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Board of Commissioners Meeting – June 20, 2023 9:00 a.m. to 12:00 p.m.

MEMBERS OF THE BOARD: Frank O’Hara (Chair), Daniel Brennan, Henry Beck, Laura Buxbaum (Vice Chair), Nancy Harrison, Elizabeth Dietz (Secretary), Renee Lewis, Noël Bonam, Paul Shepherd, and Deborah Ibonwa

9:00	Adopt Agenda (VOTE)	All
	Remote Commissioners	Frank O’Hara
	- Reason remote	
	- Any other persons at their location	
	Approve minutes of May 23, 2023 meeting (VOTE)	All
	Communications and Conflicts	All
	Chair of the Board Updates	Frank O’Hara
9:15	Director Updates	Dan Brennan
9:30	Legislative/Governor’s Office Updates	Erik Jorgensen/Greg Payne
10:00	Adopt HEAP Rule and State Plan (VOTE)	Ashley Carson/Troy Fullmer
10:15	Housing Choice Voucher Department Presentation	Allison Gallagher
10:45	Homeless Initiatives Update	Lauren Bustard
	<u>Department Reports:</u>	All
	Asset Management	
	Development	
	Energy and Housing Services	
	Finance Monthly Report	
	Financial & Budget Report	
	Finance Delinquency Report & Charts	
	Homeless Initiatives	
	Homeownership	
	Housing Choice Vouchers	
	Human Resources & Facilities	
	Information Technology	
	Planning and Research	
	2023 Board Calendar	
	Adjourn (VOTE)	All

The next meeting of the Board is scheduled for August 15, 2023
virtually and in person at 26 Edison Drive, Augusta, Maine



Minutes of the Board of Commissioners Meeting May 23, 2023

MEETING CONVENED

A meeting of the Board of Commissioners for MaineHousing convened on May 23, 2023 at the offices of MaineHousing, 26 Edison Drive, Augusta, Maine and virtually. Notice of the meeting was published on May 12, 2023 in Central Maine newspapers. Notice of Board of Commissioners meetings is also on MaineHousing's website at www.mainehousing.org.

Chair Frank O'Hara called the meeting to order at 9:00 a.m. Director Dan Brennan, Commissioners Paul Shepherd, Renee Lewis, Noël Bonam, Nancy Harrison, and Laura Buxbaum all attended in person. Deputy State Treasurer Gregory Olson attended remotely due to a scheduling conflict. He was alone at his location. Commissioners Elizabeth Dietz and Deb Ibonwa were absent. There was a quorum present.

PUBLIC ATTENDANCE

Guests and staff present for all or part of the meeting included: Jimmy Puckette, Counsel; Jodie Stevens, Counsel; Adam Krea, Senior Director of Finance and Lending; Lauren Bustard, Senior Director of Homeless Initiatives; Genevieve Soucy, Director of Energy & Housing Services; Scott Thistle, Communications Director; Erik Jorgensen, Senior Director of Government Relations & Communications; Allison Gallagher, Director of Housing Choice Vouchers; Troy Fullmer, Manager of HEAP; Josh Pinkerton, Data Analyst; Karen Lawlor, Executive Administrator; Linda Grotton, Director of Audit and Compliance; Tom Cary, Treasurer; Craig Given, Director of Information Technology; Darren Brown, Director of Finance; Jamie Johnson, Senior Director of Operations; River Dufour, Summer Intern; Andrew Thomas, Help Desk Analyst II; Laura Mitchell, Executive Director of Maine Affordable Housing Coalition; and Gerrylynn Ricker, Paralegal and Note taker.

ADOPT AGENDA

Commissioner Harrison made a motion seconded by Commissioner Lewis to adopt the May 23, 2023 agenda. The vote carried unanimously.

APPROVE MINUTES OF APRIL 18, 2023 MEETING

Commissioner Lewis made a motion seconded by Commissioner Harrison to accept the April 18, 2023 minutes as written. The vote carried unanimously.

COMMUNICATIONS AND CONFLICTS

None

CHAIR OF THE BOARD UPDATES

None

DIRECTOR UPDATES

Director Brennan reported issues, his activities and upcoming matters as follows:

- The Annual Report and a lapel pin of MaineHousing's logo was distributed to each attending Commissioner. In the Commissioner's packet is the bi-annual report on the HOME fund. There was discussion regarding a new law that was passed that dictates we use 25% of the

HOME fund for new construction.

- The Point in Time was completed with the number being around 4,000. This is the annual count of homelessness that is conducted throughout the entire state.
- There was a fatal fire in Waterville in a public housing property owned by Waterville Housing Authority. We have reached out to the Director to see if there is anything we can do to help.
- Director Brennan recognized Barbra Stanley, who has been on our staff for 26 years. She has agreed, however, to help with the transition. We wish her well and hope she enjoys retirement and spending time with her grandchildren.
- Today's meeting is in the Red Maple and White Pine conference rooms instead of the State of Maine room because of the training of forty to fifty staff going on in the State of Maine room learning about our new multi-family data base software called ProLink.
- Legislation is in full gear. There is an awful lot going on. Erik will fill us in on that with his update.
- There are two Department head positions available. Director of our Homeless Initiatives department. Lauren Bustard has been the department director but she is a senior director and she needs to focus more of her time in that capacity. The Communications and Planning Department covers our communication, marketing, planning and research. The idea is to get more robust in our area of strategic planning, data management, data analysis and reporting while maintaining the strength that we have in our communications and marketing. The new department head will be the Director of Planning and Research. That Director will report to Jamie Johnson our Senior Director of Operations.
- When in D.C. last month met with Joaquin Altoro, Rural Housing Administrator. There are Rural Development projects not in MaineHousing's portfolio but we want to preserve the affordability in these units. We are working closely with the Genesis Fund. The letters out of Joaquin's office were disappointing. There is federal legislation that has been introduced that we are encouraging our delegation to look at.
- Remain very busy with the asylum seeker and homeless situation particularly in Portland. We have the long term solutions grant that were issued out with LD 3. We are active in Portland, Lewiston, Presque Isle, Bangor.
- Staff from MaineHousing and the Governor's office, including the Governor's Chief of Staff, and Jean Lambert the Commissioner of DHHS visited the hotel in Saco as well as West End II in South Portland. West End is a tax credit project and some people from the hotel have moved into it.
- Regarding the Homeowner's Assistance Fund that we took over in March, we are operating at about \$1 million a week going out the door. It's going very well. On our website we have dashboards you can follow the programs progress there.

CHAPTER 24 – HOME ENERGY ASSISTANCE PROGRAM RULE AND PROGRAM YEAR 2024 PROPOSED STATE PLAN PUBLIC HEARINGS

Counsel James Puckette explained that we would hold a hearing on the repeal and the replacement of our Home Energy Assistance Program Rule concurrently with a hearing on the U.S. Department of Health and Human Services LIHEAP fiscal year 2024 State Plan. Counsel Puckette introduced the Commissioners and staff representing MaineHousing. Notice of the hearings was published on our website, sent to interested parties, and published in newspapers statewide on May 3, 2023. The comment period for both the Rule and the State Plan expires Friday, June 2, 2023 at 5:00 p.m. Counsel Puckette opened the hearing at 9:30 a.m. Counsel Puckette asked the Manager of HEAP, Troy Fullmer to describe to the Board the stakeholder process. Joe Ryan, Lynn Lugdon, and William Crandall testified. The public hearings closed at 9:55 a.m.

DIRECTOR UPDATES (cont.)

- Attended the 25th anniversary dinner for the New England Resident Service Coordinators.
- Attended two opening ceremonies on May 9th. Milliken Heights in Old Orchard Beach and then went to downtown Lewiston and visited an 18 unit project that is part of a 36 unit project. These two projects are part of 1,000 units that have been completed in 2023, will be completed in 2023, or will have started construction in 2023. There are still 1,500 units behind that in our pipeline.
- National Council of State Housing Agencies (NCSHA) has an energy working group with a lot of state housing finance agencies being involved in energy efficiency like we are.
- NCSHA has a tax credit conference coming up in June that Director Brennan and a few other staff will be attending. As well as the meeting with the executive directors group from across the country in July.
- Director Brennan praised the Housing Choice Voucher team for being recognized again by HUD as a high performer in the Section Eight Management Assessment Program.

LEGISLATIVE UPDATES

Senior Director of Government Relations & Communications, Erik Jorgensen reported that although statutory adjournment is set for mid-June, they are in a special session so the exact date of adjournment is unclear. Their plan is to get all the bills out of committee by end of this week (May 26th). Because the housing committee is a joint select committee, they don't have to abide by the same rules in terms of stopping and going. They will actually be meeting even after the legislature adjourns. With regard to bills, there are some modest ones with modest goals and there are some with fiscal notes approaching over \$100 million a year. Senator Duson is proposing to construct 900 units of transitional housing presumably for new Mainers in different parts of the state.

Representative Golek proposed a sweeping state-funded Section 8 program. A significant new entitlement that could cost tens of millions per year. This is a voucher program. Administratively it could be really hard and will still be in an environment where voucher holders would be searching for units. Only more. Also it will be subject to the state's balanced budget requirement so could be very hard to sustain in a downturn. Representative Arford developed a program to provide capital improvement grants to emergency homeless shelters. Representative O'Neil introduced a bill to facilitate home sharing by older Mainers as something that would ease one part of the housing shortage. All these bills and others that pass will head to the special appropriations table, which this year will have literally billions of dollars of bills on it and which will be a colossal job for appropriations to sort out. The most important part of the legislative session for us is the Governor's change package which proposes \$180 million in housing production funds, as well as additional emergency housing funding; funds for LIAP; funds supporting Housing First as proposed in LD 2. We will be watching this carefully until adjournment.

2022 MORTGAGE PURCHASE PROGRAM (MPP) FINANCIAL REVIEW

Treasurer Tom Cary reviewed the financial results and focused his review on the Mortgage Purchase Program (MPP), MaineHousing's largest Fund Group. Mr. Cary noted that the MPP is rated Aa1 by Moody's and AA+ by Standards & Poor. He reviewed for the Commissioners the balance sheets which shows almost \$2 billion in assets and around \$1.7 billion in liabilities, which is mostly mortgage bonds and notes payable. Unrestricted Net Assets are close to \$280 million. 2022 was a good year for three reasons. We purchased a record \$278 million in mortgages; we had low pre-payments and we sold seven bond issues totaling approximately \$393,290,000. Mr. Cary noted that mortgage delinquencies are still at historically low rates. He also reviewed the statement of revenues, expenses and changes in net assets and the Swap arrangements.

ADJOURN

Commissioner Buxbaum made a motion seconded by Commissioner Lewis to adjourn the meeting. The meeting was adjourned at 11:40 a.m. by unanimous vote of the Board.

Respectfully submitted,

Elizabeth Dietz

To: MaineHousing Board of Commissioners

From: Troy Fullmer, Manager of HEAP
Ashley Carson, Chief Counsel

Date: June 13, 2023

Subject: Adoption of Home Energy Assistance Program Rule and FFY 2024 State Plan

At your meeting on June 20, 2023, we will ask you to repeal the existing Home Energy Assistance Program Rule and replace it with the attached Home Energy Assistance Program Rule and to adopt the attached FFY 2024 HEAP State Plan.

As you know, the public hearing was held on May 23, 2023. We continued to receive written comments through the close of business on June 2, 2023. A summary of the comments and staff's proposed responses to the comments begins on page 45 of the Rule contained in your packet.

State law and the Governor's Executive Order on rulemaking state that prior to adopting a final rule, MaineHousing should:

- consider all relevant information available, including, but not limited to, economic, environmental, fiscal and social impact analyses;
- prioritize the health, safety, and welfare of Maine people in conducting these environmental and social impact analyses; and
- consider the extent to which existing law addresses the matter and the rule's impact on the ability of Maine employers to retain and attract a skilled workforce, including by reducing compliance burdens on small businesses in conducting the economic and fiscal impact analysis.

After the Board adopts the attached Rule, the Rule must be approved by the Attorney General's office pursuant to the Maine Administrative Procedures Act. Upon final approval, the Rule will be published by the Secretary of State's office. The State Plan will be submitted to the U.S. Department of Health and Human Services.

Rule

PROPOSED MOTION:

To repeal the existing Home Energy Assistance Program Rule, Chapter 24 of MaineHousing's rules, and replace it with the replacement Home Energy Assistance Program Rule attached to the memo on adoption of the Home Energy Assistance Program Rule and FFY 2024 State Plan from Manager of HEAP Troy Fullmer and Chief Counsel Ashley Carson to the Board of Commissioners dated June 13, 2023.

State Plan

PROPOSED MOTION:

To adopt the FFY 2024 Home Energy Assistance Program State Plan as attached to the memo on adoption of the Home Energy Assistance Program Rule and FFY 2024 State Plan from Manager of HEAP Troy Fullmer and Chief Counsel Ashley Carson to the Board of Commissioners dated June 13, 2023.

INDEPENDENT AGENCIES

MAINE STATE HOUSING AUTHORITY

CHAPTER 24

Home Energy Assistance Program Rule

Summary: The Rule establishes standards for the Home Energy Assistance Program for the State of Maine as administered by the Maine State Housing Authority. The Home Energy Assistance Program provides Fuel Assistance and Energy Crisis Intervention Programs to income Eligible Households. The Rule also establishes standards for the HEAP Weatherization, Central Heating Improvement Program, Heat Pump Program, and Supplemental Benefits funded by TANF funds.

1. Definitions.
 - A. “Act” means the Maine Housing Authorities Act, [30-A M.R.S.A. § 4701](#) et seq., as it may be amended from time to time.
 - B. “Annual Consumption Report” means the annual report Vendors must submit to MaineHousing to report their HEAP customers’ Home Energy deliveries from May 1st through April 30th.
 - C. “Apartment” means a Dwelling Unit within a multi-unit building.
 - D. “Applicant” means a person listed as a Household member on a Primary Applicant’s Application.
 - E. “Applicant Household” means the Household members listed on the Application whose Countable Assets will be considered when determining eligibility for CHIP services. A Household member will be considered to be part of the Applicant Household if they have a familial relationship with or a joint financial account with an occupying owner of the Dwelling Unit. Full time high school students would not be considered Applicant Household members unless they are Primary Applicants.
 - F. “Application” means forms and documents completed, signed, and provided by Primary Applicant to determine eligibility for a Benefit and ECIP.
 - G. “Application Create Date- Non Online” means the date an application is taken with the Primary Applicant by Subgrantee personnel for applications not submitted online.
 - H. “Application Create Date- Online” means the date the Primary Applicant starts their application online.
 - I. “Application Intake Date” means the date an online application is taken with the Primary Applicant by Subgrantee personnel.
 - J. “Arrearage Management Program (AMP)” means the program to assist eligible low-income residential customers who are in arrears on their electricity bills as defined by [35-A MRSA §3214, sub-§2-A](#), as may be amended from time to time.
 - K. “Benefit” means the dollar amount of Fuel Assistance an Eligible Household receives.
 - L. “Benefit Return” means a Benefit, partial or whole, returned to MaineHousing.

- M. “Boarder” means a Roomer who is provided meals and is not related by birth, marriage or adoption to the household.
- N. “BTU” means British Thermal Unit.
- O. “Camper” means a trailer, semitrailer, truck camper, or motor home primarily designed and originally constructed to provide temporary living quarters for recreational, camping, or travel use regardless of modification(s) or length.
- P. “Categorical Income Eligibility” means an Applicant has a Household member who receives either TANF or SNAP assistance. The Household is considered income eligible for HEAP, as the Household income has already been vetted by Maine Department of Health and Human Services, and it is permissible under the HEAP Act for Households receiving TANF or SNAP assistance to be considered income eligible for HEAP.
- Q. “CHIP” means the Central Heating Improvement Program component of HEAP.
- R. “Contractor” means a provider of materials or services to Eligible Households.
- S. “Countable Asset” means a resource that is available to meet the immediate and urgent needs of a Household, and includes: cash and funds on prepaid debit cards, money in a checking or savings account (health savings accounts, educational funds, and burial accounts are excluded), stocks or bonds, U.S. Treasury bills, money market funds, and retirement accounts provided there are no penalties or fees for withdrawals.
- T. “Close-out” means the reconciliation of receipts and use of all Fuel Assistance and ECIP funds by Vendor. It is Vendor’s responsibility to keep this information by Eligible Household and provide it to MaineHousing upon request.
- U. “Credit Notification Report” means the document sent to the Vendor guaranteeing payment post-delivery for Eligible Households. The Credit Notification Report lists each Primary Applicant’s name, address, Home Energy type, account information, and, as applicable, Benefit or TANF Supplemental Benefit.
- V. “CTE” means to clean, tune, and evaluate a Heating System to ensure safe and efficient operation.
- W. “Date of Application” means the date an Application is received by the Subgrantee.
- X. “Date of Discovery” means the date MaineHousing receives information relating to suspected fraud.
- Y. “DHLC” means the design heat load calculation method for estimating Home Energy consumption.
- Z. “Direct Energy Cost” means an Energy Cost that is directly paid by the Household.
- AA. “Dwelling Unit” means an occupied residential housing structure with one or more rooms that is used customarily as a domicile for one or more persons, when permanently connected to the required utilities (including plumbing, electricity and Heating Systems) and contains bathroom and kitchen facilities specific to that unit. A Dwelling Unit has its own private entrance from the outside or off an enclosed hallway leading from the outside that does not pass through or offer an open access to any other unit within the structure. A Dwelling Unit does not include a Camper,

- boat, railroad car, bus, yurt or other structure designed and constructed to provide temporary living quarters.
- BB. “ECIP” means the Energy Crisis Intervention Program component of HEAP.
- CC. “Eligible Household” means a Household that satisfies all eligibility and income requirements of the HEAP Act and requirements of this Rule.
- DD. “Energy Cost” means cost of energy used for heating a Dwelling Unit, Apartment, or Rental Unit.
- EE. “Energy Crisis” shall have the same meaning as set forth in [42 U.S.C.A. §8622\(3\)](#), as same may be amended from time to time. The term "energy crisis" means weather-related and supply shortage emergencies and other household energy-related emergencies.
- FF. “Errors and Program Abuse” means the act of obtaining assistance to which one is not entitled by means of submitting false statements or withholding information pertinent to the determination of eligibility or benefits. Also applies to Vendors who retain Benefits that should be returned or use Benefits for something other than intended purpose.
- GG. “Fuel Assistance” means the component of HEAP that assists Eligible Households with their Home Energy costs.
- HH. “HEAP” means the Home Energy Assistance Program established pursuant to the HEAP Act and the Act.
- II. “HEAP Act” means [42 U.S.C.A. §8621 et seq.](#), and the regulations promulgated there under, including [45 C.F.R. § 96.1](#) through 96.68 and [45 C.F.R. § 96.80 et seq.](#), all as may be amended from time to time.
- JJ. “HEAP Handbook” means the handbook in effect for a Program Year that is used as a resource and guide for the administration of HEAP.
- KK. “HEAP Weatherization” means the weatherization component of HEAP that provides Low- cost/no-cost Weatherization Activities and other cost-effective energy-related home repairs or installations.
- LL. “Heating Season” means the period of time beginning October 1 and ending April 30.
- MM. “Heating Source” means any device used to provide heat to a Dwelling Unit.
- NN. “Heating System” means a permanently installed system that is used to heat the Dwelling Unit. A portable space heater is not considered to be a HeatingSystem.
- OO. “Heat Pump” means a ductless heating system that provides heat by extracting heat from outside air and delivering it indoors as needed.
- PP. “Home Energy” means a source of heating or cooling in residential dwellings as set forth in [42 U.S.C.A. §8622\(6\)](#), as same may be amended from time to time.
- QQ. “Household” means any individual or group of individuals who are living together as one

economic unit for whom residential energy is customarily purchased in common or who make undesignated payments for energy in the form of rent as set forth in [42 U.S.C.A. §8622\(5\)](#), as same may be amended from time to time.

- RR. “Household Income” means the total income from all sources before taxes and deductions as further defined in this Rule.
- SS. “Incidental Costs” means costs of services billed to a Household by a Vendor related to the use or delivery of Home Energy including, but not limited to: surcharges, penalty charges, reconnection charges, clean and repair service charges, security deposits, , and insurance.
- TT. “Incidental Repairs” means those repairs necessary for the effective performance or preservation of weatherization materials.
- UU. “Indirect Determinable Energy Cost” means a cost for Home Energy used by the Household that is not directly paid for by the Household. For example, heat included as part of the rent for a Rental Unit.
- VV. “Invitation to Bid” or “Request for Proposals” means the process to solicit bids or proposals to satisfy the requirements of this Rule.
- WW. “Live-in Care Attendant” means a person, not considered part of the household, who; (i) provides needed health/supportive services to a member of the households as documented by a qualified professional; (ii) would not be living in the unit except to provide the necessary supportive services; and (iii) does not contribute financially to the household.
- XX. “Life Threatening Crisis” means the household is currently without heat or utility service to operate a Heating Source or a Heating System.
- YY. “Low-cost/no-cost Weatherization Activities” means those activities authorized pursuant to [10 C.F.R. §440.20](#), as may be amended from time to time.
- ZZ. “MaineHousing” means the Maine State Housing Authority.
- AAA. “Manufactured/Mobile Home” means a residence that is constructed at a manufacturing facility on a permanent chassis (i.e. the wheel assembly necessary to transport the residence is removable, but the steel undercarriage remains intact as a necessary structural component) and is transportable in one or more sections, which in traveling mode is 12 body feet or more in width and as erected on site is 600 or more square feet.
- BBB. “Modular” means a residence that is constructed at a manufacturing facility, but not constructed on a permanent chassis, and is transportable in one or more sections on an independent chassis such as a truck or train.
- CCC. “Native American Tribal Organization” means the Penobscot Indian Nation, the Passamaquoddy Indian Tribe, and the Houlton Band of Maliseet Indians as defined in the Maine Indian Claims Settlement Act, [30 M.R.S.A. §6201 et seq.](#), and the Aroostook Band of Micmacs as defined in the Micmac Settlement Act, [30 M.R.S.A. §7201](#) et seq.
- DDD. “Non-occupying Co-owner” means a person who shares a legal ownership interest in the Dwelling Unit occupied by the Applicant Household. The Non-occupying Co-owner does not reside in the Dwelling Unit being considered for CHIP services.

- EEE. “Notice of Termination of Subgrantee” means a written statement notifying the Subgrantee of the cause and effective date of its termination.
- FFF. “Open Enrollment” means period of time a vendor can request and/or file an application to participate as a contracted Vendor.
- GGG. “Overpayment” means any HEAP benefits paid to, or on behalf of, any Applicant or Household that exceeds the amount the Applicant or Household was eligible to receive.
- HHH. “Person with a Disability” means a person who (1) has a physical or mental impairment that substantially limits one or more of a person’s major life activities; (2) has a physical or mental impairment that significantly impairs physical or mental health, which means having an actual or expected duration of more than 6 months and impairing health to a significant extent as compared to what is ordinarily experienced in the general population; (3) has a physical or mental impairment that requires special education, vocational rehabilitation or related services; (4) has without regard to severity unless otherwise indicated, absent, artificial or replacement limbs, hands, feet or vital organs; alcoholism; amyotrophic lateral sclerosis; autism, bipolar disorder; blindness or abnormal vision loss; cancer; cerebral palsy; chronic obstructive pulmonary disease; Crohn’s disease; cystic fibrosis; deafness or abnormal hearing loss; diabetes; substantial disfigurement; drug addiction; emotional illness; epilepsy; heart disease; HIV or AIDS; kidney or renal diseases; lupus; major depressive disorder; mastectomy; mental retardation; multiple sclerosis; muscular dystrophy; paralysis; Parkinson’s disease; pervasive development disorders; rheumatoid arthritis; schizophrenia; speech impairment, and acquired brain injury; (5) has a record of any of the physical or mental impairments described in the foregoing clauses (1) through (4); or (6) is regarded as having or is likely to develop any of the physical or mental impairments described in the foregoing clauses (1) through (4). The existence of a physical or mental disability is determined without regard to the ameliorative effects of mitigating measures such as medication, auxiliary aids or prosthetic devices.

A physical or mental disability or impairment does not include pedophilia, exhibitionism, voyeurism, sexual behavior disorders, compulsive gambling, kleptomania, pyromania, tobacco smoking, or any condition covered under [5 M.R.S.A. §4553, sub-§9-C](#). It does not include psychoactive substance use disorders resulting from current illegal use of drugs, although this may not be construed to exclude a person who has successfully completed a supervised drug rehabilitation program and is no longer engaging in the illegal use of drugs or has otherwise been rehabilitated successfully and is no longer engaging in such use; is participating in a supervised rehabilitation program and is no longer engaging in such use; is erroneously regarded as engaging in such use, but is not engaging in such use; or in the context of a reasonable accommodation in employment is seeking treatment or has successfully completed treatment.

- III. “Price Protection Plan” means an agreement between Vendor and a customer to purchase Home Energy at an agreed upon price.
- JJJ. “Primary Applicant” means a person who signs the completed Application.
- KKK. “Priority Applicant” means a Household with a direct energy cost as well as a member in a household who is (i) 60 years of age or older, or (ii) has a disability, or (iii) 72 months (6 years) or younger.
- LLL. “Programs” means Fuel Assistance, ECIP, CHIP, and HEAPWeatherization.
- MMM. “Program Year” means the period of time beginning October 1 and ending September 30.

- NNN. “Rental Unit” means a Dwelling Unit that is rented.
- OOO. “Reporting Vendor” means a Vendor who is contractually obligated to report the Home Energy deliveries the Vendor has made on behalf of an Eligible Household.
- PPP. “Retail Cash Price” means the posted price a Vendor charges for Home Energy per gallon.
- QQQ. “Roomer” means a person who qualifies as a separate Household and pursuant to a rental agreement rents no more than two rooms in a Dwelling Unit occupied as separate living quarters and who may, depending upon the rental agreement, be granted privileges to use, but not reside in, other rooms located in the same Dwelling Unit. A Roomer cannot be related by birth, marriage or adoption to any member of the lessor’s Household.
- RRR. “Service Area” means the geographic area, as defined by MaineHousing, within which the Subgrantee operates and administers the Programs.
- SSS. “Social Security Benefits” means social security income benefits pursuant to Title II of the United States Social Security Act of 1935 and supplemental security income benefits pursuant Title XVI of the United States Social Security Act of 1935, as amended, [42 U.S.C. §1381 et seq.](#), and State supplemental income benefits provided pursuant to [22 M.R.S.A. §3201 et seq.](#), all as may be amended from time to time.
- TTT. “State” means the State of Maine.
- UUU. “Subgrantee” means a public or private nonprofit agency, or municipality, selected by MaineHousing to administer the Programs.
- VVV. “Subsidized Housing” means Households whose rent is based on their income or the subsidy pays for any portion of their mortgage. Housing in which a tax credit or federal/state loan is applied to reduce debt burden on the property is not considered Subsidized Housing. A resident of a residential housing facility including without limitation group homes, homeless shelters, and residential care facilities or a Tenant who pays below market rent or no rent due to the landlord receiving a federal or state subsidy for rent is living in Subsidized Housing.
- WWW. “Supplemental Benefits” means the benefits that are funded with supplemental HEAP funds (beyond the original grant award).
- XXX. “Supplemental Nutrition Assistance Program (SNAP)” means the nutrition assistance program administered by the United States Department of Agriculture. The goals of SNAP are to improve participants’ food security and their access to a healthy diet.
- YYY. “TANF” means payments under the Temporary Assistance for Needy Families program as defined in [22 M.R.S.A., Chapter 1053-B, § 3762 et seq.](#), as same be amended from time to time.
- ZZZ. “TANF Supplemental Benefits” means the benefits that are funded with TANF funds pursuant to [22 M.R.S.A., Chapter 1053-B, § 3769-E.](#)
- AAAA. “Tenant” means an Applicant who resides in a Rental Unit or Apartment.
- BBBB. “Vendor” means an energy supplier that has entered into a Vendor Agreement with MaineHousing to provide Home Energy to Eligible Households.

CCCC. “Vendor Agreement” means a signed agreement between MaineHousing and a Vendor that contains terms and conditions by which the Vendor will provide Home Energy to Eligible Households.

DDDD. “Vendor Voucher Report” means the document sent to the Vendor that lists Eligible Households’ Benefits, including each Primary Applicant’s name, address, phone number, Benefit amount, Home Energy type, account information, and Subgrantee.

EEEE. “Watch List” means the MaineHousing list of Vendors that will not receive payment in advance for Eligible Households’ Benefits. In the event MaineHousing determines, in its sole judgment, based on Vendor’s actions or omissions or other information obtained by MaineHousing directly or from any third party, that such actions, omissions or other information raise issues concerning Vendor’s continued ability to make Home Energy deliveries or otherwise comply with the terms of the Vendor Agreement, or that Vendor’s performance is out of compliance with the requirements of the Vendor Agreement, MaineHousing may, in its sole discretion, place Vendor on this list.

FFFF. “Weatherization Assistance Program (WAP)” means the program enabled and funded by the federal Energy Conservation in Existing Buildings Act of 1976, as same may be amended from time to time. Its purpose is to increase the energy efficiency of dwellings owned or occupied by low-income persons, reduce their total residential energy expenditures, and improve their health and safety.

GGGG. “Weatherization Materials” shall have the same meaning as set forth in Part A of the Energy Conservation in Existing Buildings Act of 1976, [42 U.S.C. §§6861, 6862\(9\)](#), as same may be amended from time to time.

2. Application.

- A. An Applicant may have only one certified eligible Application per Program Year.
- B. An Applicant may resubmit a new Application if the Household’s Application has either been denied or withdrawn any time prior to the issuance of a Benefit.
- C. The Application will be processed in accordance with the requirements of this Section:
 - 1. The Subgrantee will begin taking Applications as prescribed by MaineHousing each Program Year.
 - 2. A Subgrantee will continue taking Applications until the last working day of May of the Program Year or upon the exhaustion of HEAP funds, whichever occurs sooner.
 - 3. The Subgrantee must use forms provided or approved by MaineHousing to administer the Programs. Additional forms may be used by the Subgrantee provided the forms have been reviewed and approved by MaineHousing. Forms will be submitted for review and approval annually prior to the commencement of taking applications each Program Year.
 - 4. The Subgrantee will make a reasonable and good-faith effort during the first ninety (90) days it takes Applications to interview, process, and serve new and returning Priority Applicants who have a Direct Energy Cost.

5. The Subgrantee will make a reasonable and good-faith effort to conduct outreach activities and process applications for any Household that has wood as its primary Home Energy source within the first ninety (90) days of taking Applications for the Program Year.
6. At Applicant's request, and as otherwise appropriate, the Subgrantee must make reasonable accommodations for a Person with a Disability.
7. Any Applicant may apply via telephone. The telephone Application process includes completing the Application over the telephone with the Subgrantee administering the Programs in the Service Area in which the Household resides; the Subgrantee sends the completed Application and other appropriate documents to the Primary Applicant for review, signature, and date.
8. Limited English Proficiency (LEP) can be a barrier to accessing important benefits or services, understanding and exercising important rights, complying with applicable responsibilities, or understanding other information provided by the HEAP program. In order to address this concern Subgrantees must comply with MaineHousing's Language Assistance Plan.
9. Application must be made with the Subgrantee administering the Programs in the Service Area in which the Household resides. In the event an Application is received by a Subgrantee for a Household residing in a Service Area other than the Subgrantee's designated Service Area, the Subgrantee shall notify the Primary Applicant of the error and forward the Application and supporting documentation to the applicable Subgrantee.
10. Primary Applicant is responsible for providing all information necessary to establish the eligibility of a Household. The Subgrantee must verify the income and identity of the Applicant(s) as prescribed by HEAP Handbook.

The Subgrantee shall verify Primary Applicant's identity by requesting a government-issued, photo identification card. One of the following is acceptable to establish the identity of the Primary Applicant:

- a. Driver's license;
 - b. State issued ID card;
 - c. Passport or passport card;
 - d. U.S. Military ID; or
 - e. SNAP electronic benefit transfer (EBT) card with photo.
11. All Applicant(s) two years of age or older must provide proof of their Social Security Number (SSN). One of the following documents is acceptable provided it contains all nine digits of the Applicant's SSN and the Applicant's full name:
 - a. Social Security Card issued by the Social Security Administration;
 - b. SSA 1099 tax form;

- c. Non SSA-1099 tax form;
- d. Medicare card with number ending with the suffix “A”;
- e. Valid unexpired U.S. Military documents such as DD Form 214 Certificate of Release or Discharge from Active Duty issued by the U.S. Department of Defense;
- f. Bank tax form; or
- g. W-2 (wage and tax statement).

If the Household includes a child under the age of 24 months old who has not received a SSN, the Application is processed. However, the Primary Applicant must provide the child’s SSN for subsequent Program Year Applications, after the child reaches the age of 24 months old.

If a Household member is not a U.S. citizen, Applicant must provide a Social Security card issued by the Social Security Administration or an unexpired foreign passport with a valid unexpired U.S. Visa affixed accompanied by the approved I-94 form documenting the Applicant's most recent admittance into the United States, and documentation of Applicant’s status as a qualified alien pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, [8 USC §1641](#), such as a legal permanent resident, a refugee, an asylee, an individual paroled into the U.S. for a period of at least one (1) year, an individual whose deportation has been withheld, or an individual granted conditional entry.

12. As part of the application process all Applicants 18 years of age or older must sign a release to grant permission to share their personal information, as follows:
 - a. Maine Department of Health and Human Services, the Maine Department of Labor, and the Social Security Administration to share information with the Subgrantee or MaineHousing regarding information relevant to the Application about the Applicant at each of those agencies, including the benefits received from each of those agencies.
 - b. Subgrantee and MaineHousing to provide information to and obtain information from the agencies listed above or others as needed to determine and confirm eligibility for MaineHousing programs and other programs administered by the Subgrantee.
 - c. Subgrantee and MaineHousing to disclose Applicant information for the determination of eligibility for programs administered by State, federal, and local agencies.

D. The information on an Application may be considered conflicting if it is inconsistent with verbal information provided by an Applicant, with other information on the Application, with prior Program Year Applications, or with information received from a third party.

1. No information received from a third party, other than a government agency, will be used to determine eligibility, unless it is verified by an independent, reliable source.

2. In the case where an Applicant's eligibility is in question because of conflicting information received from a third party, the Subgrantee or MaineHousing shall allow the Primary Applicant an opportunity to amend the current Application or reaffirm the information on it. Primary Applicant may also withdraw Application at any time (prior to payment of Benefit). A new Application (rather than amended) would be required should an Applicant pursue assistance after withdrawal.
 3. If the Primary Applicant elects not to amend the Application, eligibility shall be based on information contained in the Application and documentation provided by the Primary Applicant, documentation provided by a government agency, or information verified by other sources.
 4. If verified information results in the Household being ineligible or determines the existence of Errors and Program Abuse or willful misrepresentation, the Application may be subject to denial or termination of Benefits.
- E. The Subgrantee must certify or deny an Application within thirty (30) business days from the Date of Application.

1. Written notification of eligibility will be sent to the Primary Applicant within (10) ten calendar days of the decision or when funding is available, whichever is later. The benefit notification shall:
 - a. State the Benefit amount;
 - b. State the date the Benefit or a Credit Notification was sent to the Vendor;
 - c. State the approved Home Energy type;
 - d. State the manner by which the Primary Applicant can request an appeal, if applicable.
2. Written notification of denial must be sent to the Primary Applicant within (3) three business days whether funding is available or not. The denial notification shall:
 - a. State the facts surrounding the decision;
 - b. State the reason(s) for the decision;
 - c. State the manner by which the Applicant can request an appeal.

A denial for missing information will be rescinded if the required information is received by the Subgrantee within (15) fifteen business days from the date of the denial notification.

3. Eligibility.

- A. Except as may be expressly provided for elsewhere in this Rule, eligibility shall be determined on the basis of information submitted by the Primary Applicant as of the Date of Application. MaineHousing and Subgrantees reserve the right to ask for additional or clarifying information from Primary Applicant, Applicant(s), or third parties to determine eligibility.

- B. A Household may be eligible for Supplemental Benefits or TANF Supplemental Benefits if available.
- C. MaineHousing uses the federal Poverty Income Guidelines and State Median Income Guidelines as reported annually by the United States Department of Health and Human Services. MaineHousing reserves the right to manage the Programs within those guidelines when determining benefits. MaineHousing will determine eligibility criteria based on the availability of federal funding for the Programs during each Program Year.
- D. Households in which at least one member receives TANF or SNAP assistance will have Categorical Income Eligibility for HEAP. Households providing documentation of receiving TANF or SNAP assistance on Application Create Date- Non Online or Application Intake Date may have their HEAP Benefit determined at a pre-established percentage of the federal poverty level, or using actual vetted income if provided by Maine DHHS. If documentation of receiving TANF or SNAP assistance is not provided by the Applicant, the Applicant must provide income documentation as outlined in Section G.
- E. Dwelling Unit Eligibility.
1. The Dwelling Unit must have a functioning Heating System. If the dwelling does not have a functioning Heating System, the Subgrantee may certify the Application for CHIP only provided the Application is complete and all applicable documentation has been provided.
 2. If the dwelling is not permanently connected to or serviced by standard utilities such as electricity and water, the Subgrantee will obtain additional documentation to substantiate the Household occupies the dwelling as its primary residence on a full-time/year-round basis.
 3. Applicants residing in Subsidized Housing with heat included in their rent may be eligible for Fuel Assistance if the Household pays a portion of their rent or utility costs. MaineHousing will issue a Benefit in an amount to maximize benefits under SNAP.
 4. An Applicant who is self-employed and uses part of their Dwelling Unit for business may apply for the Programs. Benefits will be determined based on the rooms occupied and used by the Applicants as a residence; that part of the Dwelling Unit designated for business use will not be included.
 5. Applicants who reside in hotels and motels may be eligible for Fuel Assistance if the Household provides documentation that the hotel/motel has been their permanent residence for at least sixty (60) days prior to the Date of Application.
 6. If a Household's Application has been certified eligible, but all Applicants move to Subsidized Housing with heat included or an ineligible Dwelling Unit prior to the Benefit being paid, Household may not be eligible for the entire Benefit depending on Date of Application and Home Energy use during current Program Year.
 7. A Household is not eligible for Programs when the Household resides in a Camper, regardless of any and all modification(s) or length, boat, railroad car, bus, yurt or other structure designed and constructed to provide temporary living quarters.

F. Household Eligibility.

1. A Household is eligible for a Benefit if, on the Date of Application:
 - a. it is a full-time resident of the State and resides, intends to reside, or has resided in a Dwelling full-time for at least four (4) months during a Heating Season and;
 - b. it has a Direct Energy Cost or Indirect Determinable Energy Cost.

2. Pursuant to definition of Household, Eligible Household Members may also include:
 - a. aliens who have obtained the status of an alien lawfully admitted for temporary residence under Section 210 of the Immigration and Nationality Act by approval of an application and are categorized as Special Agricultural Workers (SAW) who perform seasonal agricultural work during a specified period of time;
 - b. an alien who has obtained the status of an alien lawfully admitted for temporary residence under Section 245A of the Immigration and Nationality Act by approval of an application and who is aged, blind and/or disabled as defined in Section 1605 of the Social Security Act ([Public Law 74-271](#)) or Cuban or Haitian aliens as defined in [Public Law 96-422](#), Section 501 (e). Applicants are considered eligible if they have a Social Security card issued by the Social Security Administration, Green Card or show permanent Residents (I-551 Alien Registration Card, Passport, I-688B Employment authorization card, I-766 Employment Authorization Document, I-94 with R-1 or R-2 status designation). I-94 documents with no status designated only show permission to enter the U.S. but do not establish residency;
 - c. Eligible minor children residing with ineligible non-citizens;
 - d. a member of the Household who is away from the home part of the time is included as a Household member and their income must be included on the Application;
 - e. a live-in care attendant will be considered part of the Household if the live-in care attendant does not meet the definition of a Live-in Care Attendant in Section 1 of this Rule.

3. A full-time college student, up to age 23 years old, or more than 23 years of age if permanently and totally disabled, who is a dependent of the Household may be excluded from the Household if the Primary Applicant chooses, as long as the college student is not the Primary Applicant. If excluded from the Household, his or her income would not be counted. The Applicant must provide proof of student status and enrollment at a university, vocational college, business college, or other accredited institution for twelve (12) credit hours or more per semester.

4. If otherwise eligible, Roomers and Boarders are eligible for a Benefit to the extent such Applicants prove that the rental arrangement giving rise to their Roomer or Boarder status was in existence for at least sixty (60) days prior to the Date of Application. At a minimum, such proof shall include verification that a reasonable market rate rent amount was paid by the Roomer or Boarder pursuant to the terms and conditions of the rental agreement for the entire sixty (60) day period. Roomers and Boarders cannot comeingle

funds or share expenses with lessor's Household.

