

Maine Annual Action Plan

CDBG, ESG, HOME and HTF

Plan Year 2019

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

November 2018 – Updated May 2019

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Executive Summary

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

1. Introduction

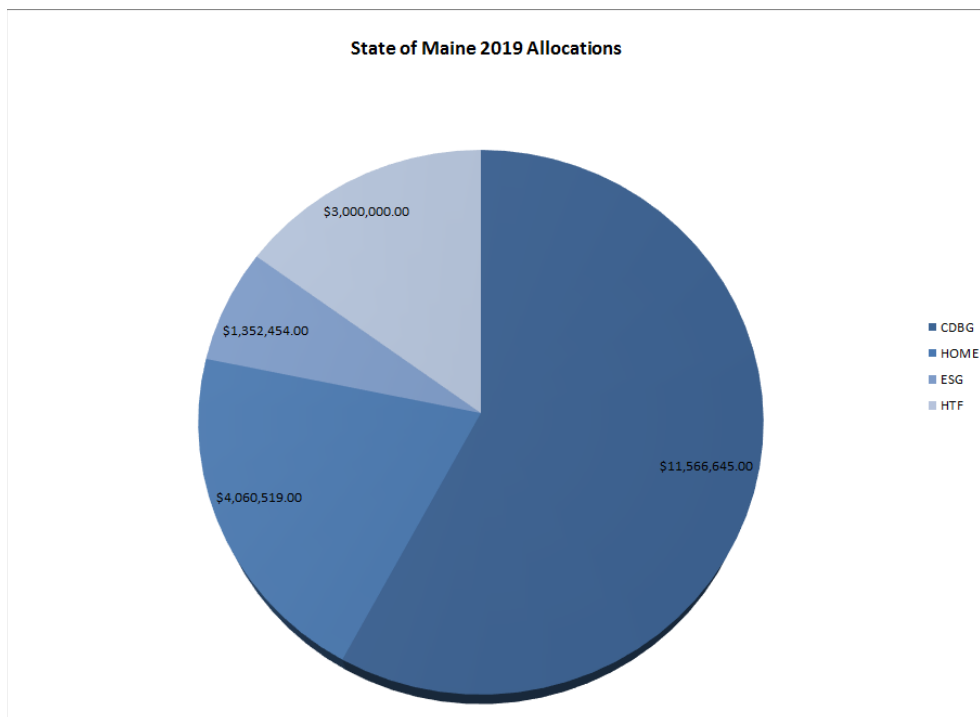
The State of Maine receives block grant funds from the U.S. Department of Housing and Urban Development (HUD) to help address housing and community development needs. These grant funds include: the Community Development Block Grant (CDBG), HOME Investment Partnership Program (HOME), Emergency Solutions Grant (ESG) and the Housing Trust Fund (HTF).

The Department of Economic and Community Development (DECD) will administer the CDBG program. Maine State Housing Authority (MaineHousing) will administer the HOME, HTF and ESG programs.

HUD requires that Maine complete a five year strategic plan called a Consolidated Plan for Housing and Community Development (Consolidated Plan). The Consolidated Plan identifies the State's housing and community development needs and specifies how block grant funds will be used to address those needs.

This document, the 2019 Maine Annual Action Plan, is the fifth Action Plan in the Consolidated Plan cycle. It describes how DECD and MaineHousing plan to allocate HUD block grant funds during the 2019 program year, which runs from January 1, 2019 to December 31, 2019.

MaineHousing and the DECD look forward to continued coordination of programs and will involve other partners to leverage resources.



2019 Allocations

2. Summarize the objectives and outcomes identified in the Plan

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

All activities funded in 2019 will address one of the following goals:

- Improve Housing Quality
- Expand the Supply of Affordable Housing
- Help Maine People Attain Housing Stability
- Improve Economic Opportunity
- Improve Public Infrastructure

To achieve these goals, the State will use a combination of federal and state funds and other public and private funds to address priority housing and community development needs.

In 2019, the State proposes to allocate funding to the following activities.

CDBG:

- See attached CDBG Program Statement

HOME:

- \$2.3 million for rental housing
- \$1.4 million for tenant based rental assistance
- \$406,051.90 for administrative costs

ESG:

- \$625,510 for emergency shelter operations and essential services
- \$625,510 for rapid rehousing
- \$101,434 for administrative costs

HTF:

- \$2.7 million for rental housing
- \$300,000 for administrative costs

This funding will result in:

- sheltering 6200 homeless individuals
- rental assistance for 140 Homeless Individuals
- 570 new or rehabilitated housing units
- 2,500 persons assisted by a public facility or infrastructure activity
- 120 jobs created or retained
- 25 businesses assisted

3. Evaluation of past performance

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

The State's evaluation of its past performance has been completed in a thorough Consolidated Annual Performance and Evaluation Report (CAPER). This document states the objectives and expected outcomes identified in the Consolidated Plan and includes an evaluation of past performance through measurable goals and objectives compared to actual performance. The CAPER can be found on the MaineHousing website.

It is important to note that the State provides affordable housing and community development through a variety of assistance programs, many of which are funded through agency resources or State appropriations. In 2018 MaineHousing assisted more than 1,100 First Time Home Buyers, 630 Homeowners (not including over 36,000 helped with Energy Assistance) and more than 1,300 Homeless households. MaineHousing used funds to complete five multifamily projects, for a total of 202 units (21 for

families and 181 for seniors). In 2018 nineteen projects are under construction (381 family units and 461 units for seniors).

While production results have sometimes exceeded or fallen short of stated goals, significant progress has been made to address Consolidated Plan priorities and objectives. Rental units constructed (106% of 2017 goal), use of tenant-based rental assistance (196% of 2017 goal), and improved economic opportunities (400% of 2017 goal) all exceeded 2017 goals.

The State of Maine CDBG program identified the highest priorities as Housing, Economic Development, and Public Infrastructure. For the program year 2017, over 90 percent of the funding went to those three areas.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the CoC and other interested parties. The public consultation process for this plan included several public forums. The 2019 Annual Action Plan forums occurred July 30 at the Cross State Office Building in Augusta, and July 31 at the Presque Isle Public Library. A forum was also included in the July 18 Maine Affordable Housing Coalition meeting. In addition, consultation was sought during the August 2018 Balance of State Continuum of Care meeting. The topic of these forums was the allocation of 2019 CDBG, HOME, HTF and ESG funds, and these meetings were held prior to the drafting of the 2019 Annual Action Plan.

Public hearing notices of the Augusta and Presque Isle forums were placed on both the DECD and MaineHousing websites, and stakeholder groups were notified of the forums via email. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and interested individuals.

The forums were also announced via social media with postings on both the MaineHousing Facebook and LinkedIn sites, and Public Hearings were announced in state newspapers two weeks before the meetings were held.

The draft of the 2019 Annual Action Plan was made available on October 23rd for a 30- day public comment period ending November 30th. MaineHousing and DECD held a public hearing on the draft Plan on November 19th. The draft Plan was available on both the MaineHousing and DECD websites. Public comments are attached as an appendix in the Citizens Participation Comments section.

5. Summary of public comments

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

Input received during the public forums was used during the drafting of the Annual Action Plan. Public comments are attached as an appendix in the Citizens Participation Comments section.

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

A summary of public comments received on the draft plan and responses to the comments is attached as an appendix in the Citizen Participation Comments section.

7. Summary

The Maine Department of Economic and Community Development and MaineHousing will be partner agencies for the 2019 Annual Action Plan.

All activities funded in 2019 will address one of the following goals:

- Improve Housing Quality
- Expand the Supply of Affordable Housing
- Help Maine People Attain Housing Stability
- Improve Economic Opportunity
- Improve Public Infrastructure

MaineHousing and DECD followed the State's Citizen Participation Plan for public consultation in the preparation of this plan.

The format of this Plan is mandated by HUD. HUD has provided an online template for grantees as part of its planning and reporting system called IDIS. The questions in bold and many of the tables are created automatically by IDIS. After the Plan is approved by HUD, results of plan goals will be reported each year in the Consolidated Annual Performance Evaluation Report (CAPER), another on-line document which will be produced in IDIS.

PR-05 Lead & Responsible Agencies - 91.300(b)

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

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
Lead Agency	MAINE	MaineHousing
CDBG Administrator	MAINE	Department of Economic & Community Development
HOME Administrator	MAINE	MaineHousing
ESG Administrator	MAINE	MaineHousing
HTF Administrator	MAINE	MaineHousing

Table 1 – Responsible Agencies

Narrative

The Annual Action Plan was developed in partnership between the Maine Department of Economic and Community Development (DECD) and the Maine State Housing Authority (MaineHousing).

MaineHousing is also the Collaborative Applicant for the Maine Continuum of Care (CoC) and the HMIS lead agency.

Consolidated Plan Public Contact Information

MaineHousing has been designated as the lead agency and primary point of public contact on the Annual Action Plan.

AP-10 Consultation - 91.110, 91.300(b); 91.315(l)

1. Introduction

The Annual Action Plan reflects consultation with many agencies, organizations and private citizens of the State of Maine. These groups and individuals represent a variety of housing and community development programs and concerns. Other entities consulted include state and local governments, not-for-profit organizations, regional housing authorities, representatives of the private sector, social services providers, housing providers, and the Continuums of Care among others.

Provide a concise summary of the state's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies

MaineHousing and DECD work closely to ensure that housing providers, private organizations, State and local governmental agencies, service providers, as well as the general public, are consulted during the development of the Annual Action Plan. Participation is encouraged through mailings to targeted individuals and agencies, website postings, and newspaper notices across the state. Public input is received and accepted in the form of telephone consultations, emails, Facebook comments, and testimonies at meetings and hearings.

MaineHousing in partnership with the CoC and the Statewide Homeless Council work toward a shared goal of preventing and eliminating homelessness in Maine.

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

In April of 2017, the Portland Continuum of Care and the Balance of State Continuum of Care chose to combine into a single statewide Maine Continuum of Care (MCoC). The MCoC includes representatives of Health Service Agencies, and entities focused on chronically homeless individual and families, families with children, veterans and unaccompanied youth, as well as persons at risk of homelessness. MaineHousing was an active partner with these groups when they were separate entities and continues involvement by providing staffing support and leadership. The MCoC meets monthly. Topics such as accessing HUD CoC funding, allocation of program resources, development of common assessment tools, performance measurement and HMIS are discussed at these meetings.

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

Consultation on allocation:

Allocation of ESG for the State of Maine is detailed in the Homeless Solutions Rule which is posted on the MaineHousing website (<http://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf>). MaineHousing consulted with the CoC's prior to the adoption of this rule. Additionally, the criteria for receiving ESG funding requires that applicants be regular and active participants of the MCoC. This requirement helps ensure that the ESG awardees have a venue to regularly provide feedback to MaineHousing.

MaineHousing hosted forums for recipients of the Emergency Shelter and Housing Assistance Program (ESHAP) on September 10, 2018 and September 13, 2018. The purpose of the forums was to actively solicit feedback from the ESHAP Grantees on the activities assisted with ESG funds. The forum discussions focused on: Low-barrier, Family, Domestic Violence, Youth, and Adult populations.

Performance Standards and Evaluation:

MaineHousing and the MCoC, through the Homeless Solutions Rule, have developed performance standards. Shelter funding is directly tied to successfully meeting the standards. The performance standards are evaluated regularly by the MCoC.

Policies and Procedures for HMIS:

In collaboration with the MCoC, all HMIS Policies and Procedures, and Governance Documents are updated annually. Additionally, in 2017 the current HMIS vendor contract was reviewed by MaineHousing and the CoC and a Request for Information (RFI) went out to potential vendors. The HMIS RFI resulted in remaining with the current vendor, as recommended by the MCoC.

2. Agencies, groups, organizations and others who participated in the process and consultations

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	MAINE STATE HOUSING AUTHORITY
	Agency/Group/Organization Type	Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Public Housing Needs Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Anti-poverty Strategy Lead-based Paint Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted through Meetings, E-mail and Phone Calls.
2	Agency/Group/Organization	MAINE
	Agency/Group/Organization Type	Other government - State
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Economic Development Anti-poverty Strategy Lead-based Paint Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted through Meetings, E-mail and Phone Calls.
3	Agency/Group/Organization	Kennebec Valley Council of Governments
	Agency/Group/Organization Type	Regional organization Planning organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Economic Development

	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 30th Annual Action Plan Hearing.
4	Agency/Group/Organization	YORK COUNTY COMMUNITY ACTION PROGRAM
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Education
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Economic Development Anti-poverty Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 30th Annual Action Plan Hearing.
5	Agency/Group/Organization	Northern Maine Development Commission
	Agency/Group/Organization Type	Regional organization Planning organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 31st Annual Action Plan Forum.
6	Agency/Group/Organization	FORT KENT
	Agency/Group/Organization Type	Other government - Local

	What section of the Plan was addressed by Consultation?	Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 31st Annual Action Plan Forum.
7	Agency/Group/Organization	CARIBOU
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 31st Annual Action Plan Forum.
8	Agency/Group/Organization	VAN BUREN
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the July 31st Annual Action Plan Forum.
9	Agency/Group/Organization	COMMUNITY HOUSING OF MAINE, INC
	Agency/Group/Organization Type	Housing Services - Housing Business Leaders Civic Leaders
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	See attached public comments

10	Agency/Group/Organization	Shalom House
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with Disabilities Services-homeless
	What section of the Plan was addressed by Consultation?	Homelessness Needs - Veterans Homelessness Strategy Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	See attached public comments
11	Agency/Group/Organization	PREBLE STREET RESOURCE CENTER
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	See attached public comments
12	Agency/Group/Organization	Waterville Community Land Trust
	Agency/Group/Organization Type	Housing

	What section of the Plan was addressed by Consultation?	Housing Need Assessment
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	See attached public comments
13	Agency/Group/Organization	Volunteers of America Northern New England
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with Disabilities
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homelessness Needs - Veterans
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The 2019 Annual Action Plan consultation occurred at the November 19th Annual Action Plan Hearing.

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

Not Applicable; all agencies and stakeholders were encouraged to participate and provide input to the development of the 2019 Annual Action Plan.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	MaineHousing	The Continuum of Care goals have been recognized in the Consolidated Plan and this Annual Action Plan.
Analysis of Impediments to Fair Housing Choice	MaineHousing	The Analysis of Impediments to Fair Housing Choice was updated in 2016 to identify impediments to fair housing choice.
Qualified Allocation Plan	MaineHousing	The Qualified Allocation Plan recognizes the needs and priorities identified in the Consolidated Plan.

Table 3 - Other local / regional / federal planning efforts

Narrative

MaineHousing and DECD acknowledge the HUD goals of narrowing the digital divide and increasing resilience to natural hazards. To that end, MaineHousing included emergency management agencies, the Connect ME Authority and the Maine Broadband Coalition in all Annual Action Plan mailings.

AP-12 Participation - 91.115, 91.300(c)

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

The public consultation process for this plan followed the State's Citizen Participation Plan including public hearings, public forums and meetings with the Continuum of Care. The topic of the consultation was the allocation of 2019 CDBG, HOME, HTF and ESG funds. The 2019 Annual Action Plan forum was on July 31st, 2018 at the Presque Isle Public Library. The Public Hearing occurred on July 30, 2018 in Augusta. Input was also received at the CoC Board Meeting on August 2, 2018 and at the August 16, 2018 CoC meeting. These meetings were held prior to the drafting of the 2019 Annual Action Plan. Input received was used during the drafting of the Annual Action Plan.

Public notices of the Augusta and Presque Isle forums were placed on both the DECD and MaineHousing websites. Stakeholder groups were also notified of the forums via email.

The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and individuals. The public hearing notices encouraged participation by persons with disabilities.

The draft 2018 Annual Action Plan was made available on October 23rd for a 30- day public comment period ending November 30th. MaineHousing and DECD held a public hearing on the draft Plan on November 19th. MaineHousing recieved four letters of public comment during the public comment period. The comments and the associated responses are attached.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Hearing	Non-targeted/broad community	Public Hearing held on July 30, 2018. Five people were in attendance.	Statement of Support for all programs. Commenter finds the programs fair and the funds equitably distributed	None	
2	Public Meeting	Non-targeted/broad community	A Forum was held in Presque Isle on July 31, 2018 to gather input before drafting the plan.	The discussion included questions on rapid rehousing, public facilities funding, funding for Domestic Violence Shelters and the Opioid Crisis	None	
3	Newspaper Ad	Non-targeted/broad community	Notice of the July 30, 2018 public hearing was published in the Kennebec Journal, Portland Press Herald, and Bangor Daily News on July 16th.	None	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
4	Internet Outreach	Non-targeted/broad community	Notice of the July 30, 2018 public hearing and the July 31, 2018 Forum was posted on the MaineHousing and DECD websites. Notice was also emailed to 250 stakeholders.	None	None	
5	Monthly Meeting of the Continuum of Care	Continuum of Care representatives	MaineHousing staff regularly attend Continuum of Care meetings. The August 2, 2018 and the August 16, 2018 meetings included collaboration on the 2019 Annual Action Plan.	Discussion included the scope of the STEP program, ESG funding, the need to develop housing statewide, and resources for long term stayers.	None	
6	Public Meeting	Non-targeted/broad community	MaineHousing staff regularly attend Statewide Homeless Council meetings. The September 11, 2018 meeting included collaboration on the 2019 Annual Action Plan.	Discussion included the need for more multifamily housing, streamlining the STEP process, and resources for long term stayers.		

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
7	Public Hearing	Non-targeted/broad community	Public Hearing held on November 19, 2018. Five people were in attendance.	None	NA	

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.320(c)(1,2)

Introduction

The following table displays the 2019 allocations of CDBG, HOME, ESG and HTF. All funds will be used to address priority needs and leverage other federal, state and local resources.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	11,566,645	0	0	11,566,645	0	The CDBG method of distribution is outlined in the 2019 Program Statement, which is part of this Annual Action Plan.
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	4,060,519	495,864	0	4,556,383	0	MaineHousing allocates HOME funds to multifamily rental new construction, multifamily rental rehab, as well as to TBRA.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,352,454	0	0	1,352,454	0	MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for shelter operations, rapid re-housing, and HMIS data collection costs.
HTF	public - federal	Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership	3,000,000	0	0	3,000,000	0	The Housing Trust Fund will be used to increase the supply of rental housing for extremely low income households

Table 5 - Expected Resources – Priority Table

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

CDBG:

The State of Maine CDGB program requires matching funds for all housing activities, economic development grants, public infrastructure grants and downtown revitalization program funds. The match

consists of a mix of non-CDBG loans, grants, endowments and cash match.

ESG:

The ESG Program requires a dollar-for-dollar match in non-ESG funds. ESG funds are matched with State HOME funds.

HOME:

The HOME Program requires a 25% match on disbursed HOME funds. HOME funds are matched with State of Maine DHHS funding for services used by STEP clients, as well as interest savings on below market rate loans. Typical multi-family developments utilize both HOME and Low Income Housing Tax Credits for development costs.

HTF:

The HTF program does not include a matching requirement. However, the HTF Allocation Plan and the associated HTF RFP identifies a preference in the selection of projects based on committing non-federal resources to a project.

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

Not applicable

Discussion

Please see above

Annual Goals and Objectives

AP-20 Annual Goals and Objectives – 91.320(c)(3)&(e)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Increase the Quality and Supply of Rental Housing	2015	2019	Affordable Housing	State Of Maine	Expand the Supply of Affordable Housing	CDBG: \$1,000,000 HOME: \$2,254,467 HTF: \$2,700,000	Rental units constructed: 100 Household Housing Unit Rental units rehabilitated: 55 Household Housing Unit
2	Increase Use of Rapid Re-Housing	2015	2019	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$1,400,000 ESG: \$625,510	Tenant-based rental assistance / Rapid Rehousing: 140 Households Assisted
3	Support Emergency Shelter Operations & Services	2015	2019	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$625,510	Homeless Person Overnight Shelter: 6200 Persons Assisted
4	Improve the Quality of Existing Housing	2015	2019	Affordable Housing	State Of Maine	Improve Housing Quality	CDBG: \$2,700,000	Rental units rehabilitated: 30 Household Housing Unit Homeowner Housing Rehabilitated: 400 Household Housing Unit
5	Improve Public Infrastructure	2015	2019	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure	CDBG: \$3,400,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 2500 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Improve Economic Opportunity	2015	2019	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$3,150,000	Jobs created/retained: 120 Jobs Businesses assisted: 125 Businesses Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Increase the Quality and Supply of Rental Housing
	Goal Description	<p>The Rental Loan Program (RLP) provides long-term mortgage financing at attractive interest rates for development of affordable rental housing in projects of five or more units.</p> <p>One goal of the RLP is to provide mortgage financing that enables federal low income housing tax credits to be utilized.</p> <p>Program objectives are:</p> <ul style="list-style-type: none"> • Maximize use of tax exempt bonds to develop affordable housing. • Provide affordable mortgage financing that enables developers to utilize low income housing tax credits. • Provide below-market, 30 year fixed rate notes that enable project viability. • Provide capital for preservation of existing rental housing. <p>This program is a companion to the Low Income Tax Credit (LIHTC) program, and provides subsidized financing to enable use of tax credits. Administrative guidance for the Rental Loan Program is provided through the Rental Loan Program Guide, which is available at www.mainehousing.org. Administrative guidance for the Low Income Housing Tax Credit Program is provided through a rule making process which is required to establish the Allocation of State Ceiling for Low Income Housing Tax Credit.</p> <p>Housing Assistance Grant Program</p> <p>This program provides resources to communities to address their rental housing needs. They can address existing housing rehabilitation and/or conversion of properties to housing.</p> <p>Housing Trust Fund</p> <p>In addition to the Rental Loan Program and the Housing Assistance Grant Program, the Housing Trust Fund will be used to increase the supply of rental housing for extremely low income households. This program will produce, preserve, and rehabilitate rental housing.</p>

2	Goal Name	Increase Use of Rapid Re-Housing
	Goal Description	MaineHousing's Homeless Solutions Rule (see appendix) states that all grantees will provide services based upon Rapid Re-Housing or Housing First tenets. Grantees are given access to short, medium, and long-term rapid re-housing resources to assist them in achieving this goal. Shelters are provided training on Rapid Re-Housing and Housing First principals and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services and concepts. All shelter households who are in shelter greater than 30 days must be assessed via the VI SPDAT, or other standardized housing assessment and prioritization tools such as the Maine CoC Housing Prioritization Chart, to prioritize and place households on the appropriate track for available housing as quickly and efficiently as possible. The expected Performance Outcomes that determine the funding level for each grantee are also intrinsically tied to increasing the use of Rapid Re-housing resources and concepts.
3	Goal Name	Support Emergency Shelter Operations & Services
	Goal Description	The current funding formula allocates 50 percent of the total ESG funding for Shelter Operations, to be disbursed to the 37 eligible shelters. Each Emergency Shelter receives a percentage equal to the Emergency Shelter's Bed Capacity divided by total Bed Capacity available statewide for the calendar year. Agencies receive scheduled payments on a quarterly basis.
4	Goal Name	Improve the Quality of Existing Housing
	Goal Description	See attached CDBG Program Statement
5	Goal Name	Improve Public Infrastructure
	Goal Description	See attached CDBG Program Statement
6	Goal Name	Improve Economic Opportunity
	Goal Description	See attached CDBG Program Statement

AP-25 Allocation Priorities – 91.320(d)

Introduction:

MaineHousing anticipates using funds as follows:

Rental Housing: \$2,254,467 HOME -- The Rental Loan Program

\$2,700,000 HTF

Rental Assistance: \$1,400,000 2019 HOME - Stability Through Engagement Program (TBRA)

\$495,864 HOME Program Income Funds

Emergency homeless shelter operations & essential services: \$625,510 ESG

Rapid Rehousing (ESHAP): \$625,510 ESG

Percentages in the table below do not include the administrative set-aside.

See attached CDBG Program Statement

Funding Allocation Priorities

	Increase the Quality and Supply of Rental Housing (%)	Increase Use of Rapid Re- Housing (%)	Support Emergency Shelter Operations & Services (%)	Improve the Quality of Existing Housing (%)	Improve Public Infrastructure (%)	Improve Economic Opportunity (%)	Total (%)
CDBG	10	0	0	20	35	35	100
HOME	54	46	0	0	0	0	100
ESG	0	50	50	0	0	0	100

HTF	100	0	0	0	0	0	100
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Table 7 – Funding Allocation Priorities

Reason for Allocation Priorities

The funding listed above is reflective of program history and public input. Allocation amounts are based on demand and capacity of the agencies.

MaineHousing strives to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.

How will the proposed distribution of funds will address the priority needs and specific objectives described in the Consolidated Plan?

The proposed 2019 funding allocations address the priorities and goals outlined in the Five-Year Consolidated Plan. The distribution of funds will follow the priorities set forth in the Consolidated Plan:

- Increase the Quality and Supply of Rental Housing
- Increase Use of Rapid Re-Housing
- Support Emergency Shelter Operations & Services
- Improve the Quality of Existing Housing
- Improve Public Infrastructure
- Improve Economic Opportunity

AP-30 Methods of Distribution – 91.320(d)&(k)

Introduction:

This section summarizes the Method of Distributions (MOD) used to allocate CDBG, HOME, HTF and ESG funds. The housing and community development needs statewide exceed the available resources to address them.

Distribution Methods

Table 8 - Distribution Methods by State Program

1	State Program Name:	Community Development Block Grant (CDBG)
	Funding Sources:	CDBG
	Describe the state program addressed by the Method of Distribution.	See attached 2019 CDBG Program Statement
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	See attached 2019 CDBG Program Statement

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>See attached 2019 CDBG Program Statement</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>See attached 2019 CDBG Program Statement</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

Describe how resources will be allocated among funding categories.	See attached 2019 CDBG Program Statement
Describe threshold factors and grant size limits.	See attached 2019 CDBG Program Statement
What are the outcome measures expected as a result of the method of distribution?	The CDBG program anticipates assisting over 2000 households with CDBG funds
State Program Name:	Emergency Shelter and Housing Assistance Program (ESHAP) (ESG)

2	Funding Sources:	ESG
	Describe the state program addressed by the Method of Distribution.	In consultation with the MCoC and in partnership with housing assistance agencies throughout the state, MaineHousing offers the ESHAP Program for individuals and families who are experiencing homelessness. The funding formula allocation is detailed in the Homeless Solutions Rule.
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>To be eligible to receive emergency shelter funds an applicant must:</p> <ul style="list-style-type: none"> • Be a 501(c)(3) not-for-profit organization. • Be eligible in accordance with the HEARTH Act. • Be a provider of homeless services with at least one year of experience providing emergency housing, street outreach, homeless prevention or Rapid Re-Housing services. • Be a regular and active participant in the Maine Continuum of Care. • Have a board/advisory board that includes at least one person who is homeless or formerly homeless who is involved in policy or public planning of the organization. • Participate in the Coordinated Entry System. • Not engage in any explicitly religious activities, such as worship or religious instruction. If religious activities are offered, they must occur at a separate time or location from the activities and services covered in this rule. • Participate in the Housing Management Information System (HMIS) or a comparable database for victims of domestic violence and meet performance and reporting requirements. <p>For a complete list of requirements, see the Emergency Shelter and Housing Assistance Program Guide and Application (http://www.mainehousing.org/docs/default-source/homeless/eshap/2018-eshap-program-guide-application.pdf) .</p> <p>Applicants are funded through a threshold requirement. If applicants meet all criteria listed in the ESHAP Guide and Application, they will receive a percentage of funding as outlined in the Homeless Solutions Rule.</p>

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>The Emergency Shelter and Housing Assistance Program funds are distributed as follows:</p> <p>Operations Share. An amount equal to 40 percent of funds are disbursed among eligible agencies with a fixed facility, such that each Emergency Shelter will receive a percentage equal to the Emergency Shelter's Bed Capacity divided by a number equal to the total Bed Capacity of eligible agencies statewide. Agencies are reimbursed on a quarterly basis.</p> <p>Stabilization Share. An amount equal to 40 percent of the funds are disbursed among eligible agencies. Each agency that provides staffing for Rapid Re-housing, Housing First, and Housing Stabilization services and meets certain benchmarks are eligible to receive a percentage of the Stabilization Share. This share is equal to the agency's number of clients assessed, stabilized, housed, and receiving services, divided by the total number of clients assessed, stabilized, housed, and receiving services of all the agencies that meet the benchmarks. Agencies are reimbursed on a quarterly basis.</p> <p>Performance Share. An amount equal to 20 percent of the funds is made available to eligible agencies that provide successful housing outcomes based on performance indicator data in HMIS (or in a comparable database for providers of services to victims of domestic violence). The percentage of funding a provider receives for each performance measure met is equal to the number of clients served by the provider divided by the total number of clients served by all of the providers that have met the respective performance measure benchmark in the previous six months. Agencies receive performance based payments on a semi-annual basis.</p>

Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)	
Describe how resources will be allocated among funding categories.	See description above.
Describe threshold factors and grant size limits.	Grants are based upon the threshold as described in the Maine Homeless Solutions Rule . MaineHousing uses up to 50 percent of ESG funding for emergency shelter operations and the remaining funds for Rapid Re-housing, incentives, relocation, and performance payments.

