



Maine Annual Action Plan

CDBG, ESG, and HOME

Plan Year 2021

Prepared by
Maine State Housing Authority
Maine Department of Economic and Community Development
April 2021



mainehousing.org | 207-626-4600

Contents

Executive Summary.....	1
AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b).....	1
PR-05 Lead & Responsible Agencies - 91.300(b).....	5
AP-10 Consultation - 91.110, 91.300(b); 91.315(l).....	6
AP-12 Participation - 91.115, 91.300(c).....	13
Expected Resources.....	15
AP-15 Expected Resources – 91.320(c)(1,2).....	15
Annual Goals and Objectives.....	19
AP-20 Annual Goals and Objectives – 91.320(c)(3)&(e).....	19
AP-25 Allocation Priorities – 91.320(d).....	23
AP-30 Methods of Distribution – 91.320(d)&(k).....	25
AP-35 Projects – (Optional).....	38
AP-38 Project Summary.....	39
AP-40 Section 108 Loan Guarantee – 91.320(k)(1)(ii).....	42
AP-45 Community Revitalization Strategies – 91.320(k)(1)(ii).....	42
AP-50 Geographic Distribution – 91.320(f).....	42
Affordable Housing.....	44
AP-55 Affordable Housing – 24 CFR 91.320(g).....	44
AP-60 Public Housing - 24 CFR 91.320(j).....	45
AP-65 Homeless and Other Special Needs Activities – 91.320(h).....	45
AP-75 Barriers to affordable housing – 91.320(i).....	48
AP-85 Other Actions – 91.320(j).....	49
Program Specific Requirements.....	52
AP-90 Program Specific Requirements – 91.320(k)(1,2,3).....	52

Attachments.....58

Executive Summary

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

1. Introduction

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

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

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

This document, the 2021 Maine Annual Action Plan, is the second Action Plan in the Consolidated Plan cycle. It describes how DECD and MaineHousing plan to allocate HUD block grant funds during the 2021 program year, which runs from January 1, 2021 to December 31, 2021.

This Action Plan does not address use of the Housing Trust Fund. The 2021 Allocation amounts are not yet available for HTF. HTF use will be addressed in a substantial amendment to this Action Plan later in 2021 when allocation amounts are available.

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

2. Summarize the objectives and outcomes identified in the Plan

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

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

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

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

- Improved availability/accessibility
- Improved affordability
- Improved sustainability

All future activities funded in 2021 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 2021, the State proposes to allocate funding to the following activities.

CDBG:

- See attached CDBG Program Statement

HOME:

- \$2.8 million for rental housing
- \$1.4 million for tenant based rental assistance

ESG:

- \$643,237 for emergency shelter operations and essential services
- \$643,237 for rapid rehousing

This funding will result in:

- sheltering 7500 homeless individuals
- rental assistance for 170 homeless individuals
- 600 new or rehabilitated housing units
- 2,100 persons assisted by a public facility or infrastructure activity
- 40 jobs created or retained
- 100 businesses assisted

3. Evaluation of past performance

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

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 2019 MaineHousing assisted more than 1,100 First Time Home Buyers, 8,800 rental households, 880 homeowners (not including over 52,000 helped with energy assistance) and more than 5,900 homeless individuals. MaineHousing used funds to complete 18 multifamily projects, for a total of 781 units (316 for families and 461 for seniors). In 2019, another 13 projects were under construction (331 family units and 215 units for seniors).

Significant progress has been made to address Consolidated Plan priorities and objectives. Use of tenant-based rental assistance (122% of 2019 goal), support emergency shelter operations & service (111% of 2019 goal), improve the quality of existing housing (143% of rental unit goal for 2019), improve public infrastructure (209% of 2019 goal) and increase the quality and supply of rental housing (176% of rental unit rehabilitated goal) all exceeded 2019 goals.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the CoC and other interested parties. The global pandemic resulted in a December 16, 2020 virtual public consultation opportunity. The combined forum and public hearing was broadly advertised and was attended by forty seven people. The topic of the forum was the allocation of 2021 CDBG, HOME, HTF and ESG funds, and the meeting was held prior to the drafting of the 2021 Annual Action Plan.

Public hearing notice of the virtual hearing was placed on both the DECD and MaineHousing websites, and stakeholder groups were notified of the forum 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 virtual forum/hearing was also announced via social media with postings on both the MaineHousing Facebook and LinkedIn sites.

On March 18, 2021 a second virtual public hearing was held to gather comments on the draft 2021 Annual Action Plan. The public hearing was broadly advertised and was attended by three people.

No public comments were offered at the public hearing. Two written public comments were submitted during the thirty day public comment period.

5. Summary of public comments

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

Two written public comments were submitted during the thirty day public comment period. The comments and MaineHousing responses to the comments are attached to this Plan.

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

N/A

7. Summary

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

All activities funded in 2021 will address one of the following goals:

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

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

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

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

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

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

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

Table 1 – Responsible Agencies

Narrative

The 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 and the subsequent Annual Action Plans. The Draft Annual Action Plan for 2021 can be viewed and downloaded on the MaineHousing website.

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

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. The Statewide Homeless Council meets monthly and includes representatives from several state agencies that provide services for the homeless. The Department of Health and Human Services is a member of the Homeless System Redesign Leadership Team.

MaineHousing works in close collaboration with the Department of Health and Human Services, meeting biweekly to improve the state's response to the opioid epidemic, coordinating services with shelter and behavior health providers, and strengthening the emergency housing and shelter system. Recent partnerships include the support and expansion of recovery residences and a housing and service pilot for opioid users with system engagement.

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 for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

Consultation on allocation:

Allocation of ESG for the State of Maine is detailed in the Homeless Solutions Rule which is posted on the MaineHousing website (<http://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf>). 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 reviewed annually and updated as needed based on this review. Additionally, in 2017 the current HMIS vendor contract was reviewed by MaineHousing and the CoC and a Request for Information (RFI) went out to potential vendors. The HMIS RFI resulted in remaining with the current vendor, as recommended by the MCoC.

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

Table 2 – Agencies, groups, organizations who participated

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

3	Agency/Group/Organization	Maine Statewide Homeless Council
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Health Agency Child Welfare Agency Publicly Funded Institution/System of Care Other government - State
	What section of the Plan was addressed by Consultation?	Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Statewide Homeless Council along with the three Regional Councils meet regularly to discuss needs and issues. MaineHousing solicited their input on the allocation of funding. They are notified of plan development, public hearings and comment periods.

4	Agency/Group/Organization	Maine Continuum of Care
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims Health Agency Child Welfare Agency Publicly Funded Institution/System of Care Other government - State Other government - Local
	What section of the Plan was addressed by Consultation?	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The Maine Continuum of Care meets regularly to discuss needs and issues. MaineHousing solicited input on the allocation of funding. The Continuum of Care is notified of plan development, public hearings and comment periods.

5	Agency/Group/Organization	Maine Affordable Housing Coalition
	Agency/Group/Organization Type	Housing PHA Services - Housing Other government - State Other government - County Other government - Local Regional organization Business Leaders Civic Leaders Business and Civic Leaders
	What section of the Plan was addressed by Consultation?	Housing Need Assessment
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	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.

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

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

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	MaineHousing	The Continuum of Care goals have been recognized in the 2020 Consolidated Plan and the subsequent 2021 Annual Action Plan.
Analysis of Impediments to Fair Housing Choice	MaineHousing	The Analysis of Impediments to Fair Housing Choice was updated in conjunction with the 2020 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 2020 Consolidated Plan.

Table 3 - Other local / regional / federal planning efforts

Narrative

AP-12 Participation - 91.115, 91.300(c)

1. Summary of citizen participation process/Efforts made to broaden citizen participation

Summarize citizen participation process and how it impacted goal-setting

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the CoC and other interested parties. The global pandemic resulted in a December 16, 2020 virtual public consultation opportunity. The combined forum and public hearing was broadly advertised and was attended by forty-seven people. The topic of the forum was the allocation of 2021 CDBG, HOME, HTF and ESG funds, and the meeting was held prior to the drafting of the 2021 Annual Action Plan.

Public hearing notice of the virtual hearing was placed on both the DECD and MaineHousing websites, and stakeholder groups were notified of the forum 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 virtual forum/hearing was also announced via social media with postings on both the MaineHousing Facebook and LinkedIn sites.

On March 18, 2021 a second virtual public hearing was held to gather comments on the draft 2021 Annual Action Plan. The public hearing was broadly advertised and was attended by three people. No public comments were offered at the public hearing. Two written public comments were submitted during the thirty day public comment period.

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	Non-targeted/broad community	The 12/16/2020 virtual forum was attended by 47 people.			
2	Public Hearing	Non-targeted/broad community	The 12/16/2020 virtual public hearing was attended by 32 people.			

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	Internet Outreach	Non-targeted/broad community	Notice of the December 16, 2020 public hearing was posted on the MaineHousing website. Hearing and forum notices were also emailed to stakeholders.			
4	Public Hearing	Non-targeted/broad community	The March 18, 2021 virtual public hearing was attended by three people. No public comments were offered at the public hearing.	No comments received.	NA	
5	Newspaper Ad	Non-targeted/broad community	Notice of the March 18, 2021 virtual public hearing was placed in published on March 9th in the Bangor Daily News, the Portland Press Herald, the Lewiston Sun Journal and the Kennebec Journal.			

Table 4 – Citizen Participation Outreach

Expected Resources

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

Introduction

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	11,983,902	0	0	11,983,902	34,308,500	DECD through its annual Method of Distribution allocates funds for 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	4,230,158	512,398	0	4,742,556	12,011,918	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	1,390,783	0	0	1,390,783	4,019,033	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	0	0	0	0	0	
Other	public - federal	Other	0	0	0	0	0	

Table 5 - Expected Resources – Priority Table

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

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	Provide Rapid Re-Housing	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$1,400,000 ESG: \$643,237	Tenant-based rental assistance / Rapid Rehousing: 170 Households Assisted
2	Support Emergency Shelter Operations & Services	2020	2024	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$643,237	Homeless Person Overnight Shelter: 7500 Persons Assisted
3	Expand Affordable Housing Opportunities	2020	2024	Affordable Housing	State Of Maine	Expand Affordable Housing Opportunities	HOME: \$2,868,300	Rental units constructed: 216 Household Housing Unit
4	Improve and Preserve the Quality of Housing	2020	2024	Affordable Housing	State Of Maine	Expand Affordable Housing Opportunities Improve and Preserve the Quality of Housing	CDBG: \$4,100,000	Rental units constructed: 80 Household Housing Unit Rental units rehabilitated: 60 Household Housing Unit Homeowner Housing Rehabilitated: 250 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
5	Improve Public Infrastructure	2020	2024	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure Improve Economic Opportunity	CDBG: \$4,300,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 2000 Persons Assisted Public service activities other than Low/Moderate Income Housing Benefit: 100 Persons Assisted Facade treatment/business building rehabilitation: 20 Business
6	Improve Economic Opportunity	2020	2024	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$2,000,000	Jobs created/retained: 40 Jobs Businesses assisted: 80 Businesses Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Provide Rapid Re-Housing
	Goal Description	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 as well as other appropriate 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.

2	Goal Name	Support Emergency Shelter Operations & Services
	Goal Description	The current funding formula allocates 50 percent of the total ESG funding for Shelter Operations, to be disbursed to the eligible ESHAP shelters in Maine based on their Bed Capacity. “Bed Capacity” is defined as the maximum number of beds in an Emergency Shelter as indicated on an annual Continuum of Care Housing Inventory Count (HIC); however, the Bed Capacity of a Low Barrier Shelter as indicated on the annual HIC is multiplied by 125%. This multiplier 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.
3	Goal Name	Expand Affordable Housing Opportunities
	Goal Description	<p>The Rental Loan Program (RLP) provides long-term mortgage financing at attractive interest rates for development of affordable rental housing in projects of five or more units.</p> <p>One goal of the RLP is to provide mortgage financing that enables federal low income housing tax credits to be utilized.</p> <p>Program objectives are:</p> <ul style="list-style-type: none"> • Maximize use of tax exempt bonds to develop affordable housing. • Provide affordable mortgage financing that enables developers to utilize low income housing tax credits. • Provide below-market, 30 year fixed rate notes that enable project viability. • Provide capital for preservation of existing rental housing. <p>This program is a companion to the Low Income Tax Credit (LIHTC) program, and provides subsidized financing to enable use of tax credits. Administrative guidance for the Rental Loan Program is provided through the Rental Loan Program Guide, which is available at www.mainehousing.org. Administrative guidance for the Low Income Housing Tax Credit Program is provided through a rule making process which is required to establish the Allocation of State Ceiling for Low Income Housing Tax Credit.</p>
4	Goal Name	Improve and Preserve the Quality of Housing
	Goal Description	

5	Goal Name	Improve Public Infrastructure
	Goal Description	
6	Goal Name	Improve Economic Opportunity
	Goal Description	

AP-25 Allocation Priorities – 91.320(d)

Introduction:

MaineHousing anticipates using funds as follows:

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

Rental Assistance: \$1.4 million HOME - Stability Through Engagement Program (TBRA)

Emergency homeless shelter operations & essential services: \$643,237 ESG

Rapid Rehousing (ESHAP): \$643,237 ESG

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

See attached CDBG Program Statement

Funding Allocation Priorities

	Provide Rapid Re-Housing (%)	Support Emergency Shelter Operations & Services (%)	Expand Affordable Housing Opportunities (%)	Improve and Preserve the Quality of Housing (%)	Improve Public Infrastructure (%)	Improve Economic Opportunity (%)	Total (%)
CDBG	0	0	0	40	40	20	100
HOME	33	0	67	0	0	0	100
ESG	50	50	0	0	0	0	100
HTF	0	0	0	0	0	0	0
Other CDBG-CV	0	0	0	0	0	0	0
Other ESG-CV	0	0	0	0	0	0	0

Table 7 – Funding Allocation Priorities

Reason for Allocation Priorities

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

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

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

The proposed 2021 funding allocations address the priorities and goals outlined in the Five-Year Consolidated Plan. The distribution of funds will follow the priorities set forth in the Consolidated Plan:

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

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 8 - Distribution Methods by State Program

1	State Program Name:	Community Development Block Grant Program
	Funding Sources:	CDBG
	Describe the state program addressed by the Method of Distribution.	See CDBG 2021 Program Statement (attached)
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	See CDBG 2021 Program Statement (attached)

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>DECD website has all necessary materials.</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	
<p>Describe how resources will be allocated among funding categories.</p>	<p>See CDBG 2021 Program Statement (attached)</p>

	Describe threshold factors and grant size limits.	See CDBG 2021 Program Statement (attached)
	What are the outcome measures expected as a result of the method of distribution?	See CDBG 2021 Program Statement (attached)
2	State Program Name:	Emergency Shelter and Housing Assistance Program (ESHAP)
	Funding Sources:	ESG
	Describe the state program addressed by the Method of Distribution.	In consultation with the MCoC and in partnership with Emergency Shelters throughout the state, MaineHousing offers the ESHAP Program as an annual Grantee process to assist individuals and families who are experiencing homelessness. The funding formula allocation is detailed in the Homeless Solutions Rule and the ESG Written Standards.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>To be eligible to receive ESHAP funds an applicant must:</p> <ul style="list-style-type: none"> • Be a 501(c)(3) not-for-profit organization. • Be eligible in accordance with the HEARTH Act. • Be a provider of homeless services with at least one year of experience providing emergency housing, street outreach, homeless prevention or Rapid Re-Housing services. • Be a regular and active participant in the Maine Continuum of Care. • Have a board/advisory board that includes at least one person who is homeless or formerly homeless who is involved in policy or public planning of the organization. • Participate in the Coordinated Entry System. • Not engage in any explicitly religious activities, such as worship or religious instruction. If religious activities are offered, they must occur at a separate time or location from the activities and services covered in this rule. • Participate in the Housing Management Information System (HMIS) or a comparable database for victims of domestic violence and meet performance and reporting requirements. <p>For a complete list of requirements, see the Emergency Shelter and Housing Assistance Program Guide and Application (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>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>Not Applicable</p>

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Shelter Operations: 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>Housing Stabilization Share: An amount equal to 45% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each agency providing staffing for Rapid Re-housing, 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>Performance Share: (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 the following January.</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	

	Describe how resources will be allocated among funding categories.	Not Applicable
	Describe threshold factors and grant size limits.	Grants are based upon the threshold as described in the Maine Homeless Solutions Rule. MaineHousing uses up to 50 percent of ESG funding for emergency shelter operations as noted in the Operations Share description above and the remaining funds for the Stabilization Share also detailed above.
	What are the outcome measures expected as a result of the method of distribution?	MaineHousing provided emergency shelter for 3,980 people in 2020, which was lower than normal due to circumstances connected to the global pandemic. We anticipate serving approximately 7,500 in 2021. All shelters receiving funding will be tracked on performance benchmarks and will receive additional funding depending on their ability to meet these benchmarks.
3	State Program Name:	Rental Loan Program
	Funding Sources:	HOME

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

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Qualified developers may apply. Applicants must:</p> <ul style="list-style-type: none"> • Demonstrate previous successful experience in the development of similar projects. • Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing. • Have control of the development site. • Demonstrate they will provide the required number of lower income units. <p>In addition, the management agent for the housing must demonstrate successful experience in managing similar properties.</p> <p>MaineHousing generally selects those developments that will provide the greatest amount of long term, low-income housing at the least cost of taxpayer subsidy dollars.</p>
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>Not Applicable</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not Applicable</p>

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

	What are the outcome measures expected as a result of the method of distribution?	MaineHousing expects to produce 216 new rental units.
4	State Program Name:	Stability through Engagement Program (STEP) TBRA
	Funding Sources:	HOME
	Describe the state program addressed by the Method of Distribution.	STEP is designed to provide short- and medium-term rental assistance for up to 24 months to help individuals and families experiencing homelessness achieve housing stability. Referrals to the STEP Program can only be made by the Housing Navigators, and the Maine Coordinated Entry System (MCES) as the system develops.
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	<p>Rapid Re-housing participants may be eligible to receive short- and medium-term rental assistance, for a maximum of 24 months, through STEP if they meet the following requirements (unless prohibited by VAWA):</p> <ul style="list-style-type: none"> • Staying in a shelter or working with an ESHAP provider. • Enrolled and participating in ESHAP with an approved Housing Stability Plan. • Continued contact with their Housing Navigator to review progress no less than every 30 days. • Reassessment to evaluate if continued assistance is necessary at 12 months. • As referred to STEP from the MCES Prioritized List once the process is developed. <p>See STEP Administrative Plan for detail (https://www.mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-resources/step-administrative-plan.pdf?sfvrsn=42f78f15_2).</p>

<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	<p>Not Applicable</p>
<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>Not Applicable</p>
<p>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</p>	<p>Not Applicable</p>
<p>Describe how resources will be allocated among funding categories.</p>	<p>Not Applicable</p>

<p>Describe threshold factors and grant size limits.</p>	<p>Not Applicable</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>The goal for the STEP program is to administer 170 STEP coupons to rapidly re-house individuals and/or families experiencing homelessness and to keep 95% of them stably housed.</p>

Discussion:

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

AP-35 Projects – (Optional)

Introduction:

See the CDBG 2021 Program Statement

#	Project Name
1	HOME21 TBRA
2	HOME21 ADMIN
3	HOME21 Rental Loan Program
4	ESG21 Maine

Table 9 – Project Information

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

AP-38 Project Summary

Project Summary Information

1	Project Name	HOME21 TBRA
	Target Area	State Of Maine
	Goals Supported	Provide Rapid Re-Housing
	Needs Addressed	Help Maine People Attain Housing Stability
	Funding	HOME: \$1,400,000
	Description	STEP (TBRA) is designed to provide short and medium term rental assistance for 24 months to help individuals and families achieve housing stability. The focus is on rapidly re-housing people who are currently experiencing homelessness. Referrals to the STEP Program can only be made by Housing Navigators.
	Target Date	12/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	170 Households
	Location Description	Statewide
	Planned Activities	
2	Project Name	HOME21 ADMIN
	Target Area	
	Goals Supported	
	Needs Addressed	
	Funding	:
	Description	HOME Admin and Program Income Admin

	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	
3	Project Name	HOME21 Rental Loan Program
	Target Area	State Of Maine
	Goals Supported	Expand Affordable Housing Opportunities
	Needs Addressed	Expand Affordable Housing Opportunities
	Funding	HOME: \$2,868,300
	Description	The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine.
	Target Date	
	Estimate the number and type of families that will benefit from the proposed activities	The 2021 goal is 216 new multifamily units.
	Location Description	
	Planned Activities	
4	Project Name	ESG21 Maine
	Target Area	State Of Maine
	Goals Supported	Support Emergency Shelter Operations & Services
	Needs Addressed	Help Maine People Attain Housing Stability
	Funding	ESG: \$1,390,783

Description	MaineHousing plans to use the 2021 allocation of ESG funds to provide grants to emergency shelters serving people who are homeless or at risk of homelessness. Grants may be used for shelter operations, rapid re-housing and HMIS data collection costs.
Target Date	
Estimate the number and type of families that will benefit from the proposed activities	
Location Description	
Planned Activities	

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

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

No

Available Grant Amounts

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, eligible HTF recipients, and housing developers may apply for grants or loans from anywhere in Maine. Low Income Housing Tax credit priorities include projects in rural areas and Difficult to Develop Areas.