- G. Income Eligibility is based on documented Household Income or Categorical Income Eligibility. Household Income is determined and verified in accordance with the information provided on the Application and verified as part of eligibility determination process.
1. Household Income received during the one (1) month or 30-day period preceding the Application Create Date- Non Online or Application Intake Date. Primary Applicants must provide pay stubs, or a statement from all current or former employer(s), documenting Household Income received during the one (1) month or 30-day income period prior to the Application Create Date- Non Online or Application Intake Date.
 2. Household Income includes, but is not limited to, the following:
 - a. Wages, salaries, and bonuses before any taxes or deductions;
 - b. Self-employment income. Households with self-employment income must use a current year's tax return if filed. If the Household has not filed a current year's tax return then the tax return for the previous year may be used. When supported by a tax return, self-employment income is defined as the total of net income (including net rental income) plus the total net gain from sales of capital goods or equipment plus depreciation. If the Applicant has not filed a tax return for the current or previous year, the Applicant may complete a self-employed income statement/worksheet accounting for the last twelve (12) months of income. Supporting documentation must be provided to substantiate the information on the statement/worksheet. Deductions or expenses related to self-employment income shall not be factored in to the amounts counted as income unless the Applicant provided the complete tax return from the current or prior year;
 - c. Social Security Retirement (SS), Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI) Benefits;
 - d. Unemployment and worker's compensation and/or strike benefits from union funds;
 - e. Spousal support or alimony received by an Applicant, or mortgage/rent payments in lieu of or in addition to payments;
 - f. Court ordered or voluntary child support payments received by an Applicant, or mortgage/rent payments in lieu of or in addition to support payments;
 - g. Military allotments (pay);
 - h. Veteran's Benefits;
 - i. Other support from an absent family member or someone not living in the Household excluding loans;
 - j. Income of person living in the Household who is a non-qualified alien and 18 years of age or older;

- k. Government employee pensions, private pensions, and regular annuity payments;
 - l. Income from dividends, rents, royalties, estates, trusts, and interest. Interest income under \$200.00 must be included as income, but does not need to be supported by documentation;
 - m. Net rental income, including funds received from Roomers and Boarders;
 - n. Winnings from any source of gambling or gaming is considered income including, but not limited to private gambling, lottery, horse racing, bingo, etc.;
 - o. Jury duty fees.
3. Exemptions from Household Income include:
- a. Assets drawn down from financial institutions;
 - b. Foster care payments;
 - c. Adoption assistance;
 - d. In-kind payments to an Applicant in lieu of payment for work, including the imputed value of rent received in lieu of wages or items received in barter for rent;
 - e. Capital gains (except for business purposes);
 - f. Income from the sale of a primary residence, personal car, or other personal property;
 - g. Tax refunds;
 - h. One-time insurance payments;
 - i. One-time compensation for injury;
 - j. Non-cash income such as General Assistance voucher payments, the bonus value of food and fuel produced and consumed on farms, and the imputed value of rent from owner-occupied farm housing;
 - k. Bank loans, reverse mortgages, and home equity loans;
 - l. Reimbursement for expenses incurred in connection with employment;
 - m. Reimbursement for medical expenses;
 - n. Any funds received for education from grants, loans and scholarships, and work study;
 - o. Retroactive payments and overpayment adjustments from an entitlement program for a time period outside of the period being considered for HEAP eligibility (i.e. worker's comp, Social Security Benefits, etc.);
 - p. Income earned by an Applicant who is a full time high school student, unless they are the Primary Applicant;

- q. Income earned by a full-time college student who is not counted as a Household member pursuant to Section E.3 of this Rule;
- r. Combat zone pay to the military;
- s. Credit card loans/advances;
- t. All income used to fulfill a Social Security Administration Program to Achieve Self-Sufficiency (PASS);
- u. Federal payments or benefits excluded by law as set forth below:
 1. Payments received under Title II of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (84 Stat. 1902, [42 U.S.C. 4636](#)).
 2. Payments of land settlement judgments distributed to or held in trust for members of certain Indian Tribes under Public Laws [92-254](#), [93-134](#), [93-531](#), [94-114](#); [94-540](#), [97-458](#), [98-64](#), [98-123](#) and [98-124](#).
 3. Funds available or distributed pursuant to [Public Law 96-420](#), the Maine Indian Claims Settlement Act of 1980 ([25 U.S.C. 1721 et. seq.](#)) to members of the Passamaquoddy Tribe, the Penobscot Nation and the Houlton Band of Maliseet Indians.
 4. The value of the allotment provided a household under the Supplemental Nutrition Assistance Program ([7 U.S.C.A. 51](#)).
 5. The value of assistance to children as excluded under the National School Lunch Act ([42 U.S.C. 1760\(e\)](#)) and under the Child Nutrition Act of 1966 ([42 U.S.C. 1780\(b\)](#)).
 6. The value of commodities distributed under the Temporary Emergency Food Assistance Act of 1983 ([Public Law. 98-8](#), [7 U.S.C. 612c](#)).
 7. Allowances, earnings and payments to individuals participating in programs under the Workforce Innovation and Opportunity Act <https://www.congress.gov/113/bills/hr803/BILLS-113hr803enr.pdf>
 8. Program benefits received under the Older Americans Act of 1965 ([42 U.S.C. sub-section 3020\(a\)\(b\)](#)) as wages under the Senior Community Service Employment Program (SCSEP).
 9. Payments to volunteers under the Domestic Volunteer Service Act of 1973 ([Public Law 93-113](#), [42 U.S.C. 5044](#)).
 10. The value of any assistance paid with respect to a dwelling unit under the United States Housing Act of 1937, the National Housing Act, Section 101 of the Housing and Urban Development Act of 1965, or Title V of the Housing Act of 1949.

11. The tax-exempt portions of payments made pursuant to the provisions of the Alaska Native Claims Settlement Act ([Public Law 92-203, 43 U.S.C. 1620\(a\)](#)).
 12. Payments for supportive services or reimbursement of out-of-pocket expenses made to individual volunteers serving as foster grandparents, senior health aides, or senior companions, and to persons serving in the Service Corps of Retired Executives (SCORE) and Active Corps of Executives (ACE) and any other programs under Titles II and III, pursuant to Section 418 of [Public Law 93-113](#).
 13. Any wages, allowances or reimbursement for transportation and attendant care costs, unless accepted on a case-by-case basis, when received by an eligible handicapped individual employed in a project under Title VI of the Rehabilitation Act of 1973 as amended by Title II of [Public Law No. 95-602](#).
 14. All student financial assistance including the following programs funded under Title IV of the Higher Education Act as amended:
 - a. Pell Grants;
 - b. Supplemental Educational Opportunity Grants;
 - c. Grants to States for State Student Incentives;
 - d. Special Programs for Students from Disadvantaged Backgrounds;
 - e. Special Programs for Students Whose Families are Engaged in Migrant and Seasonal Farm work;
 - f. Robert C. Byrd Honors Scholarship Program;
 - g. Assistance to Institutions of Higher Education;
 - h. Veterans Education Outreach Program;
 - i. Special Child Care Services for Disadvantaged College Students.
 - j. Payments to veterans for Aid and Attendance benefits.
4. For any Applicant who pays court ordered child support, the Subgrantee will deduct paid and documented child support payments made during the income period from the Applicant's gross income.
- H. For any Household found ineligible due to being over income, the Subgrantee will deduct paid and documented medical expenses not reimbursed for the 12-month period prior to the HEAP Application Create Date- Non Online or Application Intake Date from the gross income in an amount only enough to make Household eligible. Medical expenses may include medical and dental insurance premiums and transportation to medical appointments. Subgrantees will use Internal Revenue Service Publication 502, as same may be amended from time to time, to identify

eligible medical and dental expenses.

- I. Primary Applicants may be required to refund any Overpayment. A Household's Eligibility to receive benefits from Programs is contingent on the resolution of any Overpayment.
 1. MaineHousing will recoup all outstanding Overpayments from any current or future Benefits until the Overpayment is paid in full. MaineHousing will recoup 50% of a Household's current Program Year's Benefit and 50% of a Household's future Program Years' Benefits until the Overpayment has been paid in full.
 2. The Household will be eligible for ECIP if they have entered into and are in compliance with the terms of a repayment agreement with MaineHousing to resolve the Overpayment or the Overpayment has been paid in full.
 3. The Household will not be eligible to receive benefits under the Weatherization Assistance Program, CHIP, or Heat Pump Program until the Overpayment is paid in full.

4. Benefit Determination.

- A. Benefits are determined to ensure that Eligible Households with the lowest income and the highest Energy Cost in relation to income, taking into account family size, will receive a higher Benefit.
- B. The availability of a Benefit will be based on HEAP funding availability.
- C. Tenants residing in Subsidized Housing with heat included in their rent, who pay a portion of their rent or utility costs, are only eligible to receive a Benefit in an amount to maximize benefits under SNAP.
- D. MaineHousing, or the Subgrantee as allowed by MaineHousing, will assign a number of points to an Eligible Household that correlates to their Energy Costs. The number of points will be adjusted by an assigned percentage that correlates to the Eligible Household's poverty level. The adjusted number of points will then be multiplied by a dollar value based on the amount of the federal HEAP grant received and the number of Eligible Households served in the previous Program Year, the average Energy Cost for an Eligible Household in the previous Program Year, any anticipated increase or decrease in the federal HEAP grant to be received in the current Program Year, and any anticipated increase or decrease in average Benefits or the number of Eligible Households.

MaineHousing will announce the actual dollar value of DHLC points no later than the fifteen (15) calendar days following receipt of the federal HEAP grant award.

1. The number of points assigned to an Eligible Household will be determined pursuant to the following:

Calculated or Reported Energy Cost	Points
\$.01-\$400	5
\$401-\$800	10
\$801-\$1200	15
\$1201-\$1600	20
\$1601-\$2000	25

\$2001-\$2500	30
\$2501 and over	35
Calculated or Reported Energy Cost falling between brackets will be rounded to the next higher or lower dollar amount, as appropriate. For example: \$400.01-\$400.49 will be rounded to \$400; \$400.50-\$400.99 will be rounded to \$401.	

Poverty Level as Calculated under the Federal Poverty Income Guidelines (FPIG)	Percentage of Points
0%-25%	130%
26%-50%	120%
51%-75%	110%
76%-100%	100%
101%-125%	90%
126%-150%	80%
>than 150% FPIG but not exceeding the maximum of the greater of 150% FPIG or 60% state median income	70%
Calculated poverty level amounts falling between brackets will be rounded to the next higher or lower amount. For example: income at 75.1% will be rounded to 75%; income at 100.6% will be rounded to 101%.	

All final point results that are fractional will be rounded up to the nearest whole number.

2. Calculating Energy Costs. Energy Costs are calculated by the DHLC method.
 - a. Design Heat Load Calculation. DHLC shall be used to estimate the Energy Costs for Eligible Households. Under the DHLC, the number of rooms occupied by the Eligible Household shall be multiplied by the number of BTUs needed to heat an average sized room in a Dwelling Unit. That product will then be multiplied by the number of square feet of an average sized room in a Dwelling Unit. Next, that second product will be multiplied by the number of heating degree days of the Service Area in which the Eligible Household's Dwelling Unit is located. That third product is then divided by one million BTUs. The quotient is then multiplied by the cost of the Eligible Household's requested Home Energy type per one million BTUs. That fourth product is then divided by the efficiency rate of the requested Home Energy type to arrive at the Eligible Household's estimated amount of energy consumption. The cost per one million BTUs and efficiency rate of the Applicant's Home Energy type will be periodically established by MaineHousing.

The DHLC is based on the following factors:

 1. The total number of rooms in the Dwelling Unit as listed on the Application. Hallways, bathrooms, and closets are not counted in the total number of rooms;
 2. An assumed standard room size for the Dwelling Unit type. Standard room sizes and BTUs required to heat a Dwelling Unit vary by Dwelling Unit type because average room size and surface area exposure to the elements vary by Dwelling Unit type. The standard room sizes and BTUs used for each Dwelling Unit type are as follows:

Dwelling Unit Type	Standard Room Size	BTUs
Stick-built/Modular	144 square feet	14.3
Manufactured Home/mobile home	100 square feet	13
Apartment	120 square feet	8.3

3. The heating degree days for the Service Area. Heating degree days are updated annually using data reported by National Weather Stations in Maine.
4. The estimated BTUs required to heat the Dwelling Unit;
5. Average cost per one million BTU. MaineHousing determines the average costs per one million BTU annually. Oil, kerosene, and propane costs are obtained by averaging the costs reported by the Governor’s Energy Office (GEO). Average costs for all other fuel types are based on a representative survey of Vendors’ pricing.
6. The efficiency rate for the requested Home Energy type listed on the Application. The Energy Cost per one million BTU and efficiency rate are based on the requested Home Energy type specified on the Eligible Household’s Application.

Home Energy Type	Efficiency Rate
Oil	65%
Kerosene	65%
Propane	65%
Natural Gas	65%
Biodiesel	65%
Electric	100%
Firewood	50%
Corn	60%
Wood Pellets	80%
Bio-bricks	80%

7. For Tenants in Subsidized Housing with a Direct Energy Cost, the annual utility allowance for heating, as provided by property manager on the Subsidized Housing form, must be deducted from the estimated Energy Cost in order to determine the Eligible Household’s heat burden.
8. If after annual utility allowances for heating are deducted from annual Household Energy Cost reported by the Vendor on the Annual Consumption report, the Household has a calculated energy cost of less than or equal to zero (0), the Household is only eligible to receive a Benefit in an amount to maximize benefits under the Supplemental Nutrition Assistance Program (SNAP).

5. Payment of Benefits.

- A. A Primary Applicant shall select a Vendor that will deliver Home Energy to the Eligible Household. Payment of Benefits will be made directly to the Vendor by a method prescribed by MaineHousing.
 - 1. For payment prior to delivery, MaineHousing, or a Subgrantee as allowed by MaineHousing, will pay a Benefit to the Vendor or within ten (10) business days of the date the Application is certified eligible or when HEAP grant funds are available, whichever is later.
 - 2. For payment post-delivery, MaineHousing, or a Subgrantee as allowed by MaineHousing, will provide a Credit Notification Report within ten (10) business days of the date the Application is certified eligible or when HEAP grant funds are available, whichever is later. MaineHousing will make payment for HEAP Benefits after the Vendor makes delivery as authorized by MaineHousing.

In the case of wood Vendors, MaineHousing, or a Subgrantee as allowed by MaineHousing, will make payment for a Benefit by direct check to the Primary Applicant.

- B. If there is no Vendor that serves the area in which the Eligible Household resides then MaineHousing, or the Subgrantee as allowed by MaineHousing, may pay Benefits directly to the Primary Applicant. The Primary Applicant will be required to sign an Attestation as part of their Application, attesting that the Benefit they receive will be used for its intended purpose.
- C. Payment of Benefits will be made directly to Primary Applicants who receive their Benefit for firewood. Payment of Benefits may be made directly to Tenants with an Indirect Determinable Energy Cost.

6. TANF Supplemental Benefits.

- A. Except as may be expressly provided for elsewhere in this Rule, the use and administration of TANF Supplemental Benefits is subject to the standards for HEAP Benefits set forth in this Rule.
- B. Eligibility. A Household may be eligible for a TANF Supplemental Benefit if its Application for HEAP has been certified eligible in the current Program Year and if on the Date of Application:
 - 1. it included at least one member who was under the age of eighteen (18); and
 - 2. it did not reside in Subsidized Housing with heat included.
- C. Benefit Determination. The TANF Supplemental Benefit per Eligible Household per Program Year shall be determined each Program Year by MaineHousing based on the projected number of Households eligible for TANF Supplemental Benefits and available funding.
- D. Payment of Benefits. TANF Supplemental Benefits will be sent directly to Vendors in the same manner as regular HEAP Benefits as outlined in Section 5 above.

7. Benefit Returns and Transfer:

- A. Program benefits may not be sold, released or otherwise conveyed, with or without consideration, by the Eligible Household or the Vendor without written authorization from MaineHousing. MaineHousing will only authorize such conveyances when circumstances arise that prevent the Eligible Household from using the Benefit and MaineHousing determines such conveyance is in the best interest of the Eligible Household and is consistent with the intent of the HEAP Act.

- B. Program benefits may be available for reissue or transfer during the Program Year of issue and up until April 30th of the Program Year immediately following when:
1. All Applicant(s) move in State but continue with same Vendor.
 2. All Applicant(s) move in State and change Home Energy vendors.
 3. Household changes Vendor.
 4. All Applicant(s) move in State from a Dwelling Unit with Direct Energy Cost to a Dwelling Unit with heat included in their rent (not including Subsidized Housing).
 5. All Applicant(s) move in State to Subsidized Housing with Direct Energy Cost.
 6. Household changes Home Energy type.
 7. Primary Applicant has deceased and there are surviving Applicants remaining in the Household (unless surviving Applicant moves in State to a Household that has received a Benefit in the current Program Year).
- C. Household may be required to provide in writing the following in order to receive a Benefit reissue or transfer:
1. Primary Applicant's name.
 2. Previous address.
 3. Current address.
 4. Current phone number.
 5. Current rental agreement or current property tax bill, whichever is relevant.
 6. Current electric/utility company name and account number.
 7. Name on the electric/utility company account.
 8. Primary Heating System and Home Energy type.
 9. Fuel tank location.
 10. Current Home Energy Vendor name, address, and account number.
 11. Primary Applicant's signature and date submitted.

If for any reason the requested documentation is not provided, the reissuance or transfer of Benefits may be delayed and/or Benefits may be forfeited.

- D. Benefits may not be eligible for reissue or transfer when:
1. It is determined that Primary Applicant committed Errors and Program Abuse when completing the Application.

2. It is determined that there was an Overpayment.
3. Primary Applicant's permanent residence changes to a nursing home or long term care facility and there are no surviving Applicants remaining in the Household.
4. All Applicant(s) move to Subsidized Housing with heat included.
5. Primary Applicant moves in State into a Household that has been determined eligible for a Benefit in the current Program Year.
6. The Benefit was issued before the previous or current Program Year.
7. The Benefit was issued the previous Program Year and was not used on or before April 30th of the Program Year immediately following.
8. All Applicant(s) move to an ineligible Dwelling Unit.
9. Primary Applicant has deceased and there are no surviving Applicants remaining in the Household.
10. All Applicants move out of State.

If the Household subsequently moves to an eligible Dwelling Unit, the Benefit may be eligible for reissue provided the Benefit was for the previous or current Program Year.

- E. In the event Vendor receives a Benefit return form requesting the return of Benefits paid to Vendor on behalf of Eligible Households, Vendor shall return such Benefits to MaineHousing within fifteen (15) business days of date of Benefit return form. Once the funds are received, MaineHousing will process the reissue or transfer as appropriate within fifteen (15) calendar days.

8. Energy Crisis Intervention Program (ECIP).

- A. A Household may be eligible for ECIP if a Household member's health and safety is threatened by an Energy Crisis situation and the Household does not have the financial means to avert the Energy Crisis. The Subgrantee will determine whether the Household is experiencing an Energy Crisis on the Date of Application. An Eligible Household is income eligible for ECIP.

1. To determine if Household is in Energy Crisis:
 - a. Reading of 1/4 tank or less on a standard 275 gallon heating oil tank;
 - b. Reading of 25% or less on a propane tank;
 - c. 7-day or less supply for other delivered Home Energy types.
2. To determine an Energy Crisis with respect to utility terminations:
 - a. Household has received a disconnection notice; and
 - b. Household has exhausted its ability to negotiate and pay the terms of a reasonable

payment arrangement.

B. Allowable expenditures must be related to averting an Energy Crisis and may include:

1. Home Energy deliveries provided the Eligible Household has exhausted any remaining Benefits previously issued to a Vendor on behalf of the Eligible Household;
2. Delivery charges associated with fuel deliveries made against an ECIP benefit to avert an energy crisis situation.
3. Surcharges, reconnection charges, or penalties related to a final utility disconnect notice. Utility costs must be directly related to the operation of the Heating System;
4. Heating System repair, including restart fees;
5. Purchase of space heaters;
6. Temporary relocation provided the Eligible Household is experiencing a Life Threatening Crisis that cannot be averted within 18 hours by one of the above measures;

C. Unallowable Expenditures:

1. ECIP funds cannot be used if the Household has any other Heating System that is safe, operable and is capable of heating the dwelling adequately during severe cold weather, and has a supply of product for that Heating System.
2. ECIP funds cannot be used to pay for surcharges, reconnection charges, or penalties related to a final utility disconnect when that utility is not required for the operation of the primary Heating System.
3. ECIP funds cannot be used to pay for Home Energy deliveries or Heating System repairs if the Applicant resides in Subsidized Housing with heat included or a Rental Unit with heat included.
4. An Applicant with an Overpayment balance is not eligible for ECIP benefits unless they have entered into and are in compliance with the terms of a repayment agreement with MaineHousing to resolve the Overpayment.

D. The maximum ECIP benefit per Eligible Household per Program Year shall be determined each Program Year by MaineHousing based on Home Energy costs, economic conditions, and available funding.

E. ECIP will be administered pursuant to HEAP:

1. ECIP timeframe is November 1 through the following April 30 or upon the exhaustion of funds, whichever occurs sooner;
2. Conditioned on the availability of ECIP funds, some form of assistance that will resolve the Energy Crisis, if Household is eligible to receive such benefits, will be provided

within 48 hours after Household has been certified eligible for ECIP;

3. Conditioned on the availability of ECIP funds, some form of assistance that will resolve the Energy Crisis, if Household is eligible to receive such benefits and is in a Life Threatening Crisis situation, will be provided within 18 hours after a Household has been certified eligible for ECIP.

F. The Subgrantee will provide the Primary Applicant written notice of ECIP denial within three (3) business days.

G. ECIP Payment to Vendors.

1. Except in the case of wood Vendors, MaineHousing, or a Subgrantee as allowed by MaineHousing, will make payment for ECIP after the Vendor makes delivery as authorized by MaineHousing/Subgrantee. The Vendor must return a completed purchase order and a delivery ticket to MaineHousing/Subgrantee. The Vendor must also submit an invoice if the total amount on the delivery ticket is greater than the ECIP purchase order amount or the delivery ticket does not account for all the charges that were approved on the purchase order. Receipt of the purchase order must be entered into the MaineHousing database. Contingent on database entry, MaineHousing will make payment within ten (10) business days of the receipt of the completed purchase order, a delivery ticket, and invoice (if applicable).
2. In the case of wood Vendors, MaineHousing, or a Subgrantee as allowed by MaineHousing, will make payment for ECIP after the Vendor makes delivery as authorized by MaineHousing/Subgrantee. The Vendor must return a completed purchase order, including Applicant and Vendor signatures, to MaineHousing/Subgrantee. Receipt of the purchase order must be entered into the MaineHousing database. Contingent on database entry, MaineHousing/Subgrantee will make payment within ten (10) business days of the signed purchase order receipt date.

9. Central Heating Improvement Program (CHIP).

A. Eligibility. A Household may be eligible for CHIP if the Household:

1. is eligible for HEAP Fuel Assistance benefits;
2. has an eligible Application that was certified within the preceding twelve (12) months; and
3. does not have a more recent Application that has been certified-denied.

B. Subgrantees shall provide CHIP services based on the following priority order:

1. Eligible Households experiencing an Energy Crisis caused by Heating System malfunction or failure.
2. Non-wood Heating Systems that cannot achieve a minimum steady state efficiency of 70% (as determined by a CTE).

3. Preventative CTE and minor repairs on a non-emergency basis (owner-occupied dwelling units only). Date of the last CTE by a licensed technician must be more than twelve (12) months prior to the initiation of services date.

Eligible Households shall be served on a first-come, first-served basis with respect to each level of priority except when the Subgrantee is providing weatherization services to a Dwelling Unit. In this case, CHIP activities to Eligible Households that enable the Subgrantee to leverage funds may be served first.

- C. Subgrantees shall administer and operate CHIP in their Service Areas unless otherwise determined by MaineHousing. Administration of CHIP will be conditioned on the availability of HEAP funds.
- D. Heating System Replacement. Household may be eligible for assistance to replace a Heating System if the Household is eligible for Benefits pursuant to this Rule. The amount of assistance shall take into account the Applicant Household's and Non-occupying Co-owner's Countable Assets.

1. The Applicant Household will be required to contribute toward the cost of replacing the Heating System if the Applicant Household has Countable Assets in excess of \$5,000, or \$50,000 if a member of the Applicant Household is 60 years of age or older. The same guidelines apply to Non-occupying Co-owner's Countable Assets.

The overall purpose of these asset limitations is to encourage a Household's contribution to meeting their needs, when possible, and at the same time recognize that household assets represent needed income and insurance against financial calamities, and that it is prudent to retain these assets to some extent.

2. An Applicant Household's contribution shall be determined by subtracting \$5,000 or \$50,000 (whichever is applicable) from its total Countable Assets. That difference will then be multiplied by the Applicant Household's percentage of ownership. A Non-occupying Co-owner's contribution shall be similarly calculated. The maximum CHIP benefit amount shall be determined by subtracting the sum of the Applicant Household's and Non-occupying Co-owner's contributions from the total replacement costs.

- E. Rental Units Occupied By An Eligible Household: A life-time maximum benefit of \$600 for an Eligible Household. The maximum allowed in a non-owner occupied multi-family building is the lesser of \$600 times the number of Heating Systems that provide heat to Eligible Households or \$2,400.

- F. Life Estates and Life Leases: If an Eligible Household member holds a life estate or life lease interest in and occupies the Dwelling Unit, the Dwelling Unit may be eligible if:

1. the document conferring the Applicant's rights of the life estate or life lease states that the Eligible Household member is responsible for maintaining the Dwelling Unit, or is silent as to who is responsible for maintenance; or
2. the Dwelling Unit is owned by an Eligible Household.

- G. Proof of Ownership. The Subgrantee shall verify ownership of all Dwelling Units and Rental Units

prior to performing any work. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

Life estates and life leases require a copy of the document conferring the Applicant's rights.

The Subgrantee must obtain the written permission of the owner of the Rental Unit prior to performing any work on the Heating System unless the Tenant has exercised his or her right under 14 M.R.S.A. Section 6026 to make certain repairs.

H. A Dwelling Unit will not be eligible under CHIP if:

1. Dwelling Unit is a Rental Unit that has received prior CHIP services to the life-time maximum benefit;
2. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
3. Dwelling Unit has been designated for foreclosure;
4. Dwelling Unit is for sale;
5. Dwelling Unit is vacant;
6. Dwelling Unit is uninhabitable as determined by a local municipality, State Agency, MaineHousing, or a Community Action Agency;
7. Dwelling Unit is in poor structural condition making the installation of CHIP services impractical, impossible, or ineffective;
8. Dwelling Unit is in such poor structural condition that the proposed CHIP services would have a longer life expectancy than the Dwelling Unit;
9. Dwelling Unit has been damaged by fire, flood or an act of God and repair of the damage is covered by insurance;
10. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the CHIP process. The Subgrantee must resolve any discrepancies before work can continue;
11. Subgrantee determines the Applicant failed to properly maintain a Heating System that was previously replaced under CHIP.
12. Eligible Households who apply for CHIP services for more than one Dwelling Unit will be subject to additional review to ensure the requested services are consistent with the intent of the program.

I. CHIP Allowable Uses:

1. Cleaning, tuning, and evaluating oil or gas systems;

2. Cleaning, evaluating, and servicing solid fuel systems;
3. Replacing oil or gas burners;
4. Replacing cracked heat exchangers;
5. Replacing oil, gas, electric or solid fuel Heating Systems;
6. Sealing and insulating Heating System pipes or ducts in unconditioned spaces;
7. Installing electrical or mechanical Heating System ignition systems;
8. Replacing or relocating thermostats and anticipator adjustment;
9. Baffling of the combustion chamber;
10. Optimizing the firing rate;
11. Cleaning of the chimney;
12. Smoke Alarms;
13. Fire extinguishers;
14. Carbon Monoxide detectors;
15. Gas detectors;
16. Oil tanks;
17. Oil tank gauges;

18. Temporary relocation provided the Eligible Household is experiencing a Life Threatening Crisis that cannot be adequately addressed through ECIP measures;

19. Other measures necessary to bring Heating Systems into compliance with applicable State and local codes and Maine Fuel Board requirements; and

20. Other measures necessary to correct any Heating System problems that pose an immediate threat to the health and safety of the Eligible Household.

J. CHIP Unallowable Uses:

1. Reimbursement or payment for purchases made by or costs incurred by an Applicant.
2. Replacement of a Heating System if the Dwelling Unit received a prior Heating System replacement funded by CHIP unless the Heating System is near the end of or beyond its estimated useful life as defined by https://www.hud.gov/sites/documents/EUL_FOR_CNA_E_TOOL.PDF

- K. Fuel Switching. As a general guideline, the practice of fuel switching is not allowed. However, if the Subgrantee determines that the switching of a fuel source is warranted, then a written waiver request must be submitted to MaineHousing for review and consideration (on a case-by-case basis) prior to the installation.
- L. Subgrantee must perform a final inspection on all CHIP services for heating system replacement jobs. Inspections will include an evaluation to determine:
1. Compliance with applicable codes;
 2. That all work performed was authorized by the Subgrantee; and
 3. The combustion efficiency level of the Heating System where technically feasible.
- M. Specific Procurement Requirements. Prior to the performance of CHIP services, the Subgrantee shall follow the procedures below:
1. Procurement less than or equal to \$10,000. Procurement of services, including materials, equipment and services from specialized trades, such as electricians, plumbers, masons and oil burner repair people shall be performed in accordance with the following procedures.
 - a. Solicit by phone, email, vendor website, catalog, or price list, or similar means one price quote for the required materials, equipment and services.
 - b. Determine if the quoted price is reasonable based on one or more factors identified by Subgrantee, such as recent purchases of, or research on, goods or services of the same kind or related knowledge or expertise; otherwise, solicit two price quotes by similar means.
 - c. Copies of all procurement records, including basis for the contractor selection and factors used to determine if the quoted price is reasonable, must be retained in the Subgrantee files.
 2. Procurement over \$10,000. Procurement of services, including materials, equipment and services from specialized trades, such as electricians, plumbers, masons and oil burner repair people shall be performed in accordance with the following procedures.
 - a. Perform a price survey for the required materials, equipment and services.
 - b. Make every reasonable attempt to receive price quotations or bids from at least three (3) reputable Contractors and fully document the bid process and all bids received on a survey sheet.
 - c. Purchase the materials, equipment or services from the Contractor whose bid or proposal is the lowest, taking into consideration the Contractor's performance record and other relevant factors. Fully document the selection process.
 - d. Copies of all procurement records, including basis for contractor selection must be retained in the Subgrantee files.
 3. The Subgrantee must prepare an Invitation to Bid or a Request for Proposal, which:
 - a. Identifies all requirements which prospective bidders must fulfill, including the

due dates for bids; and

- b. Identifies all factors which the Subgrantees will consider in evaluating and awarding bids.
4. The Invitation to Bid or Request for Proposal must be mailed, faxed or emailed to no less than three (3) prospective contractors who may reasonably be expected to submit a bid.
 5. All bids must be received by the Subgrantee contact person via mail, fax or e-mail prior to a specified time for a bid opening at a specified time and location. All bids received must be kept in a secure location prior to all bids being received and tabulated. In addition, all correspondence relating to the procurement action must be retained in the bid files.
 6. Sole Source Procurement. Subgrantee may solicit a proposal from only one source for one of the following reasons:
 - a. Sole source procurement may be used in the following instances:
 1. Emergency or Urgent Need. An emergency situation or other urgent need exists and only one known source can provide the required goods or services within the time needed. Emergency or urgent situations include, but are not limited to, natural disasters or a Life Threatening Crisis.
 2. Uniqueness. The item or service is available from only one source, based on a reasonable, good faith review of the market for the type of item or service needed.
 3. Inadequate Competitive Proposals. After evaluation of all proposals submitted in a competitive procurement, all proposals are determined to be inadequate.
 - b. Subgrantee shall submit a written statement justifying the use and approval of all sole source procurements, in excess of \$10,000 to MaineHousing for its consideration prior to the installation of services.
 - c. Subgrantee will retain a copy of the solicitation and the proposal received in response, a record of the approval by MaineHousing in Subgrantee's records.

10. HEAP Weatherization.

- A. The purpose of HEAP Weatherization is to reduce Eligible Households' need for Fuel Assistance, particularly those with the lowest Household Incomes that pay a high proportion of Household Income for Home Energy and those that include Priority Applicants.
- B. Using HEAP Weatherization in conjunction with U.S Department of Energy (DOE) funds: If the requirements in this Rule conflict with those required by [10 CFR Part 440](#), DOE requirements shall have precedence, with the exception to variations listed and approved in the LIHEAP State Model Plan Weatherization Assistance Section. HEAP Weatherization funds may only be used to weatherize Dwelling Units occupied by Eligible Households.
- C. Weatherization measures must be installed in accordance with the Maine Weatherization Standards, as may be amended from time to time.

- D. Eligibility. A Household may be eligible for HEAP Weatherization if the Household:
1. is eligible for Benefits pursuant to this Rule;
 2. has an Application certified-eligible within the twelve (12) months preceding the date of the Subgrantee's energy audit of the Dwelling Unit; and
 3. does not have a more recent Application that has been certified-denied.
- E. Proof of Ownership. The Subgrantee shall verify ownership of all Dwelling Units and Rental Units prior to performing any work. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

Life estates and leases require a copy of the document conferring the Applicant's rights.

The Subgrantee must obtain the written permission of the owner of the Rental Unit prior to performing any work.

- F. A Dwelling Unit will not be eligible under HEAP Weatherization if:
1. Dwelling Unit received weatherization services under HEAP Weatherization or another MaineHousing program within fifteen (15) years of the date of Application.
 2. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
 3. Dwelling Unit has been designated for foreclosure;
 4. Dwelling Unit is for sale;
 5. Dwelling Unit is vacant;
 6. Dwelling Unit is uninhabitable as determined by a local municipality, State Agency, MaineHousing, or a Community Action Agency ;
 7. Dwelling Unit is in poor structural condition making the installation of HEAP Weatherization services impractical, impossible, or ineffective;
 8. Dwelling Unit is in such poor structural condition that the proposed HEAP Weatherization services would have a longer life expectancy than the Dwelling Unit;
 9. Dwelling Unit has been damaged by fire, flood or an act of God and repair of the damage is covered by insurance;
 10. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the HEAP Weatherization process. The Subgrantee must resolve any discrepancies before work can continue.

G. Allowable Uses:

1. Weatherization needs assessments/audits;
2. Air sealing and insulation;
3. Storm windows;
4. Heating System modifications/repairs;
5. Heating System replacements;
6. Heating System cleaning, tuning, and evaluating;
7. Compact fluorescent light bulbs and LED light bulbs;
8. Energy related roof repairs;
9. Major appliance repairs/replacements, including water heaters, up to two appliances, with one being a water heater;
10. Incidental Repairs;
11. Health and safety measures;
12. Replacement windows and doors are allowable only under exceptional circumstances and only after all other reasonable repair options have been considered and rejected.

H. Fuel Switching: As a general guideline, the practice of fuel switching when replacing Heating Systems is not allowed. However, if the Subgrantee determines that the switching of a fuel source is warranted, then a written waiver request should be submitted to MaineHousing for review and consideration (on a case-by-case basis) prior to the installation.

I. Work on an eligible Dwelling Unit previously weatherized under a MaineHousing program may be reopened if:

1. the reopening occurs within six (6) months of completion of the original weatherization service; and
2. The reopening is required because the previous service is the proximate cause of an immediate threat to the health and safety of the occupants; or
3. The quality of weatherization material or its installation is deemed deficient by MaineHousing.

J. Subgrantees shall administer and operate HEAP Weatherization in their Service Areas, unless otherwise authorized by MaineHousing. Administration of HEAP Weatherization will be conditioned on the availability of HEAP funds.

K. For the purposes of HEAP Weatherization, Subgrantees must conduct a public bid process to secure weatherization contractors at least annually as prescribed by MaineHousing.

11. Heat Pump Program.

- A. Subgrantees shall administer and operate HEAP Heat Pump Program in their Service Areas, unless otherwise authorized by MaineHousing. Administration of HEAP Heat Pump Program will be conditioned on the availability of HEAP funds.
- B. The purpose of the Heat Pump Program is to help reduce Eligible Households' overall home energy costs.
- C. Eligibility. A Household may be eligible for the Heat Pump Program if the Household:
 - 1. is eligible for Benefits pursuant to this Rule;
 - 2. has an Application certified-eligible within the twelve (12) months preceding the date of the Subgrantee's energy audit of the Dwelling Unit;
 - 3. does not have a more recent Application that has been certified-denied; and
 - 4. has a working primary heating system.
- D. Proof of Ownership. Ownership of all Dwelling Units shall be verified prior to any work being performed. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

Life estates and leases require a copy of the document conferring the Applicant's rights.

- E. A Dwelling Unit will not be eligible under the Heat Pump Program if:
 - 1. Dwelling Unit already is equipped with a heat pump;
 - 2. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
 - 3. Dwelling Unit has been designated for foreclosure;
 - 4. Dwelling Unit is for sale;
 - 5. Dwelling Unit is vacant;
 - 6. Dwelling Unit is uninhabitable as determined by a local municipality, State Agency, MaineHousing, or a Community Action Agency ;
 - 7. Dwelling Unit is in poor structural condition making the installation of a heat pump impractical, impossible, or ineffective;
 - 8. Dwelling Unit is in such poor structural condition that the proposed Heat Pump Program services would have a longer life expectancy than the Dwelling Unit;
 - 9. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the HEAP Weatherization process. The Subgrantee must resolve any discrepancies before work can continue.

F. Allowable Uses:

1. Installation of a Heat Pump; and
2. Installation of electric subpanel for heat pump if needed.

12. Administration of the Program.

- A. MaineHousing will prepare and submit to the Secretary of the United States Department of Health and Human Services an annual State Plan for HEAP in conformity with the provisions of the HEAP Act. MaineHousing will notice a public hearing for the purpose of taking comments on the State Plan and will also prepare a transcript of such comments.
- B. HEAP Handbook. The HEAP Handbook is an operations manual for the administration of the Programs. This Rule shall control in the event of any inconsistency between the HEAP Handbook and this Rule.
- C. General. To the extent practicable, MaineHousing will contract with Subgrantees for the purpose of administering the Programs and may require the Subgrantee to provide benefits in connection therewith, including Supplemental Benefits if such benefits become available during the Program Year, to Eligible Households. MaineHousing may, in its discretion, provide benefits in connection with the Programs and make prepayments, installment payments and advances with or without interest in connection therewith, including without limitation, payment of direct benefits to Eligible Households or Vendors, or may contract with other entities, such as municipalities, to administer the Programs and provide benefits.
- D. Conflict of Interest. No employee, officer, board member, agent, consultant or other representative of Subgrantee, Vendor, or Contractor who exercises or has exercised any function or responsibility with respect to Programs' activities or who is in a position to participate in a decision-making process or gain inside information with regard to these activities, may obtain a financial interest or benefit from Programs' activities or have an interest in any contract, subcontract or agreement regarding the Programs' activities, or the proceeds there under, which benefits him or her or any person with whom he or she has business or family ties. Subgrantees, Vendors, and Contractors shall notify MaineHousing of any potential conflict of interest.
- E. Confidentiality. Subgrantees, Vendors, Contractors, and their employees and agents shall keep confidential:

Applicant or beneficiary information obtained in the administration of the Programs, including without limitation, an individual's name, address and phone number, household income, assets or other financial information, and benefits received ("Confidential Information").

Subgrantees, Vendors, Contractors, and their employees and agents shall safeguard and protect from disclosure at all times Confidential Information including, without limitation, taking the following steps:

1. Put measures in place to prevent the loss, theft, misappropriation or inadvertent disclosure of Confidential Information.
2. Encrypt all Confidential Information contained on computers, laptops, and other electronic devices and media used in whole or in part, in the operation or administration of the Programs.
3. Send e-mail or e-mail attachments containing Confidential Information only if encrypted

or only through a secure e-mail server.

4. Make their employees, officers, agents, contractors, sub-contractors and other representatives who operate or administer any of the Programs or otherwise provide services under the Programs aware that the responsibility to safeguard and protect Confidential Information applies at all times, whether or not they are at a work location during normal business hours.
 5. Limit disclosure to persons with a direct need to know.
- F. MaineHousing will conduct program and fiscal monitoring of Subgrantees and Vendors to ensure compliance with Federal, State, and MaineHousing rules and regulations in a manner consistent with applicable State law, as may be amended from time to time, and the HEAP Act.

13. Subgrantees.

- A. Service Areas. MaineHousing will select at least one Subgrantee to administer the Programs in each Service Area.
- B. Selection of Subgrantees. Subgrantees will be selected annually based on the following criteria:
 1. Experience with providing Fuel Assistance or similar programs to low-income persons;
 2. Current capacity to administer a timely and effective Fuel Assistance program for the intended Service Area;
 3. Demonstrated capacity to adequately serve low-income persons residing in their Service Areas;
 4. The availability of other qualified entities to service a particular area;
 5. The geographic area customarily serviced by the potential Subgrantee;
 6. Cost efficiency in administering a Fuel Assistance program;
 7. The ability to enhance accessibility to other low-income programs administered by the Subgrantee;
 8. Acceptable schedule for taking Applications; and
 9. The ability to perform outreach activities and serve homebound recipients.

Subgrantees shall make annual, written applications to MaineHousing that address each of the criteria listed above. Subgrantee applications must be received no later than June 1 of each year.

- C. Allocation to Each Subgrantee. MaineHousing will determine the annual allocation of HEAP funds to each Subgrantee, the amount of which annual allocation shall not include any amount of HEAP funds allocated to MaineHousing to pay Benefits in the event MaineHousing elects to provide Benefits directly. MaineHousing may base any allocation determination on the number of Applications certified eligible in the Service Areas in the previous Program Year.

- D. Subgrantee Administrative and Program Expenses. Subgrantees shall be permitted administrative and program expenses necessary to carry out their responsibilities under this Rule and the Programs. Such expenses will be allowed in a manner consistent with the provisions of the HEAP Act and must be reasonable in amount as determined by MaineHousing following its review of the Subgrantee work plans and budgets. Allowable administrative and program expenses for each of the Programs are listed below. Other expenses may be allowed if authorized by MaineHousing before the expenses are incurred.

Fuel Assistance and ECIP	Expense Category
Salary and fringe benefit costs for the actual time an individual performs intake, processing, or eligibility determination functions associated with an active Application	Program
Salary and fringe benefit costs for the actual time an individual participates in administering Fuel Assistance or ECIP and is not performing functions associated with an active Application	Program
Salary and fringe benefits and other related and reasonable costs for specific HEAP and ECIP training and professional development of individuals performing intake, application processing, eligibility determination, and administration of HEAP fuel assistance and ECIP	Program
Space costs/rent, telephone, copier/printing, office supplies, postage, transportation/travel, data processing/computer costs, equipment repairs and maintenance, equipment purchase/lease, and consultants/professional services associated with the above referenced activities.	Program
Indirect costs	Administrative
Salary and fringe benefits and other related and reasonable costs for specific HEAP and ECIP training and professional development for individuals whose salary and fringe benefits are budgeted directly to Administrative Costs or for whom salary and fringe are included in the agency's Indirect Rate	Administrative
Salary and fringe costs, space costs, rent, telephone, copying, printing, office supplies, postage, transportation, travel, data processing, computer costs, equipment repairs and maintenance, equipment purchase or lease, consultant fees and professional services associated with the administration of HEAP not included in the agency's Indirect Rate or allowable from program funding	Administrative
HEAP Weatherization, CHIP, and Heat Pump Program	Expense Category
Material/labor costs for Heating system repairs/replacements and measures installed as part of weatherization	Program

Either salary and fringe benefit costs for the actual time staff participates in administering HEAP Weatherization, CHIP, Heat Pump Program or a program management fee established by MaineHousing.	Program
Space costs/rent, telephone, copier/printing, office supplies, postage, transportation/travel, equipment purchase/lease, liability insurance, pollution occurrence insurance, and consultants/professional services.	Program
Indirect costs	Administrative
Assurance 16 Services	Expense Category
Salary and fringe benefit costs for staff providing direct services and the direct administrative costs associated with providing the services, such as the costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space	Program
Indirect costs	Administrative

- E. Assurance 16 Activities. Subgrantees may submit annual proposals, for MaineHousing’s consideration, describing their planned activities and expenses associated with providing services to Applicants pursuant to Assurance 16 of the HEAP Act. Administration of Assurance 16 Activities will be conditioned on the availability of HEAP funds.
- F. Subgrantee’s Responsibilities. The responsibilities of the Subgrantee include, but are not limited to, the following and as further defined in the annual Subgrant Agreement:
1. To conduct client outreach in a manner consistent with the HEAP Act and as prescribed in this Rule.
 2. To accept and verify Applications from Primary Applicants in a manner consistent with provisions of the HEAP Act and as prescribed in this Rule.
 3. To determine Household eligibility in a manner consistent with provisions of the HEAP Act and as prescribed in this Rule.
 4. To pay benefits, if required by MaineHousing, to or on behalf of Eligible Households in a manner consistent with provisions of the HEAP Act and as prescribed in this Rule.
 5. To provide documentation and assistance as needed for MaineHousing to conduct informal reviews and fair hearings.
 6. To pay Supplemental Benefits, if required by MaineHousing, if such benefits become available during the Program Year.
 7. To use MaineHousing database software and equipment.
 8. To address no-heat emergencies.