	What are the outcome measures expected as a result of the method of distribution?	<p>MaineHousing provided emergency shelter for 6,748 people in 2017, and we anticipate serving a like amount in 2019. All shelters receiving funding will be tracked on performance benchmarks and will receive additional funding depending on their ability to meet these benchmarks.</p> <ul style="list-style-type: none"> • 75 – 100% of clients will complete an initial assessment which must include the VI SPDAT within 30 days of entry to their program. • 75 – 100% of clients with assessment scores greater than 3 have a Housing Stability Plan (HSP). • 90 – 100% of current client's receive service for 30 days. • Percentage of clients exiting to permanent housing • Percentage of clients that return to emergency shelter.
3	State Program Name:	Housing Trust Fund
	Funding Sources:	HTF
	Describe the state program addressed by the Method of Distribution.	The HTF has been allocated entirely to supportive rental housing for extremely low income individuals. Eligible activities will include acquisition and rehabilitation of existing housing units, adaptive re-use of existing buildings, or new construction of rental housing units.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>MaineHousing will distribute HTF funds through a competitive process by selecting applications that are submitted by eligible recipients. MaineHousing will issue a Request for Proposals to eligible applicants that will assign scoring based upon a combination of the required selection criteria located at 24 CFR§91.320[k][5] and selection criteria adopted by MaineHousing. The selection criteria will be included in the Request for Proposals and will include all of the following (listed in order of highest priority to least priority):</p> <p>Threshold Criteria: (Required for the application to be eligible)</p> <p><i>For rental housing, the duration of the units' affordability period</i></p> <p>MaineHousing will require that affordability be for a 45 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.</p> <p>Selection Criteria</p> <ol style="list-style-type: none"> 1. <i>Extent to which the applicant will provide housing and services to vulnerable populations.</i> Applicants will receive points for projects that serve the specific needs of vulnerable populations. The degree of need for the populations served, and appropriateness of plans for providing services to tenants will be evaluated. MaineHousing will award additional scoring points to applicants serving the homeless population. 2. <i>Applicants' ability to obligate HTF funds in a timely manner.</i> Applicants will be evaluated on project readiness, including items like local approvals, architectural plans and site control. Additionally, MaineHousing will consider their track-record for developing projects successfully within a reasonable timeframe. 3. <i>Applicant's ability to undertake required eligible development activities.</i> Applicants will be evaluated on their development capacity and experience with public sector housing development programs. Past experience of members of the development team will be considered.
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		<p>4. <i>Extent to which the application makes use of additional funding sources.</i> Applicants will be evaluated on the quantity, quality and timeliness of leveraged funding (other than MaineHousing resources) that will be committed to the proposed project. Additional points may be awarded to projects that leverage a greater amount of non-federal funding.</p> <p>5. <i>Amount of Federal, State, or local project-based rental assistance to ensure rents are affordable to extremely low-income families.</i> MaineHousing may make Section 8 Housing Choice Vouchers available on a “project-based” basis for eligible units funded with HTF. Applicants will receive points for projects that include project-based vouchers from other entities.</p> <p>6. <i>Priority based upon underserved areas.</i> MaineHousing will regard the entire State of Maine as the eligible area for purposes of the HTF. However, applicants will receive points for projects that will be developed in locations that have been designated as high opportunity areas or areas that are underserved.</p> <p>7. <i>Merits of the application in meeting the State’s housing priority needs.</i> All applications will be required to address one or more of the following Consolidated Plan priorities: Improve Housing Quality, Expand the Supply of Affordable Housing, and/or Help Maine People Attain Housing Stability.</p>
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<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

Describe how resources will be allocated among funding categories.	<p>The FY 2019 HTF Allocation Amount is \$3,000,000, of that \$2,700,000 is for direct investment in unit production. HUD regulations allow MaineHousing to use up to ten percent (\$300,000) of the state allocation for reasonable costs to administer the HTF. There is a \$900,000 per project maximum allocation.</p> <p>Funds remaining after distribution under the competitive process may be distributed by MaineHousing to successful applicants under the 2019 Low Income Housing Tax Credit Qualified Allocation Plan that were awarded a point for agreeing to accept an HTF allocation.</p>
Describe threshold factors and grant size limits.	See Above
What are the outcome measures expected as a result of the method of distribution?	MaineHousing expects to commit to 15 to 20 rental units using the HTF within twelve months of receiving an award of the funds from HUD. These units will serve 15 to 20 extremely low income households.
State Program Name:	Rental Loan Program

4	Funding Sources:	HOME
	Describe the state program addressed by the Method of Distribution.	<p>The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine.</p> <p>Preservation may include federally-assisted housing, such as HUD 202, HUD 811 and Rural Development 515 properties at risk of being lost due to the expiration of federal rental assistance contracts, physical or financial deterioration, and/or owners opting out of federal housing programs.</p> <p>To achieve the goals of this Program, MaineHousing will make various resources available in the form of amortizing loans, deferred payment loans and/or grants under this Program or in conjunction with the Program from time to time, including without limitation, the following resources:</p> <ul style="list-style-type: none"> • taxable bond proceeds; • private activity tax-exempt bonds; • 501(c)(3) or governmental unit tax-exempt bond proceeds; and • subsidy resources. <p>These resources are usually combined with equity generated from the syndication of Low Income Housing Tax Credits (LIHTC). Competitive credits and “automatic” credits are awarded in accordance with Maine’s Qualified Allocation Plan.</p> <p>MaineHousing attempts to maximize the benefit of these limited resources by combining the resources and encouraging applicants to seek other non-MaineHousing resources.</p> <p>Amortizing loans, funded with the proceeds of taxable or tax-exempt bond proceeds, for developments that do not need MaineHousing subsidy are available typically on a walk-in basis.</p> <p>MaineHousing allocates competitive low income housing tax credits separately under MaineHousing’s Low Income Housing Tax Credit Program. All applicants who are awarded low income housing tax credits on a competitive basis or are eligible for “automatic” low income housing tax credits must comply with the applicable Qualified Allocation Plan.</p> <p>MaineHousing may make various discretionary subsidy resources available from time to time.</p>

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Qualified developers may apply. Applicants must:</p> <ul style="list-style-type: none"> • Demonstrate previous successful experience in the development of similar projects. • Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing. • Have control of the development site. • Demonstrate they will provide the required number of lower income units. <p>In addition, the management agent for the housing must demonstrate successful experience in managing similar properties.</p> <p>MaineHousing generally selects those developments that will provide the greatest amount of long term, low-income housing at the least cost of taxpayer subsidy dollars.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)	
Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)	
Describe how resources will be allocated among funding categories.	HOME funds allocated to the Rental Loan Program are expected to be used for the construction of new units.

	Describe threshold factors and grant size limits.	<p>A. Combination of Available Resources</p> <p>MaineHousing attempts to maximize the impact of the limited resources it has available by combining resources and encouraging applicants to seek other non-MaineHousing sources of funding.</p> <p>B. Tax-exempt Bond Financing</p> <p>MaineHousing may issue tax-exempt bonds under Section 142(d) or Section 145 of the Internal Revenue Code (Code) as a source of funding under the Program. The Code imposes certain requirements and limitations on the use of tax-exempt bond proceeds. There may be additional requirements under the Program.</p> <p>C. Non Tax Exempt Proceeds</p> <p>Non tax exempt proceeds are used mostly in conjunction with an allocation of low income housing tax credits under the competitive Low Income Housing Tax Credit Program.</p> <p>D. Subsidy Resources</p> <p>Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource.</p>
	What are the outcome measures expected as a result of the method of distribution?	MaineHousing expects to produce 100 new rental units.
5	State Program Name:	Stability through Engagement Program (STEP)
	Funding Sources:	HOME

Describe the state program addressed by the Method of Distribution.	STEP is designed to provide short and medium term rental assistance for up to 24 months to help individuals and families achieve housing stability. The focus is on rapidly re-housing people that meet the definition of homelessness outlined in 42 USC § 11302. Referrals to the STEP Program can only be made by the Housing Navigators.
Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>Rapid Re-housing participants may be eligible to receive short and medium term rental assistance, for a maximum of 24 months, through STEP if they meet the following requirements (unless prohibited by VAWA):</p> <ul style="list-style-type: none"> • Staying in or working with an ESHAP provider. • Enrolled and participating in ESHAP with an approved Housing Stability Plan. • Continued contact with their Housing Navigator to review progress no less than every 30 days. • Reassessment to evaluate if continued assistance is necessary every 90 days. <p>See STEP Administrative Plan for detail (https://mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-general/step-program-guide.pdf?sfvrsn=71baa015_38) .</p>
If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not Applicable</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	
<p>Describe how resources will be allocated among funding categories.</p>	<p>Not Applicable</p>

<p>Describe threshold factors and grant size limits.</p>	<p>Not Applicable</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The goal for the STEP program is to administer 140 STEP coupons to rapidly re-house individuals and/or families experiencing homelessness. Program Expectations include the following (unless prohibited by VAWA):</p> <ul style="list-style-type: none"> • 100 percent of program participants will be provided a comprehensive assessment of their needs, barriers that threaten housing stability, and a plan of action to achieve housing stability. • 100 percent of program participants will be assisted with search and placement for adequate housing, including subsidized housing programs. • 100 percent of program participants will be provided with coordination of services and advocacy as determined by the housing stability assessment and plan of action. • 100 percent of program participants will be provided ongoing navigation services beyond shelter to ensure implementation of the housing stability plan of action and positive outcomes.

Discussion:

The method of distribution above relates to money budgeted to the programs mentioned. Administrative costs are partially covered by 10 percent of the annual HOME and HTF allocations and 7.5 percent of the annual ESG allocation.

AP-35 Projects – (Optional)

Introduction:

A description of projects is optional for States.

#	Project Name
1	HOME19 ADMIN
2	HOME19 TBRA
3	HOME19 Rental Loan Program
4	ESG19 Maine
5	HTF19 ADMIN
6	HTF19 Projects

Table 9 – Project Information

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

Allocation priorities are based on demand and capacity of the agencies.

MaineHousing strives to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.

AP-38 Project Summary

Project Summary Information

1	Project Name	HOME19 ADMIN
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	HOME: \$406,052
	Description	HOME ADMIN and Program Income Admin
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
2	Project Name	HOME19 TBRA
	Target Area	State Of Maine
	Goals Supported	Increase Use of Rapid Re-Housing
	Needs Addressed	Help Maine People Attain Housing Stability
	Funding	HOME: \$1,895,864

	Description	STEP (TBRA) is designed to provide short and medium term rental assistance for 24 months to help individuals and families achieve housing stability. The focus is on rapidly re-housing people who are currently experiencing homelessness. Referrals to the STEP Program can only be made by Housing Navigators.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	140 Households
	Location Description	
	Planned Activities	
3	Project Name	HOME19 Rental Loan Program
	Target Area	State Of Maine
	Goals Supported	Increase the Quality and Supply of Rental Housing
	Needs Addressed	Expand the Supply of Affordable Housing
	Funding	HOME: \$2,254,467
	Description	The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
4	Project Name	ESG19 Maine
	Target Area	

	Goals Supported	
	Needs Addressed	
	Funding	ESG: \$1,352,454
	Description	MaineHousing plans to use the 2019 allocation of ESG funds to provide grants to emergency shelters serving people who are homeless. Grants may be used for shelter operations, rapid re-housing, and HMIS data collection costs.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	6200 Persons Assisted
	Location Description	
	Planned Activities	
5	Project Name	HTF19 ADMIN
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	HTF: \$300,000
	Description	
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	

6	Project Name	HTF19 Projects
	Target Area	State Of Maine
	Goals Supported	Increase the Quality and Supply of Rental Housing
	Needs Addressed	Expand the Supply of Affordable Housing
	Funding	HTF: \$2,700,000
	Description	The HTF has been allocated entirely to rental housing. Eligible activities will include acquisition and rehabilitation of existing housing units, adaptive re-use of existing buildings, or new construction of rental housing units.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	

AP-40 Section 108 Loan Guarantee – 91.320(k)(1)(ii)

Will the state help non-entitlement units of general local government to apply for Section 108 loan funds?

No

Available Grant Amounts

Acceptance process of applications

AP-45 Community Revitalization Strategies – 91.320(k)(1)(ii)

Will the state allow units of general local government to carry out community revitalization strategies?

No

State's Process and Criteria for approving local government revitalization strategies

AP-50 Geographic Distribution – 91.320(f)

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

The State of Maine does not prioritize the allocation of CDBG, HOME, HTF or ESG funds geographically. Income eligible citizens, Community Housing Development Organizations, eligible HTF recipients, and housing developers may apply for grants or loans from anywhere in Maine. Low Income Housing Tax credit priorities include projects in rural areas and Difficult to Develop Areas.

Geographic Distribution

Target Area	Percentage of Funds
State Of Maine	100

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The State of Maine has not chosen to target particular geographical areas for special assistance.

Discussion

Please see above

Affordable Housing

AP-55 Affordable Housing – 24 CFR 91.320(g)

Introduction:

Affordable housing goals vary by program and the population to be served. Data in the following tables may overlap due to programs that assist both households as well as individuals.

The term affordable housing used in 24 CFR 92.252 and 92.254 includes several elements that are not requirements of ESG and CDBG. Therefore, only HOME and HTF units that receive federal assistance that can be assured of meeting the standard of "affordable housing" are described here.

One Year Goals for the Number of Households to be Supported	
Homeless	140
Non-Homeless	115
Special-Needs	0
Total	255

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

One Year Goals for the Number of Households Supported Through	
Rental Assistance	140
The Production of New Units	100
Rehab of Existing Units	15
Acquisition of Existing Units	0
Total	255

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

Discussion:

The goals listed above are in relation to HOME and HTF funding only. Additional households will be assisted with other programs offered by MaineHousing and DECD.

AP-60 Public Housing - 24 CFR 91.320(j)

Introduction:

The State of Maine does not operate any public housing units directly, nor does it receive any funding to do so. When requested, MaineHousing reviews Annual and Five-Year Plans of public housing authorities and issues certifications to those that are consistent with Maine's Consolidated Plan.

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

While MaineHousing does not have jurisdiction over public housing agencies, several public housing authorities and other housing and community development agencies are required to obtain a certification that their program plans are consistent with the State of Maine Consolidated Plan. The State Consolidated Plan serves the majority of the state since only a few local jurisdictions develop Consolidated Plan documents. In 2019 MaineHousing will serve as the lead agency for reviewing housing plans for consistency with the housing component of the State Consolidated Plan

MaineHousing has both a PHA Permanent Financing Demonstration Program and a PHA Short Term Financial Demonstration Program available to assist PHA's in financing housing development related costs, including acquisition and rehabilitation costs.

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

Public housing residents are encouraged to participate in the home buyer programs offered through MaineHousing and its participating lenders, as long as they meet eligibility criteria.

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

MaineHousing is not designated as a troubled PHA.

Discussion:

AP-65 Homeless and Other Special Needs Activities – 91.320(h)

Introduction

The Emergency Solutions Grant (ESG) program is designed to help with: operating shelter costs as well as health, employment, and housing services; rapid re-housing and housing stabilization services for homeless individuals and families; and HMIS data collection. This funding opportunity is available to existing emergency shelters throughout the state sponsored by not-for-profit organizations and local municipalities. Administrative guidance for the Emergency Solutions Grant Program is provided through the Homeless Solutions Rule and the STEP Admin plan.

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

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

MaineHousing's Homeless Solutions Rule states that all grantees will provide services based upon Rapid Re-Housing or Housing First tenets. Grantees are given access to short, medium, and long-term rapid re-housing resources to assist them in achieving this goal. Shelters are provided training on Rapid Re-Housing and Housing First principals and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services and concepts. All shelter households who are in shelter greater than 30 days must be assessed via the VI SPDAT, or other standardized housing assessment and prioritization tools, such as the Maine CoC Housing Prioritization Chart, to prioritize and place households on the appropriate track for available housing as quickly and efficiently as possible.

Addressing the emergency shelter and transitional housing needs of homeless persons

ESG funding will be utilized for shelter operations and rapid re-housing activities, as well as HMIS data collection. The ESG shelter funding one-year goal is to provide assistance to 6,200 persons served by 37 ESG funded shelters.

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

There are a number of programs and services that will continue in 2019 to assist homeless persons make the transition to permanent housing, help reduce the length of time people experience homelessness, and help

prevent them from becoming homeless again.

- PATH serves at-risk individuals and families with unmet mental illness or co-occurring disorders.
- The SSVF Program provides outreach and case management to at-risk veterans' families statewide.
- Pine Tree Legal Assistance helps people prevent evictions in larger cities.
- Maine DHHS uses some BRAP (Bridging Rental Assistance Program) funds for homelessness prevention.
- MaineHousing provides ESG funding and the ESHAP program to 37 shelters.

The “long term stayers” (in shelter over 180 days) initiative prioritizes Shelter Plus Care vouchers to house the chronically homeless and long term stayers with mental illness & co-occurring disorders in shelters. Emergency Shelters will continue to be funded with an emphasis on performance measures that reduce the length of time homeless and increase the number of households able to obtain and maintain permanent housing.

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

Foster Care: Maine DHHS contracts with nonprofit youth service providers statewide to help youth and families develop healthy transition plans and help youth obtain Transitional Housing, Permanent Housing, and Permanent Supportive Housing, or remain in care until they have finished their education. Providers actively monitor teens who are discharged from foster care to the streets or shelters, and advocate with Maine DHHS for improved policies and resources.

Health Care: Hospital Discharge Planning Guidelines have been developed by the Statewide Homeless Council and Maine hospitals regarding the discharge of homeless patients. The Guidelines instruct hospitals to begin the discharge planning process upon admission. Patients are to be discharged with appropriate clothing and with a plan for accessing required medications/supplies. MCoC members also monitor discharges to shelters and follow up with hospitals as needed. Each Maine hospital or community discharge location must designate a management team member to oversee ongoing compliance with the Guidelines.

Mental Health: The Guidelines above also include discharge planning for patients with mental health issues, instructing hospitals to begin the discharge planning process upon admission, and working with appropriate providers. MCoC members monitor discharges of patients with mental illness to shelters and follow up as necessary. The Statewide Homeless Council is leading an effort to create a Medicaid Waiver for long-term homeless individuals that will improve care options. Placement options include family, residential treatment facilities, market rate apartments, boarding homes, and other federal-, state- or locally-funded housing options (such as Section 515 rental units, LIHTC-funded projects, HOPWA-funded housing, local- or state-funded residential recovery or transitional housing, group homes, and/or halfway houses). Individuals needing higher

levels of medical care may be placed in private non-medical institutions.

Corrections: The Statewide Homeless Council and MCoC do not support any policy that releases inmates to shelters. Although no specific Department of Corrections (DoC) policy exists to prevent release of offenders to shelters, Maine DoC's goal is to prevent release to shelters. To achieve this goal, DoC's policy is to begin pre-release planning 45 days prior to release (County jails begin pre-release planning at 90 days). MCoC providers work collaboratively with prison staff to help find community housing and supportive services (when needed) for inmates following release. STEP vouchers are also available with very limited parameters.

Discussion

AP-75 Barriers to affordable housing – 91.320(i)

Introduction:

In 2015 MaineHousing updated the Maine Analysis of Impediments to Fair Housing Choice (AI). The process included discussions focused on potential impediments to affordable housing in Maine with business partners including the Department of Community Economic Development, the Maine Human Rights Commission, developers, realtors, providers of services to older adults, and lenders.

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

Research conducted for the State of Maine's Analysis of Impediments identified the following impediments to fair housing.

1. Lack of Affordable Housing
2. Racial, Ethnic and Cultural Barriers
3. Community Planning and Zoning Decisions that Impede Affordable Housing
4. Lack of Availability and Access to housing for disabled individuals
5. Limited access to neighborhood opportunities and community assets
6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing

The AI identifies actions and measureable outcomes to address these impediments. Action types include:

- Data Collection and Analysis
- Program Design
- Education and Outreach
- Evaluation

Discussion:

Results of actions taken to address the identified impediments to fair housing are reported in the Consolidated Annual Performance and Evaluation Report (CAPER), which is submitted annually to HUD.

AP-85 Other Actions – 91.320(j)

Introduction:

This section describes a variety of other efforts the state will continue during the program year to help address housing and community development needs.

Actions planned to address obstacles to meeting underserved needs

MaineHousing and the Department of Economic and Community Development will continue to encourage qualified applicants to apply for CDBG, HOME, HTF and ESG funds.

Actions planned to foster and maintain affordable housing

The activities to foster and maintain affordable housing include the production of new units, and financing home purchase and home rehabilitation.

The State utilizes other programs to help foster and maintain affordable housing including:

- Low Income Housing Tax Credits (LIHTC)
- the Housing Choice Voucher program; and
- the Low Income Heating Assistance Program (HEAP) and the Weatherization program

Actions planned to reduce lead-based paint hazards

MaineHousing currently administers a HUD-funded Lead Hazard Reduction Demonstration Grant Program that provides 0%, deferred forgivable loans to owners to make their properties lead safe for low-income renters. The entire amount of the loan is forgiven after 3 years, provided that the property hasn't been refinanced or sold during that time and that the units remain affordable (50% -80% of AMI). Single-family, owner-occupied homes receive assistance in the form of a grant. This program also includes a comprehensive Healthy Homes assessment and intervention component which addresses a variety of health and safety related housing conditions such as indoor allergen reduction, injury prevention (falls, electrical hazards, etc.), carbon monoxide and radon, and excess heat and cold.

In July 2018, the State of Maine awarded \$4 million (one time funding) for MaineHousing to establish and administer a program to abate lead paint hazards in residential housing. It is anticipated that this new state-funded Lead-Based Paint Hazard Abatement Program will be deployed in November 2018. This Program provides 0 percent, deferred forgivable loans to owners to make their properties lead safe for low-income renters (at or below 100% AMI). The entire amount of the loan is forgiven after 4 years, provided that the property hasn't been refinanced or sold during that time and that the units remain affordable (Fair Market Rent rates). Single-family, owner-occupied homes receive assistance in the form of a grant. This Program is being designed and implemented to complement the HUD Lead Hazard Reduction Demonstration Grant Program versus competing with it.

Achieving lead safe homes is accomplished by using licensed lead abatement contractors to abate lead-based

paint hazards and may involve interior and exterior work. Lead-based paint abatement measures taken are based on a lead design plan and may include paint removal or stabilization, encapsulation or replacement of siding, as well as door and window replacements.

Actions planned to reduce the number of poverty-level families

The State of Maine has not formally adopted a statewide anti-poverty strategy. However, the strategy and goals of the Five-Year Consolidated Plan and the Annual Action Plan directly address the issues of individuals who are living in poverty.

In Maine, there is a statewide network of Community Action Agencies (CAAs) with a common purpose of providing services to low income people across Maine. The goal of these agencies is to empower low income people to lift themselves and their families out of poverty.

Actions planned to develop institutional structure

The State of Maine has an efficient institutional structure through which housing and community development programs are delivered. DECD is the administrator of CDBG funds and MaineHousing is the administrator of HOME, HTF and ESG funding. Both MaineHousing and DECD participate in a number of standing meetings with representatives from state and local government, the Continuum of Care, and not-for-profit and private providers of housing, homelessness and economic development services.

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

A number of private sector, public and social service agencies have been involved in the Consolidated Planning process. Continued coordination with these groups will be a key to the success of the plan. MaineHousing plans to maintain communications with pertinent individuals and groups, both via traditional methods and through new technologies (e.g. on-line meetings, internet-based survey's, etc.)

Both MaineHousing and DECD are members of many different trade organizations and advisory boards. This involvement provides an opportunity to enhance coordination. Additionally both agencies participate in a number of standing meetings with representatives from state and local government, not-for-profit and private providers of housing, economic development organizations, the Continuum of Care and homelessness services.

Discussion:

Please see above

Program Specific Requirements

AP-90 Program Specific Requirements – 91.320(k)(1,2,3)

Introduction:

HOME, HTF, ESG and CDBG funding is open to all eligible applicants. The Rental Loan Program Guide, the CDBG Program Statement, the Homeless Program Rule, the ESHAP Program Guide, the STEP Program Guide, and the Consolidated Plan outline the respective programs.

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.320(k)(1)

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

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

Other CDBG Requirements

- | | |
|---|--------|
| 1. The amount of urgent need activities | 0 |
| 2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan. | 80.00% |

HOME Investment Partnership Program (HOME)

Reference 24 CFR 91.320(k)(2)

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

Maine utilizes only the forms of investment included in Section 92.205.

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for

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homebuyer activities as required in 92.254, is as follows:

MaineHousing does not intend to use HOME funds for homebuyer activities.

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

MaineHousing does not intend to use HOME funds for homebuyer activities.

4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:

The MaineHousing Rental Loan Program Guide is the document which governs lending activities, including those projects financed with HOME funds. The RLP Guide specifically refers to compliance with 24 CFR Part 92 for any project which uses HOME funds. The RLP Guide describes eligible applicants and the application process. The RLP Guide is available on the MaineHousing website <http://www.mainehousing.org/programs-services/housing-development/developmentdetails/RentalLoan> >

The refinancing requirements include the following conditions:

- Demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing.
- Require a review of management practices to demonstrate that disinvestment in the property has not occurred; that long-term needs of the project can be met; and that the feasibility of serving the targeted population over an extended affordability period can be demonstrated.
- State whether the new investment is being made to maintain current affordable units, create additional affordable units, or both.
- Specify the required period of affordability, whether it is a minimum 15 years or longer.
- Specify whether the investment of HOME funds may be state-wide or limited to a specific geographic area, such as a community identified in a neighborhood revitalization strategy under 24 CFR 91.315(g) or a federally designated Empowerment Zone or Enterprise Community.
- State that HOME funds cannot be used to refinance multifamily loans made or insured by any federal program, including the CDBG program.

Emergency Solutions Grant (ESG)
Reference 91.320(k)(3)

1. Include written standards for providing ESG assistance (may include as attachment)

Please see the CoC Emergency Solutions Grant (ESG) Written Standards dated August 29, 2016 (<https://www.mainehousing.org/docs/default-source/homeless/eshap/maine-esg-written-standards.pdf>).

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

Please see the attached CoC Joint Coordinated Entry System for the state of Maine's Continuums of Care Written Standards.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

NA

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

MaineHousing and its ESG Grantees currently meet the homeless participation requirement in 24 CFR 576.405(a).

5. Describe performance standards for evaluating ESG.

With assistance from HUD Technical Assistance, a new monitoring tool, which includes a risk analysis score, and a CoC reporting mechanism has been created and is currently in use. Using these tools, a written report will be presented to the CoC at least annually.

Housing Trust Fund (HTF)
Reference 24 CFR 91.320(k)(5)

1. How will the grantee distribute its HTF funds? Select all that apply:

☒ Applications submitted by eligible recipients

2. If distributing HTF funds through grants to subgrantees, describe the method for distributing HTF funds through grants to subgrantees and how those funds will be made available to state agencies and/or units of general local government. If not distributing funds through grants to subgrantees, enter “N/A”.

N/A

3. If distributing HTF funds by selecting applications submitted by eligible recipients,

a. Describe the eligibility requirements for recipients of HTF funds (as defined in 24 CFR § 93.2). If not distributing funds by selecting applications submitted by eligible recipients, enter “N/A”.

MaineHousing will distribute HTF funds via an initial RFP that will allow for the following eligible recipients:

- Not-for-profit organizations
- Municipalities
- Tribal Housing Authorities
- Public housing authorities
- LIHTC applicants

Funds remaining after the initial RFP process may be distributed by MaineHousing under a subsequent RFP available to all or a subset of the above eligible recipients.

Individuals are not eligible to receive direct assistance from the HTF.

The State does not intend to use sub-grantees in the 2019 funding cycle.

b. Describe the grantee’s application requirements for eligible recipients to apply for HTF funds. If not distributing funds by selecting applications submitted by eligible recipients, enter “N/A”.

MaineHousing will distribute HTF funds through a competitive process by selecting applications that are submitted by eligible recipients. MaineHousing will issue a Request for Proposals to eligible applicants that will assign scoring based upon a combination of the required selection criteria located at 24 CFR§91.320[k][5] and selection criteria adopted by MaineHousing. The Request for Proposals will be available on the MaineHousing website.

c. Describe the selection criteria that the grantee will use to select applications submitted by eligible recipients. If not distributing funds by selecting applications submitted by eligible recipients, enter “N/A”.

The selection criteria will be included in the Request for Proposals and will include all of the following (listed in order of highest priority to least priority):

Threshold Criteria: (Required for the application to be eligible)

For rental housing, the duration of the units' affordability period

MaineHousing will require that affordability be for a 45 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.