Geographic Distribution

Target Area	Percentage of Funds
State Of Maine	100

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

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.

One Year Goals for the Number of Households to be Supported	
Homeless	170
Non-Homeless	216
Special-Needs	0
Total	386

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

One Year Goals for the Number of Households Supported Through	
Rental Assistance	170
The Production of New Units	216
Rehab of Existing Units	0
Acquisition of Existing Units	0
Total	386

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

Discussion:

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

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

Introduction:

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

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

While MaineHousing does not have jurisdiction over public housing agencies, several public housing authorities and other housing and community development agencies are required to obtain a certification that their program plans are consistent with the State of Maine Consolidated Plan. The State Consolidated Plan serves the majority of the state since only a few local jurisdictions develop Consolidated Plan documents. In 2021, 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 Program and a PHA Short Term Financial Program available to assist PHAs and certain other not-for-profit organizations 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 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 7,500 persons served by 36 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 facing 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 36 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 not-for-profit 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 oppose 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 measureable outcomes to address these impediments. Action types include:

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

Discussion:

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

AP-85 Other Actions – 91.320(j)

Introduction:

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.

MaineHousing is expanding access to our programs by translating program materials into 6 different languages, meeting regularly with organizations representing the immigrant community, and contracting for culturally appropriate support services when needed.

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
- Maine enacted a state tax credit program that will provide additional resources to support the development of affordable housing

Actions planned to reduce lead-based paint hazards

MaineHousing currently administers a \$3.8 million, 42 month HUD-funded Lead Hazard Reduction Grant Program. The program provides 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. Lead-based paint abatement measures employed for both the HUD-funded and State-funded programs 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.)

MaineHousing partners with the Department of Health and Human Services to coordinate the state's response to the COVID-19 pandemic including the establishment of wellness shelters, quarantine and isolation housing for those who cannot self-quarantine, and non-congregate housing for the homeless shelters.

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

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.320(k)(1)

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

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

Other CDBG Requirements

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

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

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

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

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for 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 November 2020 (https://mainehousing.org/docs/default-source/homeless/eshap/maine-esg-written-standards8c36e5fbdce26f639ad9ff0000e8bc8d.pdf?sfvrsn=6831ba15_2).

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 have been created and are 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:

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".

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”.
 - 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”.
 - 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”.
 - 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”.
 - 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”.
 - 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”.
 - 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”.
 - 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”.
 - 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”.
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”.
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”.
- 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.

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.

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).

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".

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

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

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.”

Discussion:

Attachments

Citizen Participation Comments



15 State Road
Kittery, ME 03904
(207) 439-6376
FAX (207) 438-0294
www.fairtide.org

March 22, 2021

Maine State Housing Authority
Attn: Paula M Weber
26 Edison Drive
Augusta, ME 04330-6046

Re: Public Comments Maine 2021 Annual Action Plan

Dear Paula and MaineHousing Team,

My name is Emily Flinkstrom and I am the Executive Director of Fair Tide, a nonprofit providing housing and supportive services to people experiencing homelessness in the southern part of our state. I also serve as a representative to the Statewide Homeless Council from Region One.

I respectfully submit the following comments regarding the Maine 2021 Annual Action Plan.

In large part, this plan seems to reflect the needs of our homeless service providers and the clients we serve, as well as align with Maine's Plan to End and Prevent Homelessness. I am particularly thrilled to see that the STEP voucher continues to be offered as a 2-year subsidy, with the potential to automatically bridge into Section 8, if needed. This has worked extremely well for the clients Fair Tide supports who have moved out of emergency shelter and are working hard to regain self-sufficiency and stability.

There are two suggestions I would like to offer that I feel would improve the way we address homelessness and housing affordability in our state:

- 1) Increase the availability of Project-Based Vouchers.** While not included in the most recent draft of the action plan, the trend of pairing PBVs with the Housing Trust Fund is a smart way to build much needed permanent supportive housing. However, I strongly believe that agencies across the state, including Fair Tide, could be successful in raising funds for acquisition and rehab/construction of deeply affordable housing units if PBV were available to cover much of the ongoing operating costs. Instead of relying solely on the HTF monies, agencies and developers could leverage private and foundation dollars with these PBVs to increase the supply of housing for our most vulnerable populations.

Thank you for the comments. A PHA who administers the Housing Choice Voucher Program is able to take up to 20 percent of its authorized units and attach the funding to specific units rather than

A long-term solution to homelessness



15 State Road
Kittery, ME 03904
(207) 439-6376
FA X (207) 438-0294
www.fairtide.org

using it for tenant-based assistance. MaineHousing committed in its PHA 5 year plan to provide PBV opportunities in the following areas:

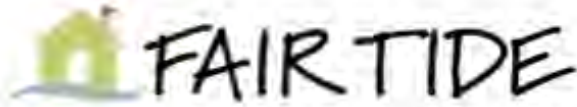
- Award project-based vouchers in properties that provide supportive services to homeless families
- Award project-based vouchers to existing Low Income Tax Credit properties with a preference for homeless families
- Award project-based vouchers to properties selected through MaineHousing's QAP process

Our PHA plan provides the flexibility to expand supportive housing opportunities and meet the goal of deconcentrating poverty. We intend to explore more opportunities to utilize project based vouchers moving forward.

- 2) Voucher resources and navigator funding be made available to agencies outside of traditional emergency shelters.** Fair Tide has been successful in finding housing for individuals and families experiencing homelessness in the very southern part of our State. Through a strong partnership with York County Shelter Programs, we have been able to help folks access vouchers (primarily STEP) without putting the burden on the client to travel upwards of 45 minutes to check into the shelter. Fair Tide, in turn, provides the ongoing case management (Navigator) services for these clients at our expense. While this partnership works quite well, if Fair Tide had access to these vouchers directly, we could eliminate the time that YCSP staff spend processing the application and submitting reports on our client's behalf. Additionally, with funding available for Fair Tide's case management (Navigator) services, we could expand the number of households for which we are preventing a relapse back into homelessness. I would imagine there are other agencies in similar situations across Maine that, with access to these resources, could better facilitate a rapid and successful placement into housing for people experiencing homelessness in their area.

MaineHousing appreciates the efforts of Fair Tide on behalf of people experiencing homelessness in southern York County, and acknowledges the challenges presented by not having direct access to housing resources offered through the Emergency Shelter and Housing Assistance Program (ESHAP). Grants for ESHAP are funded annually by calendar year, and funding for 2021 is already obligated in full. However, MaineHousing is working with the Statewide Homeless Council to implement a Homeless System Redesign across the state. As part of that process, MaineHousing will be re-evaluating the funding formula in the near future and will consider options that will allow more funding opportunities for homeless service organizations that do not have physical shelter facilities. MaineHousing must also weigh the benefit of providing funding to additional agencies against the risks of possibly overextending the limited funding pool from which ESHAP draws. In considering these options, MaineHousing will seek input from interested agencies such as Fair Tide. We welcome innovative ideas and solutions that will allow ESHAP funding to positively impact the many people experiencing homelessness.

A long- term solution to homelessness



15 State Road
Kittery, ME 03904
(207) 439-6376
FA X (207) 438-0294
www.fairtide.org

Thank you so much for taking the time to read and consider my comments. I am happy to answer any questions you may have, or expound upon my thoughts.

Thank you for all your great work toward our shared mission of eliminating homelessness in our state!

Best,

Emily Flinkstrom, MSW
Executive Director
executivedirector@fairtide.org
801-652-6077 (cell)
207-439-6376 (office)

A long-term solution to homelessness



Board Members

Aaron Shapiro
Retired Community Development
Director
Cumberland County
Board President

Chip Newell
Principal
The Newlight Group
Board Treasurer

Gleason Hubbard
Principal
Thomson Tomassen
Board Secretary

David Scoblyn
Vice President
TD Bank

Elizabeth Boyzelle
Partner
BCM Environmental & Land Law,
PLLC

Katherine Hesse, Associate Director
The Partnership for Children's Oral
Health

Jan McCormick
Retired Affordable Housing
Investment Executive

Lucy Yu
Mental Health Program Coordinator
OFS/Community Liaison
Maine DHHS

Thomas Phoebe
Western's Healthcare Outreach
Community Organizer
Phoebe Street

Jennifer Poirier
Executive Director
Western

Jennifer Spillman
Deputy Director/CEO
The Geneva Fund

John Ryan
President
Wright/Ryan Construction

Harmony Tawzer
Maine Regional President
NBT Bank

Staff Contacts

Cullen Ryan
Executive Director

Kyra Walker
Chief Operating Officer

Elizabeth Barwick
Asset Manager

Sarah Gaba
Occupancy Manager

Maria Orsilio
Compliance Manager

Jim Gwilym
Chief Financial Officer

Suzanne Bouzard
Operations Manager

Victoria Bond
Advocacy & Communications Manager

Brenda Sylvester
Development Officer

Bree LaCasse
Development Officer

Brian Kagan
Development Officer

March 31, 2021

Public Comments Regarding the Maine 2021 Annual Action Plan

My name is Cullen Ryan and I serve as the Executive Director of Community Housing of Maine or CHOM, the largest supportive housing provider for homeless populations in Maine. Our staff of 11 works collaboratively with more than 50 different service provider organizations to effectively and efficiently house some 1100 of Maine's most vulnerable people. I serve in various leadership roles in working to end homelessness and have been working with homeless populations for 34 years.

I write to respectfully offer three comments on the Maine 2021 Annual Action Plan.

1) This plan is very well thought out, and I commend MaineHousing for carefully crafting a plan that aligns with Maine's Plan to End and Prevent Homelessness. I am particularly pleased to see that Stability Through Engagement Program (STEP) appears to truly be a two-year program, including up to twenty-four months of rental assistance. I also applaud MaineHousing for including the rollover preference to Section 8 for people who need that assistance when their STEP subsidy expires. These changes make STEP an optimized tool for ending homelessness. Thank you for responding to feedback and moving this program in the right direction to arrive at this place. It is greatly appreciated.

Thank you. MaineHousing's Housing Choice Voucher department has received positive responses from our partners and participants regarding the Administrative Plan change to include STEP participants in the homeless priority set aside for Housing Choice vouchers. STEP changes have allowed participants to remain stably housed while landlords continue to receive consistent rent payments.

2) Thank you for targeting the Housing Trust Fund (HTF) to people needing permanent supportive housing. The HTF has become Maine's most important bricks and mortar tool for ending long term homelessness because it creates permanent supportive housing used to stably house this population. And, thank you for continuing to make Project-Based Section 8 available for HTF projects. Section 8 makes housing affordable, especially important for people experiencing homelessness with very low incomes, and it makes it feasible for populations that are disabled. This combination allows for deep targeting - a wise move given these limited resources. I would encourage MaineHousing to also consider making critical Project-Based Section 8 available for permanent supportive housing projects developed with funding outside of the HTF. This would allow housing developers to leverage other funding resources for the construction and/or acquisition/rehab of the housing itself and utilize Project-Based Section 8 to feasibly address ongoing operation costs. This would increase capacity for urgently needed permanent supportive housing development in Maine.

MaineHousing committed in its PHA 3- year plan to provide PBI opportunities in the following areas:

- Award project-based vouchers in properties that provide supportive services to homeless families



- Award project-based vouchers to existing Low Income Tax Credit properties with a preference for homeless families
- Award project-based vouchers to properties selected through MaineHousing's QAP process

MaineHousing's PHA plan provides the flexibility to expand supportive housing opportunities and meet the goal of deconcentrating poverty. We intend to explore additional options to utilize project based vouchers moving forward.

3) Thank you for using ESG funds for the ESHAP program. There is brilliance to this design as it puts housing navigators to work in homeless shelters and then to support people after they secure housing. Most homeless shelters would have no other means to pay for integral housing navigators. ESHAP is in keeping with Goal One of Maine's Plan to End and Prevent Homelessness. I do think this program could potentially be improved by expanding ESHAP resource allocations to other organizations and nonprofits that are not classified as emergency shelters, similar to MaineHousing's Rapid Re-Housing Program that launched during the pandemic. Through this program, non-shelter homeless service provider organizations were provided resources to assist people staying outside and/or in hotels to attain and retain housing. Building upon this framework by expanding ESHAP to provide housing navigation funding and access to rental assistance to agencies not classified as emergency shelters could assist in Maine's homelessness diversion strategy. It would allow for "virtual" homeless shelters that provide everything needed to end homelessness while a person stays very briefly (if at all) in a motel, etc. This would deepen Maine's toolbox in ending and preventing homelessness, and Maine has numerous dedicated organizations standing at the ready and well poised to carry out this critical housing work.

MaineHousing appreciates the support and partnership of CHOM in our mutual endeavor to end homelessness in Maine. The ESHAP grant is awarded annually by calendar year, and as such, 2021 funds have already been obligated. However, as you know, the Statewide Homeless Council is working on a Homeless System Redesign and MaineHousing will be re-evaluating the Homeless Solutions Rule and the ESHAP funding formula this year. At that time, MaineHousing will consider new uses for ESHAP funds, such as funding non-shelter homeless service agencies.

Thank you for such a thoughtful and well-designed approach to resource design and allocation. I am very pleased with the plan. Perhaps the ideas offered in my comments would be worth consideration as a way to positively enhance or augment these approaches.

Thank you for the opportunity to comment.



State of Maine

Community Development Block Grant Program

2021 Program Statement

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

2021 PROGRAM STATEMENT

Contents

SUMMARY 3

SECTION 1. PROGRAM OVERVIEW 3

A. CDBG OBJECTIVES..... 3

B. METHOD OF DISTRIBUTION:..... 4

C. STATE ADMINISTRATION:..... 4

D. PROGRAM TIMEFRAME 5

E. 2021 PROGRAM BUDGET 6

F. CERTIFICATIONS 7

G. GENERAL REQUIREMENTS: 7

H. EXCLUSIONS: 9

I. AWARD PROCESS: 9

SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

A. HOUSING ASSISTANCE GRANT PROGRAM 10

B. HOME REPAIR NETWORK PROGRAM..... 12

C. PUBLIC INFRASTRUCTURE GRANT PROGRAM 13

D. DOWNTOWN REVITALIZATION GRANT PROGRAM 16

D. PUBLIC SERVICE GRANT PROGRAM.....19

F. SMALL BUSINESS DEVELOPMENT CENTERS.....21

G. MAINE DEVELOPMENT FOUNDATION/MDC ASSISTANCE.....22

H. URGENT NEED GRANT PROGRAM.....23

I. SPECIAL PROJECTS PROGRAM.....25

J. COMMUNITY ENTERPRISE PROGRAM.....26

K. RURAL HOUSING PRESERVATION PROGRAM.....29

SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

A. ECONOMIC DEVELOPMENT 30

B. MICRO-ENTERPRISE ASSISTANCE GRANT PROGRAM..... 34

SECTION 4. TECHNICAL ASSISTANCE 35

SECTION 5. REDISTRIBUTION OF GRANT FUNDS 35

SECTION 6. PROGRAM INCOME 35

SECTION 7. APPEALS 36

SECTION 8. AMENDMENTS TO THE PROGRAM STATEMENT 36

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 2021
PROGRAM STATEMENT**

SUMMARY

This Program Statement describes the method by which 2021 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. DECD held a virtual combined public forum/hearing regarding the development of this Program Statement on December 16, 2021, 2:00-4:00 PM.

SECTION 1. PROGRAM OVERVIEW

A. CDBG OBJECTIVES

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

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

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

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

B. METHOD OF DISTRIBUTION:

DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2021 Program Statement provides a description of the selection criteria that OCD will use to allocate CDBG funds among communities. Programs are grouped under the three categories listed below.

