



Maine Annual Action Plan

CDBG, ESG, HTF, and HOME

Plan Year 2026

Prepared by
Maine State Housing Authority
Maine Department of Economic and Community Development
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mainehousing.org | 207-626-4600

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Executive Summary

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

1. Introduction

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

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

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

This document, the 2026 Maine Annual Action Plan, is the second Action Plan in the Consolidated Plan cycle. It describes how DECD and MaineHousing plan to allocate HUD block grant funds during the 2026 program year, which runs from January 1, 2026 to December 31, 2026.

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

2. Summarize the objectives and outcomes identified in the Plan

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

The three overarching objectives guiding proposed activities within this plan are to:

- Provide decent affordable housing
- Create suitable living environments
- Create economic opportunities

Programs and activities are designed to benefit a community or the people served. The benefits, or program outcomes, for each activity funded by the four federal programs are expected to be:

- Improved availability/accessibility

- Improved affordability
- Improved sustainability

All future activities funded in 2026 will support at least one objective and one outcome. The framework for realizing these objectives and outcomes includes the following priorities:

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

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

In 2026, the State proposes to allocate funding to the following activities.

CDBG:

- See attached CDBG Program Statement

HOME:

- \$2.1 million for rental housing
- \$1.4 million for tenant based rental assistance

ESG:

- \$647,294.00 for emergency shelter operations and essential services
- \$647,294.00 for rapid rehousing

HTF:

- \$2,830,349.70 million for rental housing

This funding will result in

- sheltering 5,000 homeless individuals
- Rapid Rehousing for 2900 homeless households
- 47 new or rehabilitated multifamily housing units
- 150 homeowner houses rehabbed
- 1500 persons assisted by a public facility or infrastructure activity

- 30 jobs created or retained
- 100 businesses assisted

3. Evaluation of past performance

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

During 2025 the Maine State Housing Authority (MaineHousing) administered the HOME, HTF and ESG funds. The Maine State Department of Economic and Community Development (DECD) administered the CDBG funds.

It is important to note that the state provides affordable housing and community development through a variety of assistance programs, many of which are funded through agency resources or state appropriations. In 2025, with other resources, MaineHousing assisted 817 first time home buyers, and over 38,114 household were helped with energy assistance. MaineHousing used a combination of HOME, HTF, and other funds to complete 647 multifamily units.

Many priorities and objectives set for the first year of the (2025-2029) Consolidated Plan have been met.

- Businesses assisted 248 businesses 196.67% of goal.
- Rental Units Constructed 135 units 168.75% of goal.
- Rental Units Rehabilitated 211 units 211.0% of goal.
- Jobs created/retained 59 jobs 196.67% of goal.
- Public Facility or Infrastructure Activities 8309 persons assisted 553.93% of goal.
- Tenant-Based Rental Units/Rapid Rehousing 3017 households assisted 104% of goal.

The format of this Report is mandated by HUD. HUD has provided an online template for grantees as part of its planning and reporting system called IDIS. The questions in bold and many of the tables are created automatically by IDIS.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

5. Summary of public comments

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

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

7. Summary

The Maine Department of Economic and Community Development and MaineHousing will be partner agencies for the 2026 Annual Action Plan.

All activities funded in 2026 will address one of the following goals:

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

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

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

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

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

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

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

Table 1 – Responsible Agencies

Narrative

The Consolidated Plan was developed in partnership between the Maine Department of Economic and Community Development (DECD) and the Maine State Housing Authority (MaineHousing). MaineHousing has been designated the lead agency for overseeing the development of the Consolidated Plan.

MaineHousing is also the Collaborative Applicant for the Maine Continuum of Care (CoC).

Consolidated Plan Public Contact Information

MaineHousing has been designated as the lead agency and primary point of public contact on the Consolidated Plan and the subsequent Annual Action Plans. The Annual Action Plan for 2026 can be viewed and downloaded on the MaineHousing website.

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

1. Introduction

The Consolidated Plan reflects consultation with many agencies, organizations, and private citizens of the State of Maine. These groups and individuals represent a variety of housing and community development programs and concerns. Other entities consulted include state and local governments, not-for-profit organizations, local public housing authorities, representatives of the private sector, social services providers, housing providers, emergency management agencies, and the Continuums of Care among others. MaineHousing and DECD conducted an extensive public participation process to assess the needs of the state. That process included statewide meetings, forums, surveys and two public hearings, with notice to interested parties.

The Annual Action Plan outreach process included two public hearings, with notice to interested parties.

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

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

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

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

The Maine Continuum of Care (MCoC) includes representatives from non-profits, local and state agencies, healthcare providers, victim service providers, homeless service hub coordinators and other entities focused on initiatives and services for chronically homeless individuals and families, families with children, veterans, and unaccompanied youth, as well as persons at risk of homelessness. MaineHousing provides staffing support and leadership to the MCoC as the Collaborative Applicant for the Maine Continuum of Care, and the Coordinated Entry Management Entity for the MCoC. The MCoC general membership meets quarterly and MCoC Board meets monthly. Committees of the MCoC meet monthly to hone in on specific aspects of the system and action items. Topics such as accessing HUD CoC funding, allocation of program resources, coordinated entry, performance measurement, and data are discussed at the monthly meetings. The MCoC, through the Homeless Service Hub system, works toward quality data in each area of the state in an effort to

understand the size and scope of homelessness in Maine that will lend itself to data driven programs and solutions.

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

Allocation of ESG for the State of Maine is detailed in the Homeless Solutions Rule which is posted on the MaineHousing website (<https://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf>). In 2025, MaineHousing initiated a review of the rule to incorporate feedback from the MCoC and ESG Grantees. MaineHousing convened a group of grantees in two meetings with open invitations to all grantees to draft a revision to the rule, which became effective in November 2025. The draft rule was also presented to the MCoC and the Statewide Homeless Council for feedback before initiation of the public hearing/comments process. ESG subrecipients and CoC membership are involved in the planning process each year through meeting consultation and public comment on goals for the coming year pertaining to ESG funding. Additionally, the criteria for receiving ESG funding requires that applicants be regular and active participants of the MCoC. This requirement helps ensure that the ESG awardees have a venue to regularly provide feedback to MaineHousing.

MaineHousing and the MCoC, through the Homeless Solutions Rule, have developed performance standards. Shelter funding is tied to successfully meeting the standards. The MCoC Board and general membership review performance data for ESG funded agencies, as well as the full system. The group utilizes the data to evaluate performance of the system and to suggest enhancements to the performance data provided.

In 2025, the CoC completed an RFP process for the HMIS vendor contract. The Outcomes Committee of the CoC meets monthly to discuss HMIS and data priorities as they relate to policies and procedures. The CoC scores and ranks project applications during each annual CoC NOFO, which includes funding for HMIS software and administration.

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

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	MAINE STATE HOUSING AUTHORITY
	Agency/Group/Organization Type	Housing Grantee Department
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Anti-poverty Strategy Lead-based Paint Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted through Meetings, E-mail and Phone Calls.
2	Agency/Group/Organization	MAINE
	Agency/Group/Organization Type	Housing Services - Housing Services - Broadband Internet Service Providers Services - Narrowing the Digital Divide Other government - State Grantee Department

	What section of the Plan was addressed by Consultation?	Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted through Meetings, E-mail and Phone Calls
3	Agency/Group/Organization	Maine Statewide Homeless Council
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Health Agency Child Welfare Agency Publicly Funded Institution/System of Care Other government - State Other government - Local
	What section of the Plan was addressed by Consultation?	Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Regular Meetings

4	Agency/Group/Organization	Maine Continuum of Care
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Health Agency Child Welfare Agency Publicly Funded Institution/System of Care Other government - State Other government - Local
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Regular Meetings
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Identify any Agency Types not consulted and provide rationale for not consulting

Not Applicable; all agencies and stakeholders were welcome to participate.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	MaineHousing	The Continuum of Care goals have been recognized in the 2025 Consolidated Plan and the subsequent 2026 Annual Action Plan.
Analysis of Impediments to Fair Housing Choice	MaineHousing	The Analysis of Impediments to Fair Housing Choice was updated in conjunction with the 2025 Consolidated Plan to identify impediments to fair housing choice and actions to address those impediments.
Qualified Allocation Plan	MaineHousing	The Qualified Allocation Plan recognizes the needs and priorities identified in the 2025 Consolidated Plan.

Table 3 - Other local / regional / federal planning efforts

Narrative

MaineHousing works directly with the PHAs, service providers, DHHS, the Community Action Agencies, the Statewide Homeless Coalition, and the Maine Affordable Housing Coalition to ensure that all partners are aware of MaineHousing funding programs and that programs and services from the various players can be used together for mutual benefit to the extent possible.

MaineHousing’s Development Department has partnered with the Genesis Fund to provide technical assistance to potential development partners. They have the local knowledge of developers and contractors, as well as service providers, and are able to assist in the creation of partnerships.

Additionally, they can offer or have knowledge of other financial resources available to developers. The Genesis Fund has held informational sessions (often attended by MaineHousing as well) in different geographic locations around the state to ensure interested parties have access to local sessions.

AP-12 Participation - 91.115, 91.300(c)

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

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional, and state organizations, the Continuum of Care (CoC) and other interested parties. A hybrid public consultation opportunity occurred on April 11, 2026. This hearing was accessible both remotely and in person. The public hearing was attended by five people. The topic of the forum was the allocation of 2026 CDBG, HOME, HTF and ESG funds, and the meeting was held prior to the drafting of the 2026 Annual Action Plan.

Public hearing notice of the virtual hearing was placed on both the DECD and MaineHousing websites. A Notice of Public Comment appeared in four newspapers (Bangor Daily News, Portland Press Herald, Lewiston Sun Journal and Kennebec Journal) on March 18, 2026.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Hearing	Non-targeted/broad community	Attended by five people, a mix of in person and online attendees.	No public comments received. The process was discussed.	N/A	
2	Newspaper Ad	Non-targeted/broad community	March 18, 2026, Notice of Public Comment. Bangor Daily News, Portland Press Herald, Lewiston Sun Journal, Kennebec Journal.			

Table 4 – Citizen Participation Outreach

Expected Resources

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

Introduction

The State of Maine annually receives federal funding from HUD for four grant programs of CDBG, ESG, HOME and HTF.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	11,904,978.00	0.00	0.00	11,904,978.00	35,714,934.00	DECD allocates funding via the attached method of distribution.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	3,952,576.10	779,581.01	0.00	4,732,157.11	13,134,786.91	MaineHousing allocates HOME funds to new construction, rehabilitation, and financing of multi-family rental projects, as well as to TBRA.
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,399,555.00	0.00	0.00	1,399,555.00	4,192,653.00	MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for shelter operations and rapid re-housing.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HTF	public - federal	Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership	3,134,373.20	0.00	0.00	3,134,373.20	0.00	MaineHousing allocates HTF funds to finance new construction and acquisition and rehabilitation, multi-family rental projects.

Table 5 - Expected Resources – Priority Table

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

MaineHousing matches ESG with state dollars allocated to our Emergency Shelter and Housing Assistance Program (ESHAP). ESG and matching state funds are braided into one program that funds emergency shelter operations and rapid rehousing services. MaineHousing strategically utilizes HTF resources in conjunction with LIHTC to maximize the impact of limited federal funding and support development of deeply affordable housing units. Development using HTF funds draws PBV-assisted units with higher rent standards. This reliable revenue source is attractive to syndicators. MaineHousing matches FedHOME funds with various state resources.

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

Not Applicable

Discussion

Please see above

Annual Goals and Objectives

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

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Provides Rapid Re-Housing	2025	2029	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$1,400,000.00 ESG: \$647,294.00	Tenant-based rental assistance / Rapid Rehousing: 2900 Households Assisted
2	Improve and Preserve Quality of Housing	2025	2029	Affordable Housing	State Of Maine	Improve and preserve the Quality of Housing	CDBG: \$4,300,000.00	Rental units rehabilitated: 100 Household Housing Unit Homeowner Housing Rehabilitated: 150 Household Housing Unit
3	Expand Affordable Housing Opportunities	2025	2029	Affordable Housing	State Of Maine	Expand Affordable Housing Opportunities	HOME: \$2,157,318.49 HTF: \$2,820,936.00	Rental units constructed: 47 Household Housing Unit
4	Improve Economic Opportunity	2025	2029	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$1,700,000.00	Jobs created/retained: 30 Jobs Businesses assisted: 100 Businesses Assisted
5	Support Emergency Shelter Operations & Services	2025	2029	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$647,294.00	Homeless Person Overnight Shelter: 5000 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Improve Public Infrastructure	2025	2029	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure	CDBG: \$4,900,000.00	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1500 Persons Assisted Facade treatment/business building rehabilitation: 15 Business

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Provides Rapid Re-Housing
	Goal Description	Maine Housing's Homeless Solutions Rule (see appendix) states that all grantees must provide services in order to quickly move people out of homelessness. Grantees utilize Coordinated Entry to access a variety of medium and long-term rapid re-housing vouchers to assist them in achieving this goal. Shelters are given training on Rapid Re-Housing principles and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these concepts and have the ability to assist people experiencing homelessness access the set-aside of housing resources. All households accessing Rapid Rehousing must be assessed using the Coordinated Entry Assessment. This process prioritizes households for available housing as quickly and efficiently as possible.
2	Goal Name	Improve and Preserve Quality of Housing
	Goal Description	DECD will provide funding to support this goal through the Home Repair Network, Housing Assistance and Rural Housing Preservation programs

3	Goal Name	Expand Affordable Housing Opportunities
	Goal Description	<p>The Rental Loan Program (RLP) provides long-term mortgage financing at attractive interest rates for development of affordable rental housing in projects of five or more units.</p> <p>One goal of the RLP is to provide mortgage financing that enables federal low income housing tax credits to be utilized.</p> <p>Program objectives are:</p> <ul style="list-style-type: none"> • Maximize use of tax exempt bonds to develop affordable housing. • Provide affordable mortgage financing that enables developers to utilize low income housing tax credits. • Provide below-market, 30 year fixed rate notes that enable project viability. • Provide capital for preservation of existing rental housing. <p>This program is a companion to the Low Income Tax Credit (LIHTC) program, and provides subsidized financing to enable use of tax credits. Administrative guidance for the Rental Loan Program is provided through the Rental Loan Program Guide, which is available at www.mainehousing.org. Administrative guidance for the Low Income Housing Tax Credit Program is provided through a rule making process which is required to establish the Allocation of State Ceiling for Low Income Housing Tax Credit. Subsidy comes from FedHOME and HTF funds.</p>
4	Goal Name	Improve Economic Opportunity
	Goal Description	DECD will provide funding to support this goal through the Business Assistance, Small Business Development Center Assistance and the Maine Downtown Center Programs
5	Goal Name	Support Emergency Shelter Operations & Services
	Goal Description	The current funding formula allocates 50 percent of the total ESG funding for Shelter Operations, to be disbursed to the eligible ESHAP shelters in Maine based on their Bed Capacity. “Bed Capacity” is defined as the maximum number of beds in an Emergency Shelter as indicated on an annual application; provided, however, the Bed Capacity of a Low Barrier Shelter means its maximum number of beds as indicated on the application multiplied by 125%. This is to support the higher utilization and expenses of Low Barrier Shelters and encourage all ESHAP shelters to move toward Low Barrier models where feasible. Each Emergency Shelter receives a percentage equal to the Emergency Shelter’s Bed Capacity divided by total Bed Capacity available statewide for the calendar year.

6	Goal Name	Improve Public Infrastructure
	Goal Description	DECD will provide funding to support this goal through the Public Infrastructure, Downtown Revitalization and Community Enterprise Programs

AP-25 Allocation Priorities – 91.320(d)

Introduction:

MaineHousing anticipates using funds as follows:

Rental Housing: \$ 2.9 million HOME and \$2.8 million HTF -- The Rental Loan Program

Emergency homeless shelter operations & essential services: \$647,294 ESG

Rapid Rehousing : \$647,294 ESG and 1.4M HOME

Funding Allocation Priorities

	Provides Rapid Re-Housing (%)	Improve and Preserve Quality of Housing (%)	Expand Affordable Housing Opportunities (%)	Improve Economic Opportunity (%)	Support Emergency Shelter Operations & Services (%)	Improve Public Infrastructure (%)	Total (%)
CDBG	0	40	0	15	0	45	100
HOME	30	0	70	0	0	0	100
ESG	0	50	0	0	0	50	100
HTF	0	0	100	0	0	0	100

Table 7 – Funding Allocation Priorities

Reason for Allocation Priorities

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

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

The State of Maine CDBG public forums have shown an increased need for housing and public infrastructure.

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

The proposed 2026 funding allocations address the priorities and goals outlined in the Five-Year Consolidated Plan. The distribution of funds will follow the priorities set forth in the Consolidated Plan:

- Expand Affordable Housing Opportunities
- Provide Rapid Re-Housing
- Support Emergency Shelter Operations & Services
- Improve and Preserve the Quality of Housing
- Improve Public Infrastructure
- Improve Economic Opportunity

Making more CDBG funding available for the identified priorities will help alleviate the shortage of quality housing and the deterioration of public infrastructure.

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

Introduction:

HOME, HTF, ESG and CDBG funding is open to all eligible applicants. The Rental Loan Program Guide, the CDBG Program Statement, the Homeless Program Rule, the ESHAP Program Guide, and the STEP Program Guide outline the respective programs. The FY 2026 Allocations are in table below:

Distribution Methods

Table 8 - Distribution Methods by State Program

1	State Program Name:	Emergency Shelter and Housing Assistance Program (ESHAP)
	Funding Sources:	ESG
	Describe the state program addressed by the Method of Distribution.	In consultation with the MCoC and in partnership with Emergency Shelters throughout the state, MaineHousing offers the ESHAP Program as an annual Grantee process to assist individuals and families who are experiencing homelessness. The funding formula shares are outlined in the Homeless Solutions Rule and the ESG Written Standards and the formula allocation is detailed in the annual program guide and application.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>To be eligible to receive ESHAP funds an applicant must:</p> <ul style="list-style-type: none"> • Be a 501(c)(3) not-for-profit organization. • Be eligible in accordance with the HEARTH Act. • Be a provider of homeless services with at least one year of experience providing emergency housing, street outreach, homeless prevention or Rapid Re-Housing services. • Be a regular and active participant in the Maine Continuum of Care. • Have a board/advisory board that includes at least one person who is homeless or formerly homeless who is involved in policy or public planning of the organization. • Participate in the Coordinated Entry System. • Not engage in any explicitly religious activities, such as worship or religious instruction. If religious activities are offered, they must occur at a separate time or location from the activities and services covered in this rule. • Participate in the Housing Management Information System (HMIS) or a comparable database for Victim Service Providers and meet performance and reporting requirements. <p>For a complete list of requirements, see the Emergency Shelter and Housing Assistance Program Guide and Application (Attached)</p> <p>Repeat applicants are funded by demonstrating they have met minimum threshold requirements. New applicants are funded by demonstrating they have met minimum threshold requirements and have been determined by a selection committee to be funded based on community need and ability to meet that need. Funded applicants receive a percentage of funding as outlined in the ESHAP Program Guide and Application.</p>
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<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	
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<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available</p> <p>to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Shelter Operations: Funding will be disbursed based on the Funding Formula Allocation outlined in the ESHAP Program Guide among Emergency Shelters, such that each Emergency Shelter will receive a percentage equal to its Bed Capacity divided by a number equal to the total Bed Capacity available statewide for the calendar year. MaineHousing will review the number of beds reported, along with occupancy data to ensure that bed utilization is commensurate with community need. If a persistent discrepancy is observed, MaineHousing, at its sole discretion, reserves the right to reduce the number of funded beds.</p> <p>Housing Stabilization Share: Funding will be disbursed based on the Funding Formula Allocation outlined in the ESHAP Program Guide among eligible agencies, such that each agency providing staffing for Rapid Re-housing and Housing Stabilization services operated by the agency will be eligible to receive a percentage equal to the agency's total number of Clients Assessed and Stabilized, divided by the total number of Clients Assessed and Stabilized statewide. The number of Clients Assessed and Stabilized will be based upon the most recent four quarters of data available to MaineHousing at the start of the grant year.</p> <p>Performance Share: (The Performance Share does not include ESG or HOME funds and is funded solely through State funds) Funding will be disbursed based on the Funding Formula Allocation outlined in the ESHAP Program Guide among eligible applicants that in the previous year maintained at 95% or greater their data quality for the following data points: Date of Birth, Race, Veteran Status, Destination, Relationship to Head of Household, and Client Location. At the initiation of the grant period, MaineHousing will calculate the error rate for each eligible applicant from the previous four quarters of available data. Victim Service Providers will report from their comparable database. Any eligible applicant whose data error rate is equal to or less than 5% will be eligible for a portion of Performance Share funds equal to the percentage of the number of Clients Assessed and Stabilized by the eligible applicant, divided by the number of Clients Assessed and Stabilized by all eligible applicants.</p>
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<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	
<p>Describe how resources will be allocated among funding categories.</p>	<p>Not Applicable</p>
<p>Describe threshold factors and grant size limits.</p>	<p>Grants are based upon the threshold as described in the Maine Homeless Solutions Rule and the ESHAP Program Guide and Application. MaineHousing uses up to 50 percent of ESG funding for emergency shelter operations as noted in the Operations Share description above and the remaining funds for the Stabilization Share also as detailed above.</p>

	What are the outcome measures expected as a result of the method of distribution?	MaineHousing provided emergency shelter for 4,747 people in 2025, and we anticipate serving a like amount in 2026. All shelters receiving funding will be tracked on performance benchmarks such as exits to permanent housing, returns to homelessness, and length of time from program entry to housing and may receive additional funding depending on their ability to meet these benchmarks.
2	State Program Name:	Rental Loan Program
	Funding Sources:	HOME HTF

<p>Describe the state program addressed by the Method of Distribution.</p>	<p>The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine.</p> <p>Preservation may include federally-assisted housing, such as HUD 202, HUD 811 and Rural Development 515 properties at risk of being lost due to the expiration of federal rental assistance contracts, physical or financial deterioration, and/or owners opting out of federal housing programs. To achieve the goals of this Program, MaineHousing will make various resources available in the form of amortizing loans, deferred payment loans and/or grants under this Program or in conjunction with the Program from time to time, including without limitation, the following resources:</p> <ul style="list-style-type: none"> • taxable bond proceeds; • private activity tax-exempt bonds; • 501(c)(3) or governmental unit tax-exempt bond proceeds; and • subsidy resources. <p>These resources are usually combined with equity generated from the syndication of Low Income Housing Tax Credits (LIHTC). Competitive credits and "automatic" credits are awarded in accordance with Maine's Qualified Allocation Plan.</p> <p>MaineHousing attempts to maximize the benefit of these limited resources by combining the resources and encouraging applicants to seek other non-MaineHousing resources.</p> <p>Amortizing loans, funded with the proceeds of taxable or tax-exempt bond proceeds, for developments that do not need MaineHousing subsidy are available typically on a walk-in basis.</p> <p>MaineHousing allocates competitive low income housing tax credits separately under MaineHousing's Low Income Housing Tax Credit Program. All applicants who are awarded low income housing tax credits on a competitive basis or are eligible for "automatic" low income housing tax credits must comply with the applicable Qualified Allocation Plan.</p> <p>MaineHousing may make various discretionary subsidy resources available from time to time.</p>
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<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Qualified developers may apply. Applicants must:</p> <ul style="list-style-type: none"> • Demonstrate previous successful experience in the development of similar projects. • Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing. • Have control of the development site. • Demonstrate they will provide the required number of lower income units. <p>In addition, the management agent for the housing must demonstrate successful experience in managing similar properties. MaineHousing generally selects those developments that will provide the greatest amount of long term, low-income housing at the least cost of taxpayer subsidy dollars.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	

<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	
<p>Describe how resources will be allocated among funding categories.</p>	<p>HOME and HTF funds allocated to the Rental Loan Program are expected to be used for the construction of qualified residential rental projects.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>A. Combination of Available Resources MaineHousing attempts to maximize the impact of the limited resources it has available by combining resources and encouraging applicants to seek other non-MaineHousing sources of funding.</p> <p>B. Tax-exempt Bond Financing MaineHousing may issue tax-exempt bonds under Section 142(d) or Section 145 of the Internal Revenue Code (Code) as a source of funding under the Program. The Code imposes certain requirements and limitations on the use of tax-exempt bond proceeds. There may be additional requirements under the Program.</p> <p>C. Non Tax Exempt Proceeds Non tax exempt proceeds are used mostly in conjunction with an allocation of low income housing tax credits under the competitive Low Income Housing Tax Credit Program.</p> <p>D. Subsidy Resources Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource.</p>

	What are the outcome measures expected as a result of the method of distribution?	MaineHousing expects to produce or preserve 47 rental units.
3	State Program Name:	Stability through Engagement Program (STEP) - TBRA
	Funding Sources:	HOME
	Describe the state program addressed by the Method of Distribution.	STEP is designed to provide short- and medium-term rental assistance for up to 24 months to help individuals and families experiencing homelessness achieve housing stability. Referrals to the STEP Program can only be made by the Maine Coordinated Entry System (MCES).
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>Rapid Re-housing participants may be eligible to receive short- and medium-term rental assistance, for a maximum of 24 months, through STEP if they meet the following requirements (unless prohibited by VAWA):</p> <ul style="list-style-type: none"> • Staying in a shelter or working with an ESHAP provider. • Enrolled and participating in ESHAP with an approved Housing Stability Plan. • Continued contact with their Housing Navigator to review progress no less than every 30 days. • Reassessment to evaluate if continued assistance is necessary at 12 months. • Referred to STEP from the MCES Prioritized List. <p>See STEP Administrative Plan for detail 1-1-2025 STEP Administrative Plan</p>

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

	Describe how resources will be allocated among funding categories.	N/A
	Describe threshold factors and grant size limits.	N/A
	What are the outcome measures expected as a result of the method of distribution?	The goal for the STEP program is to administer 85 STEP coupons to rapidly re-house individuals and/or families experiencing homelessness and to keep 95% of them stably housed.
4	State Program Name:	State of Maine CDBG Program Statement
	Funding Sources:	CDBG

<p>Describe the state program addressed by the Method of Distribution.</p>	<p>see attached</p>
<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>see attached</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>see attached statement and all materials are available on the website and via our Technical Assistance providers</p>

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

<p>Describe threshold factors and grant size limits.</p>	<p>see attached</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>total LMI beneficiaries assisted</p>

Discussion:

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

AP-35 Projects – (Optional)

Introduction:

See the CDBG 2026 Program Statement

#	Project Name
1	HOME26 TBRA
2	ESG26 Maine
3	Rental Loan Program 2026
4	HOME26 Admin
5	HTF26 Admin

Table 9 – Project Information

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

The allocation priorities are reflective of program history and public input. Allocation amounts are based on demand and capacity of the agencies.

