

# State of Maine Consolidated Plan

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CDBG, ESG, HOME and HTF

Plan Years 2020-2024

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

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## *Executive Summary*

### **ES-05 Executive Summary - 91.300(c), 91.320(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 ESG, HOME, and HTF 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 represents Maine's Five-Year Consolidated Plan 2020-2024 and its Year 2020 Action Plan, detailing how DECD and MaineHousing plan to allocate HUD block grant funds during the 2020 program year, which runs from January 1, 2020 to December 31, 2020.

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

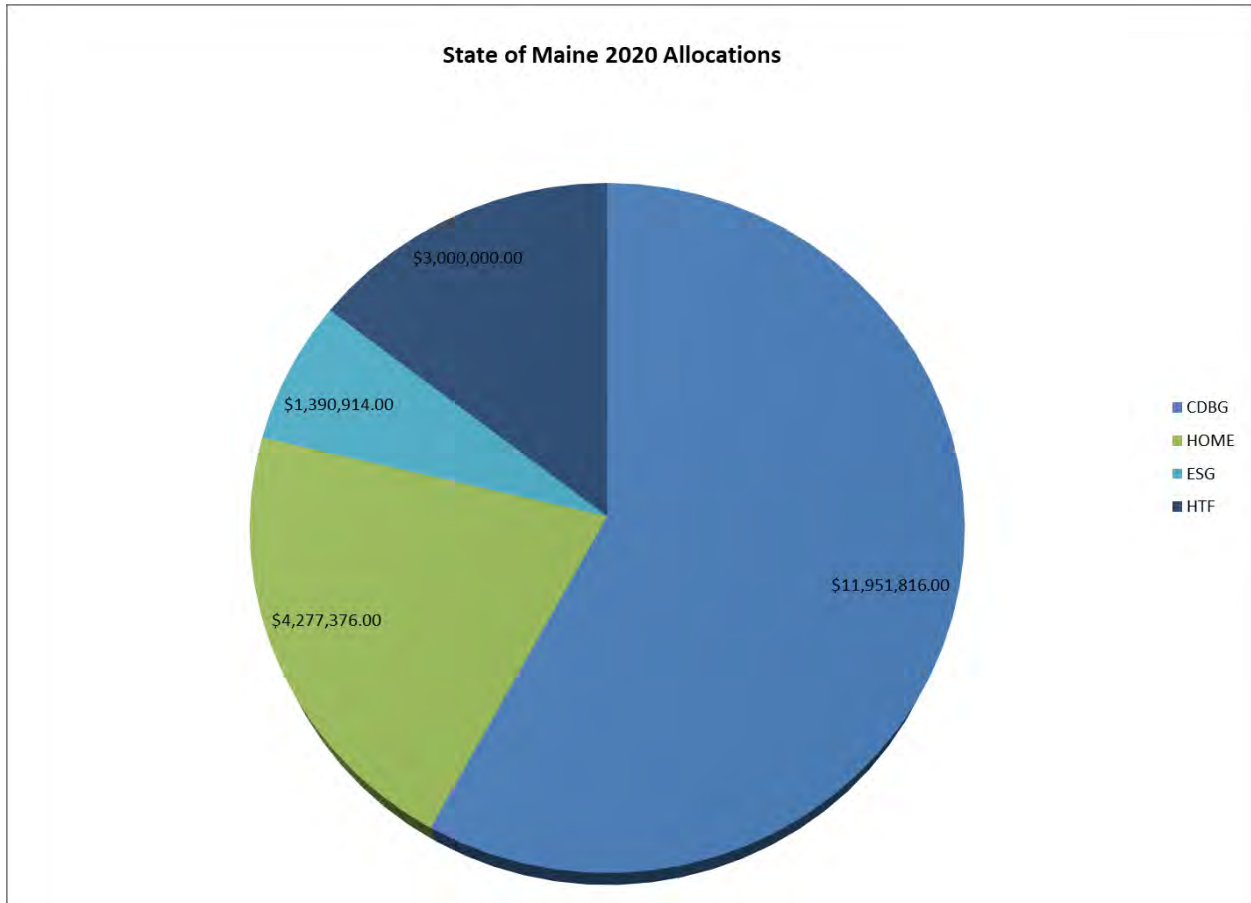
Broadband is now a necessary asset to attract and retain businesses and residents in Maine. Many rural communities do not have access to viable high-speed connectivity. This limits their ability to grow, innovate, support seniors staying in their homes, develop a strong workforce and to create an environment to attract business growth. Broadband access can also reduce costs of services, including health care and education over time.

The Broadband private sector investment model doesn't work in rural Maine. The low population density and limited scale make it unprofitable for the private sector to expand their networks with private investment only.

Public/Private partnerships is an option to optimize the private sector investment while driving the expansion needed to grow the Maine economy. We outline the model in the Action Plan.

This Statewide Broadband Action Plan (Action Plan) proposes that the state will contribute 25% of the total cost of the expansion needed for rural Maine. The remaining costs will come from the private sector, federal government and the local communities. That would make the State's investment be \$150m.

Our goal is to complete this program in 5 years, with a minimum \$40 million dollars committed by the State of Maine this year, with the balance over the next two years. The first year funding will start the work in high impact communities and demonstrate to the other public and private partners that Maine is committed to supporting and growing our rural economy and encourage their investment.



**2020 Allocations**

**2. Summary of the objectives and outcomes identified in the Plan Needs Assessment Overview**

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 the next five years will support at least one objective and one outcome. The framework for realizing these objectives and outcomes include 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 2020, the State proposes to allocate funding to the following activities.

CDBG:

- See attached CDBG Program Statement

HOME:

- \$2.4 million for rental housing
- \$1.4 million for tenant based rental assistance
- \$427,737.60 for administrative costs

ESG:

- \$643,298 for emergency shelter operations and essential services
- \$643,297 for rapid rehousing
- \$104,318.55 for administrative costs

HTF:

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

This funding will result in:

- sheltering 6200 homeless individuals
- rental assistance for 140 homeless individuals

- 110 new or rehabilitated housing units
- 2,500 persons assisted by a public facility or infrastructure activity
- 120 jobs created or retained
- 25 businesses assisted

### **3. Evaluation of past performance**

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

It is important to note that the State of Maine provides affordable housing and community development through a variety of assistance programs, many of which are funded through agency resources or state appropriations. In 2018 MaineHousing assisted more than 1,100 First Time Home Buyers, 630 Homeowners (not including over 36,000 helped with Energy Assistance) and more than 1,300 Homeless households. MaineHousing used funds to complete five multifamily projects, for a total of 202 units (21 for families and 181 for seniors). In 2018, nineteen projects are under construction (381 family units and 461 units for seniors).

While production results have sometimes exceeded or fallen short of stated goals, significant progress has been made to address the Consolidated Plan priorities and objectives. Several priorities exceeded 2018 goals, including use of tenant-based rental assistance (147% of 2018 goal), support of emergency shelter operations and service (113% of 2018 goal), and improved economic opportunities (400% of 2018 goal).

### **4. Summary of citizen participation process and consultation process**

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the CoC and other interested parties. The public consultation process for this plan included over 15 public forums. Which focused on topics including Homelessness, Affordability, Community Development, Low Income/Special Needs Consumers, Protected Class Members/Fair Housing, and Housing Quality. Forums occurred in eight different communities between June and August 2019, and a forum was included in the July Maine Affordable Housing Coalition meeting. In addition, consultation was sought during the August 2019 Continuum of Care and Statewide Homeless Council meetings. These meetings were held prior to the drafting of the Consolidated Plan.

Notice of the forums was placed on the MaineHousing website, and stakeholder groups were notified of the forums via email. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and interested individuals. The forums were also announced via social media with postings on the MaineHousing Facebook site.

On August 29, 2019 a public hearing occurred to allow citizens the opportunity to provide input into the 2020-2024 Maine Consolidated Plan. Public hearing notices were placed on the MaineHousing website. In addition, the public hearing was announced in state newspapers two weeks before the meeting was held. A total of seven participants attended the public hearing in the state capitol of Augusta;no public comments were offered.

The draft plan was made available for a 30-day period beginning October 4, 2019. On October 28, 2019 a public hearing occurred to gather comments on the draft 2020-2024 Maine Consolidated Plan including the State of Maine Analysis of Impediments to Fair Housing Choice. Public hearing notices were placed on the MaineHousing website. In addition, the public hearing was announced in state newspapers two weeks before the meeting was held. A total of five participants attended the public hearing in the state capitol of Augusta; no public comments were offered.

## **5. Summary of public comments**

Input received during the forums was used during the drafting of the Consolidated Plan. No public comments were offered during the 30-day public comment period.

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

No comments were received during the 30-day comment period.

## **7. Summary**

Activities funded in 2020 will address one of the following goals:

- Improve and Preserve the Quality of Housing
- Expand Affordable Housing Opportunities
- 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.



## *The Process*

### **PR-05 Lead & Responsible Agencies 24 CFR 91.300(b)**

#### **1. Describe agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source**

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

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

**Table 1 – Responsible Agencies**

#### **Narrative**

The 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) and the HMIS lead agency.

#### **Consolidated Plan Public Contact Information**

MaineHousing has been designated as the lead agency and primary point of public contact on the Consolidated Plan. The Draft Consolidated Plan 2020 -2024, including the Annual Action Plan for 2020, can be viewed and downloaded on the MaineHousing website.

## PR-10 Consultation – 91.100, 91.110, 91.200(b), 91.300(b), 91.200(I) and 91.315(I)

### 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 and forums, 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 (91.215(I))**

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, Facebook comments, and testimonies at meetings and hearings.

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

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

The Maine Continuum of Care (MCoC) includes representatives of Health Service Agencies and other entities focused on chronically homeless individual 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: MaineHousing is the Collaborative Applicant for the Maine Continuum of Care and the HMIS lead agency for the State of Maine. The MCoC meets monthly. Topics such as accessing HUD CoC funding, allocation of program resources, development of common assessment tools, performance measurement, and HMIS are discussed at the monthly meetings.

#### **Describe consultation with the Continuum(s) of Care that serves the state in determining how to allocate ESG funds, develop performance standards and evaluate outcomes, and develop funding, policies and procedures for the administration of HMIS**

### **Consultation on allocation:**

Allocation of ESG for the State of Maine is detailed in the Homeless Solutions Rule which is posted on the MaineHousing website (<http://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf>). In 2019, MaineHousing initiated a review of the rule to incorporate feedback from the MCoC and ESG Grantees. MaineHousing convened a group of representatives from 11 of the 24 grantees and conducted 5 meetings over a 4-month period to draft a revision to the rule, which should become effective in October 2019. The draft rule was also presented to the full MCoC for feedback before initiation of the public hearing/comments process. 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.

### **Update to include input process for recent rule changes**

#### **Performance Standards and Evaluation:**

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

#### **Policies and Procedures for HMIS:**

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

## **2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdictions consultations with housing, social service agencies and other entities**

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

1	<b>Agency/Group/Organization</b>	MAINE STATE HOUSING AUTHORITY
	<b>Agency/Group/Organization Type</b>	Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Lead-based Paint Strategy Public Housing Needs Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Non-Homeless Special Needs Economic Development Market Analysis Anti-poverty Strategy
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Consulted through Meetings, E-mail and Phone Calls.
2	<b>Agency/Group/Organization</b>	MAINE
	<b>Agency/Group/Organization Type</b>	Other government - State
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Economic Development Market Analysis Anti-poverty Strategy Narrowing the Digital Divide
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Consulted through Meetings, E-mail and Phone Calls

3	<b>Agency/Group/Organization</b>	Maine Statewide Homeless Council
	<b>Agency/Group/Organization Type</b>	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
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Market Analysis
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	The Statewide Homeless Council along with the three Regional Councils meet regularly to discuss needs and issues. MaineHousing solicited their input on the the Housing Need Assessment, Market Analysis, and the allocation of funding. They are notified of plan development, public hearings and comment periods.

4	<b>Agency/Group/Organization</b>	Maine Continuum of Care
	<b>Agency/Group/Organization Type</b>	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
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Market Analysis
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	The Maine Continuum of Care meets regularly to discuss needs and issues. MaineHousing solicited input on the the Housing Need Assessment, Market Analysis, and the allocation of funding. The Continuum of Care is notified of plan development, public hearings and comment periods.

5	<b>Agency/Group/Organization</b>	Maine Affordable Housing Coalition
	<b>Agency/Group/Organization Type</b>	Housing PHA Services - Housing Other government - State Other government - County Other government - Local Regional organization Business Leaders Civic Leaders Business and Civic Leaders
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Public Housing Needs Market Analysis
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	The Maine Affordable Housing Coalition (MAHC) is a diverse coalition of more than 130 private and public sector organizations, including developers, architects, engineers, builders, investors, Community Action agencies, public housing authorities, housing and service providers, advocates and others committed to ensuring that all Mainers are adequately and affordably housed. MaineHousing and DECD are active participants in the organization. MAHC is notified of plan development, public hearings, and comment periods.
8	<b>Agency/Group/Organization</b>	Maine Municipal Association
	<b>Agency/Group/Organization Type</b>	Other government - State Other government - Local Regional organization
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Economic Development Market Analysis
	<b>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Consulted through Meetings, E-mail and Phone Calls.

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

Not Applicable; all agencies and stakeholders were encouraged to participate and provide input to the development of the 2020-2024 Consolidated Plan.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	MaineHousing	The Continuum of Care goals have been recognized in the Consolidated Plan.
Analysis of Impediments to Fair Housing Choice	MaineHousing	The Analysis of Impediments to Fair Housing Choice was updated in conjunction with the 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 Consolidated Plan.
Homeless Initiative: Gaps and Needs Analysis	MaineHousing	MaineHousing on behalf of the Maine Continuum of Care commissioned a gaps and needs analysis of homeless initiatives in the state. Many of the
The Perceptions of Housing in Maine Citizens Surve	MaineHousing	MaineHousing commissioned a representative survey of Maine people on the perceptions of housing in the state. The initial results helped inform the Need Analysis in the Consolidated Plan.

**Table 3 – Other local / regional / federal planning efforts**

**Describe cooperation and coordination among the State and any units of general local government, in the implementation of the Consolidated Plan (91.315(l))**

Maine’s Consolidated Plan relies on cooperation and coordination with state, local and regional governments. Representatives of local government participated in many of the public forums.

**Narrative (optional):**

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



**PR-15 Citizen Participation – 91.105, 91.115, 91.200(c) and 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 CoC and other interested parties. The public consultation process for this plan included over 15 public forums. The Forums focused on topics including Homelessness, Affordability, Community Development, Low Income/Special Needs Consumers, Protected Class Members/Fair Housing, and Housing Quality. Forums occurred in eight different communities between June and August 2019, and a forum was included in the July Maine Affordable Housing Coalition meeting. In addition, consultation was sought during the August 2019 Continuum of Care and Statewide Homeless Council meetings. These meetings were held prior to the drafting of the Consolidated Plan.

Notice of the forums was placed on the MaineHousing website, and stakeholder groups were notified of the forums via email. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and interested individuals. The forums were also announced via social media with postings on the MaineHousing Facebook site.

On August 29, 2019 a public hearing occurred to allow citizens the opportunity to provide input into the 2020-2024 Maine Consolidated Plan. Public hearing notices were placed on the MaineHousing website. In addition, the public hearing was announced in state newspapers two weeks before the meeting was held. A total of seven participants attended the public hearing in the state capital of Augusta;no public comments were offered.

The draft plan was made available for a 30-day period beginning October 4, 2019. On October 28, 2019 a public hearing occurred to gather comments on the draft 2020-2024 Maine Consolidated Plan including the State of Maine Analysis of Impediments to Fair Housing Choice. Public hearing notices were placed on the MaineHousing website. In addition, the public hearing was announced in state newspapers two weeks before the meeting was held. A total of five participants attended the public hearing in the state capitol of Augusta; no public comments were offered.

**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 Meeting	Regional Homeless Council	A discussion was held at the Region 3 Homeless Council meeting in Bangor on June 12, 2019 to gather input on trends in homelessness. Thirteen people were in attendance.	The discussion included challenges housing youth, domestic violence victims and families. Further discussion included: mental health challenges especially in rural areas, the opioid crisis, and needs for recovery housing, family reunification, and ideas about supportive housing.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Public Meeting	Regional Homeless Council	A discussion was held at the Region 2 Homeless Council meeting in Augusta on June 14, 2019 to gather input on trends in homelessness. Thirteen people were in attendance.	The discussion included the need to develop more affordable housing in Maine as well as the need to preserve existing affordable housing (especially Rural Development units). The state needs all types of housing: single units, SROs, one bedrooms, multiple bedrooms, and accessible housing. Further discussion included increased senior homelessness, and rural vs urban homeless resources.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
3	Public Meeting	Regional Homeless Council	A discussion was held at the Region 1 Homeless Council meeting in Portland on June 26, 2019 to gather input on trends in homelessness. Thirteen people were in attendance.	The discussion included the lack of affordable housing in Maine and people with vouchers are not able to find housing. Further discussion included housing quality, youth homelessness, and supportive housing.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
4	Public Meeting	Maine Affordable Housing Coalition	A discussion was held at the MAHC meeting in Portland on July 9, 2019 to gather input on trends in affordable housing. Eight people were in attendance.	The discussion included the full waiting lists of people who cannot afford tax credit rents and the need for units at 30-40% AMI. The discussion also included the need for supportive housing, and a need to move people from housing first projects who no longer need those services into a project based subsidy.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
5	Public Meeting	Community Development	A Forum was held in Presque Isle on June 18, 2019 to gather input on community development needs. Twenty people were in attendance.	The discussion included the need for affordable housing choices for seniors, as well as the need for housing in proximity to employment. Further discussion included housing quality, evictions, and the Opioid Crisis.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
6	Public Meeting	Community Development	A Forum was held in Bangor on June 25, 2019 to gather input on community development needs. Eighteen people were in attendance.	The discussion included the need for affordable housing choices, as well as the need for housing in proximity to employment. Further discussion included the effect of seasonal rentals on affordable housing, housing quality, zero energy housing, and the effect of small business closures in rural areas.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
7	Public Meeting	Community Development	A Forum was held in Rockland on June 27, 2019 to gather input on community development needs. Seventeen people were in attendance.	The discussion included the need for affordable housing choices, as well as the effect of vacation homes and absentee landlord. Further discussion included the need for supportive housing, housing to allow people to age in place, senior housing, housing quality, Community Land Trusts, TIFs, unique island housing needs, public infrastructure, and the lack of workforce housing.	None	



Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
8	Public Meeting	Community Development	A Forum was held in Sanford on July 16, 2019 to gather input on community development needs. Twenty-two people were in attendance.	The discussion included affordable housing choices, housing quality, TIFs, voucher concentration, and the lack of workforce housing.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
9	Public Meeting	Community Development	A Forum was held in Farmington on July 18, 2019 to gather input on community development needs. Eleven people were in attendance.	The discussion included the need for affordable housing choices, as well as the effect of the university on the rental market. The need to relocate the homeless shelter was discussed, as well as the challenge of housing homeless youth. Further discussion included the need for home replacement, housing to allow people to age in place, senior housing, housing quality, and the lack of workforce housing.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
10	Public Meeting	Low Income	A community discussion about housing was held in Lewiston on July 31st for individuals who have experience with housing insecurity, unaffordability, and inaccessibility, as well as for advocates of housing related issues.	Discrimination is a chief challenge. Concern was expressed for health and safety. The group suggested increased enforcement of standards. The group also noted a significant lack of affordable housing and an increased need for affordable housing from changing market rate conditions and supply. The group suggested the addition of more vouchers and the creation of additional inventory of affordable housing.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
11	Public Meeting	Fair Housing	A Forum was held in Augusta on July 23, 2019 to gather input on protected class members/fair housing. Four people were in attendance.	The discussion included the reasons for denied housing and loan applications including credit scores, employment history and lack of income. Victims of domestic violence are discriminated against due to landlord fear that the perpetrator will come to the rental unit. There is little awareness about the needs of the LBGTQ community. There is a need for education.	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
12	Public Meeting	Housing Quality	A Forum was held in Bangor on May 30, 2019 to gather input on housing quality. Two people were in attendance.	The discussion focused on the need for safe affordable housing and housing quality.	None	
13	Public Meeting	Non-targeted/broad community	A Public Hearing held in Augusta on August 29, 2019. Six people were in attendance.	None	None	
14	Newspaper Ad	Non-targeted/broad community	Notice of the August 29, 2019 public hearing was published in the Kennebec Journal, Portland Press Herald, and the Bangor Daily News on August 13, 2019.	None	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
15	Internet Outreach	Non-targeted/broad community	Notice of the August 29, 2019 public hearing was posted on the MaineHousing website. Hearing and forum notices were also emailed to stakeholders.	None	None	
16	Public Meeting	Non-targeted/broad community	On October 28, 2019 a public hearing occurred to gather comments on the draft 2020-2024 Maine Consolidated Plan including the State of Maine Analysis of Impediments to Fair Housing Choice. A total of five participants attended the public hearing in the state capitol of Augusta; no public comments were offered.	None	None	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
17	Newspaper Ad	Non-targeted/broad community	Notice of the October 28, 2019 public hearing was published in the Kennebec Journal, Portland Press Herald, and the Bangor Daily News on October 11, 2019.	None	None	
18	Internet Outreach	Non-targeted/broad community	Notice of the October 28, 2019 public hearing was posted on the MaineHousing website. Hearing and forum notices were also emailed to stakeholders.	None	None	

**Table 4 – Citizen Participation Outreach**

## *Needs Assessment*

### **NA-05 Overview**

#### **Needs Assessment Overview**

In an effort to improve decisions for affordable housing investments, MaineHousing has examined social, demographic and economic data from several sources to assess affordable housing and community development needs in Maine. MaineHousing also consulted with practitioners and advocates from the homeless, affordable housing, housing quality, fair housing, and community development communities around the state. These organizations and individuals responded to MaineHousing's initial assessment of Maine's current situation with their own perspectives, suggestions and possible solutions.

During 2019, MaineHousing conducted a statewide survey on its citizen's perceptions of housing and housing needs in Maine; its own study on the state of housing in Maine, and a Point in Time (PIT) analysis of homelessness in Maine.

The citizen's survey focused on Maine citizen perceptions of housing in terms of its affordability, physical condition, and location. MaineHousing is using the findings from the survey as part of its assessment of need, overall strategic planning, as well as the Five-Year Consolidated Plan and Annual Action Plan. The state of housing in Maine report provides an overview of market conditions in Maine, trends, and a set of metrics used to guide affordable housing efforts in Maine. The PIT is an annual survey designed to provide a snapshot of homelessness for one night as assigned by the Department of Housing and Urban Development.

Data used was obtained from the following sources:

U.S Department of Housing and Urban Development (CHAS)

U.S. Census – LED, Decennial and ACS survey, Housing Construction

U.S. Federal Reserve

Office of the State of Maine Economist

U.S Department of Labor



## NA-10 Housing Needs Assessment - 24 CFR 91.305 (a,b,c)

### Summary of Housing Needs

Maine is rural, sparsely populated, and has an aging population. Unlike the United States, population growth in Maine, as in New England, has been flat since 2000. The fastest growing age cohort are those over 65, and older adults will likely comprise 30% of the population by 2030. A larger share of older adults own their homes, have lower incomes, and a higher rate of need likely to increase as this segment of the population grows.

The Census indicates a slow continued shift toward non-family, small family households. The higher than average number of homes occupied by older adults partially explains Maine's small overall household size of 2.4. The average household size for owned homes is 2.4 and 2.06 for rented units. Overall, Maine has the third lowest average household size and the second lowest among owned units in the nation.

Median home and rental prices have returned to and exceeded pre-recession levels. Affordable rental and owned units are declining, and so are vacancy rates. Tight inventories of both are increasing prices and cost burden. Few households are crowded, which can be attributed to the overall low average household size, as well as flat population and household growth.

An estimated 72% of occupied housing units are owned and 28% are rented, with growth in rental units outpacing those that are owned.

Affordability and the cost of housing is increasingly burdening Maine residents. While Maine's poverty rate has dropped to 12%, income has not kept pace with the cost of housing. An estimated 24% of households earn 50% or less of area median income. The median income of \$29,350 for renters (compared to \$64,679 for homeowners) explains the greater need for rental housing assistance. Among owners, 10% of those without a mortgage and 39.3% of those with were cost burdened, paying in excess of 30% of income on housing. For renters, 49.1% are cost burdened.

Extremely low income renters are the hardest by cost burden. An estimated 37,245 renter households have extremely low income and 17,000 are waiting for a housing choice voucher. Extremely low income renters paying over 50% of their income on housing comprise 16% of all renters. By type, small family renter household comprise the largest share of extremely severely low income households. A total of 54% of extremely low income renters have substandard housing, and 61.8% of renters with extremely low incomes have one or more problems. Among renters reporting a problem, 84% were cost burdened.

Small single parent and older adult renters face the greatest housing challenges and greatest need. Nearly 15% of households with at least one person over 75 have extremely low incomes. Additionally, 12.4% of households with one or more children aged 6 or under have extremely low incomes, and another 24% have low incomes.

Recent analyses indicate a projected need for 9,000 affordable rental units for older adults and over 17,000 households on waiting lists for housing choice vouchers.

<b>Demographics</b>	<b>Base Year: 2000</b>	<b>Most Recent Year: 2013</b>	<b>% Change</b>
Population	1,274,923	1,328,320	4%
Households	518,372	553,823	7%
Median Income	\$37,240.00	\$48,453.00	30%

**Table 5 - Housing Needs Assessment Demographics**

**Data Source:** 2000 Census (Base Year), 2009-2013 ACS (Most Recent Year)

### Number of Households Table

	<b>0-30% HAMFI</b>	<b>&gt;30-50% HAMFI</b>	<b>&gt;50-80% HAMFI</b>	<b>&gt;80-100% HAMFI</b>	<b>&gt;100% HAMFI</b>
Total Households	64,115	69,920	97,830	58,400	263,555
Small Family Households	16,730	18,665	32,985	23,620	143,020
Large Family Households	1,770	2,930	4,765	3,345	14,105
Household contains at least one person 62-74 years of age	11,860	14,800	23,065	13,525	57,955
Household contains at least one person age 75 or older	10,285	16,580	15,970	6,715	18,795
Households with one or more children 6 years old or younger	7,495	8,550	11,975	8,085	24,110

**Table 6 - Total Households Table**

**Data Source:** 2009-2013 CHAS

## Housing Needs Summary Tables

### 1. Housing Problems (Households with one of the listed needs)

	Renter					Owner				
	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total
NUMBER OF HOUSEHOLDS										
Substandard Housing - Lacking complete plumbing or kitchen facilities	1,710	665	655	120	3,150	1,065	820	725	215	2,825
Severely Overcrowded - With >1.51 people per room (and complete kitchen and plumbing)	320	465	345	130	1,260	75	50	115	70	310
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	485	635	430	205	1,755	165	425	640	340	1,570
Housing cost burden greater than 50% of income (and none of the above problems)	21,760	9,720	1,545	100	33,125	14,355	11,615	8,675	2,740	37,385
Housing cost burden greater than 30% of income (and none of the above problems)	4,645	12,900	13,750	1,775	33,070	3,980	10,905	17,535	11,305	43,725

	Renter					Owner				
	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total
Zero/negative Income (and none of the above problems)	2,050	0	0	0	2,050	2,030	0	0	0	2,030

**Table 7 – Housing Problems Table**

Data 2009-2013 CHAS  
Source:

2. Housing Problems 2 (Households with one or more Severe Housing Problems: Lacks kitchen or complete plumbing, severe overcrowding, severe cost burden)

	Renter					Owner				
	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total
<b>NUMBER OF HOUSEHOLDS</b>										
Having 1 or more of four housing problems	24,275	11,480	2,970	550	39,275	15,660	12,915	10,155	3,370	42,100
Having none of four housing problems	13,775	21,410	31,290	14,455	80,930	6,335	24,115	53,415	40,025	123,890
Household has negative income, but none of the other housing problems	2,050	0	0	0	2,050	2,030	0	0	0	2,030

**Table 8 – Housing Problems 2**

Data 2009-2013 CHAS  
Source:

3. Cost Burden > 30%

	Renter				Owner			
	0-30% AMI	>30- 50% AMI	>50- 80% AMI	Total	0-30% AMI	>30- 50% AMI	>50- 80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	8,955	7,780	5,380	22,115	4,450	6,395	11,220	22,065
Large Related	955	1,025	600	2,580	570	1,285	1,705	3,560
Elderly	5,935	5,790	2,990	14,715	8,840	11,045	8,495	28,380
Other	12,310	9,320	6,730	28,360	5,105	4,320	5,290	14,715
Total need by income	28,155	23,915	15,700	67,770	18,965	23,045	26,710	68,720

Table 9 – Cost Burden > 30%

Data 2009-2013 CHAS  
Source:

4. Cost Burden > 50%

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50- 80% AMI	Total	0-30% AMI	>30-50% AMI	>50- 80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	7,520	3,560	455	11,535	3,590	3,815	3,965	11,370
Large Related	750	285	70	1,105	460	530	355	1,345
Elderly	4,070	2,590	700	7,360	6,415	4,725	2,675	13,815
Other	10,825	3,835	545	15,205	4,325	2,755	1,840	8,920
Total need by income	23,165	10,270	1,770	35,205	14,790	11,825	8,835	35,450

Table 10 – Cost Burden > 50%

Data 2009-2013 CHAS  
Source:

5. Crowding (More than one person per room)

	Renter					Owner				
	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total	0-30% AMI	>30- 50% AMI	>50- 80% AMI	>80- 100% AMI	Total
NUMBER OF HOUSEHOLDS										
Single family households	755	935	675	255	2,620	160	475	565	370	1,570
Multiple, unrelated family households	55	24	60	10	149	80	35	195	24	334

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
Other, non-family households	10	145	180	74	409	15	0	15	35	65
Total need by income	820	1,104	915	339	3,178	255	510	775	429	1,969

Table 11 – Crowding Information – 1/2

Data Source: 2009-2013 CHAS

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
Households with Children Present	0	0	0	0	0	0	0	0

Table 12 – Crowding Information – 2/2

Data Source:  
Comments:

**Describe the number and type of single person households in need of housing assistance.**

Single person households comprise 29% of all households in Maine. The median household income for single person households is \$24,885, or 50% of state median household income. A total of 57% of single person households own their own homes, while the remainder are renters. The majority of these households (46%) are between 35 – 64 years of age, and the next largest group (43%) are aged 65 or older.

**Estimate the number and type of families in need of housing assistance who are disabled or victims of domestic violence, dating violence, sexual assault and stalking.**

According to the 2017 American Community Survey (ACS), 16% (208,646) of Maine’s civilian non-institutionalized population reported a disability. The likelihood of having a disability varies by age: 7% are younger than 18, 53% are ages 18 to 64, and 40% are over 65.

There are slightly higher rates of disability in the white and American Indian populations. Males experience a disproportionate rate of disability in contrast to females.

Over 55% of households receiving Food Stamps/SNAP within the past 12 months reported a disability.

The most frequently reported disabilities are ambulatory (96,977), cognitive difficulty (86,570), and independent living difficulty (68,617). An estimated 77% of those reporting these particular disabilities are over 65 years of age.

An increasing number of reported incidents of domestic violence/sexual assault (DVSA) involve victims with a disability. In 2017, there were an estimated 10,402 reported offenses of domestic violence and another 448 incidents of gross sexual assault in Maine. This number is likely higher as many incidents are not reported. Domestic violence incidents occur in both family and non-family type homes. The largest cohort of DVSA victims with a disability are working age.

The number of reported incidents of domestic violence/sexual assault and Maine residents reporting a disability are increasing. Housing affordability, joblessness, poverty, and substance abuse are all contributing factors to these crimes. These figures suggest a growing need for additional shelters to provide emergency housing for this population. As Maine ages and the number of ambulatory and independent living problems increase, so too will a need for supportive housing.

### **What are the most common housing problems?**

Housing cost burden is the most common housing problem. Maine households, rented and owned, face considerable challenges, primarily due to rising household costs that consume 30 – 50% or more of household income. Although the number of households cost burdened is not increasing, the burden is becoming greater as incomes flatten and housing expenses continue to rise.

In general, renter households face great housing challenges. Residents with severely low incomes rent more homes than own their own homes. Nearly a quarter of rental housing units have one or more housing problems, the greatest of which is cost burden. Older homeowners face greater cost burden problems, as they have a higher homeownership rate and lower or declining incomes.

Among renters reporting a problem, 84% were cost burdened, followed by 8% reporting a lack of complete plumbing. Among owners reporting a problem, 90% were cost burdened, followed by 6% reporting a lack of complete plumbing or kitchen facilities.

Other than housing cost burden, substandard plumbing and kitchen facilities ranks highest with 3,150 renters and 2,825 owners reporting these problems.

### **Are any populations/household types more affected than others by these problems?**

Severely low to low income households (both those who rent and own) are more affected by cost burden and substandard housing problems. Among renters, 66% of those cost burdened are at or below 30% AMI, and

54% suffer substandard housing problems. Among owners, 38% of those cost burdened are in the 30% AMI group, and 38% face substandard housing problems.

**Describe the characteristics and needs of Low-income individuals and families with children (especially extremely low-income) who are currently housed but are at imminent risk of either residing in shelters or becoming unsheltered 91.205(c)/91.305(c)). Also discuss the needs of formerly homeless families and individuals who are receiving rapid re-housing assistance and are nearing the termination of that assistance**

Poverty, housing instability and cost burden are characteristics of Maine's low income families at risk of becoming unsheltered. The connections between poverty and homelessness are well defined; virtually all people in the U.S. who experience homelessness have incomes at or below the poverty line. Many chronically homeless people have no income at all. The Maine CoC has identified the following characteristics associated with instability and increased risk of homelessness: lack of housing choice vouchers and security deposits, eviction, no affordable housing, family conflict, unemployment/low income, domestic violence, substance abuse, and mental health issues.

People who live in poverty are much more likely to experience unstable housing, such as frequent moves, living with family or friends, or episodes of living in unsafe or substandard housing. And individuals with an imminent risk of residing in shelters or becoming unsheltered typically have a combination of factors present in their lives, including lack of living wages, rent that consumes more than 30% of their income, high child care costs, high medical expenses and/or high transportation costs. These individuals can easily slip into homelessness due to a loss of a fraction of their income due to illness, reduced hours at work, or a family crisis. Many are only a paycheck away from homelessness.

