

# Maine Annual Action Plan

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CDBG, ESG, HOME and HTF

Plan Year 2018

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

November 2017 – Updated May 2018

Minor Amendment Submitted July 2019

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## Executive Summary

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

#### 1. Introduction

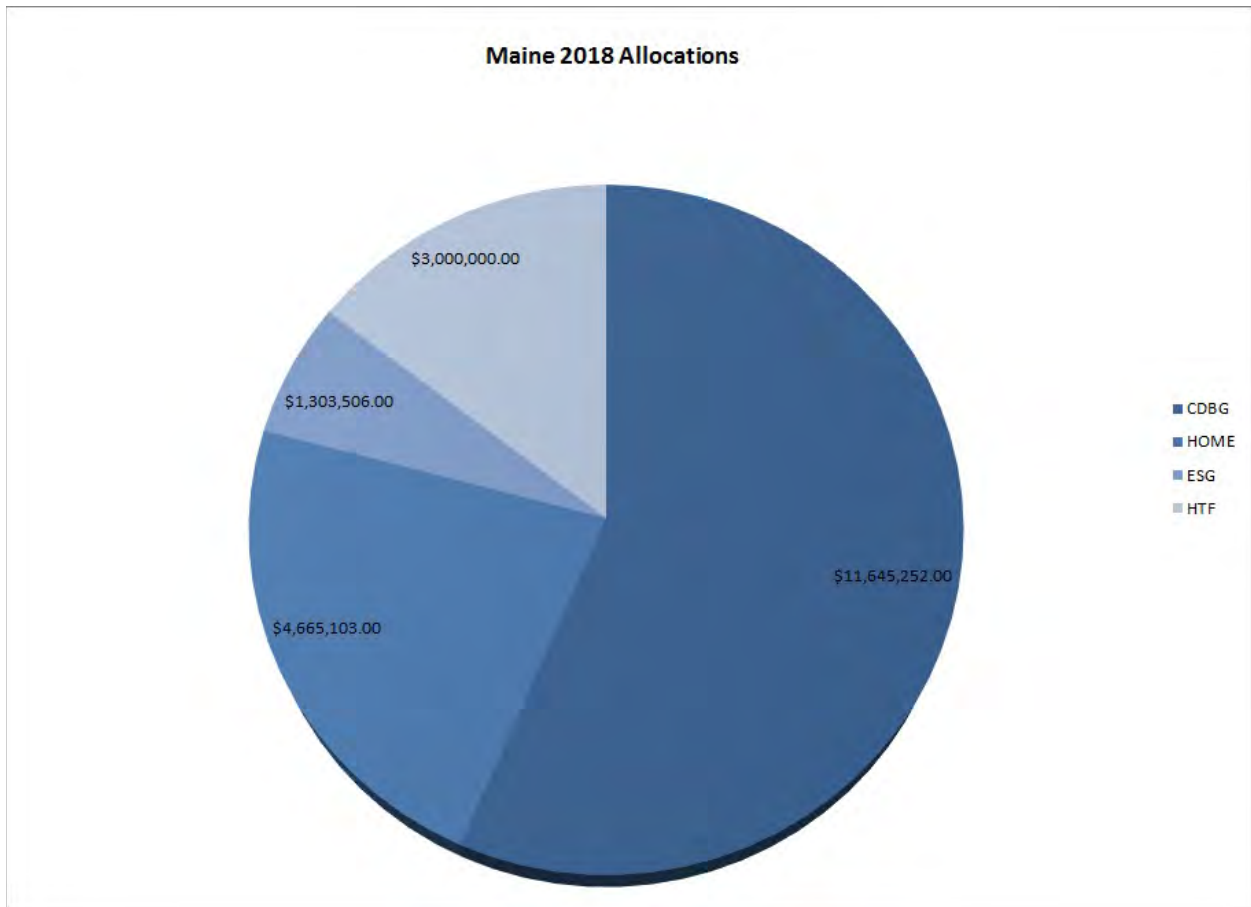
The State of Maine receives block grant funds from the U.S. Department of Housing and Urban Development (HUD) to help address housing and community development needs. These grant funds include: the Community Development Block Grant (CDBG), HOME Investment Partnership Program (HOME), Emergency Solutions 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 2018 Maine Annual Action Plan, is the fourth action plan in the Consolidated Plan cycle. It describes how DECD and MaineHousing plan to allocate HUD block grant funds during the 2018 program year, which runs from January 1, 2018 to December 31, 2018.

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



**2018 Annual 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 2018 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 2018, the State proposes to allocate funding to the following activities.

CDBG:

- \$1 million for the Housing Assistance Grant Program
- \$3.7 million for housing rehabilitation
- \$3.5 million for public infrastructure
- \$3.65 million for economic opportunities

HOME:

- \$2.8 million for rental housing
- \$1.4 million for tenant based rental assistance
- \$466,510 for administrative costs

ESG:

- \$602,871 for emergency shelter operations and essential services
- \$602,872 for rapid rehousing
- \$97,763 for administrative costs

HTF:

- \$2.7 million for rental housing

- \$300,000 for administrative costs

This funding will result in:

- housing 6200 homeless individuals
- rental assistance for 140 Homeless Individuals
- 570 new or rehabbed 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. This document 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 2016 MaineHousing assisted more than 975 First Time Home Buyers, 6,600 Renters, 540 Homeowners (not including over 32,000 helped with Energy Assistance) and more than 6,300 Homeless households.

While production results have sometimes exceeded or fallen short of stated goals, significant progress has been made to address Consolidated Plan priorities and objectives. Both rental units rehabilitated (165% of 2016 goal) and use of tenant-based rental assistance (120% of 2016 goal) exceeded 2016 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.

The public consultation process for this plan included several public forums. The 2018 Annual Action Plan forums occurred July 20 at the Cross State Office Building in Augusta, and July 21 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 2017 Balance of State Continuum of Care meeting. The topic of these forums was the allocation of 2018 CDBG, HOME, HTF and ESG funds and these meetings were held prior to the drafting of the 2018 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 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 2018 Annual Action Plan was made available on November 13, 2017 for a 30- day public comment period ending December 13, 2017. MaineHousing and DECD held a public hearing on the draft Plan on December 11, 2017. All comments received in writing and at the hearing were considered, and responses to the comments are attached.

#### 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. Several comments were received on the draft plan. A summary of the comments and responses to the comments is attached to this document.

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

A summary of the comment received on the draft plan and responses to the comments is attached to this document.

#### 7. Summary

The Maine Department of Economic and Community Development and MaineHousing will be partner agencies for the 2018 Annual Action 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.

<b>Agency Role</b>	<b>Name</b>	<b>Department/Agency</b>
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 has been designated as the lead agency.

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

**Consolidated Plan Public Contact Information**

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## *AP-10 Consultation - 91.110, 91.300(b); 91.315(1)*

### 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. Additionally MaineHousing works with homeless service providers and other organizations toward a shared goal of preventing and eliminating homelessness in Maine. Collaborative efforts underway include:

- Continuum of Care
- Homeless Management Information System
- Statewide Homeless Council

#### **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). MaineHousing was an active partner with these groups when they were separate entities and continues involvement by providing staffing support and leadership.

#### **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 and attached to this document. 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 CoC. This requirement helps ensure that the ESG awardees have a venue to regularly provide feedback to MaineHousing.

**Performance Standards and Evaluation:**

MaineHousing and the CoC have developed, through the Homeless Solutions Rule (see attached), expectations around reaching performance standards and the ongoing evaluation of these standards by tying them directly to receipt of funding.

**Policies and Procedures for HMIS:**

In collaboration with the CoC, 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 recommendation of the CoC following that RFI process was to remain with the current vendor.

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

**Table 2 – Agencies, groups, organizations who participated**

1	<b>Agency/Group/Organization</b>	MAINE STATE HOUSING AUTHORITY
	<b>Agency/Group/Organization Type</b>	Housing
	<b>What section of the Plan was addressed by Consultation?</b>	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
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Consulted through Meetings, E-mail and Phone Calls.
2	<b>Agency/Group/Organization</b>	MAINE
	<b>Agency/Group/Organization Type</b>	Other government - State
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Consulted through Meetings, E-mail and Phone Calls.

3	<b>Agency/Group/Organization</b>	Maine Affordable Housing Coalition
	<b>Agency/Group/Organization Type</b>	Housing Business Leaders Civic Leaders
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development Anti-poverty Strategy Lead-based Paint Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at July 18, 2017 meeting. Requested comments from the group.
4	<b>Agency/Group/Organization</b>	Mid-Maine Homeless Shelter
	<b>Agency/Group/Organization Type</b>	Housing Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
5	<b>Agency/Group/Organization</b>	Penobscot Community Health Center Inc.
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-homeless Services-Health Health Agency
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
6	<b>Agency/Group/Organization</b>	New Beginnings
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-homeless Services-Education

	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
7	<b>Agency/Group/Organization</b>	Bread of Life Ministries
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.

8	<b>Agency/Group/Organization</b>	CITY OF PORTLAND
	<b>Agency/Group/Organization Type</b>	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Education Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
9	<b>Agency/Group/Organization</b>	COMMUNITY HOUSING OF MAINE, INC
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless



	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
10	<b>Agency/Group/Organization</b>	PREBLE STREET RESOURCE CENTER
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
11	<b>Agency/Group/Organization</b>	Shalom House
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless Services-Health

	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
12	<b>Agency/Group/Organization</b>	PEOPLES REGIONAL OPPORTUNITY PROGRAM
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Education Health Agency Regional organization
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.

13	<b>Agency/Group/Organization</b>	City of Bangor
	<b>Agency/Group/Organization Type</b>	Housing PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Education
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.

14	<b>Agency/Group/Organization</b>	Department of Health & Human Services
	<b>Agency/Group/Organization Type</b>	Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services - Victims Health Agency Child Welfare Agency Other government - State
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
15	<b>Agency/Group/Organization</b>	Kennebec Behavioral Health
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless Services-Health

	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
16	<b>Agency/Group/Organization</b>	OHI
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Persons with Disabilities Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
17	<b>Agency/Group/Organization</b>	Rural Community Action Ministries
	<b>Agency/Group/Organization Type</b>	Housing Services-Health Regional organization

	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
18	<b>Agency/Group/Organization</b>	VETERAN'S, INC.
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Persons with Disabilities Services-homeless Services-Health Services-Employment
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.

19	<b>Agency/Group/Organization</b>	CATHOLIC CHARITIES MAINE (SEARCH PROGRAM)
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Education
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
20	<b>Agency/Group/Organization</b>	SAFE VOICES
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Victims of Domestic Violence Services - Victims
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
21	<b>Agency/Group/Organization</b>	Knox County Homeless Coalition
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless Regional organization
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
22	<b>Agency/Group/Organization</b>	TEDFORD HOUSING
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy



	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
23	<b>Agency/Group/Organization</b>	Shaw House
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
24	<b>Agency/Group/Organization</b>	FAIR TIDE
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Children
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the August 17, 2017 meeting.
25	<b>Agency/Group/Organization</b>	Homeless Services of Aroostook
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
26	<b>Agency/Group/Organization</b>	FORT FAIRFIELD
	<b>Agency/Group/Organization Type</b>	Other government - Local

	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
27	<b>Agency/Group/Organization</b>	MARS HILL
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
28	<b>Agency/Group/Organization</b>	CARIBOU
	<b>Agency/Group/Organization Type</b>	Other government - Local

	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
29	<b>Agency/Group/Organization</b>	VAN BUREN
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.

30	<b>Agency/Group/Organization</b>	Hope and Justice Project
	<b>Agency/Group/Organization Type</b>	Housing Services-Victims of Domestic Violence Services - Victims
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
31	<b>Agency/Group/Organization</b>	Northern Maine Development Commission
	<b>Agency/Group/Organization Type</b>	Regional organization Planning organization
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 21, 2017 public forum.
32	<b>Agency/Group/Organization</b>	Family Crisis Services
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-Victims of Domestic Violence Services - Victims
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	2018 Annual Action Plan consultation occurred at the July 20, 2017 public hearing.
33	<b>Agency/Group/Organization</b>	ConnectME Authority
	<b>Agency/Group/Organization Type</b>	Other government - State

<p><b>What section of the Plan was addressed by Consultation?</b></p>	<p>Housing Need Assessment  Homeless Needs - Chronically homeless  Homeless Needs - Families with children  Homelessness Needs - Veterans  Homelessness Needs - Unaccompanied youth  Homelessness Strategy  Non-Homeless Special Needs  Economic Development</p>
<p><b>Briefly describe how the Agency/Group/Organization was consulted.  What are the anticipated outcomes of the consultation or areas for improved coordination?</b></p>	

**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 2018 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 included public hearings, public forums and meetings with the Continuum of Care. The 2018 Annual Action Plan forums were held July 18, 2017 at the Maine Affordable Housing Coalition meeting at the University of Southern Maine, and on July 21, 2017 at the Presque Isle Public Library. The Public Hearing occurred on July 20, 2017 in Augusta. The topic of these forums was the allocation of 2018 CDBG, HOME, HTF and ESG funds. These meetings were held prior to the drafting of the 2018 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.

In an effort to broaden public participation, notices were published on the MaineHousing FaceBook and LinkedIn social network sites.

Meetings with the Continuum of Care Board of Directors occur monthly.

Input received during the public forums was used during the drafting of the Annual Action Plan.

The draft 2018 Annual Action Plan was made available on November 13, 2017 for a 30- day public comment period ending December 13, 2017. MaineHousing and DECD held a public hearing on the draft Plan on December 11, 2017. All comments received in writing and at the hearing were considered, and responses to the comments are attached.

Part of the Annual Action Plan process was a review and revision to the State of Maine Citizen Participation Plan. The 2018 Citizen Participation Plan has been revised to include HTF and to outline the citizen participation process in the event of a disaster. The 2018

Citizen Participation Plan is attached to this document.

**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 20, 2017. Five people were in attendance.	Comments advocated for broadband to be included in all we do, especially infrastructure	None	
2	Public Meeting	Non-targeted/broad community	Forums were held in Portland and Presque Isle to gather input before drafting the plan.	Discussion included using CDBG for housing rehab, the ESG funding formula, the STEP program, need to upgrade multifamily units and the need for Homeless Prevention funding.	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)
3	Newspaper Ad	Non-targeted/broad community	Notice of the July 20, 2017 public hearing was published in the Kennebec Journal, Portland Press Herald, and Bangor Daily News on July 3rd.	None	None	
4	Internet Outreach	Non-targeted/broad community	Notice of the July 20, 2017 public hearing and the July 21, 2017 Forum was posted on the MaineHousing and DECD websites, the MaineHousing FaceBook page, and the MaineHousing LinkedIn account. Notice was also emailed to 250 stakeholders.	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)
5	Monthly Meeting of the Continuum of Care	Continuum of Care representatives	MaineHousing staff regularly attend Continuum of Care meetings. The August 17, 2017 meeting included collaboration on the 2018 Annual Action Plan.	Discussion included the need for additional transitional housing, funding for homeless persons with opioid addiction, and the need for additional navigator services in Lewiston.	None	
6	Public Hearing	Non-targeted/broad community	Two people attended the December 11th hearing. Other comments were received during the comment period.	See attached summary of public comments and associated responses.	See attached summary of public comments and associated responses.	

**Table 4 – Citizen Participation Outreach**

## Expected Resources

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

#### Introduction

The following table displays the allocations of CDBG, HOME, ESG and HTF for the 2018 Action Plan year. Projections are made for the remaining year of the Consolidated Plan cycle.

#### 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	11,645,252	0	0	11,645,252	21,968,520	The CDBG method of distribution is outlined in the 2018 Program Statement, which is part of this action plan.

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: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	4,665,103	177,864	366,723	5,209,690	3,099,659	MaineHousing allocates HOME funds to multifamily rental new construction, multifamily rental rehab, as well as to TBRA.
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,303,506	0	0	1,303,506	1,303,506	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.

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: \$		
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	3,000,000	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**

ESG funds are matched with State HOME funds. HOME funds are matched with State of Maine DHHS funding for services used, as well as interest savings on below market rate loans. 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.

Typical multi-family developments utilize both HOME and Low Income Housing Tax Credits for development costs.

**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: \$2,800,000 HTF: \$2,700,000	Rental units constructed: 195 Household Housing Unit Rental units rehabilitated: 45 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: \$602,872	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: \$602,871	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: \$3,700,000	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: \$3,500,000	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: \$3,650,000	Jobs created/retained: 120 Jobs Businesses assisted: 25 Businesses Assisted

Table 6 – Goals Summary

## Goal Descriptions

1	<b>Goal Name</b>	Increase the Quality and Supply of Rental Housing
	<b>Goal Description</b>	<p>The <b>Rental Loan Program</b> (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"> <li>• Maximize use of tax exempt bonds to develop affordable housing.</li> <li>• Provide affordable mortgage financing that enables developers to utilize low income housing tax credits.</li> <li>• Provide below-market, 30 year fixed rate notes that enable project viability.</li> <li>• Provide capital for preservation of existing rental housing.</li> </ul> <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 <a href="http://www.mainehousing.org">www.mainehousing.org</a>. 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><b>Housing Assistance Grant Program</b></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><b>Housing Trust Fund</b></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	<b>Goal Name</b>	Increase Use of Rapid Re-Housing
	<b>Goal Description</b>	MaineHousing's Homeless Solutions Rule (see attached) 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	<b>Goal Name</b>	Support Emergency Shelter Operations & Services
	<b>Goal Description</b>	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	<b>Goal Name</b>	Improve the Quality of Existing Housing
	<b>Goal Description</b>	See attached CDBG Program Statement
5	<b>Goal Name</b>	Improve Public Infrastructure
	<b>Goal Description</b>	See attached CDBG Program Statement
6	<b>Goal Name</b>	Improve Economic Opportunity
	<b>Goal Description</b>	See attached CDBG Program Statement

*AP-25 Allocation Priorities – 91.320(d)*

**Introduction:**

MaineHousing anticipates using funds as follows:

Rental Housing: \$2,800,000 HOME -- The Rental Loan Program

\$2,700,000 HTF

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

Emergency homeless shelter operations & essential services: \$602,871 ESG

Rapid Rehousing (ESHAP): \$602,872 ESG

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

**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	66	34	0	0	0	0	100
ESG	0	50	50	0	0	0	100
HTF	100	0	0	0	0	0	100

Table 7 – Funding Allocation Priorities

**Reason for Allocation Priorities**

The funding listed above is reflective of program history and public input. Allocation amounts are estimated 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 2018 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**

<b>1</b>	<b>State Program Name:</b>	Community Development Block Grant
	<b>Funding Sources:</b>	CDBG
	<b>Describe the state program addressed by the Method of Distribution.</b>	See attached 2018 CDBG Program Statement
	<b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b>	See attached 2018 CDBG Program Statement

<p><b>If only summary criteria were described, how can potential applicants access application manuals or other State publications describing the application criteria? (CDBG only)</b></p>	<p>See attached 2018 CDBG Program Statement</p>
<p><b>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)</b></p>	<p>See attached 2018 CDBG Program Statement</p>
<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	



<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>See attached 2018 CDBG Program Statement</p>	
<p><b>Describe threshold factors and grant size limits.</b></p>	<p>See attached 2018 CDBG Program Statement</p>	
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>The CDBG program anticipates assisting over 2000 households with CDBG funds</p>	
<p>2</p>	<p><b>State Program Name:</b></p>	<p>Emergency Shelter and Housing Assistance Program (ESHAP) (ESG)</p>
<p><b>Funding Sources:</b></p>	<p>ESG</p>	
<p><b>Describe the state program addressed by the Method of Distribution.</b></p>	<p>In consultation with the CoC 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.</p>	

<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<p>To be eligible to receive emergency shelter funds an applicant must:</p> <ul style="list-style-type: none"> <li>• Be a 501(c)(3) not-for-profit organization.</li> <li>• Be eligible in accordance with the HEARTH Act.</li> <li>• 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.</li> <li>• Be a regular and active participant in the Maine Continuum of Care.</li> <li>• 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.</li> <li>• Participate in the Coordinated Entry System.</li> <li>• 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.</li> <li>• Participate in the Housing Management Information System (HMIS) or a comparable database for victims of domestic violence and meet performance and reporting requirements.</li> </ul> <p>For a complete list of requirements, see the attached Emergency Shelter and Housing Assistance Program Guide and Application.</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><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	

<p><b>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)</b></p>	<p>The Emergency Shelter and Housing Assistance Program funds are distributed as follows:</p> <p><b>Operations Share.</b> 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><b>Stabilization Share.</b> 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><b>Performance Share.</b> 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>
<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	

<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>See description above.</p>
<p><b>Describe threshold factors and grant size limits.</b></p>	<p>Grants are based upon the threshold as described in the Maine Homeless Solutions Rule (attached). 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.</p>
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>MaineHousing provided emergency shelter for 6,304 people in 2016, and we anticipate serving a like amount in 2017. 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"> <li>• 75 – 100% of clients will complete an initial assessment which must include the VI SPDAT within 30 days of entry to their program.</li> <li>• 75 – 100% of clients with assessment scores greater than 3 have a Housing Stability Plan (HSP).</li> <li>• 90 – 100% of current client’s receive service for 30 days.</li> <li>• Percentage of clients exiting to permanent housing</li> <li>• Percentage of clients that return to emergency shelter.</li> </ul>
<p>3</p>	<p><b>State Program Name:</b> Housing Trust Fund</p>
	<p><b>Funding Sources:</b> HTF</p>

<b>Describe the state program addressed by the Method of Distribution.</b>	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.
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<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></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"> <li><i>Applicant's ability to undertake eligible activities in a timely manner</i></li> </ol> <p>Applicants will be evaluated on their development capacity; their experience with public sector housing development programs; and their track-record for developing projects successfully within a reasonable time-frame.</p> <ol style="list-style-type: none"> <li><i>The extent to which the application makes use of non-federal funding sources</i></li> </ol> <p>Applicants will be evaluated on the quantity, quality and timeliness of leveraged non-federal funding (other than market rate loans and other MaineHousing resources) that will be committed to the proposed project.</p> <ol style="list-style-type: none"> <li><i>Priority based upon geographic diversity</i></li> </ol> <p>MaineHousing will regard the entire State of Maine as the eligible area for purposes of the HTF. Applicants will receive additional scoring points for projects that will be developed in locations that have been designated as high opportunity areas as set forth in MaineHousing's Housing Trust Fund 2018 Request for Proposals, or areas that are underserved.</p> <ol style="list-style-type: none"> <li><i>Degree to which applicants will expand the number of adaptable and accessible units in the State.</i></li> </ol>
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	<p>Applicants will be evaluated on the number of newly accessible or adaptable units which will be created as a result of the applicant’s development proposal.</p> <ol style="list-style-type: none"> <li><i>Degree to which the applicant will serve homeless people.</i></li> </ol> <p>Applicants will receive scoring points for projects that serve the homeless population.</p> <ol style="list-style-type: none"> <li><i>Applicants ability to obligate HTF funds</i> Applicants will be evaluated on project readiness, including items like local approvals, architectural plans and site control.</li> <li><i>The merits of the application in meeting the State’s priority housing needs</i></li> </ol> <p>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> <ol style="list-style-type: none"> <li><i>For rental housing, the extent to which the project has Federal, State or local project-based rental assistance to ensure rents are affordable to extremely low-income families.</i></li> </ol> <p>MaineHousing may make Section 8 Housing Choice Vouchers available on a “project-based” basis for eligible units funded with HTF.</p> <p>Applicants will receive additional scoring points for projects that include project based vouchers from other Housing Authorities.</p>
<p><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	

<p><b>Describe the process for awarding funds to state recipients and how the state will make its allocation available</b></p> <p><b>to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</b></p>	
<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	
<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>The FY 2017 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>



	<b>Describe threshold factors and grant size limits.</b>	See Above
	<b>What are the outcome measures expected as a result of the method of distribution?</b>	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.
4	<b>State Program Name:</b>	Rental Loan Program
	<b>Funding Sources:</b>	HOME

<p><b>Describe the state program addressed by the Method of Distribution.</b></p>	<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"> <li>• taxable bond proceeds;</li> <li>• private activity tax-exempt bond;</li> <li>• 501(c)(3) or governmental unit tax-exempt bond proceeds; and</li> <li>• subsidy resources.</li> </ul> <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>
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<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<p>Qualified developers may apply. Applicants must:</p> <ul style="list-style-type: none"> <li>• Demonstrate previous successful experience in the development of similar projects.</li> <li>• Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing.</li> <li>• Have control of the development site.</li> <li>• Demonstrate they will provide the required number of lower income units.</li> </ul> <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><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	
<p><b>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)</b></p>	

<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	
<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>Approximately 80 percent of HOME funds allocated to the Rental Loan Program are for the construction of new units, while the other 20 percent of the funds are allocated to the rehabilitation and preservation of existing units.</p>

<p><b>Describe threshold factors and grant size limits.</b></p>	<p>A. Combination of Available Resources 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 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 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 Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource.</p>
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>MaineHousing expects to produce 160 new rental units and to rehabilitate 45 rental units.</p>
<p>5</p>	<p><b>State Program Name:</b> Stability through Engagement Program (STEP)</p>
	<p><b>Funding Sources:</b> HOME</p>

<p><b>Describe the state program addressed by the Method of Distribution.</b></p>	<p>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.</p>
<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<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"> <li>• Staying in or working with an ESHAP provider.</li> <li>• Enrolled and participating in ESHAP with an approved Housing Stability Plan.</li> <li>• Continued contact with their Housing Navigator to review progress no less than every 30 days.</li> <li>• Reassessment to evaluate if continued assistance is necessary every 90 days.</li> </ul> <p>See attached STEP Administrative Plan for detail.</p>
<p><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	

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

<p><b>Describe threshold factors and grant size limits.</b></p>	<p>Not Applicable</p>
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>The goal for the STEP program is to administer 120 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"> <li>• 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.</li> <li>• 100 percent of program participants will be assisted with search and placement for adequate housing, including subsidized housing programs.</li> <li>• 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.</li> <li>• 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.</li> </ul>



**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	HOME18 ADMIN
2	HOME18 TBRA
3	HOME18 Rental Loan Program
4	ESG18 Maine
5	HTF18 ADMIN
6	HTF18 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	<b>Project Name</b>	HOME18 ADMIN
	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	
	<b>Needs Addressed</b>	
	<b>Funding</b>	HOME: \$309,965
	<b>Description</b>	HOME Admin and Program Income Admin
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	
2	<b>Project Name</b>	HOME18 TBRA
	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	Increase Use of Rapid Re-Housing
	<b>Needs Addressed</b>	Help Maine People Attain Housing Stability
	<b>Funding</b>	HOME: \$1,200,000
	<b>Description</b>	STEP (TBRA) 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 who are currently experiencing homelessness. Referrals to the STEP Program can only be made by Housing Navigators.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
<b>Planned Activities</b>		
	<b>Project Name</b>	HOME18 Rental Loan Program

3	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	Increase the Quality and Supply of Rental Housing
	<b>Needs Addressed</b>	Expand the Supply of Affordable Housing
	<b>Funding</b>	HOME: \$1,500,000
	<b>Description</b>	The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	
4	<b>Project Name</b>	ESG18 Maine
	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	Increase Use of Rapid Re-Housing Support Emergency Shelter Operations & Services
	<b>Needs Addressed</b>	Help Maine People Attain Housing Stability
	<b>Funding</b>	ESG: \$1,311,285
	<b>Description</b>	MaineHousing plans to use the 2018 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.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
<b>Planned Activities</b>		
5	<b>Project Name</b>	HTF18 ADMIN
	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	
	<b>Needs Addressed</b>	
	<b>Funding</b>	:

	<b>Description</b>	Housing Trust Fund Admin
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	
6	<b>Project Name</b>	HTF18 Projects
	<b>Target Area</b>	State Of Maine
	<b>Goals Supported</b>	Increase the Quality and Supply of Rental Housing
	<b>Needs Addressed</b>	Expand the Supply of Affordable Housing
	<b>Funding</b>	:
	<b>Description</b>	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.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	

*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.

<b>One Year Goals for the Number of Households to be Supported</b>	
Homeless	140
Non-Homeless	240
Special-Needs	0
Total	380

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

<b>One Year Goals for the Number of Households Supported Through</b>	
Rental Assistance	140
The Production of New Units	195
Rehab of Existing Units	45
Acquisition of Existing Units	0
Total	380

**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**

This Annual Plan is for the State grantee only. No summary information is available on the actions planned for the multiple public housing authorities operating in Maine. No actions are planned by the State to specifically address the needs of public housing residents to the exclusion of other classes. All residents are eligible to participate in any of the ongoing programs of the State as determined by program regulations.

Developers using HOME funds to create new housing or rehabilitate existing housing are required to demonstrate a good faith effort to provide training, employment and contracting opportunities to low and very low income residents, as required by Section 3 of the Housing and Urban Development Act of 1968.

### **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:**

Please see above

## *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 (attached).

### **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 (attached) 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 2018 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 and the Weatherization program (LIHEAP)

### **Actions planned to reduce lead-based paint hazards**

MaineHousing's Lead Hazard Control Program, funded through the Lead Hazard Reduction Demonstration Grant administered by HUD, provides 0 percent deferred forgivable loans to landlords to make their properties lead safe for low-income renters. The entire amount of the loan is forgiven after 5 years, provided that the property hasn't been refinanced or sold during that time and that the units remain affordable (50 percent -80 percent of AMI). Single-family, owner-occupied homes receive assistance in the form of a grant. Achieving lead safe homes may involve paint removal or stabilization, as well as door and window replacements. This program also included a Healthy Homes Rating System assessment and intervention component which addresses such housing conditions as indoor allergen reduction, injury prevention, mold and radon.

### **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, 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
<b>Total Program Income:</b>	<b>0</b>

#### **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 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 attached CoC Emergency Solutions Grant (ESG) Written Standards dated August 29, 2016.

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 2018 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. Applicants will receive additional scoring points for projects that will be developed in locations that have been designated as high opportunity areas as set forth in MaineHousing's Housing Trust Fund 2018 Request for Proposals, 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.

Applicants will be evaluated on their development capacity; their experience with public sector housing development programs; and their track-record for developing projects successfully within a reasonable time-frame.

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 Housing Authorities.

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 non-federal funding (other than market rate loans and other MaineHousing resources) that will be committed to the proposed project.

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.

Unit Type	Unit Maximum Subsidy Amount
Efficiency/Studio	\$165,134.00
1 Bedroom	\$165,134.00
2 Bedroom	\$200,801.00
3 Bedroom	\$200,801.00
4 Bedroom	\$200,801.00

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.

HTI Rehab Standards Appendix A- Uniform Physical Condition Standards for Multifamily Housing Rehabilitation - October 2016

HTI - deficiencies (highlighted in orange) are all deficiencies and other conditions unless otherwise specified. If no listing is specified.

Deficiency	Observable Deficiency	Type and Degree of Deficiency that must be addressed
<b>Accessibility</b>	<b>Obstructive Items</b>	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Windows</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Grouped</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Health and Safety</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Roofs</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Lighting</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
<b>Walls</b>	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.
	Obstructive Items	Any item that is not functioning or cannot be used because of damage to the frame, threshold, door or rim.

System	Component	Checklist Item	Checklist Reference	Inspection Method
Windows	Glass/Panels/Seals/Frame	Missing/Damaged/Cracked/Missing	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
		Missing/Displaced/Loose/Sealant	Any exterior seal/glassing or missing/damaged that permits a risk of water penetration or risk of structural damage.	Visual inspection
Mechanical Systems	HVAC	Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
		Refrigerant Leaking	Any refrigerant leaking from any air conditioning system.	Visual inspection
Electrical Systems	Wiring	Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
		Wiring Exposed	Any exposed wiring or electrical components that are not properly protected.	Visual inspection
Interior & Exterior	Paint	Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection
		Paint Peeling/Flaking	Any peeling or flaking paint that could lead to water penetration or structural damage.	Visual inspection

## Annual Action Plan 2018



**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 special needs and/or homeless populations or other subpopulations. 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**

### **2018 Annual Action Plan Public Comments**

#### **Rapid re-housing, term of STEP voucher and Long Term Stayers**

Several commenters expressed concern regarding the rapid re-housing approach and the term length limitation of STEP vouchers. They called on MaineHousing to reduce or eliminate use of funds for rapid re-housing activities and allow for the funds to be used as permanent subsidy for a term greater than 24 months.