9. To cost effectively administer and operate the Programs.
10. To prioritize Eligible Households for HEAP Weatherization services in accordance with the HEAT Enterprise software.
11. To coordinate services between Programs.
12. To submit to MaineHousing production schedules for the Programs.
13. To submit to MaineHousing work plans and budgets, monthly status reports and any other such reports or information required in connection with the Programs.
14. To submit to MaineHousing billing information, including zero billings, for open contracts by 20th of each month.
15. To use forms provided or approved by MaineHousing to administer the Programs.
16. To protect personally identifiable information.
17. At Applicant's request, to make reasonable accommodations for a Person with a Disability.
18. To ensure that procurement of materials and services is conducted in a manner to provide open and free competition and to avoid any appearance of impropriety, the Subgrantee shall be bound by general federal procurement principles at [45 CFR §§ 75.327](#) to 75.335 and property management principles at [45 CFR §§ 75.316](#) to 75.323..

G. Recordkeeping, Reporting and Accounting. Subgrantee shall comply with the following requirements:

1. Subgrantee shall maintain comprehensive and accurate documentation, payroll reports, financial statements, and other records in connection with its administration of the Programs, including at a minimum, the amount and disposition of the Programs' funds received by the Subgrantee and the total cost necessary to administer the Programs. Subgrantee shall keep such records separate and identifiable from the records of Subgrantee's other business and activities. MaineHousing and its representatives shall have the right to examine such records at reasonable times upon reasonable notice by MaineHousing. Subgrantee shall furnish copies of any such records requested by MaineHousing. All records must be retained by the Subgrantee for a minimum of three (3) years from the end of relevant contract period. In cases of litigation, other claims, audits, or other disputes the Subgrantee will retain all relevant records for at least one (1) year after the final disposition thereof.
2. Subgrantee shall comply with all reporting requirements of MaineHousing. Subgrantee shall submit to MaineHousing an annual budget prior to each Program Year. Within ninety (90) calendar days after the close of the Subgrantee's fiscal year, Subgrantee shall furnish to MaineHousing an annual financial statement of Subgrantee, prepared by an independent certified public accountant in accordance with audit requirements at 45 CFR Part 75, Subpart F.

H. Funds for administrative expenses for the Program Year and supplemental funding received, if any,

may be spent only between October 1 and the following September 30 of the applicable Program Year, unless otherwise authorized by MaineHousing.

I. Noncompliance.

1. MaineHousing shall have the right to terminate the Subgrantee Agreement in its sole discretion if it determines the Subgrantee has failed to perform one or more of its obligations to include malfeasance or misappropriation of funds. A written Notice of Termination of Subgrantee will set forth the specific violation.
2. For non-compliance other than those which MaineHousing determines are subject to immediate termination, a deficiency notice will be sent to the Subgrantee in the event it fails to comply with any provision of this Rule, the Subgrantee Agreement, the Program Handbook, and the provisions of other applicable law. The Notice will set forth the specific violation and allow a reasonable time period for response by the Subgrantee. Upon review and consideration of any responses, MaineHousing will notify the Subgrantee in writing of any action to be taken and may establish a reasonable time period within which remedial action must be taken. Failure of Subgrantee to comply will result in a Notice of Termination of Subgrantee stating the cause and effective date of its termination.
3. MaineHousing shall have the right to suspend in whole or in part the Subgrantee's performance of one or more services provided under the Agreement whenever MaineHousing determines such suspension is in MaineHousing's best interest.
4. MaineHousing may bar a Subgrantee's participation in programs administered by MaineHousing for its malfeasance or misfeasance with respect to the administration or operation of any of the Programs.

14. Native American Tribal Organizations.

- A. Direct Allocation to Native American Tribal Organizations. Native American Tribal Organizations may receive a direct allocation of HEAP funds from the Secretary of the United States Department of Health and Human Services pursuant to the HEAP Act. The amount of the direct allocation is determined by the percentage of Maine's total annual LIHEAP award that MaineHousing indicates will be awarded to Maine's Native American Tribal Organizations. In its determination MaineHousing will consider the number of Eligible Households during the previous Program Year that include an Applicant who is a member of the Native American Tribal Organization, when that information is available.
- B. Agreements with Native American Tribal Organizations. When a Native American Tribal Organization receives a direct allocation of Fuel Assistance and ECIP, MaineHousing will enter into an agreement with the Native American Tribal Organization that, at a minimum, provides for the coordination of services and administration of the Fuel Assistance and ECIP by the Native American Tribal Organization and Subgrantees to prevent duplication of services.

15. Vendors.

- A. Vendor Eligibility. A vendor interested in becoming a Vendor must demonstrate the capacity and stability of its business to MaineHousing's satisfaction. The vendor must supply a credit report and a business plan. The vendor must be in business for one year prior to becoming a Vendor.

MaineHousing reserves the right to exclude a vendor for the following, not limited to:

1. Any bankruptcies or judgments;
2. Owners and/or officers of vendor were previously owner/officer of terminated Vendor;
3. Failure to comply with Close-Out requirements.

B. Enrollment.

1. Open Enrollment for new vendors: vendors may enter into a Vendor Agreement during the time period as prescribed by MaineHousing. If the vendor does not submit accurate and complete documentation the vendor may not be allowed to participate in the current Program Year.
2. Re-Enrollment for Vendors: Vendors who have a current Program Year contract may enroll as prescribed by MaineHousing. Continued participation is contingent upon performance and compliance with terms of Vendor Agreement.

C. MaineHousing, at its discretion, may terminate any Vendor:

1. That does not comply with the terms and conditions of the Vendor Agreement;
2. That fails to provide documentation and cooperate with any audit/investigation and/or the return of unused Benefits as determined by any audit/investigation. In addition, MaineHousing may undertake any of the following:
 - a. Bar the Vendor from future participation;
 - b. Refer the case to State or federal officials for criminal prosecution or civil action;
and
 - c. Pursue other remedies as determined by MaineHousing.

D. Vendors must comply with State law concerning consumer home heating rights, which is described in Office of the Maine Attorney General Consumer Law Guide Chapter 19.

E. Vendor may not consider an Eligible Household's outstanding indebtedness to Vendor in calculating the Retail Cash Price applicable to a delivery of Home Energy to that Eligible Household.

F. Return of Payments.

1. In the event Vendor receives a Benefit Return form requesting the return of Benefits paid to Vendor on behalf of Eligible Households, Vendor shall return such Benefits to MaineHousing, or Subgrantee as allowed by MaineHousing, within fifteen (15) business days of date of Benefit Return form.
2. In the event Vendor becomes aware of any of the events listed below affecting an Eligible Household, Vendor shall within fifteen (15) business days of the date that Vendor becomes aware of any such event, submit to MaineHousing a completed Benefit Return form and return any remaining Benefits paid to Vendor on behalf of the

affected Eligible Household, unless the remaining Benefits are less than \$25.

Vendor may aggregate any remaining Benefits with a balance less than \$25 and return the balance to MaineHousing when the Annual Consumption Report is submitted. All related recordkeeping must clearly show all remaining benefit balances.

- a. The death of an individual who was the sole member of an Eligible Household;
 - b. The institutionalization of an individual who was the sole member of an Eligible Household;
 - c. Vendor's receipt of a written notice from an Eligible Household that it no longer desires to receive Home Energy deliveries from Vendor;
 - d. An Eligible Household has not received deliveries of Home Energy for twelve (12) consecutive months;
 - e. An Eligible Household has moved out of Vendor's Service Area;
 - f. An Eligible Household has moved out of State;
 - g. Vendor has been paid an excessive Benefit on behalf of the Eligible Household.
3. Vendor shall return to MaineHousing all unused Benefits in its possession or custody, whether directly or indirectly, within fifteen (15) business days of the termination of the Vendor Agreement.
 4. With respect to each return of Benefits, the Vendor agrees to provide in writing: the name and address of the Vendor; the name and address of the Eligible Household; the Eligible Household's account number; the Benefit amount being returned; and a concise explanation for the return of funds. In addition Vendor must include a detailed account history showing delivery activity and payment activity from twelve (12) months prior to the date the Benefit was received by Vendor to the current date. Vendor must also provide any other information required by MaineHousing related thereto.
 5. Vendors may refund credit balances to Eligible Households only to the extent that such credit balances can be documented and demonstrated to be the Eligible Household's funds and not Fuel Assistance funds.
- G. As part of the Annual Consumption Report process, Vendors must review Eligible Household accounts and identify any remaining Benefits that were issued in or prior to the preceding Program Year. All such unused Benefits must be returned to MaineHousing no later than June 30.
- H. Use of Benefits.
1. Program benefits may not be sold, released or otherwise conveyed, with or without consideration, by the Eligible Household or the Vendor without written authorization from MaineHousing. MaineHousing will only authorize such conveyances when circumstances arise that prevent the Eligible Household from using the benefit and MaineHousing determines such conveyance is in the best interest of the Eligible Household and is consistent with the intent of the HEAP Act.
 2. Benefits cannot be used to pay Incidental Costs.

3. Unless otherwise authorized by MaineHousing, the Vendor may only deliver the product stated on the Vendor Voucher Report, the Credit Notification Report, or the purchase order for wood or ECIP.
 4. Vendor may deliver the entire Benefit if the Household has placed an order (for partial Benefit) or if the Household is on automatic delivery unless:
 - a. The Household advises the Vendor all Applicants are moving;
 - b. The Household advises the Vendor that Household's Heating System has mechanical difficulties;
 - c. The Household's Home Energy storage tanks are either being replaced or do not meet code.
- I. In the case of electricity and natural gas Vendors, the Vendor may apply HEAP Benefit funds received for the account of the Eligible Household to past due charges for Home Energy deliveries to the Eligible Household, with the oldest charges being paid first. HEAP Benefits cannot be applied to Incidental Costs.
- J. Vendor Watch List. In the event MaineHousing determines, in its sole judgment based on Vendor's actions or omissions or other information obtained by MaineHousing directly or from any third party, that such actions, omissions or other information raises issues concerning Vendor's continued ability to make Home Energy deliveries or otherwise comply with the terms of the Vendor Agreement, or that Vendor's performance is out of compliance with the requirements of the Vendor Agreement, MaineHousing may place, in its sole discretion, Vendor on a Watch List.
- K. Prohibited Discrimination. The Vendor is prohibited from discriminating against any Eligible Household regarding the extension of credit to purchase Home Energy or other services, the price of Home Energy or other services, or the terms or conditions of the delivery of Home Energy or other services solely on the basis of its being an Eligible Household.

16. Errors and Program Abuse.

A. Reports of Errors and Program Abuse:

1. Subgrantees must report in writing to MaineHousing suspected Errors and Program Abuse related to Programs.
2. Any individual may report to MaineHousing suspected Errors and Program Abuse related to Programs:
 - a. By telephone at 1-800-452-4668 or (207) 626-4600
 - b. In writing to MaineHousing, ATTN: HEAP Errors and Program Abuse, 26 Edison Drive, Augusta, Maine 04330
 - c. By e-mail to LIHEAPcompliance@mainehousing.org;

The report must include the name of the person being reported, their county of residence, and details of the suspected Errors and Program Abuse.

- B. MaineHousing will investigate all reported Errors and Program Abuse. If there is documented information to indicate Errors and Program Abuse, MaineHousing may notify the Applicant and provide them an opportunity to respond. Based on the response, MaineHousing will determine what, if any, appropriate action should be taken.
- C. Once Errors and Program Abuse is confirmed or if an Applicant fails to respond to inquiries regarding suspected Errors and Program Abuse, an Overpayment will be calculated and communicated to the Applicant. In addition to the Overpayment, the communication will include: 1) the facts surrounding the decision, 2) the reason for the decision, and 3) the manner by which the Applicant can request an appeal. MaineHousing may investigate the previous three (3) Program Years from the Date of Discovery. The Overpayment may include any or all of those three (3) years.
- D. When calculating an Overpayment MaineHousing will use the HEAP Handbook in effect for the applicable years the Overpayment occurred.
- E. An Applicant may request a fair hearing to dispute an Overpayment. The Applicant must submit to MaineHousing a written request for a fair hearing no later than thirty (30) calendar days from the postmark date of the first notification from MaineHousing of suspected Errors and Program Abuse. All requests for fair hearing shall follow the Rule as set forth in Section 15.
- F. MaineHousing will pursue recouping of Overpayments by any and all of the following:
 - 1. Applicant may pay MaineHousing the full amount an Overpayment.
 - 2. Applicant may enter into a payment arrangement. Minimum monthly payment allowed will be set at \$5.00 a month.
 - 3. Despite the existence of a repayment agreement, MaineHousing will recoup any current and future Benefits to offset against an Overpayment balance. MaineHousing will recoup 50% of a Household's current Program Year's Benefit and 50% of a Household's future Program Years' Benefits until the Overpayment has been paid in full.
 - 4. MaineHousing will recoup Benefits on account with the Applicant's Vendor to offset against an Overpayment balance.
- G. When Applicant fails to repay Overpayment, the case may be referred to other parties for additional action.
- H. MaineHousing may close an Overpayment for any of the following reasons:
 - 1. Overpayment has been paid in full.
 - 2. The overpayment is determined to be invalid based on a fair hearing decision or a court decision.
 - 3. All adult persons(s) responsible for Overpayment are deceased.

17. Appeal.

- A. The benefit notification shall:
1. State the Benefit amount;
 2. State the date the Benefit was sent to the Vendor;
 3. State the approved Home Energy type;
 4. State the manner by which the Applicant can request an informal review, if applicable;
 5. State the manner by which the Applicant can request an appeal, if applicable.
- B. The denial notification shall:
1. State the facts surrounding the decision;
 2. State the reason(s) for the decision;
 3. State the manner by which the Applicant can request an appeal, if applicable.
- C. The Applicant must submit a written appeal request for an informal review no later than:
1. Thirty (30) calendar days from the postmarked date of the denial notification;
 2. Thirty (30) calendar days from the postmarked date of the benefit notification;
 3. Ninety (90) calendar days from the Date of Application, if the Application has not been approved or denied; or
 4. Ninety (90) calendar days from the postmarked date of the request for refund of an Overpayment.
- D. Written requests for appeal may be mailed to MaineHousing, 26 Edison Drive, Augusta, Maine 04330; or emailed to LIHEAPcompliance@mainehousing.org.
- E. Informal Review. Informal reviews are intended to provide a minimum hearing requirement and need not be as elaborate as the fair hearing. An Applicant may request, in writing, an informal review for any dispute other than a dispute regarding TANF Supplemental Benefits.

The informal review will be conducted by a person other than the one who made or approved the decision under review or a subordinate of this person. MaineHousing will review the file, conduct necessary research, and give the Applicant an opportunity to present written or oral objections to the decision under review. In rendering a decision MaineHousing will evaluate the accuracy of the calculations, the level of documentation provided by the Applicant, and the accuracy of the decision. MaineHousing will communicate the results of the research/review to the Applicant.

F. Fair Hearing.

Pursuant to the HEAP Act, [42 USC §8624\(b\)\(13\)](#), MaineHousing will provide an Applicant an opportunity for a fair administrative hearing if the Applicant's claim for assistance has been denied or not acted upon with reasonable promptness. MaineHousing will also provide an Applicant an opportunity for a fair administrative hearing if the Applicant disputes the amount of their Benefit or if the Applicant is required to refund an Overpayment.

1. Fair hearings shall be conducted in accordance with the Maine Administrative Procedures Act, Title 5, Chapter 375 by the Director of MaineHousing (or his/her designee) or such other contractor selected by MaineHousing. The parties may receive a transcript of the hearing upon payment of the reasonable cost for the production thereof.
2. Within thirty (30) calendar days of the hearing's conclusion the hearing officer will prepare a recommended hearing decision. Copies of the recommended decision will be provided to the appellant.
3. A final decision and order will be made by the Director of MaineHousing in writing within sixty (60) calendar days of receipt of the hearing officer's recommendation. In the event the Director of MaineHousing presides over a hearing, she/he shall render his/her decision and order within sixty (60) calendar days of the hearing's conclusion or sixty (60) calendar days of the recommended decision. The Director's decision and order shall include findings of fact sufficient to apprise the parties of its basis. A copy of the decision and order will be provided promptly to each party to the proceeding or his representative of record. Written notice of the party's right to appeal the decision and other relevant information will be provided to the parties at the time of the decision and order. The decision and order will be implemented by the Subgrantee no later than ten (10) calendar days after receipt if it is in the Appellant's favor and otherwise forty-five (45) calendar days unless stayed on appeal.

G. TANF Supplemental Benefits are not subject to appeal.

18. Additional Provisions.

- A. Other Laws. If this Rule conflicts with any provision of applicable federal or State law, including without limitation the Act and the HEAP Act, such federal or State law shall control.
- B. Additional Requirements. This Rule does not preclude such additional or alternative requirements as may be necessary to comply with the Act and the HEAP Act.
- C. Pool of Eligible Households. This Rule establishes a pool of eligible applicants but does not preclude additional reasonable criteria and does not confer any automatic right or entitlement on any person or entity eligible hereunder.
- D. Availability of Funds. Assistance provided under the Programs described in this Rule is conditioned on the availability of HEAP funds.
- E. Waivers. Upon determination for 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 for the waiver.
- F. Final Action. The Director of MaineHousing, individually or by exercise of the delegation powers contained in the Act, shall make all decisions and take all action necessary to implement this Rule. Such action of the Director shall constitute final agency action.

STATUTORY AUTHORITY: 30-A MRSA §§4722(1)(W), 4741(1) and (15), and 4991 et seq.; 42 U.S.C.A. §§8621, et seq.

BASIS STATEMENT: This replacement rule repeals and replaces in its entirety the current Home Energy Assistance Program Rule. The rule establishes standards for administering fuel assistance, emergency fuel assistance, TANF Supplemental Benefits, weatherization, heat pumps, and heating system repair and replacement funds to income eligible households in the State of Maine. This replacement rule: establishes new annual end date for taking HEAP applications; provides clarity that providing Program services is contingent upon availability of HEAP funding; establishes the Design Heat Load Calculation as the sole method of determining a Benefit; allows Benefit levels to be determined using the Home Energy type requested by the Primary Applicant; and provides Payments of Benefits directly to Primary Applicants who receive their Benefit for firewood. Other changes correct errors or provide clarification to the previous version of the rule.

PUBLIC COMMENT:

Process:

Notice of Agency Rule-Making Proposal (MAPA-3) was submitted to the Secretary of State for publication in the May 3, 2023 edition of the appropriate newspapers. Additionally, MaineHousing sent the proposed rule to Interested Parties on May 3, 2023, and published the proposed rule on its website on May 3, 2023. MaineHousing held a public hearing on May 23, 2023. The comment period was held open until June 2, 2023 at 5:00 PM.

Summary of Comments and Responses to Comments:

Testimony from Joe Ryan, Executive Director of AIO Food & Energy Assistance:

Mr. Ryan shared about the services AIO provides in the Rockland area and that energy insecurity has devastating effects on people who struggle financially. He shared concerns about the LIHEAP application process being difficult; that some people have issues completing the application process; and that some individuals may not complete the process due to it being challenging.

Mr. Ryan had three specific requests: 1.) for an online application and related process to be created; 2.) for CAP (Community Action Programs) provider compensation to be dependent on the speed of assistance delivery and customer service quality; and 3.) to consider allocation of a portion of LIHEAP funds to be donated to non-profit community agencies that provide heating assistance.

MaineHousing's Response: MaineHousing launched an initial version of an online HEAP application portal in November 2022, which allows people to start a HEAP application; notifies the applicable Community Action Agency (CAAs) of the request; and CAAs then contact online applicants and schedule an appointment to complete the application process. Over 2,400 individuals used the online application portal in PY2023 to start the HEAP application process. MaineHousing is in the midst of a request for proposal (RFP) process for a new HEAP software system. One of the system features that is included in the RFP is for full online application functionality. MaineHousing's timeline is to have the new system in place for the start of PY2025 HEAP. MaineHousing and the Community Action Agency network continuously work to make improvements to the application process, including timeliness of taking and processing applications. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Mr. Ryan.

Testimony from Lynn Lugdon, Penquis Community Action Program, Former CAA Energy Council Chair:

Ms. Lugdon shared that it is helpful to start taking applications for HEAP earlier in the year and that the plan to start taking application for PY2024 on July 17, 2023 is fantastic. She said she is also happy with the change to take applications until the last working day of May or until exhaustion of HEAP funds, whichever occurs sooner, and that she hopes that the program will start right back up in July. Ms. Lugdon supports the proposal not to use the consumption based model to determine HEAP benefits, and said that using the

Design Heat Load Calculation method only to determine HEAP benefits would make it much easier for HEAP vendors, the CAP agencies, and clients.

Ms. Lugdon shared that the Energy Council is going to ask for a site to be set up for frequently asked questions, that she understands this worked well with the rent relief program, so they are hoping to get something set up in the same way. She said that a true online application is needed, that the current online application is mainly for requests for services. She said that having an online application where clients can download documentation would be helpful and to have online signatures too.

Ms. Lugdon said that sometimes, people are getting booked out up to three months in advance for their application appointments, but emphasized that starting November 1, that emergency funds are available and that if someone contacts their agency with an emergency fuel situation after November 1, they work to get them in to complete their application.

MaineHousing's Response: MaineHousing will have additional discussion with the CAA Energy Council regarding their request for a HEAP frequently asked question section to be set up and available online, and will explore the feasibility of moving forward with this request. MaineHousing is in the midst of a request for proposal (RFP) process for a new HEAP software system. One of the system features that is included in the RFP is for full online application functionality, including a feature so that applicants can upload documentation. MaineHousing's timeline is to have the new system in place for the start of PY2025 HEAP. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Ms. Lugdon.

Testimony from William Crandall, Western Maine Community Action, Incoming CAA Housing Council Chair:

Mr. Crandall said he knows that all the CAP agencies definitely would, as much as possible, take care of any emergency that they are aware of. He said that this year, we had numbers (of applicants and people served) that haven't been seen in decades, or at least a decade of time. He said that we are looking at a real effort by our team network across the state, and that with the infrastructure in place that the CAP agencies did a really good job taking on the excess units. He said that there is always room for improvement, that MaineHousing is always looking for improvement as well, and thanked MaineHousing for their help throughout the year.

MaineHousing's Response: MaineHousing values and appreciates the partnership and work between MaineHousing and the Community Action Agencies. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Mr. Crandall.

Written Input from Carmen Wilkinson:

Ms. Wilkinson submitted follow-up input via email during the public comment period. She said that having HEAP benefits issued as direct checks to clients who receive their benefit for firewood is not a good idea. She said the benefits should be issued directly to the firewood supplier. She asked how it would be verified that benefits issued directly to clients were used for the intended purpose.

MaineHousing's Response: Approximately 1,200+ HEAP eligible households have their benefit go towards firewood annually. There are currently less than forty participating HEAP wood vendors that serve the entire state. Some HEAP clients that use firewood pay higher prices from participating HEAP vendors due to the delivery fees associated with the distance from the vendor to the client's home. There have been times when HEAP wood vendors run out of the wood type (seasoned, green, length) selected by the HEAP beneficiary. In

some of these instances, clients must choose a different product due to supply. We appreciate the willingness of the HEAP wood vendors who are able to assist HEAP client and recognize that the above supply issues do not impact all vendors. However, by providing HEAP benefits directly to clients who use firewood, it provides the flexibility to obtain their preferred wood type from a wider selection of vendors, helping ensure they can get the best pricing available in their area. MaineHousing has implemented a process to help monitor the use of direct benefits with the clients chosen wood vendor as well as the intended impact to the program. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Ms. Wilkinson.

Written Input from Russell Black, State Senator:

State Senator Black submitted written comments. Senator Black shared his concerns with the proposed change that would have HEAP benefits for firewood issued directly to customers, instead of being sent to vendors. His issue with the change is that there is no guarantee that the benefits will be used to purchase firewood. He said he wants to make sure that the benefits are going to be used for what they are supposed to be used for and that the current system in place, where funds go directly to the vendor is the best possible way to make sure this happens. He said that if there is going to be rule change, there needs to be a system put in place that the customer submits who they purchased the wood from and how much they paid for it. Senator Black also said that some type of penalty needs to be in place if there is any other use of the funds from HEAP than purchasing firewood.

MaineHousing's Response: Approximately 1,200+ HEAP eligible households have their benefit go towards firewood annually. There are currently less than forty participating HEAP wood vendors that serve the entire state. Some HEAP clients that use firewood pay higher prices from participating HEAP vendors due to the delivery fees associated with the distance from the vendor to the client's home. There have been times when HEAP wood vendors run out of the wood type (seasoned, green, length) selected by the HEAP beneficiary. In some of these instances, clients must choose a different product due to supply. We appreciate the willingness of the HEAP wood vendors who are able to assist HEAP client and recognize that the above supply issues do not impact all vendors. However, by providing HEAP benefits directly to clients who use firewood, it provides the flexibility to obtain their preferred wood type from a wider selection of vendors, helping ensure they can get the best pricing available in their area. MaineHousing has implemented a process to help monitor the use of direct benefits with the clients chosen wood vendor as well as the intended impact to the program. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Senator Black.

Written Input from Mike Heath, Participating HEAP Firewood Vendor:

Mr. Heath shared verbal input via telephone with Troy Fullmer, Manager of HEAP, during the public comment period. Mr. Heath shared that he sees direct checks for benefits to HEAP clients who use firewood as an issue. He said that issuing benefits as direct checks with no verification that clients spend it on wood is a problem.

MaineHousing's Response: Approximately 1,200+ HEAP eligible households have their benefit go towards firewood annually. There are currently less than forty participating HEAP wood vendors that serve the entire state. Some HEAP clients that use firewood pay higher prices from participating HEAP vendors due to the delivery fees associated with the distance from the vendor to the client's home. There have been times when HEAP wood vendors run out of the wood type (seasoned, green, length) selected by the HEAP beneficiary. In

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Written Input from Kelley Hashey, HEAP Beneficiary:

Ms. Hashey shared concerns about challenges and the amount of time it takes to complete the HEAP application process. Her concerns were regarding the length and complexity of the application and application process; the amount of documentation required; and what she shared was an extended amount of time to complete the application process. Ms. Hashey proposes that consumers are involved with all LIHEAP policies.

MaineHousing’s Response: MaineHousing and the CAAs are committed to quality improvement and have made several changes in the application process over the past several years to make the process more efficient for applicants. In March 2019, MaineHousing engaged with a consulting firm to work with MaineHousing and CAAs to identify areas in the application process that could be leaned out. Since that time, several recommendations that resulted from the work with the consultant have been implemented as part of improving the process and experience for applicants. In April and May 2022, MaineHousing engaged with a consulting firm to host several consumer focus groups. Comments and concerns received from participants, vendors, state and local leaders and the public are considered when make improvements to the program each year. Ms. Hashey’s input will be shared with the Community Action Agency with which she applies for HEAP. MaineHousing is not making any changes in the Chapter 24- HEAP Rule based on the testimony from Ms. Hashey.

FISCAL IMPACT NOTE: The replacement HEAP Rule will not impose any cost on municipalities or counties for implementation or compliance.

EFFECTIVE DATE:

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: ME ST HOUSING AUTHORITY
Report Name: DETAILED MODEL PLAN (LIHEAP)
Report Period: 10/01/2023 to 09/30/2024
Report Status: Proposed

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Mandatory Grant Application SF-424

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

* 1.a. Type of Submission: <input checked="" type="radio"/> Plan	* 1.b. Frequency: <input checked="" type="radio"/> Annual	* 1.c. Consolidated Application/Plan/Funding Request? Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update State Use Only: 5. Date Received By State: 6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Maine State Housing Authority			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 01-0312916		* c. Organizational DUNS: 086877115	
* d. Address:			
* Street 1:	ENERGY AND HOUSING SERVICES	Street 2:	26 Edison Drive
* City:	AUGUSTA	County:	Kennebec
* State:	ME	Province:	
* Country:	United States	* Zip Code:	04330 - 6046
e. Organizational Unit:			
Department Name: Energy and Housing Services		Division Name: Energy and Housing Services	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: Mr.	* First Name: Michael	Middle Name: Troy	* Last Name: Fullmer
Suffix:	Title: Manager of HEAP	Organizational Affiliation:	

Phone Number: (207) 624-5720
624-5720

Fax Number: (207) 624-5780

* Email: tfullmer@mainehousing.org

* 8a. TYPE OF APPLICANT: A: State Government		
b. Additional Description:		
* 9. Name of Federal Agency:		
Catalog of Federal Domestic Assistance Number: CFDA Title:		
10. CFDA Numbers and Titles	93.568	Low-Income Home Energy Assistance
11. Descriptive Title of Applicant's Project LIHEAP Administration		
12. Areas Affected by Funding: Statewide		
13. CONGRESSIONAL DISTRICTS OF:		

* a. Applicant 1		b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed. 2			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/1/2023	b. End Date: 09/30/2024	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372 Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO			
Explanation:			
18. 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) **I Agree <input checked="" type="checkbox"/>			
** 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.			
18a. Typed or Printed Name and Title of Authorized Certifying Official Daniel Brennan, Director		18c. Telephone (area code, number and extension) (207) 626-4611	
		18d. Email Address dbrennan@mainehousing.org	
18b. Signature of Authorized Certifying Official		18e. Date Report Submitted (Month, Day, Year) TBD	

Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20201

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 09/30/2023

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

Program Components, 2605(a), 2605(b)(1) - Assurance 1, 2605(c)(1)(C)

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)	Dates of Operation	
	Start Date	End Date
<input checked="" type="checkbox"/> Heating assistance	10/01/2023	09/30/2024
<input type="checkbox"/> Cooling assistance		
<input checked="" type="checkbox"/> Crisis assistance	11/01/2023	04/30/2024
<input checked="" type="checkbox"/> Weatherization assistance	10/01/2023	09/30/2024

Provide further explanation for the dates of operation, if necessary

Heating Assistance: For FFY 2024, Subgrantees will begin taking applications on/around July 10, 2023 and will continue taking applications through May 31, 2024.

Weatherization Assistance Component: End date 09/30/2025.

Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage (%)
Heating assistance	58.00%
Cooling assistance	0.00%
Crisis assistance	5.00%
Weatherization assistance	15.00%

Carryover to the following federal fiscal year	7.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:

<input checked="" type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify:) Home Energy Crisis Assistance

Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8

1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? Yes No

If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.

	Heating	Cooling	Crisis	Weatherization
TANF	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No
SSI	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
SNAP	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No
Means-tested Veterans Programs	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other(Specify) 1	Heating	Cooling	Crisis	Weatherization
	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

1.5 Do you automatically enroll households without a direct annual application? Yes No

If Yes, explain:

1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?

Income used for LIHEAP eligibility purposes is either actual household income vetted by Maine DHHS for TANF or SNAP eligibility if available from LIHEAP applicants; documented income for households receiving TANF or SNAP if they don't have documentation of services from Maine DHHS or if they choose to provide income documentation; using an income banding method for households receiving TANF or SNAP that provide documentation of service receipt from Maine DHHS, but not actual vetted income; or income documentation from the established income verification period.

SNAP Nominal Payments

1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? Yes No

If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.

1.7b Amount of Nominal Assistance: \$21.00

1.7c Frequency of Assistance

<input checked="" type="checkbox"/>	Once Per Year
-------------------------------------	---------------

<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	Other - Describe:
1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need? Applicants residing in subsidized housing with heat included must provide the following to verify that the applicant has an indirect energy cost: <ol style="list-style-type: none"> One of the following documents is required to verify the applicant's/tenant's responsibilities for monthly rent and/or utilities: a) MaineHousing's <i>HEAP Subsidized Housing</i> form; b) housing subsidy recertification worksheet; or c) recertification form (HUD 50058/50059 or RD 3560-8). Copy of a current electric utility bill (if applicant is responsible for electricity). 	
Determination of Eligibility - Countable Income	
1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income?	
<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income
1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP	
<input checked="" type="checkbox"/>	Wages
<input checked="" type="checkbox"/>	Self - Employment Income
<input checked="" type="checkbox"/>	Contract Income
<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts
<input checked="" type="checkbox"/>	Unemployment insurance
<input checked="" type="checkbox"/>	Strike Pay
<input checked="" type="checkbox"/>	Social Security Administration (SSA) benefits
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> Including MediCare deduction <input type="checkbox"/> Excluding MediCare deduction
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI)
<input checked="" type="checkbox"/>	Retirement / pension benefits
<input type="checkbox"/>	General Assistance benefits
<input type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits
<input type="checkbox"/>	Supplemental Nutrition Assistance Program (SNAP) benefits
<input type="checkbox"/>	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits
<input type="checkbox"/>	Loans that need to be repaid
<input checked="" type="checkbox"/>	Cash gifts
<input type="checkbox"/>	Savings account balance
<input checked="" type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.
<input checked="" type="checkbox"/>	Jury duty compensation

<input checked="" type="checkbox"/>	Rental income
<input type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)
<input type="checkbox"/>	Income from work study programs
<input checked="" type="checkbox"/>	Alimony
<input checked="" type="checkbox"/>	Child support
<input checked="" type="checkbox"/>	Interest, dividends, or royalties
<input checked="" type="checkbox"/>	Commissions
<input type="checkbox"/>	Legal settlements
<input type="checkbox"/>	Insurance payments made directly to the insured
<input type="checkbox"/>	Insurance payments made specifically for the repayment of a bill, debt, or estimate
<input checked="" type="checkbox"/>	Veterans Administration (VA) benefits
<input type="checkbox"/>	Earned income of a child under the age of 18
<input type="checkbox"/>	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
<input type="checkbox"/>	Income tax refunds
<input type="checkbox"/>	Stipends from senior companion programs, such as VISTA
<input type="checkbox"/>	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
<input type="checkbox"/>	Reimbursements (for mileage, gas, lodging, meals, etc.)
<input type="checkbox"/>	Other:
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 2 - Heating Assistance

Eligibility, 2605(b)(2) - Assurance 2

2.1 Designate the income eligibility threshold used for the heating component:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	The greater of 150% of Federal Poverty Level or 60% State Median Income

2.2 Do you have additional eligibility requirements for Heating Assistance? Yes No

2.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test? Yes No

Do you have additional/differing eligibility policies for:

Renters? Yes No

Renters Living in subsidized housing? Yes No

Renters with utilities included in the rent? Yes No

Do you give priority in eligibility to:

Elderly? Yes No

Disabled? Yes No

Young children? Yes No

Households with high energy burdens? Yes No

Other? Yes No

Explanations of policies for each "yes" checked above:

Subgrantee will make reasonable and good-faith effort during the first ninety (90) days it takes applications to interview, process, and serve households with direct energy costs and members who are:

- At least 60 years of age
- Young Children- 72 months (6 years of age) or younger
- Disabled

Determination of Benefits 2605(b)(5) – Assurance 5, 2605(c)(1)(B)

2.4 Describe how you prioritize the provision of heating assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

Intake/Application Process: Subgrantee will make reasonable and good-faith effort during the first ninety (90) days it takes applications to interview, process, and serve households with direct energy costs and members who are most susceptible to hypothermia (60 years of age or older, disabled, and families with children 72 months of age (6 years) or under).

Maine uses a tiered benefit calculation that assures the highest benefits go to households with the highest heating energy costs and the lowest income. Household applications are entered into MaineHousing's centralized LIHEAP database, which automatically calculates household benefit amounts. As set forth in Chapter 24 of MaineHousing's Rules, the benefit calculation takes into account the following factors: i) Household's estimated annual heating costs calculated by using the Design Heat Load formula; ii) Household income; and iii) Household size.

2.5 Check the variables you use to determine your benefit levels. (Check all that apply):

- Income
- Family (household) size
- Home energy cost or need:
 - Fuel type
 - Climate/region
 - Individual bill
 - Dwelling type
 - Energy burden (% of income spent on home energy)
 - Energy need
- Other - Describe:

Other (description): Benefit levels are based on the household's percent of poverty and estimated consumption of requested home energy type calculated by the Design Heat Load formula.

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

2.6 Describe estimated benefit levels for FY 2024:

Minimum Benefit	\$176	Maximum Benefit	\$2,530

2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes X No

If yes, describe.

Subgrantees provide a number of in-kind and/or other benefits including:

- Private contributions for fuel assistance

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-

0075 Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 3 - Cooling Assistance

Eligibility, 2605(c)(1)(A), 2605 (b)(2) - Assurance 2

3.1 Designate The income eligibility threshold used for the Cooling component: N/A Maine does not provide Cooling Assistance.

Add	Household size	Eligibility Guideline	Eligibility Threshold
1			0.00%

3.2 Do you have additional eligibility requirements for Cooling Assistance? Yes No

3.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test? Yes No

Do you have additional/differing eligibility policies for:

Renters? Yes No

Renters Living in subsidized housing? Yes No

Renters with utilities included in the rent? Yes No

Do you give priority in eligibility to:

Elderly? Yes No

Disabled? Yes No

Young children? Yes No

Households with high energy burdens? Yes No

Other? Yes No

Explanations of policies for each "yes" checked above:

3.4 Describe how you prioritize the provision of cooling assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.5 Check the variables you use to determine your benefit levels. (Check all that apply):

- Income
- Family (household) size
- Home energy cost or need:
 - Fuel type
 - Climate/region
 - Individual bill
 - Dwelling type
 - Energy burden (% of income spent on home energy)
 - Energy need
 - Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.6 Describe estimated benefit levels for FY 2024: N/A Maine does not provide Cooling Assistance

Minimum Benefit	\$0	Maximum Benefit	\$0
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3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes No

If yes, describe.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 4: CRISIS ASSISTANCE

Eligibility - 2604(c), 2605(c)(1)(A)

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	The greater of 150% Federal Poverty Level or 60% State Median Income

4.2 Provide your LIHEAP program's definition for determining a crisis.

Energy Crisis shall have the same meaning as set forth in 42 U.S.C.A. §8622(3), as same may be amended from time to time. The term "energy crisis" means weather-related and supply shortage emergencies and other household energy-related emergencies.

A household may be eligible for crisis assistance if there is an imminent loss of heat due to: i) Less than 7-day supply of fuel (e.g. reading of 1/4 tank or less on a standard 275 gallon heating oil tank; reading of 25% or less on a propane tank; "7-day or less" supply standard applies to other delivered fuel types) ii.) Disconnection of service notice from natural gas or electric utility if the household's heating system requires electricity/natural gas, iii.) Dysfunctional or unsafe primary heating system and no other operable heating system capable of heating the dwelling adequately during severe cold weather.

A household is not considered to be in an energy crisis if: i.) Household has any other heating system that is safe, operable, and capable of heating the dwelling adequately during severe cold weather, and has a supply of product for that heating system; ii.) Household has financial means to purchase fuel.

4.3 What constitutes a life-threatening crisis?

- Household is currently without heat or utility service to operate a heating source or heating system.

Crisis Requirement, 2604(c)

4.4 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households? 48 hours

4.5 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households in life-threatening situations?
 18 hours

Crisis Eligibility, 2605(c)(1)(A)

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?

Yes No

4.7 Check the appropriate boxes below and describe the policies for each

Do you require an Assets test?

Yes No

Do you give priority in eligibility to :

Elderly?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Disabled?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Young Children?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Households with high energy burdens?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No
In Order to receive crisis assistance:	
Must the household have received a shut-off notice or have a near empty tank?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must the household have been shut off or have an empty tank?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must the household have exhausted their regular heating benefit?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must renters with heating costs included in their rent have received an eviction notice?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must heating/cooling be medically necessary?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must the household have non-working heating or cooling equipment?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other? see attached	<input type="radio"/> Yes <input checked="" type="radio"/> No
Do you have additional / differing eligibility policies for:	
Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters with utilities included in the rent?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Explanations of policies for each "yes" checked above:	

Allowable expenditures must be related to averting an Energy/Life-Threatening Crisis and may include:

1. Home Energy deliveries provided the Eligible Household has exhausted any remaining Benefits previously paid to a Vendor on behalf of the Eligible Household;
2. Surcharges, reconnection charges, or penalties related to a final utility disconnection notice;
3. Crisis benefits may be paid to a natural gas or an electric utility to prevent disconnection of service if the household's Heating System requires electricity/natural gas;
4. Heating System repairs;
5. Purchasing space heaters;
6. Temporary relocation provided the household is experiencing a Life Threatening Crisis that cannot be averted within 18 hours by one of the above measures.

Crisis funds cannot be used to pay for Home Energy deliveries or Heating System repairs if the Applicant resides in Subsidized Housing with heat included or a Rental Unit with heat included.

Determination of Benefits	
4.8 How do you handle crisis situations?	
<input type="checkbox"/>	Separate component
<input checked="" type="checkbox"/>	Fast Track
<input type="checkbox"/>	Other - Describe:
4.9 If you have a separate component, how do you determine crisis assistance benefits?	
<input type="checkbox"/>	Amount to resolve the crisis.

<input checked="" type="checkbox"/>	Other - Describe: The maximum (crisis) benefit amount is determined annually based on economic conditions, available funding, and the average cost of a minimum delivery of home energy.
-------------------------------------	--

Crisis Requirements, 2604(c)

4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?

Yes No **Explain.**

Crisis applications are given priority at all intake and processing steps. Crisis procedures include home visits if necessary, referrals, or communication with vendors.

Subgrantees take crisis applications by one of the following methods:

- 1) If the household has previously completed an application and has been certified eligible for heating assistance in the current program year, they may apply for crisis assistance over the telephone. In such cases, Subgrantees complete a LIHEAP Emergency Worksheet to assess and document the crisis situation.
- 2) If the household does not have a current certified heating assistance application on file, they may apply for crisis assistance over the telephone. In such cases, the applicant will need to make arrangements to go into the Subgrantee's office or remote intake site to complete the application process - i.e. sign the application documents and provide any required documentation to verify the household's eligibility. Signing and submitting/verifying documents are accommodated remotely with technology as needed and available.
- 3) Applicants 60 years of age or older, or disabled applicants may apply over the telephone. If necessary, the Subgrantee will make arrangements for a home visit to secure the applicant's signature on the application documents and any required documentation to verify the household's income-eligibility. Signing and submitting/verifying documents are accommodated remotely with technology as needed and available.

Conditioned on the availability of crisis funds, some form of assistance that will resolve the Energy Crisis will be provided within 48 hours after household has been certified eligible for the Energy Crisis Intervention Program (ECIP). In Life Threatening Crisis situations some form of assistance that will resolve the crisis will be provided within 18 hours after a Household has been certified eligible for ECIP.

4.11 Do you provide individuals who are physically disabled the means to:

Submit applications for crisis benefits without leaving their homes?

Yes No **If No, explain.**

Travel to the sites at which applications for crisis assistance are accepted?

Yes No **If No, explain.**

If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?

At applicant's request, the Subgrantee must make reasonable accommodations for a person with a disability.

Individuals who are 60 years of age or older, or disabled individuals may apply over the telephone. If necessary, the Subgrantee will make arrangements for a home visit to secure the applicant's signature on the application documents and to obtain any required documentation to verify the household's income-eligibility. Signing and submitting/verifying documents are accommodated remotely with technology as needed and available.