Among single individuals, mental and physical disabilities combined with chronic health problems and addictions, are a much larger factor in homelessness. Lack of employment or limited income contributes to homelessness, although many homeless single individuals work at least part of the time.

Consistent with high levels of housing cost burden among people in poverty, a frequently self-reported reason for homelessness is the inability to find affordable housing. Another commonly self-reported reason is the lack of or loss of a job. Maine's unemployment rate of 4.2% in 2017 is substantially lower than the U.S. rate of 5.2%, but it is still a significant barrier.

Because Maine is one of the most rural states in the nation, transportation to work is another significant need. An estimated 78% of Maine workers 18 years old and older commute by car, truck or van. Only 0.6% of workers utilize public transportation, as it is not available in most of the state's rural communities. Mean travel time to work is 23 minutes, but significantly longer in the more rural areas of the state.

There is a continued growing need for support services for both individuals and families who were formerly homeless. Among those services are assistance in identifying adequate housing, flexible financial assistance,



and case management. Because they often lack work experience and solid credit, finding adequate housing remains a challenge. Case managers can assist with searching for a job, maintaining employment and improving credit scores.

**If a jurisdiction provides estimates of the at-risk population(s), it should also include a description of the operational definition of the at-risk group and the methodology used to generate the estimates:**

Mainers living in poverty or those cost burdened with incomes under 80% of AMI are at risk of losing their homes should any destabilizing event, i.e. loss of job, unanticipated medical issue, death of a spouse, or other problem arise. Individuals unable to pass background checks, have substance abuse or mental health problems, as well as those escaping domestic violence or aging out of the foster system are all at risk populations. Older adults who have lower or declining incomes and potential health issues are also at risk.

**Specify particular housing characteristics that have been linked with instability and an increased risk of homelessness**

The lack of financial resources is the root cause of homelessness. People who become homeless have insufficient financial resources to obtain or maintain housing. This is especially the case for 83% of the homeless population who experience episodic, transitional, or temporary periods of homelessness. While virtually all homeless people are also poor, there appear to be significant differences between the two populations. According to HUD, homeless people are more likely to be disabled, members of a racial minority group, male, or a veteran than people living in poverty (and to the overall population in the U.S.). Households below the poverty line face the most acute cost burden and spend a larger fraction of their incomes on rent. While housing affordability is an issue across the nation, severe housing cost burdens vary by state.

Other characteristics of housing linked to instability and increased risk of homelessness include physical problems with the home, crowding, and cost burden. It is estimated that 10% or 134,035 of all household in Maine are severely low to low income households. Among them, 50% or 67,330 have one or more housing problem, with cost burden affecting more households than any other problem. Maine's lack of housing inventory, and in particular affordable housing inventory, limits the options those at risk of becoming homeless face.

**Discussion**

Maine households, and in particular renters, are having difficulty paying household costs.

Maine households, rented and owned, face considerable needs primarily due to rising household costs that consume 30 – 50% or more of household income. Though the number of households cost burdened is not increasing the burden is becoming greater as incomes flatten and prices continue to rise.

In general renter households face great housing challenges. There are more rented homes with severely low incomes than owned. Nearly a quarter of rental housing units have one or more housing problems the greatest of which is cost burden. Older homeowners face greater cost burden problems as they have a higher homeownership rate and lower or declining incomes than do other age cohorts.

Maine has one of the highest rates of disability in the nation. An estimated 53% of Maine's disabled population is working age, 35 – 64 years old. An age cohort that comprises only 16% of the entire population.

## NA-15 Disproportionately Greater Need: Housing Problems - 91.305 (b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

### Introduction

Technology, particularly broadband, is essential to household communication, income, and expenditures. Lack of broadband infrastructure can inhibit the use of telemedicine in the more rural areas with aging populations where it's needed most. The State of Maine ConnectME Authority has a goal of making broadband available to everyone. Currently 22% of Maine households are estimated to be unserved. Broadband use among those over 65 is considerably lower than it is for younger cohorts. Broadband use is higher in the southern coastal areas than in the more sparsely populated lower to moderate income areas of the northwestern area. However, Maine has a fiber network providing high speed internet service to some rural communities and to all schools in the University of Maine system. Maine has a mix of internet providers and would welcome more providers in order to increase competition.

### 0%-30% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	47,197	12,500	3,054
White	43,550	11,481	2,782
Black / African American	834	260	55
Asian	465	128	60
American Indian, Alaska Native	629	244	32
Pacific Islander	20	20	0
Hispanic	447	166	70

**Table 13 - Disproportionally Greater Need 0 - 30% AMI**

Data Source: 2009-2013 CHAS

\*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

### 30%-50% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	43,343	24,402	0
White	40,922	23,262	0
Black / African American	586	176	0
Asian	310	89	0
American Indian, Alaska Native	187	235	0
Pacific Islander	0	0	0
Hispanic	736	206	0

**Table 14 - Disproportionally Greater Need 30 - 50% AMI**

Data 2009-2013 CHAS  
Source:

\*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

### 50%-80% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	40,089	55,667	0
White	38,401	53,532	0
Black / African American	462	448	0
Asian	306	280	0
American Indian, Alaska Native	91	333	0
Pacific Islander	10	4	0
Hispanic	364	433	0

**Table 15 - Disproportionally Greater Need 50 - 80% AMI**

Data 2009-2013 CHAS  
Source:

\*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

## 80%-100% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	17,928	43,445	0
White	17,244	41,977	0
Black / African American	63	279	0
Asian	95	229	0
American Indian, Alaska Native	16	153	0
Pacific Islander	0	25	0
Hispanic	243	318	0

**Table 16 - Disproportionally Greater Need 80 - 100% AMI**

Data 2009-2013 CHAS  
Source:

\*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

### Discussion

White households experience a disproportionate greater rate of housing problems than any other race. However, when we consider all levels of income less than 100% of AMI, Maine's minority households have a disproportionately greater need than do white households.

When using the calculation method HUD provided for the Consolidated Plan, only white with housing problems experience a disproportionate need at the extremely low income level. Black, Asian and Hispanic households have disproportionate housing problems at the very low income level. While all races and ethnicities combined in the very low income bracket have disproportionately high housing problems at 64%, Hispanic households have the greatest disproportionate need at 78%, followed by Asian at 77%, and black households at 76%.

Using the same calculation methods, black, Asian, Pacific Islander and Hispanic populations have a disproportionately greater need than the white Maine population. At the moderate income level, Asian and Hispanic populations have a disproportionately greater need than do the other racial groupings.

## NA-20 Disproportionately Greater Need: Severe Housing Problems – 91.305(b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

### Introduction

#### 0%-30% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	37,040	22,732	3,054
White	34,045	21,055	2,782
Black / African American	729	370	55
Asian	415	183	60
American Indian, Alaska Native	430	441	32
Pacific Islander	20	20	0
Hispanic	408	204	70

Table 17 – Severe Housing Problems 0 - 30% AMI

Data 2009-2013 CHAS  
Source:

\*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

#### 30%-50% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	20,403	47,408	0
White	19,178	45,103	0
Black / African American	300	456	0
Asian	151	253	0
American Indian, Alaska Native	76	352	0
Pacific Islander	0	0	0

<b>Severe Housing Problems*</b>	<b>Has one or more of four housing problems</b>	<b>Has none of the four housing problems</b>	<b>Household has no/negative income, but none of the other housing problems</b>
Hispanic	475	468	0

**Table 18 – Severe Housing Problems 30 - 50% AMI**

Data 2009-2013 CHAS  
Source:

\*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

**50%-80% of Area Median Income**

<b>Severe Housing Problems*</b>	<b>Has one or more of four housing problems</b>	<b>Has none of the four housing problems</b>	<b>Household has no/negative income, but none of the other housing problems</b>
Jurisdiction as a whole	11,713	84,061	0
White	11,088	80,866	0
Black / African American	184	726	0
Asian	72	515	0
American Indian, Alaska Native	30	397	0
Pacific Islander	10	4	0
Hispanic	136	661	0

**Table 19 – Severe Housing Problems 50 - 80% AMI**

Data 2009-2013 CHAS  
Source:

\*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

**80%-100% of Area Median Income**

<b>Severe Housing Problems*</b>	<b>Has one or more of four housing problems</b>	<b>Has none of the four housing problems</b>	<b>Household has no/negative income, but none of the other housing problems</b>
Jurisdiction as a whole	4,504	57,028	0
White	4,341	55,035	0
Black / African American	23	314	0
Asian	24	297	0

<b>Severe Housing Problems*</b>	<b>Has one or more of four housing problems</b>	<b>Has none of the four housing problems</b>	<b>Household has no/negative income, but none of the other housing problems</b>
American Indian, Alaska Native	8	163	0
Pacific Islander	0	25	0
Hispanic	34	527	0

**Table 20 – Severe Housing Problems 80 - 100% AMI**

Data 2009-2013 CHAS  
Source:

\*The four severe housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than 1.5 persons per room,
4. Cost Burden over 50%

## Discussion

Black, Asian, and Hispanic populations with an extremely low incomes (<30% AMI) have disproportionately greater needs with regard to severe housing problems that include the lack of complete kitchen or plumbing facilities, more than 1.5 persons per room, and a cost burden over 50%. White, Pacific Islanders and American Indians are not disproportionately in need.

Among those populations with very low income, black, Asian, and Hispanic populations have a disproportionately greater need. However, white, Pacific Islanders, and American Indians do not have a disproportionate need. This pattern continues in the low (>50% but <80% AMI) income groupings.

It is in the moderate level income groupings that we see the pattern break. White and Asian populations have a disproportionately greater need than all the other populations.

The Asian population has a disproportionately greater need at all income levels while American Indians do not. On average, Asian and Hispanic populations experience the greatest need in terms of severe housing problems.



## NA-25 Disproportionately Greater Need: Housing Cost Burdens – 91.305 (b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

### Introduction

### Housing Cost Burden

Housing Cost Burden	<=30%	30-50%	>50%	No / negative income (not computed)
Jurisdiction as a whole	371,236	98,672	69,158	3,226
White	359,218	94,549	64,833	2,906
Black / African American	2,113	856	892	95
Asian	1,978	702	635	60
American Indian, Alaska Native	1,731	430	493	36
Pacific Islander	77	0	34	0
Hispanic	2,428	904	983	74

**Table 21 – Greater Need: Housing Cost Burdens AMI**

Data 2009-2013 CHAS  
Source:

### Discussion

Pacific Islanders and white households have a disproportionate need among those with a housing cost burden. While the rate of need in this category is 68.5% for all households, white households and Pacific Island households have rates of 68.9% and 69.4% respectively.

## **NA-30 Disproportionately Greater Need: Discussion – 91.305 (b)(2)**

### **Are there any Income categories in which a racial or ethnic group has disproportionately greater need than the needs of that income category as a whole?**

Generally speaking, Maine's minority populations experience a greater need in terms of lacking complete kitchen or plumbing facilities, having more than one person per room, and being cost burdened. Asian and Hispanic populations experience greater need than the others at the very low, low and moderate income levels.

When using the calculation method HUD provided for the Consolidated Plan, only white with housing problems experience a disproportionate need at the extremely low income level. Black, Asian and Hispanic households have disproportionate housing problems at the very low income level. While all races and ethnicities combined in the very low income bracket have disproportionately high housing problems at 64%, Hispanic households have the greatest disproportionate need at 78%, followed by Asian at 77%, and black households at 76%.

Using the same calculation methods, black, Asian, Pacific Islander and Hispanic populations have a disproportionately greater need than the white Maine population. At the moderate income level, Asian and Hispanic populations have a disproportionately greater need than do the other racial groupings.

### **If they have needs not identified above, what are those needs?**

Because Maine has no racially or ethnically concentrated areas of poverty as defined by HUD, it is difficult to examine needs absent a more detailed survey.

### **Are any of those racial or ethnic groups located in specific areas or neighborhoods in your community?**

Though not meeting the HUD definition of a REAC, Maine's black population is greatest in the Portland and Lewiston metro areas. Maine's Native American population is greatest in the Passamaquoddy Indian Township in Washington County. Maine's Asian population is greatest in the Portland, Lewiston and Bangor communities.

**NA-35 Public Housing – (Optional)**

**Introduction**

This section is optional for State's.

**Totals in Use**

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
# of units vouchers in use	0	107	1,895	8,636	316	7,722	44	114	363

**Table 22 - Public Housing by Program Type**

\*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition

Data Source: PIC (PIH Information Center)

**Characteristics of Residents**

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	
# Homeless at admission	0	1	2	198	9	162	15	6	
# of Elderly Program Participants (>62)	0	6	844	1,705	216	1,433	2	0	

	Program Type							
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher	
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program
# of Disabled Families	0	34	492	3,949	64	3,479	23	24
# of Families requesting accessibility features	0	107	1,895	8,636	316	7,722	44	114
# of HIV/AIDS program participants	0	0	0	0	0	0	0	0
# of DV victims	0	0	0	0	0	0	0	0

**Table 23 – Characteristics of Public Housing Residents by Program Type**

Data Source: PIC (PIH Information Center)

**Race of Residents**

Race	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
White	0	105	1,794	8,301	308	7,404	44	112	360
Black/African American	0	1	64	250	4	240	0	0	3
Asian	0	0	16	30	1	29	0	0	0
American Indian/Alaska Native	0	1	19	50	3	44	0	2	0
Pacific Islander	0	0	2	5	0	5	0	0	0
Other	0	0	0	0	0	0	0	0	0

\*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition

**Table 24 – Race of Public Housing Residents by Program Type**

Data Source: PIC (PIH Information Center)

### Ethnicity of Residents

Ethnicity	Certificate	Mod-Rehab	Public Housing	Program Type					
				Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
Hispanic	0	3	22	85	2	79	0	2	0
Not Hispanic	0	104	1,873	8,551	314	7,643	44	112	363

\*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition

Table 25 – Ethnicity of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

**Section 504 Needs Assessment: Describe the needs of public housing tenants and applicants on the waiting list for accessible units:**

**What are the number and type of families on the waiting lists for public housing and section 8 tenant-based rental assistance? Based on the information above, and any other information available to the jurisdiction, what are the most immediate needs of residents of public housing and Housing Choice voucher holders?**

**How do these needs compare to the housing needs of the population at large**

**Discussion:**

## NA-40 Homeless Needs Assessment – 91.305(c)

### Introduction:

Since 2013, the Point in Time survey (PIT) results have remained relatively flat with an estimated 1,200 Mainers experiencing homelessness. This of course does not paint the full nature or extent of homelessness in our state, since the PIT is only one night of the year. Since 2015, the state's ESG funded shelters have provided services for over 6,000 unduplicated individuals annually. In 2018, the total unduplicated count served was 6,195.

The need for homeless services has not decreased over the past five years. Lack of affordable housing options, substance use disorders, and lack of economic opportunities are among the issues keeping the need high. MaineHousing, on behalf of the Maine Continuum of Care, contracted a Gaps and Needs analysis of Maine's homeless system, the results of which have been incorporated into the five-year Consolidated Plan and Annual Action Plan. Maine is among the most rural states in the union, but a majority of homeless services are located in urban-metro counties. This disparity in service location leads to an understated need in rural areas

**If data is not available for the categories "number of persons becoming and exiting homelessness each year," and "number of days that persons experience homelessness," describe these categories for each homeless population type (including chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth):**

**Nature and Extent of Homelessness: (Optional)**

<b>Race:</b>	<b>Sheltered:</b>	<b>Unsheltered (optional)</b>
White	0	0
Black or African American	0	0
Asian	0	0
American Indian or Alaska Native	0	0
Pacific Islander	0	0
<b>Ethnicity:</b>	<b>Sheltered:</b>	<b>Unsheltered (optional)</b>
Hispanic	0	0
Not Hispanic	0	0

Data Source  
Comments:

**Estimate the number and type of families in need of housing assistance for families with children and the families of veterans.**

In the 2019 PIT, 448 (37% of total individuals) were in households with at least one child (including youth only households), 76 (6%) were individuals in veteran households, of which 10 were in families with at least one child. While the PIT is an unduplicated census on one night of the year, the demographic results have been proven to be reliable estimates.

**Describe the Nature and Extent of Homelessness by Racial and Ethnic Group.**

Maine’s non-white population is 5%, whereas it was 33% in the 2019 PIT. The largest racial minority in the PIT was black or African-American, comprising 26% of the individuals in the survey. This racial group comprises just 1% of Maine’s population. This disparity is largely driven by an influx of asylum seekers from Africa who are not immediately eligible for federal housing aide. ESG funded shelters are aware of this disparity and are committed to providing services and housing navigation to all racial groups.

**Describe the Nature and Extent of Unsheltered and Sheltered Homelessness.**

The vast majority of known persons who experience homelessness are through Maine’s ESG funded shelters. In the 2019 PIT, a total of 1,215 individuals were identified, 92% of which were in a shelter. There are known deficiencies in Maine’s unsheltered methodology that include winter timing, rural geography, and lack of annual methodology beyond the PIT. In 2018, Maine’s ESG funded shelters served 6,195 unduplicated



individuals. Of those who enter an emergency shelter, approximately 50% exit without supports within 30 days.

**Discussion:**

The number of families and unaccompanied youth remain a concern. The state was recently awarded \$3.3 million from the U.S. Department of Housing and Urban Development under the Youth Homelessness Demonstration Program. Racial disparities will remain an issue for the foreseeable future with the influx of ineligible individuals and families seeking asylum.

## NA-45 Non-Homeless Special Needs Assessment – 91.305 (b,d)

### Introduction

More than 200,000 Maine's non-institutionalized residents have special needs, most of whom are of working age (18-64), followed by older adults (65+). When the two age groups are combined, they comprise 93% of the population. In order of frequency, ambulatory challenges, cognitive issues, and independent living difficulties are the most common special needs.

### Describe the characteristics of special needs populations in your community:

All Maine people deserve safe, affordable housing suitable to their needs. Maine's special needs community is no different. Disability is the most commonly cited compliant as it relates to housing according to Maine Human Rights Commission. Each age cohort and difficulty has a unique set of characteristics. Access to supports and appropriate housing is paramount for this population to live with dignity. Additionally, Maine's rural nature provides barriers to those who need services if they do not have access to transportation.

The working age population (18-64) comprise 53% of the non-institutionalized population. This group needs access to suitable employment (if able), transportation, and affordable housing. The majority of this group is ages 35 to 64, and those 55+ will likely require additional services as they age.

Maine's median age of 43.5 makes us the oldest state in the nation. In 2017, 40% of Maine's non-institutionalized population was over the age of 65. Maine's older adult population is expected to grow; by 2020 it is estimated that people over 60 will comprise 30% of our total population. The majority of these older adults (79%) are homeowners with modest incomes. Safety modifications of their homes will be needed in order to help them age in place.

The vast majority (72%) of Maine's older adults are estimated to have some form of disability. Providing services equitably will be a challenge, as many live in rural areas removed from service centers. We know through a recent representative survey of Maine households and other research that the majority of older adults would prefer to continue to live in their communities, and if they are forced to move, it is often within their larger community to be closer to services.

### What are the housing and supportive service needs of these populations and how are these needs determined?

Older adults, the majority of which are homeowners, will raise demand for home modification and remodeling services. However, most in this age cohort have modest incomes and may not be able to afford such work, forcing them to seek alternative housing accommodations if there are no programs with financial assistance available. Adults of working age will need access to affordable units (rental and owned) and be close to services.

These needs were determined by several methods, including research and outreach, and the belief that everyone should have access to housing and services suitable to their needs. Additionally, discrimination based on disability has been the basis of 54% of all housing complaints filed with the Maine Human Rights Commission since 2014. As part of the Annual Action plan, MaineHousing has committed to fund the construction of more units with deeper affordability and accessibility than is required by statute.

### **Discuss the size and characteristics of the population with HIV/AIDS and their families within the Eligible Metropolitan Statistical Area:**

A total of 1,543 people in Maine were estimated to be living with HIV in 2016. The largest concentration by counties were, Cumberland (559), York (227), Androscoggin (148 per 100,000), Kennebec (133 per 100,000), and Penobscot (116). Kennebec county is the only county listed not in one of Maine's Metropolitan Statistical Areas, it is however a Micropolitan Statistical Area.

The vast majority (78%) living with the disease are males over the age of 25. Racially, 74% are white and 16% are black, comprising 90% of the population.

Like many other jurisdictions in the country, Maine is dealing with increased opioid use, and it is known that those who inject drugs intravenously remain at high risk of being infected by the disease. Important prevention approaches include programs that serve and educate high risk populations.

### **Discussion:**

Expanding options for affordable accessible units close to services remains important to Maine's special needs community. Access to transportation services is an issue for more rural parts of the state, as well as for older adults. Access to home safety modification programs is also important to older adults and all age groups with special needs.

## NA-50 Non-Housing Community Development Needs - 91.315 (f)

### **Describe the jurisdiction's need for Public Facilities:**

The State of Maine understands the importance of Public Facilities to communities, which is why in the last 30 years the program has invested over \$30 million for hundreds of facilities. The feedback from communities statewide is that in these difficult economic times, making more impactful investments in Economic Development, Housing and Public Infrastructure and Public Service is the appropriate strategy for the 2020-2024 program years.

### **How were these needs determined?**

The assessment process contains six elements: public information gathering forums; a formal public hearing and information gathering process; a review of related or similar federal or state programs; demographic and economic data; a review of historic CDBG applications and; the State's economic development strategy.

**Public Forums:** At each group presentation, training session, and meetings, with regional service providers, an open discussion was held to examine the potential for new and/or improvements to existing CDBG programs to address community needs and evaluate their potential effectiveness.

### **Describe the jurisdiction's need for Public Improvements:**

The State of Maine understands the importance of Public Improvements to communities. The feedback from communities statewide is that in these difficult economic times, making more impactful investments in Economic Development, Housing and Public Improvements, and Public Service is the appropriate strategy for the 2020-2024 program years.

### **How were these needs determined?**

The assessment process contains six elements: public information gathering forums; a formal public hearing and information gathering process; a review of related or similar federal or state programs; demographic and economic data; a review of historic CDBG applications and; the State's economic development strategy.

**Public Forums:** At each group presentation, training session, and meetings, with regional service providers, an open discussion was held to examine the potential for new and/or improvements to existing CDBG programs to address community needs and evaluate their potential effectiveness.

### **Describe the jurisdiction's need for Public Services:**

The State of Maine understands the importance of Public Services to communities. The feedback from communities statewide is that in these difficult economic times, making more impactful investments in Economic Development, Housing and Public Improvements, and Public Service is the appropriate strategy for the 2020-2024 program years.

### **How were these needs determined?**

The assessment process contains six elements: public information gathering forums; a formal public hearing and information gathering process; a review of related or similar federal or state programs; demographic and economic data; a review of historic CDBG applications and; the State's economic development strategy.

**Public Forums:** At each group presentation, training session, and meetings, with regional service providers, an open discussion was held to examine the potential for new and/or improvements to existing CDBG programs to address community needs and evaluate their potential effectiveness.

## *Housing Market Analysis*

### **MA-05 Overview**

#### **Housing Market Analysis Overview:**

The following narrative is a market analysis of housing and affordable housing in Maine. It examines housing demand and supply and other data relevant to the overall housing market and how that impacts affordability in Maine.

Maine's total housing units have grown by a modest 14,450 units since 2012. Most of that growth has been in seasonal rental units that the American Community Survey classifies as vacant units. The overall count of occupied units (owned and rented) have increased 5.9%, with rental units accounting for 93% of that unit growth. The vacancy rates for both owned and rented units have declined to 1.9% and 6.8% respectively.

The market for affordable housing is not improving due to tight inventories, changes in the use of housing units, pricing that is outpacing income growth, and other factors.

## MA-10 Number of Housing Units – 91.310(a)

### Introduction

Several factors contribute to the decrease in the number of affordable housing units in Maine. Maine's older housing stock, changing demographic picture among residents, aging population, and a slowdown in construction has resulted in the construction of fewer new units.

Owning a home continues to be less affordable for median income earners. Median home prices have averaged \$213,663 monthly, but hit a record high of \$219,000 in November. Prices are being driven by low inventory, as well as increased costs of labor, materials, and land.

Renting remains unaffordable, but the market is improving. There has been a decline of 8,667 affordable rental units (defined as under \$900/month) since 2013. Although there are fewer affordable units on the market, the vacancy rate rose 6.1% during the 4th quarter of 2018, suggesting increasing inventory. The median monthly rent for a 2-bedroom unit in Portland's Metro area has increased 60% since 2009 to a post-recession high of \$1,400. The Census shows increases in median rents statewide, but at a lower rate than the Portland Metro.

Construction of new multi-family units slowed after the recession, squeezing the inventory of available rental units, but is now nearly reaching pre-recession levels. However, construction of single-family units hasn't returned to pre-recession levels. On average, seven thousand single-family homes were permitted each year from 2001 – 2006. Since 2009, however, that annual number has fallen to just under three thousand homes.

The cost of constructing a single family unit increased 56% from 2004 to 2018, while the cost to construct multi-family units increased 123% over the same time period. These increases are due to rising labor costs, materials expenses, and land acquisition costs.

Nationally, the millennial generation is entering the prime home buying age, which is expected to rejuvenate the housing market. In Maine however, millennials are forecast to grow only 2% over the next four years, and expected flat population growth among adults of child bearing age will slow housing formation.

Maine's existing housing stock may not be best suited for the changing preferences and needs of current and future buyers and renters. Price, quality, size and location of available homes are out of line with incomes and location preferences. Younger and older age residents alike seek more densely populated areas with services and resources available to them, yet there are not enough housing units to meet the demand. In addition, the price of housing in these areas is out of reach for a growing number of buyers particularly those who are younger.

## All residential properties by number of units

Property Type	Number	%
1-unit detached structure	503,153	70%
1-unit, attached structure	16,402	2%
2-4 units	76,570	11%
5-19 units	39,893	6%
20 or more units	21,798	3%
Mobile Home, boat, RV, van, etc	64,155	9%
<b>Total</b>	<b>721,971</b>	<b>100%</b>

**Table 26 – Residential Properties by Unit Number**

Data 2009-2013 ACS  
Source:

## Unit Size by Tenure

	Owners		Renters	
	Number	%	Number	%
No bedroom	1,007	0%	7,670	5%
1 bedroom	14,909	4%	44,965	29%
2 bedrooms	102,141	26%	59,495	38%
3 or more bedrooms	279,455	70%	44,181	28%
<b>Total</b>	<b>397,512</b>	<b>100%</b>	<b>156,311</b>	<b>100%</b>

**Table 27 – Unit Size by Tenure**

Data 2009-2013 ACS  
Source:

## Describe the number and targeting (income level/type of family served) of units assisted with federal, state, and local programs.

In 2018, state and local housing organizations targeted severely low, very low and low income households. Local PHA's assisted 3,969 tenants in public housing units, including tenants with extremely low incomes (63%), very low incomes (88%) and low to moderate incomes (12%). In addition State and local housing authorities provide assistance to 13,269 households through the housing choice voucher program. Of these households, 74% have severely low income, 96% have very low income, and 4% have low to moderate income.

The model rehabilitation program has provided assistance to 159 households (62% extremely low income, 94% very low income, and 4% low to moderate income). The Project Based Section 8 program has provided assistance to 8,084 households (65% extremely low income, 19% very low income, and 35% low to moderate income.)

The 202/PRAC program provided assistance to 761 households (53% extremely low income, 53% very low income, and 1% low to moderate income), and the 811/PRAC program assists 175 households (80% extremely low income, 98% very low income; and 2% low to moderate income.)



Female head of households comprise the largest share of households and households of one adult with children comprise the largest share of households with children. Racially, black non-Hispanic households comprise the largest share of households targeted by these programs.

Average time on a waiting list for these programs ranges from a high of 33 months for the HCV program to 15 months for Public Housing.

The LIHTC program targets families and older adults between 40% and 60% AMI. The program has produced 8,047 units of affordable housing.

**Provide an assessment of units expected to be lost from the affordable housing inventory for any reason, such as expiration of Section 8 contracts.**

Maine's most pressing concern regarding the potential loss of affordable inventory is with USDA RD properties reaching their prepay eligibility period. MaineHousing, under statute, has first claim on such properties and has recently refinanced and kept one property in the affordable housing portfolio. At present there are 62 units that could be sold absent intervention. MaineHousing continues to work with partners to ensure these units are kept affordable.

**Does the availability of housing units meet the needs of the population?**

No. Estimates of the number of new affordable units that would be needed to meet the needs of those with severely low incomes range from 37,000 to 41,000 units. It is estimated that there are just over 37,000 renter households with severely low incomes, with another 27,000 low income renter households in Maine. At present there are 17,000 households on the HCV waiting list, with an average wait time of 33 months.

Existing affordable housing units are decreasing. Rental units under \$900/month, considered affordable, have decreased by nearly 9,000 units since 2013 (8%). But those \$901/month and up have increased by nearly 8,000 units or 24%. Owned units too have seen increases in price and value. Homes at an affordable value have increased by just 6,000 units (3%), while unaffordable units grew by over 6,600 (4%).

Fewer affordable units, growing demand, and rent prices growing faster than incomes are all making it increasingly difficult for Mainers to find affordable apartments. Rising rental costs make it challenging for the average wage earner to afford housing, and is one of the reasons contributing to Maine's increased homelessness.

Home prices have been increasing faster than incomes as well. For a very brief period, 2014-2015, home owner incomes were outpacing increases in home prices. But beginning in 2016, home sales jumped and so too did prices. Currently, Maine's median home price is the highest it's ever been. Construction of new single family dwellings has not kept pace with demand, and new units being built are too expensive for those earning a median income.

Housing choices are limited by the growing affordability gap. Median income households comprised of firefighters, teachers, and nurses often have to commute from outside the communities where they

work. Slow construction growth and high priced new construction in areas where both young and older residents want to live have combined to put a considerable limit on housing that can meet the needs of the population. As a result, lower-income people have limited choices for affordable housing, which affects access to jobs and services. Workforce housing needs have become a large problem for employers in a number of communities, with the lack of affordable housing being cited as an impediment to economic growth.

### **Describe the need for specific types of housing:**

Maine is in need of both market and subsidized housing, as well as services, to meet the needs of older adults. This need is further exacerbated by the number of older adults living in rural areas. Overall, the population of Maine's older adult population, 65 and older, is expected to jump from its current 18% of total population to 37% by 2026 as baby boomers age. The additional 50,000 increase in the older adult population alone will require an additional 25,000 units of housing. Traditionally, this age cohort has preferred and continues to prefer owning a home (vs. renting). At present, the homeownership rate among older adults is 78%, as opposed to Maine's 72% overall homeownership rate.

With more wealth than their younger cohorts in Maine, older adults will likely contribute to crowding out younger households from owning homes. Both age groups want to live in the same areas, where inventories are already tight. What's equally problematic is the reality that both older and younger residents need one another, and the growing housing mismatch is making this relationship more difficult.

There is a need for more supportive and accessible housing given Maine's considerable population of disabled individuals and aging population. The physically disabled need appropriate, independent living situations, and assistance is needed for modifications to both rental and homeownership units.

Many Maine homes were built prior to 1939 and thus will require electrical and plumbing upgrades in order to remain safe and accessible. Most of these homes do not have handicapped accessible entry ramps, and many are in immediate need of home repair assistance. Upgrades in insulation and heating systems will also need to be made in order to keep energy costs down and residents warm during the cold winter months.

### **Discussion**

Given Maine's aging population and shift to coastal areas of the state, there is a need to produce more affordable housing and supportive housing. In southern Maine, the population is increasing along with the number of jobs, yet there are few affordable housing units. In the north, it's just the opposite. Although there are more affordable units, population is decreasing along with a lack of employment opportunities.

To meet Maine's unique geography and demographic needs, innovative housing approaches are needed. Accessory dwelling units and shared housing are just two options that could add more affordable housing units to communities.

## MA-15 Cost of Housing – 91.310(a)

### Introduction

According to the Census, an estimated 49% of renters and 25% of owners pay more than 30% of their income toward housing costs. Per capita household mortgage debt has been flat to decreasing since the end of the recession, although it is increasing in households over 65 years old. Overall, housing related costs comprise 40% of household income after taxes in the northeast region of the nation.

Nearly 320,000, or 56.3% of households earning median household income, are unable to purchase a home.

### Cost of Housing

	Base Year: 2000	Most Recent Year: 2013	% Change
Median Home Value	94,300	174,500	85%
Median Contract Rent	432	664	54%

Table 28 – Cost of Housing

Data Source: 2000 Census (Base Year), 2009-2013 ACS (Most Recent Year)

Rent Paid	Number	%
Less than \$500	50,609	32.4%
\$500-999	84,266	53.9%
\$1,000-1,499	17,542	11.2%
\$1,500-1,999	2,263	1.5%
\$2,000 or more	1,631	1.0%
<i>Total</i>	<i>156,311</i>	<i>100.0%</i>

Table 29 - Rent Paid

Data Source: 2009-2013 ACS

### Housing Affordability

% Units affordable to Households earning	Renter	Owner
30% HAMFI	16,635	No Data
50% HAMFI	42,010	27,090
80% HAMFI	107,750	84,930
100% HAMFI	No Data	133,615
<i>Total</i>	<i>166,395</i>	<i>245,635</i>

Table 30 – Housing Affordability

## Monthly Rent

Monthly Rent (\$)	Efficiency (no bedroom)	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom
Fair Market Rent	0	0	0	0	0
High HOME Rent	1,011	1,039	1,287	1,829	2,413
Low HOME Rent	659	712	876	1,098	1,184

Table 31 – Monthly Rent

Data Source Comments:

### Is there sufficient housing for households at all income levels?

No. There are approximately 37,000 households with extremely low incomes, yet there are only an estimated 17,000 affordable rental units in Maine available to those within that income group.

### How is affordability of housing likely to change considering changes to home values and/or rents?

Both rents and home prices are likely to continue to increase, with rents increasing at a slightly slower pace than home prices, yet there is little change in household income. These price increases will continue to reduce the number of affordable homes (rental and owned) in Maine. Middle class housing (single, two, and three to four housing units) are not being produced at the rates they were prior to the recession, yet their value has risen by 40% to 50%.

### How do HOME rents / Fair Market Rent compare to Area Median Rent? How might this impact your strategy to produce or preserve affordable housing?