#### **MaineHousing response**

MaineHousing does not agree with the commenters' statements that indicate that federal HOME funds used for rental assistance (STEP) are, or can be, a permanent or non-time limited resource. Federal regulations at 24 CFR 92.209 limit the use of federal HOME funds for rental assistance to no more than 24 months. The regulation states this term "may be renewed, subject to the availability of HOME funds." This does not equate to a permanent or non-time limited resource. In fact, the federal HOME grant has declined significantly in recent years and is currently slated for elimination in the President's budget.

We do not believe using this resource for longer than 24 months would be prudent, given this precarious funding history. Using short term resources for long term solutions is never good public policy. Therefore, STEP is not designed primarily or exclusively for those persons needing longer term housing assistance. STEP is primarily designed for those persons who, in the judgment of the Housing Navigator (following the federally required standardized assessment tool selected by the Continuum of Care, VI-SPDAT) cannot resolve their situation on their own, but who can resolve them within a 24 month time period. Based on data from the VI-SPDAT, 55% of clients scored within range of a rapid re-housing intervention like tenant based rental assistance as the appropriate housing response, while 22% did not require any subsidy intervention to solve their homelessness and 23% needed housing with additional supportive services.

We believe that using this resource in this manner is an effective tool for many persons experiencing homelessness. The average length of use for a STEP voucher has increased in the past year to 11 months, with 87% of clients achieving housing stability upon exiting the program. The average length of stay in shelters prior to receiving a STEP coupon for many clients ranges from 90-165 days, indicating it has been an effective tool for many long term stayers, as well.

No one resource or policy will meet all client's needs, however, MaineHousing believes as currently structured, the policy regarding STEP vouchers is an effective approach. For those persons needing longer term rental assistance and supportive services, there are other subsidy options available outside of MaineHousing, such as Shelter Plus Care, as evidenced by the success of Portland's ESAC OSS LTS Committee.

#### **On-going housing support and follow-up**

Ms. Bindas-Tenney of Preble Street expressed concerns about the inefficient use of staff resources needed to comply with ESHAP follow-up requirements, particularly with clients who want to relocate to other towns in Maine or not return to the shelter environment for follow-up appointments after being placed in housing.

#### **MaineHousing response**

The balancing of federal compliance requirements with respect for the grantees time and efficiency is always a challenge, particularly in certain areas of Maine. With that said, monitoring and evaluating program participant progress is a requirement of the federal Emergency Solutions Grant and has been recognized as a national best practice.

The ESHAP program complies with this federal requirement by requiring Navigators to show evidence of their attempt to re-connect and follow up with clients at least once every 30 days and to update Housing Stability Plans at least every 90 days. The role of the Navigator is to engage with clients based on their needs which could include off site visits. Shelters are reimbursed for these services through the Stabilization Share of the current funding formula, which provides for housing search, placement and services to maintain housing stability, which could be outside of

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the town the shelter is located. Shelter operations are covered by the Operations Share of the ESHAP funding, which is dedicated to the essential needs of the shelter; staff to operate the shelter, utilities and keeping the doors open to offer a safe place.

**Administrative burden**

Ms. Bindas-Tenney expressed concern about the reporting requirements being unwieldy. No specific detail was provided.

**MaineHousing response**

MaineHousing is mindful of the administrative requirements that come with federal funding and works to minimize its impact wherever possible. MaineHousing will follow-up with the commenter to learn more about her concerns.

**National Housing Trust Fund**

Maine Equal Justice Partners (MEJP) referred to their earlier comments on the National Housing Trust Fund during the public comment period in regards to its use to serve the households they are most concerned about. CHOM thanked MaineHousing for including prioritization of programs that will serve people experiencing homelessness and Long Term Stayers. Shalom House noted their concerns about the Maximum Per-unit Development Subsidy Amount for Housing Assisted with HTF funds, stating it does not take into consideration the increasing costs of acquisition/rehabilitation projects in larger metropolitan centers in Maine.

**MaineHousing response**

MaineHousing appreciates the comments from MEJP and CHOM and concurs with their thoughts regarding those populations most in need of housing resources. With regard the Maximum Per-unit Development Subsidy amounts, MaineHousing has chosen to follow the federal HOME Investment Partnership program maximum-per-unit subsidy amounts for Maine. This ensures that projects can be built in greater Portland where the acquisition costs are high, yet allows us to fund projects in rural areas where low demand will not allow for economy of scale, and therefore proportionately increased fixed costs. We have considered all local costs including acquisition costs, labor, materials, fees, and other soft costs. MaineHousing is also currently evaluating new approaches to determining cost limits across all Development programs, with a particular focus on geographic disparities.

**GrowSmart Maine**

GrowSmart Maine expressed support for multiple items in the plan including funding allocations for CDBG, adaptive re-use of existing housing, preservation of existing housing, and the lead hazard control program. GrowSmart stated that they should be included in future plan consultations. The commenter questioned the lack of CDBG funding for Downtown Revitalization and Maine Downtown Center. The commenter also questioned why the plan does not allow units of general local government to carry out community revitalization strategies.

**DECD response**

The DECD thanks GrowSmart Maine for its support of the overall goals and objectives of the 2018 Action Plan. There are two items in your comments we are responding to specifically. The Downtown Revitalization activity touches on all aspects of our overall goals and objectives, and it is specifically included in the community development program allocations. We feel that shows sufficient support, and keep in mind that the primary goal and requirement of the CDBG program is that at least 70% of our funds benefit households that are Low to Moderate Income as defined by HUD.

Community Revitalization Strategies have a specific definition at HUD and resulting impacts in meeting the CDBG regulations. The State of Maine's CDBG allocation is so small, and the fact that we no longer fund planning grants, has resulted in that specific activity not being included.

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### MaineHousing response

MaineHousing also thanks GrowSmart Maine for its support of the overall goals and objectives of the 2018 Action Plan. The Annual Action Plan focus is on the intended use of CDBD, ESG, HOME and HTE funds. MaineHousing allocates additional funds for the preservation of affordable multi-family residential rental housing and for Lead Hazard Control.

GrowSmart Maine has been added to the contact list for all Consolidated Plan/Annual Action Plan mailings. MaineHousing looks forward to working with GrowSmart Maine in future planning efforts.

### Use of HOME Funds to Serve Very Low and Extremely Low-Income Renters

Maine Equal Justice Partners (MEJP) stated that they were greatly disappointed to see Maine's low national rank when it comes to using federal HOME funds to serve households in these income categories.

### MaineHousing response

MaineHousing thanks Maine Equal Justice Partners for its comments.

We too were alarmed to see Maine's rank according to the SNAPSHOT of HOME Program Performance. The agency immediately contacted HUD to determine how these numbers were calculated and found that the report does not fully account for Tenant Based Rental Assistance (TBRA). HUD is working on providing clarification on that report to alleviate future issues.

A more complete picture from HUD's Integrated Disbursement and Information System (IDIS) shows a different picture of the use of HOME funds for the benefit of extremely low-income (ELI) and very low-income households (VLI).

HOME Low-Income Benefit			
	Snapshot of HOME	IDIS – PR16: HOME Lower Income Benefit – All Fiscal Years	National Average (from Snapshot of HOME)
Very Low-Income Renters (<50% AMI)	63.64%	84.8%	89.43%
Extremely Low-Income Renters (<30% AMI)	28.75%	64.6%	37.38%

The plan allocates 44 percent of HOME funds (\$1.2 million) for the Stability Through Engagement Program (STEP) a TBRA program that provides up to 24 months targeted to homeless households. STEP's program design allows for higher income eligibility in accordance with HOME, but by targeting the benefit to homeless households, a majority of households served by STEP are ELI and VLI.

*Grantee Unique Appendices*



# State of Maine

Community Development Block Grant Program

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## 2018 Program Statement

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Augusta, Maine 04333-0059  
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TTY: 1-800-437-1220  
[www.meocd.org](http://www.meocd.org)

The Office of Community Development reserves the right to fund only those applications deemed to be in the best interest of, and that offer definable benefits to, the State of Maine and the Community Development Block Grant Program. The Director of the Office of Community Development (OCD) may waive any requirement of the program provided such waiver would not be out of compliance with CDBG Program regulations.

## **19-498 CMR DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT CHAPTER 46 COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM 2018 PROGRAM STATEMENT**

### **SUMMARY**

This Program Statement describes the method by which 2018 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. The 2018 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. In accordance with the Maine Administrative Procedures Act, DECD held a public hearing regarding the development of this Program Statement on November 09, 2017, Burton Cross Office Building, 3<sup>rd</sup> 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:

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DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2018 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
- c. Underground Storage Tank Grants

### 3. Technical Assistance

## C. STATE ADMINISTRATION:

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**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.

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#### 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	Application Due Date By Invitation Only
Downtown Revitalization	January 26, 2018	March 30, 2018
Economic Development	February 23, 2018	May 25, 2018
Housing Assistance	March 9, 2018	May 4, 2018
Micro-Enterprise Assistance	February 9, 2018	April 27, 2018
Public Infrastructure	January 19, 2018	March 30, 2018
Public Service	May 4, 2018	June 22, 2018
Underground Storage Tank	May 4, 2018	N/A
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. 2018 PROGRAM BUDGET

2018 CDBG Budget	<b>\$11,645,252</b>
Administration	332,905
Technical Assistance Administration	116,452

#### **Community Development**

Downtown Revitalization Grants	300,000
Home Repair Network Program	1,700,000
Housing Assistance Grants	2,000,000
Public Service Grants	250,000
Public Infrastructure Grants	3,200,000
Regional Council Planning Assistance	95,895
Small Business Development Centers	50,000
Urgent Need Grants*	0
Special Projects*	0

#### **Economic Development**

Economic Development Grants	2,400,000
Micro-Enterprise Assistance Grants	700,000
Underground Storage Tank Grants	500,000

TOTAL Estimated 2018 CDBG Funds (final amount determined by HUD) **11,645,252**  
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.

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## F. CERTIFICATIONS

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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:

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**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 2018 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 2018 Program Statement and 2018 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 2018 Community Development Block Grant program, communities that received CDBG grants in or prior to 2014 must have finally closed out their grants prior to application due date. Communities that received CDBG grants in 2015 must have conditionally closed their grants prior to application due date. Communities that received CDBG grants in 2016 must have expended 50% of their benefit activity funds prior to application due date. Communities that received 2017 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:

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**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:

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### 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**

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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:** \$1,700,000. 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

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**Letters of Intent will be accepted for the 2018 and 2019 Program Years. The communities invited to submit applications in 2018 may potentially be funded in 2018, or 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



- 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 (4) (5).

**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.

## **G. SMALL BUSINESS DEVELOPMENT CENTERS**

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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.

## I. 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.

## **J. SPECIAL PROJECTS PROGRAM**

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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

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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>
<b>a) Grants to Municipalities:</b> for acquisition, relocation, demolition, clearance, construction, reconstruction, installation and rehabilitation <b>associated with public infrastructure projects.</b> 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>b) Grants to Municipalities for Direct Business Support:</b> 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 <b>not</b> 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 receiving an EDP award may not receive any other EDP award for the same project or business during the same program year or for the same project or business from a prior program year that has not met final closeout status.
- 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**

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**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**

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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 (3)

**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 2016 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 Façade 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.

## C. UNDERGROUND STORAGE TANK PROGRAM

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The Underground Storage Tank (UST) Program provides gap funding for petroleum tank replacement activities, which alleviates a threat to the health and safety of the general public. UST Program funds will be distributed through a set aside of CDBG funds provided to the County of Aroostook as the lead community who will disburse funds to approved projects.

**1. Eligible Activities:** Eligible activities in the UST program are: purchase of new tanks, removal of existing tanks and installation of new ones by a Certified Underground Oil Storage Tank Installer (CTI). Tanks must meet the design and installation requirements of the Maine Department of Environmental Protection (DEP).

**2. Match:** All entities applying for UST funds must certify that they will provide a cash match of at least 20% percent of the total grant award. This match may consist of all non-CDBG loans, grants, etc. contributed to the project.

**3. Maximum UST Grant Amount: \$ 50,000**

**4. Demonstration of Need:** Applicants must have demonstrated that they are unable to complete the project without the CDBG funds. This demonstration must include evidence of other available resources contacted.

**5. Demonstration of National Objective:** Applicants must demonstrate that the project meets the National Objective of benefiting 51% or greater low/moderate income persons. ***This demonstration must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD.***

**6. Priority for Underground Storage Tank Projects:** Applicants who are on DEP's list of critical projects and have received notification that their UST must be removed will be given priority during the evaluation and selection process for awarding UST program funds.

**7. Selection Process:** The selection process will consist of review of the information provided in Letter of Intent and consultation with DEP to determine the projects that are the most critical and are the highest priority for removal.

## 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 2018 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 2018 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 2018 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 2018 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The State of Maine's Administrative Procedures Act and the Department of Housing and Urban Development's citizen participation process will guide the amendment process.

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

**BY CONTACTING:**

**OFFICE OF COMMUNITY DEVELOPMENT  
111 SEWALL STREET, 3<sup>RD</sup> 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](http://www.meocd.org)**

**The Maine CDBG Program is Funded by:**



## State of Maine Citizen Participation Plan

The U.S. Department of Housing and Urban Development (HUD) has consolidated the planning, application, reporting and citizen participation processes of formula grant programs: Community Development Block Grants (CDBG), Home Investment Partnerships (HOME), Emergency Shelter Grants (ESG) and Housing Trust Fund (HTF). The Consolidated Plan is designed to help states and local jurisdictions to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based investment decisions. The consolidated planning process serves as the framework for a community-wide dialogue to identify housing and community development priorities that align and focus funding from the formula block grant programs.

The Maine State Housing Authority (MaineHousing) and the State of Maine Department of Economic and Community Development (DECD) encourage Maine citizens, especially those earning low and moderate incomes, to participate in the development of the State of Maine Consolidated Housing and Community Development Plan (“Consolidated Plan”). This Citizen Participation Plan outlines the responsibilities of MaineHousing and DECD for obtaining citizen participation in the process of preparing, amending, and updating the Five-Year Consolidated Plan, the Annual Action Plan, and the Consolidated Annual Performance Evaluation Report (CAPER).

### Citizen Participation Requirements

Plan/Report	Frequency	Due Date	Citizen Participation Period	Public Hearings (minimum)
Consolidated Plan	Every 5 years	November 15	30 days	2
Annual Action Plan	Every year	November 15	30 days	2
Amendments to Consolidated Plan or Annual Action Plan	As needed		30 days	1
Consolidated Annual Performance Evaluation Report (CAPER)	Every year	March 31	15 days	N/A

### THE CONSOLIDATED PLAN AND THE ANNUAL ACTION PLAN

The Consolidated Plan examines the current housing situation, explores the housing and community development needs of the state, and sets priorities for spending HUD grant funds. MaineHousing and DECD encourage local government, public and private agency, and citizen participation in collaboratively identifying housing and community development needs. In order to provide varied opportunities for participation in the planning and preparation of the Consolidated Plan, MaineHousing and DECD will undertake the following actions:

#### Consultation

Prior to the development of the draft Consolidated Plan, MaineHousing and DECD will solicit information about housing and community development needs throughout the state. This solicitation may take the form of one or more of the following:

1. Consultation with local public agencies that assist low income persons and areas, including state and federal agencies, local governments and regional councils of government.
2. Consultation with private agencies, including public and private housing developers, local not-for-profit service providers, local public housing authorities, homeless service providers, not for-profit housing developers, community action agencies, social service agencies and advocates.
3. Focus group discussions with specific consumer groups (such as persons with disabilities, elderly and/or homeless individuals) regarding housing, municipal infrastructure needs and economic development needs.
4. Information collection at statewide affordable housing and homeless conferences, with established entities such as the Statewide Homeless Council and the Continuums of Care, and with professional associations.
5. Partner and client blogs.
6. Public Forums.

#### **Participation of Citizens**

MaineHousing and DECD intend to encourage citizens to participate in the development of the Consolidated Plan, and all annual performance evaluations and reports in the interim.

MaineHousing and DECD will take whatever actions are appropriate to encourage the participation of all Maine citizens, including minorities and non-English speaking persons, as well as persons with disabilities.

Citizen participation will be accomplished through one or more of the following means:

1. Online Citizen Survey
  - An online survey of housing needs and priorities may be provided via the MaineHousing and DECD websites.
  - The availability of the online survey will be communicated through email or mail. Partner organizations will be encouraged to notify low income clients of its availability.
2. Telephone Survey
  - A citizen telephone survey of housing needs and priorities may be conducted, or a telephone town hall may be held.
3. Focus Groups
  - One or more focus groups with organizations that advocate for low income Maine citizens may be conducted.
4. Public Hearings/Forums
  - Public hearings will be scheduled at times and locations that are convenient to potential and actual beneficiaries.
  - Sites will accommodate persons with mobility impairments, and special communication accommodations will be arranged if requested prior to the hearing date.

To the greatest extent practicable, MaineHousing and DECD may employ electronic means of communication and consultation, to include e-committees, online discussion forums and blogs, videoconferencing, online surveys, or similar methods.



**Public Notice**

Reasonable notice will be given to announce the availability of the draft Consolidated Plan or Annual Action Plan. Availability of the draft Plan or Annual Action Plan will be announced on both the MaineHousing and DECD websites. To encourage citizen comment and attendance at public hearings/forums, notices will be emailed via MaineHousing's mass email list which includes advocacy groups, local governments, State Departments, Public and Indian Housing Authorities, housing developers, lending institutions and real estate agents.

**Public Hearings**

At least two public hearings will be held before the publication of the final Consolidated Plan. The purpose of the first public hearing will be to gather citizen input on housing and community development needs and the proposed Consolidated Plan before it is published for comment.

The second public hearing will be held during the Consolidated Plan 30 day public comment period. The purpose of this public hearing will be to gather citizen input on the Consolidated Plan draft.

Citizens will be notified of the public hearings at least two weeks before they are held. Public hearings will be announced in at least one Maine newspaper, by email, and on the MaineHousing and DECD websites.

**CONSIDERATION OF PUBLIC COMMENTS**

A public comment period of at least 30 days will be provided prior to the adoption of the Consolidated Plan or implementation of substantial amendments. MaineHousing and DECD staff will prepare a summary of all comments received in writing, and in cases where citizens' views are not accepted, provide reasons for the decision.

**CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORTS**

Before MaineHousing and DECD submit a Consolidated Annual Performance and Evaluation Report (CAPER) to HUD, the proposed CAPER will be made available to those interested for a comment period of no less than 15 days. Citizens will be notified of the CAPER's availability through a notice appearing in at least one newspaper circulated throughout the State. Notice will also be emailed via MaineHousing's mass email list.

The CAPER will be available on both the MaineHousing and DECD websites during the 15-day public comment period. Hard copies will be provided upon request.

Any comments from individuals or groups received verbally or in writing will be considered. A summary of the comments, and of the responses, will be included in the final CAPER.

**SUBSTANTIAL AMENDMENTS**

A substantial amendment is defined as a proposed change in allocation of funds after the official adoption of the Consolidated Plan that affects 10 percent or more of the State's annual allocation of CDBG, HOME, HTF, or ESG funds. A substantial amendment may also be required to carry out an activity not previously described in the action plan.

Any changes in the distribution of funds caused by changes in federal funding allocations after the Consolidated Plan/Annual Action Plan's draft comment period has expired will not be considered a substantial amendment.

Substantial amendments to the approved Consolidated Plan will be made public by public notices in newspapers and notices on the MaineHousing and DECD websites.

MaineHousing and DECD will receive and consider comments on substantial amendments to the Consolidated Plan for 30 days before implementing those amendments.

If a state of emergency is declared that requires reallocation of funds and/or receipt of disaster recovery funding, the comment period will be reduced to 15 days with one public hearing.

#### **CITIZEN COMPLAINTS**

MaineHousing and DECD will provide a substantive written response to all written citizen complaints related to the Consolidated Plan, Annual Action Plan, Substantial Amendments, and the CAPER within 15 working days of receiving the complaint.

#### **PUBLIC ACCESS**

##### **Availability of Documents**

The final Consolidated Plan, any substantial amendments, and annual performance reports will be made available to the public. Copies will be available in printed form or electronic means.

##### **Access to Records**

MaineHousing and DECD will provide all interested parties with access to information and records related to the Consolidated Plan during the preceding five years. The public will be provided reasonable access to housing assistance records, subject to laws regarding privacy and obligations of confidentiality.

Effective with the 2018 Annual Action Plan – November 2017

## 99-346 MAINE STATE HOUSING AUTHORITY

### Chapter 19: HOMELESS SOLUTIONS RULE

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**Summary:** The Maine State Housing Authority uses funds from certain federal and state resources to give grants to agencies for a variety of activities to assist people who are experiencing homelessness or the risk of becoming homeless. This rule governs MaineHousing's allocation of resources for such programs, program design, the publication and distribution of program guides, basic criteria for determining eligible recipients, and potential selection criteria. Some resources are distributed according to a funding formula set forth in the rule. Other resources are distributed according to programs designed by MaineHousing.

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#### 1. Definitions

- A. "Act" means the Maine Housing Authorities Act, 30-A M.R.S.A. §4701, *et seq.* as amended.
- B. "Applicant" means the municipality or non-profit corporation applying for funds governed by this rule.
- C. "Bed Capacity" means the maximum number of beds in an Emergency Shelter or of an Emergency Housing Provider as indicated on an annual Continuum of Care Housing Inventory Count (HIC).
- D. "Business Associate Agreement" is a document used primarily to regulate how information is treated and governs the relationship between service providers who are exchanging information regarding clients and the services they receive.
- E. "Clients Assessed and Stabilized" means clients assessed with housing prioritization tools and receiving housing stabilization services.
- F. "Continuum of Care" or "CoC" is a collaborative funding and planning approach that helps communities plan for and provide, as necessary, a full range of emergency, transitional, and permanent housing and other service resources to address the various needs of Homeless Persons. HUD also refers to the group of service providers involved in the decision making processes as the "Continuum of Care."
- G. "Coordinated Entry Process" means a process designed to coordinate program participant intake, assessment, and provision of referrals within a geographic area. A Coordinated Entry Process 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.
- H. "Emergency Shelter" means any facility, the primary purpose of which is to provide a temporary shelter for Homeless Persons or for specific populations of Homeless Persons and which meets the criteria set forth in section 3 of this rule.

- I. "Emergency Housing Provider" means a provider of emergency housing in other than a fixed facility the primary purpose of which is to provide a temporary place for Homeless Persons to sleep and which meets the criteria set forth in section 3 of this rule.
- J. "Emergency Solutions Grant" means a grant available under the federal Emergency Solutions Grants Program of the McKinney-Vento Act as amended by the HEARTH Act.
- K. "Funding Formula Allocation" means an annual allocation of funds by MaineHousing for Emergency Shelters and Emergency Housing Providers as further described in section 4 of this rule.
- L. "HEARTH Act" means the Homeless Emergency and Rapid Transition to Housing Act of 2009 (P.L. 111-22), and the regulations promulgated thereunder.
- M. "HMIS" means the Homeless Management Information System as further defined in the McKinney-Vento Act as amended by the HEARTH Act.
- N. "HMIS Data Standards" provides communities with baseline data collection requirements developed by each of the federal partners which require participation in HMIS as a condition of their funding.
- O. "Homeless Persons" means persons sleeping in a place not meant for human habitation, in an Emergency Shelter, or in other emergency housing and persons who otherwise are homeless pursuant to the HEARTH Act (42 USC §11302).
- P. "Homeless Prevention" means activities or programs designed to prevent persons from becoming Homeless Persons including without limitation subsidies for rent, utilities, security deposits, and mortgage payments.
- Q. "Housing First" is an approach based on the concept that a Homeless Person's first and primary need is to obtain stable housing, and that other issues that may affect the Homeless Person can and should be addressed once housing is obtained.
- R. "Housing Inventory Count" (HIC) is a point-in-time inventory of beds and units for Homeless Persons within a Continuum of Care categorized by five program types: Emergency Shelter; transitional housing; Rapid Re-housing; safe haven; and permanent supportive housing.
- S. "Housing Stabilization" means assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing or to assist a program participant in overcoming immediate barriers to obtaining housing.
- T. "HUD" means the United States Department of Housing and Urban Development.
- U. "Long-term Stayer" means a currently Homeless Person who has either been continuously homeless or has at least 180 cumulative emergency shelter housing stays in a twelve (12) month period of time, as defined by the Statewide Homeless Council.

- V. “MaineHousing” means Maine State Housing Authority.
- W. “Maine Consolidated Plan” is a plan prepared by MaineHousing and the Maine Department of Community and Economic Development (“DECD”) and approved by HUD in accordance with 24 CFR part 91. The Consolidated Plan serves as the framework for a statewide dialogue to identify housing and community development priorities that align and focus funding from the Community Development Block Grant (CDBG) Program administered by DECD and the HOME Investment Partnerships (HOME) Program and Emergency Solutions Grant and (ESG) Program, which are administered by MaineHousing.
- X. “Mainstream Resources” means a variety of Federal and state benefit government assistance programs Homeless Persons may be eligible to receive. These include but are not limited to: Temporary Assistance For Needy Families (TANF), Food Supplement Program, veterans’ benefits, MaineCare, General Assistance, Supplemental Security Income Program (SSI), Social Security Disability Insurance (SSDI), and Housing Choice Vouchers Program.
- Y. “Maine’s Job Bank” is an on-line job posting and job search system provided by Maine CareerCenter.
- Z. “McKinney-Vento Act” means the Stewart B. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11301 *et seq.*, and the regulations promulgated thereunder.
- AA. “Program” means an offering of grants subject to recapture available to prospective eligible Applicants on certain terms and for certain purposes determined by MaineHousing pursuant to this rule.
- BB. “Program Guide” means the written procedural and administrative guide for a particular Program governed by the terms and conditions of this rule.
- CC. “Rapid Re-housing” means housing relocation and stabilization services and short- and/or medium-term rental assistance as necessary to help Homeless Persons move as quickly as possible into permanent housing and achieve stability in that housing.
- DD. “Regional Homeless Council” means one of the following three advisory committees concerning homelessness: Region I comprising York and Cumberland Counties; Region II comprising Androscoggin, Franklin, Kennebec, Knox, Lincoln, Sagadahoc, Somerset, Oxford, and Waldo Counties; and Region III comprising Penobscot, Piscataquis, Aroostook, Washington, and Hancock Counties.
- EE. “Shelter Operations” are the costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies necessary for the operation of an Emergency Shelter.
- FF. “Statewide Homeless Council” means the advisory committee created pursuant to §5046 of the Act.

GG. “Violence Against Women Act “or “VAWA” is a United States federal law (Title IV, sec. 40001-40703 of the Violent Crime Control and Law Enforcement Act of 1994, H.R. 3355).

## 2. Eligible Applicants

To be eligible to receive funds, an Applicant must:

- A. be a non-profit corporation in good standing in the State of Maine qualified for tax exemption under 501(c)(3) of the Internal Revenue Code or a municipal corporation;
- B. be eligible in accordance with the HEARTH Act;
- C. be a provider of homeless services with at least one (1) year of experience providing emergency housing, street outreach, Homeless Prevention or Rapid Re-housing activities;
- D. be a regular and active participant in the Maine Continuum of Care or the Portland Continuum of Care, in accordance with their respective governance charters and performance criteria;
- E. have board and or advisory board representation from Homeless Persons or formerly Homeless Persons who are involved in policy or planning of the organization;
- F. participate in Coordinated Entry Process by entering into Business Associate Agreements for sharing data and administering housing prioritization and assessment tools;
- G. have the administrative and financial management capacity necessary to administer and to account for the use of the applicable grant in accordance with the funding requirements;
- H. meet the objectives and strategic goals to end homelessness as outlined in the Maine Consolidated Plan;
- I. meet the objectives of the Program under which they are applying as set forth in the applicable Program Guide;
- J. participate in and meet the performance and reporting requirements of the Homeless Management Information System (HMIS) or a comparable database if the Applicant serves victims of domestic violence;
- K. not engage in any explicitly religious activities, such as worship, religious instruction, or proselytization, as part of the activities and services funded with any grant for activities or services covered by this rule; and if religious activities are offered, they must be offered at a separate time or location from the activities and services covered by this rule; and participation in those religious activities must be voluntary for persons receiving assistance with funds covered by this rule;
- L. operate its programs free from discrimination on the basis of age, race, color, religion, national origin, physical or mental disability, sexual orientation, or gender in accordance with applicable federal and state fair housing laws;

- M. comply with Section 504 of the Rehabilitation Act of 1973, which prohibits disability discrimination in programs that receive HUD funds; and
- N. comply with MaineHousing requirements.

**3. Emergency Shelter or Emergency Housing Provider Requirements**

Applicants that are Emergency Shelters or Emergency Housing Providers must do the following:

- A. provide access 365 days per year to assist Homeless Persons meet basic emergency shelter needs;
- B. provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities;
- C. provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner;
- D. treat all guests with dignity and respect, regardless of religious or political beliefs, cultural background, disability, gender identity or sexual orientation;
- E. provide shelter and housing services based upon a Rapid Re-housing or Housing First approach;
- F. operate at Bed Capacity unless the homeless response system is experiencing demand insufficient to fill capacity;
- G. provide linkages and access to community resources such as health care, job readiness and employment services, Mainstream Resources, and educational services to assist guests in achieving housing stability;
- H. assess guests for housing prioritization and services to enable mobility to permanent housing with adequate supports;
- I. inform guests of their rights and responsibilities, including specific shelter policies and house rules;
- J. accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources;
- K. have no lease requirements for guests;
- L. if serving families with children, provide space other than open dormitory style and do not require involuntary family separation for admission;

- M. provide separate accommodations for male and female consumers;
- N. protect the privacy and confidentiality of guests and their personal information;
- O. provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of guests, volunteers and staff;
- P. post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each guest;
- Q. maintain a daily and confidential census of shelter clients including precise sleeping locations;
- R. operate in compliance with all applicable federal, state and local codes, laws and regulations; and
- S. have written policies and procedures for standards that address the following areas: access to shelter services, residential rights and responsibilities; program, personnel and facility operations; health and safety; food preparation and distribution; case management services; staff training; and HMIS and computer protocols.

#### 4. **Funding Formula Allocation**

From time to time MaineHousing will allocate a certain amount of funds to be distributed, subject to availability, to Emergency Shelters and Emergency Housing Providers (the "Funding Formula Allocation") pursuant to the following funding methodology:

- A. **Shelter Operations.** An amount equal to 40% of the Funding Formula Allocation will be disbursed among eligible agencies, 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 available statewide for the calendar year. Agencies will receive scheduled payments on a quarterly basis.
- B. **Rapid Re-housing, Long-term Stayer and Stabilization Share.** An amount equal to 40% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each agency providing staffing for Rapid Re-housing, Housing First and Housing Stabilization services operated by the agency will be eligible to receive a percentage equal to the agency's number of Clients Assessed and Stabilized, divided by the total number of Clients Assessed and Stabilized statewide in the previous quarter. Agencies are reimbursed for costs on a quarterly basis.

In order for an agency to achieve the full amount of the Rapid Re-housing, Long-term Stayer and Stabilization Share for which it is eligible, it will need to meet certain performance measures to be published at the time of allocation. The measures will be based on successful housing outcomes including housing prioritization assessment and housing stability plans.

Examples of Potential Performance:

- ✓ % of agency households screened for prioritization of housing options.



- ✓ % of agency households with a documented housing stability plan.