Selection Criteria

1. *Extent to which the applicant will provide housing and services to vulnerable populations.* Applicants will receive points for projects that serve the specific needs of vulnerable populations. The degree of need for the populations served, and appropriateness of plans for providing services to tenants will be evaluated.
2. *Applicants' ability to obligate HTF funds in a timely manner.* Applicants will be evaluated on project readiness, including items like local approvals, architectural plans and site control. Additionally, MaineHousing will consider their track-record for developing projects successfully within a reasonable timeframe.
3. *Applicant's ability to undertake required eligible development activities.* Applicants will be evaluated on their development capacity, and experience with public sector housing development programs. Past experience of members of the development team will be considered.
4. *Extent to which the application makes use of additional funding sources.* Applicants will be evaluated on the quantity, quality and timeliness of leveraged funding (other than MaineHousing resources) that will be committed to the proposed project. Additional points may be awarded to projects that leverage a greater amount of non-federal funding.
5. *Amount of Federal, State, or local project-based rental assistance to ensure rents are affordable to extremely low-income families.* MaineHousing may make Section 8 Housing Choice Vouchers available on a “project-based” basis for eligible units funded with HTF. Applicants will receive points for projects that include project-based vouchers from other entities.
6. *Priority based upon underserved areas.* MaineHousing will regard the entire State of Maine as the eligible area for purposes of the HTF. However, applicants will receive points for projects that will be developed in locations that have been designated as high opportunity areas, or areas that are

underserved.

7. *Merits of the application in meeting the State's housing priority needs.* All applications will be required to address one or more of the following Consolidated Plan priorities: Improve Housing Quality, Expand the Supply of Affordable Housing, and/or Help Maine People Attain Housing Stability.

d. Describe the grantee's required priority for funding based on geographic diversity (as defined by the grantee in the consolidated plan). If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

MaineHousing will regard the entire State of Maine as the eligible area for purposes of the HTF. However, applicants will receive points for projects that will be developed in locations that have been designated as high opportunity areas or areas that are underserved.

e. Describe the grantee's required priority for funding based on the applicant's ability to obligate HTF funds and undertake eligible activities in a timely manner. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

As noted above, applicants will be evaluated on project readiness, including items like local approvals, architectural plans and site control. Additionally, MaineHousing will consider their track-record for developing projects successfully within a reasonable timeframe.

Applicants will be evaluated on development capacity and experience with public sector housing development programs. Past experience of any and all members of the development team will be considered.

f. Describe the grantee's required priority for funding based on the extent to which the rental project has Federal, State, or local project-based rental assistance so that rents are affordable to extremely low-income families. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

MaineHousing may make Section 8 Housing Choice Vouchers available on a "project-based" basis for eligible units funded with HTF.

Applicants will receive additional scoring points for projects that include project based vouchers from other entities.

g. Describe the grantee's required priority for funding based on the financial feasibility of the project beyond the required 30-year period. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

MaineHousing will require that affordability be for a 45 year term. The affordability requirements will be

outlined in a deed covenant that will be recorded in the applicable registry of deeds.

h. Describe the grantee's required priority for funding based on the merits of the application in meeting the priority housing needs of the grantee (such as housing that is accessible to transit or employment centers, housing that includes green building and sustainable development features, or housing that serves special needs populations). If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

All applications will be required to address one or more of the following Consolidated Plan priorities: Improve Housing Quality, Expand the Supply of Affordable Housing, and/or Help Maine People Attain Housing Stability.

i. Describe the grantee's required priority for funding based on the extent to which the application makes use of non-federal funding sources. If not distributing funds by selecting applications submitted by eligible recipients, enter "N/A".

Applicants will be evaluated on the quantity, quality and timeliness of leveraged funding (other than MaineHousing resources) that will be committed to the proposed project. Additional points may be awarded to projects that leverage a greater amount of non-federal funding.

4. Does the grantee's application require the applicant to include a description of the eligible activities to be conducted with HTF funds? If not distributing funds by selecting applications submitted by eligible recipients, select "N/A". Yes

5. Does the grantee's application require that each eligible recipient certify that housing units assisted with HTF funds will comply with HTF requirements? If not distributing funds by selecting applications submitted by eligible recipients, select "N/A".

Yes

6. **Performance Goals and Benchmarks.** The grantee has met the requirement to provide for performance goals and benchmarks against which the grantee will measure its progress, consistent with the grantee's goals established under 24 CFR 91.315(b)(2), by including HTF in its housing goals in the housing table on the SP-45 Goals and AP-20 Annual Goals and Objectives screens.

Yes

7. **Maximum Per-unit Development Subsidy Amount for Housing Assisted with HTF Funds.** Enter or attach the grantee's maximum per-unit development subsidy limits for housing assisted with HTF funds.

The limits must be adjusted for the number of bedrooms and the geographic location of the project. The limits must also be reasonable and based on actual costs of developing non-luxury housing in the area.

If the grantee will use existing limits developed for other federal programs such as the Low Income Housing Tax Credit (LIHTC) per unit cost limits, HOME's maximum per-unit subsidy amounts, and/or Public Housing Development Cost Limits (TDCs), it must include a description of how the HTF maximum per-unit development subsidy limits were established or a description of how existing limits developed for another program and being adopted for HTF meet the HTF requirements specified above.

In order to provide enough funding for the construction and/or rehabilitation of affordable housing units that are livable, accessible, and durable, the HTF subsidy limits are aligned with Maine's HOME program limits for 1 and 2 bedroom units. Efficiency, single room occupancy (SRO), and one bedroom units will be aligned with the 1 bedroom limit. Units with two bedrooms or more will be aligned with the two bedroom unit limit. This ensures that the subsidy maximizes the number of units while adequately funding them to address Maine's housing needs and priorities.

MaineHousing will award additional scoring points to projects that spend less than the maximum subsidy amount of HTF per unit.

There is a \$900,000 per project maximum allocation.

8. Rehabilitation Standards. The grantee must establish rehabilitation standards for all HTF-assisted housing rehabilitation activities that set forth the requirements that the housing must meet upon project completion. The grantee's description of its standards must be in sufficient detail to determine the required rehabilitation work including methods and materials. The standards may refer to applicable codes or they may establish requirements that exceed the minimum requirements of the codes. The grantee must attach its rehabilitation standards below.

In addition, the rehabilitation standards must address each of the following: health and safety; major systems; lead-based paint; accessibility; disaster mitigation (where relevant); state and local codes, ordinances, and zoning requirements; Uniform Physical Condition Standards; and Capital Needs Assessments (if applicable).

MaineHousing will utilize the MaineHousing Quality Standards and Procedures Manual (located on the MaineHousing website) to ensure that the rehabilitation standards located at §93.301[b] are met for all housing units rehabilitated with HTF funds. The MaineHousing Manual covers all applicable accessibility requirements, and state and local standards, codes, regulations, and zoning requirements. In addition, MaineHousing will further require that:

- The project team shall provide an estimate (based on age and condition) of the remaining useful life of the major building systems upon project completion. Major systems include: structural support,

and roofing; cladding and weatherproofing (e.g., windows, doors, siding, gutters); plumbing; electrical; and heating, ventilation, and air conditioning.

- For multifamily housing with 26 or more total units, the useful life of systems must be determined through a capital needs assessment that determines the work to be performed and identifies the long-term physical needs of the project.
- If the remaining useful life of one or more major system is less than the applicable period of affordability, MaineHousing will ensure that a replacement reserve is established and that adequate monthly payments are made to repair or replace the systems as needed.

At the onset of any project, MaineHousing will conduct on-site inspections with qualified UPCS inspectors on staff to identify any deficiencies from HUD's Uniform Physical Condition Standards (UPCS). Any such deficiencies will be addressed in the renovation scopes of work. Follow-up inspections will be conducted at the completion of the project to assure any and all identified deficiencies have been properly addressed. (Attached UPCS Inspectable Items and Observable Deficiencies)

Lead-based Paint

Unless a property or housing unit is exempt from HUD's lead-based paint regulations at 24 CFR Part 35, as provided in §35.115, MaineHousing will require the following for rehabilitation activities assisted with HTF funds:

1. Prior to the start of any rehabilitation work at a project site, a lead-based paint (LBP) risk assessment by a Lead Risk Assessor certified by the Maine Department of Environmental Protection (the Maine DEP), and paint testing on painted surfaces to be disturbed or replaced during rehabilitation activities, including housing units, common areas servicing the units and exterior painted surfaces, will be conducted in accordance with the Part 35 requirements and established protocols under the Maine DEP's Lead Management Regulations – Chapter 424 (Maine DEP Lead Regulations), including a written report with findings, conclusions and recommendations.
2. If the LBP risk assessment indicates the presence of LBP, the Part 35 provisions for the level of federal rehabilitation assistance applicable to the project, and any related requirements of the Maine DEP Lead Regulations, will apply to the project, as follows: Projects receiving an average of \$5,000 or less per unit in federal rehabilitation assistance. Projects receiving an average of over \$5,000 but no more than \$25,000 per unit in federal rehabilitation assistance. Projects receiving an average of more than \$25,000 per unit in federal rehabilitation assistance
3. Ongoing LBP maintenance and re-evaluation in accordance with §35.1355 will be required if LBP has been identified on a project site.

MaineHousing's building standards require design features that are conducive to the construction of long-lasting and durable housing that takes into consideration the potential risks of the natural environment.

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OMB Control No: 2506-0117 (exp. 06/30/2018)

Peeling/Needs Paint	More than 10% of interior window paint is peeling or missing
Security Bars Present/Egress	The ability to exit through the window is limited by security bars that do not function properly and, therefore, pose safety risks

9. Resale or Recapture Guidelines. Below, the grantee must enter (or attach) a description of the guidelines that will be used for resale or recapture of HTF funds when used to assist first-time homebuyers. If the grantee will not use HTF funds to assist first-time homebuyers, enter “N/A”.

N/A

10. HTF Affordable Homeownership Limits. If the grantee intends to use HTF funds for homebuyer assistance and does not use the HTF affordable homeownership limits for the area provided by HUD, it must determine 95 percent of the median area purchase price and set forth the information in accordance with §93.305. If the grantee will not use HTF funds to assist first-time homebuyers, enter “N/A”.

Any limitation or preference must not violate nondiscrimination requirements in § 93.350, and the grantee must not limit or give preferences to students. The grantee may permit rental housing owners to limit tenants or give a preference in accordance with § 93.303(d)(3) only if such limitation or preference is described in the action plan.

MaineHousing does not intend to limit beneficiaries to any segments of the extremely low income population. MaineHousing intends to design the HTF Request for Proposals to enable applicants to target housing for vulnerable populations. However, MaineHousing will not require that applicants serve selected

sub-populations. MaineHousing will award additional scoring points to applicants serving the homeless population.

MaineHousing will require that all units that receive financial assistance from the HTF be affordable to households with incomes at or below 30% of the Area Median Income. This affordability restriction will be outlined in deed covenants that will remain in place for 45 years from the date that the HTF funds are disbursed. This affordability restriction will not be contingent upon any outstanding HTF funding.

12. Refinancing of Existing Debt. Enter or attach the grantee's refinancing guidelines below. The guidelines describe the conditions under which the grantee will refinance existing debt. The grantee's refinancing guidelines must, at minimum, demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing. If the grantee will not refinance existing debt, enter "N/A."

N/A

Discussion:

Attachments

Citizen Participation Comments

Summary of Public Comments on the 2019 Annual Action Plan and MaineHousing Responses

Housing Trust Fund (HTF)	
#	Comment Received
1	The Housing Trust Fund is a most important tool in ending long term homelessness. Thank you for preserving the Request for Proposals allocation process for the Housing Trust Fund (HTF) and including the prioritization of programs that will serve people experiencing homelessness in the scoring criteria. Please see that HTF RFPs include specific language aimed at prioritizing Long Term Stayers in homelessness. Most of the homeless population does not require supportive housing. Long Term Stayers (LTS) is the population with the highest priority need for permanent supportive housing.
	MaineHousing Response
	The annual National Housing Trust Fund (HTF) allocation totals \$2,700,000 for the State of Maine. It is currently the only reliable resource used by MaineHousing to fund supportive housing. While it may be, and is frequently used for homeless populations, and more specifically, long-term stayers, it can also be used and will be made available for other types of supportive housing for which there is also an immediate need. At this time, it is not solely available to serve homeless populations. MaineHousing will continue to consider the needs of all populations when designing programs.
	Comment Received
2	Please consider the high cost of land and properties, especially in Southern Maine, when setting the maximum for per-unit cost limit. While they are a little higher than in 2017, unless a development has more of the larger-sized units, the project is not likely to be feasible.
	MaineHousing Response
	When setting per-unit cost limits, MaineHousing takes into account the cost of real estate throughout Maine, and the cost of construction required to create safe, functional, and affordable housing for the tenants. With a limited resource such as the HTF, it is even more important that we keep costs down so as to make the money go as far as possible. Per-unit limits are the subject of ongoing conversations within MaineHousing and among its developer partners, and changes will be made as the need arises.
Emergency Solutions Grant (ESG)	
	Comments Received
3	<p>The ESHAP Program is missing Maine's Priority Population. ESHAP should be retooled in the 2019 Annual Action Plan and localized to fit Maine's priorities.</p> <p>Thank you for using ESG funds for the ESHAP program. There is brilliance to this design as it puts housing navigators to work in homeless shelters, most of which would have no other means to have housing navigators at all. This is in keeping with Goal One of Maine's Plan to End and Prevent Homelessness.</p> <p>I do think this program could be markedly improved by directing more resources toward helping Maine end long term homelessness. <i>Please target at least a commensurate amount of Fed HOME funds through ESHAP to serve people experiencing chronic and long-term homelessness, and by</i></p>

	<p><i>supporting mechanisms for permanent supportive housing, rather than rapid rehousing. Please design the program such that housing navigators, particularly in low barrier shelters, are fully encouraged (rather than penalized for doing this) to serve long term stayers.</i></p> <p>I would ask MaineHousing to retool their approach to align ESHAP with the most recent Ending Homelessness Prioritization Chart (2018), focusing its resources on the first priority followed by the second and third priority population, which will be best served with long-term subsidies and long-term support, or otherwise put: <u>Permanent supportive housing strategies</u>. Rapid-rehousing strategies with this population are almost a complete miss, particularly when accompanied by rigid time limits. Quite frankly, we can house as many circumstantially homeless people as fast as we can, and it will not affect our numbers in our shelters, most of which are turning people away because of longer term stayers using up beds. <i>What will work, is reducing our average length of stays which are being skewed entirely by our longest stayers. Refocusing resources, as the rest of the state has done, on people with the longest histories of homelessness is a proven strategy to reducing the average length of homelessness. Please adopt a mandatory 30-day policy timeframe for when the VI-SPDAT assessment and housing stability plan is to be first utilized. By then, well over half of the homeless population will most likely have self-solved their homelessness. Please also adopt ESHAP as locally as possible, to fit low barrier shelters as well as high barrier shelters. Low barrier and high barrier shelters alike should be working to house people from longest to shortest in terms of stays. But high barrier shelters already have largely eliminated LTS populations; they can benefit from a rapid-rehousing approach. Low barrier shelters need a different approach that recognizes that LTS are slow and difficult to engage. Housing lower numbers of LTS will be the most useful for emptying shelters, rather than housing high numbers of circumstantially homeless populations.</i></p> <p>The shelters all know the people staying in homelessness the longest, and they can easily identify a person who shows up with significant vulnerabilities warranting immediate prioritization with LTS. Please simply empower shelters to house these people as called for in the most recent Ending Homeless Prioritization Chart.</p> <p>Helping fewer people with right-sized resources for their success will make the biggest difference in Maine ending homelessness. Trying to help more people with less resources is largely a waste of those resources because it poorly helps people who least need help at all, and it busies up staff who spread themselves thinly to little effect. These staff, better armed with the right resources (and more flexibility to simply do the work of housing and supporting people) could accomplish far more, if allowed to be focused on long term, meaningful interactions with our relatively small priority one and priority two populations.</p>
	<p>MaineHousing Response</p> <p>The ESHAP program is designed to serve 37 diverse shelters across the State of Maine, including Youth, Domestic Violence, Low Barrier, Family, and Single Adult shelters. Different types of shelters address very different needs of the populations they serve. MaineHousing does not in any way limit individual shelters from targeting the Long Term Stayer population; they are more than free to do so with either ESHAP or STEP funding when appropriate. To require that shelters focus on Long Term Stayers would place an undue burden to shelters and monitoring staff, as well as exclude all other homeless populations in Maine.</p>

	Comment Received
4	Please adopt a mandatory 30-day policy timeframe for when the VI-SPDAT assessment and housing stability plan is to be first utilized.
	MaineHousing Response
	A mandatory 30-day timeframe policy for completion of the VI-SPDAT and Housing Stability Plan would be a departure from our current requirements and the expectations of the majority of our ESHAP providers. We have received adamant and consistent feedback from the largest shelter provider in the State that it would create an undue administrative burden, and likely result in a loss of funding for them. We are currently working with the City of Portland providers (PCHC and Preble Street) to attempt to come to a fair and equitable timeframe that best meets the needs of all shelters and the clients they serve.
	Comment Received
5	Please also adopt ESHAP as locally as possible, to fit low barrier shelters as well as high barrier shelters. Low barrier and high barrier shelters alike should be working to house people from longest to shortest in terms of stays
	MaineHousing Response
	MaineHousing believes that each shelter is more astutely aware of the needs of their population than we are. If directing more resources to long-term stayers is an agreed upon goal, then it is not necessary for us to require it. It is also important to note that ESHAP and STEP provides just a portion of funding that shelters receive. All ESHAP shelters administer their own fund raising and grant writing, as well as participate in the Continuum of Care (CoC). The CoC allocates a significant portion of funding for Long Term Stayers. For example, the CoC funds roughly 1423 beds a year in Permanent Supportive Housing, a much better fit for many long-term stayers than STEP, which funds only 272 total beds.
	Comment Received
6	Please simply empower shelters to house these people as called for in the most recent Ending Homeless Prioritization Chart.
	MaineHousing Response
	We do not limit a shelter's ability to focus on any specific population.
	Comments Received
7	<p>Please follow the Maine's 2018 Ending Homelessness Prioritization Chart working from highest priorities to lowest priorities.</p> <p><i>Please have efforts in using federal and state funds match the 2018 Maine Ending Homeless Prioritization Chart.</i></p> <p>The 2018 (most current) Ending Homelessness Prioritization Chart is pasted below. It describes populations and strategies for serving them, ranking them in terms of priorities of 1 – 5. Because the state adopted this prioritization strategy and focused resources accordingly on the top priorities, Maine has reduced the number of adult single Long Term Stayers from 262 in July 2013 to 63 in July 2018, a 76% reduction. Inexplicably, the draft MaineHousing Annual Action Plan, focuses on the bottom priority population, taking resources away from getting the job done of addressing the top three priorities in sequential fashion as the rest of the state has agreed to do. Let's please correct this. <i>Let's not focus precious resources on the very population that tends to self-resolve its homelessness, the population that least needs rental subsidies, the population that least needs support services, and the population that distracts us the least. Let's please instead</i></p>

	<p><i>focus flexible resources on permanently housing people homeless the longest, whom we have tragically allowed to languish for decades.</i></p> <p>The ESHAP follow-up requirements are unwieldy for emergency shelters. We encourage MaineHousing to consider making follow-up housing support work a separately funded program.</p>
	MaineHousing Response
	<p>Again, we do not limit a shelter's ability to focus on specific populations. We are aware that CoC and ESG grantees in Maine are currently reviewing and developing policies and procedures for Coordinated Entry as required by HUD. Once complete, MaineHousing will be required to adhere to the mechanism developed through the Coordinated Entry Process.</p>
	Comments Received
8	<p>The administrative component of ESHAP is unwieldy. The reporting components are not clear. They often take an inordinate amount of staff time to decipher and complete.</p>
	MaineHousing Response
	<p>MaineHousing is currently working with ESHAP Grantees to review the ESHAP program, including ESHAP reporting. Program and reporting changes resulting from this review will be implemented with the 2020 ESHAP program and will be detailed in the 2020 Consolidated Plan. The ESHAP program is funded, in part, with Emergency Solutions Grant (ESG) funds from HUD. These funds have report requirements that will need to be included in all future reporting.</p>
	Comments Received
9	<p>Tying ongoing housing support work to the emergency shelter is counter-intuitive for many. Once people are housed and begin to work toward stability, some want to sever ties with their homelessness. They don't want to return to the shelter for a follow up appointment or to complete paperwork. This program makes the shelter the anchor, rather than the community. We encourage MaineHousing to consider making follow-up housing support work a separately funded program.</p>
	MaineHousing Response
	<p>The ESHAP program does not require that Navigators work with households that have exited the shelter, unless that household is utilizing a Home To Stay (HTS) permanent Section 8 voucher, or a Stability Through Engagement Program (STEP) voucher. In these cases the requirements for continued Navigator support is intended to increase the likelihood of household success. The ESHAP program does not require that follow up appointments occur at the emergency shelter.</p>
HOME Investment Partnership Program (HOME)	
	Comment Received
10	<p>STEP Program, and Rapid Rehousing is missing Maine's Priority Population</p> <p>As written, this Plan dedicates one-third of Fed HOME funds (\$1.4 million) for the Stability Through Engagement Program (STEP), which provides <i>up to</i> 24 months of rental assistance, and 50% of ESG funds (\$602,872) for rapid rehousing activities through the ESHAP Program. Because of non-permanent rental subsidies coupled with a brief approach for support, this rapid rehousing strategy is less effective for people experiencing long term homelessness, Maine's Long Term Stayers (LTS). The LTS population has been identified as causing our shelters to be full and overflowing because of bed usage night after night. In fact, the very population currently targeted by the current STEP program is often displaced</p>

<p>by the LTS populations. We have proven we can be successful with housing LTS populations with <i>permanent supportive housing</i>, as demonstrated by established Housing First programs, and more recently, Portland, Bangor, and other communities around Maine broadening the scope of Housing First through By Name Lists with multiple community providers at the table, where we are seeing successful stabilization rates of 90% to 95% (93-95% is the longitudinal rate of success of Portland's ESAC OSS LTS Committee's efforts in housing and keeping housed 195 LTS since its origins in April 2015). This approach is a proven success.</p> <p>In direct contrast, we have seen a zero percent (0%) success rate with the LTS population using STEP vouchers.</p> <p>The Statewide Homeless Council and the Maine CoC (along with all three Regional Homeless Councils, ESAC, the MCOC Board of Directors, and the Maine Homeless Policy Committee) have adopted the 2018 Maine Ending Homeless Prioritization Chart which supports the prioritization of resources toward the longest stayers and most vulnerable populations, listed as the top two priorities. STEP in its current incarnation does not come into use until priority three. <i>Let's get the job done of ending chronic homelessness in Maine and work from longest to shortest, which has proven to be a successful strategy in both housing our most vulnerable populations and keeping them housed, and dramatically shortening our overall length of stays (HUD's top CoC System Performance Measure). Please use this Annual Action Plan to help us succeed in ending long term homelessness in Maine in 2019.</i></p> <p><i>Please keep moving STEP to be a full 2-year resource; only as a full 2-year rental subsidy will it serve an important niche for populations in need of transitional housing, such as victims of domestic violence, people dually diagnosed with mental illness and substance use disorders, and emancipated youth. Please don't use STEP as a bridge to permanent subsidies for populations other than Long Term Stayers in homelessness. STEP should not draw permanent rental subsidies such as Shelter Plus Care and Section 8 away from Long Term Stayers to rescue failing STEP placements of circumstantially homeless populations.</i></p> <p>There will be room for rapid rehousing efforts after we house our top two priority populations. Unfortunately, the current bifurcated effort (as prescribed last year in the 2018 Annual Action Plan) has diluted our approach and kept us from achieving an end to chronic homelessness in 2018, as HUD and the Federal Plan to End Homelessness encouraged. Maine was the most likely state to achieve this first, but due to a lack of unity on our approach, Maine will still be challenged through 2019 with this population in shelters and staying outside, despite the numbers being in the double digits (63 people in 2018 vs. 262 in 2013).</p>	<p style="text-align: center;">MaineHousing Response</p> <p>For the 2019 program year, STEP rental subsidies are a 24-month rental subsidy.</p> <p>In regards to the suggested sole focus on the LTS population, shelters are not discouraged from, or prevented from focusing on the LTS population. We serve many types of shelters, and some do not have as prevalent a LTS population as others. As noted on the 2018 HIC, STEP can potentially fund 272 beds annually, while resources such as Shelter Plus Care, potentially a better fit for portions of the LTS population, can potentially fund 1423 beds. Limiting all resources to the LTS population would have significant consequences for the DV, Family and Youth populations. STEP is the only RRH program supported by the MCoC, and RRH models are strongly encouraged by HUD. For these reasons, we continue</p>
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	to allocate a small portion of resources to this vital program and HUD has continued to renew that funding.
	Comment Received
11	Please don't use STEP as a bridge to permanent subsidies for populations other than Long Term Stayers in homelessness. STEP should not draw permanent rental subsidies such as Shelter Plus Care and Section 8 away from Long Term Stayers to rescue failing STEP placements of circumstantially homeless populations.
	MaineHousing Response
	STEP has been utilized, on a very limited basis, as a housing resource prior to the client eventually entering Shelter Plus Care or other more permanent resource. In these cases the client(s) had wanted to make every attempt to be self-sufficient through the temporary STEP assistance. We value each individual shelter stayer's right to access the resource they deem is best suited to meet their needs, as long as they meet the eligibility requirements.
	Comment Received
12	<p>Rapid Rehousing is a flawed approach, yet inexplicably this Annual Action Plan once again, overly embraces it.</p> <p>Many lessons have been learned regarding the efficacy of rapid rehousing. The Homelessness Prevention and Rapid Rehousing Program (HPRP) was the first widespread rapid rehousing program funded by the U.S. Department of Housing and Urban Development (HUD) as part of the American Recovery and Reinvestment Act of 2009. Notably, research suggests that rapid rehousing program design such as that of HPRP may have been short-sighted and ill-conceived. According to the Institute for Children, Poverty, and Homelessness, <i>American Almanac of Family Homelessness</i>, 2015:</p> <p>"HPRP data suggest that for many households, short- or medium-term housing subsidies—without additional financial aid or supportive services—do not give families enough time to regain independence. [...] Most families accessing HPRP did not regain self-sufficiency; 70.3% exited the program with no change in income and one out of four (27.7%) exited with no income at all. Further exacerbating the problem, less than half (43.4%) of homeless families exiting HPRP to rental housing had housing subsidies. With no increase in income and no long-term housing subsidy, it is difficult to see how six months of HPRP participation would stabilize a family beyond the period of assistance." (Institute for Children, Poverty, and Homelessness, <i>American Almanac of Family Homelessness</i>, 2015, 124)</p> <p>Rapid rehousing activities in their current form in Maine, as outlined in the 2019 Annual Action Plan, are designed to be implemented very similarly to the HPRP program. Research shows that this program design is not advantageous to producing positive outcomes for a broad array of program participants, unless a permanent housing subsidy is attained, and a longer duration of support services is allowable. <i>A longer-term subsidy and longer duration of support would allow the assistance to be better customized to people's individualized needs and remove obstacles to stability. MaineHousing's Admin Plan now states that STEP rental assistance can be extended</i></p>

	<i>beyond 12 months, now with one renewal, and MaineHousing will provide direct support for individuals in year two. This is an excellent move, and I applaud this revision. Thank you for listening to people describing these shortfalls and correcting them. The program will be better for these changes.</i>
	MaineHousing Response
	<p>HUD continues to encourage a Rapid Re-Housing approach, promoting the concepts of Housing First and Rapid Re-housing, with the goal of re-housing all families within 30 days of becoming homeless.</p> <p>The 2018 COC NOFA reflected HUD's support of Rapid Rehousing; reallocation and bonus funding was available for RRH. We maintain awareness of the priorities HUD continues to focus on, as well as how those priorities could impact funding for all of Maine in the future. To limit the Rapid Re-Housing focus in Maine could inadvertently lead to a loss of funding.</p>
	Comment Received
13	The STEP voucher program should be a permanent subsidy. Our understanding is that there is some flexibility under federal law to make STEP a permanent subsidy. We urge MaineHousing to consider this option to make the program significantly more effective.
	MaineHousing Response
	Title 24 (Housing and Urban Development) section 92.209 (c) states that the term of the rental assistance contract providing assistance with HOME funds may not exceed 24 months, but may be renewed, subject to the availability of HOME funds.
	Comment Received
14	We appreciate that MaineHousing is allocating 14% less resources to STEP and we think that MaineHousing should consider re-allocating additional STEP resources to a more effective program or should explore ways to restructure the program to make it a more effective tool.
	MaineHousing Response
	<p>Since 2015 at least 75% of households exiting STEP enter permanent housing without a subsidy, and less than one percent return to homelessness. This data indicates that STEP has been an effective tool for many households that enter the program. STEP is a short-term resource available to a wide variety of sub-populations who are experiencing homelessness. We encourage our ESHAP shelters to use their best judgement and clinical impressions of their clients when directing them toward resources. We agree that STEP is not the best resource for all people experiencing homelessness; it is just one resource, among many options.</p> <p>We welcome the review of any housing concepts that meet the necessary criteria of both CoC and FedHOME. We strive to ensure that a wide variety of resource types are available across the State, and STEP is the only resource of its kind available in Maine. STEP has proven to be a valuable resource, even on its small scale, for the scoring in the HUD NOFA. MaineHousing regularly reviews the program, and we welcome any specific concerns, ideas, or processes that could assist in the administration of the program.</p>

Comment Received	
15	Request that MaineHousing include community land trust (CLT) homeownership programs in the 2019 Plan Draft and the 2020-2025 Consolidated Plan. CLTs, as Community Housing Development Organizations (CHDO), would then be able to apply for HOME and CDBG funds for shared equity housing, including co-ops, and rentals.
MaineHousing Response	
	CHDOs are currently allowed to apply for HOME funds through MaineHousing's QAP. MaineHousing has little experience with CLT homeownership programs, but welcomes any ideas that will help use our public resources efficiently. We welcome thoughtful conversation about the topic in order to address such questions as equity sharing, perpetual affordability, and efficient use of subsidies.



