529,892	
Private funds:	132,000	2,472,844
Other funds (explain): see attached (LIHTC & HTFSB)		
Total Project Budget (may be multi-year funds):	990,320	16,257,300

- Will your organization be applying for any additional funding (grants or loans) for this project? ☒ yes ☐ no
- When do you anticipate securing 100% of the funds needed for the completion of this project?
2013 (final funding needed is from Low Income Housing Tax Credit program)
- Does your organization understand that not being able to commit to securing full project funding in a timely fashion can affect the application ranking? ☒ yes ☐ no
- Will your organization agree to provide quarterly project status updates? ☒ yes ☐ no
- Please indicate the sources and amounts of future funds, and anticipated date funds will be made available:

SOURCES	AMOUNTS	DATE
Housing Trust Fund of SB County	430,000	March 2013
Permanent Loans (Conventional Bank)	2,472,844	March 2013
NeighborWorks and Capital Campaign	450,000	June 2013
LIHTC Allocation from CTCAC	12,444,045	June 2013

Section I – Project Readiness²

Please attach a detailed project/construction schedule signed by the Project Manager and Supervisor. Please also fill in the key dates below:

Preconstruction (environmental clearance, plans and specifications, entitlements and permits, procurement / bidding)

Major Milestones	Date Commenced	Date Completed
Site Plans and Floor Plans completed		06/30/2010
City of Carpinteria Dev Plan Approval (10-1543-DP/1543)		12/10/2010
100% budget secured (including tax credits)	01/01/2012	06/30/2013
Final bids received	8/15/2013	

Construction (100% budget secured, other construction milestones)

Major Milestones	Date Commenced	Date Completed
Start of Construction	11/01/2013	11/30/2014
100% Low-Income Occupancy	12/01/2014	02/28/2015
Close of Permanent Financing	03/01/2015	05/31/2015

² Please be realistic in your timeline and milestones, as failure to meet milestones may be grounds for deobligation of funds from the project in order to remain in compliance with HUD expenditure deadlines and requirements.

Section J – Applicant Experience

Describe your organization's previous experience in implementing programs/projects similar to the activity proposed. Attach resumes and references for each member of the proposed development team (i.e. developer, architect, consultants, and project coordinator, if applicable).

See attached resumes for PSHHC (developer and general contractor), Duncan Group (property manager) and consultants.

PSHHC is a 40+ year old, award winning local community-based non profit real estate developer, owner and manager. We have developed over 1100 units of single family residences for low income families and over 1400 units of affordable rental housing for low income families, seniors, farmworkers and those with special needs at 40 different properties owned and managed by PSHHC and it's affiliate non profit property management company, The Duncan Group. See attached "Fact Sheet" and "Project Development History."

1. Who will be administering your Davis-Bacon compliance?

- a. Name: Beverly Diggles, Construction Administrator
- b. Agency / Organization: Peoples' Self-Help Housing Corporation
- c. Work Phone: (805) - 5402447
- d. Fax: (805) - 5441901
- e. E-mail: BeverlyD@pshhc.org

2. Who will be preparing the Bid packet and administering the Bid process?

- a. Name: Bill Loar, Cnstr Dir
- b. Agency / Organization: Peoples' Self Help Housing Corporation
- c. Work Phone: (805) - 5402478
- d. Fax: (805) - 5401901
- e. E-mail: BillL@pshhc.org

Section K – Energy Efficiency and Conservation Design Measures

Explain in the box below what design features and improvements will be implemented in your project to minimize the use of energy and natural resources while maximizing the operational savings derived from energy efficient technologies.

Section K (p 12)

Through sustainable design and building methods, the project is proposed to promote energy efficiency and conservation through:

- 1) Exceeding Title 24 Energy Standards by 17.5%
- 2) Use of florescent lights.
- 3) Installation of Energy Star rated appliances.
- 4) Use of water saving fixtures in kitchens and bathrooms.
- 5) Use of low VOC interior paint.
- 6) Greenpoint Rating of 100+ or LEED Certification – Silver+.

Section L – Maintenance and Operational Feasibility

1. Who (agency name) will be responsible for the ongoing maintenance and operations of the facility?
The Duncan Group, a non-profit property management company and affiliate of PSHHC.
Please note an authorized person representing the responsible organization must sign the certification enclosed.
2. Please attach the proposed maintenance and operations budget reflecting both revenues and expenditures.
3. Add any comments here: _____

Section M – Environmental Review

A. Project Information

1. Assessor's Parcel Number of project site: 004-013-018, 004-013-019, 004-013-020
(Please attach a map of the site)
2. Parcel Size: 2.69 acres (combined)

B. Historic Preservation

1. Note the year that each of the structure(s) on the parcel was constructed? 1960
2. Are any of the structures designated or eligible for listing on the National Register of Historic Places?