C. **Incentives and Performance Share.** An amount equal to 20% of the Funding Formula Allocation will be made available to eligible agencies that provide successful housing outcomes based on performance indicator data in HMIS (or elsewhere for providers of services to victims of domestic violence). Providers will receive a percentage of funding for each outcome performance measure that they meet. The amount of funding available for each performance measure will be the same. The percentage of funding a provider receives for each performance measure met will be equal to the number of clients served by the provider divided by the total number of clients served by all of the providers that meet the respective performance measure benchmark in the previous quarter, or in the previous calendar year for the recidivism benchmark. Agencies will receive a performance based payment on a semi-annual basis.

- Payments are based on performance of successful housing exits including housing retention, income and supports, and recidivism.

Examples of Performance Measures:

- ✓ % of agency household departures to permanent housing that retains housing for at least six months.
- ✓ % of agency household departures whose income increased between entry and departure through benefits, employment, education or training.
- ✓ % of decrease in average length of stay.

D. **One Time Adjustment**

1. Except as set forth in paragraph D.4., the 2017 second quarter Rapid Re-housing, Long-term Stayer and Stabilization payment will be calculated and paid in accordance with the definition of "Clients Assessed and Stabilized" in effect for the first six months of 2017, along with the first 2017 semi-annual Incentives and Performance Share payment and the 2017 second quarter Shelter Operations payment.
2. MaineHousing will calculate the payments for the first and second quarters of 2017 that each agency would have received if the definition of "Clients Assessed and Stabilized" had been as it is set forth in this rule.
3. Those agencies that receive less for the first two quarters of 2017 than they would have received if the new definition of "Clients Assessed and Stabilized" had been in effect since January 1, 2017, will receive an immediate one-time payment in an amount equal to the difference between the payments they received for the first and second quarters of 2017, and the payments they would have received if the new definition were effective January 1, 2017.

4. Those agencies that received more for the first quarter of 2017 than the amount they would have received if the new definition of “Clients Assessed and Stabilized” were effective January 1, 2017, have the following options:
  - (a) receive the payment described in paragraph D.1 and have a set-off against future payments under the Funding Formula Allocation in an amount equal to the difference between the payments they receive for the first two quarters of 2017, and the payments they would have received if the new definition were effective January 1, 2017; or
  - (b) receive an amount for the 2017 second quarter Rapid Re-housing, Long-term Stayer and Stabilization payment, the first 2017 semi-annual Incentives and Performance Share, and the 2017 second quarter Shelter Operations share equal to the amount they would have received if the new definition were effective January 1, 2017, less a set-off equal to the difference between the amount for first quarter 2017 that the agency received and the amount the agency would have received if the definition were effective January 1, 2017.

Grantees that receive allocations from federal funds, including Emergency Solutions Grant or HOME Investment Partnership Act funds, may be required to provide match from local or private funds.

#### 5. **Program Design**

- A. **Allocation.** In addition to the Funding Formula Allocation, MaineHousing may allocate other funds for Programs to assist Homeless Persons in accordance with applicable federal and state laws.
- B. **Programs.** MaineHousing shall design and offer Programs based upon available funds, restrictions attached to such funds, best practices, and needs. The funds may be used for shelter services and outreach activities; for Homeless Prevention and Rapid Re-housing activities such as rental assistance, housing search, mediation, outreach to property owners, legal services, security on utility deposits, and moving costs; and to support entities that offer an integrated array of services to meet the health, housing, employment, and other basic needs of Homeless Persons.
- C. **Program Guides.** MaineHousing shall publish on MaineHousing’s website a Program Guide with respect to each Program and shall distribute the Program Guide to parties who may be eligible for the Program and who have expressed an interest to MaineHousing in connection with the type of activities eligible under the Program, to parties MaineHousing selects for marketing the particular Program, and upon request.

## 6. Funding

- A. **Processing of Applications.** MaineHousing may process applications on a first come first served basis or may set an application due date described in the Program Guide for submission for review by a scoring committee.
- B. **Selection for Funding.** MaineHousing shall retain final discretion as to whether or not to offer funds to a particular Applicant for a particular purpose.
- C. **Availability of Funds.** Grants are always subject to the availability of funds.
- D. **Selection Criteria.** MaineHousing will set forth requirements and selection and approval criteria germane to a particular Program in the applicable Program Guide. Selection criteria may include but are not limited to the following:
  - 1. **Mainstream Resources**
    - a. how well the Applicant assists clients in the completion and submission of applications for Mainstream Resources; and
    - b. how well the Applicant captures the results of the actual benefits received.
  - 2. **Housing**
    - a. how well the Applicant assists clients in the completion and submission of applications for client appropriate housing;
    - b. how well the Applicant assists clients with housing searches;
    - c. how well the Applicant assists clients with landlord relationships; and
    - d. how well the Applicant has developed and maintained effective working relationships with local General Assistance offices in assisting clients with access and applications.
  - 3. **Health Care**
    - a. Applicant's relationships and links with one or more local health care providers who provide treatment for clients; and
    - b. Applicant's ability to provide or refer clients for mental health or substance abuse assessments and treatment.
  - 4. **Employment**
    - a. how well the Applicant assists clients with employment searches, including registering with Maine's Job Bank;

- b. how well the Applicant has developed and maintained effective working relationships with local CareerCenters in assisting clients; and
- c. how well the Applicant has developed and maintained effective working relationships with local employers or employment agencies in assisting clients.

5. **Prevention**

- a. Applicant's knowledge of and ability to refer clients to Pine Tree Legal Assistance for eviction prevention and other legal assistance; and
- b. Applicant's knowledge of and ability to actively refer clients to other local and regional resources, as appropriate.

7. **Data Collection Requirements**

In order to receive funding, eligible Applicants must do the following, unless prohibited by VAWA:

- A. Enter into a Business Associate Agreement to share certain Homeless Management Information System (HMIS) data with the other Homeless Shelters, Emergency Housing Providers, and homeless providers;
- B. Enter client data as prescribed by MaineHousing and HUD in accordance with requirements set forth in the HMIS Data Standards as revised, and the HEARTH Act, and ensure data completeness and quality in regard to program performance measures on a monthly basis and submit reports as prescribed by MaineHousing or HUD;
- C. Enter client data on outcomes and housing stability as prescribed by MaineHousing or HUD, which will be used for performance measurement, research, or evaluation;
- D. Have the capacity to enter client level data into Bowman Systems, LLC ServicePoint system, or its successors, the designated vendor for HMIS data entry; and
- E. Submit de-duplicated aggregate reports as required by MaineHousing.

Providers of shelter to victims of domestic violence are required to have the capacity of a comparable database that collects client level data and exports aggregate, de-duplicated data to MaineHousing in electronic form.

## 8. Reporting Requirements

- A. **General Reporting Requirements.** A grantee must provide client data prescribed by MaineHousing in a form or forms prescribed by MaineHousing to centralized data collection systems prescribed by MaineHousing as often as required by MaineHousing.
- B. **Missing Reports or Data.** A grantee must provide all reports and all required client data in accordance with the reporting requirements at the time of funds disbursement in order to receive funding.
- C. **Complete Report.** A report will not be considered submitted unless MaineHousing determines that the report is sufficiently complete and all client data is valid.
- D. **Final Reports.** A grantee must submit a final report showing its use of a grant within 30 days of the end of the term of the grant.

## 9. Monitoring and Assessment.

- A. MaineHousing will review for program compliance at least once a year at reasonable times.
- B. MaineHousing may copy and examine all of a grantee's records other than medical or other confidential client information protected by privacy laws.
- C. Grantees will maintain records sufficient to meet monitoring and auditing requirements of MaineHousing and HUD including without limitation daily rosters and client files.

In the case of a physical shelter program facility, MaineHousing will inspect to a minimum for compliance with HUD's Housing Quality Standards (HQS).

## 10. Rule Limitations

- A. **Other Laws.** If this rule conflicts with any provision of federal or state law, the federal or state law shall control.
- B. **Waivers.** Upon determination of good cause, the Director of MaineHousing or the Director's designee may, subject to statutory limitations, waive any provision of this rule. Each waiver shall be in writing and shall be supported by documentation of the pertinent facts and grounds.

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**BASIS STATEMENT:** This rule replaces in its entirety the current *Homeless Solutions Rule*. MaineHousing uses funds from certain federal and state resources to give grants to agencies for a variety of activities to assist people who are experiencing homelessness or the risk of becoming homeless. The rule governs MaineHousing's allocation of resources for such programs, program design, the publication and distribution of program guides, basic criteria for determining eligible recipients, and potential selection criteria. This replacement *Homeless Solutions Rule* amends the definition of Clients Assessed and Stabilized in order to ensure the fairest allocation of payments consistent with the overall intent of the rule.

**PUBLIC COMMENT:***Printed:*

Notice of Agency Rule-making Proposal (MAPA-3) was submitted to the Secretary of State for publication in the Wednesday, May 31, 2017 edition of the appropriate newspapers. Additionally, MaineHousing sent the proposed rule to Interested Parties on Tuesday, May 30, 2017, and published the proposed rule on its website on Wednesday, May 31, 2017.

MaineHousing held a public hearing on Tuesday, June 20, 2017 to receive testimony on its proposal to repeal and replace the Rule. The comment period was held open until 10:00 a.m. on Friday, June 30, 2017. MaineHousing received comments from Josh D'Alesso of Hope House PCHC and Rob Parritt from the City of Portland at the public hearing.

*Summary of Comments and Responses to Comments***Rob Parritt – Director of Oxford Street Shelter, Portland****Comments**

Mr. Parritt testified in favor of the new Rule. He also shared his appreciation for MaineHousing staff that worked diligently and quickly.

**MaineHousing response**

MaineHousing appreciates the support.

**Joshua D'Alesso – Manager of Homeless Initiatives for the Hope House, Bangor****Comments**

Mr. D'Alesso agreed with the testimony of Mr. Parritt and supports the rule as revised.

**MaineHousing response**

MaineHousing thanks Mr. D'Alesso for his support.

STATUTORY AUTHORITY: 30-A M.R.S.A. §4741.1, §4741.18, §4852, *et seq.*

EFFECTIVE DATE: JULY 11, 2017.



**MaineHousing**  
Maine State Housing Authority

# **Emergency Shelter and Housing Assistance Program**

## **2017 Program Guide & Application**

## Program Guide

### Overview & Purpose

The mission of MaineHousing is to assist Maine people in obtaining and maintaining quality affordable housing and services suitable to their housing needs. In carrying out this mission, MaineHousing provides leadership, maximizes resources, and promotes partnerships to develop and implement sound housing policy.

MaineHousing uses funds from certain federal and state resources to give grants to agencies for a variety of activities to assist people who are experiencing homelessness or at risk of becoming homeless. MaineHousing has allocated resources to the Emergency Shelter and Housing Assistance Program to be distributed according to the Funding Formula Allocation outlined in Section 4 of MaineHousing's Homeless Solutions Rule (the "Rule"). The Rule is available electronically at <http://www.mainehousing.org/about/rules-detail/homeless-programs-rule>.

This program guide outlines the process through which these funds will be distributed and the parameters of the activities that they can support. Capitalized terms have the same meaning as in the Rule unless context indicates otherwise.

The Emergency Shelter and Housing Assistance Program consists of three integral funding components: the Shelter Operations Share (Operations Share), the Rapid Re-housing/Long-term Stayer and Stabilization Share (Stabilization Share), and the Incentives and Performance Share (Performance Share). The Operations Share is available to agencies that have a fixed facility, and is for reimbursement for costs to operate the facility including staffing. The Stabilization Share is available to agencies to provide Navigator services necessary to help clients achieve permanent stable housing. The Performance Share is available to agencies as an incentive to achieve specific performance measure outcomes as outlined in this guide.

In addition, MaineHousing also provides rental subsidies on a first come, first served basis to eligible program participants. Rapid re-housing and permanent subsidies will be provided through Stability Through Engagement Program (STEP) funds and through Home to Stay Housing Choice Vouchers (HCV) funds. All Emergency Shelter and Housing Assistance Program funds must be targeted to individuals and families that meet the definition of homelessness outlined in 42 USC § 11302.

Housing vouchers and subsidies are always subject to the availability of funds.

### Funding Allocation

The Emergency Shelter and Housing Assistance Program funds will be distributed as follows:

- A. **Operations Share.** An amount equal to 40% of the funds will be 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 will be reimbursed on a quarterly basis.



- B. **Stabilization Share.** An amount equal to 40% of the funds will be disbursed among eligible agencies. Each agency providing staffing for Rapid Re-housing, Housing First and Housing Stabilization services meeting certain benchmarks will be eligible to receive a percentage of the Stabilization Share. This will be 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 will be reimbursed on a quarterly basis.
- C. **Performance Share.** An amount equal to 20% of the funds will be made available to eligible agencies that provide successful housing outcomes based on performance indicator data in HMIS (or in a comparable data base for providers of services to victims of domestic violence). The percentage of funding a provider receives for each performance measure met will be equal to the number of clients served by the provider divided by the total number of clients served by all of the providers that meet the respective performance measure benchmark in the previous six months. Agencies will receive a performance based payment on a semi-annual basis.

Grantees that receive allocations from federal funds, including Emergency Solutions Grant or HOME Investment Partnerships Act funds, may be required to provide a match from local or private funds.

Grants are always subject to the availability of funds.

#### **Eligible Applicants**

##### **To be eligible to receive funds, an Applicant must:**

- A. be a non-profit corporation in good standing in the State of Maine qualified for tax exemption under 501(c)(3) of the Internal Revenue Code or a municipal corporation;
- B. be eligible in accordance with the HEARTH Act;
- C. be a provider of homeless services with at least one (1) year of experience providing emergency housing, street outreach, Homeless Prevention or Rapid Re-housing activities;
- D. be a regular and active participant in the Maine Continuum of Care or the Portland Continuum of Care, in accordance with their respective governance charters and performance criteria;
- E. have board and or advisory board representation from Homeless Persons or formerly Homeless Persons who are involved in policy or planning of the organization;
- F. participate in Coordinated Entry Process by entering into Business Associate Agreements for sharing data and administering housing prioritization and assessment tools;

- G. have the administrative and financial management capacity necessary to administer and to account for the use of the applicable grant in accordance with the funding requirements;
- H. meet the objectives and strategic goals to end homelessness as outlined in the Maine Consolidated Plan;
- I. meet the objectives of this Program set forth in this Program Guide;
- J. participate in and meet the performance and reporting requirements of the Homeless Management Information System (HMIS) or a comparable database if the Applicant serves victims of domestic violence;
- K. not engage in any explicitly religious activities, such as worship, religious instruction, or proselytization, as part of the activities and services funded with any grant for activities or services covered by this Program Guide; and if religious activities are offered, they must be offered at a separate time or location from the activities and services covered by this Program Guide; and participation in those religious activities must be voluntary for persons receiving assistance with funds covered by this Program Guide;
- L. operate its programs free from discrimination on the basis of age, race, color, religion, national origin, physical or mental disability, sexual orientation, or gender in accordance with applicable federal and state fair housing laws;
- M. comply with Section 504 of the Rehabilitation Act of 1973, which prohibits disability discrimination in programs that receive HUD funds; and
- N. comply with Maine Housing requirements.

**Applicants that are Emergency Shelters or Emergency Housing Providers must additionally do the following:**

- A. provide access 365 days per year to assist Homeless Persons meet basic emergency shelter needs;
- B. provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities;
- C. provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner;
- D. treat all guests with dignity and respect, regardless of religious or political beliefs, cultural background, disability, gender identity or sexual orientation;
- E. provide shelter and housing services based upon a Rapid Re-housing or Housing First model;
- F. operate at Bed Capacity unless the homeless response system is experiencing demand insufficient to fill capacity;
- G. provide linkages and access to community resources such as health care, job readiness and

employment services, Mainstream Resources, and educational services to assist guests in achieving housing stability;

- H. assess guests for housing prioritization and services to enable mobility to permanent housing with adequate supports;
- I. inform guests of their rights and responsibilities, including specific shelter policies and house rules;
- J. accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources;
- K. have no lease requirements for guests;
- L. if serving families with children, provide space other than open dormitory style and do not require involuntary family separation for admission;
- M. provide separate accommodations for male and female consumers;
- N. protect the privacy and confidentiality of guests and their personal information;
- O. provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of guests, volunteers and staff;
- P. post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each guest;
- Q. maintain a daily and confidential census of shelter clients including precise sleeping locations;
- R. operate in compliance with all applicable federal, state and local codes, laws and regulations; and
- S. have written policies and procedures for standards that address the following areas: access to shelter services, residential rights and responsibilities; program, personnel and facility operations; health and safety; food preparation and distribution; case management services; staff training; and HMIS and computer protocols.

#### **Eligible Activities, Criteria & Disbursement**

##### **Eligible Activities for Operations Share**

The Operations Share may be used for:

The costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, supplies and staff necessary for the operation of the Emergency Shelter.

6

Minor rehabilitation if the building will be used as an Emergency Shelter for 3 years and meets safety, sanitation and environmental standards of the McKinney-Vento Act.

If an applicant indicates that funds will be used for minor rehabilitation, MaineHousing may need to conduct an environmental review of the intended project in compliance with HUD's environmental review rules before any Emergency Solutions Grant funds may be committed or expended for the project and before the applicant takes any further action with the project. As part of the environmental review, in certain instances, MaineHousing may need to publish required environmental notices and obtain HUD's prior approval before such funds can be awarded. In the event MaineHousing incurs out-of-pocket costs in conducting an environmental review, MaineHousing will require the applicant to reimburse MaineHousing for such costs. Depending on certain factors, the environmental review process can add both cost and time to a rehabilitation project.

After the close of each quarter in calendar year 2017, grantees will be paid a percentage of the Operations Share equal to the Emergency Shelter's Bed Capacity divided by the total Bed Capacity available statewide as reimbursement for operating expenses.

#### **Eligible Activities for Stabilization Share**

Stabilization Share funds must be used for staffing, including at least one staff designated and trained as the primary navigator (Primary Navigator) for your agency. The Primary Navigator will attend all necessary technical assistance and navigator services (Navigator Services) specific training. They will serve as the trainer for any additional staff currently providing navigator services within the agency and new hires throughout the year. This person will be the primary point of contact in regards to navigator services for clients, other agency navigator services providers, and MaineHousing staff. The Primary Navigator will coordinate messaging from MaineHousing staff to the rest of their agency in regards to Navigator services and program delivery requirements. Each provider must have at least one staff designated and trained to complete all Primary Navigator services for that agency.

Although each agency will have a Primary Navigator, other staff within the agency may provide navigator Services to eligible households. Navigator services are services that help program participant's move from homelessness to appropriate housing opportunities quickly and efficiently. Staff providing navigator services help client's accesses an array of mainstream services to meet the health, housing, employment, resources, and other basic needs of the client.

Staff providing navigator Services will focus their efforts on assisting the household in reaching housing stability. Navigator Services are time-limited and strategic; they should focus solely on the goal of achieving stable housing, and accessing mainstream resources. Clients who require additional case management services to reach their goals should be given ample opportunity and resources to access traditional case management services apart from navigator Services. Staff providing navigator Services will additionally have access to a set aside of Stability Through Engagement Program (STEP) and Housing Choice Voucher (HTS HCV) rental subsidies to be utilized on a first-come-first-serve basis as resources remain available. This is not the only housing resource available. Others include at market rent units, Shelter Plus Care, or Bridging Rental Assistance Program, and the appropriate housing resource should be utilized based upon the Housing Barrier Assessments.

**Components of Navigator Services include:**

1. Assessment and Housing Prioritization
2. Housing Identification
3. Rental Assistance
4. Stabilization Services

**These four components are progressive in design and provision of each will depend on the needs of the household.** Documentation of each component, when applicable to the household, must be present in the client file and within HMIS or a comparable database. Below is an example:

Navigator Service	Documentation in File	HMIS/Comparable Database
<b>Assessment and Housing Prioritization</b>	VI-SPDAT, Initial Housing Stability Plan, releases to or evidence of mainstream resources, and shelter-specific assessments	VI SPDAT Score, VI SPDAT Type & Date, Housing Stability Plan Field & Date, Universal Data and Program Specific Elements
<b>Housing Identification</b>	Housing Stability Plan, Contact Logs, and evidence of Renter Education activities	Services Corresponding with the Housing Stability Plan
<b>Rental Assistance</b>	Housing Search & Applications (if applicable)	Housing/Shelter Service Code
<b>Stabilization Services</b>	Updated Housing Stability Plan, End of Participation documentation, referrals and releases to mainstream resources	Exit Destination and Exit Assessment, 30 day check-in services

**Detail of the four components of Navigator Services:**

**1. Assessment & Housing Prioritization**

Eligible Stabilization activities include conducting an initial evaluation as required under 24 CFR 576.401(a) to determine the eligibility of applicants for navigator assistance and the amount and types of assistance needed to regain stability in permanent housing. Applicants who are found ineligible will be informed of the reason of their ineligibility and documentation will be included in the applicant's file. The initial evaluation must include, or can solely be based on the Vulnerability Index-Service Prioritization Decision and Assistance Tool (VI-SPDAT).

1. All clients should be administered the VI-SPDAT within the first 30 days of shelter stay. There are three types of available VI-SPDAT tools; Single (for adults), Family (for households with children), and Youth (youth aged 24 or younger). Navigators may choose whether they would rather use the Single VI-SPDAT tool or the Youth VI-SPDAT tool, as long as the preferred tool is used consistently. This score should be recorded in the Homeless Management and Information System (HMIS) or comparable database. Anyone administering the VI-SPDAT must watch the following training video prior to administering the tool.

- Single: <https://vimeo.com/126548635>
- Family: <https://vimeo.com/126591517>
- Youth: (Please watch the Single VI SPDAT video and apply the same principles)

2. Client eligibility for Navigator Services will be based on homeless verification and a VI-SPDAT score of 4 or greater. Note: Providers are encouraged to use their clinical skills and intuition in conjunction with the VI-SPDAT score when making determinations of appropriate housing interventions.

3. The provider will fully explain Navigator services to the client, including the focus and goal of quickly locating and accessing housing, the Housing Stability Plan, and the minimum 30 day check in requirements.

4. For applicants who are found ineligible for any reason, a copy of a letter explaining their ineligibility must be presented by the provider agency, to the applicant, informing them of the reason for their ineligibility in writing and documentation must be included in the applicant file. Ineligibility reasons could include: a VI SPDAT score less than 4, and/or inability to provide homeless documentation. The provider will inform the household of other mainstream resources that they may be eligible for and make referrals if applicable. (ex: General Assistance, DHHS, 211)

5. As a result of the VI SPDAT and the Continuum of Care (CoC) ending homelessness prioritization chart (attached), and any additional information from your shelters intake assessment, you will develop a Housing Stability Plan with the participant. This plan will detail the clients' needs within the domains including the housing resources you will utilize to assist the household in accessing housing. The utilization of available resources for clients must be consistent with the CoC ending homelessness prioritization chart.

6. All necessary elements will be entered into HMIS or comparable database.

7. A client file will be started with all necessary documentation. All files will be kept in a secure location.

## **2. Housing Identification:**

Once the VI SPDAT is completed the provider, will focus on housing identification, serving clients that are highest priority on the CoC ending homelessness prioritization chart first. Housing identification is the identification of available housing resources and a plan to achieve ongoing housing stability. This work must be detailed on the Housing Stability Plan (HSP).

Housing Stability Plans are individualized to the needs of the household and focused on housing stability and linking the household to mainstream resources. The HSP domains address the following possible participant needs; housing, income, health, transportation, education and legal issues. While a HSP will have all domains available, it may not be necessary for a household to utilize each of them. The provider should assist participants in addressing issues that may impede access to or retention of housing and connect participants to applicable Federal, State, and Local resources to help them to achieve success in their HSP.

- When working with clients, goals on the HSP should be achievable in 90 days or less. Goals which would require longer than a 90 day timeframe to achieve should be broken down to smaller goals.
- When completing or revising the HSP the service provider should also update income and the household budget if any changes have occurred. HSPs must be reviewed every 30 days and serve as

documentation of re-evaluation for continued program eligibility (including the collection of income documentation from the last 12 weeks) every 90 days.

- Goals which are long-term should cause the service provider to evaluate if the client should be referred to long-term case management, and may require coordination with other homeless service providers to ensure housing stability for the client.

**Additional Case Management Services and Warm Handoffs:**

If a household is identified as needing additional case management services the service provider should coordinate with the appropriate resource in order to facilitate a warm handoff prior to ending services. A warm handoff typically involves the household, the current provider, and the new provider. Ideally these individuals should meet and discuss any pertinent information and ensure services will be delivered that will address the household's needs. Warm handoffs may also occur between agency providers when households move from one area to another. This same general guideline should apply and accepting clients from another service provider is at the discretion of the receiving agency.

As a result of the VI-SPDAT and the development of the HSP, the provider and the household will determine which housing resource is appropriate for the households' unique needs, wants, and financial resources. With this information you will proceed with any relevant process required to access available housing. The VI-SPDAT scoring chart below will help you and the household identify the best type of support and housing intervention. You will additionally need to prioritize which clients receive housing resources first based on the CoC ending homelessness prioritization chart.

**VI SPDAT Scoring Chart:**

Single Adults 2,0:	Families 2,0:	Youth 1,0:
0-3: no housing intervention	0-3 no housing intervention	0-3: no moderate or high intensity services be provided at this time
4-7: an assessment for Rapid Re-Housing	4-8 an assessment for Rapid Re-Housing.	4-7: assessment for time-limited supports with moderate intensity
8+: an assessment for Permanent Supportive Housing/Housing First	9+ an assessment for Permanent Supportive Housing/Housing First	8+: assessment for long-term housing with high service intensity

The following is an example of appropriate housing interventions for each scoring category. Some housing resources can appear in multiple categories. This example is not all-inclusive. If no housing intervention is available in the higher a category, the service provider should work on the next available resource until the household's immediate housing need is met.

**Housing Resources Chart:**

No Housing Intervention	Assessment for Rapid Re-Housing	Permanent Supportive Housing or Housing First
<ul style="list-style-type: none"> <li>•Provide a copy of the Maine Housing Guide</li> <li>•Give contact information for the local General Assistance Office</li> <li>•Provide information on accessing Mainstream Resources</li> <li>•Refer household to Maine Housing Search.org</li> <li>•Refer household to 211</li> </ul>	<ul style="list-style-type: none"> <li>•Statewide Subsidized Housing through any/all Housing Authorities</li> <li>•Project Based Subsidies (Ex. LIHTC)</li> <li>•Stability Through Engagement Program (STEP)</li> <li>•Housing Choice Vouchers Family Unification Program</li> <li>•Family Self Sufficiency Program</li> <li>•Fair Market Rent</li> </ul>	<ul style="list-style-type: none"> <li>•Shelter Plus Care (SPC)</li> <li>•Housing Choice Vouchers (Non-Elderly Disabled)</li> <li>•Bridging Rental Assistance Program (BRAP)</li> <li>•Veteran Affairs Supportive Housing (VAISH)</li> <li>•Housing Opportunities for Persons with HIV/AIDS (HOPWA)</li> <li>•Supportive Housing Programs</li> </ul>

**3. Rental Assistance:**

As is detailed above, providing rental assistance can take many forms depending on the housing intervention you and the household decide to pursue. In general you will complete the following tasks with the household:

1. Assist the participant with housing search and securing housing.
2. Address potential barriers to client or landlord participation such as the type of rental assistance or tenant qualifications.
3. Continuously recruit landlords that can and will provide housing opportunities for people experiencing homelessness. Proactive landlord recruitment will help clients move into housing faster, as well as help create potential future housing opportunities.
4. Continue to address any issues that may impact housing stability after the household secures housing.

The following resources will assist you in your housing search:

**The Maine Rental Housing Guide:**

The Maine Rental Housing Guide is designed to provide information pertaining to subsidized housing, housing-related resources, and Maine rental housing laws. Information and local contacts for the following programs: subsidized housing providers and local housing authorities, Bridging Rental Assistance Program (BRAP), Shelter



Plus Care (SPC), Domestic Violence Providers, Low- income Home Energy Assistance Program (LIHEAP), an overview of Maine Landlord/tenant laws, General resources for assistance and more!  
<http://www.mainehousing.org/docs/default-source/rental/rental-housing-guide.pdf?sfvrsn=28>

#### Maine Housing Search:

MaineHousings' free rental listing service. It's fast and easy to use and includes detailed listings with pictures, maps, and more. Listings are updated daily.  
<http://www.mainehousingsearch.org/>

#### 4. Stabilization Services

The following services need to be extended to all households receiving Navigator services regardless of what types of housing they are in. Except where prohibited by Violence Against Women Act (VAWA) and the Family Violence Prevention and Services Act (FVPSA)). The Navigator must develop an individualized plan to help that program participant retain permanent housing after the ESHAP assistance ends. These requirements are intended to help ensure that the ESHAP funded assistance will be effective in helping program participants regain long-term housing stability and avoid relapses into homelessness.

MaineHousing will monitor that providers who serve households who are utilizing the VAWA exclusion, while in STEP or HTS HCV, are reaching out and offering Navigator Services as needed at least every 30 days.

The following services need to be extended to all households receiving Navigator services regardless of what types of housing they are in. If the household is no longer receiving these services they should be exited from the ESHAP program.

1. Monthly participant meetings at least every 30 days. Meetings should occur in person until housing stability is achieved, or if issues arise that could affect housing stability.
2. New Housing Stability Plans every 90 days, including updated income documentation.
3. Enter all required data elements into HMIS or comparable database. Emergency shelter Navigators should input all data within 5 calendar days.
4. Once a household no longer requires Navigator Services, the Exit Determination and Exit Assessment must be completed in HMIS or comparable database. If the household is enrolled in STEP an End of Participation Document must be completed at the time of the final Housing Stability Plan review and sent to Program Officer.

Stabilization services help a program participant move from homelessness to appropriate housing, quickly and efficiently, and include ongoing housing stabilization services for up to 12 months based on the participant's needs.

Navigator Services additionally include, but are not limited to the following:

- Data collection, assessment and housing prioritization,
- Development of housing stability plans,
- Linkages with Mainstream Resources and income resources,
- Assistance with basic needs,
- Housing search and placement activities, and following clients beyond shelter to ensure housing stability.

- Administer the VI-SPDAT Assessment and record scores in HMIS to determine housing barriers, needs, and preferences.
- Determine eligibility of clients.
- Develop a Housing Stability Plan based on the VI SPDAT and general assessment.
- Complete the application process for available housing opportunities.
- Provide warm handoffs to partner agencies where clients are being directed to apply for housing assistance or are receiving case management services.
- Perform outreach to and negotiations with landlords.
- Assist with submitting rental applications and understanding leases.
- Assist with obtaining utilities and making moving arrangements.
- Coordinate resources including obtaining federal, state, and local mainstream benefits.
- Conduct re-evaluations required under §576.401(b) and monitor and evaluate program participant progress, including updating a Housing Stability Plan every 90 days.
- Assist with mediation between the program participant and the owner or person(s) with whom the program participant is living to prevent the program participant from losing permanent housing.
- Assist with credit and budget counseling to assist program participants with critical skills related to household budgeting.
- Provide Renter Education Program curriculum consisting of; landlord & tenant rights and responsibilities, maintenance and care of your home; standards of cleanliness.
- Recruit landlords that will provide housing opportunities for people experiencing homelessness.
- Address potential barriers to client or landlord participation such as the type of rental assistance or tenant qualifications.

Stabilization Share funds may also pay for activities, including occupancy costs, trainings and data collection activities for staff to carry out the above activities. Any mileage reimbursement charged must be substantiated with documentation containing information about the purpose of the mileage occurred, who it was for and when it took place.

Navigator Services may be reimbursed with Emergency Solutions Grant funds for not more than 30 days during the period the program participant is seeking permanent housing and not more than 12 months during the period the program participant is living in permanent housing. If the client requires services past this timeframe, Navigators can continue to provide services with other resources.

Applicants awarded the Stabilization Share will have access to STEP and HTS HCV rental subsidies on a first-come-first-serve basis as resources remain available.