1. Community Development

- a. Home Repair Network
- b. Housing Assistance Grants
- c. Public Infrastructure Grants
- d. Downtown Revitalization Grants
- e. Public Service Grants
- f. Small Business Development Centers
- g. Maine Development Foundation/Downtown Center Assistance
- h. Urgent Need Grants
- i. Special Projects
- j. Community Enterprise
- k. Rural Housing Preservation Program

2. Economic Development

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

3. Technical Assistance

C. STATE ADMINISTRATION:

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

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

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

4. Grant Administration Requirement:

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

D. PROGRAM TIMEFRAME

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

Program	Letter of Intent Due Date VIA E-MAIL	Application Due Date By Invitation Only
Downtown Revitalization	January 29, 2021	March 26, 2021
Economic Development	March 5, 2021	May 21, 2021
Housing Assistance	March 5, 2021	May 7, 2021
Public Service	March 26, 2021	May 7, 2021
Community Enterprise	January 29, 2021	April 9, 2021
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. 2021 PROGRAM BUDGET

2021 CDBG Budget	\$11,983,902
Administration	339,678
Technical Assistance Administration	119,839
<u>Community Development</u>	
Rural Housing Preservation Program	1,000,000
Downtown Revitalization Grants	300,000
Home Repair Network Program	1,600,000
Housing Assistance Grants	1,500,000
Public Service Grants	200,000
Public Infrastructure Grants	3,400,000
Regional Council Planning Assistance	114,000
Small Business Development Centers	100,000
Maine Development Foundation/Downtown Center Assistance	300,000
Urgent Need Grants*	0
Special Projects*	410,385
Community Enterprise Grants	600,000
<u>Economic Development</u>	
Economic Development Grants	1,200,000
Micro-Enterprise Assistance Grants	800,000
TOTAL Estimated 2021 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

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

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

G. GENERAL REQUIREMENTS:

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

7

permitted to apply in the same 2021 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 2021 Program Statement and 2021 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 2021 Community Development Block Grant program, communities that received CDBG grants in or prior to 2017 must have finally closed out their grants prior to application due date. Communities that received CDBG grants in 2018 must have conditionally closed their grants prior to application due date. Communities that received CDBG grants in 2019 must have expended 50% of their benefit activity funds prior to application due date. Communities that received 2020 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:

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

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

I. AWARD PROCESS:

1. Scoring:

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

2. Project Development Phase:

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

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

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

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

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

3. Project Development Timeframe and Assistance:

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

SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

A. HOUSING ASSISTANCE GRANT PROGRAM

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

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

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

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

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

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

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

(a) Stage 1:

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

(b) Stage 2:

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

Impact (40 points):

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

Development Strategy (40 points):

- + 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

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: \$1,600,000. 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

No Letters of Intent or Applications will be accepted for the 2021 Program Year. The Communities of Eastport, Limestone, Lubec, and Stonington, who submitted applications in 2020, are slated for funding in 2021.

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

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

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

3. Match – All communities applying for DR Program funds must certify that they will provide a minimum cash match equivalent to 25 percent of the total grant award. This minimum 25% match may come from any source public and/or private. All match must be fully committed at 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. Please refer to Page 5 of this document for Program deadlines and due dates.

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

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

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

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

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

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

4. Maximum PSG Amount: \$50,000

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

(a) Stage 1:

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

(b) Stage 2:

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

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

Impact (40 points):

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

Development Strategy (40 points):

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

Citizen Participation (20 points):

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

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

F. SMALL BUSINESS DEVELOPMENT CENTERS

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

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

(a) Eligible Activities:

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

(b) Communities ineligible for SBDCTA Assistance:

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

G.MAINE DEVELOPMENT FOUNDATION/DOWNTOWN CENTER ASSISTANCE

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

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

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

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

H. URGENT NEED GRANT PROGRAM

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

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

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

2. Program Requirements:

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

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

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

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

(a) Stage 1:

Application: An UN application must include the following:

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

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

(b) Stage 2:

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

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

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

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

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

I. SPECIAL PROJECTS PROGRAM

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

J. COMMUNITY ENTERPRISE GRANT PROGRAM

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

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

(a) Eligible Activities:

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

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

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

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

(e) Match – All communities applying for CE Program funds must certify that they will provide a minimum cash match equivalent to 25 percent of the total grant award. This minimum 25% match may come from any source public and/or private. All match must be fully committed at 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 29, 2021.***

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

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

All communities wishing to submit a CE application must submit a Letter of Intent and Verification of CDBG National Objective to OCD on or before 4:00PM on Friday January 29, 2021 according to the requirements set forth in the 2021 CE application package.

(b) Application: The maximum length of an application is **four pages, not counting required attachments**. The application deadline for the CE Program is 4:00 PM on April 9, 2021.

(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.

K. RURAL HOUSING PRESERVATION PROGRAM

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

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

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

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

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

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

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

SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

A. ECONOMIC DEVELOPMENT

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

1. Eligible Activities: Maximum Award

- | | |
|---|-------------------|
| a) Grants to Municipalities for Direct Business Support: | \$250,000* |
| working capital and capital equipment purchase | |
| Acquisition is not an allowable activity. | |

2. Exclusions:

- Applicants may apply on behalf of only one business.
- **EDP funds cannot be used to refinance existing debt.**
- All EDP activities must be in support of an identified business; speculative activities are excluded.
- Communities 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. Prior to submitting a Letter of Intent, communities applying on behalf of a business that received funding in the previous year must first receive approval from the Director of the Office of Community Development.
- *Start-up businesses are limited to a maximum grant award of \$100,000.
- **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, must be approved by the Director of the Office of Community Development.**

3. Project Benefit: All projects must document that at a minimum, 51% of all jobs created or retained 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

30

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 stating why the project cannot proceed without program participation, that program funds will provide the necessary gap financing, reasonableness of the amount requested, and assurance that the assistance provided is commensurate with the community benefits that will accrue from the project.

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

(e) EDP Matching Funds Requirements: Communities applying for Economic Development Program funds must certify that a 50% 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.

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

(a) Stage 1:

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

(b) Stage 2:

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

Problem Statement

Scope

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

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

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

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

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

Solution

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

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

- Clearly state the amount of EDP funds sought and how they will fit into the overall financing for the project.

Effect on Assisted Business

- Describe the effect the EDP award and completion of the project, 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.
- Provide background information (including resumes) for the owners and/or managers of the business and specific information about the skills and experiences of the owners and/or managers as related to the successful management of the business and proposed project.
- Include a concise timetable for project implementation.

Citizen Participation

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

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

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

11. Project Development Phase: The project development phase must be completed within 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 Program (MEA) provides funding to non-entitlement areas statewide to address the needs of Micro businesses. This program will start **June 1, 2021** and will be administered on a regional basis throughout Maine, as stated below.

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

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

Cannabis related businesses are not eligible.

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

3. Project Benefit / Demonstration of National Objective:

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

4. Selection Process:

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

SECTION 4. TECHNICAL ASSISTANCE

The Office of Community Development will use Technical Assistance funds to: conduct workshops, produce program materials, 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 2020 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 2021 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 2021 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 2021 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The Department of Housing and Urban Development's citizen participation requirements will guide the amendment process.

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

BY CONTACTING:

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

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

www.meocd.org

The Maine CDBG Program is Funded by:





**Emergency Shelter and Housing
Assistance Program (ESHAP)
2021**

Navigator Services Process Guide

Revision Date: 10/05/2020

1

Table of Contents

Mission and Vision	3
Navigator Role	4
Housing First	5
Coordinated Entry	5
MaineHousing Homeless Academy	6
Navigator Process	
<i>Shelter Intake</i>	7
<i>Initial Assessment</i>	7
<i>Entry Into ESHAP</i>	7
<i>Housing Stability Plans (HSPs)</i>	8
<i>Tenant Education</i>	8
<i>Mainstream Resources</i>	9
<i>Releases of Information</i>	9
<i>Rental Assistance</i>	9
<i>Housing Identification and Search</i>	10
<i>Leasing Up</i>	10
<i>Stabilization Services</i>	11
<i>Ending Services</i>	12
Recordkeeping and Monitoring	13
Documentation Guide	14
MaineHousing Contacts	15
Supporting Documents	16
Appendices	
A. Verifications of Homelessness	
B. Housing Stability Plan Template	
C. Monitoring File Review Sheet	
D. VI-SPDATs	

Revision Date: 10/05/2020

Mission and Vision

The mission of MaineHousing is to assist Maine people in obtaining and maintaining quality affordable housing and services suitable to their housing needs.

It is the vision of MaineHousing that all Maine people have the opportunity to live in quality affordable housing.

Emergency Shelter and Housing Assistance Program (ESHAP) 2021 Vision

The vision of the 2021 Emergency Shelter and Housing Assistance Program is to make continuous strides in transforming the current system into a well-coordinated, understandable housing crisis resolution system, which uses a client-centered approach, to assist clients in quickly achieving their housing goals. We envision a system that works collectively with partners, consumers, families and advocates; toward a mutual goal ensuring that individuals and families experiencing homelessness are safely, supportively, and permanently housed so that homelessness becomes a temporary situation with accessible solutions.

Navigator Role

Welcome to your role as a Housing Navigator at a participating Emergency Shelter and Housing Assistance Program (ESHAP) emergency shelter program. Your work is a crucial element in helping people experiencing homelessness to find a stable, lasting home.

The world of homeless services is complex and constantly changing. There are many programs and resources, each with their own requirements and eligibility requirements. For a person experiencing homelessness, this can be confusing and difficult to navigate. That is where a Housing Navigator is there to help. You are there to help guide your clients through this complex system with the goal of achieving stable housing.

This goal is achieved through your knowledge of the system. Educating yourself on what the resources are in your area is crucial to your success in housing the people you serve. Since an episode of homelessness can have many causes, you must be aware of not only housing resources, but also those that help with mental health, employment, substance use, and a myriad of other factors that can lead to a person experiencing homelessness.

While you may coordinate and work with other agencies that are addressing other aspects of your clients' health and well-being, it is important to remember that your primary focus is always housing—getting your clients housed and helping them stay housed. To that end, it is important that you are familiar with the processes for applying to various housing resources, such as vouchers and subsidized housing. It is also important that you are constantly working to establish and maintain relationships with local landlords. Those relationships, once forged, are a vital element in placing clients in appropriate housing.

Once you have your clients housed, the work is not done. Even once a client has successfully secured housing, there are almost always challenges to remaining housed. Housing Navigators will help their clients to work through the challenges that present themselves within those important first twelve to twenty four months. This time will allow the client time to become more secure in their housing, addressing the things that could cause them to lose their housing, and develop the good habits that will keep them in housing moving forward.

Revision Date: 10/03/2020

Housing First

One thing you will hear often while working with people experiencing homelessness is the phrase “Housing First.” Housing First is something that HUD has clearly stated it wants all of its funded programs to follow to the best of their ability. But what is Housing First?

Simply put, Housing First means that a person experiencing homelessness should be housed as soon as possible and any other issues surrounding their homelessness should not be a reason to delay housing a person. Issues such as employment, mental health, substance use, etc. are all easier to deal with once a person is housed. People can start work on any or all of these issues in shelter, but should not be kept in shelter because of them.

So, how does this work on the ground? It starts from the very first moment a person comes to look for shelter. An intake worker should first have a conversation to see if there is any alternative to the client entering shelter. Many times a small amount of diversion may be able to keep them housed or get them housed with family, friends or other resources. If there isn't another alternative, part of the conversation during intake should be what they want to do for housing. Even before formal entry into ESHAP and work with a housing navigator, all staff in a shelter should be focusing on housing and helping the people at shelter work towards housing.

In the course of working with a person experiencing homelessness, every effort should be made to meet the client where they are at in trying to house them; housing options should meet the person's needs in that moment. Once a resource has been secured for housing, it should be used as quickly as possible. Any approach that says issues must be resolved before housing a person are contrary to Housing First and should be reconsidered. By doing this, we work to ensure that instances of homelessness are rare, brief, and one time occurrences.

Coordinated Entry

Another thing you will hear a great deal about is Coordinated Entry. The Coordinated Entry System (CES) is a HUD mandated system that requires all HUD funded homelessness programs to work together to house people. In Maine, any person who enters an ESHAP shelter, or who is entered into ESHAP while in a place not meant for habitation is eligible to access CES. CES will take into account the person's VI-SPDAT score, length of time homeless, and other factors to prioritize them for housing resources. A list of the housing resources using CES is included at the end of this guide; CES is working to add new housing resources all the time, so this list will grow over time.

This system makes your job and the job of your clients easier. Rather than spending a great deal of time filling out many housing applications that may or may not be available or applicable to your clients, a CES coordinator will track openings in projects and people who need housing, and match those resources with the people who need them.

MaineHousing Homeless Academy

MaineHousing utilizes an online Learning Management System (LMS) called Bridge for its Homeless Academy. Bridge allows us to provide online trainings, both for new Navigators, and annual ongoing training for all Navigators across the state.

Initial Online Training

To begin using Bridge, Navigators will need to contact HMISHelp@MaineHousing.org. The HMIS Training & Support Specialist will create a Learner Profile and assign appropriate training courses. After the Learner Profile has been created, Navigators will:

- Receive an email regarding account creation
- In the body of the email, click the 'Set a Password' button
- A Bridge webpage will open and you will be prompted to create a password
- Once you have a password, the login screen will appear
- Your User Name will be your email address
- Upon signing in, you will need to review and agree to the 'Terms of Use'
- After agreeing, you will be directed to 'My Learning' where you can access assigned courses
- Another way to access the courses is through a second email, the Course Invitation
- A third email will be received to notify you of the password creation

A Certificate of Achievement will automatically be issued to the Navigator by Bridge once a successful score (80+) is achieved for the course. Each course allows three attempts to pass the course. If a Learner has used all 3 attempts and still has not passed the course, they will need to contact HMISHelp@MaineHousing.org to request a Course Reset – in which, additional training may be deemed necessary.

The link to access Bridge is: <https://mainehmis-mainehousing.bridgeapp.com/login>

Annual Online Trainings

Starting in 2019, MaineHousing requires all Housing Navigators to complete annual online trainings through the Homeless Academy. These trainings are made available to each agency for a designated one month period during the year. The HMIS Training and Support Specialist will contact your agency with the dates of annual training availability. The following trainings must be completed by all Navigators in order to remain in compliance:

- ESHAP
- STEP
- Data and Security
- RentSmart

Navigator Process

Shelter Intake

A shelter intake will happen according to the process your organization has in its own policies and procedures. This process may be conducted by a Navigator or by another staff. Either way, the Housing Navigator should ensure that the date of intake is clearly noted in the client file and that a homeless certification is included. Verifications of homelessness need to meet very specific HUD rules. For a guide on what constitutes an acceptable verification, please see **Appendix A- Verifications of Homelessness**.

If you are providing navigation services to a client who is unsheltered, you will not have a shelter intake to rely upon, and you will be responsible for collecting all of the data needed to enter a client into HMIS or your comparable database.

Initial Assessment

The initial assessment for ESHAP eligibility has to be done after the client has been in shelter for 14 days. If serving an unsheltered client, try to the best of your ability to note the date that the client's homelessness began. Clients who enter shelter after being homeless elsewhere can have the assessment completed 14 days after the initial date that their current homeless episode started. For example, if a client was sleeping in their car for 10 days before entering shelter, you can do the assessment on the 4th day of their stay.

All ESHAP shelters use the VI-SPDAT (Vulnerability Index-Service Prioritization Decision Assistance Tool) to assess the appropriate level of intervention for any individual or household. If you are working with a single adult, you will use the VI-SPDAT. For a family, you will use the FVI-SPDAT. If you are working with a transition aged youth, your agency can opt to use either the single VI-SPDAT, or the TAY VI-SPDAT for youth. In that case, your agency should use either one or the other consistently for all youth.

Instructions on how to administer the VI-SPDATs can be found here:

Single: <https://vimeo.com/126548635>

Family: <https://vimeo.com/126591317>

Youth: Follow instructions for Single VI-SPDAT

Entry into ESHAP

Once the VI-SPDAT is complete, you can determine if the client is eligible for entry into the ESHAP program. A client must have a score of 4 or higher on the VI-SPDAT in order to be ESHAP eligible. They must also be homeless according to HUD's Category 1 or Category 4 definition. Any client staying in shelter at the time of ESHAP entry is Category 1.

A navigator may use their professional assessment to decide a client should receive ESHAP services with a score of 3 or below. This is for instances where it is clear that the client's vulnerability score

should be higher, but for whatever reason, it is not. In those cases, a justification letter detailing the reasons for the score exception should be included in the client's file. If a client's VI-SPDAT score is a 3 or below and that seems accurate then they are not eligible for ESHAP services. A letter should be provided to the client to inform them of their ineligibility and should also be included in their file. Once a client is determined eligible for ESHAP, they are entered into the ESHAP program in HMIS or comparable database, and a Housing Stability Plan (HSP) is completed with them.

Housing Stability Plans (HSPs)

The key document in providing navigation services to a client is the Housing Stability Plan (HSP). An HSP includes the housing and income goals that will be important to a client gaining and maintaining housing. Those two goals are required on all HSPs. A navigator should also address other goal areas that may influence the ability of the client to achieve and maintain housing. These can be goals such as education, childcare, health, mental health, substance abuse, or others. While other goals may be included, they should always refer to how those areas will impact the client's housing. Comprehensive case management is not the role of a Navigator; you are focused on housing the client, and everything should be approached through that lens.

You will need to complete an HSP with the client every 90 days and that service needs to be entered into HMIS or a comparable database. Since the HSP is a 90 day document, goals on the HSP should be attainable within those 90 days. Longer term goals should be broken down into segments that are achievable within that time frame. HSP goals need to match VI-SPDAT which may include creating additional goals.

Once the HSP is in place, you must conduct progress updates at 30 days and 60 days. These updates note any progress the client has made on the goal, and any other pertinent information to getting the client housed. These updates can be included on the HSP itself, or can be done in the form of separate progress or case notes.

Document Readiness

Part of the initial Housing Stability Plan is a checklist of documents that a client may need in order to get certain subsidies. It has been shown that one of the biggest barriers to quickly housing a client is not having the necessary documents ready when a housing resource is offered. Due to this, it is crucial that the navigator assess what documents the client has upon entry and immediately start work on obtaining any and all documents they are missing. In some cases, a client may need to obtain one or more type of document before being able to obtain another. Example, obtaining a birth certificate before being able to get a photo ID. Some of these documents can take weeks or months to obtain. For those reasons, it is imperative that navigators begin this work ASAP.

Tenant Education

While you are working to get clients housed, it is important to offer them training on how to be successful once housed. Through the RentSmart curriculum, you can help your clients learn how to be a good tenant. They will learn how to interact appropriately with landlords, what is expected of them as a tenant, as well as how to budget and meet the costs of housing. This education can do a great deal to increase a client's stability in housing and prevent future instances of homelessness.

Revision Date: 10/05/2020

8

Mainstream Resources

It is important that every client is connected to all available mainstream resources for which they are eligible or, at the least, a conversation about those resources should take place with the client. At intake, staff should ascertain what resources the client already has, and note that in the intake documentation. If there are resources the client is eligible for but is not receiving, you should work with the client to complete referrals to those resources. Having these resources in place can be a great help in maintaining stability once a client is housed.

Releases of Information

Client confidentiality is protected by state and federal law, so there are strict guidelines around what you can and cannot share about a client. If your agency participates in HMIS, the client must sign an HMIS release upon intake. The client can opt out of allowing their data to be shared amongst HMIS providers, but it is encouraged that they allow the data sharing. Data sharing makes it much easier to coordinate services for them within HMIS.