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Development Officer

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Development Officer

Brian Kilgallen
Development Officer

November 29, 2018

Public Comments Regarding the Maine 2019 Annual Action Plan

My name is Cullen Ryan and I serve as the Executive Director of Community Housing of Maine or CHOM, the largest housing provider for homeless populations in Maine. Our staff of 11 works collaboratively with more than 45 different service provider organizations to effectively and efficiently house well over 1000 of Maine's most vulnerable people. I serve in various leadership roles in working to end homelessness and have been working with homeless populations for 31 years.

I write to offer comments on the Maine 2019 Annual Action Plan.

Thank you for allowing me the opportunity to comment.

Largely, this plan is well thought-out. But, there are a few areas which could be improved, and I respectfully offer comments accordingly.

1. The Housing Trust Fund is a most important tool in ending long term homelessness Thank you for preserving the Request for Proposals allocation process for the Housing Trust Fund (HTF) and including the prioritization of programs that will serve people experiencing homelessness in the scoring criteria, as the HTF appears to be the last remaining vehicle in Maine for the creation of permanent supportive housing for homeless populations. Please see that HTF RFPs include specific language aimed at prioritizing Long Term Stayers in homelessness. Most of the homeless population does not require supportive housing. Long Term Stayers (LTS) is the population with the highest priority need for permanent supportive housing.

2. The ESHAP Program is missing Maine's Priority Population. ESHAP should be retooled in the 2019 Annual Action Plan and localized to fit Maine's priorities

Thank you for using ESG funds for the ESHAP program. There is brilliance to this design as it puts housing navigators to work in homeless shelters, most of which would have no other means to have housing navigators at all. This is in keeping with Goal One of Maine's Plan to End and Prevent Homelessness.

I do think this program could be markedly improved by directing more resources toward helping Maine end long term homelessness. Please target at least a commensurate amount of Fed HOME funds through ESHAP to serve people experiencing chronic and long-term homelessness, and by supporting mechanisms for permanent supportive housing, rather than rapid rehousing. Please design the program such that housing navigators, particularly in low barrier shelters, are fully encouraged (rather than penalized for doing this) to serve long term stayers.

I would ask MaineHousing to retool their approach to align ESHAP with the most recent Ending Homelessness Prioritization Chart (2018), focusing its resources on the first priority followed by the second and third priority population, which will be best served with long-term subsidies and long-term support, or otherwise put: Permanent supportive housing strategies. Rapid-rehousing strategies with this population are almost a complete miss, particularly when accompanied by rigid time limits. Quite frankly, we can house as many circumstantially homeless people as fast as we can, and it will not affect our numbers in our shelters, most of which are turning people away because of longer term stayers using up beds. What will work, is reducing our average length of



stays which are being skewed entirely by our longest stayers. Refocusing resources, as the rest of the state has done, on people with the longest histories of homelessness is a proven strategy to reducing the average length of homelessness. Please adopt a mandatory 30-day policy timeframe for when the VI-SPDAT assessment and housing stability plan is to be first utilized. By then, well over half of the homeless population will most likely have self-solved their homelessness. Please also adopt ESHAP as locally as possible, to fit low barrier shelters as well as high barrier shelters. Low barrier and high barrier shelters alike should be working to house people from longest to shortest in terms of stays. But high barrier shelters already have largely eliminated LTS populations; they can benefit from a rapid-rehousing approach. Low barrier shelters need a different approach that recognizes that LTS are slow and difficult to engage. Housing lower numbers of LTS will be the most useful for emptying shelters, rather than housing high numbers of circumstantially homeless populations.

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Helping fewer people with right-sized resources for their success will make the biggest difference in Maine ending homelessness. Trying to help more people with less resources is largely a waste of those resources because it poorly helps people who least need help at all, and it busies up staff who spread themselves thinly to little effect. These staff, better armed with the right resources (and more flexibility to simply do the work of housing and supporting people) could accomplish far more, if allowed to be focused on long term, meaningful interactions with our relatively small priority one and priority two populations.

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As written, this Plan dedicates one-third of Fed HOME funds (\$1.4 million) for the Stability Through Engagement Program (STEP), which provides up to 24 months of rental assistance, and 50% of ESG funds (\$602,872) for rapid rehousing activities through the ESHAP Program. Because of non-permanent rental subsidies coupled with a brief approach for support, this rapid rehousing strategy is less effective for people experiencing long term homelessness, Maine's Long Term Stayers (LTS). The LTS population has been identified as causing our shelters to be full and overflowing because of bed usage night after night. In fact, the very population currently targeted by the current STEP program is often displaced by the LTS populations. We have proven we can be successful with housing LTS populations with permanent supportive housing, as demonstrated by established Housing First programs, and more recently, Portland, Bangor, and other communities around Maine broadening the scope of Housing First through By Name Lists with multiple community providers at the table, where we are seeing successful stabilization rates of 90% to 95% (93-95% is the longitudinal rate of success of Portland's ESAC OSS LTS Committee's efforts in housing and keeping housed 195 LTS since its origins in April 2015). This approach is a proven success.

In direct contrast, we have seen a zero percent (0%) success rate with the LTS population using STEP vouchers. The Statewide Homeless Council and the Maine CoC (along with all three Regional Homeless Councils, ESAC, the MCOC Board of Directors, and the Maine Homeless Policy Committee) have adopted the 2018 Maine Ending Homeless Prioritization Chart which supports the prioritization of resources toward the longest stayers and most vulnerable populations, listed as the top two priorities. STEP in its current incarnation does not come into use until priority three. Let's get the job done of ending chronic homelessness in Maine and work from longest to shortest, which has proven to be a successful strategy in both housing our most vulnerable populations and keeping them housed, and dramatically shortening our overall length of stays (HUD's top CoC System Performance Measure). Please use this Annual Action Plan to help us succeed in ending long term homelessness in Maine in 2019. Please keep moving STEP to be a full 2-year resource; only as a full 2-year rental subsidy will it serve an important niche for populations in need of transitional housing, such as victims of domestic violence, people dually diagnosed with mental illness and substance use disorders, and emancipated youth. Please don't use STEP as a bridge to permanent subsidies for populations other than Long Term Stayers in homelessness. STEP should not draw permanent rental subsidies such as Shelter Plus Care and Section 8 away from Long Term Stayers to rescue failing STEP placements of circumstantially homeless populations.

2



There will be room for rapid rehousing efforts after we house our top two priority populations. Unfortunately, the current bifurcated effort (as prescribed last year in the 2018 Annual Action Plan) has diluted our approach and kept us from achieving an end to chronic homelessness in 2018, as HUD and the Federal Plan to End Homelessness encouraged. Maine was the most likely state to achieve this first, but due to a lack of unity on our approach, Maine will still be challenged through 2019 with this population in shelters and staying outside, despite the numbers being in the double digits (63 people in 2018 vs. 262 in 2013).

4. Rapid Rehousing is a flawed approach, yet inexplicably this Annual Action Plan once again, overly embraces it.

Many lessons have been learned regarding the efficacy of rapid rehousing. The Homelessness Prevention and Rapid Rehousing Program (HPRP) was the first widespread rapid rehousing program funded by the U.S. Department of Housing and Urban Development (HUD) as part of the American Recovery and Reinvestment Act of 2009. Notably, research suggests that rapid rehousing program design such as that of HPRP may have been short-sighted and ill-conceived. According to the Institute for Children, Poverty, and Homelessness, American Almanac of Family Homelessness, 2015:

"HPRP data suggest that for many households, short- or medium-term housing subsidies—without additional financial aid or supportive services—do not give families enough time to regain independence. [...] Most families accessing HPRP did not regain self-sufficiency; 70.3% exited the program with no change in income and one out of four (27.7%) exited with no income at all. Further exacerbating the problem, less than half (43.4%) of homeless families exiting HPRP to rental housing had housing subsidies. With no increase in income and no long-term housing subsidy, it is difficult to see how six months of HPRP participation would stabilize a family beyond the period of assistance." (Institute for Children, Poverty, and Homelessness, American Almanac of Family Homelessness, 2015, 124)

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5. Please follow the Maine's 2018 Ending Homelessness Prioritization Chart working from highest priorities to lowest priorities.

Please have efforts in using federal and state funds match the 2018 Maine Ending Homeless Prioritization Chart.

The 2018 (most current) Ending Homelessness Prioritization Chart is pasted below. It describes populations and strategies for serving them, ranking them in terms of priorities of 1 – 5. Because the state adopted this prioritization strategy and focused resources accordingly on the top priorities, Maine has reduced the number of adult single Long Term Stayers from 262 in July 2013 to 63 in July 2018, a 76% reduction. Inexplicably, the draft MaineHousing Annual Action Plan, focuses on the bottom priority population, taking resources away from getting the job done of addressing the top three priorities in sequential fashion as the rest of the state has agreed to do. Let's please correct this. Let's not focus precious resources on the very population that tends to self-resolve its homelessness, the population that least needs rental subsidies, the population that least needs support services, and the population that distracts us the least. Let's please instead focus flexible resources on permanently housing people homeless the longest, whom we have tragically allowed to languish for decades.

Thank you for the opportunity to comment.

3



2015 Ending Homelessness Resources Utilization Chart

[illegible]

People who are veterans, elderly, experiencing mental illness, experiencing substance use disorders, and medically compromised could fit into any of the categories as applicable (i.e., veterans could fit into any category except for 18-year youth).

[illegible]

KEY:

- KEY:**
- TSH = Permanent Supportive Housing
 - TSS = Transitional Supportive Housing
 - DH = Permanent Housing (general, non-programmatic)
 - HDCASH = Veterans Affairs Supportive Housing
 - BVASH = Shelter Plus Care
 - BLVDASH = Veterans Affairs Supportive Housing
 - BRAP = Bridging Rural Assistance Program
 - VNED = Vainable, Not Elderly Disabled
 - PMMI = Private Non-Medical Institutions (ages 18+)
 - NPIH = Private Non-Medical Institutions (ages 60+)
 - PRPAC = Protocol for Assistance in Transition from Prisoners
 - FTHS = Family Therapy Home Services
 - REHAB = Residential Rehabilitation Assistance Program
 - SSEW = Supportive Services for Veterans Families
 - STEP = Stability Through Engagement Program - Rapid Re-Housing (TMRAs)
 - TERRA = Tenant Based Rental Assistance - Rapid Re-Housing
 - RHS = Home to Stay - Rapid Re-Housing TCV (Section 8 vouchers)
 - VSDATAP = Vulnerability Index & Service Prioritization Decision Assistance Tool
 - LCCBS = Level of Care Utilization System
 - ANSA = Adult Needs and Strengths Assessment
 - RHYA = Recovery and Hunches Youth Act Services

November 30, 2018

Paula Weber
Compliance Officer
Maine State Housing Authority
353 Water Street
Augusta, ME 04330-4633

RE: Public Comments Regarding the Maine 2019 Annual Action Plan

Ms. Weber,

My name is Norman Maze and I serve as the Deputy Director of Shalom House, Inc. a social service agency headquartered in Portland is the largest provider of community residential programs and housing for adults with severe and persistent mental illness in Maine. Our staff of 160 works collaboratively with different service provider organizations to effectively and efficiently house well over 1000 of Maine's most vulnerable people, in addition to our own residential treatment facilities and Community Support services. I serve in various roles in working to end homelessness and have been working with recipients of mental health services and homeless populations for 21 years.

I write to offer comments on the Maine 2019 Annual Action Plan.

Thank you for allowing me the opportunity to comment.

Largely, this plan is well thought-out. But, there are a few areas which could be improved, and I respectfully offer comments accordingly.

1. The Housing Trust Fund is a most important tool in ending long term homelessness

Thank you for preserving the Request for Proposals allocation process for the Housing Trust Fund (HTF) and including the prioritization of programs that will serve people experiencing homelessness in the scoring criteria, as the HTF appears to be the last remaining vehicle in Maine for the creation of permanent supportive housing for homeless populations. *Please see that HTF RFPs include specific language aimed at prioritizing Long Term Stayers in homelessness. Most of the homeless population does not require supportive housing. Long Term Stayers (LTS) is the population with the highest priority need for permanent supportive housing. Also, please consider the high cost of land and properties, especially in Southern Maine, when setting the maximum for Per-unit Cost Limit. While they are a little higher than 2017, unless a development has more of the larger-sized units, the project is not likely to be feasible.*

2. The ESHAP Program is missing Maine's Priority Population. ESHAP should be retooled in the 2019 Annual Action Plan and localized to fit Maine's priorities

Thank you for using ESG funds for the ESHAP program. Putting more funding for housing navigators to work in homeless shelters is essential since there are few other sources available to fund these positions. This is in keeping with Goal One of Maine's Plan to End and Prevent Homelessness. I do think this program could be markedly improved by directing more resources toward helping Maine end long term homelessness. *Please target at least a commensurate amount of FedHOME funds through ESHAP to serve people experiencing chronic and long-term homelessness, and by supporting mechanisms for permanent supportive housing, rather than rapid rehousing. Please design the program such that housing navigators, particularly in low barrier shelters, are fully encouraged (rather than penalized) to serve long term stayers.*

I would ask MaineHousing to retool their approach to align ESHAP with the most recent Ending Homelessness Prioritization Chart (2018), focusing its resources on the first priority followed by the second and third priority population, which will be best served with long-term subsidies and long-term support, or otherwise put: Permanent supportive housing strategies. Rapid-rehousing strategies with this population are rarely successful, especially when coupled with rigid time limits. We can house as many circumstantially homeless people as fast as we can and it will not affect our numbers in our shelters. Unfortunately, most of our shelters are turning people away because of longer term stayers occupying available beds. *What will work is reducing our average length of stays which are being skewed entirely by our longest stayers. Refocusing resources, as the rest of the state has done, on people with the longest histories of homelessness is a proven strategy to reducing the average length of homelessness. Please adopt a mandatory 30-day policy timeframe for when the VI-NPIAT assessment and housing stability plan is to be first utilized. By then, well over half of the homeless population will most likely have self-solved their homelessness. Please also adopt ESHAP as locally as possible, to fit low barrier shelters as well as high barrier shelters. Low barrier and high barrier shelters alike should be working to house people from longest to shortest in terms of stays. But high barrier shelters already have largely eliminated LTS populations; they can benefit from a rapid-rehousing approach. Low barrier shelters need a different approach that recognizes that LTS are slow and difficult to engage. Housing lower numbers of LTS will be the most useful for emptying shelters, rather than housing high numbers of circumstantially homeless populations.*

The shelters all know the people staying in homelessness the longest, and they can easily identify a person who shows up with significant vulnerabilities warranting immediate prioritization with LTS. Please simply empower shelters to house these people as called for in the most recent Ending Homeless Prioritization Chart.

Helping fewer people with right-sized resources for their success will make the biggest difference in Maine ending homelessness. Trying to help more people with fewer resources is largely a waste of those resources because it poorly helps people who least need help at all, and it busies up staff who spread themselves thinly to little effect. These staff, better armed with the right resources (and more flexibility to simply do the work of housing and supporting people) could accomplish far more, if allowed to be focused on long term, meaningful interactions with our relatively small priority one and priority two populations.

3. STEP Program, and Rapid Rehousing is missing Maine's Priority Population

As written, this Plan dedicates one-third of Fed HOME funds (\$1.4 million) for the Stability Through Engagement Program (STEP), which provides up to 24 months of rental assistance, and 50% of ESG funds (\$602,872) for rapid rehousing activities through the ESHAP Program. Because of non-permanent rental subsidies coupled with a brief approach for support, this rapid rehousing strategy is less effective for people experiencing long term homelessness, Maine's Long Term Stayers (LTS). The LTS population has been identified as causing our shelters to be full and overflowing because of bed usage

night after night. In fact, the very population currently targeted by the current STEP program is often displaced by the LTS populations. We have proven we can be successful with housing LTS populations with *permanent supportive housing*, as demonstrated by established Housing First programs, and more recently, Portland, Bangor, and other communities around Maine broadening the scope of Housing First through By Name Lists with multiple community providers at the table, where we are seeing successful stabilization rates of 90% to 95% (93-95% is the longitudinal rate of success of Portland's ESAC OSS LTS Committee's efforts in housing and keeping housed 195 LTS since its origins in April 2015). This approach is a proven success.

In direct contrast, we have seen a zero percent (0%) success rate with the LTS population using STEP vouchers.

The Statewide Homeless Council and the Maine CoC (along with all three Regional Homeless Councils, ESAC, the MCOC Board of Directors, and the Maine Homeless Policy Committee) have adopted the 2018 Maine Ending Homeless Prioritization Chart which supports the prioritization of resources toward the longest stayers and most vulnerable populations, listed as the top two priorities. STEP in its current incarnation does not come into use until priority three. *Let's get the job done of ending chronic homelessness in Maine and work from longest to shortest, which has proven to be a successful strategy in both housing our most vulnerable populations and keeping them housed, and dramatically shortening our overall length of stays (HUD's top CoC System Performance Measure). Please use this Annual Action Plan to help us succeed in ending long term homelessness in Maine in 2019.*

Please keep moving STEP to be a full 2-year resource; only as a full 2-year rental subsidy will it serve an important niche for populations in need of transitional housing, such as victims of domestic violence, people dually diagnosed with mental illness and substance use disorders, and emancipated youth. Please don't use STEP as a bridge to permanent subsidies for populations other than Long Term Stayers in homelessness. STEP should not draw permanent rental subsidies such as Shelter Plus Care and Section 8 away from Long Term Stayers to rescue failing STEP placements of circumstantially homeless populations.

There will be room for rapid rehousing efforts after we house our top two priority populations. Unfortunately, the current bifurcated effort (as prescribed last year in the 2018 Annual Action Plan) has diluted our approach and kept us from achieving an end to chronic homelessness in 2018, as HUD and the Federal Plan to End Homelessness encouraged. Maine was the most likely state to achieve this first, but due to a lack of unity on our approach, Maine will still be challenged through 2019 with this population in shelters and staying outside, despite the numbers being in the double digits (63 people in 2018 vs. 262 in 2013).

4. Rapid Rehousing is a flawed approach, yet inexplicably this Plan, once again, overly embraces it. Many lessons have been learned regarding the efficacy of rapid rehousing. The Homelessness Prevention and Rapid Rehousing Program (HPRP) was the first widespread rapid rehousing program funded by the U.S. Department of Housing and Urban Development (HUD) as part of the American Recovery and Reinvestment Act of 2009. Notably, research suggests that rapid rehousing program design such as that of HPRP may have been short-sighted and ill-conceived. According to the Institute for Children, Poverty, and Homelessness, *American Almanac of Family Homelessness*, 2015:

"HPRP data suggest that for many households, short- or medium-term housing subsidies—without additional financial aid or supportive services—do not give families enough time to regain independence. [...] Most families accessing HPRP did not regain self-sufficiency; 70.3% exited the program with no change in income and one out of four (27.7%) exited with no income

at all. Further exacerbating the problem, less than half (43.4%) of homeless families exiting HPRP to rental housing had housing subsidies. With no increase in income and no long-term housing subsidy, it is difficult to see how six months of HPRP participation would stabilize a family beyond the period of assistance." (Institute for Children, Poverty, and Homelessness, *American Alliance of Family Homelessness*, 2015, 124)

Rapid rehousing activities in their current form in Maine, as outlined in the 2019 Annual Action Plan, are designed to be implemented very similarly to the HPRP program. Research shows that this program design is not advantageous to producing positive outcomes for a broad array of program participants, unless a permanent housing subsidy is attained, and a longer duration of support services is allowable. *A longer-term subsidy and longer duration of support would allow the assistance to be better customized to people's individualized needs and remove obstacles to stability. MaineHousing's Admin Plan now states that STEP rental assistance can be extended beyond 12 months, now with one renewal, and MaineHousing will provide direct support for individuals in year two. This is an excellent move, and I applaud this revision. Thank you for listening to people describing these shortfalls and correcting them. The program will be better for these changes.*

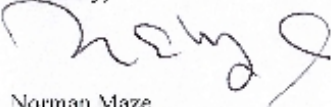
5. Please follow the Maine's 2018 Ending Homelessness Prioritization Chart working from highest priorities to lowest priorities.

Please have efforts in using federal and state funds match the 2018 Maine Ending Homeless Prioritization Chart.

The 2018 (most current) Ending Homelessness Prioritization Chart is pasted below. It describes populations and strategies for serving them, ranking them in terms of priorities of 1 – 5. Because the state adopted this prioritization strategy and focused resources accordingly on the top priorities, Maine has reduced the number of adult single Long Term Stayers from 262 in July 2013 to 63 in July 2018, a 76% reduction. Inexplicably, the draft MaineHousing Annual Action Plan, focuses on the bottom priority population, taking resources away from getting the job done of addressing the top three priorities in sequential fashion as the rest of the state has agreed to do. Let's please correct this. Let's not focus precious resources on the very population that tends to self-resolve its homelessness, the population that least needs rental subsidies, the population that least needs support services, and the population that distracts us the least. Let's please instead focus flexible resources on permanently housing people homeless the longest, whom we have tragically allowed to languish for decades.

Thank you for the opportunity to comment.

Sincerely,



Norman Maze
Deputy Director/ Housing Director
Shalom House, Inc.

2018 Ending Homelessness Resource Prioritization Chart

RT - 573	Resource Priority	Homeless Category	Parameters	Nº Families (7-12 month period)	Resources Prioritized
1.7%	P1	Long Term Shelters (LTS)/Chronically Homeless Individuals	Greater or equal to 180 days in a 365-day period, and/or VLSPOAT flagged (score > 45) including medically compromised, LOCUS > 71, LOCUS > 23 for PMSI (requires ANSA).	70	ESAP: Prioritized S-C vouchers, prioritized Section 8 vouchers (VLSPOAT), ESAP, BRAP, GA in conjunction w/ BRAP, PMSI (requires ANSA), 1 or Vets, IL, DIV/ASL with initial SSVP estimate. For people with substance use disorders: Recovery housing.
	P2	Long Term Shelters (LTS); Families	Greater or equal to 180 days in a 365-day period, and/or VLSPOAT flagged (score > 45), LOCUS > 17.	20	ESB: Section 8, ESAP, GA, transitional S-C, BRAP. For Vets: HUD/VASH and SSVP, as family qualifies.
	P3	Domestic Violence Families & Individuals	Fleeing DV for more than 30 days and/or VLSPOAT flagged (score > 41).	9.15	TSH LO ESB where appropriate: Section 8, ESAP, STC, BRAP, GA, STIP or LUS-LOCV. For Vets: SSVP.
	P3.1	Unaccompanied Youth Under 18 who have been in the foster care system and are homeless (requires youth-specific resources for youth homelessness).	Greater than 30 days; and/or VLSPOAT flagged (score > 45).	100	TSH LO ESB where appropriate: GA, ESAP, STC, BRAP, GA, STIP or LUS-LOCV. For people with substance use disorders: Recovery housing.
22%	P3	Less than Long Term Shelters (LTS) Individuals & Families	Greater than 30 days; but less than 180 days in a 365-day period and/or VLSPOAT flagged (score > 45).	235	PMSI, TSH, IL, PMSI where appropriate: Section 8, ESAP, STC, WRAP, BRAP, ESAP. For Vets: SSVP, or where appropriate: HUD/VASH. For people with substance use disorders: Recovery housing.
	P4	People Discharged from Institutions	Greater than 90 days and/or institutionalized to homelessness, LOCUS > 17, LOCUS > 23 for PMSI (requires ANSA).	80	PMSI, TSH, IL, PMSI where appropriate: ESAP, PMSI (requires ANSA), GA, SSVP, IL, DIV/ASL.
34.5%	P5	Circumstantially Homeless	Less than 90 days; and/or VLSPOAT flagged (score > 45).	43.27	Stable, Not Homeless (do not document if homeless status): GA, Family Promise. For Vets: SSVP.
	P5	Unaccompanied Youth Working Through Transitionality	Less than 90 days; and/or VLSPOAT flagged (score > 45).	537	For people with substance use disorders: Recovery housing. Stable, Not Homeless (do not document if homeless status): ESAP, PMSI (requires ANSA), GA, SSVP, IL, DIV/ASL.

People who are Veterans, elderly, experiencing mental illness, experiencing substance use disorders, and medically compromised could fill into any prioritization category as applicable (i.e., Veterans could fit into any category except <18 aged youth).

Individuals are a priority if they are: 1) 18 years or older; 2) they will be released on a daily basis.

KEY:

- PMSI - Permanent Supportive Housing
- TSH - Transitional Supportive Housing
- PH - Transitional Housing (general, non-programmatic)
- B-C - Shelter Plus Care
- HUD/VASH - Veterans Affairs Supportive Housing
- BRAP - Bridging Racial Assistance Program
- VNED - Vulnerable, Non-Elderly Disabled
- PMSI - Private Non-Medical Institutions (ages 18+)
- PATH - Projects for Assistance in Transition From Homelessness
- GA - General Assistance
- ESAP - Emergency Shelter & Housing Assistance Program (Housing Navigator Stabilization)
- SSVP - Supportive Services for Veterans Families
- STIP - Stability Through Engagement Program - Rapid Re-Housing (TRRA)
- TBRA - Tenant Based Rental Assistance - Rapid Re-Housing
- HTS - Home to Stay - Rapid Re-Housing (TRRA)
- VLSPOAT - Vulnerability Index & Service Prioritization Decision Assistance Tool
- LOCUS - Level of Care Utilization System
- ANSA - Adult Needs and Strengths Assessment
- RHYA - Runaway and Homeless Youth Act Services



Preble Street

Turning Hunger and Homelessness into Opportunity and Hope

Florence House

Lagan Place

Horton Commons

Veterans Housing Services

Maine Hunger Initiative

Advocacy

Food Programs

Anti-Trafficking Coalition

First Place

Teen Center

Joe Kriesler Teen Shelter

Resource Center

*MMC-Preble Street Learning
Collaborative*

November 30, 2018

Public Comments Regarding the Maine 2019 Annual Action Plan

My name is Heather Zimmerman and I am the Advocacy Director at Preble Street. The mission of Preble Street is to provide accessible barrier-free services to empower people experiencing problems with homelessness, housing, hunger, and poverty, and to advocate for solutions to these problems.

I write to offer comments on the Maine 2019 Annual Action Plan. Thank you for the opportunity to comment. There are a few pieces of feedback that Preble Street has submitted in previous years, and we'd like to mention them again here to make sure you are aware of them:

We at Preble Street appreciate that MaineHousing's 2019 Annual Action Plan establishes goals to promote housing stability and end homelessness in Maine. The plan demonstrates a thoughtful allocation of resources to meet those goals.

We'd like to comment on the funding allocations for the ESHAP and STEP program, specifically and about our ideas for improvement.

As a recipient of ESHAP funding for our overnight shelters: Preble Street's Joe Kriesler Teen Shelter and Florence House in Portland and as a service provider connecting people with housing opportunities, we know the importance of funding multiple interventions including emergency assistance, housing vouchers and permanent affordable housing developments.

ESHAP funding is crucial for us and many other emergency shelters around the state. ESHAP allows us to provide an absolutely necessary safe space for people experiencing homelessness. However, there are unnecessary burdens and requirements of the ESHAP program that we oppose. Emergency shelters in Maine desperately need funds to staff our shelters, pay electric bills and keep our doors open. Emergency shelters need unrestricted funding to be able to keep people safe. ESHAP dollars should not be tied to unrealistic expectations that ignore the basic role of a shelter: to provide a safe, warm place for people in the crisis of homelessness to collect themselves and make plans to find stability.

The administrative component of ESHAP is unwieldy. The reporting components are not clear. They often take an inordinate amount of staff time to decipher and complete.

First, the ESHAP follow-up requirements are unwieldy for emergency shelters. While we believe strongly in the power of follow-up case management services to keep people stably housed, we do not have sufficient staffing capacity to do housing support work with people in their homes in other parts of the state. What's

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more, tying ongoing housing support work to the emergency shelter is counter-intuitive for many. Once people are housed and begin to work toward stability, some want to sever ties with their homelessness. They don't want to return to the shelter for a follow up appointment or to complete paperwork. This program makes the shelter the anchor, rather than the community. We encourage MaineHousing to consider making follow-up housing support work a separately funded program.

Some of the requirements of ESHAP actually work in direct opposition to the project of keeping emergency shelters open and operating in Maine. Please do not mistake us, we believe strongly in the power of follow-up case management services to keep people stably housed. However, including housing support work tied in with ESHAP funding creates an unsustainable model. At Preble Street we operate three Housing First developments. Case management support facilitates long term stability for people transitioning out of homelessness. The numbers confirm this belief.