Fair Market Rents in Maine are equal to high HOME rents, but higher than low HOME rents. In Maine, gross median area rent is higher than rents paid in the more rural areas of the state, such as Piscataquis or Aroostook counties, but lower in the Cumberland-York County areas.

### Discussion

Housing cost burden will likely increase for all households on a fixed income, whether they own or rent their home. Fewer new housing units are being built, and when they are, their prices are often out of reach for many. Older homes and apartments require more repairs to heating, electrical and other systems, driving up housing costs even further. To accomplish affordability, both the inventory and condition of housing will need to be addressed.

## MA-20 Condition of Housing – 91.310(a)

### Introduction:

According to the US Census, Maine had the 8th oldest housing stock in the country in 2017. An estimated 25% of owned and 30% of rented homes were built prior to 1940. Combined, just over 131,000 units (or 23%) were built prior to 1940. An estimated 21% of owned and 30% of rented units reported having at least one housing condition, which could include lack of complete plumbing, kitchen facilities, or telephone service. Overall there are more than 158,000 homes with at least one condition, and the number of units lacking telephone service is increasing.

Older housing stock often lacks code compliant electrical systems, adequate fire prevention and safety protections systems, as well adequate accessibility. In addition, the probability of the existence of lead paint is much higher in older housing stock.

The use of heating oil among owned and rented households is diminishing, while the use of alternatives such as wood and solar is increasing.

### Definitions

A substandard condition is one that which creates a safety or health hazards and includes units that do not meet the minimum standards contained in the States housing codes and include but are not limited to:

- Lacking complete plumbing or kitchen facilities
- Have more than 1.5 people per room (severely overcrowded)
- Have more than 1 to 1.5 people per room (overcrowded)
- Have a housing cost burden greater than 50% income
- Have a housing cost burden greater than 30%

Units with substandard conditions but suitable for rehabilitation are those that are structurally sound and for which the cost of rehabilitation is substantially less than the cost of new construction or considered economically warranted.

### Condition of Units

Condition of Units	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
With one selected Condition	107,007	27%	69,973	45%
With two selected Conditions	2,843	1%	3,691	2%

Condition of Units	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
With three selected Conditions	416	0%	698	0%
With four selected Conditions	6	0%	28	0%
No selected Conditions	287,240	72%	81,921	52%
<b>Total</b>	<b>397,512</b>	<b>100%</b>	<b>156,311</b>	<b>99%</b>

**Table 32 - Condition of Units**

Data 2009-2013 ACS  
Source:

### Year Unit Built

Year Unit Built	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
2000 or later	55,612	14%	13,294	9%
1980-1999	118,077	30%	34,420	22%
1950-1979	115,043	29%	46,883	30%
Before 1950	108,780	27%	61,714	39%
<b>Total</b>	<b>397,512</b>	<b>100%</b>	<b>156,311</b>	<b>100%</b>

**Table 33 – Year Unit Built**

Data 2009-2013 CHAS  
Source:

### Risk of Lead-Based Paint Hazard

Risk of Lead-Based Paint Hazard	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
Total Number of Units Built Before 1980	223,823	56%	108,597	69%
Housing Units build before 1980 with children present	30,815	8%	22,825	15%

**Table 34 – Risk of Lead-Based Paint**

Data 2009-2013 ACS (Total Units) 2009-2013 CHAS (Units with Children present)  
Source:

### Vacant Units

	Suitable for Rehabilitation	Not Suitable for Rehabilitation	Total
Vacant Units	0	0	0
Abandoned Vacant Units	0	0	0
REO Properties	0	0	0
Abandoned REO Properties	0	0	0

**Table 35 - Vacant Units**

Data 2005-2009 CHAS  
Source:

### Need for Owner and Rental Rehabilitation

Due to the age of Maine's housing stock, there are many households that are in need of immediate home repairs or need to be updated for accessibility purposes. Maine's major housing funding agencies (MaineHousing, DECD, and Rural Development) fund home repair services that are delivered by regional Community Action Agencies. Top housing needs include lead paint remediation, heating system repairs, energy conservation improvements, and repairs to leaking roofs. Grants, loans, and loan plus grant combinations are provided depending on homeowner payment abilities and funding restrictions.

### **Estimated Number of Housing Units Occupied by Low or Moderate Income Families with LBP Hazards**

An estimated 211,000 (53%) of owned housing units were built prior to 1980, when lead based paint was removed from the market. Another 103,000 (67%) of rented units meet that definition. Combined, a total of 314,000 or 57% of Maine's total housing stock is at risk.

The most recent data on children with a blood lead level  $\geq$  to 5 ug/dl declined from 2003 to 2011, and has remained flat since then. Between 2012 and 2017, an estimated 778 Maine children tested with  $\geq$  5 ug/dl levels of lead in their blood.

There are an estimated 117,000 low-income households living with lead-based paint in Maine, spread throughout the state. Of those 117,000 units, 47% are occupied by low-income renters and 52% are occupied by low-income homeowners. In 2013, MaineHousing assisted 88 homes with lead remediation, at an average cost of \$56,000 per unit.

### **Discussion:**

**MA-25 Public and Assisted Housing – (Optional)**

**Introduction:**

This section is optional for State's.

**Totals Number of Units**

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers					
				Total	Project-based	Tenant-based	Special Purpose Voucher		
							Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
# of units vouchers available	0	108	1,947	9,070	337	6,604	229	131	3,811
# of accessible units									
*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition									

**Table 36 – Total Number of Units by Program Type**

Data Source: PIC (PIH Information Center)

**Describe the supply of public housing developments:**

**Describe the number and physical condition of public housing units in the jurisdiction, including those that are participating in an approved Public Housing Agency Plan:**

**Describe the Restoration and Revitalization Needs of public housing units in the jurisdiction:**

**Describe the public housing agency's strategy for improving the living environment of low- and moderate-income families residing in public housing:**

**Discussion:**



**MA-30 Homeless Facilities – 91.310(b)**

**Introduction**

The Maine Continuum of Care (CoC) system includes the fundamental components of outreach, emergency shelter, transitional housing with necessary support and services, permanent supportive housing, linkage to permanent housing with a range of supportive services, as well as rapid re-housing. Organization and service delivery philosophy for this system has been re-examined over the last several years with an eye toward ending homelessness through an emphasis on the nationally recognized best practice of Housing First, as well as increased community support focused on strong system performance outcomes. These outcomes include reducing the lengths of stay in shelters, reducing recidivism, increasing income, and rapidly re-housing people.

One of the biggest challenges for people facing homelessness, or at-risk of becoming homeless, is their ability to identify and navigate the complex system of services and resources that can assist them. Complicated federal, state and local guidelines, housing waiting lists, confusion over where to access services, and lack of awareness of available community services all inhibit people’s ability to seek help within the homeless service system. Coordinated Assessment is a powerful tool designed to ensure that homeless persons are matched with the right interventions, as quickly as possible. The tool standardizes the access and assessment process for all clients and coordinates referrals across all providers in the CoC. When providers intake and assess clients using the same process, and when referrals are conducted with an understanding of all programs, services and bed availability, participants can be served with the most appropriate intervention. The implementation of Coordinated Assessment will improve the delivery of housing and services for our most vulnerable populations in Maine.

**Facilities Targeted to Homeless Persons**

	Emergency Shelter Beds		Transitional Housing Beds	Permanent Supportive Housing Beds	
	Year Round Beds (Current & New)	Voucher / Seasonal / Overflow Beds	Current & New	Current & New	Under Development
Households with Adult(s) and Child(ren)	565	70	536	1,032	0

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MAINE

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	Emergency Shelter Beds		Transitional Housing Beds	Permanent Supportive Housing Beds	
	Year Round Beds (Current & New)	Voucher / Seasonal / Overflow Beds	Current & New	Current & New	Under Development
Households with Only Adults	650	120	477	1,500	4
Chronically Homeless Households	0	0	0	272	0
Veterans	12	0	54	326	4
Unaccompanied Youth	16	0	30	0	0

**Table 37 - Facilities Targeted to Homeless Persons**

Data Source Comments:

**Describe mainstream services, such as health, mental health, and employment services to the extent those services are used to complement services targeted to homeless persons**

Access to mainstream resources is critical for homeless persons and families to achieve greater self-sufficiency. Specifically, assisting project participants in obtaining mainstream benefits is one way to increase housing stability and decrease the possibility of returning to homelessness. Each HUD funded project in the Maine CoC is required to report the percentage of participants who receive mainstream resources at Exit on their Annual Performance Report (APR). The Maine CoC then uses this and other data from all of its HMIS participating projects to report on its overall performance in its annual NOFA application to HUD.

Non-cash mainstream benefits include Supplemental Nutritional Assistance, MaineCare (Medicaid) health insurance, Medicare Health Insurance, State children's health insurance, WIC, VA medical services, TANF child care services, TANF transportation services, other TANF funded services, temporary rental assistance, Section 8, public housing, and rental assistance.

In addition to non-cash benefits, projects are expected to help participants increase income whenever possible to help ensure housing stability and decrease the possibility of returning to homelessness. Cash income sources include earned income, unemployment insurance, SSI, SSDI, Veteran's disability, private disability insurance, Worker's compensation, TANF or equivalent, General Assistance, Retirement (Social Security), Veteran's Pension, Child Support, and Alimony (Spousal Support). A total of 10.8% of participants in Maine CoC funded projects increased their employment income from entry date to program exit, and an additional 36.8% increased their income from sources other than employment.

The Maine CoC developed a two-year plan to grow the percentage of project participants who will increase their income from non-employment sources. In addition, the Maine CoC data committee will provide training on how to complete APR, HMIS, and interim reviews to ensure that data are being captured appropriately. The HMIS vendor will also provide training to Maine CoC members on HMIS data entry and usage to improve data quality. Also, the Maine CoC is conducting systems mapping work with HUD technical assistance to help identify system gaps and service delivery improvements. Finally, the Maine CoC Data Committee will analyze exit data to understand the dynamics of participant income between program entry and exit. This information will help decision making around training needs and systems changes in the future.

**List and describe services and facilities that meet the needs of homeless persons, particularly chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth. If the services and facilities are listed on screen SP-40 Institutional Delivery Structure or screen MA-35 Special Needs Facilities and Services, describe how these facilities and services specifically address the needs of these populations.**

In addition to income and non-cash mainstream benefits and services listed above, there are additional services and facilities to help meet the needs of the following groups of homeless individuals:

**Services/facilities for chronically homeless individuals and families with children:** The 2019 Housing Inventory Chart submitted to HUD indicated that there are currently 574 beds serving chronically homeless

individuals and families. All MCOC Shelter Plus Care administered by the Maine Department of Health and Human Services and by the City of Bangor, with a combined total of 1582 PSH beds, have prioritized their vouchers for chronically homeless individuals and families. This has served to increase the number of vouchers available to help this population achieve housing stability.

**Veterans and their families:** In addition to the SSVF (Supportive Services for Veteran Families) Program, there are permanent housing options available to Veterans through HUD's Veterans Assisted Supported Housing (VASH) vouchers administered by MaineHousing.

**Unaccompanied youth:** The Administration for Children and Families provides Street Outreach, Basic Center (emergency shelter) and Transitional Living Program (TLP) funding for youth providers in Maine to deliver services to run-away and homeless youth. In Maine, there are three Street Outreach programs, four Transitional Living Programs and three Basic Center shelters for this population.

## MA-35 Special Needs Facilities and Services – 91.310(c)

### Introduction

**Elderly:** Maine has a substantial and fast growing elder population. Maine ranks 1st in terms of median age. The population over 65 will grow an estimated 37% between 2016 (257,499) and 2026 (351,880) as baby boomers age. At present, this population comprises 18% of the state's total population and their median age is 72.9 years.

As the 65 and older population grows and ages, there will be increased demand for additional accessible housing, appropriate transportation options, and more personal services. This will be a challenge. Overall average household income (includes earnings, retirement income and government benefits) for 65+ households is \$42,000 which is just below the statewide median, and an estimated 69% live on Social Security alone. The average social security income for an individual over 65 is \$19,267. An estimated 9% of older adults in Maine live in poverty.

For older adults remaining at home, accessibility is critical. Most homes in Maine were not built with this in mind. Accessibility to enter and exit a home, as well as use the bath, kitchen and other rooms may require alterations. When living at home isn't possible, moving to housing with a range of services, beginning with transportation and basic housekeeping to the provision of meals and health services, will be required. For those living in rural communities, the availability of livable housing units and services is scarce. There is a genuine growing need for housing and services and a continuum of care for Maine's older adult population, extending from units where seniors are able to live independently, to needing assisted living, to requiring nursing care assistance. Older adults in Maine comprise 40% of the disabled population in Maine.

**Disabled:** An estimate 208,646 Maine residents, 19% of the total population, are disabled. Working age individuals comprise 53% of this population. Over half of this working age population has either a cognitive or ambulatory disability. These disabilities can make working difficult. The problem is twofold. Earning an income is difficult, and obtaining the rehabilitation that might help them attain employment requires resources many don't have.

**To the extent information is available, describe the facilities and services that assist persons who are not homeless but who require supportive housing, and programs for ensuring that persons returning from mental and physical health institutions receive appropriate supportive housing**

There is a continuum of service-enhanced housing opportunities for persons with mental and physical disabilities in the state of Maine. On one end of the continuums are intensive group living facilities such as

ICF/DD facilities and group homes. At the other end of the continuum are independent living options that may or may not be targeted to persons with similar disabilities. The lead agency in the state of Maine for purposes of licensing, funding and oversight is the State of Maine Department of Health and Human Services (DHHS). DHHS relies upon a large number of independent providers to provide day-to-day operations for these facilities. In rare cases, DHHS operates the facilities directly. The majority of operators are not-for-profit corporate service providers that are mission-driven to serve the needs of disabled populations. It is common for the owner of the physical plant to also be the landlord and service provider. However, individuals are often able to select alternative service providers.

An objective of DHHS has been the creation of a state-wide network of community-based residential options for all persons with disabilities that are in need of this option. This effort has been underway for more than two decades. DHHS has looked to MaineHousing as a partner in this effort on many occasions, and MaineHousing's primary contribution has been to provide development capital and rental assistance.

Medicaid reimbursed services delivered specifically to homeless persons include Targeted Case Management while in the shelter system and Community Integration services once housed, typically with one of DHHS's voucher programs, Shelter Plus Care or the state funded Bridging Rental Assistance Program and other Maine State Housing Authority supported housing options.

Maine's Department of Labor's Bureau of Rehabilitative Services offers program training for working age disabled individuals. The services include individual counseling, guidance and vocational assessment, mobility instruction, training and job placement for disabled Maine residents of all ages. In 2017, 9,489 disabled Maine residents were served. Of them, 58% were working age individuals.

### **Describe programs for ensuring that persons returning from mental and physical health institutions receive appropriate supportive housing**

The State of Maine Department of Health and Human Services has been operating under the terms of court-administered consent decrees for more than two decades. The consent decrees were the result of class-action law-suits connected to Maine's institutions for persons with mental illness or developmental/physical disabilities. Per the terms of the consent decrees, the State of Maine was legally obligated to establish community-based options for persons covered by the consent decrees. The community-based options may include residential options as needed. Case managers (typically employed by non-profit service agencies) work with clients to identify and secure services, including residential options when needed. When residential services are needed, case managers can recommend an array of facilities located around the state to their clients.

The state funded Bridging Rental Assistance Program's number one priority is providing persons leaving psychiatric institutions with a Supported Housing voucher. Vouchers from this population group are expedited within 3 working days of receipt of a completed application. This program successfully houses and supports more than 1,000 persons at any given time with demand still outpacing supply.

MaineHousing administers the Section 811 rental assistance program in partnership with DHHS. The 811 PRA Program makes available integrated affordable housing and support services for persons with

disabilities. MaineHousing provides project-based rental assistance to make the rents affordable to extremely low-income households. The Office of Aging and Disability Services oversees the provision of services that the client is eligible to receive.

**Specify the activities that the jurisdiction plans to undertake during the next year to address the housing and supportive services needs identified in accordance with 91.215(e) with respect to persons who are not homeless but have other special needs. Link to one-year goals. 91.315(e)**

Please refer to section SP-60.

**For entitlement/consortia grantees: Specify the activities that the jurisdiction plans to undertake during the next year to address the housing and supportive services needs identified in accordance with 91.215(e) with respect to persons who are not homeless but have other special needs. Link to one-year goals. (91.220(2))**

Not Applicable

## MA-40 Barriers to Affordable Housing - 91.310(d)

### Negative Effects of Public Policies on Affordable Housing and Residential Investment

**Land Zoning and Land-Use Regulations:** Zoning ordinances, land-use regulations, and historic preservation rules were designed to achieve various safety; and environmental goals, improve the appearance of, and improve the local community. Today these regulations make it difficult to build affordable housing units. Planning and zoning regulations dictate the size (width, height, architectural features) of structures built in various areas of a community. They can focus on density, cap unit counts, types of units and require excessive permitting fees. Often the required planning and permitting process alone can discourage the construction of affordable housing. Land-use regulations, despite being well intentioned, have created a set of regulatory barriers.

The ordinances not only restrict construction of new units of affordable housing, they also stymie the creation of alternative affordable housing options. Ordinances focused on density, ownership requirements and types of housing have inhibited the creation of accessory dwelling units (attached and detached) and even shared housing.

**Lending:** In the aftermath of the recession, stricter lending requirements have limited lending activities and have had a more detrimental effect on lower income households.

**Lack of Affordable Housing:** Many of the poorest residents of the state simply cannot afford housing funded through the LIHTC programs. The target audience is low to moderate income households but not those severely low. There is also a continued shortage of housing choice vouchers. There is a lack of subsidies in general to increase the development of affordable housing units.

**Awareness:** Lack of awareness of fair housing law and rights granted under the law as well as racial, ethnic and cultural barriers create an undue burden on those in need of affordable housing. Not knowing what our rights are and what is required of a landlord under fair housing law is a barrier to housing.

**Cost of construction:** During the 2007 to 2009 recession, the number of workers in the construction sector declined and has yet to return to pre-recession levels. The shortage has driven labor costs up. Though material costs remained unchanged through 2015, they began to rise in 2016 and have yet to reverse course. Land costs have also increased due to its unavailability. In addition, single and multi-family construction has seen flat to no productivity gains. Increased labor, construction and land costs combined with no change in productivity have pushed the cost of construction higher and subsequently, the price of housing is increasingly out of reach for more and more households. In particular, younger households that have historically been the chief drivers of household formation and demand, cannot afford the new housing.



MA-45 Non-Housing Community Development Assets -91.315(f)

Introduction

Economic Development Market Analysis

Business Activity

Business by Sector	Number of Workers	Number of Jobs	Share of Workers %	Share of Jobs %	Jobs less workers %
Agriculture, Mining, Oil & Gas Extraction	5,151	5,108	2	2	0
Arts, Entertainment, Accommodations	37,018	29,937	12	13	1
Construction	18,089	14,937	6	6	0
Education and Health Care Services	77,743	55,764	25	24	-1
Finance, Insurance, and Real Estate	17,483	11,037	6	5	-1
Information	5,069	2,881	2	1	-1
Manufacturing	38,916	34,361	12	15	3
Other Services	12,206	9,732	4	4	0
Professional, Scientific, Management Services	20,860	13,205	7	6	-1
Public Administration	0	0	0	0	0
Retail Trade	57,772	44,293	18	19	1
Transportation and Warehousing	10,789	6,880	3	3	0
Wholesale Trade	12,984	8,581	4	4	0
Total	314,080	236,716	--	--	--

Table 38- Business Activity

Data 2009-2013 ACS (Workers), 2013 Longitudinal Employer-Household Dynamics (Jobs)  
 Source:

## Labor Force

Total Population in the Civilian Labor Force	492,694
Civilian Employed Population 16 years and over	453,029
Unemployment Rate	8.05
Unemployment Rate for Ages 16-24	22.56
Unemployment Rate for Ages 25-65	5.21

**Table 39 - Labor Force**

Data 2009-2013 ACS  
Source:

Occupations by Sector	Number of People
Management, business and financial	89,619
Farming, fisheries and forestry occupations	16,464
Service	53,182
Sales and office	107,952
Construction, extraction, maintenance and repair	53,545
Production, transportation and material moving	28,350

**Table 40 – Occupations by Sector**

Data 2009-2013 ACS  
Source:

## Travel Time

Travel Time	Number	Percentage
< 30 Minutes	282,997	68%
30-59 Minutes	105,428	25%
60 or More Minutes	29,916	7%
<i>Total</i>	<i>418,341</i>	<i>100%</i>

**Table 41 - Travel Time**

Data 2009-2013 ACS  
Source:

## Education:

Educational Attainment by Employment Status (Population 16 and Older)

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Less than high school graduate	14,634	3,051	16,445
High school graduate (includes equivalency)	124,446	11,670	47,708
Some college or Associate's degree	123,934	8,373	33,456

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Bachelor's degree or higher	109,888	3,869	19,087

**Table 42 - Educational Attainment by Employment Status**

Data 2009-2013 ACS  
Source:

Educational Attainment by Age

	Age				
	18-24 yrs	25-34 yrs	35-44 yrs	45-65 yrs	65+ yrs
Less than 9th grade	744	893	1,539	6,294	14,582
9th to 12th grade, no diploma	8,804	5,633	5,274	14,497	15,569
High school graduate, GED, or alternative	26,785	32,909	40,253	110,802	62,871
Some college, no degree	32,552	24,738	25,794	61,599	25,734
Associate's degree	3,035	9,617	13,538	31,268	7,557
Bachelor's degree	6,198	19,000	21,199	49,312	20,784
Graduate or professional degree	220	5,694	9,213	28,692	16,674

**Table 43 - Educational Attainment by Age**

Data 2009-2013 ACS  
Source:

Educational Attainment – Median Earnings in the Past 12 Months

Educational Attainment	Median Earnings in the Past 12 Months
Less than high school graduate	0
High school graduate (includes equivalency)	0
Some college or Associate's degree	0
Bachelor's degree	0
Graduate or professional degree	0

**Table 44 – Median Earnings in the Past 12 Months**

Data 2009-2013 ACS  
Source:

**Based on the Business Activity table above, what are the major employment sectors within the state?**

The major employment sectors in Maine are Educational Services and Health Care/Social Assistance, followed by Retail Trade and Manufacturing.

## **Describe the workforce and infrastructure needs of business in the state.**

Maine has consistently ranked high in the nation for its water and air quality, public safety and sustainable forests. However, it ranks low in elementary education, working-age population, research and development spending, affordable health, transportation infrastructure, and broadband connectivity.

In 2017, only 36% of Maine 4th grade students were proficient in reading, which was equal to the national rate but lower than the New England rate. Maine's working age population, age 16 – 64, fell to 61% of the total workforce, down 0.5% from 2016. It has been dropping now for years and is below the nation as a whole. The prospect of a better prepared workforce is concerning, as is the diminishing size of the workforce age population. Workforce shortages are already threatening Maine's business community.

Annual estimates of the components of population change indicate that deaths in Maine are greater than births. The state as a whole had a net gain of 3,341 from 2017 – 2018, but population growth overall is flat.

Maine's business climate is also of concern. Maine ranks 8th highest in terms of the cost of doing business. Some of this is due to the cost of healthcare. Health care costs comprise 18% of personal expenditures. Energy costs and transportation infrastructure also contribute.

While 90% of Mainers are served by basic broadband—close to the national rate of 92%—only 30% have broadband subscriptions, compared with 53% nationally. About one in ten Mainers (11%) subscribe to high-speed broadband, compared with 44% nationwide. (MOG)

In 2017, 940 miles (67%) of Priority 1 highways were graded A, B, or C, and 459 miles (33%) were graded D or F. This problem is a concern of manufacturers in particular. In 2017, 66% of Maine's most traveled highways were considered in satisfactory condition, while 33% were poor and in need of improvement.

Lack of transportation in Maine will affect the elderly population. As the state continues to age, older adults stay in place and eventually need transportation to various medical and other services, groceries and more.

## **Describe any major changes that may have an economic impact, such as planned public or private sector investments or initiatives that have affected or may affect job and business growth opportunities during the planning period. Describe any needs for workforce development, business support or infrastructure these changes may create.**

The University of Southern Maine was awarded \$25 million in funding to focus on workforce development and job creation in critically needed areas.

Maine has a new program that has created Maine's only track for LPN that will hopefully expedite more workers entering this field.

In recent years, the University of Maine has offered out-of-state tuition discounts. The program is bringing in more students with the hope that they will stay and work in Maine.

The Maine Department of Labor has continued efforts to improve opportunities for workers and businesses through workforce development. They offer scholarships to individuals to receive job training and create apprenticeships.

There have been several legislative efforts targeted at specific critical workforce shortages occupations, such as nursing.

Despite its efforts, business formation lags behind applications for business. Since 2004, only about 20% of those applying to own a business followed through with creating one. The percentage was higher in the prerecession period.

### **How do the skills and education of the current workforce correspond to employment opportunities in the state?**

According to Maine's Department of Labor, the skills and education of the current workforce do correspond to employment opportunities in Maine. Changes in the mix of jobs and their education requirements are likely to be gradual, as they have been for many years. The bigger problem is the shrinking working age population and increasing retirement age population.

There will certainly be an increasing educational component required to train people to be employed in higher paid, more technical positions. However, there will still be more job openings requiring the usual (high school, equivalency, some college) education level. About 77% of jobs in Maine are in occupations that falls within the high school or equivalency and some college level of education.

Another 23% of jobs are in occupations that do not have a usual educational requirement. These include occupations that pay well and in which many incumbents have postsecondary education or training, extensive experience, or specialized skills, such as many jobs in the arts, construction, entertainment and athletics, food preparation, and protective service.

However, of the base 22 occupations, 14 will see an increase in demand while 8 will see a decline. The largest gains will be in healthcare, with greatest demand for practitioners followed by support services personnel, primarily due to the state's aging population. The state is seeing declines in administrative support, sales, and production occupations due to advances in technology.

Maine's workforce education requirements are changing. Reflecting the changing mix of jobs in the decade through 2026, the number of jobs in occupations that require a degree or a postsecondary degree award is expected to increase by 7,100 (3.2%). Jobs that do not require a degree or postsecondary degree are expected to decline by 7,000 (1.6%). The largest net job gain is expected in occupations that require a bachelor's degree, followed by occupations that require a postsecondary non-degree award, master's degree, associate's

degree, and doctoral or professional degree. The largest net job decline is expected in occupations that require a high school diploma, followed by occupations that require some college, but no degree.

**Describe current workforce training initiatives supported by the state. Describe how these efforts will support the state's Consolidated Plan.**

Maine's workforce training initiatives are administered through Maine's Department of Labor. That department contains Maine's Workforce Development Board which analyzes and plans various workforce development and training initiatives on an ongoing basis.

The type of training occurring in Maine by this board and other entities is primarily vocational in nature. Given the current income required to own a home in Maine, this training will probably not prepare workers for a job with the income necessary to obtain affordable owned housing. The bigger gains for employees benefiting from this training will be in terms of rental affordability. Growth in high paid jobs requires more education than the state is providing.

In this sense, these efforts/initiatives will have little impact on the state's Consolidated Plan.

**Describe any other state efforts to support economic growth.**

Maine's Department of Economic and Community Development offers a number of programs through federal funding to stimulate economic growth. They offer loans, tax credit programs, the creation of business opportunity zone programs and more.

The Maine Technology Institute provides funding for new ideas, products, and methods with the potential to grow and diversify Maine's economy and increase quality jobs. MTI also focuses on creating the infrastructure to encourage innovation.

Maine has seven economic development districts that use the CEDS (Comprehensive Economic Development Strategy) templates to set a strategic direction for economic development efforts.

## **Discussion**

Being a rural state with low density, Maine lacks an adequate workforce both in terms of age, size and education needed to create and maintain the type of jobs (STEM, precision manufacturing) that will raise incomes in Maine and the overall economy. These issues create challenges for economic developers and training organizations to help redirect the overall economy in a better direction.

## MA-50 Needs and Market Analysis Discussion

### **Are there areas where households with multiple housing problems are concentrated? (include a definition of "concentration")**

A town with 24% or more of its owned housing stock having 1 or more conditions/problems is a concentration. There are 249 towns that meet this definition in Maine. The average count of towns by county meeting this definition is 15. The greatest concentration of towns is in Aroostook County with 27 towns. Washington, Hancock, Oxford, Penobscot, Somerset, Waldo and York all have more than 15 towns with a concentration. All remaining counties are at the average or below with Sagadahoc having the fewest, 4.

A town with 45% or more of its rented housing stock having 1 or more conditions/problems is a concentration. There are 178 towns that meet this definition in Maine. The average count of towns by county meeting this definition is 11. The greatest concentration of towns is in Penobscot County with 23 towns. Aroostook, Oxford, Hancock, Cumberland, and Somerset all have more than 11 towns with a concentration. All remaining counties are below the average with Sagadahoc having the fewest, 3.

### **Are there any areas in the jurisdiction where racial or ethnic minorities or low-income families are concentrated? (include a definition of "concentration")**

Using HUD's definition of a Racially Ethnic Area of Concentration, the Penobscot Indian Island Reservation is Maine's only area of concentration, where an estimated 73% of the population is American Indian, with 36% below poverty level. No other tract, area or county within the state of Maine has a population where over 50% of the area is non-white. The cities of Lewiston and Portland have the largest populations of racial and ethnic minorities. Low income is also dispersed widely throughout the state, with no discernable concentration by neighborhood, community or area.

### **What are the characteristics of the market in these areas/neighborhoods?**

Home values, rents, distribution of tenure and income of the Penobscot Indian Island Reservation do not match that of the state. The area is rural with an estimated median home value of \$81,000. This is 45% below the state median value. Median rent is \$300 dollars. The distribution by tenure is 46% rented and 54% owned. The median household income is \$28,750. The public schools in Penobscot Indian Island Reservation are above average. In terms of the condition of housing, 20% of those owned have one or more conditions (compared to 24% owned statewide), while 41.9% of those rented have one or more conditions (compared to 45% rented statewide).

Like the state, most workers are working in health care and retail trade related occupations. An estimated 149 residents leave the community to work elsewhere and 26 come into the community to work from another community. Only 7 employees from the community live and work there.



**Are there any community assets in these areas/neighborhoods?**

Yes. There are both educational and employment opportunities in the Bangor region where the native American population (827) live. Many of them are employed primarily in the very proximate Bangor/Orono area. The two areas provide many assets the tribe can utilize, ranging from employment opportunities, arts and culture, and more. The University of Maine is located in Orono and has outreach programs working with the surrounding communities including the Penobscot Nation, and there is a community college as well.

**Are there other strategic opportunities in any of these areas?**

N/A

## *Strategic Plan*

### **SP-05 Overview**

#### **Strategic Plan Overview**

This strategic plan identifies how MaineHousing and the Department of Economic and Community development will utilize its various resources to meet the needs of Maine citizens during the next five years.

Priority Needs:

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

Resources in 2020: (numbers in parenthesis represent projections for the remainder of the Consolidated Plan)

- CDBG: \$11,951,816 (\$46,266,580)
- HOME: \$4,277,376 (\$16,242,076)
- HTF: \$3,000,000 (\$12,000,000)
- ESG: \$1,390,914 (\$5,409,816)

Geographic priorities are specific to each housing program offered and limited according to funding source restrictions and identified needs. Goals: Over the next five years, the State intends to provide funding for Tenant-Based Rental Assistance and for new, refinanced, and rehabilitated Multifamily Housing.

The State CDBG Program will continue to provide resources to the eligible activities that communities have identified as having the most impact: Public Infrastructure, Economic Development, and Housing.

**SP-10 Geographic Priorities – 91.315(a)(1)**

**Geographic Area**

**Table 45 - Geographic Priority Areas**

<b>1</b>	<b>Area Name:</b>	State Of Maine
	<b>Area Type:</b>	State Of Maine
	<b>Other Target Area Description:</b>	State Of Maine
	<b>HUD Approval Date:</b>	
	<b>% of Low/ Mod:</b>	
	<b>Revital Type:</b>	
	<b>Other Revital Description:</b>	
	<b>Identify the neighborhood boundaries for this target area.</b>	
	<b>Include specific housing and commercial characteristics of this target area.</b>	
	<b>How did your consultation and citizen participation process help you to identify this neighborhood as a target area?</b>	
	<b>Identify the needs in this target area.</b>	
	<b>What are the opportunities for improvement in this target area?</b>	
	<b>Are there barriers to improvement in this target area?</b>	

**General Allocation Priorities**

Describe the basis for allocating investments geographically within the jurisdiction (or within the EMSA for HOPWA)

Describe the basis for allocating investments geographically within the jurisdiction (or within the EMSA for HOPWA)

Income eligible citizens, Community Housing Development Organizations, and housing developers may apply for grants or loans from anywhere in Maine.

Currently the STEP program is offered statewide. Participating homeless shelters are located in Androscoggin, Aroostook, Cumberland, Franklin, Hancock, Kennebec, Knox, Oxford, Penobscot, Washington and York counties.

MaineHousing's resource allocation process is based on housing needs among priority groups, e.g., people who are homeless. Resources are maximized to the extent possible. For example, Low Income Housing Tax Credits are distributed with HOME funds through Community Housing Development Organizations (CHDOs).

SP-25 Priority Needs – 91.315(a)(2)

Priority Needs

Table 46 – Priority Needs Summary

<b>1</b>	<b>Priority Need Name</b>	Help Maine People Attain Housing Stability
	<b>Priority Level</b>	High
	<b>Population</b>	Extremely Low Low Large Families Families with Children Elderly Rural Chronic Homelessness Individuals Families with Children Mentally Ill Chronic Substance Abuse veterans Persons with HIV/AIDS Victims of Domestic Violence Unaccompanied Youth
	<b>Geographic Areas Affected</b>	State Of Maine
	<b>Associated Goals</b>	Expand Affordable Housing Opportunities Provide Rapid Re-Housing Support Emergency Shelter Operations & Services
	<b>Description</b>	Housing stability, the ability of Maine people to obtain and maintain affordable housing, is essential to MaineHousing’s ongoing efforts to ensure quality affordable housing. MaineHousing will implement strategies to reduce homeowner foreclosure rates, to lower homeowner heating costs through energy assistance and weatherization, to provide support for low income renters who are barely able to pay for housing, and to help individuals and families who are homeless to obtain and maintain stable housing.