If you need to communicate about your client in any way outside of HMIS, with any other agency or individual, you will need to have an authorization to release information, or an ROI. An ROI should be specific to the time, person/agency, purpose and scope of the information to be shared. A general ROI that states something to the effect of "We can share any information about you with any of the below agencies for any reason for as long as we choose" is not a valid ROI.

It is important that any evidence of communication between you or your agency and any other person about your client MUST be accompanied by a signed ROI in the client's file. Not doing so is a breach of confidentiality, and could open you and your agency up to legal action.

Rental Assistance

For most clients, some form of rental assistance will be necessary to get them housed. There are many different types of subsidies, each with their own eligibility requirements. This is probably the most confusing part of trying to get housed, and where your expertise as a navigator will be of the greatest value. You will work the client to fill out and submit applications to various resources, and help them follow up on those applications.

To determine what the best resource is for your client, first you need to look at their VI-SPDAT. Each score range has appropriate resources. Below is a partial list to start; other resources may be available in your area.

1-3: ESHAP Ineligible	4-7 Single, 4-8 Family: RRH eligible	8+ Single, 9+ Family: PSH Eligible
<ul style="list-style-type: none"> • Provide a copy of the Maine Housing Guide • Give contact information for local GA office • Provide information on accessing mainstream resources • Refer household to mainehousingsearch.org • Refer household to 211 • Or- Justification letter 	<ul style="list-style-type: none"> • Refer to Coordinated Entry System (CES) • Subsidized Housing through any/all Housing Authorities • Project Based subsidies (ex, LIHTC) • Mainstream or Home To Stay HCV • Housing Choice Vouchers Family Unification Program • Fair Market Rent • Or- Justification Letter 	<ul style="list-style-type: none"> • Refer to CES • Non-Elderly Disabled HCV • Bridging Rental Assistance Program (BRAP) • Veterans Affairs Supported Housing (HUD VASH) • Housing Opportunities for Persons with HIV/AIDS (HOPWA) • Supported Housing Programs • Or- Justification Letter

Housing Identification and Search

Once you know what your client may be eligible for, it is time to find them housing. The most important part of this process is your knowledge of your area. You have to know what resources are out there, especially for project based voucher programs and local Public Housing Authority resources, if any. Since each of those varies by area, you must be the expert. Also keep in mind that subsidized housing is not the only answer. Oftentimes, the best option is for the client to find a family or friend who can help them, or some other community support that is offered.

Another key part to finding housing is creating and maintaining relationships with local landlords. Those relationships will allow you to lease up your clients faster and easier, as well as keep them in housing. Actively seek out landlords in your area and ask if they are willing to lease to people using subsidies. Those who are, keep in touch with them and let them know when you have people looking. Ask if they will reach out when they have vacancies. Remember, large property management agencies aren't the only game in town. Oftentimes, individual landlords are going to be your best bet to partner with.

Finding safe and affordable housing is the goal so it is required that when looking at a potential unit for your client, you assess the habitability and safety of a unit before they agree to rent.

Leasing Up

Once you've found housing for your client, you will need to work with them through the process of leasing up. The process will differ slightly depending on what subsidy, if any, the client has.

For clients with a project based subsidy, the paperwork will usually all be done with the landlord. The lease, subsidy paperwork, etc. will consist of one set of documents your client completes and returns to them.

For a tenant based subsidy, the process will be a little more complex. In that case, you will have paperwork to complete with the landlord, specifically the lease and any accompanying documents the landlord requires. In addition to that, the agency providing the subsidy will have paperwork that needs to be completed as well.

There will likely be a packet of paperwork to request approval for the unit. In the case of an HCV or STEP voucher, this is called the Request for Tenancy Approval (RFTA), or Request for Unit Approval (RFLA). Some documents you will have to bring to the landlord to complete, others you will complete with the tenant. There are also some you will go over and have signed by both parties. It is your job to communicate with the landlord and your client, gather the needed documents and return them to the agency.

Once those documents are in, the agency will schedule an inspection of the unit. If the unit passes, you will need to work with the landlord and client to get the lease signed and get a copy of the lease and final paperwork back to the agency issuing the subsidy.

The most important part of this whole process is communication. You will be the person coordinating things between the landlord, your client, and the agency. Make sure you communicate things to each party as the process unfolds. If there is a setback, like a failed inspection, it is important that you communicate that to everyone and let the landlord and client know what the next steps are. Landlords can get impatient when the process drags on, and this is much worse when they aren't being given regular information during the process. Understand that this usually not the landlord being uncooperative. The longer their unit remains vacant, the longer until they get paid. This is their livelihood so it is understandable that they will want to move forward as soon as possible.

Stabilization Services

When you have successfully housed your client, make sure to take a moment to celebrate this achievement with them! At the same time, recognize that your work and their work is not done. While getting a person into housing is important, keeping them there and ensuring they don't end up homeless in the future is every bit as important. Especially with a Housing First approach, Navigators need to realize that there are going to be many issues the client still needs to work on to be able to keep the housing they've gotten.

ESHAP requires that Navigators continue to work with a client on their Housing Stability Plans for one year following getting housed. HUD requires the program participant to meet with a Navigator not less than once per month to assist the program participant in ensuring long-term housing stability. This is required regardless of the type of housing they obtain. Subsidized or not, living with family or friends, it is your responsibility to continue working with them for a year to ensure they are stable in their housing moving forward. In the case of STEP/TBRA or Home to Stay HCV subsidies, the client is also obligated to continue with services. For other types of housing, the client may refuse navigation services if they choose. In the case of DVRC clients, they are

permitted to refuse service regardless of the voucher type. If the client refuses, you need to clearly document that in their client file. Remember, you are always obligated to offer services. The client is not always obligated to accept them.

If a client has opted or is required to continue services, but avoids/refuses contact with you, there are certain steps you should take at that point. Make every attempt to contact the client via phone, text, email, etc. Stop by their apartment and knock on the door. Leave them notes if they do not answer. If after 30 days the client is still refusing contact, leave them a note informing them that they will be exited from ESHAP services. If the client has a STEP or HTS HCV, this note should also inform them that they may lose their voucher if they are exited from ESHAP. At that point, you should also contact the HCV department to let them know the client has not responded. The HCV Occupancy Specialist will lead you through the next steps. For recordkeeping purposes, these attempts to contact a client can be counted as a service to be entered into HMIS or comparable database. The attempts to contact should also be noted in the client file.

Warm Hand-offs

In some situations, a client will attain housing that includes services, such as Permanent Supportive Housing (PSH). Often in those cases, continuing navigation services with that client may be redundant. If that is the case with a client, a Navigator may conduct a warm hand-off with the client and the new service provider.

A warm hand-off is not simply an email and a good luck to the client. Warm hand-offs are a process. They should include some meetings prior to transferring services, an exchange of information between you and the new service provider, and ideally a meeting with you, the client, and the new service provider during which you formally transfer the client to the new provider. Once the hand-off has occurred, you should check in with the new provider a couple times to ensure they do not need further information, and that all the details are in place to ensure you client continues to get the services they need.

Ending Services

Eventually, it will come time to end services with a client. This may happen when a client times out of the program, refuses services, transfers services to a new provider, is terminated, or any other number of reasons.

You must clearly document in the client's file when you are ending services, and the reason. In most cases, a simple note in the client file detailing the date and reason for exit is sufficient. If your agency is still using the ESHAP Exit Data form, this will also be sufficient.

However, if the client is being terminated from your services, more will be required. You or your agency will have to write the client a letter detailing the specific reason for termination, and there must be a specific reason to terminate. This letter should also detail who the client can contact if they wish to appeal this decision.

Of course, it is not always possible to sit down and give your client a letter when they are being terminated. All clients should be made aware that if they are terminated, a letter will be available for them, and they can contact your agency to get a copy of it after the fact.

If the client decides to appeal, they must be allowed to present evidence to someone other than the person who made the termination decision or a subordinate of that person. Upon hearing the appeal, the person or group must render a decision and inform the client in writing of their decision. All of these steps should be included in the client's file.

Regardless of why the client has been terminated from services, they must always be afforded the right to an appeal. This is a basic principle of due process, which must always be followed when you are refusing to provide services funded by federal and state monies.

Recordkeeping/Monitoring

While providing services to your clients, it is your responsibility to keep accurate and thorough records of the services you provide. The client file you create will help you to track those services and be able to easily communicate them to partner agencies and entities as needed. Also, it is a record that shows you have provided the services that federal and state funding pays for.

MaineHousing conducts periodic monitoring of your agency's client files, and any file can be selected for a review. This includes clients who were not entered into ESHAP services. Since ESHAP funding is also used to fund shelter operations, any shelter file is subject to review. When a Program Officer is reviewing a file, if something is not contained in it, it is assumed it did not happen. Accurate and complete records protect your agency from findings, and keeps your funding safe.

To ensure you are up-to-date on what will be looked for in a monitoring review, a copy of the file review sheet that MaineHousing Program Officers use when reviewing files is included in this guide. Using this sheet and the Documentation Guide on the following page will ensure that your client files have everything they need.

Documentation Guide

This chart will lead you through what need to be included in a client's file in order to be in compliance with ESHAP and ESG regulations.

Event/Scenario	Documentation in file	HMIS/Comp database?
Shelter Intake	-Intake form including date of intake -Homeless verification -Mainstream resources already being received.	YES, entry into shelter.
Initial assessment	-VI-SPDAT, with date and score	YES
If ESHAP Eligible	Initial Housing Stability Plan	YES, entry into ESHAP program.
If ESHAP Ineligible	Ineligibility Letter	NO
If Navigator is making ESHAP eligibility exception	Exception letter, detailing reason for exception.	YES, entry into ESHAP program.
Ongoing services in shelter/unsheltered	Housing Stability Plans every 90 days, updates every 30 days; Releases of information for any communications outside agency	YES, enter HSPs and updates as services in the ESHAP entry.
Mainstream Referrals	Copy of application/referral, or note in HSP updates	NO
Housing Referrals	Copy of application/referral, or note in HSP updates	NO
RentSmart	Certificate or notes showing evidence of class being offered/attended.	NO
Housing obtained	Client lease and/or note detailing client destination, subsidy type if necessary	YES, exit from shelter, ESHAP entry remains open.
If client refuses stabilization services	Note in file stating client has refused services	YES, exit from shelter and ESHAP.
Stabilization services	Housing Stability Plans every 90 days, updates every 30 days.	YES, enter HSPs and updates as services in the ESHAP entry.
End of services	Note in file, stating reason for end of service and date.	YES, exit from ESHAP
If client is terminated	Letter to client explaining reason for termination, options for appeal.	NO
If client appeals	Documents from appeal, letter of appeal decision.	NO
Releases of Information, including HMIS	HMIS release must be present as well as releases for landlords, providers or other services before contact occurs.	YES, HMIS NO, all others

Revision Date: 10/05/2020

MaineHousing Contacts

Laurie Murray
Director of Homeless Initiatives
lmurray@mainehousing.org
Phone: (207) 626-4674

Kelly Watson
Manager of Homeless Initiatives
kwatson@mainehousing.org
Phone: (207) 626-4677

Scott Tibbitts
COC Planning and Grants Coordinator
stibbitts@mainehousing.org
Phone: (207) 626-4604

Mike Shaughnessy
Homeless Project Coordinator
mshaughnessy@mainehousing.org
Phone: (207) 624-5723

Tia Knowlton-Basford
Homeless Initiatives Program Officer
tkbasford@mainehousing.org
Phone: (207) 624-5791

Linda Plourde
Homeless Initiatives Program Officer
lplourde@mainehousing.org
Phone: (207) 624-5716

Deb Lamarche-Quellette
Fiscal Operations Specialist
dquellette@mainehousing.org
Phone: (207) 624-5795

Mathew Carwell
Fiscal Compliance Specialist
mcarwell@mainehousing.org
Phone: (207) 624-5750

Christina Dingus
Homeless Coordinator
cdingus@mainehousing.org
Phone: (207) 626-4632

Mary Wade
HIMS System Administrator
mwade@mainehousing.org (207)
626-4601

Heather Dyer
HIMS Training & Support Specialist
hdyer@mainehousing.org Phone:
(207) 626-4685

April Reed
HIMS Application Specialist
areed@mainehousing.org Phone:
(207) 626-4694

Betty Lubua
Homeless Initiatives Support Specialist
blubua@mainehousing.org
Phone: (207) 624-5753

Housing Choice Voucher Department

Melissa Ames
Occupancy Specialist, HTS HCV
mames@mainehousing.org Phone:
(207) 624-5759

Christina Roy
Occupancy Specialist, STEP/TBRA
croym@mainehousing.org
Phone: (207) 624-5732

Supporting Documents:

All documents associated with ESHAP 2021 can be found at

<https://mainehousing.org/partners/partner-types/homeless-service-providers/homeless-initiatives>

Revision Date: 09/05/2020

Appendix A- Verifications of Homelessness

Category 1- Literally Homeless

If you have a client who is living in a place not meant for habitation, is coming from another emergency shelter, or was in an institution such as a hospital or rehab for less than 90 days, and was literally homeless prior to entry into that institution.

Verifying Category 1-

1. A declaration from a third party outreach worker who has witnessed the client in their homeless situation.
2. A signed letter from the discharging institution confirming the dates of the client's stay, and their homeless situation upon entry into that institution, or discharge paperwork affirming the same.
3. A signed self-declaration by the client or head of household that affirms that they are literally homeless and have nowhere else to stay.

Category 2- Imminently Homeless

People who are not yet homeless, but will become homeless within the next 14 days are eligible for entry into shelter. They are not eligible for entry into ESHAP services until they are in shelter or living in a place not meant for habitation for 14 days.

Verifying Category 2-

1. A copy of the court order requiring the client to vacate their residence within the next 14 days.
2. If the individual or family are staying in a hotel or motel for which they are paying themselves, evidence that they lack the funds to remain in that hotel/motel for more than the next 14 days.
3. An oral statement by the individual or head of household that they are required to leave their residence within the next 14 days. The staff verifying homelessness must attempt to contact the owner/renter of the property to verify this. If unable to contact the owner/renter, the staff must document the attempts made to contact and sign a certification to that effect. Head of household must then sign a certification stating they have no subsequent residence and they lack the resources needed to obtain permanent housing.

Category 3- Runaway and Homeless Youth

Youth under the age of 25 who do not qualify as homeless under these definitions, but do qualify as homeless under Runaway and Homeless Youth regulations.

Verifying Category 3-

1. Documentation from DHHS or another agency providing services to the youth attesting to their homeless status.

2. An observation from an outreach worker attesting to their qualification as homeless under RHY regulations.
3. Self-certification signed by client attesting to their qualification as homeless under RHY regulations.

Category 4- Fleeing Domestic Violence

Individuals or households whose homelessness has been caused due to fleeing domestic violence are eligible for assistance. In these cases, third party verification is not needed and should not be sought in order to maintain the safety of the clients.

Verifying Category 4

1. Oral declaration by the individual/head of household. Declaration must contain the following elements:
 - a. The household is in imminent danger and is fleeing for their safety.
 - b. They have not identified a subsequent residence.
 - c. They lack the resources/supports needed to obtain housing.

The oral declaration must be documented in the file, and can be signed by either the head of household or the intake worker.

Appendix B

Housing Stability Plan

Head Of Household: _____ Initial Renewal

Navigator: _____ Agency: _____ VI-SPDAT Score: _____

Other Household members: _____

Date: _____ **Renewal Due (90 Days):** _____

Housing Goal: _____

Strengths to achieve goal: _____

Barriers: _____

30 Day Update: _____ **Date:** _____

60 Day Update: _____ **Date:** _____

Goal achieved after 90 days? Y N

Income Goal: _____

Strengths to achieve goal: _____

Barriers: _____

30 Day Update: _____ **Date:** _____

60 Day Update: _____ **Date:** _____

Goal achieved after 90 days? Y N

Client Signature: _____ Nav Signature: _____

Documents needed for housing

Proof of Identity

- Driver's License
- State issued Photo ID
- Military ID
- Passport
- Birth Certificate

Lack of correct documentation is one of the most common barriers to housing. Waiting until a voucher is available to get these documents is too late. Work on this from day one of a client's shelter stay.

If client has none of the above, the below documents will be needed to obtain a Maine photo ID.

- Social Security Card, OR W-2 with SS # on it.
- Birth Certificate OR naturalization papers
- Proof of Maine residency, which can include:
 - Maine Vehicle Registration or other credential
 - Utility Bill- electric bill, water/sewer bill, cell phone bill, etc.
 - Maine Resident Hunting and/or Fishing License
 - Contract in their name: mortgage agreement, lease, insurance policy, insurance ID card, SR22
 - Tax bill
 - Document issued by a government entity
 - Tax return
 - Paycheck stub W-2
 - Conditional order of restoration

If none of those are available, two affidavits confirming Maine residence can be used.

Photo ID needed for every adult in household; Birth Cert. for all members needed for many programs

Proof of Income; All that apply

- Last 4 paystubs, or bank statements showing wages deposited
- TANF and/or SNAP award letter
- Child Support award letter
- SSI benefit letter
- Any other documentation of income (legal settlement, pension, etc)
- Zero Income certification

Proof of income must be provided for every adult in household

*Many programs will also need proof of disability; refer to individual program guides for specifics

Other Goal:

Strengths to achieve goal: _____

Barriers: _____

30 Day Update:

Date: _____

60 Day Update:

Date: _____

Goal achieved after 90 days? Y N

Other Goal:

Strengths to achieve goal: _____

Barriers: _____

30 Day Update:

Date: _____

60 Day Update:

Date: _____

Goal achieved after 90 days? Y N

Appendix C

Program Participant File Review					Date:
Name of Program Officer Completing Review:					
Client ID (from HMIS or Comparable Database):				Prior Notice:	
Date of Entry into ESHAP Program - (coordinated w/ VISPDAT):					
Date of Program Exit, if applicable:					
Manner of Exit from Program/Destination (if applicable)- shelter, termination, subsidy, unknown, etc.					
General Client File Information	Yes	No	Missing	Comments	Score
Was a VI-SPDAT administered to the client?					Score:
Was the VI-SPDAT conducted within 30 days? Record date:					Date:
Is there a VISPDAT justification letter present?					
Was the Housing Stability Plan completed within 30 days?					
Does the client have an individualized and up-to-date Housing Stability Plan?					
Was the client referred to an appropriate housing resource based upon their VI-SPDAT score? If no, is there documentation to justify utilized housing resource?					
Do the areas addressed in the Housing Stability Plan match the areas of concern identified in the VI-SPDAT?					
Were referrals made to mainstream resources or other programs in accordance needs identified in the VI-SPDAT?					
Did the client receive any type of "Rent Smart" classes or materials?					
Is the client still enrolled/receiving ESHAP assistance (any services)? (If no, record last date of service in HMIS).					
Are there appropriate releases of information in the client file? (HMIS, general releases)					
Does the file document that the client has been informed of their rights to fair housing?*					
Grievance policy procedures?*					
Appeal of termination policy procedures?*					
If the client is no longer enrolled/receiving assistance did the subrecipient document the date of termination and reason in client file?					
If this client was terminated due to program violations or noncompliance, does the file contain evidence that due process for termination was adequately managed? 576.402					
1. Written notice to the participant containing a clear statement of the reason for termination.					
2. A review of the decision, in which the participant is given the opportunity to present written or oral objections before a person other than the person (or subordinate of the person) who made or approved the termination decisions, AND					
3. Prompt written notification to the program participant. NOTE: Termination under housing relocation, stabilization and rental assistance does not bar the recipient or sub-recipient from providing further assistance at a later date to the same individual or family.					
Are there concerns regarding the content, or lack of content, of client file in regard to intake and assessment, informing clients of their rights and shelter rules & policies, required documentation, eligibility determinations, referrals, follow-up, and client exit?					