However, because ESHAP funding comes to our emergency shelters that require 24-hour staffing, we are forced to make hard choices about maintaining safe spaces at Florence House and the Joe Kreisler Teen shelter and doing the important follow up housing support work with people in their homes in whatever Maine town they've relocated to: Limington, Biddeford, Saco, or Lewiston.

What's more, tying ongoing housing support work to the emergency shelter is counter-intuitive for many. Once people get an apartment and begin to work toward stability, some want to sever ties with their homelessness. They don't want to return to the shelter for a follow up appointment or to complete paperwork. This program makes the shelter the anchor, rather than the community.

We encourage MaineHousing to give shelters the funding they need to keep the lights on and consider making follow-up housing support work a separately funded program.

As written, this Plan dedicates 30% of Fed HOME funds (\$1.4 million) for the Stability Through Engagement Program (STEP), which provides up to 24 months of rental assistance, and 46% of ESG funds (\$602,872) for rapid rehousing activities through the ESHAP Program.

As we commented on MaineHousing's 2017 and 2018 Action Plan, we at Preble Street are discouraged again this year to see major resources invested in the STEP program. The structure of the STEP program does not promote housing stability, nor is it a good fit for many people coming out of homelessness; especially youth, people who are chronically homeless, and families with children. The STEP voucher program should be a permanent subsidy. We applaud the recent update to the STEP voucher program which will allow it to be renewed for a second year. Our understanding is that there is some flexibility under federal law to make STEP a permanent subsidy. We urge MaineHousing to consider this option to make the program significantly more effective.

The time limit of the STEP voucher does not "step" recipients toward stability, but rather throws them off a cliff after a brief period of aid. MaineHousing should restructure the program to provide a true step up. For youth, for women with kids, for people struggling to reach stability

after long term homelessness, for people who work unstable, low-wage jobs, for people with mental health, medical or substance use conditions, the program is totally unrealistic.

We appreciate that MaineHousing is allocating 14% less resources to STEP and we think that MaineHousing should continue to consider re-allocating additional STEP resources to a more effective program or should explore ways to restructure the program to make it a more effective tool. Our understanding is that there is some flexibility under federal law to make STEP a permanent subsidy. This would be a great way to make the program more effective.

Thank you very much for considering our comments.

Heather Zimmerman
Advocacy Director

Greater Portland
Community Land Trust



Dan Brennan, Director
Maine Housing
353 Water Street
Augusta, ME 04330

November 26, 2018

Re: Annual 2019 Plan-Draft and the 2020-2025 Consolidated Plan

Dear Dan,

I am writing on behalf of Waterville Community Land Trust (WCLT), Greater Portland Community Land Trust, and Covenant Community Land Trust to respectfully request that MaineHousing include community land trust (CLT) homeownership programs in the 2019 Plan Draft and the 2020-2025 Consolidated Plan. CLTs, as Community Housing Development Organizations (CHDO), would then be able to apply for HOME and CDBG funds for shared equity housing, including co-ops, and rentals.

Maine CLTs, as demonstrated by the properties owned and stewarded by WCLT, Covenant Community Land Trust (Bucksport region), and Raise Op Housing Cooperative (Lewiston), support MaineHousing's goals of improved housing quality, expanded supply of affordable housing, increased housing stability, improved household finances, and revitalized neighborhoods. Maine's largest city, Portland, is working to develop their capacity for their CLT.

WCLT and the other 250+ CLTs in the United States have shown that the shared equity model is accepted by buyers and that our efforts have and will incentivize private investments by new homeowners in the same neighborhoods. For those low income families ready to purchase a home, their limited resources are best spent on paying mortgages, rather than unsubsidized rent that is typically higher than the cost of mortgage, utilities and insurance for a CLT home! When homes are sold, most homeowners see their initial and subsequent principal payments returned to them. CLT owners will also receive a portion of any appreciation of home values.

P.O. Box 1834

Waterville, ME 04903

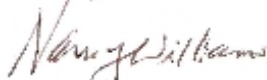
watervilleclt@gmail.org

The 2015-2019 Consolidated Plan states that "...many of the poorest residents of the state simply cannot afford market rents or housing sale prices.... The need is far greater than the number of subsidies available." MaineHousing's data indicates that due to an increase in available funding, the increase of Advantage buyers increased from 184 in 2014 to 941 in 2016. If bank-approved mortgages to CLT homes were to be financed by Maine Housing, these numbers would continue to climb to benefit the "lost" lower-middle and low-income families in Maine that would be served by CLTs.

The Federal government encourages the use of HOME funds for homeownership by requiring that "...at least 15 percent of HOME Investment Partnerships Program (HOME) funds must be set aside for specific activities to be undertaken by a special type of nonprofit called a Community Housing Development Organization (CHDO)." With at least one-third of all CLT boards composed of directors who either live in CLT homes or who would qualify for CLT homes, CLTs are CHDOs.

CLTs are ready to assist MaineHousing and the State of Maine develop quality homes so that more of our residents may realize the many generational advantages of the "American Dream".

Sincerely,



Nancy Williams
WCLT Director

✓ Paula Weber, PMP
Compliance Officer
MaineHousing
353 Water Street
Augusta, Maine 04330

Deborah Johnson, Director OCD
deborah.johnson@maine.gov

Kevin Joseph, MaineHousing board member
MaineHousing
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P.O. Box 1834

Waterville, ME 04903

watervilleclt@gmail.org

Maine Representative Thomas Longstaff
39 Pleasant Street
Waterville, ME 04901
Thomas.Longstaff@legislature.maine.gov

U.S. Senator Susan Collins
68 Sewall Street, Room 507
Augusta, ME 04330

US Senator Angus King
4 Gabriel Drive, Suite 3
Augusta, ME 04330

US Representative Chellie Pingree
1 Silver Street
Waterville, ME 04901

CC State Representatives Portland and South Portland

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Waterville, ME 04903

waterwilleedt@gmail.org

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MaineHousing

Grantee Unique Appendices



State of Maine

Community Development Block Grant Program

2019 Program Statement

Office of Community Development
111 Sewall Street, 3rd Floor
59 State House Station
Augusta, Maine 04333-0059
Phone: (207) 624-7484
Fax: (207) 287-8070
TTY: 1-800-437-1220
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**MAINE DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM
2019 PROGRAM STATEMENT**

SUMMARY

This Program Statement describes the method by which 2019 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. The 2019 CDBG program was developed by the Department of Economic and Community Development (DECD) following a review of past programs, a forum with program constituents, 3 state-wide public forums and a comprehensive assessment of statewide community and economic development needs. DECD will hold a public hearing regarding the development of this Program Statement on November 09, 2018, Burton Cross Office Building, 3rd floor, 111 Sewall Street, Augusta Maine.

SECTION 1. PROGRAM OVERVIEW

A. CDBG OBJECTIVES

All CDBG funded activities must meet one of three National Objectives of the program. These objectives are:

- Benefit to low and moderate income persons;
- Prevention and/or elimination of slum and blight conditions; and
- Meeting community development needs having a particular urgency.

The Maine CDBG Program serves as a catalyst for local governments to implement programs which meet one of the three National Objectives, and:

- Are part of a long-range community strategy;
- Improve deteriorated residential and business districts and local economic conditions;
- Provide the conditions and incentives for further public and private investments;
- Foster partnerships between groups of municipalities, state and federal entities, multi-jurisdictional organizations, and the private sector to address common community and economic development problems; and
- Minimize development sprawl consistent with the State of Maine Growth Management Act and support the revitalization of downtown areas.

B. METHOD OF DISTRIBUTION:

DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2019 Program Statement provides a description of the selection criteria that OCD will use to allocate CDBG funds among communities. Programs are grouped under the three categories listed below.

1. Community Development

- a. Home Repair Network
- b. Housing Assistance Grants
- c. Public Infrastructure Grants
- d. Downtown Revitalization Grants
- e. Public Service Grants
- f. Small Business Development Centers
- g. Urgent Need Grants
- h. Special Projects

2. Economic Development

- a. Grants to Municipalities for Direct Business Support
- b. Micro-Enterprise Grants

3. Technical Assistance

C. STATE ADMINISTRATION:

1. General Administration Allocation: Pursuant to Section 106(d) (3) (A) of the Housing and Community Development Act of 1974, as amended (the Act), the DECD will utilize \$100,000 plus 2% of its allocation from the Department of Housing and Urban Development (HUD) to administer Maine's CDBG Program in accordance with Federal and State requirements.

2. Technical Assistance Administration Allocation: Pursuant to Section 106(d) (5) of the Act, DECD will utilize up to 1% of its allotment from HUD to provide technical assistance in accordance with Federal and State requirements.

3. Exclusion of Entitlement Communities and Counties: The entitlement communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County with the exception of Brunswick and Frye Island, are not eligible to receive State CDBG program funds.

4. Grant Administration Requirement:

Grantees must employ, or contract with, a certified CDBG Grant Administrator. The Office of Community Development must approve waivers of this requirement in writing. All planning activities are exempt from this requirement.

D. PROGRAM TIMEFRAME

Application deadlines – All applications and Letters of Intent must be received at the physical location of the Office of Community Development on or before 4:00PM EST on the dates listed below. **Faxed copies will not be accepted.**

Program	Letter of Intent Due Date VIA E-MAIL	Application Due Date By Invitation Only
Downtown Revitalization	January 25, 2019	March 29, 2019
Economic Development	February 22, 2019	May 24, 2019
Housing Assistance	March 8, 2019	May 3, 2019
Micro-Enterprise Assistance	February 8, 2019	April 26, 2019
Public Infrastructure	No LOI accepted for 2019	N/A
Public Service	May 3, 2019	June 21, 2019
Special Projects/Urgent Need *	N/A	TBD*

*Funding for these programs may be available based upon redistribution, reallocation and/or additional allocation from HUD.

E. 2019 PROGRAM BUDGET

2019 CDBG Budget	\$11,566,645
Administration	331,332
Technical Assistance Administration	115,666

Community Development

Downtown Revitalization Grants	300,000
Home Repair Network Program	2,700,000
Housing Assistance Grants	1,000,000
Public Service Grants	250,000
Public Infrastructure Grants	3,400,000
Regional Council Planning Assistance	114,000
Small Business Development Centers	50,000
Maine Downtown Center Assistance	200,000
Urgent Need Grants*	0
Special Projects*	5,647

Economic Development

Economic Development Grants	2,400,000
Micro-Enterprise Assistance Grants	700,000

TOTAL Estimated 2019 CDBG Funds (final amount determined by HUD) **11,566,645**
Funding for individual categories may change based on actual HUD award.

*Funding for these programs may be available based upon redistribution, reallocation and/or additional allocation from HUD.

F. CERTIFICATIONS

All communities applying for CDBG funds must certify that they will:

- Minimize displacement and adhere to a locally adopted displacement policy in compliance with section 104(d) of the Housing and Community Development Act, 24 CFR part 42;
- Take action to affirmatively further fair housing and comply with the provisions of Civil Rights Acts of 1964 and 1968;
- Not attempt to recover certain capital costs of improvements funded in whole or in part with CDBG funds;
- Establish a community development plan;
- Meet all required State and Federal public participation requirements;
- Comply with the Federal requirements of Section 319 of Public Law 101-121, codified at 31 U.S.C. Section 1352, regarding government-wide restriction on lobbying;
- With the exception of administrative or personnel costs, verify that no person who is an employee, agent, consultant, officer, elected officer, or appointed official of State or local government or of any designated public agencies, or sub-recipients which are receiving CDBG funding may obtain a financial interest or benefit, have an interest in or benefit from the activity, or have an interest in any contract, subcontract, or agreement with respect to CDBG activities;
- Any person or firm associated with the administration of the CDBG program award is not on the U.S. Department of Labor's Debarred and Suspended Contractor's List; and
- Review the project proposed in the application to ensure it complies with the community's comprehensive plan and/or applicable state and local land use requirements.

G. GENERAL REQUIREMENTS:

1. Eligible Applicants: All units of general local government in Maine, including plantations, except for the entitlement communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County with the exception of Brunswick and Frye Island are eligible to apply for and receive State CDBG program funds. County governments may apply on behalf of the Unorganized Territory. Groups of local governments may apply for multi-jurisdictional or joint projects. Multi-jurisdictional applications require designation of one local government as the lead applicant and consent for that designation by each participating local government. Counties may apply for the Public Service program on behalf of a collaboration of communities. **Eligible applicants, including counties as defined above may apply for CDBG assistance on behalf of the five Maine Indian Tribes. Maine Indian Tribes are not themselves eligible applicants.** Eligible applicants applying on behalf of a Maine Indian Tribe are

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permitted to apply in the same 2019 CDBG funding category as long as the eligible applicant will not directly benefit from the tribal CDBG project.

2. Eligible Activities: Applications will be reviewed to determine that the activities proposed are eligible under Section 105(a) of the Act. Ineligible activities will not be considered.

3. Project Benefit: Letters of Intent and/or required documentation for all programs will be reviewed to verify that the proposed activities meet at least one of the CDBG Program national objectives pursuant to section 104(b) 3 of the Act. If the activity does not meet a national objective the application will not be considered for funding.

4. "Growth Related" Preference: In accordance with M.R.S.A Title 30-A section 4349-A (3-A), OCD is required to give preference in the award of grants to capital investments defined as "growth related" in section 4301(5-B) to communities with certified growth management programs or that have adopted a comprehensive plan and implementation strategy consistent with the goals and guidelines of the subchapter. A municipality that does not obtain a certificate or finding of consistency within 4 years after receipt of the first installment of a financial assistance grant or rejection of an offer of financial assistance will receive a low priority.

5. Repayment of Grant Funds: Recipients must repay on demand to the State of Maine all funds expended if CDBG program benefits are not achieved as specified in their contract with the DECD.

6. Application Threshold: Incomplete and/or non-conforming applications which do not meet the specifications set forth in the 2019 Program Statement and 2019 CDBG Application Packages will be removed from the scoring process during the threshold review.

7. Financial Commitments: Applications for projects not demonstrating a firm financial commitment as required in the application materials will be removed from the scoring process during the threshold review.

8. Restriction of Grant Awards: OCD may deny or restrict the award of grants to communities with outstanding audit(s), monitoring findings, or a record of administrative misconduct.

9. Past Performance: In order to be eligible to apply for a 2019 Community Development Block Grant program, communities that received CDBG grants in or prior to 2015 must have finally closed out their grants prior to application due date. Communities that received CDBG grants in 2016 must have conditionally closed their grants prior to application due date. Communities that received CDBG grants in 2017 must have expended 50% of their benefit activity funds prior to application due date. Communities that received 2018 CDBG grants must be under contract with DECD. All Past Performance Criteria will be strictly enforced; however these criteria may be waived for just cause by the Director of OCD.

10. Grant Termination: OCD may terminate a community's grant if progress on the project is not apparent within 6 months from the date of contract signing. The Office of Community Development may grant waivers for just cause.

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H. EXCLUSIONS:

1. Multiple Grants: Eligible applicants may not apply for, or benefit from, more than one grant per program category in any grant year. Communities participating in multi-jurisdictional applications may submit their own applications for the same program as long as they demonstrate that there will not be a duplication of program activity/benefit.

2. Housing Assistance Grant Program: Communities are not eligible to apply for a HA grant unless they have an identified multi-family project with a developer approved by OCD.

I. AWARD PROCESS:

1. Scoring:

The Review Team will assign a score to each of the scoring areas and the application's total score will be determined by the sum of the Review Team's scores. The top scoring applications will be considered for an invitation into the Project Development Phase. An invitation into the Project Development Phase is not a guarantee of funding or permission to obligate funds. Successful communities will receive an amount determined by the OCD for their project.

2. Project Development Phase:

a. Project Planning: Details of the project including pre-engineering, bid requirements, budget, and/or grant administration.

b. Acceptance of Funds: Public Hearing and Legislative Body Approval for the acceptance of funds.

c. Local Certifications: Local adoption of State and Federal regulations..

d. Project Benefit: Verification that proposed activities meet or will meet one of the CDBG Program National Objectives.

e. Environmental Review: Review of project for compliance with State and Federal Environmental Regulations.

3. Project Development Timeframe and Assistance:

The goal of the Project Development Phase is a grant contract for CDBG funds. An OCD Development Program Manager will be assigned to work closely with each community to finalize their project. OCD will rescind the CDBG program award offer if the community is not under contract within six months of the date of the award offer and invitation into the project development phase process. The Office of Community Development may grant waivers for just cause.

SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

A. HOUSING ASSISTANCE GRANT PROGRAM

The Housing Assistance Grant (HA) Program provides funding to address housing problems of low-and moderate-income persons. Housing Assistance Program (HA) funds will be distributed through an annual grant application selection process.

1. Eligibility Requirements for Housing Assistance Applications: Communities must have an identified multi-family project with a developer approved by OCD.

2. Eligible Activities: Eligible HA activities are rehabilitation of occupied or vacant multi-family housing units and conversion of non-residential structures.

3. Matching Funds: Applicants for housing activities must provide a cash match of at least 20% of the total HA project cost.

4. Maximum HA Grant Amount: \$1,000,000

5. Maximum Administrative Costs: The HA Program may allow expenditures for general and/or rehabilitation administration. The total general and rehabilitation administration expenditures may not exceed 15% of the grant amount. **Please refer to OCD Policy Statement #2 for more information regarding CDBG administrative costs.**

6. Selection Process: The selection process for all HA applications will consist of two stages:

(a) Stage 1:

Letter of Intent: All communities wishing to submit a HA application must submit a Letter of Intent. After review for completeness and eligibility, units of general local government may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:

Application: The maximum length of an application is **four pages (not counting required attachments)**. Please refer to Page 5 of this document for Program deadlines and due dates. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

Impact (40 points):

- A description of the specific housing problems to be addressed with HA funds – 15 points
- How the problems were identified – 10 points
- How these issues affect LMI persons in the community or region – 15 points

Development Strategy (40 points):

- A description of the plan proposed to implement the housing project – 20 points

- Summary of the activities and use of HA funds –20 points

Citizen Participation (20 points):

- How overall citizen participation process directly relates to identification of solution strategies and application development - 4 points
- Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 4 points
- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 4 points
- Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process – 4 points
- How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments – 4 points

11. Final Application Score – Each application will receive a Final Application Score assigned by members of the Review Team. The top scoring applicants will be considered for an invitation to proceed to the Project Development Phase as funds allow.

B. HOME REPAIR NETWORK PROGRAM

The Home Repair Network Program (HRN) provides funding statewide to address housing problems of low- and moderate-income persons. This program will provide housing rehabilitation services administered on a regional basis throughout Maine, as stated below.

1. Special Threshold Criteria and Certifications: HRN Program funds will be distributed through a set aside of CDBG funds provided to the City of Rockland as the lead community. The lead community will establish a legally binding contract with each of the participating Maine Community Action Agencies (or other approved entity) to provide Housing Rehabilitation Services in the region. Participation in the HRN delivery system is subject to the approval of the Director of the OCD.

2. Eligible Activities: Eligible activities under the HRN Program are rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, removal of architectural barriers and the Critical Access Ramp Program (via Alpha One).

3. Housing units ineligible for Home Repair Network assistance: Housing units located in communities that have current CDBG Housing Rehabilitation programs or the entitlement communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County with the exception of Brunswick and Frye Island are not eligible for financial assistance under the HRN program.

4. Maximum HRN Grant Amount: \$2,700,000. Allocations to each of the established regions will be determined by the Office of Community Development.

5. Maximum Administrative Costs: The HRN Program allows expenditures for general and rehabilitation administration. The total general and rehabilitation administration expenditures may not exceed 20% of the grant amount. The City of Rockland is allowed a maximum of \$5,000 in administrative funding.

6. Section 8 Housing Quality Standards: All units assisted or created with HRN funds will strive to meet HUD Section 8 Minimum Housing Quality Standards if possible. This does not apply to projects undertaken to correct specific emergency health and safety issues only, i.e. wells, septic, heating units, removal of hazardous materials, energy conservation etc. In addition, all units must comply with other applicable standards included in the HRN contract.

C. PUBLIC INFRASTRUCTURE GRANT PROGRAM

No Letters of Intent or Applications will be accepted for the 2019 Program Year. The Communities of Fort Fairfield, Millinocket, Old Orchard Beach and Washburn, who submitted applications in 2018, are being funded in 2019.

The Public Infrastructure Grant (PI) Program provides gap funding for local infrastructure activities, which are part of a community development strategy leading to future public and private investments.

1. Eligible Activities: Eligible activities in the PI Program are construction, acquisition, reconstruction, installation, relocation assistance associated with public infrastructure, and public infrastructure limited to supporting construction of fully-funded affordable LMI housing; eligible planning activities necessary to complete the Project Development Phase.

2. Exclusions: See Section 1H (1) (2).

3. Match: All communities applying for PI funds must certify that they will provide a cash match of at least 25 percent of the total grant award. This match may consist of all non-CDBG loans, grants etc. contributed to the project.

4. Program Activities: Applicants may apply for one or more activities within a specific activity group. Applicants cannot mix activities from different activity groups in an application.

Activity Group Numbers:

- 1) Water system installation/improvements, sewer system installation/improvements, water/sewer system hookups, storm drainage, utility infrastructure, dams with the main purpose of providing the primary water storage facility for an active water district or municipal system. **Maximum Amount: \$1,000,000**
- 2) Infrastructure in support of new LMI affordable fully financed housing. **Maximum Amount: \$1,000,000**

5. Funding Restrictions: PI funds may not be used to assist infrastructure for the purpose of job creation/retention. Job creation/ retention infrastructure activities are eligible in the Economic Development Program. With the exception of proposals for infrastructure in support of new housing construction and sewer/water system hookups, no housing activities may be assisted with PI funds.

6. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of benefiting 51% or greater low/moderate income persons via Census information, or a certified target area survey.

7. Selection Process: The selection process for all PI applications will consist of two stages:

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective: All communities wishing to submit a PI application must submit a Letter of Intent and Verification of CDBG National Objective to OCD. After review for completeness and eligibility, units of general local governments may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:

Application: Please refer to Page 5 of this document for Program deadlines and due dates.

Each application will be rated in relation to all others in a two-stage process. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area.

Impact (40 points):

- A description of why the project is necessary, previous efforts to address needs, and how the project was prioritized locally –6 points
- What engineering firms and/or regulatory agencies have verified the infrastructure problems, and what studies and testing have been done that corroborate the need– 6 points
- How the verified health, safety and welfare conditions affect users and others in the community and region –8 points
- Size and demographic makeup of user base and target area of projected infrastructure project –10 points
- Why PI funds are necessary to fill a funding gap, what other state and/or federal agency funding is involved, capacity of the utility or town to borrow, and how match funds will work with PI funds to implement the project –10 points

Development Strategy (40 points):

- A description of the proposed infrastructure improvements, including size, capacity, design, utilities and fit with existing systems – 10 points
- Positive impacts on health, safety and welfare of users directly attributable to proposed PI expenditures –5 points
- Extent of financial benefits to users; list current user rates, what rates will be if PI funding is approved, and list what user rates will be if the project is built without PI funding –15 points
- Project timeline: list tasks necessary to begin implementation. Identify work already completed, such as engineering, design and final commitment of other funds. Identify when remaining tasks will be completed. Estimate a project completion date and describe why project timeline is feasible –10 points

Citizen Participation (20 points):

- How overall citizen participation process directly relates to identification of solution strategies and application development - 4 points

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- Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 4 points
- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 4 points
- Involvement of potential LMI project beneficiaries in to the application development and citizen participation process – 4 points
- How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments – 4 points
- development of the application and project and how the required public hearing relates

8. Final Score Each application will receive a Final Application Score assigned by members of the Review Team. The top scoring applicants will be considered for an invitation to proceed to the Project Development Phase as funds allow.

D. DOWNTOWN REVITALIZATION GRANT PROGRAM

The Downtown Revitalization Grant (DR) Program provides funds to communities to implement comprehensive, integrated, and innovative solutions to the problems facing their downtown districts. These community revitalization projects must be part of a strategy that targets downtown service and business districts and will lead to future public and private investment. Qualified applicant communities must have a downtown district meeting the definition in 30-A M.R.S.A. Section 4301(5-A).

1. Eligible activities - include all those eligible under the Public Facilities, Public Infrastructure, Housing Assistance or Micro Enterprise Assistance programs as relevant to the revitalization of a downtown district; and eligible planning activities necessary to complete the Project Development Phase.

2. Exclusions: See Section 1H (1) (2).

3. Match – All communities applying for DR Program funds must certify that they will provide a minimum cash match equivalent to 25 percent of the total grant award. This minimum 25% match must consist of private sector investments directly related to the project. Any additional project funding over the minimum 25% may come from any source public and/or private. All match must be fully committed at time of application.

4. Planning Requirements: Applicants must have completed a comprehensive downtown revitalization planning process within the past five years. Communities with plans older than five years must demonstrate that their plans are under active implementation, the action plan remains valid, or have been updated within the past 5 years. The proposed DR activities must be in the plan as recommended actions necessary for downtown revitalization.

5. Maximum DR Award: \$300,000

6. Bonus Points for Applicants with Maine Downtown Center Designation: Applicants will receive three bonus points if they have been designated as a Main Street Maine Community by the Maine Downtown Center, or one bonus point if they have been designated as a Maine Downtown Network Community.

7. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of 1) benefiting 51% or greater low/moderate income persons or 2) preventing or eliminating slum or blighting conditions. Census information, a certified town-wide income survey, or an officially adopted declaration of slum/blight conditions conforming to the requirements of Title 30-A M.R.S.A § 5202 and HUD must be submitted to OCD. ***These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD.***

8. Selection Process – The selection process will consist of two stages

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective:

All communities wishing to submit a DR application must submit a Letter of Intent. After review for completeness and eligibility, units of general local governments may be

invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:

Application: The maximum length of an application is **six pages, not counting required attachments.**

Please refer to Page 5 of this document for Program deadlines and due dates.

Each application will be rated in relation to all others. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area.

Impact (40 points):

- Describe the scope and magnitude of the problems you seek to address, and how they are obstacles for revitalizing the downtown. – 8 points
- Explain how these problems negatively impact the viability of existing downtown businesses, or new development and expansion. –12 points
- Demonstrate how the problems affect LMI persons, or how they contribute to slum/blight conditions. –8 points
- Explain why DR funds are necessary for the project, and describe what efforts have been made and where you have searched to secure other grant or loan funds, –12 points

Development of Strategy (40 points):

- Clearly link the proposed DR activities to action steps outlined in your community's Downtown Plan, and explain how the project will stimulate economic activity in the downtown. –12 points
- List the specific activities to be addressed in this downtown revitalization effort, and identify the tasks to be undertaken with DR funds and the activities to be undertaken with each other source of funds. –12 points
- Define how the proposed DR activities provide a solution to the problems and assist in improving the area's viability, and how the activities will have a positive impact on LMI persons, or on alleviation of the slum/blight conditions. –8 points
- Describe the capacity and experience of the administrator who will be implementing the project, describe the engineering and design work completed to date, provide a project timeline, and explain how DR funds will be expended in a timely manner. – 8 points

Citizen Participation (20 points):

- Effective use of media (newspapers, radio, TV, web etc.) to further public awareness and participation. – 4 points
- Relevance of listed meeting/hearing comments (not counting required public hearing) and the overall citizen participation process in application and project development. – 4 points

- Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business related organizations in identification of problems and development of the application and project. – 4 points
- Involvement of potential LMI project beneficiaries in development of the application and project, and how the required public hearing relates to the application development and citizen participation process. – 4 points
- How other local resources (cash and in-kind) are directly related to the project, and the establishment of a cash value equivalent for all in-kind commitments. – 4 points

Maine Downtown Center Designation Bonus – 3 bonus points will be assigned to each applicant community designated as a Main Street Maine Community by the Maine Downtown Center, and a 1 bonus point will be awarded to those communities designated as a member of the Maine Downtown Network.

Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

9. Final Application Score – Each application will receive a Final Application Score assigned by members of the Review Team plus any applicable Maine Downtown Center Bonus. The top scoring applicants will be considered for an invitation to proceed to the Project Development Phase as funds allow.

E. PUBLIC SERVICE GRANT PROGRAM

The Public Service Grant (PSG) Program addresses community and business resource needs by providing funding for operating expenses, equipment, and program materials for activities which will benefit low/moderate income (LMI) persons.

1. **Eligible Activities:** Eligible activities include but are not limited to, operating and program material expenses for the purpose of providing workforce training and skills development, child care, health care, recreation programs, education programs, public safety services, fair housing activities, senior citizen services, homeless services, drug abuse/mental health counseling and treatment.
2. **Project Benefit:** Eligible PSG projects must provide benefits to one of the groups of persons listed below and be in support of an identified business or non-profit entity:

(a) Participants in a program where 51% or greater of the persons receiving benefit from PSG activities are determined to be LMI.