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

AP-38 Project Summary

Project Summary Information

1	Project Name	HOME26 TBRA
	Target Area	State Of Maine
	Goals Supported	Provides Rapid Re-Housing
	Needs Addressed	Help Maine People Attain Housing Stability
	Funding	HOME: \$1,400,000.00
	Description	STEP
	Target Date	12/31/2026
	Estimate the number and type of families that will benefit from the proposed activities	85 households will be assisted with TBRA.
	Location Description	Statewide
	Planned Activities	Short and Medium term rental assistance for 24 months
2	Project Name	ESG26 Maine
	Target Area	
	Goals Supported	Provides Rapid Re-Housing Support Emergency Shelter Operations & Services
	Needs Addressed	Help Maine People Attain Housing Stability
	Funding	ESG: \$1,399,555.00

	Description	The current funding formula allocates 50 percent of the Total ESG funding for Shelter Operations, to be disbursed to the eligible ESHAP shelters in Maine based on their bed capacity.
	Target Date	12/31/2026
	Estimate the number and type of families that will benefit from the proposed activities	Overnight shelter for 5000 people experiencing homelessness in 2026, and 2900 Households assisted with associated Rapid Rehousing services.
	Location Description	Statewide
	Planned Activities	Shelter Operations
3	Project Name	Rental Loan Program 2026
	Target Area	
	Goals Supported	Expand Affordable Housing Opportunities
	Needs Addressed	Expand Affordable Housing Opportunities
	Funding	HOME: \$2,936,899.50 HTF: \$2,820,936.00
	Description	The Rental Loan Program (RLP) provides long-term mortgage financing at attractive interest rates for development of affordable rental housing in project of five or more units.
	Target Date	12/31/2026
	Estimate the number and type of families that will benefit from the proposed activities	360 affordable rental units for eligible households
	Location Description	Statewide
	Planned Activities	New construction and rehabilitation of multifamily housing.
4	Project Name	HOME26 Admin
	Target Area	
	Goals Supported	

	Needs Addressed	
	Funding	HOME: \$395,257.60
	Description	HOME Admin and Program Income Admin FY 2026
	Target Date	12/31/2026
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
5	Project Name	HTF26 Admin
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	HTF: \$313,437.00
	Description	HTF Admin 2026
	Target Date	12/31/2026
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	

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

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

No

Available Grant Amounts

Acceptance process of applications

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

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

No

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

AP-50 Geographic Distribution – 91.320(f)

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

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

The State CDBG Program is available to all non-entitlement units of general local government.

Geographic Distribution

Target Area	Percentage of Funds
State Of Maine	100

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

MaineHousing has not chosen to target particular geographical areas for special assistance.

The CDBG program is required to make funds available statewide to the non-entitlement units of general local government.

Discussion

Please see above.

Affordable Housing

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

Introduction:

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

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

One Year Goals for the Number of Households to be Supported	
Homeless	85
Non-Homeless	27
Special-Needs	20
Total	132

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

One Year Goals for the Number of Households Supported Through	
Rental Assistance	105
The Production of New Units	23
Rehab of Existing Units	4
Acquisition of Existing Units	0
Total	132

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

Discussion:

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

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

Introduction:

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

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

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

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

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

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

MaineHousing is not designated as a troubled PHA.

Discussion:

See Above

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

Introduction

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

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

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

MaineHousing's Homeless Solutions Rule states that all grantees will provide services with the aim of moving individuals and households quickly out of homelessness and into housing. Grantees are given access to medium and long-term rapid re-housing resources to assist them in achieving this goal. Shelters are provided training on Rapid Re-Housing principles and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services and concepts. All shelter households must be assessed with the CoC's coordinated entry assessment to prioritize and place households on the appropriate track for available housing as quickly and efficiently as possible. Housing navigators work with participants on Housing Stability Plans which help navigators and participants identify personalized needs and goals and create a plan to work toward meeting those goals. All shelters are given the opportunity to extend their housing relocation and stabilization services beyond their shelter to serve persons experiencing homelessness who are unsheltered. The rapid-rehousing service one-year goal is to provide housing stabilization and relocation services for 2,900 households.

Addressing the emergency shelter and transitional housing needs of homeless persons

ESG funding will be utilized for shelter operations and rapid re-housing activities, as well as HMIS data collection. The ESG shelter funding one-year goal is to provide assistance to 5,000 persons served by 37 ESG funded shelters.

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

There are a number of programs and services that will continue with the support of state partners and

MaineHousing to assist homeless persons in making the transition to permanent housing, reduce the length of time people experience homelessness, and help prevent them from becoming homeless again.

- PATH serves at-risk individuals and families with unmet mental illness or co-occurring disorders.
- The SSVF Program provides outreach and case management to at-risk veterans' families statewide.
- Pine Tree Legal Assistance helps people prevent evictions in larger cities.
- MaineHousing provides ESG funding and the ESHAP program to 42 homeless service providers, including 37 shelters.
- MaineHousing provides state funding for Targeted Rapid Rehousing and Housing Problem Solving to quickly move persons into housing with short term assistance and to divert those at risk from the homeless services system through problem solving conversations and short term financial assistance.
- Recent state funding will support the production of and continued service provision for Housing First projects dedicated to those experiencing chronic homelessness.

Maine's Coordinated Entry System provides access points where persons experiencing homelessness can access the system, be assessed, prioritized, and referred to CoC funded resources. MaineHousing has also included housing resources from other funding sources in the Coordinated Entry System. Emergency Shelters will continue to be funded with an emphasis on performance measures that increase the number of households able to obtain and maintain permanent housing and reduce the incidents of returns to homelessness.

ESHAP and Targeted Rapid Rehousing have a strong focus on housing stabilization services. Navigators in these programs follow participants as they become housed and work toward stabilization. Services are provided for up to one year after a participant is housed to ensure they have the proper supports and structures in place to maintain successful housing placements.

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

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

Health Care: Hospital Discharge Planning Guidelines have been developed by the Statewide Homeless Council and Maine hospitals regarding the discharge of patients experiencing homelessness. The Guidelines instruct hospitals to begin the discharge planning process upon admission. Patients are to be discharged with appropriate clothing and with a plan for accessing required medications/supplies. Homeless service providers

also monitor discharges to shelters and follow up with hospitals as needed. Each Maine hospital or community discharge location must designate a management team member to oversee ongoing compliance with the Guidelines.

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

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

Prevention Programming: MaineHousing stood up diversion programming during the COVID-19 pandemic and has since shifted to a state-funded housing problem solving program model aimed at keeping people from entering the homeless service system through problem solving conversations and financial assistance.

Student Homelessness Prevention Pilot: this program began in 2025 and serves to divert students and their families from entering the shelter by helping them identify alternate housing solutions and connecting them to services and financial assistance. The program also provides housing navigation and stabilization services to assist the students and their families in obtaining and maintaining stable permanent housing.

Discussion

See Above

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

Introduction:

State and federal public policies are significant in shaping affordable housing. In most cases, these policies aim to provide benefits and incentives to create affordable housing, however, consequently a number of these policies negatively impact the cost of developing, maintaining, and improving affordable housing. Most concerning are federal funding regulatory requirements such as Davis Bacon, Section 3, and Build America Buy America ("BABA"), which can increase costs and create delays and administrative responsibilities for many affordable housing programs and projects. Additionally, local regulatory and process barriers, including community development standards, discourage the creation and preservation of affordable housing and create complicated land use issues which slow down development.

Beyond regulatory barriers, lack of federal and public resources attribute to the negative effects on affordable housing. MaineHousing continues to see an exceptionally high level of competition for 9% and 4% Low Income Housing Tax Credits and there is a similar lack of resources in the Housing Choice Voucher ("HCV") Program. With rising rents and no additional funding in the HCV Program, recipients are struggling to find eligible units. Additionally, with a rise in demand for assistance, other federal programs, that remain funded at the same level, are falling short in keeping housing and housing-related costs affordable for income-qualified households in Maine.

A final barrier is a reliable way to share information with renters, homeowners, and landlords. This is a side effect of multiple information channels (e.g. television news, print news, social media, podcasts, etc.), none of which can be relied on to deliver a consistent message to the public. This means it is more difficult to inform households of programs they may be eligible for; more difficult to protect the public from misinformation; more difficult to educate homeowners and landlords about program benefits; and more difficult to educate the public about the benefits of affordable housing development in their communities.

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

Opposition to housing development is a local issue with statewide consequences, which are particularly impactful for some of the lowest paid members of our workforce. The Governor's Office, MaineHousing, and the Department of Economic and Community Development have approached addressing this barrier with the soft touch of offering resources and information. In 2023 we released a Statewide Housing Study with in-depth analysis of our housing shortage and the implications for our housing and labor markets. In 2024 we launched a housing data portal to help inform and educate everyone from legislators to city planners to homebuyers, with tools to conduct in-depth analysis in addition to visualizing basic statistics. We also work together to learn about and distribute the latest information and evidence about zoning practices, local housing policy, and the economic benefits of affordable housing.

Discussion:

Addressing the barriers imposed by BABA and lack of resources is mostly a matter of legislative advocacy, on

which MaineHousing continues to work proactively with the Governor's Office and in both the state and federal legislative chambers. However, it is also a matter of public opinion. In 2024 MaineHousing Executive Director Daniel Brennan wrote a powerful op-ed illustrating who affordable housing is for, helping to dispel myths, disinformation, and stigma around affordable housing development.

A strategy to address the final barrier, one that MaineHousing has already begun to implement, is to expand our educational and marketing efforts. For example, partnering with community organizations to offer program information directly to communities. Also, in 2024 MaineHousing began expanding its in-person marketing activities, reaching Mainers out in the community rather than remaining mostly within digital and traditional marketing spaces.

Two other strategies take a more direct approach to addressing the same barrier. One is landlord incentives to increase housing unit participation with the HCV Program and the STEP program. The second is the Housing Problem Solving program, which focuses a small portion of resources at local shelters towards supporting households facing a housing crisis, covering direct help for those at risk of experiencing homelessness. The latter often amounts to offering information and expertise in navigating the available options.

AP-85 Other Actions – 91.320(j)

Introduction:

The following sections discuss other actions MaineHousing and DECD will undertake in FY 2026.

Actions planned to address obstacles to meeting underserved needs

Continue to support the homeless service hub system and Hub Coordinators in their efforts to bring together municipalities, service providers, and other cross sector collaborators.

Enhance supportive services pre-and-post-housing placement through programs like rapid rehousing.

Increase outreach capacity statewide through grant funding.

Work with the MCoC and Statewide Homeless Council on an updated plan to end and prevent homelessness focusing on strategies to address homelessness and the needs of sub-populations such as unaccompanied youth and people exiting hospitals and the criminal justice system.

Increase the availability of affordable and safe housing, including projects supported with wraparound services.

Create training opportunities for providers and the community to improve outcomes and to educate and reduce stigma about homelessness, mental health and substance use.

Use data to lead planning and program priorities.

Increase the availability of housing vouchers and subsidies.

Increase focus on including people with lived experience in homelessness in the development of homeless policy

Actions planned to foster and maintain affordable housing

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

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

- Low Income Housing Tax Credits (LIHTC)
- the Housing Choice Voucher program
- the Low Income Heating Assistance Program (HEAP) and the Weatherization program, and
- the Maine State Low Income Tax Credit program provides additional resources to support the development of affordable housing.

Actions planned to reduce lead-based paint hazards

The State will monitor grantees to ensure compliance with HUD lead-based paint regulations implementing Title X of the Housing and Community Development Act of 1992. These regulations cover CDBG, HOME, HTF and ESG programs, and identify the appropriate type of activity to control lead paint hazards in projects using federal funds.

The Maine State Housing Authority Lead Hazard Control Program was developed to provide grants to assist homeowners and landlords make their homes and apartments lead safe. The Program is designed to bring statewide focus to the hazards of lead-based paint poisoning, the importance of proper methods of identification of lead-based paint hazards, and the remediation of lead-based paint hazards.

The Program is a collaborative effort between MaineHousing, the Childhood Lead Poisoning Prevention Program, the Maine Department of Economic Development, and the Maine Department of Environmental Protection. It is administered by MaineHousing and two sub-grantees (Community Action Agencies), with each sub-grantee responsible for implementing the Program within a particular region of Maine.

Actions planned to reduce the number of poverty-level families

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

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

Actions planned to develop institutional structure

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

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

MaineHousing will continue to support the homeless service hub structure with a hub coordinator in each of the nine service hubs. Hub coordinators are tasked with enhancing collaboration in their communities among public, private, and social service agencies.

MaineHousing, as the MCoC Collaborative Applicant plans to support the MCoC and the Statewide Homeless Council in their continued efforts to get more agencies at the table to coordinate to prevent and end homelessness.

Discussion:

Please see above

Program Specific Requirements

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

Introduction:

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

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.320(k)(1)

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

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

Other CDBG Requirements

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

HOME Investment Partnership Program (HOME)

Reference 24 CFR 91.320(k)(2)

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

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

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

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

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

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

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

The MaineHousing Rental Loan Program Guide is the document which governs lending activities, including those projects financed with HOME funds. The RLP Guide specifically refers to compliance with 24 CFR Part 92 for any project which uses HOME funds. The RLP Guide describes eligible applicants and the application process. The RLP Guide is available on the MaineHousing website.

The refinancing requirements include the following conditions:

- Demonstrate that rehabilitation is the primary eligible activity and ensure that this requirement is met by establishing a minimum level of rehabilitation per unit or a required ratio between rehabilitation and refinancing.
 - Require a review of management practices to demonstrate that disinvestment in the property has not occurred; that long-term needs of the project can be met; and that the feasibility of serving the targeted population over an extended affordability period can be demonstrated.
 - State whether the new investment is being made to maintain current affordable units, create additional affordable units, or both.
 - Specify the required period of affordability, whether it is a minimum 15 years or longer.
 - Specify whether the investment of HOME funds may be state-wide or limited to a specific geographic area, such as a community identified in a neighborhood revitalization strategy under 24 CFR 91.315(g) or a federally designated Empowerment Zone or Enterprise Community.
 - State that HOME funds cannot be used to refinance multifamily loans made or insured by any federal program, including the CDBG program
5. If applicable to a planned HOME TBRA activity, a description of the preference for persons with special needs or disabilities. (See 24 CFR 92.209(c)(2)(i) and CFR 91.220(l)(2)(vii)).

N/A

6. If applicable to a planned HOME TBRA activity, a description of how the preference for a specific

category of individuals with disabilities (e.g. persons with HIV/AIDS or chronic mental illness) will narrow the gap in benefits and the preference is needed to narrow the gap in benefits and services received by such persons. (See 24 CFR 92.209(c)(2)(ii) and 91.220(l)(2)(vii)).

N/A

7. If applicable, a description of any preference or limitation for rental housing projects. (See 24 CFR 92.253(d)(3) and CFR 91.220(l)(2)(vii)). Note: Preferences cannot be administered in a manner that limits the opportunities of persons on any basis prohibited by the laws listed under 24 CFR 5.105(a).

N/A

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

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

Please see the CoC Emergency Solutions Grant (ESG) Written Standards.

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

Please see the attached Maine Continuum of Care Coordinated Entry Policies and Procedures.

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

In consultation with the MCoC and in partnership with Emergency Shelters throughout the state, MaineHousing offers the ESHAP Program as an annual Grantee process to assist individuals and families who are experiencing homelessness. The program is open to not-for-profit organizations and municipalities.

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

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

5. Describe performance standards for evaluating ESG.

With assistance from HUD Technical Assistance, a monitoring tool, which includes a risk analysis score, and a CoC reporting mechanism has been created and is currently in use. In addition, performance standards including exits to permanent housing, returns to homelessness, and length of time from

program entry to housing are analyzed using HMIS data and utilized to evaluate the effectiveness of the program and specific providers.

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

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

Applications submitted by eligible recipients

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

N/A

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

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

Eligible applicants are:

Successful LIHTC applicants.

Funds remaining after the initial RFP process may be distributed by MaineHousing under a subsequent RFP available to all or a subset of the above eligible recipients. Individuals are not eligible to receive direct assistance from the HTF. The State does not intend to use sub-grantees in the 2026 funding cycle.

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

Eligible applicants who apply for 9% LIHTC funding under Maine's QAP receive points for agreeing to accept HTF funding.

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

HTF funds will be used in projects that were awarded 9% LIHTC funding under Maine's QAP.

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

The entire State of Maine is eligible to receive funding under this program.

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

15 of a possible 84 points awarded under Maine's QAP are dedicated to developer readiness and capacity.

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

All HTF-funded units are required to be rented to those at 30% of AMI or less. Additionally, MaineHousing provides PBVs for all of those units which do not have them from another source.

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

MaineHousing will require that affordability be for a 30 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.

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

10 of a possible 84 points awarded under Maine's QAP are dedicated to projects that provide Smart Growth features such as access to transportation and greater walkability.

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

Maine's QAP provides up to 3 points for projects that receive property tax relief.

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

Yes

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

Yes

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

Yes

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

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

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

Cost reasonableness will be evaluated using an index, which is the weighted average of the TDC per unit and the TDC per bedroom. For mixed-use projects, the TDC for only the residential portion of the project, including common areas, will be used for this calculation. The weighted average will be calculated as follows:

$([2 \times \text{TDC/unit}] + [\text{TDC/bedroom}])$ divided by 3.

The product of this calculation will be referred to throughout this document as the "TDC Index". An Application will be rejected if the TDC Index exceeds the TDC Index Cap below for a project of its type at any time prior to the later of the construction loan closing or carryover allocation.

Type of Project TDC Index Cap

Adaptive Reuse \$414,750 per unit

New construction \$388,500 per unit

Acquisition and rehabilitation of existing housing \$357,000 per unit

All units receiving funding under the QAP must abide by the Total Development Cost (TDC) Index limits. Because of these limits, the amount of HTF per unit may not exceed the Caps above. The amount of HTF used in these set-aside units will vary depending on how much the project receives in tax credits, the TDC, how much income PBVs provide, and how much operating costs the units incur. Effectively HTF Per Unit = TDC Index Per Unit - LIHTC Per Unit - Paying Debt Per Unit.

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

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

MaineHousing has very high rehabilitation standards as outlined in our Construction Services Quality and Procedures Manual 2026 Quality Standards & Procedures Manual

In addition, MaineHousing will further require that:

- The project team provide an estimate (based on age and condition) of the remaining useful life of the major building systems upon project completion. Major systems include: structural support and roofing; cladding and weatherproofing (e.g., windows, doors, siding, gutters); plumbing; electrical; and heating, ventilation, and air conditioning.
- For multifamily housing with 26 or more total units, the useful life of systems must be determined through a capital needs assessment that determines the work to be performed and identifies the long-term physical needs of the project.
- If the remaining useful life of one or more major systems is less than the applicable period of affordability, MaineHousing will ensure that a replacement reserve is established and that adequate monthly payments are made to repair or replace the systems as needed.

At the onset of any project, MaineHousing will conduct on-site inspections with qualified inspectors on staff to identify any deficiencies using the current Real Estate Assessment Center (REAC) approved inspection protocol. Any identified deficiencies will be addressed in the renovation scopes of work. Follow-up inspections will be conducted at the completion of the project to assure any and all identified deficiencies have been properly addressed.

Attached are Inspectable Items and Observable Deficiencies using the current approved UPCS inspection protocol.

Lead-based Paint

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

1. Prior to the start of any rehabilitation work at a project site, a lead-based paint (LBP) risk assessment by a Lead Risk Assessor certified by the Maine Department of Environmental Protection (Maine DEP), and paint testing on painted surfaces to be disturbed or replaced during rehabilitation activities, including housing units, common areas servicing the units, and exterior painted surfaces, will be conducted in accordance with the Part 35 requirements and established protocols under the Maine DEP's Lead Management Regulations - Chapter 424 (Maine DEP Lead Regulations), including a written report with findings, conclusions and recommendations.

2. If the LBP risk assessment indicates the presence of LBP, the Part 35 provisions for the level of federal

rehabilitation assistance applicable to the project, and any related requirements of the Maine DEP Lead Regulations, will apply to the project.

3. Ongoing LBP maintenance and re-evaluation in accordance with §35.1355 will be required if LBP has been identified on a project site.

HTF Rehab Standards Appendix A: Uniform Physical Condition Standards for Multifamily Housing Rehabilitation - October 2016		
NOTE: Deficiencies highlighted in orange are life-threatening and must be addressed immediately, if the housing is occupied.		
Requirements for Site	Observable Deficiency	Type and Degree of Deficiency that must be addressed
Fencing and Gates	Damage/Fr/Leaking	Fence or gate is missing or damaged at the point it does not function as it should
	Holes	Holes in fence or gate is larger than 4 inches by 4 inches
	Missing Sections	An exterior fence, security fence or gate is missing a section which could threaten safety or security
	Exposed/Draining Areas	Hand/feet extensively discolored with which has caused visible damage or potential failure to adjoining structures or threatens the safety of pedestrians or makes the grounds unusable
Grounds	Overgrown/Restoring Vegetation	Vegetation has visibly damaged a component, area or system of the property or has made them unusable or unusable
	Pooling/Slow Drainage	There is an accumulation of more than 3 inches deep and/or a large section of the grounds more than 20% is unusable for its intended purpose due to poor drainage or ponding
	Air Quality - Green Older Detected	Green older that could pose a health risk if inhaled for prolonged periods
	Air Quality - Propane/Natural Gas Meters/Gas Detected	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk if inhaled
Health & Safety	Electrical Hazards - Exposed Wires/Open Panels	Any exposed live wires or opening in electrical panels (logged wires do not pose a risk)
	Electrical Hazards - Water Leaks on/over Electrical Equipment	Any water leaking, puddling or ponding on or immediately over any electrical apparatus that could pose a risk of fire, electrocution or explosion
	Hammable/Combustible Materials - Improperly Stored	Hammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Outdoors	Too much garbage has gathered more than the allowed storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
Hazardous - Other	Any general defects or hazards that pose risk of bodily injury	
	Hazards - Slips/Trips	Any physical defect that could cause cutting or laceration of human skin or other bodily harm
	Hazards - Tripping	Any physical defect in walkways or other traveled areas that poses a tripping risk
	Infiltration - Insects	Evidence of infestation of insects including cockroaches and ants throughout a unit or room, food preparation or storage area or other areas of building substantial enough to present a health and safety risk
Mailboxes/Project Signs	Infiltration - Rats/Mice/Vermis	Evidence of rats or mice, squirrels, owl or mouse holes, or droppings substantial enough to present a health and safety risk
	Mulch Missing/Damaged	Mulch cannot be locked or is missing
	Signs Damaged	The project sign is not legible or unreadable because of deterioration or damage
	Cracks	Cracks that are large enough to affect traffic ability over more than 5% of the property's parking lots/driveways/roads or pose a safety hazard
Parking Lots/Driveways/Roads	Ponding	1 inch or more of water has accumulated making 5% or more of a parking lot/driveway unusable or unsafe
	Potholes/Loose Material	Potholes or loose material that have made a parking lot/driveway unusable/unusable for vehicles and/or pedestrians or could cause tripping or falling
	Settlement/Heaving	Settlement/heaving has made a parking lot/driveway unusable/unusable or creates unsafe conditions for pedestrians and vehicles
	Damage/Broken Equipment	More than 20% of the equipment is broken or does not operate as it should or are items that pose a safety risk
Play Areas and Equipment	Deteriorated Play Area Surface	More than 20% of the play surface area shows deterioration or the play surface area could cause tripping or falling and thus poses a safety risk
	Broken/Damaged Enclosure-Inadequate Outside Storage Space	A single wall or gate of the enclosure has collapsed or is leaning and in danger of falling or trash cannot be stored in the designated area because it is too small to store refuse until disposal
	Damage/Fr/Leaking	A retaining wall is damaged and does not function as it should or is a safety risk
	Storm Drainage	The system is partially or fully blocked by a large quantity of debris, causing backup into adjacent areas or runoff into areas where runoff is not intended
Walkways/Steps	Broken/Missing Hand Railing	The hand rail is missing, damaged, loose or otherwise unusable
	Cracks/Settlement/Heaving	Cracks, heaving/dipping or missing sections that affect traffic ability over more than 5% of the property's walkways/steps or any defect that creates a tripping or falling hazard
	Spalling/Exposed rebar	More than 5% of walkways have large areas of spalling - larger than 4 inches by 4 inches - they affect traffic ability
	Signs Damaged	More than 5% of walkways have large areas of spalling - larger than 4 inches by 4 inches - they affect traffic ability
Requirements for Building Exterior	Observable Deficiency	Type and Degree of Deficiency that must be addressed
Doors	Damage/Fr/Threshold/Lintels/Trim	Any door that is not functioning or cannot be locked because of damage to the frame, threshold, lintel or trim
	Damage Hardware/Locks	Any door that does not function as it should or cannot be locked because of damage to the door's hardware
	Damage Surface (Paint/Panels/Rusting/Glass)	Any door that has a hole or hole greater than 2 inch in diameter, significant peeling/loosening/paint or seal that affects the integrity of the door surface, or broken/missing glass
	Damage/Missing Screen/Storm/Security Door	Any screen door or storm door that is damaged or is missing screens or glass - shown by an empty frame or frames or any security door that is not functioning or is missing
Fire Escapes	Obstruction/Missing Cautions/Signs	The walk/landing is missing on any entry door, or they are all damaged that they do not function as they should
	Missing Door	Any exterior door that is missing
	Blocked Egress/Exit/Entrance	Stored items or other barriers restrict or block people from exiting
	Visible Missing Components	Any of the functional components that affect the function of the fire escape - one section of a ladder or railing, for example - are missing
Foundations	Cracks/Gaps	Large cracks in foundation more than 1/8 inches wide by 3/8 inches deep by 6 inches long that present a possible sign of a serious structural problem, or opportunity for water penetration or sections of wall or floor that are broken apart
	Heaving/Exposed Rebar	Significant exposed areas affecting more than 10% of any foundation wall or any exposed reinforcing material - rebar or other
	Electrical Hazards - Exposed Wires/Open Panels	Any exposed live wires or opening in electrical panels (logged wires do not pose a risk)
	Electrical Hazards - Water Leaks on/over Electrical Equipment	Any water leaking, puddling or ponding on or immediately over any electrical apparatus that could pose a risk of fire, electrocution or explosion
Health and Safety	Emergency Fire Exits - Emergency Fire Exits Blocked/Unusable	The exit cannot be used or not in limited because a door or window is washed shut, it lock is broken, panic hardware is cleaned, debris, storage, or other conditions block exit
	Emergency Fire Exits - Missing Exit Signs	Exit signs that clearly identify all emergency exits are missing or there is no illumination in the area of the sign
	Hammable/Combustible Materials - Improperly Stored	Hammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Outdoors	Too much garbage has gathered more than the allowed storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
Hazardous - Other	Any general defects or hazards that pose risk of bodily injury	
	Hazards - Slips/Trips	Any physical defect that could cause cutting or laceration of human skin or other bodily harm
	Hazards - Tripping	Any physical defect in walkways or other traveled areas that poses a tripping risk
	Infiltration - Insects	Evidence of infestation of insects including cockroaches and ants throughout a unit or room, food preparation or storage area or other areas of building substantial enough to present a health and safety risk
Lighting	Infiltration - Rats/Mice/Vermis	Evidence of rats or mice, squirrels, owl or mouse holes, or droppings substantial enough to present a health and safety risk
	Broken Fixtures/Bulbs	10% or more of the lighting fixtures and bulbs surveyed are broken or missing
	Cracks/Soffits/Corona	Soffits or fascia that should be there are missing or so damaged that water penetration is visibly possible
	Damage/Vents	Vents are missing or so visibly damaged that further roof damage is possible
Roofs	Damage/Chipped Drains	The drain is damaged or partially clogged with debris or the drain no longer functions
	Damage/Fr/Membrane/Missing Ballast	Roof has shifted and no longer functions as it should or there is damage to the roof membrane that may result in water penetration
	Missing/Damaged Components from Downspout/Outlet	Drainage system components are missing or damaged causing visible damage to the roof, structure, exterior wall surface, or interior
	Missing/Damaged Shingles	Roofing shingles are missing or damaged enough to create a risk of water penetration
Walls	Ponding	Evidence of standing water on roof, causing potential or visible damage to roof surface or underlying materials
	Cracks/Gaps	Any large crack or gap that is more than 3/8 inches wide or deep and 4 inches long that presents a possible sign of serious structural problem or opportunity for water penetration
	Damage/Chimneys	Part or all of the chimney has visibly protruded from the adjacent roof or there are cracks or missing pieces large enough to present a sign of chimney failure or there is a risk of falling pieces that could create a safety hazard