Benefit Levels, 2605(c)(1)(B)

4.12 Indicate the maximum benefit for each type of crisis assistance offered.

Winter Crisis	\$800
Summer Crisis	\$0.00 maximum benefit
Year-round Crisis	\$0.00 maximum benefit

4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?

Yes No **If yes, Describe**

If the crisis cannot be resolved within the required timeframe, space heaters may be provided for the household's use until such time as a fuel delivery can be made or the heating system is repaired.

4.14 Do you provide for equipment repair or replacement using crisis funds?

Yes No

If you answered "Yes" to question 4.14, you must complete question 4.15.

4.15 Check appropriate boxes below to indicate type(s) of assistance provided.

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify): Gas line hook-ups	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?

Yes No

If you responded "Yes" to question 4.16, you must respond to question 4.17.

4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.

November 15 through April 15 - Disconnect not permitted if income-eligible customer agrees to a special payment arrangement. Requires Public Utilities Commission (PUC) approval. 30 day delay, with renewals up to 90 days, if physician certifies that disconnect would adversely affect the health of a household member. Cannot disconnect if an overdue amount is less than \$50, unless the overdue amount is more than 90 days old or the utility company bills four times a year or less.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 5 - WEATHERIZATION ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 5: WEATHERIZATION ASSISTANCE

Eligibility, 2605(c)(1)(A), 2605(b)(2) - Assurance 2

5.1 Designate the income eligibility threshold used for the Weatherization component

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	The greater of 150% Federal Poverty Level or 60% State Median Income

5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component? Yes No

5.3 If yes, name the agency.

5.4 Is there a separate monitoring protocol for weatherization? Yes No

WEATHERIZATION - Types of Rules

5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)

- Entirely under LIHEAP (not DOE) rules
- Entirely under DOE WAP (not LIHEAP) rules
- Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
 - Income Threshold
 - Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.
 - Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards.
 - Other - Describe:** Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days. Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

Eligibility, 2605(b)(5) - Assurance 5

5.6 Do you require an assets test? Yes No

5.7 Do you have additional/differing eligibility policies for :

Renters	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No

5.8 Do you give priority in eligibility to:

Elderly?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> No

Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Households with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other? Young children 72 months (6 years) of age or less	<input checked="" type="radio"/> Yes <input type="radio"/> No
<p>If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.</p> <p>5.6 Asset test: Applies to heating system replacement under the Central Heating Improvement Program activities (see attached - Section 5.5 Weatherization)</p> <p>5.7 Renters living in subsidized housing with heat included (see attached - Section 5 Multifamily Weatherization)</p> <p>5.8 Priority Applicant means a Household with a Direct Energy Cost as well as a member in the Household who is (i) 60 years of age or older, or (ii) disabled, or (iii) 72 months (6 years) of age or under.</p> <p>Subgrantees are required to prioritize their wait list of eligible households for weatherization services in accordance with the HEAT Enterprise software, which ranks an eligible household's priority by taking into account household income, home energy costs, and any household members considered to be Priority Applicants. Households on the Subgrantee's wait list are weatherized in order of priority. A Subgrantee may move up an eligible household's priority based on travel considerations (e.g. Subgrantee's next weatherization project is out of town; another dwelling with a lower priority number in the same area may also be weatherized during the program year to save on travel costs) or due to co-funding a project with other program resources.</p>	

Benefit Levels	
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? <input type="radio"/> Yes <input checked="" type="radio"/> No	
5.10 If yes, what is the maximum? N/A	
Types of Assistance, 2605(c)(1), (B) & (D)	
5.11 What LIHEAP weatherization measures do you provide? (Check all categories that apply.)	
<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input type="checkbox"/> Water conservation measures	<input type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Heat pump installation
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

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Section 6: Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

- Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- Publish articles in local newspapers or broadcast media announcements.
- Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
- Mass mailing(s) to prior-year LIHEAP recipients.
- Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- Other (specify):

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 7 - Coordination, 2605(b)(4) - Assurance 4

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August 1987, revised 05/92,02/95,03/96,12/98,11/01

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Section 7: Coordination, 2605(b)(4) - Assurance 4

7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).

<input type="checkbox"/>	Joint application for multiple programs
<input checked="" type="checkbox"/>	Intake referrals to/from other programs
<input type="checkbox"/>	One - stop intake centers
<input type="checkbox"/>	Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 8 - Agency Designation, 2605(b)(6) - Assurance 6

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Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

8.1 How would you categorize the primary responsibility of your State agency?

<input type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input checked="" type="checkbox"/>	Housing Agency
<input type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

Alternate Outreach and Intake, 2605(b)(15) - Assurance 15

If you selected "Welfare Agency" in question 8.1, you must complete questions 8.2, 8.3, and 8.4, as applicable.

8.2 How do you provide alternate outreach and intake for Heating Assistance?

Subgrantees partner with community based programs including social service organizations and town offices to provide applicants with alternate venues to apply for heating assistance.

8.3 How do you provide alternate outreach and intake for Cooling Assistance?

Not applicable. Maine does not offer cooling assistance.

8.4 How do you provide alternate outreach and intake for Crisis Assistance?

Subgrantees have other funds (non-LIHEAP) funds available to provide crisis assistance. Additionally, Subgrantees keep community partners informed about the availability of crisis assistance funds.

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Community Action Agencies	Non-Applicable	Community Action Agencies	Community Action Agencies
8.5b Who processes benefit payments to gas and electric vendors?	State Housing Agency	Non-Applicable	State Housing Agency	
8.5c who processes benefit payments to bulk fuel vendors?	State Housing Agency	Non-Applicable	State Housing Agency	
8.5d Who performs installation of weatherization measures?				Community Action Agencies, Contractors

If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and if applicable, 8.9.

8.6 What is your process for selecting local administering agencies?

Subgrantees will be selected annually based on the following criteria:

1. Experience with providing Fuel Assistance or similar programs to low-income persons;
2. Current capacity to administer a timely and effective Fuel Assistance program for the intended Service Area;
3. Demonstrated capacity to adequately serve low-income persons residing in their Service Areas;
4. The availability of other qualified entities to service a particular area;
5. The geographic area customarily serviced by the potential Subgrantee;
6. Cost efficiency in administering a Fuel Assistance program;
7. The ability to enhance accessibility to other low-income programs administered by the Subgrantee;
8. Acceptable schedule for taking Applications; and
9. The ability to perform outreach activities and serve homebound recipients.

8.7 How many local administering agencies do you use? 10

8.8 Have you changed any local administering agencies in the last year?

- Yes
 No

8.9 If so, why?

<input type="checkbox"/>	Agency was in noncompliance with grantee requirements for LIHEAP -
<input type="checkbox"/>	Agency is under criminal investigation
<input checked="" type="checkbox"/>	Added agency
<input type="checkbox"/>	Agency closed
<input type="checkbox"/>	Other - describe

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 9 - Energy Suppliers, 2605(b)(7) - Assurance 7

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August 1987, revised 05/92,02/95,03/96,12/98,11/01

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Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

9.1 Do you make payments directly to home energy suppliers?

Heating Yes No

Cooling Yes No

Crisis Yes No

Are there exceptions? Yes No

If yes, Describe.

MaineHousing may issue direct checks to LIHEAP recipients who do not have a designated vendor in their area, who pay rent with heat included, or who receive their Benefit for firewood.

MaineHousing and Subgrantees encourage recipients to apply their benefits to their electric utility account if their benefit cannot be used for their primary heating system and the eligible household is responsible for their electric utility bill. Benefits are determined based on a household's selected fuel type.

9.2 How do you notify the client of the amount of assistance paid?

Once the client's application has been approved for payment, MaineHousing mails a benefit notification letter to the Primary Applicant. The benefit notification letter shall:

- State the Benefit amount;
- State the date the Benefit was sent to the Vendor;
- State the approved Home Energy type;
- State the time period for the Benefit; and
- State the manner by which the Primary Applicant can request an appeal.

9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?

Vendor performance is ensured through Vendor Agreements, annual reports provided by contracted vendors, and on-site or desk monitoring. Additionally, vendors must submit detailed transactions reports with benefit returns to show delivery and payment activity/history for the LIHEAP client's account.

9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

The contract between MaineHousing and the vendor explicitly prohibits discrimination. Participating vendors must agree not to discriminate against any eligible household regarding the extension of credit to purchase Home Energy or other services, the price of Home Energy or other services, or the terms or conditions of the delivery of Home Energy or other services solely on the basis of its being an eligible household.

9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?

Yes No

If so, describe the measures unregulated vendors may take.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10

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Section 10: Program, Fiscal Monitoring, and Audit, 2605(b)(10)

10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?

In order to ensure good fiscal accounting and tracking around Heating Assistance, Crisis Assistance, Weatherization, Central Heating Improvement Program, and Heat Pump Program, MaineHousing performs onsite and/or desk reviews of each Subgrantee which include, a review of agency fiscal policies and procedures; a reconciliation of billings submitted to agency general ledger detail and supporting documentation; and an examination of each Subgrantee's Uniform Grant Guidance Audit (2CFR 200). Additionally, six-month Corrective Action Reviews are required in the event MaineHousing identifies significant compliance concerns with an individual Subgrantee.

Each onsite visit may include an entrance and exit interview. Onsite monitoring includes, but is not limited to: review of the previous audit report to identify focus areas for the review; analyzing the data used by each Subgrantee to determine client income eligibility and benefit determination; observation of the applicant intake process; and other monitoring steps to ensure overall program compliance. Additionally, desk reviews may be completed periodically and would include such things as checking application data residing in MaineHousing's centralized LIHEAP database for anomalies using pre-determined indicators or specific data points (i.e. duplicate addresses, certification outside the required 30 business day period, etc.).

The fair hearing process in place at MaineHousing provides an opportunity to conduct additional in-depth client file monitoring because a thorough analysis is completed by the MaineHousing Compliance Officer of each filed complaint to ensure that the Subgrantee followed program rules in determining client eligibility and benefit determination.

The monitoring of energy suppliers is conducted in a number of ways:

- Onsite visits to vendors (those deemed high risk as well as a sampling of others);
- Desk reviews of vendors: a random sample of client accounts are reviewed to assess the vendor practices and determine vendor risk rating;
- Review of submitted annual vendor reports using data points to identify anomalies;
- Review of transaction reports (delivery and payment activity) from May 1st forward for the benefit year(s) being returned.

After each conducted monitoring, MaineHousing issues a written report containing all findings to the Subgrantee/vendor. The report will establish a reasonable time period for comment and the required corrective action(s) by the Subgrantee/vendor.

Upon request from the Subgrantee/vendor, MaineHousing will provide technical assistance in all areas needing corrective action.

Depending upon the significance of the issue(s), failure to comply with the required corrective action plans could result in a notice of termination of the contract.

Management of Vendor Refunds (Benefit Returns):

All benefit returns must be submitted to MaineHousing. Benefit returns are tracked and reconciled to the appropriate fiscal year. Any expired funds or any amounts exceeding the 10% carryover limit will be returned to DHHS.

Audit Process

10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?

Yes No

10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.

No Findings

Finding	Type	Brief Summary	Resolved?	Action Taken

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local administering agencies/district offices? Select all that apply.

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- Grantee conducts fiscal and program monitoring of local agencies/district offices

Compliance Monitoring

10.5. Describe the Grantee's strategies for monitoring compliance with the Grantee's and Federal LIHEAP policies and procedures: Select all that apply

Grantee employees:

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

Local Administering Agencies / District Offices:

- On - site evaluation
- Annual program review
- Monitoring through central database
- Desk reviews
- Client File Testing / Sampling
- Other program review mechanisms are in place. Describe:

10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.

MaineHousing's Program Compliance Officers performs onsite audits of the Subgrantees. These field audits allow for first-hand observation of program activity. Monitoring tasks include:

- Reviewing procedures and client file documentation
- Confirming and evaluating use of LIHEAP statewide database
- Verifying Subgrantees are knowledgeable of regulations
- Confirming that quality of work meets minimum program standards

Additionally, each Subgrantee is audited by an independent public accountant who performs single audit test work. MaineHousing reviews each Subgrantee's independent audit, noting any findings and following up on all findings/questioned costs to ensure that they are addressed and corrected in a timely manner.

10.7. Describe how you select local agencies for monitoring reviews.

Site Visits:

Onsite program and fiscal monitoring reviews are conducted annually at all local agencies. Additional reviews may be conducted if major issues are identified during the annual review.

Desk Reviews:

MaineHousing conducts desk reviews throughout the program year to ensure compliance with program requirements. MaineHousing's Program Compliance Officers conduct desk audits of the following application files:

- Fair Hearing Requests: applicants submit requests for fair hearings if their claim for assistance has been denied or not acted upon with reasonable promptness, or they dispute the amount of their benefit. The Program Compliance Officers will review the file for accuracy and completeness.
- Computer generated reports: MaineHousing generates periodic healthy data queries to identify and resolve potential compliance issues - ex. duplicate social security numbers, Applicant/Landlord same address, and Medical Deduction for analysis. The Program Compliance Office or Program Officers review these reports and application files as necessary.
- Files involving reports of alleged fraud.
- Files where questions arise during billing reviews of Weatherization, Central Heating Improvement Program or Heat Pump Program jobs.

10.8. How often is each local agency monitored?

MaineHousing conducts program and fiscal monitoring of Subgrantees at least once per year for compliance with Federal and State rules and regulations in a manner consistent with applicable state law and the HEAP Act.

10.9. What is the combined error rate for eligibility determinations? OPTIONAL

10.10. What is the combined error rate for benefit determinations? OPTIONAL

10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? 0

10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 0

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 11 - Timely and Meaningful Public Participation, 2605(b)(12) - Assurance 12, 2605(c)(2)

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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

**11.1 How did you obtain input from the public in the development of your LIHEAP plan?
 Select all that apply.**

- Tribal Council meeting(s)
- Public Hearing(s)
- Draft Plan posted to website and available for comment
- Hard copy of plan is available for public view and comment
- Comments from applicants are recorded
- Request for comments on draft Plan is advertised
- Stakeholder consultation meeting(s)
- Comments are solicited during outreach activities
- Other - Describe:

11.2 What changes did you make to your LIHEAP plan as a result of this participation?

1. Use of Design Heat Load Calculation only for benefit determination.
2. Benefit levels determined using fuel type selected by applicants verses primary heating system fuel type.

Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only

11.3 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?

	Date	Event Description
1	5/23/2023	Public Hearing to be held at MaineHousing 26 Edison Dr., Augusta, ME 04330

11.4. How many parties commented on your plan at the hearing(s)? TBD

11.5 Summarize the comments you received at the hearing(s).

TBD

11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?

1. TBD

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 12 - Fair Hearings, 2605(b)(13) - Assurance 13

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Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 0

12.2 How many of those fair hearings resulted in the initial decision being reversed? 0

12.3 Describe any policy and/or procedural changes made in the last Federal fiscal year as a result of fair hearings?

None

12.4 Describe your fair hearing procedures for households whose applications are denied.

Fair hearings will be conducted by MaineHousing, in accordance with the Maine Administrative Procedures Act, Title 5, Chapter 375, upon request of any applicant in accordance with the Maine State Housing Authority, Home Energy Assistance Program Rule, Chapter 24, as amended.

12.5 When and how are applicants informed of these rights?

Applicants are notified of their fair hearing rights at the time of application and through the benefit determination process. An Appeal Information sheet is provided to the applicant at the time of application. The benefit notification and denial notice provide the applicant information about their rights to an appeal/fair hearing.

12.6 Describe your fair hearing procedures for households whose applications are not acted on in a timely manner.

MaineHousing requires each applicant requesting a fair hearing be contacted by telephone and receive a letter. If an application is not acted on in a timely manner, MaineHousing works directly with the Subgrantee to help facilitate/expedite the application process.

12.7 When and how are applicants informed of these rights?

Applicants are notified of their fair hearing rights at the time of application and through the benefit determination process. Fair hearing rights information is provided to the applicant at the time of application, the benefit notification, and the denial notice.

Section 13 - Reduction of home energy needs, 2605(b)(16) - Assurance 16

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Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?

Subgrantees may submit annual proposals for MaineHousing's consideration, describing their planned activities and expenses associated with providing services to applicants pursuant to Assurance 16 of the LIHEAP Act. Assurance 16 funds may only be used to fund activities that encourage and enable eligible households to reduce their home energy needs and thereby the need for energy assistance.

Only LIHEAP eligible households may receive Assurance 16 services. Services funded by Assurance 16 must be energy related and may include family development case management and educational activities. Subgrantees are required to have proper fiscal controls to ensure the LIHEAP funds are expended proportional to the overall funding sources using proper cost allocation methodology. There must be proper documentation of participation and a methodology to measure outcomes from the Assurance 16 activities.

Allowable Costs:

- Salaries and benefit costs for any staff directly providing services "that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance is allowable".
- Additionally, direct costs associated with providing these services, including supplies, equipment, postage, utilities, rental office space, and travel costs incurred for official business are allowable.

Unallowable Costs: Services that are already provided as part of the delivery of other federal programs cannot be charged to Assurance 16. Examples:

- Working with an electric utility to forestall a shut-off as part of providing an Energy Crisis Intervention Program (ECIP) benefit cannot be charged to Assurance 16 because this activity is already required and funded under ECIP.
- Outreach/Intake services, regardless of where they are provided, or who (which staff member/position) provides them, cannot be charged to Assurance 16. These activities are already required under HEAP fuel assistance, and therefore, do not provide an additional benefit to eligible households.
- Mailed out applications are not allowed to be charged to Assurance 16.
- Indirect charges cannot be charged to Assurance 16.
- Client referrals to other programs or resources that are not related to clients' home energy needs or do not reflect an additional net benefit for the client.

13.2 How do you ensure that you don't use more than 5% of your LIHEAP funds for these activities?

MaineHousing has established the following requirements to ensure compliance:

- Budget up to 5% of Maine's LIHEAP funds for Assurance 16 activities; Subgrant agreements specify the allocation amount for these activities.
- Subgrantees are required to submit budgets and work-plans that outline their processes for administering these activities.
- Monitor Subgrantees' expenditures monthly.
- Subgrantee's record-keeping must demonstrate a direct link between services provided to clients and costs charged to Assurance 16. Salary costs for providing Assurance 16 services must be supported by timesheet documentation.

13.3 Describe the impact of such activities on the number of households served in the previous Federal fiscal year.

MaineHousing provides its Subgrantees with an opportunity to develop/submit proposals and funding requests for Assurance 16 (A16) initiatives. Six (6) Subgrantees were awarded funds for Assurance 16 activities. Activities included short-term case management, comprehensive energy saving education/counseling, and providing participants with energy kits.

13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.

Some subgrantees offer incentives to households that complete milestones/modules of financial literacy education and demonstrate a reduction in their home energy costs. Incentives range from \$50- \$425 (depending on the subgrantee's incentive model and the number of milestones achieved by a household) that are issued to the household's fuel or electricity vendor.

13.5 How many households applied for these services? To Be Determined

13.6 How many households received these services? To Be Determined

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 14 - Leveraging Incentive Program, 2607A

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August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

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Section 14: Leveraging Incentive Program, 2607(A)

14.1 Do you plan to submit an application for the leveraging incentive program?

Yes No

14.2 Describe instructions to any third parties and/or local agencies for submitting LIHEAP leveraging resource information and retaining records.

If leveraging awards become available, MaineHousing will collect leveraging information from Subgrantees. Subgrantees will maintain and provide the following information:

1. Identify and describe each resource/benefit;
2. Identify the source(s) of each resource; and
3. Describe the integration/coordination of each resource/benefit with the LIHEAP program, consistent with 1 or more of conditions A-H in 45 CFR 96.87(d)(2)(iii).

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. § 96.87(d)(2)(iii), describe the following:

Resource	What is the type of resource or benefit?	What is the source(s) of the resource?	How will the resource be integrated and coordinated with LIHEAP?
1	Home Repair	State funds	Home Repair funds are administered by the Subgrantees operating the LIHEAP /Weatherization programs. MaineHousing's Home Repair Program funds may be used in conjunction with HEAP weatherization for repairs and weatherization measures.
2	Heating Assistance	Local organizations/ partnerships, including United Way, fuel vendors, and faith-based organizations	Subgrantees appropriate and distribute these funds to low-income households as supplements and/or alternatives to the LIHEAP program.
3	Discount rates and debt forgiveness for electricity	Maine's public utility companies	Coordinated through the utility company and Subgrantee. Outreach and intake are incorporated in the LIHEAP application process.
4	Winterization assistance	Donations from local faith-based groups and other organizations.	Donated materials or volunteer labor for the installation of winterization measures.
5	In-kind and other benefits, including blankets, sleepers, snow suits, and sweatshirts, which are intended to improve client comfort and reduce heating costs.	Fund-raising initiatives and drives; examples Project Santa and American Red Cross.	Subgrantees ensure LIHEAP clients are aware of and have access to these benefits.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 15 - Training

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 15: Training

15.1 Describe the training you provide for each of the following groups:

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

MaineHousing's participation in monthly Maine Community Action Partnership's Energy Council meetings provides venue for additional training and feedback throughout the program year.

b. Local Agencies:

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

On-site training

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

MaineHousing provides annual LIHEAP training for Subgrantees. MaineHousing also provides training and technical assistance to all Subgrantees through regular monthly meetings and through monitoring visits. Additionally, MaineHousing will, upon request from the Subgrantee or in response to needs identified by MaineHousing, provide technical assistance.

c. Vendors
<input checked="" type="checkbox"/> Formal training conference
How often?
<input checked="" type="checkbox"/> Annually
<input type="checkbox"/> Biannually
<input type="checkbox"/> As needed
<input type="checkbox"/> Other - Describe:
<input checked="" type="checkbox"/> Policies communicated through vendor agreements
<input checked="" type="checkbox"/> Policies are outlined in a vendor manual
<input checked="" type="checkbox"/> Other - Describe: MaineHousing provides annual training for vendors. MaineHousing also provides training and technical assistance to vendors through monitoring visits. Additionally, MaineHousing will, upon request from the vendor or in response to needs identified by MaineHousing, provide technical assistance.

15.2 Does your training program address fraud reporting and prevention?
<input checked="" type="radio"/> Yes <input type="radio"/> No
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 16 - Performance Goals and Measures, 2605(b)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

Energy Cost Data:

MaineHousing's centralized LIHEAP database and application documents require the following information:

- Main fuel type and vendor account number;
- As part of the application process applicants age 18 years or older are required to sign a release permitting the Subgrantee and MaineHousing to provide information to and obtain information from other parties or agencies; and
- Electric utility account information.

Home Energy Consumption: Per the vendor agreement, vendors are contractually obligated to submit Annual Consumption Reports to MaineHousing to report deliveries for a household's main fuel, from May 1 through April 30. The consumption data is entered/imported into MaineHousing's centralized LIHEAP database.

Electricity vendors are required to provide non-heat usage data for clients. Household Income is entered into MaineHousing's centralized LIHEAP database. LIHEAP benefits are calculated by and stored in MaineHousing's centralized LIHEAP database.

Home Energy Status

Crisis Assistance: MaineHousing's centralized LIHEAP database and Crisis application documents capture the number of households without home energy service (disconnected, out of fuel, inoperable equipment) and the number of households at risk of losing home energy (past due/disconnect notice, nearly out of fuel, at risk equipment).

Heating Assistance: MaineHousing's centralized LIHEAP database supports the collection and reporting of the LIHEAP Performance Measures Restoration and Prevention data requirements.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 17 - Program Integrity, 2605(b)(10)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2024

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

a. Describe all mechanisms available to the public for reporting cases of suspected waste, fraud, and abuse. Select all that apply.

- Online Fraud Reporting**
- Dedicated Fraud Reporting Hotline**
- Report directly to local agency/district office or Grantee office**
- Report to State Inspector General or Attorney General**
- Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse**
- Other - Describe:**

MaineHousing has zero tolerance for fraud. MaineHousing's Compliance Program Officer and/or Fraud Prevention Specialist investigates any concerns reported by energy vendors, Subgrantees, or third-parties.

Suspected fraud and abuse may be reported to a dedicated email address: LIHEAPcompliance@mainehousing.org

b. Describe strategies in place for advertising the above-referenced resources. Select all that apply

- Printed outreach materials**
- Addressed on LIHEAP application**
- Website**
- Other - Describe:**

The LIHEAP Handbook for Subgrantees and the Vendor guide, which are distributed annually and maintained on MaineHousing's website portal to accommodate real-time changes, include information about reporting suspected fraud, misuse, and abuse.

17.2. Identification Documentation Requirements

a. Indicate which of the following forms of identification are required or requested to be collected from LIHEAP applicants or their household members.

Type of Identification Collected	Collected from Whom?						
	Applicant Only		All Adults in Household		All Household Members		
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested	
Social Security Number (Without actual Card)	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input checked="" type="checkbox"/>	Required	<input type="checkbox"/>	Required		Required	
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested		Requested	
Other		Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b. Describe any exceptions to the above policies.

See attachment - Section 17 Program Integrity

17.3 Identification Verification

Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply

- Verify SSNs with Social Security Administration
- Match SSNs with death records from Social Security Administration or state agency
- Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)
- Match with state Department of Labor system
- Match with state and/or federal corrections system
- Match with state child support system
- Verification using private software (e.g., The Work Number)
- In-person certification by staff (for tribal grantees only)
- Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)
- Other - Describe: All Applicants two years of age or older must provide proof of Social Security Number (SSN). Any document used to prove SSN must contain all nine (9) digits and the Applicant's full name. SSN documentation is saved in MaineHousing's centralized LIHEAP database.

17.4. Citizenship/Legal Residency Verification

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply.

- Clients sign an attestation of citizenship or legal residency
- Client's submission of Social Security cards is accepted as proof of legal residency
- Noncitizens must provide documentation of immigration status
- Citizens must provide a copy of their birth certificate, naturalization papers, or passport
- Noncitizens are verified through the SAVE system
- Tribal members are verified through Tribal enrollment records/Tribal ID card
- Other - Describe:

17.5. Income Verification

What methods does your agency utilize to verify household income? Select all that apply.

- Require documentation of income for all adult household members
 - Pay stubs
 - Social Security award letters
 - Bank statements
 - Tax statements
 - Zero-income statements
 - Unemployment Insurance letters
 - Other - Describe: Odd Job Income Worksheet and/or Self-Employment Worksheet are used for applicable situations. Department of Labor history report required for all applicants who self-declare receipt of unemployment benefits. Applicants who claim zero income or self-declare they are unemployed must sign an affidavit. Applicants who self-declare receipt of Social Security income and/or Supplemental Security Income are required to provide a copy of their Social Security award letter.
- Computer data matches:
 - Income information matched against state computer system (e.g., SNAP, TANF)
 - Proof of unemployment benefits verified with state Department of Labor
 - Social Security income verified with SSA
 - Utilize state directory of new hires
 - Other - Describe:

17.6. Protection of Privacy and Confidentiality

Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

- Policy in place prohibiting release of information without written consent
- Grantee LIHEAP database includes privacy/confidentiality safeguards
- Employee training on confidentiality for:
 - Grantee employees
 - Local agencies/district offices
- Employees must sign confidentiality agreement
 - Grantee employees
 - Local agencies/district offices
- Physical files are stored in a secure location

Other - Describe: Mandatory cybersecurity training for all users of MaineHousing's centralized LIHEAP database system.

17.7. Verifying the Authenticity

What policies are in place for verifying vendor authenticity? Select all that apply.

All vendors must register with the State/Tribe.

All vendors must supply a valid SSN or TIN/W-9 form

Vendors are verified through energy bills provided by the household

Grantee and/or local agencies/district offices perform physical monitoring of vendors

Other - Describe and note any exceptions to policies above:

MaineHousing runs a background check for all new vendors to verify there are no civil or federal judgments or bankruptcies.

Contracts are made only with vendors who possess the ability to perform successfully under the terms and conditions of a proposed procurement with consideration given to matters such as vendor integrity, record of past performance, financial and technical resources or accessibility to other necessary resources. All vendors must supply valid TIN number, or Social Security number, in the contracting process.

17.8. Benefits Policy - Gas and Electric Utilities

What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

- Applicants required to submit proof of physical residency
- Applicants must submit current utility bill
- Data exchange with utilities that verifies:
 - Account ownership
 - Consumption
 - Balances
 - Payment history
 - Account is properly credited with benefit
- Other - Describe:
- Centralized computer system/database tracks payments to all utilities
- Centralized computer system automatically generates benefit level
- Separation of duties between intake and payment approval
- Payments coordinated among other energy assistance programs to avoid duplication of payments
- Payments to utilities and invoices from utilities are reviewed for accuracy
- Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
- Direct payment to households are made in limited cases only
- Procedures are in place to require prompt refunds from utilities in cases of account closure
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:

17.9. Benefits Policy - Bulk Fuel Vendors

What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.

- Vendors are checked against an approved vendors list
- Centralized computer system/database is used to track payments to all vendors
- Clients are relied on for reports of non-delivery or partial delivery
- Two-party checks are issued naming client and vendor
- Direct payment to households are made in limited cases only
- Vendors are only paid once they provide a delivery receipt signed by the client
- Conduct monitoring of bulk fuel vendors
- Bulk fuel vendors are required to submit reports to the Grantee
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:

17.10. Investigations and Prosecutions

Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grantee conduct investigation of fraud complaints from public

Grantee attempts collection of improper payments. If so, describe the recoupment process

MaineHousing will investigate all reported Errors and Program Abuse. If there is documented information to indicate Errors and Program Abuse, MaineHousing will notify the Applicant and provide them an opportunity to respond. Based on the response, MaineHousing will determine what, if any, appropriate action should be taken.

Once Errors and Program Abuse is confirmed or if an Applicant fails to respond to inquiries regarding suspected Errors and Program Abuse, an overpayment will be calculated and communicated to the Applicant. In addition to the overpayment, the communication will include: 1) the facts surrounding the decision, 2) the reason for the decision, and 3) the manner by which the Applicant can request an appeal. MaineHousing may investigate the previous three (3) Program Years from the Date of Discovery. The overpayment may include any or all of those three (3) years.

- Applicant may pay MaineHousing the full amount of an overpayment.
- Applicant may enter into a payment arrangement. Minimum monthly payment allowed will be set at \$5.00 a month.
- Despite the existence of a repayment agreement, MaineHousing will recoup 50% of any current and future Benefits to offset against an overpayment balance.
- MaineHousing will recoup Benefits on account with the Applicant's Vendor to offset against an overpayment balance. When Applicant fails to repay overpayment, the case may be referred to other internal and external groups for additional action.

MaineHousing may close an overpayment for any of the following reasons:

- Overpayment has been paid in full;
- The overpayment is determined to be invalid based on a fair hearing decision or a court decision; or
- All adult persons(s) responsible for overpayment are deceased.

Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?

Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated

Vendors found to have committed fraud may no longer participate in LIHEAP

Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Certification Regarding Debarment, Suspension, and Other Responsibility Matters- Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment,

Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

By checking this box, the prospective primary participant is providing the certification set out above.

Section 19: Certification Regarding Drug-Free Workplace Requirements

Section 19: Certification Regarding Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- For grantees other than individuals, Alternate I applies.
- For grantees who are individuals, Alternate II applies.
- Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously

identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Non-procurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of sub-recipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs;and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

26 Edison Drive		
Address Line 2		
Address Line 3		
Augusta	ME	04330

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other

designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

By checking this box, the prospective primary participant is providing the certification set out above.

Section 20: Certification Regarding Lobbying

Section 20: Certification Regarding Lobbying

The submitter of this application 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 an 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, the undersigned shall complete and submit Standard Form-LLL, ``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, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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-LLL, ``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.

By checking this box, the prospective primary participant is providing the certification set out above.

Assurances

Assurances

(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and

(D) plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i) assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of -

(i) an amount equal to 150 percent of the poverty level for such State; or

(ii) an amount equal to 60 percent of the State median income;

(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and

(B) the State will pay from non-Federal sources the remaining costs of planning

and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15) * beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

* This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/01/2023 to 09/30/2024

Section 2 Heating Assistance

2.1 Eligibility Guideline

Maine will use the following standards to determine income eligibility:

- i. the greater of 150% of Federal poverty guidelines or 60% of State median income.

MaineHousing will establish eligibility guidelines based on the availability of federal funding for the programs during each program year. MaineHousing strives to provide an average benefit in an amount to purchase at least 100 gallons of fuel. MaineHousing reserves the right to lower the percent of poverty criteria for HEAP eligibility to manage funding, benefit levels, and eligibility.

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/01/2023 to 09/30/2024

Section 5.5 Weatherization

Maine will allocate up to 15% of the FFY 2024 grant for HEAP Weatherization and other energy-related home repair, including the Central Heating Improvement Program (CHIP) and Heat Pump Program.

HEAP Weatherization

1. The purpose of HEAP Weatherization is to reduce Eligible Households' need for Fuel Assistance, particularly those with the lowest Household Incomes that pay a high proportion of Household Income for Home Energy and those that include Priority Applicants.
 - a. Using HEAP Weatherization in conjunction with DOE funds: If the HEAP Weatherization guidelines conflict with those required by 10 CFR Part 440, DOE requirements shall have precedence, with the exception to variations listed and approved in the LIHEAP State Model Plan: weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit; and weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards. HEAP Weatherization funds may only be used to weatherize Dwelling Units occupied by HEAP income-eligible households.
 - b. Weatherization measures must be installed in accordance with the Maine Weatherization Standards, as may be amended from time to time.
 - c. A Household may be eligible for HEAP Weatherization if the Household:
 - i. is eligible for HEAP/fuel assistance;
 - ii. has a HEAP application certified-eligible within the twelve (12) months preceding the date of the Subgrantee's energy audit of the Dwelling Unit; and
 - iii. does not have a more recent Application that has been certified-denied.
 - d. Income Eligibility. MaineHousing uses HEAP income eligibility to determine income eligibility for HEAP Weatherization.
2. Proof of Ownership. The Subgrantee shall verify ownership of all Dwelling Units and Rental Units prior to performing any work. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

Life estates and leases require a copy of the document conferring the Applicant's rights.

The Subgrantee must obtain the written permission of the owner of the Rental Unit prior to performing any work.

3. A Dwelling Unit will not be eligible under HEAP Weatherization if:

- a. Dwelling Unit received weatherization services under HEAP Weatherization or another MaineHousing program within the prior fifteen (15) year period.
- b. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
- c. Dwelling Unit has been designated for foreclosure;
- d. Dwelling Unit is for sale;
- e. Dwelling Unit is vacant;
- f. Dwelling Unit is uninhabitable as determined by a local municipality, State Agency, MaineHousing, or a Community Action Agency;
- g. Dwelling Unit is in poor structural condition making the installation of HEAP Weatherization services impractical, impossible, or ineffective;
- h. Dwelling Unit is in such poor structural condition that the proposed HEAP Weatherization services would have a longer life expectancy than the Dwelling Unit;
- i. Dwelling Unit has been damaged by fire, flood or an act of God and repair of the damage is covered by insurance;
- j. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the HEAP Weatherization process. The Subgrantee must resolve any discrepancies before work can continue.

4. Allowable Uses:

- a. Weatherization needs assessments/audits;
- b. Air sealing and insulation;
- c. Storm windows;
- d. Heating System modifications/repairs;
- e. Heating System replacements;
- f. Heating System cleaning, tuning, and evaluating;
- g. Compact fluorescent light bulbs;

- h. Energy related roof repairs;
 - i. Major appliance repairs/replacements, up to two appliances, with one being a water heater;
 - j. Incidental Repairs;
 - k. Health and safety measures;
 - l. Replacement windows and doors are allowable only under exceptional circumstances and only after all other reasonable repair options have been considered and rejected.
5. Fuel Switching: As a general guideline, the practice of fuel switching when replacing Heating Systems is not allowed. However, if the Subgrantee determines that the switching of a fuel source is warranted, then a written waiver request must be submitted to MaineHousing for review and consideration (on a case-by-case basis) prior to the installation.
6. Work on an eligible Dwelling Unit previously weatherized under a MaineHousing program may be reopened if:
- a. the reopening occurs within six (6) months of completion of the original weatherization service; and
 - b. The reopening is required because the previous service is the proximate cause of an immediate threat to the health and safety of the occupants; or
 - c. The quality of weatherization material or its installation is deemed deficient by MaineHousing.
7. Subgrantees shall administer and operate HEAP Weatherization in their Service Areas, unless otherwise authorized by MaineHousing.
8. For the purposes of HEAP Weatherization, Subgrantees must conduct a public bid process to secure weatherization contractors at least annually as prescribed by MaineHousing.

Central Heating Improvement Program (CHIP)

- 1. A Household may be eligible for CHIP services if the Household:
 - A. is eligible for HEAP/fuel assistance;
 - B. has a HEAP application certified-eligible within the prior twelve (12) months; and
 - C. does not have a more recent Application that has been certified-denied.

2. Subgrantees shall provide CHIP services based on the following priority order:
 - A. Eligible Households experiencing an Energy Crisis caused by Heating System malfunction or failure.
 - B. Non-wood Heating Systems that cannot achieve a minimum steady state efficiency of 70% (as determined by a CTE).
 - C. Preventative CTE and minor repairs on a non-emergency basis (owner-occupied dwelling units only). Date of the last CTE by a licensed technician must be more than 12 months prior to the initiation of services date.
3. Eligible Households shall be served on a first-come, first-served basis with respect to each level of priority except when the Subgrantee is providing weatherization services to a Dwelling Unit. In this case, CHIP activities to Eligible Households that enable the Subgrantee to leverage funds may be served first.
4. Subgrantees shall administer and operate CHIP in their Service Areas unless otherwise determined by MaineHousing.
5. Heating System Replacement. Household may be eligible for assistance to replace a Heating System if the Household is eligible for HEAP/fuel assistance benefits. The amount of assistance shall take into account the Household's and non-occupying co-owner's countable assets.

The overall purpose of these asset limitations is to encourage a Household's contribution to meeting their needs, when possible, and at the same time recognize that household assets represent needed income and insurance against financial calamities, and that it is prudent to retain these assets to some extent.

- A. The Household will be required to contribute toward the cost of replacing the Heating System if the Household has countable assets in excess of \$5,000 or \$50,000 if a member of the Applicant Household is an Elderly Person. The same guidelines apply to Non-occupying Co-owner's Countable Assets. Countable assets are resources that are available to meet the immediate and urgent needs of the Household, and include:
 - ii. Cash and funds on prepaid debit cards;
 - iii. Money in a checking or savings account (health savings accounts, educational funds, and burial accounts are excluded);
 - iv. Stocks or bonds;
 - v. U.S. Treasury bills;
 - vi. Money market funds; and
 - vii. Retirement accounts if there are no penalties or fees for withdrawals.
- B. A Household's contribution shall be determined by subtracting \$5,000 or \$50,000 (whichever is applicable) from its total countable assets. That difference will then be multiplied by the Household's percentage of ownership. A non-occupying co-owner's contribution shall be similarly calculated. The maximum CHIP benefit amount shall be determined by subtracting

the sum of the Household's and non-occupying co-owner's contributions from the total replacement costs.

6. Rental Units Occupied By An Eligible Household: A life-time maximum benefit of \$600 for an Eligible Household. The maximum allowed in a non-owner occupied multi-family building is the lesser of \$600 times the number of Heating Systems that provide heat to Eligible Households or \$2,400.

7. If an Eligible Household member holds a life estate or life lease interest in and occupies the Dwelling Unit, the Dwelling Unit may be eligible if:

- the document conferring the Applicant's rights of the life estate or life lease states that the Eligible Household member is responsible for maintaining the Dwelling Unit, or is silent as to who is responsible for maintenance, or
- the Dwelling Unit is owned by an Eligible Household.

8. Proof of Ownership. The Subgrantee shall verify ownership of all Dwelling Units and Rental Units prior to performing any work. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

9. A Dwelling Unit will not be eligible under CHIP if:

- A. Dwelling Unit is a Rental Unit that has received prior CHIP services to the life-time maximum benefit;
- B. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
- C. Dwelling Unit has been designated for foreclosure;
- D. Dwelling Unit is for sale;
- E. Dwelling Unit is vacant;
- F. Dwelling Unit is uninhabitable as deemed by a local municipality, State Agency, MaineHousing, or a Community Action Agency;
- G. Dwelling Unit is in poor structural condition making the installation of CHIP services impractical, impossible, or ineffective;
- H. Dwelling Unit is in such poor structural condition that the proposed CHIP services would have a longer life expectancy than the Dwelling Unit;
- I. Dwelling Unit has been damaged by fire, flood or an act of God and repair of the damage is covered by insurance;

- J. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the CHIP process. The Subgrantee must resolve any discrepancies before work can continue;
- K. Dwelling Unit has any other Heating System that is safe, operable, and is capable of heating the dwelling adequately during severe cold weather; or
- L. Subgrantee determines the Applicant failed to properly maintain a Heating System that was previously repaired or replaced under CHIP.

Eligible Households who apply for CHIP services for more than one Dwelling Unit will be subject to additional review to ensure the requested services are consistent with the intent of the program.

10. CHIP Allowable Uses:

- A. Cleaning, tuning, and evaluating oil or gas systems;
- B. Cleaning, evaluating, and servicing solid fuel systems;
- C. Replacing oil or gas burners;
- D. Replacing cracked heat exchangers;
- E. Replacing oil, gas, electric or solid fuel Heating Systems;
- F. Sealing and insulating Heating System pipes or ducts in unconditioned spaces;
- G. Installing electrical or mechanical Heating System ignition systems;
- H. Replacing or relocating thermostats and anticipator adjustment;
- I. Baffling of the combustion chamber;
- J. Optimizing the firing rate;
- K. Cleaning of the chimney;
- L. Smoke Alarms;
- M. Fire extinguishers;
- N. Carbon Monoxide detectors;
- O. Gas detectors;
- P. Oil tanks;
- Q. Oil tank gauges;

- R. Temporary relocation provided the Eligible Household is experiencing a Life Threatening Crisis that cannot be adequately addressed through ECIP Measures;
- S. Other measures necessary to bring Heating Systems into compliance with applicable State and local codes and Maine Fuel Board requirements; and
- T. Other measures necessary to correct any Heating System problems that pose an immediate threat to the health and safety of the Eligible Household.

11. CHIP Unallowable Uses:

- A. Reimbursement or payment for purchases made by or costs incurred by an Applicant.
- B. Replacement of a Heating System if the Dwelling Unit received a prior Heating System replacement funded by CHIP unless the Heating System is near the end of or beyond its estimated useful life as defined by [EUL_FOR_CNA_E_TOOL.PDF \(hud.gov\)](#)

12. Fuel Switching. As a general guideline, the practice of fuel switching is not allowed. However, if the Subgrantee determines that the switching of a fuel source is warranted, then a written waiver request must be submitted to MaineHousing for review and consideration (on a case-by-case basis) prior to the installation.

13. Subgrantee must perform a final inspection on all CHIP services for heating system replacement jobs. Inspections will include an evaluation to determine:

- A. Compliance with applicable codes;
- B. That all work performed was authorized by the Subgrantee; and
- C. The combustion efficiency level of the Heating System where technically feasible.