	<b>Basis for Relative Priority</b>	MaineHousing’s 2018-2023 Strategic Plan recognizes that helping Maine people attain housing stability is a priority. MaineHousing is committed to assisting homeless individuals and families. Both HOME and ESG funds will be used to rapidly re-house homeless people, and ESG funds will also be targeted to support the operations and services of emergency shelters for the homeless.
2	<b>Priority Need Name</b>	Expand Affordable Housing Opportunities
	<b>Priority Level</b>	High
	<b>Population</b>	Extremely Low Low Moderate Middle Large Families Families with Children Elderly Elderly
	<b>Geographic Areas Affected</b>	State Of Maine
	<b>Associated Goals</b>	Expand Affordable Housing Opportunities
	<b>Description</b>	Maine’s existing inventory of affordable housing does not meet current need. MaineHousing will use the Low Income Housing Tax Credit program to expand and improve the supply of affordable housing. MaineHousing will continue its efforts to control the per-unit cost of new development. MaineHousing will also explore new financing mechanisms to expand the supply of affordable multifamily and single family housing. Additionally, MaineHousing will seek to find new and stretch existing rental subsidies. DECD will provide resources to communities to redevelop existing structures into housing and create new units of affordable housing via partnerships with CHDOs and other community-based not-for-profit organizations
	<b>Basis for Relative Priority</b>	MaineHousing’s Strategic Plan recognizes that expanding the supply of affordable housing is a high priority. The Needs Assessment illustrates that affordability of housing continues to be a significant concern in many areas of the state.
3	<b>Priority Need Name</b>	Improve and Preserve the Quality of Housing
	<b>Priority Level</b>	High

	<b>Population</b>	Extremely Low Low Moderate Middle Large Families Families with Children Elderly
	<b>Geographic Areas Affected</b>	State Of Maine
	<b>Associated Goals</b>	Improve and Preserve the Quality of Housing
	<b>Description</b>	Maine has the oldest housing stock in the nation and safe, affordable housing is critical to an individual's health and productivity.
	<b>Basis for Relative Priority</b>	
4	<b>Priority Need Name</b>	Improve Public Infrastructure
	<b>Priority Level</b>	High
	<b>Population</b>	Extremely Low Low Moderate
	<b>Geographic Areas Affected</b>	State Of Maine
	<b>Associated Goals</b>	Improve Public Infrastructure
	<b>Description</b>	Sewer/water improvements and downtown revitalization are critical community development needs.
	<b>Basis for Relative Priority</b>	
5	<b>Priority Need Name</b>	Improve Economic Opportunity
	<b>Priority Level</b>	High

<b>Population</b>	Extremely Low Low Moderate Large Families Families with Children Elderly Non-housing Community Development
<b>Geographic Areas Affected</b>	State Of Maine
<b>Associated Goals</b>	Improve Economic Opportunity
<b>Description</b>	DECD will strive to improve economic opportunity by providing resources that will assist businesses, micro-enterprises and help revitalize downtowns.
<b>Basis for Relative Priority</b>	Stable employment and opportunity for new employment as well as vibrant and safe downtowns is critical to improving the economic status of low and moderate income households

**Narrative (Optional)**

The table above shows priority needs for the State of Maine.

The needs identified as “high” that could be addressed with federal funding are identified in the table.



**SP-30 Influence of Market Conditions – 91.315(b)**

**Influence of Market Conditions**

<b>Affordable Housing Type</b>	<b>Market Characteristics that will influence the use of funds available for housing type</b>
Tenant Based Rental Assistance (TBRA)	With over 6,000 individuals using Maine emergency homeless shelters in 2018, rapid re-housing through the STEP program is a clear need. To help individuals and families achieve housing stability, STEP provides rental assistance for up to 24 months. STEP focuses on rapidly re-housing people who are currently staying in a homeless shelter grantee of the ESHAP.
TBRA for Non-Homeless Special Needs	Maine does not allocate TBRA funds to assist the non-homeless special needs population.
New Unit Production	The market analysis (section MA 15) indicates a strong need for new affordable rental units, with 49 percent of renters spending more than 30 percent of their income on rent. Recent analyses indicate a projected need for 9,000 affordable rental units for older adults and over 17,000 households on waiting lists for housing choice vouchers. The Rental Loan Program (RLP) provides low interest, long-term mortgage financing to qualified private and not-for-profit developers of affordable rental housing. RLP funds may be used for acquisition, acquisition and rehab, or new construction of apartment buildings of five or more units. Developers must reserve a portion of the units for lower income renters.
Rehabilitation	The market analysis (section MA 15) indicates a strong need for new affordable rental units, with 49 percent of renters spending more than 30 percent of their income on rent. Maine has an older housing stock concentrated in certain regions of the state and some of the older urban areas. These vacant, unused, and older buildings are essential for the revitalization of the community center. The Rental Loan Program (RLP) provides low interest, long-term mortgage financing to qualified private and not-for-profit developers of affordable rental housing. RLP funds may be used for acquisition, acquisition and rehab, or new construction of apartment buildings of five or more units. Developers must reserve a portion of the units for lower income renters.
Acquisition, including preservation	Preserving affordable housing is a priority for the State of Maine and is one of the priorities for this Consolidated Plan. The market analysis (section MA 15) establishes that there are not enough affordable housing units available. MaineHousing will be using the Rental Loan Program to preserve existing affordable housing, and eligible activities under the HOME Rental Loan Program (RLP) include acquisition.

**Table 47 – Influence of Market Conditions**



**SP-35 Anticipated Resources - 91.315(a)(4), 91.320(c)(1,2)**

**Introduction**

The following table displays the anticipated resources to be allocated to the State of Maine broken down by program type. Projections are made for FY 2020 and the remaining four years of the Consolidated Plan.

**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	11,951,816	0	0	11,951,816	46,266,580	DECD through its annual Method of Distribution allocates funds these eligible categories. UGLG then apply based on their community needs.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	4,277,376	0	0	4,277,376	16,242,076	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	1,390,914	0	0	1,390,914	5,409,816	MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for shelter operations, essential services, rapid re-housing, and HMIS data collection costs.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HTF	public - federal	Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership	3,000,000	0	0	3,000,000	12,000,000	MaineHousing allocates HTF funds through an RFP process.

Table 48 - Anticipated Resources

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

The ESG 100% match requirement will be met with State HOME funds and the Shelter Operating Subsidy. HOME 25% match requirement will be met with State of Maine DHHS funding for services, as well as interest savings on below market rate loans.

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

Not Applicable

**Discussion**

Please see above

**SP-40 Institutional Delivery Structure – 91.315(k)**

Explain the institutional structure through which the jurisdiction will carry out its consolidated plan including private industry, non-profit organizations, and public institutions.

Responsible Entity	Responsible Entity Type	Role	Geographic Area Served
MAINE STATE HOUSING AUTHORITY	Government	Homelessness Planning Rental	State
MAINE	Government	Economic Development Planning neighborhood improvements public facilities public services	State

**Table 49 - Institutional Delivery Structure**

**Assess of Strengths and Gaps in the Institutional Delivery System**

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

MaineHousing delivers the STEP program with the help of participating homeless shelters. Homeless shelter staff refer eligible clients to the STEP Program based on the likelihood that the participant, with the help of STEP, can achieve housing stability within 12-24 months.

**Availability of services targeted to homeless persons and persons with HIV and mainstream services**

Homelessness Prevention Services	Available in the Community	Targeted to Homeless	Targeted to People with HIV
<b>Homelessness Prevention Services</b>			
Counseling/Advocacy	X	X	X
Legal Assistance	X	X	X
Mortgage Assistance	X		X
Rental Assistance	X	X	X
Utilities Assistance	X	X	X
<b>Street Outreach Services</b>			
Law Enforcement	X	X	X
Mobile Clinics			
Other Street Outreach Services	X	X	X
<b>Supportive Services</b>			
Alcohol & Drug Abuse	X	X	

Supportive Services			
Child Care	X	X	
Education	X	X	
Employment and Employment Training	X	X	
Healthcare	X	X	X
HIV/AIDS	X	X	X
Life Skills	X	X	
Mental Health Counseling	X	X	
Transportation	X	X	
Other			
	X	X	

Table 50 - Homeless Prevention Services Summary

**Describe the extent to which services targeted to homeless person and persons with HIV and mainstream services, such as health, mental health and employment services are made available to and used by homeless persons (particularly chronically homeless individuals and families, families with children, veterans and their families and unaccompanied youth) and persons with HIV within the jurisdiction**

Maine State Housing Authority (MaineHousing) uses ESG funds and state resources to give Emergency Shelter and Housing Assistance Program (ESHAP) grants to agencies for a variety of activities to assist people who are actively experiencing homelessness or at risk of becoming homeless. ESHAP funds were distributed to 37 Homeless Shelters across the State of Maine in 2019, and referral to Mainstream Resources is a minimal criteria. Mainstream Resources are defined as a variety of federal and state government assistance programs Homeless Persons may be eligible to receive, e.g. Temporary Assistance for Needy Families (TANF), Food Supplement Program, veterans’ benefits, and MaineCare. ESHAP recipients are also required to provide linkages and access to community resources such as health care, workforce, and educational services to assist guests in achieving housing stability.

In March of 2019, the Maine Continuum of Care and MaineHousing commissioned the Human Services Research Institute to conduct a gaps and needs analysis of homeless resources in the state. The goal was to take a comprehensive look at the services, resources, and housing available to people experiencing homelessness in Maine, and to better understand their unmet needs and barriers. The final report, delivered in September 2019, indicated the following resources and services available:

**Public Housing Authority Resources:** MaineHousing has the most Housing Choice Vouchers available, followed by the Portland Housing Authority and the Lewiston Housing Authority. The Portland Housing Authority reported the greatest percentage of public housing, followed by Bangor Housing Authority, Lewiston Housing Authority, and South Portland Housing Authority.

**ESHAP Shelter Resources:** As of the third quarter of 2019, there are 36 ESHAP-funded shelters in Maine, although some Maine counties have only one shelter or no shelter at all. ESHAP shelters in Maine serve a variety of populations, including families with children, victims of domestic violence, unaccompanied youth,



chronically homeless individuals, veterans, and persons with HIV. Housing Navigators (Navigators) employed at all ESHAP shelters assess clients and assist them with education, services, support and Mainstream Resource referrals to meet their health, housing, employment, and other basic needs. Stakeholders identify housing navigators as game changers in helping people obtain and keep housing. Rent Smart, a tenant education course, is provided by most of the shelters, and focus group participants noted that it is very helpful. Nearly all shelters provide assistance obtaining benefits and entitlements, and most shelters provide transportation assistance, case management services, and financial management skills education.

**Public School Resources:** Most homeless students are identified through referrals from school personnel, though some families seek services or support.

**General Assistance:** Support provided by General Assistance varies across the state. Some will pay for shelter fees and assist with housing payments, while others will only pay for rent in order to keep people from losing their housing.

**Community Resources:** Community resources available in Maine (some provided by faith-based groups) include food pantries, soup kitchens, day or drop-in programs, and assistance with obtaining clothing and household goods.

**211 Maine:** This statewide service provides information and resources in the areas of health and human services via phone, text, email and a searchable online resources directory. Housing-related assistance was the second most requested category between Aug. 19, 2018 and Aug. 18, 2019 with a total of 6,225 requests.

**Describe the strengths and gaps of the service delivery system for special needs population and persons experiencing homelessness, including, but not limited to, the services listed above**

Focus group participants and stakeholders participating in the gaps and needs analysis noted the following:

**Shelter Availability and Capacity:** greater need for shelters for single men with children, single women, high-barrier/dry shelters, low-barrier shelters that follow the Housing First model, and youth shelters (housing younger and older youth separately); and an inability to expand shelter capacity, due in part to NIMBYism (“not in my back yard”) attitudes.

**Restriction from Shelters** due to behavioral issues or rule-breaking, resulting in nowhere to go.

**Role and Availability of Housing Navigators** varies across the state. In some areas, navigators do not help locate housing, which proves challenging for guests without transportation.

**Information and Resources Needed by Shelter Guests** includes more information about vouchers and resources, eligibility for benefits, and benefit restrictions.

**Workforce Issues and high staff turnover rates** contribute to the need for more peer navigators within shelters, and the need for shelter staff to be better trained to respond to mental health crises.

**Barriers Obtaining Housing:** inability to obtain vouchers/subsidies; lack of affordable housing; lack of security deposits; subsidies insufficient to meet market rents; non-participating landlords; housing not meeting HUD housing quality standards; poor credit; a criminal or sex offender background; need for more Housing First programs for both youth and adults; and lack of vouchers for people with substance use disorders.

**Barriers Keeping Housing** include the recent focus on short-term vouchers capped at 12 or 24 months. When a short-term voucher runs out, people may return to homelessness. Limited capacity to provide ongoing support once people are housed is also a barrier.

**Greater Availability of Supportive Services**, such as mental health and substance use services is needed. Behavioral health services within shelters is needed because transportation and insurance hinder participation following shelter stays. Transportation is an issue throughout Maine, though more challenging in rural areas and for people without MaineCare. Other supportive services needed include access to affordable childcare and legal services.

**Criminalization of Homeless Behaviors** leads to arrest records and fines that further impede people from getting jobs or housing. This issue is particularly difficult for people with mental health/substance use disorders who are penalized for homeless behaviors such as trespassing and/or sleeping in public places or abandoned buildings.

**Students Who Are Homeless and Unaccompanied Youth** face all of the same challenges, but face additional challenges related to enrollment, attendance, and success in school.

**Collaboration and Coordination among Shelters** could be improved by increasing networking opportunities; obtaining more participation in Coordinated Entry; increasing awareness about homelessness, services, and shelters; better coordination between the shelters and service providers; greater focus on preventing homelessness (e.g. helping pay back rent); better mechanisms for sharing funding; and more involvement in joint initiatives and case coordination.

**Increased Participation of Services Users**, such as greater involvement by youth and their families in statewide initiatives like the Statewide Homeless Council, and more opportunities to provide feedback and engage in advocacy activities, would benefit the system.

### **Provide a summary of the strategy for overcoming gaps in the institutional structure and service delivery system for carrying out a strategy to address priority needs**

The following recommendations were provided by HSRI in response to the gaps and needs identified in the homelessness service system. Each recommendation was followed by a list of short-term, mid-term and long-term strategies to consider.

1. Form a Landlord Engagement working group within the Maine CoC.
2. Increase the availability and capacity of shelters.
3. Increase the availability of housing vouchers and subsidies.

4. Increase the availability of affordable and safe housing.
5. Enhance supportive services pre-and-post-housing placement.
6. Prioritize and develop strategies to address the needs of sub-populations such as unaccompanied youth and people exiting hospitals and the criminal justice system.
7. Create a comprehensive training curriculum for providers and the community to improve outcomes and to educate and reduce stigma about homelessness, mental health and substance use.
8. Use data to lead planning and program priorities.
9. Work collaboratively with the criminal justice system to identify educational opportunities and housing and resource gaps.

The MCoC and Maine Statewide Homeless Coalition have formed a working group to prioritize these recommendations and develop a long-term strategy for implementation that will be incorporated into the Maine Plan to End and Prevent Homelessness. Potential solutions have already been initiated for some of the gap areas identified by the analysis. They include the following:

- The Maine Coordinated Entry System is being reworked and is scheduled to be up and running soon. This system will provide a consistent assessment and referral/prioritization process for people experiencing homelessness. A Homeless Project Coordinator position has been added to the MaineHousing Homeless Initiatives Department to oversee the day-to-day operations of the new system and provide monitoring and continuous quality improvement as the system matures.
- Training is being updated and expanded upon for shelter navigators in order to ensure consistency of service provision across the state.
- MaineHousing has made changes to the HCV Administrative Plan in order to allow for a set-aside of HCV rental assistance for those individuals and families who were unable to take on the full rent payment after 24 months on STEP assistance. This will prevent the possibility of returns to homelessness for those who were not fully successful in the Rapid Re-Housing program.
- There has been an increased focus on including people with lived experience in homelessness in the development of homeless policy within the MCoC and Statewide Homeless Council. One example of this is that the MCoC offered scholarships to people with lived experience to be part of the Maine team at the National Alliance to End Homelessness national conference, which includes visits with Maine's congressional offices.
- Finally, participation in the YHDP will provide an important opportunity for Maine to improve and expand upon the services continuum necessary to prevent and end youth homelessness in the state.

SP-45 Goals Summary – 91.315(a)(4)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Expand Affordable Housing Opportunities	2020	2024	Affordable Housing	State Of Maine	Help Maine People Attain Housing Stability Expand Affordable Housing Opportunities	HOME: \$13,302,595 HTF: \$15,000,000	Rental units constructed: 900 Household Housing Unit Rental units rehabilitated: 100 Household Housing Unit
2	Provide Rapid Re-Housing	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$7,000,000 ESG: \$3,127,550	Tenant-based rental assistance / Rapid Rehousing: 700 Households Assisted
3	Support Emergency Shelter Operations & Services	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$3,127,550	Homeless Person Overnight Shelter: 31000 Persons Assisted
4	Improve and Preserve the Quality of Housing	2020	2024	Affordable Housing	State Of Maine	Improve and Preserve the Quality of Housing	CDBG: \$18,500,000	Rental units rehabilitated: 300 Household Housing Unit Homeowner Housing Rehabilitated: 1500 Household Housing Unit
5	Improve Public Infrastructure	2020	2024	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure	CDBG: \$17,000,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 5000 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Improve Economic Opportunity	2020	2024	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$13,800,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1000 Persons Assisted  Facade treatment/business building rehabilitation: 60 Business  Jobs created/retained: 300 Jobs  Businesses assisted: 50 Businesses Assisted

Table 51 – Goals Summary

**Goal Descriptions**

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

2	<b>Goal Name</b>	Provide Rapid Re-Housing
	<b>Goal Description</b>	<p>MaineHousing will be using two programs to meet the Rapid Re-Housing Goal.</p> <p><b>Stability through Engagement Program (STEP)</b></p> <p>STEP is designed to provide short-and-medium-term rental assistance for up to 24 months to help individuals and families across the state achieve housing stability. STEP focuses on rapidly re-housing people who are receiving services from a homeless shelter grantee of the Emergency Shelter and Housing Assistance Program. Referrals to the STEP Program can only be made by staff Navigators at participating homeless shelters and PATH providers.</p> <p><b>Home to Stay</b></p> <p>MaineHousing has linked Emergency Solutions Grant (ESG) funds with Housing Choice Vouchers (HCV) to create the Home to Stay Program. In partnership with housing assistance agencies throughout the state, MaineHousing offers the Home to Stay Program for individuals and families who are homeless and seeking permanent housing.</p> <p>Program participants in both STEP and Home to Stay are assigned a trained Housing Navigator to assist them in learning and gaining valuable skills that will meet their health, housing, employment and other basic needs in order to overcome barriers to obtaining and maintaining housing. Housing Navigators help program participants develop and work on goals as part of a Housing Stability Plan, and connect participants with appropriate services and support.</p> <p>Navigators assist program participants in the following areas:</p> <ul style="list-style-type: none"> <li>• Assessment of housing barriers, needs, and preferences</li> <li>• Development of an Action Plan for locating housing</li> <li>• Housing search support, including assistance with submitting rental applications, understanding leases, and negotiating with owners</li> <li>• Assistance with obtaining utilities and making moving arrangements</li> <li>• Coordination of resources and services to obtain federal, state, and local benefits</li> <li>• Information and referrals to other providers</li> <li>• Long term housing stability planning, including development of an individualized housing and service plan to accomplish permanent housing stability</li> </ul>

3	<b>Goal Name</b>	Support Emergency Shelter Operations & Services
	<b>Goal Description</b>	<p>MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for:</p> <ul style="list-style-type: none"> <li>• Shelter operations</li> <li>• Essential shelter services</li> <li>• Rapid Re-housing</li> <li>• HMIS data collection</li> </ul> <p>Maine’s emergency shelters</p> <ul style="list-style-type: none"> <li>• Provide a safety net to help homeless individuals and families by offering temporary shelter to meet their basic needs;</li> <li>• Support successful rapid re-housing and;</li> <li>• Help homeless individuals and families resolve their housing crisis and remove barriers to housing stability.</li> </ul> <p>Shelters provide a safety net, helping people get off the streets and limiting their exposure to the elements. Shelter personnel also assess their immediate needs for medical, mental health and substance use treatment. They connect homeless individuals and families with mainstream resources and provide essential services including case management. Shelter services decrease the short-term costs to municipalities (e.g. ambulance, fire, etc.) and help increase the life expectancy and quality of life for individuals.</p> <p>Shelter guests are encouraged to participate in programming and services with the goal of obtaining and maintaining stable housing, thus reducing on-going shelter costs. Premised on the Rapid Re-Housing concept, the STEP Program provides services for up to 24 months upon shelter exit. The program is designed to help clients reduce their lengths of stay in shelters and prevent a return to homelessness.</p>



4	<b>Goal Name</b>	Improve and Preserve the Quality of Housing
	<b>Goal Description</b>	DECD through the Home Repair Network Program (HRN) will provide funding statewide to address housing quality problems of low- and moderate-income persons. This program will provide housing rehabilitation services administered on a regional basis throughout Maine.  Eligible activities under the HRN Program are rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, removal of architectural barriers and the Critical Access Ramp Program.
5	<b>Goal Name</b>	Improve Public Infrastructure
	<b>Goal Description</b>	Sewer/water improvements and downtown revitalization are critical community development needs.
6	<b>Goal Name</b>	Improve Economic Opportunity
	<b>Goal Description</b>	Stable employment and opportunity for new employment is critical to improving the economic status of low and moderate income households.

**Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.315(b)(2)**

*Tenant Based Rental Assistance (TBRA)* - provides rental assistance to homeless individuals and families

The one-year goal for HOME housing programs includes: the support of 140 TBRA units

**SP-50 Public Housing Accessibility and Involvement – 91.315(c)**

**Need to Increase the Number of Accessible Units (if Required by a Section 504 Voluntary Compliance Agreement)**

Not Applicable

**Activities to Increase Resident Involvements**

Not Applicable

**Is the public housing agency designated as troubled under 24 CFR part 902?**

N/A

**Plan to remove the ‘troubled’ designation**

MaineHousing is willing to provide assistance to troubled Public Housing Authorities with the goal of having their troubled designation removed. MaineHousing will work with HUD and provide technical assistance to the troubled PHA, including the administration of vouchers if needed.

## SP-55 Barriers to affordable housing – 91.315(h)

### Barriers to Affordable Housing

**Land Zoning and Land-Use Regulations:** Zoning ordinances, land-use regulations, and historic preservation rules were designed to achieve various safety; and environmental goals, improve the appearance of, and improve the local community. Today these regulations make it difficult to build affordable housing units. Planning and zoning regulations dictate the size (width, height, architectural features) of structures built in various areas of a community. They can focus on density, cap unit counts, types of units and require excessive permitting fees. Often the required planning and permitting process alone can discourage the construction of affordable housing. Land-use regulations, despite being well intentioned, have created a set of regulatory barriers.

The ordinances not only restrict construction of new units of affordable housing, they also stymie the creation of alternative affordable housing options. Ordinances focused on density, ownership requirements and types of housing have inhibited the creation of accessory dwelling units (attached and detached) and even shared housing.

**Lending:** In the aftermath of the recession, stricter lending requirements have limited lending activities and have had a more detrimental effect on lower income households.

**Lack of Affordable Housing:** Many of the poorest residents of the state simply cannot afford housing funded through the LIHTC programs. The target audience is low to moderate income households but not those severely low. There is also a continued shortage of housing choice vouchers. There is a lack of subsidies in general to increase the development of affordable housing units.

**Awareness:** Lack of awareness of fair housing law and rights granted under the law as well as racial, ethnic and cultural barriers create an undue burden on those in need of affordable housing. Not knowing what our rights are and what is required of a landlord under fair housing law is a barrier to housing.

**Cost of construction:** During the 2007 to 2009 recession, the number of workers in the construction sector declined and has yet to return to pre-recession levels. The shortage has driven labor costs up. Though material costs remained unchanged through 2015, they began to rise in 2016 and have yet to reverse course. Land costs have also increased due to its unavailability. In addition, single and multi-family construction has seen flat to no productivity gains. Increased labor, construction and land costs combined with no change in productivity have pushed the cost of construction higher and subsequently, the price of housing is increasingly out of reach for more and more households. In particular, younger households that have historically been the chief drivers of household formation and demand, cannot afford the new housing.

## **Strategy to Remove or Ameliorate the Barriers to Affordable Housing**

In 2019, MaineHousing updated the Maine Analysis of Impediments to Fair Housing Choice (AI). The process included discussions focused on potential impediments to affordable housing in Maine with business partners including the Department of Community Economic Development, the Maine Human Rights Commission, developers, realtors, providers of services to older adults, and lenders.

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

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

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

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

## **SP-60 Homelessness Strategy – 91.315(d)**

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

Maine DHHS PATH-funded Navigators reach out statewide to homeless youth and adults. The goal of outreach is to engage homeless individuals, assess and determine their eligibility for MaineCare and other services, and transition them to a community provider for ongoing assistance. An initial assessment is conducted to determine their immediate needs and health care concerns. Navigators work with local law enforcement, 211, General Assistance offices, faith-based organizations, libraries, and other not-for-profits, such as Community Action Agencies, to help identify those who are homeless.

The Maine CoC is in the final stage of the development and testing of a coordinated entry system that will provide a continuum-wide system for referring homeless persons and families to the most appropriate housing and services. The referral stage begins once a person has been assessed by a homeless services provider using the uniform assessment tool and has been added to the centralized prioritization list. The prioritization list is maintained by the Homeless Project Coordinator at MaineHousing, who tracks new additions to the list, makes updates as situations change, and facilitates communication and connection between the person in need of housing and available housing resources.

A primary component of the referral process is case conferencing. On a monthly basis, the group of participating providers meets to discuss the prioritization list. At this time, the group can make updates to the current vulnerability status of people on the list if there have been changes to their situations, as well as discuss potential housing interventions for each. CoC-funded housing providers are involved in this process, and the group works to identify options for housing placement in the near future, taking care to consider what would be the most appropriate housing intervention for each individual. The Homeless Project Coordinator then facilitates communication between the identified individuals and the housing resource in question.

It is also worth noting that, while there are separate systems in place or in development for certain subpopulations (veterans, survivors of domestic violence, and youth), those systems may intersect with this system at the referral stage. That is, while the other stages of the coordinated entry process are conducted separately in order to facilitate the best system for each subpopulation, the CoC is aware that some of the same CoC-funded housing resources may be available to multiple subpopulations. For this reason, veteran, youth, and DV providers are invited to the case conferencing meetings and may attend (with de-identified data, if necessary), to allow for a person who is working with those agencies to access resources being discussed in the case conferencing meetings.

### **Addressing the emergency and transitional housing needs of homeless persons**

In the Maine CoC in 2019, there are a total of 1,231 emergency shelter beds, 1,017 units of transitional housing, and 2,536 units of permanent housing for homeless individuals and families, including veterans and unaccompanied youth. Based on HUD's prioritization of permanent housing over transitional housing, the Maine CoC has given highest priority consideration to permanent supportive housing projects in its NOFA submission. The Maine CoC recognizes transitional housing as an important resource for victims of domestic violence, veterans and unaccompanied youth, and plans to continue to prioritize those transitional housing projects.

The Maine CoC has embraced the Housing First approach, which is fully supported by HUD as a best practice model. This approach emphasizes rapid re-housing and is premised on the fact that people who are homeless or on the verge of homelessness should be returned to and/or stabilized in permanent housing as soon as possible. All of the Maine CoC Shelter Plus Care Projects use a Housing First approach, and 75% of other CoC-funded projects use that approach. The Maine CoC educates members on the value of the Housing First approach and tracks the performance of all projects in helping homeless people access and retain housing.

Additionally, ESG funds are targeted to homeless persons and families. MaineHousing provides funding to 36 emergency shelters across the state of Maine. Rental assistance is provided to people who are homeless and working toward self-sufficiency through the STEP Program. MaineHousing also provides assistance to stabilize and rapidly re-house people who are at risk of being homeless through the Home to Stay Program, which includes a set-aside of Housing Choice Vouchers.

**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.**

A number of Maine programs and services help reduce the length of time people experience homelessness and assist them to make the transition to permanent housing. PATH serves at-risk individuals & families with unmet mental illness or co-occurring disorders. The SSVF Program provides outreach and case management to at-risk veteran families statewide. DHHS uses BRAP (state-funded, transitional TBRA) funds for homelessness prevention. MaineHousing provides ESG funding to 36 shelters through the ESHAP initiative.

Rapid re-housing is available through MaineHousing's ESHAP program. Maine DHHS BRAP provides housing vouchers for those with mental illness, allowing recipients to "transition in place" to other housing subsidies such as Shelter Plus Care or HCV. Resources are targeted separately to youth up to age 21; 22-24 year old clients are more often served through adult shelters and programs.

Runaway and Homeless Youth programs, ESG, Maine DHHS PATH, and state General Funds pay for outreach, shelter, and engagement services for unaccompanied youth. Not-for-profit providers work with youth, families, and Maine DHHS to support permanent placements, which may include family reunification,

foster care, or emancipation (for older youth). Maine was recently selected to participate in the Youth Homelessness Demonstration Program, which will provide the state with the resources to research the gaps and needs of the current system to prevent homelessness in youth, house those experiencing homelessness, and create a sustainable plan to make system-wide improvements.

The Maine Homeless Veteran Action Committee, a subcommittee of the Maine CoC, was formed with the purpose of coordinating the services of homeless providers for Veterans in the state of Maine, with the goal of creating a system that ends Veteran homelessness. Member representatives from a broad spectrum of veteran-serving organizations in the state are committed to: maintaining an accurate by-name list; implementing veteran-specific coordinated entry within the statewide system; and participating in weekly case consultation. The committee is close to achieving its goal of Functional Zero in relation to veteran homelessness, and should do so within the next year.

Frannie Peabody Center provides long-term housing subsidies, short-term rental assistance, and mortgage and utility assistance statewide to low-income people living with HIV/AIDS through HOPWA. They partner with fellow HIV/AIDS service providers across the state to ensure housing needs are met.

The Statewide Homeless Council, in collaboration with Maine DHHS and MaineHousing, targets “long term stayers,” those in shelters over 180 days. In the Portland area, nearly 300 individuals have been housed with a 97% success rate. In the past few years, a growing number of Long Term Stayer committees have successfully housed people in other areas of Maine. DHHS prioritizes Shelter Plus Care vouchers to house these chronically homeless individuals with mental illness and co-occurring disorders.

Finally, the Maine CoC tracks repeat homeless episodes through HMIS. HMIS is used to monitor grantee performance to ensure clients obtain housing, mainstream resources, employment and health services. MaineHousing’s ESHAP program requires 12 months of follow-up after program exit. Navigators prevent repeat episodes by developing and monitoring a long-term housing plan, meeting at least monthly with clients, and providing tenant education, landlord mediation, and credit and budget counseling.

**Help low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families who are likely to become homeless after being discharged from a publicly funded institution or system of care, or who are receiving assistance from public and private agencies that address housing, health, social services, employment, education or youth needs**

Youth who leave the foster care system because they have attained 18 years of age are eligible to participate in a Voluntary Extended Support program through Maine DHHS called the V9. This voluntary program provides funds to assist the youth in making a successful transition to adulthood, and can cover expenses such as rent, room and board, education costs, clothing allowances and any other specified financial assistance up to the age of 21. Maine DHHS contracts with not-for-profit youth service providers statewide to help youth develop transition plans to obtain transitional housing, permanent housing, permanent supportive housing, or remain in care until they finish their education. MaineHousing has assisted former foster youth who became homeless attain housing stability through the Family Unification Program/Family

Self-Sufficiency Demonstration Program, and the State is currently exploring the possibility of participating in the Foster Youth to Independence initiative utilizing Tenant Protection Housing Choice Vouchers to provide rental assistance and services to former foster youth. System involved youth (both the Foster Care and Juvenile Justice systems) are also a target group for the Youth Homelessness Demonstration Program, so they will receive special attention in the creation of a Coordinated Community Plan to Prevent and End Youth Homelessness in the state.

Hospital Discharge Planning Guidelines have been developed by the Statewide Homeless Council and Maine hospitals. The Guidelines instruct hospitals to begin the discharge planning process on admission, and patients are to be discharged with appropriate clothing and with a plan for accessing required medications/supplies. Maine CoC members also monitor discharges to shelters and follow up with hospitals. In 2019 Maine was also the recipient of technical assistance through the Medicaid Innovation Accelerator Program to begin the process of applying for a Medicaid waiver to fund pre-and-post-tenancy support for a cohort of chronically homeless individuals who are high utilizers of hospital emergency departments and other healthcare services. The State hopes to submit their application to Medicaid in the spring of 2020.

The Statewide Homeless Council and the Maine CoC do not support any policies that release inmates to shelters. No specific Department of Corrections policy exists to prevent the release of offenders to shelters, although their goal is not to release to shelters. The Department of Corrections begins pre-release planning 45 days before release (County jails begin 90 days prior). Maine CoC providers work collaboratively with prison staff on pre-release planning, as well as help find community housing and needed supportive services for inmates following release. In 2019 the Statewide Homeless Council and the Maine Department of Corrections initiated a collaborative effort to develop proactive policies to assist offenders in accessing permanent housing upon discharge from a correctional facility.



## **SP-65 Lead based paint Hazards – 91.315(i)**

### **Actions to address LBP hazards and increase access to housing without LBP 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 a 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 and Community Development, and the Maine Department of Environmental Protection. It is administered by MaineHousing and three sub-grantees (Community Action Agencies), with each sub-grantee being responsible for implementing the Program within a particular region of Maine.

### **How are the actions listed above integrated into housing policies and procedures?**

See above

## **SP-70 Anti-Poverty Strategy – 91.315(j)**

### **Jurisdiction Goals, Programs and Policies for reducing the number of Poverty-Level Families**

According to the U.S. Census Bureau, more than one in ten Maine residents live below the poverty line, and nearly one third of Mainers have a household income that classifies them as poor or near-poor. These households feel the pinch of rising costs for shelter, fuel, food, and medical care. Poverty is not just a problem for the people who experience it; it is a problem for everyone. Those in poverty are often isolated from community life, unable to participate fully in the economy, and cannot support local businesses. Hungry children are unable to focus on learning in school and face the likelihood of continuing the cycle of poverty to the next generation.

Through the STEP and Home to Stay programs, homeless families are provided rental assistance and needed services. These programs start individuals and families on a path out of poverty.