Windows	Missing/Damaged Caulking/Mortar	Any exterior wall caulking or mortar deterioration that presents a risk of water penetration or risk of structural damage
	Missing Piece/Units/Paneling	Any exterior wall deterioration or holes of any size that present a risk of water penetration or risk of structural damage
	Cracked/Panels/Units/Frame	After than 20% of the exterior wall surface is missing and falling surface is exposed resulting in water penetration and deterioration
	Broken/Missing/Cracked/Glass	Any missing panes of glass or cracked panes of glass where the crack is more than 1/4" and/or substantial enough to impact the structural integrity of the window pane
Requirements for Building Systems	Observable Deficiency	
	Inspectable Item	
	Call for Aid (if applicable)	
	Other	
Domestic Water	Leaking Central Water Supply	Leaking water from water supply line is observed
	Missing Pressure Relief Valve	There is no pressure relief valve or pressure relief valve does not drain down to the floor
	Rust/Corrosion on Heater Chimney	The water heater chimney shows evidence of flaking, discoloration, pitting, or crevices that may create holes that could allow toxic gases to leak from the chimney
	Water Supply Inoperable	There is no running water in any area of the building where there should be
Electrical System	Blocked Access/Impaired Storage	One or more hand items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency
	Burnt Breakers	Carbon arcing, melted breakers or arcing wires are evident
	Evidence of Leaks/Corrosion	Any corrosion that affects the condition of the components that carry current or any signs or rust on the interior of electrical enclosures, or any evidence of water leaks in the enclosure or hardware
	Frayed Wiring	Any nicks, abrasion, or fraying of the insulation that exposes any conducting wire
Elevator	Not Operable	The elevator does not function at all or the elevator doors open when the job is not there
	Emergency Lighting Inoperable (if applicable)	Emergency lighting does not function
	Missing Sprinkler Head	Any sprinkler head is missing, visibly disabled, painted over, blocked, or capped
	Missing/Damaged/Inoperable (if applicable)	There is missing, damaged or expired fire extinguisher in any area of the building where a fire extinguisher is required
Fire Protection	Air Quality - Mold and/or Mildew Observed	Evidence of mold or mildew is observed that is substantial enough to pose a health risk
	Air Quality - Propane/Natural Gas/Methane Gas Detected	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk (inhalation)
	Leak - Sewer Gas Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
	Electrical Hazards - Exposed Wires/Open Panels	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)
Health & Safety	Structural Hazards - Water leaks within Technical Equipment	Any water leaking, pooling or standing on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	Emergency Fire Exit - Emergency Exit Not Marked/Usable	The exit cannot be used or is not limited because door or window is welded shut, a lock is broken, panic hardware is chained, debris, storage, or other conditions block exit
	Flammable Materials - Improperly Stored	Flammable materials are improperly stored, causing the potential risk of fire or explosion
	Garbage and Debris - Indoors	Too much garbage has gathered more than the allowed storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
HVAC	Boiler/Thump Leaks	Evidence of water or steam leaking to piping or pump packing
	Fuel Supply Leaks	Evidence of any amount of fuel leaking from the supply tank or piping
	General Rust/Corrosion	Significant deterioration of metal panels, significant failure, discoloration, or the development of a non-toxic patina or crevice
	Maintained Chimney/Ventilation System	A malfunction of an exhaust system on a combustion fuel-fired unit (oil, natural gas, propane, wood pellets etc.) that causes improper or dangerous venting of gases
Roof Exhaust System	Blocked Access to Electrical Panels	One or more hand items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency
	Leaks/Leaking/Chipped Pipes or Drains	Evidence of active leaks in or around the system components or evidence of staining, puddles or ponding - a sign of leaks or clogged drains
	Missing Drain/Cleanout/Manhole Covers	A protective cover is missing
	Other	
Requirements for Common Areas	Observable Deficiency	
	Inspectable Item	
	Call for Aid (if applicable)	
	Other	
Bathroom/Office/Carport	Bathroom/Sink Ratings - Damaged	Any damaged or missing balusters or side rails that limit the safe use of an area
	Carport - Missing/Damaged	20% or more of carport, doors, or shelves are missing or the laminate is separating
	Call for Aid - Inspectable Item	The system does not function as it should
	Community Rooms	Ceiling - Holes/Missing Tiles/Panels/Cracks
Halls/Corridors/Stairways	Carpeting - Missing/Damaged	After than 20% of the ceiling has peeling paint or is missing paint
	Colling - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew - such as a distressed area about a ceiling area greater than 1 foot square
	Countertops - Missing/Damaged	20% or more of the countertop working surface is missing, deteriorated, or damaged below the laminate - not a sanitary surface to prepare food
	Kitchen	Chimney/Garbage Disposal - Inoperable
Laundry Room	Doors - Damaged Frames/Thresholds/Units/Trim	Any door that is not functioning or cannot be locked because of damage to the frame, threshold, liner or trim
	Doors - Damaged Hardware/Locks	Any door that does not function as it should or cannot be locked because of damage to the door's hardware
	Doors - Damaged Seal Surfaces/Panels/Security Doors	Any door that has a hole or hole greater than 1 inch in diameter, significant peeling/cracking/paint or seal that affects the integrity of the door surface, or broken/missing glass
	Lobby	Doors - Damaged/Missing Screens/Storm/Security Doors
Other Community Spaces	Doors - Missing Door	Any door that is missing that is required for the functional use of the space
	Doors - Missing/Damaged/Inoperable	The door is missing or it is not functioning because it is blocked, dented, dented, or otherwise not effectively sealed to the outside
	Doors - Blocked Access to Electrical Panels	One or more hand items or items of sufficient size and weight impede access to the building system's electrical panel during an emergency
	Restrooms	Electrical - Burnt Breakers
Storage	Electrical - Evidence of Leaks/Corrosion	Any corrosion that affects the condition of the components that carry current or any signs or rust on the interior of electrical enclosures or any evidence of water leaks in the enclosure or hardware
	Electrical - Frayed Wiring	Any nicks, abrasion, or fraying of the insulation that exposes any conducting wire
	Electrical - Missing Breakers	Any open and/or exposed breaker panel
	Electrical - Missing Covers	A cover is missing, which results in exposed visible electrical connections
Floors - Bulging/Buckling	Any flooring that is bulging, buckling or sagging or a problem with alignment between flooring types	
	Floors - Hole Covering Damaged	After than 20% of floor opening has stairs, surface, balusters, or small holes that are missing, these areas are exposed areas
	Floors - Missing Floor/Tiles	More than 10% of the flooring or the flooring is missing
	Floors - Peeling/Needs Paint	Any peeling/ flooring that has peeling or missing paint on more than 20% of the surface
Halls - Not/Inoperable/Sufficient	Any catch or deteriorated self-closing greater than 6 inches by 6 inches	
	Floors - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew - such as a distressed area - covering a flooring area greater than 1 foot square
	Grills	The grill does not function
	Grilles	Any grilles on any exposed surface greater than 6 inches by 6 inches
HVAC - Convection/Radiant Heat System Covers Missing/Damaged	Cover is missing or substantially damaged, allowing contact with heating/cooling elements or associated fans	
	HVAC - General Deterioration	Significant deterioration of metal panels, significant failure, discoloration, or a patina or crevice
	HVAC - Inoperable	HVAC does not function. It does not provide the heating and cooling load. The system does not respond when the controls are engaged
	HVAC - Maintained Chimney/Ventilation System	Any malfunction that may cause improper or dangerous venting of gases
Leaky/Sink - Damaged/Missing	Leaky/Sink - Damaged/Missing	Any sink that has a hole or hole greater than 1/4" in diameter, significant peeling/cracking/paint or seal that affects the integrity of the sink surface, or broken/missing glass
	Leaky/Sink - Missing/Damaged/Inoperable	The U.S. Service Manual cannot be located or is missing
	Leaky/Sink - Missing/Damaged	Water or steam is missing on a cover plate, missing or broken, resulting in exposed wiring
	Leaky/Sink - Missing/Damaged	A walkway or ramp is damaged and cannot be used by people on foot, in wheelchair, or using walkers
Plumbing - Chipped Drains	Drain is substantially or completely clogged or has suffered extensive deterioration	
	Plumbing - Leaking Faucet/Pipes	A steady leak that is adversely affecting the surrounding area
	Range Hood Exhaust Fans - Excessive Grease/Inoperable	A substantial accumulation of dirt or grease that threatens the fire passage of air
	Refrigerator - Damaged/Inoperable	The refrigerator has an excessive accumulation of ice or the seals around the doors are deteriorated or is damaged in any way which substantially impacts its performance
Restroom/Tub - Damaged/Missing	Restroom Cabinet - Damaged/Missing	Damaged or missing shelves, vanity tops, drawers, or doors that are not functioning as they should for storage or their intended purpose
	Shower/Tub - Damaged/Missing	Any cracks in tub or shower through which water can pass or extensive discoloration over more than 20% of tub or shower surface or tub or shower is missing
	Sinks - Missing/Damaged/Inoperable	Any cracks in sink through which water can pass or extensive discoloration over more than 20% of the sink surface or sink is missing
	Stairs - Broken/Damaged/Missing Steps	A step is missing or broken
Stairs - Broken/Missing Hand Railing	Handrail is not functioning or undamaged for wheelchair does not open	
	Handrails - Missing/Damaged	Handrails are missing or damaged
	Walls - Bulging/Buckling	Bulging, buckling or sagging walls or a lack of horizontal alignment
	Walls - Damaged	Any hole in wall greater than 2 inches by 2 inches
Walls - Damaged/Deteriorated Trim	20% or more of the wall trim is damaged	
	Walls - Peeling/Needs Paint	20% or more of interior wall paint is peeling or missing
	Walls - Water Stains/Water Damage/Mold/Mildew	Evidence of a leak, mold or mildew - such as a distressed area - covering a wall area greater than 1 foot square
	Water Closet/Toilet - Damaged/Clogged/Missing	Fixture elements - seat, flush handle, cover etc. - are missing or damaged or the toilet seat is cracked or has a broken hinge or toilet cannot be flushed
Windows - Cracked/Broken/Missing Panes	Any missing panes of glass or cracked panes of glass where the crack is more than 1/4" and/or substantial enough to impact the structural integrity of the window pane	
	Windows - Damaged Window Sill	The sill is damaged enough to expose the inside of the surrounding walls and compromise its weather tightness
	Windows - Inoperable/Not Lockable	Any window that is not functioning or cannot be secured because lock is broken
	Windows - Missing/Deteriorated Caulking/Seal/Clipping Compound	There are missing or deteriorated caulk or seal with evidence of leaks or damage to the window or surrounding structure
Health & Safety	Walls - Peeling/Needs Paint	After than 20% of interior wall paint is peeling or missing
	Walls - Water Stains/Water Damage/Mold/Mildew	Evidence of mold or mildew is observed that is substantial enough to pose a health risk
	Air Quality - Mold and/or Mildew Observed	Strong propane, natural gas or methane odors that could pose a risk of explosion/ fire and/or pose a health risk (inhalation)
	Air Quality - Propane/Natural Gas/Methane Gas Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods
Leak - Sewer Gas Detected	Sewer odors that could pose a health risk if inhaled for prolonged periods	
	Electrical Hazards - Exposed Wires/Open Panels	Any exposed bare wires or openings in electrical panels (capped wires do not pose a risk)
	Electrical Hazards - Water leaks within Technical Equipment	Any water leaking, pooling or standing on or immediately near any electrical apparatus that could pose a risk of fire, electrocution or explosion
	Emergency Fire Exit - Missing Exit Sign	The exit cannot be used or is not limited because door or window is welded shut, a lock is broken, panic hardware is chained, debris, storage, or other conditions block exit
Flammable/Combustible Materials - Improperly Stored	Flammable materials are improperly stored, causing the potential risk of fire or explosion	
	Garbage and Debris - Indoors	Too much garbage has gathered more than the allowed storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Garbage and Debris - Outdoors	Too much garbage has gathered more than the allowed storage capacity or garbage has gathered in an area not sanctioned for staging or storing garbage or debris
	Hazards - Other	Any physical defect that could cause cutting or breaking of human skin or other bodily harm
Hazards - Sharp Edges	Any physical defect that could cause cutting or breaking of human skin or other bodily harm	
	Hazards - Tripping	Evidence of infestation of insects including cockroaches and ants throughout a unit or room, food preparation or storage area or other area of building substantial enough to present a health and safety risk
	Inferstation - Insects	Evidence of rats or mice - sagittings, rat or mouse holes, or droppings substantial enough to present a health and safety risk
	Inferstation - Rats/Mice/Vermin	Any damage that could compromise the integrity of the floor
Pools and Related Structures	Chutes - Damaged/Missing Components	Garbage has backed up into chutes, because the collection structure is missing or broken or compactors or components - chutes, chute door, and other components - have failed
	Chutes - Damaged/Missing Components	
	Chutes - Damaged/Missing Components	
	Chutes - Damaged/Missing Components	
Requirements for Common Areas	Observable Deficiency	
	Inspectable Item	
	Call for Aid (if applicable)	
	Other	
Bathroom	Bathroom Cabinets - Damaged/Missing	Damaged or missing shelves, vanity tops, drawers, or doors that are not functioning as they should for storage or their intended purpose
	Leaky/Sink - Damaged/Missing	Any cracks in sink through which water can pass or extensive discoloration over more than 20% of the sink surface or sink is missing
	Plumbing - Chipped Drains, Faucets	Drain or faucet is substantially or completely clogged or has suffered extensive deterioration
	Plumbing - Leaking Faucet/Pipes	A steady leak that is adversely affecting the surrounding area
Call for Aid (if applicable)	Shower/Tub - Damaged/Missing	Any cracks in tub or shower through which water can pass or extensive discoloration over more than 20% of tub or shower surface or tub or shower is missing
	Ventilation Exhaust System - Missing/Inoperable	The exhaust fan is not functioning or undamaged for wheelchair does not open
	Water Closet/Toilet - Damaged/Clogged/Missing	Fixture elements - seat, flush handle, cover etc. - are missing or damaged or the toilet seat is cracked or has a broken hinge or toilet cannot be flushed
	Walls - Bulging/Buckling/Leaking	The system does not function as it should
Ceiling	Bulging/Buckling/Leaking	Bulging, buckling or sagging ceiling or problem with alignment
	Holes/Missing Tiles/Panels/Cracks	Any holes in ceiling, missing tiles or large cracks wider than 1/4" of an inch and greater than 6 inches long
	Holes/Missing Tiles/Panels/Cracks	
	Holes/Missing Tiles/Panels/Cracks	

Annual Action Plan 2026

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

N/A

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

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

N/A

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

Projects that involve the rehabilitation of existing multifamily housing are subject to the following:

1. The Application must include a capital needs assessment satisfying the requirements set forth in the Capital Needs Assessment Requirements in Appendix C of the QAP.
2. The Rehabilitation Costs per unit of existing housing must be at least \$75,000.
3. The Project must comply with MaineHousing's Temporary Relocation and Permanent Displacement Policies and, if the Project is federally-assisted, all applicable federal requirements, including the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended. The Applicant must take reasonable steps to minimize the displacement of existing tenants of the Project. The Application must identify any tenants who will be permanently displaced and the reason for the displacement. The Project's TDC must include all costs associated with permanent and temporary displacement or relocation. MaineHousing will not allocate Credit until it has approved a project's relocation plan.

Discussion:

Attachments



State of Maine

Community Development Block Grant Program

2026 Program Statement

Office of Community Development
111 Sewall Street, 3rd Floor
59 State House Station
Augusta, Maine 04333-0059
Phone: (207) 624-7484
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2026 PROGRAM STATEMENT

**MAINE DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM 2026
PROGRAM STATEMENT**

SUMMARY

This Program Statement describes the method by which 2026 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. DECD held an initial virtual combined public forum/hearing regarding the development of this Program Statement on September 8, 2024.

SECTION 1. PROGRAM OVERVIEW

A. CDBG OBJECTIVES

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

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

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

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

B. METHOD OF DISTRIBUTION:

DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2026 Program Statement provides a description of the selection criteria that OCD will use to allocate CDBG funds among communities. Programs are grouped under the three categories listed below.

1. Community Development

- A. Home Repair Network
- B. Housing Assistance Grants
- C. Public Infrastructure Grants
- D. Downtown Revitalization Grants
- E. Public Service Grants
- F. Small Business Development Centers
- G. Maine Development Foundation/Downtown Center Assistance
- H. Urgent Need Grants
- I. Special Projects
- J. Community Enterprise
- K. Rural Housing Preservation Program

2. Economic Development

- A. Grants to Municipalities for Direct Business Support

3. Technical Assistance

C. STATE ADMINISTRATION:

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

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

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

4. Grant Administration Requirement:

Grantees must employ, or contract with, a qualified CDBG Grant Administrator approved by the Office of Community Development. All planning activities are exempt from this requirement.

D. PROGRAM TIMEFRAME

Application deadlines – All Letters of Intent must be received via e-mail by the Office of Community Development on or before 4:00PM EST on the dates listed below.

Program	Letter of Intent Due Date VIA E-MAIL	Application Due Date By Invitation Only
Downtown Revitalization	January 23, 2026	March 6, 2026
Economic Development	1 st Friday of the month starting July 3 ,2026	By invitation only
Housing Assistance	March 20, 2026	May 15, 2026
Public Infrastructure	January 16 **	March 13**
Public Service	April 24, 2026	June 5, 2026
Community Enterprise	February 20, 2026	April 10, 2026
Special Projects*	TBD	TBD
Urgent Need*	TBD	TBD

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

** This program is funded in two year cycles.

E. 2026 PROGRAM BUDGET

2026 CDBG Budget	\$11,904,978
Administration	338,099
Technical Assistance Administration	119,904
<u>Community Development</u>	
Rural Housing Preservation Program	1,200,000
Downtown Revitalization Grants	300,000
Home Repair Network Program	1,600,000
Housing Assistance Grants	1,500,000
Public Service Grants	200,000
Public Infrastructure Grants	4,000,000
Regional Council Planning Assistance	225,000
Small Business Development Centers	300,000
Maine Development Foundation/Downtown Center Assistance	400,000
Community Enterprise Grants	600,000
Special Projects	121,975
Urgent Need Grants*	0
<u>Economic Development</u>	
Economic Development Grants	1,000,000
TOTAL 2026 CDBG Funds	11,867,952
Funding for individual categories may change based on actual HUD award.	

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

F. CERTIFICATIONS

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

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

G. GENERAL REQUIREMENTS:

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

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2026 CDBG funding category only if the eligible applicant will not directly benefit from the tribal CDBG project.

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

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

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

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

6. Application Threshold: Incomplete and/or non-conforming applications which do not meet the specifications set forth in the 2026 Program Statement and 2026 CDBG Application Packages will be removed from the scoring process during the threshold review.

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

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

9. Past Performance: In order to be eligible to apply for a 2026 Community Development Block Grant program, communities that received CDBG grants in prior years must be in good standing with the Office of Community Development. All Past Performance Criteria will be strictly enforced; however, these criteria may be waived for just cause by the Director of OCD.

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

H. EXCLUSIONS:

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

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

I. AWARD PROCESS:

1. Scoring:

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

2. Project Development Phase:

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

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

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

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

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

3. Project Development Timeframe and Assistance:

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

SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

A. HOUSING ASSISTANCE GRANT PROGRAM

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

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

2. Eligible Activities: Eligible HA activities are rehabilitation of occupied or vacant multi-family housing units, conversion of non-residential structures, homeownership/down payment assistance, construction of new units by a non-profit community-based housing development organization

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

4. Maximum HA Grant Amount: \$500,000

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

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

(a) Stage 1:

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

(b) Stage 2:

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

Impact (40 points):

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

Development Strategy (40 points):

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- A description of the plan proposed to implement the housing project – 20 points
- Summary of the activities and use of HA funds –20 points

Citizen Participation (20 points):

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

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

B. HOME REPAIR NETWORK PROGRAM

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

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

2. Eligible Activities: Eligible activities under the HRN Program include but are not limited to: rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, necessary ADA modifications, special eligible housing projects approved by OCD.

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

4. Maximum HRN Grant Amount: Allocations to each of the established regions will be determined by the Office of Community Development.

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

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

C. PUBLIC INFRASTRUCTURE GRANT PROGRAM

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

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

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

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

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

Activity Group Numbers:

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

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

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

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

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective: All communities wishing to submit a PI application must submit a Letter of Intent and Verification of CDBG National Objective to OCD. After review for completeness and eligibility, units of

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

(b) Stage 2:

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

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

Impact (40 points):

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

Development Strategy (40 points):

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

Citizen Participation (20 points):

- How overall citizen participation process directly relates to identification of solution strategies and application development - 4 points
- Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 4 points

- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 4 points
- Involvement of potential LMI project beneficiaries into the application development and citizen participation process – 4 points
- How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments – 4 points

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

D. DOWNTOWN REVITALIZATION GRANT PROGRAM

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

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

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

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

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

5. Maximum DR Award: \$300,000

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

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

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

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective:

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

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

(b) Stage 2:

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

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

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

Impact (40 points):

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

Development of Strategy (40 points):

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

Citizen Participation (20 points):

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

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

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

Opportunity Zone Bonus – 3 bonus points will be assigned to each applicant community certified as an Opportunity Zone location at time of application.

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

E. PUBLIC SERVICE GRANT PROGRAM

The Public Service Grant (PSG) Program addresses community and business resource needs by providing funding for operating expenses, equipment, and program materials for activities which will benefit low/moderate income (LMI) persons. Please refer to Page 5 of this document for Program deadlines and due dates.

1. Eligible Activities: Eligible activities include but are not limited to operating and program material expenses for the purpose of providing workforce training and skills development, childcare, health care, recreation programs, education programs, public safety services, fair housing activities, senior citizen services, homeless services, drug abuse/mental health counseling and treatment.

2. Project Benefit: Eligible PSG projects must provide benefits to one of the groups of persons listed below and be in support of an identified business or non-profit entity:

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

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

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

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

4. Maximum PSG Amount: \$50,000

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

(a) Stage 1:

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

(b) Stage 2:

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

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

Impact (40 points):

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

Development Strategy (40 points):

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

Citizen Participation (20 points):

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

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

F. SMALL BUSINESS DEVELOPMENT CENTERS

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

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

(a) Eligible Activities:

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

(b) Communities ineligible for SBDCTA Assistance:

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

G. MAINE DEVELOPMENT FOUNDATION/DOWNTOWN CENTER ASSISTANCE

The Maine Development Foundation/ Downtown Center Assistance (MDFDCA) provides funding to support activities undertaken by the Maine Development Foundation/ Downtown Center on behalf of communities addressing critical needs including but not limited to established downtown areas. The funds may be used to match other financial assistance received through the Maine Development Foundation to further address community development needs.

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

2. Eligible Activities: Eligible activities under the MDFDCA are planning, capacity building, technical assistance and administration directly related to building vibrant, sustainable communities and downtowns.

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

H. URGENT NEED GRANT PROGRAM

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

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

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

2. Program Requirements:

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

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

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

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

(a) Stage 1:

Application: An UN application must include the following:

- documentation that the emergency situation was prompted by natural or man-made causes that pose an imminent threat of injury or loss of life.

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

(b) Stage 2:

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

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

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

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

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

I. SPECIAL PROJECTS PROGRAM

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

J. COMMUNITY ENTERPRISE GRANT PROGRAM

The Community Enterprise Grant (CE) Program provides grant funds to assist in business façade programs and to make streetscape improvements in downtown and village areas. Assistance to businesses may be in the form of grants or loans at the discretion of the community. Please refer to Page 5 of this document for Program deadlines and due dates.

1. Threshold Criteria and Program Requirements: CE Program funds will be distributed through an annual grant application selection process.

(a) Eligible Activities:

Eligible activities under the façade grants to for-profit or non-profit businesses are for exterior improvements, including signage, painting, siding, awnings, lighting, display windows and other approved exterior improvements (**interior improvements are not allowed**) and eligible activities under streetscapes include pocket parks, benches, street lighting, tree plantings, signage, traffic calming improvements, sidewalks and other approved improvements; eligible planning activities necessary to complete the Project Development Phase. **Sewer, water, storm drainage, parking, roads or streets and other infrastructure improvements and buildings solely for residential use are not eligible. All streetscape improvements must take place on publicly owned property.**

(b) Downtown Revitalization Program Prohibition - Communities applying for a CE grant may not apply for, receive, or benefit from a Downtown Revitalization Program (DR) grant in the same program year.

(c) Maximum CE Grant Amount: \$100,000 - Applicants may apply to address one or any combination of eligible activities listed above but are limited to a total of \$100,000 in CE funds.

(d) Maximum Amount of Community Enterprise Grant/Loan Assistance to Businesses: \$25,000

(e) Match – All communities applying for CE Program funds must certify that they will provide a minimum cash match equivalent to 25 percent of the total grant award. This minimum 25% match may come from any source public and/or private. All match must be fully committed at the time of application.

(f) Project Benefit:

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

(ii) Streetscapes: Project benefit will be met when streetscapes take place in a designated slum/blight area or the applicant

community where the project will take place is 51% or greater LMI as determined by HUD and the U.S. Census.

2. Special Program Requirements

Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of 1) benefiting 51% or greater low/moderate income persons, or 2) preventing or eliminating slum or blighting conditions. Census information, a certified target area survey, an officially adopted declaration of slum/blight conditions conforming to the requirements of MRSA Title 30-A, Chapter 205, 5202 and HUD, or assurances of spot blight designation eligibility must be submitted to OCD. ***These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD on or before 4:00pm on Friday February 25, 2026.***

3. Selection Process: The selection process will consist of three phases; a letter of intent, an application phase and a project development phase.

(a) Letter of Intent and Verification of CDBG National Objective:

All communities wishing to submit a CE application must submit a Letter of Intent and Verification of CDBG National Objective to OCD on or before 4:00PM on Friday January 29, 2026 according to the requirements set forth in the 2026 CE application package.

(b) Application: The maximum length of an application is **four pages, not counting required attachments**. The application deadline for the CE Program is 4:00 PM on April 9, 2026.

(i) Impact (40 points):

*State the problems then present the scope and magnitude of the identified problems. – 6 points

*Explain how the problems negatively impact the local economy and the viability of existing downtown or village area. – 8 points

*Clearly define how the problems negatively affect LMI persons and/or contribute to slum/blight conditions. – 10 points

*Describe the obstacles to overcoming the identified problems. – 6 points

*Explain why CE funds are necessary for the project; describe efforts to secure other grant or loan funds and tell why they are not available locally to assist businesses or local government with their development and site improvement needs. – 10 points

(ii) Development Strategy (40 points):

*List the specific activities to be undertaken in the project. For streetscapes include location, size and design features. – 5 points

*Identify the specific use of CE funds and the specific tasks or activities to be funded with each other source of funds. – 5 points

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*Provide Identification and description of potential business façade applicants and their needs; **or** provide details of how areas in need of streetscape improvements were identified and prioritized. – 5 points

*Explain how the CE project will stimulate business in the downtown or village area and assist in improving the area's long-term viability. – 6 points

*Describe how the CE funded activities will have a positive impact on LMI persons and/or on alleviation of the slum/blight conditions. – 6 points

*Provide a project timeline; list activities or actions completed to date. – 4 points

*Describe the capacity and experience of the administrator to market and conduct a facade program **or** streetscape improvement effort; and describe how CE funds will be expended in a timely manner. – 5 points

*Budget Summary Review – 4 points

(iii) Citizen Participation (20 points):

*Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation. – 4 points

*Relevance of listed meeting/hearing activities/comments (not counting required public hearing) and the overall citizen participation process in application and project development. – 4 points

*Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business-related organizations in identification of problems and development of the application and project. – 4 points

*Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process. – 4 points

*How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments. – 4 points

Opportunity Zone Bonus – 3 bonus points will be assigned to each applicant community certified as an Opportunity Zone location at time of application.