14. Specific Procurement Requirements. Prior to the performance of CHIP services, the Subgrantee shall follow the procedures below:

- A. Procurement less than or equal to \$10,000. Procurement of services, including materials, equipment and services from specialized trades, such as electricians, plumbers, masons and oil burner repair people shall be performed in accordance with the following procedures.
 - i. Solicit by telephone, email, vendor website, catalog, price list, or similar means one price quote for the required materials, equipment and services.
 - ii. Determine if the quoted price is reasonable based on one or more factors identified by Subgrantee, such as recent purchases of, or research on, goods or services of the

same kind or related knowledge or expertise; otherwise, solicit two price quotes by similar means.

- iii. Copies of all procurement records, including basis for the contractor selection and factors used to determine if the quoted price is reasonable, must be retained in the Subgrantee files.

B. Procurement over \$10,000. Procurement of services, including materials, equipment and services from specialized trades, such as electricians, plumbers, masons and oil burner repair people shall be performed in accordance with the following procedures.

- i. Perform a price survey for the required materials, equipment and services.

- ii. Make every reasonable attempt to receive price quotations or bids from at least three (3) reputable Contractors and fully document the bid process and all bids received on a survey sheet.

- iii. Purchase the materials, equipment or services from the Contractor, whose bid or proposal is the lowest, taking into consideration the Contractor's performance record and other relevant factors. Fully document the selection process.

- iv. Copies of all procurement records, including basis for contractor selection must be retained in the Subgrantee files.

C. The Subgrantee must prepare an Invitation to Bid or a Request for Proposal, which:

- i. Identifies all requirements which prospective bidders must fulfill, including the due dates for bids; and

- ii. Identifies all factors which the Subgrantees will consider in evaluating and awarding bids.

D. The Invitation to Bid or Request for Proposal must be mailed, faxed or emailed to no less than three (3) prospective contractors who may reasonably be expected to submit a bid.

E. All bids must be received by the Subgrantee contact person via mail, fax or e-mail prior to a specified time for a bid opening at a specified time and location. All bids received must be kept in a secure location prior to all bids being received and tabulated. In addition, all correspondence relating to the procurement action must be retained in the bid files.

F. Sole Source Procurement. Subgrantee may solicit a proposal from only one source for one of the following reasons.

- i. Sole source procurement may be used in the following instances:

- ii. Emergency or Urgent Need. An emergency situation or other urgent need exists and only one known source can provide the required goods or services within the time needed. Emergency or urgent situations include, but are not limited to, natural disasters or a Life Threatening Crisis.
- iii. Uniqueness. The item or service is available from only one source, based on a reasonable, good faith review of the market for the type of item or service needed.
- iv. Inadequate Competitive Proposals. After evaluation of all proposals submitted in a competitive procurement, all proposals are determined to be inadequate.
- v. Subgrantee shall submit a written statement justifying the use and approval of all sole source procurements, in excess of \$10,000, to MaineHousing for its consideration prior to the installation of services.
- vi. Subgrantee will retain a copy of the solicitation and the proposal received in response, a record of the approval by MaineHousing in Subgrantee's records.

Heat Pump Program (HPP)

- A. Eligibility. A Household may be eligible for the Heat Pump Program if the Household:
 - 1. is eligible for HEAP/fuel assistance;
 - 2. has an Application certified-eligible within the twelve (12) months preceding the date of the Subgrantee's energy audit of the Dwelling Unit;
 - 3. does not have a more recent Application that has been certified-denied; and
 - 5. has a working primary heating system.
- B. Proof of Ownership. Ownership of all Dwelling Units shall be verified prior to any work being performed. Proof of ownership may include current property tax bill, statement from the local tax assessor, town clerk or similar municipal official, or documentation from electronic registry.

Life estates and leases require a copy of the document conferring the Applicant's rights.
- C. A Dwelling Unit will not be eligible under the Heat Pump Program if:
 - 1. Dwelling Unit already is equipped with a heat pump;
 - 2. Dwelling Unit has been designated for acquisition or clearance by a federal, state, or local program or order;
 - 3. Dwelling Unit has been designated for foreclosure;
 - 4. Dwelling Unit is for sale;
 - 5. Dwelling Unit is vacant;

6. Dwelling Unit is uninhabitable as determined by a local municipality, State Agency, MaineHousing, or a Community Action Agency ;
7. Dwelling Unit is in poor structural condition making the installation of a heat pump impractical, impossible, or ineffective;
8. Dwelling Unit is in such poor structural condition that the proposed Heat Pump Program services would have a longer life expectancy than the Dwelling Unit;
9. There are obvious discrepancies found between the information supplied on the Application and observed conditions during the HEAP Weatherization process. The Subgrantee must resolve any discrepancies before work can continue.

D. Allowable Uses:

1. Installation of a Heat Pump; and
2. Installation of electric subpanel for heat pump if needed.

File Attachment: Low Income Home Energy Assistance
Grantee Name: Maine State Housing Authority
Report Name: Detailed Model Plan (LIHEAP)
Report Period: 10/01/2023 to 09/30/2024

Section 5 Multifamily Weatherization

MaineHousing’s goal for the weatherization of multifamily units is for the low income tenants to receive a direct benefit. Multifamily properties are those with two or more units. If the owner occupies one of the units in a two to four unit rental property, the property will be considered a single family dwelling provided the owner is LIHEAP eligible.

MaineHousing allows for the weatherization of the entire building rather than just the low income units. If a property consists of more than one building, each building will need to qualify on its own.

The purpose of HEAP Weatherization is to reduce Eligible Households’ need for Fuel Assistance, particularly those that include Priority Applicants and pay a high proportion of Household Income for Home Energy. Therefore, the primary focus is on properties where the low income tenants see a direct financial benefit. For these reasons, HEAP Weatherization funding may be used to weatherize multifamily units according to the following guidelines:

1. Not less than 66% (or 50% in the case of multi-family units of 2 or 4 dwelling units), must be LIHEAP eligible (all buildings if a multi-building property).

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/01/2023 to 09/30/2024

Section 5.5 Weatherization – Quality Assurance and Training Protocols

MaineHousing administers the HEAP Weatherization and other energy-related home repair, including the Central Heating Improvement Program (CHIP) mostly under LIHEAP rules. Pursuant to the requirements of the HEAP State Model Plan, MaineHousing has established quality control, training, inspection, and installation protocols to ensure program integrity and work quality.

1. HEAP Weatherization Protocols:

- a. **Maine State Housing 2022 Maine Weatherization Standards (“Standards”):** HEAP Weatherization work shall comply with all applicable codes and Standards. The Standards provide guidelines to local administering agencies and contractors regarding the proper delivery of weatherization services for residential buildings. The purpose of the Standards is to ensure that high quality service is given at a reasonable cost and is delivered uniformly throughout Maine. The success of this program depends upon agencies and contractors having a full understanding of these weatherization standards.

The objective of the Standards is twofold. First, it serves to define the appropriate application of weatherization measures for each residence serviced. The Standards delineate material specifications as well as the steps that should be followed to complete each measure. Alternative methods will be allowed, but whatever method is used must meet or exceed the standard described in the relevant section of this document. Second, the Standards set guides for the expectation of quality of the installed product. Procedures are included for evaluating the quality of each installed conservation measure and the overall quality of the completed job. Additionally, the Standards help ensure that weatherization program funds are used in the most cost-effective manner possible.

The Standards are intended to be a dynamic document, changing as necessary to reflect advances in best practices for weatherization and the health and safety of clients and weatherization personnel.

- b. **Final Inspection:** No dwelling unit may be billed under HEAP Weatherization until the subgrantee has performed a final inspection and certified that the applicable work was performed in an acceptable manner.
- c. **Desk Reviews:** MaineHousing staff performs a comprehensive compliance and technical (desk) review of jobs submitted for billing. This review verifies weatherization services were administered and installed in accordance with program requirements; verifies eligibility of dwelling unit and household, required documentation has been signed by the appropriate parties, and the pre- and post-weatherization testing and measures installed were consistent/compliant with program requirements. Any identified issues or questions must be addressed with and resolved by the subgrantee prior to payment.
- d. **Monitoring:** MaineHousing’s Technical Service Specialists do quality control. At a minimum, 5% of all units billed as completed will receive State unit inspections. If the work does not comply with program requirements and Standards, the MaineHousing Technical Service Specialist will require the subgrantee to issue an add-work/rework order or de-bill the job.

e. **Training:**

- i. MaineHousing organizes specialized trainings as determined necessary.
- ii. MaineHousing conducts ongoing assessment of subgrantee training needs during onsite inspections, audits, desk reviews, and joint meetings. MaineHousing's Technical Service Specialists work in the field with subgrantee staff to provide training and support as needed.
- iii. Maine Community Action Partnership's (MeCAP) Building Technical Committee (BTC) meets on a monthly basis to discuss all aspects of the weatherization program. The committee consists of a technical representative from each subgrantee. MaineHousing participates in the monthly BTC meetings where production, training, and other programmatic developments and standards are discussed. Through this venue subgrantees are continually updated with information and techniques regarding energy conservation and health and safety issues. This ensures that all subgrantees are receiving the same information and creates consistency for a quality program across the state.
- iv. MaineHousing participates in monthly meetings with the MeCAP Housing Council. This council consists of weatherization managers from each subgrantee. This serves as a forum for discussing policy issues, identifying training needs, and for sharing information.

2. **Central Heating Improvement Program (CHIP) Protocols:**

- a. **Final Inspections:** Subgrantee must perform a final inspection on all CHIP services for heating system replacements. Inspections will include an evaluation to determine:
 - i. Compliance with applicable codes;
 - ii. That all work performed was authorized by the subgrantee; and
 - iii. The combustion efficiency level of the Heating System (when technically feasible).
- b. **Desk Reviews:** The EHS Weatherization Program Officer performs desk audits of 25% of the CHIP job billings. This review verifies – i) services were procured, administered and installed in accordance with program requirements; ii) eligibility of dwelling unit and household; and iii) required documentation has been signed by the appropriate parties. Any identified issues or questions must be addressed with and resolved by the subgrantee prior to payment.
- c. **Monitoring:** MaineHousing performs onsite inspections as deemed necessary.

3. **Heat Pump Program (HPP) Protocols:**

- a. **Final Inspections:** Subgrantee must perform a final inspection on a minimum of 5% of all HPP jobs. Inspections will include an evaluation to determine:
 - i. Compliance with applicable standards and regulations; and
 - ii. That all work performed was authorized by the subgrantee.
- b. **Desk Reviews:** The EHS Weatherization Program Officer performs desk audits of 25% of the HPP job billings. This review verifies – i) services were procured, administered and installed in accordance with program requirements; ii) eligibility of dwelling unit and household; and iii) required documentation has been signed by the appropriate parties. Any identified issues or questions must be addressed with and resolved by the subgrantee prior to payment.
- c. **Monitoring:** MaineHousing performs onsite inspections on a minimum of 5% of all HPP jobs.

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/1/2023 to 9/30/2024

Section 10: Program Monitoring Schedule PY2024 (tentative)

Maine State Housing Authority – FFA 2024 LIHEAP Program Monitoring Schedule		
Subgrantee	From	To
Aroostook County Action Program	11/9/2023	11/10/2023
Community Concepts, Inc.	1/4/2024	1/5/2024
Downeast Community Partners	11/16/2023	11/17/2023
Kennebec Valley Community Action Program	12/14/2023	12/15/2023
Mid Maine Community Action Agency	9/5/23	9/6/23
Penquis Community Action Program	1/11/2024	1/12/2024
The Opportunity Alliance	11/30/2023	12/1/2023
Waldo Community Action Program	1/25/2024	1/26/2024
Western Maine Community Action	1/18/2024	1/19/2024
York County Community Action Corp.	12/7/2023	12/8/2023

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/1/2023 to 9/30/2024

Section 10: Fiscal Monitoring Schedule PY2024 (tentative)

Maine State Housing Authority – FY 2024 LIHEAP Fiscal Monitoring Schedule		
Subgrantee	From	To
Aroostook County Action Program	8/14/2023	8/18/2023
Community Concepts, Inc.	9/11/2023	9/15/2023
Downeast Community Partners	9/25/2023	9/29/2023
Kennebec Valley Community Action Program	10/10/2022	10/13/2023
Penquis Community Action Program	11/6/2023	11/10/2023
The Opportunity Alliance	11/27/2023	12/1/2023
Waldo Community Action Program	2/5/2024	2/9/2024
Western Maine Community Action	2/26/2024	3/1/2024
York County Community Action Corp.	3/11/2024	3/15/2024
Mid Maine Community Action Agency	3/25/2024	3/29/2024

File Attachment: Low Income Home Energy Assistance

Grantee Name: Maine State Housing Authority

Report Name: Detailed Model Plan (LIHEAP)

Report Period: 10/01/2023 to 09/30/2024

Section 17 Program Integrity

17.2 Identification Documentation Requirements

Social Security Numbers:

All Applicants 24 months of age or older must provide proof of Social Security Number (SSN). Any document used to prove SSN must contain all nine (9) digits and the Applicant's full name.

Acceptable documents are:

- a. Social Security Card issued by the Social Security Administration;
- b. SSA 1099 tax form;
- c. Non SSA-1099 tax form;
- d. Medicare card with number ending with the suffix "A";
- e. Valid U.S. Military documents such as DD 214 Certificate of Release or Discharge from Active Duty issued by the U.S. Department of Defense;
- f. Bank tax form; or
- g. W-2 (current wage and tax statement).

If the household includes a child under the age of 24 months old who has not received a SSN, the application is processed. However, the applicant must provide the child's SSN for subsequent program year applications, after the child reaches the age of 24 months old.

Verification of Primary Applicant's Identity:

Subgrantees shall verify Primary Applicants' identities by requesting government-issued photo identification cards. One of the following can be provided to establish the identity of the Primary Applicant:

- Driver's license;
- State issued ID card;
- Passport or passport card;
- U.S. Military ID; or
- SNAP electronic benefit transfer (EBT) card with photo.

Non-U.S. Citizens:

If a Household member is not a U.S. citizen, Applicant must provide a Social Security Card issued by the Social Security Administration or one of the following:

1. Permanent Resident Card (I-551)
2. Unexpired foreign passport with a valid unexpired U.S. Visa affixed accompanied by the approved I-94 form, documenting the Applicant's most recent admittance into the United States.
3. Permanent resident Re-entry Permit (I-327)

4. Arrival Departure Form I-94 with “Temporary I-551” stamp and holder’s photograph affixed
5. Travel Document issued to Permanent Residents (I-327)
6. Travel Document issued to Refugees (I-571) Form
7. I-94 stamped with one of the following statuses: Asylee, Parolee or Parole, Refugee, Asylum, HP-humanitarian parolee, PIP-public interest parolee, or Cuban-Haitian Entrant

17.6 Protection of Privacy and Confidentiality

Any information obtained by grantee or Subgrantee, its employees, agents, contractors, or any other representatives in the administration of Programs, whether obtained from the applicant or household or from a third-party, shall be kept confidential and shall not be made available for public inspection or released to any person, entity or agency unless: there is written consent to do so; information is required for an audit or the like; applicant or household has released such information for participation in a fair hearing; or disclosure of said information is required by law.

Any statements of financial condition or information concerning LIHEAP or Energy Crisis Intervention Program (ECIP) applicants or recipients submitted to vendors, or its employees, agents, contractors or other representatives is kept confidential.

Contracts with Subgrantees and energy vendors include specific guidelines for protecting client confidentiality and personally identifiable information. Keeping protected information secure is an obligation mandated by contractual agreements between MaineHousing and its partners.

Additionally, MaineHousing has an Acceptable Use Policy in-place with Subgrantees.

17.9 Benefits Policy

MaineHousing uses Vendor Agreements, annual reports provided by all contracted vendors, and on-site monitoring. LIHEAP household shall select vendor who has entered into a Vendor Agreement to provide Home Energy; HEAP benefits are paid directly to vendor.

Vendors must maintain records, including delivery tickets, for all customer deliveries. Each year MaineHousing audits a number of vendors on a rotating basis. MaineHousing verifies the vendor’s compliance with LIHEAP policies and procedures and selects for review, at a minimum, a 10% sample of client accounts. Delivery tickets are verified to ensure that the vendor is making deliveries and is providing the required discount.

If significant problems are found, MaineHousing places the vendor on a “Watch List”. The vendor will receive benefit payments post-delivery and will be closely monitored by MaineHousing.

MaineHousing investigates any and all client, Subgrantee, or third-party reports of vendor issues and pursues corrective action with the vendor as warranted (including placement on the Watch List).

17.10 Investigations and Prosecutions (Other description)

Primary Applicants will be required to refund any overpayment. A Household's eligibility to receive benefits from Programs is contingent on the resolution of any overpayment.

1. MaineHousing will recoup 50% of all outstanding overpayments from any current or future Benefits until the overpayment is paid in full.
2. The Household may be eligible for ECIP if they have entered into and are in compliance with the terms of a repayment agreement with MaineHousing to resolve the overpayment or the overpayment has been paid in full.
3. The Household will not be eligible to receive benefits under the Weatherization Assistance Program, CHIP, or the Heat Pump Program until the overpayment is paid in full.

“Overpayment” means any HEAP benefit paid to, or on behalf of, any Applicant or Household that exceeds the amount the Applicant or Household was eligible to receive.

BENEFIT DETERMINATION

- The number of points assigned to an Eligible Household will be determined pursuant to the following:

Calculated or Reported Energy Cost	Points
\$0.01-\$400	5
\$401-\$800	10
\$801-\$1200	15
\$1201-\$1600	20
\$1601-\$2000	25
\$2001-\$2500	30
\$2501 and over	35
Calculated or Reported Energy Cost falling between brackets will be rounded to the next higher or lower dollar amount, as appropriate. For example: \$400.01-\$400.49 will be rounded to \$400; \$400.50-\$400.99 will be rounded to \$401.	

Poverty Level as Calculated under the Federal Poverty Income Guidelines	Percentage of Points
0%-25%	130%
26%-50%	120%
51%-75%	110%
76%-100%	100%
101%-125%	90%
126%-150%	80%
>than 150% FPIG but not exceeding the maximum of the greater of 150% FPIG or 60% State Median Income	70%
Calculated poverty level amounts falling between brackets will be rounded to the next higher or lower amount. For example: income at 75.1% will be rounded to 75%; income at 100.6% will be rounded to 101%.	

All final point results that are fractional will be rounded up to the nearest whole number.

Final point results will be multiplied by a dollar-per-point value, which is set by MaineHousing upon confirmation of LIHEAP grant/award amount.

Section 2.6 of the Model Plan:

FFY 2023 minimum and maximum benefits were calculated using the tables above and point values for the Consumption based and Design Heat Load Calculation method, which were \$55 and \$44 per point respectively.

FFY 2023	Minimum Benefit = \$176	Maximum Benefit = \$2,530
Consumption	Lowest consumption (\$.01-\$400) = 5 points	Highest consumption (\$2,501+) = 35 points
Income	Highest income (greater of 150% FPL or 60% AMI) = 70% of points	Lowest income (0%-25% FPL) = 130% of points
Final points	5 x 0.70 = 4 points	35 x 1.30 = 46 points
Benefit	\$44 x 4 points = \$176	\$46 x 46 = \$2,530

2. Calculating Energy Costs. Energy Costs are calculated by the DHLC method.

A.

A. Design Heat Load Calculation. DHLC shall be used to estimate the Energy Costs for Eligible Households that do not meet the requirements of the Consumption Based method. Under the DHLC, the number of rooms occupied by the Eligible Household shall be multiplied by the number of BTUs needed to heat an average sized room in a Dwelling Unit. That product will then be multiplied by the number of square feet of an average sized room in a Dwelling Unit. Next, that second product will be multiplied by the number of heating degree days of the Service Area in which the Eligible Household's Dwelling Unit is located. That third product is then divided by one million BTUs. The quotient is then multiplied by the cost of the Eligible Household's selected Home Energy type per one million BTUs. That fourth product is then divided by the efficiency rate of the selected Home Energy type to arrive at the Eligible Household's amount of energy consumption. The cost per one million BTUs and efficiency rate of the Applicant's Home Energy type will be periodically established by MaineHousing. The DHLC is based on the following factors:

1. The total number of rooms in the Dwelling Unit as listed on the Application. Hallways, bathrooms, and closets are not counted in the total number of rooms;
2. An assumed standard room size for the Dwelling Unit type. Standard room sizes and BTUs required to heat a Dwelling Unit vary by Dwelling Unit type because average room size and surface area exposure to the elements vary by Dwelling Unit type. The standard room sizes and BTUs used for each Dwelling Unit type are as:

Dwelling Unit Type	Standard Room Size	BTUs
Stick-built/Modular	144 square feet	14.3
Manufactured Home/mobile home	100 square feet	13
Apartment	120 square feet	8.3

3. The heating degree days for the Service Area. Heating degree days are updated annually using data reported by National Weather Stations in Maine.
4. The estimated BTUs required to heat the Dwelling Unit;
5. Average cost per one million BTU. MaineHousing determines the average costs per one million BTU annually. Oil, kerosene, propane, electricity, natural gas, firewood, and wood pellet costs are obtained by averaging the costs reported by the Governor's Energy Office (GEO). Average costs for all other fuel types are based on a representative survey of Vendors' pricing.
6. The efficiency rate for the primary Home Energy type listed on the Application. The Energy Cost per one million BTU and efficiency rate are based on the primary Home Energy type specified on the Eligible Household's Application.

Home Energy Type	Efficiency Rate
Oil	65%
Kerosene	65%
Propane	65%
Natural Gas	65%
Biodiesel	65%
Electric	100%
Firewood	50%
Corn	60%
Wood Pellets	80%
Bio-bricks	80%

Housing Choice Voucher



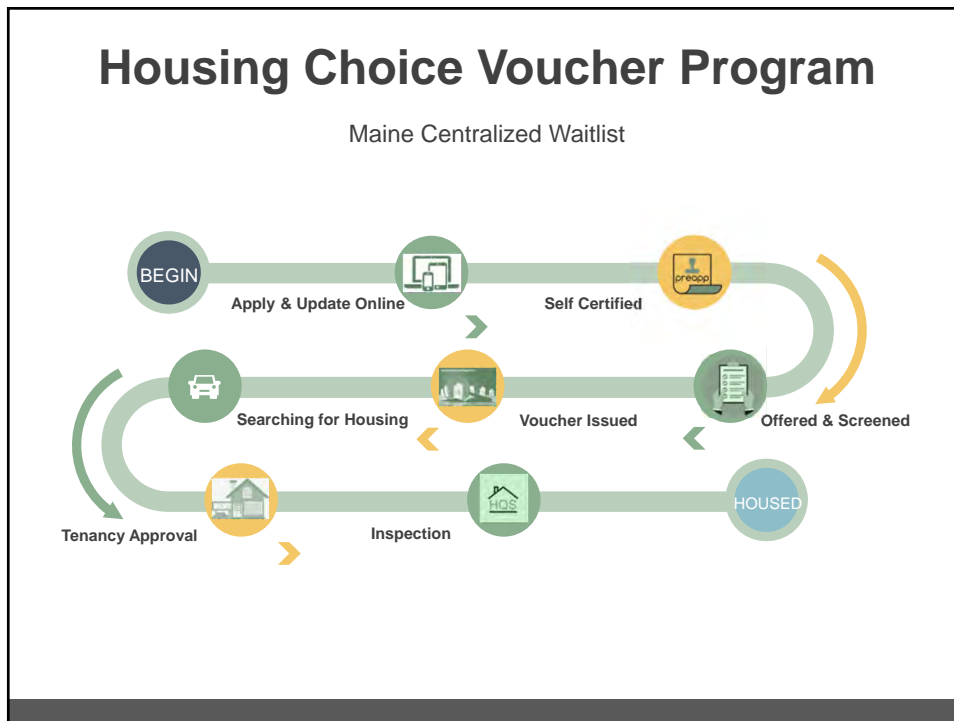
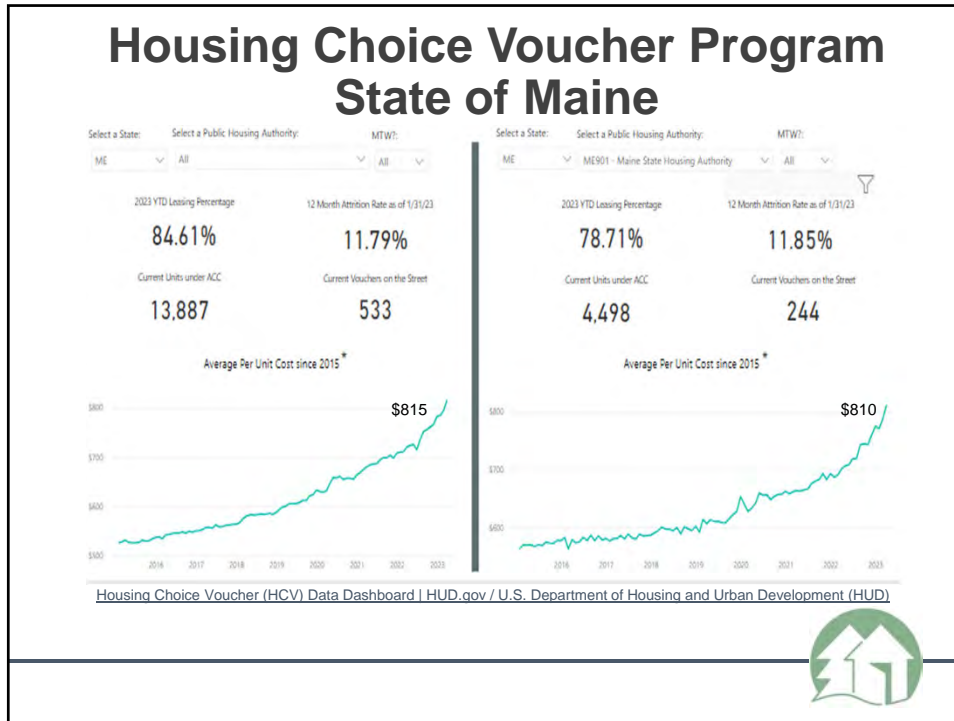
Housing Choice Voucher Program

Current budget for 2023 \$37,615,844

Average Per unit Cost (PUC)
\$810

Lease capacity 330 vouchers





Housing Choice Voucher Program

Waitlist Report
Maine Section 8HCV Centralized - All Applicants

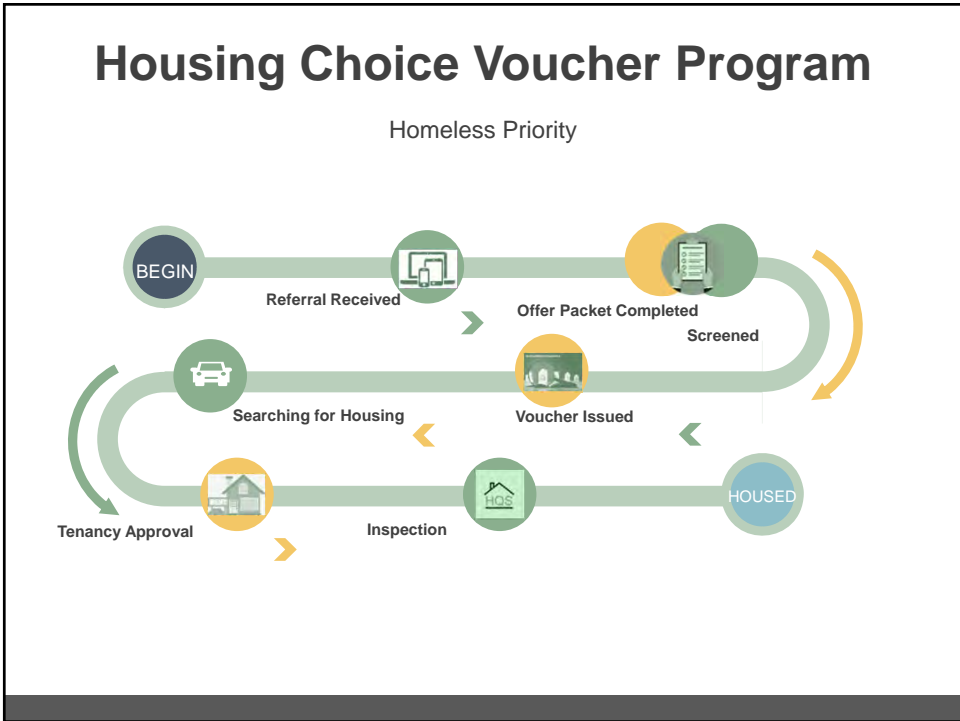
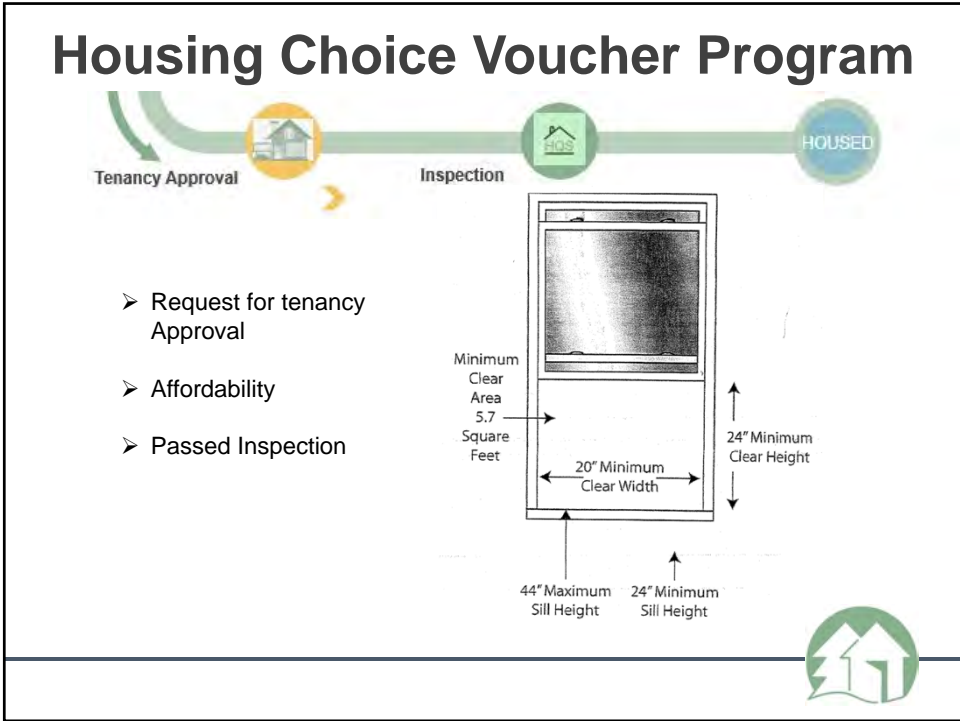
All applicants: 18271

Items	# of Families	% of Total Families
Income Levels		
Extremely Low Income (<=30% of AMI)	15718	86.05% of 18271 families
Very Low Income (>30% & <=50% of AMI)	1927	10.56% of 18271 families
Low Income (>50% & <=80% of AMI)	348	1.89% of 18271 families
Over Income (>80% of AMI)	79	0.43% of 18271 families
Family Types		
Families with children	8143	44.57% of 18271 families
Elderly Families (HCH or Co-HCH age 62+)	2993	16.38% of 18271 families
Families with Disabilities (HCH or Co-HCH)	7004	38.38% of 18271 families
One Household Member	10231	55.99% of 18271 families
Race / Ethnicity (Applicants may have selected more than one race)		
White	12996	71.23% of 18271 families
Black or African American	2459	13.46% of 18271 families
Asian	239	1.31% of 18271 families
Alaska Native or American Indian	454	2.49% of 18271 families
Pacific Islander	74	0.41% of 18271 families
Hispanic or Latino	1145	6.27% of 18271 families
Locality Types (Applicants may have selected more than one locality)		
Low Local	7118	39.01% of 18271 families
Work Local	1070	5.86% of 18271 families
School Local	207	1.13% of 18271 families

- Contract with AffordableHousing.com
- Applicants apply once for all PHA lists
- Information provided is self certified

Housing Choice Voucher Program

- Wait time 5+ years
- Screened for eligibility
- Phone briefing
- Initial 120 day search time



Housing Choice Voucher Program



- Community partners refer the applicant
- Applicants are given priority for a voucher
- Screened and issued a voucher within 2 weeks

Voucher Housing Choice Voucher Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB No. 2577-0169
(exp. 07/31/2022)

Public Reporting Burden for this collection of information is estimated to average 0.05 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. Send comments regarding this burden estimate or any aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Office, Paperwork Project (0172-0046) and/or the Office of Management and Budget, Paperwork Project (0304-0188).

Privacy Act Statement: The Department of Housing and Urban Development (HUD) is authorized to collect the information required on this form by Section 8 of the U.S. Housing Act of 1924 (42 U.S.C. 1437f). Collection of family member names is mandatory. The information is used to authorize a family to look for an eligible unit and specifies the size of the unit. The information also sets forth the family's obligations under the Housing Choice Voucher Program. HUD may disclose this information to Federal, State and local agencies when relevant to civil, criminal, or regulatory investigations and prosecutions. It will not be otherwise disclosed or released outside of HUD, except as permitted or required by law. Failure to provide any of the information may result in delay or rejection of family voucher issuance.

HUDA requires the following information:

Fill in all blanks below. Type or print clearly.

1. What are you applying for (number of vouchers)? This is the number of vouchers for which the family qualifies, and is used in determining the amount of assistance to be paid on behalf of the family to the owner.

2. What Voucher Program (Funding Source) are you applying for? (Insert actual date the Voucher is issued) to the Family.

3. What Voucher Program (Funding Source) are you applying for? (Insert actual date the Voucher is issued) to the Family.

4. What Extension Expires (if applicable) (mm/dd/yyyy) (See Section 8 of this form).

5. Name of Family Representative

6. Signature of Family Representative

7. Date Signed (mm/dd/yyyy)

8. Name of Public Housing Agency (PHA)

9. Signature PHA Official

10. Date Signed (mm/dd/yyyy)




Housing Choice Voucher Program




- Wait time less than 30 days
- Screened for eligibility
- Phone briefing with navigator
- Initial 120 day search time




Housing Choice Voucher Program



Tenancy Approval

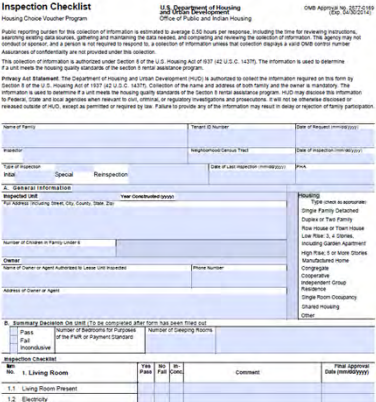



Inspection



HOUSED


- Request for tenancy Approval
- Affordability
- Passed Inspection





Housing Choice Voucher Program

- Internal Process changes
- Incentives
 - Security Deposits
 - Landlord Repair
 - Damage Reimbursement



Asset Management Department Memorandum

To: MaineHousing Board of Commissioners
From: Robert Conroy – Director, Asset Management
Date: June 12, 2023
Subject: June Board Report - Asset Management

Portfolio Activity at Mid-Year

As we near the midpoint of 2023 we have seen considerable activity with processing Multifamily Loans, Ownership Transfers, SHP Repair Loans and Supportive Housing Program Activity. A summary of these activities is below:

Multifamily Transfers

Bayside East	Portland	Avesta	Investor buyout
PROP Family III	Portland/Westbrook	Avesta	Investor buyout & AHDC transfer
The Maples	Sanford	Sanford Housing	Investor Buyout
Corundel Commons #2	Corinna	Penquis	Dissolving LP to Penquis Development
Freese Building	Bangor	Boston Capital	Substitute C&M Mgmt. for GP
Loring House	Portland	Wishrock	Substitute GPs
Brick Hill Cottages #2	S.Portland	Avesta	Investor buyout & AHDC transfer
Northside Apartments	Bangor	Penquis	Investor buyout & PDI transfer
Bangor Waterworks	Bangor	Caleb	Investor LP exit

Multifamily Transfers with Additional Financing

St. Mary's Residences	Lewiston	Acquisition	Kilmurry, LHA
Place Ste. Marie	Lewiston	Reimburse buyer & repairs	Brisa
Atkinson Apts.	Lewiston	purchase of interests	Bergren
Capital Village	Augusta	Acquisition	Rose
Oak Apartments	Howland	Acquisition	Penquis
Buck Apartments	Howland	Acquisition	Penquis
Richmond Terrace	Richmond	Acquisition	K.Bunker/C.Woodford
Barrons Hill I & II	Topsham	Acquisition	K.Bunker/C.Woodford
KLEBANOFF/NELSON			
1. Dominican Court	Lewiston	Acquisition	SAA EVI, Athena
2. Meadowbrook	Livermore	Acquisition	SAA EVI, Athena
3. Lisbon Senior	Lisbon	Acquisition	SAA EVI, Athena

Supportive Housing Repair Loans

18 New applications

7 Loan Closings

2 or 3 applications will likely exceed the \$200,000 program funding cap.

These are projects that have profound physical plant needs (e.g. Shaw House, and Bangor Area Homeless Shelter) or associated issues like Lead paint that could drive up the cost of the work requested.

Supportive Housing Changes and Program Activity

Motivational Services, Inc.	Augusta	The current programming is relocating and a new program will occupy the building
Biddeford Housing Authority	Biddeford	BPHA has requested concurrence to renovations that will convert existing space for a new use
Bread of Life Ministries	Augusta	BOLM intends to reorient a section of the project once the HAP has expired
CHOM	Portland	CHOM and Spurwink will be launching a new ultra low barrier program during the summer
Crisis & Counseling Centers	Winslow	C&CC intends to re-open as soon as they are able to hire the required staffing for licensing purposes
Eldercare	Wiscasset	Eldercare intends to re-purpose for assisted living using a private pay model
Indian Township Passamaquoddy Reservation H.A.	Indian Township	The ITPRHA converted the project to the Rural Development definition of Elderly/Disabled
OHI	Bangor	OHI will be transferring ownership to a non-profit corporation
OHI	Bangor	OHI will be transferring ownership to a non-profit corporation
OHI	Brewer	OHI will be transferring ownership to a non-profit corporation
Penquis Mental Health	Dexter	Penquis is conducting due diligence on a new use for the property
Penquis Mental Health	Dover-Foxcroft	Penquis is renovating the project in order to open a new program
Port Resources	Windham	Port Resources is evaluating options for reuse of the property
Sweetser	Brunswick	Sweetser will be transferring ownership

Sweetser	Damariscotta	Sweetser will be transferring ownership
Tedford Shelter	Augusta	Tedford will be transferring ownership
VOANNE	Portland	VOANNE is conducting rehab in order to reopen in collaboration with Amistad
Waypoint Maine, Inc.	Kennebunk	Waypoint will be conducting renovations prior to reopening with a new program
York County Shelter Programs	Sanford	YCSP conducted a conversion that will require HUD concurrence
York County Shelter Programs	West Newfield	YCSP is evaluating options for a future use of the property

Development Department Memorandum

To: MaineHousing Board of Commissioners
From: Mark C. Wiesendanger, Director of Development
Date: June 20, 2023
Subject: Monthly Report

New Program Funding

In anticipation of an allocation of funding from the state, the Development Team is drafting two updated Requests for Proposals for a 4% LIHTC Program, and a Rural Affordable Rental Housing Program. The new programs will be competitive, and development partners are being consulted with regards to the effect of potential changes.

Staff

The Development Department currently has three open Loan Officer positions. Applicant reviews and interviews are underway.

Development Pipeline

Below you will find the Development Pipeline updated as of June 13. We expect that a small number of these projects will not see completion, and that predicted construction starts and completions will change as projects move forward.