Homeless Verification 575.2	Yes	No	Entered	Comment	Comments
Under which category does this person/family meet HUD's definition of homelessness for ESHAP services? See below:					(ESHAP does not fund stabilization services for clients under Category 2&3)
Category 1. Literally Homeless: Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning 1) Has a primary nighttime residence that is a public or private place not meant for human habitation, or 2) is living in a shelter or place designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels or motels paid for by charitable organizations or the government).					
Which of the Required Documentation is present : 1) Written observation by the outreach worker or 2) Written referral by another housing or service provider or 3) Certification by the individual or head of household seeking assistance stating that (s)he was living on the streets or in a shelter; 4) For individuals exiting an institution one of the forms of evidence above AND: a. discharge paperwork or written/oral referral or b. written record of intake workers due diligence to obtain evidence AND certification by individual that they exited the institution.					
Category 4: Fleeing/Attempting to Flee DV: Any individual or family who: 1. is fleeing or attempting to flee domestic violence; 2. Has no other residence; 3. Lacks the resources or support networks to obtain other permanent housing. See below:					
Which of the Required Documentation is present: VSP's: An oral statement by the individual or head of household seeking assistance which states: they are fleeing; they have no subsequent residence; AND they lack resources. Statement must be documented by a self-certification by the intake worker. For non-VSP's- 1) an oral statement by the individual or head of household seeking assistance that they are fleeing. This statement is documented by a self-certification or by the caseworker. When the safety of the individual or family is not jeopardized the oral statement must be verified; AND certification by the individual or head of household that no subsequent residence has been identified AND self-certification or other written documentation that the individual or family lacks the financial support networks to obtain other housing.					
Under which category does this person/family meet HUD's definition of homelessness for Shelter Entry? See below:					
Category 1. Literally Homeless: Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning 1) Has a primary nighttime residence that is a public or private place not meant for human habitation, or 2) is living in a shelter or place designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels or motels paid for by charitable organizations or the government).					
Which of the Required Documentation is present : 1) Written observation by the outreach worker or 2) Written referral by another housing or service provider or 3) Certification by the individual or head of household seeking assistance stating that (s)he was living on the streets or in a shelter; 4) For individuals exiting an institution one of the forms of evidence above AND: a. discharge paperwork or written/oral referral or b. written record of intake workers due diligence to obtain evidence AND certification by individual that they exited the institution.					
Category 2: Imminent Risk of Homelessness: Individual or family who will imminently lose their primary nighttime residence, provided that: 1) Residence will be lost within 14 days of the date of application for homeless assistance; 2) No subsequent residence has been identified; and 3) The individual or family lacks the resources or support networks needed to obtain other permanent housing.					
Which of the Required Documentation is present : 1) A court order resulting from an eviction action notifying the individual or family that they must leave, or 2) For individual and families leaving a hotel or motel—evidence that they lack the financial resources to stay; or 3) A documented and verified oral statement; AND Certification that no subsequent residence has been identified; AND Self-certification or other written documentation that the individual lack the financial resources and support necessary to obtain permanent housing.					

<p>Category 3: Homeless under other Federal Statutes: Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition but who: 1) Are defined as homeless under the other listed federal statutes; 2) Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the homeless assistance application; 3) Have experienced persistent instability as measured by two moves or more during in the preceding 60 days; and 4) Can be expected to continue in such status for an extended period of time due to special needs or barriers.</p> <p>Which of the Required Documentation is present: 1) Certification by the nonprofit or state or local government that the individual or head of household seeking assistance met the criteria of homelessness under another federal statute; AND Certification of no PH in last 60 days; AND Certification by the individual or head of household, and any available supporting documentation, that (s)he has moved two or more times in the past 60 days; AND Documentation of special needs OR 2 or more barriers</p>					
<p>Category 4: Fleeing/Attempting to Flee DV: Any individual or family who: 1. Is fleeing or attempting to flee domestic violence; 2. Has no other residence; 3. Lacks the resources or support networks to obtain other permanent housing. See below.</p> <p>Which of the Required Documentation is present: VSP: An oral statement by the individual or head of household seeking assistance which states: they are fleeing; they have no subsequent residence; AND they lack resources. Statement must be documented by a self-certification by the intake worker. For non-VSPs- 1) an oral statement by the individual or head of household seeking assistance that they are fleeing. This statement is documented by a self-certification or by the caseworker. Where the safety of the individual or family is not jeopardized the oral statement must be verified; AND certification by the individual or head of household that no subsequent residence has been identified AND self-certification or other written documentation that the individual or family lacks the financial support networks to obtain other housing.</p>					
<p>Rapid Re-housing - Housing Relocation and Stabilization 576.104 and 576.105</p>	Yes	No	Pending	Complete	Comments
<p>Has the client received housing relocation and stabilization assistance under the Rapid Re-housing component? (Eligible for clients who meet the criteria under paragraph 1 of the homeless definition in 576.2, or who meet the criteria under paragraph 4 of the homeless definition and live in an emergency shelter or other place described in paragraph 1 of the homeless definition.)</p>					
<p>If the client moved into housing with ANY ESG assistance, is there evidence of a habitability and/or housing quality standards inspection in the client file.</p>					

*If not in file, each document must be posted publicly for anyone to see.

Appendix D

Vulnerability Index - Service Prioritization Decision Assistance Tool (VI-SPDAT)

Prescreen Triage Tool for Families

AMERICAN VERSION 2.0

©2015 OrgCode Consulting Inc. and Community Solutions. All rights reserved.
T (800) 355-0420 info@orgcode.com www.orgcode.com

COMMUNITY
SOLUTIONS



15

Welcome to the SPDAT Line of Products

The Service Prioritization Decision Assistance Tool (SPDAT) has been around in various incarnations for over a decade, before being released to the public in 2010. Since its initial release, the use of the SPDAT has been expanding exponentially and is now used in over one thousand communities across the United States, Canada, and Australia.

More communities using the tool means there is an unprecedented demand for versions of the SPDAT, customized for specific client groups or types of users. With the release of SPDAT V4, there have been more current versions of SPDAT products than ever before.

VI-SPDAT Series

The Vulnerability Index - Service Prioritization Decision Assistance Tool (VI-SPDAT) was developed as a pre-screening tool for communities that are very busy and do not have the resources to conduct a full SPDAT assessment for every client. It was made in collaboration with Community Solutions, creators of the Vulnerability Index, as a brief survey that can be conducted to quickly determine whether a client has high, moderate, or low acuity. The use of this survey can help prioritize which clients should be given a full SPDAT assessment first. Because it is a self-reported survey, no special training is required to use the VI-SPDAT.

Current versions available:

- VI-SPDAT V 2.0 for Individuals
- VI-SPDAT V 2.0 for Families
- VI-SPDAT V 2.0 for Youth

All versions are available online at

www.orgcode.com/products/vi-spdatt/

SPDAT Series

The Service Prioritization Decision Assistance Tool (SPDAT) was developed as an assessment tool for front-line workers at agencies that work with homeless clients to prioritize which of those clients should receive assistance first. The SPDAT tools are also designed to help guide case management and improve housing stability outcomes. They provide an in-depth assessment that relies on the assessor's ability to interpret responses and corroborate those with evidence. As a result, this tool may only be used by those who have received proper, up-to-date training provided by OrgCode Consulting, Inc. or an OrgCode certified trainer.

Current versions available:

- SPDAT V 4.0 for Individuals
- SPDAT V 4.0 for Families
- SPDAT V 4.0 for Youth

Information about all versions is available online at

www.orgcode.com/products/spdat/

SPDAT Training Series

To use the SPDAT, training by OrgCode or an OrgCode certified trainer is required. We provide training on a wide variety of topics over a variety of mediums.

The full-day in-person SPDAT Level 1 training provides you the opportunity to bring together as many people as you want to be trained for one low fee. The webinar training allows for a maximum of 15 different computers to be logged into the training at one time. We also offer online courses for individuals that you can do at your own speed.

The training gives you the manual, case studies, application to current practice, a review of each component of the tool, conversation guidance with prospective clients - and more!

Current SPDAT training available:

- Level 0 SPDAT Training: VI-SPDAT for Frontline Workers
- Level 1 SPDAT Training: SPDAT for Frontline Workers
- Level 2 SPDAT Training: SPDAT for Supervisors
- Level 3 SPDAT Training: SPDAT for Trainers

Other related training available:

- Excellence in Housing-Based Case Management
- Coordinated Access & Common Assessment
- Motivational Interviewing
- Objective-Based Interactions

More information about SPDAT training, including pricing, is available online at

<http://www.orgcode.com/product-category/training/spdat/>

Administration

Interviewer's Name	Agency	<input type="radio"/> Team <input type="radio"/> Staff <input type="radio"/> Volunteer
Survey Date DD/MM/YYYY ____/____/____	Survey Time ____:____	Survey Location

Opening Script

Every assessor in your community regardless of organization completing the VI-SPDAT should use the same introductory script. In that script you should highlight the following information:

- the name of the assessor and their affiliation (organization that employs them, volunteer as part of a Point in Time Count, etc.)
- the purpose of the VI-SPDAT being completed
- that it usually takes less than 7 minutes to complete
- that only "Yes," "No," or one-word answers are being sought
- that any question can be skipped or refused
- where the information is going to be stored
- that if the participant does not understand a question that clarification can be provided
- the importance of relaying accurate information to the assessor and not feeling that there is a correct or preferred answer that they need to provide, nor information they need to conceal

Basic Information

PARENT 1	First Name	Nickname	Last Name
	In what language do you feel best able to express yourself? _____		
	Date of Birth DD/MM/YYYY ____/____/____	Age	Social Security Number <input type="radio"/> Yes <input type="radio"/> No
PARENT 2	<input type="checkbox"/> No second parent currently part of the household		
	First Name	Nickname	Last Name
	Date of Birth DD/MM/YYYY ____/____/____	Age	Social Security Number <input type="radio"/> Yes <input type="radio"/> No
IF EITHER HEAD OF HOUSEHOLD IS 60 YEARS OF AGE OR OLDER, THEN SCORE 1			SCORE

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

TWML/F3

AMERICAN VERSION

Children

1. How many children under the age of 18 are currently with you? _____ Refused
2. How many children under the age of 18 are not currently with your family, but you have reason to believe they will be joining you when you get housed? _____ Refused
3. IF HOUSEHOLD INCLUDES A FEMALE: Is any member of the family currently pregnant? Y N Refused
4. Please provide a list of children's names and ages:

First Name	Last Name	Age	Date of Birth

IF THERE IS A SINGLE PARENT WITH 2+ CHILDREN, AND/OR A CHILD AGED 11 OR YOUNGER, AND/OR A CURRENT PREGNANCY, THEN SCORE 1 FOR **FAMILY SIZE**.
 IF THERE ARE TWO PARENTS WITH 3+ CHILDREN, AND/OR A CHILD AGED 6 OR YOUNGER, AND/OR A CURRENT PREGNANCY, THEN SCORE 1 FOR **FAMILY SIZE**.
SCORE:

A. History of Housing and Homelessness

5. Where do you and your family sleep most frequently? (check one)
 - Shelters
 - Transitional Housing
 - Safe Haven
 - Outdoors**
 - Other (specify):** _____
 - Refused**

IF THE PERSON ANSWERS ANYTHING OTHER THAN "SHELTER", "TRANSITIONAL HOUSING", OR "SAFE HAVEN", THEN SCORE 1.
SCORE:

6. How long has it been since you and your family lived in permanent stable housing? _____ Refused
7. In the last three years, how many times have you and your family been homeless? _____ Refused

IF THE FAMILY HAS EXPERIENCED 1 OR MORE CONSECUTIVE YEARS OF HOMELESSNESS, AND/OR 4+ EPISODES OF HOMELESSNESS, THEN SCORE 1.
SCORE:

B. Risks

8. In the past six months, how many times have you or anyone in your family...

- a) Received health care at an emergency department/room? Refused
- b) Taken an ambulance to the hospital? Refused
- c) Been hospitalized as an inpatient? Refused
- d) Used a crisis service, including sexual assault crisis, mental health crisis, family/intimate violence, distress centers and suicide prevention hotlines? Refused
- e) Talked to police because they witnessed a crime, were the victim of a crime, or the alleged perpetrator of a crime or because the police told them that they must move along? Refused
- f) Stayed one or more nights in a holding cell, jail or prison, whether that was a short-term stay like the drunk tank, a longer stay for a more serious offence, or anything in between? Refused

IF THE TOTAL NUMBER OF INTERACTIONS EQUALS 4 OR MORE, THEN SCORE 1 FOR EMERGENCY SERVICE USE. SCORE:

- 9. Have you or anyone in your family been attacked or beaten up since they've become homeless? Y N Refused
- 10. Have you or anyone in your family threatened to or tried to harm themselves or anyone else in the last year? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR RISK OF HARM. SCORE:

- 11. Do you or anyone in your family have any legal stuff going on right now that may result in them being locked up, having to pay fines, or that make it more difficult to rent a place to live? Y N Refused

IF "YES," THEN SCORE 1 FOR LEGAL ISSUES. SCORE:

- 12. Does anybody force or trick you or anyone in your family to do things that you do not want to do? Y N Refused
- 13. Do you or anyone in your family ever do things that may be considered to be risky like exchange sex for money, run drugs for someone, have unprotected sex with someone they don't know, share a needle, or anything like that? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR RISK OF EXPLOITATION. SCORE:

C. Socialization & Daily Functioning

14. Is there any person, past landlord, business, bookie, dealer, or government group like the IRS that thinks you or anyone in your family owe them money? **Y** **N** Refused

15. Do you or anyone in your family get any money from the government, a pension, an inheritance, working under the table, a regular job, or anything like that? **Y** **N** Refused

IF "YES" TO QUESTION 14 OR "NO" TO QUESTION 15, THEN SCORE 1 FOR **MONEY MANAGEMENT.** **SCORE:**

16. Does everyone in your family have planned activities, other than just surviving, that make them feel happy and fulfilled? **Y** **N** Refused

IF "NO," THEN SCORE 1 FOR **MEANINGFUL DAILY ACTIVITY.** **SCORE:**

17. Is everyone in your family currently able to take care of basic needs like bathing, changing clothes, using a restroom, getting food and clean water and other things like that? **Y** **N** Refused

IF "NO," THEN SCORE 1 FOR **SELF-CARE.** **SCORE:**

18. Is your family's current homelessness in any way caused by a relationship that broke down, an unhealthy or abusive relationship, or because other family or friends caused your family to become evicted? **Y** **N** Refused

IF "YES," THEN SCORE 1 FOR **SOCIAL RELATIONSHIPS.** **SCORE:**

D. Wellness

19. Has your family ever had to leave an apartment, shelter program, or other place you were staying because of the physical health of you or anyone in your family? **Y** **N** Refused

20. Do you or anyone in your family have any chronic health issues with your liver, kidneys, stomach, lungs or heart? **Y** **N** Refused

21. If there was space available in a program that specifically assists people that live with HIV or AIDS, would that be of interest to you or anyone in your family? **Y** **N** Refused

22. Does anyone in your family have any physical disabilities that would limit the type of housing you could access, or would make it hard to live independently because you'd need help? **Y** **N** Refused

23. When someone in your family is sick or not feeling well, does your family avoid getting medical help? **Y** **N** Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR **PHYSICAL HEALTH.** **SCORE:**

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

IWMH/F3

AMERICAN VERSION

24. Has drinking or drug use by you or anyone in your family led your family to being kicked out of an apartment or program where you were staying in the past? Y N Refused

25. Will drinking or drug use make it difficult for your family to stay housed or afford your housing? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR SUBSTANCE USE. SCORE:

26. Has your family ever had trouble maintaining your housing, or been kicked out of an apartment, shelter program or other place you were staying, because of:

a) A mental health issue or concern? Y N Refused

b) A past head injury? Y N Refused

c) A learning disability, developmental disability, or other impairment? Y N Refused

27. Do you or anyone in your family have any mental health or brain issues that would make it hard for your family to live independently because help would be needed? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR MENTAL HEALTH. SCORE:

28. IF THE FAMILY SCORED 1 EACH FOR PHYSICAL HEALTH, SUBSTANCE USE, AND MENTAL HEALTH: Does any single member of your household have a medical condition, mental health concerns, and experience with problematic substance use? Y N N/A or Refused

IF "YES", SCORE 1 FOR TRI-MORBIDITY. SCORE:

29. Are there any medications that a doctor said you or anyone in your family should be taking that, for whatever reason, they are not taking? Y N Refused

30. Are there any medications like painkillers that you or anyone in your family don't take the way the doctor prescribed or where they sell the medication? Y N Refused

IF "YES" TO ANY OF THE ABOVE, SCORE 1 FOR MEDICATIONS. SCORE:

31. YES OR NO: Has your family's current period of homelessness been caused by an experience of emotional, physical, psychological, sexual, or other type of abuse, or by any other trauma you or anyone in your family have experienced? Y N Refused

IF "YES", SCORE 1 FOR ABUSE AND TRAUMA. SCORE:

E. Family Unit

32. Are there any children that have been removed from the family by a child protection service within the last 180 days? Y N Refused

33. Do you have any family legal issues that are being resolved in court or need to be resolved in court that would impact your housing or who may live within your housing? Y N Refused

IF "YES" TO ANY OF THE ABOVE, SCORE 1 FOR FAMILY LEGAL ISSUES. **SCORE:**

34. In the last 180 days have any children lived with family or friends because of your homelessness or housing situation? Y N Refused

35. Has any child in the family experienced abuse or trauma in the last 180 days? Y N Refused

36. IF THERE ARE SCHOOL-AGED CHILDREN: Do your children attend school more often than not each week? Y N N/A or Refused

IF "YES" TO ANY OF QUESTIONS 34 OR 35, OR "NO" TO QUESTION 36, SCORE 1 FOR NEEDS OF CHILDREN. **SCORE:**

37. Have the members of your family changed in the last 180 days, due to things like divorce, your kids coming back to live with you, someone leaving for military service or incarceration, a relative moving in, or anything like that? Y N Refused