Stage 2: Final Application Score – Applications will be awarded funding based on the consensus of the review team. There is no minimum Final Application Score required for an application to be considered for funding.

K. RURAL HOUSING PRESERVATION PROGRAM

The State of Maine has over 8,000 units of federally assisted housing at risk from a series of dynamics including expiring restrictions, maturing mortgages, aging owners and subsequent conversion to market rate. These affordable projects are primarily in small rural Maine towns and may be the only affordable and/or rental housing in the community. The loss to the communities is staggering when compared to new construction costs and volatile demand from the private market. Preservation of the existing federal assistance is crucial to stable housing conditions in Maine's rural communities. Due to complex regulation and restrictions there is a gap in funding the successful transfers of these assets to new owners and protecting the most valuable segment - the affordable rental unit for local Maine residents. The RHP Program will provide an additional grant resource which will serve as the missing piece to solving the gaps and challenges found in many of these transactions.

1. Threshold Criteria: RHP Program funds will be distributed through a set aside of CDBG funds provided to the City of Presque Isle as the lead community. The lead community will establish a legally binding contract with the Genesis Fund, a statewide Community Development Financial Institution, to provide funds for the preservation and rehabilitation of multifamily rental properties in rural Maine communities for the benefit of low-income households. The Genesis Fund is actively and intricately involved in this work on policy, on technical assistance and on financing the solutions. A seasoned administrator of CDBG funds, the Genesis Fund has a demonstrated track record of successfully implementing this resource for the direct benefit to low-income households.

2. Eligible activities: Funds will be used for property acquisitions; to reduce debt financing burdens on the protected unit rents; to cover transaction and soft costs to accomplish the transfers; and for closing charges.

3. Maximum RHP Grant Amount: \$1,000,000. Allocations to each rural multifamily property will be determined by the Genesis Fund. RHP funds will be used to fill gaps in project financing.

4. Matching Funds: The Genesis Fund will bring together capital resources and technical assistance to facilitate the transfer of rural multifamily properties to new owners. These resources include a new State Housing Tax credit, a dedicated set aside in the Maine QAP of LIHTC for preservation of rural federally assisted housing, and a dedicated loan fund at Genesis for preservation supported by Federal Home Loan Bank of Boston. These and other resources will adequately supply matching funds RHP Program.

5. Maximum Administrative Costs: The RHP Program allows expenditures for general and rehabilitation administration. The total general and rehabilitation expenditures will not exceed 15% of the grant amount. The City of Presque Isle is allowed a maximum of \$3,000 in general administrative funding.

6. Property Standards: All rehabilitation activities completed with this Program will comply with federal, state and local building codes and requirements and will meet any applicable federal agency property standards.

SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

A. ECONOMIC DEVELOPMENT

The Economic Development program (EDP) provides communities with **gap** funding to assist identified businesses in the creation/retention of jobs for low-and moderate-income persons. Please refer to Page 5 of this document for Program deadlines and due dates.

1. Eligible Activities:	<u>Maximum Award</u>
a) Grants to Municipalities for Direct Business Support: working capital and capital equipment purchase Acquisition, and any type of construction or renovation is not an allowable activity.	\$100,000*

2. Exclusions:

- Applicants may apply on behalf of only one business.
- **EDP funds cannot be used to refinance existing debt.**
- All EDP activities must be in support of an identified business; speculative activities are excluded.
- Communities may **not** apply on behalf of a business that has received prior CDBG EDP funding.
- **Waivers to increase the maximum grant award amount, in instances where the impact of the project is substantial and can be documented, both through project investment and job creation, must be approved by the Director of the Office of Community Development.**

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

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

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

6. Program Requirements:

(a) EDP Letter of Intent Due Dates:

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

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

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

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

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

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

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

(a) Stage 1:

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

(b) Stage 2:

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

Problem Statement

Scope

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

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

- Emphasize the importance of the affected business in relation to the stability of the community/region and its current financial well-being.

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

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

Solution

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

- Identify, in detail, the specific working capital uses of EDP funds.
- Explain how the solution directly solves the identified problems/needs.
- Include a firm figure of the number of jobs to be created or retained as a result of the project, and how these jobs relate to persons of low/moderate income.
- Clearly state the amount of EDP funds sought and how they will fit into the overall financing for the project.

Effect on Assisted Business

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

Project Timeline and Feasibility

- Describe how the project is assured of successful completion within 12 months.
- Provide background information (including resumes) for the owners and/or managers of the business and specific information about the skills and experiences of the owners and/or managers as related to the successful management of the business and proposed project.
- Include a concise timetable for project implementation.

Citizen Participation

- Describe how citizen were informed of the development of this application, including how the required public hearing contributed to the process. **(Submit a public hearing record consisting of the published public hearing notice, hearing minutes, and attendance list with the original and all three copies of the application.)**
- **Business/Local Involvement** Outline other input from businesses, chambers of commerce, development organizations, local groups and individuals have had in increasing the citizen participation process for the proposed project.
Highlight how the use of any media (TV, radio, newspapers, etc.) increased public awareness and participation in the EDP project.

9. Opportunity Zone Priority will be given to each applicant community certified as an Opportunity Zone location at time of application.

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

11. Project Development Phase: The project development phase must be completed within 3 months from the date of award. The goal of this phase is a grant contract for CDBG funds. During this phase an OCD Development Program Manager will be assigned to work with the community to finalize their project. OCD reserves the right to rescind the CDBG program award of the community is not under contract within this time. The Office of Community Development may grant waivers for just cause.

B - MICRO-ENTERPRISE ASSISTANCE GRANT PROGRAM

The Micro-Enterprise Assistance Program (MEA) provides funding to non-entitlement areas statewide to address the needs of Micro businesses. This program will start **July 1, 2026** and will be administered on a regional basis throughout Maine, as stated below.

1. Special Threshold Criteria and Certifications: MEA Program funds will be distributed through a set aside of CDBG funds provided to Aroostook County as the lead community. The lead community will establish a legally binding contract with each of the participating Economic Development entities. Participation in the MEA delivery system is subject to the approval of the Director of the OCD. The MEA Program provides grant funds to micro-enterprise businesses through a partnership with Maine's Small Business Development Centers and their partners.

1. Eligible Activities: Eligible activities include grants to for-profit businesses that can be used for working capital, purchase of inventory, supplies and equipment. Maine's Small Business Development Centers will identify and pre-qualify those businesses who are eligible for the program. Potential participants will need to provide their previous years' income tax return to verify eligibility.

Cannabis related businesses are not eligible.

2. Maximum Amount of Micro-Enterprise Assistance to an individual business:
\$10,000

3. Project Benefit / Demonstration of National Objective:

Micro-Enterprise Grant: Existing businesses that have five or fewer employees, **one of whom owns the enterprise, and whose household income is Low/Moderate as defined by HUD will meet the project benefit.** Applicants will need to submit a copy of their previous year's Personal Income Tax filing with their application. Non-owner employees' incomes are not considered in meeting project benefit.

4. Selection Process:

All Micro-Enterprise businesses wishing to submit a MEA application must meet with their local Small Business Development Center advisor to determine eligibility. SBDC advisors will review and submit complete applications to be considered for funding.

SECTION 4. TECHNICAL ASSISTANCE

The Office of Community Development will use Technical Assistance funds to: conduct workshops, produce program materials, provide training, and provide technical assistance and outreach to communities.

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

SECTION 5. REDISTRIBUTION OF GRANT FUNDS

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

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

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

2. Unallocated State Grants to Local Governments: Unallocated grant funds resulting from lack of adequate program competition or demand in any of the available 2026 CDBG programs and any additional funds allocated by HUD may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

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

SECTION 6. PROGRAM INCOME

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

SECTION 7. APPEALS

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

An applicant wishing to appeal DECD's decision regarding their 2026 application restricted to errors of fact or procedure, may do so by submitting an appeal letter to the Director of the Office of Community Development within fifteen (15) days of the award announcement for that specific program.

SECTION 8. AMENDMENTS TO THE PROGRAM STATEMENT

The State may amend the 2026 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The Department of Housing and Urban Development's citizen participation requirements will guide the amendment process.

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

BY CONTACTING:

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

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

www.meocd.org

The Maine CDBG Program is Funded by:



Maine Continuum of Care

Coordinated Entry Policies and Procedures

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Revision History

Version	Date – Responsible Party	Key Changes	Status
n/a	9/1/2022 - Erin Kelly, Kate Easter, Tara Hembree, Giff Jamison	Initial Draft	Pending
1.0	9/1/2022 - MCoC Board	Final approval at board meeting	Approved
2.0	02/2025 – Erin Kelly, Joe Locke, Tara Hembree, Giff Jamison, Nakesha Warren-Colbry, Amy Holland	Addition of the following policies/procedures: dynamic prioritization, DHHS referral policy, inactive policy, housing providers CC policy. Modified the Participant and Provider Declined Referrals	Approved by CE Committee
3.0	09/03/2025 – Erin Kelly, Jeff Cosgrove-Cook, Amy Holland, Joe Locke	Updated By-Name List Inactive Policy, Updated Dynamic Prioritization, Case Conferencing Consent expiration date changed from 1 to 2 years	Approved by CE Committee
4.0	01/06/2026 – Erin Kelly, Jeff Cosgrove-Cook, Amy Holland, Joe Locke	Added additional language to STEP 2 of Referral policy “Identification of Households to be Referred” and “referral procedure.” Included Statewide DVRC resources with CE Assessment	Approved by CE Committee

Introduction and Overview

Overview of Coordinated Entry

Coordinated entry is a consistent, streamlined process for accessing the resources available in the Maine Continuum of Care (MCoC) homeless response system. Through coordinated entry, the MCoC ensures that housing resources and supportive services are used as efficiently and effectively as possible. This is done by assessing households experiencing homelessness quickly and uniformly to connect them to the best available housing resource whenever possible.

Coordinated Entry Participation

All Continuum of Care and Emergency Solutions Grant funded projects are required to participate in the Maine CoC Coordinated Entry Process. Ideally, all homeless assistance projects will participate in Coordinated Entry in some capacity, and the CoC will continue to work to facilitate the participation of new partners.

Terms & Definitions

The purpose of this section is to provide definitions for many of the federal, state, and local terms that are referenced throughout this document.

By Name List	A comprehensive list of individuals who have been identified as experiencing homelessness in our community.
Chronically Homeless	Chronically homeless means: (1) A "homeless individual with a disability," as defined in Section 401(9) of the McKinney-Vento Homeless Assistance Act, who: i. Lives in a place not meant for human habitation, a Safe Haven, or an emergency shelter; AND ii. Has been homeless continuously for at least 12 months or on at least four separate occasions in the last 3 years, as long as the combined occasions equal at least 12 months and each break in homelessness separating the occasions included at least 7 consecutive nights of not living as described in (i) above.
Case Conferencing	Local process for CE staff to coordinate and discuss ongoing work with persons experiencing homelessness in the community, including the prioritization or active list. The goal of case conferencing is to provide holistic, coordinated, and integrated services across providers, and to reduce duplication.
Continuum of Care	Group responsible for the implementation of the requirements of HUD's CoC Program interim rule and promotes communitywide commitment to the goal of ending homelessness. The CoC is composed of representatives of organizations, including nonprofit homeless providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons.
Emergency Shelter	Short-term emergency housing available to persons experiencing homelessness.
Emergency Shelter and Housing Assistance Program (ESHAP)	The Emergency Shelter and Housing Assistance Program (ESHAP) provides agencies with funding and technical support to provide services to people experiencing homelessness. MaineHousing utilizes federal Emergency Solutions Grants (ESG) funding, along with state

	<p>funds, to provide funding in three areas: Shelter Operations, Housing Stabilization, and Performance incentive.</p>
Emergency Solutions Grant Program (ESG)	<p>HUD funding source to (1) engage homeless individuals and families living on the street; (2) improve the quantity and quality of emergency shelters for homeless individuals and families; (3) help operate these shelters; (4) provide essential services to shelter residents; (5) rapidly rehouse homeless individuals and families; and (6) prevent families and individuals from becoming homeless.</p>
Homeless Management Information System (HMIS)	<p>Local information technology system used by a CoC to collect participant-level data and data on the provision of housing and services to homeless individuals and families and to persons at risk of homelessness. Each CoC is responsible for selecting an HMIS software solution that complies with HUD's data collection, management, and reporting standards.</p>
Projects for Assistance in Transition from Homelessness (PATH)	<p>PATH prioritizes serving people with complex needs and barriers to housing who are often difficult to locate, engage in services, and connect to resources to meet their basic needs. To be eligible for PATH services, an individual must have a serious mental illness and be chronically or literally homeless</p>
Permanent Supportive Housing (PSH)	<p>PSH is permanent housing with indefinite leasing or rental assistance paired with supportive services to assist homeless persons with a disability or families with an adult or child member with a disability achieve housing stability.</p>
Prioritization List	<p>The MCES prioritization list is a subset of the larger hub level Quality By Name List which strives to include the majority of individuals experiencing homelessness in each specific hub area. The MCES prioritization list will be able to be sorted by score on both the state and hub level to help facilitate referrals to housing resource openings.</p>
Rapid Rehousing	<p>Program emphasizing housing search and relocation services and short- and medium-term rental assistance to move homeless persons and families (with or without a disability) as rapidly as possible into permanent housing.</p>
CoC Permanent Supportive Housing Program (CoC PSHP)	<p>Permanent Supportive Housing Program (PSHP) is a PSH program administered by DHHS and is permanent housing in which housing assistance (e.g., long-term leasing or rental assistance) and supportive services are provided to assist households with at least one member (adult or child) with a disability in achieving housing stability.</p>
Transitional Housing	<p>Program providing homeless individuals and families with the interim stability and support to successfully move to and maintain permanent housing. Transitional housing funds may be used to cover the costs of up to 24 months of housing with accompanying supportive services. Program participants must have a lease (or sublease) or occupancy agreement in place when residing in transitional housing.</p>
Transitional Housing-Rapid Rehousing Joint Component	<p>These projects provide a safe place for people to stay – transitional housing – with financial assistance and wrap-around supportive services determined by program participants to help them move to permanent housing as quickly as possible.</p>

Service Hub	A group of regional providers that creates local foundation for the prioritization and case conferencing of Coordinated Entry, as well as working collectively toward ending homelessness. Each hub supports regional coordination and resource alignment and provides system level data used to improve performance.
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Roles and Responsibilities

CoC Board	Responsible for the general oversight of the MCoC, including the CE system, including the approval of the CE Policies & Procedures document.
Coordinated Entry Committee	Committee of the CoC charged with meeting at least monthly to oversee the implementation and evaluation of the Coordinated Entry System.
Coordinated Entry Operator (See Appendix A)	Responsible for the day-to-day operations and management of the overall Coordinated Entry System.
Hub Coordinator	Responsible for hub-level operation and management of the Coordinated Entry System, specifically prioritization and referral case conferencing.
Collaborative Applicant	The MCoC has selected MaineHousing to be their Collaborative Applicant (CA). The CA submits the MCoC NOFO application for funding and administers Planning Grant funds.
HMIS Lead Agency	Operates the Homeless Management Information System (HMIS) on the CoC's behalf. Ensures the CE system has access to HMIS software and functionality for the collection, management, and analysis of data on persons served by coordinated entry. Entity designated by the CoC in accordance with HUD's CoC Program interim rule to operate the HMIS on the CoC's behalf.
Participating Project	CoC and ESG funded housing resources that are required to receive their referrals through Maine's Coordinated Entry system. This can include non-CoC and ESG funded housing resources that volunteer to be part of CES.
Access Point	Providers in each of Maine's Service Hubs that are responsible for completing the Coordinated Entry assessment with participants seeking access to housing resources within a hub, entering that information into HMIS or using otherwise agreed upon means for data submission, and participating in case conferencing as appropriate.
Access Partner	Mainstream providers or institutions that provide necessary services or assistance or interact with people who are experiencing homelessness and know how to connect those people to the homeless service response system.
U.S. Dept. of Housing and Urban Development (HUD)	Federal agency responsible for administering housing and homelessness programs including the CoC and ESG Programs.
U.S. Dept. of Veterans Affairs (VA)	Federal agency responsible for providing health care and other services, including assistance to end homelessness, to veterans and their families.

Access

Access Model Overview

The Maine CoC Coordinated Entry System will strive to ensure equitable access to housing resources for all Maine residents who are experiencing homelessness. In order to accomplish this across such a vast geography, Coordinated Entry will operate locally within the state's Service Hub structure. Maine has a total of 9 Service Hub areas, each covering one or more counties. Some towns are assigned to Hubs outside their county where that made more sense in terms of access to resources.

- Hub 1: York
- Hub 2: Cumberland
- Hub 3: Midcoast (Sagadahoc, Knox, Lincoln, Waldo, and Towns of Brunswick and Harpswell)
- Hub 4: Androscoggin
- Hub 5: Western: Oxford, Franklin, and Towns of Livermore and Livermore Falls
- Hub 6: Central: Somerset and Kennebec
- Hub 7: Penquis: Penobscot and Piscataquis
- Hub 8: Downeast: Washington and Hancock
- Hub 9: Aroostook

Each of the 9 Service Hub areas will have designated access points as well as access partners to help ensure that a household experiencing homelessness in any county will have access to the Coordinated Entry System. The goal of establishing localized access points and partners in each of the Service Hubs is to reduce the number of households who do not know where to turn or who to call when they are experiencing homelessness, and to reduce the need for households to leave their communities of origin to seek crisis housing and services in more populated areas of the state.

Designated access points and their responsibilities are described in the section below. Access partners are organizations or institutions in the community whose role is not dedicated to serving people experiencing homelessness, but who frequently interact with the population. This may include hospitals and healthcare providers, local law enforcement, food pantries, employment agencies, Community Action Agencies (CAP), and more. Access partners will not require a formal designation. Instead, each Service Hub team should conduct the necessary outreach and engagement with local access partners to ensure that they are informed about how to connect their clients, when applicable, to the CoC's Coordinated Entry system.

Note that access to Coordinated Entry is not the same thing as access to emergency services (e.g., emergency shelter) in each Service Hub geography. All households in need of emergency assistance will be able to access those resources outside of the Coordinated Entry system without first having to complete any sort of Coordinated Entry assessment.

Designated Access Points

Designated access points will include all shelters that receive Emergency Shelter and Housing Assistance Program (ESHAP) funding, as well as many Projects for Assistance in Transition from Homelessness (PATH) providers. PATH providers will be asked to serve as access points for their participants if they have the local capacity to do so, and will have the option to decline if they do not.

Because there is such a variety in need and capacity across the state's Service Hub areas, there will also be the option to identify additional access points locally. Additional access points may be necessary if the existing ESHAP or PATH providers in an area are not able to serve as access points for all people experiencing homelessness. This may include households who are staying in emergency shelters that are non-ESHAP funded, households who are staying in

transitional housing programs for homeless people that are non-ESHAP funded, and households who are unsheltered but not eligible for services through PATH.

When the need for an additional access point is identified, the Hub Coordinator will serve as the person who coordinates this discussion and communicates the need to the Coordinated Entry Committee. Additional access points will require approval by the Coordinated Entry Committee to ensure that one of the following are true:

1. There are available HMIS licenses if the proposed access point does not already have HMIS access; or
2. There is a comprehensive and reasonable plan for ensuring that all participant data is entered into HMIS if the access point is not willing or able to take on the responsibility of HMIS data entry

Access Point Responsibilities

Designated access points are responsible for the following activities:

1. All assessor staff must complete the CoC's annual training on how to complete the standardized assessment
2. Access points must complete the standardized assessment with all households experiencing literal homelessness who present for assistance
 - a. Note: access points will not be responsible for assessing those households who are not eligible for their services (e.g., PATH providers will not be responsible for assessing households who are unsheltered but not PATH eligible, ESHAP shelters will not be responsible for assessing households who are not eligible for shelter entry)
3. Access points must enter the participant information captured during the standardized assessment into the Homeless Management Information System (HMIS) or Comparable Database to ensure that assessed households are placed on the prioritization list
4. Access points must participate in case conferencing meetings at the Service Hub level

Specialized Access Points for Subpopulations

The Maine CoC allows for specialized access points for specific subpopulations: those fleeing Domestic Violence, Veterans, and Youth. These subpopulations can choose to access their population specific resources as well as the mainstream Coordinated Entry System if they are interested in accessing the housing resources associated.

Veterans:

Designated access points for those that served in the military include the Preble Street Veterans Housing Services (VHS) referral line and the National Call Center for Homeless Veterans. Preble Street VHS, a Supportive Services for Veterans Families Grantee, is statewide and is open weekdays from 8:30am to 5:00pm, EST. <https://www.preblestreet.org/what-we-do/housing-services/veterans-housing-services/>. The VA Call Center can be reached 24 hours a day/7 days a week; calls to this hotline will be sent to staff locally at the VA medical center at Togus to follow up with. 1-877-4AID-VET or 1-877-424-3838, <https://www.va.gov/homeless/nationalcallcenter.asp>.

Domestic Violence:

Designated access points for those fleeing domestic abuse & violence include all the Domestic Violence Resource Centers (DVRCs) across the state. Survivors can access CES through either a DVRC Access Point or through a mainstream Access Point. If they access CES through a mainstream Access Point, they will be offered a chance to connect with their local DVRC.

All survivors of domestic abuse & violence or trafficking will be evaluated for eligibility for the DV-specific RRH dollars if referred.

A list of these DVRCs can be found at <https://www.mcedv.org/> and <https://www.wabanakiwomenscoalition.org/>. More information can also be found by calling the statewide domestic violence crisis line at 1-800-834-HELP (4357).

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Updated 12/2025

Youth

Maine's Youth Coordinated Entry system has youth specific shelters and COC funded programs that will act as youth specific access points: Preble Street's Joe Kreisler Teen Shelter in Portland, <https://www.preblestreet.org/what-we-do/teen-services/joe-kreisler-teen-shelter/>, New Beginnings in Lewiston, <https://newbeginmaine.org/>, and Shaw House in Bangor, <https://www.theshawhouse.org/>. The Northern Light House in Mars Hill <https://tnlh.org>. As Youth Homelessness Demonstration Project grantees, Penquis CAP <https://www.penquis.org/>, and Volunteers of America <https://www.voanne.org/yva-services> locations will also act as access points for the youth CES. Mainstream access points will also be trained on administering the Youth Coordinated Entry Assessment so a young person will have access to the Youth CES without having to be referred to another agency. Case conferencing for youth resources will be facilitated by the HUB Coordinator at the HUB level.

Access Partners

Access partners are providers or institutions that provide necessary services or assistance or interact with people who are experiencing homelessness and know how to connect those people to the homeless service response system (law enforcement, hospitals, etc.). Service hubs will conduct outreach (written and verbal) to access partners to ensure that they are aware of Maine's homeless response system structure and how to connect literally homeless households to the resources they need.

Hub partners will have an informal relationship to the hubs; whereas they will continue to connect literally homeless individuals to the emergency homeless response resources they need but will not be required to use a specific form or process. If a Service Hub identifies a trend that indicates the need for a more formal process for access partners to connect households to access points; this can be established and implemented at the service hub level.

Affirmative Marketing and Outreach

In each one of Maine's 9 Service Hubs, there will be a need to raise community awareness about the Coordinated Entry System and access to housing resources. Each area will be expected to engage in broad-based, passive marketing in the community – targeted to spaces that people experiencing homelessness frequent. For example, this could take the form of posters and pamphlets about Coordinated Entry and how a household can access the system to be assessed for available housing resources. Other examples of places in which marketing may be beneficial could include public transportation, bottle redemption centers, laundromats, and libraries, among other places. In addition to the need for local marketing and outreach efforts, the Maine CoC will also engage in state-wide marketing and outreach. This may include information about Coordinated Entry access disseminated through newspaper, radio, television, or other conventional media outlets, as well as social media.

Adding Additional Access Points

The Maine CoC encourages the creation of new access points, should there be a need. The following outlines the process for requesting and approving new access points in specific hubs:

1. Hub Coordinators will be tasked with outreaching local service providers and community partners. In the course of these conversations, HCs will provide the relevant information, including the process of becoming an additional access point and the requirements of an access point, which includes:
 - o participating in the mandatory CES assessment training
 - o administering the CE assessment tool to participants
 - o entering assessment data into HMIS (or determining the approved workaround method)

- attending case conferencing hub level meetings as needed
2. Once service providers have been briefed on the requirements of becoming an official access point and have agreed to it, hub coordinators should email the CE Committee Tri-Chairs and COC Project Coordinator at Maine Housing. The email should include the name & contact information for the service provider/community partner that wishes to become an access point. The email should also indicate that the potential access point has been fully briefed on the requirements and that they have agreed to them. Finally, the email should outline if the potential access points already have access to HMIS and how many additional HMIS licenses would be needed, if any.
 3. The hub coordinator will then present the proposed access point at the next Coordinated Entry Committee meeting for approval.
 4. Once approved the Hub coordinator will create an HMIS helpdesk ticket for the new access point providing the contact information for the new access point. MaineHousing, as the CE Operator and HMIS Lead will work with the agency for training and HMIS access.

Assessment

Overview of Standardized Assessment Approach

The Maine CoC will provide a standardized assessment process to all Coordinated Entry participants, ensuring uniform decision-making and coordination of care for households experiencing homelessness in the state. A standardized assessment approach allows for all households to be assessed for housing resources in the same way regardless of where they are assessed and who they are assessed by, with the goal of reducing disparities in access to housing resources and how households are prioritized for them.

The Maine CoC Coordinated Entry Committee, with input from key partners in the community, has designed a standardized assessment tool (See Appendix C). This tool utilizes a phased and progressive engagement approach; first addressing a household's safety and immediate needs, and then if need be; assessing for length of time homeless, housing barriers, and other key factors necessary to prioritize households for the resources available through Coordinated Entry, and finally attempting to identify other natural supports or alternatives to homelessness through a housing problem-solving conversation. The assessment tool contains a total of five, phased sections:

Assessing Safety and Immediate Needs	The first phase focuses on identifying the person's immediate needs to ensure that they are safe (e.g., need access to shelter, need access to food, need connection to DV services). Individuals will also be assessed for Youth and Veterans specific housing resources.
Assessment	The second phase of the assessment is focused on collecting information about the household's housing and homeless history and barriers to housing. This information will be used to create a prioritization score.
Collecting Contact Information	The third phase of the assessment is focused on collecting all of the household's contact information to ensure that the CES knows how to communicate with the household moving forward
Housing Preferences	The fourth phase of the assessment is focused on collecting information about the household's housing needs and preferences.
Housing Problem Solving	The fifth phase of the assessment is a conversation guide to explore whether the household may have other natural supports or safe alternatives to entering the homeless system of care

The assessment tool does not, and in some cases should not, be completed all at once. The goal of a phased, progressive engagement assessment tool is to complete what makes sense in the moment and build off each section when moving on to the next. Additional details about the use of the tool and assessor staff requirements will be provided in the annual assessor training (see next section) as well as a separate HMIS workflow document.

Assessments will be updated every 6 months, based on the day that the first assessment was completed in full. At this time, if the participant is still experiencing homelessness, updated information can be made in HMIS or Comparable Database. If the participant's situation has changed so that their prioritization score will be increased, this should be communicated to the Project and Hub Coordinators and reflected on the prioritization list. Prioritization scores will not be decreased based on updated information.