Project Name	Developer	Program	City	Family/ Senior	Total Units
Completed in 2023					
Milliken Heights	Szanton	4%	OOB	Senior	55
The Uplands II	Bunker	4%	Scarborough	Senior	39
Sr Living at the Marketplace	Tim Gooch	9%	Augusta	Senior	42
Washington Gardens	Portland HA	9%	Portland	Senior	100
West End Apts. Phase II	Avesta	9%	So. Portland	Family	52
Highpines Village Condos	Highpine Properties LLC	AHOP	Wells	Family	20
Stearns Farm	S.E. MacMillan Co, INC	AHOP	Hampden	Family	23

89 Olive Street	Penquis CAP	HTF	Bangor	Family	6
Tucker's House	LB Dev Part.	RHP	Bridgton	Supportive	4
Total Projects	9			Total Units	341

Under Construction - likely completed in 2023

Brunswick Landing	Developers Collaborative		Brunswick	Family	36
155 Danforth	Bunker	4%	Portland	Family	30
Blake & Walnut	Raise-Op	4%	Lewiston	Family	18
Blueberry Ridge	Bangor HA	4%	Bangor	Senior	32
Millbrook Estates	Westbrook HA/EBM	4%	Westbrook	Senior	100
Mountain View Apartments	Bateman	4%	Fairfield	Senior	28
The Schoolhouse	CHOM	4%	Bangor	Family	66
Snow School Apartments	Avesta	4%+HTF	Fryeburg	Senior	28
Mary Street Apartment	KVCAP	4%+State	Skowhegan	Family	40
Phoenix Flats (Middle St Apts)	CHOM	4%+State	Portland	Senior	45
Porter Station	Avesta	4%+State	Portland	Family	60
Front Street Re-Dev Phase 1	Portland HA	9%	Portland	Family	60
Theresa Bray Knowles Place	Penquis CAP	HOME-ARP	Bangor	Family	36
100 Ohio Street	CHOM	SHP	Bangor	Family	4
Total Projects	14			Total Units	583

Under Construction - likely completed in 2024

One Edgemont Drive	ACAP	SHP	Presque Isle	Family	13
Harrison Ridge	Developers Collaborative	4%	Bridgton	Senior	48
Hartland II	KVCAP	4%	Hartland	Senior	30
Jocelyn Place	SoPo HA	4%	Scarborough	Senior	60
Congress Square Commons	Developers Collaborative	9%	Belfast	Family	36
Front Street Re-Devt Phase 2	Portland HA	9%	Portland	Senior	45
The Uptown	Szanton	9%	Bath	Senior	60
Village Commons	Avesta	9%	Scarborough	Senior	31
Total Projects	8			Total Units	323

Starting Construction in 2023

99 Western Ave	Mastway Development LLC	4%	Augusta	Family	38
Berry Park Apartments	Northland Enterprises	4%	Biddeford	Family	46
Betsy Ross Crossing	SoPo HA	4%	So. Portland	Senior	52
Edgewater Village	Avesta	4%	Farmington	Senior	25
Fairview Commons	Brunswick HA	4%	Topsham	Family	38
Harbor Terrace	Portland HA	4%	Portland	Senior	120

Lambert Woods North	Maine Coop. Dev. Partners	4%	Portland	Family	74
Lockwood Mill	North River Co.	4%	Waterville	Family	65
Meadowview II	Avesta	4%	Gray	Senior	27
North Deering Gardens	Wingate Dev.	4%	Portland	Family	164
Stacy M. Symbol Apartments	Westbrook HA	4%	Westbrook	Senior	60
Stroudwater Apartments	Westbrook HA	4%	Westbrook	Senior	55
Wedgewood	Lewiston HA/Avesta	4%	Lewiston	Family	82
The Equinox	CHOM	4%+State	Portland	Family	43
Winter Landing	CHOM	4%+State	Portland	Senior	52
Adams Point	Biddeford HA	9%	Biddeford	Family	39
Landry Woods	South Portland Housing	9%	So. Portland	Senior	43
Milford Place	Penquis CAP	9%	Bangor	Senior	40
Oak Grove Commons	Realty Resources	9%	Bath	Family	34
Peasley Park	Developers Collaborative	9%	Rockland	Senior	49
Picker House Lofts	Szanton	9%	Lewiston	Family	72
Rumford Senior Living	Developers Collaborative	9%	Rumford	Senior	33
Sturgeon Landing	Augusta Housing	9%	Augusta	Family	32
Wildlands	Greater Portland Habitat	AHOP	Standish	Family	12
22 Shapleigh Road	Fairtide	Home ARP	Kittery	Family	6
Colonial Valley & Mt Blue	WMCA	Home ARP	Farmington	Family	33
18 Green Street	Motivational Svs	HTF	Augusta	Family	8
55 Weston Ave	55 Weston Avenue LLC	Rural	Madison	Family	18
Total Projects	27			Total Units	1363

Preliminary Underwriting

45 Dougherty	Szanton	4%	Portland	Family	63
Farwell Mill	Realty Resources	4%	Lisbon Falls	Family	96
Munjoy South	Avesta	4%	Portland	Family	106
Place St. Marie	Brisa Dev with Andy J	4%	Lewiston	Family	40
Riverton Park	Portland HA	4%	Portland	Family	182
Seton Tower	Kevin Mattson with Andy J	4%	Waterville	Family	68
Summer Block	Bateman	4%	Saco	Senior	32
89 Elm Apartments	Tom Watson & CO LLC	4% PLA	Portland	Family	201
19 Bodwell Street	Androscoggin Homes LLC	AHOP	Sanford	Family	9
Alexander Way	BH Land Trust	AHOP	Boothbay Harbor	Family	7
Beals Ave WF Housing	LB Development Partners	AHOP	Ellsworth	Family	23
Clarks Bridge Crossing	Patco	AHOP	Waterboro	Family	9
Windward Estates	Penquis CAP	AHOP	Searsport	Family	7
Great Cranberry Island	Cranberry Isles Realty Trust	Islands	Cranberry Island	Family	2
NHSH Affordable	NH Sustainable Housing	Islands	New Haven	Family	4
Tucker's House Harrison	LB Development Partners	Recovery	Harrison	Supportive	5
OddFellows Apts.	Archer Properties LLC	Rural	Norway	Family	13

Berry's Block Apts.	Lake City Investments	Rural	Rockland	Family	9
520 Centre Street	Bath HA	Rural	Bath	Family	18
55 Elm Street	East Town Rentals	Rural	Presque Isle	Family	18
Mechanic Street	WLR Properties	Rural	Houlton	Family	18
Firefly Fields	Midcoast Habitat	Rural	Rockland	Family	10
Charles Jordan House	ME Prisoner Adv Coalition	SHP	Auburn	Supportive	11
Lupine Landing	Safe Voices	SHP	Farmington	Supportive	6
Seavey House	Biddeford Housing	SHP	Saco	Supportive	8
Western Maine Village	WMCA	SHP	Wilton	Supportive	4

Total Projects	26			Total Units	969
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Total Projects All Stages	84			Total Units	3576
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To: MaineHousing Board of Commissioners
From: Genevieve Soucy, Director Energy and Housing Services
Date: June 12, 2023
Subject: EHS Monthly Report – June 2023

Home Energy Assistance Program (HEAP)

The Home Energy Assistance Program (HEAP) is a component of the LIHEAP grant which will provide eligible applicants a benefit to cover a portion of their heating costs. Applications for the program are taken July – May. A household must meet the income guidelines each year and must have a direct, or indirect, heating burden.

	PY 2023 Total Program Year	PY 2022 Total Program Year	PY 2021 Total Program Year
Total Applications Taken	59,181	54,341	48,686
Confirmed Eligible/Paid	46,939	43,417	38,226
Other (ineligible, denied, void, etc.)	10,613	10,312	10,460
Applications taken but unable to be Paid	1,629		
Average Benefit Amount	\$1,170	\$760	\$730
Low/High Benefit Amount	\$176 / \$2,530	\$152 / \$2,116	\$124 / \$1,932
Amount Distributed	\$50,362,228	\$32,046,030	\$22,197,724

Additional information:

- **HEAP Public Hearing Comments** – During the May Board Meeting, the Public Hearing for the HEAP Rule was held. There were minimal comments received during the submission period. The summary of the comments as well as MH responses are included in the June Board Packet. There will be no changes to the Rule based on the comments received.
- **Partner HEAP Training** – The annual HEAP training for the Community Action Agency partners will be held virtually on Tuesday June 27th. During the training, MH staff will provide training on the specifics of intake and processing applications for energy assistance and working with agency staff on answering specific questions related to the program. This training occurs yearly and individual training components are available for review during the year on the Bridge learning site.

Emergency Crisis Intervention Program (ECIP)

The Emergency Crisis Intervention Program (ECIP) is a component of the LIHEAP grant which will provide eligible HEAP applicants, who are in an emergency situation, with a benefit in the amount needed to either get them out of the emergency situation or up to a total of \$800 annually. The ECIP program runs November 1st through April 30th or until funding is exhausted. To be

considered an emergency situation, the applicant would have less than a 7 day supply of fuel on hand, a ¼ tank or less of fuel, or an electricity disconnect notice if their heating system relies on electricity for operation.

	PY 2023 Total Program Year	PY 2022 Total Program Year	PY 2021 Total Program Year
Total Households In Crisis	4,137	5,490	2,780
# of HH who received 2 nd ECIP	200	1,193	222
Average ECIP Benefit	\$665.01	\$860.98	\$272.23
Maximum Program Year Benefit	\$800.00	\$1,400.00	\$400.00
Amount Distributed	\$2,751,149.28	\$4,726,780.42	\$756,528.20

Home Accessibility and Repair Program (HARP)

The Home Accessibility and Repair Program (HARP) provides grants to income eligible homeowners for professional home repairs and accessibility modifications. The HARP is delivered statewide through the network of Community Action Agencies (CAAs).

PROJECT PROGRESS BY CAA						
Reporting Period: January 1, 2023 – December 31, 2022						
Agency	Home Repair		Emergency		2023 Weatherization Readiness	
ACAP	1	\$150	8	\$30,731	1	\$2,520
CCI	10	\$107,161	3	\$50,780	0	\$0
CCI-CUMBERLAND	3	\$450	3	\$50,820	0	\$0
DCP	0	\$0	0	\$0	0	\$0
KVCAP	7	\$144,067	6	\$90,391	2	\$19,709
PCAP	6	\$450	3	\$19,125	0	\$0
WCAP	0	\$0	0	\$0	0	\$0
WMCA	1	\$13,024	1	\$14,575	0	\$0
YCCAC	1	\$30,030	7	\$122,388	0	\$0
TOTAL	29	\$295,332	31	\$378,811	3	\$22,229
2022 Program	117	\$2,070,223	121	\$2,092,903		

Low Income Water Assistance Program (MEWAP)

MaineHousing’s Low Income Water Assistance Program launched in September. The funding for this program comes from HHS and is currently considered a one-time program set to run through September 30, 2023. The MEWAP is being administered in-house, and to date there have been over 1,900 applicants. An applicant may have any arrears for a water or waste water provider paid in full as well as be provided a benefit to cover future expenditures.

MH implemented program changes that will enable Maine to spend the majority of the funding provided. Effective April 1st, a second benefit was provided on behalf of households to either their waste water or water provider.

Water Assistance Program		
Reporting Period: September 1, 2022 – May 31, 2023		
Type of Benefit	Households	Amount Provided
Funding Amount:		\$ 3,053,965.00
Arrears paid	1,003	\$ 613,210.56
Benefit Provided	1,851	\$ 1,216,186.00
Program Delivery and Administration:		\$ 150,866.76
Total Expenses:		\$ 1,980,263.32
Funding Remaining:		\$ 1,073,701.68

Weatherization Assistance Programs (WAP)

PROJECT PROGRESS BY CAA							
Reporting Period: January 1, 2023 – May 31, 2023							
Agency	# Jobs	Readiness Jobs	Total Cost	Program Delivery & Support	DOE Funded	DOE Wx Readiness	HEAP Funded
ACAP	29	2	\$434,877.18	\$160,894.13	\$62,677.38	\$25,000.00	\$186,305.67
CCI-ANDROSCOGGIN	29	3	\$403,361.40	\$58,492.08	\$114,980.33	\$19,997.90	\$209,891.09
CCI-CUMBERLAND	10	0	\$173,971.49	\$38,034.08	\$47,022.72	\$0.00	\$88,914.69
DCP	10	1	\$205,947.73	\$59,772.88	\$70,746.26	\$10,000.00	\$65,428.59
KVCAP	27	1	\$459,781.72	\$100,259.66	\$182,167.01	\$6,600.00	\$170,755.05
PCAP	15	2	\$308,423.39	\$148,842.03	\$109,329.17	\$9,300.00	\$40,952.19
WCAP	2	0	\$64,782.67	\$40,809.82	\$11,364.00	\$0.00	\$12,608.85
WMCA	10	2	\$217,709.53	\$108,447.49	\$30,338.75	\$16,525.00	\$62,398.29
YCCAC	23	3	\$468,781.97	\$209,878.87	\$96,928.39	\$48,330.00	\$113,644.71
TOTAL	155	14	\$2,737,637.08	\$925,431.04	\$725,554.01	\$135,752.90	\$950,899.13
2022 TOTAL	319	1	\$6,442,853.00	\$2,017,550.29	\$1,545,697.67	\$6,700.00	\$1,705,180.54

Additional information:

- **HEAP Wx** - Each year, a portion of the HEAP grant is budgeted to the HEAP Weatherization program. This program braids funding with the DOE Weatherization program to be able perform Weatherization services on clients homes. DOE has a Per Unit average of \$8,009 for this current program year, the Per Unit average for a home to be weatherized is \$12,000-\$16,000 and projects exceeding the DOE Per Unit average must have a different funding source cover the remaining expenses. CAA and Maine Housing staff are working on re-budgeting prior program year funding for the CAA's to be able to continue to use HEAP funding to braid with DOE in order to complete units.
- **DOE-BIL State Plan** – Maine Housing's BIL plan has been **approved** by Department of Energy. Allocations for the Single Family weatherization component, administered through the CAA's, has been contracted and workplans and required documentation are being reviewed. CAA's will be provided with two years of program funding and have the opportunity to submit future training plans to ensure their have adequate staff and that they

are receiving the training and equipment necessary. Planning continues for the Multi-Family weatherization component and an RFP is being developed and will be posted to solicit interested organizations who are either currently involved with Multi-Family weatherization or who are interested in participation.

Planning for Workforce Development as well as for a Training Center in collaboration with other New England states are also in process.

Central Heating Improvement Program

The Central Heating Improvement Program (CHIP) provides grants to households that are HEAP eligible to assist with Heating system repairs or replacements, Chimney and Oil Tank repairs or replacements. Funding for the CHIP program is from the DHHS LIHEAP grant. To be determined eligible, Households must have an approved Fuel Assistance Application in the prior 12 months to qualify for service.

PROJECT PROGRESS BY CAA							
Reporting Period: January 1, 2023 – May 31, 2023							
Agency	Projects	Total Cost	Program Delivery & Support	Projects	Heating System CTE, Repair or Replacement	Projects	Chimney or Oil Tank Repairs or Replacements
ACAP	139	\$453,081.65	\$46,184.83	119	\$341,214.58	20	\$65,682.24
CCI-	268	\$637,051.77	\$38,983.66	243	\$531,124.99	25	\$66,943.12
CCI-	139	\$324,098.05	\$20,992.19	122	\$244,072.36	17	\$59,033.50
DCP	66	\$254,661.51	\$111,666.44	65	\$139,367.07	1	\$3,628.00
KVCAP	254	\$693,136.20	\$33,788.63	231	\$591,400.23	23	\$67,947.34
PCAP	238	\$596,447.71	\$103,669.36	220	\$431,465.30	18	\$61,313.05
WCAP	47	\$194,679.08	\$43,278.00	46	\$147,201.08	1	\$4,200.00
WMCA	145	\$504,278.37	\$51,688.26	110	\$353,339.31	35	\$99,250.80
YCCAC	272	\$676,453.85	\$131,258.61	205	\$409,332.24	67	\$135,863.00
TOTAL	1,568	\$4,333,888.19	\$581,509.98	1,361	\$3,188,517.16	207	\$563,861.05
2022 TOTAL	2,506	\$6,772,881.72	\$1,185,574.44	2,121	\$4,369,620.77	385	\$1,217,686.51

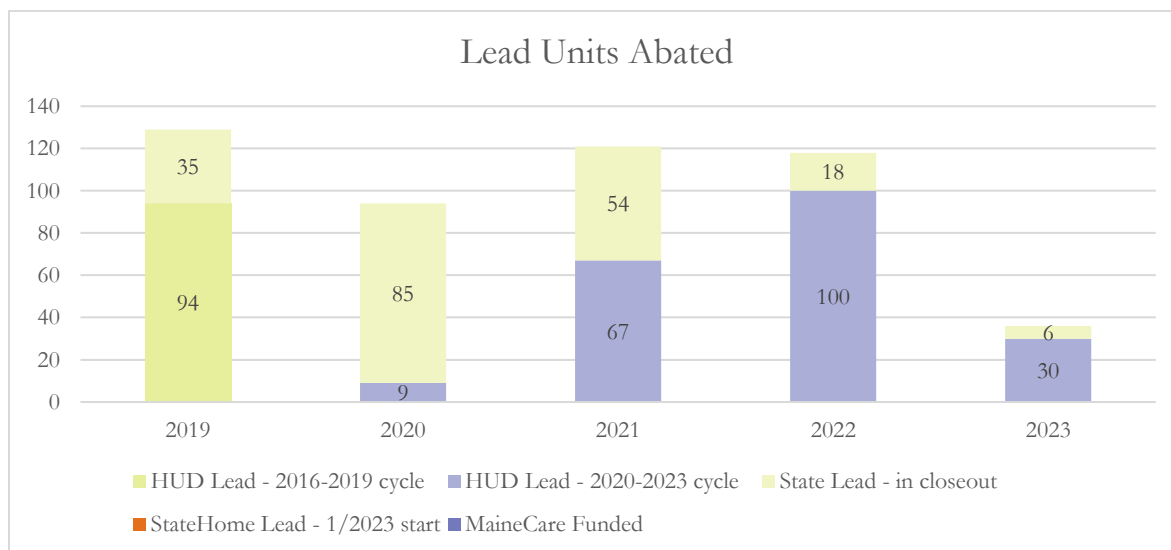
Heat Pump Installation Program

The Heat Pump Installation Program (HPP) will install a heat pump for HEAP eligible households where it is determined that a heat pump will reduce the households energy burden. Funding for this program component has come from the LIHEAP grant. Due to the exhaustion of funding in 2023, we are applying for an alternate funding source to continue production installations.

PROJECT PROGRESS BY CAA				
Reporting Period: January 1, 2023 – May 31, 2023				
Agency	Projects	Total Cost	Program Delivery & Support	Heat Pump Installation Costs
ACAP	47	\$240,538.88	\$32,422.21	\$208,116.67
CCI-ANDROSCOGGIN	54	\$264,077.96	\$18,677.96	\$245,400.00
CCI-CUMBERLAND	52	\$264,422.46	\$22,722.46	\$241,700.00
DCP	37	\$273,212.14	\$118,937.14	\$154,275.00
KVCAP	37	\$164,124.23	\$15,566.71	\$148,557.52
PCAP	71	\$292,392.89	\$46,717.89	\$245,675.00
WCAP	4	\$21,655.22	\$7,855.22	\$13,800.00
WMCA	17	\$113,133.45	\$40,233.45	\$72,900.00
YCCAC	70	\$349,981.42	\$38,503.57	\$311,477.85
TOTAL	389	\$1,983,538.65	\$341,636.61	\$1,641,902.04
2022 TOTAL	1,697	\$3,265,421.66	\$682,844.44	\$2,582,577.22

Lead Abatement Program

Maine Housing works with two Community Action Agencies to deliver the Lead Abatement Programs across the State. Currently there are two funding sources used to abate units, HUD’s three year Lead Abatement Program and the State HOME funded Lead Abatement Program.



Low Income Assistance Plan (LIAP)

The Low Income Assistance Plan (LIAP) provides a credit to an eligible households electricity account. The LIAP program is funded by contributions from Transmission and Distribution electricity providers and the program Rules and Orders are governed by the MPUC. Annually the MPUC issues an Order advising each electricity provider in how much they need to spend in the program and how much funding is provided to MH to be distributed to other electricity provider. Additional assistance for Households who require electricity for an oxygen pump or ventilator are also available as part of this program. MaineHousing provides the utilities with clients who meet the general eligibility guidelines. Applicants are also able to enroll directly with the utility if they have received an eligibility letter from a DHHS means tested program.

For the current program year, MPUC doubled the amount of funding that the electricity utilities must spend due to anticipated increase in participants as a result of expanding eligibility to DHHS means tested households.

Low Income Assistance Plan (LIAP)				
Reporting Period: October 1, 2022 - March 31, 2023				
Utility	Oxygen/Vent Participants	Oxygen/Vent Credits Provided	LIAP Participants	Credits Provided
Quarter 1 Oct - Dec.	484	\$ 112,490.41	17,994	\$ 3,007,389.95
Quarter 2 Jan - Mar	1,471	\$ 231,959.47	34,016	\$ 4,557,551.17
Quarter 3 Apr - June		\$ -		\$ -
Quarter 4 July - Sept		\$ -		\$ -
TOTAL	1,471	\$ 344,449.88	34,016	\$ 7,564,941.12
2022 TOTAL	1,078	\$ 250,224.85	29,869	\$10,338,389.02

Well Water Abatement

The Well Water Abatement program provides grants for the abatement of contaminants in private wells to provide safe drinking water for income eligible, single-family homeowners and income eligible landlords for dwellings with four rental units or less. The grants will cover well water testing as well as a point of use or point of entry system depending upon needs. Funding for this program is from LD-1891 passed in 2022, the program will continue until funding is exhausted.

WELL WATER ABATEMENT PROGRAM	
REPORT PERIOD: January 1, 2022 - June 13, 2023	
Number of Inquires	75
Number of Applications Received	15
Number of Filtration Systems Installed	8
Number of Water Test Completed	69
Program Allocated Funds	\$ 500,000.00
Expenditures for Water Tests and Filtration Systems	\$ 47,340.45
Available Funds	\$ 452,659.55

Finance Department Memorandum

To: Board of Commissioners

From: Darren R. Brown

Date: June 12, 2023

Subject: Monthly Activity Report – Finance Department

ACCOUNTING AND FINANCIAL REPORTING:

- The Accounting and Financial Reporting (AFR) staff continued work on the A-133 Single Audit for the year ended December 31, 2022. This is an annual audit of MaineHousing’s federally funded programs to determine whether the programs have been administered in compliance with federal guidelines. MaineHousing administered and disbursed approximately \$450 million through thirty-four different federal programs in 2022. Major programs are audited on a rotating basis.

The major programs identified for the 2022 audit are the Emergency Rental Assistance Programs (ERA 1 and ERA 2), Grant for Homeless Shelters (State & Local Fiscal Recovery Fund), and the Emergency Solution Grant Program. The compliance audit needs to be completed and filed with the federal Single Audit Clearinghouse and the HUD Real Estate Assessment Center (REAC) within nine months after the fiscal year end, which is September 30th for MaineHousing.

- The Office of the State Controller held a two-day Governmental Accounting Standards Board (GASB) training, which was attended by several AFR staff. The training covered new accounting and financial reporting developments and issues impacting state and local governments. It also included topics on federal program auditing requirements, fraud, ethics and current cyber security issues.
- State agencies are required to prepare and submit annual Work Program Forms (WPFs) to the Bureau of the Budget at the beginning of the State’s fiscal year, which starts on July 1st. The planned distribution of funds across quarters and months need to be provided on the WPFs for the upcoming year. MaineHousing receives program funds from the State and the WPFs were completed and submitted for fiscal Year 2024. The WPFs are prepared based on the adopted State budget, which includes the following for MaineHousing:

1. \$32.2 million for Housing Opportunities for Maine (HOME)
2. \$4.3 million for the Maine Energy, Housing & Economic Recovery Fund (MEHER)
3. \$2.5 million for Shelter Operating Subsidy (SOS)

These WPF’s do not include any funds associated with the LD 258 change package. If approved, the change package will provide MaineHousing with additional program funds.

- As of the end of May, staff have processed a total of 1,185 Housing Assistance Fund (HAF) benefit payments totaling \$5.8 million. For the month of May, the weekly number of benefit payments averaged 140 and totaled \$670,000. The HAF program is designed to provide homeowners impacted by COVID-19 with financial support to address delinquent housing payments, property taxes, sewage or water bills, utility charges, condo and co-op fees, and manufactured home loan payments.

LOAN ADMINISTRATION:

- The Biden-Harris administration terminated the national emergency related to the COVID-19 pandemic on April 10, 2023. The federal mortgage insurers extended their programs to allow new COVID-related forbearances to be requested through May 31, 2023. Since the inception of the pandemic, MaineHousing provided COVID-19 financial hardship assistance to 634 of its first-time homebuyer borrowers. The assistance provided was primarily in the form of a forbearance or through the Maine HOPE Program. A total of 588 borrowers received a forbearance and 46 received assistance through Maine HOPE. Of the 634 borrowers assisted, 601 or 95% have brought their loan current and are no longer in forbearance or delinquent status and 33 remain in an active COVID-19 forbearance as of the end of May.
- Recruitment for the Multi-family Accounting Officer and Foreclosure Specialist positions is ongoing. The Multi-family Accounting Officer position performs financial accounting functions for the multi-family loan portfolio. It works with various departments on loan closings for new loans and/or loan restructures. It also prepares and disseminates various financial, delinquency and cash flow reports. The Foreclosure Specialist position administers the agency's various delinquency and foreclosure procedures, coordinates the resolution of problem loans, and directs the sale of properties in foreclosure. This position is also required to represent MaineHousing at foreclosure trials, mediations, and bankruptcy creditor meetings.

Finance Department Memorandum

To: Board of Commissioners

From: Darren R. Brown

Date: June 12, 2023

Subject: Monthly Financial and Budget Report

FINANCIAL RESULTS

Attached are the Balance Sheets and Statements of Revenues, Expenses, and Changes in Net Assets for the four-month period ended April 30, 2023.

MaineHousing's programs are accounted for in Fund Groups, based on funding sources. For financial reporting purposes, each Fund Group is a separate and standalone entity. There are seven Fund Groups and the individual Balance Sheets and Statements of Revenues, Expenses and Changes in Net Assets for each are presented in columns on the attachments (pages 1 and 2). The following is a summary of MaineHousing's total combined financial position and operating results for the current year, and a brief explanation for the changes between the current and prior year net operating results.

Total combined assets are approximately \$2.4 billion and total combined liabilities approximate \$1.97 billion. Total net assets amount to approximately \$425 million. Total combined revenues approximate \$195.4 million and total expenses amount to approximately \$184.9 million, which results in net operating income of \$10.5 million. For this period in 2022, there was a total combined net operating loss of \$2.2 million. Net operating income is \$12.7 million higher in 2023 due primarily to the activities and operating results of the Mortgage Purchase Fund (MPP), MaineHousing's largest fund group.

The MPP has net operating income of approximately \$9.2 million. This is a \$14.5 million increase compared to the net operating loss of \$5.3 million in 2022. The increase is principally due to the recognition of a large paper gain associated with adjusting the carrying values of non-mortgage investments. A paper gain of \$4 million has been recorded for 2023, which is a \$10.5 million increase over the paper loss of \$6.5 million recorded in 2022. The increase is attributed to interest rate changes during the year.

The recording of paper gains and losses is required for accounting purposes. However, because MaineHousing does not actively buy and sell related investments, actual gains and losses will not occur and these amounts are ignored by the rating agencies, bond analysts, and management when assessing profitability.

Excluding the paper gains and losses, the MPP's net operating income is \$5.2 million at the end of April 2023. This is an increase of \$4 million compared to \$1.2 million in 2022. This net operating income improvement is due to the higher interest rate environment and a \$4.4 million increase in net interest income. Although interest expense on bonds increased \$4 million, interest income from mortgages and investments is higher in 2023 by a combined amount of \$8.4 million.

The HOME Fund has a net operating loss of \$1 million, which is a decrease of \$4.8 million compared with net operating income of \$3.8 million in 2022. MaineHousing's portion of the real estate transfer taxes

received from the State are accounted for in this Fund Group. The decrease in net operating income is due primarily to lower real estate transfer tax receipts and timing differences with the expending of program funds and the recognition of grant expenses. Income is lower by \$2.8 million, while program expenditures are \$2 million higher at this point in 2023 compared to 2022.

BUDGET RESULTS

Also attached are the budget variance results for the period ended April 30, 2023. These results are summarized and presented on the attachment described below:

OPERATING REVENUES AND EXPENSES BUDGET

MaineHousing has two primary business segments, which consist of mortgage lending activities and the administration of federal and state funded programs. All operating and program administrative costs are paid by either the net interest income from mortgage lending activities, which is the difference between interest income earned from mortgage and non-mortgage investment assets and the interest paid on bonds, or fee income received for the administration of programs.

The Operating Revenues and Expenses Budget, **Attachment A**, presents the revenues available to pay operating and program administrative expenses. It also presents the aggregate operating and program administrative expenses. Total budgeted revenues for 2023 are \$92.1 million and total expenses are budgeted at \$83.5 million. Total actual revenues as of April 30, 2023 amount to \$33.8 million, while total expenses amount to \$28 million. For the four-month period ended April 30, 2023, revenues exceed expenses by approximately \$5.8 million.

Revenues are running above budget at this point due to higher income from non-mortgage investments. Interest rates have increased and average yields from investments are higher than projected. Expenses are in line with amounts anticipated for the period. The operating and other program administration expenses (the first two expense lines) are detailed on **Attachment B** and summarized below:

OPERATING AND OTHER PROGRAM ADMINISTRATIVE EXPENSES

MaineHousing's overhead and operational costs for the year as well as other program administrative expenses, which are costs that are specifically and exclusively related to a particular program, are itemized on **Attachment B**.

Total 2023 operating expenses are budgeted at approximately \$24.3 million. As of April 30, 2023, approximately \$8.5 million or 35% of the total operating budget has been used. Total other program administrative expenses are budgeted at \$8.9 million and actual expenses amount to \$2.7 million as of April 30, 2023. Overall, expenditures in these areas are consistent with amounts expected for the period.

CAPITAL BUDGET

The Capital Budget, **Attachment C**, presents items that provide an economic benefit to MaineHousing over a period of time. Items are recorded as assets and depreciated over an estimated useful life. The total authorized capital budget for 2023 is \$1.3 million. Expenditures amounted to approximately \$227,000 as of April 30, 2022 and were mainly associated with the acquisition of the new multifamily loan system.

MEMBERSHIPS, DUES AND SPONSORSHIPS

In accordance with MaineHousing's Contributions Policy, all payments for memberships, dues and sponsorship are required to be reported to the Commissioners each month as part of the budget variance reports. **Attachment D** presents an itemized listing of the membership, dues, and sponsorship expenses as of April 30, 2023.

MAINE STATE HOUSING AUTHORITY
BALANCE SHEETS
APRIL 30, 2023
(IN THOUSANDS OF DOLLARS)

	<u>Memorandum Only Combined Totals</u>		<u>Mortgage Purchase Fund Group</u>	<u>Bondholder Reserve Fund</u>	<u>General Fund</u>	<u>HOME Fund</u>	<u>Federal Programs Fund</u>	<u>Other Funds</u>	<u>Maine Energy Housing & Economic Recovery Funds</u>
	<u>2022</u>	<u>2023</u>							
ASSETS:									
Cash, principally time deposits	61,251	102,495	22,186	0	74,356	0	5,664	289	0
Investments	585,158	610,955	515,129	8,146	18,570	28,346	0	5,818	34,946
Accounts receivable - Government	32,686	18,153	0	0	0	1,476	16,473	204	0
Accrued interest and other assets	9,084	12,185	11,494	14	305	92	194	6	80
Mortgage notes receivable, net	1,436,088	1,617,224	1,556,588	0	5,746	34,070	0	2,950	17,870
Other notes receivable, net	57	0	0	0	0	0	0	0	0
Land, equipment and improvements, net	17,672	17,857	22	0	17,835	0	0	0	0
Other real estate owned	93	0	0	0	0	0	0	0	0
Derivative instrument - interest rate swaps	638	16,012	16,012	0	0	0	0	0	0
Net pension asset	217	0	0	0	0	0	0	0	0
Deferred pension expense	1,123	959	509	3	102	0	0	345	0
Deferred amount on debt refundings	2,529	2,220	2,220	0	0	0	0	0	0
Total Assets	2,146,596	2,398,060	2,124,160	8,163	116,914	63,984	22,331	9,612	52,896
LIABILITIES AND NET ASSETS:									
Accrued interest payable	17,243	24,917	24,427	0	0	0	0	0	490
Accounts payable - Federal	354	481	0	0	0	0	481	0	0
Accounts payable & accrued liabilities	5,763	16,541	323	0	15,832	0	386	0	0
Unearned income	42,331	54,993	0	0	0	430	19,494	35,069	0
Net pension liability	0	1,780	945	5	189	0	0	641	0
Deferred pension credit	3,159	798	424	3	84	0	0	287	0
Accumulated increase in fair value of hedging derivatives	638	16,012	16,012	0	0	0	0	0	0
Interfund	0	0	4,186	29	46,921	(19,928)	(2,740)	(28,468)	0
Mortgage bonds and notes payable, net	1,672,888	1,857,152	1,788,885	0	14,051	0	0	0	54,216
Deferred grant income	0	0	0	0	0	0	0	0	0
Deferred loan origination points	15	18	18	0	0	0	0	0	0
Total Liabilities	1,742,391	1,972,692	1,835,220	37	77,077	(19,498)	17,621	7,529	54,706
NET ASSETS:									
Restricted Net Assets	366,364	385,531	288,940	8,126	0	83,482	4,710	2,083	(1,810)
Unrestricted Net Assets	37,841	39,837	0	0	39,837	0	0	0	0
Total Net Assets	404,205	425,368	288,940	8,126	39,837	83,482	4,710	2,083	(1,810)
Total Liabilities and Net Assets	2,146,596	2,398,060	2,124,160	8,163	116,914	63,984	22,331	9,612	52,896

MAINE STATE HOUSING AUTHORITY
STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS
FOR THE PERIOD ENDED APRIL 30, 2023
(IN THOUSANDS OF DOLLARS)

	<u>Memorandum Only Combined Totals</u>		<u>Mortgage Purchase Fund Group</u>	<u>Bondholder Reserve Fund</u>	<u>General Fund</u>	<u>HOME Fund</u>	<u>Federal Programs Fund</u>	<u>Other Funds</u>	<u>Maine Energy Housing & Economic Recovery Funds</u>
	<u>2022</u>	<u>2023</u>							
REVENUES:									
Interest from mortgages and notes	19,519	21,698	21,547	0	98	39	0	0	14
Income from investments	732	8,498	6,947	121	364	418	8	106	534
Net increase (decrease) in the fair value of investments	(6,475)	4,022	4,022	0	0	0	0	0	0
Fee income	4,342	4,622	500	0	447	0	3,514	161	0
Other revenue	1	0	0	0	0	0	0	0	0
Grant income	112,891	113,346	0	0	0	825	49,618	62,903	0
Income from State	8,932	5,862	0	0	0	5,862	0	0	0
Federal rent subsidy income	36,122	37,356	0	0	0	0	37,356	0	0
Gain on bond redemption	4	0	0	0	0	0	0	0	0
Total Revenues	176,068	195,404	33,016	121	909	7,144	90,496	63,170	548
EXPENSES:									
Operating expenses	7,873	8,541	0	0	8,541	0	0	0	0
Other program administrative expenses	2,041	2,049	1,632	0	(3)	0	326	94	0
Mortgage servicing fees	581	625	621	0	4	0	0	0	0
Interest expense	13,150	17,129	16,786	0	2	0	0	0	341
Grant expense	118,270	118,861	0	0	0	8,139	49,633	60,669	420
Federal rent subsidy expense	36,307	37,704	0	0	0	0	37,704	0	0
Allocated operating costs	0	0	4,800	28	(7,592)	0	2,724	40	0
Total Expenses	178,222	184,909	23,839	28	952	8,139	90,387	60,803	761
Net Operating Income (Loss)	(2,154)	10,495	9,177	93	(43)	(995)	109	2,367	(213)
Transfers between funds, net	0	0	0	0	0	0	27	(27)	0
Change in net assets	(2,154)	10,495	9,177	93	(43)	(995)	136	2,340	(213)
Net assets at beginning of year	406,359	414,873	279,763	8,033	39,880	84,477	4,574	(257)	(1,597)
Net assets at end of period	404,205	425,368	288,940	8,126	39,837	83,482	4,710	2,083	(1,810)

**MAINE STATE HOUSING AUTHORITY
OPERATING REVENUES AND EXPENSES BUDGET VARIANCE REPORT
FOR THE PERIOD ENDED APRIL 30, 2023**

(IN THOUSANDS OF DOLLARS)

	Mortgage Lending Activities Actual	Federal & Other Program Administration Actual	Total Combined Actual	Total Annual Budget	Total Under/(Over)	% Variance
REVENUES:						
Interest from mortgages and notes	21,645	0	21,645	66,400	44,755	67%
Income from investments	7,432	114	7,546	11,390	3,844	34%
Fee income	947	3,675	4,622	14,153	9,531	67%
Other revenue	0	0	0	160	160	100%
Total Revenues	30,024	3,789	33,813	92,103	58,290	63%
EXPENSES:						
Operating expenses	5,777	2,764	8,541	24,294	15,753	65%
Other program administrative expenses	2,254	420	2,674	8,864	6,190	70%
Interest expense	16,788	0	16,788	50,325	33,537	67%
Total Expenses	24,819	3,184	28,003	83,483	55,480	66%
Excess Revenues Over Expenses	5,205	605	5,810	8,620	2,810	33%

**MAINE STATE HOUSING AUTHORITY
OPERATING AND OTHER PROGRAM ADMINISTRATIVE EXPENSES
FOR THE PERIOD ENDED APRIL 30, 2023**

ATTACHMENT B

	Total Annual Budget	Total Year to Date Actual	Budget Available	Percentage of Budget Available
Operating Expenses				
Salaries	13,517,480	5,072,784	8,444,696	62%
Payroll Taxes	994,335	381,533	612,802	62%
Retirement	1,273,244	436,244	837,000	66%
Medical and Life Insurance	3,116,854	978,120	2,138,734	69%
Other Fringe Benefits	10,000	1,950	8,050	81%
Office Supplies	51,365	15,523	35,842	70%
Printing	75,560	18,739	56,821	75%
Membership and Dues	63,811	17,199	46,612	73%
Subscriptions	32,077	8,675	23,402	73%
Sponsorships	14,600	2,500	12,100	83%
Staff Educ/Train/Conf	180,131	33,025	147,106	82%
Travel/Meals - Staff Educ/Train/Conf	197,859	41,853	156,006	79%
Partner/Client Train/Meetings	138,510	20,833	117,677	85%
Travel/Meals - Partner/Client Training	112,546	9,906	102,640	91%
Staff Events	28,580	10,109	18,471	65%
Meals - Staff Events	33,130	9,586	23,544	71%
Leased Vehicles	177,773	54,360	123,413	69%
Computer Supplies	39,812	12,133	27,679	70%
Computer License SAAS	254,048	89,302	164,746	65%
Rent-Other	39,430	12,535	26,895	68%
Computer Maintenance	789,721	270,094	519,627	66%
Depreciation	1,200,000	384,911	815,089	68%
Telephone	125,584	42,581	83,003	66%
Employment Advertising	1,000	2,561	(1,561)	(156%)
Postage and Shipping	141,022	56,934	84,088	60%
Insurance	105,748	8,012	97,736	92%
Recording Fees	1,000	292	708	71%
Payroll Services	49,418	17,551	31,867	64%
Audit Services	172,000	74,000	98,000	57%
Property Expenses	522,435	177,049	345,386	66%
Professional Services	376,108	129,651	246,457	66%
Building Interest Expense	458,669	150,738	307,931	67%
Total Operating Expenses	24,293,851	8,541,283	15,752,568	65%
Other Program Administrative Expenses				
Loan foreclosure expenses	200,000	9,401	190,599	95%
REO expenses	50,000	3,413	46,587	93%
Mortgage Servicing fees	1,850,000	625,022	1,224,978	66%
Provision for losses on loans & REOs	125,000	0	125,000	100%
Loan Origination expenses	3,230,000	792,328	2,437,672	75%
Bond Issuance Costs	900,000	149,931	750,069	83%
Trustee/Bank fees	170,000	57,811	112,189	66%
Program advertising/printing	343,450	44,511	298,939	87%
Bond and mortgagee insurance	19,550	0	19,550	100%
Variable rate bond remarket/liquidity facilities	710,000	297,281	412,719	58%
Cash flow/arbitrage/swap consultants/legal	675,000	263,643	411,357	61%
Homebuyer education	135,000	22,950	112,050	83%
Program administrator fees	455,610	408,315	47,295	10%
Total Other Program Administration Expenses	8,863,610	2,674,606	6,189,004	70%

**MAINE STATE HOUSING AUTHORITY
CAPITAL BUDGET
FOR THE PERIOD ENDED APRIL 30, 2023**

ATTACHMENT C

Description	2023 Budget	2023 Actual	Budget Available	% Expended
Computer Hardware:				
Network backup hardware - Data Domain	15,000	0	15,000	
Laptop replacements	55,000	19,211	35,789	
Total computer hardware	<u>70,000</u>	<u>19,211</u>	<u>50,789</u>	<u>27%</u>
Computer Software:				
Enterprise multi-family housing system	240,679	186,922	53,758	
Amplifund grant management software	45,600	0	45,600	
Mobile device management software	8,000	0	8,000	
Website redesign	7,000	0	7,000	
Single Family loan servicing system modifications	10,000	0	10,000	
Single Family lender & loan tracking systems mods	10,000	0	10,000	
Hancock systems mods (LIHEAP & Wx Programs)	100,442	0	100,442	
Salesforce software upgrades	120,000	0	120,000	
New LIHEAP & Wx system	575,000	0	575,000	
Total computer software	<u>1,116,721</u>	<u>186,922</u>	<u>929,800</u>	<u>17%</u>
Office Building:				
Additional workstations & furnitures	24,460	14,671	9,789	
Patio repair/resurface	46,000	0	46,000	
Employee stairwell repair	0	6,290	(6,290)	
	<u>70,460</u>	<u>20,961</u>	<u>49,499</u>	<u>30%</u>
Total	<u><u>1,257,181</u></u>	<u><u>227,093</u></u>	<u><u>1,030,088</u></u>	<u><u>18%</u></u>

**MAINE STATE HOUSING AUTHORITY
MEMBERSHIPS, DUES, AND SPONSORSHIPS
FOR THE PERIOD ENDED APRIL 30, 2023**

Description	Amount
Memberships and Dues	
Urban Land Institute - employee annual membership	264
Maine Real Estate & Development Association - annual membership	1,200
Maine Public Relations Council - employee annual membership	75
Project management Institute - employee membership	164
Information Systems Audit and Control Association - employee annual membership	45
Association of Government Accountants - (2) employee annual memberships	220
American College of Mortgage Attorneys - employee dues	225
Maine Bankers Association - annual affiliate membership	950
Kennebec Board of Realtors - employee dues	196
Maine Association of Mortgage Professional - employee annual membership	395
Construction Specifications Institute - employee annual membership	375
NCHM Accounting Office Employee Certification dues	125
Maine Real Estate Management Association - annual membership	125
National Affordable Housing Management Association - affiliate membership	1,300
National Leased Housing Association - annual membership	660
National Energy & Utility Affordability Coalition - annual membership	500
National Energy Assistance Directors' Association - annual membership	6,817
National Energy Assistance Directors' Association - annual LIHWAA membership	1,088
National Association for State Community Services Programs - annual membership	1,627
Notary Public - (1) employee renewal fee	50
American Payroll Association - employee annual membership	298
Maine Indoor Air Quality Council - annual membership	500
Total	<u>\$ 17,199</u>
Sponsorships	
Maine Resident Service Coordinator Association - annual sponsor	2,500
Total	<u>\$ 2,500</u>



Finance Department Memorandum

To: Board of Commissioners
From: Darren Brown
Date: June 5, 2023
Subject: Monthly Delinquencies Report

MULTI-FAMILY DELINQUENCIES

The Multi-Family portfolio totals \$840 million with 1,279 loans as of May 31, 2023. There are four delinquent loans, as shown in *Exhibit 1*. The Multi-Family delinquency rate is benchmarked against MaineHousing's historical rates, as shown in *Exhibit 2*.

SINGLE-FAMILY DELINQUENCIES

The Single-Family portfolio totals \$979 million with 9,777 loans as of April 30, 2023. The over 60-day delinquencies stayed at 1.98%, and the in-foreclosures decreased from 0.64% to 0.55%. The over 60-day delinquencies amount to \$19 million, with approximately \$5 million representing accounts in foreclosure. The over 60-day and in-foreclosure historic rates are shown in *Exhibit 4*. MaineHousing's overall delinquency rate by loan dollars is 1.98%; and the overall delinquency rate by loan count is 2.26%. As reflected in *Exhibit 5*, the overall delinquency rate by loan count is below the delinquency rate for all Maine Loans.

Servicer Delinquencies – As of April 2023, Bank of America (BOA) had the highest overall delinquency rate of 12.09%, with an in-foreclosure rate of 3.40%. BOA no longer originates loans for MaineHousing and they're servicing an old portfolio of loans. The average age of the loans in their portfolio is 16 years. There have been no new loans added to this portfolio since 2011 and the high delinquency rate is attributed mainly the decreasing portfolio balance and its small size.

Bank of America's portfolio consists of 100 loans totaling \$5.7 million. There was one 60-day delinquent account reported during the month of April. The 90+day delinquencies consisted of eleven loans in the amount of \$613,000; of which three loans in the amount of \$195,000 are in-foreclosure; two loans in the amount of \$97,000 are in an active COVID-19 forbearance, and five loans in the amount of \$195,000 have right to cure notices issued. BOA has not consistently issued right to cure notices in a timely manner, which has contributed to their high delinquent rates.

Delinquencies for our largest servicer, Mortgage Servicing Solutions, increased from 2.32% to 2.35%, while the in-foreclosure rate decreased from 0.65% to 0.59%. Bangor Savings Bank QS portfolio had a rate of 0.00%, which was the lowest rate for the month. Delinquency rates for each servicer are shown in *Exhibit 3*.