To be eligible to receive funds from the Stabilization Share allocation to pay for eligible activities, providers must meet all three benchmarks set forth below:

**Stabilization Share Program Outcomes Matrix**

Program Outcomes	Benchmark
The ESHAP recipient will complete an initial assessment which must include the VI SPDAT within 30 days of a client's entry to their program.	75 – 100% of clients are assessed within 30 days.
The ESHAP recipient will ensure that clients who score greater than a 3 have a Housing Stability Plan (HSP).	75 – 100% of clients with assessment scores greater than 3 have a HSP.
The ESHAP recipient will ensure that current clients have received a contact and service at least every 30 days.	90 – 100% of current clients had a 30 day service.

To align more fully with the Homeless Rule, the percentage of funding a provider may receive will be equal to the provider's number of clients assessed, stabilized, and housed divided by the total number of clients assessed, stabilized, and housed of all participating providers that meet all three benchmarks.

Clients that are included in this calculation are those that have exited homelessness and entered into permanent housing for each quarter. Clients considered permanently housed will fall under the following headings in HMIS or comparable database:

- Rental by client, with VASH subsidy (HUD)
- Rental by client, no ongoing housing subsidy (HUD)
- Permanent housing for formerly homeless persons (HUD)
- Owned by client, with ongoing housing subsidy (HUD)
- Owned by client, no ongoing housing subsidy (HUD)
- Rental by client, with other ongoing housing subsidy (HUD)
- Rental by client, with GPD TIP subsidy (HUD)
- Transitional housing for homeless persons (including homeless youth) (HUD)
- Staying or living with family, permanent tenure (HUD)
- Staying or living with friends, permanent tenure (HUD)

After the close of each quarter in calendar year, providers will be paid such percentage as reimbursement for navigator services costs.

**Stability Through Engagement Program**

The Stability Through Engagement Program (STEP) may be funded under the HOME Investments Partnerships Program regulations at 24 CFR Part 92 ("FedHOME regulations"). Grantees will use the funds for rental assistance, utility deposits and security deposits to rapidly re-house homeless families and individuals.

STEP offers rental assistance for up to 12 months if the resource is still needed, to individuals or families who are homeless and whose annual income is at or below 60% of area median income for their household size. Income includes gross household income from all sources. The rules under HUD's Section 8 Program will be used to determine annual income and area median income. Each participant will be required to pay 30% of their adjusted total household income for rent. STEP is a Rapid Re-housing strategy and guidelines are further detailed in the STEP administrative Plan.

Extensions must be requested no less than 60 days prior to the household's end of participation. If an ESHAP agency wishes to continue a STEP participant beyond the initial 12 month term, the agency must document why the participant was not able to achieve housing stability within the initial term, how the extension will allow the participant to achieve housing stability, and what specific steps the agency will take to ensure that the participant achieves housing stability during the extension. The agency must also commit to providing all necessary ongoing navigator services required to ensure the participant achieves housing stability prior to the end of any extension. These services must be provided for the duration of any extension, unless the participant is exited from STEP. Funding to provide these services cannot be charged to MaineHousing. This will additionally require new leases, HQS inspections and HAP contracts. Please refer to the STEP 2017 Administrative Plan for details.

The STEP Program should be offered without preconditions, such as: employment, income, mainstream resources, sobriety, good credit or clean criminal history. STEP applicants who are found ineligible will be informed of the reason for their ineligibility and documentation will be included in the applicant file.

#### **STEP Application Process:**

1. The provider will complete the STEP Application Packet which includes: the STEP Application Checklist, the STEP Application, MaineHousing STEP Authorization for Release of Information; Declaration of Section 214 status and the DHHS Release forms Housing Stability Plan, Homeless Verification, copy of photo ID and Social Security card and Income Verification or Statement of Zero Income.
2. Enter client information in HMIS & upload in Service Point or upload in ShareFile for non- HMIS participating agencies.
3. Email the STEP Helpdesk the clients Service Point ID or Sharefile file name. The Program Officer will review the application and run the necessary background checks.
4. The Program Officer will inform the Primary Navigator if the client meets eligibility and if so, the Navigator can proceed to a Coupon Issuance Briefing.
5. If the client is ineligible the Program Officer will issue a denial letter that will be sent to the provider and kept in the clients file. The client will have the opportunity to appeal this decision.
6. The client file will be updated and the paper file will be organized according to the Client File Checklist.
7. Enter all required data and the STEP assessment into HMIS or comparable database.

### **STEP Coupon Issuance and Client Briefing**

When a client has been found eligible for STEP, the Navigator will conduct a Coupon Issuance Briefing (Briefing). A Briefing involves reviewing program rules, requirements and expectations. The Navigator will review all the documents in the Briefing Packet with the Participant and will obtain signatures and other pertinent information on several documents with the Participant. Each document will be explained in detail. When the briefing has been completed the Participant will retain the Briefing Packet with copies of the documents that have been completed.

The provider will upload the following to HMIS or ShareFile:

- STEP Coupon
- Updated income documentation

The Coupon Issuance Briefing Packet consists of the following (items with an \* will be kept in the clients file for no less than 5 years):

- Obligations While in the STEP program\*
- STEP Coupon\*
- Payment Standards
- Utility Allowances
- Key steps to using your STEP Coupon
- Landlord Packet:
  - Landlord letter
  - Program Summary
  - Request for Unit Approval
  - Lease Addendum
  - Lead Based Paint Disclosure Form (State and Federal)
  - Radon Disclosure
  - W-9
  - Blank sample lease
- A Good place to live
- Protect Your Family from Lead in Your Home
- Fair Housing
- Bed Bugs Fact Sheet
- Radon in Rental Housing
- Are you a Victim of Housing Discrimination?
- Employment Verification Form\*
- Certification of Zero Income Form\*

### **STEP Security & Utility Deposits**

The Program may provide a security and utility deposit to assist participants in securing housing. The maximum amount provided will be a one-time utility deposit and a security deposit no greater than one month's rent. Utility deposit assistance may be used only for utilities permitted under the Section 8 utility allowances, which include electricity, gas, sewer and water, but do not include telephone and cable television. A utility deposit may be provided under the STEP Program only if:

1. The tenant family has been issued a rental assistance coupon and;
2. The unit selected by the tenant family has passed inspection, and
3. The tenant family has entered into a lease with the owner.

Documentation from the utility company will be necessary in order to receive the utility deposit.

### **STEP Move-in and Lease Up**

1. Submitting the Request for Unit Approval (RFUA):

The Navigator receives the following completed documents from the landlord and tenant:

- RFUA
- Lease Addendum
- Lead Base Paint Disclosure Forms
- Maine Radon Gas Disclosure Statement
- W-9
- Sample Lease

The Navigator will review each item for completeness, ensuring they meet program requirements, this includes:

- Ensuring the rent does not exceed the Maine Housing voucher payment standard for the location and size of household. The voucher payment standard includes the contract rent plus utilities the tenant would be responsible for. Review utility sheets to ensure that total rent=contract rent+utilities.
- Determining if total rent is within payment standards for the coupon issued to the household.
- Determining if the paperwork:
  - Is incomplete or does not meet program requirements;
  - Indicates the unit exceeds voucher payment standards
  - Lease is disagreeable to the client.

If any of these occur then the Navigator will contact the landlord and/or tenant to renegotiate.

- Once this review is completed, the Navigators will submit the paperwork through ServicePoint or (ShareFile for non-HMIS participating agencies) and send an email to the STEP Helpdesk requesting an inspection by Maine Housing HQS inspectors.

### **STEP Program Completion**

The maximum term of STEP Coupon Assistance is 12 months, unless an extension has been granted. At any time that the STEP funding is no longer necessary, or the participant is no longer eligible within those 12 months, the STEP funding can cease. In these cases Landlords will be given a minimum of 30 days' notice. When clients end participation with the STEP program Navigators service providers must submit a STEP End of Participation (EOP) Document. The information on the form is required. It will need to be completed and returned via the STEP Help Desk.

### **Housing Choice Vouchers (HCV)**

Home to Stay Housing Choice Vouchers (HTS HCV) will be administered by MaineHousing's HCV Department according to federal regulations and MaineHousing policies detailed in the current Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs. The Administrative Plan is available on the MaineHousing website at the following link:

<http://www.mainehousing.org/programs/services/rental/rentaldetail/HousingChoiceVouchers>

MaineHousing makes the final decision on program eligibility, which requires a determination that the current or past behavior of household members does not include activities which are prohibited by HUD or MaineHousing. Upon admission, each family will be required to pay between 30% to 40% of their adjusted total household income for rent each month.

HTS HCV rental assistance is for permanent housing only. Emergency, temporary or transitional housing is not eligible for HTS HCV rental assistance.

Providers may access HTS HCV rental assistance only to the extent MaineHousing has HTS HCV rental assistance available.

### **Criteria for Performance Share**

Funds will be made available to eligible agencies that provide successful housing outcomes on performance measure indicator data in HMIS (or elsewhere for providers of services to victims of domestic violence). Applicants must designate an HMIS point of contact. This person will be the central contact for Maine HMIS staff when it comes to resolution of data integrity issues. The performance measures are in accordance with the HEARTH Act and are set forth below.

Performance Measures	Low Barrier Shelter Benchmark	Single Adult Shelter Benchmark	Family Shelter Benchmark	Teen Shelter Benchmark	Domestic Violence Shelter Benchmark
1. Percentage of clients exiting to permanent housing in the previous six months.	5% or greater	30% or greater	30% or greater	5% or greater	30% or greater
2. Percentage of clients who returned to homelessness within 6 months of exiting to permanent housing within the previous six months.	15% or less	15% or less	15% or less	15% or less	15% or less

**Performance Measures Matrix for the Performance Share**

Half of the funds allocated to the Performance Share will be divided among providers that meet or exceed their benchmark for percentage of households exiting to permanent housing during the previous six months. The other half of the funds allocated to the Performance Share will be divided among providers that do not meet or exceed their benchmark for percentage of clients who return to homelessness within 6 months of exiting to permanent housing.

The percentage of funding a provider receives for each performance measure met will be equal to the number of clients served by the provider divided by the total number of clients served by all of the providers that meet the respective performance measure benchmark.

The performance share shall be disbursed on a semi-annual basis. Funds may be used for any purpose consistent with the provider's mission.

Performance measure one will be based on the percentage of clients exiting to permanent housing from January 1 to June 30 or July 1 to December 31, as applicable. (Performance Period).

Performance measure two will be based upon the percentage of clients who returned to homelessness during the Performance Period being measured within six months of exiting to permanent housing.

Funds may be used for any purpose consistent with the provider's mission.

**Monitoring Compliance and Enforcement**

**Monitoring**

- A. MaineHousing will review for program compliance at reasonable times.
- B. MaineHousing may copy and examine all of a grantee's records other than medical or other confidential client information protected by privacy laws.



- C. Grantees will maintain records sufficient to meet monitoring and auditing requirements of Maine housing and HUD including without limitation to daily rosters and client files.
- D. Grantees will adhere to uniform administrative requirements as outlined in the code of federal regulations 24 CFR section 85, and retain program records for no less than 5 years after participation ends.
- E. Grantees will maintain timesheets for staff salaries being charged to the Emergency Shelter and Housing Assistance Program that contain the amount of time spent on grant activities by the program.
- F. In the case of a physical shelter program facility, MaineHousing will inspect to a minimum for compliance with HUD's Housing Quality Standards (HQS) and other Maine housing requirements.
- G. MaineHousing staff will provide grantees with training, monitoring and oversight to ensure program integrity.

**Compliance Enforcement**

Funding is subject to a grantee's compliance with this guide, a grant agreement with MaineHousing, and with all applicable federal, state and local laws and ordinances as may be amended from time to time including, without limitation, the Rule, the Maine Housing Authorities Act, 30-A M.R.S.A., §4701, et. seq., as amended (the "Act") the McKinney-Vento Act, as amended by the HEARTH Act.

MaineHousing will review the performance of each grantee in carrying out its responsibilities at least once every year and as otherwise determined by MaineHousing. In conducting performance reviews, MaineHousing will rely primarily on information obtained from the records and reports from grantees, as well as information from monitoring reviews, audit reports, and HMIS.

If MaineHousing determines that a grantee has not complied with a program requirement, MaineHousing will give the grantee notice of this determination. MaineHousing will give the grantee an opportunity to demonstrate, within the time prescribed by MaineHousing that grantee has complied with program requirements.

If the grantee fails to demonstrate to MaineHousing's satisfaction that the activities were carried out in compliance with program requirements, MaineHousing will take one or more of the following actions:

- A. Instruct the grantee to submit and comply with proposals for action to correct, mitigate, and prevent noncompliance with program requirements;
- B. Suspend disbursement of funds for some or all activities;
- C. Reduce or terminate the remaining grant and reallocate those funds to other grantees;
- D. Disqualify grantee from participation in the Performance Share; or
- E. Require grantee to repay grant funds.

## Application

### Application Submission Process

Applications are due no later than **Monday, December 5, 2016**. If you have questions as you prepare your Application, please e-mail [SHLTAPP@mainehousing.org](mailto:SHLTAPP@mainehousing.org).

Uploading and submitting your Application and any supporting documents is simple. Just click on the following secure link: <https://mainehousing.sharefile.com/f/612769d447a3456d92a920db06b08549> Applications must be uploaded as a single document.

Applications that in MaineHousing's sole judgment are incomplete and/or missing required documents will not be eligible for consideration. For an application to be considered complete, it must contain all components within the following sections:

- Application Questions
- Emergency Shelter or Emergency Housing Provider Minimum Threshold Requirements
- Required Attachments & Exhibits

MaineHousing will use the following process to determine which applicants are eligible for funding:

- a. Staff will review each application to ensure that it is complete, including the submission of the required attachments. Only complete applications which have included all required attachments will be considered.
- b. Staff will determine if the application meets the minimum threshold requirements.
- c. Applicants who are eligible for funding will be issued a grant agreement specifying terms and conditions of the funding award. Successful applicants will be expected to submit a signed Data Sharing Agreement and a Certification of Local Approval verifying that the municipality in which the program will run will not be seeking any funds from the Emergency Solutions Grant program to perform similar activities. A grant agreement will not be fully executed until this certification and any other documents that may be required by MaineHousing are received.
- d. Applicants who do not meet threshold requirements and have submitted their application within the time allowed will be notified in writing.

Application Timeline	
Task	Date
Deadline for Completed Applications	December 5, 2016
Award Notification to Grantees	December 19, 2016
Executed Grant Agreement	December 30, 2016
Mandatory Primary Navigator Trainings in Augusta	January 11 & 12, 2017
Program Year	January 1, 2017 – December 31, 2017

**Application Questions: This is a fillable form and will need to be completed in no more than 1000 characters, 12 point, single spaced, in the space provided. This application must be electronically submitted as a PDF file.**

1. Description of Applicant Organization (1000 characters)

2. Narrative describing organizational capacity (1000 characters)

3. Maine Housing ESHAP funds are developed to be utilized at Maine shelters to support activities that best meet the needs of all Emergency Shelters or Emergency Shelter Provider served by the funding; as a result most recipients have specific local concerns, issues, and/or populations that cannot be assisted within the parameters of this funding. Please describe any local concerns or issues not supported through this funding and what local initiatives or resources will or could be utilized to support.

4. Please list the shelter operating hours, and your current "turn-away" policy or process once you reach Bed Capacity? If you are a non- DV provider, are you utilizing Call Point in HMIS to record "turn-away" data?

YES

NO

(DV provider only)

5. What internal training resources will be offered to Primary Navigators?

6. Do you regularly share clients with another Emergency Shelter or Emergency Housing Provider? If yes, please provide the policy or process currently in place for ensuring the client's needs are being met?

YES

NO

7. Do you operate a fixed facility?

YES  NO

a. Please list all fixed facilities by Shelter Name and Address

Site/Shelter Name	Physical Address (Non DV Only)

b. For site that you are applying for funding for please answer the following:

	Site:	Site:	Site:	Site:
Target Population(s)				
Number of Beds for Single Adult Individuals				
Number of Beds for Families with Children				
Number of Family Units				
Number of Beds designated for Youth				
Number of Beds designated for Chronically Homeless				
Number of Beds designated for Veterans				

c. How many beds will you be reporting at each facility on the 2017 housing inventory chart?

8. Do you anticipate serving clients who meet HUD's homeless definition who are not able to access your shelter for various reasons? If yes, please explain what services you plan to provide and why in the box below:

YES  NO

8. Do you have experience providing Street Outreach, Homelessness Prevention, or Rapid Re-Housing activities for at least one year?

YES

NO

9. If applying for the first time please describe these activities. If you have previously applied for shelter funding at MaineHousing please skip this question. (1000characters)

10. Have you had any written citizen complaints in the last 12 months? If yes, please explain below:

YES

NO

	<b>Emergency Shelter or Emergency Housing Provider Minimum Threshold Requirements</b>	<b>Yes</b>	<b>Not Applicable</b>
1	Staff that will be providing Navigator services will attend a two-day Stay training in Augusta, Maine on January 11th and 12th, 2017.	<input type="radio"/>	<input type="radio"/>
2	Our funding recipient agency is a regular and active participant in the Maine Continuum of Care or the Portland Continuum of Care, in accordance with their respective governance charters and performance criteria.	<input type="radio"/>	<input type="radio"/>
3	We have the administrative and financial management capacity necessary to administer and to account for the use of the applicable grant in accordance with the funding requirements.	<input type="radio"/>	<input type="radio"/>
4	We will meet the objectives and strategic goals to end homelessness as outlined in the Maine Consolidated Plan. <a href="http://www.maine.gov/deed/meoed/news/single.shtml?id=629725">http://www.maine.gov/deed/meoed/news/single.shtml?id=629725</a>	<input type="radio"/>	<input type="radio"/>
5	We will meet the objectives of the Program under which we are applying as set forth in the applicable Program Guide.	<input type="radio"/>	<input type="radio"/>
6	We will participate in and meet the performance and reporting requirements of the Homeless Management Information System (HMIS) or a comparable database if the Applicant serves victims of domestic violence.	<input type="radio"/>	<input type="radio"/>
7	We will not engage in any explicitly religious activities, such as worship, religious instruction, or proselytization, as part of the activities and services funded with any grant for activities or services covered by this rule; and if religious activities are offered, they must be offered at a separate time or location from the activities and services covered by this rule; and participation in those religious activities must be voluntary for persons receiving assistance with funds covered by this rule.	<input type="radio"/>	<input type="radio"/>
8	We will operate our programs free from discrimination on the basis of age, race, color, religion, national origin, physical or mental disability, sexual orientation, or gender in accordance with applicable federal and state fair housing laws.	<input type="radio"/>	<input type="radio"/>
9	We will comply with Section 504 of the Rehabilitation Act of 1973, which prohibits disability discrimination in programs that receive HUD funds.	<input type="radio"/>	<input type="radio"/>
10	We will comply with all Maine housing requirements.	<input type="radio"/>	<input type="radio"/>
11	We will provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities.	<input type="radio"/>	<input type="radio"/>



12	We will provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner.	<input type="radio"/>	<input type="radio"/>
13	Homeless Consumer participation: We will involve homeless individuals and families, to the maximum extent practicable: In constructing, renovating, maintaining, and operating facilities assisted under ESG; In providing assistance under ESG; and In providing services for occupants of facilities assisted under ESG?  Note: This involvement may include employment or volunteer services.  [24 CFR 576.405 (c); 24 CFR 576.500(a)]	<input type="radio"/>	<input type="radio"/>
14	We will treat all guests with dignity and respect, regardless of religious or political beliefs, cultural background, disability, gender identity or sexual orientation.	<input type="radio"/>	<input type="radio"/>
15	We will provide shelter and housing services based upon the Rapid Re-housing, long-term stay or Housing First models.	<input type="radio"/>	<input type="radio"/>
16	We will operate at Bed Capacity unless the homeless response system is experiencing demand insufficient to fill capacity.	<input type="radio"/>	<input type="radio"/>
17	We will provide linkages and access to community resources such as health care, job readiness and employment services, Mainstream Resources, and educational services to assist guests in achieving housing stability consistent with the CoC Ending Homelessness Prioritization	<input type="radio"/>	<input type="radio"/>
18	We will assess guests for housing prioritization and services to enable mobility to permanent housing with adequate supports.	<input type="radio"/>	<input type="radio"/>
19	We will inform guests of their rights and responsibilities, including specific shelter policies and house rules.	<input type="radio"/>	<input type="radio"/>
20	We will accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources.	<input type="radio"/>	<input type="radio"/>
21	We have no lease requirements for guests.	<input type="radio"/>	<input type="radio"/>
22	If serving families with children, we will provide space other than open dormitory style and do not require involuntary family separation for admission.	<input type="radio"/>	<input type="radio"/>

23	We will provide separate accommodations for male and female consumers.	<input type="radio"/>	<input checked="" type="radio"/>
24	We will protect the privacy and confidentiality of guests and their personal information.	<input type="radio"/>	<input type="radio"/>
25	We will provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of guests, volunteers and staff.	<input type="radio"/>	<input type="radio"/>
26	We will post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each guest.	<input type="radio"/>	<input type="radio"/>
27	We will maintain a daily and confidential census of shelter clients including precise sleeping locations.	<input type="radio"/>	<input type="radio"/>
28	We will operate in compliance with all applicable federal, state and local codes, laws and regulations.	<input type="radio"/>	<input type="radio"/>
29	We will act in accordance with the restrictions on lobbying in 31 U.S.C. 1352 and implementing regulations in 24 CFR Part 87, which require that no federally appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of a federal 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 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.	<input type="radio"/>	<input checked="" type="radio"/>
30	We will prohibit any employee, agent, consultant, officer, or elected or appointed official of an applicant, who exercises or has exercised any functions or responsibilities with respect to assisted activities, or who is in a position to participate in a decision-making process or gain inside information with regard to such activities, from obtaining a personal or financial interest or benefit from the activity, or from having an interest in any contract, subcontract or agreement with respect thereto, or the proceeds there under, either for him or herself or those with whom he or she has family or business ties, during his or her tenure or for one year thereafter.	<input type="radio"/>	<input checked="" type="radio"/>

Executive Director Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Required Attachments & Exhibits			
	Attachments & Exhibits	Check if Attached	Not Applicable
<b>A.</b>	Certification Regarding Lobbying	<input type="radio"/>	<input type="radio"/>
<b>B.</b>	Please attach documentation of Homeless Consumer participation. This must detail the involvement homeless individuals and families, to the maximum extent practicable: a. In constructing, renovating, maintaining, and operating facilities assisted under ESG; b. In providing assistance under ESG; and c. In providing services for occupants of facilities assisted under ESG?  Note: This involvement may include employment or volunteer services.	<input type="radio"/>	<input type="radio"/>
<b>C.</b>	ESG 2017 Minimum Data Requirements and Participation Certification	<input type="radio"/>	<input type="radio"/>
<b>D.</b>	Applicant Conflict of Interest Disclosure Form	<input type="radio"/>	<input type="radio"/>
<b>E.</b>	2017 Shelter Budget Form	<input type="radio"/>	<input type="radio"/>
<b>F.</b>	Certification of Local Approval for Nonprofit organizations	<input type="radio"/>	<input type="radio"/>
<b>G.</b>	Homeless Initiatives Contact Form	<input type="radio"/>	<input type="radio"/>
<b>H.</b>	Documentation of 501(c)(3) status.	<input type="radio"/>	<input type="radio"/>
<b>I.</b>	Most recent audit completed by an outside firm and accompanying management letter (A 133 or comparable)	<input type="radio"/>	<input type="radio"/>
<b>J.</b>	Corporate Resolution from Board of Directors to approve application submission.	<input type="radio"/>	<input type="radio"/>
<b>K.</b>	An organizational chart showing titles and lines of authority for all individuals with any role in approving or recording of financial transactions.	<input type="radio"/>	<input type="radio"/>

<b>L.</b>	List of agency board of directors outlining who each member represents.	<input checked="" type="radio"/>	<input type="radio"/>
<b>M.</b>	<p>If any of your shelter written policies and procedures for standards that address the following areas have changed since your 2016 application submission please include it. If you have had no policy changes in the 2016 program year we will refer to the documents we have on file:</p> <p>Applicant organization's non-discrimination policy with a paragraph narrative indicating how the general public will be informed of the policy.</p> <p>Client Grievance Policy</p> <p>Client Termination Policy</p> <p>Evidence of policies and procedures that outline approval authority for financial transactions and guidelines for controlling expenditures.</p> <p>Procurement</p> <p>Access to shelter services Residential rights and responsibilities</p> <p>Program Personnel and facility operations</p> <p>Health and safety</p> <p>Food preparation and distribution</p>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
<b>N.</b>	HMIS and Data Security protocols	<input type="radio"/>	<input type="radio"/>
<b>O.</b>	Fair Housing Policies	<input type="radio"/>	<input type="radio"/>
<b>P.</b>	Drug-free workplace policy	<input type="radio"/>	<input type="radio"/>

**Section 4: Documents that will be required at Grant Execution.**

Data Sharing Agreement

## **MAINEHOUSING NONDISCRIMINATIONNOTICE:**

*MaineHousing does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, national origin, ancestry, physical or mental disability, age, familial status or receipt of public assistance in the admission or access to or treatment in its programs and activities. In employment, MaineHousing does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, national origin, ancestry, age, physical or mental disability or genetic information. MaineHousing will provide appropriate communication auxiliary aids and services upon sufficient notice. MaineHousing will also provide this document in alternative formats upon sufficient notice. MaineHousing has designated the following person responsible for coordinating compliance with applicable federal and state nondiscrimination requirements and addressing grievances: Louise Patenaude, Maine State Housing Authority, 353 Water Street, Augusta, Maine 04330-4633, Telephone Number 1-800-452-4668 (voice in state only), (207) 626-4600 (voice) or Maine Relay 711.*

**ATTACHMENT A. CERTIFICATION REGARDING LOBBYING**

Certification for Contracts, Grants, Loans, and Cooperative Agreement

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and 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 in connection with this Federal contract, Grant, Loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-L.L.L., "disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose accordingly).

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-L.L.L., "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature:

Typed Name:

\_\_\_\_\_

\_\_\_\_\_

Title:

Address:

\_\_\_\_\_

\_\_\_\_\_

Date:

\_\_\_\_\_

**ATTACHMENT C: MINIMUM DATA REQUIREMENTS**

Please review the most current data requirements <https://nmlchmis.files.wordpress.com/2016/09/adca-process-ah-se-2016.docx> and complete the following:

CERTIFICATION OF COMPLIANCE

I, \_\_\_\_\_, in my capacity as Executive Director of \_\_\_\_\_, do hereby  
(Name) (Agency)  
certify to comply with the data entry requirements outlined within this form and will record services provided to our clients. This data will be recorded in the HMIS or comparable database for victim service providers. I understand that failure to enter this information into ServicePoint or a comparable database for victim service providers may impact future funding.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)



**ATTACHMENT D - APPLICANT CONFLICT OF INTEREST DISCLOSURE FORM**

There are certain conflict of interest provisions that affect current MaineHousing employees and commissioners. Please respond to the following question: Does the applicant, any principal or affiliate of the applicant, or anyone who will be paid for work on the program have business ties, familial relationships, or other close personal relationships with a current MaineHousing employee or commissioner or with anyone who was a MaineHousing employee or commissioner within the past two years? If yes, please describe in the box below:

YES  NO

**If you are unsure whether a relationship, association, or connection you have may constitute a conflict of interest, please consult with MaineHousing's Manager of Internal Audit Linda Grotton: (207) 624-5735 or [lgrotton@mainehousing.org](mailto:lgrotton@mainehousing.org)**

Name of Applicant: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_



**ATTACHMENT E: SHELTER BUDGET**  
SEPARATE BUDGET PER SHELTER FACILITY

**2017 Shelter Budget Information**

Name of Shelter: [REDACTED]

Agency/Organization: [REDACTED]

Number of Beds Available: [REDACTED]

Number of FTE's for Operating: [REDACTED]

Number of FTE's for Stabilization: [REDACTED]

INCOME		OPERATING EXPENSES	
Calendar for fiscal year dates	2016 Projected Revenues	Calendar or fiscal year dates	2016 Projected Activities
Main Housing State Funds		Operating Salaries	
Minor Housing Federal Funds (ESU)		Employee Benefits	
State DHHS Agreement		Rent	
Main Care (Charged) Cas (Merit)		Utilities	
Other State Funds		Insurance	
County Municipal Funds		Security	
Direct Federal Funds (specify)		Fuel	
Other Revenues:		Repairs & Maintenance	
- Donated Wks		Equipment	
- Fundraising		Telephone	
- Grants/Donation		Supplies	
- Other (specify)		Food	
Program Income:			
- Capex Fees (rent, etc)			
- Sale of Products			
- Other (specify)			
Total Revenue:	\$ 0.00	Total expenses for shelter plant operations:	\$ 0.00

[REDACTED]

[REDACTED]

(If blank person completing form)

Date:



**ATTACHMENT F:**

**CERTIFICATION OF LOCAL APPROVAL FOR NONPROFIT ORGANIZATIONS**

This form is required with the application of any non-profit applying directly to Maine Housing, instead of in conjunction with a local government.

The undersigned, authorized to act on behalf of \_\_\_\_\_, certifies to  
(Name of town, city or county)

Maine Housing that although this jurisdiction will not perform the functions of the 2016 grant recipient for Emergency Shelter Grants amounts, it does hereby approve of the activities to be undertaken with the grant funds by \_\_\_\_\_ to  
(Name of shelter) (Location of grant activities)

include the following activities:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



**Maine Housing**  
Maine State Housing Authority

**ATTACHMENT G: HOMELESS INITIATIVE CONTACT FORM**

Organization Name: \_\_\_\_\_ Date: \_\_\_\_\_  
 Organization Mailing Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
 Organization Physical Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
 Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Website: \_\_\_\_\_  
 Shelter Name\*: \_\_\_\_\_  
 Shelter Mailing Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Organization Type (check all that apply):	
City/County:	<input type="checkbox"/>
Non-Profit:	<input type="checkbox"/>
FaithBased/NonProfit:	<input type="checkbox"/>
Other:	<input type="checkbox"/>

\*If you operate more than one shelter please complete one form for each.