Assessment Process

After completion of the Assessment Tool, pertinent assessment data is entered into the Maine CoC's Homeless Management Information System (HMIS) or Comparable Database. This allows for the creation of the MCES Prioritization list that is used to determine which participant(s) is referred to the housing resource(s) available in the Coordinated Entry System (see Prioritization for more detail).

Assessor Training

The Maine CoC is committed to ensuring that all participating access points and assessor staff have sufficient training to implement the Coordinated Entry system in a manner consistent with the design vision and in accordance with the policies and procedures.

The MCoC will provide training annually via the CE Operator, at minimum, to all access points and assessor staff. This training will be mandatory and offered at no cost. These trainings are recorded and are accessible ongoing. Training topics will include the following:

- Introduction to Coordinated Entry
- Trauma informed approach for collecting information
- Intensive training on how to complete the Maine Coordinated Entry Assessment tool
- Explanation of the Releases of Information
- Instructions for completing the Maine Coordinated Entry Assessment Addendum
- Intensive training on how to use the Maine Youth & Young Adult Coordinated Entry Assessment Tool
- Training on requirements for HMIS data collection and data entry, etc

Participant Autonomy and Appeal Process

It is crucial that persons served by Maine's Coordinated Entry System have the autonomy to identify whether they are uncomfortable or unable to answer any questions during the assessment process. The refusal of the participant to respond to assessment questions shall not adversely affect a household's ability to be added to the prioritization list based on whatever information they are comfortable sharing.

Note that some Maine Continuum of Care funded housing programs require collection and documentation of a participant's disability or other characteristics or attributes as a condition for determining eligibility. Therefore, participants who choose not to provide information in these instances could be limiting potential referral options.

The CoC is committed to ensuring that no information is used to discriminate against or prioritize households for housing and services on a protected basis such as race, ethnicity, religion, national origin, sex, age, familial status, disability, actual or perceived sexual orientation, gender identify, or marital status.

Prioritization

Overview of Standardized Prioritization

The Maine CoC will use the data collected through the Coordinated Entry assessment process to prioritize people experiencing homelessness in the state of Maine for housing resources.

Households will be prioritized based on the numeric score that is produced by the assessment tool. This score is based primarily on a household's length of time homeless (days) in the last three years. The assessment tool also considers additional criteria that may further prioritize a household based on the following:

- Households who have 6+ months of homelessness in the past year
- People actively fleeing domestic violence
- People experiencing unsheltered homelessness
- Barriers to accessing housing

This prioritization method will be utilized for all housing resources available through the Coordinated Entry Process.

The Maine CoC prioritization process, to ensure that unsheltered households have equitable access to housing resources, has created a uniform method of taking non-HMIS days homeless into account when establishing a household's length of time homeless in the last three years. Note that while households may have an increased prioritization score at time of assessment due to fleeing domestic violence or experiencing unsheltered homelessness, their overall prioritization score will not decrease, should their situation change. Conversely, prioritization scores may increase due to a change in situation (i.e. going from sheltered to unsheltered homelessness). These changes may be reflected by submitting updated assessment information.

Dynamic Referral Policy

The Maine CoC prioritization and referral process strives to match participants to available resources that will best suit their individual needs and preferences. To do this, each Hub will use a process, referred to as *Dynamic Prioritization*, which is defined as a process that uses prioritization criteria (for example: assessment result, unsheltered status, length of time homeless) to identify, through the case conferencing process, which participants will be referred to what available resources.

To do this, each hub will be instructed to utilize the following guidelines regarding referrals:

Most Intensive Level of Intervention:

Assessment scores of 14 - 16

- These resources include CoC funded Permanent Supportive Housing (PSH) intervention, including both site-based (Home for Good programs) and voucher based (Permanent Supportive Housing Program(s)). Participants with the highest LOTH, highest vulnerability and most barriers to housing will be prioritized for site-based PSH.
- Participants in this category may also be a good fit for the Bridging Rental Assistance Program (BRAP).

Mid-Level of Intervention

Assessment scores of 8 – 13

- Participants in this category may need a shorter term intervention to address their homeless crisis. These resources include CoC and ESG funded Rapid Rehousing (RRH) programs, TRRP RRH programs, Stability Through Engagement Program (STEP), Homes to Stay (HTS) and Supportive Services for Veteran Families (SSVF)/

- Participants in this score range may also be matched with other shorter-term resources such as ESHAP navigator services and Housing Choice Vouchers (HCVs).

Lowest-Level of Intervention

Assessment scores of 5 – 8

- These resources may include), other Housing Choice Vouchers, or community-based case management programs.
- Scores 1 through 4 may be offered light-touch interventions, such as Housing Problem Solving (HPS) or referrals to community case management programs, as appropriate/applicable, if they are not able to self-resolve their homelessness.

It is important to note that the above are *guidelines* to be used in the matching and referral processes. Client choice must woven throughout this process; therefore, each hub coordinator and case conferencing group should allow for flexibility in matching participants to referral resources. This flexibility can also account for availability of housing resources and provider assessment; the process is meant to be responsive to the individual needs of each participant and hub.

**Please note that this list of resources is not inclusive; there may be hub specific resources that are not mentioned in this policy. In that case, each hub should determine the level of intensity of the intervention for that resource and utilize this framework when matching participants to that resource.

Prioritization List Management

Hub Coordinators will pull their hub prioritization list from HMIS as needed for case conferencing. The prioritization list can be viewed on both the state and hub level. This report will include data points generated from completed CE assessments, including, but not limited to, name, date of birth of the participant, prioritization score, and preferred location of housing placement of the participant. The Hub Coordinators will work with their local Domestic Violence Resource Centers (DVRCs) to incorporate de-identified participant information into the prioritization lists. The CE prioritization list is a subset of the larger hub level Quality By Name List, this list strives to include the majority of individuals experiencing homelessness in each specific hub area. The MCES prioritization list will be able to be sorted by score on both the state and hub level to help facilitate referrals to housing resource openings.

Participants will be asked to sign releases of information to give permission for their names and personal information to be placed onto the MCES prioritization list. Each participant will be given the opportunity to utilize a case number rather than their name, as well as to share limited personal information. Participants identified as fleeing domestic violence will automatically be assigned a case number before being placed on the prioritization list.

Overview of Prioritization Process for Victim Service Providers (aka DVRCs)

The primary method of prioritization is the same for VSP access points as it is for mainstream access points. However, due to the required maintenance of confidentiality for those identified as fleeing domestic abuse & violence, sexual assault, stalking, and trafficking, (encoded in the law (Violence Against Women Act, reauthorized in 2022)) DVRC Access Points will use a Subpopulation Referral Form (appendix F) to move survivors onto the Prioritization List.

For the most part, DVRCs will assign a DVRC-specific code to the survivor’s case and pass the assessment information to be added to the CES Prioritization List to the local hub coordinator. This information should be shared with the relevant HC, so they can enter The hub coordinator will add the deidentified name and information to the Prioritization List.

It should be noted that any client may elect to use this referral form to maintain their own confidentiality when being placed on the By Name and Prioritization Lists.

Referral

Overview of Matching and Referral Process

Matching, in the context of Coordinated Entry, refers to the process of reviewing a participant's housing preferences, comparing this with available programs to identify which program aligns with their desires. Referral, refers to the process by which a participant who is prioritized on the by-names list is connected to a housing opening. All CoC Program- and ESG Program-funded housing projects must accept referrals exclusively through the CoC's defined CE process as described below. Housing resources available from alternate funding streams may also opt in to the Maine CoC's Coordinated Entry process upon request. The referral process will take place at the Service Hub level.

Step 1: Notification of Housing Opening

Housing provider will notify Hub Coordinator of opening, providing as much information as possible including:

- # of Referrals desired
- Unit size, location
- Key eligibility criteria (e.g., DV only)
- Accessibility
- Services attached or not
- Application process
- Date by which they would like list of referrals

Step 2: Identification of Households to be Referred

Case conferencing meetings will be used to identify housing needs and preferences for top 10-20 households on the list; therefore Hub Coordinator will be able to make matches in real time as they are requested by housing providers with openings.

As households with no case manager near top of list, hub team will work together to identify support so that by the time a household is being match to a housing opening, a case manager or supportive provider has been identified to work with them.

Hub Coordinator will use the by-names list to refer the requested number of prioritized households to the housing opening. In some cases, the household(s) being matched may not be the very first name on the list. , The Hub Coordinator will use housing needs and preferences of those households toward the top to ensure appropriate match. For example, a housing provider may have a unit that is available only to households who have a documented disability. If the first person on the list does not have a disabling condition, Hub Coordinator may look to next person on by-names list, however housing providers cannot preemptively deny potentially eligible participants or preclude them from applying during the case conferencing process. While the hub coordinator will make every effort to ensure appropriate matches, if a participant is thought to be eligible for a housing program based on the information provided via their assessment and case conferencing, then the referral must be honored. For example, if a participant self-reports being chronically homeless on their assessment, a referral can and should be made to PSH programs, even if that chronicity is not yet officially documented. It is not until this referral stage that formal eligibility is officially confirmed, and participants have the right to a formal denial and appeal process if they are deemed ineligible for the program.

The Hub Coordinator will send the housing provider a list of the names of the matched households in writing so that they are aware of who they will be hearing from.

Step 3: Notifying Referrals

Within 3 business days of receiving the request for referrals from the housing provider, the Hub Coordinator will contact the case manager or service provider of the prioritized household to inform them of the referral and the application process that should be followed. The Hub Coordinator will make at least 3 attempts at contact on non-consecutive days if the case manager or service provider is unreachable at first contact. The Hub Coordinator should utilize multiple methods of contact (phone, e-mail).

In instances where the Service Hub Team has not identified a case manager or provider to support a household on the by-names list, the Hub Coordinator may contact the person directly to inform them of their referral to a housing opening.

Beginning on the date of the first attempt at contact, the referred household will have 14 days to respond to the housing offer. Hub Coordinator will inform the housing provider of the 14 day period in which they should expect to hear from the identified referrals.

Step 4: Feedback Loop Between Hub Coordinator and Housing Provider

The housing provider will be responsible for communicating with the Hub Coordinator to inform them of the outcome of the referrals made. The Hub Coordinator will be responsible for updating the status of those household's on the by-names list as appropriate.

Households that decline referral will maintain placement on prioritization list and be referred as appropriate to future housing openings unless they choose to have their name removed from consideration, including from the BNL.

For households that do not respond to housing provider's outreach– Hub Coordinator will work with case manager and/or hub team to determine whether household is active or inactive on the by-names list.

Tie Breakers

In the event that there are multiple households at the top of the by-names list with the same prioritization score; the Hub Coordinator will determine which household is referred first by using the following tie-breaking factors, in this order:

- Length of time homeless (total # of months homeless in last 3 years)
- Number of housing barriers indicated on assessment.
- Date of most recent assessment completed (oldest date being prioritized first)
- If the household has/is planning to have a minor in the household when they are housed
 - Is the minor currently part of the household
 - Will the minor join the household after housing is acquired
- Imminent risk of harm or death (to be determined via case conferencing):
 - Possible examples to be considered include (but are not limited to):
 - Sheltered status
 - Physical health concerns
 - Severe service need

Alternate Referral Processes

Some housing providers may require a specialized or alternative referral process to that which is outlined above. Housing providers that require this alternate process must get approval from the CoC board before moving forward and

must otherwise follow all CES policies and procedures, including those regarding participant and provider declined referrals.

Revised: 11/15/23

DHHS Internal PSH Referral Policies & Procedures

(Not an alternative process, but rather a detailed procedure demonstrating how the MCOC established referral process will be applied internally at DHHS, given its unique organizational structure and the volume of referrals it processes to fulfill its CoC grant requirements.)

This document outlines the referral process for State of Maine DHHS CoC-funded Permanent Supportive Housing Program (PSHP) (formerly known as Shelter Plus Care or S+C). The process herein is consistent with the established referral process outlined in the Maine CES Policies and Procedures (See Maine CES Policies and Procedures, "Overview of Referral Process") and provides further details specific to how DHHS will abide by the MCOC referral process given the unique organizational structure of DHHS and the volume of PSH referrals the organizations processes on a regular basis.

Critical elements of this policy include:

- Parties involved at each step of the referral process
- Appropriate channels of communication at each step
- Anticipated timelines for completion of each step
- Criteria documenting updates within HMIS
- Procedures for addressing unsuccessful referrals

Overview of the State of Maine DHHS PSHP Referral Process

Referral, in the context of Coordinated Entry, refers to the process by which a participant who is prioritized on the by-name list is connected to a housing opening. All State of Maine DHHS CoC funded PSHP projects must accept referrals exclusively through the CoC's defined CE process as described within the MCOC CES Policies and Procedures. The referral process will take place at the Service Hub level.

Step 1: Notification of Housing Opening

DHHS has contracted with Shalom House to serve as its Central Administrative Agency (CAA). In its role as CAA, Shalom House will provide statewide administration of all DHHS CoC-funded PSHP projects. DHHS, as the CoC-grantee, is responsible for ensuring that the CAA follows the referral process outlined herein.

The CAA is responsible for identifying the number of available PSH openings within each Hub's geographic region on an ongoing basis, and notifying the respective Hub Coordinator of openings within 2 business days of identifying an opening. Notification of openings should be sent to the respective Hub Coordinator via email and should include as much information as possible including:

- # of Referrals desired
- Unit size (if applicable)
- Location (if applicable)
- Homelessness definition (if applicable)
- Date by which they would like list of referrals

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Updated 12/2025

Step 2: Identification of Households to be Referred

Revised: 11/15/23 2

Case conferencing meetings will be used to identify housing needs and preferences for the top 10-20 households on the list; therefore Hub Coordinators will be able to match CE referrals from the BNL to recommend resources. This will allow Hub Coordinators to make referrals in real time when the CAA requests openings to be filled.

Hub Coordinator will use the priority list to refer the requested number of prioritized households to the opening(s). In some cases, the household(s) being referred may not be the very first name on the list. In some cases, Hub Coordinator will use housing needs and preferences of those households toward the top to ensure appropriate match. For example, a housing provider may have an opening that is available only to households who have a documented disability. If the first person on the list does not have a disabling condition, Hub Coordinator may look to the next person on the priority list.

The Hub Coordinator will send the CAA a list of the names of the referred households in writing via email preferably within 2 business days, but no later than 15 business days of receiving the notification of openings. At a minimum, the list of referred households should the following information:

- Referred CE participant names
- Participant contact information
- Name and contact information of the case manager or service provider working with the participant

Note: If the participant is not working with anyone, the Hub Coordinator will utilize case conferencing to create a plan to support the participant with the application process. The Hub Coordinator must communicate this plan to the CAA via email at the time of referral.

Step 3: Notifying Case Manager and/or Service Provider of Referrals

In addition to sending the referral to the CAA, the Hub Coordinator is responsible for contacting the case manager or service provider of the referred household to inform them of the referral and the application process that should be followed. The Hub Coordinator will make at least 3 attempts at contact on non-consecutive days if the case manager or service provider is unreachable at first contact. The Hub Coordinator should utilize multiple methods of contact (i.e. phone, e-mail) and these attempts should be recorded in HMIS.

In instances where the respective Hub Coordinator has not identified a case manager or provider to support a household on the priority list, the Hub Coordinator may contact the participant directly via phone or email to inform them of their referral to a housing opening. These attempts should be recorded in HMIS.

Step 4: CAA Engagement with Referred Participants

The CAA will provide the case manager or service provider with how to access information or provide a copy of the program application and all required documentation. The case manager or service provider is responsible for assisting the participant with completing the program application and gathering any required documentation.

Program Application Submission

Revised: 11/15/23

1. Complete program applications must be submitted to the CAA within 15 business days of notification of referral. If the program application has not been submitted within 15 business days of referral contact:

1. The CAA has discretion to extend the application deadline in 10-day increments based on the needs of the participant, up to a total of 45 days for extension. The CAA is responsible for recording the extensions and justification for extensions.

2. If the CAA determines that they are unable to contact the client through all known channels and has documented attempts to reach the client, or the participant has exhausted all extensions, the CAA will notify the respective Hub Coordinator in writing and request a replacement referral.

3. If program application is received by CAA within the 15 business day deadline, but the application is determined to be incomplete, CAA will communicate what is missing to the person who submitted the application and or the case worker in writing; the required information is then due back to CAA within ten (10) business days.

2. Once CAA receives a complete application and determined that the applicant is eligible for MaineCare services, The CAA will also assign the participant to an LAA for ongoing PSH services once the participant has been approved. CAA will notify LAA and Hub Coordinators in writing of the award.

Program Enrollment The CAA will enroll participants into the appropriate PSH project in HMIS at the time of receipt of the completed application. If after 120 days from the date of PSH enrollment participant has not secured a unit, the LAA will notify CAA of the expiration of the voucher and participant will be disenrolled from the PSH project in HMIS. Step 5: Feedback Loop Between Hub Coordinator and the CAA The CAA will be responsible for communicating with the respective Hub Coordinators to inform them of the outcome of the referrals made. The Hub Coordinators will be responsible for updating the status of those household's on the priority list as appropriate.

Use of Case Conferencing

Case conferencing will take place within each Service Hub, organized and facilitated by the Hub Coordinator. At launch of Coordinated Entry, case conferencing will take place weekly. Hub Coordinators will work with service hub teams to determine an appropriate cadence of case conferencing meetings over time – dependent upon local needs and capacity. The purpose of case conferencing will be as follows:

1. Ensure that all households experiencing homelessness in the Service Hub geography are identified, added to the by-names list, and assessed for housing resources
2. Ensure that all households on the by-names list, as they near the top (within 1-20 on list), have an identified service provider that has committed to supporting the household at the time of referral with elements of the process like application and lease-up
3. To discuss the housing needs and preferences of those households nearing the top of the list so that Hub Coordinator is equipped with enough information to make referrals in real time, outside of case conferencing meetings, as they are contacted by housing providers

Each participant will be asked to sign a release of information before being discussed at case conferencing, which can be found in Appendix B.

Case Conference Meetings will devote a portion of the meeting to housing provider collaboration. The following will serve as guidelines and expectations:

1. Hub Coordinators will be prepared with a list of names of people who have been assessed, prioritized, and are waiting and are waiting to be matched* to a housing resource.
2. Housing providers will inform the Hub Coordinator as to the number of people/households they are prepared to accept matches for prior to case conferencing meeting.
3. Participants from the By Name List will be matched to the available resource during the meeting.

4. Time will be devoted for the housing provider to give updates about everyone who has been matched but not yet housed, including if some participants were found to be ineligible after the match was made
5. Space will be made for the case conference attendees and housing providers to discuss any challenges they face in securing housing and will work together to find solutions.
6. Housing providers will also use this opportunity to provide general information about their program including policy changes, anticipated openings, enhanced procedures, etc.
7. When all relevant housing related topics have been resolved, the housing provider will exit the meeting space.
8. In the event that the housing providers have more resources available than people to be matched with, the case conferencing meeting will devote the necessary time after the housing provider has left to identify enough people to fill the remaining slots. Hub Coordinator will notify the housing provider of these additional matches once the meeting concludes.

Matched is defined as the instance when a resource is identified via case conferencing to be appropriate for a participant, but that participant has yet to confirm interest in that resource and/or has not yet submitted an application for that resource. Please see 'referral' section of CE policies and procedures for more information on this process, including for information on client choice.

Case Conferencing for VSPs (aka DVRCs)

MCEDV Housing Service Coordinator will notify Housing Navigators with clients on the Prioritization list when their client is on the list. Navigators may attend their closest Case Conferencing meeting to best advocate for the survivors' needs. No PII will be released at Case Conferencing other than what it already on the By Name or Prioritization List.

Participant and Provider Declined Referrals

The Maine Coordinated Entry process promotes access for all eligible participants in need of housing by overseeing an objective referral process in which all eligible participants are treated in a consistent manner. *Housing providers are responsible for assuring that a participant meets the contractually required eligibility requirements for their program.*

A referral may be unsuccessful due to a participant refusing the resource, by agency denial, or based on program eligibility requirements not being met. Any unsuccessful referral must be documented by email to the Hub Coordinator with the participant name, date, and reason for denial. The Hub Coordinator will log the client ID, date, and reason of denial into HMIS. The Maine CE Steering Committee or Maine Housing as the CE Operator may follow-up with the housing program and the participant referred in order to understand the circumstances of the unsuccessful referral.

Program denials will be monitored at the system level. Maine Housing as the CE Operator will include in its quarterly report to the CE Steering Committee and Maine CoC Board data to show the reasons for denial for available housing openings in a given quarter so the committee may monitor and/or troubleshoot trends on a system level.

Referral Procedure:

1. Housing providers must accept a participant who is referred and meets established eligibility criteria.
2. The housing provider must provide the reason for the unsuccessful referral in email to the Hub Coordinator and include details regarding the reason the referral was unsuccessful.
3. In the event of an unsuccessful referral, the housing provider is required to notify the participant in writing. This notification should include the reason why the referral was unsuccessful, and any relevant details for making an appeal.

4. If the participant was denied, the reason for denial should be explicitly outlined in the written communication. This notification should include the reason why the referral was denied, and any relevant details to make an appeal.

As noted above, this unsuccessful referral must also be communicated in writing to the Hub Coordinator, and documented in HMIS. If the housing provider has not been able to contact the participant at all, they should communicate this to the hub coordinator; every effort should be made to provide written communication to the participant of the decision of the unsuccessful referral in this case.

Reasons for Program Denial:

A-H may be automatic denials logged by the housing provider. Housing providers may move on to subsequent participants without using system-level case conferencing. Reason I, Health & Safety Risk must follow a system-level case conference process. See below under reason I.

- a. Participant did not call or show up for their appointment with the housing provider – the housing provider is unable to reach the participant for at least 48 hours and has attempted to reach them through any of the identified means
- b. Ineligible for Housing Program per contractual obligations – a referral was made based on the participant’s apparent eligibility, but due to overlooked or undisclosed information, the participant is not eligible for the program. [i.e. additional information was disclosed/discovered impacting program eligibility]
- c. Full capacity- the housing program is at full capacity and does not have an available resource for the referral that was sent.
- d. Participant refused the housing offer- a referral was made, and a participant refused the available resources after speaking with the housing provider and learning more about the program.
- e. Re-enrollment would result in health/safety risk-the participant previously resided in the housing program they were referred to; re-enrollment in the program would result in a significant health and safety risk.
- f. Self-resolved- participant has found permanent housing outside of the Maine CE process.
- g. Falsification of documents-participant falsified documents such as a housing application, failing to disclose information that makes them ineligible for the program.
- h. Local restrictions- participant is restricted locally from occupying a project or housing resource. Examples may be justice-system restrictions on areas people may live; zoning or neighborhood requirements; etc.
- i. Health & Safety Risk – the program is denying the person/family for some other reason not described above. The housing provider must inform the participant of the reason the referral was unsuccessful.

Two Step Process for Denials Related to Exhibited Behaviors Causing Health or Safety Concerns

Based on a participant’s exhibited behavior, enrollment in the project would result in a significant health and safety risk. This means a participant may not be denied solely from information derived from background checks, but must be supported by provider observation, reports from other providers or through the participant’s application or interview. A denial of this nature is only applicable when a participant has displayed behavior to the project, housing navigator, or other provider staff that warrants a legitimate health or safety concern for the project. Prior to denying a referral based on health or safety reasons, the housing provider must follow a two-step process.

Step 1 - Attempt to Resolve Concern with Applicant: Request documentation from the participant and/or meet with the participant to discuss the circumstance and any changes that have occurred to improve the health or safety risk. Documentation requested must be as low-threshold as possible for the participant to retrieve quickly; housing providers

are required to accept and review self statements as a potential source of documentation to explain the risk. Additionally, participants cannot be required to enter service contracts or provide proof of service or treatment participation as a condition of acceptance into the unit. If the meeting satisfies the housing provider's concerns, they do not need to proceed to the next step and may accept the participant immediately.

Step 2 - Schedule a Case Conference: If a participant's explanation does not satisfy the housing provider, prior to issuing a denial, the housing provider must first set up a case conference with the case conferencing group for the particular service hub the participant's housing offer originated from. The goal of the case conference is to leverage system partners to find solutions or other possible housing pathways for the participant, with the goal of either reversing the denial or finding another possible housing placement. The case conferencing group does not have the power to require the denying provider to accept the participant.

- The case conference group for health and safety denials will consist of the service hub's case conference group; 1-2 members from the Coordinated Entry Committee; and 1-2 members from the Regional Homeless Council.
- Case conferences will be triggered by the housing provider informing Maine Housing as the CE Operator of the health and safety denial. Maine Housing will activate the case conference.
- Case conferencing members will need to be available on an ad hoc basis to ensure efficiency, generally within three business days, but no more than five business days.
- Case conferences will be scheduled to allow most members to attend, but move forward without full attendance to promote swiftness in the CE referral process.
- The housing provider may deny a referral based on health or safety concerns if an alternative housing pathway or solution cannot be found through the above case conferencing.
- No rejection is ever permanent- the participant will remain on in the CE priority pool for future housing openings, including openings that originate with the denying project. The original housing provider who denied the referral will be asked to reconsider any changes in the applicant's exhibited behavior if the applicant is re-referred to a new opening the project administers.

Please note that the health and safety reason for denials should be used in the rarest of cases.

Maine's By Names List Inactive Policy

Background

The Inactive Policy is a critical component of maintaining a real-time by-name master list as well as a robust coordinated entry system. To ensure an efficient assessment and referral process, referral sources and access points must have the ability to contact and connect with households as soon as a housing resource comes available.

Without this policy, the Coordinated Entry System can experience delays in its referral procedures due to the time spent searching for households in the community that have not been able to be reached through multiple attempts, often for many months. Due to this loss of contact it is hard for the system to determine whether these individuals are still in need of housing. In some situations, these individuals may have self-resolved their housing crisis or relocated to a different state.

Policy

If a household has had no contact with any Coordinated Entry access points, case managers, and/or outreach teams for 90 days, AND they have had no services or shelter stays in HMIS for the past 90 days, the household will be removed from the Actively Homeless List and placed on the Inactive List.

Inactivity is determined by:

- No shelter stays in HMIS for 90 days
- Household has been closed/exited from all homeless services programs as indicated by HMIS and their information has not been updated by any other agency in HMIS in the last 90 days.

Within the current capacity of the outreach teams and/or shelter staff and partner agencies, reasonable attempts will be made to locate households exiting to unknown destinations in the period between the exit date and the date they will become inactive if they are not re-engaged.

If a household on the inactive list makes contact with the homeless response system, HMIS providers, including outreach, Coordinated Entry Access points, and other homeless service programs they are moved from the Inactive List to the Active List and can be referred to housing openings. Coordinated Entry Assessment information can be updated to reflect the participant's current situation as necessary for appropriate placement on the CE prioritization list.

For households who are entering an institution, including hospitals or jail, for less than 90 days, they will remain on the active by-name-list until they are released, if the stay is expected to be less than 90 days. However, if at day 91 the individual is still residing in one of these scenarios, then they will be moved to inactive status.

For households who have verified absence from the community that will span more than 90 moving forward, they will be marked as inactive in the month of determination. (i.e. death, incarceration, moving out of state, etc.)

Hub Coordinators will review their respective By-Name Lists and Inactivity Lists on a quarterly basis to ensure households are placed on the appropriate list.