☐ yes ☒ no

3. Please indicate how these structures are currently used (i.e., real estate office, residential apartment, etc.)
Leasing office and shared resident bathrooms, spaces for travel trailer hookups, SFR(1)

4. Are any of the structures considered of local historic significance? ☐ yes ☒ no

If yes, please cite the source: _____

6. If any of the structures have been remodeled, please note when the remodeling occurred and which portions of the building were impacted. N/A

C. Local Land Use Review

1. What is the local land use authority for this site City of Carpinteria
(city or unincorporated county)

2. What is the zoning for this parcel? CPD/R (Residential Overlay)
(Contact the appropriate local planning official)

3. Is the project's land use consistent with the zoning designation? ☒ yes ☐ no

4. What is the General Plan and/or Area Plan Designation? Research Park Industrial
(Contact the appropriate local planning official)

5. Is the project's land use consistent with the General Plan and/or Area Plan Designation? ☒ yes ☐ no

6. Please list all local permits required to approve the proposed project and when they expect to be obtained (e.g. project approval, conditional use permit, land use permit, grading permit, building permit, etc.).

Architectural Review, Coastal Development Permit, Development Plan, Lot Line

Adjustment/Merger

7. Please list all permit applications that have been approved and note the status of any required permit applications that are outstanding (attach copies).

The project has gained final approvals from Architectural Review Board and Planning Commission

Section N – Certifications *(Please note that all certifications must be executed in BLUE INK)*

Agency Certification

The undersigned agency hereby certifies that:

- a. The information contained herein and in the attached documentation (if applicable) is complete and accurate;
- b. The agency shall comply with all federal and County policies and requirements applicable to the CDBG program as appropriate for the funding if received;
- c. The federal assistance made available through the CDBG program funding is not being utilized to substantially reduce the prior levels of local financial support for community development activities;
- d. If CDBG funds are approved for a facility, the agency shall maintain and operate the facility for its approved use for a period of not less than twenty years, unless given specific approval from HUD to do otherwise; and
- e. If CDBG funds are approved in the requested amount, then to the best of your knowledge, sufficient funds will be available to complete the project as proposed in the timeframe proposed

Peoples' Self-Help Housing Corporation

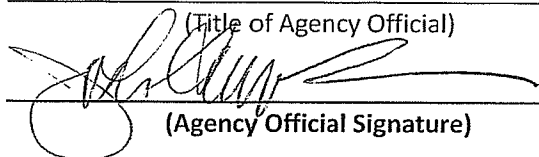
(Name of Agency)

John Fowler

(Typed Name of Agency Official)

Executive Vice President & CFO

(Title of Agency Official)



(Agency Official Signature)

December 31, 2012

(Date of Signature)

805-540-2462

(Telephone Number of Agency Official)

JohnF@pshhc.org

(Email address of Agency Official)

8. Has a CEQA environmental document been prepared for this project? ☒ yes ☐ no

If completed, please enclose a copy

9. Has a NEPA review for this project been completed? ☐ yes ☒ no

If completed, please enclose a copy

D. Environmental Compliance

1. Has a Phase I Environmental Site Assessment Report been completed for this project? ☒ yes ☐ no

If yes, when was this completed? May 2007

If completed, please enclose a copy

2. Has an Archaeological or Cultural Resource Survey been completed for this site? ☐ yes ☒ no

If yes, please enclose a copy

3. Is the Project located near areas where flammable, explosive, or toxic chemicals are stored or transported? ☐ yes ☒ no

If so, describe. _____

4. Are there any endangered or threatened species known to be on the project site? ☐ yes ☒ no

5. Is the project site within line-of-sight of an arterial roadway or railway? ☒ yes ☐ no

If yes, list the name of the road/railroad and the distance to the nearest proposed structure(s) on the site.
US Highway 101 (+100 feet)

6. Will this project create noise sensitive uses? ☐ yes ☒ no

7. Is the project site located on existing or previously cultivated farmland? ☐ yes ☒ no

8. Is the project site in either a 100-year or 500-year floodplain? ☒ yes ☐ no
(Contact the local Public Works Department for the site's flood zone designation)

9. Does this property have flood insurance? ☐ yes ☒ no

10. Is the project located near wetlands? ☐ yes ☒ no

11. Approximately how far is the project site from the nearest airport? 20 miles

12. Have the structure(s) been tested for asbestos, mold, or lead-based paint? ☐ yes ☒ no

13. Will the project involve Lead – Based Paint mitigation? ☐ yes ☒ no

BOARD OF DIRECTORS AFFIDAVIT

All applicant Agencies must complete this affidavit listing all the members of the Board of Directors and all other officers. If there are changes in the Board membership after the request is submitted, the County of Santa Barbara must be notified in writing.