<b>Executive Director:</b>	_____	_____	_____	_____
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Shelter Director and/or Program Manager:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Primary Financial Contact:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Primary Navigator Services Contact:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>HMIS Data Security Officer Contact:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Primary HMIS Contact:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Staff Person Responsible for McKinney-Vento Education Act Requirements (if working with youth and/or families)</b>	_____			
<b>Contact:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Navigator Services Provider:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			
<b>Navigator Services Provider:</b>	_____	_____	_____	Title:
E-mail Address:	_____	Phone:	_____	Ext.:
	_____		_____	Fax:
Length of time in current position:	_____			

**Executive Director** \_\_\_\_\_  
 \_\_\_\_\_  
*Signature* *Printed Name* *Title*

**2015 Ending Homelessness Prioritization Chart**

2015 Ending Homelessness Prioritization Chart					
Priority	Homeless Category	Parameters	N	Resources	Process
955	955 Long Term Stayers (LTS)/Chronically Homeless Individuals	Greater or equal to 180 days in a 365 period on VLS/SPDAT flagged including medically compromised	219	300 Dedicated S+C teachers; 80 local Section 8 vouchers; For Vets HUD/VASH; HUD/ASH/SSVF assistance	1) 1 year of HUDAS data; application; 2) CASH will centralize vouchers and award these resources; 3) CASH will follow up to verify disability and criteria for chronic homelessness; 4) EDA commitment for Section 8; 5) FAIT; commitment to connect people who are homeless to housing resources
	956 Long Term Stayers (LTS) Families	Greater or equal to 180 days in a 365 period on VLS/SPDAT flagged	50	Home to Stay GA; occasional S+C if family qualifies	STEP or Section 8 from Home to Stay shelters use Home to Stay resources to refer for the population GA
	957 Domestic Violence Families & Individuals	Greater than 90 days	875	Dedicated transitional supportive housing; Section 8 BRAP S+C GA	Transitional DV Resources; CFDM, ETC
956	958 Unaccompanied Youth unable to be reunited with their families	Greater than 90 days	50	STEP, Transitional supportive housing; GA; Home to Stay; PLUS; Wrap funds; Heat and security deposit for DMLIS; OCFS placements; RHYA resources	Transitional youth service partners; BRAP LAA's
	959 Less than Long Term Stayers (LTS) Individuals & Families	Greater than 90 days but less than 180 days in a 365 day period on VLS/SPDAT flagged including medically compromised	293	Permanent housing; permanent supportive housing; transitional supportive housing; Section 8 BRAP S+C; Wrap funds; For Vets SSVF in where appropriate HUD/VASH	Shelter case management; market apartments; outreach support; supportive housing
957	960 Transients	Greater than 90 days	85	BRAP; PDS; F	BRAP LAA; PDS; F
	961 Community Homeless	Less than 90 days & not flagged on VLS/SPDAT	6086	SSAF; General Assistance	Existing mainstream resources - financial assistance; allow them to house themselves
	962 Unaccompanied Youth (seeking onward reunification/stability)	Less than 90 days & not flagged on VLS/SPDAT; RHYA Programs	109	Wrap funds - Section 17; RHYA resources	Existing mainstream resources; general assistance; Transitional youth service providers

Yellow, the elderly, and the medically compromised (old) by into the prioritization category in applicable (i.e. Veterans could fit into the category 955 or 956)

<p>KEY:</p> <p>S+C = Shelter Case Care</p> <p>STEP = Transitional Supportive Housing</p> <p>VLS/SPDAT = Vulnerability Index &amp; Service Plan (VASH) - General Assistance (GA)</p> <p>SSVF = Supportive Services for Veterans Families</p> <p>BRAP = Bridge Home Assistance Program</p>	<p>PHSA = Private Non-Medical Assistance</p> <p>HUD/VASH = Veterans Affairs Supportive Programs</p> <p>Home to Stay = Family Reunification Program funded through Memoranda</p> <p>RHYA = Runaway and Homeless Youth Act</p>
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# Emergency Solutions Grant (ESG) Written Standards

August 29, 2016



## Program Overview

The Emergency Solutions Grant (ESG) is a federal program that provides funding to states and local governments for emergency services and housing supports for homeless and at-risk households. Under the 2009 HEARTH Act, eligible activities under ESG were expanded from traditional shelter and outreach services to also include rapid re-housing and targeted homeless prevention. The purpose of this expansion was to help people **quickly regain stability** in permanent housing after experiencing a housing crisis and/or homelessness.

The purpose of the ESG Program is to provide funding to:

- Engage homeless individuals and families living on the street
- Improve the number and quality of emergency shelters for homeless individuals and families
- Help operate shelters
- Rapidly re-house homeless individuals and families
- Prevent families and individuals from becoming homeless

The amended ESG Program is designed to identify sheltered and unsheltered homeless persons, as well as those at risk of homelessness, and provide services necessary to help those persons quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness. The program's focus changed from addressing the needs of homeless people in emergency or transitional shelters to assisting people to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness.

In order to align ESG with other HUD homeless sub-recipients, new regulations (*24 CFR 576.400*) require ESG Recipients to consult with the Continuum of Care (CoC) entity in their region to determine how to allocate ESG funds, develop performance standards and evaluate the outcomes of projects and activities funded with ESG. They also must develop written policies and procedures for determining which households will receive assistance and for determining the type, amount, and length of assistance to be offered to eligible households.

MaineHousing, in conjunction with the Maine CoC Board of Directors and ESG sub-recipients has developed the following standards for providing assistance, which are in accordance with the interim rule for the Emergency Solutions Grant Program released by the HUD on December 4, 2011, and the final rule for the definition of homelessness also released by the HUD on December 4, 2011; and the Continuum of Care Program Interim Rule released by HUD on July 31, 2012.

It is expected that the standards will adjust as programs evolve, members gain more experience, and HMIS data from programs and services is analyzed. The Standards may serve as the guiding principles for funding ESG programs. Each recipient and sub-recipient shall comply with the minimum written standards for providing assistance and all funds used to provide services to clients served by these programs, including any match and program income funding, shall comply with these same requirements. Further they may decide to set standards on their provision of assistance that exceeds these minimum standards, but will at the very least comply with the following guidelines in this document. Details about the ESG program requirements can be found at <https://www.hudexchange.info/esg/esg-law-regulations-and-notices>.

## Eligible Program Activities

ESG regulations require that shelters receiving ESG funds must assist homeless individuals in accessing mainstream programs and permanent housing. There are five eligible activities under the ESG program:

1. Street Outreach;
2. Emergency Shelter;
3. Homeless Prevention and Rapid Re-housing;
4. Data Collection; and
5. Administration.

The following section will identify and explain each eligible activity. Although all are possible eligible activities, MaineHousing will provide funding for the activities outlined in the Homeless Program Rule which was changed in 2015 based on feedback from stakeholders including ESG subrecipients, Maine's two CoC's and the Statewide Homeless Council. Please refer to the Glossary for the updated definition of a *homeless* person and a person at *risk of homelessness*.

### Street Outreach:

*Street Outreach* activities are designed to meet the immediate needs of unsheltered homeless persons by connecting them with emergency shelter, housing, and/or critical health services.

**Street Outreach** funds are eligible for People who are qualify as 'unsheltered homeless,' based on category (1)(i) of the "homeless" definition found at 24 CFR 576.2 (UNSHeltered HOMELESS PEOPLE (Category 1 of Homeless Definition and PEOPLE FLEEING DOMESTIC VIOLENCE (Category 4 of Homeless Definition)) are eligible for the following activities, in compliance with federal ESG rules (24 CFR 576.101): *engagement, case management, emergency health and mental health services, transportation.*

Please refer to the Interim Rule, § 576.101 Street Outreach Component for more details on eligible activities. Generally, eligible costs include funds may be used for costs of providing essential services necessary to reach out to unsheltered homeless people; connect 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. "Unsheltered homeless people" means individuals and families who qualify as homeless under paragraph (1)(i) of the "homeless" definition under § 576.2. These include engagement, case management, emergency health services, transportation, and services for special populations. **However, this activity will not be funded as per the Homeless Rule.**

### Emergency Shelter

*Emergency Shelter* activities are designed to increase the quantity and quality of temporary shelters provide to homeless persons, through the renovation of existing shelters or conversion of beings into shelters, paying for the operation cost of shelters, and providing essential services.

**Emergency Shelter** funds may be used for costs of providing essential services to homeless families and individuals in emergency shelters, renovating buildings to be used as emergency shelter.

for homeless families and individuals, and operating emergency shelters. Please refer to the Interim Rule, § 576.102 Emergency Shelter Component for more details on eligible activities. Individuals and families who are eligible are those defined as homeless under the homeless definition in categories 1, 2,3, and 4.

*Major Rehabilitation, Conversion, or Renovation of a building to serve as a homeless shelter:* Site must serve homeless persons for at least 3 or 10 years, depending on the cost. Note: Property acquisition and new construction are ineligible ESG activities. These activities will NOT be funded program year 2014/2015.

*Operation of Emergency Shelters:*

ESG funds can provide annual operating support to programs that provide for the basic needs of homeless persons with the goal of preventing further deterioration of their quality of life. The purpose is to assure that homeless persons have access to food, safe shelter, shower and restroom facilities and other services to maintain health and hygiene. Eligible costs include: maintenance (including minor or routine repairs), rent, security, fuel, insurance, utilities, food, furnishings, equipment, and supplies necessary for the operation of the emergency shelter and hotel/motel voucher for an individual or family.

*Providing Essential Supportive Services for Emergency Shelter clients:*

A portion of the ESG allocation can be used to provide essential supportive services that homeless people need in order to regain stability and housing. Essential supportive services include financial assistance on behalf of a client to remove obstacles to self-sufficiency. Such financial assistance may include bus passes, gas vouchers, or child care while a parent searches for or engages in employment; help getting the work cards necessary to accept employment. Essential supportive services also includes assistance in obtaining permanent housing, and in obtaining other Federal, State, or local assistance such as TANF, SNAPs (formerly Food Stamps), child support enforcement, etc. and the staff salaries necessary to provide such service coordination efforts (case management). **However, this activity will not be funded as per the Homeless Rule.**

### **Homeless Prevention and Rapid Re-Housing**

*Homelessness Prevention* activities are designed to prevent an individual or family from moving into an emergency shelter or living in a public or private place not meant for human habitation through housing relocation and stabilization services and short- and/or medium-term rental assistance. **However, this activity will not be funded as per the Homeless Rule.**

*Rapid Re-Housing* activities are designed to move homeless persons quickly to permanent housing through housing relocation and stabilization services and short- and/or medium-term rental assistance. ESG funded rapid rehousing will follow the standards as set forth below. People who qualify as 'homeless,' based on categories (1 or 4) of the "homeless" definition found at 24 CFR 576.2 and/or 578.3 and who are moving into a housing unit that meets HUD's habitability and lead-based paint standards are eligible for the following activities, in compliance with federal ESG and CoC rules (24 CFR 576.104, 576.105, 576.106, 578.37, 578.51 and 578.77). Additionally persons receiving rapid rehousing through the ESG program must have incomes at or below 30% of the area median income (AMI) at annual recertification.



### **Data Collection & HMIS**

Grant funds may be used for the costs of participating in an existing HMIS of the Continuum of Care where the project is located (for information, please reference *24 CFR 576.107*).

*HMIS* (Homeless Management Information System) activities are designed to fund ESG recipients' and sub-recipients' participation in the HMIS collection and analyses of data on individuals and families who are homeless and at-risk of homelessness.

### **Administration**

Up to 7.5 percent of a recipient's allocation can be used for general management, oversight, coordination, and reporting on the program. State recipients must share administrative funds with their Sub-recipients who are local governments and may share with their Sub-recipients who are nonprofit organizations. The availability of these funds may vary from year to year (for information, please reference *24 CFR 576.108*).

## ESG Required Written Standards

At a minimum these written standards must include:

### **Required for ALL PROGRAMS:**

1. Standard policies and procedures for evaluating eligibility.
2. Policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid rehousing assistance providers; other homeless assistance providers; and mainstream service and housing providers (*see § 576.400(b) and (c) for a list of programs with which ESG-funded activities must be coordinated and integrated to the maximum extent practicable*).
3. Participation in HMIS or a comparable data base for victim service providers. The grantee must ensure that data on all persons served and all activities assisted under ESG are entered into the HMIS. If the grantee is a victim service provider, it may use a comparable data base, to collect client-level data over time (*i.e.* longitudinal data) and generates unduplicated aggregate reports based on the data.

### **Additional standards for STREET OUTREACH:**

1. Standards for targeting and providing essential services related to street outreach.

### **Additional standards for EMERGENCY SHELTER:**

1. Policies and procedures for admission, diversion, referral, and discharge by emergency shelters, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, [e.g., victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest]
2. Policies and procedures for assessing, prioritizing, and reassessing needs for essential services related to emergency shelter.

### **Additional standards for PREVENTION and RAPID RE-HOUSING:**

1. Policies and procedures for determining and prioritizing homelessness prevention and rapid re-housing assistance;
2. Standards for determining what percentage or amount of rent and utilities costs, **if any**, each program participant must pay while receiving homelessness prevention or rapid re-housing assistance;
3. Standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time, **if at all**;
4. Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide, including the limits, **if any**, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months in the program, or the maximum number of times the program participant may receive assistance.

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## **General Written Standards**

### **Confidentiality of Client Records:**

Sub-recipients must have policies and/or procedures to ensure that client records are maintained in a confidential manner and keep written records or files pertaining to households under lock and key with designated personnel granted access to those files.

### **Conflicts of Interest:**

Minimum standards for conflicts of interest are:

#### **Organizational conflicts of interest:**

- ESG and CoC assistance will not be contingent on the individual's or family's acceptance or occupancy of emergency shelter or housing owned by the provider or a provider's subsidiary or parent.
- No provider, with respect to individuals or families occupying housing owned by the provider or a provider's subsidiary or parent, will carry out the initial evaluation under 24 CFR 576.401 or administer homelessness prevention assistance under 24 CFR 576.103.

#### **Individual conflicts of interest:**

When procuring goods and services, the provider will comply with codes of conduct and conflict of interest requirements under 24 CFR 84.42 (private non-profit) or 24 CFR 85.36 (government).

#### **All transactions/activities:**

No CoC board member may participate in or influence discussions or resulting decisions concerning the award of a grant or other financial benefits to the organization that the member represents.

#### **Conflicts prohibited:**

No person involved with the ESG or CoC programs or who is in a position to participate in a decision-making process or gain inside information regarding the program's activities, shall obtain a financial interest or benefit from an assisted activity; have a financial interest in any related contract, subcontract, or assisted activity; or have a financial interest in the activity's proceeds (either himself or herself or those with whom he or she has family or business ties) during his or her tenure or for one year following tenure.

#### **Persons covered:**

These conflict of interest provisions apply to any employee, agent, consultant, officer or elected or appointed official of the provider's agency.

## Connection with Other Resources

Minimum standards for connection with other resources consist of assisting each participant to obtain, if applicable:

Appropriate support services including:

- Permanent housing;
- Medical health treatment;
- Behavioral health services;
- Counseling;
- Supervision; and
- Other services needed for independent living.

Other governmental and private assistance available to help with housing stability including:

- Medicaid;
- Medicare;
- Supplemental Nutrition Assistance Program;
- Women, Infants and Children (WIC);
- Federal-State Unemployment Insurance Program;
- Supplemental Security Income (SSI);
- Social Security Disability Insurance (SSDI);
- Child and Adult Care Food Program; and
- Other available assistance, \_

## Coordinated Assessment

Minimum standards for centralized or coordinated assessment system are:

- Once the Continuum of Care has developed and adopted a centralized or coordinated assessment system in accordance with HUD's requirements (24 CFR Part 578) all providers within the Continuum of Care's area, except for victim service providers, shall use that assessment system.
- A victim service provider may choose not to use the Continuum of Care's assessment system. However, all victim service providers are required to use a centralized or coordinated assessment system that meets HUD's minimum requirements.
- This shall include the use of a standardized assessment tool by all providers to determine the appropriate intervention to address the episode of homelessness and the prioritization of individuals and families for assistance based on the severity of their service needs and the length of time homeless.

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- Ongoing training and support will be provided to all CoC and ESG funded providers in the assessment, prioritization and placement process.

All homeless projects in the both of Maine's CoC's including HP, ES, TH, RRH, SH, and PSH, must participate in their Homeless Planning Region's coordinated entry system (CES). This includes using the region's common assessment forms, following the region's agreed upon referral process, using the region's common PSH waitlist, and anything else as appropriate.

Upon adoption of these written standards, the CoC Joint Board of Directors must review their coordinated entry plans and update as necessary to ensure there are no contradictions between the coordinated entry system and these program standards. Any needed updates to coordinated entry plans must be completed and communicated to the public, as appropriate.

### Coordination with Programs

Minimum standards for program coordination consist of on-going system and program coordination and integration of ESG and CoC funded activities to the maximum extent practicable with the following:

- a. Emergency shelter providers, essential services providers, homelessness prevention, transitional housing, permanent supportive housing and rapid rehousing assistance providers;
- b. Other homeless assistance providers, including:
  - HUD-Veterans Affairs Supportive Housing (HUD-VASH);
  - Education for Homeless Children and Youth Grants for State and Local Activities (McKinney-Vento Homeless Assistance Act);
  - Grants for the Benefit of Homeless Individuals;
  - Healthcare for the Homeless;
  - Programs for Runaway and Homeless Youth;
  - Projects for the Assistance in the Transition from Homelessness;
  - Services in Supportive Housing Grants;
  - Emergency Food and Shelter Program;
  - Transitional Housing Assistance Grants for Victims of Sexual Abuse, Domestic Violence, and Stalking Program;
  - Homeless Veterans Reintegration Program;
  - Domiciliary Care for Homeless Veterans Program;
  - VA Homeless Providers Grant and Per Diem Program;
  - Health Care for Homeless Veterans Program;
  - Homeless Veterans Dental Program; and
  - Supportive Services for Veterans Families Program

c. Mainstream service and housing providers:

- Public housing programs assisted under section 9 of the U.S. Housing Act of 1937;
- Housing programs receiving Section 8 tenant based or project based assistance;
- Supportive Housing for Persons with Disabilities;
- HOME Investment Partnerships Program;
- Temporary Assistance for Needy Families;
- State Children's Health Insurance Program;
- Head Start;
- Mental Health and Substance Abuse Block Grants;
- Services funded under the Workforce Investment Act; and
- State Housing Related Assistance Program for Adults with Serious Mental Illness

d. Continuum of Care (CoC) Networks:

- Local Continuum of Care (CoC) meetings – Maine has two CoC's: the City of Portland and the Maine Balance of State (MBoS) Continuum of Care and both meet monthly. BoS Committee meetings – *Each of the five Local CoCs (excluding Omaha & Lincoln) has two voting representatives on the Joint CoC Board of Directors for both CoCs.*
- Statewide Homeless Council and
- Various other committees, task forces and workgroups.

## Displacement

Minimum standards for minimizing the displacement of persons (families, individuals, businesses, nonprofit organizations and farms) as a result of a project assisted under ESG and/or CoC shall comply with §576.408 and/or 578.83 and consist of:

**Minimizing displacement** – Consistent with ESG/CoC goals and objectives, the providers shall minimize displacing people as a result of ESG/CoC-funded projects.

**Temporary relocation not permitted** - No temporary relocation shall be required for an ESG/CoC-funded project. When a tenant has to move for an ESG/CoC-funded project, the tenant shall be treated as permanently displaced and offered relocation assistance and payments.

**Relocation assistance for displaced persons -**

In general – A displaced person shall be provided relocation assistance and advised of his or her Fair Housing Rights.

Displaced Person - A "displaced person" is defined as any person that moves from a permanent home as a result of ESG/CoC-funded acquisition, rehabilitation, or demolition of a project.

**A person does not qualify as a “displaced person” if the person:**

- Was evicted based on a violation of the lease or occupancy agreement; violation of the law; and the recipient determines that the eviction was not undertaken to evade the obligation to provide relocation assistance.
- Moved into the property after the application was submitted but was provided with written notice that he or she would not qualify as a “displaced person.”
- The person is ineligible under 49 CFR 4.2.
- HUD determines that the person was not displaced as a result of the project.

The State or the provider may request that HUD determine whether or not displacement would be covered by this rule.

**Real property acquisition requirements** – The acquisition of real property for an ESG/CoC funded project is subject to the URA and Federal government wide regulations.

**Appeals** - A person who disagrees with the recipient’s determination concerning whether the person qualifies as a displaced person, or the amount of relocation assistance may file a written appeal. A low-income person who disagrees with the recipient’s determination may submit a written request for review of that determination by HUD.

**Documentation**

**Households must have the following\*:**

\*All of this information must be clearly noted and documented in the client’s case file.

1. *Initial Consultation & Eligibility Determination:*

The household must receive an initial consultation and eligibility assessment to determine income and housing status eligibility and the appropriate type of assistance needed to regain stability in permanent housing.

2. *Assistance in obtaining maintenance and other resources:*

The household must receive appropriate supportive services and referrals essential to achieving independent living through other federal, state, local, and private assistance.

3. *Housing stability plan to include:*

- i. Needs assessment to include specific housing and self-sufficiency goals;
- ii. Action steps to retain permanent housing after ESG assistance ends; and
- iii. Households receiving assistance from a victim service provider may be exempted from the case management requirement.

### Re-Evaluation

Household eligibility and the types and amounts of assistance the household needs must be re-evaluated and documented not less than once every 3 months for households receiving homelessness prevention assistance, and every six months for households receiving rapid re-housing assistance. At a minimum, each re-evaluation of eligibility must establish that:

1. The household does not have an annual income that exceeds 30 percent of median family income for the area, as determined by HUD; **AND**
2. The household lacks sufficient resources and support networks necessary to retain housing without ESG assistance.

### Educational Assurances

ESG sub-recipients are expected to collaborate with local education authorities to assist in the identification of individuals and families who become or remain homeless and are informed of the eligibility for services under subtitle B of the title VII of the Act. This includes demonstrating that providers establish policies to ensure all children are enrolled in early childhood programs or in school and connected to appropriate services in the community. Providers shall collaborate with local school districts and early childhood education providers to identify homeless households with children to ensure they understand their eligibility for educational services.

### Faith-Based Activities

Minimum standards for faith-based activities (24 CFR 576.406 and 578.87) are:

- Providers receiving ESG/CoC funding shall not engage in inherently religious activities as part of the ESG/CoC-funded programs or services. Such activities must be offered separately from ESG/CoC-funded programs and services and participation must be voluntary.
- A religious organization receiving ESG/CoC funding retains independence from government and may continue with its mission provided that ESG/CoC funds are not used to support inherently religious activities. An ESG/CoC-funded organization retains its authority over its internal governance.
- An organization receiving ESG/CoC funding shall not discriminate against a participant or prospective participant based on religion or religious beliefs.
- ESG/CoC funding shall not be used for the rehabilitation of structures used specifically for religious activities, but may be used for rehabilitating structures that are used for ESG/CoC-eligible activities.

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## HMIS

Minimum standards for ESG data are:

- Providers, except for victim service providers shall actively utilize the Homeless Management Information System (HMIS), to enter data on people served and assistance provided under ESG.
- Victim service providers shall actively utilize a comparable data system that meets HUD's standards (24 CFR 576.107).

All ESG sub-recipients must use the Homeless Management Information System (HMIS) to maintain client and project-level data. The HMIS is a valuable resource because of its capacity to integrate and unduplicated data across projects. HMIS aggregate data can be used to understand the size, characteristics, and needs of the homeless population at the client, project, and community level. **The only exception to the HMIS participation requirement is for domestic violence victim services agencies, which are prohibited from entering data into HMIS and must instead use a comparable database.**

All ESG sub-recipients participating in HMIS must abide by the Policies and Procedures Manual, which lays out the CoC's policies related to maintaining system security and client confidentiality, as well as the CoC's processes for complying with all federal regulations related to the creation and maintenance of an HMIS. Homeless projects must also comply with the Data Quality Standards, which outline expectations for ensuring that quality data is entered into and maintained in the HMIS. **Homeless Participation**

Minimum standards for homeless participation are:

- Each funded provider of CoC or ESG assistance must provide for the participation of not less than one homeless individual or formerly homeless individual on the board of directors or equivalent policymaking entity of the provider. (24 CFR 578.75(g))
- To the maximum extent possible, the provider shall involve homeless individuals and families in paid or volunteer work on the ESG or CoC funded facilities, in providing services under ESG or CoC and in providing services for occupants of ESG or CoC funded facilities (24 CFR 576.405 and 578.75).

## Housing First

All ESG subrecipients must adopt a Housing First approach. Adoption of Housing First practices will be documented via program policies and procedures, and any other relevant documents, that evidence the incorporation of the practices into the design and operation of the project.

At its most basic, Housing First is a model of housing assistance that centers on providing people experiencing homelessness with housing first and then providing voluntary services as needed and desired. Housing First programs operate under the assumption that everyone is ready for housing.

In addition to the basic idea of providing housing first, Housing First programs share a few critical elements, including:

- Rapid exit from homelessness
- Minimal barriers to program entry
- Voluntary Supportive Services
- Housing Focused Assistance

#### *Rapid Exit from Homelessness*

Whether at the emergency shelter or permanent housing point, Housing First providers work to get homeless individuals and families out of homelessness and into permanent housing as quickly as possible. For shelter providers, this means working hard to identify any rapid re-housing assistance that may be needed to move the household out of homelessness, or referring to permanent supportive housing where available and appropriate. For permanent housing providers, this means speeding up and/or streamlining intake processes wherever possible, and ensuring that prioritized clients are coming from literally homeless locations.

#### *Minimal Barriers to Program Entry*

In the past, many homeless programs had policies that would prevent homeless persons from entering the program if they didn't meet a number of requirements. Common program requirements often included having a minimum income, no criminal history, no history of substance abuse (sometimes drug tests were used to confirm), poor rental history or evictions, and no past involuntary terminations from other homeless programs. Housing First programs, in contrast, remove every barrier to entry possible, in part to make their programs and services available to those with the most severe needs and longest histories of homelessness, i.e., people who likely would have been screened out of their program under previous practices.

Although the Housing First model involves reducing barriers to entry, including removing drug testing at program entry, this does not mean that homeless services providers are required to serve/house persons who are significantly under the influence or actively using to the point where their presence in the program poses a danger to themselves, staff, or other residents. For example, in some instances, homeless persons who are in active withdrawal from substances may need to be referred for medical attention rather than accepted into a program. In all cases, homeless program staff should do their due diligence to find alternative means of shelter/housing in the event that their program is unable to serve a client based on safety issues related to substance use.

A common practice, particularly among emergency shelters and other congregate facilities, is to conduct background checks on prospective clients. This practice is not

prohibited under Housing First practices. However, program policies should only deny program entry in cases where a criminal history shows a pattern of violent offenses (including violent sexual offenses). Past convictions for public intoxication or disorderly conduct, for example, should not, in and of themselves, cause a homeless person to be denied entry into a homeless program. Clients should also not be denied services or shelter while waiting on the results of the background check. In addition, homeless program staff should do their due diligence to find alternative means of shelter/housing in the event that their program is unable to serve a client based on the client's criminal background.

#### Voluntary Supportive Services

The Housing First model requires that all supportive services be offered to clients on a voluntary basis. Refusal to participate in supportive services cannot be a reason to terminate someone from a homeless program. However, even under a voluntary services model, clients may be required to participate in regular assessment of needs in order to determine if ongoing assistance is needed and desired – in fact, monthly meetings with case management staff are required in CoC-funded rapid re-housing programs. Similarly, PSII projects should regularly check in with all clients, including those not receiving or requesting supportive services, to ensure that the client has ongoing need for PSH.

#### Housing Focused Assistance

Housing First programs offer voluntary supportive services that are first and foremost focused on obtaining and maintaining housing. In emergency shelters, for example, case managers should work with shelter residents to identify permanent housing options and help residents get connected to housing. Homeless programs providing supportive services designed to address other personal issues should ensure that those services are directly connected to helping clients obtain or maintain housing.

Additional information about Housing First practices can be found at the following links:

- [http://www.endhomelessness.org/pages/housing\\_first](http://www.endhomelessness.org/pages/housing_first)
- [http://usich.gov/usich\\_resources/solutions/explore/housing\\_first](http://usich.gov/usich_resources/solutions/explore/housing_first)
- <http://www.desc.org/housingfirst.html>

#### Income Determination

Minimum standards for determination of an individual or family's annual income consist of calculating income in compliance with 24 CFR 5.609. Annual income is defined as:

*Annual income* means all amounts, monetary or not, which:

- Go to, or on behalf of, the family head or spouse (even if temporarily absent) or to any other family member; or
- Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and

- Which are not specifically excluded in paragraph (c) of 24 CFR 3.609.
- Annual income also means amounts derived (during the 12-month period) from assets to which any member of the family has access.

**Individuals and families assisted under ESG are required to have annual incomes at or below 30% of Area Median.** There are no income limits for CoC assistance but in all instances in which participants are charged rent or occupancy charges, the amount charged must be based on participant's verified annual income for all sources.

In verifying income, ESG and CoC funded providers are required to obtain third party verification whenever possible. Self-certification or verification is to be accepted only when all efforts have been made to obtain third party verification have not produced results.

### Lead-Based Paint

Minimum standards for all shelters and program participant-occupied housing consist of compliance with the lead-based paint remediation and disclosure requirements identified in 24 CFR 576.403, including the Lead-Based Paint Poisoning Prevention Act (42 USC 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 USC 4851-4856) and implementing regulations in 24 CFR part 55, subparts A, B, H, J, K, M and R.

#### Lead-based Paint Visual Assessments

The lead-based paint visual assessment requirement exists to protect vulnerable families from potential health hazards. To prevent lead poisoning in young children, Sub-recipients must comply with the Lead-based Paint Poisoning Prevention Act of 1973 and its applicable regulations found at 24 CFR 35, Parts A, B, M, and R.

A lead-based paint visual assessment must be completed for all units that meet the three following conditions:

1. The household moving into or remaining in their current unit is receiving ESG financial assistance, **AND**
2. The unit was constructed prior to 1978. **AND**
3. A child under the age of six or a pregnant woman is, or will be, living in the unit.

A visual assessment must be conducted prior to providing ESG financial assistance to the unit and on an annual basis thereafter (as long as assistance is provided). Visual assessments must be conducted by a HUD-Certified Visual Assessor and must be documented on the HQS or HSS and maintained in the client file.

#### Exceptions to the Lead-based Paint Visual Assessment Requirement

There are certain exceptions to the requirement. Visual assessments are not triggered under the

following circumstances:

1. It is a zero-bedroom or SRO-sized unit;
2. X-ray or laboratory testing of all painted surfaces by certified personnel has been conducted in accordance with HUD regulations and the unit is officially certified to not contain lead-based paint;
3. The property has had all lead-based paint identified and removed in accordance with HUD regulations;
4. The unit has already undergone a visual assessment within the past 12 months – obtain documentation that a visual assessment has been conducted; or
5. It meets any of the other exemptions described in 24 CFR Part 35.115(a).

If any of the conditions outlined above are met, Sub-recipients need to document the condition.

### **Nondiscrimination/Equal Opportunity/Affirmative Outreach**

Minimum standards shall comply with the requirements for nondiscrimination, equal opportunity and affirmative outreach identified in §576.407 and 578.93(a-b).

### **Program Income**

Minimum standards for private non-profit organizations for the program income earned during the project period are that the program income shall be retained and used to finance the non-Federal share of the project or program. Records of the receipt and use of program income shall be retained. Program income may not be used to meet matching funding requirements.

### **Safety, Sanitation and Privacy**

Any emergency shelter that receives ESG assistance for shelter operations must meet the following minimum safety, sanitation, and privacy standards. Grantees may also establish standards that exceed or add to these minimum standards. Minimum standards for all shelters and program participant-occupied housing consist of compliance with the safety, sanitation & privacy requirements identified in 24 CFR 576.403 and 578.75, including:

#### **1. Structure and materials**

The shelter building must be structurally sound to protect residents from the elements and not pose any threat to health and safety of the residents.

#### **2. Access**

The shelter must be accessible in accordance with Section 504 of the Rehabilitation Act (29 U.S.C. 794) and implementing regulations at 24 CFR part 8; the Fair Housing Act (42 U.S.C. 3601 *et seq.*) and implementing regulations at 24 CFR part 100; and Title II of the Americans with Disabilities Act (42 U.S.C. 12131 *et seq.*) and 28 CFR part 35; where applicable.

**3. Space and security**

Except where the shelter is intended for day use only, the shelter must provide each program participant in the shelter with an acceptable place to sleep and adequate space and security for themselves and their belongings.

**4. Interior air quality**

Each room or space within the shelter must have a natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.

**5. Water supply**

The shelter's water supply must be free of contamination.

**6. Sanitary facilities**

Each program participant in the shelter must have access to sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.

**7. Thermal environment**

The shelter must have any necessary heating/ cooling facilities in proper operating condition.

**8. Illumination and electricity**

The shelter must have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There must be sufficient electrical sources to permit the safe use of electrical appliances in the shelter.

**9. Food preparation**

Food preparation areas, if any, must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.

**10. Sanitary conditions**

The shelter must be maintained in a sanitary condition.

**11. Fire safety**

There must be at least one working smoke detector in each occupied unit of the shelter. Where possible, smoke detectors must be located near sleeping areas. The fire alarm system must be designed for hearing-impaired residents. All public areas of the shelter must have at least one working smoke detector. There must also be a second means of exiting the building in the event of fire or other emergency.

The public areas of all housing must be equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas.