One of the goals of the Maine COC is to increase employment for Continuum of Care funded projects. The focus on increasing employment and housing for the homeless will result in reducing the number of poverty-level families.

### **How are the Jurisdiction poverty reducing goals, programs, and policies coordinated with this affordable housing plan**

See Above

## SP-80 Monitoring – 91.330

**Describe the standards and procedures that the state will use to monitor activities carried out in furtherance of the plan and will use to ensure long-term compliance with requirements of the programs involved, including minority business outreach and the comprehensive planning requirements**

**HOME Program:** *Rental Loan Program* MaineHousing's goal when monitoring the Rental Loan Program is to ensure compliance with program guidelines and loan requirements. For example, MaineHousing looks to ensure reserves are properly funded, residents are income eligible and paying the correct rent, and the owner's mortgage is current. An onsite Management Review is performed covering the specific loan and program requirements to ensure that program guidelines are being met. MaineHousing's Inspection Services team members physically inspect these projects. Properties with delinquent mortgages are monitored on a monthly basis. Any projects with delinquent mortgages over 60 days are subject to more extensive scrutiny and the possibility of a foreclosure action. Annual financial reports and budgets are reviewed as required by mortgage documents, and annual owner/tenant certifications are required for all Rental Loan Program properties. A Management Review and physical plant inspection is completed every one to three years, depending on funding type. However, more frequent Management Reviews or inspections may be triggered when the property is noted as troubled. (As **HTF** Projects are completed their monitoring will follow the plan just described.)

*STEP Program* MaineHousing's goal when monitoring the STEP Program includes assurance of applicant eligibility, verification of family income, size and composition, confirmation that all rents are reasonable, evidence that all rental units pass an HQS inspection, and verification that program participant income is less than 30% of the AMI.

Monitoring procedures for the STEP program include initial inspections of all rental units, review and approval of all rents to ensure rent reasonableness, reexamination of family income, family size and composition when there are changes, and review of all applications for eligibility. Household data is compiled monthly and entered into IDIS at the time of a STEP move-in. The STEP program is monitored for compliance with HOME regulations, as well as for compliance with program policies and procedures, including the FedHome Checklist.

**CDBG Program:** DECD will do an onsite monitoring of grants before final closeout ensuring that all CDBG requirements have been met.

## *Expected Resources*

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

#### Introduction

The following table displays the anticipated resources to be allocated to the State of Maine broken down by program type. Projections are made for FY 2020 and the remaining four years of the Consolidated Plan.

#### 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	11,951,816	0	0	11,951,816	46,266,580	DECD through its annual Method of Distribution allocates funds these eligible categories. UGLG then apply based on their community needs.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	4,277,376	0	0	4,277,376	16,242,076	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	1,390,914	0	0	1,390,914	5,409,816	MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for shelter operations, essential services, rapid re-housing, and HMIS data collection costs.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HTF	public - federal	Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership	3,000,000	0	0	3,000,000	12,000,000	MaineHousing allocates HTF funds through an RFP process.

Table 52 - 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**

The ESG 100% match requirement will be met with State HOME funds and the Shelter Operating Subsidy. HOME 25% match requirement will be met with State of Maine DHHS funding for services, as well as interest savings on below market rate loans.

**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	Expand Affordable Housing Opportunities	2020	2024	Affordable Housing	State Of Maine	Expand Affordable Housing Opportunities	HOME: \$2,449,638 HTF: \$3,000,000	Rental units constructed: 110 Household Housing Unit
2	Provide Rapid Re-Housing	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$1,400,000 ESG: \$643,297	Tenant-based rental assistance / Rapid Rehousing: 140 Households Assisted
3	Support Emergency Shelter Operations & Services	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$643,298	Homeless Person Overnight Shelter: 6200 Persons Assisted
4	Improve and Preserve the Quality of Housing	2020	2024	Affordable Housing	State Of Maine	Improve and Preserve the Quality of Housing	CDBG: \$3,600,000	Rental units rehabilitated: 60 Household Housing Unit Homeowner Housing Rehabilitated: 300 Household Housing Unit
5	Improve Public Infrastructure	2020	2024	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure	CDBG: \$3,400,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1000 Persons Assisted



Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Improve Economic Opportunity	2020	2024	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$3,100,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 200 Persons Assisted Facade treatment/business building rehabilitation: 12 Business Jobs created/retained: 60 Jobs Businesses assisted: 10 Businesses Assisted

Table 53 – Goals Summary

Goal Descriptions

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

2	<b>Goal Name</b>	Provide Rapid Re-Housing
	<b>Goal Description</b>	MaineHousing's Homeless Solutions Rule (see appendix) states that all grantees must provide services based upon Rapid Re-Housing or Housing First tenets. Grantees receive access to a variety of set-aside short, medium, and long-term rapid re-housing vouchers to assist them in achieving this goal. Shelters are given training on Rapid Re-Housing and Housing First principals and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these concepts (see attached Navigator Services Guide), and have the ability to assist people experiencing homelessness access the set-aside of housing resources. All shelter households who are in an Emergency Shelter for greater than 14 days must be assessed via the VI SPDAT for inclusion into Maine's Coordinated Entry System (MCES). This process prioritizes households for available housing as quickly and efficiently as possible.
3	<b>Goal Name</b>	Support Emergency Shelter Operations & Services
	<b>Goal Description</b>	The current funding formula allocates 50 percent of the total ESG funding for Shelter Operations, to be disbursed to the 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 Continuum of Care Housing Inventory Count (HIC); provided, however, the Bed Capacity of a Low Barrier Shelter means its maximum number of beds as indicated on the annual HIC multiplied by 125%. This is to support the higher utilization 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.
4	<b>Goal Name</b>	Improve and Preserve the Quality of Housing
	<b>Goal Description</b>	<p>DECD through the Home Repair Network Program (HRN) will provide funding statewide to address housing quality problems of low- and moderate-income persons. This program will provide housing rehabilitation services administered on a regional basis throughout Maine.</p> <p>Eligible activities under the HRN Program are rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, removal of architectural barriers and the Critical Access Ramp Program.</p>

5	<b>Goal Name</b>	Improve Public Infrastructure
	<b>Goal Description</b>	Sewer/water improvements and downtown revitalization are critical community development needs.
6	<b>Goal Name</b>	Improve Economic Opportunity
	<b>Goal Description</b>	Stable employment and opportunity for new employment is critical to improving the economic status of low and moderate income households.

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

**Introduction:**

MaineHousing anticipates using funds as follows:

Rental Housing: \$ 2.4 million HOME -- The Rental Loan Program

\$2.7 million HTF - Supportive Housing Program

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

Emergency homeless shelter operations & essential services: \$643,298 ESG

Rapid Rehousing (ESHAP): \$643,297 ESG

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

See attached CDBG Program Statement

**Funding Allocation Priorities**

	<b>Expand Affordable Housing Opportunities (%)</b>	<b>Provide Rapid Re-Housing (%)</b>	<b>Support Emergency Shelter Operations &amp; Services (%)</b>	<b>Improve and Preserve the Quality of Housing (%)</b>	<b>Improve Public Infrastructure (%)</b>	<b>Improve Economic Opportunity (%)</b>	<b>Total (%)</b>
CDBG	10	0	0	27	34	29	<b>100</b>
HOME	62	38	0	0	0	0	<b>100</b>
ESG	0	50	50	0	0	0	<b>100</b>

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HTF	100	0	0	0	0	0	100
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**Table 54 – 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.

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

The proposed 2020 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
  
- Help Maine People Attain Housing Stability
- Provide Rapid Re-Housing
- Support Emergency Shelter Operations & Services
- Improve and Preserve the Quality of Housing
- Improve Public Infrastructure
- Improve Economic Opportunity

**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, the STEP Program Guide, and the Consolidated Plan outline the respective programs.

**Distribution Methods**

**Table 55 - Distribution Methods by State Program**

<b>1</b>	<b>State Program Name:</b>	Community Development Block Grant
	<b>Funding Sources:</b>	CDBG
	<b>Describe the state program addressed by the Method of Distribution.</b>	See the attached 2020 CDBG Program Statement
	<b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b>	See the attached 2020 CDBG Program Statement
	<b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b>	See the attached 2020 CDBG Program Statement

	<p><b>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</b></p>	Not Applicable
	<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	
	<p><b>Describe how resources will be allocated among funding categories.</b></p>	See the attached 2020 CDBG Program Statement
	<p><b>Describe threshold factors and grant size limits.</b></p>	See the attached 2020 CDBG Program Statement
	<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	See the attached 2020 CDBG Program Statement
2	<p><b>State Program Name:</b></p>	Emergency Shelter and Housing Assistance Program (ESHAP)
	<p><b>Funding Sources:</b></p>	ESG



<p><b>Describe the state program addressed by the Method of Distribution.</b></p>	<p>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 allocation is detailed in the Homeless Solutions Rule and the ESG Written Standards.</p>
<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<p>To be eligible to receive ESHAP funds an applicant must:</p> <ul style="list-style-type: none"> <li>• Be a 501(c)(3) not-for-profit organization.</li> <li>• Be eligible in accordance with the HEARTH Act.</li> <li>• Be a provider of homeless services with at least one year of experience providing emergency housing, street outreach, homeless prevention or Rapid Re-Housing services.</li> <li>• Be a regular and active participant in the Maine Continuum of Care.</li> <li>• Have a board/advisory board that includes at least one person who is homeless or formerly homeless who is involved in policy or public planning of the organization.</li> <li>• Participate in the Coordinated Entry System.</li> <li>• Not engage in any explicitly religious activities, such as worship or religious instruction. If religious activities are offered, they must occur at a separate time or location from the activities and services covered in this rule.</li> <li>• Participate in the Housing Management Information System (HMIS) or a comparable database for victims of domestic violence and meet performance and reporting requirements.</li> </ul> <p>For a complete list of requirements, see the Emergency Shelter and Housing Assistance Program Guide and Application (Attached)</p> <p>Applicants are funded by demonstrating they have met minimum threshold requirements. If applicants meet all criteria listed in the ESHAP Program Guide and Application, they will receive a percentage of funding as outlined in the Homeless Solutions Rule.</p>

<p><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	<p>Not Applicable</p>
<p><b>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</b></p>	<p><b>Shelter Operations:</b> 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. Agencies will receive scheduled payments on a quarterly basis.</p> <p><b>Housing Stabilization Share:</b> 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, Housing First and Housing Stabilization services operated by the agency will be eligible to receive a percentage equal to the agency's number of Clients Assessed and Stabilized, divided by the total number of Clients Assessed and Stabilized statewide in the previous quarter. Agencies are reimbursed for costs on a quarterly basis.</p> <p><b>Performance Share:</b> (The Performance Share does not include ESG or HOME funds and is funded solely through State funds) An amount equal to 10% of the Funding Formula Allocation will be allocated among Emergency Shelters that in the previous 6 months had 15% or fewer clients who exited to permanent housing return to homelessness based on performance indicator data in HMIS (or elsewhere for providers of services to victims of domestic violence). The percentage of funding an Emergency Shelter receives will be equal to the number of clients served by that provider divided by the total number of clients served by all of the Emergency Shelters that meet this performance measure in the applicable 6-month period. The performance share for the first half of the calendar year will be calculated and paid for in the following July and the performance share for the second half of the calendar year will be calculated and paid for in the following January.</p>

	<b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b>	
	<b>Describe how resources will be allocated among funding categories.</b>	Not Applicable
	<b>Describe threshold factors and grant size limits.</b>	Grants are based upon the threshold as described in the Maine Homeless Solutions Rule. MaineHousing uses up to 50 percent of ESG funding for emergency shelter operations as noted in the Operations Share description above and the remaining funds for the Stabilization Share also as detailed above.
	<b>What are the outcome measures expected as a result of the method of distribution?</b>	MaineHousing provided emergency shelter for 6,195 people in 2018, and we anticipate serving a like amount in 2019. All shelters receiving funding will be tracked on performance benchmarks and will receive additional funding depending on their ability to meet these benchmarks.
<b>3</b>	<b>State Program Name:</b>	Rental Loan Program
	<b>Funding Sources:</b>	HOME

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

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

<p><b>Describe threshold factors and grant size limits.</b></p>	<p>A. Combination of Available Resources MaineHousing attempts to maximize the impact of the limited resources it has available by combining resources and encouraging applicants to seek other non-MaineHousing sources of funding.</p> <p>B. Tax-exempt Bond Financing MaineHousing may issue tax-exempt bonds under Section 142(d) or Section 145 of the Internal Revenue Code (Code) as a source of funding under the Program. The Code imposes certain requirements and limitations on the use of tax-exempt bond proceeds. There may be additional requirements under the Program.</p> <p>C. Non Tax Exempt Proceeds Non tax exempt proceeds are used mostly in conjunction with an allocation of low income housing tax credits under the competitive Low Income Housing Tax Credit Program.</p> <p>D. Subsidy Resources Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource.</p>
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>MaineHousing expects to produce 100 new rental units.</p>
<p>4 <b>State Program Name:</b></p>	<p>Stability through Engagement Program (STEP) TBRA</p>
<p><b>Funding Sources:</b></p>	<p>HOME</p>
<p><b>Describe the state program addressed by the Method of Distribution.</b></p>	<p>STEP is designed to provide short- and medium-term rental assistance for up to 24 months to help individuals and families experiencing homelessness achieve housing stability. Referrals to the STEP Program can only be made by the Housing Navigators, and the Maine Coordinated Entry System (MCES) as the system develops.</p>

<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<p>Rapid Re-housing participants may be eligible to receive short- and medium-term rental assistance, for a maximum of 24 months, through STEP if they meet the following requirements (unless prohibited by VAWA):</p> <ul style="list-style-type: none"> <li>• Staying in a shelter or working with an ESHAP provider.</li> <li>• Enrolled and participating in ESHAP with an approved Housing Stability Plan.</li> <li>• Continued contact with their Housing Navigator to review progress no less than every 30 days.</li> <li>• Reassessment to evaluate if continued assistance is necessary at 12 months.</li> <li>• As referred to STEP from the MCES Prioritized List once the process is developed.</li> </ul> <p>See STEP Administrative Plan for detail ( <a href="https://mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-general/step-program-guide.pdf?sfvrsn=71baa015_38">https://mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-general/step-program-guide.pdf?sfvrsn=71baa015_38</a> ) .</p>
<p><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	<p>Not Applicable</p>



<p><b>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</b></p>	<p>Not Applicable</p>
<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	
<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>Not Applicable</p>
<p><b>Describe threshold factors and grant size limits.</b></p>	<p>Not Applicable</p>
<p><b>What are the outcome measures expected as a result of the method of distribution?</b></p>	<p>The goal for the STEP program is to administer 140 STEP coupons to rapidly re-house individuals and/or families experiencing homelessness and to keep 95% of them stably housed.</p>
<p><b>5 State Program Name:</b></p>	<p>Supportive Housing Program</p>
<p><b>Funding Sources:</b></p>	<p>HTF</p>

<b>Describe the state program addressed by the Method of Distribution.</b>	The HTF has been allocated entirely to supportive rental housing for extremely low income individuals. Eligible activities will include acquisition and rehabilitation of existing housing units, adaptive re-use of existing buildings, and new construction of rental housing units.
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<p><b>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</b></p>	<p>MaineHousing will distribute HTF funds through a competitive process by selecting applications that are submitted by eligible recipients. MaineHousing will issue a Request for Proposals to eligible applicants that will assign scoring based upon a combination of the required selection criteria located at 24 CFR§91.320[k][5] and selection criteria adopted by MaineHousing. The selection criteria will be included in the Request for Proposals and will include all of the following (listed in order of highest priority to least priority):</p> <p>Threshold Criteria: (Required for the application to be eligible)</p> <p><i>For rental housing, the duration of the units' affordability period</i></p> <p>MaineHousing will require that affordability be for a 45 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.</p> <p>Selection Criteria</p> <ol style="list-style-type: none"> <li>1. <i>Extent to which the applicant will provide housing and services to vulnerable populations.</i> Applicants will receive points for projects that serve the specific needs of vulnerable populations. The degree of need for the populations served, and appropriateness of plans for providing services to tenants, will be evaluated. MaineHousing will award additional scoring points to applicants serving the homeless population.</li> <li>2. <i>Applicants' ability to obligate HTF funds in a timely manner.</i> Applicants will be evaluated on project readiness, including items like local approvals, architectural plans, and site control. Additionally, MaineHousing will consider their track-record for developing projects successfully within a reasonable timeframe.</li> <li>3. <i>Applicant's ability to undertake required eligible development activities.</i> Applicants will be evaluated on their development capacity and experience with public sector housing development programs. Past experience of members of the development team will be considered.</li> <li>4. <i>Extent to which the application makes use of additional funding sources.</i> Applicants will be evaluated on the quantity, quality and timeliness of leveraged funding (other than MaineHousing resources) that will be committed to the proposed project. Additional points may be awarded to projects that leverage a greater amount of non-federal funding.</li> </ol>
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	<p>5. <i>Amount of Federal, State, or local project-based rental assistance to ensure rents are affordable to extremely low-income families.</i> MaineHousing may make Section 8 Housing Choice Vouchers available on a “project-based” basis for eligible units funded with HTF. Applicants will receive points for projects that include project-based vouchers from other entities.</p> <p>6. <i>Priority based upon underserved areas.</i> MaineHousing will regard the entire State of Maine as the eligible area for purposes of the HTF. However, applicants will receive points for projects that will be developed in locations that have been designated as high opportunity areas or areas that are underserved.</p> <p><i>Merits of the application in meeting the State’s housing priority needs.</i> All applications will be required to address one or more of the following Consolidated Plan priorities: Improve and Preserve the Quality of Housing, Expand Affordable Housing Opportunities, and/or Help Maine People Attain Housing Stability.</p>
<p><b>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</b></p>	<p>Not Applicable</p>

<p><b>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</b></p>	<p>Not Applicable</p>
<p><b>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</b></p>	
<p><b>Describe how resources will be allocated among funding categories.</b></p>	<p>The FY 2020 HTF Allocation Amount is \$3,000,000, of that \$2,700,000 is for direct investment in unit production. HUD regulations allow MaineHousing to use up to ten percent (\$300,000) of the state allocation for reasonable costs to administer the HTF. There is a \$900,000 per project maximum allocation.</p> <p>Funds remaining after distribution under the competitive process may be distributed by MaineHousing to successful applicants under the 2020 Low Income Housing Tax Credit Qualified Allocation Plan that were awarded a point for agreeing to accept an HTF allocation.</p>
<p><b>Describe threshold factors and grant size limits.</b></p>	<p>See Above</p>

<b>What are the outcome measures expected as a result of the method of distribution?</b>	MaineHousing expects to commit to 10 to 15 rental units using the HTF within twelve months of receiving an award of the funds from HUD. These units will serve 10 to 15 extremely low income households.
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**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 2020 Program Statement

#	Project Name

Table 56 – Project Information

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



*AP-38 Project Summary*

**Project Summary Information**

**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**

N/A

**Acceptance process of applications**

N/A

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

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

No

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

## AP-50 Geographic Distribution – 91.320(f)

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

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

### Geographic Distribution

Target Area	Percentage of Funds
State Of Maine	100

Table 57 - Geographic Distribution

### Rationale for the priorities for allocating investments geographically

One state subsidy source requires that four projects for older adults are funded in counties with fewer than 100,000 people. Otherwise, MaineHousing has not chosen to target particular geographical areas for special assistance.

### Discussion

Please see above

## *Affordable Housing*

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

#### **Introduction:**

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

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

<b>One Year Goals for the Number of Households to be Supported</b>	
Homeless	140
Non-Homeless	110
Special-Needs	0
Total	250

**Table 58 - One Year Goals for Affordable Housing by Support Requirement**

<b>One Year Goals for the Number of Households Supported Through</b>	
Rental Assistance	140
The Production of New Units	110
Rehab of Existing Units	0
Acquisition of Existing Units	0
Total	250

**Table 59 - One Year Goals for Affordable Housing by Support Type**

#### **Discussion:**

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

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

### **Introduction:**

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

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

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

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

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

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

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

MaineHousing is not designated as a troubled PHA.

### **Discussion:**

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 based upon Rapid Re-Housing or Housing First tenets. Grantees are given access to short, medium, and long-term rapid re-housing resources to assist them in achieving this goal. Shelters are provided training on Rapid Re-Housing and Housing First principals and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services and concepts. All shelter households who are in shelter greater than 14 days must be assessed via the VI SPDAT, to prioritize and place households on the appropriate track for available housing as quickly and efficiently as possible. All shelters are given the opportunity to extend their Navigator Services beyond their shelter to serve persons experiencing homelessness who are unsheltered.

#### **Addressing the emergency shelter and transitional housing needs of homeless persons**

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

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

## **who were recently homeless from becoming homeless again**

There are a number of programs and services that will continue with the support of 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.
- Maine DHHS uses some BRAP (Bridging Rental Assistance Program) funds for homelessness prevention.
- MaineHousing provides ESG funding and the ESHAP program to 37 shelters.

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

**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 homeless patients. The Guidelines instruct hospitals to begin the discharge planning process upon admission. Patients are to be discharged with appropriate clothing and with a plan for accessing required medications/supplies. MCoC members also monitor discharges to shelters and follow up with hospitals as needed. Each Maine hospital or community discharge location must designate a management team member to oversee ongoing compliance with the Guidelines.

**Mental Health:** The Guidelines above also include discharge planning for patients with mental health issues, instructing hospitals to begin the discharge planning process upon admission, and working with appropriate providers. MCoC members monitor discharges of patients with mental illness to shelters and follow up as necessary. The Statewide Homeless Council is leading an effort to create a Medicaid Waiver for long-term



homeless individuals that will improve 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). MCoC providers work collaboratively with prison staff to help find community housing and supportive services (when needed) for inmates following release. STEP vouchers are also available with very limited parameters.

## **Discussion**

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

### **Introduction:**

In 2019 MaineHousing updated the Maine Analysis of Impediments to Fair Housing Choice (AI). The process included discussions focused on potential impediments to affordable housing in Maine with business partners including the Department of Community Economic Development, the Maine Human Rights Commission, developers, realtors, providers of services to older adults, and lenders.

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

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

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

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

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

### **Discussion:**

Results of actions taken to address the identified impediments to fair housing are reported in the

Consolidated Annual Performance and Evaluation Report (CAPER), which is submitted annually to HUD.

## **AP-85 Other Actions – 91.320(j)**

### **Introduction:**

#### **Actions planned to address obstacles to meeting underserved needs**

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

#### **Actions planned to foster and maintain affordable housing**

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

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

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

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

MaineHousing's current HUD-funded Lead Hazard Reduction Demonstration Grant Program will end on October 16, 2019, and was recently awarded another three year \$3.8 million HUD Lead Based Paint Hazard Reduction Grant. This program will provide grants to single-family, owner-occupied homes and owners of residential rental units to make their properties lead safe. Owners of residential rental units are required to keep the units affordable (50% - 80% of AMI) for three years after the completion of the abatement work. This program also includes a comprehensive Healthy Homes assessment and intervention component which addresses a variety of health and safety related housing conditions, such as indoor allergen reduction, injury prevention (falls, electrical hazards, etc.), carbon monoxide and radon, and excess heat and cold.

MaineHousing administers a \$4 million (one time funded) State-funded Maine Lead Paint Hazard Abatement Program that provides grants to assist single-family, owner occupied homes and owners of residential rental units to make their homes and apartments lead safe. Owners of residential rental units are required to rent to low-income renters (at or below 100% AMI) and the units must remain affordable (Fair Market Rent rates) for four years after the completion of the abatement work. This program is designed to complement the HUD-funded Lead Hazard Reduction Grant Program.

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

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

### **Actions planned to reduce the number of poverty-level families**

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

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

### **Actions planned to develop institutional structure**

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

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

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

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

### **Discussion:**

Please see above

## *Program Specific Requirements*

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

#### **Introduction:**

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

#### **Community Development Block Grant Program (CDBG) Reference 24 CFR 91.320(k)(1)**

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

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

#### **Other CDBG Requirements**

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

#### **HOME Investment Partnership Program (HOME) Reference 24 CFR 91.320(k)(2)**

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

follows:

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

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

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

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

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

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

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

The refinancing requirements include the following conditions:

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

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

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

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

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

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

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

Not Applicable

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. Using these tools, a written report will be presented to the CoC at least annually.

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

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

Applications submitted by eligible recipients



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

N/A

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

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

Eligible applicants are:

- Not for Profit organizations
- Municipalities
- Tribal Housing Authorities
- Public Housing Authorities
- 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 2020 funding cycle.

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

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

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

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

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

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

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

#### Selection Criteria

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

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

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

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

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

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

MaineHousing may make Section 8 Housing Choice Vouchers available on a "project-based" basis for eligible units funded with HTF. Applicants will receive additional scoring points for projects that include project based vouchers from other entities.

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

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

h. Describe the grantee's required priority for funding based on the merits of the application in meeting the priority housing needs of the grantee (such as housing that is accessible to transit or employment centers, housing that includes green building and sustainable development features, or

housing that serves special needs populations). If not distributing funds by selecting applications submitted by eligible recipients, enter “N/A”.

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

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

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

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

Yes

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

Yes

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

Yes

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

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

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

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

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

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

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

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

- The project team shall provide an estimate (based on age and condition) of the remaining useful life of the major building systems upon project completion. Major systems include: structural support, and roofing; cladding and weatherproofing (e.g., windows, doors, siding, gutters); plumbing; electrical; and heating, ventilation, and air conditioning.
- For multifamily housing with 26 or more total units, the useful life of systems must be determined through a capital needs assessment that determines the work to be performed and identifies the long-term physical needs of the project.
- If the remaining useful life of one or more major 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 UPCS inspectors on staff to identify any deficiencies from HUD’s Uniform Physical Condition Standards (UPCS). Any such deficiencies will be addressed in the renovation scopes of work. Follow-up inspections will be conducted at the completion of the project to assure any and all identified deficiencies have been properly addressed. (Attached are UPCS Inspectable Items and Observable Deficiencies)

Lead-based Paint

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

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

- Projects receiving an average of \$5,000 or less per unit in federal rehabilitation assistance
- Projects receiving an average of over \$5,000 but no more than \$25,000 per unit in federal rehabilitation assistance.
- Projects receiving an average of more than \$25,000 per unit in federal rehabilitation assistance.

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

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

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

NOTE: Inspectors are required to complete the following and must be addressed immediately if the failure is imminent.		
Requirements for Site	Observable Deficiency	Type and Degree of Deficiency that must be addressed
Fencing and Gates	Observable Deficiency	Type and Degree of Deficiency that must be addressed
	Damage/Fencing Leaning	Fence or gate is missing or damaged to the point it does not function as it should.
Grounds	Missing Sections	Any section of fence, directly above or below a gate is missing a section which could threaten safety or security.
	Exterior Fencing Area	Fence has substantial damage or is leaning to the point it could cause damage or threaten the safety of occupants or visitors to the grounds or visitors to the grounds.
	Damage/Overgrown Vegetation	Overgrown vegetation obscures or impedes the view of the perimeter or any other area of the grounds.
	Ponding/Drainage	There is an accumulation of more than 5 inches deep water in a large section of the grounds more than 20% is unusable for its intended purpose due to poor drainage or ponding.
Health & Safety	Low Quality - Green Glass Detected	Green glass (not safety glass) is visible in any window or glazing.
	Asbestos (Flooring, Wall, Ceiling, etc.)	Any asbestos, asbestos pipe or asbestos pipe that could cause a risk of exposure (the asbestos is health risk).
	Lead Paint (Interior, Exterior, etc.)	Any lead paint, lead pipe or lead pipe that could cause a risk of exposure (the lead is health risk).
	Flammable Material - Improperly Stored	Flammable materials are not properly stored, causing the potential risk of fire or explosion.
	Garbage and Debris - Outdoors	The amount of garbage, not garbage more than the amount of storage capacity, or garbage has gathered in an area not intended for storage or storage of debris.
	Hazards - Other	Any general defects or hazards that pose a risk of bodily injury.
	Hazards - Sharp Edges	Any sharp edges that could cause cutting or laceration of human skin or other bodily harm.
Mechanical/Plumbing/Electrical	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Roofs	Cracks	Cracks that are large enough to affect safety, depth not more than 1/8" of the structure's depth, depth not more than 1/4" of the structure's depth, depth not more than 1/4" of the structure's depth, or more than 1/4" of the structure's depth.
	Roofs/Floors/Decks	Roofs or floors are missing or damaged to the point they do not function as intended.
Plumbing/Heating	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
HVAC	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Electrical	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Interior	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Exterior	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Windows	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Doors	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Stairs	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Elevators	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Balconies	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Porch	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.
Walls	Water Leaking/Dripping	Any dripping defect in wet areas or other enclosed areas that poses a slipping risk.
	Water Leaking/Dripping	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.

Windows	Missing/Damaged Casings/ Mullion	Any exterior wall cracking or missing. (Where/whether this presents a risk of water penetration or risk of structural damage)
	Missing/Punctured/Loose Glass	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Punctured/Loose Glass	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Roofing System	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Interior System	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
HVAC	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Electrical System	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Plumbing System	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Fire Protection	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Life Safety	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
Accessibility	Missing/Damaged Roofing	Any exterior wall penetration or holes of any size that present a risk of water penetration or risk of structural damage
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame
	Missing/Damaged Roofing	After 20% of the remaining and original panes in the window are missing, the window must be replaced or repaired to meet the structural integrity of the window frame





**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”.

The grantee has determined its own affordable homeownership limits using the methodology described in § 93.305(a)(2) and the limits are attached.

N/A

**11. Grantee Limited Beneficiaries or Preferences.** Describe how the grantee will limit the beneficiaries or give preferences to a particular segment of the extremely low- or very low-income population to serve unmet needs identified in its consolidated plan or annual action plan. If the grantee will not limit the beneficiaries or give preferences to a particular segment of the extremely low- or very low-income population, enter “N/A.”

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

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

MaineHousing will require that all units that receive financial assistance from the HTF be affordable to households with incomes at or below 30% of the Area Median Income. This affordability restriction will be

outlined in deed covenants that will remain in place for 45 years from the date that the HTF funds are disbursed. This affordability restriction will not be contingent upon any outstanding HTF funding.

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

N/A

**Discussion:**

*Attachment*



## **State of Maine**

**Community Development Block Grant Program**

### **2020 Program Statement**

Office of Community Development  
111 Sewall Street, 3<sup>rd</sup> Floor  
59 State House Station  
Augusta, Maine 04333-0059  
Phone: (207) 624-7484  
Fax: (207) 287-8070  
TTY: 1-800-437-1220  
[www.meocd.org](http://www.meocd.org)

2020 PROGRAM STATEMENT

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

**MAINE DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT  
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM 2020  
PROGRAM STATEMENT**

**SUMMARY**

This Program Statement describes the method by which 2020 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. The 2020 CDBG program was developed by the Department of Economic and Community Development (DECD) following a review of past programs, a forum with program constituents, 3 state-wide public forums and a comprehensive assessment of statewide community and economic development needs. DECD will hold a public hearing regarding the development of this Program Statement on October 24, 2019, Burton Cross Office Building, 3<sup>rd</sup> floor, 111 Sewall Street, Augusta Maine.

**SECTION 1. PROGRAM OVERVIEW**

**A. CDBG OBJECTIVES**

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

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

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

- Are part of a long-range community strategy; 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

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DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2020 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 Downtown Center Assistance
- h. Urgent Need Grants
- i. Special Projects
- j. Community Enterprise

### 2. Economic Development

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

### 3. Technical Assistance

## C. STATE ADMINISTRATION:

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

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

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

### 4. Grant Administration Requirement:

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



#### D. PROGRAM TIMEFRAME

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

<b>Program</b>	<b>Letter of Intent Due Date VIA E-MAIL</b>	<b>Application Due Date By Invitation Only</b>
Downtown Revitalization	January 24, 2020	March 27, 2020
Economic Development	February 21, 2020	May 22, 2020
Housing Assistance	March 6, 2020	May 1, 2020
Micro-Enterprise Assistance	February 7, 2020	April 24, 2020
Public Infrastructure	January 17, 2020	March 27, 2020
Public Service	March 27, 2020	May 1, 2020
Community Enterprise	January 31, 2020	April 10, 2020
Special Projects/Urgent Need *	N/A	TBD*

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

## E. 2020 PROGRAM BUDGET

2020 CDBG Budget	<b>\$11,951,816</b>
Administration	339,036
Technical Assistance Administration	119,518

### **Community Development**

Downtown Revitalization Grants	300,000
Home Repair Network Program	2,600,000
Housing Assistance Grants	1,000,000
Public Service Grants	250,000
Public Infrastructure Grants	3,400,000
Regional Council Planning Assistance	114,000
Small Business Development Centers	50,000
Maine Downtown Center Assistance	300,000
Urgent Need Grants*	0
Special Projects*	379,262
Community Enterprise Grants	600,000

### **Economic Development**

Economic Development Grants	2,000,000
Micro-Enterprise Assistance Grants	500,000

TOTAL Estimated 2020 CDBG Funds (final amount determined by HUD) **11,951,816**  
Funding for individual categories may change based on actual HUD award.

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

## F. CERTIFICATIONS

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

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

## G. GENERAL REQUIREMENTS:

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

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permitted to apply in the same 2020 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 2020 Program Statement and 2020 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 2020 Community Development Block Grant program, communities that received CDBG grants in or prior to 2016 must have finally closed out their grants prior to application due date. Communities that received CDBG grants in 2017 must have conditionally closed their grants prior to application due date. Communities that received CDBG grants in 2018 must have expended 50% of their benefit activity funds prior to application due date. Communities that received 2019 CDBG grants must be under contract with DECD. All Past Performance Criteria will be strictly enforced; however these criteria may be waived for just cause by the Director of OCD.

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



## H. EXCLUSIONS:

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

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

## I. AWARD PROCESS:

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### 1. Scoring:

The Review Team will assign a score to each of the scoring areas and the application's total score will be determined by the sum of the Review Team's scores. The top scoring applications will be considered for an invitation into the Project Development Phase.

An invitation into the Project Development Phase is not a guarantee of funding or permission to obligate funds. Successful communities will receive an amount determined by the OCD for their project.