If reasonable attempts can not be made in the 90 days and the household does not have other entries or services in HMIS within the past 6 months, the household will be made inactive automatically utilizing the following process:

1. Every effort is made to contact the household utilizing the above-described process; Hub Coordinators will mark individuals as inactive after these reasonable attempts have been completed
2. Once a month, the HMIS lead will run a report to identify individuals that have no project entries or services in the preceding 6 months to the date that the report is run.
3. The HMIS lead will share this information with the relevant access points and Hub Coordinators to ensure that the access point has not been in touch with the household in the last 6 months.
4. Once identified, each household will be marked as inactive and closed out of their coordinated entry project enrollment.
5. If the household presents in the future, their status will be moved to active on the prioritization list and re-assessed as necessary/appropriate:
 - a. If the participant reports experiencing literal homelessness the entire time that they were inactive, the assessment should be updated as appropriate, but the original assessment date should remain the same.
 - b. Should the participant report that they had a break in their homelessness (self-paying for a hotel, couch surfing, in permanent housing, in institution for 90 or more days), they should be re-assessed, utilizing a new assessment date. The new date should reflect the date that the household re-entered the homeless service system.

Procedural:

- Once an individual has reached inactive status, the hub coordinator will move the individual to the inactive list and exit them from the Coordinated Entry project in HMIS.

Appendix A

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Updated 12/2025

Maine Coordinated Entry (CE) Operator Role

Current Maine CE Operator: Maine Housing

Scope of Role:

1. Establish day-to-day management structures. Includes:
 1. Working with partners to monitor and ensure the CE system is in compliance with all HUD requirements
 2. Maintaining CE policies and procedures to ensure they are clear, updated and accessible to partners, including any communication timelines and expectations between parties (i.e. Maine Housing will respond to send referrals for a vacancy in x business days).
2. Establish clear, accessible communication plans. Includes
 1. Structuring, facilitating and/or delegating case conferencing
 2. Implementing the below accountability mechanisms
3. Promotes, develops and trains on standardized assessment processes
4. Reports of CE participation by projects to the Project Monitoring Committee based on MCoC-approved monitoring criteria
5. Manages priority list (refresh, update)
6. Manages referral mechanism to vacant projects
7. Convenes partners to frequently review and improve the CE process

Accountability Mechanisms:

- Provide the CE Steering committee with monthly reports on how the CE system is performing.
 - See next section for sample elements of a report
- Establish a frontline staff CE learning collaborative as a sub-committee of the CE Steering committee to incorporate real-time input into CE implementation.
- Create and distribute marketing and materials to partners outside of the CE committee on how CE will work, how participants are affected, how CE is overseen, how suggestions can be made, and how decisions are made about changes to CE.
- Distribute clear appeals procedures for both participants and providers to use.
- Incorporate an anonymous avenue for providers to submit concerns or grievances to the CE Steering Committee

Monthly Reporting Template (Sample)

1. Compare our measures to how our system performed prior to CE implementation to evaluate where CE has improved and challenged our system.
2. Geographic coverage metrics
3. Utilization of CE- *how many assessed, how many placed, how many waiting*
4. Process measures- *time from assessment to referral; time from referral to program enrollment*
5. Prioritizing the most vulnerable- *scores and length of time homeless of program enrollments*
6. Sub-population focus of the above measures; equity overlay
7. Rate of housing program denials of participants
8. Reasons for housing program denials of participants
9. Challenges and successes of implementation (qualitative)

Appendix B

MAINE Continuum of Care (MCoC) COORDINATED ENTRY SYSTEM (MCES) & Service Hub

Case Conferencing Release of Information

Agency Name: _____

This Agency is part of a group called the Maine Continuum of Care (MCoC) Coordinated Entry and Service Hub _____ which is a group of agencies working together to provide housing resources to people experiencing homelessness. A list of all member agencies in the MCoC and Service Hubs is available online at www.mainehomelessplanning.org.

Purpose: The purpose of this form is to obtain consent to share your information at service hub case conferencing meetings and to place your name on the Service Hub By Name List (BNL). By doing this, Service Hub agencies will work to refer you to housing available through the Coordinated Entry System.

This form allows you to choose how information will be shared during case conferencing. Service Hub case conferencing is defined as meetings of Service Hub members to best match individuals experiencing homelessness to available resources. Case conferencing meetings will also use a By Name List, which is a comprehensive list of individuals who have been identified as experiencing homelessness in our community.

By signing this release, you allow MCES and Service Hub _____ member agencies to share information about you and your household. This helps agencies focus on your housing needs and work toward your household's identified goals.

You may decline to allow any of your information to be shared with other agencies. If you choose not to share your information, you and your household may have fewer housing opportunities through CES. You or your household will never be denied services if you decline to share information.

Case conferencing meetings will focus on how providers can best meet your needs and end your homelessness as quickly as possible, including providing outreach services to you and connecting you to housing resources. Types of information that might be shared on the By Name List during case conferencing meetings include:

- Personal identifying information for you and your household (examples: name, date of birth, gender, etc.)
- Past or current participation in other housing and supportive service programs
- Contact information
- Information about your military service and VA eligibility
- Housing history and housing status
- Household income, financial assistance and source(s)
- General disability information relevant to housing

I, _____ (Printed Name of Participant) agree to share information with the Maine Service Hub _____ and MCES and its participating member agencies as detailed below.

Please initial your preferred level of disclosure and participation in Service Hub Case Conferencing:

_____ **Share my information:** I authorize _____ (Name of Agency) to share the above listed information about me and my household members during case conferencing to determine eligibility for housing openings and connect me to other services, as applicable.

_____ **Share my information using a case number:** I authorize the agency listed above to share the following information about me and my household members during case conferencing: age bracket, veteran status, disability status, household size, length of time homeless and housing history. Instead of sharing my name during case conferencing, I understand that a case number will be utilized to identify me and my household members. *

_____ **Do not share my information:** I do not wish to have any of the above listed information discussed at case conferencing. I understand that not authorizing the sharing of this information may limit participating agencies' ability to locate me and notify me of available openings.

***PLEASE NOTE: PERSONS UTILIZING DOMESTIC VIOLENCE RESOURCE CENTERS AND ARE FLEEING DOMESTIC VIOLENCE, SEXUAL ASSAULT AND/OR HUMAN TRAFFICKING WILL AUTOMATICALLY BE REFERRED BY CASE NUMBER, ASSIGNED BY THE VICTIM SERVICES AGENCY.**

By signing below, you acknowledge that you have read, or have had read to you, all the information above and have chosen to sign this form voluntarily. Your signature also indicates you understand that:

- Participation in the MCES does not guarantee you housing assistance
- Additional information and documentation may be required by an agency that is offering housing or supportive services before entering the housing or supportive services program
- This consent is valid for two (2) years from the effective date of your signature below
- You can cancel your consent any time by written request
- You have a right to request a copy of this consent form after you have signed it

Participant Printed Name: _____

Participant Signature: _____ Date: _____

Participant Representative Printed Name: _____

Representative Relationship to Participant**: _____

Representative Signature: _____ Date: _____

Agency Witness Printed Name: _____

Agency Witness Signature: _____ Date: _____

**Examples of authorized representative are: guardian, power of attorney and others as defined as law.

For Agency Use only (please initial)

_____ The participant above received a telephonic explanation of this form. On behalf of the participant, staff at this Agency served as the representative.

_____ The Consent was read in its entirety.

Appendix C

Updated 12/2025

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Annual Action Plan
2026

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Participant Name: _____ Pronouns: _____ Date of Birth: _____

1. Introduction

How the assessment works: You will be asked questions to help understand your current housing needs and refer you to available resources address those needs.

Purpose of the Assessment: Gather information to explore Maine Coordinated Entry System (MCES) housing assistance resources. Completing this assessment does not guarantee assistance through these resource options, but it does provide MCES with the minimum information needed to connect individuals and families with available housing opportunities within the Maine Continuum of Care.

Right to Refuse Responses: You may refuse any question on this assessment.

Stop/Start: You may stop this assessment at any time and pick it back up at a later meeting.

No Right/Wrong Responses: Your responses will not affect any other services you receive from our agency. The questions are only designed to help explore MCES housing options you may want to pursue.

Housing Problem Solving: Attached to this assessment is an optional housing problem solving worksheet. It is designed to explore other options beyond accessing the homeless response system.

Filing a Discrimination Complaint: If at any time you would like information on filing a complaint because you believe you are being discriminated against, let me know and I can give you information on how to pursue this.

2. Safety and Immediate Need

A. Do you feel safe where you are? *(Consider referral to violence specific resources.)* Yes No

Are you currently fleeing or attempting to flee a violent situation, including domestic violence, dating violence, sexual assault, stalking, or human trafficking? Yes No

Would you prefer to get additional information on domestic violence supports and resources? Yes No

B. Do you have access to food and water? Yes No

C. Where do you spend time during the day? _____

D. **Youth Choice**, for heads of households who are 24 yrs. or younger.

Would you like to be considered for housing programs that are —

Youth-Specific Programs only: Youth-specific programs are with agencies who have a focus on young populations; they may be able to offer additional youth oriented services including community-building and connections with other youth.

Adult Programs only: Adult programs serve youth who are 18-24 but may not have built in connections or services to connect with other youth. They can help you find those opportunities.

Both - Adult and Youth-Specific Programs

E. Military Service

Did you serve in active military, naval or air service (regardless of length of service) and have a discharge status of anything other than dishonorable? NOTE: This includes Veterans who only had service time in Basic Training. This does NOT include Veterans who were national guard and reserve. **If veteran is unsure always refer to local Supportive Services for Veteran Families (SSVF).**

- Yes, I fit this definition No, I do not fit this specific definition of Veteran

F. Do you have any other needs right now? (Note: This may be a time you find out about untreated medical conditions, including mental health, substance use, or experience of violence.) Yes No

3. Assessment

A. Potential Barriers to Housing

We are asking people what factors may be in their backgrounds so we can shape our services to overcome these barriers. **Have you experienced any of the following? Check all that apply?**

- A housing authority or housing program terminated you or you are not eligible for a subsidy (i.e., a housing voucher, a public housing unit, etc.)
- You owe a Public Housing Authority money from a previous tenancy
- Income barriers (no income, over income for assistance, not eligible for income support, etc)
- You have been evicted from a legal tenancy where you were the lease holder at least two times in the last five years.
- Prior to entering shelter or sleeping outside during this episode of homelessness, you were discharged from an institution such as a hospital, jail, prison or a pre-release program.
- A member of your household is subject to a lifetime registration requirement under a state sex offender registration program.
- A household member has been convicted of the manufacture or production of methamphetamine in federally assisted housing.
- You have been convicted (found guilty of) a violent crime.
- You have been convicted (found guilty of) a drug crime.
- You have a disabling condition(s) that has prevented you from finding and staying in a home that works for you.

B. Unhoused History

Note: If a participant was sleeping unsheltered one night in a given month counts for the full month—example: 1 night in November would count for 30 days in November when you add total nights. *Dates can be self-reported or reflected in HMIS.*

*In the last twelve months, how many months of homelessness have you experienced? _____

*In the last three years, how many months of homelessness have you experienced? _____

C. Where did you sleep last night?

- Emergency shelter
- Unsheltered (outside, place not meant for human habitation)
- Hotel paid for by charitable organization
- Hotel paid for by self
- Transitional housing
- Other, please specify: _____

Points Value **Point Score**
Points Value **Point Score**

Criteria	Points Value	Point Score
A. Potential barriers to obtaining housing (at least one box checked off)	<ul style="list-style-type: none"> • 3 or more barriers = 2 pts • 1-2 barriers = 1point • No barriers = 0 points 	
B. Unhoused History Length of Time Homeless (LOTH), in the last three years	<ul style="list-style-type: none"> • 24 or more months = 9 points • 18 - 24 months = 8 points • 12 - 18 months = 7 points • 6 - 12 months = 6 points • Fewer than 6 months = 5 points 	
Priority Bump: <i>Only one of these two priorities may apply to a single household.</i>		
Recent Homelessness (last 12 months)	<ul style="list-style-type: none"> • 6 + months = 3 points • Less than 6 months = 0 points 	
<u>OR</u>		
Actively fleeing or attempting to flee Domestic Violence, including dating violence, sexual assault, stalking, or other violence.	<ul style="list-style-type: none"> • Yes = 3 points • No = 0 points 	
C. Where did you sleep last night: Experiencing unsheltered homelessness at the time of assessment	<ul style="list-style-type: none"> • Yes = 2 points • No = 0 points 	
Total: (16 points total maximum)		

For Assessors or Programs Who Do Not Enter Assessments into HMIS: Please contact your Hub Coordinator to ensure that the participant is added to the list of people waiting for a housing match.

4. Contact Information

Share with participant: To enable us to reach you, we are going to ask you about several contact methods, including the contact information for any case managers or agencies you are connected with. Please be aware that someone different from the intake worker may contact you when you are being referred to a resource. The person contacting you may be a staff person that you have never met before. Make sure to respond to that person so you can take the opportunity as the openings are often time sensitive (two weeks or less). The staff person may ask new questions or follow up on the questions you have already answered.

A. What is the best way to contact you (phone number, email address, mailing address)?

B. Do you have an emergency contact (friend or family member) that would be used if we are unable to contact you directly? *What is their contact information?*

C. *What is your case manager's name, agency, and phone number*

1. Housing Preferences

A. Household Income

What is your total household's estimated gross annual income? *We ask because some units have income requirements.* \$ _____

B. Unit Size/Type Selection *(Keep in mind smaller bedroom units may have more frequent openings.)*

- Household without dependent children Household with dependent children

Number of persons in Household: _____

If you are a single adult, would you consider living in a single room occupancy (SRO)?

- Yes No Not applicable

If you need a bedroom size larger than an SRO, studio or 1 bedroom, select the size below.

- 2 3 4 5 Not applicable

D. Disability

Are you seeking any of the following due to a disability? *If yes, you may have to provide documentation of disability - related need.)*

- Wheelchair Accessible Unit Other Accessibility:
 First Floor/Elevator (few/no stairs to the unit) _____

Are you interested in applying for housing units targeted for persons with disabilities? *(The definition of disability, as well as eligibility or preference criteria, may vary depending on the housing. You may have to provide documentation of a disability to qualify for these housing units.)* Yes No

F. Domestic Violence

Survivor Choice, for those fleeing domestic violence, dating violence, sexual assault, stalking, or human trafficking.

Would you like to be considered for housing programs that are —

- Domestic Violence (DV)-Specific Programs only:** DV-specific programs are with agencies who have a focus on populations experiencing violence; they may be able to offer specialized services for survivors in-house, such as support groups, clinical services, and legal services.
- Non-DV Programs only:** (non-DV programs serve people fleeing violence, but may need to link you to outside, specialized agencies for specific services such as DV support groups, clinical services and legal services.)
- Both DV-Specific and Non-DV Programs**

G. Rapid Rehousing *(This may be hub specific, depending on resources. Discuss & answer only if applicable).*

Rapid Rehousing is a model of housing assistance that is made up of three core components:

- ✓ **Housing Search Services:** to find a home in the private market. This means there will be a lease between you and the landlord, and you will be responsible for the full rent on the lease. This is not a subsidy, or voucher program where your rent is calculated at about 30% of your income, so you may be paying a high amount of your income towards rent each month.
- ✓ **Case management & Help to Increase Your Income:** These services are designed to build ties in your community, increase your income as much as possible, and assist with budgeting so you can stay in your home and not have to experience homelessness again. Even if you cannot fully pay your rent to

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Maine Coordinated Entry System Assessment Addendum

begin with a case manager will work you to identify ways you could increase your income.

- ✓ **Financial Assistance** to help you move into your new home. These are usually upfront moving costs like security deposit, assistance with rent, and a moving truck.

Would you like to be considered for RRH when they have an opening? Yes NO

Area Selection What are the areas you are willing to live in (specific cities or regions)? Another way to decide is to figure out which places you will not live in. You are not penalized if you change your mind about where you would like to live.

2. Next Steps

Please review with Participant.

Wait Times

Wait times can change from time to time based on how many people are interested, and the program openings available. We also have a few priority populations we have to serve first if there are limited openings — these are people who have been homeless the longest, have housing barriers, and those actively fleeing or attempting to flee domestic violence.

What should I do to try to find housing if I am not matched with an MCES housing program opening?

We encourage you to keep thinking about other ways you may be able to move out of homelessness, for instance with roommates or people you know at the same time you are applying for affordable housing.

Who will I hear from if I am matched to a housing opening?

If you are matched to a housing opening, you will hear from a staff member of the COC funded housing program. They are going to use all of the contact information you provided us to try to connect with you as quickly as possible. If any of your contact information changes, let me know and I can change it in the assessment. You can check in with me as well.

Am I automatically approved for the housing openings when I'm matched?

No. Today we gathered information to help figure out if you're eligible and match you to your preferences, but the COC funded housing program will verify and document eligibility at the time you are referred. All of the programs have different eligibility criteria— our system will do its best to match you with those that you should be eligible for, but there may be times where you are matched, and are not eligible

3. Housing Problem Solving

Explore the Situation

Gain an understanding of the participant's living situation.

- A. Tell me any background of where you've been staying, and how that's been going.
- B. What has changed in your situation to bring you in today?
- C. What was your most recent indoor living situation? How long had you stayed?
- D. Is this your first time in shelter or sleeping outside?
- E. Where would you stay if shelter were unavailable?

Notes:

Brainstorm Possible Solutions

Engage in active listening and think about/reflect back strengths they may share. Brainstorm possibilities and use motivational interviewing skills. Explore potential options with the participant.

- A. Is there anyone that may want to know you are seeking shelter tonight or may want to know you need help?
- B. Do you have family, friends or anywhere to stay other than shelter, even temporarily?
- C. Tell me about past places you've stayed that have been positive.
- D. Tell me about some strengths you have to navigate difficult situations.
- E. What support would you need to stay somewhere else or make a housing option work?

Notes:

Next Steps for Assessor: Assistance to Resolve the Housing Crisis

- If diversion is possible discuss potential options with participant and agree on next steps.
- If diversion is not possible, consider rapid resolution option.
- If a rapid resolution is possible, reflect back potential options to participant and agree on next steps.

If a rapid resolution placement is not possible, let the client know they can always return if a potential opportunity arises. Proceed with the next part of the assessment.

1. Introduction

Notes for Assessor:

Use your agency's internal protocols regarding client permissions/consent to record information in your database and/or release information to Maine Continuum of Care (MCoC) Coordinated Entry System (MCES).

2. Safety and Immediate Need

Points to Share with the Participant:

- ✓ Safety means something different to everyone. In Maine, we value everyone's right and responsibility to make their own choices for their own good, welfare, and benefit. That said, we will strive to provide every Mainer access to safe, affordable, and appropriate permanent housing in the community of their choice.

Notes for Assessor:

To determine what any one person or household needs and wants when thinking about their own home it is important for Maine's assessment to be trauma-informed, housing-focused, culturally competent, and with an urgency that we'd hope someone shows to us or our family in a similar time.

3. Contact Information

Points to Share with the Participant:

- ✓ To enable us to reach you when we have an opening, we are going to ask you about days and times we can reach you, so you don't miss out on a housing opportunity through this assessment. Please be aware that someone different from the intake worker may contact you when there is an opening. The person contacting you may be a staff person of the housing program that you have never met before. Make sure to respond to that person so you can take the opportunity as the openings are often time sensitive (two weeks or less). The housing staff person may ask new questions or follow up on the questions you have already answered.

Notes for Assessor:

In the interest of personal safety please remind participant they should provide safe contact methods only. Please gather necessary release forms needed for each contact person/agency listed below.

4. Assessment

Points to Share with the Participant:

- ✓ Safety means something different to everyone. In Maine, we value everyone's right and responsibility to make their own choices for their own good, welfare, and benefit. That said, we will strive to provide every Mainer access to safe, affordable, and appropriate permanent housing in the community of their choice.

Notes for Assessor:

- **Do not share scoring mechanism or actual score with participants.** The score is one factor to figure out who should be matched next to an open resource, it is not a static place on a "waitlist."
- The information for scoring can be found in the Three Year History, Safety and Immediate Need, and Potential Barriers to Housing sections of this document

1. Housing Preferences (addendum)

Points to Share with the Participant:

- ✓ Openings for housing programs in our portfolio are not often: While you will be signed up for these housing programs by doing the assessment, most of these units already have people living in them, so openings do not come up often.
- ✓ Area and Bedroom Size Choice: We will ask you what neighborhoods/bedroom sizes you would consider living in if openings came up. The more choices you pick, the better your chance of being offered a unit if there are ever openings. You are not required to take a unit in an area you selected.
- ✓ Military service: We want to know if you have served in the United States military service history because some resources are designed for clients based on their verifiable service history.

2. Next Steps (addendum)

Points to Share with the Participant:

- ✓ Waiting times may vary and depends on how many people are interested and available housing openings. We encourage you to keep thinking about other ways you may be able to move out of homelessness, for instance with roommates or people you know at the same time you are applying for affordable housing. Please be aware that someone different from the intake worker may contact you when there is an opening. The person contacting you may be a staff person of the housing program that you have never met before. Make sure to respond to that person so you can take the opportunity as the openings are often time sensitive (two weeks or less).

Notes for Assessor:

- In the interest of personal safety please remind participant they should provide safe contact methods only. Please gather necessary release forms needed for each contact person/agency listed below. **Do not share scoring mechanism or actual score with participants.** The score is one factor to figure out who should be matched next to an open resource, it is not a static place on a "waitlist."

3. Housing Problem Solving Conversation (addendum)

Points to Share with the Participant:

- ✓ We will explore alternatives to homelessness with you, and if nothing else is available, we'll continue to figure out other pathways out of homelessness as part of this assessment.

Notes for Assessor:

Below is a problem-solving guide to use to give participants the space to brainstorm ways to quickly resolve their homeless crisis. Use the order and questions that make sense, given the nature of the relationship with the participant.

Please keep these thoughts in mind:

- This is not an interview but a conversation
- Use your professional training to guide you
- Be mindful of the crisis the person or family is currently in
- If at any time it is clear the person or family will not have their crisis resolved with diversion or rapid resolution, or these questions are not applicable, move to the next section of the assessment.

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to End Domestic Violence

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1-866-834-HELP (4357)

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1-800-437-1220



MCEDV MEMBERS:

AROOSTOOK

Hope and Justice Project

PENOBSCOT & PISCATAQUIS

Partners for Peace

KENNEBEC & SOMERSET

Family Violence Project

HANCOCK & WASHINGTON

NextStep Domestic Violence Project

ANDROSCOGGIN, FRANKLIN & OXFORD

Safe Voices

KNOX, LINCOLN, SAGADAHOC & WALDO

New Hope Midcoast

CUMBERLAND

Through These Doors

YORK

Caring Unlimited

CULTURALLY SPECIFIC SERVICES

Immigrant Resource Center of Maine

Her Safety Net

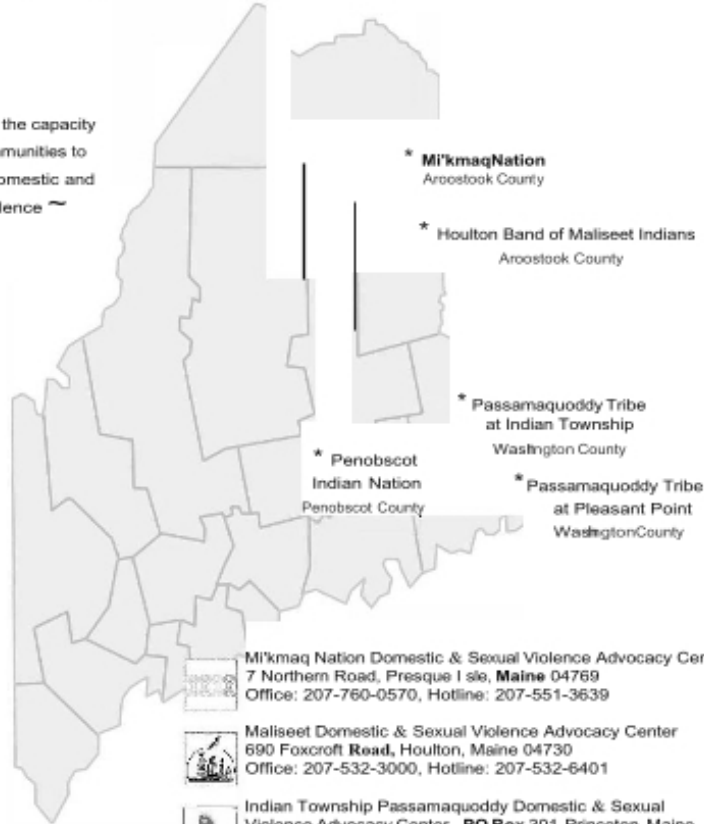
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 207-735-808 (Cell)

~ Increasing the capacity
 of tribal communities to
 respond to domestic and
 sexual violence ~



- 
Mi'kmaq Nation Domestic & Sexual Violence Advocacy Center
 7 Northern Road, Presque Isle, Maine 04769
 Office: 207-760-0570, Hotline: 207-551-3639
- 
Maliseet Domestic & Sexual Violence Advocacy Center
 690 Foxcroft Road, Houlton, Maine 04730
 Office: 207-532-3000, Hotline: 207-532-6401
- 
Indian Township Passamaquoddy Domestic & Sexual Violence Advocacy Center - PO Box 301, Princeton, Maine 04668. Hotline: 207-214-1917
- 
Passamaquoddy Peaceful Relations Domestic & Sexual Violence Advocacy Center - PO Box 343, Perry, Maine 04467
 Office: 207-853-0092, Toll Free Hotline: 877-853-2613
- 
Penobscot Nation Domestic & Sexual Violence Advocacy Center - 23 Wabanaki Way, Indian Island, Maine 04468
 Office: 207-817-7446/7448/7449, Hotline: 207-631-4886

 **MCEdV MEMBERS**

Aroostook County

Hope and Justice Project

www.hopeandjusticeproject.org
5 Erskine St., Presque Isle, ME 04769
Admin: 207-764-2977 Helpline: 1-800-439-2323

Penobscot & Piscataquis Counties

Partners for Peace

www.partnersforpeaceme.org
P.O. Box 653, Bangor, ME 04402
Admin: 207-945-5102 Helpline: 1-800-863-9909

Kennebec & Somerset Counties

Family Violence Project

www.familyviolenceproject.org
P.O. Box 304, Augusta, ME 04332
Admin: 207-623-8637 Helpline: 1-877-890-7788

Cumberland County

Through These Doors

www.throughthesedoors.org
P.O. Box 704, Portland, ME 04104
Admin: 207-767-4952 Helpline: 1-800-537-6066

Hancock & Washington Counties

NextStep Domestic Violence Project

www.nextstepdvproject.org
P.O. Box 1466, Ellsworth, ME 04605
Admin: 207-667-0176 Helpline: 1-800-315-5579

Androscoggin, Franklin & Oxford Counties

Safe Voices

www.safevoices.org
P.O. Box 713, Auburn, ME 04212
Admin: 207-795-6744 Helpline: 1-800-559-2927

Knox, Lincoln, Sagadahoc & Waldo Counties

New Hope Midcoast

www.newhopemidcoast.org
P.O. Box A, Rockland, ME 04841
Admin: 207-594-2128 Helpline: 1-800-522-3304

York County

Caring Unlimited

www.caring-unlimited.org
P.O. Box 590, Sanford, ME 04073
Admin: 207-490-3227 Helpline: 1-800-239-7298

Serving Refugee and Immigrant Communities Through
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Immigrant Resource Center of Maine

www.ircofmaine.org
1220 Lisbon St., Suite 102, Lewiston, ME 04240 Phone:
207-753-0061

Serving Immigrant, Refugee, Asylum Seeking and BIPOC
(Black, Indigenous, and People of Color) Communities

Her Safety Net

www.hersafetynet.org
11 Westminster St., Lewiston, ME 04240
Phone: 207-513-9000



Member Programs of the Wabanaki Women's Coalition

Tribal Domestic & Sexual Violence Coalition

www.wabanakiwomenscoalition.org

Micmac Domestic & Sexual Violence Advocacy Center

www.micmac-nsn.gov
7 Northern Rd., Presque Isle, ME 04769
Admin: 207-760-0570 Hotline: 207-551-3639

Maliseet Domestic & Sexual Violence Advocacy Center

www.maliseets.com
690 Foxcroft Rd., Houlton, ME 04730
Admin: 207-532-3000 Hotline: 207-532-6401

**Passamaquoddy Peaceful Relations Domestic & Sexual
Violence Advocacy Center**

www.wabanaki.com
P.O. Box 343, Perry, ME 04467
Admin: 207-853-0092 Hotline: 1-877-853-2613

**Penobscot Nation Domestic & Sexual Violence
Advocacy Center**

www.penobscotnation.org
23 Wabanaki Way, Indian Island ME, 04468
Admin: 207-817-7448 Support Line: 207-631-4886

Indian Township Passamaquoddy

Domestic & Sexual Violence Advocacy Center
P.O. Box 301, Princeton, ME 04668
Hotline: 207-214-1917



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Grievance and Appeal Policy and Procedure

All participants and programs involved in the CES must be afforded the right to submit grievances against providers or the CES itself, and must be afforded the right to appeal decisions made by the providers or by CES. As a publicly supported process, the CES must also allow grievances from outside parties. This section will enumerate the processes by which grievances and/or appeals will follow.