## Recovered Materials

Minimum standards for the procurement of recovered materials shall comply with the requirements identified in §576.407(f) and 578.99(b), including that the recipient and its contractors must comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

## Records and Recordkeeping

Minimum standards shall ensure sufficient written records are established and maintained to enable the State and HUD to determine whether ESG/CoC requirements are being met and comply with §576.500 and 578.103, including the following:

Program participant records shall include written:

- Determination and verification/certification that the program participant met the criteria for being Homeless or At Risk of Homelessness and that an effort was made to obtain written third-party verification, when possible and applicable.
- For CoC-funded projects, acceptable evidence of homeless status as set forth in 576.500(b).
- Determination and verification/certification that the program participant was eligible or ineligible for the particular services and/or financial assistance.
- Determination and verification/certification that the program participant lacked sufficient resources and support networks to provide the assistance.
- Determination and verification/certification that the program participant met income requirements and that an effort was made to obtain written third-party verification, when possible and applicable. This includes annual documentation of income for each program participant who receives housing assistance where rent or an occupancy charge is paid by the program participant.
- Determination and verification/certification that the only households served through permanent supportive housing meet HUD's requirements of having a family member be a person with disabilities.
- Identification of the specific services and financial assistance amounts that were provided to the program participant.
- When applicable, verification that the services were terminated in compliance with 576.402 and/or 578.91.
- When adopted by the Continuum of Care, a copy of the CoC-approved centralized

or coordinated assessment of the program participant

- Copies of written leases and rental agreements, documentation of payments made, including dates of occupancy, and compliance with fair market rent, rent reasonableness and utility allowance requirements
- Determination and verification that the housing unit met HUD's habitability and lead-based paint standards
- Copy of individualized housing stability plan
- Notes verifying case management services were provided at least monthly, unless exempt from this requirement
- Notes verifying program participant's eligibility was re-evaluated at least every 3 months for homelessness prevention services or at least annually for rapid rehousing services
- Notes verifying program participant was assisted to obtain necessary mainstream and other resources

Program policies and procedures shall indicate:

- Services are coordinated with Continuum(s) of Care, other homeless assistance/prevention programs and mainstream service and assistance programs
- Compliance with HUD's ESG (24 CFR 576 and 578) requirements for:
  - Shelter and housing standards
  - Conflict of interest
  - Homeless participation
  - Faith-based activity
  - Nondiscrimination, equal opportunity and affirmative outreach
  - Uniform administrative rules (24 CFR part 84)
  - Environmental review
  - Lobbying and disclosure (24 CFR part 87)
  - Displacement, relocation and acquisition
  - Procurement (24 CFR 84.40-84.48)
  - Program participant records are kept secure and confidential
  - Participation in HMIS or comparable database

Financial records shall include:

- Supporting documentation for all costs charged to ESG or CoC grant
- Documentation showing ESG or CoC funds were spent on allowable costs in accordance with the requirements for eligible activities and costs principles
- Documentation of the receipt and use of program income
- Documentation of the receipt and use of matching funds
- Copies of procurement contracts



## Serving Families in Homeless Projects

### Equal Access

Maine's homeless projects serving families must ensure they comply with the Equal Access Rule, as outlined by HUD. The Equal Access Rule outlines the federal definition of 'family' for purposes of receiving assistance from certain programs. For Maine's homeless projects, the definition of 'family' is as follows:

- *Family* includes, but is not limited to, regardless of marital status, actual or perceived sexual orientation, or gender identity, any group of persons presenting for assistance together with or without children and irrespective of age, relationship, or whether or not a member of the household has a disability. A child who is temporarily away from the home because of placement in foster care is considered a member of the family.

What this means is that any group of people that present together for assistance and identify themselves as a family, regardless of age or relationship or other factors, are considered to be a family and must be served together as such. Homeless projects cannot discriminate against a group of people presenting as a family based on the composition of the family (e.g., adults and children or just adults), the age of any member's family, and the disability status of any members of the family, marital status, actual or perceived sexual orientation, or gender identity. More specifically, all homeless projects with dedicated family beds/units must serve families, regardless of the marital status or sexual orientation of the adults.

### Prohibition against Involuntary Family Separation

The age and gender of a child under age 18 must not be used as a basis for denying any family's admission to any housing or shelter receiving funding from either ESG or CoC (578.93(e)). Shelter projects serving families are required to serve the intact family, where desired by the client. Family members, regardless of age, gender, or other factors, cannot be separated from other family members during their program stay.

### Serving Transgender Persons in Emergency Shelters and Other Sex-Segregated Facilities

ESG Sub-recipients must make their resources available to individuals and families without regard to actual or perceived sex, sexual orientation, or gender identity. Although emergency shelters with shared sleeping areas or bathrooms are permitted to inquire about sex or gender identity for purposes of determining room assignment, best practices suggest that where there is uncertainty about sex or gender identity shelter providers should ask where individuals feel most comfortable sleeping. This may mean that the person should be provided with a private changing, shower, and/or sleeping space, or stagger use of facilities so that the person may shower and change alone. Decisions about how and where someone is housed should be made on a case-by-case basis strongly taking into account the person's preference about where to sleep, and keeping safety a priority.

In situations where providers are unsure of a person's sex or gender identity, providers may not ask for documentation of sex or gender. The best way to proceed if a provider is unsure is to tell a client that the agency provides shelter according to the gender with which the client identifies. *Do not* ask, "What is your sex/gender?" *Do* say, "This is a shelter for women, if you would rather be in a different shelter, let us help you find one where you feel safe and comfortable." It is understood that not every facility can accommodate every gender expression. The spirit of this guidance is about helping people to feel safe and comfortable in their temporary accommodations. This may mean telling a client what the local options are, *without* asking about their gender, and doing the most possible to get that person to a place they want to be. Gender-based violence can be inflicted on transgender people and providers are obligated to protect transgender people from such violence the same way they protect women, for example, from violence.

Emergency shelters and other homeless program providers should review the HUD notice, *Appropriate Placement for Transgender Persons in Single-Sex Emergency Shelters and Other Facilities*, in order gain a comprehensive understanding of how the notice affects both clients and providers, and guides protocols, policies, and procedures. The notice can be found at <https://www.hudexchange.info/resource/4428/notice-cpd-15-02-appropriate-placement-for-transgender-persons-in-single-sex-emergency-shelters-and-other-facilities>

### Termination, Complaints, Appeals and Confidentiality Policies

As part of each program's policies and procedures, grantees must develop policies regarding termination of assistance to participants, complaints, appeals, and confidentiality procedures. The policies and/or procedures should be readily available to households either in written information or by posting the policy in a public place. It is important to effectively communicate these policies and/or procedures to households and ensure that they are fully understood.

Minimum standards for termination of assistance are:

**In general** – If a program violation occurs and the provider terminates assistance as a result, the termination shall follow an established process that recognizes the rights of the individuals affected. The grantee must exercise judgment and examine all extenuating circumstances in determining when violations warrant termination so that a program participant's assistance is terminated only in the most severe cases. Termination shall only occur in the most severe cases after other remedies have been attempted.

#### **Due process rights for individuals and families facing program termination –**

When an ESG or CoC funded homeless assistance program seeks to terminate participation for any household, the required formal process shall minimally consist of:

- Written notice clearly stating the reasons for termination;
- Review of the decision that gives the participant opportunity to present objections to the decision and to have representation.

- Any appeal of a decision shall be heard by an individual different from and not subordinate to the initial decision-maker and
- Prompt written notice of the final decision on the appeal.

**Ability to provide further assistance** – Termination will not bar the provider from providing later additional assistance to the same family or individual.

**Prevention and Rapid Re-Housing Terminations**

To terminate rental assistance or housing relocation and stabilization services to a program participant, the required formal process, at a minimum, must consist of:

- Written notice to the program participant containing a clear statement of the reasons for termination;
- A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the termination decision; **AND**
- Prompt written notice of the final decision to the program participant.

**Ability to Provide Further Assistance**

Termination does not bar the grantee from providing further assistance at a later date to the same family or individual.

## ESG Minimum Standards

### Street Outreach Standards

#### MINIMUM STANDARDS:

##### **Targeting/Engagement:**

Providers of Street Outreach services shall target unsheltered homeless individuals and families, meaning those with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport or camping ground.

##### **Assessment/Service Provision/Referral/Prioritization:**

- Individuals and families shall be offered an initial need and eligibility assessment and qualifying program participants, including those meeting special population criteria, will be offered the following Street Outreach services, as needed and appropriate: engagement, case management, emergency health and mental health, transportation services.
- When appropriate based on the individual's needs and wishes, the provision of or referral to rapid rehousing services that can quickly assist individuals to obtain safe, permanent housing shall be prioritized over the provision of or referral to emergency shelter or transitional housing services.

### Emergency Shelter Standards

An emergency shelter means 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. *Only projects funded as an emergency shelter under the Fiscal Year 2010 Emergency Shelter Grant program may continue to be funded under the Emergency Solutions Grant program.* The following minimum standards shall be required of any emergency shelter funded through the Emergency Solutions Grant program:

#### MINIMUM STANDARDS:

##### **Admission:**

Providers of Emergency Shelter services shall admit individuals and families who meet the HUD definition of "homeless," as specified in 24 CFR 576.2 (1, 2, & 4) and agencies' eligibility criteria.

##### **Assessment:**

Individuals and families shall be offered an initial need and eligibility assessment and qualifying program participants, including those meeting special population criteria, will be offered Emergency Shelter services, as needed and appropriate. Assessment shall be based on the coordinated assessment process employed by the CoC.

**Prioritization/Diversion/Referral:**

When appropriate based on the individual's needs and wishes, the provision of or referral to Homeless Prevention or Rapid Rehousing services or other available housing programs offered through the Continuum of Care that can quickly assist individuals to maintain or obtain safe, permanent housing shall be prioritized over the provision of Emergency Shelter or Transitional Housing services.

**Reassessment:**

Program participants will be reassessed as case management progresses, based on the individual service provider's policies.

**Discharge/Length of Stay:**

Program participants shall be discharged from Emergency Shelter services when they choose to leave or when they have successfully obtained safe, permanent housing. Any Length of Stay limitations shall be determined by the individual service provider's policies and clearly communicated to program participants. Providers of shelter services are strongly encouraged not to discharge individuals and families who have not secured permanent housing and maintain those households in shelter until they can be placed in appropriate permanent housing.

**Safety and Shelter Safeguards for Special Populations:**

Safety and Shelter Safeguards shall be determined by the individual Special Population service provider's policies and clearly communicated to program participants.

**Homeless Prevention and Rapid Re-Housing Standards****ELIGIBILITY/PRIORITIZATION:**

Minimum standards for determining and prioritizing which eligible families and individuals shall receive homelessness prevention assistance and which eligible families and individuals shall receive rapid rehousing assistance are:

**Rapid Re-housing (RR)** – To be eligible for RR Housing Relocation and Stabilization Services and Short-term and Medium-term Rental Assistance, people must:

- Meet the federal criteria under category (1) of the "homeless" definition in 24 CFR 576.2
- Meet the criteria under category (4) of the "homeless" definition in 24 CFR 576.2 and live in an emergency shelter or other place described in category (1) of the "homeless" definition.
- Program participant's annual income, at annual review must be less than or equal to 30% of the Area Median Income
- Meet the federal requirements under categories 1, 2, or 4. (literally homeless, imminently losing primary nighttime residence, and fleeing domestic violence) for CoC funded projects
- All participants must lack sufficient resources or support networks to retain housing without ESG or CoC assistance.

**Homelessness Prevention (HP) ESG** – To be eligible for HP Housing Relocation and Stabilization Services and Short-term and Medium-term Rental Assistance, people must require HP services to prevent moving into an emergency shelter or another place

described in category (1) of the "homeless" definition in 24 CFR 576.2, have an annual income below 30% of the median income for the area and:

- Meet the federal criteria under the "at risk of homelessness" definition in 24 CFR
  - 576.2 (3)(R)
- Meet the criteria in category (2), or (4) of the "homeless" definition in 24 CFR
  - 576.2.

**Priority populations for Rapid Rehousing.**

In providing rapid rehousing assistance, providers shall prioritize the following sub-populations:

- Families with children;
- Domestic violence survivors;
- Single persons without long term disabilities; and
- Veterans, especially those persons who have served in the US military but are not eligible for services from the Department of Veterans Affairs (VA) or who are unable to access services from the VA.

**SERVICES PROVIDED:**

**Housing Relocation and Stabilization Services:**

- **Housing search and placement services** – Payment shall only be made for assisting participants to locate, obtain and retain suitable permanent housing through provision of the following services: assessment of housing barriers, needs and preferences, development of an action plan for locating housing; housing search, outreach to and negotiation with owners, assistance with submitting rental applications and understanding leases, assessment of housing for compliance with ESG requirements for habitability, lead-based paint and rent reasonableness, assistance with obtaining utilities and making moving arrangements and tenant counseling. Payment for housing search and placement services shall not exceed 24 months during any 3-year period.
- **Housing stability case management** – Payment shall only be made for assessing, arranging, coordinating and monitoring the delivery of individualized services to facilitate housing stability for a participant who resides in permanent housing or to assist a participant in overcoming immediate barriers to obtaining housing through provision of the following services: using the centralized or coordinated assessment system, conducting the initial evaluation, including verifying and documenting participant eligibility, counseling, developing, securing and coordinating services and obtaining Federal, State and local benefits, monitoring and evaluating participant progress, providing information and referral to other providers, developing an individualized housing and service plan and conducting re-evaluations

Payment for housing stability case management services provided while the participant is seeking permanent housing shall not exceed 30 days. Payment for housing stability case management services provided while the participant is living in permanent

housing shall not exceed 24 months.

#### **PARTICIPANT CONTRIBUTION:**

Minimum standards for determining what percentage or amount of rent and utilities costs each program participant shall pay while receiving homelessness prevention or rapid re-housing assistance are:

- Participant's income shall be verified prior to approval for initial and additional financial assistance. Documentation of the participant's income and expenses, including how the participant is contributing to housing costs, if at all, shall be maintained in participant's file. This file shall also contain a plan to sustain housing following the assistance, including either a plan to increase income or decrease expenses or both.
- Participants are not required to contribute rent. Providers funded under ESG or CoC may pay up to 100 percent of the reasonable rent and utility costs for program participants. Providers may, at their discretion, choose to impose rental charges on participants. In the event that providers elect to charge rent or occupancy charges, these charges may not exceed those established in 24 CFR 578.77.
- Any additional requirements regarding the percentage or amount of rent and utilities costs each program participant shall pay shall be determined by the individual service provider's policies and clearly communicated to program participants.

#### **RENTAL ASSISTANCE DURATION AND ADJUSTMENT:**

Minimum standards for determining how long a particular program participant shall be provided with rental assistance and whether and how the amount of that assistance shall be adjusted over time are:

- Participants receive approval for the minimum amount of financial assistance necessary to prevent homelessness. Documentation of financial need shall be kept in the participant's file for each month of financial assistance received. Participants shall not be approved for more rental assistance than can be justified given their income and expenses at a given time.
- Approval for rental assistance shall be granted in three month increments. Providers must re-assess the continuing need for rental assistance before approving an additional three month increment. In no event will assistance under rapid rehousing exceed 24 months in any 36 month period.
- Any additional requirements regarding how long a program participant shall be provided with rental assistance and whether and how the amount of that assistance shall be adjusted over time shall be determined by the individual service provider's policies and clearly communicated to program participants.

#### **SERVICE TYPE, AMOUNT & DURATION:**

Minimum standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention or rapid rehousing assistance that each program participant shall receive,

such as the maximum amount of assistance, maximum number of months the program participant may receive assistance; or the maximum number of times the program participant may receive assistance are:

Financial Assistance:

- **Use with other subsidies** – Payment for Financial Assistance costs shall not be provided to a participant who is receiving the same type of financial assistance through other public sources or to a participant who has been provided with replacement housing payments under the URA, during the period of time covered by the URA payments.
- **Rental application fees** – Payment shall only be made for fees charged by the owner to all applicants.
- **Security deposits** – Payment shall not exceed two (2) month's rent.
- **Last month's rent** – Payment shall not exceed one (1) month's rent and shall be included in calculating the participant's total rental assistance.
- **Utility deposits [ESG/CoC]** – Payment shall only be made for gas, electric, water and sewage deposits.
- **Utility payments:**
  - Payment shall not exceed 24 months per participant, including no more than 6 months of utility payments in arrears, per service;
  - A partial payment counts as 1 month.
  - Payment shall only be made if the utility account is in the name of the participant or a member of the same household.
  - Payment shall only be made for gas, electric, water and sewage costs.
  - Participants shall not receive more than 24 months of utility assistance within any 3-year period.
- **Moving costs** – reasonable one-time moving expenses are eligible.

**RE-EVALUATIONS:**

Minimum standards for completing eligibility re-evaluations of individuals and families are:

**Timing:**

- **Homelessness Prevention** – participants shall be re-evaluated not less than once every three months
- **Rapid Rehousing** – participants shall be re-evaluated not less than once annually

**Eligibility:**

- The participant shall have an annual income that is 30 percent of median family income for the area or less, as determined by HUD [ESG only]; and
- The participant shall lack sufficient resources and support networks necessary to retain housing without ESG/CoC assistance.



## ESG Policies and Procedures

### 1. **Standard policies and procedures for evaluating individuals' and families' eligibility for assistance under Emergency Solutions Grant (ESG)**

Individuals and families eligible for emergency shelter housing funded by ESG funds must be homeless as defined by the General Definition of Homeless Individual, found in the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH Act) Section 103 [42 USC 11302].

Clients assisted with ESG funds need to be entered into HMIS during client intake, agency must maintain a minimum HMIS data quality of 90%. Agencies solely providing emergency shelter to victims of domestic violence, stalking, sexual abuse, and trafficking are exempt. In those cases, a comparable database should be used that protects the identity and safety of clients.

### 2. **Standards for targeting and providing essential services related to street outreach**

ESG Funds are not used for Street Outreach activities therefore, no standards are being submitted for this component.

### 3. **Policies and procedures for admission, diversion, referral, and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest;**

**Homeless individuals/families** seeking shelter must be provided shelter based on availability. If there are no appropriate or available beds immediately available for the client at the location he/she is seeking assistance, then the agency must collaborate with another provider to place client into another appropriate shelter.

Shelters must meet or exceed minimum habitability standards specified in CFR 576.403 that cover building structure and materials, access, space and security, interior air quality, water supply, sanitary facilities, thermal environment, illumination and electricity, food preparation, sanitary conditions, and fire safety.

There is no imposed limit on the length of stay. It is the discretion of the agency and program providing shelter services to set limits, if any, on the length of stay depending on the target population, client's barriers to obtain permanent housing, and other circumstances the client is facing.

Per HUD, sheltered families with children cannot be broken apart. If no shelter is available on-site, an alternative living arrangement must place the family together which may include placement at another shelter that houses families, or hotel-motel rooms (only in areas where no other appropriate shelter is available).

Providers should aim to have clients leave the program into a permanent and stable housing situation. This can be placement into supportive housing, or client may become self-sufficient and able to maintain his/her own housing with a stable source in income. If client leaves the program and is not stably housed, all efforts should be made to place client into another more appropriate shelter/ housing situation.

**Vulnerable populations** seeking shelter need access to appropriate shelter that is safe, sanitary, and meets or exceeds minimum habitability standards. This population includes victims of domestic violence, youth, people with special needs, the elderly, medically frail, mentally ill, and victims of human trafficking. Upon intake and if necessary, client may be referred and sheltered elsewhere in a more appropriate location. Emergency shelters that provide housing to victims of domestic violence must have an appropriate security system in place to protect housed victims of domestic violence from their perpetrators. Currently there are a few providers that offer emergency shelter beds and supportive services to these vulnerable populations. There is no time limit on their length of stay. Clients are not discharged back out to the street or into unsafe, lying conditions, but if necessary are referred to another appropriate housing program.

In addition to homeless clients seeking shelter, street outreach is conducted by local homeless providers including Maine's DHHS PATH Program as well as local youth serving agencies funded by DHHS and/or ACYF to get homeless people located in places not meant for human habitation into emergency shelter or transitional/ permanent housing.

#### **4. Policies and procedures for assessing, prioritizing, and reassessing individuals' and families' needs for essential services related to emergency shelter;**

Clients assisted with ESC funds are to be entered into HMIS during client intake and agency must maintain a minimum HMIS data quality of 90% except agencies solely providing emergency shelter to victims of domestic violence, stalking, sexual abuse, and trafficking are exempt. In those cases, a comparable database should be used that protects the identity and safety of clients.

**Clients must be assisted to the maximum extent possible with connections to other programs** targeted to homeless people in the local Continuum of Care area, as well as mainstream housing, health, social services, employment, education and youth programs for which they may be eligible (see 576.4 Area- wide systems coordination, sections b and c for a full list). This includes CoC, HUD-VASH, Education for homeless Children and Youth, Health Care for Homeless, Runaway and Homeless Youth, Homeless Veterans Reintegration, Section 8, Public Housing, HOME Investment Partnership, Workforce Investment Act, and TANF programs. When assisting vulnerable populations, services need to be tailored to address their special needs. Individualized case management is also highly encouraged. To improve awareness of services, ESC funded agencies are required to attend training and meeting sessions on homeless services in the community. This includes the Mainstream Programs Basic Training, the CoC Committees and SOAR training when available.

#### **5. Policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers;**

**other homeless assistance providers; and mainstream service and housing providers. See § 576.400(b) and (c) for a list of programs with which ESG-funded activities must be coordinated and integrated to the maximum extent practicable;**

Given this context, Sub-recipients that receive funding through ESG will be subject to the following coordination requirements:

- **Street Outreach:** Street outreach providers must coordinate their services with emergency shelters and utilize the centralized intake system whenever possible (i.e. contact centralized intake to see if the client has already used services within the system, work with emergency shelters to meet the immediate need for shelter, etc.). It is expected that outreach providers will coordinate with emergency shelters for unsheltered clients who need shelter while looking for permanent housing
- **Emergency Shelter:** Shelter providers must partner with Rapid Re-housing providers to ensure that shelter clients have access to services that can quickly re-stabilize their housing situation (i.e. link with permanent housing).
- **Homelessness Prevention:** Sub-recipients receiving Homelessness Prevention funding will be expected to participate in a coordinated service system.
- **Rapid Re-housing:** Sub-recipients receiving ESG funding for rapid-re-housing services will be expected to use the centralized intake system to get referrals. In addition, the following requirements apply:

Once a centralized coordinated intake is in adopted by the Continuum of Care and in place in the state of Maine, providers assisted with ESG funds must participate in the centralized coordinated intake system. Providers are also required have their most recent information updated in Nevada 2-11. To improve collaboration and awareness of services, ESG funded agencies are required to attend training and meeting sessions on homeless services in the community.

Case management and intake staff are required to attend Mainstream Programs Basic Training classes which provide information on the local and federal resources and programs covering the following core topics include: Income Supports, Employment Services, Health Care, Legal Services, and Housing Resources. Specialized topics typically include: Veterans, Housing Resources, Employment Services/Income Supports, Addictions & Mental Health, Homeless Youth/Young Adults and Families w/ Children, Human Trafficking, Senior Services/ HealthCare Services, Legal Services/ Financial Literacy, Domestic Violence, HIV/AIDS, and Services for Persons with Disabilities.

ESG sub-recipients on the director or management level are required to be a member of one of Maine's two CoC's and to participate on at least one sub committee.

**vi. Policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance;**

Homelessness Prevention Assistance: For households that meet the minimum eligibility requirements, priority will be given to subpopulations that are at high risk of losing their housing without rental assistance:

- Families who are about to enter shelter
- Families who show evidence they will be literally homeless in three business days or less (and have no other options)
- Single mothers under the age of 30 without a high school diploma or GED, with two or more children, currently on public assistance and
- Families where the head of household was in foster care as a youth

Rapid Re-housing Assistance: For households that meet the minimum eligibility requirements, priority will be given to clients in the following order:

- Unsheltered individuals and families (currently staying in a place not meant for human habitation)
- Individuals and families in emergency shelters
- All other individuals and families who meet the definition of "literally homeless"

**Intake and HMIS:** Sub-recipients are required to use HMIS during client intake and also complete the Vi-SPDAT Assessment when conducting client intake for homeless prevention or rapid re-housing assistance. Criteria must be supported by documentation that has been copied and uploaded into the electronic file in HMIS and stored in the client's paper file.

**Homeless Prevention:** ESG Funds are not used for Homeless Prevention activities therefore, no standards are being submitted for this component.

**Rapid Re-housing: Eligible participants** need to be literally homeless. To be eligible beneficiaries must meet the definition of homelessness under paragraph 1 of the "homeless definition" defined by the ESG interim rule, or meet criteria under paragraph 4 of homeless definition AND live in an emergency shelter or other place described in paragraph 1 of homeless definition. Clients eligible under the HUD definition of literally homeless and who score over 30 points on the Housing Needs Assessment matrix will receive priority over other eligible persons.

**6. Standards for determining what percentage or amount of rent and utilities costs each program participant must pay while receiving homelessness prevention or rapid re-housing assistance;**

For both homelessness prevention and rapid re-housing services, the following standards apply to determining the client's share of rent and utilities:

- Each household is required to contribute at least 30% of their current income toward their rent each month and cover 100% of their utilities. This amount needs to be clearly documented and includes a utility allowance if they pay for utilities directly. The actual contribution will be determined monthly, based on each household's specific situation and financial resources. Program staff will help households obtain outside utility assistance if they are unable to pay for the utilities themselves (i.e. no income). In rare cases where the household is unable to locate other utility assistance, ESG funds can be used if the household demonstrates a clear need for assistance (i.e. utility shut-off notice, monthly budget indicating the inability to pay utilities). If ESG funds are used, the payment should

take into consideration the previous utility allowance given to the household in the client contribution calculation for rent.

- Up to six months of payment towards rent/utility arrears may be provided. If a household is more than two (2) months in arrears, program staff should attempt to negotiate a payment plan and/or identify other community resources to assist the household.

**8. Standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time;**

The duration of rental assistance provided to program participants will be determined by the following policies:

- The standard duration of rental assistance will be 12 months
  - Reassessment of eligibility will occur every 3 months for Homelessness Prevention, and every 6 months for Rapid Re-housing
- On a case-by-case basis, service providers may request an extension in assistance, up to a maximum of 24 months. Requests will be made in writing to the Pierce County Community Connections.
  - For households that are extended beyond 12 months, a reassessment of eligibility will occur every 3 months

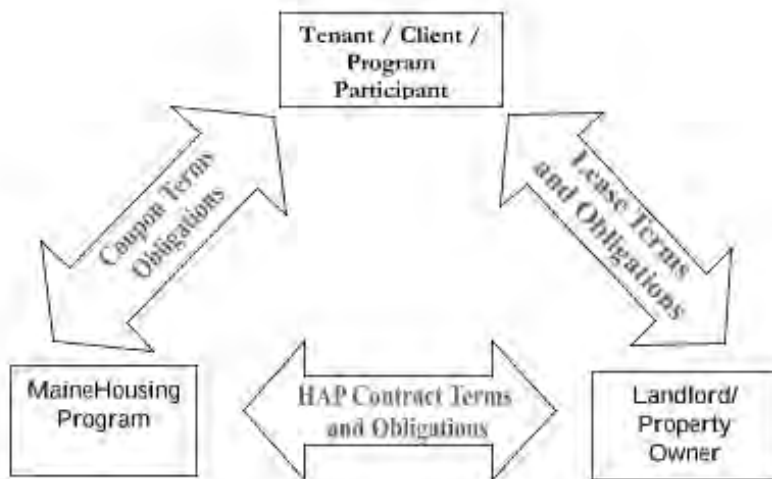
**9. Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participant receive assistance; or the maximum number of times the program participant may receive assistance.**

The following policies apply when determining the type, amount, and duration of housing stabilization and/or relocation services to program participants:

- The standard duration of stabilization services will be 12 months
- Reassessment of eligibility and need for services will occur every 3 months for Homelessness Prevention, and every 6 months for Rapid Re- housing
- On a case-by-case basis, service providers may request an extension in services, up to a maximum of 24 months.
- For households that are extended beyond 12 months, a reassessment of eligibility and need for services will occur every 3 months

**MAINE STATE HOUSING AUTHORITY**

**ADMINISTRATIVE PLAN FOR THE  
STABILITY THROUGH ENGAGEMENT PROGRAM (STEP) &  
MAINE RAPID RE-HOUSING TENANT BASED RENTAL  
ASSISTANCE PROGRAM (Maine TBRA)**



## SECTION 4: GENERAL POLICIES

### A. Purpose of the Plan

The purpose of this Administrative Plan (Plan) is to describe the policies for which the Maine State Housing Authority (MaineHousing) has discretion in the operation of its Stability Through Engagement Program (STEP), funded under the HOME Investment Partnerships Program regulations at 24 CFR Part 92 (FedHOME regulations) and the Maine Rapid Re-Housing Tenant Based Rental Assistance Program (Maine TBRA), funded under the Continuum of Care Program Regulations at 24 CFR Part 578. While STEP and Maine TBRA (the Program(s)) are operated in strict accordance with federal regulations, the Plan is not intended to restate mandated policies and procedures of the United States Department of Housing and Urban Development (HUD). To the extent that anything in this Plan contradicts federal law or regulations, now existing or hereafter amended from time to time, the federal law or regulation will take precedence.

The goal of this Plan is to provide an overview of MaineHousing policies. More detailed procedures, forms and related program documents are described in the current Emergency Shelter and Housing Program (ESHAP) Program Guide and Application. Unless otherwise specified in this Plan, or the Program Guide, STEP and Maine TBRA shall be guided by the policies and procedures established in the current MaineHousing Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs. The Administrative Plan is available on the MaineHousing website at the following link:

[http://www.mainehousing.org/programs\\_services/rental/rental@maine/HousingChoiceVouchers](http://www.mainehousing.org/programs_services/rental/rental@maine/HousingChoiceVouchers)

### B. MaineHousing's Equal Access Policy

Maine State Housing Authority ("MaineHousing") does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, national origin, ancestry, physical or mental disability, age, familial status or receipt of public assistance in the admission or access to or treatment in its programs and activities. In employment, MaineHousing does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, national origin, ancestry, age, physical or mental disability or genetic information. MaineHousing will provide appropriate communication auxiliary aids and services upon sufficient notice. MaineHousing will also provide this document in alternative formats upon sufficient notice. MaineHousing has designated the following person responsible for coordinating compliance with applicable federal and state nondiscrimination requirements and addressing grievances:

Louise Patenaude  
Maine State Housing Authority  
353 Water Street  
Augusta, Maine 04330  
Telephone Number (207) 626-4600 (voice) or 1-800-452-4668 (voice in state only)  
or Maine Relay 711

In the administration of its programs, MaineHousing will comply with, and will require its Owners to comply with, all applicable nondiscrimination and equal opportunity laws, including without limitation the following laws, as amended from time to time:

- The Fair Housing Act (42 U.S.C. 3610-3619);
- Title VI of the Civil Rights Act of 1964;
- The Age Discrimination Act of 1975;
- Executive Order 11063, Equal Opportunity in Housing, 1962, as amended;
- Executive Order 12259, 46 FR 1253 (1980), as amended;
- Executive Order 12892, 59 FR 2939 (1994);
- Section 504 of the Rehabilitation Act of 1973;
- Title II of the Americans with Disabilities Act, 42 U.S.C. 12101;

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### **C. Fair Housing Complaints**

MaineHousing provides assistance to applicants and Participants claiming illegal discrimination by printing the equal housing logo or slogan on all outreach information; posting equal housing posters in all offices; assisting applicants and Participants in completing appropriate paperwork; and referring families experiencing problems to the Maine Human Rights Commission, HUD, or other legal services.

All applicants receive a copy of Form HUD-903.1 "Are You a Victim of Housing Discrimination" which includes the toll-free number for the Housing Discrimination Hotline and the address for filing a complaint with HUD.