Delinquencies by Insurance Type – In April 2023, FHA insured loans had the highest delinquency rate by total insurance type of 2.80%, with in-foreclosures at 0.61%. When compared to the total loan portfolio, RD insured loans had the highest delinquency rate of 1.17%, with in-foreclosures at 0.37%. Delinquencies by insurance type and the portfolio as a whole are shown in *Exhibit 6*.

FHA insured loans comprise 17% of the Single-Family portfolio and 24% of delinquencies, while RD insured loans comprise 57% of the portfolio and represent 59% of all delinquent loans. The current composition of the Single-Family portfolio by insurance type, along with the percentage of delinquencies by insurance type, is shown in *Exhibit 7*.

Foreclosure Prevention Activities – *Exhibit 8* summarizes our foreclosure prevention activities, as well as the number of completed foreclosures. As of the end of month April 2023, we have assisted 319 borrowers with various foreclosure prevention options. There were three HAF reinstatements this year and eleven HAF reinstatements are currently pending completion.

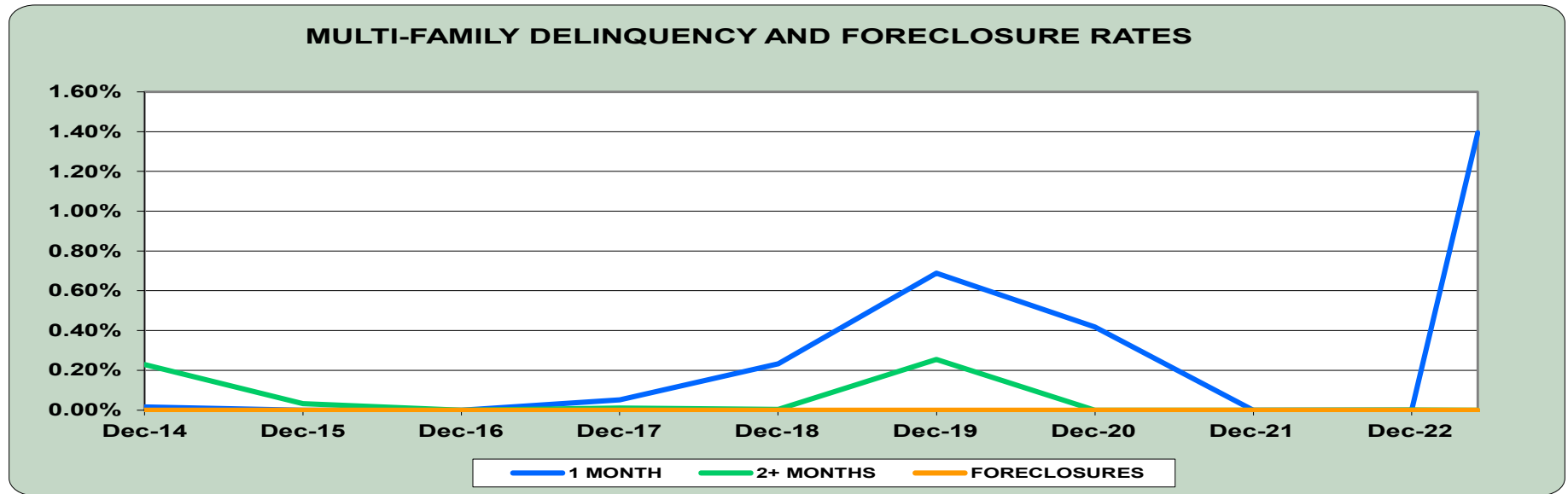
Multi-Family Delinquent Loans

MAINE STATE HOUSING AUTHORITY MULTI-FAMILY DELINQUENCIES 5/31/2023									
Section 8						ORIGINATION	DELINQUENT		
BORROWER	LEVEL PMT	PTD	LOCATION	PROJECT OWNER	DATE	1 MONTH	2 MONTHS	3+ MONTHS	
NONE						0.00	0.00	0.00	
						0.00	0.00	0.00	
Rental Housing						ORIGINATION	DELINQUENT		
BORROWER	LEVEL PMT	PTD	LOCATION	PROJECT OWNER	DATE	1 MONTH	2 MONTHS	3+ MONTHS	
PHOENIX FLATS *	24,713.89	05/15/23	PORTLAND	MIDDLE STREET HOUSING PARTNER	09/29/21	8,200,000.00	0.00	0.00	
PHOENIX FLATS *	3,937.50	05/15/23	PORTLAND	MIDDLE STREET HOUSING PARTNER	09/29/21	1,350,000.00	0.00	0.00	
PHOENIX FLATS *	4,727.81	05/15/23	PORTLAND	MIDDLE STREET HOUSING PARTNER	09/29/21	2,168,833.00	0.00	0.00	
						11,718,833.00	0.00	0.00	
Supportive Housing & Other						ORIGINATION	DELINQUENT		
BORROWER	LEVEL PMT	PTD	LOCATION	PROJECT OWNER	DATE	1 MONTH	2 MONTHS	3+ MONTHS	
MOUSAM ST, 5*	761.20	05/01/23	SANFORD	YORK COUNTY SHELTER PROGRAM	02/20/92	0.00	0.00	760.00	
						0.00	0.00	760.00	
Grand Total						11,718,833.00	0.00	760.00	
% of Portfolio Delq 60+ days Total 0.00%									
Number of Loans 1,279									

*Past maturity date. There are pending loan modifications to extend.



Multi-Family Delinquency & Foreclosure Trends



	OUTSTANDING		1 MONTH		2+ MONTHS		FORECLOSURES	
	PRINCIPAL	DOLLARS	DOLLARS	RATE	DOLLARS	RATE	DOLLARS	RATE
May-23	\$ 840,471,626	\$ 11,718,833	\$ 760	1.39%	\$ 760	0.00%	\$ -	0.00%
Dec-22	\$ 796,448,381	\$ -	\$ -	0.00%	\$ 4,553	0.00%	\$ -	0.00%
Dec-21	\$ 696,004,882	\$ -	\$ -	0.00%	\$ -	0.00%	\$ -	0.00%
Dec-20	\$ 666,678,177	\$ 2,791,073	\$ -	0.42%	\$ -	0.00%	\$ -	0.00%
Dec-19	\$ 635,961,774	\$ 4,379,009	\$ 1,620,600	0.69%	\$ 1,620,600	0.25%	\$ -	0.00%
Dec-18	\$ 630,936,475	\$ 1,473,376	\$ 20,600	0.23%	\$ 20,600	0.00%	\$ -	0.00%
Dec-17	\$ 608,939,257	\$ 319,836	\$ 60,624	0.05%	\$ 60,624	0.01%	\$ -	0.00%
Dec-16	\$ 579,916,852	\$ -	\$ -	0.00%	\$ -	0.00%	\$ -	0.00%
Dec-15	\$ 573,932,384	\$ -	\$ 185,320	0.00%	\$ 185,320	0.03%	\$ -	0.00%
Dec-14	\$ 513,937,525	\$ 77,568	\$ 1,169,620	0.02%	\$ 1,169,620	0.23%	\$ -	0.00%



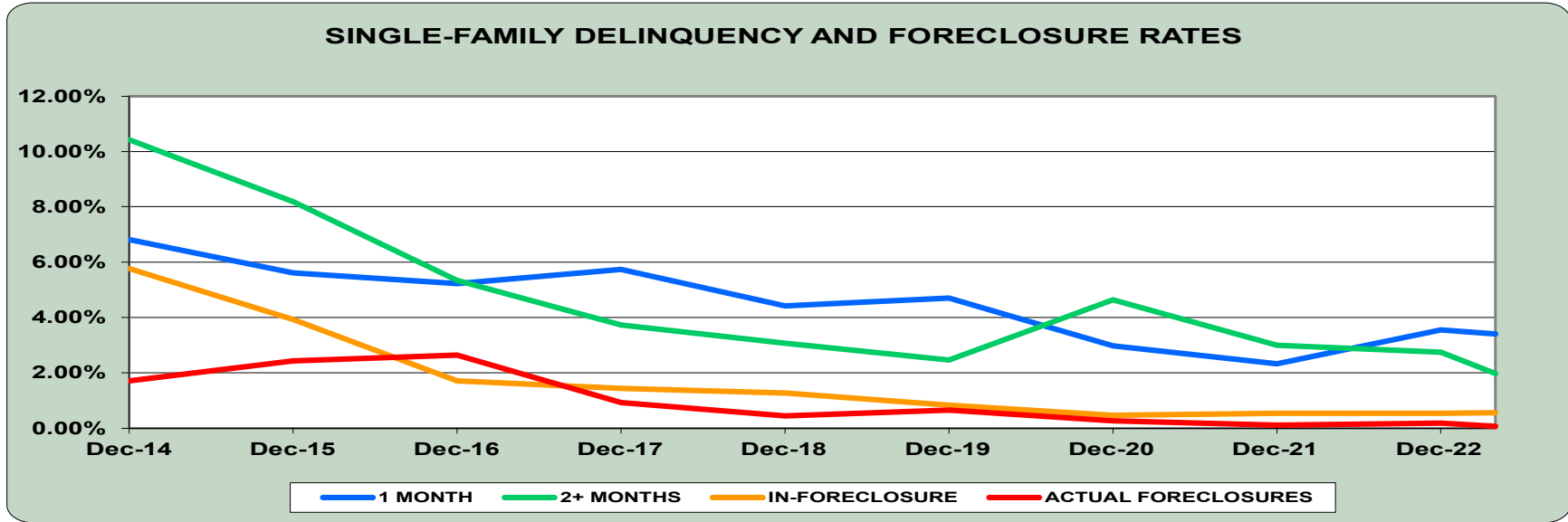
Single-Family Delinquent Loans

**Maine State Housing Authority
Single-Family Delinquencies by Servicer
4/30/2023**

SERVICER	% OF PORTFOLIO	% of Portfolio Delq 60 + days	OUTSTANDING PRINCIPAL	----- 1 MONTH	DELINQUENT 2 MONTHS	----- 3+ MONTHS	IN- FORECLOSURE
MORTGAGE SERVICING SOLUTIONS	66.82%	2.35%	653,905,060.61	25,933,646.04	4,604,298.33	6,894,769.25	3,849,470.23
BANGOR SAVINGS BANK	12.08%	0.64%	118,174,851.58	2,488,878.53	282,099.39	315,787.23	157,805.67
CAMDEN NATIONAL BANK UK	8.30%	0.99%	81,236,125.91	2,294,563.26	354,848.21	43,552.21	408,684.75
MACHIAS SAVINGS BANK	6.98%	2.52%	68,284,080.59	1,755,250.80	389,959.10	533,398.28	798,909.70
BANGOR SAVINGS BANK QS	5.21%	0.00%	50,959,045.70	448,704.84	0.00	0.00	0.00
BANK OF AMERICA NA	0.59%	12.09%	5,725,149.22	306,323.40	78,473.03	418,902.86	194,582.05
SALEM FIVE MORTGAGE CORP	0.04%	3.90%	368,446.18	34,955.59	0.00	0.00	14373.60
TOTAL	100.00%	1.98%	978,652,759.79	33,262,322.46	5,709,678.06	8,206,409.83	5,423,826.00



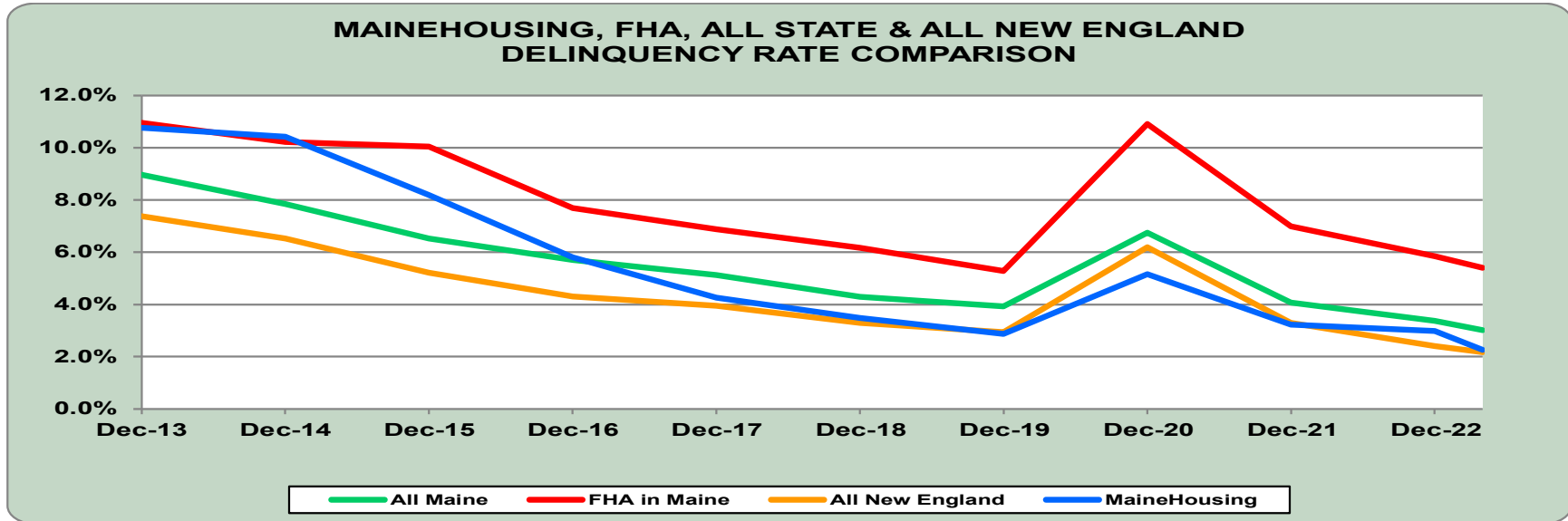
Single-Family Delinquency & Foreclosure Trends



	OUTSTANDING		1 MONTH		2+ MONTHS		IN-FORECLOSURE		ACTUAL FORECLOSURES	
	PRINCIPAL	DOLLARS	RATE	DOLLARS	RATE	DOLLARS	RATE	DOLLARS	RATE	
Apr-23	\$ 978,652,760	\$ 33,262,322	3.40%	\$ 19,339,914	1.98%	\$ 5,423,826	0.55%	\$ 623,127	0.06%	
Dec-22	\$ 958,984,521	\$ 33,996,366	3.55%	\$ 26,378,301	2.75%	\$ 5,183,906	0.54%	\$ 1,733,447	0.18%	
Dec-21	\$ 887,303,920	\$ 20,685,547	2.33%	\$ 26,645,647	3.00%	\$ 4,806,968	0.54%	\$ 941,490	0.11%	
Dec-20	\$ 960,761,414	\$ 28,645,024	2.98%	\$ 44,603,599	4.64%	\$ 4,471,656	0.47%	\$ 2,617,001	0.27%	
Dec-19	\$ 967,171,381	\$ 45,399,415	4.69%	\$ 23,774,547	2.46%	\$ 8,037,512	0.83%	\$ 6,357,994	0.66%	
Dec-18	\$ 916,608,577	\$ 40,526,473	4.42%	\$ 28,155,105	3.07%	\$ 11,647,401	1.27%	\$ 4,056,247	0.44%	
Dec-17	\$ 844,497,676	\$ 48,457,930	5.74%	\$ 31,454,643	3.72%	\$ 12,099,518	1.43%	\$ 7,847,858	0.93%	
Dec-16	\$ 799,557,471	\$ 41,780,468	5.23%	\$ 42,682,410	5.34%	\$ 13,625,991	1.70%	\$ 21,142,137	2.64%	
Dec-15	\$ 790,409,905	\$ 44,303,365	5.61%	\$ 64,656,769	8.18%	\$ 31,066,182	3.93%	\$ 20,797,314	2.43%	
Dec-14	\$ 810,139,060	\$ 55,171,703	6.81%	\$ 84,385,397	10.42%	\$ 46,711,687	5.77%	\$ 13,904,155	1.72%	



Single-Family Delinquency Comparison Trends



MAINEHOUSING LOAN COUNT COMPARISON

	<u>Loan Count</u>	<u>2 Months</u>	<u>3+ Months</u>	<u>In-Foreclosure</u>	<u>Totals</u>
All State*	121,476	0.43%	1.37%	1.22%	3.02%
FHA for State*	16,563	1.01%	2.68%	1.71%	5.40%
All New England*	1,714,308	0.48%	1.08%	0.61%	2.17%
MaineHousing**	9,777	0.66%	0.91%	0.69%	2.26%

*This information is obtained from MBA's National Delinquency Survey for the first quarter of 2023.
 **MaineHousing's overall delinquency rate based on loan dollars is 1.98%, whereas rates in this exhibit are based on loan count.



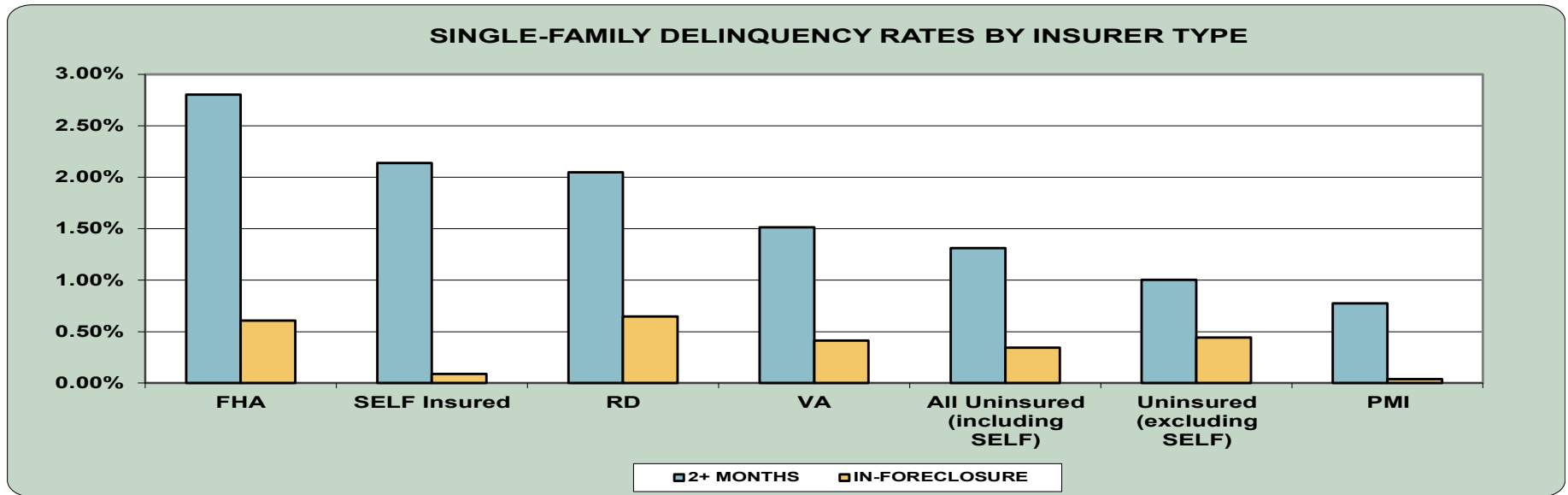
Single-Family Delinquencies by Mortgage Insurer

As A Percent of Total Insurance Type
4/30/2023

TYPE	2+ MONTHS	IN-FORECLOSURE
FHA	2.80%	0.61%
SELF Insured	2.14%	0.09%
RD	2.05%	0.65%
VA	1.51%	0.41%
All Uninsured (including SELF)	1.31%	0.35%
Uninsured (excluding SELF)	1.00%	0.44%
PMI	0.77%	0.04%

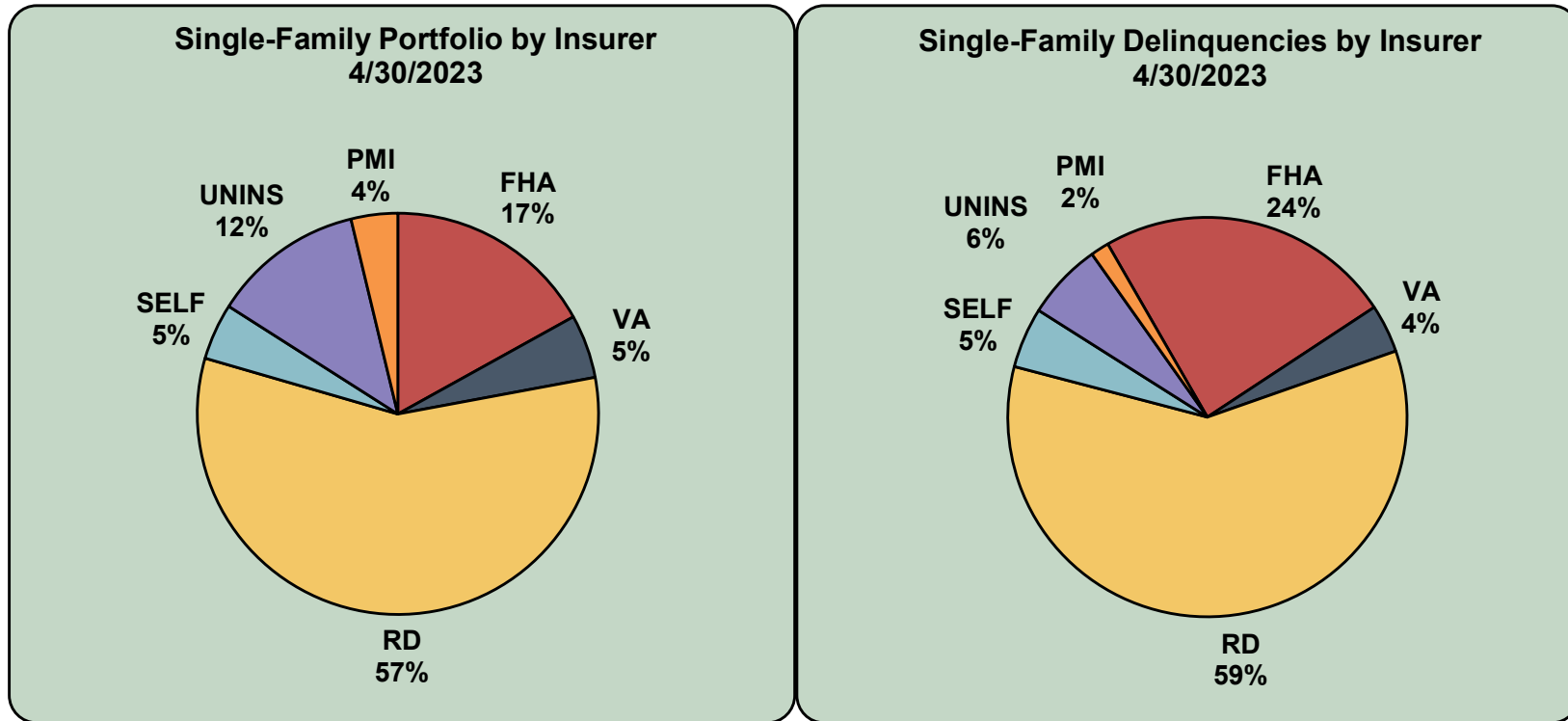
As A Percent of Total Loan Portfolio
4/30/2023

TYPE	2+ MONTHS	IN-FORECLOSURE
RD	1.17%	0.37%
FHA	0.48%	0.10%
All Uninsured (including SELF)	0.22%	0.06%
Uninsured (excluding SELF)	0.12%	0.05%
SELF Insured	0.10%	0.00%
VA	0.08%	0.02%
PMI	0.03%	0.00%

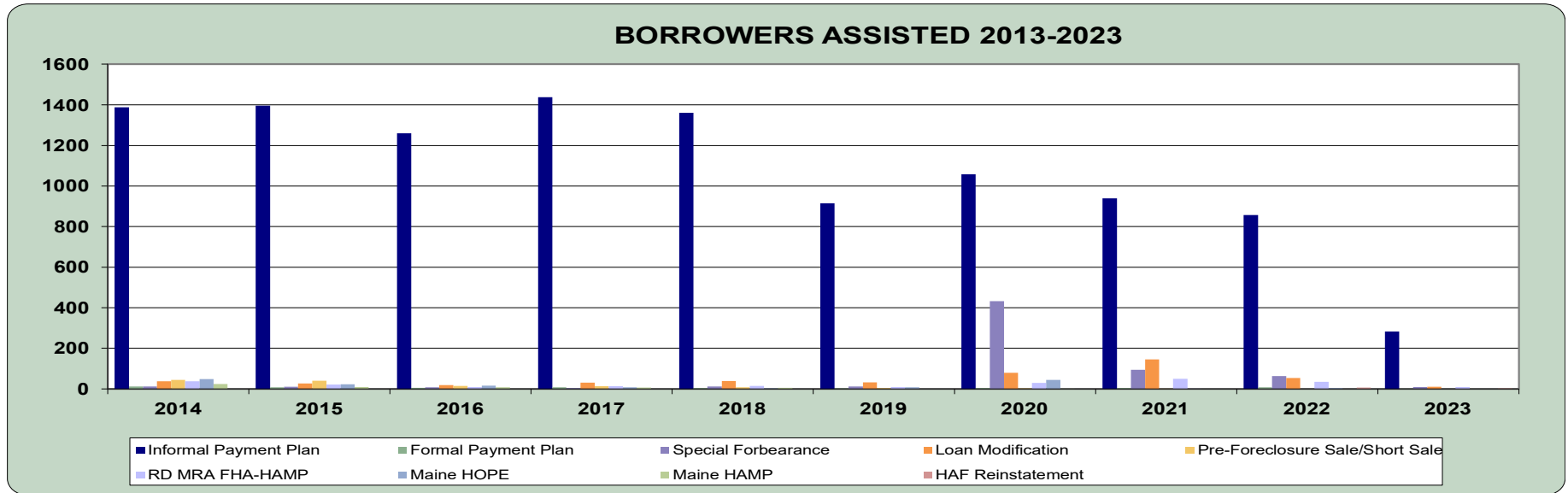


Single-Family Delinquencies by Mortgage Insurer

The following charts show the composition of MaineHousing loans by mortgage insurer. Self insured loans are mainly mobile homes. Uninsured loans are those not needing mortgage insurance (i.e. for loans under 80% property value). The following charts are in dollar amounts.



Single-Family Foreclosure Prevention Activities



Number of Borrowers Approved for Assistance

	Informal Payment Plan	Formal Payment Plan	Special Forbearance	Loan Modification	Pre-Foreclosure Sale/Short Sale	RD MRA FHA-HAMP	Maine HOPE	Maine HAMP	HAF Reinstatement	Total Workouts
Apr-23	283	2	10	11	0	10	0	0	3	319
Dec-22	857	8	63	54	0	35	4	0	7	1028
Dec-21	939	5	94	146	2	50	2	0	0	1238
Dec-20	1058	5	432	79	3	29	44	2	0	1652
Dec-19	914	3	12	32	4	10	8	0	0	983
Dec-18	1361	4	12	39	8	15	3	6	0	1448
Dec-17	1437	8	4	31	14	14	8	7	0	1523
Dec-16	1259	6	8	19	15	10	16	9	0	1342
Dec-15	1397	8	11	26	40	21	22	10	0	1535
Dec-14	1388	12	13	38	44	38	48	24	0	1605

Actual Foreclosures

	Number of Foreclosures	Number of Loans in Portfolio	Percentage of Portfolio
Apr-23	8	9,777	0.08%
Dec-22	21	9,739	0.22%
Dec-21	14	9,750	0.14%
Dec-20	38	10,668	0.36%
Dec-19	86	10,904	0.79%
Dec-18	57	10,673	0.53%
Dec-17	97	10,332	0.94%
Dec-16	258	10,097	2.56%
Dec-15	233	10,258	2.27%
Dec-14	162	10,526	1.54%



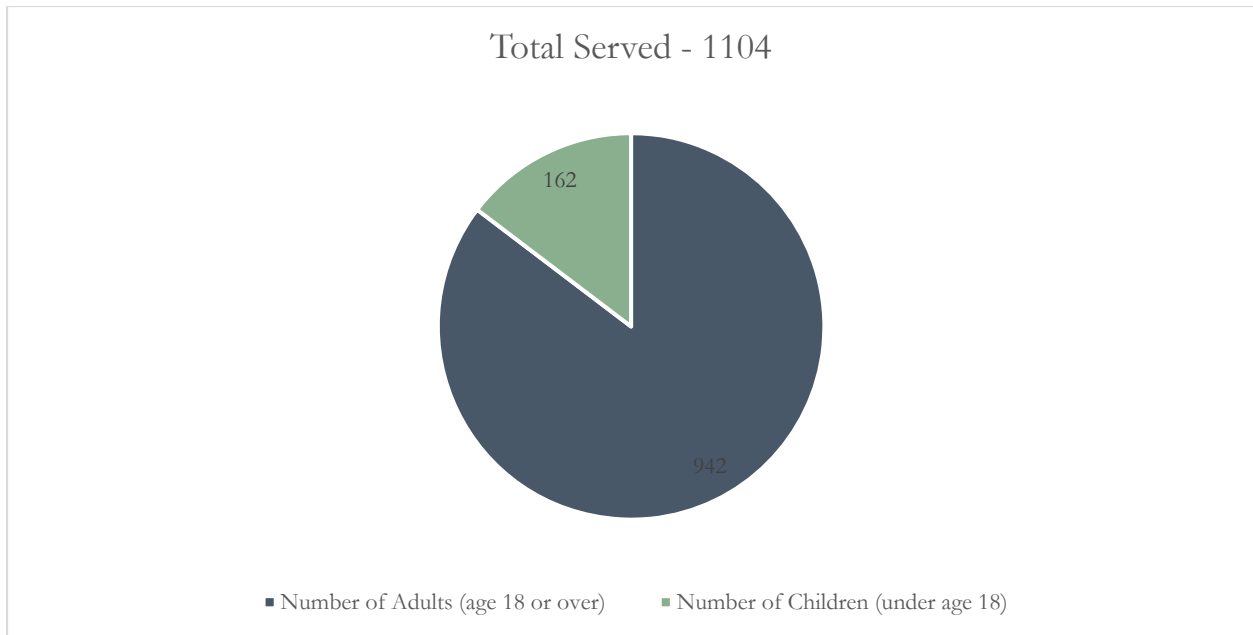
Homeless Initiatives Department Memorandum

To: Board of Commissioners
From: Lauren Bustard, Senior Director of Homeless Initiatives
Date: June 13, 2023
Subject: Homeless Initiatives Report

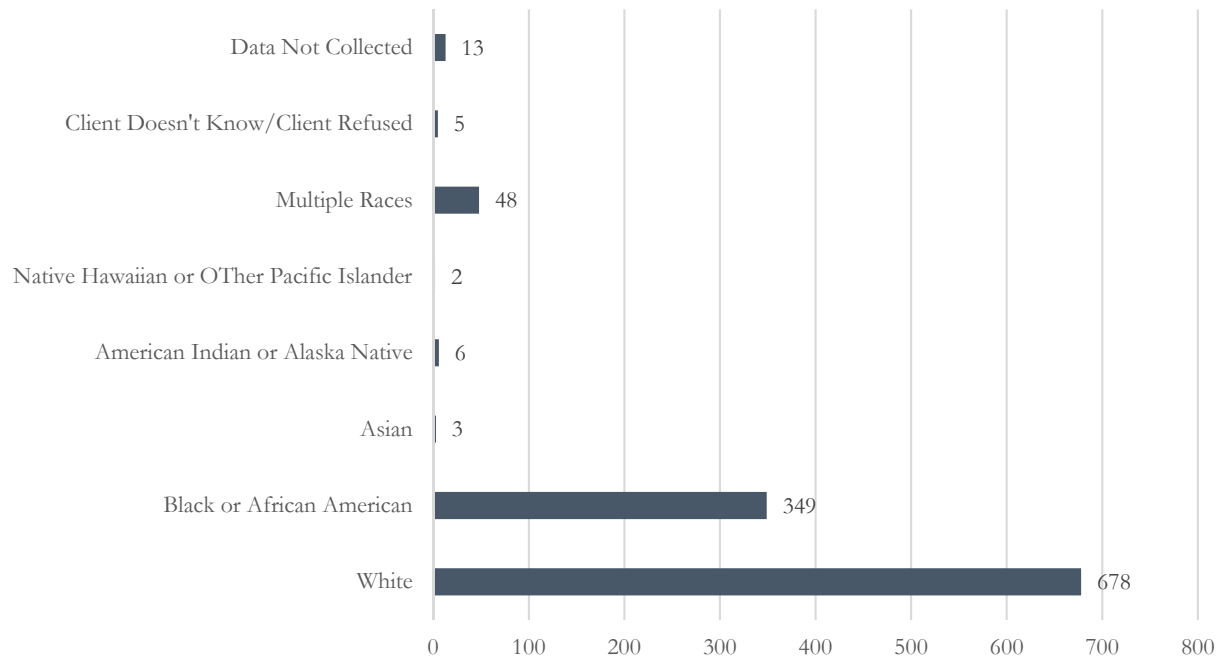
Homeless Data – May 2023

The following are the monthly statistics for May:

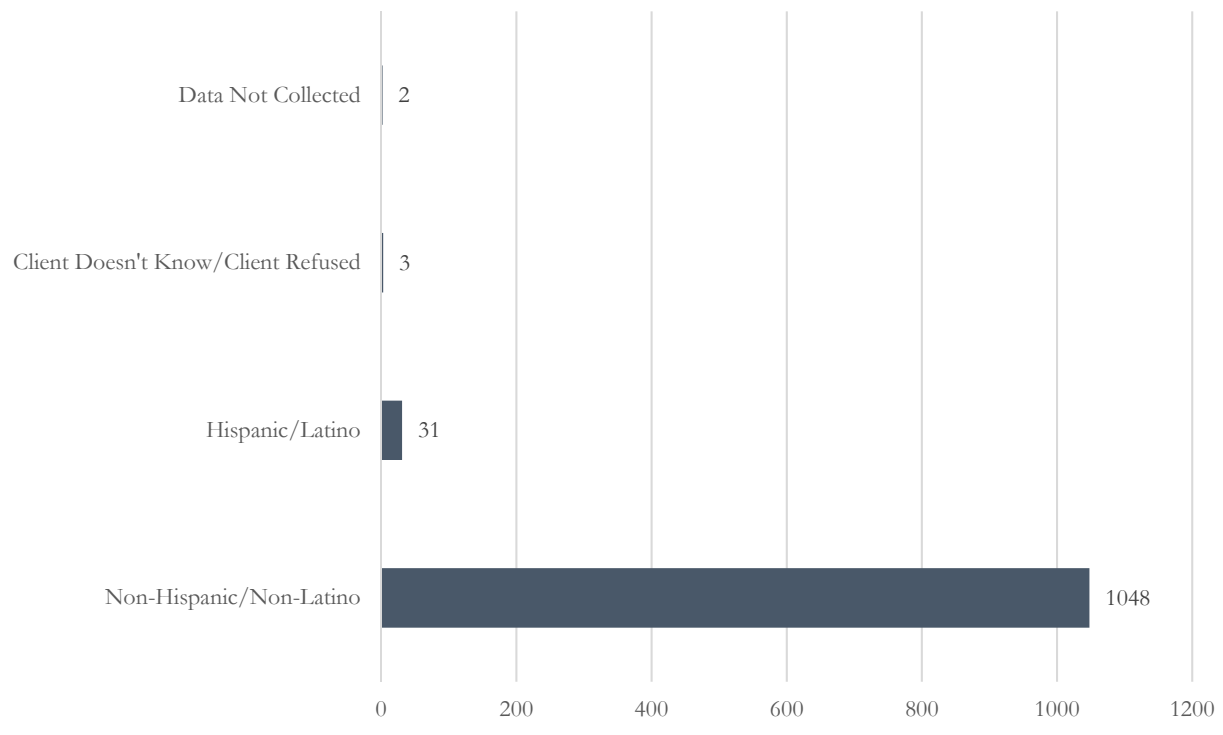
1. Total number of people served (1104) remained fairly stable, only decreasing by 32 individuals. We have seen the number of unsheltered individuals continue to increase in many areas of the state. As the weather warms some individuals will choose an encampment over a shelter environment. This number also does not include many of the Asylum Seekers in Portland as well as many served in hotels through GA and ERA.
2. Racial equity – the percentage of people of color served also remained fairly stable, with a slight increase - from 36.6% in April to 37.6% in May. The number for those who identify as Hispanic/Latino decreased by 2 to 31 individuals.
3. The number of Exits to Permanent Housing last month increased by 13% to 76, an encouraging sign, while the number of people exiting to institutions also increased - from 5 to 15 individuals.



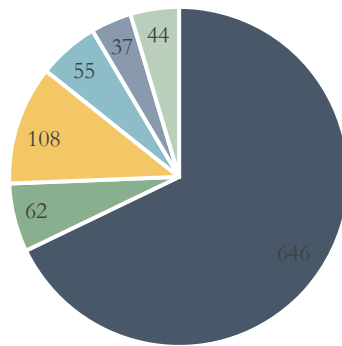
Number of People Served by Race



Number People Served by Ethnicity

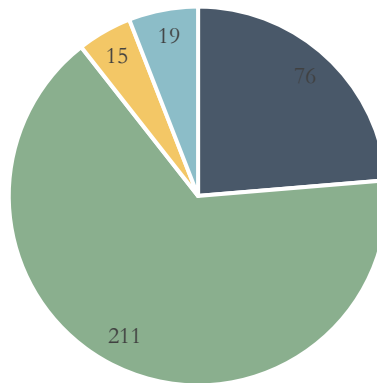


Residence of Clients Prior to Entry



- Homeless Situations
- Institutional Settings
- Staying or living in a friend's room, apartment or house
- Staying or living in a family member's room, apartment or house
- Hotel or motel paid for without ES voucher
- Other Locations

Residence of Clients after Entry



- Permanent Destinations
- Temporary Destinations
- Institutional Settings
- Other Destinations

LD 3 Funding

MaineHousing is in the final allocation phase for the remainder of the LD 3 funds that were targeted at longer term solutions to addressing homelessness. By June 30th we will have a final list of all projects funded through this legislation. The projects will build capacity around the state in shelter beds, permanent supportive housing and services.

Service Hub Implementation – Built for Zero Initiative

With a new hire coming onboard in Hub 9 (Aroostook) we are once again fully staffed. Hub coordinators are working with MaineHousing and Community Solutions on best practices in Coordinated Entry case conferencing and achieving data quality, as well as learning more about System Improvement practices. Most of the hub coordinators completed a great facilitation training with an organization called Strive Together through a partnership with Community Solutions. They are putting their new skills to work immediately in the partner meetings they coordinate.

Coordinated Entry (CES) has officially kicked off in 5 of the 9 hubs. Hub coordinators are facilitating case conferencing meetings with direct service providers to determine how to best match participants to the limited housing resources that are available in the Maine Continuum of Care (MCOC). The remaining hubs are preparing to pilot CES later this summer so we will finally have a statewide system that provides everyone entering the system with equal access to assessment and resources.

Hub 2 (Cumberland) is working with HUD Technical Assistance on the encampments in Portland, and getting folks connected to CES. They are also collectively working to help find places for individuals and families seeking asylum and currently housed at the Portland Expo. MaineHousing has committed to collaborate with the Encampment Team to work closely on data collection and analysis and to identify resources and funding opportunities.

The State Strategy Team will wrap up their work with Community Solutions at the end of June and oversight of hub implementation and progress towards goals to reduce homelessness will transfer to the Statewide Homeless Council.

Homeless Solutions Rule

When MaineHousing revised the Homeless Solutions Rule last year, we reported that we would check on the effectiveness of the new Emergency Shelter and Housing Assistance Program (ESHAP) funding formula this year. We sent out a survey to ESHAP providers and heard back overwhelmingly that the new way of establishing and disbursing the stabilization share of the funding has been a positive change. In light of this and the fact that we don't yet have enough information on the effectiveness of the change to the incentive share of the funding, we have decided not to make changes to the rule this year, but to check again next year for possible revisions.

Homeownership Department Memorandum

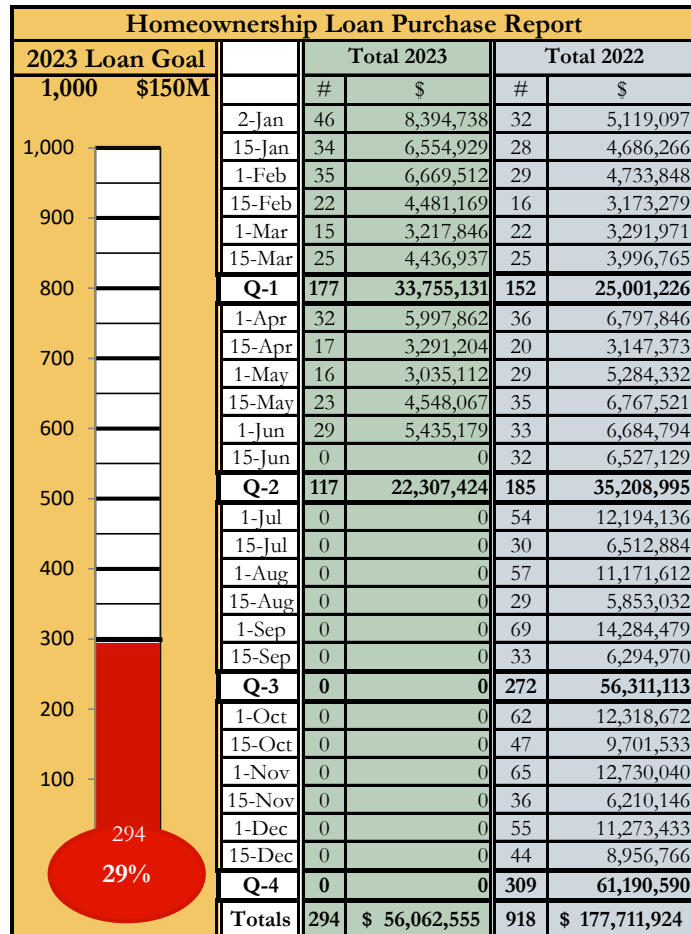
To: MaineHousing Board of Commissioners

From: Craig Reynolds, Director of Homeownership

Date: June 13, 2023

Subject: Monthly Report – Homeownership Department

PRODUCTION UPDATE



Monthly Loan Reservations: 06/01/23	
#	\$ Volume
81	\$ 16,005,422

Loan Pipeline as of: 06/01/23	
#	\$ Volume
213	\$ 41,530,420

Loan Reservation Comparison					
May 2022		May 2023		2022 vs 2023	
#	\$ Volume	#	\$ Volume	#	\$ Volume
331	\$66,033,426	213	\$ 41,530,420	-36%	-37%

PROGRAM HIGHLIGHTS

Loan Production & Market Status

Approaching the end of Q2 we find loan purchases will be very close to the totals for the same point in time in 2022. However, the volume of new loan reservations is running significantly behind that of last year as shown in the production update chart above. Higher mortgage interest rates can be pointed to as a contributing factor, along with the continuing problem of price inflation involving consumer goods and services which is impacting household budgets and consumer confidence. However, the greatest impediment to more robust real estate market activity remains a shortage in the for-sale inventory of single family homes. Home buyer demand remains strong, but the inability to find a suitable home continues to frustrate buyers and is also causing would be sellers to stay in their homes. Sellers who do put their homes on the market can still expect to receive the higher prices established over the past few years due to the intense competition among buyers that the inventory shortage has created.