(b) Persons who are members of the following groups that are currently presumed by HUD to meet benefit requirements. The presumption may be challenged if there is substantial evidence the group served by the project is most likely not comprised of principally LMI persons;

- Abused Children (Does not include "at-risk" youth)
- Battered Spouses (Does not include all victims of domestic violence)
- Elderly Persons (62 years +, or 55 years + for housing)
- Severely Disabled Adults
- Homeless Persons
- Illiterate Adults
- Migrant Farm Workers
- Persons Living with AIDS

3. **All communities applying for PSG funds must certify that:** The activity represents a new service to the community; or a quantifiable increase in the level of an existing service;

4. **Maximum PSG Amount: \$50,000**

5. **Selection Process:** The selection process will consist of two stages

(a) Stage 1:

Letter of Intent: All communities wishing to submit a PSG application must submit a Letter of Intent. Please refer to Page 5 of this document for Program deadlines and due dates. After review for completeness and eligibility, units of general local governments will be invited to make a full application.

(b) Stage 2:

Application: The maximum length of an application is **four pages, not counting required attachments**. Please refer to Page 5 of this document for Program deadlines and due dates.

Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

Impact (40 points):

- Conditions requiring a new or expanded service – 15 points
- Issues faced by service providers including capacity, finances and staffing – 15 points
- Why PSG funds are critical for the project – 10 points

Development Strategy (40 points):

- A description of the new or expanded service, specific use of PSG funds, including how this service will resolve identified problems, and why this service will be more effective than existing services for the targeted beneficiaries – 10 points
- How PSG funds will be utilized to assist LMI persons or a HUD approved Limited Clientele group – 10 points
- Project timeline, including a start date, tasks completed to date, how PSG funds will be expended in a timely manner, and method of tracking success – 10 points
- Capacity and qualifications of the service provider implementing the project, including familiarity with the needs of project beneficiaries – 10 points

Citizen Participation (20 points):

- How overall citizen participation process directly relates to identification of solution strategies and application development - 5 points
- Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 5 points
- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 5 points
- Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process – 5 points

6. Final Application Score – Each application will receive a Final Application Score assigned by members of the Review Team. The top scoring applicants will be considered for an invitation to proceed to the Project Development Phase as funds allow.

F. SMALL BUSINESS DEVELOPMENT CENTERS

The Small Business Development Center Technical Assistance (SBDCTA) provides funding for the provision of technical assistance to Maine micro-enterprise businesses through a partnership with Maine's Small Business Development Centers.

1. Special Threshold Criteria and Certifications: SBDCTA will be distributed through a set aside of CDBG funds provided to the County of Aroostook as the lead community. The lead community will establish a legally binding contract with the SBDC as approved by OCD.

(a) Eligible Activities:

(i) Eligible activities under the SBDCTA are technical assistance to verified Maine micro-enterprise businesses and potential start-up companies which can be reasonably expected to become a micro-enterprise business.

(b) Communities ineligible for SBDCTA Assistance:

(i) Micro-enterprise businesses and potential start-up companies located in the communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County with the exception of Brunswick and Frye Island, are not eligible for financial assistance under the SBDCTA.

G.MAINE DOWNTOWN CENTER ASSISTANCE

The Maine Downtown Center Assistance (MDCA) provides funding to support activities undertaken by the Maine Downtown Center on behalf of communities addressing critical needs in established downtown areas.

1. Special Threshold Criteria and Certifications: MDCA funds will be distributed through a set aside of CDBG funds provided to the City of Belfast who will be the lead community. The City of Belfast will establish a legally binding contract with the Maine Downtown Center as approved by OCD.

2. Eligible Activities: Eligible activities under the MDCA are planning, capacity building, technical assistance and administration directly related to furthering the Maine Downtown Center's objectives in building vibrant, sustainable Maine downtowns. Assistance will be available to Main Street Maine communities as well as communities not currently so designated. Assistance will be made available as determined by the Maine Downtown Center and OCD.

3. Communities Ineligible for MDCA Assistance: The entitlement communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County, with the exception of Brunswick and Frye Island are not eligible for financial assistance under the MDCA.

H. URGENT NEED GRANT PROGRAM

The Urgent need Grant (UN) Program provides funding to communities to address serious and immediate threats to health and welfare which are declared state or federal disasters.

1. Project Eligibility: Pursuant to Section 104 (b) 3 of the Housing and Community Development Act of 1974, as amended (see 24 CFR Section 570.483(d)), the applicant must address a community development need which meets all four criteria listed below:

- (a) poses a serious and immediate threat to the health or welfare of the community;
- (b) originated or became a direct threat to public health and safety no more than 18 months prior to submission of the application;
- (c) is a project the applicant cannot finance on its own. "Cannot finance on its own" means, that the town's tax burden, regulatory structure, utility user fees, bonding capacity, or previous or existing budgetary commitments, precludes it from assuming the additional financial obligation needed for this project; and
- (d) cannot be addressed with other sources of funding.

2. Program Requirements:

(a) Necessary Documentation: The emergency situation must require immediate action to alleviate the serious and imminent threat of injury or loss of life resulting from a natural or man-made cause.

(b) State or Federal Declaration of Disaster: The applicant must submit documentation that the project to be assisted with UN funds will take place in an area that has received a state or federal declaration of disaster. In addition, the activities to be assisted must be a direct result of the event leading to the declaration. This requirement may be waived by the Director of OCD with just cause.

(c) Application Submittal: Applicants must submit a complete UN application that includes all required information and documentation.

3. Selection Process: The selection process will consist of two stages: an application phase and a project development phase.

(a) Stage 1:

Application: An UN application must include the following:

- documentation that the emergency situation was prompted by natural or man-made causes that pose an imminent threat of injury or loss of life;
- certification that the proposal is designed to address an urgent need and an immediate response is required to halt the threat of injury or loss of life;

- information regarding when the urgent need condition occurred or developed into a threat to health and safety;
- evidence confirming the applicant is unable to finance implementation on its own; and,
- documentation that other financial resources are not available to implement the proposal.
- a copy of a state or federal declaration of disaster.

(b) Stage 2:

Project Development: Prior to consideration of a grant award, all UN proposals must meet the four eligibility criteria listed above and the Program requirements. Project Development Phase applications must comply with the following:

Project Planning: Details of the project including engineering, cost analysis, feasibility, and structural analysis as necessary.

Management Plan: Details of the structure and methods established by the community for program management.

Regulations: Project Development Phase applications will be reviewed for compliance with State and Federal regulations.

4. Approval Process: Applications will be accepted on a first-come first-served basis. Following receipt of an application, OCD shall review the application and verify that it contains all the required information. Eligible planning activities necessary to complete the Project Development Phase may be included in the UN grant total. Notification to the applicant of the Office of Community Development's decision will initiate the Project Development Phase process necessary for contract award.

I. SPECIAL PROJECTS PROGRAM

The Special Projects Program provides funds to projects that are not funded through the normal CDBG application process. SP funds will be used for alternative OCD grant activities and partnerships that meet the community or economic development needs of municipalities and CDBG National Objectives in the State of Maine. Approval for the use of SPMF funds is through the Director, Office of Community Development.

SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

A. ECONOMIC DEVELOPMENT

The Economic Development program (EDP) provides communities with **gap** funding to assist identified businesses in the creation/retention of jobs for low-and moderate-income persons.

1. Eligible Activities by Group Number:

<u>Group Numbers</u>	<u>Maximum Award</u>
a) Grants to Municipalities: for acquisition, relocation, demolition, clearance, construction, reconstruction, installation and rehabilitation associated with public infrastructure projects . All public infrastructure must be owned by the municipality, or public or private utility, and be in support of an identified business.	\$500,000*
b) Grants to Municipalities for Direct Business Support: for capital and non-capital equipment, land and site improvements, rehabilitation or construction of commercial or industrial buildings, job training, working capital and capital equipment and be in support of an identified business. Acquisition is not an allowable activity under this group.	\$500,000*

2. Exclusions:

- Applicants may apply in only one specific activity group
- **EDP funds cannot be used to refinance existing debt.**
- All EDP activities must be in support of an identified business; speculative activities are excluded.
- Communities that received an EDP award, for the same business in a prior year, must document, at submission of Letter of Intent, employment baseline information to show the company is at or above the employment number achieved as a result of previous CDBG assistance and that the CDBG assistance is vital to the project and cannot be obtained elsewhere.
- *Start-up businesses are limited to a maximum grant award of \$250,000
- **Waivers to increase the maximum grant award amount, in instances where the impact of the project is substantial and can be documented, both through project investment and job creation, may be requested to the Director of the Office of Community Development.**

3. Project Benefit: All projects must document that at a minimum, 51% of all jobs created or retained as a result of the funded activity must be taken/held by persons of low and moderate income as defined by HUD. Jobs created/retained must be in the community applying for the EDP award, new jobs to that community and not associated with any other branches of the assisted business located in another community. Transfer positions cannot be counted toward the job creation/retention requirements. **In the event that job creation requirements are not met, the applicant community will be responsible for immediate repayment to DECD of all CDBG funds expended on the project.**

4. Program Dollars per Job: The maximum CDBG participation per job created or retained with EDP funds is \$30,000.

5. Full Time permanent Jobs: In determining CDBG National Objective compliance with jobs created or retained only **Permanent** jobs may be counted; temporary jobs may not. Full time jobs require a worker to work at least 1750 hours per year. Part time jobs require a worker to work at least 875 hours but less than 1750 hours per year. Part-time jobs **must** be converted to Full Time Equivalents (FTE). An FTE is defined as two part time jobs. **Seasonal** jobs may count only if the seasonal job lasts long enough and provides sufficient income to be considered the employee's principal occupation. (Contact OCD prior to counting seasonal jobs towards LMI benefit.) **All** permanent jobs created by the project must be counted, regardless of funding source(s). Jobs indirectly created by the project (i.e., remote location, "trickle down" jobs) do not count.

6. Maximum Project Size for Utilizing EDP Funds: \$3,000,000 Phasing of projects to make the total cost appear to be below the maximum project size is expressly forbidden.

7. Program Requirements:

(a) EDP Letter of Intent Due Dates:

All communities wishing to submit an EDP application must submit a Letter of Intent. Please refer to Page 5 of this document for Program deadlines and due dates. After review for completeness and eligibility, units of general local governments may be invited to make a full application.

(b) EDP Application Due Dates: By invitation only as a result of accepted Letter of Intent. Please refer to Page 5 of this document for Program deadlines and due dates.

(c) Necessary and Appropriate: EDP assistance to a business must be for projects that are necessary and appropriate. The application must describe the need for program assistance, reasonableness of the amount requested, and assurance that the assistance provided is commensurate with the community benefits that will accrue from the project. **Documentation must be provided that the project cannot proceed without program participation and that program funds provide gap financing.**

(d) Compliance with Benefit Certification Requirements: The business and the applicant community, under the direction of the Program Manager assigned to the project, must comply with documentation requirements for jobs created/jobs retained on a project including but not limited to benefit surveys, income verification and periodic reporting that the Office of Community Development may require.

(e) EDP Matching Funds Requirements: Communities applying for Economic Development Program funds must certify that a 100% cash match of the total EDP award will be provided. Matching funds must be directly related to the activities undertaken with EDP funding.

(f) EDP Projects in Support of Retail Businesses: OCD may accept an EDP application in support of a retail business activity only under the following

limited conditions:

- The retail business represents the provisions of new products and services previously unavailable in the community or is a tourism-related business; and
- The development or expansion of the retail business represents a net economic gain for the community and the region. Applications supporting a retail business or businesses are required to certify that the development represents a new overall gain for the region's economy and not a shift from existing established businesses to a new or expanded one; and
- The retail business is located in either a downtown district meeting the definition in 30-A M.R.S. Section 4301 (5-A); or a designated local growth area contained in an adopted and consistent comprehensive plan; and
- At least 50% of the jobs created by the retail business must be full time jobs.

9. Selection Process: The selection process will consist of two stages. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and any applicable bonus points. The following criteria will be used:

(a) Stage 1:

Letter of Intent: All communities wishing to submit an EDP application must first submit a Letter of Intent. After review for completeness and eligibility, units of general local governments may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:

Application: Members of the Review Team will assess the applications based on the following criteria:

Problem Statement

Scope

- Detail the problems or needs facing the community/business to be assisted.
- Tell how these problems relate to job creation or job retention activities.
- Describe how the overall financial viability of the community/business is affected by the problems or needs.

Impact Identify how employment opportunities for persons of low/moderate income are negatively affected by the identified problems.

- Emphasize the importance of the affected business in relation to the stability of the community/region and its current financial well-being including property tax analysis before and after the proposed activities.

Need Identify reasons why the community/business is unable to finance the proposed project on its own, or with assistance from other sources.

- Include a narrative that highlights any recent efforts by the community/business to assist job creation/retention activities.

Solution

Project Description Detail the activities that the community/business will undertake using EDP funds to resolve the problems/needs presented in the Problem Statement.

- Identify, in detail, the specific acquisition, equipment, real property improvements and/or fixtures that will be installed, modified, and upgraded, etc., with EDP funds.
- Explain how the solution directly solves the identified problems/needs.
- Include a firm figure of the number of jobs to be created or retained as a result of the project, and how these jobs relate to persons of low/moderate income.
- Clearly state the amount of EDP funds sought and how they will fit into the overall financing for the project.
- Include a graphic description (aerial photo, map, and sketch) of the sites involved. Provide a generalized location of the site relative to the community and a copy of a floodplain map showing the project location. Include existing and proposed site and/or building improvements.

Effect on Assisted Business

- Describe the effect the EDP award and completion of the project, as a whole, will have on the ability of the community/business to remain competitive, and create/retain quality jobs.
- Describe the market including identification of competitors, price structure, resource availability, operating/manufacturing costs, transportation costs, demand, and other factors influencing the marketability of the product or service proposed. Also identify all project risks and the extent of the risks.

Project Timeline and Feasibility

- Describe how the project is assured of successful completion within 12 months.
- Identify what work, such as pre-engineering, construction and improvements, or fixture purchases that have been completed, or are in process, and exactly how these relate to the proposed EDP project.
- Provide background information (including resumes) for the owners and/or managers of the business and specific information about the skills and experiences of the owners and/or managers as related to the successful management of the business and proposed project.
- Include a concise timetable for project implementation.

Citizen Participation

Public Hearing Process

- Describe how citizen participation contributed to the actual development of this application, including how the required public hearing contributed to the process. **(Submit a public hearing record consisting of the published public hearing notice, hearing minutes, and attendance list with the original and all three copies of the application.)**

- **Business/Local Involvement** Outline other input from businesses, chambers of commerce, development organizations, local groups and individuals have had in increasing the citizen participation process for the proposed project.
Highlight how the use of any media (TV, radio, newspapers, etc.) increased public awareness and participation in the EDP project.

10. Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

11. Final Score. EDP applications will be awarded funding based on the consensus of the review team together with the analysis completed by OCD's financial underwriter.

12. Project Development Phase: The project development phase must be completed within 6 months from the date of award. The goal of this phase is a grant contract for CDBG funds. During this phase an OCD Development Program Manager will be assigned to work with the community to finalize their project. OCD reserves the right to rescind the CDBG program award of the community is not under contract within this time. The Office of Community Development may grant waivers for just cause.

B. MICRO-ENTERPRISE ASSISTANCE GRANT PROGRAM

The Micro-Enterprise Assistance Grant (MEA) Program provides grant funds to assist in innovative solutions to problems faced by micro-enterprise businesses. Assistance to businesses may be in the form of grants or loans at the discretion of the community.

1. Eligible Activities: Eligible activities under the Micro-Enterprise Assistance category are grants or loans to for-profit businesses that can be used for working capital and interior renovations, façade grants or loans for exterior improvements, including signage, painting, siding, awnings, lighting, display windows and other approved improvements; and eligible planning activities necessary to complete the Project Development Phase. **Sewer, water, storm drainage, parking, roads or streets and other infrastructure improvements and buildings solely for residential use are not eligible.**

2. Exclusions: See Section 1H (1) (2).

3. Micro-Enterprise Assistance Loan Repayments – Communities that establish Micro-Enterprise Assistance as loans, and anticipate receiving \$35,000 or more in loan repayments, must utilize the services of a Community Development Financial Institution (CDFI) or a Community Based Development Organization (CBDO) as defined in Section 105(a)(15) of the Housing and Community Development Act of 1974, to manage repayments and subsequent relending. Micro-Enterprise Assistance Grants will be structured as forgivable loans.

4. Maximum MEA Grant Amount: \$150,000 per Community per year.

5. Maximum Amount of Micro-Enterprise Assistance to an individual Business: \$50,000

6. Project Benefit:

(a) Micro-Enterprise Grant/Loan: Existing or developing businesses that have five or fewer employees, one of whom owns the enterprise, and whose family income is LMI will meet the project benefit. Applicants will need to submit a copy of their 2018 Income Tax filing with their Letter of Intent. For those businesses whose owners are Low-to moderate-income existing employees' incomes are not considered in meeting project benefit.

(b) Businesses with owners who do not qualify as low-to moderate-income must create up to two (2) full-time equivalent (FTE) jobs (depending on funds requested), which must be taken by low-to moderate-income individuals. *The new jobs must be maintained for a minimum of one year.* Proof of employee income for 12 months prior to date of hire will be required. Businesses applying for MEA funds must have a business plan not older than 18 months and must have met with a Small Business Development Center (SBDC) business counselor in the three months prior to submitting an application for assistance.

(c) Business Facade Grants: Project benefit will be met when exterior improvements and signage on an existing business take place in a designated slum/blight area, or documentation is submitted showing that a business qualifies under a spot blight basis.

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7. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of 1) assisting existing or developing businesses that have five or fewer employees, one of whom owns the enterprise, and whose family income is LMI, or 2) creating up to two FTE jobs which must be taken by low- to moderate income individuals, or 3) preventing or eliminating slum or blighting conditions conforming to the requirements of Title 30-A M.R.S.A. § 5202 and HUD,. ***These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD***

8. Selection Process: The selection process will consist of two stages:

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective: All communities wishing to submit a MEA application must submit a Letter of Intent and Verification of CDBG National Objective to OCD. Please refer to Page 5 of this document for Program deadlines and due dates. After review for completeness and eligibility, units of general local governments will be invited to make a full application.

(b) Stage 2:

Application: The maximum length of an application is **four pages, not counting required attachments**. Please refer to Page 5 of this document for Program deadlines and due dates. Members of the Review Team will assign a Point Total for each application reviewed. Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

Impact (40 points):

- State the problem and explain how it negatively impacts the local economy. – 30 points
- Explain why MEA funds are necessary for the project; describe efforts to secure other grant or loan funds, and tell why they are not available locally to assist – 10 points

Development Strategy (40 points):

- Provide Identification and description of potential business grant/loan applicants and their needs – 15 points
- Explain how the MEA project will stimulate business and assist in improving the area's long-term viability. – 15 points
- Provide a project timeline; list activities or actions completed to date. – 10 points

Citizen Participation (20 points):

- Effective use of any media (newspapers, radio, TV, etc.). – 5 points

- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) in application and project development. – 5 points
- Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business related organizations in development of the application and project. – 5 points
- How other local resources (cash and in-kind) are directly related to the project. – 5 points

9. Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

10. Final Score – Each application will receive a Final Application Score consisting of the sum of the scores assigned by members of the Review Team, added to any applicable Business Friendly Community Bonus. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

SECTION 4. TECHNICAL ASSISTANCE

The Office of Community Development will use Technical Assistance funds to: conduct workshops, produce program materials, implement the CDBG Administrator's Certification Training Program, and provide technical assistance and outreach to communities.

Regional Providers will provide planning assistance to units of general local government in identifying community & economic development needs, developing, and administering CDBG projects. For purposes of this paragraph the term "**planning assistance**" means the facilitating of skills and knowledge in planning, developing, and administering CDBG activities for entities in non-entitlement areas that may need but do not possess such skills and knowledge.

SECTION 5. REDISTRIBUTION OF GRANT FUNDS

This section describes the methods by which undistributed funds, disencumbered funds, additional funds received from HUD, and program income will be redistributed.

1. Local Government Grants from the State: Applicants receiving grants under the 2019 CDBG program but failing to have their projects substantially underway (environmental review complete, program costs obligated, construction or services begun) within six months of grant award, may have their grant rescinded by DECD. Rescinded grant funds may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

Unexpended funds remaining in the grantee's CDBG account at grant closeout, funds remaining in a grantee's award but not requested upon grant closeout, and funds returned to DECD because of disallowed costs may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

2. Unallocated State Grants to Local Governments: Unallocated grant funds resulting from lack of adequate program competition or demand in any of the available 2019 CDBG programs and any additional funds allocated by HUD may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

3. Basis for Redistribution: The decision to redistribute funds will be made after staff evaluation of the following: the total funds available, new requests for funding, requests for additional funding from current CDBG grantees and applicants for competitions that did not receive funding. The OCD may redistribute available funds to any project deemed to be in the best interest of, and that offer CDBG definable benefits to the State of Maine.

SECTION 6. PROGRAM INCOME

As used in this Proposed Statement, "Program Income" means the gross income received by a grantee from any grant-supported activity in excess of \$35,000. Applicants will refer to the CDBG Regulations and the Maine Office of Community Development policies on program income.

SECTION 7. APPEALS

Appeals of award decisions are restricted to errors of fact or procedure. Appeals in the areas of judgment qualitative scoring will not be entertained. In the case of a successful appeal, funds will be reserved for the project from available or subsequent CDBG funds.

An applicant wishing to appeal DECD's decision regarding their 2019 application restricted to errors of fact or procedure, may do so by submitting an appeal letter to the Director of the Office of Community Development within fifteen (15) days of the award announcement for that specific program.

SECTION 8. AMENDMENTS TO THE PROGRAM STATEMENT

The State may amend the 2019 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The Department of Housing and Urban Development's citizen participation requirements will guide the amendment process.

**THIS MATERIAL IS AVAILABLE IN ALTERNATIVE FORMAT
UPON REQUEST**

BY CONTACTING:

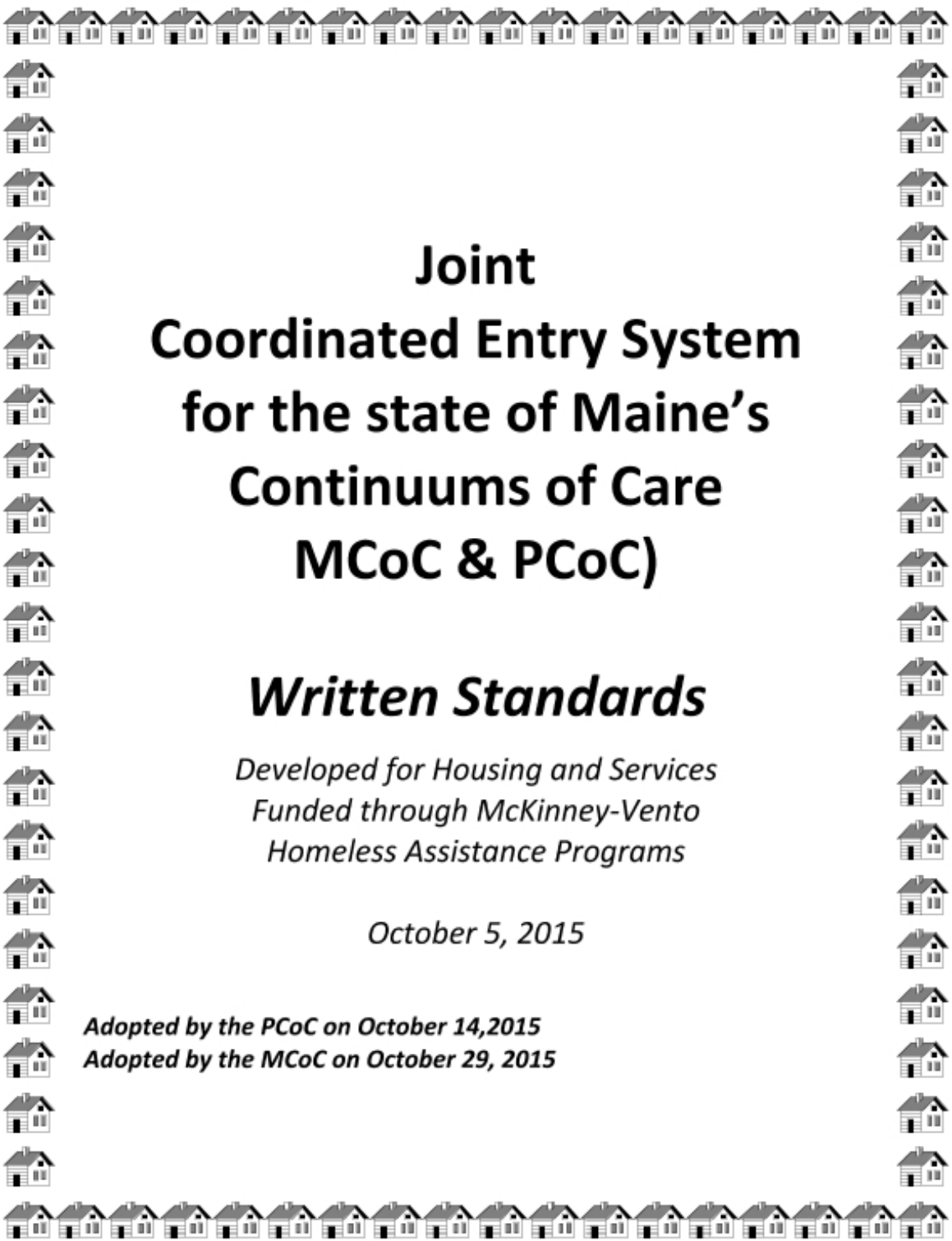
**OFFICE OF COMMUNITY DEVELOPMENT
111 SEWALL STREET, 3RD FLOOR
59 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0059
TELEPHONE (207) 624-7484
TTY: 1-800-437-1220**

**ALSO AVAILABLE ON THE OFFICE OF COMMUNITY
DEVELOPMENT WEB SITE:**

www.meocd.org

The Maine CDBG Program is Funded by:





Joint Coordinated Entry System for the state of Maine's Continuums of Care MCoC & PCoC)

Written Standards

*Developed for Housing and Services
Funded through McKinney-Vento
Homeless Assistance Programs*

October 5, 2015

Adopted by the PCoC on October 14, 2015

Adopted by the MCoC on October 29, 2015

Introduction

The Continuum of Care (CoC) Leadership Team has developed the following Coordinated Entry Written Standards for providing assistance using McKinney-Vento Homeless Assistance funds. The CoC Leadership team is comprised of representatives from Maine's two CoC's including the Maine CoC (MCOC) and the Portland Continuum of Care (PCOC), the State of Maine Department of Health and Human Services, MaineHousing, CoC and Emergency Solutions Grant (ESG) sub-recipients, (Domestic Violence (DV)) agencies and other agencies that work with homeless individuals and families, as well as formerly homeless individual(s).

The Maine Continuums of Care (CoC's) are responsible for coordinating and implementing a system to meet the needs of individuals and families experiencing homelessness within the state of Maine. Both the ESG Rules and Regulations and the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) CoC Program Interim Rules state that the CoC, in consultation with recipients of Emergency Solutions Grants program funds within the geographic area

- (1) Establish and consistently follow written standards for providing Continuum of Care assistance;
- (2) Establish performance targets appropriate for population and program type; and
- (3) Monitor recipient and sub recipient performance.

These Written Standards are in accordance with the interim rule for the ESG Program released by the U.S. Department of Housing and Urban Development (HUD) on December 4, 2011, the final rule for the definition of homelessness also released by the HUD on December 4, 2011; and the CoC Program Interim Rule released by HUD on July 31, 2012. There are some additional standards outlined in this document that have been established by the CoC's that will assist programs in meeting and exceeding performance outcomes that will help the CoC's reach the goal of ending homelessness.

These written standards have been developed in conjunction with CoC and ESG sub-recipients and with service providers to allow for input on the procedure of Coordinated Entry/Assessment system, standards, performance measures and the process for full implementation of the standards throughout the CoC from the perspective of those organizations that are directly providing homeless housing and services, Emergency Shelter (ES), Transitional Housing (TH), Permanent Supportive Housing (PSH), Rapid Re-Housing (RRH) and Supportive Services Only (SSO).

The Coordinated Entry Written Standards will:

- Assist with the coordination of service delivery across the geographic area and will be the foundation of the coordinated entry system;
- Assist in assessing individuals and families consistently to determine program eligibility;
- Assist in administering programs fairly and methodically;
- Establish common performance measurements for all CoC components; and
- Provide the basis for the monitoring of all CoC and ESG funded projects.

The written standards have been established to ensure that persons experiencing homelessness who enter programs throughout the CoC will be given similar information and support to access and maintain permanent housing. All programs that receive ESG or CoC funding are required to abide by

these written standards. Agency program procedure should reflect the policy and procedures described in this document. The CoC strongly encourages programs that do not receive either of these sources of funds to accept and utilize these written standards.

The CoC Written Standards have been approved by both CoC's. In 2016, ESG sub-recipients will be required to have signed grant agreements stating that they agree to participate in the Coordinated Entry System for the state of Maine. The Written Standards will be reviewed and revised as needed at a minimum of once per year. Agreement to abide by the Written Standards will be a condition of being approved CoC or ESG funding.