### 2. Project Development Phase:

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

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

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

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

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

### 3. Project Development Timeframe and Assistance:

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

## SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

### A. HOUSING ASSISTANCE GRANT PROGRAM

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

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

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

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

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

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

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

(a) Stage 1:

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

(b) Stage 2:

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

Impact (40 points):

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

Development Strategy (40 points):

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

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

Citizen Participation (20 points):

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

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

**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**

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

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

**2. Eligible Activities:** Eligible activities under the HRN Program 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, removal of architectural barriers and the Critical Access Ramp Program (via Alpha One).

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

**4. Maximum HRN Grant Amount:** \$2,600,000. Allocations to each of the established regions will be determined by the Office of Community Development.

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

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



## C. PUBLIC INFRASTRUCTURE GRANT PROGRAM

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

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

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

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

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

### **Activity Group Numbers:**

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

**5. Funding Restrictions:** PI funds may not be used to assist infrastructure for the purpose of job creation/retention. Job creation/ retention infrastructure activities are eligible in the Economic Development Program. 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 in to the application development and citizen participation process – 4 points
- How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments – 4 points

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

## **D. DOWNTOWN REVITALIZATION GRANT PROGRAM**

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

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

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

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

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

**5. Maximum DR Award:** \$300,000

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

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

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

(a) Stage 1:

**Letter of Intent and Verification of CDBG National Objective:**

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



(b) Stage 2:

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

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

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

**Impact (40 points):**

- Describe the scope and magnitude of the problems you seek to address. 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
- 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.

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

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

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

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

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

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

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

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

(a) Stage 1:

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

(b) Stage 2:

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

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

**Impact (40 points):**

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

**Development Strategy (40 points):**

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

**Citizen Participation (20 points):**

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

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



## **F. SMALL BUSINESS DEVELOPMENT CENTERS**

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

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

**(a) Eligible Activities:**

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

**(b) Communities ineligible for SBDCTA Assistance:**

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

## G.MAINE DOWNTOWN CENTER ASSISTANCE

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

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

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

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

## **H. URGENT NEED GRANT PROGRAM**

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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**

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



## J. COMMUNITY ENTERPRISE GRANT PROGRAM

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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.

**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 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 January 31, 2020.

**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 31, 2020 according to the requirements set forth in the 2020 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 10, 2020.

**(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

\*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.



SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

**A. ECONOMIC DEVELOPMENT**

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

**1. Eligible Activities by Group Number:**

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

**2. Exclusions:**

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

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

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

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

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

**7. Program Requirements:**

**(a) EDP Letter of Intent Due Dates:**

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

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

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

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

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

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

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

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

(a) Stage 1:

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

(b) Stage 2:

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

**Problem Statement**

**Scope**

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

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

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

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

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

**Solution**

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

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

**Effect on Assisted Business**

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

**Project Timeline and Feasibility**

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

**Citizen Participation**

**Public Hearing Process**

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

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

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

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

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



## **B. MICRO-ENTERPRISE ASSISTANCE GRANT PROGRAM**

The Micro-Enterprise Assistance Grant (MEA) Program provides grant funds to assist in solutions to problems faced by micro-enterprise businesses.

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

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

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

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

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

**6. Project Benefit:**

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

**7. Demonstration of National Objective:** Applicants must demonstrate that the project meets the National Objective of assisting existing or developing businesses that have five, or fewer employees, one of whom owns the enterprise, and whose family income is LMI, conforming to the requirements of Title 30-A M.R.S.A. § 5202 and HUD. These demonstrations must be made as part of the **Letter of Intent and Verification of CDBG National Objective** submitted to OCD.

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

(a) Stage 1:

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

(b) Stage 2:

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

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

**Impact (40 points):** describes the community problems or needs the applicant wishes to address with MEA assistance. The following rating criteria will be used:

- Provide Identification and description of potential business grant/loan applicants and their needs. – 15 points
- State the problem and explain how it negatively impacts the local economy. – 15 points
- Explain why MEA funds are necessary for the project; describe efforts to secure other grant or loan funds, and tell why they are not available locally to assist – 10 points

**Development Strategy (40 points):** presents solutions to the problems identified in the Impact section. The following rating criteria will be used:

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

**Citizen Participation (20 points):** describes how citizens, businesses, community groups and project beneficiaries participated in identifying the problems and solutions included in this application. **(Note: you must also submit a public hearing record consisting of the of the Title VI compliant published public hearing notice, hearing minutes, and attendance list with the original and all four copies of the application.)** The following rating criteria will be used:

- Effective use of any media (newspapers, radio, TV, etc.). – 5 points
- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) in application and project development. – 5 points
- Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business related organizations in development of the application and project. – 5 points

- How other local resources (cash and in-kind) are directly related to the project. – 5 points

**9. Final 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.



## SECTION 4. TECHNICAL ASSISTANCE

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

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

## SECTION 5. REDISTRIBUTION OF GRANT FUNDS

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

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

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

**2. Unallocated State Grants to Local Governments:** Unallocated grant funds resulting from lack of adequate program competition or demand in any of the available 2020 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 2020 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 2020 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, 3<sup>RD</sup> FLOOR  
59 STATE HOUSE STATION  
AUGUSTA, MAINE 04333-0059  
TELEPHONE (207) 624-7484  
TTY: 1-800-437-1220**

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

**[www.meocd.org](http://www.meocd.org)**

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



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## COORDINATED ENTRY SYSTEM POLICIES & PROCEDURES

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THE MAINE CONTINUUM OF CARE

Published and Approved date: May 17, 2018

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## OVERVIEW

The Maine Coordinated Entry System (CES) is comprised of statewide access and standardized assessment for all individuals, as well as a coordinated referral and housing placement process to ensure that people experiencing homelessness, per U.S. Department of Housing and Urban Development (HUD) Guidelines, receive appropriate assistance with both immediate and long-term housing and service needs. The entire CES process, within the state of Maine with participation of its agencies and organizations, ensures a thorough, standardized process from initial engagement to successful housing placement.

The Maine Continuum of Care (MCoC) has adopted the Maine Coordinated Entry System (CES) to implement its coordinated housing and services components.

### Purpose and Background

In June 2010, the United States Interagency Council on Homelessness published *Opening Doors: Federal Strategic Plan to Prevent and End Homelessness*, in which HUD and its Federal partners set goals to end Veteran and chronic homelessness by 2015, and set a path to end all homelessness by 2020. The development of a comprehensive crisis response system in each community is central to the plan's key objectives and strategies, including new and innovative types of system coordination.

Under the authority of 24 CFR 578.7(a)(8), the [Continuum of Care \(CoC\) Program Interim Rule](#) established new requirements that Continuums of Care (CoC) and recipients of CoC Program and Emergency Solutions Grants (ESG) Program funding must meet, related to the development and use of a centralized or coordinated assessment system. It also provided guidance on additional policies that CoCs and ESG recipients should consider incorporating into written policies and procedures, to achieve improved outcomes for people experiencing homelessness.

HUD requires each CoC to establish and operate a "centralized or coordinated assessment system" (referred to as "coordinated entry" "CE" or "Coordinated Entry System" "CES") with the goal of increasing the efficiency of local crisis response systems, and improving fairness and ease of access to resources, including mainstream resources. Both the CoC and ESG Program Interim Rules require use of the CoC's coordinated entry process, provided that it meets HUD requirements. 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, and identify the need for additional resources. The CoC Program Interim Rule set the basic parameters for coordinated entry and left further requirements to be set by HUD notice CPD-17-01.

## Core Requirements for a Coordinated Entry System

The CoC Program Interim Rule establishes minimum requirements that all coordinated entry processes must meet. Per the 24 CFR 578.7(a)(8) requirements and the 24 CFR 578.3 definition of a “centralized or coordinated assessment system”, a CoC’s coordinated entry process must:

- Cover the entire geographic area claimed by the CoC;
- Be easily accessed by individuals and families seeking housing or services;
- Be well-advertised;
- Include a comprehensive and standardized assessment tool;
- Provide an initial, comprehensive assessment of individuals and families for housing and services; and
- Include a specific policy to guide the operation of the centralized or coordinated assessment system to address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim specific providers.

## Guiding Principles for Maine's Coordinated Entry System

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

- The CES will operate with a person-centered approach, and with person-centered outcomes.
- The CES will ensure that participants quickly receive access to the most appropriate services and housing resources available.
- The CES will reduce the stress of the experience of being homeless by limiting assessments and interviews to only the most pertinent information necessary to resolve the participant’s immediate housing crisis.
- The CES will incorporate cultural and linguistic competencies in all engagement, assessment, and referral coordination activities.
- The CES will utilize Length of Time Homeless and vulnerability assessment(s) as the primary standard assessment mechanisms, and will capture only the limited information necessary to determine the severity of the person’s needs and the best referral strategy for them.



- The CES will integrate mainstream service providers into the system, including, but not limited to, local Public Housing Authorities and VA medical centers.
- The CES will utilize HMIS for the purposes of managing participant information and facilitating quick access to available CoC resources.

## POLICIES AND PROCEDURES

Maine’s Coordinated Entry System (CES) is designed to identify, engage, and assist individuals and families experiencing homelessness, and ensure that those who request or need assistance are connected to appropriate resources. The CES service coverage area is the entire geographical area of the state of Maine. Access points to the CES are easily accessible to all individuals and families experiencing homelessness, including those with disabilities. Access points are available both by phone and at physical locations including, but not limited to: 211; domestic violence, youth, and Veteran specific service providers; PATH and other street outreach providers; and Maine’s ESG funded programs and emergency shelters.

### Version

The MCoC’s CE Committee shall be responsible for the revision, review, and recommendation for approval of the CES Policies & Procedures to the COC Board of Directors and the MCoC. The revision process will be completed at least once annually, and anyone who is interested in submitting suggestions for revisions to the document should submit them to Chair of the CE Committee.

Version	Date Released	Key Updates
1.0	5/17/18	Complete draft

### Coordinated Entry Participation and Coordination Policy

**All CoC and ESG funded projects are required to participate in Coordinated Entry under 24 CFR 578.23(c)(9) and (11).** The MCoC aims to have all homeless assistance projects participate in its CES, and will work with all local projects and funders in its geographic area, including VA-funded homeless programs and PATH outreach programs, to facilitate their participation in the CES.

The CoC is committed to aligning and coordinating CES policies and procedures governing assessment, eligibility determinations, and prioritization with its written standards for administering CoC and ESG Programs funds, as required under 24 CFR 576.400(d) and (e) and 578.7(a)(9).

The MCoC will ensure that membership of its CE Committee includes at least one ESG recipient representative. At least annually, ESG recipients and representatives from the MCoC will identify and share changes to their written standards with the MCoC's CE Committee, to ensure consistency in the CES policies and procedures.

### Individuals and Families Fleeing Domestic Violence Policy

No participant who is, or has been, a victim of domestic violence, dating violence, sexual assault or stalking will be denied access to the Coordinated Entry System process. If a participant is currently fleeing one of these situations, they will not be entered in HMIS, and will be offered a referral to access DV-specific resources. No personal identifying information will be collected or shared.

Individuals and families fleeing, or attempting to flee, domestic violence, and victims of trafficking will have safe and confidential access to the CES, crisis, and victim services. This includes access to the comparable process used by victim service providers and immediate access to emergency services such as domestic violence hotlines and shelter. Individuals will also have access to non-victim service providers through the CES, if desired. Providers serving individuals and families fleeing, or attempting to flee, domestic violence, and victims of trafficking may choose to use another coordinated entry process that meets HUD's requirement, as noted in section 24 CFR 578.23(c)(9).

### Fair and Equal Access Policy

All persons participating in any aspect of the CES, such as access, assessment, prioritization, or referral, shall be afforded equal access to CE services and resources regardless of race, color, religion, national origin, age, gender, pregnancy, citizenship, familial status, marital status, household composition, disability, Veteran status, or sexual orientation. 211 is available by phone or online twenty-four hours a day with trained staff to assist persons and connect them with appropriate resources included in the MCoC's CES.

### Specific Populations

All subpopulations, including Chronically Homeless (CH) individuals and families, Veterans, youth, persons and households fleeing domestic violence, and transgendered persons, must be provided fair and equal access to the CES. CES access points and referral sources include Veteran-specific providers, family-specific providers, youth-specific providers, and DV-specific providers.

The CES ensures a means of effective communication through the use of appropriate auxiliary aids, assistive technology, and/or services necessary as required.

Additionally, access is provided in multiple languages to meet the needs of minority, ethnic, and groups with Limited English Proficiency (LEP).

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All physical access points, such as emergency shelters or other CES participating providers, are handicapped accessible or will offer alternative methods for access to the CES.

The CES is also accessible to people with disabilities and people who are least likely to access homeless assistance. Maine's ESG funded shelter system serves the entire state, and includes a wide variety of physical structures, locations, and accessibility options. 211 or PATH can help with access to the most appropriate resource.

## Nondiscrimination Policy

The CES System supports the fact that all CoC Program ESG Program and HOPWA Program funded projects are required to comply with the nondiscrimination and equal opportunity provisions of Federal civil rights laws, including the Fair Housing Act, Section 504 of the Rehabilitation Act, Title VI of the Civil Rights Act, Title II and Title III of the Americans with Disabilities Act, and HUD's Equal Access Rule included in 24 CFR 5.105(a)(2), which prohibits discriminatory eligibility determinations in HUD-assisted or HUD-insured housing programs based on actual or perceived sexual orientation, gender, or marital status. The CoC Program Interim Rule also contains a fair housing provision included in 24 CFR 578.93 (24 CFR 576.407(a) and (b) for ESG, and 24 CFR 574.603 for HOPWA).

People accessing the CES are to be informed they have the ability to file a discrimination complaint. Discrimination complaints can be filed with the agency of the alleged complaint.

## Low Barrier Policy

CoC providers will make enrollment determinations on the basis of limiting barriers to enrollment in services and housing. CoC projects and CES participating providers may not screen potential clients out of assistance based on perceived barriers including, but not limited to: income; substance use disorder; domestic violence history; resistance to receiving services; the type or acuity of needed disability-related services or supports; history of evictions; poor credit; lease violations or history of not being a leaseholder; or criminal record. CES access points (i.e., shelters, 211, PATH, SSVF, etc.) which restrict access to resources based on specific client attributes or characteristics, must provide documentation to the MCoC which includes a justification for their enrollment policy.

## Training Policy and Procedure

The CoC is committed to ensuring that all CES participating programs receive sufficient training to implement the CES in a manner consistent with the vision and framework of CE, as well as in accordance with the policies and procedures of the MCoC CES.

Training will be provided semi-annually to CES participating programs throughout the state of Maine, to ensure they have access to updated CES materials. Training will include:

- Review of the CoC's written CE policies and procedures, including variations adopted for specific subpopulations;
- Requirements for use of assessment information to determine prioritization;
- Intensive training on the use of the CE assessment tool(s); and
- Criteria for uniform decision-making and referrals.

HMIS Training will be included in the Maine Homeless Training Academy, and will provide an overview of how to utilize HMIS as part of the CES.

Community trainings will occur semi-annually at the Regional Homeless Councils and/or meetings of the full MCoC membership. Community trainings will include: An overview of CE, reviewing policies and procedures, highlighting any updates/revisions, assessment and prioritization processes, and criteria for uniform decision making and referrals.

Maine Housing will conduct all CE HMIS trainings, and will maintain records containing the dates of trainings and names of attendees. For any additional, non-HMIS CE trainings conducted by MCoC members, the MCoC will maintain records containing the dates of trainings and names of attendees.

Trainings may be tailored to specific provider types and/or populations:

- Shelter and PATH trainings will occur annually at Regional Homeless Council Meetings, and as needed for newly hired staff. Videos and brochures will be used.
- 211 training will occur as needed for newly hired staff. Videos and brochures will be used.
- Veteran-Specific Coordinated Entry Procedure:
  - The CoC Veteran Committee will host annual Veteran CES trainings for VA-funded homeless Veteran service providers, including, but not limited to, all SSVF, GPD, and HUD-VASH program staff. Training material will cover:
    - Review of Veteran CES Policy and Procedures (see appendix E);
    - Review of Veteran CES Access points;
    - Use of the Veteran CES standardized assessment tool;
    - Orientation to the Veteran By-Name-List and prioritization process; and
    - The referral procedure and use of progressive engagement.
  - The CoC Veteran Committee will document attendance at annual trainings and make training material available throughout the year.

## Marketing Policy

The CES is well advertised through the statewide 211 system, and the network of CES participating programs, which are already part of the homeless system. Flyers are displayed at the physical location of CES participating programs in a conspicuous location, and are available throughout the community.

Each project participating in the CES is required to post, or otherwise make publicly available, a notice provided by the MCoC that describes CE. This notice should be displayed at the physical location of CES participating programs in a conspicuous location, such as waiting areas, as well as areas where people may congregate or receive services (i.e., dining halls). All CES participating provider staff are required to know which personnel within their agency can discuss and explain CE to a participant who seeks more information.

## Grievance or Appeal Policy and Procedure

### Participant Grievance or Appeal

This policy refers to participant grievances regarding access to the CES only. If a participant has a grievance regarding a CES participating provider or representative of that provider/agency, they should follow that agency's grievance and/or appeal procedure.

### Grievance Process

The CES participating provider serving as the CES access point should address any complaints by participants as best as they can in the moment. Ideally, the person and the CES participating provider will try to work out the problem directly as a first step in the process. If this does not resolve the issue, the person may begin the grievance procedure with the provider.

### Appeal Process

If the aggrieved disagrees with the grievance resolution or the process by which the decision was made, they have a right to appeal the decision. This request must be made in writing and sent to the CoC Board of Directors President. If the CoC Board of Directors President has any real or perceived conflict of interest, the President shall follow the recusal process outlined in the MCoC Governance. The remaining CoC Board of Directors members shall vote to decide which Board Member will review the appeal. The aggrieved can request this recusal, for any reason, in the appeal letter. All appeals must be addressed at the next regularly scheduled CoC Board Meeting. The Board President, or designee, will inform both the aggrieved and the CES participating provider of the decision, in writing, within 72 hours of the close of that meeting. A copy of this letter will remain on file with the MCoC Collaborative Applicant. This is the final step in the Grievance and Appeal process.

## Provider Grievance or Appeal

This policy refers a grievance pertaining to a complaint concerning a CoC and ESG Funded violation or suspected violation of the policies and procedures.

It is the responsibility of all boards, staff, and volunteers of CoC-funded and ESG-funded programs/projects to comply with the rules and regulations of the MCoC CES. Anyone filing a complaint concerning a violation or suspected violation of the policies and procedures must be acting in good faith and have reasonable grounds for believing a CES participating provider is violating the CES policies and procedures. The procedure for filing a grievance is outlined in the procedure section of this document.

### Provider Grievance

To file a grievance regarding the actions of a CES participating provider, contact the Chairs of the MCoC with a written statement describing the alleged violation of the CES policies and procedures, and the steps taken to resolve the issue locally. The Chairs of the MCoC will contact the CES participating provider about whom the grievance was filed for its statement. Once the Chairs of the MCoC have gathered all relevant information about the situation, they will decide if the grievance is valid and determine what, if any, action will be taken.

Once the Chairs of the MCoC have gathered all relevant information and documentation they will decide if the grievance is valid and determine, if any, further will be taken.

### Provider Appeal

If the individual or agency filing the grievance, or the CES participating program about whom the grievance is filed, disagrees with the grievance resolution or the process by which the decision was made, they have a right to appeal the decision. This request must be made in writing and sent to the CoC Board of Directors President. The CoC Board of Directors President will bring the matter to the Board of Directors for discussion and a final decision.

## ACCESS

### No Wrong Door Approach

The coverage area of CES is the entire state of Maine. Access to the CES follows a “No Wrong Door” approach, which ensures that people have the same access to resources, referrals, assessments, and prioritization processes regardless of where or how they present for assistance. The principles of this approach are:

- People can seek emergency assistance through any of the CES Access points, including 211 Maine, local Emergency Shelters, PATH, and other local outreach providers;

- All access points utilize the Maine CES initial Triage and Diversion Assessment per CES Procedures, and provide standardized linkages to subpopulation access points and emergency service referrals;
- People have equal access to information and advice about the housing assistance for which they are eligible, to assist them in making informed decisions about available services that best meet their needs; and
- CES participating providers have the responsibility to respond to the range of needs and act as the primary contact for people until a warm handoff can be made, if/when appropriate.

In some cases, people may need additional accommodations to access the CES. In these instances, the COC designates:

- 211 to serve as the primary point of contact for ensuring that all CE materials are available for people with limited English proficiency.
- CES participating providers provide linkages to communication accommodations through translation services to effectively and clearly communicate with people who have disabilities, including visual, audible, as well as with people with limited English proficiency.

## Emergency Services

After-hours crisis response access is available via telephone through 211, which coordinates with police, emergency, and medical care services for people seeking emergency assistance twenty-four hours a day year-round. 211 also coordinates with domestic violence providers, emergency services, shelters, and other crisis programs, to ensure access to these crisis services twenty-four hours a day year-round.

Triage referrals to emergency services, such as emergency shelter, street outreach providers, and crisis response services, are not prioritized based on severity of need or vulnerability. The MCoC does not utilize prioritization during the initial triage and diversion assessment process and does not prioritize access to emergency shelter or crisis response services. This initial assessment is intended to meet the immediate safety needs of all individuals regardless of priority ranking.

## Homeless Prevention

The CES will ensure that all potentially eligible people will be screened for homelessness prevention assistance, regardless of the access point at which they initially seek assistance.

## Street Outreach

Street outreach programs, including PATH and SSVF, will function as access points to the CES process, and will seek to engage people who may be served through the CES but who are not



seeking assistance or are unable to seek assistance through programs that offer crisis services or emergency shelter.

## ASSESSMENT

All projects participating in CE will follow the assessment and triage protocols of the CES. The assessment process will collect only enough participant information to prioritize and refer people to available housing and support services.

In accordance with HUD guidance, the MCoC's CES includes a standardized assessment process, ensuring uniform decision-making and coordination of care for persons experiencing a housing crisis. In Maine, there are two primary assessment mechanisms to evaluate need for housing resources for each individual or family: Length of Time Homeless (LOTH) and Vulnerability. These assessment processes and methodologies are used to prioritize clients according to the Ending Homelessness Resources Prioritization Chart, which includes LOTH and vulnerability parameters for each distinct population and corresponding appropriate resources as a result of the assessment.

*Length of Time Homeless* is determined by HMIS data, third-party verification, or self-certification in accordance with 24 CFR 576.500 and HUD Notice CPD-14-012. The assessment is conducted by a provider who has been trained to use HMIS and other the tools by the CoC, or its designee.

*Vulnerability:* Vulnerability is determined through a vulnerability assessment, primarily the VI-SDPAT (see below for alternative assessments). The VI-SDPAT is administered by providers for people experiencing homelessness, in accordance with the Written Standards, and is the approved vulnerability tool for ESG and SSFV providers, among others. Based on the specific set of questions inherent in the tool, an individual will be given a score. Participants have the right to refuse to answer any assessment questions. Trained providers, in their professional capacity, can adjust the score if a client is unable to answer, or accurately answer, the questions. The VI-SDPAT can only be conducted by a provider who has been appropriately trained to use this tool.

CES participating providers must use the standardized assessment methodology, to ensure that all persons served are assessed in a consistent manner, using the same process.

The **combination of Length of Time Homelessness and Vulnerability** documents a set of participant conditions, attributes, need level, and vulnerability, allowing the CES participating providers to identify a service strategy and housing plan according to need.

Alternative assessments, such as the Level of Care Utilization System (LOCUS) and the Adult Needs and Strengths Assessment (ANSA), may be used for specific resources and are considered approved, standardized assessment tools. These tools can help to identify and



prioritize needs for resources offered through the Department of Health and Human Services, including subsidies and service supports.

## Maine CES Assessments

The Maine Coordinated Entry System will utilize a phased standardized assessment process that includes common assessment and prioritization tools including, Triage and Diversion Assessment, Length of Time Homeless, Vulnerability, and the Ending Homelessness Resources Prioritization Chart. The CES Process is described in the Procedure Section of this document.

The Steps for Standardized Assessment include:

**CES INITIAL TRIAGE AND DIVERSION ASSESSMENT:** This first phase is intended to assess the immediate housing crisis, and determine if the individual can be diverted from, or must be directed towards, emergency services. CES participating providers conducting the assessment will examine existing CoC and participant resources and all other options that could be used to divert the individual from entering the homeless system of care.

**INTAKE ASSESSMENT:** The second phase of assessment is the collection of HMIS Project Specific Data Elements and Universal Data Elements necessary to enroll the participant in a crisis response project, such as emergency shelter or other homeless assistance project.

**LOTH, VULNERABILITY, AND PRIORITIZATION ASSESSMENT:** Each person is assessed for Length of Time Homeless and Vulnerability, in accordance with the assessment policy and procedures outline in this document. These assessments are meant to collect information to identify a person's housing and service needs with the intent to resolve that individual's housing crisis. Assessment information supports the evaluation of the participant's LOTH, vulnerability, and prioritization for assistance. The Ending Homelessness Resources Prioritization Chart is then used to identify and prioritize appropriate resources. This step may also include program-specific eligibility assessments, such as the LOCUS, the ANSA, and/or other Housing Barrier assessments necessary to refine, clarify, and verify the individual's housing and homeless history, barriers, goals, eligibility, and preferences.

**HOUSING INTERVENTION AND REFERRAL:** Based on assessment, eligibility, and priority criteria, an individual is referred to an appropriate housing intervention, including, but not limited to, Permanent Supported Housing (PSH), Transitional Housing (TH), or Rapid Re-Housing (RRH) projects. This step will also include program-specific eligibility assessments, such as the LOCUS, the ANSA, and/or other Housing Barrier assessments necessary to refine, clarify, and verify a participant's housing and homeless history, barriers, goals, eligibility, and preferences.

## Participant Autonomy

It is crucial that people served by the MCoC CES have the autonomy to identify whether they are uncomfortable or unable to answer any questions during the assessment process, or to refuse a referral that has been made for them. In both instances, the refusal of the individual to respond to assessment questions or to accept a referral shall not adversely affect their level of priority or their access to housing resources.

Please note: Some funders require collection and documentation of a person's disability or other characteristics or attributes as a condition for determining eligibility. People who choose not to provide information in these instances could be limiting potential referral options and their subsequent eligibility for resources.

## Nondiscrimination

The MCoC and the CES do not use data collected from the assessment process to discriminate or prioritize households for housing and services on a protected basis, and will operate the CES free from discrimination on the basis of age, race, color, religion, national origin, physical or mental disability, familial or marital status, sexual orientation, or gender in accordance with all relevant and applicable laws.

People accessing the CES have the right to refuse to answer any assessment questions without retribution or limiting their access to assistance.

The CE process may collect and document participants' membership in Civil Rights protected classes but will not consider membership in a protected class as justification for restricting, limiting, or steering participants to particular referral options.

Please note: Some funders require collection and documentation of a person's disability or other characteristics or attributes as a condition for determining eligibility. People who choose not to provide information in these instances could be limiting potential referral options and their subsequent eligibility for resources.

## Privacy Protection

CE participating providers are required to notify and obtain consent for the collection, use, and disclosure of individuals' Personally Identifiable Information (PII).

## Disclosure

Throughout the assessment process, people must not be pressured or forced to provide CES participating providers with information that they do not wish to disclose, including specific disability or medical diagnosis information.

## Updated Participant Information

CES participant information will be updated regularly based on existing programmatic policies and procedures. Additionally, CES participating providers may update participant records with additional and/or revised information as it becomes available and/or known to them.

## PRIORITIZATION

The MCoC will use data collected through the CE process to prioritize people experiencing homelessness within the CoC's geography. However, emergency services are a critical crisis response resource, and access to such services will not be prioritized.

It is the policy of the MCoC to use the CES to prioritize the housing needs of individuals based on Length of Time Homeless and Vulnerability throughout the MCoC Coverage area. The MCoC has established categories of priority which are applied consistently throughout the CoC coverage area and outlined in the most recent Ending Homelessness Resources Prioritization Chart ([Appendix F](#)).

## REFERRAL

CoC and ESG program recipients and subrecipients use the CES established by the CoC as the referral source from which to consider filling vacancies in housing and/or services funded by CoC and ESG programs. Referrals will follow the Ending Homelessness Resources Prioritization Chart for all services available.

### Referral Rejection Policy

*Participant Declined Referral:* One of the guiding principles of CE is participant choice. This principle must be evident throughout the CE process, including the referral phase. Participants in the CES can reject service strategies and housing options offered to them, without repercussion.

### Nondiscrimination

The CES referral process complies with Federal, State, and local laws to ensure participants are not "steered" away or toward particular housing facilities or neighborhoods based on age, race, color, religion, national origin, physical or mental disability, sexual orientation, or gender in accordance with all relevant and applicable laws.

## DATA MANAGEMENT

All participant information collected, stored, or shared due to participation in the CES, regardless of whether or not data is stored in HMIS, shall be considered personal and sensitive

Information worthy of protection and security associated with data collected, stored, or shared in HMIS.

All CES participating providers must ensure participants' data are secured regardless of the systems in which or locations where participant data are collected, stored, or shared, whether on paper or electronically.

CES participating providers must collect all data required for CE as defined by the CoC at each step of the CES process.

Data must not be collected without the consent of participants, according to the defined privacy policies adopted by the CoC. Participants must be informed how their data are being collected, stored, managed, and potentially shared, with whom, and for what purpose.

### Maine HMIS Authorization for Disclosure of Health and/or Personal Information (ROI)

All CES participants will be asked for verbal consent to enter and share personal identifying information collected during the Triage and Diversion Assessment phase in HMIS. The first provider to connect with the individual in-person must obtain a signed HMIS ROI must be collected before proceeding with the next steps in the CES assessment process.

The Maine CES does not require disclosure of specific disabilities or diagnoses to access the system. This information may only be obtained for determining program eligibility and making appropriate referrals.

### Privacy Protections

The CoC must protect all participants' *personally identifiable information (PII)*, as required by HUD's HMIS Data and Technical Standards, regardless of whether or not PII is stored in HMIS. All CE participating providers will ensure participants' PII will only be collected, managed, reported, and potentially shared if those data are able to be secured in compliance with the HUD-established HMIS Privacy and Security requirements. The MCoC requires adequate privacy protections of all participant information per 24 CFR 578.7(a)(8) and the CoC Program Interim Rule HMIS Data and Technical Standards.

Maine CES operations and CES participating providers must abide by all Federal and State defined privacy protections, included in and defined by the HMIS End User Agreement. Consent protocols, data use agreements, data disclosure policies, and other privacy protections will be offered to program participants upon entry into CES.

Participants will be informed of the privacy rules associated with collection, management, and reporting of data through the CES.

The CoC prohibits denying services to participants if they refuse to allow their data to be shared, unless collection, use, and reporting is required by Federal statute as a condition of program participation.

## HMIS Data Systems Procedures

Maine Homeless Providers (excluding DV providers) utilize a homeless database program called the Homeless Management Information System (HMIS). The HMIS system manages data, including data related to the CES, and is administered by MaineHousing. Data collected and managed in HMIS is defined by the CoC at each step of the CES process.

Client assessments must be recorded in HMIS in accordance with the *MCoC Data Quality and Best Practice Guide*.

## EVALUATION

Regular and ongoing evaluation of the CES will be conducted to ensure that improvement opportunities are identified, that results are shared and understood, and that the CES is held accountable, where appropriate and applicable.

The System Performance Measures, including as they are affected by the CES, will be evaluated using HMIS data on a quarterly basis by the CoC Board of Directors. After review by the CE Committee and the CoC Board of Directors, results will be published on the public MCoC website.

### Participating Provider Evaluation

CES participating providers play a crucial role in the evaluation of the CES. CES participating providers will collect accurate and meaningful data on people served by the CES. In addition, CES participating providers will review evaluation results and offer insights about potential improvements to the CES processes and operations. This will be collected through electronic HMIS user-group surveys.

Policies and procedures will be reviewed and updated at least annually based on evaluation and feedback.

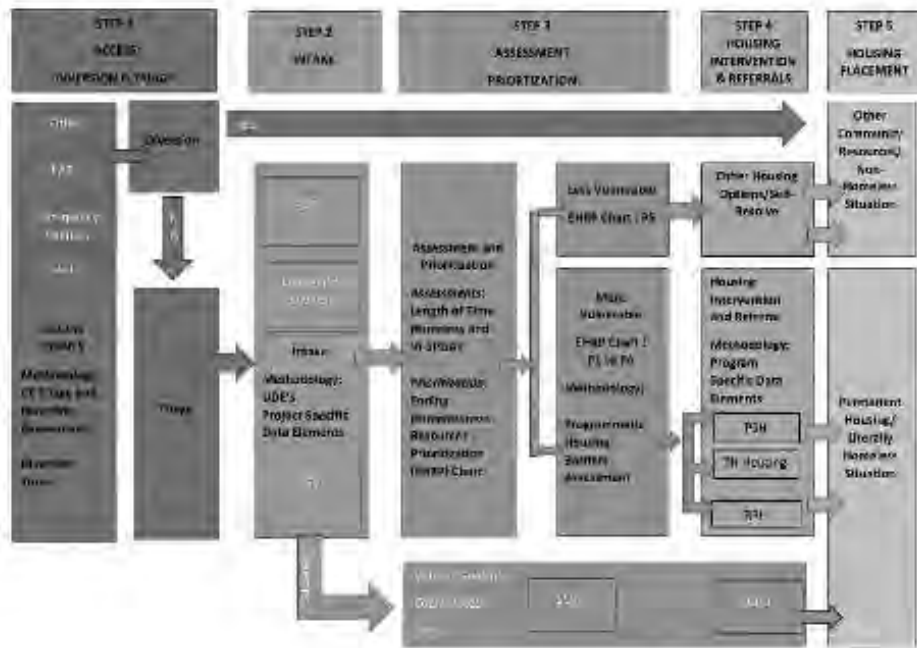
### Participant Evaluation

The MCoC will evaluate the effectiveness of its CES using participant feedback, including:

- Appropriateness of questions asked on assessment;
- Effectiveness of process to find and secure referrals; and
- Satisfaction with placement.

# MCOE COORDINATED ENTRY SYSTEM PROCESS

The four (4) Core Elements of Coordinated Entry: Access, Assessment, Prioritization, and Referral are represented in Maine's 5 Step CES process and visually outlined in the tool below. The concepts are taken from the HUD TA booklet, Coordinated Entry Core Elements, and the Maine Uniform Assessment Tool for Coordinated Entry.