In all cases, a grievance can encompass any aspect of the CES process with which the aggrieved participant or program is not satisfied. Every effort should be made to resolve grievances informally, before a formal grievance process is initiated. In the instances where the aggrieved party is dissatisfied with a decision made by a program or the CES, this dissatisfaction would amount to an appeal of that decision. While the terms are distinct, the process for addressing these is the same.

Scope

These procedures shall address grievances and appeals of the CES itself. Any program or person who interacts with the Coordinated Entry System may file an appeal, regardless of whether or not the program or person is participating in the CES. Each participating program must have its own internal grievance and appeal process. In instances where the aggrieved party's complaint involves a program level decision, or the actions of a program staff, then that program's grievance and appeal policy shall be used. CES grievance and appeal procedures will be utilized when the complaint pertains to the one or more of the following:

- Access to Coordinated Entry System (i.e. participant encounters a barrier to CES Access)
- Assessment (e.g. no assessment provided)
- Prioritization (e.g. disagreement with housing designation)
- Housing referral (e.g. lack of follow through from housing provider)
- Other (please be specific)

The grievance may also pertain to actions or decisions of the CoC Project Coordinator, or the case conferencing group, in respect to the operation of the Coordinated Entry System. If it is uncertain whether the grievance is program related or system related, the Project Coordinator and a representative from the agency in question will make a determination. Participants are welcome to have an advocate, such as a caseworker, available to support them through the entirety of the process, if this is what they wish.

Participant/Citizen grievance and appeal

Step One Grievance/Appeal

Each participant will have the opportunity to resolve any complaints through an informal conversation, during which the aggrieved person will have an opportunity to express their concerns and have them addressed. This informal

conversation should take place within 10 business days of the occurrence of the CES process in question. If a solution is unable to be reached, the participant will have the right to the official grievance and appeal process. Participants will be able to move right to the formal process, if that is what they wish.

If the party chooses to carry their grievance forward, at this point they shall complete a CES Grievance Form. This form will detail the nature of the grievance and include all supporting evidence for the grievance. The form shall be written in a manner that will allow people to complete and submit the form without assistance if necessary, but people may accept the assistance of a caseworker in completing and submitting the form as well. This form should be submitted within 10 business days of the informal conversation. The grieved party is welcome to submit any supporting written materials with the form, should they wish.

The completed CES Grievance Form will be transmitted to the coordinated entry email listserv at Maine Housing. A member of that listserv will then notify members of the appeal hearing pool that a grievance had been received. This appeal hearing pool will consist of all 9 Hub Coordinators and the tri-chairs of the CES committee. The appeal hearing meeting must occur within 10 business days of the CES Grievance Form being received. Appeals will be heard by two available Hub Coordinators and one CES Tri-Chair. Program participants will be given the opportunity to provide verbal testimony to the hearing group. A ten-minute time frame will be allowed to present the grievance or appeal directly to the group. The hearing group will specify the time and date for that testimony. The verbal testimony must be provided within the ten (10) business days hearing window.

In the case of an appeal, the original decision will be either upheld or overturned. In the case of other grievances, the grievance will be held to be either founded or unfounded. If founded, the Project Coordinator will consult with the MCOC Tri-Chairs to determine what corrective actions must be taken.

In all cases, the aggrieved party will be informed of the decision in writing within ten (10) business days of the filed grievance. The notice of decision will also include information about what next steps may occur. If the person is still dissatisfied with the decision, they may choose to escalate their grievance or appeal.

Step Two Grievance/ Appeal

In cases where the aggrieved party is not satisfied with the decision of the Step One process, they may escalate their grievance/appeal.

The party will send their Grievance Form, supporting evidence, and a copy of the Step One decision to the CoC Tri-Chairs within 10 business days of the Step One decision. The aggrieved person will be given the opportunity to provide verbal testimony to the hearing to the CoC Tri-Chairs. A ten-minute time frame will be allowed to present their grievance or appeal directly to the group. The CoC Tri-Chairs will specify the time and date for that testimony. The verbal testimony must be provided within the ten (10) day hearing window.

The Tri-Chairs shall consider the evidence and choose to either uphold or overturn the Step One decision. If the appeal involves an agency represented by one of the Tri-Chairs, that chair shall recuse themselves from the process. This decision must be rendered within 10 business days of the Step Two process being initiated. The aggrieved party will be informed of this decision in writing. All decisions at this stage are considered final.

Program Grievance vs CES

In the case of a program wishing to lodge a grievance against the CES, a similar process shall be followed. This process is to address interagency concerns; a program may not use this process to file a grievance or appeal on behalf of an individual participant.

Step One Grievance/Appeal

The aggrieved agency shall compose a formal letter that details the nature of the grievance or appeal, and include all supporting evidence. This letter and evidence shall be sent to the CES Committee Chairs. In the case that the grievance involves a CES Chair's agency, the complaint will be forwarded to the CoC Tri-Chairs, who will then hear the appeal.

The complaint and supporting evidence will be considered by the appropriate group as detailed above, who will render a decision within 30 days. The group hearing the appeal will also make any decision on corrective actions if necessary. This group will notify the aggrieved agency in writing as soon as a decision is made, as well as what next steps may occur.

Step Two Grievance/Appeal

If the aggrieved agency is not satisfied with the decision of the Step One group, they may choose to escalate the complaint to Step Two. The agency must submit a Step Two complaint within 30 days of receiving notice of the Step One decision.

A Step Two agency complaint will be sent to the CoC Board President. It will take the form of a formal letter detailing the initial grievance or appeal, supporting evidence, and a copy of the Step One decision.

The Step Two complaint will be considered by the CoC Board at their next regular meeting. If the complaint is received less than five (5) business days prior to the next meeting, the Board may opt to defer the consideration until the following meeting. Any members of the Board whose agencies are involved in the complaint will recuse themselves from the process. The Board shall render a decision, and determine any corrective action if necessary. This will be communicated with all involved parties within five (5) working days of the meeting. All decisions at this level are considered final.

Recordkeeping

The CoC Project Coordinator shall keep records of all CES grievances/appeals, and their results. Those records shall be forwarded to the Evaluation Entity, the CES Committee, CoC or CoC Board at their request. Records of grievances and appeals shall be kept without participant PII; only aggregate data with unique identifiers will be kept to preserve participant confidentiality. As part of the regular quarterly reporting, the CE Operator will present the number and disposition of all appeals and grievances to the CE Committee, as well as the CoC and CoC Board.

Affirmative Outreach

All participants in the Coordinated Entry System must be made aware of their rights to file grievances and appeal CES decisions. CES will provide all CES participating providers with language that can be included in existing outreach documentation, and/or outreach materials. Information about CES grievances and appeals can be posted publicly at CES access points, or given directly to the participant upon their initial assessment.

Updated 12/2025

Appendix E



Maine Coordinated Entry System (MCES) Grievance / Appeal Form

Prior to submitting a formal grievance or appeal, an effort should be made to resolve this issue directly with the party against whom you intend to file this grievance or appeal. Such efforts and their results are taken into account by the group hearing this grievance/ appeal.

If you are still not satisfied with the resolution of your situation, you have the right to request a formal appeal or file a formal grievance by completing the form below. Completed forms are submitted to coordinatedentry@mainehousing.org.

A formal grievance/ appeal is heard by a neutral group of three that are not involved with your situation. They will inform you of a decision within 10 working days.

If you are still not satisfied with the outcome, you may petition to have your grievance/ appeal heard by the Chairs of The Continuum of Care. Chairs will evaluate whether or not the issue has been appropriately handled, and may accept it for further review. If it is accepted for further review, the MCOC Chairs will inform you of their decision within 30 days of your request for hearing. All decisions at this level are final.

This form is used to submit a grievance against the Maine Coordinated Entry System, or appeal a decision by the MCES. Grievances or appeals of individual program policies or procedures should be directed to that agency.

You have the right to review the full MCES Grievance and Appeal Policy, you may find it at [insert URL]

Name: _____ Date: _____

Grievance/Appeal Against: _____ Hub: _____

<p>Contact Info: What is the best way to contact you? _____ What is another way to contact you? _____ Any other contact methods? _____ Any caseworkers who know how to find you, and who they work for: _____ _____ _____</p>
--



Use this page to explain the situation. You can use as many pages as you need.

Please include as many details as you know and can remember. Dates, times, people, agencies are all important details to include. You may also attach any additional evidence or documentation you would like considered to this form when you submit it.



Would you like the opportunity to submit verbal testimony (where you can talk about the issue, not just write it down?) Yes / No

A representative from the hearing group will reach out to you about submitting verbal testimony. The hearing is still bound to the 10 business day timeline, that can't be extended in waiting for testimony.

Did a caseworker help you with this form?

Caseworker name: _____

Agency: _____

Participant Signature: _____ Date: _____

For MCES Use Only:	
Date Received:	
Hearing Members:	Hearing Date:
Level 1 Hearing Result:	Part. Notification Date:
Level 2 Request Date:	
Accepted? Y/N	
Level 2 Hearing Result:	Part. Notification Date:

Updated 12/2025

Appendix F

Maine State Housing Authority (MaineHousing), the Maine Coalition to End Domestic Violence (MCEDV), and the Maine Continuum of Care (CoC) recognize the highly sensitive nature of information gathered from individuals experiencing domestic abuse and violence, sexual assault, and human trafficking. These groups have worked together to develop protocols to ensure that the Victim Service Providers (VSPs – also known as Domestic Violence Resource Centers (DVRCs)) and their clients are included in the Coordinated Entry/Assessment process while adhering to the strict confidentiality requirements mandated by federal laws protecting victims of domestic abuse and violence.

Housing referrals from the DVRCs will be handled differently by the Hub Coordinators and the CES team.

DA&V clients will be given one Assessment score at entry.

If a client meets with a non-DVRC and wants referral to a DVRC for continued service, they may request this and a warm referral may be completed.

After the Assessment is completed, a client will be assigned an Empower ID number.

They will then be assigned a CES ID Number by the DVRC submitting this form.

Numbers should be created as such:

DVRC012022 – to identify the DVRC name, the number the client is in that DVRC's list, and the year submitted to the list (for instance, a client working in Hub 6 might have an ID of SV022022 meaning that Safe Voices worked with that client, they are the 2nd client from SV to enter the list, and it was 2022 when they were entered)

This form should be completed for inclusion to the QBNL/Prioritization List.

There are 3 ways this can happen, depending on what the client's wishes are (must be backed up with a signed, time limited release of information form):

1> full identification

2> partial identification

3> anonymity

When the Hub Coordinator determines that a DVRC referral is the next appropriate match for available housing resources, the referring agency and housing provider will coordinate services using a time-limited release of information.

This form may also be used by any provider not participating in Maine HMIS for inclusion onto the QBNL/Prioritization List. This includes Youth, non-HMIS users, Veterans, and those who have concerns about their personal information being in a semi-public venue.

Maine Coordinated Entry System
Confidential Referral Form
Request for Anonymous Entry to the Prioritization List

MaineHousing and the Maine Continuum of Care (CoC) recognize the highly sensitive nature of information gathered from individuals experiencing homelessness and many of the reasons, including domestic abuse & violence, sexual assault, and trafficking, that someone might need housing assistance. The Maine Coalition to End Domestic Violence and the CoC worked together to develop protocols to ensure that any person in Maine can be included in the Coordinated Entry/Assessment process while having their personally identifying information kept confidential. These protocols comply with the federal confidentiality requirements that apply to entities receiving certain federal grant funding supporting services for victims of domestic abuse and violence, dating violence, sexual assault, and trafficking. This form is to be used in cases where including someone in the Coordinated Entry System while keeping their Personally Identifiable Information (PII) confidential is necessary.

This form may be used by **any provider, including Youth/YHDP, Veterans, & DV Resource Centers**, not participating in Maine HMIS for inclusion onto the Prioritization List. Housing referrals from DV Resource Centers (DVRs) may be handled differently by the Hub Coordinators and the CES team as requested by the survivor.

1. All people experiencing homelessness, including people fleeing domestic abuse & violence, will be given a score after completing the CE Assessment with a qualified provider.
2. After the Assessment is completed, the person will be assigned CES ID Number by the Agency submitting this form.
3. Numbers should be created as such:
 - a. AGENCYID00000 – to identify the Agency name and Comparable Database/non-HMIS ID number

All Agencies using this form should submit it directly to the Hub Coordinator.

When the Hub Coordinator determines that a confidential referral is the next appropriate match for available housing resources, the referring agency and housing provider will coordinate services using appropriate releases of information.

Program applying for: Permanent Supportive Housing DHHS Permanent Supportive Housing City of Bangor
STEP Housing Choice Vouchers – Homeless Priority Rapid Re-Housing (DV) Rapid Re-Housing (non-DV) Transitional/Rapid Re-Housing (Youth)

CES ID Number: _____ Assessment Score: _____

Program entry date _____ Assessment completion date _____

Is this Assessment Score for a Family or Individual ? If Family, number in family? _____

Is a minor(s) currently in the household: _____

Will a minor(s) join the household once housed: _____

Is the Individual or Head of Household (check all that apply):

Disabled Chronically Homeless Veteran Youth (24 or under) Fleeing Domestic Violence

Hub number where the person is currently located: _____

Hub number(s) where person is seeking housing: _____

Total months of homelessness in the past 3 years: _____

Number of housing barriers identified on the assessment: _____

Is there an imminent risk of harm or death? _____

Advocate/Caseworker name: _____

Advocate/Caseworker contact information: _____

V2, 08 08 2025

created by Maine Coalition to End Domestic Violence



MaineHousing

MAINE STATE HOUSING AUTHORITY

Emergency Shelter and Housing Assistance Program (ESHAP)

2026 Program Guide

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Program Guide

Overview & Purpose

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

MaineHousing uses funds from certain federal and state resources to give grants to agencies for a variety of activities to assist people who are experiencing homelessness or who are at risk of experiencing homelessness. MaineHousing has allocated resources to the Emergency Shelter and Housing Assistance Program (ESHAP) to be distributed according to the Funding Formula Allocation outlined in this Program Guide and the Application for ESHAP. Further information regarding ESHAP can also be found in the Homeless Solutions Rule (the "Rule"), which is available electronically at: <http://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf>

This Program Guide and the corresponding Application outlines the process through which these funds will be distributed, the parameters of the activities that they can support, and the process to apply for funding. Capitalized terms have the same meaning as in the Rule unless context indicates otherwise.

ESHAP grantees can receive funding through the three funding components that make up the award: the Shelter Operations Share, the Housing Stabilization Share and the Performance Share. MaineHousing also allocates Rapid Re-housing and permanent rental subsidies to ESHAP Agencies through vouchers. These vouchers are: Stability Through Engagement Program/Tenant Based Rental Assistance (STEP/TBRA) Vouchers and Home to Stay/Housing Choice Vouchers (HTS/HCV). Each of these vouchers have Administrative Plans which detail their usage and are available electronically at <https://www.mainehousing.org/docs/default-source/rental/10-1-2025--hcv-administrative-plan.pdf> and <https://www.mainehousing.org/docs/default-source/rental/1-1-2025-step-administrative-plan.pdf>

All ESHAP funds must be targeted to individuals and families that meet the definition of homeless outlined in 24 C.F.R. § 576.2. MaineHousing has designed ESHAP and tailored its monitoring of ESHAP to ensure its grantees are in compliance with all listed funding sources. Housing vouchers and subsidies are always subject to the availability of funds.

MaineHousing has also made Supportive Housing and Emergency Shelter Repair Program Funds available to current ESHAP grantees in good standing. The purpose of this funding is to assist Emergency Shelters in addressing physical plant deficiencies and/or issues in need of correction. Application to this funding must be made separately and details are available at <https://www.mainehousing.org/programs-services/housing-development/developmentdetails/supportive-housing-emergency-shelter-repair-program>

Funding Allocation & Eligible Activities

ESHAP funds will be distributed as follows:

Shelter Operations Share:

An amount equal to 45% of the Funding Formula Allocation will be disbursed among Emergency Shelters, such that each Emergency Shelter will receive a percentage equal to its Bed Capacity divided by a number equal to the total Bed Capacity available statewide for the calendar year. MaineHousing will review the number of beds reported, along with occupancy data to ensure that bed utilization is commensurate with community need. If a persistent discrepancy is observed, MaineHousing, at its sole discretion, reserves the right to reduce the number of funded beds.

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

Disbursement: Quarterly

Housing Stabilization Share:

An amount equal to 45% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each agency providing staffing for Rapid Re-housing and Housing Stabilization services operated by the agency will be eligible to receive a percentage equal to the agency's total number of Participants Assessed and Stabilized, divided by the total number of Participants Assessed and Stabilized statewide. The number of Participants Assessed and Stabilized will be based upon the most recent four quarters of data available to MaineHousing at the start of the grant year.

New Grantees: If an agency or program has not received ESHAP funds for the full four quarters prior to the grant period starting, MaineHousing will utilize the available data for that program to extrapolate a full four quarters. That extrapolated data will be used to determine the Stabilization share for that program.

Eligible Activities: Navigator staffing, including at least one staff designated and trained as the Primary Navigator for your agency. The Primary Navigator should attend, or complete e-learning training, specific to navigator services. This person will be the primary point of contact regarding Navigator services for the ESHAP grantee. The Primary Navigator will coordinate messaging from MaineHousing staff to the rest of their agency in regards to navigator services and program delivery requirements.

Additional Criteria: Although each agency will have a Primary Navigator, other staff within the agency may provide navigator services to eligible households through the Housing Stabilization Share. All staff providing Navigator Services must complete the trainings for Navigators as prescribed by MaineHousing. Navigator services must be provided for by the agency receiving the funds. Eligible households must meet the criteria under paragraph (1) of the "homeless" definition in 24 C.F.R. § 576.2 or under paragraph (4) of the "homeless" definition and live in an emergency shelter or other place described in paragraph (1) of the "homeless" definition. Navigator services must include assessment with housing prioritization tools, 30 day check-ins and Housing Stability Plans, as well as housing navigation and stabilization services.

Disbursement: Quarterly

Assessments

Participants may be assessed using the common assessment tools which are designated by MaineHousing and the Maine Continuum of Care. Participants whose assessment results deem them ineligible for Navigator Services should not be enrolled, while participants with eligible assessment results will be entered into the agency's Navigator Services program. Shelter programs must offer an assessment for Navigator Services to all participants during the intake process. Documentation of enrollment or non-enrollment must be retained in the participant file including any required eligibility screening checks. Detailed information about the common assessment tools and appropriate housing interventions are provided in the Navigator Services Guide found under the ESHAP heading at <https://mainehousing.org/partners/partner-type/homeless-service-providers/homeless-initiatives>.

Monthly Check-Ins and Housing Stability Plans

Every participant enrolled in ESHAP services must have a Housing Stability Plan based on the needs found in the common assessments. The Housing Stability Plan should be updated during 30 day check-ins to assess the progress and address any additional needs. A new Housing Stability Plan should be created at least every 90 days.

Housing Navigation and Stabilization

Participants should be given Housing Navigation services after their enrollment in Navigator Services. The Navigators should apply for appropriate subsidies and housing based on the assessment result recommendations for the participant. All documentation of housing work including housing applications, mainstream and housing referrals, documentation applications, leases, etc. should be kept in the participant's file to show on-going navigation efforts. Evidence that the RentSmart curriculum is being offered must be present either in participant files or posted in agency facilities. After the participant is housed, on-going Housing Stabilization services are expected to continue for no less than one year. Participants who are not receiving subsidy through a STEP or Home to Stay voucher have the option to opt out of Housing Stabilization services; any decision to opt out must be noted in the participant file.

Ending Services

The manner and date of a participant's exit from programs must in all cases be documented in the participant file, and HMIS or comparable database.

If a participant is terminated from the program, the participant should be provided with a letter clearly stating the reason for the termination and the process to appeal the decision. A copy of the termination letter and any other appeal documentation must be included in the participant file. Shelter Operations and Navigator Services are considered separate activities, and any termination from either must be documented, regardless of the participant's status with another activity.

Protections under VAWA: Sub-recipients are exempt from service and stability plan requirements if the Violence Against Women Act of 1994 (42 U.S.C. 13701 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits that recipient or sub-recipient from making its shelter or housing conditional on the participant's acceptance of services.

Disbursement: Quarterly

Performance Share:

An amount equal to 10% of the Funding Formula Allocation will be allocated among eligible applicants that in the in the preceding period of October 1 to September 30, maintained their data quality at or above 95% for the following data points: Date of Birth, Race, Veteran Status, Destination, Relationship to Head of Household, and Client Location. HMIS participating agencies will provide Data Quality reports along with their Grant Agreements; Victim Service Providers will report from their comparable database. Those applicants that meet the above data quality threshold for previous year will be eligible for a portion of Performance Share funds equal to the percentage of the number of Participants Assessed and Stabilized by the eligible applicant, divided by the number of Participants Assessed and Stabilized by all eligible applicants. An ESHAP Data Quality report from HMIS or comparable database must be submitted with the annual ESHAP application; MaineHousing will provide instructions for running and submitting the ESHAP Data Quality report as needed.

Eligible Activities: Any purpose consistent with the providers' mission and not otherwise prohibited by state or federal regulations or laws or Grant Agreement requirements.

Disbursement: Quarterly

Housing Voucher Rental Subsidies

Staff providing ESHAP Navigator Services will have access to a Homeless Priority set aside of Housing Choice Vouchers (HP HCV), available through Maine's Coordinated Entry System, as resources are available. MaineHousing's HCV department will designate the quantity of vouchers set aside and communicate the number of referrals available to each service hub.

Please refer to the Navigator Services Process Guide available electronically at <https://www.mainehousing.org/docs/default-source/homeless/eshap/2025-navigator-services-guide.pdf> for detailed information regarding expectations and processes for the Navigator role, which is integral to utilizing the voucher resources.

Stability Through Engagement Program (STEP)

STEP guidelines, funding sources, and governing regulations are detailed in the STEP Administrative Plan located at <https://www.mainehousing.org/docs/default-source/rental/1-1-2025-step-administrative-plan.pdf>. Providers may access STEP only to the extent that the resources remain available. Grantees will use the funds for rental assistance, utility deposits and security deposits to rapidly re-house families and individuals experiencing homelessness. STEP vouchers may be accessed by ESHAP providers through their Hub's Coordinated Entry process, and is administered by MaineHousing's Housing Choice Voucher department.

Housing Choice Vouchers (HCV)

Homeless Priority, Housing Choice Vouchers (HP HCV) are rental subsidies administered according to federal regulations and MaineHousing policies detailed in the current Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs.

<https://www.mainehousing.org/docs/default-source/rental/10-1-2025---hcv-administrative-plan.pdf>

MaineHousing makes the final decision on program eligibility, which requires a determination that the current or past behavior of household members does not include activities which are prohibited by HUD or MaineHousing. Upon admission, each family will be required to pay between 30% to 40% of their adjusted total household income for rent in accordance with the individual voucher's administrative plans. All subsidies are only available as funding permits.

ESHAP Eligible Applicants

To be eligible to receive ESHAP funds, an Applicant must:

- be a non-profit corporation in good standing in the State of Maine qualified for tax exemption under 501(c)(3) of the Internal Revenue Code or a municipal corporation;
- be eligible in accordance with the HEARTH Act;
- be a provider of homeless services with at least one (1) year of experience providing emergency housing, street outreach, Homeless Prevention, or Rapid Re-housing activities;
- be a regular and active participant in the Maine Continuum of Care, in accordance with its governance charter and performance criteria. Agencies must have at least one staff on a CoC committee;
- be a regular and active participant in their local Homeless Service Hub by participating in Hub meetings and providing relevant data to the Hubs for the generation of a by-name list of Persons Experiencing Homelessness;
- have board and or advisory board representation from Persons Experiencing Homelessness or formerly experiencing homelessness who are involved in policy or planning of the organization;
- participate in Coordinated Entry Process by acting as an access point to the Coordinated Entry Process, administering the common assessment tools, placing eligible participants on the housing prioritization list, participating in case conferencing meetings, and completing housing referrals utilizing the process and procedures designated by the Maine Continuum of Care;
- have the administrative and financial management capacity necessary to administer and to account for the use of the applicable grant in accordance with the funding requirements;
- operate in accordance with the homelessness strategy outlined in the Maine Consolidated Plan;

- meet the objectives of the Program under which they are applying as set forth in the applicable Program Guide;
- participate in and meet the performance and reporting requirements of the Homeless Management Information System (HMIS) or a comparable database if the Applicant is a Victim Service Provider;
- not engage in any explicitly religious activities, such as worship, religious instruction, or proselytization, as part of the activities and services funded with any grant for activities or services covered by the Rule; and if religious activities are offered, they must be offered at a separate time or location from the activities and services covered by the Rule; and participation in those religious activities must be voluntary for persons receiving assistance with funds covered by the Rule;
- operate its programs free from discrimination on the basis of protected classes in accordance with applicable federal and state fair housing laws; have written policies and procedures for standards that address the following areas: non-discrimination, participant grievance and appeal of termination, approval of financial transactions, record retention, procurement, whistleblower, access to services, participant rights and responsibilities, Navigator Services administration, health and safety, food access, Data and Security Protocols, Fair Housing, reasonable accommodation, Drug Free Workplace, Emergency Action Plans, Coordination of Services, and policy on handling of confidential information. All policies must meet federal guidelines and comply with Section 504 of the Rehabilitation Act of 1973, which prohibits disability discrimination in programs that receive HUD funds;
- treat all participants with dignity and respect, regardless of religious or political beliefs, , disability, or any other class protected by law;
- provide shelter and housing services based upon a Rapid Re-housing approach;
- have admittance and stay policies that are appropriate for the population served and do not create unnecessary barriers to participants entering and staying;
- provide linkages and access to community resources such as job readiness and employment services, Mainstream Resources, and educational services to assist participants in achieving housing stability;
- assess participants for program eligibility and services to enable mobility to permanent housing with adequate supports;
- inform participants of their rights and responsibilities, including specific shelter policies and house rules;
- accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources;
- protect the privacy and confidentiality of participants and their personal information;
- provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of participants, volunteers and staff;
- comply with MaineHousing requirements.