This Document

These policies and procedures will govern the implementation, governance, and evaluation of the Coordinated Entry System (CES) in the state of Maine. It is expected that the standards will adjust as programs evolve, members gain more experience, and HMIS data from programs and services is analyzed. These Written Standards serve as the guiding principles for funding ESG and CoC programs. These policies may only be changed by the approval of the CoC Board based on recommendations from the Coordinated Assessment Committee of the CoC. These policies will be reviewed annually in accordance with the CoC Board Governance Charter (by-laws).

Purpose:

Maine's Coordinated Entry System (CES) process is designed to identify, engage, and assist homeless individuals and families that will ensure those who request or need assistance are connected to proper housing and services.

Overview of Coordinated Entry/ Assessment

Coordinated Entry/Assessment is considered one of the many interventions in a community's united effort to end and prevent homelessness. The process works best and provides the greatest value if it is driven by "What does the client need" rather than by provider eligibility. Coordinated entry/assessment refers to the process used to assess and assist in meeting the housing needs of people at-risk of homelessness and people experiencing homelessness. Key elements of coordinated assessment include:

- A designated set of coordinated assessment locations and staff members;
- The use of standardized assessment tools to assess consumer needs;
- Referrals, based on the results of the assessment tools, to homelessness assistance programs (and other related programs when appropriate);
- Capturing and managing data related to assessment and referrals in a Homeless Management Information System (HMIS); and
- Prioritization of consumers with the most barriers to returning to housing for the most cost- and service-intensive interventions.

The implementation of coordinated assessment is considered national best practice. When implemented effectively, coordinated assessment can:

- Reduce the amount of research and the number of phone calls people experiencing homelessness must make before finding crisis housing or services;
- Reduce new entries into homelessness through coordinated system wide diversion and prevention efforts;
- Prevent people experiencing homelessness from entering and exiting multiple programs before getting their needs met;
- Reduce or erase entirely the need for individual provider wait lists for services;
- Foster increased collaboration between homelessness assistance providers; and
- Improve a community's ability to perform well on Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act outcomes and make progress on ending homelessness.

Responsibilities of the Continuum of Care

The CoC program includes transitional housing, permanent supportive housing for disabled persons, rapid re-housing, permanent housing, supportive services, and the Homeless Management Information System. A CoC is a geographically based group of representatives that carries out the planning responsibilities of the CoC program, as set for the in 24 CFR part 578. These representatives come from organizations that provide services to the homeless, or represent the interests of the homeless or formerly homeless. The three major duties of a CoC are to (1) operate the CoC; (2) designate a HMIS for the CoC; and (3) develop a plan for the CoC. The Coordinated Entry/Assessment System must incorporate and defer to any funding requirements established under the CoC Program interim rule, ESG Program interim rule, or a Notice of Funding Availability (NOFA) under which a project is awarded.

The CoC Interim Rule defines several responsibilities of the Continuum of Care (578.7 (a) (8)). One of these responsibilities is to establish and operate either a centralized or coordinated assessment system, in consultation with recipients of ESG program funds within the geographic area. This coordinated entry/assessment system provides an initial, comprehensive assessment of the needs of individuals and families for housing and services.

The Continuum must develop a specific policy to guide the operation of the centralized or coordinated assessment system on how its system will address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim service providers. This system must comply with any requirements established by HUD by Notice.

A coordinated entry/assessment system is defined to mean a coordinated process designed to coordinate program participant intake, assessment, and provision of referrals. A coordinated entry/assessment system covers the geographic area, is easily accessed by individuals and families seeking housing or services, is well advertised, and includes a comprehensive and standardized assessment tool. This definition establishes basic minimum requirements for the Continuum's coordinated assessment system.

Another responsibility of the CoC's, in consultation with recipients of ESG program funds within the geographic area, is to establish and consistently follow written standards for providing Continuum of Care assistance. At a minimum, these written standards must include:

- Policies and procedures for evaluating individuals' and families' eligibility for assistance under

this part;

- Policies and procedures for determining and prioritizing which eligible individuals and families will receive transitional housing assistance;
- Policies and procedures for determining and prioritizing which eligible individuals and families will receive rapid re-housing assistance;
- Standards for determining what percentage or amount of rent each program participant must pay while receiving rapid re-housing assistance;
- Policies and procedures for determining and prioritizing which eligible individuals and families will receive permanent supportive housing assistance;

CES systems are important in ensuring the success of homeless assistance and homeless prevention programs in communities. In particular, such assessment systems help communities systematically assess the needs of program participants and effectively match each individual or family with the most appropriate resources available to address that individual or family's particular needs.

Geographic Area:

Maine is a state in the New England region the northeastern United States, bordered by the Atlantic Ocean to the east and south; New Hampshire to the west; and the Canadian provinces of Quebec to the northwest and New Brunswick to the northeast. Maine is both the northernmost and easternmost portion of New England. The United States Census Bureau estimates that the population of Maine was 1,330,089 on July 1, 2014, a 0.13% increase since the 2010 United States Census and it covers an area of 35,385 square miles. This geographic area includes urban, suburban, and rural areas. The Maine Balance of State Continuum of Care covers all 16 of Maine counties except for the City of Portland, and extends from the Aroostook County in the northern part of the state all the way down to York County. The City of Portland Continuum of Care is the other continuum in Maine and it covers only the City itself.



Target Population

This process is intended to serve people experiencing homelessness and those who believe they are at imminent risk of homelessness who reside in the state of Maine. Homelessness will be defined in accordance with the

official HUD definition of homelessness. People at imminent risk of homelessness are people who believe they will become homeless, according to the HUD definition within the next 72 hours. People who think they have a longer period of time before they will become homeless should be referred to other prevention-oriented resources available in the community.

Goals of Coordinated Entry/Assessment

Most communities lack the resources needed to meet all of the needs of people experiencing homelessness. This combined with the lack of well-developed coordinated entry processes has resulted in severe hardships for people experiencing homelessness. They often face long waiting times to receive assistance or are screened out of needed assistance.

The CES System is intended to increase and streamline access to housing and services for households experiencing homelessness, match appropriate levels of housing and services based on their needs, and prioritize persons with severe service needs for the most intensive interventions. It helps communities prioritize assistance based upon vulnerability and severity of service needs to ensure that people who need assistance the most can receive it in a timely manner. The CES also provides information about service needs and gaps to help communities plan their assistance and identify needed resources.

HUD's primary goals for coordinated entry processes are:

- Assistance will be allocated as effectively as possible
- Assistance is easily accessible no matter where or how people present

The CoC Leadership Team members identified the following common goals for the Coordinated entry/Assessment System:

- The process will be easy on the client, and provide quick and seamless entry into homelessness services
- Individuals and families will be referred to the most appropriate resource(s) for their individual situation
- The process will prevent duplication of services
- The process will reduce length of homelessness
- The process will improve communication among agencies

Guiding Principles

The goal of the coordinated assessment process is to provide each consumer with adequate services and supports to meet their housing needs, with a focus on returning them to housing as quickly as possible. Below are the guiding principles that will help Maine meet these goals.

- **Adopt statewide standards:** but allow flexibility for local customization beyond baseline standard.

- **Consumer Choice:** Consumers will be given information about the programs available to them and have some degree of choice about which programs they want to participate in. They will also be engaged as key and valued partners in the implementation and evaluation of coordinated assessment through forums, surveys, and other methods designed to obtain their thoughts on the effectiveness of the coordinated assessment process.
- **Promote client-centered practices** – Every homeless persons should be treated with dignity, offered at least minimal assistance, and participate in their own housing plan. Provide ongoing opportunities for consumers participation in the development, oversight, and evaluation of coordinated assessment. Consumers should be offered choice whenever possible.
- **Prioritize most vulnerable** as the primary factor among many considerations–Limited resources should be directed first to persons and families who are most vulnerable*. Less vulnerable persons and families will be assisted as resources allow. *Vulnerability will be defined locally.
- **Collaboration:** Because coordinated assessment is being implemented system wide, it requires a great deal of collaboration between the CoC's, providers, mainstream assistance agencies (e.g., Department of Health and Human Services, hospitals, and jails), funders, and other key partners. This spirit of collaboration will be fostered through open communication, transparent work by a strong governing council (the Coordinated Assessment Committee), consistently scheduled meetings between partners, and consistent reporting on the performance of the coordinated assessment/entry process.
- **Accurate Data:** Data collection on people experiencing homelessness is a key component of the coordinated assessment process. Data from the assessment process that reveals what resources consumers need the most will be used to assist with reallocation of funds and other funding decisions. To capture this data accurately, all assessment staff and providers must enter data into HMIS (with the exception of some special populations and other cases, outlined later in this document) in a timely fashion. Consumers' rights around data will always be made explicit to them, and no consumer will be denied services for refusing to share their data.
- **Performance-Driven Decision Making:** Decisions about and modifications to the CES process will be driven primarily by the need to improve the performance of the homelessness assistance system on key outcomes. These outcomes include reducing new entries into homelessness, reducing lengths of episodes of homelessness, and reducing repeat entries into homelessness. Changes may also be driven by a desire to improve process-oriented outcomes, including reducing the amount of waiting time for an assessment.
- **Housing First:** The most successful model for housing people who experience chronic homelessness is permanent supportive housing using a "Housing First" approach, which is a client-driven strategy the provides immediate access to housing without requiring participation in psychiatric treatment, treatment for sobriety, or other service participation requirements. After settling into housing, consumers are offered a wide range of supportive services that focus primarily on helping them maintain their housing. Maine's CES strongly encourages recipients of PH/PSH and TH, whenever possible funding to implement a Housing First approach. Coordinated assessment will support a housing first approach, and will thus work to connect households with

the appropriate permanent housing opportunity, as well as any necessary supportive services, as quickly as possible.

- **Prioritizing the Hardest to House:** Coordinated assessment referrals will prioritize those households that appear to be the hardest to house or serve for program beds and services. This approach will ensure an appropriate match between the most intensive services and the people least likely to succeed with a less intensive intervention, while giving people with fewer housing barriers more time to work out a housing solution on their own. This approach is most likely to reduce the average length of episodes of homelessness and result in better housing outcomes for all.
- **Transparency :** Make thoughtful decisions and communicate directives openly and clearly.

Operating the Coordinated Entry System

In the past three years, there have been efforts by the MCOC and PCOC towards coordinated entry/assessment. This has set a path for establishing the system-wide coordinated entry/assessment system. In 2012 and 2013, the Collaborative Applicants for the MCOC and PCOC submitted a planning grant application which would allow both CoC's to identify and work toward a state-wide Coordinated Entry/Assessment System. Both CoC's received the FY2012 Planning Grant which was then implemented in 2014 and identified initial steps. Because the Collaborative Applicants did not receive the FY2013 planning grant, a private foundation grant was applied for and was approved to continue the work in FY2015. Finally, both CoC's were awarded the FY2014 Planning Grants which are expected to be implemented in 2016 to continue help the system become fully operational. When fully implemented, the CES System will include:

- Information about available services and programs for persons experiencing a housing or homeless crisis
- Uniform intake, assessment and screening tools and processes
- Real-time knowledge about program inventories and capacity
- Coordinated referrals to receive prevention, housing or related services
- Enrollment prioritization and waitlist management for housing programs.

Key Elements of Maine's CES:

Definitions:

A list of definitions of terms used in this document are described in Appendix A.

Requirements:

Both of Maine's CoC's, the MCoC and PCoC have adopted HUD's Notice CPD 14-012 on the Prioritizing Person's Experiencing Chronic Homelessness and other Vulnerable Homeless Persons in Permanent

Supported Housing and Record Keeping Requirements for Documenting Chronic Homeless Status, which are summarized in Appendices B, C, and D.

Pre-Screening

All potential consumers will be pre-screened and asked several questions to determine if they are homeless or at risk of imminent homelessness. If they are screened and it is determined that they meet this criteria, they will be offered a more thorough assessment to identify their specific needs. Guiding principles for this process include:

- The pre-screening tool will be the same regardless of access point;
- If the program that is triaging is also a service provider, the pre-screening tool can be combined with a deeper assessment;
- The pre-screen is meant to shelter or divert an individual or family experiencing or at risk of homelessness;
- The pre-screen may be different by service hub (i.e. centralized, phone, no wrong door); and
- The tool will ask about 4 questions but the person asking can ask additional clarifying questions.

Screening, Assessment and Referral

Consumers will be directed community wide to the established “front doors” for Screening, Assessment and referral. A Front Door is one of the agreed upon entry points into the CES, and is where formal Screening and/or Assessment for client’s entry into the housing programs funded by HUD’s ESG and CoC programs for the Homeless Assistance System. Screening and assessment collects information to guide housing referrals based on program eligibility and services offered for Homeless Prevention Programs, Rapid Re-Housing, Transitional Housing and Permanent Supportive Housing.

Prioritization standards

Maine’s CoC’s have adopted the provisions and requirements set out in the HUD Notice CPD-14-012 for the Prioritizing Person’s Experiencing Chronic Homeless and Other Vulnerable Homeless Persons in Permanent Supportive Housing (PSH) and Recordkeeping requirements for Documenting Chronic Homeless Status as the baseline written standards for operations of Maine’s CES. Maine’s CoC Board will adopt additional written standards for establishing eligibility and prioritization of clients for assistance. These standards will be specific and detailed, address any unique eligibility requirements for assistance (e.g. disability or subpopulation), reflect the homeless population and subpopulations within the CoC as reported on the Housing Inventory Chart, and reflect the housing and services within the CoC, and reflect the national and targeting priorities. Prioritization Standards for PSH are described in Appendices E, F and G and Appendix H is a table summary of the basic priority order per HUD Notice CPD 14-102.

The matching process and eventual referral linkage process will take into account a set of prioritization criteria for each project type. The order of client priority on the prioritization list will under no circumstances be based on disability type or diagnosis. CoC’s will establish priority for each project type based on the severity of the needs, length of time homeless, or subpopulation characteristics, depending on the specific CoC component type.

Low Barrier Policy

CoC providers will make enrollment determinations on the basis of limiting barriers to enrollment in services and housing. No consumer may be turned away from crisis response services or homeless designated housing due to lack of income, lack of employment, disability status, or substance use unless the project's primary funder requires the exclusion or a previously existing and documented neighborhood covenant/good neighbor agreement has explicitly limited enrollment to clients with a specific set of attributes or characteristics. Funders restricting access to projects based on specific client attributes or characteristics will need to provide documentation to the CoC providing a justification for their enrollment policy.

No Wrong Door Approach

Because of the diversity and size of the state of Maine, access to the CES follows a "No Wrong Door" approach. The principles of this approach are:

- A consumer can seek housing assistance through any of the participating homeless services providers and will receive integrated services;
- Consumers should have equal access to information and advice about the housing assistance for which they are eligible in order to assist them in making informed choices about available services that best meet their needs;
- Participating providers have a responsibility to respond to the range of consumer needs and act as the primary contact for consumer who apply for assistance through their service unless or until another provider assumes that role;
- Participating providers will provide a proactive service that facilitates the consumer applying for assistance or accessing services from another provider regardless of whether the original provider delivers the specific housing services required by a presenting consumer; and
- Participating housing providers will work collaboratively to achieve responsive and streamlined access services and cooperate to use available resources to achieve the best possible housing outcomes for consumer, particularly for those with high, complex or urgent needs.

CES Components:***Assessment Tool***

The CoC's will develop a universal assessment tool for use in managing the client intake, assessment, and referral process. The standard tool may be customized by each individual CoC project with additional program-specific assessment questions and response categories necessary to address the unique aspects and needs of individual programs. All assessment tools will utilize a scoring paradigm to assist with documenting clients' needs and prioritizing services

Assessment Process

CoC's will employ a progressive assessment approach. Progressive assessment stages the asking and sequencing of assessment questions such that prospective program participants are asked only those questions directly related to service enrollment and prioritization decisions necessary to progress the participant to the next stage of assessment or determine a referral to a service strategy

Data Sharing

All CoC's will follow the Data Sharing policies developed by the HMIS Advisory Task Force in conjunction with MaineHousing.

Emergency services

Defined access points must provide directly or make arrangements through other means to ensure universal access to crisis response services for clients seeking emergency assistance at all hours of the day and all days of the year. The CoC's must document their planned after-hours emergency services approach. After hours crisis response access may include telephone crisis hotline access, coordination with police, emergency medical care.

Fair and Equal Access

All CoC's will ensure fair and equal access to the CES programs and services for all clients regardless of actual or perceived race, color, religion, national origin, age, gender identity, pregnancy, citizenship, familial status, household composition, disability, Veteran status, or sexual orientation. If an individual's self-identified gender or household composition creates challenging dynamics among residents within a facility, the host program should make every effort to accommodate the individual or assist in locating alternative accommodation that is appropriate and responsive to the individual's needs.

Full coverage

The full geography of the CoC must be covered by CES services including access to crisis response services, assessment of clients, and referral options.

Joining the CES

All programs that receive CoC or ESG funding are required by their funders to participate in the CES. Other programs are encouraged and welcome to join the CES. Those programs that are not required by their funder to participate in the CES will sign a Memorandum of Understanding agreeing to participate in the system for a minimum of six months.

Mainstream services

The CoC's must implement a screening protocol to assess each client's potential eligibility for the following mainstream resources or services:

- Housing
- Medical benefits
- Nutrition assistance
- Income supports

Monitoring and Reporting of CES

All CoC's must adhere to a state-defined monitoring and reporting plan for CES. The State-defined monitoring process will report on performance objectives related to CES utilization, efficiency and effectiveness.

Privacy protections

CES operations and staff must abide by all State of Maine-defined privacy protections as defined by the HMIS Advisory Committee. Consumer consent protocols, data use agreements, data disclosure policies, and any other privacy protections offered to program participants as a result of each consumer's participation in HMIS will be the same as CES.

Resource List

A list of all available CoC resources will be maintained, including each project's eligibility criteria and prioritization protocols. The list of resources must be updated annually and be publicly available.

Referral criteria

Both CoC's must define referral criteria for all projects within the CoC's geographic area. Referral criteria must identify all the eligibility and exclusionary criteria used by program staff to make enrollment determinations for referred persons or households. Established guidelines must describe acceptable time frames for reviewing and communicating referral decisions (i.e. whether the potential program participant is either accepted or denied enrollment). If a potential client is not offered enrollment, the reason for rejection must be clearly communicated and documented in HMIS. The referral criteria must be published at least annually and support the identification of and connection to appropriate housing and services for all assessed clients.

Referral Rejection Policy

Both CoC providers and program participants may deny or reject referrals, although service denials should be infrequent and must be documented in HMIS or other comparable system with specific justification as prescribed by the CoC. The specific allowable criteria for denying a referral must be established by the CoC, must be shared with each project and consumer, and be reviewed and updated annually. All participating projects and client must provide the reason for service denial, and may be subject to a limit on number of service denials. Aggregate counts of service denials, categorized by reason for denial, must be reported by the CoC annually.

At a minimum, project's referral rejection/denial reasons must include the following:

- Consumer /household refused further participation (or client moved out of CoC area)
- Consumer/household does not meet required criteria for program eligibility
- Consumer t/household unresponsive to multiple communication attempts
- Consumer resolved crisis without assistance
- Consumer /household safety concerns. The client's/household's health or well-being or the safety of current program participants would be negatively impacted due to staffing, location, or other programmatic issues.
- Consumer /household needs cannot be addressed by the program. The program does not offer the services and/or housing supports necessary to successfully serve the household.
- Program at bed/unit/service capacity at time of referral
- Property management denial (include specific reason cited by property manager)
- Conflict of interest.

Safety planning

The Coc's must provide necessary safety and security protections for persons fleeing or attempting to flee family violence, stalking, dating violence, or other domestic violence situations. These policies will be developed in conjunction with agencies that serve people experiencing these situations.

Standardized access and assessment

All defined access point providers must administer the Maine CES Assessment Process as defined by the CoC Leadership Group and/or Joint Maine CoC Board of Directors. The assessment process must be standardized across each participating CoC, with uniform decision-making across all assessment

locations and staff. If access points or assessment processes are conducted or managed by providers who do not receive HUD, MaineHousing, or local county funds, those providers must still abide by assessment standards and protocols defined by the CoC. CES will operate using a client-centered approach, allowing clients to freely refuse to answer assessment questions and/or refuse referrals

Stakeholder Inclusion

CoC's will support the implementation, expansion, and ongoing operation and evaluation of Coordinated Entry Systems by regularly convening stakeholder input and feedback opportunities. CoC must develop a plan to collect stakeholder feedback at least annually and will engage participants from all CoC component types, referral sources, residents and participants of homeless services and programs, funders of homeless response systems, and mainstream system providers.

System Advertisement and Outreach

Outreach

Local CES Systems are **required** to contact private and public agencies including those in the CoC, 211, VA, social service agencies and state and/or local government agencies to educate and provide information on available programs. Outreach activities are **required** to be done a minimum of once per year. These activities can be done in conjunction with the Point in Time Count or at another time as determined by the CoC. The CES is **required** to coordinate with existing street outreach programs as well as private and public agencies, social service organizations, etc. for referrals, so that people sleeping on the streets are prioritized for assistance in the same manner as any other person assessed through the Coordinated Assessment System.

Maine's CoC's are **encouraged** to provide resources/information about the CES to 24 hour establishments as well restaurants, hospitals, hot meal programs, churches, schools, check cashing locations and other places known to be frequented by the target population. In addition, each CoC is **encouraged** to explore various outreach activities such as hosting a booth at local community events, resource fairs, festivals and county fairs to provide information and resources.

Advertisement

Advertisement is to include a **minimum of flyers** posted at those places stated above (as allowed). Other forms of advertisement can include newspaper ads, radio, websites, etc. to generate referrals and applications. Advertising is to focus on people experiencing literal homelessness and clearly state eligibility requirements in an effort to reach the target population as opposed to those who do not meet the criteria. Information about the Coordinated Assessment System will also be available on the Maine Homeless Planning website (www.mainehomelessplanning.org).

System Evaluation

The CES process will be evaluated on a regular basis to ensure that it is operating at maximum efficiency. Evaluation will be carried out primarily through the Coordinated Assessment Committee and any consultants or third parties they engage to help them. Evaluation mechanisms will include the following:

- **A monthly review of metrics from the coordinated assessment process.** The data to be reviewed, and the thresholds that should be met, will be developed.

- **An annual forum with people experiencing homelessness that have been through the coordinated assessment process.**
- **A report issued on the homeless assistance system to the community annually with a section devoted to coordinated assessment and homelessness assistance system outcomes.** This report will include trends from the month-to-month analysis of coordinated assessment data, as well as the total number of assessments and referrals made, successes to be shared, and a note from the Coordinated Assessment Committee on the process's progress. Major findings from this report should be presented at the CoC Board and full meetings the month it is released by a member of the Coordinated Assessment Committee.

Training

The CES will be responsible for training the remaining service providers in their region. Each region will have flexibility for how this training is conducted. The training can be either in-person or via webinar. Ideally this training will take place prior to the roll-out of the CES but at a minimum should occur within two months of the Coordinated Assessment start date.

Appendices

Appendix A: Definitions

At-risk of Homelessness – An individual or family who has income below 30% of area median family income for the area, as defined by HUD, and who does not have sufficient resources or support networks immediately available to prevent them from moving into an emergency shelter or other place described in the “homeless” definition (See Exhibit A and Exhibit B), and meets one if the following definitions defined under 24 CFR 578.3 (CoC program) or 24 CFR 576.2 (ESG program). This may also include a child or youth who qualifies as homeless under other Federal programs.

HMIS/HMIS – Community Management Information System (formerly the Homeless Management Information System) means the information system designated by the Continuum of Care to comply with the HMIS requirements prescribed by HUD.

HMIS/HMIS Lead Agency – The entity designated by the Continuum of Care to operate the HMIS/HMIS on its behalf.

Chronically Homeless - A person is chronically homeless if they have been homeless for at least one year continuously or has experienced four episodes over the last three years. For this definition, the persons must have been homeless in a place not meant for human habitation, in an emergency shelter, or in a safe haven. In addition, persons must be diagnosed with one or more of the following conditions: Substance abuse disorder, serious mental illness, developmental disability, post-traumatic stress disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability.

CoC/Continuum of Care – A group composed of representatives of relevant organizations, which generally includes nonprofit homeless providers; victim service providers; faith-based organizations; governments; businesses; advocates; public housing agencies; school districts; social services providers; mental health agencies; hospitals; universities; affordable housing developers; law enforcement; organizations that serve homeless and formerly homeless veterans, and homeless or formerly homeless persons that are organized to plan for and provide a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area.

ESG – Emergency Solutions Grant Program (24 CFR part 576)

Developmental Disability – Defined in Section 102 of the Developmental Disability Assistance and Bill of Rights Act of 2000, and means a severe, chronic disability that is attributable to a mental or physical impairment or combination, **and** is manifested before age 22, **and** is likely to continue indefinitely. It must result in substantial limitations in 3 or more major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for

independent living, or economic self-sufficiency) **AND** reflects need for special services or individualized support, or other form of assistance this is lifelong or extended duration.

Disabling Condition – A physical, mental, or emotional impairment, including an impairment caused by alcohol or drug abuse, post-traumatic stress disorder, or brain injury, which is expected to be of long-continued and indefinite duration, substantially impedes the person's ability to live independently, and is of such a nature that such ability could be improved with more suitable housing conditions; a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance Bill of Rights Act of 200; or Acquired immunodeficiency Syndrome (AIDS) or any conditions arising from the etiologic agent for Acquired Immunodeficiency Syndrome, including infection with the Human Immunodeficiency Virus (HIV).

Emergency Shelter – Any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless and which does not require occupants to sign leases or occupancy agreements.

Fair Market Rent – Means the rents published in the Federal Register annually by HUD

Families – Family includes, but is not limited to, regardless of marital status, actual or perceived sexual orientation, or gender identity, the followings: (1) A single person, who may be an elderly person, displaced person, disabled person, near-elderly person, or any other single person; or (2) A group of persons residing together, and such group includes, but is not limited to (a) A family with or without children (a child who is temporarily away from the home because of placement in foster care is considered a member of the family); (b) An elderly family; (c) A near-elderly family; (d) A disabled family; (e) A displaced family; and (f) The remaining member of a tenant family.

Homeless – There are 4 categories within the definition of homelessness, as defined under the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act); the most common definition being an individual or family who lacks a fixed, regular, and adequate nighttime residence under Category 1. See Exhibit A

Homeless Prevention – A program targeted to individuals and families at risk of homelessness. Specifically, this includes those that meet the criteria under the "at risk of homelessness" definition at 576.2, as well as those who meet the criteria in Category 2, 3, and 4 of the "homeless definition and have an annual income **below 30%** of family median income for the area.

Housing First – An approach to quickly and successfully connect individuals and families experiencing homelessness to permanent housing without preconditions and barriers to entry, such as sobriety, treatment or service participation requirements. Supportive services are offered to maximize housing stability and prevent returns to homelessness as opposed to addressing predetermined treatment goals prior to permanent housing entry.

Permanent Housing – Community-based housing without a designated length of stay, and includes both Permanent Supportive Housing and Rapid Re-housing.

Permanent Supportive Housing – Permanent housing in which supportive services are provided to assist homeless persons with a disability to live independently.

Physical, Mental or Emotional Impairment – Expected to be long-continuing or of indefinite duration; substantially impedes the person's ability to live independently, and could be improved by more suitable housing.

Rapid Re-housing – Housing relocation and stabilization services and short- or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing. Assistance may be provided for up to 24 months during any 3-year period, and may include rental arrear for up to six months, to eligible persons who qualify as homeless under Category 1 and 4 of the "homeless" definition.

Recipient – An applicant that signs a grant agreement with HUD.

Rent Reasonableness – A process conducted by the recipient or sub-recipient to determine if the rent charge for the unit receiving rental assistance is reasonable in relation to rents being charged for comparable unassisted units, taking into account the location, size, type, quality, amenities, facilities, and management and maintenance of each unit. Reasonable rent must not exceed rents currently being charge by for comparable unassisted units.

Safe Haven – For the purpose of defining chronically homeless, supportive housing that means the following: (1) serves hard to reach homeless persons with severe mental illness who came from the streets and have been unwilling or unable to participate in supportive services; (2) provides 24-hour residence for eligible persons for an unspecified period; (3) has an overnight capacity limited to 25 or fewer persons; and (4) provides low-demand services and referrals for the residents.

Street Outreach – The act of reaching out to unsheltered homeless people; connecting them with emergency shelter, housing or critical services; and provide urgent, **non-facility-based** care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility.

Sub-recipient – A private nonprofit organization, State, local government, or instrumentality of State or local government that receives a sub-grant from the recipient to carry out a project.

Transitional Housing – Facilitates the movement of homeless individuals and families to permanent housing within 24 months

Unsheltered Homeless – Individuals and families who qualify as homeless under Category 1(i) of the "homeless" definition. See Exhibit A

Victim Service Provider – A private nonprofit organization whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking. This term includes rape crisis centers, battered women's shelters, domestic violence transitional housing programs, and other programs.