## Step 1: Access

Individuals experiencing homelessness, or who are at risk of homelessness, can easily access the MCoC CES by calling 211 Maine, presenting in-person at their local Emergency Shelter, or engaging with a PATH or other local outreach provider.

The first Coordinated Entry Triage and Diversion Assessment question will determine if the caller is fleeing a domestic violence (DV) situation and in need of DV specific resources. Callers needing, and desiring, this service will be given the immediate option to be referred to the State's DV crisis line and personal identifying information will not be collected or shared. No

participant who is, or has been, a victim of domestic violence, dating violence, sexual assault or stalking will be denied access to the CES.

Individuals who do not identify as needing, and desiring, specific DV resources will be asked if they consent to the collecting and sharing of information via HMIS for the purposes of coordinating resources through the CES process. Individuals who do not consent to HMIS data sharing and collection will be referred to resources utilizing 211's internal system, and personal information will not be collected or shared using HMIS. Regardless, all individuals will have the same access to resources as individuals who elect to enter and share data.

Individuals who choose not to participate in data collection upon initial assessment or project entry may later decide that their information can be collected, entered, and shared in HMIS. Participant data in HMIS can be updated at any time to reflect emergence of new information, corrections to previously collected information, or additions of previously unanswered questions. CES participating providers should continuously work to improve participant engagement strategies to achieve completion rates of required HMIS data elements that are as high as possible.

**Access via 211:** The 211 hotline provides access to basic CE intake services 24 hours a day and is accessible from any location within the CoC. If an individual accesses CES via 211 Maine, the caller will be asked a series of questions utilizing the standardized CES Initial Triage and Diversion Assessment in HMIS. See Appendix A.

Individuals identified as literally homeless and/or individuals whose needs cannot be met through the Diversion Assessment, will be referred to the appropriate emergency shelter based on household composition, gender, age, and geographic preference. The referral will be facilitated via a warm hand-off telephone call to the shelter, and client information will be entered into HMIS by 211, via the Coordinated Entry Initial Triage and Diversion Assessment. 211 is available all hours of the day throughout the year to connect people with emergency services.

When a referral to an emergency shelter is not accepted by the individual, the individual will be offered a service only outreach referral to a PATH or SSVF (Veteran-specific) provider. The referral will be facilitated via a warm hand-off telephone call, and an email that will be generated in HMIS. If outreach workers are not available at the time of referral, they will contact the client as soon as practicable.

All individuals who access the CES will receive additional referrals to General Assistance and 211 to maximize client choice.

All diversion and homeless prevention referrals will be processed by 211 utilizing their internal system for tracking and reporting. Access points will coordinate information and referrals back and forth to ensure people at imminent risk of homelessness are provided coordinated access to CES participating homeless prevention services, regardless of where the participant first contacts the CES.



In the event prospective participants attempt to access designated access points during non-business hours, those persons will still be able to access emergency shelter without first receiving an assessment through coordinated entry. CE screening and assessment will be completed on all ES participants as quickly as possible.

**Access via Emergency Shelter/PATH/Other Outreach Provider:** Individuals presenting directly at an emergency shelter, or with an outreach provider in the community, will be asked a series of triage and diversion questions utilizing the CES Initial Triage and Diversion Assessment, with data collection occurring in HMIS. Individuals identified as literally homeless, and/or individuals who cannot be diverted from homelessness whose emergency needs can be addressed by the provider completing the assessment will proceed directly to *Step 2 of the CES*, Intake.

Individuals identified as literally homeless, and/or individuals who cannot be diverted from homelessness, and cannot be served by the provider completing the assessment, will be referred to the appropriate emergency shelter and/or outreach provider. The referral will be facilitated via a warm hand-off telephone call and client information and referral information will be entered into HMIS.

Street outreach teams will be trained on CE and the CES Initial Triage and Diversion Assessment process, which they will be able to facilitate and complete with participants they contact through their street outreach efforts. Street outreach teams will be considered an access point for the CES.

In accordance with training, any person conducting the CES Initial Triage and Diversion Assessment will make every effort to understand the sensitivity of a client's lived experiences in every aspect of the process to minimize risk and harm.

## Step 2: Intake

Once an individual has entered the CES through a CES Access point, the individual will proceed with the specific project's intake procedure. Project-Specific Data Elements and Universal Data Elements will be entered in HMIS in accordance with the MCoC Data Standards. SSVF providers engaged with Veterans will proceed with the Veteran Specific Coordinated Entry System as outlined in Appendix I. Upon completion of project intake, individuals will proceed to Step 3 of the CES, Assessment and Prioritization.

## STEP 3: Assessment and Prioritization

STEP 3 encompasses both Assessment and Prioritization.

### Assessment

Once clients have been engaged, all persons served by CE will be assessed for Length of Time Homeless and Vulnerability.



*Length of Time Homelessness:* Length of Time Homeless is determined by HMIS data, third-party verification, or self-certification in accordance with 24 CFR 576.500 and HUD Notice CPD-14-012. The assessment is conducted by a provider who has been trained to use HMIS and other the tools by the CoC, or its designee.

*Vulnerability:* Vulnerability is determined through a vulnerability assessment, primarily the VI-SDPAT (see below for alternative assessments). The VI-SDPAT is administered by providers for people experiencing homelessness, in accordance with the Written Standards, and is the approved vulnerability tool for ESG and SSFV providers, among others. Based on the specific set of questions inherent in the tool, an individual will be given a score. Participants have the right to refuse to answer any assessment questions. Trained providers, in their professional capacity, can adjust the score if a client is unable to answer, or accurately answer, the questions. The VI-SDPAT can only be conducted by a provider who has been appropriately trained to use this tool.

CES participating providers must use the standardized assessment methodology, to ensure that all persons served are assessed in a consistent manner, using the same process.

The ***combination of Length of Time Homelessness and Vulnerability*** documents a set of participant conditions, attributes, need level, and vulnerability, allowing the CES participating providers to identify a service strategy and housing plan according to need.

Alternative assessments, such as the Level of Care Utilization System (LOCUS) and the Adult Needs and Strengths Assessment (ANSA), may be used for specific resources and are considered approved, standardized assessment tools. These tools can help to identify and prioritize needs for resources offered through the Department of Health and Human Services, including subsidies and service supports.

### Participant Consent

As part of the assessment process, participants will be provided with a written copy of the CoC's "Participant Consent" form (aka., the Maine HMIS Authorization for Disclosure of Health and/or Personal Information form, and Exhibit A), which identifies what data will be collected, what data will be shared, agencies with whom the data will be shared, and the purpose of said data sharing. Participants will have the option to decline sharing data. Refraining from data sharing does not affect eligibility for CES, or the resources which it encompasses. Please see Appendix J for a copy of the CoC's "Participant Consent" form.

### Updated Participant Information

Individuals who choose not to participate in data collection upon initial assessment or project entry may later decide that their information can be collected and entered into HMIS. Participant data in HMIS can be updated after an initial CE data collection period, and throughout project enrollment to reflect emergence of new information, corrections to previously collected information, or additions of previously unanswered questions. CES

participating providers should continuously work to improve participant engagement strategies to achieve completion rates of required HMIS data elements that are as high as possible.

## Prioritization

The prioritization for PSH is consistent with HUD's Prioritization/PSH Notice. Individuals eligible for PSH will be prioritized for available housing resources based on the following criteria (applying the definition of chronically homeless set by HUD in its December 2015 Final Rule).

Appendices B, C, and D; and Appendix E is a table summary of the basic priority order per HUD Notice CPD 14-102.

Prioritization Standards for PSH, TH, RRH, and other housing interventions/resources are outlined in Appendix F, Ending Homelessness Resources Prioritization (EHRP) Chart.

Once assessed for Length of Time Homeless and Vulnerability, providers will utilize the Ending Homelessness Resources Prioritization (EHRP) Chart (Appendix F) to prioritize individuals for available resources.

Individuals assessed as *Less Vulnerable*, defined as Priority 5 (P5) on the EHRP Chart, will proceed to STEP 5.

Individuals assessed as *More Vulnerable*, defined as Priorities 1 through 4 (P1-P4) on the EHRP Chart, may complete a housing barriers assessment prior to proceeding to STEP 4.

## STEP 4: Housing Intervention and Referral

Individuals identified as *Less Vulnerable* in Step 3, defined as P5 on the EHRP Chart, will be referred to other community resources if they cannot self-resolve their housing crisis with little to no assistance.

Individuals identified as *More Vulnerable* during Step 3, defined as P1-P4 on the EHRP Chart, will be referred to appropriate housing resources, including but not limited to Permanent Supportive Housing (PSH), Transitional Housing (TH), or Rapid Re-Housing (RRH) projects. Prioritization Standards for referrals are described in Maine's Ending Homeless Resources Prioritization Chart (Appendix F).

- If a housing project accepts a referral and there is immediate availability, the individual will be enrolled in the project and their Project Specific Data Elements will be entered into HMIS.
- If a housing project accepts a referral, but it cannot be immediately accessed due to a lack of availability, either due to project capacity or due to individual's choice to reject the referral, the individual will be placed on appropriate project waitlists as applicable.

CES participating providers will continue to work with clients to monitor individual programmatic waitlist activity and make connections with other community resources.

## Referral Rejection

**Participant Declined Referrals:** Individuals and families will be given information about the programs available to them and provided choices, whenever feasible, based on assessment information, vulnerability and need scores, preliminary eligibility pre-determinations, and available resources. Of the options available, individual choice will be honored whenever possible regarding to which project to be referred. If an individual or family declines a referral to a housing program, the provider will provide other options suitable to meet their needs.

**Project Declined Referral:** Refusals by projects are acceptable only in certain situations, including these:

- The person does not meet the project's eligibility criteria;
- The person would be a danger to self or others if allowed to stay at this project;
- The services available through the project are not sufficient to address the scope and/or acuity the person or family's needs; or
- The project is at capacity and is currently unable to accept referrals.

For all other justifications, as specified by the "referred to" project, the project must communicate the refusal to the CE Committee Chair within 5 business days of declining the referral. The project must notify the CE Committee Chair as to why the referral was rejected, how the referred individual was informed, what alternative resources were made available to the individual, and whether the project staff foresee additional, similar refusals occurring in the future. This information will then be shared by the CE Committee Chair with the CE Committee, which will discuss and decide upon the most appropriate next steps for both the project and the individual.

## STEP 5: Housing Placement/ Non-Homeless Situation

Once an individual has moved into permanent housing, or another non-homeless situation, the CES participating provider will exit the client from its program in HMIS when and as applicable in accordance with HMIS Policies and Procedures.

## Appendices

- Appendix A: Triage and Diversion Assessment and Referral Appendix
- Appendix B: Order of Priority in COC program-funded Permanent Supportive Housing
- Appendix C: Order of priority in CoC program funded PSH Beds Dedicated to Persons Experiencing Chronic Homelessness and PSH Prioritized for Occupancy by Persons Experiencing Chronic Homelessness
- Appendix D: Order of Priority in PSH Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness
- Appendix E: Coordinated Assessment Priority Status Guidelines for COC Housing Resources
- Appendix F: Maine Ending Homelessness Prioritization Chart and Guide
- Appendix G: Terms and Definitions
- Appendix H: Coordinated Entry System Roles
- Appendix I: Veteran CES Policy and Procedure
- Appendix J: HMIS Release of Information

## Appendix A: Triage and Diversion Assessment

### PRE-SCREEN (Non HMIS Questions)

1. **Before we get too far into this conversation, though it's a difficult question, it would be helpful to know if you are fleeing or attempting to flee domestic violence, sexual assault, stalking, or sex trafficking because there are specific resources that might best fit your situation.**

- No (Continue to the next question)
- Yes (Stop→ If household would prefer to speak with a domestic violence provider, call local DV Hotline)

Script: Next, I need a bit more information about you. We collect personal information about the people we serve in a computer system called HMIS (Homeless Management Information System). Many agencies, who work with people experiencing homelessness, use this computer system. Do you give your consent to add your personal data into the system and share it in order to connect you with resources that best meet your needs?

- No (Stop→ Individuals who do not consent to HMIS data sharing and collection will be referred to resources utilizing the 211 internal system and personal information will not be collected or shared using HMIS.)
- Yes (Continue to the next question. If completing assessment in person, collect signed HMIS ROI from client.)

### HMIS ENTRY SCREEN

Project Start Date: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last Name: \_\_\_\_\_ Suffix: \_\_\_\_\_

#### Name Type:

- Full Name Reported
- Partial, Street Name, or Code Name Reported
- Client Doesn't Know
- Client Refused
- Data Not Collected

SSN: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

#### SSN Type:

- Full
  - Approximate/Partial
  - Client Doesn't Know
  - Client Refused
  - Data Not Collected

**U.S. Military Veteran? (clients 18 and older)**

- Yes
- No
- Client Doesn't Know
- Client Refused
- Data Not Collected

**DEMOGRAPHIC**

1. (If by phone) In case we get disconnected, what's the best way to reach you?  
 \_\_\_\_\_ (phone number)
  
2. Date of Birth  
 \_\_\_\_\_ (Date)
  
3. If under 18, are you legally emancipated?  
 Yes  
 No
  
4. Gender  
 Female  
 Male  
 Trans Female (MTF or Male to Female)  
 Trans Male (FTM or Female to Male)  
 Gender non-conforming (IE not exclusively male or female)  
 Client Doesn't Know  
 Client Refused  
 Data Not Collected
  
5. How many members in your household are in need of service? \_\_\_\_\_  
 How many members are adults? \_\_\_\_\_  
 How many members are children (under the age of 18)? \_\_\_\_\_
  
6. Caller Town  
 *(Drop down of 450 something towns)*
  
7. Where did you sleep last night? Residence Prior to Project Entry

**HOMELESS SITUATION**

- Place Not Meant for Habitation
- Emergency Shelter, including hotel or motel paid for with emergency shelter voucher
- Safe Haven

**INSTITUTIONAL SITUATION**

- Foster Care Home or Foster Care Group Home
- Hospital or other Residential Non-Psychiatric Medical Facility
- Jail, Prison or Juvenile Detention Facility
- Long-Term Care Facility or Nursing Home
- Psychiatric Hospital or Other Psychiatric Facility
- Substance Abuse Treatment Facility or Detox Center

**TRANSITIONAL AND PERMANENT HOUSING SITUATION**

- Hotel or Motel Paid for without an Emergency Shelter Voucher
- Owned by Client, No Ongoing Housing Subsidy
- Owned by Client, with Ongoing Housing Subsidy
- Permanent Housing (other than RRH) for Formerly Homeless Persons
- Rental by Client, No Ongoing Housing Subsidy
- Rental by Client with VASH Subsidy
- Rental by Client with GPD TIP Subsidy
- Rental by Client with Other Ongoing Housing Subsidy (including RRH)
- Residential Project or Halfway House with no Homeless Criteria
- Staying or Living in a **Family** Member's Room, Apartment or House
- Staying or Living in a **Friend's** Room, Apartment or House
- Transitional Housing for Homeless Persons (includes homeless youth)
- Client Doesn't Know
- Client Refused
- Data Not Collected

**A. DIVERSION**

Directions: Attempt to problem solve with the client to determine if there are any support networks or resources the household can draw on. If the client is eligible for available non-financial and/or financial resources in the community, make a referral.

Script: *I'd like to talk about whether there are any available resources to help you stay in a safe place tonight.*

8. If under 18, are you working on reuniting with your family?
- Yes
  - No
- If yes, Can you stay with family tonight?
- Yes
  - No

9. (If literally homeless, skip and go to the next question)  
Was where you stayed last night a safe location that you can return to?
- Yes
  - No
  - N/A
10. Do you have any resources to pay for a place to stay tonight?
- Yes
  - No
11. (If literally homeless) Will any type of assistance help you to stay in a safe location?
- Yes
  - No
    - If yes, what assistance is needed? \_\_\_\_\_
    - If yes, where is that safe location? \_\_\_\_\_
12. (All other clients) Will any type of assistance help you remain where you stayed last night or in another safe location?
- Yes
  - No
    - If yes, what assistance is needed? \_\_\_\_\_
    - If yes, where is that safe location? \_\_\_\_\_
13. Have you applied for General Assistance in your community?
- Yes
  - No
14. Has any service provider (ie case manager, social worker etc.) been helping you recently?  
Direction: If yes, obtain verbal permission, and have interviewer contact service provider
- Yes
  - No
15. (Answer question without asking client): Did the Diversion of Assessment resolve the client's immediate needs?
- Yes
  - No

**If yes, end assessment and proceed to referrals**  
**If no, continue with assessment**



## B. SHELTER ELIGIBILITY

16. What is your preferred community for shelter?  
→ Drop down menu: Counties, regions and no preference.

Based on your current needs, I will now check to see what emergency shelter(s) and/or providers may be able to provide you with assistance. Each shelter or program has different eligibility criteria but I can connect you with them by phone so that you can get more information about that criteria and their current bed availability. If you arrive in person without first calling the provider, you may not have access to a bed.

TRIAGE AND DIVERSION ASSESSMENT: REFERRAL APPENDIX

<p><b>Region 1</b>                  City of Portland Family Shelter (Family)                  207-772-8339                  Portland, ME                  City of Portland Oxford Street (Adult)                  207-761-2072                  Portland, ME                  Preble Street Florence House (Women)                  207-699-4392                  Portland, ME                  Preble Street Joe Kreisler Teen Shelter (Youth)                  207-775-0026                  Portland, ME                  York County Family Emergency Shelter (Family)                  207-324-1137                  York, ME                  York County Shelter Programs Adult Shelter (Adult)                  207-324-1137                  York, ME</p>	<p><b>Region 2</b>                  Bread of life (Family)                  207-626-3479                  Augusta, ME                  Knox/Waldo Homeless Coalition-Hospitality House (Family)                  207-593-8151                  Rockport, ME                  Mid-Maine Homeless Shelter (Family)                  207-872-8082                  Waterville, ME                  RGH-Norway Family Center (Family)                  207-743-6363                  Rumford, ME                  RGH-Rumford Family Center Monier (Family)                  207-743-6363                  Rumford, ME                  RGH-Rumford Family Center Shelter (Family)                  207-369-9439                  Rumford, ME                  Rural Community Action Ministry Homeless Shelter (Family)                  207-524-5095                  Turner, ME                  Tedford Family Shelter (Family)                  207-729-1161x113                  Brunswick, ME                  Tedford Adult Shelter (Adult)                  207-729-1161x104                  Brunswick, ME</p>	<p><b>Region 3</b>                  Bangor Area Homeless Shelter (Adult)                  207-947-0092                  Bangor, ME                  Emmaus Homeless Shelter (Family)                  207-667-3962                  Ellsworth, ME                  HOME Inc-Dorr House Emergency Shelter (Men)                  207-469-7961                  Orland, ME                  HOME Inc-Duplex Orland Emergency Shelter (Family, Single women)                  207-469-7961                  Orland, ME                  HOME Inc-St Francis Inn (Family, Single women)                  207-469-7961                  Orland, ME                  Homeless Services of Aroostook-Sister Mary O'Donnell Shelter (Family)                  207-764-4125                  Presque Isle, ME                  Penobscot Community Health Center Hope House Emergency Shelter (Adult)                  207-217-5717                  Bangor, ME                  Shaw House Emergency Shelter (Youth)                  207-941-2874                  Bangor, ME</p>
<p>Outreach Providers, PATH:                  Aroostook Mental Health Center                  207-498-6431                  Serves- Aroostook                  Community Health and Counseling                  207-947-0366                  Serves- Penobscot, Piscataquis, Hancock, Washington                  Catholic Charities Maine                  207-272-9210                  Serves- Androscoggin, Oxford, Franklin, Sagadahoc, Brunswick and Bridgton area of Cumberland  <b>Kennebec Behavioral Health</b>                  1-888-322-2136                  Serves- All counties</p>	<p>Outreach Providers, PATH:                  Opportunity Alliance                  207-523-5055                  Serves- Cumberland                  Sweetser                  (800) 434-3000                  Serves- York</p>	<p>Outreach Providers, SSVF                  Preble Street Veterans Housing Services                  800-377-5709                  Veteran's Inc                  800-482-2565</p>

## Appendix B: Order of Priority in CoC program-funded Permanent Supportive Housing

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

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

Appendix C: Order of priority in CoC program funded Permanent Supportive Housing Beds Dedicated to Persons Experiencing Chronic Homelessness and Permanent Supportive Housing Prioritized for Occupancy by Persons Experiencing Chronic Homelessness

**1st Priority: Chronically Homeless Individuals and Families with the Longest History of Homelessness and with the Most Severe Service Needs.**

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

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

**2nd Priority: Chronically Homeless Individuals and Families with the Longest History of Homelessness.**

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

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

**3rd Priority: Chronically Homeless Individuals and Families with the Most Severe Service Needs.**

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

1. The chronically homeless individual or head of household of a family has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter on at least four separate occasions in the last 3 years, where the total length of those separate occasions equals less than one year; and

2. The CoC or CoC program recipient has identified the chronically homeless individual or the head of household, who meets all of the criteria in paragraph (1) of the definition for chronically homeless, of the family as having severe service needs.

**4th Priority: All Other Chronically Homeless Individuals and Families.**

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

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

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

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

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

**1st Priority: Homeless Individuals and Families with a Disability with the Most Severe Service Needs.** An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter for any period of time, including persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution and has been identified as having the most severe service needs.

**2nd Priority: Homeless Individuals and Families with a Disability with a Long Period of Continuous or Episodic Homelessness.** An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months. This includes persons exiting an institution where they have resided for 90 days or less, but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution; and had been living or residing in one of those locations for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months.

**3rd Priority: Homeless Individuals and Families with Disability Coming from Places Not Meant for Human Habitation, Safe Havens, or Emergency Shelters.** An individual or family that is eligible for CoC Program-funded PSH who has been living in a place not meant for human habitation, a safe haven, or an emergency shelter. This includes persons exiting an institution where they have resided for 90 days or less, but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution.

**4th Priority: Homeless Individuals and Families with a Disability Coming from Transitional Housing.** An individual or family that is eligible for CoC Program-funded PSH who is coming from transitional housing, where prior to residing in the transitional housing lived on streets or in an emergency shelter, or safe haven. This priority also includes homeless individuals and homeless households with children with a qualifying disability who were fleeing or attempting to flee domestic violence, dating violence, sexual assault, or stalking and are living in transitional housing – all are eligible for PSH even if they did not live on the streets, emergency shelters, or in a safe haven.

Appendix E: Coordinated Assessment Priority Status Guidelines for ... Housing Resources

Basic priority order per HUD Notice CPD-14-012						
	Priority	Homeless Category	Length of Stay in Homelessness	Where Experiencing Homelessness	Severity of Service Needs	Documented Stability
Dedicated CH PSH Beds	1	Chronic - Individual or HHID with Children	> 12 Months Continuous OR Total of at least 9 Episodes Total > 12 months in 3 years	UNI, ES, SH	High - V-SPOAT Score of 10 or greater	Yes
	2	Chronic - Individual or HHID with Children	> 12 Months Continuous OR Total of at least 6 Episodes Total > 12 months in 3 years	UNI, ES, SH	Low-VI-SPOAT Score of 5 or greater	Yes
	3	Chronic - Individual or HHID with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UNI, ES, SH	High - V-SPOAT Score of 10 or greater	Yes
	4	Chronic - Individual or HHID with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UNI, ES, SH	Low-VI-SPOAT Score of 5 or greater	Yes
Committed CH Beds Created by Turnover (85% program goal)	5	Category 1 - Individual or HHID with Children	Any Length of Stay OR < 90 Days Institution	UNI, ES, SH OR Institution if UNI ES SH Prior to entry	High - V-SPOAT Score of 10 or greater	Yes
	6	Category 1 - Individual or HHID with Children	> or = 6 Months Continuous OR at least 3 episodes in 3 years > = 6 Months OR < 90 Days in Institution	UNI, ES, SH OR Institution if UNI ES SH Prior to entry	Low-VI-SPOAT Score of 5 or greater	Yes
	7	Category 1 - Individual or HHID with Children	Any time > 30 days OR < 90 Days Institution	UNI, ES, SH OR Institution if UNI ES SH Prior to entry	Low-VI-SPOAT Score of 5 or greater	Yes
	8	Category 1 - Individual or HHID with Children	Any Length of Stay > 14 Days	TH If previous UNI, ES, or SH (dependent on Funding source CoC or ESG)	Low-VI-SPOAT Score of 5 or greater	Yes

# Appendix F: Maine Ending Homelessness Resources Prioritization Chart and Guide

2018 Ending Homelessness Resources Prioritization Chart

N* = 6373	Resource Priority	Homeless Category	Parameters	Length of Time		Resources Prioritized
				N*	Homeless (in 12-month period)	
1576	P1	Long Term Stayers (LTS)/Chronically Homeless: Individuals	Greater or equal to 180 days in a 365-day period; and/or VI-SPDAT flagged (score >8) including medically compromised; LOCUS ≥ 17; LOCUS ≥ 23 for PNMI (requires ANSA)	70	≥ 180	PSH; Prioritized S+C vouchers, prioritized Section 8 vouchers (VNED); ESHAP, BRAP, GA (in conjunction w/ BRAP), PNMI (requires ANSA). For Vets: HUD/VASH with initial SSVF assistance; For people with substance use disorders: Recovery housing.
		Long Term Stayers (LTS): Families	Greater or equal to 180 days in a 365-day period; and/or VI-SPDAT flagged (score >8)	29	≥ 180	PSH; Section 8, ESHAP, GA, occasional S-C, BRAP. For Vets: HUD/VASH and SSVF, as family qualifies.
2246	P3	Domestic Violence Families & Individuals	Fleeing DV greater than 30 days; and/or VI-SPDAT flagged (score >3)	945	≥ 30	TSH (& PSH where appropriate); Section 8, BRAP, S-C, ESHAP, GA, STEP or HTS-HCV. For Vets: SSVF.
	P2**	Unaccompanied Youth Unable to be Reunited with their families <i>**Prioritize youth-specific resources for youth immediately</i>	Greater than 30 days; and/or VI-SPDAT flagged (score >3)	100	≥ 30	TSH (& PSH where appropriate); GA, ESHAP, Wrap funds, rent and security deposit for DHHS DCFS placements, RHYA resources, BRAP if over 18, STEP or HTS-HCV. For people with substance use disorders: Recovery housing.
	P2	Less than Long Term Stayers (LTS) Individuals & Families	Greater than 30 days but less than 180 days in a 365-day period and/or VI-SPDAT flagged (score >3)	285	≥ 30 & < 180	PH, TSH, (& PSH where appropriate); Section 8, BRAP, S-C, Wrap funds, ESHAP. For Vets: SSVF, or where appropriate HUD/VASH. For people with substance use disorders: Recovery housing.
	P4	People Discharged from Institutions	Greater than 90 days and exiting institutions to homelessness, LOCUS ≥ 17, LOCUS ≥ 23 for PNMI (requires ANSA)	80	≥ 90	PH, TSH, (& PSH where appropriate); BRAP, PNMI (requires ANSA), GA, SSVF, HUD/VASH
76.5 96	P5	Circumstantially Homeless	Less than 30 days & not flagged on VI-SPDAT	4327	< 30	Safety Net Resources (to solve circumstantial homelessness); GA, Family Promise. For Vets: SSVF. For people with substance use disorders: Recovery housing.
	P5	Unaccompanied Youth Working Toward Reunification/stability	Less than 30 days & not flagged on VI-SPDAT; RHYA Programs	537	< 30	Safety Net Resources (to assist unaccompanied youth toward family reunification/stability); RHYA resources, Section 13

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

\*Numbers are a snapshot as of July 1<sup>st</sup> of every year. They will be updated each July

KEY:	
• PSH – Permanent Supportive Housing	• PNMI – Private Non-Medical Institutions (ages 18+)
• TSH – Transitional Supportive Housing	• ESHAP – Emergency Shelter & Housing Assistance Program (Housing Navigator Stabilization)
• PH – Permanent Housing (general, non-programmatic)	• SSVF – Supportive Services for Veteran Families
• S+C – Shelter Plus Care	• STEP – Stability Through Engagement Program – Rapid Re-Housing (TBRA)
• HUD/VASH – Veterans Affairs Supportive Housing	• TBRA – Tenant Based Rental Assistance – Rapid Re-Housing
• BRAP – Bridging Rental Assistance Program	• HTS – Home to Stay – Rapid Re-Housing 18CV (Section 8 vouchers)
• GA – General Assistance	• VI-SPDAT – Vulnerability Index & Service Prioritization Decision Assistance Tool
• VNED – Vulnerable, Non-Elderly Disabled	• LOCUS – Level of Care Utilization System
• PATH – Projects for Assistance in Transition from Homelessness	• ANSA – Adult Needs and Strengths Assessment
	• RHYA – Runaway and Homeless Youth Act Services



### How to Use the Ending Homelessness Resources Prioritization Chart

The Ending Homelessness Resources Prioritization Chart is a guideline tool designed to see that people are matched appropriately with, and prioritized for, Maine's finite housing resources. In a nutshell:

- The relatively small group of people with the longest histories of homelessness and/or very complex circumstances underlying their homelessness are directed toward permanent supportive housing (PSH) resources, our most resource-intensive intervention.
- Conversely, the relatively large group of people with simple circumstances and brief experiences of homelessness are directed toward safety net resources, our least resource intensive intervention, to be rapidly rehoused.
- People with lengths of homelessness and/or levels of complexity of circumstances in between, depending on needs, are directed toward transitional housing (TH), and permanent housing (PH) for the most part, or in some cases PSH if that is warranted.

The Chart describes how this pertains to each population. There are eight Homeless Categories, and five Resource Priorities, into which the eight Homeless Categories fit. Columns are as follows:

- The "Homeless Categories" are generally listed from longest to shortest lengths of homelessness, and highest to lowest levels of vulnerability ("Resource Priority" P1 to P5).
- The "Resources Prioritized" are correspondingly listed from most intensive (PSH) to least intensive (Safety Net Resources).
- The "Parameters" column further defines each Homeless Category and its corresponding priority, and includes tools and benchmarks to assist in making this determination. Length of homelessness is the first listed parameter, followed by assessment tools and guideline assessment score ranges.
- The "Length of Time Homeless (in a 12-month period)" column discerns length of homelessness in days.
- "N" refers to people in each category per HMIS numbers for the latest year.

Analysis of HMIS data from MaineHousing staff has shown that length of homelessness frequently correlates with VI-SPDAT score ranges. For instances when this is not the case, the Ending Homelessness Resource Prioritization Chart Parameters allow for latitude to ensure very vulnerable populations, who have not yet met the length of homelessness criteria, are appropriately prioritized for resources based on vulnerability assessment. People who are Veterans, elderly, experiencing mental illness, experiencing substance use disorders, and/or medically compromised could fit into any Homeless Category and corresponding Resource Priority, as applicable (i.e., Veterans could fit into any category except <18 aged youth).

In summary, each "Homeless Category" has a corresponding "Resources Prioritized"; people are prioritized for housing resources, and referrals are made, accordingly. People categorized as P1 and P2 would be prioritized for, and be referred to, Permanent Supportive Housing (PSH) programs (the prioritization for PSH is consistent with HUD's Prioritization/PSH Notice). People categorized as P3 would be prioritized for, and referred to, Transitional Supportive Housing (TSH) programs (and PSH programs, where appropriate). People categorized as Priority 4 would be prioritized for, and referred to, general, non-programmatic permanent housing, and TSH (and where appropriate PSH). People categorized as P5 would be prioritized for, and referred to, existing safety net resources to assist with solving their homelessness.

## Appendix G: Terms and Definitions

<b>Chronically Homeless</b>	<p>HUD's definition:  <i>Chronically homeless</i> means: (1) A "homeless individual with a disability," as defined in Section 401(9) of the McKinney-Vento Homeless Assistance Act, who:</p> <ul style="list-style-type: none"> <li>i. Lives in a place not meant for human habitation, a Safe Haven, or an emergency shelter; AND</li> <li>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.</li> </ul>
<b>Case Conferencing</b>	<p>Local process for CE participating providers 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.</p>
<b>Continuum of Care (CoC)</b>	<p>Group responsible for the implementation of the requirements of HUD's CoC Program Interim rule. The CoC is composed of representatives of organizations, including nonprofit providers of services and/or housing for people experiencing homelessness, 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 people who are currently experiencing, or have a history of, homelessness.</p>
<b>Continuum of Care Program</b>	<p>HUD-funded program to (1) promote communitywide commitment to the goal of ending homelessness; (2) provide funding for efforts by nonprofit providers, and state and local governments, to quickly rehouse individuals and families experiencing homelessness while minimizing the trauma and dislocation caused to individuals, families, and communities by homelessness; (3) promote access to and effect utilization of mainstream programs by individuals and families experiencing homelessness; and (4) optimize self-sufficiency among individuals and families experiencing homelessness.</p>
<b>Emergency Shelter</b>	<p>Short-term emergency housing available to persons experiencing homelessness.</p>
<b>Emergency Solutions Grant (ESG) Program</b>	<p>HUD-funded program to (1) engage individuals and families experiencing homelessness, including those living on the street; (2) improve the quantity and quality of emergency shelters for individuals and families experiencing homelessness; (3) help operate these shelters; (4) provide</p>

	essential services to shelter residents; (5) rapidly rehouse individuals and families experiencing homelessness; and (6) prevent families and individuals from becoming homeless.
<b>Homeless Prevention</b>	Housing relocation and stabilization services as necessary to prevent the individual or family from moving to an emergency shelter or a place not meant for human habitation.
<b>Homeless Management Information System (HMIS)</b>	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.
<b>Projects for Assistance in Transition from Homelessness (PATH)</b>	Substance Abuse and Mental Health Services Administration (SAMHSA)-funded program to provide outreach and services to people with serious mental illness (SMI) who are homeless, in shelter or on the street, or at imminent risk of homelessness.
<b>Public Housing Authority (PHA)</b>	Local entity that administers public housing and Housing Choice Vouchers (HCV) (aka Section 8 vouchers).
<b>Permanent Supportive Housing (PSH)</b>	Permanent housing with indefinite leasing or rental assistance paired with supportive services to assist people experiencing homelessness with a disability, or families with an adult or child member with a disability, achieve housing stability.
<b>Rapid Re-Housing (RRH)</b>	Program emphasizing housing search and relocation services and short- and medium-term rental assistance to move persons and families experiencing homelessness (with or without a disability) as rapidly as possible into permanent housing.
<b>Release of Information (ROI)</b>	Written documentation signed by a participant to release personal information to authorized partners.
<b>Transitional Housing (TH)</b>	Program providing individuals and families experiencing homelessness 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.