38. Do you anticipate any other adults or children coming to live with you within the first 180 days of being housed? Y N Refused

IF "YES" TO ANY OF THE ABOVE, SCORE 1 FOR FAMILY STABILITY. **SCORE:**

39. Do you have two or more planned activities each week as a family such as outings to the park, going to the library, visiting other family, watching a family movie, or anything like that? Y N Refused

40. After school, or on weekends or days when there isn't school, is the total time children spend each day where there is no interaction with you or another responsible adult...

a) 3 or more hours per day for children aged 13 or older? Y N Refused

b) 2 or more hours per day for children aged 12 or younger? Y N Refused

41. IF THERE ARE CHILDREN BOTH 12 AND UNDER & 13 AND OVER: Do your older kids spend 2 or more hours on a typical day helping their younger sibling(s) with things like getting ready for school, helping with homework, making them dinner, bathing them, or anything like that? Y N N/A or Refused

IF "NO" TO QUESTION 39, OR "YES" TO ANY OF QUESTIONS 40 OR 41, SCORE 1 FOR PARENTAL ENGAGEMENT. **SCORE:**

Scoring Summary

DOMAIN	SUBTOTAL	RESULTS
PRE-SURVEY	/2	Score: Recommendation: 0-3 no housing intervention 4-8 an assessment for Rapid Re-Housing 9+ an assessment for Permanent Supportive Housing/Housing First
A. HISTORY OF HOUSING & HOMELESSNESS	/2	
B. RISKS	/4	
C. SOCIALIZATION & DAILY FUNCTIONS	/4	
D. WELLNESS	/6	
E. FAMILY UNIT	/4	
GRAND TOTAL:	/22	

Follow-Up Questions

On a regular day, where is it easiest to find you and what time of day is easiest to do so?	place: _____ time: ____: ____ or Morning/Afternoon/Evening/Night
Is there a phone number and/or email where someone can safely get in touch with you or leave you a message?	phone: (____) _____ email: _____
Ok, now I'd like to take your picture so that it is easier to find you and confirm your identity in the future. May I do so?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Refused

Communities are encouraged to think of additional questions that may be relevant to the programs being operated or your specific local context. This may include questions related to:

- military service and nature of discharge
- aging out of care
- mobility issues
- legal status in country
- income and source of it
- current restrictions on where a person can legally reside
- children that may reside with the adult at some point in the future
- safety planning

Appendix A: About the VI-SPDAT

The HEARTH Act and federal regulations require communities to have an assessment tool for coordinated entry – and the VI-SPDAT and SPDAT meet these requirements. Many communities have struggled to comply with this requirement, which demands an investment of considerable time, resources and expertise. Others are making it up as they go along, using “gut instincts” in lieu of solid evidence. Communities need a practical, evidence-informed way to satisfy federal regulations while quickly implementing an effective approach to access and assessment. The VI-SPDAT is a first-of-its-kind tool designed to fill this need, helping communities end homelessness in a quick, strategic fashion.

The VI-SPDAT

The VI-SPDAT was initially created by combining the elements of the Vulnerability Index which was created and implemented by Community Solutions broadly in the 100,000 Homes Campaign, and the SPDAT Prescreen Instrument that was part of the Service Prioritization Decision Assistance Tool. The combination of these two instruments was performed through extensive research and development, and testing. The development process included the direct voice of hundreds of persons with lived experience.

The VI-SPDAT examines factors of current vulnerability and future housing stability. It follows the structure of the SPDAT assessment tool, and is informed by the same research backbone that supports the SPDAT – almost 300 peer reviewed published journal articles, government reports, clinical and quasi-clinical assessment tools, and large data sets. The SPDAT has been independently tested, as well as internally reviewed. The data overwhelmingly shows that when the SPDAT is used properly, housing outcomes are better than when no assessment tool is used.

The VI-SPDAT is a triage tool. It highlights areas of higher acuity, thereby helping to inform the type of support and housing intervention that may be most beneficial to improve long term housing outcomes. It also helps inform the order – or priority – in which people should be served. The VI-SPDAT does not make decisions; it informs decisions. The VI-SPDAT provides data that communities, service providers, and people experiencing homelessness can use to help determine the best course of action next.

Version 2

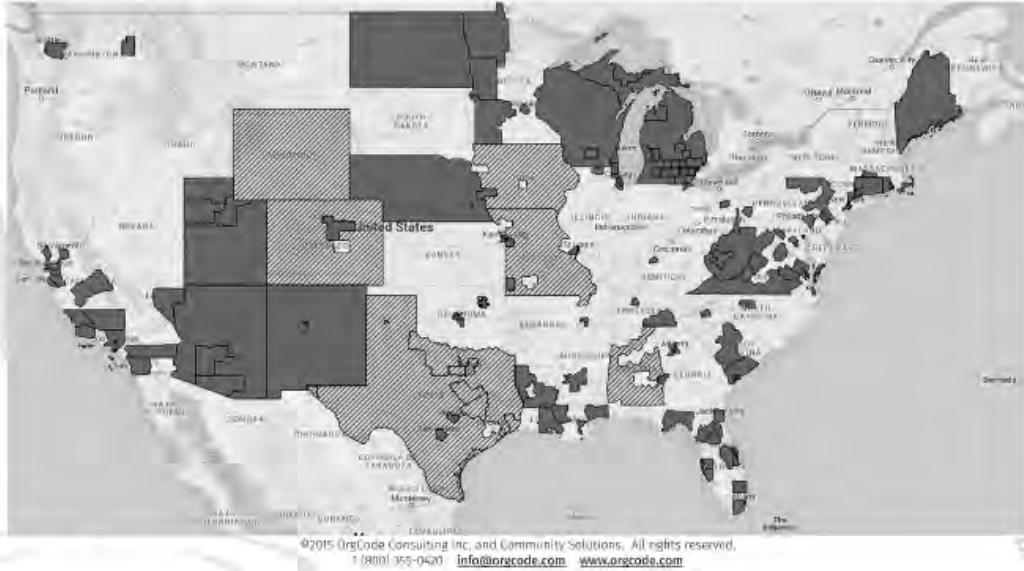
Version 2 builds upon the success of Version 1 of the VI-SPDAT with some refinements. Starting in August 2014, a survey was launched of existing VI-SPDAT users to get their input on what should be amended, improved, or maintained in the tool. Analysis was completed across all of these responses. Further research was conducted. Questions were tested and refined over several months, again including the direct voice of persons with lived experience and frontline practitioners. Input was also gathered from senior government officials that create policy and programs to help ensure alignment with guidelines and funding requirements.

You will notice some differences in Version 2 compared to Version 1. Namely:

- it is shorter, usually taking less than 7 minutes to complete;
- subjective elements through observation are now gone, which means the exact same instrument can be used over the phone or in-person;
- medical, substance use, and mental health questions are all refined;
- you can now explicitly see which component of the full SPDAT each VI-SPDAT question links to; and,
- the scoring range is slightly different (Don't worry, we can provide instructions on how these relate to results from Version 1).

Appendix B: Where the VI-SPDAT is being used in the United States

Since the VI-SPDAT is provided completely free of charge, and no training is required, any community is able to use the VI-SPDAT without the explicit permission of Community Solutions or OrgCode Consulting, Inc. As a result, the VI-SPDAT is being used in more communities than we know of. It is also being used in Canada and Australia.



A partial list of continua of care (CoCs) in the US where we know the VI-SPDAT is being used includes:

- Alabama**
 - + Parts of Alabama Balance of State
- Arizona**
 - + Statewide
- California**
 - + San Jose/Santa Clara City & County
 - + San Francisco
 - + Oakland/Alameda County
 - + Sacramento City & County
 - + Richmond/Contra Costa County
 - + Watsonville/Santa Cruz City & County
 - + Fresno/Madera County
 - + Napa City & County
 - + Los Angeles City & County
 - + San Diego
 - + Santa Maria/Santa Barbara County
 - + Ukiah/Butte/Kern County
 - + Pasadena
 - + Riverside City & County
 - + Glendale
 - + San Luis Obispo County
- Colorado**
 - + Metropolitan Denver Homeless Initiative
 - + Parts of Colorado Balance of State
- Connecticut**
 - + Hartford
 - + Bridgeport/Stamford/Fairfield
 - + Connecticut Balance of State
 - + Norwalk/Fairfield County
 - + Stamford/Greenwich
 - + City of Waterbury
- District of Columbia**
 - + District of Columbia
- Florida**
 - + Sarasota/Bradenton/Manatee, Sarasota Counties
 - + Tampa/Hillsborough County
 - + St. Petersburg/Clearwater/Largo/Pinellas County
 - + Tallahassee/Leon County
 - + Orlando/Orange, Osceola, Seminole Counties
 - + Gainesville/Marshfield/Palm Bay Counties
 - + Jacksonville-Duval, Clay Counties
 - + Palm Bay/Melbourne/Brevard County
 - + Ocala/Marion County
 - + Miami/Dade County
 - + West Palm Beach/Palm Beach County
- Georgia**
 - + Atlanta County
 - + Fulton County
 - + Columbus-Muscogee/Russell County
 - + Marietta/Cobb County
 - + DeKalb County
- Hawaii**
 - + Honolulu
- Illinois**
 - + Rockford/Winnebago, Boone Counties
 - + Waukegan/North Chicago/Lake County
 - + Chicago
 - + Cook County
- Iowa**
 - + Parts of Iowa Balance of State
- Kansas**
 - + Kansas City/Wyandotte County
- Kentucky**
 - + Louisville/Jefferson County
- Louisiana**
 - + Lafayette/Acadiana
 - + Shreveport/Bossier/ NorthWest
 - + New Orleans/Jefferson Parish
 - + Baton Rouge
 - + Alexandria/Central Louisiana COC
- Massachusetts**
 - + Cape Cod/Islands
 - + Springfield/Holyoke/Chicopee/Westfield/Hampden County
- Maryland**
 - + Baltimore City
 - + Montgomery County
- Maine**
 - + Statewide
- Michigan**
 - + Statewide
- Minnesota**
 - + Minneapolis/Hennepin County
 - + Northwest Minnesota
 - + Moorhead/West Central Minnesota
 - + Southwest Minnesota
- Missouri**
 - + St. Louis County
 - + St. Louis City
 - + Joplin/Jasper, Newton Counties
 - + Kansas City/Independence/ Lee's Summit/Jackson County
 - + Parts of Missouri Balance of State
- Mississippi**
 - + Jackson/Rankin, Madison Counties
 - + Gulf Port/Gulf Coast Region
- North Carolina**
 - + Winston-Salem/Forsyth County
 - + Asheville/Transylvania County
 - + Greensboro/High Point
- North Dakota**
 - + Statewide
- Nebraska**
 - + Statewide
- New Mexico**
 - + Statewide
- Nevada**
 - + Las Vegas/Clark County
- New York**
 - + New York City
 - + Yonkers/ Mount Vernon/New Rochelle/Westchester County
- Ohio**
 - + Toledo/Lucas County
 - + Canton/Massillon/ Alliance/ Stark County
- Oklahoma**
 - + Tulsa City & County/Broken/Arrow
 - + Oklahoma City
 - + Norman/Cleveland County
- Pennsylvania**
 - + Philadelphia
 - + Lower Merion/Norristown/ Abington/Montgomery County
 - + Allentown/Northeast Pennsylvania
 - + Lancaster City & County
 - + Bristol/Benzelton/Rocks County
 - + Pittsburgh/McKeesport/Penn Hills/Allegheny County
- Rhode Island**
 - + Statewide
- South Carolina**
 - + Charleston/Low Country
 - + Columbia/Midlands
- Tennessee**
 - + Chattanooga/Southeast Tennessee
 - + Memphis/Smith County
 - + Nashville/Davidson County
- Texas**
 - + San Antonio/Bexar County
 - + Austin/Texas County
 - + Dallas City & County/DFW
 - + Fort Worth/Arlington/Tarrant County
 - + El Paso City and County
 - + Waco/McLennan County
 - + Texas Balance of State
 - + Amarillo
 - + Wichita Falls/Wise, Palo Pinto, Wichita, Archer Counties
 - + Bryan/College Station/ Brazos Valley
 - + Beaumont/Port Arthur/Southeast Texas
- Utah**
 - + Statewide
- Virginia**
 - + Richmond/Henrich, Chesterfield, Hanover Counties
 - + Roanoke City & County/Salem
 - + Virginia Beach
 - + Portsmouth
 - + Virginia Balance of State
 - + Arlington County
- Washington**
 - + Seattle/King County
 - + Spokane City & County
- Wisconsin**
 - + Statewide
- West Virginia**
 - + Statewide
- Wyoming**
 - + Wyoming Statewide is in the process of implementing

©2015 Orgcode Consulting Inc. and Community Solutions. All rights reserved.
 1 (888) 355-0440 info@orgcode.com www.orgcode.com

**Vulnerability Index -
Service Prioritization Decision Assistance Tool
(VI-SPDAT)**

Prescreen Triage Tool for Single Adults

AMERICAN VERSION 2.0

© 2019 InqCode Consulting Inc. and Community Solutions. All rights reserved.
1 (800) 256-0487 [info@inqcode.com](http://info.inqcode.com) www.inqcode.com

**COMMUNITY
SOLUTIONS**



Welcome to the SPDAT Line of Products

The Service Prioritization Decision Assistance Tool (SPDAT) has been around in various incarnations for over a decade, before being released to the public in 2010. Since its initial release, the use of the SPDAT has been expanding exponentially and is now used in over one thousand communities across the United States, Canada, and Australia.

More communities using the tool means there is an unprecedented demand for versions of the SPDAT, customized for specific client groups or types of users. With the release of SPDAT V4, there have been more current versions of SPDAT products than ever before.

VI-SPDAT Series

The Vulnerability Index – Service Prioritization Decision Assistance Tool (VI-SPDAT) was developed as a pre-screening tool for communities that are very busy and do not have the resources to conduct a full SPDAT assessment for every client. It was made in collaboration with Community Solutions, creators of the Vulnerability Index, as a brief survey that can be conducted to quickly determine whether a client has high, moderate, or low acuity. The use of this survey can help prioritize which clients should be given a full SPDAT assessment first. Because it is a self-reported survey, no special training is required to use the VI-SPDAT.

Current versions available:

- VI-SPDAT V 2.0 for Individuals
- VI-SPDAT V 2.0 for Families
- VI-SPDAT V 1.0 for Youth

All versions are available online at

www.orgcode.com/products/vi-spdatt/

SPDAT Series

The Service Prioritization Decision Assistance Tool (SPDAT) was developed as an assessment tool for front-line workers at agencies that work with homeless clients to prioritize which of those clients should receive assistance first. The SPDAT tools are also designed to help guide case management and improve housing stability outcomes. They provide an in-depth assessment that relies on the assessor's ability to interpret responses and corroborate those with evidence. As a result, this tool may only be used by those who have received proper, up-to-date training provided by OrgCode Consulting, Inc. or an OrgCode certified trainer.

Current versions available:

- SPDAT V 4.0 for Individuals
- SPDAT V 2.0 for Families
- SPDAT V 1.0 for Youth

Information about all versions is available online at

www.orgcode.com/products/spdat/

SPDAT Training Series

To use the SPDAT, training by OrgCode or an OrgCode certified trainer is required. We provide training on a wide variety of topics over a variety of mediums.

The full-day in-person SPDAT Level 1 training provides you the opportunity to bring together as many people as you want to be trained for one low fee. The webinar training allows for a maximum of 15 different computers to be logged into the training at one time. We also offer online courses for individuals that you can do at your own speed.

The training gives you the manual, case studies, application to current practice, a review of each component of the tool, conversation guidance with prospective clients – and more!

Current SPDAT training available:

- Level 0 SPDAT Training: VI-SPDAT for Frontline Workers
- Level 1 SPDAT Training: SPDAT for Frontline Workers
- Level 2 SPDAT Training: SPDAT for Supervisors
- Level 3 SPDAT Training: SPDAT for Trainers

Other related training available:

- Excellence in Housing-Based Case Management
- Coordinated Access & Common Assessment
- Motivational Interviewing
- Objective-Based Interactions

More information about SPDAT training, including pricing, is available online at:

<http://www.orgcode.com/product-category/training/spdat/>

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

SINGLE ADMIN

AMERICAN VERSION 0.0

Administration

Interviewer's Name	Agency	<input type="checkbox"/> Team <input type="checkbox"/> Staff <input type="checkbox"/> Volunteer
Survey Date DD/MM/YYYY ____/____/____	Survey Time ____:____ AM/PM	Survey Location

Opening Script

Every assessor in your community regardless of organization completing the VI-SPDAT should use the same introductory script. In that script you should highlight the following information:

- the name of the assessor and their affiliation (organization that employs them, volunteer as part of a Point in Time Count, etc.)
- the purpose of the VI-SPDAT being completed
- that it usually takes less than 7 minutes to complete
- that only "Yes," "No," or one-word answers are being sought.
- that any question can be skipped or refused
- where the information is going to be stored
- that if the participant does not understand a question or the assessor does not understand the question that clarification can be provided
- the importance of relaying accurate information to the assessor and not feeling that there is a correct or preferred answer that they need to provide, nor information they need to conceal

Basic Information

First Name	Nickname	Last Name
In what language do you feel best able to express yourself? _____		
Date of Birth DD/MM/YYYY ____/____/____	Age	Social Security Number
		Consent to participate <input type="checkbox"/> Yes <input type="checkbox"/> No

IF THE PERSON IS 60 YEARS OF AGE OR OLDER, THEN SCORE 1: **SCORE:**

A. History of Housing and Homelessness

1. Where do you sleep most frequently? (check one)

- Shelters
- Transitional Housing
- Safe Haven
- Outdoors**
- Other (specify):** _____
- Refused**

IF THE PERSON ANSWERS ANYTHING OTHER THAN "SHELTER", "TRANSITIONAL HOUSING", OR "SAFE HAVEN", THEN SCORE 1. **SCORE:** _____

2. How long has it been since you lived in permanent stable housing? _____ Refused

3. In the last three years, how many times have you been homeless? _____ Refused

IF THE PERSON HAS EXPERIENCED 1 OR MORE CONSECUTIVE YEARS OF HOMELESSNESS, AND/OR 4+ EPISODES OF HOMELESSNESS, THEN SCORE 1. **SCORE:** _____

B. Risks

4. In the past six months, how many times have you...

- a) Received health care at an emergency department/room? _____ Refused
- b) Taken an ambulance to the hospital? _____ Refused
- c) Been hospitalized as an inpatient? _____ Refused
- d) Used a crisis service, including sexual assault crisis, mental health crisis, family/intimate violence, distress centers and suicide prevention hotlines? _____ Refused
- e) Talked to police because you witnessed a crime; were the victim of a crime, or the alleged perpetrator of a crime or because the police told you that you must move along? _____ Refused
- f) Stayed one or more nights in a holding cell, jail or prison, whether that was a short-term stay like the drunk tank, a longer stay for a more serious offence, or anything in between? _____ Refused

IF THE TOTAL NUMBER OF INTERACTIONS EQUALS 4 OR MORE, THEN SCORE 1 FOR EMERGENCY SERVICE USE. **SCORE:** _____

5. Have you been attacked or beaten up since you've become homeless? Y N Refused

6. Have you threatened to or tried to harm yourself or anyone else in the last year? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR RISK OF HARM. **SCORE:** _____

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

SPANISH VERSION

AMERICAN VERSION

7. Do you have any legal stuff going on right now that may result in you being locked up, having to pay fines, or that make it more difficult to rent a place to live? Y N Refused

IF "YES" THEN SCORE 1 FOR LEGAL ISSUES.