Appendix B: PROGRAM REQUIREMENTS FOR ALL PROGRAMS

- Programs must coordinate with other homeless services within the CoC.
- Programs must coordinate with mainstream resources in the CoC including housing, social services, employment, education and youth programs for which participants may be eligible.
- Programs must have written policies and procedures and must consistently apply them to all participants.
- Programs that serve households with children:
 - A staff person must be designated as the educational liaison that will ensure that children are enrolled in school, connected to appropriate services in the community, including early childhood program such as Head Start, Part C of the Individuals with Disabilities Education Act, and the McKinney Vento education services.
 - The age and gender of a child under age 18 must not be used as a basis for denying any family's admission to a project that provides shelter for families with children
- Programs receiving ESG and CoC funding must participate in HMIS (Homeless Management Information System), unless otherwise stated by federal regulations. However all homeless programs are strongly encouraged to participate in HMIS.
- Programs must meet minimum HMIS data quality standards.
- Programs providing Domestic Violence or Legal Services may opt out of HMIS participation but must utilize a comparable database to collect HUD required data elements.
- Programs must participate in Coordinated Entry System and use the prioritization criteria established in this documents.
- Programs must conduct an initial evaluation to determine the amount and type of assistance needed to regain stability in permanent housing.
- Program rules and regulations should be designed in the spirit of inclusion rather than as grounds for denial or termination. Programs should exercise judgment and examine all extenuating circumstances in determining when violations are serious enough to warrant termination so that a program participant's assistance is terminated only in the most severe cases.
- Programs must have a formal procedure for terminating assistance to a participant that recognizes the rights of the participant(s) involved.
 - Programs must use judgment and examine all extenuating circumstances in determining that a violation should result in termination
 - Every effort should be made to allow the participant to remain in the program; termination should only be exercised in the most severe cases.
 - Termination does not necessarily preclude assistance at a future date
- Programs must make known that use of the facilities and services are available to all on a nondiscriminatory basis.
- Programs may not engage in inherently religious activities such as worship, religious instruction or proselytization as part of the programs or services funded under the CoC or ESG. These activities can be conducted but must be separate and voluntary for program participants.

Appendix C: RECORD KEEPING REQUIREMENTS FOR ALL PROGRAMS

Participant Recordkeeping Requirements include:

- All records containing personally identifying information must be kept secure and confidential
- Programs must have written confidentiality/privacy notice a copy of which should be made available to participants if requested
- Documentation of homelessness (following HUDs guidelines)
- A record of services and assistance provided to each participant
- Documentation of any applicable requirements for providing services/assistance
- Documentation of use of coordinated assessment system
- Documentation of use of HMIS
- Records must be retained for the appropriate amount of time as prescribed by HUD

Financial Recordkeeping Requirements include:

- Documentation for all costs charged to the grant
- Documentation that funds were spent on allowable costs
- Documentation of the receipt and use of program income
- Documentation of compliance with expenditure limits and deadlines
- Retain copies of all procurement contracts as applicable
- Documentation of amount, source and use of resources for each match contribution

Appendix D: OCCUPANCY STANDARDS FOR ALL PROGRAMS

All housing units, including scattered site programs owned and managed by private landlords, must meet applicable state or local government health and safety codes and have current certificate of occupancy for the current use and meet or exceed the following minimum standards: (For more detail refer to ESG regulations 576.403 (b) Minimum Standards):

- Buildings must be structurally sound to protect from the elements and not pose any threat to health and safety of the residents.
- Must be accessible in accordance with Section 504 of the Rehabilitation Act, the Fair Housing Act and the Americans with Disabilities Act where applicable.
- Must provide an acceptable place to sleep and adequate space and security for themselves and their belongings.
- Each room must have a natural or mechanical means of ventilation.
- Must provide access to sanitary facilities that are in operating condition, private and clean.
- Water supply must be free of contamination.
- Heating/cooling equipment must be in working condition.
- Must have adequate natural or artificial illumination and adequate electrical resources to permit safe use of electrical appliances.
- Food preparation areas must have suitable space and equipment to store, prepare and serve food in safe and sanitary manner.
- Building must be maintained in a sanitary condition.
- Must be at least one smoke detector in each occupied unit of the program; and where possible near sleeping areas. The fire alarm system must be designed for hearing-impaired participants. There must be a second means of exiting the building in case of fire or other emergency.

The Program, Record Keeping and Occupancy Standards as represented above apply to all programs regardless of the type of services/housing that they provide.

Appendix E: Order of Priority in CoC Program-funded Permanent Supportive Housing

Recipients of CoC Program-funded PSH are required to follow the order of priority when selecting participants for housing in accordance with the CoC's written standards while also considering the goals and any identified target populations served by the project, and in a manner consistent with their current grant agreement.

Due diligence should be exercised when conducting outreach and assessment to ensure that persons are served in the order of priority as adopted by the MCOC and PCOC. HUD and the CoC's recognize that some persons—particularly those living on the streets or in places not meant for human habitation— might require significant engagement and contacts prior to their entering housing and recipients are not required to keep units vacant where there are persons who meet a higher priority within the CoC and who have not yet accepted the PSH opportunities offered to them. Street outreach providers should continue to make attempts with those persons using a Housing First approach to place as few conditions on a person's housing as possible.

Appendix F: Order of Priority in CoC Program-funded Permanent Supportive Housing Beds Dedicated to Persons Experiencing Chronic Homelessness and Permanent Supportive Housing Prioritized for Occupancy by Persons Experiencing Chronic Homelessness

1st Priority:

Chronically Homeless Individuals and Families with the Longest History of Homelessness and with the Most Severe Service Needs.

A chronically homeless individual or head of household as defined in 24 CFR 578.3 for whom **both** of the following are true:

1. The chronically homeless individual or head of household of a family has been homeless and living in a place not meant for human habitation, a safe haven, or in an emergency shelter for at least 12 months either continuously or on at least four separate occasions in the last 3 years, where the cumulative total length of the four occasions equals at least 12 months; and
2. The CoC Program has identified the chronically homeless individual or head of household as having severe service needs.

2nd Priority:

Chronically Homeless Individuals and Families with the Longest History of Homelessness.

A chronically homeless individual or head of household, as defined in 24 CFR 578.3, for whom **both** of the following are true:

1. The chronically homeless individual or head of household of a family has been homeless and living in a place not meant for human habitation, a safe haven, or in an emergency shelter for at least 12 months either continuously or on at least four separate occasions in the last 3 years, where the cumulative total length of the four occasions equals at least 12 months; **and**
2. The CoC or CoC program recipient has not identified the chronically homeless individual or the head of household, who meets all of the criteria in paragraph (1) of the definition for chronically homeless, of the family as having severe service needs.

3rd Priority:

Chronically Homeless Individuals and Families with the Most Severe Service Needs.

A chronically homeless individual or head of household as defined in 24 CFR 578.3 for whom both of the following are true:

1. The chronically homeless individual or head of household of a family has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter on at least four separate occasions in the last 3 years, where the total length of those separate occasions equals less than one year; **and**
2. The CoC or CoC program recipient has identified the chronically homeless individual or the head of household, who meets all of the criteria in paragraph (1) of the definition for chronically homeless, of the family as having severe service needs.

4th Priority:

All Other Chronically Homeless Individuals and Families.

A chronically homeless individual or head of household as defined in 24 CFR 578.3 for whom both of the following are true:

1. The chronically homeless individual or head of household of a family has been homeless and living in a place not meant for human habitation, a safe haven, or in an emergency shelter for at least 12 months either continuously or on at least four separate occasions in the last 3 years, where the cumulative total length the four occasions is less than 12 months; **and**
2. The CoC or CoC program recipient has not identified the chronically homeless individual or the head of household, who meets all of the criteria in paragraph (1) of the definition for chronically homeless, of the family as having severe service needs.

Where a CoC or a recipient of CoC Program-funded PSH beds that are dedicated or prioritized is not able to identify chronically homeless individuals and families as defined in 24 CFR 578.3 within the CoC, the order of priority in the next section may be followed.

Appendix G: Order of Priority in Permanent Supportive Housing Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness

CoC Program-funded *non-dedicated and non-prioritized* PSH should offer housing to chronically homeless individuals and families first, but minimally are required to place otherwise eligible households in an order that prioritizes, in a nondiscriminatory manner, those who would benefit the most from this type of housing, beginning with those most at risk of becoming chronically homeless.

1st Priority:

Homeless Individuals and Families with a Disability with the Most Severe Service Needs.

An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter for any period of time, including persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution and has been identified as having the most severe service needs.

2nd Priority:

Homeless Individuals and Families with a Disability with a Long Period of Continuous or Episodic Homelessness.

An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months. This includes persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution and had been living or residing in one of those locations for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months.

3rd Priority:

Homeless Individuals and Families with Disability Coming from Places Not Meant for Human Habitation, Safe Havens, or Emergency Shelters.

An individual or family that is eligible for CoC Program-funded PSH who has been living in a place not meant for human habitation, a safe haven, or an emergency shelter. This includes persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not

meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution.

4th Priority:

Homeless Individuals and Families with a Disability Coming from Transitional Housing.

An individual or family that is eligible for CoC Program-funded PSH who is coming from transitional housing, where prior to residing in the transitional housing lived on streets or in an emergency shelter, or safe haven. This priority also includes homeless individuals and homeless households with children with a qualifying disability who were fleeing or attempting to flee domestic violence, dating violence, sexual assault, or stalking and are living in transitional housing – all are eligible for PSH even if they did not live on the streets, emergency shelters, or in a safe haven.

Appendix H: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources						
Basic priority order per HUD Notice CPD-14-012						
	Priority	Homeless Category	Length of Stay in Homelessness	Where Experience Homelessness	Severity of Service Needs	Documented Disability
Dedicated CH PSH Beds	1	Chronic - Individual or HHLD with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	UN, ES, SH	High = VI-SPDAT Score of 10 or greater	Yes
	2	Chronic - Individual or HHLD with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	UN, ES, SH	Low=VI-SPOAT Score of 5 or greater	Yes
	3	Chronic - Individual or HHLD with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UN, ES, SH	High = VI-SPDAT Score of 10 or greater	Yes
	4	Chronic - Individual or HHLD with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UN, ES, SH	Low=VI-SPOAT Score of 5 or greater	Yes
Committed CH Beds Created by Turnover (85% program goal)	5	Category 1 - Individual or HHLD with Children	Any Length of Stay OR < 90 Days Institution	UN, ES, SH OR Institution if UN ES SH Prior to entry	High = VI-SPDAT Score of 10 or greater	Yes
	6	Category 1 - Individual or HHLD with Children	> or = 6 Months Continuous OR at least 3 episodes in 3 years > = 6 Months OR < 90 Days In Institution	UN, ES, SH OR Institution if UN ES SH Prior to entry	Low=VI-SPOAT Score of 5 or greater	Yes
	7	Category 1 - Individual or HHLD with Children	Any time > 30 days OR < 90 Days Institution	UN, ES, SH OR Institution if UN ES SH Prior to entry	Low=VI-SPOAT Score of 5 or greater	Yes
	8	Category 1 - Individual or HHLD with Children	Any Length of Stay > 14 days	TH IF previous UN, ES, or SH (dependent on funding source CoC or ESG)	Low=VI-SPOAT Score of 5 or greater	Yes

Appendix I: 2015 Ending Homelessness Prioritization Chart

	Priority	Homeless Category	Parameters	N	Resources	Process
5%	P1	Long Term Stayers (LTS)/Individuals	Greater or equal to 180 days in a 365 period	262	300 Dedicated SPC vouchers. For Vets: HUD/VASH with initial SSVF assistance.	1) 1 year of HMIS data, application; 2) CAA will centralize vouchers and award these to shelters/providers directly; 3) CAA will follow up to verify disability and criteria for chronic homelessness.
	P2	Long Term Stayers (LTS)/Families	Greater or equal to 180 days in a 365 period	50	Home to Stay	STEP or Section 8 from Home to Stay; shelters use Home to Stay resources to solve for this population
15%	P3	Domestic Violence Families & Individuals	Greater than 30 days	875	Dedicated transitional supportive housing, permanent supportive housing, Section 8, BRAP, S+C	Transitional DV Resources, CHOM, ETC.
	P3	Unaccompanied Youth unable to be reunited with their families	Greater than 30 days	50	Transitional supportive housing	Transitional youth service partners/BRAP -LAA's
	P3	Less than Long Term Stayers (LTS) Individuals & Families	Greater than 60 days but less than 180 days in a 365 day period	290	Permanent housing, permanent supportive housing, transitional supportive housing, Section 8, BRAP, S+C. For Vets: SSVF, or where appropriate HUD/VASH	Shelter case management, market apartments with outreach support
	P4	Institutions	Greater than 90 days	100	BRAP	BRAP-LAAs
80%	P5	Circumstantially Homeless, Unaccompanied Youth (working toward reunification/stability)	Less than 30 days & not flagged on VI-SPDAT	6138	General Assistance, STEP	Existing mainstream resources - general assistance, rapid re-housing, STEP. For Youth: Traditional youth service providers

Grantee SF-424's and Certification(s)

STATE CERTIFICATIONS

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

Affirmatively Further Fair Housing -- The State will affirmatively further fair housing.

Uniform Relocation Act and Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (42 U.S.C. 4601-4655) and implementing regulations at 49 CFR Part 24. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42 in connection with any activity assisted with funding under the Community Development Block Grant or HOME programs.

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

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

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

Consistency with plan -- The housing activities to be undertaken with Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the State's consolidated plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701a) and implementing regulations at 24 CFR Part 135.


Signature of Authorized Official

05/14/2019
Date


Title

Specific Community Development Block Grant Certifications

The State certifies that:

Citizen Participation -- It is following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 and each unit of general local government that receives assistance from the State is following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486.

Consultation with Local Governments --

1. It has consulted with affected units of local government in the nonentitlement area of the State in determining the method of distribution of funding;
2. It engages in or will engage in planning for community development activities;
3. It provides or will provide technical assistance to units of local government in connection with community development programs; and
4. It will not refuse to distribute funds to any unit of general local government on the basis of the particular eligible activity selected by the unit of general local government to meet its community development needs, except that a State is not prevented from establishing priorities in distributing funding on the basis of the activities selected.

Local Needs Identification -- It will require each unit of general local government to be funded to identify its community development and housing needs, including the needs of low-income and moderate-income families, and the activities to be undertaken to meet these needs.

Community Development Plan -- Its consolidated plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objective of the CDBG program (i.e., the development of viable urban communities, by providing decent housing and expanding economic opportunities, primarily for persons of low and moderate income) and requirements of 24 CFR Parts 91 and 570.

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

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantees certify are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available.
2. **Overall Benefit.** In the aggregate, not less than 70 percent of the CDBG funds, including Section 108 guaranteed loans, received by the State during the following fiscal year(s) 2019 [a period designated by the State of one, two, or three specific consecutive fiscal year(s)] will be used for activities that benefit persons of low and moderate income.

3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG Funds, including Section 108 loan guaranteed funds, by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

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

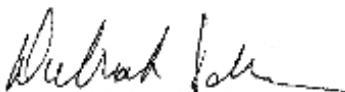
In addition, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

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

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

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



Signature of Authorized Official

5/14/2019
Date

Director
Title

Application for Federal Assistance SF-424			
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	
		* If Revision select appropriate element: <input type="text"/> * Other (Specify): <input type="text"/>	
* 3. Date Received: <input type="text"/>		4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>		5b. Federal Award Identifier: <input type="text"/>	
State Use Only:			
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:			
* a. Legal Name: <input type="text"/>			
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/>		* c. Organizational DUNS: <input type="text"/>	
d. Address:			
* Street1:	<input type="text"/>		
* Street2:	<input type="text"/>		
* City:	<input type="text"/>		
* County/Parish:	<input type="text"/>		
* State:	<input type="text"/>		
* Province:	<input type="text"/>		
* Country:	<input type="text"/>		
* Zip / Postal Code:	<input type="text"/>		
e. Organizational Unit:			
Department Name: <input type="text"/>		Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	<input type="text"/>	* First Name:	<input type="text"/>
Middle Name:	<input type="text"/>		
* Last Name:	<input type="text"/>		
Suffix:	<input type="text"/>		
Title: <input type="text"/>			
Organizational Affiliation: <input type="text"/>			
* Telephone Number: <input type="text"/>		Fax Number: <input type="text"/>	
* Email: <input type="text"/>			

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="A: State Government"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="US Department of Housing and Urban Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-258"/>	
CFDA Title: <input type="text" value="Community Development Block Grant"/>	
* 12. Funding Opportunity Number: <input type="text"/>	
* Title: <input type="text"/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text" value="State of Maine"/>	
<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="Community Development Block Grant, see Consolidated Plan"/>	
Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant <input type="text" value="1"/>	* b. Program/Project <input type="text" value="1 a. 2"/>
Attach an additional list of Program/Project Congressional Districts if needed. <input type="text"/> <input type="text"/> <input type="text"/> <div style="text-align: center;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2019"/>	* b. End Date: <input type="text" value="07/31/2019"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="11,956,615.00"/>
* b. Applicant	<input type="text" value=""/>
* c. State	<input type="text" value="302,536"/>
* d. Local	<input type="text" value=""/>
* e. Other	<input type="text" value=""/>
* f. Program Income	<input type="text" value="11,869,181.00"/>
* g. Total: <input type="text" value=""/>	
19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="text" value=""/> <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text" value=""/> <input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E.O. 12372.	
20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes" provide explanation and attach <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <div style="text-align: center;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) Subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) ** I AGREE ** The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text" value=""/>	* First Name: <input type="text" value="James"/>
Middle Name: <input type="text" value=""/>	
* Last Name: <input type="text" value="Mills"/>	
Suffix: <input type="text" value=""/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-1531"/>	* Fax Number: <input type="text" value="207-287-1634"/>
* Email: <input type="text" value="governor@maine.gov"/>	<input type="text" value="5/14/19"/>
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="5/14/19"/>

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.


PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the Applicant, I certify that the Applicant:

- Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
- Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
- Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
- Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290a-3 and 290a-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7325) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1651 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (Identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 105(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Director (C.C.D.)
APPLICANT ORGANIZATION D.E.C.D.	DATE SUBMITTED 05/16/2019

SF-424D (Rev. 7-97) Back

Application for Federal Assistance SF-424

* 1. Type of Submission:

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

* 2. Type of Application:

- ☒ New
☐ Continuation
☐ Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

01-01-2016

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

R-15-SB-23-0100

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

Maine State Housing Authority

* b. Employer/Taxpayer Identification Number (EIN/TIN):

01-0312916

* c. Organizational DUNS:

0858521050000

d. Address:

* Street1:

353 Water Street

Street2:

* City:

Augusta

County/Parish:

* State:

ME: Maine

Province:

* Country:

USA: UNITED STATES

* Zip/Postal Code:

04330-4533

e. Organizational Unit:

Department Name:

Maine State Housing Authority

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Debra

Middle Name:

* Last Name:

Harrill

Suffix:

Title: Deputy Director


Organizational Affiliation:

* Telephone Number: 207-526-1500

* Fax Number: 207-524-5700

* Email: dharrill@mainehousing.org

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="A: State Government"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="US Department of Housing and Urban Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-239"/>	
CFDA Title: <input type="text" value="HOME Investment Partnership Program"/>	
* 12. Funding Opportunity Number: <input type="text"/>	
* Title: <input type="text"/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="HCHB, see Consolidated Plan"/>	
Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div>	

Application for Federal Assistance SF-424	
16. Congressional District(s) Of:	
* a. Applicant: 1	* b. Program/Project: 1 & 2
Attach an additional list of Program/Project Congressional Districts if needed. <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
17. Proposed Project:	
* a. Start Date: 01/01/2018	* b. End Date: 01/01/2019
18. Estimated Funding (\$):	
* a. Federal	4,060,515.00
* b. Applicant	
* c. State	
* d. Local	
* e. Other	
* f. Program Income	5,050,515.00
* g. Total:	
19. Is Application Subject to Review By State Under Executive Order 12372 Process? <div> <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review or <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E.O. 12372 </div>	
20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <div> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> IF "Yes", provide explanation and attach: <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) <div> <input checked="" type="checkbox"/> I AGREE </div> ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix:	* First Name: JAMES
Middle Name:	T
* Last Name:	MILLER
Suffix:	
* Title: Governor	
* Telephone Number: 202-297-7551	* Fax Number: 202-297-1036
* Email: governor@wv.gov	 <div>01/01/19</div>
* Signature of Authorized Representative:	* Date Signed:

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4340-0009
Expiration Date: 02/28/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4720-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 de-3 and 290 de-5), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Standard Form 4240 (Rev. 7-87)
Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-645) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11814; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11859; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-625); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§459a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 100(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Palme State Housing Authority	05/18/2019

SF-424D (Rev. 7-97) Back

Specific HOME Certifications

The State certifies that:

Tenant Based Rental Assistance -- If it plans to use HOME funds for tenant-based rental assistance, tenant-based rental assistance is an essential element of the State's consolidated plan.

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

Subsidy Layering -- Before committing any funds to a project, the State or its recipients will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.



Signature of Authorized Official

05/15/19

Date

Director - MaineHousing

Title

Emergency Solutions Grant Certifications

Each State that seeks funding under the Emergency Solutions Grants Program must provide the following certifications:

Matching Funds – The State will obtain any matching amounts required under 24 CFR 576.201 in a manner so that its subrecipients that are least capable of providing matching amounts receive the benefit of the exception under 24 CFR 576.201(a)(2).

Discharge Policy – The State will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Confidentiality – The State will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

The State will ensure that its subrecipients comply with the following criteria:

Major rehabilitation/conversion/renovation – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – If ESG funds are used for shelter operations or essential services related to street outreach or emergency shelter, the subrecipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the applicant serves the same type of persons (e.g., families with children, unaccompanied youth, veterans, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The subrecipient will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

Homeless Persons Involvement – To the maximum extent practicable, the subrecipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under ESG, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted ESG.

Consolidated Plan – All activities the subrecipient undertakes with assistance under ESG are consistent with the State's current HUD-approved consolidated plan.



Signature of Authorized Official

05/15/19

Date

Director - MaineHousing

Title

Application for Federal Assistance SF-424			
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	
		* If Revision, select appropriate citation: <input type="text"/> * Other (Specify): <input type="text"/>	
* 3. Date Received: <input type="text"/>		4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>		5b. Federal Award Identifier: <input type="text"/>	
State Use Only:			
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:			
* a. Legal Name: Maine State Housing Authority			
* b. Employer/taxpayer Identification Number (EIN/TIN): <input type="text"/>		* c. Organizational DUNS: <input type="text"/>	
d. Address:			
* Street1:	353 Water Street		
Street2:	<input type="text"/>		
* City:	Augusta		
County/Parish:	<input type="text"/>		
* State:	ME: Maine		
Province:	<input type="text"/>		
* Country:	USA: UNITED STATES		
* Zip/Postal Code:	04108-4693		
e. Organizational Unit:			
Department Name: Maine State Housing Authority		Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	<input type="text"/>	* First Name:	Peter
Middle Name:	<input type="text"/>		
* Last Name:	Werrill		
Suffix:	<input type="text"/>		
Title: Deputy Director			
Organizational Affiliation: <input type="text"/>			
* Telephone Number: 207-626-4600		Fax Number: 207-626-5795	
* Email: pwerrill@mainehousing.org			

Application for Federal Assistance SF-424		
* 9. Type of Applicant 1: Select Applicant Type: 1: State Government Type of Applicant 2: Select Applicant Type. Type of Applicant 3: Select Applicant Type. * Other (specify):		
* 10. Name of Federal Agency: US Department of Housing and Urban Development		
11. Catalog of Federal Domestic Assistance Number: 14-231 CHDA Title: Emergency Solutions Grant (ESG) program		
* 12. Funding Opportunity Number: * Title		
13. Competition Identification Number: Title:		
14. Areas Affected by Project (Cities, Counties, States, etc.): Add Attachment Delete Attachment View Attachment		
* 15. Descriptive Title of Applicant's Project: Emergency Solutions Grant, see Consolidated Plan		
Attach supporting documents as specified in agency instructions. Add Attachments Delete Attachments View Attachments		

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <u>1</u>	* b. Program/Project: <u>1 & 2</u>
Attach an additional list of Program/Project Congressional Districts if needed. <div style="display: flex; justify-content: space-around; margin-top: 5px;"> Add Attachment Delete Attachment New Attachment </div>	
17. Proposed Project:	
* a. Start Date: <u>01/01/2018</u>	* b. End Date: <u>12/31/2025</u>
18. Estimated Funding (\$):	
* a. Federal	1,352,454.00
* b. Applicant	
* c. State	
* d. Local	
* e. Other	
* f. Program Income	1,352,454.00
g. TOTAL	
19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E.O. 12372.	
20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", provide explanation and attach: <div style="display: flex; justify-content: space-around; margin-top: 5px;"> Add Attachment Delete Attachment View Attachment </div>	
21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) ** I AGREE ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix:	* First Name: <u>James</u>
Middle Name:	
* Last Name: <u>Hill</u>	
Suffix:	
* Title: <u>Governor</u>	
* Telephone Number: <u>207-287-3535</u>	* Fax Number: <u>207-287-1034</u>
* Email: <u>governor@maine.gov</u>	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> </div> <div style="border: 1px solid black; padding: 5px; display: inline-block; margin-left: 20px;"> <u>5/14/18</u> </div>
* Signature of Authorized Representative: _____ <div style="float: right; text-align: right;"> * Date Signed: _____ </div>	

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0039
Expiration Date: 02/28/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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As the duly authorized representative of the applicant, I certify that the applicant:


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1688), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-516), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 cc-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102


11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-546) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-335) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-136) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11998; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 105 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§409a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7102) which prohibits grant award recipients or a sub-recipient from (1) engaging in severe forms of trafficking in persons during the period of time that the award is in effect; (2) procuring a commercial sex act during the period of time that the award is in effect; or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Home Alone Housing Authority	05/15/2019

SH-424D (Rev. 7-87) Back

Application for Federal Assistance SF-424			
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	
		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>	
* 3. Date Received: <input type="text"/>		4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>		5b. Federal Award Identifier: <input type="text"/>	
State Use Only: 6. Date Received by State: <input type="text"/> 7. State Application Identifier: <input type="text"/>			
8. APPLICANT INFORMATION:			
* a. Legal Name: <input type="text"/>			
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/>		* c. Organizational OLNS: <input type="text"/>	
d. Address:			
* Street: <input type="text"/>			
Street2: <input type="text"/>			
* City: <input type="text"/>			
County/Parish: <input type="text"/>			
* State: <input type="text"/>			
Province: <input type="text"/>			
* Country: <input type="text"/>			
* Zip / Postal Code: <input type="text"/>			
e. Organizational Unit:			
Department Name: <input type="text"/>		Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: <input type="text"/>	* First Name: <input type="text"/>		
Middle Name: <input type="text"/>	<input type="text"/>		
* Last Name: <input type="text"/>	<input type="text"/>		
Suffix: <input type="text"/>	<input type="text"/>		
Title: <input type="text"/>			
Organizational Affiliation: <input type="text"/>			
* Telephone Number: <input type="text"/>		Fax Number: <input type="text"/>	
* Email: <input type="text"/>			

Application for Federal Assistance SF-424		
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="A: State Government"/>		
Type of Applicant 2: Select Applicant Type: <input type="text"/>		
Type of Applicant 3: Select Applicant Type: <input type="text"/>		
* Other (specify): <input type="text"/>		
* 10. Name of Federal Agency: <input type="text" value="US Department of Housing and Urban Development"/>		
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-275"/>		
CFDA Title: <input type="text" value="Housing Trust Fund"/>		
* 12. Funding Opportunity Number: <input type="text"/>		
* Title: <input type="text"/>		
13. Competition Identification Number: <input type="text"/>		
Title: <input type="text"/>		
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>		
* 15. Descriptive Title of Applicant's Project: <input type="text" value="Federal Allocation of the Housing Trust Fund for the State of Maine. The Consolidated Plan contains program descriptions."/>		
Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div>		

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text"/>	* b. Program/Project: <input type="text"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2019"/>	* b. End Date: <input type="text" value="12/31/2019"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="5,000,000.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text" value="0,000,000.00"/>
* g. TOTAL	<input type="text"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> . <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", provide explanation and attach: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) <input checked="" type="checkbox"/> ** I AGREE	
** The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Jared"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Hills"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-2531"/>	* Fax Number: <input type="text" value="207-287-2034"/>
* Email: <input type="text" value="governor@maine.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="5/14/19"/>

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4340-0009
Expiration Date: 02/28/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (3348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizations conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4726-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1581, 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-516), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1942 (42 U.S.C. §§290 dc-2 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Prescribed by GSA Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-645) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 48 U.S.C. §574), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally assisted construction agreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11730; (c) protection of wetlands pursuant to EO 11890; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (40 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1966, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1980 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 105 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470); EO 11593 (identification and protection of historic properties); and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§466a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-132 "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect; (2) Procuring a commercial sex act during the period of time that the award is in effect; or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Nebraska State Housing Authority	05/15/2019

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