### **D. Code of Conduct**

#### **1. Conflicts of Interest**

Neither MaineHousing, nor its contractors, subcontractors, or Agents may enter into any contract or arrangement in connection with the Programs in which any of the following persons has a direct or indirect interest during service or for one year after service.

- Any present or former commissioner of MaineHousing (except a Participant commissioner).
- Any employee of MaineHousing, or any contractor, subcontractor or Agent for MaineHousing, who formulates policy or influences decisions with respect to the Program.
- Any public official, member of a governing body, or State or local legislator, who exercises functions or responsibilities with respect to the Programs.
- Any member of the United States Congress.

Any person listed above must disclose his or her direct or indirect interest, or prospective interest, in such a contract or arrangement to MaineHousing and to HUD. HUD may waive the above conflict of interest provisions for good cause.

No employee, commissioner or Agent of MaineHousing shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

- The employee, officer, or Agent,
- Any member of their family,
- Domestic partner,
- Or an organization which employs, or is about to employ any of the above, has a financial or other interest in the firm selected for the award.

Any Agent may not provide administrative services in connection with any Unit in which the Agent either has an ownership interest or for which the Agent provides any type of management service. In the event an Agent owned or managed Unit is located within the Agent's jurisdiction, MaineHousing will retain a substitute administrator for such Unit.

#### **2. Gifts and Other Compensation**

Any employee or commissioner of MaineHousing may not accept any gift, compensation or service beyond nominal value from any person or organization with which MaineHousing does business. This prohibition includes persons and organizations that have done business with MaineHousing in the recent past and those considering or attempting to do business in the future. Any person or entity that is a contractor, subcontractor, or Agent for MaineHousing in connection with the

Programs may not accept any gift, compensation or service beyond nominal value from any person or organization associated with the Programs.

Compensation includes gifts, services, or money to members of the immediate Family or Household of the employee, contractor, subcontractor or Agent, or gifts, services or money given to anyone on behalf of the employee, contractor, subcontractor or Agent. Employees, contractors, subcontractors and Agents need to be sensitive to the appearance of impropriety in accepting any gift, service or compensation of any value, including the purchase of meals. No gift, service or compensation may be accepted if the intent is to influence decision-making. Employees, contractors, subcontractors and Agents should use prudent judgment when evaluating the purpose of the gift giving and in the acceptance of the gift, even a token item of minimal value. Employees, contractors, subcontractors and Agents are also prohibited from accepting multiple gifts, services or compensation from one person or organization, which when combined would be beyond nominal value in any calendar year.

Compensation from public speaking engagements, other than compensation for actual expenses, is subject to MaineHousing's policy if (i) the subject of the speech or discussion relates to MaineHousing's business, or (ii) the event or occasion for the speech is sponsored or hosted by an individual or organization with which MaineHousing transacts business.

### **3. Remedies for Violation**

MaineHousing may take disciplinary action up to and including termination for any conduct by an employee that violates any of MaineHousing's policies, including its conflicts of interest and gifts and other compensation policies. The timing, sequence, and degree of discipline will depend upon the facts and circumstances of each case. Maine law also provides for the removal of a commissioner or director for misconduct in office, after notice and a hearing.

### **E. Area of Operation**

MaineHousing's area of operation will be statewide in the State of Maine. The STEP and Maine TBRA Programs may be administered in whole or in part by MaineHousing in different areas of the State of Maine.

### **F. Homeless Program Officer**

MaineHousing Homeless Program Officers (Program Officer) will work with grantees of the Program. At a minimum, the Program Officer will provide the following services:

- Review Program applications and determine applicant eligibility based upon:
  - Verification of homelessness documents
  - Income eligibility documents
  - Results of Criminal Background Check
- Review and approve or deny Request for Unit Approval
- Arrange the initial Housing Quality Standard (HQS) inspection, provided that the unit is available. An assigned HVC HQS inspector will conduct all inspections.
- Process all documents necessary for landlord payments and manage all correspondence and calculations in regards to tenant and program payments to landlords
- Complete subsidy calculations
- Calculate Utility Allowances
- Arrange for any Informal review or hearing procedures
- Process all necessary client terminations or end of program participation
- Monitor client files to ensure that the grantee is in compliance with recordkeeping requirements

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### **G. Housing Assistance Navigator**

In addition to the roles and expectations referenced in the ESHAP Program Guide, each grantee of the Program will have at least one Primary Navigator whose responsibilities for the Program will include, but are not limited to the following:

- Assist applicants in preparing and submitting Program applications
- Assist applicants in the development of a Housing Stability Plan
- Conduct coupon briefings for households approved for Program Coupons
- Assist applicants with housing search and placement
- Conduct rent reasonableness reviews
- Provide Outreach to and negotiation with landlords
- Review all Program Request for Unit Approval documents necessary to request a unit inspection
- Assist with submitting rental applications and understanding leases
- Assess housing for compliance with Emergency Solutions Grant (ESG) requirements for habitability, lead-based paint, and rent reasonableness
- Assist with obtaining utilities and making moving arrangements
- Conduct re-evaluations of participant progress, including updating the Housing Stability Plan at least every 90 days
- Assist with mediation between the program participant and the owner or person(s) with whom the program participant is living as is necessary to prevent the program participant from losing permanent housing
- Provide credit and budget coaching necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems
- Provide Renter Education Program curriculum consisting of:
  - Landlord and Tenant rights and responsibilities
  - Maintenance and care of your home; standards of cleanliness
  - Planning a move
- Meet periodically with a Homeless Program Officer for a comprehensive monitoring review which will include:
  - A review of client files
  - Coaching and technical assistance as needed with a focus on housing
  - Assurance that best practice models for Rapid Re-housing are being utilized

## **SECTION 2: ELIGIBILITY AND REQUIREMENTS**

### **A. Homelessness**

The Program offers short-term or medium-term rental assistance targeted to homeless individuals and families that meet HUD homeless status eligibility as outlined in 42 USC § 11302.

### **B. Income Guidelines**

For STEP, the Applicant's annual income must be at or below 50% of area median income (AMI) for their Household size. However, up to 10% of the total number of Participants receiving rental assistance under the STEP Program may have annual income up to 80% of area median income. For Maine TBRA, the

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Applicant's annual income must be between 30% and 50% AMI. Income includes gross Household Income from all sources. The rules under HUD's Section 8 Housing Choice Voucher Program will be used to determine annual income and area median income.

#### **C. Housing Stability Plan**

Participation in a Housing Stability Plan (Plan) is a requirement in these Programs. A Plan will be developed and agreed upon by all adult members of the household and the Navigator. The Navigator will review and update the Housing Stability Plan with the household at least every 90 days, including updated income information for all adult household members. The participant will report and provide back-up documentation to the Navigator regarding any significant changes in his or her circumstances that may affect his or her ability to complete the Plan.

#### **D. Previous Participation**

Individuals who have previously participated as adult members of a Family participating in either Program are not eligible for readmission to either Program. MaineHousing may consider a waiver for extenuating circumstances, to include but not limited to situations involving domestic violence.

#### **E. Applicants with Disabilities**

Applicants with Disabilities or with a Family member with Disabilities that require a reasonable accommodation in order to fully utilize the Program will be given an opportunity to request an accommodation at the time of application and at any time throughout participation in the Program. MaineHousing will make reasonable accommodations to allow a person with Disabilities equal access to the Program. In response to a request for a reasonable accommodation, MaineHousing may request reliable Disability-related information that (1) is necessary to verify that the person meets the definition of "Disability" under applicable federal and State of Maine statutes and regulations, (2) describes the needed accommodation, and (3) shows the relationship between the person's Disability and the requested accommodation. The information will be provided by a reliable third party who is in a position to know about the person's Disability, such as a doctor, other medical professional or non-medical service agency. Medical records or other detailed information about the nature of the Disability will generally not be necessary. All information provided will be used by MaineHousing only to make or assess a decision to grant or deny a reasonable accommodation request.

### **SECTION 3: PROCEDURES FOR PARTICIPANT SELECTION**

#### **A. Participant Selection**

MaineHousing will accept completed applications for the Program from awarded grantees of the ESHAP Program. Incomplete applications will not be processed. Completed applications will be submitted for review and final approval by the Program Officer. Applications will be received on a first come first served basis only when there is funding available.

The Program Officer will review the completed application for eligibility. Submission of a completed application does not ensure admission to the Program. Once the Program Officer approves the application and background checks they will notify the Navigator and authorize them to schedule the Coupon Issuance Briefing with the applicant. Coupon Issuance Briefings should take place within one week of approval. Depending on the results of the application process, the applicant and his or her Household may be denied a Coupon.

Any applicants that are on an existing Section 8 waiting list will remain on that list. To remain active, applicants are responsible for maintaining and updating any necessary information while they are on any waiting list.

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## **SECTION 4: SUBSIDY STANDARDS**

### **A. Bedroom Allocation**

The following factors will be considered in determining bedroom allocations:

- Number of persons;
- Relationship of persons;
- Sex and age of persons; and
- Need to avoid overcrowding, maximize use of space, and minimize subsidy costs.

Bedrooms are allocated as follows:

- One bedroom for every two adults in the Household,
- One bedroom for every two children of the same sex,
- One bedroom for an only boy, only girl, or one additional same-sex child,
- One bedroom for an approved Live-in Aide.

A Family that consists of a pregnant woman (with no other persons in the Family) will be treated as a two-person Family for subsidy determination. Minors and full time college students who spend 50% or less time with the Family will not be considered for bedroom allocation. In no case will two currently-assisted Households, leased under any rental assistance program, be allowed to collect subsidy for the same Dependent(s). Exceptions may be granted by the Program Officer if justified by the age, sex, health, Disability, or relationship of Family members or other circumstances, or by the size of the rooms in the Unit.

## **SECTION 5: ABSENCE FROM UNIT**

A Family must notify the Navigator if it is absent from the Unit for 30 days in any 45-day period. During the absence from the Unit, the Housing Assistance Payment will be paid and the Family must pay the tenant portion of the rent. If the Family is absent from a STEP Unit for a period exceeding 60 consecutive days, or a Maine TBRA Unit for a period exceeding 90 consecutive days, for reasons other than health or emergency, Housing Assistance Payments will be terminated.

Families must comply with requests for verifications of health or emergency reasons or rental assistance will be terminated. Incarceration is not a health or emergency reason. Absences for any reason other than health or emergency reasons must be approved by the Program Officer.

## **SECTION 6: FAMILY SEPARATION**

When there are minor children in the Family, the adult Family member who is a signatory to the lease and is providing primary housing for the minor children retains the subsidy. Generally, when there are no minor children and an adult Family member leaves the Unit any remaining adult Family member who is a signatory to the lease retains the subsidy. Exceptions may be made on a case-by-case basis for extenuating circumstances.

## **SECTION 7: SCREENING FOR CRIMINAL ACTIVITY**

MaineHousing will screen each applicant and adult member of the applicant's Household for criminal activities, including Drug-related Criminal Activity, Violent Criminal Activity, and other criminal activity. An "adult" is a person who is 18 years of age or older, a person who was convicted of a crime as an adult when under the age of 18, or an emancipated minor. "Household" means the Family and any Live-in Aide approved by MaineHousing.

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Each adult member of the applicant Household will be required to sign a release form authorizing any law enforcement agency to release criminal conviction records. A refusal to submit a signed release form will disqualify the applicant Household from consideration for participation in the Program. MaineHousing will use the criminal conviction records information for admission screening and in determining whether to approve the addition of an adult Family member or a Live-in Aide as an occupant of the Unit. The Navigator may also consider information contained in criminal records in connection with the development of the Housing Stability Plan for a Program participant to determine obtainable housing stability of the applicant.

MaineHousing may obtain information concerning criminal activity for which there is no conviction from any other additional sources that are available to MaineHousing.

The Navigators will encourage Owners to check prior references and perform any background checks they may be using as a tenant selection criteria for potential tenants.

## **SECTION 8: DENIAL OF ADMISSION**

### **A. Mandatory Denial for Criminal Activity**

An applicant Household will not be eligible for admission to the Program if:

- Applicant or any Household member has ever been convicted of the manufacture or production of methamphetamine on the Premises of any federally-assisted housing, including the building or complex in which rental Units are located and the common areas and grounds.
- Maine Housing Policy: MaineHousing will deny assistance to any current user of Medical Marijuana in accordance with the Quality Housing and Work Responsibility Act of 1998, 42 U.S.C. § 13661.

### **B. Discretionary Denial for Criminal Activity**

An applicant Household may be denied admission to the Program, at MaineHousing's discretion, for other criminal activity, whether or not such activity has resulted in an arrest or conviction. In determining whether to deny admission to the Program when denial is not mandatory, MaineHousing may consider all relevant circumstances, including but not limited to the following: the seriousness of the matter; the amount of time since the criminal activity occurred; the extent of participation or culpability of individual Household members; any mitigating circumstances; and the effects of denial of admission on Family members who were not involved in the activity. As a condition of admission to the Program, MaineHousing, in its discretion, may require, among other things, proof of enrollment in, or successful completion of, a supervised Drug, alcohol or other rehabilitation program.

### **C. Discretionary Denial for Owing Money to MaineHousing**

The Program Officer may deny assistance to an applicant who owes monies to MaineHousing, or any other housing authority, unless the applicant has paid the funds in full or entered into a repayment agreement, prior to admission. If repayment arrangements are made, a copy of the repayment agreement must be submitted to the Navigator and become a part of the applicant's Stability Plan.

The Program Officer may deny assistance to an applicant who is not in good standing in regards to the terms of the repayment agreement with MaineHousing or any other housing authority.

### **D. Informal Reviews for Applicants**

Applicants who are denied admission to the Program may seek an informal review. MaineHousing shall give an applicant prompt written notice of the denial decision. The notice shall contain a brief statement of the reasons for the decision; inform the applicant that he or she may request an informal review of the decision; and describe how to obtain the informal review. The informal review may be conducted by any person other

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than the person who made or approved the decision or a subordinate of that person. The applicant will be given the opportunity to present written or oral objections to the decision to deny assistance. MaineHousing will promptly notify the applicant and Navigator in writing of the final decision after the informal review, including a brief statement of the reasons for the final decision.

No opportunity for informal review will be given for the following:

- Discretionary administrative determinations or consideration of general policy issues or class grievances.
- A determination of the number of bedrooms entered on the Coupon.
- A determination that a Unit located by a Coupon holder does not comply with HQS or MaineHousing standards.
- Disapproval of an Owner's lease for the Unit.
- A decision not to approve a request by a Coupon holder for an extension of the term of the Coupon beyond the initial 90 issuance.

## **SECTION 9: COUPON ISSUANCE, TERM, EXTENSIONS AND MOVING RESTRICTIONS**

### **A. Coupon Term and Extensions**

Each Coupon is the Family's authorization to search for housing and is issued after the Family has been verified eligible by the Program Officer and briefed on program requirements by the Navigator. The Coupon also describes the Family's obligations.

Each Coupon will initially be issued to the Family for a 90-day period during which time the Family is expected to find a Unit to rent. The Family must submit to the Navigator a completed Request for Unit Approval, signed Lease Addendum, Landlord W-9, Lead Paint Disclosure, Radon Gas Disclosure and unsigned copy of the lease within the 90-day period, unless an extension is granted by the Program Officer. The Family must submit a request for an extension in writing at least seven days before the expiration date on the Coupon. Authorization for an extension must be approved before the expiration of the Coupon or any extension. No suspension of time will be allowed. Exceptions may be made on a case-by-case basis for extenuating circumstances.

The Navigators should make themselves available to assist applicants and participants in locating and retaining housing and should reach out to Owners of rental property throughout the community.

The Program Officer may grant a 30-day extension for the following reasons:

- Extenuating circumstances, such as death or illness, which prevent the Family from finding a Unit;
- The Family submits "Request(s) for Unit Approval" which are denied by MaineHousing's Program Officer, or several Units fail;
- The Family size or market conditions make finding a Unit difficult.

If a Family does not find a Unit within the timeframe allowed, the Coupon is no longer valid. The Family may submit a new application and will be subject to the application review process.

If a Family with a member who is disabled requests in writing an additional extension as a reasonable accommodation, and makes such request prior to the expiration of the coupon, or original extension, MaineHousing will make an evaluation, based on regulations under Section 504 of the Rehabilitation Act of 1973 as amended (Section 504), and may grant an additional extension as a reasonable accommodation for families with a member who is disabled and needs an accessible Unit.

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### **B. Moving Restrictions**

During the initial term of the lease, MaineHousing will not allow any move by the Participant Family without the consent of the Owner unless an exception is granted by the Program Officer.

Exceptions may be granted for, but not limited to:

- Verified domestic violence
- Documented hate crimes
- Verified appropriate medical reasons
- Verified job offers
- The Unit becomes unsafe or unsanitary without the fault of the tenant Family or any of its guests and the Owner fails or refuses to satisfactorily remedy the situation within the time required by the Program Officer.

Unless excused by a provision of the lease or by law, tenants must pay all money owed to an Owner for unpaid rent or damages before moving to another Unit under the Program. MaineHousing will terminate assistance for unapproved moves.

## **SECTION 10: OWNERS**

### **A. Outreach to Owners**

The Navigators are available to assist applicants and participants in locating and retaining housing by reaching out to Owners of rental property throughout the community. MaineHousing in conjunction with Navigators will encourage Owners and property managers to participate in the Program by:

- Outreach to and negotiation with landlords.
- Assisting with mediation between the program participant and the owner or person(s) with whom the program participant is living as necessary to prevent the program participant from losing permanent housing.
- Developing and maintaining Program information for Owners and property managers.
- Addressing local Owner groups.
- Advertising via:
  - Newsletters/community resources guides/flyers
  - Local Owner publications

The Navigators may identify areas where participants are experiencing difficulty in finding rental housing and make presentations to Owners and property managers in those areas.

Owners are encouraged to check prior references and perform any background checks they may be using as tenant selection criteria for potential tenants.

### **B. Owner Enforcement**

Owners will be notified in writing of any violation of Owner obligations and will be given a specified period of time during which to take corrective action. Failure to correct violations will result in abatement of the rental assistance payments for those days the Owner was in non-compliance and could result in termination of the rental assistance payments through the Program as well as disapproval as a participating Owner in the future.

The Owner may not assign the rental assistance payments to a new Owner without the prior written consent of MaineHousing and must abide by the terms and conditions regarding assignment.

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### **C. Disapproval of Prospective Owners**

MaineHousing reserves the right to disapprove Owners from participating in the Program if:

- The Owner is in noncompliance, or has a history of noncompliance, with this or any other federal or state housing program, or state or local codes; or
- The Owner engages, or has a history of engaging, in abusive or violent behavior or criminal activity, including but not limited to:
  - Actual or implied threats or harm
  - Actions that threaten the health, safety or peaceful enjoyment of tenants
  - Abusive language
  - Stalking or harassment

## **SECTION II: HOUSING QUALITY**

### **A. Inspection Standards**

MaineHousing will inspect Units to ensure that the Units and the buildings in which they are located are decent, safe and sanitary. MaineHousing will use the Housing Quality Standards (HQS) established by HUD regulations in 24 CFR Section 982.401 as the minimum standard for compliance.

### **B. MaineHousing Standards**

In addition to HQS, MaineHousing has adopted additional local required inspection and performance standards as detailed in Chapter 8, Part I, Sections 8-I.A) and 8-I.B.) of MaineHousing's Housing Choice Voucher Administrative Plan.

### **C. Housing Inspections**

#### **1. Initial Inspections**

MaineHousing will conduct initial inspections within a reasonable amount of time of receiving a completed Request for Unit Approval packet. The initial inspection must comply with all HQS and MaineHousing inspection and performance standards before rental assistance payments can begin. The MaineHousing will notify the Owner of items needing repair. If the Owner is unwilling to make the necessary repairs, the Unit may not be occupied by the applicant.

#### **2. Other Inspections**

Special inspections will be performed at the request of the Family or the Owner or at the Program Officer's discretion.

In the event of an extension of rental assistance beyond the initial 12 month term, the unit, or any subsequent unit, must pass inspection by a MaineHousing HQS Inspector.

All inspections will be conducted using the HQS Inspection Checklist developed by HUD and also including the MaineHousing standards required by this Plan.

Program Owners must comply with applicable Section 504 regulations relating to modifications to their Units and must also comply with all other provisions of all civil rights and fair housing laws.

### **D. Owner's Responsibility; Follow-up Inspections**

If a Unit is occupied by a Participant, the Owner must correct within 24 hours life-threatening violations including but not limited to non-working smoke detectors, hazardous electrical situations, non-working carbon monoxide detectors, or loss of heating during the winter months, and must correct within 48 hours emergency violations including but not limited to loss of running or hot water. Other violations must be corrected within 30 days unless an extension is granted by the Program Officer.

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MaineHousing will notify the Owner, Navigator and Participant of the violations and the time limit within which to correct them.

MaineHousing will verify that the 24-hour and 48-hour deficiency repairs have been made, and perform a follow-up inspection as soon as possible. For all other deficiencies, MaineHousing will verify correction of the deficient items after all required repairs have been completed.

If violations are not corrected within the stated time limit, Housing Assistance Payments will cease beginning the first of the following month. If violations are corrected while the tenant is still a participant in the Program, payments may begin again as of the date of the correction.

If the Unit is determined to be uninhabitable because of fire, flood, or natural disaster damage, the rental assistance for that Unit will be terminated as of the end of the month in which the Unit was made uninhabitable. No 30-day notice of rental assistance termination will be required. The Family will be issued a Coupon to search for a new Unit.

#### **E. Tenant-Caused HQS Violations**

MaineHousing will notify the tenant, Navigator and the Owner of a tenant-caused HQS violation and the time limit within which to correct it. A tenant-caused violation is:

- Failure to pay for tenant-supplied Utilities,
- Failure to provide and maintain any tenant-supplied appliance, and
- Damage caused by the tenant or a guest to the Unit or Premises that is an HQS failure.

Tenants must make restitution for tenant-caused HQS violations. If the tenant fails to do so, the Owner may evict the tenant and MaineHousing may terminate Housing Assistance Payments.

### **SECTION 12: RENT REASONABLENESS SYSTEM**

MaineHousing has developed a rent reasonableness system in accordance with HUD guidelines so that the Navigators can compare program Units with market rate Units. Specifically, the system in place will allow MaineHousing to establish appropriate rents for program Units by comparing them to unassisted Units, taking the following into consideration: location, Unit size, Unit type, quality, accessibility, amenities, facilities, management and maintenance services, age, rent and Utilities. If the rental amount for a particular unit exceeds the HUD approved rent amount, and the landlord is not willing to negotiate a lower rental amount, the Navigator may research the rental market in that specific area to obtain documentation to determine if the rent amount is justified. The Navigator should include all of the considerations outlined above, and be able to show that there are no comparable units in the area that would fall within the established guidelines.

### **SECTION 13: UTILITY DEPOSITS**

The STEP Program may provide a one-time utility deposit to assist Participants in obtaining utility services for their Unit. Utility deposit assistance may be used only for Utilities permitted under the Section 8 Housing Choice Voucher utility allowance, which includes electricity, gas, oil, sewer and water, but does not include telephone and cable television. A utility deposit may be provided under the STEP Program only if (i) the tenant Family has been issued a rental assistance Coupon, (ii) the Unit selected by the tenant Family has passed inspection, and (iii) the tenant Family has entered into a lease with the Owner.

STEP Utility Deposits will be made on behalf of a Family directly to the utility company, upon receipt of proper documentation, and will not be recaptured by the STEP Program.

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Utility Deposits are not available under the Maine TBRA Program. Navigators will assist Maine TBRA Participants in identifying and applying for alternative resources if they require a Utility Deposit.

#### **SECTION 14: SECURITY DEPOSITS**

The Program may provide a security deposit on behalf of the Family to assist them in securing a Unit under their initial lease. A security deposit may be provided under the Program only if (i) the tenant Family has been issued a rental assistance Coupon, (ii) the Unit selected by the tenant Family has passed inspection, and (iii) the tenant Family has entered into a lease with the Owner.

If a participating Family is authorized by MaineHousing to move to a new Unit with more bedrooms that requires a security deposit in excess of the initial security deposit amount provided by MaineHousing, MaineHousing may provide the additional amount to assist the Family in securing the new Unit. If a participating Family is authorized by MaineHousing to move to another Unit with the same number of bedrooms, or fewer, the security deposit for the subsequent Unit is the responsibility of the Family. Exceptions for additional security deposits payments may be approved by the Program Officer.

Security Deposits will be made directly to the Owner/landlord on behalf of a Family and will not be recaptured by the Program, but shall be returned to the Family. Owners must comply with all requirements of Maine law applying to security deposits to include those provisions governing return of security deposits upon termination of the tenancy.

MaineHousing will prohibit the Owner from collecting a security deposit in excess of private market practice in the area in which the Unit is located, or in excess of amounts charged by the Owner to unassisted tenants in that area. In no event will the Owner be permitted to collect a security deposit exceeding the equivalent of one month of rent for the Unit. Tenant is responsible for any pet deposit that may be charged.

#### **SECTION 15: RENTAL ASSISTANCE PAYMENTS AND EXTENSIONS**

##### **A. Assistance Payments**

MaineHousing will issue rental assistance payments to Owners, or their designated representatives. The Owner will be paid on or about the first day of the month for which the rental payment is due. The Owner agrees that the Owner's endorsement on the check or acceptance of the Electronic Funds Transfer (EFT) will be conclusive evidence that the Owner received the full amount due for the month, and will be a certification that:

- The Unit is in decent, safe and sanitary condition, and that the Owner is providing the services, maintenance and Utilities agreed to in the lease for the Unit.
- The Unit is leased to and occupied by the tenant named in the lease.
- The Owner has not received and will not receive any payments as rent for the Unit other than those identified in the lease.
- To the best of the Owner's knowledge, the Unit is used solely as the tenant's principal residence.

Payments for move ins and move outs, with effective dates not on the first day of the month, will be prorated to reflect the actual number of days.

If MaineHousing determines that the Owner is not entitled to any payments received, in addition to other remedies, MaineHousing may deduct the amount of the overpayment from any amounts due the Owner, including the amounts due under any other Program rental assistance payment.

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**B. Extensions of Assistance**

Each participant will be allowed up to 12 months of rental assistance, subject to review and compliance with all requirements of the Program. At the end of the initial 12-month term, additional rental assistance may be provided, at the discretion of the Program Officer, in 90-day increments, not to exceed 12 months beyond the end of the initial term. Additional information regarding extensions is detailed in Section 19 B of this Plan.

**SECTION 16: LEASE TERM AND OTHER PROVISIONS**

The initial term of the lease between the Owner and the tenant will be for one year. For STEP the initial term may be less than one year if both parties agree to a shorter term.

No lease, or lease renewal that proposes to increase the amount of rent or change utility responsibilities for the Unit being rented, will be effective during the term of rental assistance unless it has been approved in advance by MaineHousing.

**SECTION 17: INCOME, ASSETS, EXPENSES AND MINIMUM RENT**

**A. Income, Assets & Expenses**

The income, assets and expenses allowed for each tenant family are described in HUD's Section 8 Housing Choice Voucher regulations, 24 C.F.R. Part 5, Subpart f and 24 C.F.R. Part 982, Subpart E.

For tenant Family income, assets and expenses MaineHousing will not accept written third-party verification provided directly from the tenant Family. If attempts to obtain verification are unsuccessful, MaineHousing will document oral verifications. Such documentation will include facts, date of contact, and source of information. If third-party verifications cannot be obtained, MaineHousing may accept secondary sources of verification.

MaineHousing will not include, as assets, assets valued at \$1,000 or less that have been disposed of for less than fair market value.

**B. Minimum Rent**

MaineHousing will require each tenant Family to pay a minimum of 30% of their adjusted gross income per month toward their rent and/or utility allowance.

**SECTION 18: CHANGES IN INCOME OR HOUSEHOLD COMPOSITION**

**A. Income Changes**

A change resulting in the reduction of the Family's income, and therefore, their share of the rent, will be effective as of the first of the month following the date of the reported change.

A change resulting in an increase in the amount of the Family's income by 25% or more will be processed once in a 90 day period after the Participant notifies the Navigator during the review of their Housing Stability Plan. The change will be effective on the first of the month following the notice given by MaineHousing.

**B. Household Composition**

The Family must inform the Navigator of the birth, adoption, or court-awarded custody of a child within 14 days of the event. Written approval from the landlord must be submitted to the Navigator when a Participant wants to add a member to the Household. The Participant must then have the approval of the Program Officer before adding any Household member or a Live-in Aide as an occupant of the Unit. Each

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additional adult Household member will be required to provide documentation regarding identity, citizenship status, income, and meet all other program requirements. As a condition of approval of the additional Household member, MaineHousing will screen each additional adult member for criminal activities and background. The additional adult member will be required to submit a signed release form authorizing any law enforcement agency to release criminal conviction records to MaineHousing and MaineHousing's use of the records and information to determine whether to approve the additional member as an occupant of the Unit. A refusal or failure to submit a signed release form for this purpose will result in a denial of approval to add the adult member as an occupant of the Unit. MaineHousing may obtain information concerning criminal activity for which there is no conviction from any other additional sources that are available to MaineHousing.

MaineHousing will deny approval to add the adult member as an occupant of the Unit if any of the reasons stated in Mandatory Denial for Criminal Activity exists. MaineHousing may deny such approval for any of the reasons stated in Discretionary Denial for Criminal Activity.

## **SECTION 19: COUPON TERM, COUPON RENEWAL and PROGRAM COMPLETION**

### **A. Coupon Term**

Program participants are required to meet monthly with their Navigator and to review and update their housing stability plan quarterly, unless the agency providing Navigator services is exempt from the requirement to meet with program participants monthly because they also receive funding under the Violence Against Women Act (VAWA) or the Family Violence Prevention and Services Act (FVPS), as these prohibit making housing conditional on the program participant's acceptance of services.

### **B. Coupon Extension**

Participants may be eligible to request an extension of assistance for additional 90 day terms, not to exceed a total of twelve months beyond the end of their initial 12 month term. Program Participants must work with their Navigator to submit a request for an extension to the Program Officer in writing, no less than 60 days prior to the end of their initial term. The request must include the following:

- Why the participant was not able to achieve housing stability within the initial term;
- How the extension will allow the participant to achieve housing stability;
- What specific steps the participant and the Navigator will take to ensure that the participant achieves housing stability during the extension.
- The agency must also commit in writing to providing all necessary ongoing navigator services required to ensure the participant achieves housing stability prior to the end of any extension, including monthly check-ins and 90 day updates.
  - a. These services must be provided for the duration of any extension(s), unless the participant is exited from the Program.
  - b. Funding to provide these services cannot be charged to the ESG Housing and Stabilization Share of agency's ESHAP funding as they will be taking place outside the initial 12 month time limit for ESG Housing and Stabilization Services.

To be eligible to request an extension the following will be considered:

- A determination that the Participant continues to meet Program eligibility requirements,
- A determination that a Participant has made some progress towards achieving the goals set forth in his or her Housing Stability Plan,
- A determination that a Participant has not violated Program Obligations.

If a request for an extension of assistance is approved the Navigator must obtain and submit the following information and/or documentation at least 30 days prior to the end of the initial 12 month term:

- Updated HMIS, DHHS and MaineHousing RCI forms for all household members

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- Updated Income Verifications from all sources for all adult household members
- Updated Housing Stability Plan relevant to the extension
- A new Landlord Packet including RFLA and all other forms and documents
  - If the client intends to stay in the current unit:
    - The unit must PASS reinspection by a MaineHousing HQS Inspector
    - MaineHousing will need a copy of the new lease, properly signed and dated
    - MaineHousing will issue a new HAP contract to the landlord
  - If the tenant intends to move to a new unit:
    - The tenant must give proper notice to their current landlord
    - The new unit must PASS inspection by a MaineHousing HQS Inspector
    - The tenant will be responsible for the Security Deposit for the new unit

Any additional extension requests must be submitted in writing within ten days prior to the expiration of the previous extension.