Mortgage interest rates generally remain in the mid to upper 6% range, but many lenders are reporting a decline in the volume of loan applications and are also pointing to the inventory problem as the cause. MaineHousing's First Home Loan continues to hold at a very attractive below market fixed rate of 5.50% for its 30 year - 0 point loan, and offers a \$5,000 down payment and closing cost assistance option.

The following is an excerpt from the Maine Association of REALTORS® monthly press release in May regarding Maine's real estate market activity and related regional and national statistics provided by the National Association of REALTORS®.

FEWER HOMES FOR SALE LEADS TO A SALES DECREASE; PRICES UP 6.21 PERCENT IN APRIL

AUGUSTA (May 18, 2023)—Additional home supply is needed across Maine. Due to higher interest rates, some buyers are being priced out of the current market, and those who could “move up” are choosing to stay. According to Maine Listings, home sales decreased 30.53 percent in April 2023 compared to April 2022. Prices, however, increased 6.21 percent to a median sales price (MSP) of \$367,500. The MSP indicates that half of the homes were sold for more and half sold for less.

“The number of Maine homes available for sale in April increased nearly 10 percent from March. However, that number is significantly lower than pre-pandemic levels,” says Carmen McPhail, 2023 President of the Maine Association of Realtors and Associate Broker at family-owned United Country Lifestyle Properties of Maine with offices in Lincoln, Bangor and Lubec. “In April 2023, there were just under 2,300 homes on the market statewide compared to 7,100 in April 2019.”

“Buyers are actively searching, and many are not finding homes that are suitable for their needs and within their budgets due to increased mortgage rates and higher pricing.”

The National Association of Realtors' data indicated a national sales decline of 22.4 percent in April 2023 compared to last April. The MSP for a single-family home eased 2.1 percent to \$393,300. Regionally, April 2023 sales in the Northeast were down 23.9 percent in the past year, while the regional MSP increased 2.8 percent to \$422,700 compared to April 2022.

“The April numbers reflect the need for supply,” says McPhail. “Both additional ‘for sale’ inventory, and more new home construction, is needed in Maine to create a more balanced market.”

Realtor Partner Education

Mortgage Lending Team Leader, Lisa McKenna was the instructor of MaineHousing's Affordable Home Financing for ME class sponsored by Bangor Savings Bank and held at Bruno's Restaurant and Tavern in Portland. Irene Oldfield, VP & Mortgage Loan Officer at Bangor Savings Bank opened the class with welcoming remarks to the 44 Realtors and her fellow staff members from Bangor Savings in attendance. The class provides a detailed overview of our First Home Loan program features and options with the objective being to bring an awareness and basic understanding of its benefits and options that Realtors will convey to their first time buyer clients. Consumer Education Coordinator, Jessica Gurney assisted Lisa by presenting a segment regarding homebuyer education as part of the class. The class has been approved by the Maine Real Estate Commission for 3 credit hours of continuing education that real estate licensees can apply toward their license renewal requirement.



Lisa McKenna leads the class



Irene Oldfield welcomes attendees

First Generation Homebuyer Program Update

Homeownership is very pleased to report that since the launch of the program option in early April there have been 3 First Gen loans closed and purchased with 17 loans reserved in our pipeline as of June 1. Planning for widespread promotion of the program via a number of methods and outlets is nearly complete and will be launched throughout the month of June and beyond.

Maine Association of Realtors Convention Invitation

MaineHousing and the Homeownership department is honored to have been asked to participate in the Maine Association of Realtors (MAR) annual convention being held in early October 2023. MaineHousing will attend as one of many vendors exhibiting at the event as it traditionally has done for many years, and in addition this year we were invited to present a First Home Loan program summary as part of a 3 hour continuing education credit class for Realtors attending the convention. The class will also include presentations by representatives from RD, FHA, VA and by a real estate appraiser. We are very grateful to MAR for this opportunity and for their continued partnership and support of our program.

MAMP Presentation

Mortgage Lending Manager, Tina Partridge, and MaineHousing Legal Counsel, Jimmy Puckette, attended the Maine Association of Mortgage Professionals (MAMP) May breakfast meeting held in Freeport featuring Digital Counsel for eNotaryLog LLC, Tim Reiniger who spoke on the subject of Remote Online Notarization.

The State of Maine is expected to enact a new law, H.P. 1503, L.D. 2023, that would take effect on July 1, 2023 implementing use of Remote Online Notarization. According to the MAMP presentation, the State continues to work towards finalizing details for remote online notary usage in this state in time for the new law to go into effect in July. Maine currently allows use of Remote Ink Notarization (RIN). Remote Ink Notarization is when the notary watches remotely as people sign documents, and then the original documents are mailed to the notary for notarization. Remote online notarization (RON), is all remote and uses electronic signatures instead of wet signatures. The law will be reviewed once it is finalized to determine if this process can be used for MaineHousing programs.

Housing Choice Vouchers Department Memorandum

To: MaineHousing Board of Commissioners

From: Allison Gallagher - Director of HCV Programs

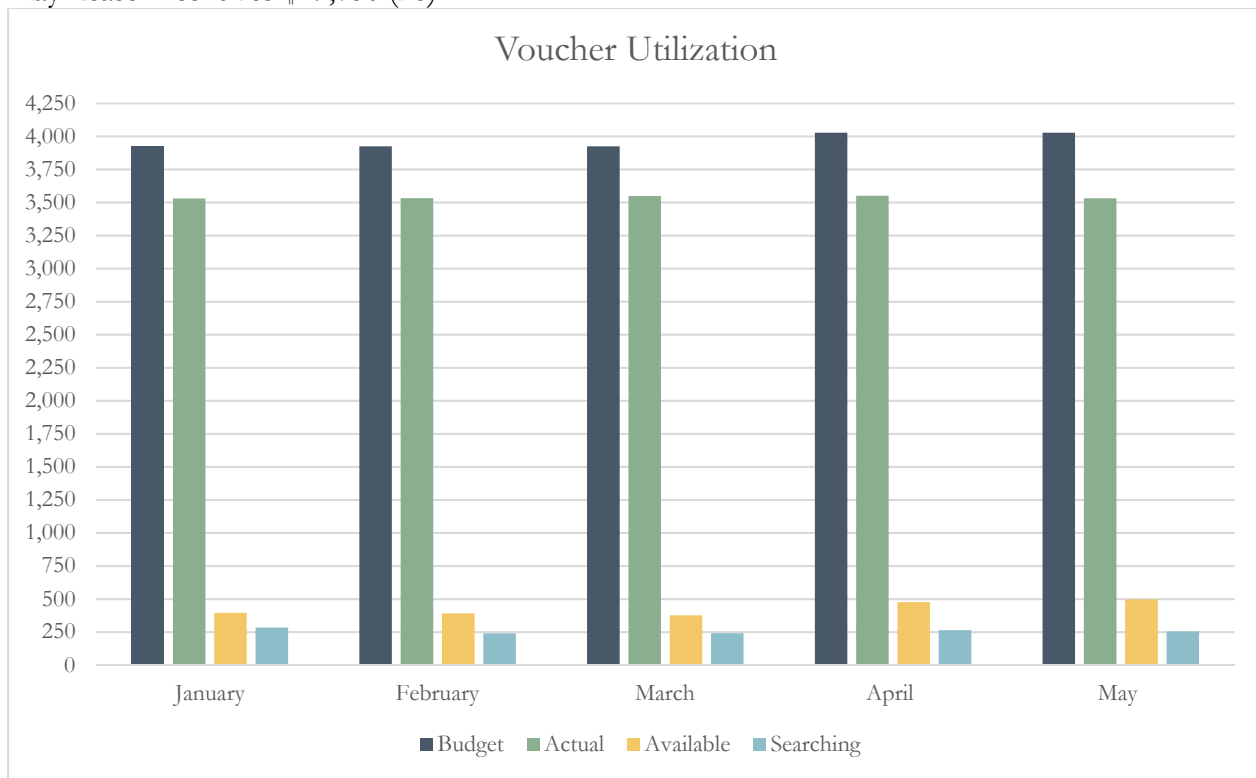
Date: June 20, 2023

Subject: Monthly Report – Housing Choice Voucher Program

Program Updates:

Over the next few months, we will be engaging the board and our partners in the process of completing the 2024 HCV Annual plan and preparing it for submission to HUD in October. The Annual plan provides a progress report on our program goals and priorities outlined in the HCV 5 Year plan (2020-2025).

May Lease Incentives-\$19,750 (26)

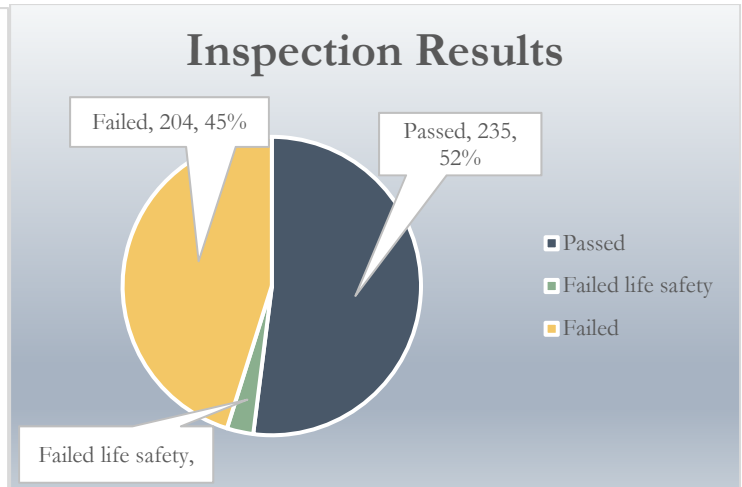
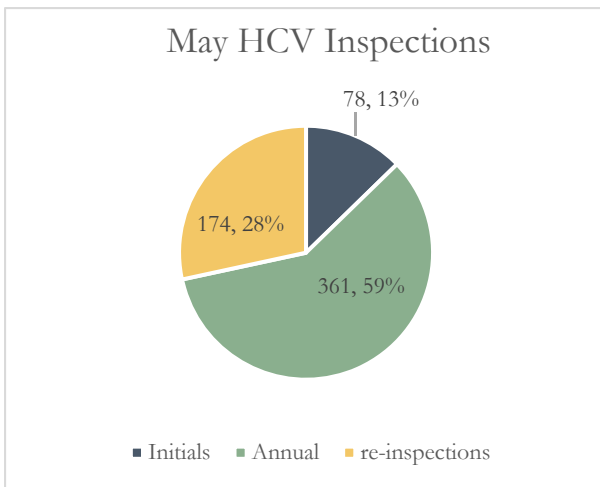


HCV (homeless initiatives)

	Leased	Searching
STEP	91	46
Home to Stay	193	87
Homeless Priority	291	59
EHV	59	17

Inspection Updates:

Landlord Repair Program: \$103,106/Damage Reimbursement Program: \$24,348



Emergency Rental Assistance:

Administrators of Maine’s ERA program are processing final payments on behalf of eligible ERA applicants staying in hotels through June 30, 2023. The program stopped accepting new applications effective September 29, 2022.

Human Resources and Facilities Department Memorandum

To: Board of Commissioners
From: Jane Whitley, Director of Human Resources & Facilities
Date: June 2023
Subject: Board Report

Human Resources – as of June 13



BEST PLACES TO WORK IN MAINE SURVEY

MaineHousing will be participating in the 2023 *Best Places to Work in Maine* program. The Employer Benefits & Policies Questionnaire portion of the survey is due June 16. The employee survey will be open from June 27 - July 18.

Fair Housing Training for Partners

MaineHousing is offering a free Understanding of Fair Housing training program. This program is on demand and self-paced. It is available through our online learning portal. To register for the training, please visit our website: <https://www.mainehousing.org/education/fair-housing-education>

Facilities Updates

✓ The patio repairs are complete!

Information Technology Department Memorandum

To: Board of Commissioners

From: Craig Given, Director of IT

Date: June 12, 2023

Subject: Monthly Report

Information Technology Updates:

- Completed quarterly anti Phishing-campaign providing experience and education in recognizing socially engineered attacks. Results of 5% of staff clicked through message and received feedback.
- Continued Proof of Concept (POC) testing of Microsoft365 environment including data migration and security requirements.
- Posted RFP and Question Responses for Printers, Copiers and Print Services for MaineHousing.
- Completed procurement for software systems, including data backup, off site disaster recovery, network maintenance, remote connectivity, network security and email archiving.
- Completed trainings in preparations for the launch of the development and asset management software to be launched in June.
- Reviewed RFP responses for software to support Heating and Weatherization programs.
- Began preparations for EHS new program year, implementing changes and data requirements support the EHS program staff.
- Applied security patches to critical systems to address identified vulnerabilities.
- Technology and application team members involved in software implementations, including grant management software, and development & asset management software.

Planning and Research Department Memorandum

To: Board of Commissioners

From: Jamie Johnson, Senior Director of Operations

Date: June 13, 2023

Subject: June 2023 Board Report

Planning and Research Department

The Communications and Planning Department has transitioned to the Planning and Research Department. The small but mighty team continues great work in the area of communications, website, advertising, and data analysis. We have received promising candidates for the Director of Planning and Research position and have begun the interview process. We are looking forward to enhancing the role of research and data-driven strategic planning at MaineHousing. The team continues to collaborate with Erik Jorgensen in his role as Senior Director of Government Relations and Communications.

We are extremely excited to have River Dufour join MaineHousing for an internship this summer. While MaineHousing does not offer a formal internship program, this year our need and his timing intersected, and when he approached us, we jumped.

River is from Portland. He's a graduate of Deering High School and a rising junior at Yale University. He will be working directly on a variety of projects with the Planning and Research team but has already immersed himself in learning, in a more general sense, about our agency and housing issues around the state and nation. He's helped with legislative work, sat in on loan committee and started other needed projects in marketing and communications. We are thrilled to have him until August, when he will be leaving Maine to spend an academic year in Mexico City.

Internal Communication Working Group

Dan has shared with staff that he will be focusing on how we can improve internal communication. As a first step, we have formed a working group that will develop an internal communication strategy by linking communications to the strategic goals, including the organization's mission and vision. I will be leading this team and it includes the following members: Amanda Ouellette, Amanda Roy, CJ Terp, Craig Given, Daniel Drost, Erik Jorgensen, Hannah Trickett, Jane Whitley, Jimmy Puckette, Scott Thistle, Sharon Sliva and Tina Partridge.

Website

Attached are the website statistics showing the highest hits for the month of May since 2008!
Around 20,000 or 35% of those hits were for the Homeowner Assistance Fund (HAF) Program.

Webmaster Amanda Ouellette reports that after HAF the traffic/visits in May were split between Rental and Homeownership. There will be a Homeownership advertising push starting in June and we anticipate seeing an increase in hits for both the First Home and First Gen Programs.

Media

Communications Director Scott Thistle reports that in the last month we have responded to nearly every media outlet in Maine including: WAGM, the Maine Wire, the Press Herald, the Sun Journal, the Bangor Daily News, Maine Public, and all of the southern Maine television stations.

In addition, we have responded to New England outlets, including Yankee Magazine who interviewed the Director of Development, Mark Wiesendanger, on the BioHome 3-D.

Date	Outlet	Topic	Reporter/Producer
05/01/23	Maine Public	Questions on Point In Time release	Robbie Feinberg
05/01/23	Wall Street Journal	Questions on Point In Time release	Jon Kamp
05/04/23	Sun Journal	Question on debt Affordable Housing Credit Improvement Act	Christopher Wheelock
05/04/23	Sun Journal	Questions on LD 3 remaining funds	Christopher Wheelock
05/08/23	Maine Public	MaineCalling on homelessness response	Jennifer Rooks
05/11/23	WCHS NewsCenter Maine	Governor's change package on housing	David Guildford
05/12/23	WMTW	Homelessness numbers from PIT	Talia Clarke
05/15/23	Wall Street Journal	Homelessness update/follow up questions	Jon Kamp
05/15/23	Times Record	Affordable housing developments in Brunswick	Jason Claffey
05/16/23	WGME/WPFO	Asylum seekers details on special housing	Mal Meyer
05/16/23	WAGM	Point In Time questions for Aroostook	Corey Bouchard
05/17/23	Maine Public	Affordable Rural Rental Program	Nicole Ogrysko
05/18/23	WGME 13	Point In Time numbers and graphic	Gina Hamilton
05/22/23	WGME	Blueberry Road in Portland shelter	Gina Hamilton
05/22/23	Swiss TV	BioHome3D	Viviane Manz
05/23/23	WCHS NewsCenter Maine	Questions on affordable housing Brunswick	Don Carrigan
05/24/23	Maine Public	Questions on Elm Street Towers Fire	Carol Bousquet
05/26/23	Portland Press Herald	Questions on Blueberry Road proposal	Rachel Ohm
05/31/23	WCSH NewsCenter Maine	Question on shelter grants for Farmington	Chloe Teboe
05/31/23	Amjambo Africa	Questions on housing safety for asylum seekers	Amy Harris

Data Spotlight

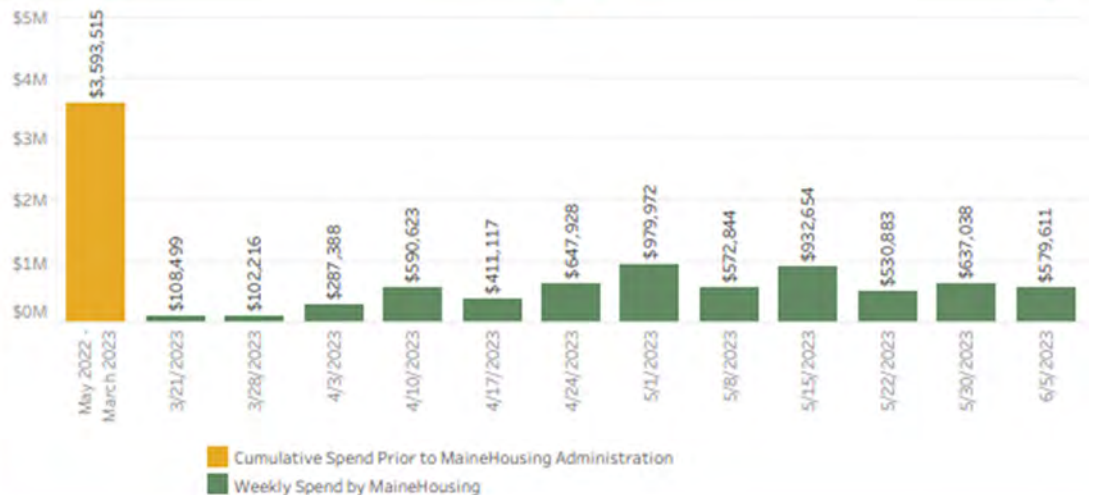
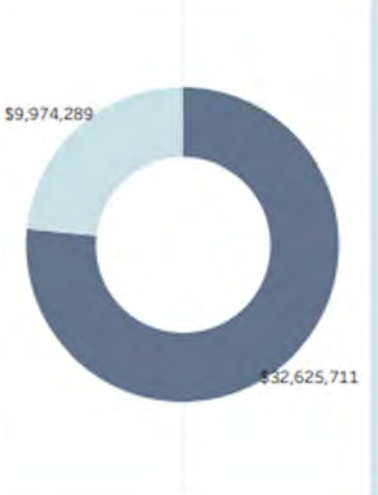
This month we would like to spotlight our Homeowner Assistance Fund Program data. Visit the [MaineHousing](#) website for more interactive dashboards displaying program data.

Maine Homeowner Assistance Fund

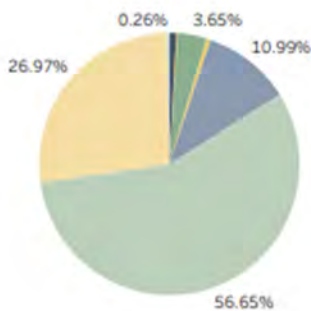
Summary by Year:

As of June 5, 2023

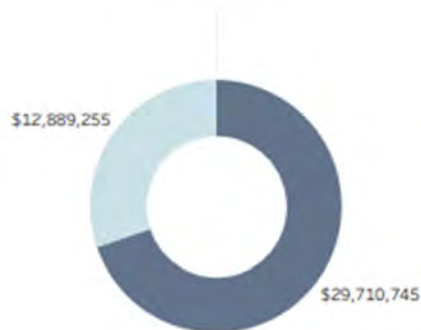
	Totals	2023
Funds Available:	\$42,600,000	
Funds Disbursed Prior to March 2023:	\$3,593,515	\$3,593,515
Funds Disbursed Since March 2023:	\$6,380,774	\$6,380,774
Total Funds Disbursed:	\$9,974,289	\$9,974,289
Utilization:	23.41%	
Funds Remaining:	\$32,625,711	



Funds Disbursed by Program



Funds Reserved
\$12,889,255 of \$42,600,000
30.26% Utilization



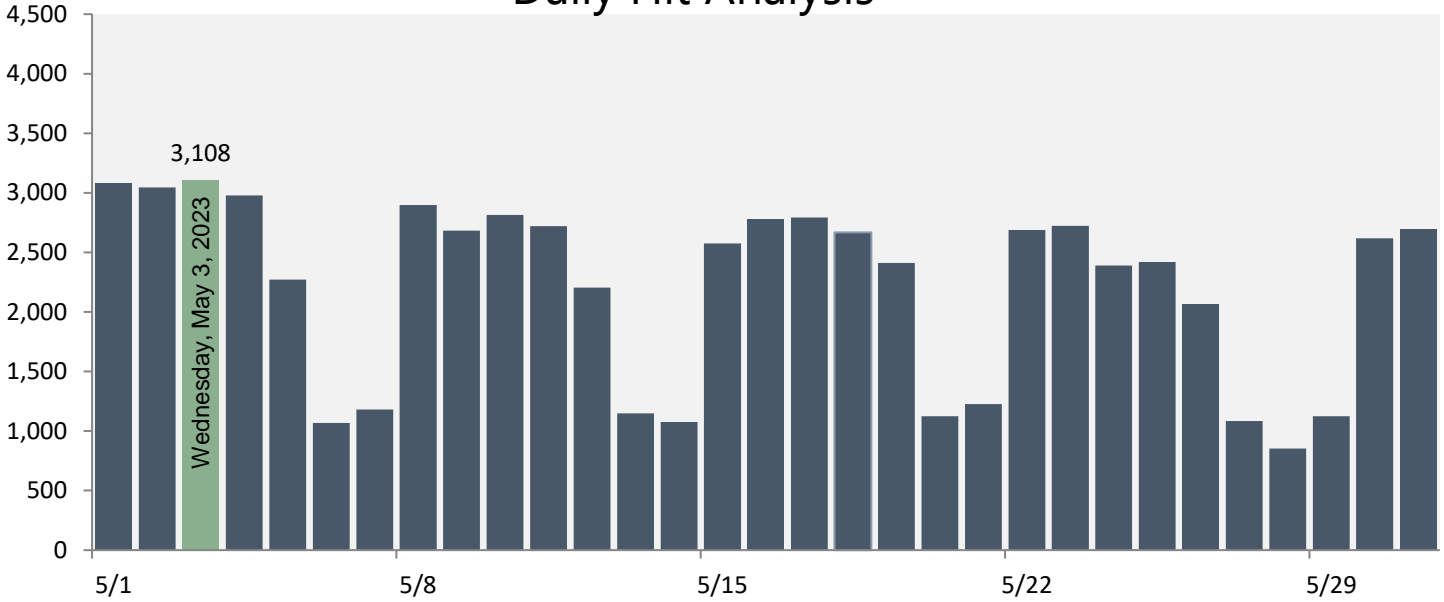
Applicants by County
Total: 6,189



May 2023 - MaineHousing Website Statistics

Hit Summary

Daily Hit Analysis

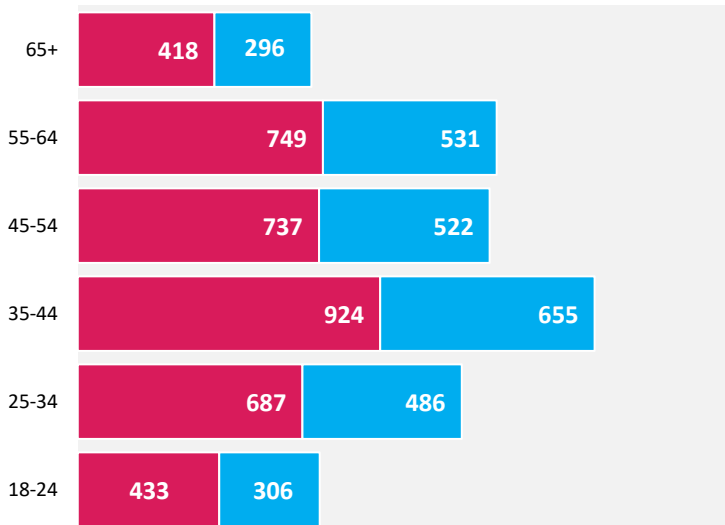


Hits	Unique Visitors	Page Loads	Avg Page Views	Avg Duration	Avg Engagement Rate
68,514	31,865	265,051	3.77	0:03:50	79.1%

Demographics Summary

Demographic information collected by Google Analytics via a 3rd party collection tool. Age and gender are estimated numbers based upon several features present on a users mobile device, browser history, and other factors. Users must have previously allow this information to be collected through browser or app settings.

AGE & GENDER



59%



41%

TOP CITIES

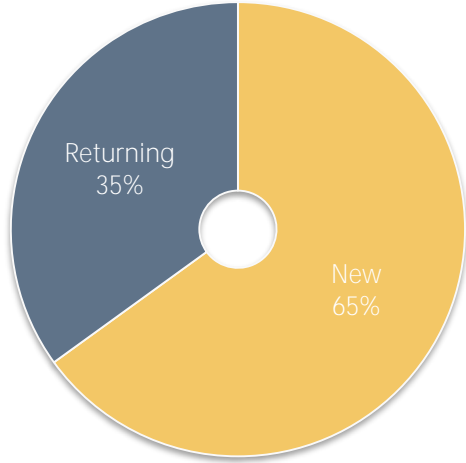
Boston, Massachusetts	4,592
New York, New York	3,396
Portland, Maine	3,108
Augusta, Maine	2,409
Lewiston, Maine	1,844
Bangor, Maine	1,736
Hallowell, Maine	1,545
Ashburn, Virginia	1,136
Waterville, Maine	1,036
South Portland, Maine	716

Top Cities account for 31.41% of all website traffic

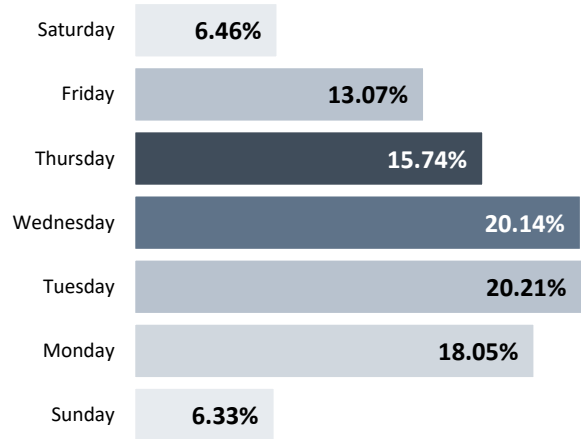
Visitor Engagement

Demographic information collected by Google Analytics via a 3rd party collection tool. Age and gender are estimated numbers based upon several features present on a users mobile device, browser history, and other factors.

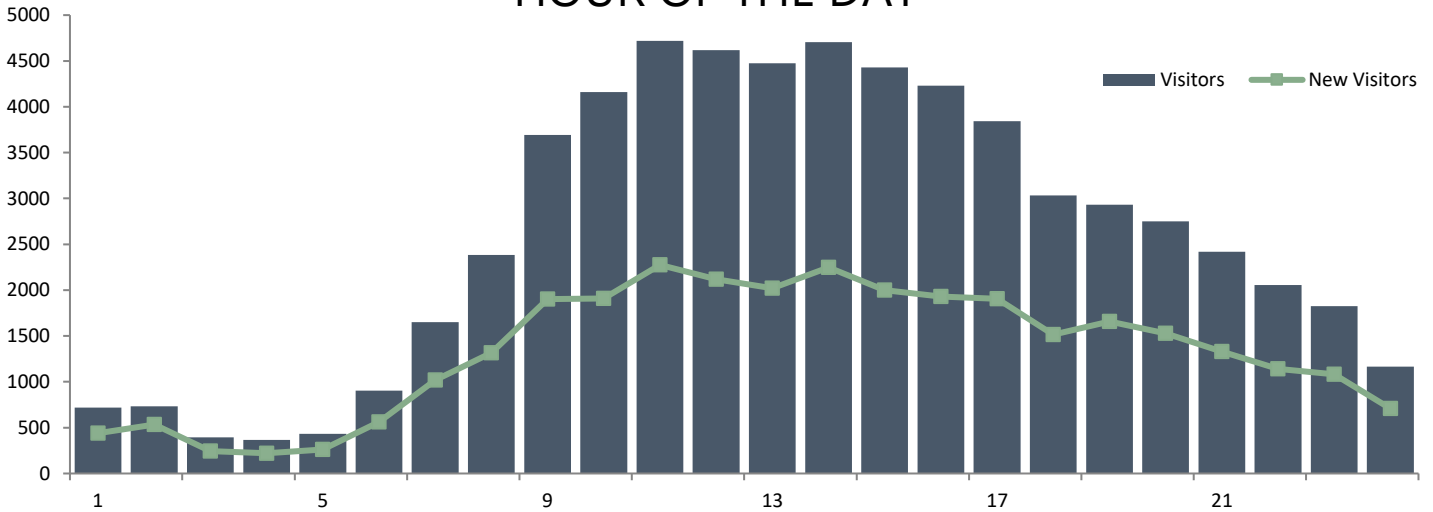
NEW & RETURNING VISITORS



DAYS OF THE WEEK

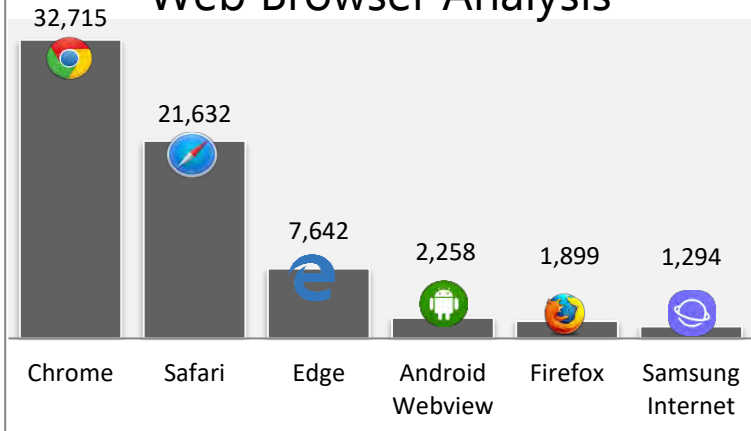


HOUR OF THE DAY

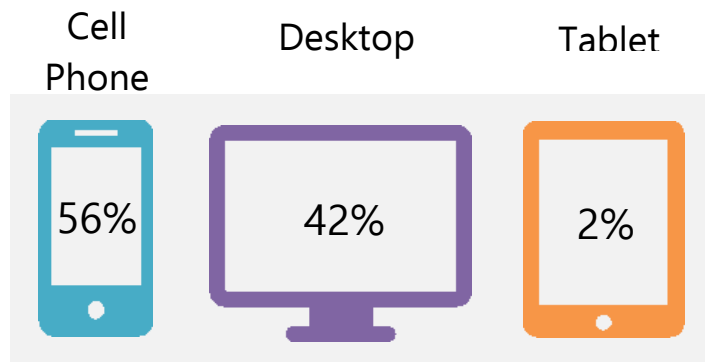


Visitor Technology Summary

Web Browser Analysis



DEVICE ANALYSIS

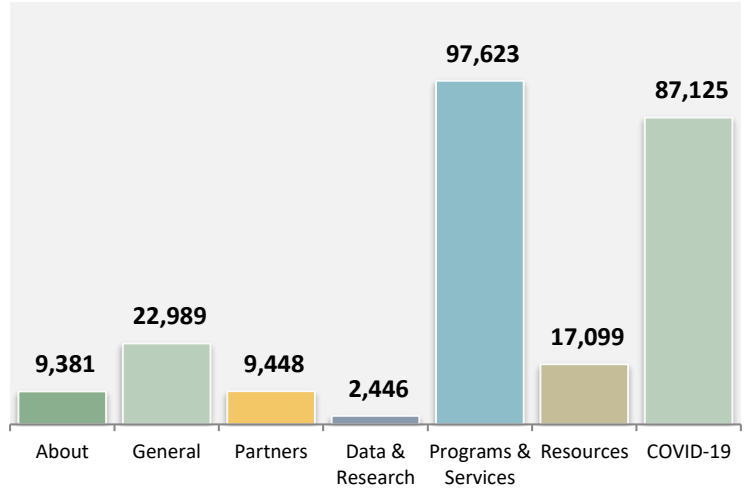


Popular Content

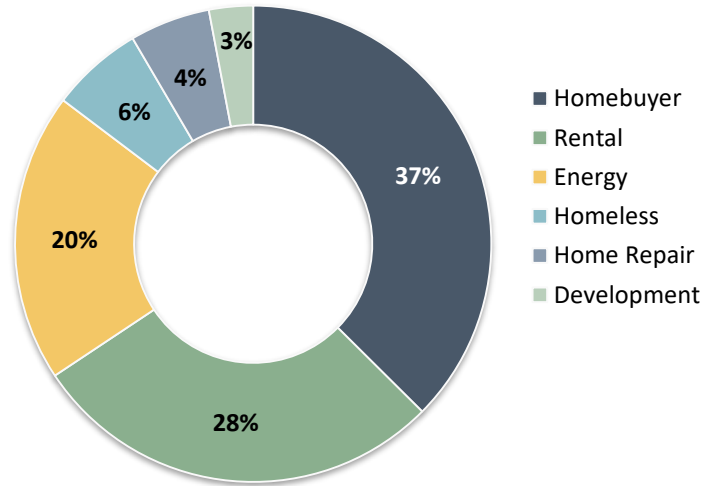
Popular content on our site is defined by pages and or sections of our site that have the highest visits. Below content has been categorized by page, program area and content sections. COVID-19 was added in March of 2020.

Page Title	Hits
Maine HAF Homepage	24,869
Home	21,477
Maine HAF Application	18,845
Maine HAF Returning Login	11,255
First Home Loan Program	10,203
Maine HAF Message Center	10,174
Rental Assistance	7,838
Housing Choice Vouchers	6,738
Subsidized Housing	6,659
HEAP Program	5,754
Maine HAF Session Validate	5,618
MaineHousing Lenders	4,668
Programs - Services	4,458
Homebuyer Income & Purchase Limits	4,410
Maine HAF Prescreening	4,403
Emergency Rental Assistance Program	4,108
HEAP Agency Contacts	4,027
First Home Loan	3,819
Maine HAF Required Documents	3,474
Home Repair	3,080
Contact MaineHousing	2,983
First Generation Pilot Program	2,846
Rent - Income Charts	2,796
Homebuyer Programs	2,778
Maine Water Assistance Program	2,725

Popular Content By Program

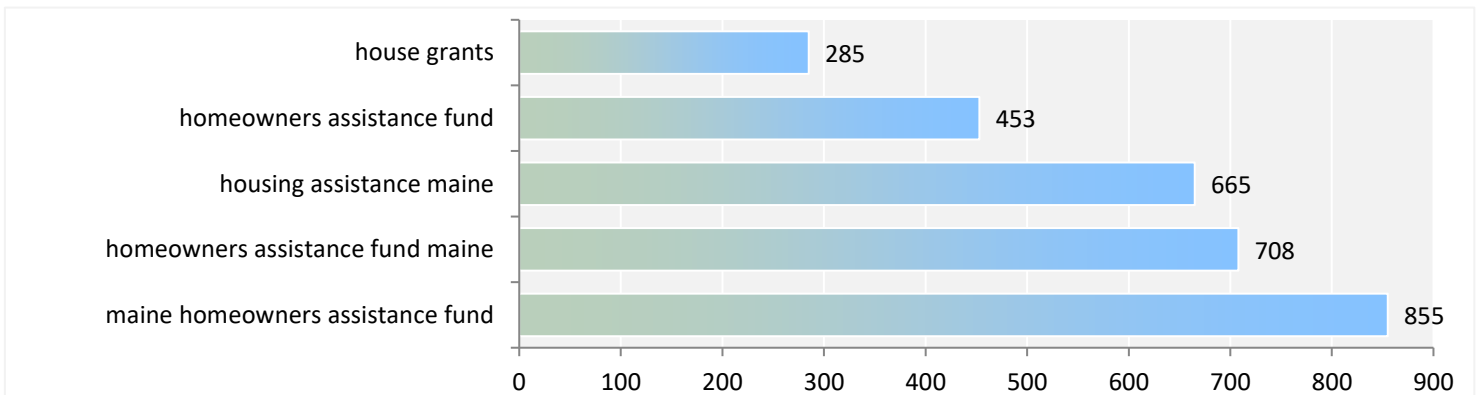


Popular Content By Section



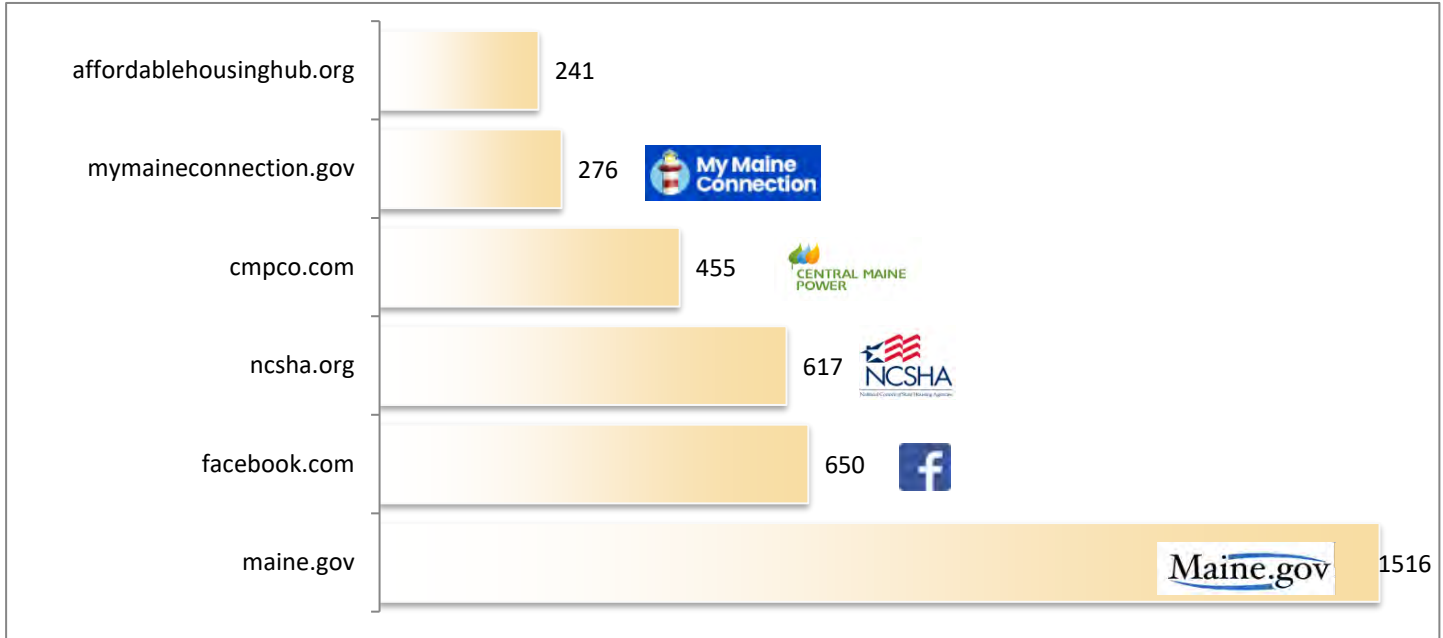
Search Keywords

Below are some of the most popular phrases that people are typing into a search engine (such as google or bing) that then provide a search result for our site.



Referring Websites

Referring websites are sites that link to our own website. When a visitor clicks on that link and visits our website, the site they came from becomes a referring site. Below are highlighted a few of the top referring sites.



Board Calendar 2023

<p>JANUARY 17 <u>Board Business:</u></p> <ul style="list-style-type: none"> • QAP discussion (30 minutes) • Legislative Preview <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • HUB Coordinator update <p>NCSHA HFA Institute Washington, DC (Jan 8 – Jan 13)</p>	<p>FEBRUARY 21 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Introduce HEAP Rule • Legislative Update <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • QAP (if needed) • Homeownership – 2022 Review, 2023 Preview
<p>MARCH 21 <u>Board Business:</u></p> <ul style="list-style-type: none"> • HEAP Rule Discussion • Legislative update • Updates from the Governor’s office (Greg Payne) • Executive Session – Personnel <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • QAP (if needed) <p>NCSHA Legislative Conf. Washington, DC (March 27- March 29)</p>	<p>APRIL 18 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Commence Rulemaking HEAP Rule (VOTE) • Legislative Update • Executive Session – Personnel followed by a (VOTE) <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • 2022 Budget and Audit results
<p>MAY 23 <u>Board Business:</u></p> <ul style="list-style-type: none"> • HEAP Rule Public Hearing • Legislative Update <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • 2022 Financial Overview 	<p>JUNE 20 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Updates from the Governor’s office (Greg Payne) • Adopt HEAP Rule (VOTE) • Legislative Final Report <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • Housing Choice Voucher Dept. presentation • Homeless Initiatives update <p>NCSHA Housing Credit Connect Seattle, WA (June 13 – June 16)</p>
<p>JULY 18</p> <p style="text-align: center;">If necessary</p> <p>NCSHA Exe Directors Workshop Nashville, TN (July 16-July 19)</p>	<p>AUGUST 15 <u>Board Business:</u></p> <ul style="list-style-type: none"> • 2024 Goal Setting <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • Information Technology presentation
<p>SEPTEMBER 19 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Updates from the Governor’s office (Greg Payne) • Commence Homeless Rule Revision • PHA Plan Public Hearing • 2024 Goal Setting <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • 	<p>OCTOBER 17 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Homeless Rule Public Hearing • Adopt PHA Plan (VOTE) • 2024 Goal Setting <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • <p>NCSHA Annual Conference & Showplace Boston, MA (Oct 14 – Oct 17)</p>
<p>NOVEMBER 21 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Review Preliminary 2024 Budget • Resource Allocation • Adopt Homeless Rule (VOTE) • 2024 Goal Setting <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • 	<p>DECEMBER 19 <u>Board Business:</u></p> <ul style="list-style-type: none"> • Updates from the Governor’s office (Greg Payne) • Approve 2024 Budget (VOTE) • Elect Officers (VOTE) • MPP Series Resolution (VOTE) <p><u>Program Presentations:</u></p> <ul style="list-style-type: none"> • <p>NCSHA Special Board of Directors Meeting and Executive Directors Forum New Orleans, LA (Dec 3 – Dec 5)</p>