SCORE:

8. Does anybody force or trick you to do things that you do not want to do? Y N Refused

9. Do you ever do things that may be considered to be risky like exchange sex for money, run drugs for someone, have unprotected sex with someone you don't know, share a needle, or anything like that? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR RISK OF EXPLOITATION.

SCORE:

C. Socialization & Daily Functioning

10. Is there any person, past landlord, business, bookie, dealer, or government group like the IRS that thinks you owe them money? Y N Refused

11. Do you get any money from the government, a pension, an inheritance, working under the table, a regular job, or anything like that? Y N Refused

IF "YES" TO QUESTION 10 OR "NO" TO QUESTION 11, THEN SCORE 1 FOR MONEY MANAGEMENT.

SCORE:

12. Do you have planned activities, other than just surviving, that make you feel happy and fulfilled? Y N Refused

IF "NO" THEN SCORE 1 FOR MEANINGFUL DAILY ACTIVITY.

SCORE:

13. Are you currently able to take care of basic needs like bathing, changing clothes, using a restroom, getting food and clean water and other things like that? Y N Refused

IF "NO" THEN SCORE 1 FOR SELF-CARE.

SCORE:

14. Is your current homelessness in any way caused by a relationship that broke down, an unhealthy or abusive relationship, or because family or friends caused you to become evicted? Y N Refused

IF "YES" THEN SCORE 1 FOR SOCIAL RELATIONSHIPS.

SCORE:

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

318067-000000

AMERICAN VERSION

D. Wellness

- 15. Have you ever had to leave an apartment, shelter program, or other place you were staying because of your physical health? Y N Refused
- 16. Do you have any chronic health issues with your liver, kidneys, stomach, lungs or heart? Y N Refused
- 17. If there was space available in a program that specifically assists people that live with HIV or AIDS, would that be of interest to you? Y N Refused
- 18. Do you have any physical disabilities that would limit the type of housing you could access, or would make it hard to live independently because you'd need help? Y N Refused
- 19. When you are sick or not feeling well, do you avoid getting help? Y N Refused
- 20. FOR FEMALE RESPONDENTS ONLY: Are you currently pregnant? Y N N/A or Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR PHYSICAL HEALTH. SCORE:

- 21. Has your drinking or drug use led you to being kicked out of an apartment or program where you were staying in the past? Y N Refused
- 22. Will drinking or drug use make it difficult for you to stay housed or afford your housing? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR SUBSTANCE USE. SCORE:

- 23. Have you ever had trouble maintaining your housing, or been kicked out of an apartment, shelter program or other place you were staying, because of:
 - a) A mental health issue or concern? Y N Refused
 - b) A past head injury? Y N Refused
 - c) A learning disability, developmental disability, or other impairment? Y N Refused
- 24. Do you have any mental health or brain issues that would make it hard for you to live independently because you'd need help? Y N Refused

IF "YES" TO ANY OF THE ABOVE, THEN SCORE 1 FOR MENTAL HEALTH. SCORE:

IF THE RESPONDENT SCORED 1 FOR PHYSICAL HEALTH AND 1 FOR SUBSTANCE USE AND 1 FOR MENTAL HEALTH, SCORE 1 FOR TRI-MORBIDITY. SCORE:

VULNERABILITY INDEX - SERVICE PRIORITIZATION DECISION ASSISTANCE TOOL (VI-SPDAT)

ENGLISH VERSION

AMERICAN VERSION

25. Are there any medications that a doctor said you should be taking that, for whatever reason, you are not taking? Y N Refused

26. Are there any medications like painkillers that you don't take the way the doctor prescribed or where you sell the medication? Y N Refused

IF "YES" TO ANY OF THE ABOVE, SCORE 1 FOR MEDICATIONS. SCORE:

27. YES OR NO: Has your current period of homelessness been caused by an experience of emotional, physical, psychological, sexual, or other type of abuse, or by any other trauma you have experienced? Y N Refused

IF "YES", SCORE 1 FOR ABUSE AND TRAUMA. SCORE:

Scoring Summary

DOMAIN	SUBTOTAL	RESULTS
PRE-SURVEY	/1	Score: Recommendation: 0-3: no housing intervention 4-7: an assessment for Rapid Re-Housing 8+: an assessment for Permanent Supportive Housing/Housing First
A. HISTORY OF HOUSING & HOMELESSNESS	/2	
B. RISKS	/4	
C. SOCIALIZATION & DAILY FUNCTIONS	/4	
D. WELLNESS	/6	
GRAND TOTAL:	/17	

Follow-Up Questions

On a regular day, where is it easiest to find you and what time of day is easiest to do so?	place: _____ time: _____ or Morning/Afternoon/Evening/Night
Is there a phone number and/or email where someone can safely get in touch with you or leave you a message?	phone: (____) _____ email: _____
Ok, now I'd like to take your picture so that it is easier to find you and confirm your identity in the future. May I do so?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Refused

Communities are encouraged to think of additional questions that may be relevant to the programs being operated or your specific local context. This may include questions related to:

- military service and nature of discharge
- ageing out of care
- mobility issues
- legal status in country
- income and source of it
- current restrictions on where a person can legally reside
- children that may reside with the adult at some point in the future
- safety planning

Appendix A: About the VI-SPDAT

The HEARTH Act and federal regulations require communities to have an assessment tool for coordinated entry – and the VI-SPDAT and SPDAT meet these requirements. Many communities have struggled to comply with this requirement, which demands an investment of considerable time, resources and expertise. Others are making it up as they go along, using “gut instincts” in lieu of solid evidence. Communities need practical, evidence-informed tools that enhance their ability to satisfy federal regulations and quickly implement an effective approach to access and assessment. The VI-SPDAT is a first-of-its-kind tool designed to fill this need, helping communities end homelessness in a quick, strategic fashion.

The VI-SPDAT

The VI-SPDAT was initially created by combining the elements of the Vulnerability Index which was created and implemented by Community Solutions broadly in the 100,000 Homes Campaign, and the SPDAT Prescreening Instrument that was part of the Service Prioritization Decision Assistance Tool. The combination of these two instruments was performed through extensive research and development, and testing. The development process included the direct voice of hundreds of persons with lived experience.

The VI-SPDAT examines factors of current vulnerability and future housing stability. It follows the structure of the SPDAT assessment tool, and is informed by the same research backbone that supports the SPDAT – almost 300 peer reviewed published journal articles, government reports, clinical and quasi-clinical assessment tools, and large data sets. The SPDAT has been independently tested, as well as internally reviewed. The data overwhelmingly shows that when the SPDAT is used properly, housing outcomes are better than when no assessment tool is used.

The VI-SPDAT is a triage tool. It highlights areas of higher acuity, thereby helping to inform the type of support and housing intervention that may be most beneficial to improve long term housing outcomes. It also helps inform the order – or priority – in which people should be served. The VI-SPDAT does not make decisions; it informs decisions. The VI-SPDAT provides data that communities, service providers, and people experiencing homelessness can use to help determine the best course of action next.

Version 2

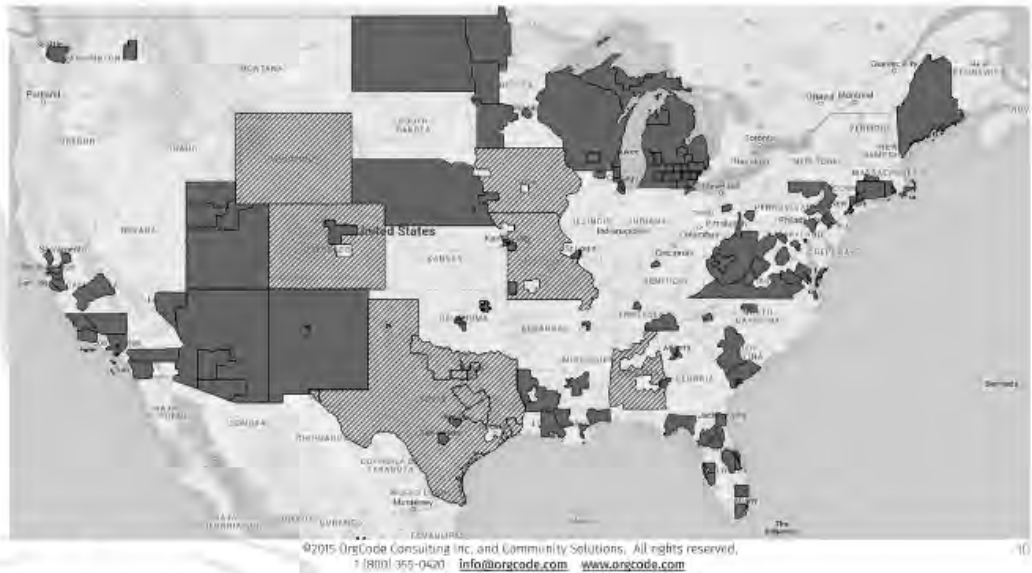
Version 2 builds upon the success of Version 1 of the VI-SPDAT with some refinements. Starting in August 2014, a survey was launched of existing VI-SPDAT users to get their input on what should be amended, improved, or maintained in the tool. Analysis was completed across all of these responses. Further research was conducted. Questions were tested and refined over several months, again including the direct voice of persons with lived experience and frontline practitioners. Input was also gathered from senior government officials that create policy and programs to help ensure alignment with guidelines and funding requirements.

You will notice some differences in Version 2 compared to Version 1. Namely:

- it is shorter, usually taking less than 7 minutes to complete;
- subjective elements through observation are now gone, which means the exact same instrument can be used over the phone or in-person;
- medical, substance use, and mental health questions are all refined;
- you can now explicitly see which component of the full SPDAT each VI-SPDAT question links to; and,
- the scoring range is slightly different (Don't worry, we can provide instructions on how these relate to results from Version 1).

Appendix B: Where the VI-SPDAT is being used in the United States

Since the VI-SPDAT is provided completely free of charge, and no training is required, any community is able to use the VI-SPDAT without the explicit permission of Community Solutions or OrgCode Consulting, Inc. As a result, the VI-SPDAT is being used in more communities than we know of. It is also being used in Canada and Australia.



A partial list of continua of care (CoCs) in the US where we know the VI-SPDAT is being used includes:

- Alabama**
 - + Parts of Alabama Balance of State
- Arizona**
 - + Statewide
- California**
 - + San Jose/Santa Clara City & County
 - + San Francisco
 - + Oakland/Alameda County
 - + Sacramento City & County
 - + Richmond/Contra Costa County
 - + Watsonville/Santa Cruz City & County
 - + Fresno/Madera County
 - + Napa City & County
 - + Los Angeles City & County
 - + San Diego
 - + Santa Maria/Santa Barbara County
 - + Ukiah/Butte/Kern County
 - + Pasadena
 - + Riverside City & County
 - + Glendale
 - + San Luis Obispo County
- Colorado**
 - + Metropolitan Denver Homeless Initiative
 - + Parts of Colorado Balance of State
- Connecticut**
 - + Hartford
 - + Bridgeport/Stamford/Fairfield
 - + Connecticut Balance of State
 - + Norwalk/Fairfield County
 - + Stamford/Greenwich
 - + City of Waterbury
- District of Columbia**
 - + District of Columbia
- Florida**
 - + Sarasota/Bradenton/Manatee, Sarasota Counties
 - + Tampa/Hillsborough County
 - + St. Petersburg/Clearwater/Largo/Pinellas County
 - + Tallahassee/Leon County
 - + Orlando/Orange, Osceola, Seminole Counties
 - + Gainesville/Marshfield/Palm Bay Counties
 - + Jacksonville-Duval City Counties
 - + Palm Bay/Melbourne/Brevard County
 - + Ocala/Marion County
 - + Miami/Dade County
 - + West Palm Beach/Palm Beach County
- Georgia**
 - + Atlanta County
 - + Fulton County
 - + Columbus-Muscogee/Russell County
 - + Marietta/Cobb County
 - + DeKalb County
- Hawaii**
 - + Honolulu
- Illinois**
 - + Rockford/Winnebago, Boone Counties
 - + Waukegan/North Chicago/Lake County
 - + Chicago
 - + Cook County
- Iowa**
 - + Parts of Iowa Balance of State
- Kansas**
 - + Kansas City/Wyandotte County
- Kentucky**
 - + Louisville/Jefferson County
- Louisiana**
 - + Lafayette/Acadiana
 - + Shreveport/Bossier/ Northwest
 - + New Orleans/Jefferson Parish
 - + Baton Rouge
 - + Alexandria/Central Louisiana COC
- Massachusetts**
 - + Cape Cod/Islands
 - + Springfield/Holyoke/Chicopee/Westfield/Hampden County
- Maryland**
 - + Baltimore City
 - + Montgomery County
- Maine**
 - + Statewide
- Michigan**
 - + Statewide
- Minnesota**
 - + Minneapolis/Hennepin County
 - + Northwest Minnesota
 - + Moorhead/West Central Minnesota
 - + Southwest Minnesota
- Missouri**
 - + St. Louis County
 - + St. Louis City
 - + Joplin/Jasper, Newton Counties
 - + Kansas City/Independence/ Lee's Summit/Jackson County
 - + Parts of Missouri Balance of State
- Mississippi**
 - + Jackson/Rankin, Madison Counties
 - + Gulf Port/Gulf Coast Region
- North Carolina**
 - + Winston-Salem/Forsyth County
 - + Asheville/Transylvania County
 - + Greensboro/High Point
- North Dakota**
 - + Statewide
- Nebraska**
 - + Statewide
- New Mexico**
 - + Statewide
- Nevada**
 - + Las Vegas/Clark County
- New York**
 - + New York City
 - + Yonkers/ Mount Vernon/New Rochelle/Westchester County
- Ohio**
 - + Toledo/Lucas County
 - + Canton/Massillon/ Alliance/ Stark County
- Oklahoma**
 - + Tulsa City & County/Broken/Arrow
 - + Oklahoma City
 - + Norman/Cleveland County
- Pennsylvania**
 - + Philadelphia
 - + Lower Merion/Norristown/ Abington/Montgomery County
 - + Allentown/Northeast Pennsylvania
 - + Lancaster City & County
 - + Bristol/Benzelton/Rucks County
 - + Pittsburgh/McKeesport/Penn Hills/Allegheny County
- Rhode Island**
 - + Statewide
- South Carolina**
 - + Charleston/Low Country
 - + Columbia/Midlands
- Tennessee**
 - + Chattanooga/Southeast Tennessee
 - + Memphis/Smith County
 - + Nashville/Davidson County
- Texas**
 - + San Antonio/Bexar County
 - + Austin/Texas County
 - + Dallas City & County/DFW
 - + Fort Worth/Arlington/Tarrant County
 - + El Paso City and County
 - + Waco/McLennan County
 - + Texas Balance of State
 - + Amarillo
 - + Wichita Falls/Wise, Palo Pinto, Wichita, Archer Counties
 - + Bryan/College Station/ Brazos Valley
 - + Beaumont/Port Arthur/Southeast Texas
- Utah**
 - + Statewide
- Virginia**
 - + Richmond/Henrich, Chesterfield, Hanover Counties
 - + Roanoke City & County/Salem
 - + Virginia Beach
 - + Portsmouth
 - + Virginia Balance of State
 - + Arlington County
- Washington**
 - + Seattle/King County
 - + Spokane City & County
- Wisconsin**
 - + Statewide
- West Virginia**
 - + Statewide
- Wyoming**
 - + Wyoming Statewide is in the process of implementing

©2015 Orgcode Consulting Inc. and Community Solutions. All rights reserved.
 1 (800) 355-0440 info@orgcode.com www.orgcode.com



Emergency Shelter and Housing Assistance Program (ESHAP)

2021 Program Guide & Application

Agency Name:

Date:

Table of Contents

Program Guide.....	3
Overview & Purpose.....	3
Funding Allocation & Eligible Activities.....	3
Housing Voucher Rental Subsidies.....	3
ESHAP Eligible Applicants.....	6
Monitoring Compliance and Technical Assistance.....	8
Application.....	9
Application Process.....	9
Application Timeline.....	10
Application Questions.....	10
MAINEHOUSING NONDISCRIMINATION NOTICE.....	16
ATTACHMENT A: CERTIFICATION REGARDING LOBBYING.....	17
ATTACHMENT B: HOMELESS EXPERIENCE CONSUMER PARTICIPATION.....	18
ATTACHMENT C: MINIMUM DATA REQUIREMENTS.....	19
ATTACHMENT D - APPLICANT CONFLICT OF INTEREST DISCLOSURE FORM.....	20
ATTACHMENT E CERTIFICATION OF LOCAL APPROVAL FOR NONPROFIT ORGANIZATIONS.....	22
ATTACHMENT F HOMELESS INITIATIVES CONTACT FORM.....	23

Program Guide

Overview & Purpose

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

MaineHousing uses funds from certain federal and state resources to give grants to agencies for a variety of activities to assist people who are experiencing homelessness or who are at risk of experiencing homelessness. MaineHousing has allocated resources to the Emergency Shelter and Housing Assistance Program (ESHAP) to be distributed according to the Funding Formula Allocation outlined in Section 4 of MaineHousing's Homeless Solutions Rule (the "Rule"). The Rule is available electronically at: <http://www.mainehousing.org/docs/default-source/mshn-rules/01-homeless-solutions-rule.pdf>.

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

ESHAP grantees can receive funding through the three funding components that make up the award: the Shelter Operations Share, the Housing Stabilization Share and the Performance Share. MaineHousing also allocates Rapid Re-housing and permanent rental subsidies to ESHAP Shelters through vouchers. These vouchers are: Stability Through Engagement Program/Tenant Based Rental Assistance (STEP/TBRA) Vouchers and Home to Stay/Housing Choice Vouchers (HTS/HCV). Each of these vouchers have Administrative Plans which detail their usage and are available electronically at <https://www.mainehousing.org/docs/default-source/rental/hey-administrative-plan-01012020.pdf> and https://www.mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-resources/step-administrative-plan.pdf?sfvrsn=42f78f5_2.