If the request for an extension is denied, a written notice of the denial will be sent to the tenant and Navigator, and the tenant's rental assistance will terminate as originally scheduled at the end of their initial 12 month term, or at the end of any previously approved extension.

### C. Program Completion

If a household completes the Program, their Housing Assistance Payments will end. A household will be considered to have completed the Program if:

- The household has completed their Housing Stability Plan and the goals set to attain housing stability;
- The household has voluntarily decided to withdraw from the program; or
- The household no longer needs the Coupon (i.e. they can pay the entire rental amount without assistance).

## SECTION 20: TERMINATION

MaineHousing will terminate Housing Assistance Payments for a Participant if:

- Any Household member has ever been convicted of Drug-related Criminal Activity relating to the manufacture or production of methamphetamine on the Premises of any federally-assisted housing, including the building or complex in which rental Units are located and the common areas and grounds.

MaineHousing may terminate Housing Assistance Payments for a Participant if any one or more of the following activities, conditions, or events occurs or exists:

- The Participant commits a serious or repeated violation of the lease.
- The Participant fails to make payments on monies owed to MaineHousing or any other housing authority.
- Any Household member commits fraud, bribery or any other corrupt or criminal act in connection with the Program.
- Owns or has any interest in the Unit.
- Any Household member engages in any Drug-related Criminal Activity.
- Any Household member engages in any Violent Criminal Activity.
- Any Household member engages in abuse of alcohol, illegal Drugs, or criminal activity that threatens the health, safety or peaceful enjoyment of the Premises by other residents (including property

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management staff residing on the Premises) and persons residing in the immediate vicinity of the Premises.

- Subleases or otherwise transfers the Unit or assigns the lease.
- Receive Program assistance while receiving another housing subsidy for the same Unit or a different Unit under any other Federal, State or local housing assistance program.
- Damages the Unit or Premises (other than ordinary wear and tear) or permits any guest to damage the Unit or Premises.
- Receives Program assistance while residing in a Unit owned by a parent, child, grandparent, grandchild, sister or brother of any member of the Family, unless MaineHousing has determined (and has notified the Owner and the Family of such determination) that approving the rental of the Unit, notwithstanding such relationship, would provide a reasonable accommodation for a Family member who is a person with Disabilities.
- Any Household member is violating a condition of probation or parole imposed under Federal or state law.
- Any Household member threatens or engages in abusive or violent behavior toward any person including but not limited to actual or implied threats of harm, abusive language, or stalking or harassment.
- The Participant fails to meet the Participant obligations stated in HUD regulations or Program documents. These obligations include, but are not limited to:
  - Supplying any information that MaineHousing determines to be necessary including information of Family Household income and composition.
  - Disclosing and verifying social security numbers and signing and submitting consent forms for obtaining information.
  - Promptly notifying the Navigator in writing when the Family is away from the Unit for an extended absence.
  - Obtaining written approval from the Owner and Navigator prior to adding any additional Household member or Live-in Aide to the Unit.
  - Allowing the Program Officer to inspect the Unit at reasonable times and after reasonable notice.
  - Notifying the Navigator and the Owner in writing at least 30 days before moving out of the Unit or terminating the lease.
  - Using the Unit as the Family's only residence.
  - Notifying the Navigator in writing, within 60 days of the event, of the birth, adoption or court-awarded custody of a child.
  - Giving the Navigator a copy of any Owner eviction notice upon receipt of notice.
  - Paying any utility bills and providing and maintaining any appliances that the Owner is not required to provide under the lease.
  - Paying the tenant portion of the monthly rent to the Owner.

In deciding whether to terminate Housing Assistance Payments, the Program Officer may consider the preponderance of evidence, which, in situations involving the termination for criminal activity, shall not require an arrest or conviction; the seriousness of the matter; the extent of participation or culpability of individual Household members; mitigating circumstances and the effects of termination on Family members who were not involved in the action.

In appropriate cases, the remaining Family members may be allowed to continue to receive assistance on the condition that any Household member who has engaged in domestic violence, Drug-related Criminal Activity or Violent Criminal Activity does not reside in the Unit. The Program Officer will ask the remaining Head of Household to sign an agreement not to allow the offending Household member(s) to reside in the Unit occupied by the Household. The Program Officer may terminate Housing Assistance Payments to any Family who violates the agreement.

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Once a decision to terminate Housing Assistance Payments is made, a 30-day written notice will be sent to the tenant, Navigator and Owner. If MaineHousing decides to terminate Housing Assistance Payments, the Rental Assistance Payment Contract will terminate and the Lease Addendum will become null and void as of the date stated in the notice.

## **SECTION 21: TERMINATION HEARINGS and ACTIONS NOT REQUIRING INFORMAL HEARINGS**

### **A. Termination Hearings**

MaineHousing shall give a Participant an opportunity for an informal hearing to consider whether decisions relating to the individual circumstances of the Participant are in accordance with applicable laws, HUD regulations and MaineHousing policies relating to a decision to terminate assistance for the Participant.

MaineHousing shall give a Participant prompt written notice of any decision that may result in a request for a hearing. The notice of the decision will be sent by mail to the Participant's last known address and shall contain the following:

- A brief statement of the reasons for the decision.
- The specific proposed action to be taken.
- A statement informing the Participant that an informal hearing may be requested within 10 days of receipt of the notice.
- A statement of how, where and when the request for hearing should be submitted.
- A statement that the Participant has the right to view any documents or evidence in the possession of MaineHousing upon which MaineHousing based its proposed action before the informal hearing.
- A statement that Housing Assistance Payments will continue during the informal hearing process.

Termination hearings conducted will comply with the following:

- The hearing will be conducted by a hearing officer in accordance with the Maine Administrative Procedures Act.
- At his or her own expense, a Participant may be represented by a lawyer or other representative.
- Prior to a hearing, Participant shall be given the opportunity to examine, and copy at their own expense, any documents, including records and program regulations, directly relevant to the hearing. MaineHousing will consider reasonable requests to waive the obligation to pay for documents a Participant may request which are directly relevant to the hearing. MaineHousing will provide the Participant with all documentary evidence it intends to enter into evidence at the hearing at no charge.
- MaineHousing must be given the opportunity to examine and copy at its offices before the hearing any Participant documents that are directly relevant to the hearing. The Participant must provide MaineHousing with any documents they wish to enter into evidence at the Hearing. The Participant may not rely on a document at the hearing that was not made available for inspection and copying.
- The person conducting the hearing will regulate the conduct of the hearing in accordance with these procedures.
- MaineHousing and the Participant shall be given the opportunity to present evidence and question witnesses. Evidence may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.

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- The person conducting the hearing shall issue a written decision, briefly stating the reasons for the decision, and provide a copy of the decision to the Participant within 7 business days of the hearing.
- Factual determinations relating to the individual circumstances of the Participant shall be based on a preponderance of the evidence presented at the hearing. The issues at the hearing will be whether MaineHousing's decision relating to the individual circumstances of the Participant were in accordance with applicable laws, HUD regulations and MaineHousing policies. The hearing shall not be a complete review of whether MaineHousing should have undertaken the proposed action. The hearing officer is not to impose the hearing officer's judgment on the wisdom of the decision.

MaineHousing shall not be bound by any hearing decision which is contrary to HUD regulations, Federal, State or local law, or this Plan, or which concerns a matter for which an informal hearing is not required to be provided and is in excess of the authority of the person conducting the hearing. If MaineHousing determines that it is not bound by a hearing decision, it shall promptly notify the Participant of the determination and the reasons for the determination.

#### **B. Actions Not Requiring Informal Hearings**

No opportunity for an informal hearing is provided for the following actions:

- Determinations that a Unit does not comply with HUD Housing Quality Standards or additional inspection and performance standards imposed by MaineHousing.
- Decisions to exercise any remedy against the Owner of a Unit, including but not limited to the termination of Housing Assistance Payments.
- Determinations that a Unit does not comply with HQS because of Family size.
- Decisions on how MaineHousing determines its utility allowance schedule.
- Discretionary administrative determinations or consideration of general policy issues or class-grievances.
- Decisions not to approve a Unit or tenancy.
- Decisions not to approve a request by a Participant for an extension of the term of a Coupon issued.

### **SECTION 22: PROGRAM FRAUD**

MaineHousing is dedicated to maintaining the integrity of the Program and will take positive steps to prevent the occurrence of program abuse, misrepresentation or fraudulent activity by Owners or program Participants.

#### **A. Owner Fraud and Program Abuse**

Fraudulent or program abuse activities by Owners include but are not limited to:

- The Owner receiving payment in excess of the rent stated in the lease.
- The Owner receiving payment for a Unit that is not occupied by the Participant Family identified in the lease as the occupants of that Unit.
- The Owner receiving payment for a Unit that the assisted Family has vacated.

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Actions that MaineHousing may take when an Owner has committed fraud or other program abuse include, but are not limited to:

- Deducing the amount of any overpayment from any amounts due the Owner, whether or not related to the fraud or program abuse.
- Terminating the rental assistance payments.
- Reporting violations to appropriate federal or state governmental agencies.
- Disapproving the Owner for further participation in the Program.

#### **B. Applicant and Participant Fraud and Program Abuse**

Fraudulent or program abuse activities by applicants or Participants include but are not limited to:

- Failure to report changes in Household income or assets within 14 days to the Navigator.
- Failure to report changes in Household composition within 14 days to Navigator.
- Allowing unauthorized individuals to reside in the Unit.
- Owning or having any interest in the Unit.

Actions that MaineHousing may take when an applicant or Participant has committed fraud or other program abuse include but are not limited to:

- Mandatory repayment to MaineHousing of all rental assistance, utility deposit, and security deposit payments that were made as a result of fraudulent information.
- Denial of assistance.
- Termination of assistance.
- Reporting violations to appropriate federal or state governmental agencies.

### **SECTION 23: PAYMENT POLICIES ON MONIES OWED**

If a Participant or Owner owes MaineHousing money, MaineHousing will notify the party of the amount owed and will offer a choice of payment in full or a repayment agreement. MaineHousing may, at its discretion, terminate Housing Assistance Payments for noncompliance with a signed repayment agreement. MaineHousing will maintain records of monies owed for such things as overpayments and/or fraud recovery.

#### **A. Participant Accounts**

Participant accounts will be accompanied by a repayment agreement to be completed and returned by the Participant.

- If the Participant fails to sign the agreement, MaineHousing may send notice that the bill must be paid or Housing Assistance Payments will be terminated.
- If the Participant owes monies to MaineHousing and is entitled to a utility reimbursement, MaineHousing will notify the Participant that this reimbursement will be withheld until the monies owed are paid in full.

The Participant will be given 30 days from the date of the notice in which to object.

#### **B. Owner Accounts**

If Owner accounts of monies owed to MaineHousing in excess of \$150.00 are not cleared by the date specified, MaineHousing will be entitled to exercise one or more rights and remedies available under the law or in equity and may report the non-payment to appropriate federal or state governmental agencies.

<sup>1</sup>STEP Administrative Plan – January 2017

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## APPENDIX A – DEFINITIONS

**Coupon:** A document issued by MaineHousing to an applicant selected for admission to the Program describing the program and procedures for approval of a Unit selected by the applicant. The Coupon also states the obligations of the Family under the program.

**Dependent:** A member of the Family, other than the Head of Household, spouse, or foster children or adults, who is under 18 years of age, a person with a Disability, or a full-time student.

**Disability or Disabilities:** Disability includes any physical or mental condition that (a) substantially limits one or more of a person's major life activities, or (b) significantly impairs physical or mental health, or (c) requires special education, vocational rehabilitation or related services, or (d) is specified in accessibility laws. It includes orthopedic, visual, speech and hearing impairments, cerebral palsy, autism, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, Human Immunodeficiency Virus infection or AIDS, mental retardation, and psychiatric illness, amyotrophic lateral sclerosis, chronic obstructive pulmonary disease, Crohn's disease, cystic fibrosis, substantial disfigurement, kidney or renal diseases, lupus, major depressive disorder, mastectomy, intellectual disability, paralysis, Parkinson's disease, pervasive developmental disorders, rheumatoid arthritis, schizophrenia, acquired brain injury, and alcoholism. An individual who has a record of any of these conditions or who is regarded as having or is likely to develop any of these conditions is also considered a person with a disability. This definition does not include a person whose disability is based solely on Drug or alcohol dependence.

**Drug:** A controlled substance as defined in Section 102 of the federal Controlled Substances Act (21 U.S.C. §802) or a Scheduled Drug as defined in Title 17-A of the Maine Revised Statutes.

**Drug-related Criminal Activity:** The illegal manufacture, sale, distribution, or use of a Drug, or the possession of a Drug with intent to manufacture, sell, distribute or use the Drug.

**Family:** A person or combination of two or more persons sharing residency whose income and resources are available to meet the group's needs.

**Head of Household:** The person who assumes legal and financial responsibility for the Household and is listed on the application as Head of Household.

**Household:** A Family and any Live-in Aide approved by MaineHousing.

**Housing Assistance Payment:** The monthly housing assistance payment made by MaineHousing that includes a payment to the Owner for rent under the Family's lease and a payment to the Family if the total assistance payment exceeds the rent to the Owner.

**Live-in Aide:** A person who resides in the Unit with an Elderly Family or a Disabled Family and provides necessary supportive services.

**Owner:** Any person or entity who owns a building in which a Participant leases or may lease a Unit.

**Participant:** A Family who has been admitted to, and is currently assisted under, the Program.

**Premises:** The building or complex in which a Unit is located, including common areas and grounds.

**Recertification:** The process of securing documentation of total Family income used to determine the portion of rent the Family will pay.

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**Subsidy Standards:** Standards established to determine the appropriate number of bedrooms and amount of subsidy for Families of different sizes and compositions.

**Unit:** A residential housing space leased by a Family for its personal use.

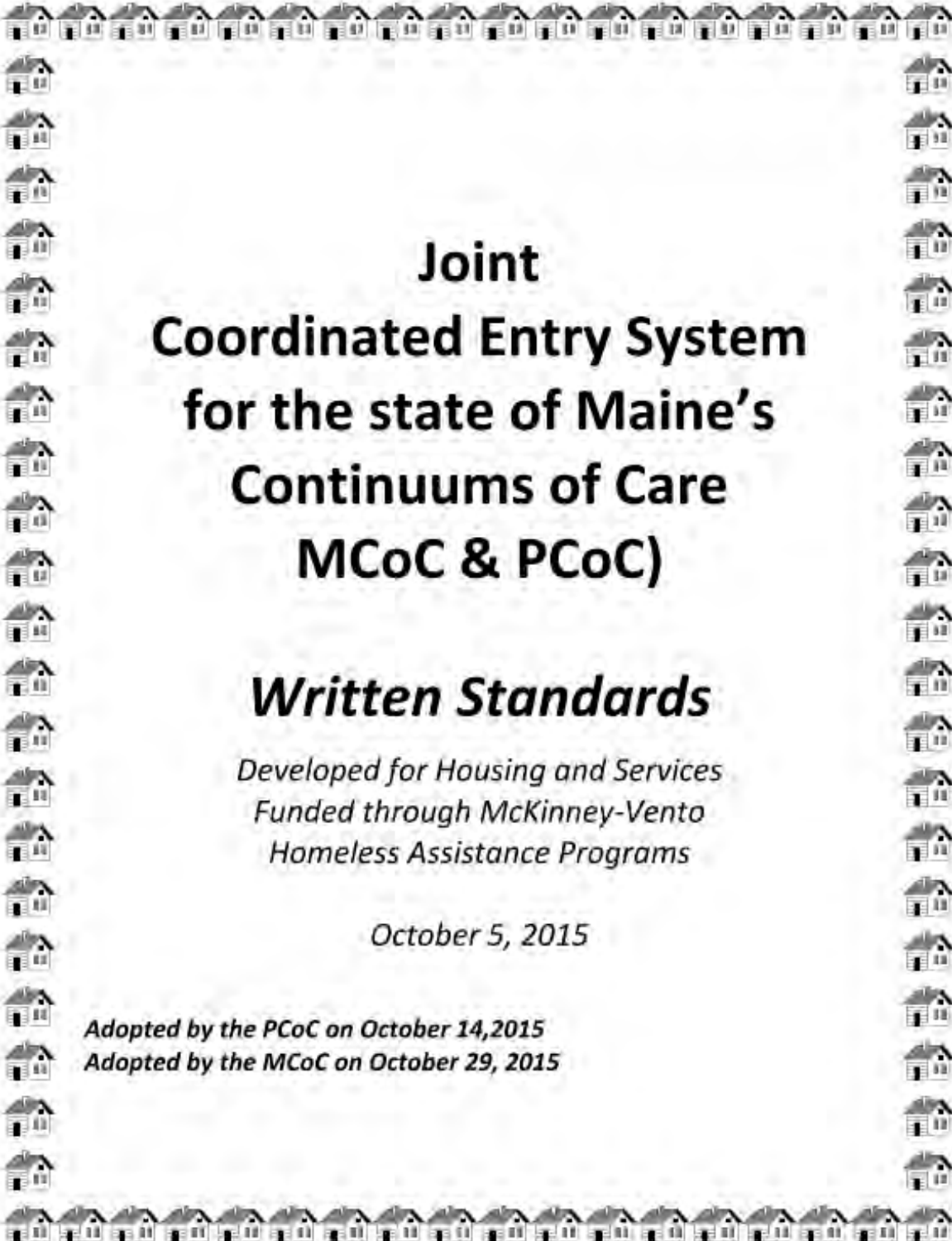
**Utilities:** Water, electricity, gas, other heating, refrigeration or cooking fuels, trash collection and sewage services. Telephone and cable service are not included as a utility.

**Violent Criminal Activity:** Any criminal activity that has, as one of its elements, the use, attempted use, or threatened use of physical force against the person or property of another.

**Navigator:** Conduct comprehensive assessments of clients, identify and prioritize housing needs, create housing stability plans, assist with housing search and placement, and follow clients beyond shelter to ensure housing stability.

**Housing Stability Plan:** The Housing Stability Plan domains address the following possible participant needs: housing, income, health, transportation, education and legal issues. While a Housing Stability Plan will have all domains available, it may not be necessary for a household to utilize all of them.

**Homeless Program Officer:** A Mütterhousing Homeless Program Officer will be assigned to each grantee of the Program.



**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 that 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](http://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 of 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 2001; 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

### 1<sup>st</sup> 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.

### 2<sup>nd</sup> 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.

**3<sup>rd</sup> 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.

**4<sup>th</sup> 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.

### **1<sup>st</sup> 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.

### **2<sup>nd</sup> 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.

### **3<sup>rd</sup> 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.

**4<sup>th</sup> 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 Experienced Homelessness	Severity of Special Needs	Documented Disability
Dedicated CH PSH Beds	1	Chronic - Individual or HHID with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	LI, EI, SH	High - V-SPOAT Score of 30 or greater	Yes
	2	Chronic - Individual or HHID with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	LI, ES, SH	Low-V-SPOAT Score of 5 or greater	Yes
	3	Chronic - Individual or HHID with Children	Total of at least 4 Episodes Total > 12 months in 3 years	LI, ES, SH	High - V-SPOAT Score of 30 or greater	Yes
	4	Chronic - Individual or HHID with Children	Total of at least 4 Episodes Total > 12 months in 3 years	LI, ES, SH	Low-V-SPOAT Score of 5 or greater	Yes
Committed CH Beds Created by Turnover (85% program goal)	5	Category 1 - Individual or HHID with Children	Any Length of Stay OR < 90 Days Institution	LI, ES, AH OR Institution (LI, ES, SH prior to entry)	High - V-SPOAT Score of 30 or greater	Yes
	6	Category 1 - Individual or HHID with Children	> or = 6 Months Continuous OR at least 3 months in 1 year > = 6 Months OR < 90 Days in Institution	LI, ES, SH OR Institution (LI, ES, SH prior to entry)	Low-V-SPOAT Score of 5 or greater	Yes
	7	Category 1 - Individual or HHID with Children	Any time > 30 days OR < 90 Days Institution	LI, ES, SH OR Institution (LI, ES, SH prior to entry)	Low-V-SPOAT Score of 5 or greater	Yes
	8	Category 1 - Individual or HHID with Children	Any Length of Stay > 14 days	TH (if previous LI, ES, or SH - low-moderate or funding source CoC or ESG)	Low-V-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	275	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

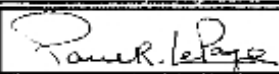
Grantee SF-424's and Certification(s)

OMB Number: 4840-0004  
Expiration Date: 12/31/2018

Application for Federal Assistance SF-424		
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* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entry Identifier: <input type="text"/>	5b. Federal Award Identifier: F-13-102-03-0001	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: Department of Economic and Community Development		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 01-606000	* c. Organizational CLMS: 0150455110000	
d. Address:		
* Street:	59 State House Station	
Street2:	<input type="text"/>	
* City:	Augusta	
County/Parish:	<input type="text"/>	
* State:	GA: GAINE	
Province:	<input type="text"/>	
* Country:	USA: UNITED STATES	
* Zip / Postal Code:	30333-3055	
e. Organizational Unit:		
Department Name: DECD	Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	* First Name: Deborah	
Middle Name:	<input type="text"/>	
* Last Name:	Johnson	
Suffix:	<input type="text"/>	
Title: Director, Office of Community Development		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: 207-620-3537	Fax Number: 207-287-8070	
* Email: Deborah.Johnson@state.me.gov		

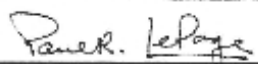


Application for Federal Assistance SF-424	
<p><b>* 8. Type of Applicant 1: Select Applicant Type:</b></p> <input type="text" value="A: State Government"/>	
<p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/>	
<p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/>	
<p>* Other (specify):</p> <input type="text"/>	
<p><b>* 10. Name of Federal Agency:</b></p> <input type="text" value="US Department of Housing and Urban Development"/>	
<p><b>11. Catalog of Federal Domestic Assistance Number:</b></p> <input type="text" value="14-228"/>	
<p>CFDA Title:</p> <input type="text" value="Community Development Block Grant"/>	
<p><b>* 12. Funding Opportunity Number:</b></p> <input type="text"/>	
<p>* Title:</p> <input type="text"/>	
<p><b>13. Competition Identification Number:</b></p> <input type="text"/>	
<p>Title:</p> <input type="text"/>	
<p><b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b></p> <input type="text"/>	
<p style="text-align: right;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </p>	
<p><b>* 15. Descriptive Title of Applicant's Project:</b></p> <input type="text" value="Community Development Block Grant, see consolidated plan"/>	
<p>Attach supporting documents as specified in agency instructions.</p> <p style="text-align: center;"> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </p>	

Application for Federal Assistance SF-424	
<b>16. Congressional Districts Of:</b>	
* a. Applicant: <input type="text" value="1"/>	* b. Program/Project: <input type="text" value="1 &amp; 2"/>
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"/>	
<b>17. Proposed Project:</b>	
* a. Start Date: <input type="text" value="01/01/2018"/>	* b. End Date: <input type="text"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	<input type="text" value="11,605,252.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="287,846.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="11,893,098.00"/>
<b>* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?</b>	
<input type="checkbox"/> a. The 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.	
<b>* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)</b>	
<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"/>	
<b>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)</b> <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.	
<b>Authorized Representative:</b>	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Paul"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Lalage"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="202-287-3521"/>	Fax Number: <input type="text" value="202-287-1044"/>
* Email: <input type="text" value="governor@nline.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="5.19.18"/>

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, so state appropriate letter(s) <input type="text"/> * Other (Specify) <input type="text"/>
* 3. Date Received <input type="text"/>	4. Applicant Identifier <input type="text"/>	
6a. Federal Entity Identifier <input type="text"/>	5b. Federal Award Identifier <input type="text" value="W-15-98-02-0100"/>	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name <u>Maine State Housing Authority</u>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="01-0312905"/>	* c. Organizational DUNS <input type="text" value="0868971150000"/>	
<b>d. Address:</b>		
* Street1: <input type="text" value="555 Water Street"/>	Street2: <input type="text"/>	
* City: <input type="text" value="Bangor"/>	County/Parish: <input type="text"/>	
* State: <input type="text" value="ME: Maine"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	* Zip / Postal Code: <input type="text" value="04910-4601"/>	
<b>e. Organizational Unit:</b>		
Department Name: <input type="text" value="Maine State Housing Authority"/>	Division Name: <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: <input type="text"/>	* First Name: <input type="text" value="Kurt"/>	
Middle Name: <input type="text"/>	* Last Name: <input type="text" value="Wheeler"/>	
Suffix: <input type="text"/>	Title: <input type="text" value="Deputy Director"/>	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="207-525-4500"/>	* Fax Number: <input type="text" value="207-624-8702"/>	
* Email: <input type="text" value="kurt.wheeler@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"/>
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* 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="14-233"/>
CFDA Title:	<input type="text" value="HOME Investment Partnerships Program"/>
* 12. Funding Opportunity Number:	<input type="text"/>
* Int:	<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"/> <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="RWS, 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"/>	* b. Program/Project: <input type="text" value="1 &amp; 2"/>
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="01/01/2016"/>	* b. End Date: <input type="text" value="12/31/2018"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="4,565,103.00"/>
* 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"/>
* g. TOTAL	<input type="text" value="4,565,103.00"/>
* 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 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** 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.</small>	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Paul"/>
Middle Name: <input type="text" value="J"/>	
* Last Name: <input type="text" value="LePage"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-267-1931"/>	* Fax Number: <input type="text" value="207-267-1004"/>
* Email: <input type="text" value="paul.lepage@maine.gov"/>	
* Signature of Authorized Representative:	* Date Signed: <input type="text" value="5.19.18"/>
	

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: 54-01-55-23-0000
State Use Only:		
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text"/>
<b>B. APPLICANT INFORMATION:</b>		
* a. Legal Name: <input type="text" value="Maine State Housing Authority"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 01-0912916		* c. Organizational DUNS: 0868970180000
d. Address:		
* Street1:	<input type="text" value="101 WILSON STREET"/>	
* Street2:	<input type="text"/>	
* City:	<input type="text" value="Augusta"/>	
* County/Parish:	<input type="text"/>	
* State:	<input type="text" value="ME: Maine"/>	
* Province:	<input type="text"/>	
* County:	<input type="text" value="05A: UNITED STATES"/>	
* Zip / Postal Code:	<input type="text" value="04330-4600"/>	
e. Organizational Unit:		
Department Name: <input type="text" value="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:	* First Name: <input type="text" value="Peter"/>	
* Middle Name:	<input type="text"/>	
* Last Name:	<input type="text" value="Horsfall"/>	
* Suffix:	<input type="text"/>	
Title: <input type="text" value="Deputy Director"/>		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="207-626-4500"/>	* Fax Number: <input type="text" value="207-624-5002"/>	
* Email: <input type="text" value="peter@lha.mainehousing.org"/>		

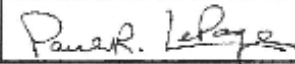
Application for Federal Assistance SF-424	
<p>* 9. Type of Applicant 1: Select Applicant Type:</p> <input type="text" value="State Government"/> <p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/> <p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/> <p>* Other (specify):</p> <input type="text"/>	
<p>* 10. Name of Federal Agency:</p> <input type="text" value="US Department of Housing and Urban Development"/>	
<p>11. Catalog of Federal Domestic Assistance Number:</p> <input type="text" value="14-231"/> <p>CFDA Title:</p> <input type="text" value="Emergency Solutions Grant (ESG) program"/>	
<p>* 12. Funding Opportunity Number:</p> <input type="text"/> <p>* Title:</p> <input type="text"/>	
<p>13. Competition Identification Number:</p> <input type="text"/> <p>Title:</p> <input type="text"/>	
<p>14. Areas Affected by Project (Cities, Counties, States, etc.):</p> <input type="text"/> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
<p>* 15. Descriptive Title of Applicant's Project:</p> <input type="text" value="Emergency Solutions Grant, see Consolidated Plan"/>	
<p>Attach supporting documents as specified in agency instructions</p> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <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" value="5.2"/>
Add 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="01/01/2018"/>	* b. End Date: <input type="text" value="12/31/2018"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="1,364,567.00"/>
* 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"/>
* g. TOTAL	<input type="text" value="1,364,567.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12872 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12872 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12872 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12872	
* 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 award instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Paul"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Lopez"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Developer"/>	
* Telephone Number: <input type="text" value="807-287-1031"/>	* Fax Number: <input type="text" value="809-287-1034"/>
* Email: <input type="text" value="paul@northsideinc.gov"/>	
* Signature of Authorized Representative: <input type="text" value="Paul R. Lopez"/>	* Date Signed: <input type="text" value="5.19.18"/>



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: F-18-50-230100	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: <input type="text" value="Maine State Housing Authority"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="01-0112910"/>	* c. Organizational DUNS: <input type="text" value="0856771156000"/>	
d. Address:		
* Street: 553 Water Street	<input type="text"/>	
Sheet: <input type="text"/>	<input type="text"/>	
* City: Augusta	<input type="text"/>	
County/Parish: <input type="text"/>	<input type="text"/>	
* State: ME: Maine	<input type="text"/>	
Province: <input type="text"/>	<input type="text"/>	
* Country: USA: UNITED STATES	<input type="text"/>	
* Zip/Postal Code: 04101-4533	<input type="text"/>	
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"/>	<input type="text"/>	
* Last Name: Merrill	<input type="text"/>	
Suffix: <input type="text"/>	<input type="text"/>	
Title: Deputy Director		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: 207-625-1600	* Fax Number: 207-624-5012	
* Email: pmerrill@me.mhsa.org		

<b>Application for Federal Assistance SF-424</b>		
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="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"/> <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="Formula Allocation of the Housing Trust Fund for the State of Maine. The Consolidated Plan and the Allocation Plan contain program descriptions."/>		
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 &amp; 2"/>
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="01/01/2018"/>	* b. End Date: <input type="text" value="12/31/2018"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="3,900,000.00"/>
* 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"/>
* g. TOTAL	<input type="text" value="3,900,000.00"/>
* 18. 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:	
Print: <input type="text"/>	* First Name: <input type="text" value="Paul"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Leforge"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="202-295-0151"/>	* Fax Number: <input type="text" value="202-295-1034"/>
* Email: <input type="text" value="governor@md.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="5/19/18"/>

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009  
Expiration Date: 31/03/2019

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 (2048-0042), 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:

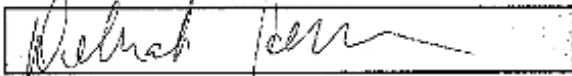
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give 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. §§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. §§4601 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 1696-1696), 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 ed-3 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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Standard Form 424D (Rev. 7-97)  
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 16 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 11758; (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 (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 1965, 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 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, Office of Community Development
APPLICANT ORGANIZATION	DATE SUBMITTED
Department of Economic & Community Development	05/21/2018

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

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0029  
 Expiration Date: 01/31/2018

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. §§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 1685-1696), 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 ad-3 and 290 c3), 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 424-D (Rev. 7-87)  
 Prescribed by GMB 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. 91-646) 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. §§1501-1605 and 7321-7328) 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) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11980; (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. §§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. 93-205).
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 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
Miami State Navigation Authority	2-21-18

5F-421C (Rev. 7/97) USAP

### 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 LSC, 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

5-21-18  
Date

  
Title

**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

  
Date

  
Title

**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.

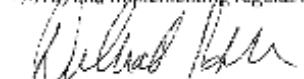
**Anti-Lobbying** --To the best of the State's knowledge and belief:

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.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. 1701u) and implementing regulations at 24 CFR Part 135.

  
\_\_\_\_\_  
Signature of Authorized Official

05/01/2018  
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Date

  
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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 grantee certifies 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) 2018 [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.

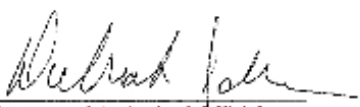
In addition, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

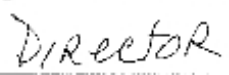
**Excessive Force --** It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

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      5/21/2018  
Date

  
Title