To be eligible to receive Shelter Operations Share Funds, an Applicant must also:

- provide access 365 days per year to assist Persons Experiencing Homelessness meet basic emergency shelter needs. If the shelter must close or reduce Bed Capacity for any reason, grantees must immediately inform MaineHousing's Director of Homeless Initiatives in writing;
- provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities;
- provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner;
- have no lease requirements for participants;

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- if serving families with children, provide space other than open dormitory style and do not require involuntary family separation for admission;
- Provide separate accommodations as appropriate for the demographics served;
- post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each participant;
- maintain a daily and confidential census of shelter participants including precise sleeping locations; and
- operate in compliance with all applicable federal, state and local codes, laws and regulations and Grant Agreement requirements.

Program Performance Standards

In addition to the data quality performance measure, MaineHousing will utilize additional performance metrics to gauge the effectiveness of each grantee, as well as ESHAP as a whole.

Length of time to housing- MaineHousing will review the number of days between program entry and entry into housing. The 2026 benchmark for low barrier shelters is less than or equal to 200 days. The 2026 benchmark for non-low barrier shelters is less than or equal to 150 days.

Exits to Permanent Housing- MaineHousing will review the percentage of each grantee's participants that exit their programs into permanent housing over the course of the year. The 2025 benchmark for low barrier shelters is greater than or equal to 25%; the 2026 benchmark for non-low barrier shelters is greater than or equal to 65%.

Returns to Homelessness- MaineHousing will review the percentage of each grantee's participants, who after having exited to a permanent housing destination, subsequently return to homelessness within six months of that exit. The benchmark for low barrier shelters is less than or equal to 6%; the benchmark for non-low barrier shelters is less than or equal to 3%.

Performance benchmarks are set based on currently available data. Should MaineHousing observe significant changes in overall data trends, these benchmarks may be adjusted accordingly. Should individual grantees fall significantly and/or consistently short of these metrics, MaineHousing will follow the compliance and technical assistance process outlined in the section below.

Recordkeeping

All funded agencies are required to enter data into the Homeless Management Information System (HMIS) (or comparable database in the case of Victims Service Providers), according to the standards in the most current HMIS Data Manual.

In addition to HMIS data, agencies must maintain the following records according to record retention guidelines, in either paper or electronic form:

Participant Records:

- Verifications of Homeless Status
- Coordinated Entry Assessments
- Records of services provided, including Housing Stability Plans (HSPs) and their updates
- Records of housing referrals provided
- Records of mainstream resource referrals provided
- Authorizations to Release and Receive Confidential Information, as needed
- Documentation of End of Services, including documentation of due process for termination

- Evidence of Habitability assessment or HQS inspection for any housing destination obtained with Navigator assistance

Administrative Records:

- Most recent Financial and Uniform Guidance Audit Report
- A copy of the approved indirect rate agreement (If Applicable)
- Cost Allocation Policy – How expenses are allocated to grants
- Procurement Policy, Record Retention Policy, Whistleblower Policy, Fiscal Control Policies
- Organizational Chart
- Chart of Accounts
- Job descriptions for key program and financial employees
- Profit and Loss Statement January – December

ESG/ESHAP Fiscal Records: reports that only show MaineHousing’s ESG/ESHAP detail

- General Ledger (G/L) detail for the entire grant period January – December
- Payroll distribution reports and required activity reports to support timecards January – December. Payroll reports need to clearly define which activity they are providing services for, indicating if the activity is for operations, stabilization, or performance.

Monitoring Compliance and Technical Assistance

MaineHousing will review for program and fiscal compliance based on assessment of risk or at least every three years at reasonable times and may copy and examine all of a grantee’s records other than medical or other confidential participant information protected by privacy laws except as required by the federal award pursuant to 2 C.F.R. §200.336. MaineHousing will determine the frequency and level of monitoring conducted based on a risk assessment that evaluates each Grantee’s potential risk to the overall grant. Grantees will maintain records sufficient to meet monitoring and auditing requirements of MaineHousing and HUD including, without limitation, daily rosters and participant files. Grantees will adhere to uniform administrative requirements as outlined in the code of federal regulations 2 C.F.R. §200, and retain program records for no less than 5 years after participation ends. Grantees will maintain timesheets for staff salaries being charged to ESHAP that specify the amount of time spent on ESHAP activities. MaineHousing will inspect the shelter physical plant for compliance with 24 C.F.R. §576.403 (b) and other MaineHousing requirements. MaineHousing staff will provide grantees with training, technical assistance, monitoring and oversight to ensure program integrity.

Funding is subject to a grantee’s compliance with this Program Guide, a Grant Agreement with MaineHousing, and with all applicable federal, state and local laws and ordinances as may be amended from time to time including, without limitation, the Rule, the Maine Housing Authorities Act, 30-A M.R.S., §4701, et. seq., as amended; and the McKinney-Vento Act, as amended by the HEARTH Act.

MaineHousing will review the performance of each grantee in carrying out its responsibilities based on assessment of risk or at least every three years and as otherwise determined by MaineHousing. In conducting performance reviews, MaineHousing will rely primarily on information obtained from the records and reports from grantees, as well as information from monitoring reviews, audit reports, and HMIS or comparable data bases. If MaineHousing determines that a grantee has not complied with a program and fiscal requirement, MaineHousing will give the grantee notice of this determination. MaineHousing will offer technical assistance and give the grantee an opportunity to demonstrate, within the time prescribed by MaineHousing, that grantee has complied with program requirements. If the grantee fails to demonstrate to MaineHousing’s

satisfaction that the activities were carried out in compliance with program requirements, MaineHousing may take one or more of the following actions:

- provide additional technical assistance and training opportunities;
- instruct the grantee to submit and comply with proposals for action to correct, mitigate, and prevent noncompliance with program requirements;
- suspend disbursement of funds for some or all activities;
- reduce or terminate the remaining grant and reallocate those funds to other grantees;
- disqualify grantee from participation in the Performance Share or future ESHAP; and
- require grantee to repay grant funds.

Application

Application Process

The Applications are due no later than **Monday, November 19, 2025 by 5pm**. If you have questions as you prepare your Application, please e-mail SHLTAPP@mainehousing.org.

The Application is available at <https://www.mainehousing.org/partners/partner-type/homeless-service-providers/homeless-initiatives>. Applications with all attachments and exhibits must be uploaded to ShareFile. If you need assistance accessing ShareFile, please e-mail SHLTAPP@mainehousing.org.

Applications submitted in any other format will not be reviewed. Please note that the documents submitted with your ESHAP Application are used for the purposes of determining your agency's eligibility for ESHAP and monitoring your shelter's compliance with the program requirements.

Applications that, in MaineHousing's sole judgment, are incomplete and/or missing required documents will not be eligible for consideration. For an application to be considered complete, it must contain the following and be uploaded to your ShareFile Folder;

1. Complete answers in ESHAP, Data Security, and Shelter Operations (if applicable) sections;
2. a completed Emergency Shelter Minimum Threshold Requirements review (see below);
3. the following attachments uploaded and with electronic signatures;
 - Attachment A: Certificate Regarding Lobbying;
 - Attachment B: Homeless Experience Consumer Participation Certification;
 - Attachment C: Minimum Data Requirements Certification;
 - Attachment D: Applicant Conflict of Interest Disclosure and Acknowledgement Form;
 - Attachment E: Certificate of Local Approval for Nonprofit Organizations;
 - Attachment F: Homeless Initiatives Contact Form;
 - Attachment G: Documentation of 501(c)(3) Status;
 - Attachment H: Most recent audit within the last 12 months completed by an outside firm and accompanying management letter. (Single Audit if applicable);
 - Attachment I: Corporate Resolution from Board of Directors to approve application submission;
 - Attachment J: An organizational chart showing titles and lines of authority for all individuals with any role in approving or recording of financial transactions;
 - Attachment K: List of agency board of directors outlining who each member represents;
 - Attachment L: Agency general Release of Information;
 - Attachment M: Data Quality Report for previous period of October 1 to September 30;and

4. all listed policies and procedures.

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

MaineHousing staff will review each application to ensure that it is complete, including the submission of the required attachments. Only complete applications, which have included all required attachments, will be considered. Staff will determine if the application meets minimum threshold requirements.

Applicants who are eligible for funding will be issued a Grant Agreement specifying terms and conditions of the funding award. Once successful applicants receive this notification they will be expected to submit:

1. a signed HMIS Agency Participation Agreement if you are a new ESHAP recipient for the 2026 program year (excluding Victims Service Providers);
2. a certification of Local Approval verifying that the municipality in which the program will run will not be seeking any funds from the Emergency Solutions Grant program to perform similar activities.

A Grant Agreement will not be fully executed until all certification and any other documents that may be required by MaineHousing have been received. Applicants who do not meet threshold requirements will be notified in writing.

Application Timeline

Task	Date
Complete Application to ShareFile by 5PM	November 19, 2025
Award Notifications sent to grantees	December 15, 2025
Executed Grant Agreement	December 29, 2025
Grant Year	January 1, 2026- December 31, 2026

Application Selection

Following the application submission deadline, MaineHousing will separate applications from previous ESHAP providers ("Renewal Applications") and new applications ("New Applications") and consider selection using the processes detailed below.

Renewal Applications

Renewal Applications will be considered based on the Risk Assessment scores from the Applicant's most recent annual monitoring. Each year MaineHousing conducts a Risk Assessment on ESHAP providers which determines each project's overall potential risk to the overall Emergency Solutions Grant, of which MaineHousing is the Recipient, and Applicants are subrecipients. The Risk Assessment scores ESHAP providers on a 0-100 scale, with 0-30 being considered Low Risk, 31-50 Medium Risk, and 51-100 considered High Risk based on a number of factors outlined in the MaineHousing ESHAP Monitoring Tool, which can be reviewed here- <https://www.mainehousing.org/docs/default-source/homeless/homeless-initiatives/monitoring/blank-monitoring-tool.xlsx>.

All Applicants with a Low or Medium Risk score in the most recent monitoring year will be approved for renewal. Applicants with a High Risk score from the most recent monitoring year, but a Low or Medium Risk score in previous years, will also be approved for renewal. MaineHousing may attach conditions to the approval of Applicants with a High Risk score, which may be determined on a case-by-case basis.

Applicants with a High Risk score from the two most recent monitoring years will be referred to a Renewal Review Committee ("RR Committee"). The RR Committee will consist of MaineHousing's Director of Homeless Initiatives, Senior Director of Homeless Initiatives, and Senior Director of Finance and Lending.

The RR Committee will review the previous monitoring results along with the current application. The RR Committee will consider the potential gap in services that would occur if the application is refused, as well as any progress the Applicant has made to correct deficiencies since the latest Risk Assessment was completed. The RR Committee will issue a decision on whether or not to accept or reject the Renewal Application, and what conditions may be placed on an acceptance, within seven (7) days of referral.

If an Applicant wishes to appeal a rejected Renewal Application, they must submit a written request for appeal within seven (7) days of the rejection being issued. At that time, the appeal will be considered by the Director of MaineHousing. The decision of the Director will be issued within five (5) business days of the appeal being submitted, and that decision will be final.

Renewal Applications with Increased Bed Capacity

Renewal Applications that propose to increase the number of funded beds in their shelter will have their existing bed capacity approved using the Renewal Application process above. New beds will be considered using the New Application process below, but the RR Committee will only use criterion 4 of the New Application Rubric, outlined below.

New Applications

In the case of New Applications, MaineHousing will first determine if the Applicant is eligible under the provisions in federal regulations, the Homeless Solutions Rule and this Program Guide. In order to be eligible to apply, a new Applicant must first attend the New Provider Information Session, conducted by MaineHousing prior to the release of the Application. If the Applicant is deemed eligible for ESHAP, MaineHousing will convene an Application Review Committee (“AR Committee”). The AR Committee will consist of representatives from MaineHousing and relevant partner agencies, the Hub Coordinators for the applicable Hubs, and a representative from the Maine Continuum of Care. If possible, partner agencies in the geographical vicinity of the Applicant will be included on the AR Committee.

The AR Committee will consider the approval of all New Applications based on the need for services in the area of the Applicant, using the New Application Rubric, outlined below. New Applications will be approved if the Applicant will serve an area not otherwise served, or a population not served within their area of operations. The AR Committee will also consider the impact to the overall funding when deciding which New Applications to approve.

MaineHousing will inform new Applicants of the AR Committee’s decision within one (1) business day of the AR Committee’s review. In the case of Applicants whose applications are not accepted, the Applicant may appeal this decision within five (5) business days of receipt of the AR Committee’s decision. The Senior Director of Homeless Initiatives, Senior Director of Finance and Lending and the Director of MaineHousing will consider any appeals and render a decision within five (5) business days of the appeal being lodged, and that appeal will be final.

New Application Rubric

Criteria	Answer	Result
1- Are there any other ESHAP providers in the Applicant’s Hub?	No	Application is approved
	Yes	Move to Criteria 2
2- Do the existing ESHAP providers already target the proposed Applicant’s intended demographic? (Adult, Family, Youth, DV)	No	Application is approved
	Yes	Move to Criteria 3

3- For Hubs with multiple counties, are existing providers in same county as the Applicant? -OR- For Hubs with a single county, are existing providers less than 30 minute normal driving distance away?	No	Application is approved
	Yes	Move to Criteria 4
4- If all other criteria are 'Yes,' can the Applicant provide verifiable data that shows an unmet need in their catchment area? (records of services provided to people experiencing homelessness not being otherwise served; turn away data from existing providers)	No	Application is denied
	Yes	Application is approved

MAINEHOUSING NONDISCRIMINATION NOTICE:

MaineHousing does not discriminate on the basis of protected classes under the applicable federal and state nondiscrimination laws, in the admission or access to, or treatment in, its programs and activities and in employment. MaineHousing will provide appropriate communication auxiliary aids and services upon sufficient notice. MaineHousing will also provide this document in alternative formats upon sufficient notice. MaineHousing has designated the following person responsible for coordinating compliance with applicable federal and state nondiscrimination requirements and addressing grievances: Kelley Stonebraker, Maine State Housing Authority, 26 Edison Dr, Augusta, Maine 04330-6046, Telephone Number 1-800-452-4668 (voice in state only), (207) 626-4600 (voice), Maine Relay 711, or Email: EqualAccess@mainehousing.org

MAINEHOUSING

Emergency Solutions Grant (ESG) Written Standards

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About this document

MaineHousing is awarded Emergency Solutions Grant (ESG) funds annually from the Department of Housing and Urban Development (HUD). HUD requires that ESG recipients establish Written Standards describing how these funds will be used, including how they are allocated to ESG sub-recipients. MaineHousing allocates ESG and other funds through Emergency Shelter and Housing Assistance Program (ESHAP) Grants to qualifying agencies throughout the state of Maine to assist persons experiencing homelessness. Chapter 19 of the MaineHousing Rules, the Maine Homeless Solutions Rule, developed in conjunction with the Maine Continuum of Care (MCOC) and the Maine Statewide Homeless Council (SHC), governs how MaineHousing allocates ESG funds and other available resources to qualifying ESHAP grantees. These Written Standards apply specifically to the ESG funding that is part of ESHAP. Regulations that govern other ESHAP funding sources are covered in other documents.

MaineHousing strives to ensure compliance with HUD and Maine Homeless Solutions Rule requirements while also giving providers the autonomy they need to craft policies and procedures that work best for their shelters, their programs, and the populations they serve. Several documents, reviewed annually, are available to help guide ESHAP Grantees. These documents are mentioned frequently throughout the ESG Written Standards and are incorporated by reference as part of this document. They contain important details that clarify or expand upon the information provided here and ESHAP grantees are expected to be familiar with them.

1. [Maine Homeless Solutions Rule](#)
2. [ESHAP Program Guide and Application](#)
3. [ESHAP Shelter Monitoring Tool](#)
4. [HMIS Governance Document](#)
5. [HMIS Policies and Procedures Manual](#)
6. [Maine Coordinated Entry Policies and Procedures](#)

These ESG Written Standards and aforementioned documents are intended to provide guidance to ESHAP grantees regarding the minimum expectations for compliance for ESG funding. As ESG sub-recipients, ESHAP Grantees may set standards on their provision of assistance that exceed these minimum standards, but must at the very least comply with HUD regulations and with the guidelines in this document. If an ESG sub-recipient establishes their own standards in addition to the ones outlined here, these must be described in the sub-recipient's Policies and Procedures Manual to be reviewed by MaineHousing annually as part of the ESG application and monitoring processes. Additional details about ESG program requirements can be found at hudexchange.info/esg and in the Code of Federal Regulations, [CFR-title-24-part576](#). ESG Sub-recipients should be sure to read, understand, and follow HUD guidance when developing their own written standards.

Background

The [Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 \(HEARTH Act\)](#) amended the McKinney-Vento Homeless Assistance Act and revised the Emergency Shelter Grants Program, renaming it the Emergency Solutions Grants (ESG) program. HUD administers ESG as a formula grant program, meaning each jurisdiction is allocated a specific calculated dollar amount, as opposed to a competitive grant where applications are scored and ranked to determine funding. Eligible ESG recipients are states, metropolitan cities, urban counties and territories, which must apply through their jurisdiction's Consolidated Planning process. MaineHousing is the ESG Recipient for the State of Maine, and distributes ESG funding and other resources to qualifying sub-recipients annually through Emergency Shelter and Housing Assistance Program (ESHAP) Grants. The City of Portland, Maine, also receives ESG funding directly from HUD as a separate Consolidated Plan jurisdiction. These Written Standards apply only to ESG funds that are distributed through MaineHousing ESHAP Grants, including ESHAP Grants to the City of Portland, but not to those ESG funds the City of Portland, or any other jurisdiction, receives directly from HUD.

ESG Eligible Activities

HUD allows ESG funding to be used for activities related to providing street outreach, emergency shelter, homelessness prevention, rapid re-housing assistance, and HMIS, as well as administrative activities. However, ESHAP intentionally focuses the use of ESG funds distributed by MaineHousing to specific Emergency Shelter Operation and Rapid Re-Housing Stabilization Service activities. This is done to maximize the impact of these limited funds and to avoid duplication of efforts. For example, Maine DHHS provides Outreach through their [Projects for Assistance in Transition from Homelessness \(PATH\)](#) program, and MaineHousing provides Rapid Re-Housing Rental Assistance through the [Stability Through Engagement Program \(STEP\)](#) and funding for significant shelter repairs through the [Supportive Housing Repair Program](#).

MaineHousing distributes all ESG funds, except those used for allowable administrative costs, to eligible sub-recipients who are local government and/or private nonprofit organizations in the state of Maine who serve individuals and families experiencing homelessness. MaineHousing allocates ESG funds through the ESHAP Application process, and works with the Maine Continuum of Care (MCOC) and the Maine Statewide Homeless Council (SHC) in determining how to apportion these funds annually. MaineHousing also provides match funding for the ESG award with cash and/or noncash contributions in accordance with HUD ESG requirements.

Emergency Shelter Operations

Eligible Activities: As detailed in the ESHAP Program Guide, qualifying Homeless Service Provider Agencies may use this portion of funding for costs related to the general maintenance and operation of an Emergency Shelter facility, such as rent, minor repairs, security, fuel, equipment, insurance, and utilities. This portion may also be used for costs more directly related to the individuals and families being served, such as food, furnishings, personal hygiene items, and other necessary supplies. This can also include the cost of a hotel or motel voucher where or when no other appropriate emergency shelter option is available for a qualifying family or individual.

576.2 Eligible program participants: Any individual or family of eligible citizenship or immigration status, meeting the definition of "homeless" under 24 CFR 576.2 is potentially eligible to benefit, directly or indirectly, from the activities described above. However, individual agencies and/or shelters may limit their services to particular sub-populations such as Youth, Families, or Victims of Domestic Violence, and may refer individuals or families who do not meet such criteria to other appropriate emergency shelter options. Any such limitations must be detailed by the agency in their program specific Written Standards/Policies and Procedures Manual, and must comply with all applicable HUD and Fair Housing regulations.

Rapid Re-Housing Stabilization Services

Eligible Activities: As detailed in the ESHAP Program Guide, qualifying Homeless Service Provider Agencies may use this portion of funding for costs related to housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair services, as necessary to help homeless individuals or families living in shelters or in places not meant for human habitation to move as quickly as possible into permanent housing and achieve stability.

Eligible program participants: Individuals and families of eligible citizenship or immigration status, who meet the criteria under paragraph (1) of the "homeless" definition in 24 CFR 576.2 or who meet the criteria under paragraph (4) of the "homeless" definition and live in an emergency shelter or other place described in paragraph (1) of the "homeless" definition, and meet other eligibility criteria outlined in the ESHAP Program Guide. In addition, participants must be assessed with housing prioritization tools prior to receiving housing relocation and stabilization services. Eligibility for housing relocation and stabilization services must be verified and documented by the sub-recipient.

Standards for Providing Rapid-Housing Stabilization Services: While providing housing stabilization and relocation services, the sub-recipient must meet with the participant not less than once per month and develop a plan for housing stability with the participant. The plan for housing stability must be updated every 90 days during the time that the participant is receiving services. Participants may not receive more than 24 months of housing relocation and stabilization services after placement in permanent housing. Sub-recipients are exempt from service and stability plan requirements if the Violence Against Women Act of 1994 (42 U.S.C. 13701 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits that recipient or sub-recipient from making its shelter or housing conditional on the participant's acceptance of services.

ESG Sub-Recipient Policies & Procedures

As ESG Sub-recipients, all ESHAP grantees must establish and consistently apply Written Standards in the form of agency/program specific Policies and Procedures for providing assistance covered by ESG funding. Agencies must ensure that their Policies and Procedures Manual is consistent with MaineHousing ESG Written Standards, ESHAP Program Guide, and HUD regulations regarding the use of these funds. In addition to policies and procedures contained in these Written Standards, ESHAP Program Guide, and the Maine Homeless Solutions Rule, sub-recipients are required to have the following::

- Standard policies and procedures for evaluating individuals' and families' eligibility for assistance under Emergency Solutions Grant (ESG);
 - Above policies must include process for documenting the homeless status of each individual and family, as detailed in 24CFR§576.500(b). Sub-recipients must establish the order of priority for documenting homeless status as third-party documentation first, intake worker observations second, and certification from the person seeking assistance third;
 - Above policies must include process for verifying and documenting the citizenship or immigration status of each individual and family.
- Policies and procedures for admission, diversion, referral, and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest; Code of Federal Regulations / Title 24 - Housing and Urban Development / Vol. 3 / 2018-04-01202
- Policies and procedures for assessing, prioritizing, and reassessing individuals' and families' needs for essential services related to emergency shelter;
- Policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers; other homeless assistance providers; and mainstream service and housing providers (see § 576.400(b) and (c) for a list of programs with which ESG-funded activities must be coordinated and integrated to the maximum extent practicable);
- All sub-recipient policies must be nondiscriminatory and adhere to applicable fair housing laws.

ESHAP Funding Requirements

In addition to the Policies and Procedures requirements above, all ESG sub-recipients must meet the eligibility requirements outlined in the Maine Homeless Solutions Rule and the ESHAP Program Guide prior to receiving funding. All programs funded as Emergency Shelters must meet all Emergency Shelter requirements in the Homeless Solutions Rule and the ESHAP Program Guide.

Data Collection and Reporting Requirements

In order to receive funding, ESHAP grantees must adhere to the data collection requirements outlined in the Maine Homeless Solutions Rule and the ESHAP Program Guide. In addition, ESG sub-recipients must be in compliance with the Maine HMIS Policies and Procedures Manual and HMIS Governance Document.

Each ESHAP grantee must provide program and client data to centralized data collection systems in the forms and within the timeframes required and prescribed by the HMIS Lead Agency, and in accordance with the HMIS Governance Document and Policies & Procedures Manual.

ESHAP grantee data and reports will not be considered submitted unless MaineHousing determines that the data and report is sufficiently complete and all client data is valid. Incomplete or missing data or reports may impact ESHAP funding distribution.

Coordinated Entry Requirements

ESG sub-recipients must use the centralized or coordinated assessment system (referred to as "Coordinated Entry") established by the Continuum of Care. Coordinated Entry is an approach to coordination and management of a crisis response system's resources to efficiently and effectively connect people to interventions that will rapidly end their homelessness. Coordinated Entry processes are intended to help communities prioritize people who are most in need of assistance. They also provide information to CoCs and other stakeholders about service needs and gaps to help communities strategically allocate their current resources. ESG sub-recipients who are Victim service providers must also utilize a Coordinated Entry System, but may choose to use a comparable, parallel system specific to DV providers if they do not wish to use the Continuum of Care's general centralized or coordinated assessment system.

Monitoring and Assessment Expectations

MaineHousing will monitor all ESHAP grantee programs for compliance at least every three years. Grantees will be notified at least 30 days prior to any monitoring visits or desk audits. MaineHousing will utilize a risk assessment to determine if grantees will be monitored more frequently than the minimum three year interval.

Grantees will maintain records sufficient to meet monitoring and auditing requirements of MaineHousing and HUD including without limitation, financial records, nightly bed rosters, policies and procedures, and client files. Shelters will be required to provide supporting documentation for fiscal compliance monitoring in reference to expenses incurred during the program year as well as documentation demonstrating compliance with state and federal requirements. Financial records must specifically show ESG Allocations and ESG Expenses to demonstrate the funds are used only for eligible activities. MaineHousing may copy and examine all of a grantee's records for Monitoring purposes other than medical or other confidential client information protected by privacy laws.

In the case of a physical shelter program facility, MaineHousing will inspect for compliance with HUD's minimum emergency shelter standards pursuant to and MaineHousing Asset Management inspection standards to ensure facilities meet basic health, safety, and structural guidelines.

Conflict of Interest

ESG sub-recipients must provide a conflict of interest statement with their annual application. Conflicts of interest include, but are not limited to, the following examples:

(a) Organizational conflicts of interest: The provision of any type or amount of ESG assistance may not be conditioned on an individual's or family's acceptance or occupancy of emergency shelter or housing owned by the recipient, the sub-recipient, or a parent or subsidiary of the sub-recipient. No sub-recipient may, with respect to individuals or families occupying housing owned by the sub-recipient, or any parent or subsidiary of the sub-recipient, carry out the initial evaluation required under § 576.401 or administer homelessness prevention assistance under § 576.103. Recipients and sub-recipients must also maintain written standards of conduct covering organizational conflicts of interest required under 2 CFR 200.318.(b) Individual conflicts of

interest. For the procurement of goods and services, the recipient and its sub-recipients must comply with 2 CFR 200.317 and 200.318. For all other transactions and activities, the following restrictions apply: (1) Conflicts prohibited: No person described in paragraph (b)(2) of this section who exercises or has exercised any functions or responsibilities with respect to activities assisted under the ESG program, or who is in a position to participate in a decision-making process or gain inside information with regard to activities assisted under the program, may obtain a financial interest or benefit from an assisted activity; have a financial interest in any contract, subcontract, or agreement with respect to an assisted activity; or have a financial interest in the proceeds derived from an assisted activity, either for him or herself or for those with whom he or she has family or business ties, during his or her tenure or during the one-year period following his or her tenure.

(2) Persons covered. The conflict-of-interest provisions of paragraph (b) (1) of this section apply to any person who is an employee, agent, consultant, officer, or elected or appointed official of the recipient or its sub-recipients.

Code of Federal Regulations / Title 24 - Housing and Urban Development / Vol. 3 / 2018-04-01206

Additional ESG Funding Allocations

If HUD makes additional ESG funds available to MaineHousing outside of HUD's annual Consolidated Plan allocation process, MaineHousing will establish appropriate program guides, applications, terms and conditions detailing the eligible activities and distribution procedures for such funds at that time and will share this information publicly on our website.