In submitting this funding request, I, Designee John Fowler
depose and say that I am Executive Vice President & CFO
[insert title, President, Vice President, etc.] of Peoples' Self-Help Housing
Corporation, 3533 Emleo Street, San Luis Obispo, CA 93401

_____ [insert name and address of Agency].

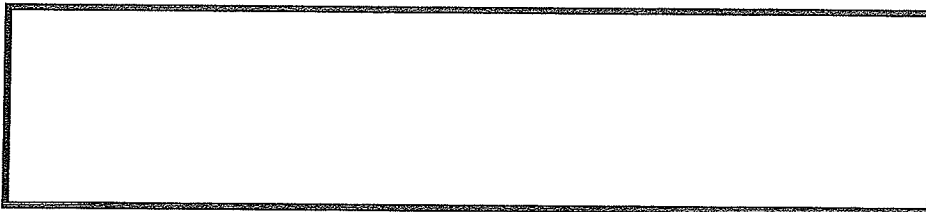
The other members and officers of the Board of Directors of this Agency are:
(Please list names of current Board Members and attach an additional sheet if necessary):

	<u>Name:</u>	<u>Title:</u>	<u>Term Expires:</u>
1.	<u>Carolyn Johnson</u>	<u>President, BOD</u>	<u>Oct 2014</u>
2.	<u>Dave Gustafson</u>	<u>Vice President, BOD</u>	<u>Oct 2013</u>
3.	<u>Jolie Ditmore</u>	<u>Secretary, BOD</u>	<u>Oct 2013</u>
4.	<u>Charles Fruit</u>	<u>Treasurer, BOD</u>	<u>Oct 2014</u>
5.	<u>Jose Flores</u>	<u>Member, BOD</u>	<u>Oct 2013</u>
6.	<u>M. Ortega-Alvarez</u>	<u>Member, BOD</u>	<u>Oct 2014</u>

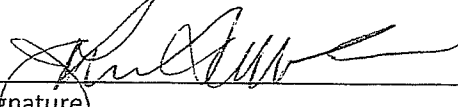
DATE: December 31, 2012

AT: San Luis Obispo, CA 93401 (City & State)

APPROPRIATE AGENCY DESIGNEE MUST SIGN AND AFFIX THE CORPORATE SEAL:



I certify and declare under penalty of perjury that the foregoing is true and correct.


Signature

John Fowler, Exec VP/CFO
Print Name and Title

Maintenance and Operations Budget Certification

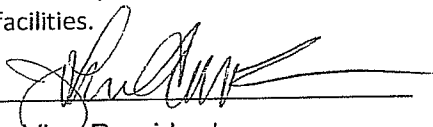
The governing body of (insert agency name) The Duncan Group, a Public, Quasi-Public, or Non-Profit entity, has the financial capacity and is willing to assume the maintenance and operation responsibility and costs associated with the indicated Community Development project. This body has reviewed the proposed operation and maintenance budget stated above and to the best of its ability has determined this budget to be a true and accurate estimate of the annual maintenance and operation costs for the proposed budget.

The following is the name and address of the entity which is proposed to provide maintenance and operation services for the proposed project:

Full Name: The Duncan Group
Street Address: 3533 Empleo Street
City, State, Zip Code: San Luis Obispo, CA 93401
Email address: JohnF@pshhc.org

It is understood that without a commitment for maintenance and operation, the indicated project may not be considered for funding under the Community Development Block Grant Program.

Please note that Community Development Block Grant Funds may not be utilized for ongoing maintenance and operation costs of capital improvements/facilities.

Acknowledged by Authorized Agency Representative: 

Title of Authorized Agency Representative: Executive Vice President

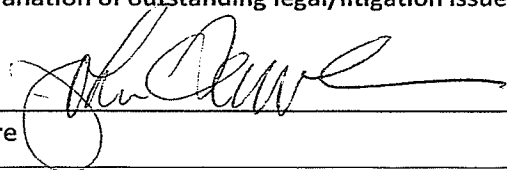
Date Certification Signed: December 31, 2012

CHECKLIST OF REQUIRED ATTACHMENTS

Note: This completed checklist must be signed and submitted with the funding application. The documents listed below are required of Agencies applying for CDBG Capital funds.

- ☒ **Bylaws**
- ☒ **Organization Chart**
- ☒ **Non- Profit Determination letters from the Federal Internal Revenue Service and the State Franchise Tax Board**
 - ☐ Form 501(c)
- ☒ **Agency Personnel Manual depicting Affirmative Action Plan and grievance procedures**
- ☒ **Evidence of non-suspension/debarment for all parties**
- ☒ **Evidence of Insurance**
 - ☒ Copy of current insurance coverage (General Liability, Automobile, Worker's Compensation, etc.)
 - ☐ Note if funded, an updated insurance policy will be required with the funding jurisdiction listed as "additionally insured"
- ☒ **Project Budget for Construction cost items**
- ☒ **Project/construction schedule signed by Project Manager/Supervisor**
- ☒ **Relocation Plan and related materials (if applicable)**
- ☒ **CEQA/NEPA/ENVIRONMENTAL ASSESSMENTS (if applicable)**
- ☒ **Most recent financial audit**
- ☒ **Project Maintenance and Operational Budget**
- ☒ **Project Location Map**
- ☐ **Self-Certification intake form with signature block for intake staff/supervisor (if applicable)**
- ☒ **Client document review worksheet (if applicable)**
- ☐ **Client race / ethnicity data collection form (if applicable)**
- ☒ **Resumes for each member of the proposed development team**
- ☐ **Explanation of outstanding legal/litigation issues, if applicable**

Signature



John Fowler, Exec VP/CFO

Print Name & Title