## Appendix H: Coordinated Entry System Roles

<b>CoC Board of Directors</b>	Responsible for the general oversight of the CES, including the approval of the CE Policies & Procedures document.
<b>Collaborative Applicant</b>	Entity that must (at the request of the CoC Board and on behalf of the CoC) apply for certain types of HUD funding, including funding for coordinated entry and planning grants.
<b>HMIS Lead Agency</b>	Operates the Homeless Management Information System 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. The HMIS Lead designated by the CoC may apply for CoC Program funds to establish and operate its HMIS.
<b>Participant</b>	An individual or family which accesses the CES, at any step in the process. "Participant" encompasses people for whom the following commonly used terms could apply: Client, resident, guest, etc.
<b>CES Participating Provider</b>	Provider agency or organization that has agreed to provide supports/services to people experiencing homelessness on behalf of the CoC. A CES participating provider must execute a CE Participation Agreement with the CoC. The Participation Agreement outlines the standards and expectations for the project's participation in, and compliance with, the policies and procedures governing the CES operations. In order to receive CoC or ESG Program funding from HUD, entities are required to participate in coordinated entry.
<b>Referral Partner</b>	A type of CES participating provider. Referral partners will receive and consider referrals for their project(s) from the CES. They will sign a Referral Partner Agreement with the CE management entity affirming it is aware of, and will adhere to, all expectations for coordinated entry.
<b>Mainstream Services Provider</b>	Agency or entity that can provide necessary services or assistance to people served by coordinated entry. Examples of mainstream service providers include, but are not limited to, hospitals, mental health agencies, employment assistance programs, and schools.
<b>U.S. Department of Housing and Urban Development (HUD)</b>	Federal agency responsible for administering housing and homeless programs including the CoC and ESG Programs.
<b>U.S. Department of Veteran Affairs (VA)</b>	Federal agency responsible for providing health care and other services, including assistance to end homelessness, to Veterans and their families.

## Appendix I: Veteran CES Policy and Procedure

### Integration with Coordinated Entry & Veteran Coordinated Outreach, Assessment, Screening and Denials of Service Policy and Procedure

#### Policy

It is the policy of the members within the Maine Homeless Veteran Action Committee (HVAC) to collaborate in identifying Veterans as the veteran subcommittee of the COC that collaborates with the state-wide Coordinated Entry System (CES). It is with the help of Maine HVAC that Veteran's experiencing homelessness, will be rapidly outreached and engaged to coordinate services of their choice. By allocating resources based on Veteran vulnerability and Veteran preference so that when a Veteran becomes homeless, it is rare, brief and nonrecurring. The following procedure outlines the Maine HVAC's integration with the Maine COC CES and veteran coordinated, outreach, assessment, screening, program denial, program exits and program absences.

#### Procedure

##### A. Integration with Statewide Coordinated Entry and Coordinated Outreach

- 1) At initial contact, veterans who enter coordinated entry will be entered into the Homeless Management Information System (HMIS) by 2-11 or a responding community provider at presentation with a housing emergency. At this initial entry into the coordinated entry system for assistance with a housing emergency/crisis, the veteran will be provided with two referral resources:
  - a. An emergency shelter or other provider to address immediate shelter or safety concerns.
  - b. One of two Supportive Services for Veteran Families providers, based on the veterans presenting region to provide outreach, veteran specific program eligibility screening and housing resource navigation.

<b>Support Services for Veterans and Families (SSVF)</b>
Veterans Inc. 207-298-0458
Preble Street 1-800-377-5709

- 2) When a call comes in to any of the above stated agencies the next step is to coordinate outreach and engagement efforts consistent with the following procedure for Outreach, Assessment, Screening and Denials.

- 3) If a veteran contacts any member of the HVAC Committee, that committee member commits to ensuring the veteran is entered into the statewide coordinated entry system either by entering the client directly into HMIS using the Coordinated Entry Fields, contacting 211 with the client or connecting the client with an HVAC member who is able to enter the client into HMIS.
- 4) If the above agencies, in coordination with other members of ME HVAC, are unable to verify veteran status, the ME HVAC will coordinate with other community homeless service providers to ensure the client is connected with an appropriate homelessness intervention.

**B. Veteran Coordinated Assessment, Screening and Prioritization**

- 1) Any Veteran, Agency, Community Provider or Community stakeholder can call or contact any of the below Veteran Homeless Providers (VHP) to connect a literally homeless Veteran to homeless assistance services.

Support Services for Veterans and families (SSVF)	VA Maine Healthcare for Homeless Veterans	Homeless Veteran Reintegration Project
Veterans Inc. 207-298-0458  Preble Street 1-800-377-5709	1-877-424-3838	Easter Seals 207-828-0754 ex 1004
	<b>Grant and Per Diem-            Transitional Housing            Programs</b> Veterans, Inc 207-298-0458  Volunteers of America 207-571-3359	

- 2) When a call comes in to any of the above stated agencies the next step is to coordinate outreach and engagement efforts.
  - a. Outreach and Engagement
    - i. Attempts to contact the presenting veteran within 1 business day, with outreach occurring within 3-4 business days. Homelessness is treated as an emergency and outreach is a rapid response to engage literally homeless veterans before location or contact information changes.
    - j. The goal of Outreach is to engage a Veteran to:
      - a. Assess immediate basic needs i.e. food, clothing, and shelter.
      - b. Assess a Veteran's vulnerability.
        - i. Vulnerability will be assessed using the Vulnerability Index-Services Prioritization and Decision Assistance

Tool (VI-SPDAT). This assists in prioritizing a Veteran and guides them to the appropriate homeless intervention.

- iv. Complete the Uniform Coordinated Assessment Packet (UCAP).
- ii. If any of the above agencies receives a call from a Veteran who is experiencing unsheltered homelessness or is staying in a place not meant for human habitation, then the veteran will be immediately offered a referral to one of the veteran specific transitional housing programs to help address the immediate basic need for shelter.
- iii. If any of the above agencies receives a call or encounters a Veteran but does not have the capacity to respond quickly (within 3-4 business days) that agency will identify these veterans for weekly veteran case consultation by contacting the HVAC committee chair or officer leading case consultation chair and/or emailing representatives from the above providers to coordinate outreach.
- iv. The agency responding to the call for Veteran engagement:
  - i. Reply to all entities represented on the initial request ensuring that multiple agencies are not responding to a single Veteran in need.
  - ii. The responding agency will reach out to the referring agency's POC to ascertain more detailed information about the Veteran's current housing situation.

## 2) Uniform Coordinated Assessment and Vulnerability Prioritization

- a. Any HVP that outreaches and engages a Veteran will need to begin the Uniformed Coordinated Assessment Packet (UCAP). Following the script, a Veteran will be asked "where do you sleep most frequently."
  - i. If the Veteran reports to be literally homeless, i.e., staying in a publicly run shelter, a place not meant for human habitation, safe haven or transitional housing program (Not Grant and Per Diem) the agency will proceed to complete the UCAP.
    - i. NOTE: If a Veteran is not literally homeless:
      - a. And the agency has prevention services proceed with project specific assessment and enrollment
      - b. If agency doesn't have prevention services then refer to your local SSVF provider for navigation and resources. Contact information for SSVF providers is stated above.
  - ii. Any Veteran that has been engaged and reports to be literally homeless, the HVP will complete a Uniformed Coordinated Assessment Packet (UCAP):
    - i. UCAP includes:
      - a. Homeless Management Information System's Universal Data Elements

- b. Vulnerability Index-Services Prioritization and Decision Assistance Tool (VI-SPDAT): This assists in prioritizing a Veteran and guides them to the appropriate homeless intervention.
- c. Interim Housing Plan or Interim Housing Track
- d. Homeless Management Information System Release
- e. Agency specific release.
  - i. NOTE: Agency specific release(s) will not be provided in the UCAP and should include a section denoting a Veteran's willingness to participate in the Coordinated Assessment process.
- ii. At the completion of the UCAP, the HVP will obtain a VI-SPDAT score. This score will be the primary tool to determine prioritization and referral for permanent housing offers.
  - a. The VI-SPDAT score identifies the appropriate initial permanent housing intervention. Referral for eligibility determination and offers of permanent housing interventions are stratified as follows:
    - i. **0-3**  
No or light intervention – Rapid Rehousing Intervention (SSVF or Community Funded)
    - ii. **4-7**  
Rapid Re-housing Intervention (SSVF or Community Funded)
    - iii. **8+**  
Refer to Permanent Supportive Housing Project (VA HUD VASH or Community Funded Program)
- iii. In the rare event that multiple UCAPs are completed by multiple agencies for one homeless episode then the UCAP with the earliest date will drive the intervention.
- iv. The need for transitional housing is not assessed through the VI-SPDAT and referrals to transitional housing (GPD) will be based on initial provider assessment in collaboration with transitional program (GPD) staff, the GPD Liaison and the client.
- v. Enrollments in GPD can exist in parallel to enrollments with SSVF or HUD VASH in compliance with applicable program guides.

<b>Grant and Per Diem-Transitional Housing Programs</b>
Veterans, Inc. - 207-298-0458 Volunteers of America - 207-571-3359



## C. Veteran Project Entry

### 3) Project Entry

- a. Decision for Veterans that score between 0 and 7
  - i. If SSVF has the initial engagement they can proceed with an offer of entry into their program and if accepted begin their program specific enrollment process.
  - ii. When GPD has the initial engagement:
    - i. If the veteran is to be accepted in the GPD program, the GPD program should coordinate with SSVF program staff within 3-4 business days of entry into GPD. If the client is determined to be ineligible for SSVF than an alternative permanent housing plan must be identified with the veteran in the first 15 days with an offer to come within the first 30 days.
    - ii. If the veteran is not to be accepted into GPD, the GPD provider will
      - a. contact any of the SSVF providers within 3-4 business days
      - b. Maintain contact with the Veteran and ensure the referral was picked up at case consultation.
  - iii. If the Veteran is initially engaged by HCHV service provider will need:
    - i. To contact any of the SSVF providers within 3-4 business days
    - ii. Maintain contact with the Veteran and ensure the referral was picked up at case consultation.
- c. Decision for Veteran that score 8 or more
  - i. If the SSVF or GPD has the initial engagement and the Veteran scores an 8 or above then the Veteran is offered a referral to the Department of Veteran's Affairs Healthcare for Homeless Veterans (HCHV) program through the HCHV Hotline or during case consultation meeting whichever is sooner within 3-4 business days.
    - i. When referring the Veteran to the Healthcare for Homeless Veterans the veteran or referring agency will need to provide the following information:
      - a. Name
      - b. Date of initial engagement
      - c. Best way(s) to contact the Veteran
        - i. NOTE: In most instances this can and should be the referring person's contact information.
- d. Providers who refer identified veterans to another project will continue to engage the Veteran to assist with coordinating a warm hand-off for housing intervention.
  - i. Services during this transition include ordering of service record DD-214s, Completing 10-10 EZs, transportation to and from HCHV appointments, financial documentation and birth certificates.

- ii. IT SHOULD NOT INCLUDE: Housing goals and navigation except as a part of coordination through case consultation).
- e. For Veterans who are identified through Coordinated Entry that articulate a desire for part time or fulltime employment as a part of their overall housing stability plan should be referred as quickly as possible to a Homeless Veteran Reintegration Program prior to their homelessness being resolved.

<b>Homeless Veteran Reintegration Project</b>
Easter Seals of Maine 207-828-0754 ex 1004

**D) Veteran Project Denial, Program Capacity denials and or Project Enrollment Termination.**

- 4) Veteran Ineligibility and or Denial of Project Entry
  - a. If a veteran is not entered into a program due to eligibility, program capacity limitations and/or by veteran choice, then that program is responsible for bringing the veteran to case consultation.
  - b. During case consultation the committee will be responsible for identifying a new permanent housing point of contact.
  - c. If a point of contact is unable to be established through case consultation due to eligibility or program capacity limitations the individual is to be referred to a CoC Navigator or PATH provider for services as outlined in the Maine CoC's Coordinated Entry Policies and Procedures.
- 5) Project Termination:
  - a. If a veteran is facing a discharge from any HVAC participating program, that program must at a minimum provide 48 hours' notice to the HVAC committee. Best practice is to provide 7 days' notice to the HVAC committee in all cases that do not involve an immediate safety concern.
  - b. At case consultation a new intervention plan will be established and a new permanent housing point of contact will be identified.
- 6) Unexpected absence from a program
  - a. If a veteran leaves a program without notifying staff of their location or plan, the HVAC committee will be notified within 48 hours. Through case consultation a new outreach plan will be established to attempt to reconnect with the missing veteran.



MAINE HOMELESS MANAGEMENT INFORMATION SYSTEM

AUTHORIZATION FOR DISCLOSURE OF HEALTH AND/OR PERSONAL INFORMATION

For: \_\_\_\_\_ (First Name) (Middle) (Last Name) (Date of Birth)

READ FIRST: \_\_\_\_\_ ("Participating Agency") participates in a federally funded Maine State Housing Authority ("MaineHousing") program for persons who are homeless. Such participation includes collecting and entering into a Maine Homeless Management Information System ("HMIS") certain personal and demographic information...

By signing below, I acknowledge, understand and agree that:

- My and my dependent children's (identified below) personal and health care information and records are protected by federal and state laws and regulations governing the confidentiality of client records and cannot be disclosed without my written authorization...
Unless I strike out this notation, I intend for this authorization to include disclosure of (i) my mental and behavioral health information maintained by any participating agency...

I have read the foregoing information, or it has been read to me, and I have had the opportunity to ask questions about it and any questions that I have asked have been answered to my satisfaction.

By signing below, I give permission to the Participating Agency identified above to disclose to and obtain from MaineHousing and the other Maine agencies participating in the Maine HMIS identified on Exhibit A attached, any personal information and health care information that any of these participating agencies maintain about me, or about any of my dependent children who are not authorized by law to authorize such disclosure on their own behalf. I authorize such disclosures for purposes of evaluating my housing service needs, coordinating the delivery of housing services to me, for evaluating outcomes and the effectiveness of the MaineHousing's emergency shelter homeless program in reducing or eliminating homelessness, and for the other uses and purposes described elsewhere on this form above.

This authorization will automatically expire in thirty (30) months, unless I revoke it earlier. To the extent that this authorization authorizes disclosure of any mental health information maintained by a licensed mental health agency, facility or program, this authorization will automatically expire in one (1) year with respect to the disclosure of such mental health information, unless I revoke it earlier.

\_\_\_\_\_  
Signature of Client, Guardian, Health Care Power of Attorney  
or Health Care Surrogate

\_\_\_\_\_  
Date

**Provider Use:**

- \_\_\_\_\_ did not give permission to share and exchange information with other Maine HMIS participating agencies for the purposes of evaluating services needed and to coordinate service delivery.
- \_\_\_\_\_ gave limited permission to share and exchange information with other Maine HMIS participating agencies for the purposes of evaluating services needed and to coordinate service delivery.

**Note: If one of the above boxes is checked FAX this signed form IMMEDIATELY to the Maine HMIS Team at (207) 624-5768**

**EXHIBIT A**  
**Maine Homeless Management Information System**  
**AUTHORIZATION FOR DISCLOSURE OF HEALTH**  
**AND/OR PERSONAL INFORMATION**

**PARTICIPATING AGENCIES**

Amosstook Mental Health Services, Inc.  
The Bangor Area Homeless Shelter  
Bread of Life Ministries, Inc.  
Catholic Charities Maine  
City of Portland  
Area IV Mental Health Services Coalition (Common Ties Mental Health Center)  
Community Health and Counseling Services  
Community Housing of Maine, Inc.  
Employment Specialists of Maine, Inc.  
Families and Children Together (F.A.C.T.)  
H.O.M.E., Incorporated  
Homeless Services of Amosstook  
Kennebec Valley Mental Health Center  
Knox County Homeless Coalition  
Maine Bureau of Veterans' Services  
Maine Department of Health and Human Services  
Maine State Housing Authority  
Mid-Maine Homeless Shelter, Inc.  
New Beginnings, Inc.  
Penobscot Community Health Center  
Preble Street  
Portland Housing Authority  
Rumford Group Homes, Inc.  
Rural Community Action Ministry  
Shalom House, Inc.  
Shaw House  
Sweetser  
Tedford Housing  
The Opportunity Alliance  
York County Shelter Programs, Inc.  
Western Maine Homeless Outreach  
U.S. Department of Veterans Affairs  
Veterans Inc.  
Volunteers of America Northern New England, Inc.

C  
O

Client initials: \_\_\_\_\_



**Grantee SF-424's and Certification(s)**

**STATE CERTIFICATIONS**

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

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

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

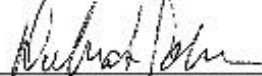
**Anti-Lobbying** --To the best of the State's knowledge and belief:

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

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

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

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

  
\_\_\_\_\_  
Signature of Authorized Official


04/24/2020  
\_\_\_\_\_  
Date

Director, Office of Community Development  
\_\_\_\_\_  
Title



Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* 3. Revision, select appropriate letters: <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
6a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: B-20-DC-23-0001	
<b>State Use Only:</b>		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: <input type="text" value="State of Maine Department of Economic &amp; Community Development"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="01-600000"/>	* c. Organizational DUNS: <input type="text" value="0090455110900"/>	
<b>d. Address:</b>		
* Street1: <input type="text" value="59 NEAL'S HOUSE ROAD"/>	Street2: <input type="text"/>	
* City: <input type="text" value="Augusta"/>	County/Parish: <input type="text"/>	
* State: <input type="text" value="ME: Maine"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	* Zip / Postal Code: <input type="text" value="04333"/>	
<b>e. Organizational Unit:</b>		
Department Name: <input type="text" value="Economic &amp; Community Development"/>	Division Name: <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: <input type="text"/>	* First Name: <input type="text" value="Deborah"/>	Middle Name: <input type="text"/>
* Last Name: <input type="text" value="Johnson"/>	Suffix: <input type="text"/>	
Title: <input type="text" value="Director, Office of Community Development"/>		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="207-624-9817"/>	Fax Number: <input type="text"/>	
* Email: <input type="text" value="Deborah.johnson@maine.gov"/>		

Application for Federal Assistance SF-424	
<b>* 9. Type of Applicant 1: Select Applicant Type:</b> <input type="text" value="A. State Government"/>	
<b>Type of Applicant 2: Select Applicant Type:</b> <input type="text"/>	
<b>Type of Applicant 3: Select Applicant Type:</b> <input type="text"/>	
<b>* Other (specify):</b> <input type="text"/>	
<b>* 10. Name of Federal Agency:</b> <input type="text" value="US Department of Housing and Urban Development"/>	
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text" value="14-223"/>	
<b>CFDA Title:</b> <input type="text" value="Community Development Block Grant"/>	
<b>* 12. Funding Opportunity Number:</b> <input type="text"/>	
<b>* Title:</b> <input type="text"/>	
<b>13. Competition Identification Number:</b> <input type="text"/>	
<b>Title:</b> <input type="text"/>	
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text" value="Community Development Block Grant see Consolidated Plan"/>	
<b>Attach supporting documents as specified in agency instructions:</b> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

Application for Federal Assistance SF-424	
<b>16. Congressional Districts Of:</b>	
* a. Applicant: <input type="text" value="1"/>	* b. Program/Project: <input type="text" value="1 &amp; 2"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
<b>17. Proposed Project:</b>	
* a. Start Date: <input type="text" value="01/01/2020"/>	* b. End Date: <input type="text" value="12/31/2020"/>
<b>18. Estimated Funding (\$):</b>	
* a. Federal	<input type="text" value="11,551,815.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="287,373.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="12,247,138.00"/>
* 18. Is Application Subject to Review By State Under Executive Order 12872 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12872 Process for review on: <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12872 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12872.	
* 19. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> I AGREE	
** The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
<b>Authorized Representative:</b>	
Prefix: <input type="text"/>	* First Name: <input type="text" value="James"/>
Middle Name: <input type="text" value="T"/>	
* Last Name: <input type="text" value="Willie"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-1533"/>	Fax Number: <input type="text" value="207-287-1044"/>
* Email: <input type="text"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="4/22/20"/>

### **Specific Community Development Block Grant Certifications**

The State certifies that:

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

#### **Consultation with Local Governments –**

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

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

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

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

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available.
2. **Overall Benefit.** In the aggregate, not less than 70 percent of the CDBG funds, including Section 108 guaranteed loans, received by the State during the following fiscal year(s) 2020 \_\_\_\_\_ [a period designated by the State of one, two, or three specific consecutive fiscal year(s)] will be used for activities that benefit persons of low and moderate income.

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

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


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

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

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

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

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

  
Signature of Authorized Official

04/24/2020  
Date

Director, Office of Community Development  
Title

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0088  
Expiration Date: 02/28/2022

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

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

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

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

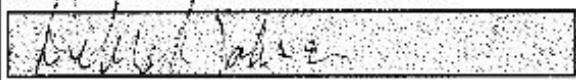
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4726-4785) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1698), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§101-5107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-516), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Standard Form 424D (Rev. 7-87)  
Prescribed by OMB Circular A-122

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-648) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a-1 to 276a-7), the Copeland Act (40 U.S.C. §276b and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11986; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 175(c) of the Clean Air Act of 1965, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.


SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director, Office of Community Development
APPLICANT ORGANIZATION	DATE SUBMITTED 04/24/2020
State of Maine, Dept. Economic & Community Development	

GF-4240 (Rev. 7-87) Back

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		
* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		
* 3. Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>		
* 3. Date Received:		* 4. Applicant Identifier:
<input type="text"/>		<input type="text"/>
5a. Federal Entity Identifier:		5b. Federal Award Identifier:
<input type="text"/>		8 20 96 23 0100
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
<input type="text"/>		<input type="text"/>
8. APPLICANT INFORMATION:		
* a. Legal Name: Maine State Bonding Authority		
* b. Employer/ taxpayer identification number (EIN/TIN):		* c. Organizational DUNS:
01-0302916		0886771100000
d. Address:		
* Street:	303 Water Street	
* Street2:	<input type="text"/>	
* City:	Bangor	
* County/Parish:	<input type="text"/>	
* State:	ME; Maine	
* Province:	<input type="text"/>	
* County:	030; UNIFORM 500000	
* Zip/Postal Code:	04910-4633	
e. Organizational Unit:		
Department Name:		Division Name:
Maine State Bonding Authority		<input type="text"/>
f. Name and contact information of person to be contacted on matters involving this application:		
* Prefix:	* First Name:	* Suffix:
	Peter	
* Middle Name:	<input type="text"/>	
* Last Name:	Morris	
* Suffix:	<input type="text"/>	
* Title:	Deputy Director	
Organizational Address:		
<input type="text"/>		
* Telephone Number:	* Fax Number:	
207-524-9300	207-524-5102	
* Email: gmorris11@mainebonding.org		



Application for Federal Assistance SF-424		
* 9. Type of Applicant 1: Select Applicant Type:		
<input type="text" value="Federal Government"/>		
Type of Applicant 2: Select Applicant Type:		
<input type="text"/>		
Type of Applicant 3: Select Applicant Type:		
<input type="text"/>		
* Other (specify):		
<input type="text"/>		
* 10. Name of Federal Agency:		
<input type="text" value="US Department of Housing and Urban Development"/>		
11. Catalog of Federal Domestic Assistance Number:		
<input type="text" value="14-939"/>		
CFDA Title:		
<input type="text" value="HOME Investment Partnership Program"/>		
* 12. Funding Opportunity Number:		
<input type="text"/>		
* Title:		
<input type="text"/>		
13. Competition Identification Number:		
<input type="text"/>		
Title:		
<input type="text"/>		
14. Areas Affected by Project (Cities, Counties, States, etc.):		
<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>
<input type="button" value="View Attachment"/>		
* 15. Descriptive Title of Applicant's Project:		
<input type="text" value="ECHE, See Concept/Action Plan"/>		
Attach supporting documents as specified in agency instructions.		
<input type="button" value="Add Attachments"/>	<input type="button" value="Delete Attachments"/>	<input type="button" value="View Attachments"/>

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text"/>	* b. Program/Project: <input type="text" value="242"/>
Append an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2020"/>	* b. End Date: <input type="text" value="01/31/2021"/>
18. Estimated Funding (\$)	
* a. Federal	<input type="text" value="4,277,376.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="4,277,376.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes," provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
** The list of certifications and assurances, or an alternate one where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Janet"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="MILLS"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Board member"/>	
* Telephone Number: <input type="text" value="207-207-3531"/>	* Fax Number: <input type="text" value="207-207-1634"/>
* Email: <input type="text" value="janet.mills@maine.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="01/15/20"/>

Specific HOME Certifications

The State certifies that:

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

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

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



Signature of Authorized Official

3/26/2020

Date

Director

Title

ASSURANCES - CONSTRUCTION PROGRAMS

CMB Number: 4340-0039  
Expiration Date: 02/29/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0345-0042), Washington, DC 20503.

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

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

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





- |   |   |
|---|---|
| <ol style="list-style-type: none"> <li>1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.</li> <li>2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</li> <li>3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.</li> <li>4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.</li> <li>5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.</li> <li>6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</li> <li>7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.</li> </ol> | <ol style="list-style-type: none"> <li>8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4722-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).</li> <li>9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.</li> <li>10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.</li> </ol> |
|---|---|

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Standard Form 424D (Rev. 7-97)  
Prescribed by OMB Circular A 102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-846) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 48 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(g) of the Flood Disaster Protection Act of 1973 (P.L. 93-254) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) inclusion of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11980; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1985 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect; (2) Procuring a commercial sex act during the period of time that the award is in effect; or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	
APPLICANT ORGANIZATION	DATE SUBMITTED
	

SF-424D (Rev. 7-07) B&K

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Charged/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:	4. Applicant Identifier:	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:	
State Use Only:	6. Date Received by State:	
7. State Application Identifier:	8. APPLICANT INFORMATION:	
* a. Legal Name: Maine State Housing Authority		
* b. Employer/Expayer Identification Number (EIN/FEIN):	* c. Organizational DUNS:	
d. Address:	* Street: 55 Water Street * City: Augusta * State: ME: Maine * Country: USA: UNITED STATES * Zip / Postal Code: 04330-4633	
e. Organizational Unit:		
Department Name: Maine State Housing Authority	Division Name:	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Mr.	* First Name: Peter	
Middle Name:	* Last Name: Merrill	
Suffix:	Title: Deputy Director	
Organizational Affiliation:		
* Telephone Number: 207-626-4603	* Fax Number: 207-626-5102	
* Email: pmerrill@mainehousing.org		

Application for Federal Assistance SF-424	
<b>* 8. Type of Applicant 1: Select Applicant Type:</b> <input type="text" value="A: State Government"/>	
<b>Type of Applicant 2: Select Applicant Type:</b> <input type="text"/>	
<b>Type of Applicant 3: Select Applicant Type:</b> <input type="text"/>	
<b>* Other (specify):</b> <input type="text"/>	
<b>* 10. Name of Federal Agency:</b> <input type="text" value="US Department of Housing and Urban Development"/>	
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text" value="14-201"/>	
<b>CFDA Title:</b> <input type="text" value="Emergency Solutions Grant (ESG) program"/>	
<b>* 12. Funding Opportunity Number:</b> <input type="text"/>	
<b>Title:</b> <input type="text"/>	
<b>13. Competition Identification Number:</b> <input type="text"/>	
<b>Title:</b> <input type="text"/>	
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachments"/>	
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text" value="ESG - See Consolidated Plan"/>	
<b>Attach supporting documents as specified in agency instructions.</b> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	



**Application for Federal Assistance SF-424**

16. Congressional Districts Of:

\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="1,390,914.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="1,390,914.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review

c. Program is not covered by E.O. 12372

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach

21. "By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:

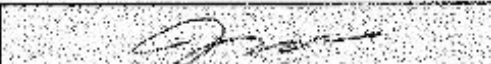
\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:



## Emergency Solutions Grant Certifications

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

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

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

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

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

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

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

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

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

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

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



\_\_\_\_\_  
Signature of Authorized Official

3/26/2020

Date

\_\_\_\_\_  
Director

Title

ASSURANCES - CONSTRUCTION PROGRAMS

CMB Number: 4340-0039  
Expiration Date: 02/29/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0345-0042), Washington, DC 20503.

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

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

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





- |   |  |
|---|--|
| <ol style="list-style-type: none"> <li>1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.</li> <li>2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</li> <li>3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.</li> <li>4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.</li> <li>5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.</li> <li>6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</li> <li>7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.</li> </ol> | <ol style="list-style-type: none"> <li>8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4722-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).</li> <li>9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.</li> <li>10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Control and Treatment Act of 1972 (P.L. 92-255) as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.</li> </ol> |
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Prescribed by CMB Circular A 102


11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-846) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7524-7528) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 48 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(g) of the Flood Disaster Protection Act of 1973 (P.L. 93-254) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) inclusion of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11980; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(f) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1985 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect; (2) Procuring a commercial sex act during the period of time that the award is in effect; or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	
APPLICANT ORGANIZATION	DATE SUBMITTED
	

SF-4240 (Rev. 7-07) B&K

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entry Identifier: <input type="text"/>	5b. Federal Award Identifier: P-20-20-245100	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text" value="Maine State Housing Authority"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="02-0312926"/>	* c. Organizational DUNS: <input type="text" value="0858751150000"/>	
d. Address:		
* Street 1: <input type="text" value="150 Main Street"/>	<input type="text"/>	
Street 2: <input type="text"/>	<input type="text"/>	
* City: <input type="text" value="Augusta"/>	<input type="text"/>	
County/Parish: <input type="text"/>	<input type="text"/>	
* State: <input type="text" value="ME: MAINE"/>	<input type="text"/>	
Province: <input type="text"/>	<input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	<input type="text"/>	
* Zip / Postal Code: <input type="text" value="04330 4033"/>	<input type="text"/>	
e. Organizational Unit:		
Department Name: <input type="text" value="Maine State Housing Authority"/>	Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Robert"/>	
Middle Name: <input type="text"/>	<input type="text"/>	
* Last Name: <input type="text" value="Barr III"/>	<input type="text"/>	
Suffix: <input type="text"/>	<input type="text"/>	
Title: <input type="text" value="Deputy Director"/>	<input type="text"/>	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="207 625-4600"/>	* Fax Number: <input type="text" value="207 624-5700"/>	
* Email: <input type="text" value="pres@mainesthousing.org"/>		

Application for Federal Assistance SF-424	
<b>* 9. Type of Applicant 1: Select Applicant Type:</b> <input type="text" value="A: State Government"/>	
<b>Type of Applicant 2: Select Applicant Type:</b> <input type="text"/>	
<b>Type of Applicant 3: Select Applicant Type:</b> <input type="text"/>	
<b>* Other (specify):</b> <input type="text"/>	
<b>* 10. Name of Federal Agency:</b> <input type="text" value="US Department of Housing and Urban Development"/>	
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text" value="24-275"/> <b>CFDA Title:</b> <input type="text" value="Housing Trust Fund"/>	
<b>* 12. Funding Opportunity Number:</b> <input type="text"/> <b>* Title:</b> <input type="text"/>	
<b>13. Competition Identification Number:</b> <input type="text"/> <b>Title:</b> <input type="text"/>	
<b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text" value="Formula Allocation of the Housing Trust Fund for the State of Maine. The Consolidated Plan contains program descriptions."/>	
<b>Attach supporting documents as specified in agency instructions.</b> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text"/>	* b. Program/Project: <input type="text" value="162"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2020"/>	* b. End Date: <input type="text" value="12/31/2020"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="3,000,000.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="3,000,000.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)	
<input checked="" type="checkbox"/> ** - ASRFF	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="James"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Wille"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-3037"/>	* Fax Number: <input type="text" value="207-287-1034"/>
* Email: <input type="text" value="governor@maine.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="01/01/2020"/>



ASSURANCES - CONSTRUCTION PROGRAMS

CMB Number: 4340-0039  
Expiration Date: 02/29/2022

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0345-0042), Washington, DC 20503.

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

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

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

- |  |  |
|--|--|
| <p>1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.</p> <p>2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</p> <p>3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.</p> <p>4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.</p> <p>5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.</p> <p>6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</p> <p>7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.</p> | <p>8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4722-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).</p> <p>9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.</p> <p>10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.</p> |
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Prescribed by OMB Circular A-102



11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-846) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7524-7528) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276b and 48 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(g) of the Flood Disaster Protection Act of 1973 (P.L. 93-254) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) inclusion of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11980; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(f) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1985 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from: (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect; (2) Procuring a commercial sex act during the period of time that the award is in effect; or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	
APPLICANT ORGANIZATION	DATE SUBMITTED
	

SF-424D (Rev. 7-07) B&K



## Appendix - Alternate/Local Data Sources

1	<b>Data Source Name</b> Maplebrook Survey Data
	<b>List the name of the organization or individual who originated the data set.</b> County
	<b>Provide a brief summary of the data set.</b> County needs assessment for regional plan
	<b>What was the purpose for developing this data set?</b> Support development of regional plan for Maplebrook County
	<b>Provide the year (and optionally month, or month and day) for when the data was collected.</b> 2013
	<b>Briefly describe the methodology for the data collection.</b>
	<b>Describe the total population from which the sample was taken.</b>
	<b>Describe the demographics of the respondents or characteristics of the unit of measure, and the number of respondents or units surveyed.</b>
2	<b>Data Source Name</b> 2011-2015 ACS 5-year average
	<b>List the name of the organization or individual who originated the data set.</b> The U.S. Department of Housing and Urban Development (HUD) receives custom tabulations of American Community Survey (ACS) data from the U.S. Census Bureau
	<b>Provide a brief summary of the data set.</b> These data, known as the "CHAS" data (Comprehensive Housing Affordability Strategy), demonstrate the extent of housing problems and housing needs, particularly for low income households.
	<b>What was the purpose for developing this data set?</b> The CHAS data are used by local governments to plan how to spend HUD funds, and may also be used by HUD to distribute grant funds.

	<p><b>How comprehensive is the coverage of this administrative data? Is data collection concentrated in one geographic area or among a certain population?</b></p> <p>This is the State Georgraphic Summary Level</p>
	<p><b>What time period (provide the year, and optionally month, or month and day) is covered by this data set?</b></p> <p>2011-2015</p>
	<p><b>What is the status of the data set (complete, in progress, or planned)?</b></p> <p>complete</p>