All ESHAP funds must be targeted to individuals and families that meet the definition of homeless outlined in 24 CFR § 576.2. MaineHousing has designed ESHAP and tailored its monitoring of ESHAP to ensure its grantees are in compliance with all listed funding sources. Housing vouchers and subsidies are always subject to the availability of funds.

MaineHousing has also made Supportive Housing Repair Program Funds available to current ESHAP grantees in good standing. The purpose of this funding is to assist Emergency Shelters in addressing physical plant deficiencies and/or issues in need of correction. Application to this funding must be made separately and details are available at <https://www.mainehousing.org/docs/default-source/development/supportive-housing-repair-program-guide.pdf>.

Funding Allocation & Eligible Activities

ESHAP funds will be distributed as follows:

Shelter Operations Share:

An amount equal to 45% of the Funding Formula Allocation will be disbursed among Emergency Shelters, such that each Emergency Shelter will receive a percentage equal to its Bed Capacity divided by a number

equal to the total Bed Capacity available statewide for the calendar year. Bed Capacity for the ESHAP operations share is based on the prior year's HHC. Agencies will receive scheduled payments on a quarterly basis.

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

Disbursement: Quarterly

Housing Stabilization Share:

An amount equal to 45% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each agency providing staffing for Rapid Re-housing, 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.

Eligible Activities: Navigator staffing, including at least one staff designated and trained as the Primary Navigator for your agency. The Primary Navigator should attend, or complete e-learning training, specific to navigator services. This person will be the primary point of contact regarding Navigator services for the ESHAP grantee. The Primary Navigator will coordinate messaging from MaineHousing staff to the rest of their agency in regards to navigator services and program delivery requirements.

Additional Criteria: Although each agency will have a Primary Navigator, other staff within the agency may provide navigator services to eligible households that can be reimbursable through the Housing Stabilization Share. Navigator services must be provided for by the agency receiving the funds. Eligible households must meet the criteria under paragraph (1) of the "homeless" definition in 24 CFR § 576.2 or under paragraph (4) of the "homeless" definition and live in an emergency shelter or other place described in paragraph (1) of the "homeless" definition. Navigator services must include assessment with housing prioritization tools, 30 day check-ins and Housing Stability Plans, as well as housing navigation and stabilization services.

Assessments

Clients should be assessed after 14 days of entry into shelter, using the common assessment tools which are designated by MaineHousing and the Maine Continuum of Care. Clients whose assessment results deem them ineligible for ESHAP services should not be enrolled, while clients with eligible assessment results will be entered into the agency's ESHAP program. If a client is enrolled into ESHAP or accesses interventions outside of the recommended assessment result, the Navigator must document the reasoning for this exception in the client file. Documentation of enrollment or non-enrollment should be retained in the client file. Detailed information about the common assessment tool and appropriate housing interventions are provided in the Navigator Services Guide found under the ESHAP heading at <https://mainehousing.org/partners/partner-type/homeless-services-providers/homeless-interventions>.

Monthly Check-Ins and Housing Stability Plans

Every client enrolled in ESHAP services must have a Housing Stability Plan based on the needs found in the common assessments. The Housing Stability Plan should be updated during at 30 day check-in to assess the progress and address any additional needs. A new Housing Stability Plan should be created every 90 days.

4

Housing Navigation and Stabilization

Clients should be given Housing Stabilization services after their enrollment in FSHAP. The Navigator should apply for appropriate subsidies and housing based on the assessment result recommendations for the client. All documentation of housing work including housing applications, mainstream and housing referrals, documentation applications, leases, etc. should be kept in the client's file to show on-going navigation efforts. Documentation that clients were offered an opportunity to participate in housing counseling through the RentSmart curriculum should be present in the client file. After the client is housed, ongoing Housing Stabilization services are expected to continue for no less than one year. Clients who are not receiving subsidy through a STEP or Home to Stay voucher have the option to opt out of Housing Stabilization services; any decision to opt out must be noted in the client file.

Ending Services

If a client is terminated from the program, the client should be provided with a letter clearly stating the reason for the termination and the process to appeal the decision. A copy of the termination letter and any other appeal documentation must be included in the client file.

Protections under VAWA: Sub-recipients are exempt from service and stability plan requirements if the Violence Against Women Act of 1994 (42 U.S.C. 13701 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits that recipient or sub-recipient from making its shelter or housing conditional on the participant's acceptance of services.

Disbursement: Quarterly.

Performance Share:

An amount equal to 10% of the Funding Formula Allocation will be allocated among 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.

Eligible Activities: Any purpose consistent with the provider's mission, and not otherwise prohibited by state or federal regulations.

Disbursement: The Performance Share is awarded semi-annually with the Operations and Stabilization disbursements. The share is based on performance in January 1- June 30, and July 1 to December 31. The data utilized is from the six-month period that just concluded.

Housing Voucher Rental Subsidies

Staff providing navigator services will additionally have access to a set aside of Stability Through Engagement Program/Tenant Based Rental Assistance Vouchers (STEP/TBRA) and Home To Stay Housing Choice Vouchers (HTS HCV) rental subsidies as resources remain available. Please refer to the Navigator Services Process Guide available electronically at <http://maandhousing.org/partners/partner-type/homeless-service-providers/homeless-outcomes> for detailed information regarding expectations and processes for the navigator role, which is integral to utilizing the voucher resources.

Stability Through Engagement Program/Tenant Based Rental Assistance (STEP/TBRA)

STEP/TBRA guidelines, funding sources, and governing regulations are detailed in the STEP/TBRA Administrative Plan located at http://mainehousing.org/docs/default-source/homeless/homeless-initiatives/step/step-resources/step-administrative-plan.pdf?sfvrsn=42478f15_2. Providers may access STEP/TBRA only to the extent that the resources remain available. Units funded through STEP/TBRA must be accessed through the Maine CoC Coordinated Entry Process once it is developed. Grantees will use the funds for rental assistance, utility deposits and security deposits to rapidly re-house homeless families and individuals.

Housing Choice Vouchers (HCV)

Home to Stay Housing Choice Vouchers (HTS HCV) will be administered according to federal regulations and MaineHousing policies detailed in the current Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs.

MaineHousing makes the final decision on program eligibility, which requires a determination that the current or past behavior of household members does not include activities which are prohibited by HUD or MaineHousing. Upon admission, each family will be required to pay between 30% to 40% of their adjusted total household income for rent in accordance with the individual vouchers administrative plans. All subsidies are only available as funding permits.

ESHAP Eligible Applicants

To be eligible to receive ESHAP funds, an Applicant must:

- be a non-profit corporation in good standing in the State of Maine qualified for tax exemption under 501(c)(3) of the Internal Revenue Code or a municipal corporation;
- be eligible in accordance with the HEARTH Act;
- be a provider of homeless services with at least one (1) year of experience providing emergency housing, street outreach, Homeless Prevention, or Rapid Re-housing activities;
- be a regular and active participant in the Maine Continuum of Care, in accordance with its governance charter and performance criteria;
- have board and or advisory board representation from Persons Experiencing Homelessness or formerly experiencing homelessness who are involved in policy or planning of the organization;
- participate in Coordinated Entry Process by entering into an Agency Participation Agreement (or equivalent for Domestic Violence and Youth Coordinated Entry Systems) for sharing data and administering housing prioritization and assessment tools in accordance with any CoC, Coordinated Entry Written Standards and other policies and procedures documents;
- have the administrative and financial management capacity necessary to administer and to account for the use of the applicable grant in accordance with the funding requirements;
- operate in accordance with the homelessness strategy outlined in the Maine Consolidated Plan;
- meet the objectives of ESHAP;
- participate in and meet the performance and reporting requirements of the Homeless Management Information System (HMIS) or a comparable database if the Applicant serves victims of domestic violence;
- not engage in any explicitly religious activities, such as worship, religious instruction, or proselytization, as part of the activities and services funded with any grant for activities or services.

covered by this rule; and if religious activities are offered, they must be offered at a separate time or location from the activities and services covered by this rule; and participation in those religious activities must be voluntary for persons receiving assistance with FSHAP funds;

- operate its programs free from discrimination on the basis of age, race, color, religion, national origin, physical or mental disability, sexual orientation, or gender in accordance with applicable federal and state fair housing laws; comply with Section 504 of the Rehabilitation Act of 1973, which prohibits disability discrimination in programs that receive HUD funds; and
- comply with Maine housing requirements.

To be eligible to receive Shelter Operations or Performance Share Funds, an Applicant must also:

- provide access 365 days per year to assist Persons Experiencing Homelessness meet basic emergency shelter needs;
- provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities;
- provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner;
- treat all guests with dignity and respect, regardless of religious or political beliefs, cultural background, disability, gender identity or sexual orientation;
- provide shelter and housing services based upon a Rapid Re-housing or Housing First approach;
- have admittance and stay policies that are appropriate for the population served and do not create unnecessary barriers to guests staying;
- provide linkages and access to community resources such as health care, job readiness and employment services, Mainstream Resources, and educational services to assist guests in achieving housing stability;
- assess guests for housing prioritization and services to enable mobility to permanent housing with adequate supports;
- inform guests of their rights and responsibilities, including specific shelter policies and house rules;
- accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources;
- have no lease requirements for guests;
- if serving families with children, provide space other than open dormitory style and do not require involuntary family separation for admission;
- provide separate accommodations for male and female consumers consistent with their gender identity;
- protect the privacy and confidentiality of guests and their personal information;
- provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of guests, volunteers and staff;
- post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each guest;
- maintain a daily and confidential census of shelter clients including precise sleeping locations;
- operate in compliance with all applicable federal, state and local codes, laws and regulations; and
- have written standards in the form of agency specific policies and procedures that address the following areas: access to shelter services, residential rights and responsibilities; program, personnel

7

- and facility operations; health and safety; food preparation and distribution; case management services; staff training; and HMIS or comparable database; coordination of services; non-discrimination; grievance and termination; whistleblower protections; and computer protocols; and
- make RentSmart (tenant based educational training available to eligible ESHAP participants.

Monitoring Compliance and Technical Assistance

MaineHousing will review for program compliance at least every two years at reasonable times and may copy and examine all of a grantee's records other than medical or other confidential client information protected by privacy laws except as required by the federal award pursuant to 2 CFR section 200.536. Grantees will maintain records sufficient to meet monitoring and auditing requirements of MaineHousing and HUD including, without limitation, daily rosters and client files. Grantees will adhere to uniform administrative requirements as outlined in the code of federal regulations 2 CFR section 200, and retain program records for no less than 5 years after participation ends. Grantees will maintain timesheets for staff salaries being charged to ESHAP that specify the amount of time spent on ESHAP activities. MaineHousing will inspect the shelter physical plant for compliance with 24 CFR 576.403 (b) and other Maine housing requirements. MaineHousing staff will provide grantees with training, technical assistance, monitoring and oversight to ensure program integrity.

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

MaineHousing will review the performance of each grantee in carrying out its responsibilities at least every two years and as otherwise determined by MaineHousing. In conducting performance reviews, Maine housing will rely primarily on information obtained from the records and reports from grantees, as well as information from monitoring reviews, audit reports, and HMIS or comparable data bases. If MaineHousing determines that a grantee has not complied with a program requirement, MaineHousing will give the grantee notice of this determination. MaineHousing will offer technical assistance and give the grantee an opportunity to demonstrate, within the time prescribed by MaineHousing, that grantee has complied with program requirements. If the grantee fails to demonstrate to MaineHousing's satisfaction that the activities were carried out in compliance with program requirements, MaineHousing may take one or more of the following actions:

- provide additional technical assistance and training opportunities;
- instruct the grantee to submit and comply with proposals for action to correct, mitigate, and prevent noncompliance with program requirements;
- suspend disbursement of funds for some or all activities;
- reduce or terminate the remaining grant and reallocate those funds to other grantees;
- disqualify grantee from participation in the Performance Share or future ESHAP; and
- require grantee to repay grant funds.

Application

Application Process

The Applications are due no later than **Monday, November 6th, 2020 by 5pm**. If you have questions as you prepare your Application, please e-mail SHAREAPP@mainehousing.org.

Uploading and submitting the Application and any supporting documents must be completed online; just click on the following secure link: <https://mainehousing.org/sharefile.com>. Upload to the following path: Shared Folders/Homeless Initiatives/Your Shelter/2021/Program Guide and Application. Applications may be submitted as two documents; the application as one document (filled electronically), and the attachments as a second. Applications not submitted as prescribed will not be reviewed. The application is electronically fillable; please utilize electronic signatures for all required signatures when submitting the filled application. Please note that the documents submitted with your ESHAP Application are used for the purpose of monitoring your shelter's compliance with ESHAP.

Applications that, in MaineHousing's sole judgment, are incomplete and/or missing required documents will not be eligible for consideration. For an application to be considered complete, it must contain the following and be uploaded to your Sharefile Folder;

1. Complete answers for Application questions 1 – 12;
2. a completed Emergency Shelter Minimum Threshold Requirements review (see below);
3. the following attachments uploaded and with electronic signatures:
 - o Attachment A: Certificate Regarding Lobbying;
 - o Attachment B: Homeless Experience Consumer Participation Certification;
 - o Attachment C: Minimum Data Requirements Certification;
 - o Attachment D: Applicant Conflict of Interest Disclosure and Acknowledgement Form;
 - o Attachment E: Certificate of Local Approval for Nonprofit Organizations;
 - o Attachment F: Homeless Initiatives Contact Form;
 - o Attachment G: Documentation of 501c3 Status;
 - o Attachment H: Most recent audit within the last 12 months completed by an outside firm and accompanying management letter, (A133 or comparable);
 - o Attachment I: Corporate Resolution from Board of Directors to approve application submission;
 - o Attachment J: An organizational chart showing titles and lines of authority for all individuals with any role in approving or recording of financial transactions;
 - o Attachment K: List of agency board of directors outlining who each member represents and;
4. any listed policy that has been revised or edited since the previous grant application or all listed policies and procedures if your agency did not apply for ESHAP funding in 2020).

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

MaineHousing staff will review each application to ensure that it is complete, including the submission of the required attachments. Only complete applications, which have included all required attachments, will be considered. Staff will determine if the application meets minimum threshold requirements.

Applicants who are eligible for funding will be issued a Grant Agreement specifying terms and conditions of the funding award. Once successful applicants receive this notification they will be expected to submit:

1. a signed HMIS Agency Participation Agreement if you are a new USHAP recipient for the 2021 program year;
2. a certification of Local Approval verifying that the municipality in which the program will run will not be seeking any funds from the Emergency Solutions Grant program to perform similar activities.

A Grant Agreement will not be fully executed until all certification and any other documents that may be required by MaineHousing have been received. Applicants who do not meet threshold requirements will be notified in writing.

Application Timeline

Task	Date
Complete Application in ShareFile by 5:00 PM	November 6, 2020
Award Notification sent to grantees	November 25, 2020
Executed Grant Agreement	December 11, 2020
Program Year	January 1, 2021 – December 31, 2021

Application Questions:

This is a fillable form and will need to be completed and submitted electronically as a PDF file to your ShareFile folder for the 2021 Program. If you have any questions, or need a ShareFile account created for you please email us at: USHAP@mainehousing.org

1. Description of Applicant Organization. (1000 characters)

2. Narrative Describing Organizational Capacity. (1000 characters)

3. Please describe your shelter's intake procedure. (1000 Characters)

4. What is your shelter's turn away policy when the shelter is full? (1000 Characters)

5. What criteria do you have in place for acceptance into shelter? If you provide Navigation services only, is the population and criteria different, if so, how? What are your hours of operation? Please include hours administrative staff are available as well as the hour's guests are allowed to stay on site.

6. Please describe your agency's involvement, if any, with Long Term Stayer meetings. Please include the name and contact email of any and all staff that you have attending these meetings regularly (1000 Characters)

7. Data & Security:

a. What is your Malware/Virus Protection software type? How often is it updated?

b. What does your agency have for internet access check all that apply –

i. Wired Connection Only

ii. Staff Only Wi-Fi

iii. Public Wi-Fi

c. Does your agency have standards for periodic password changes and password complexities? If yes, please describe.

11

- d. Do you currently do background checks and federal exclusion checks on staff – if so, who does your agency screen and at what level?

5.

- a. For all sites you are requesting funding for, please list all fixed facilities by Shelter Name and Address (Unless you are a DV shelter)

Site/Shelter Name	Physical Address (Do not list if you are a DV provider)

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

	Site:	Site:	Site:	Site:
Target Population(s)				
Number of Beds for Single Adult Individuals				
Number of Beds for Families with Children				
Number of Family Units				
Number of Beds dedicated to Chronically Homeless Youth				
Number of Beds dedicated to any other Youth				
Number of Beds dedicated to Chronically Homeless Veterans				
Number of Beds dedicated to youth Veterans (up to age 24)				
Number of Beds dedicated to any other Veterans				
Number of Beds dedicated to any other Chronically Homeless				

- c. Are you adding a new fixed facility or any additional beds to a pre-existing facility?

Yes No

9. If this is your first year you will have received ESHAP funding please describe your experience providing: Street Outreach, Homelessness Prevention, or Rapid Re- Housing activities for at least one year. (1000 Characters)

10. Have you had any citizen complaints in the last 12 months? If yes, please attach documentation of the complaint to the application, including the nature of the complaint and the resolution.

11. Please describe your agency's plan to make Rent Smart tenant based educational training available to eligible ESHAP participants for the 2021 program year. (1000 Characters)

12. Who represents your agency at Maine Continuum of Care meetings?

Emergency Shelter Minimum Threshold Requirements Review: Please review each item and initial the corresponding box. If you are unable to meet any of the minimum threshold requirements please reach out to us at SHL@DVAHHS.maine.gov prior to submitting your application.		Check boxes or initial boxes
1	We have read, will abide by and operate in accordance with all provisions of the current Maine Homeless Solutions Rule.	<input type="checkbox"/>
1a	We have read and will operate in accordance with the homeless strategy outlined in the Maine Consolidated Plan	<input type="checkbox"/>
2	We will participate in and comply with all Coordinated Entry System Policies and Procedures (or comparable Coordinated Entry system for Domestic Violence or Youth Agencies) 24 § 576.400 (d).	<input type="checkbox"/>
3	Our HMIS Agency Admin will attend HMIS Agency Admin training as required by HMIS Staff. (DV Agencies please indicate N/A)	<input type="checkbox"/>
4	We will act in accordance with the restrictions on lobbying in 31 U.S.C. 1352 and implementing regulations in 24 CFR Part 87, which require that no federally appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of a federal agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any federal contract, grant, loan or cooperative agreement.	<input type="checkbox"/>
5	We will prohibit any employee, agent, consultant, officer, or elected or appointed official of an applicant, who exercises or has exercised any functions or responsibilities with respect to assisted activities, or who is in a position to participate in a decision making process or gain inside information with regard to such activities, from obtaining a personal or financial interest or benefit from the activity, or from having an interest in any contract, subcontract or agreement with respect thereto, or the proceeds there under, either for him or herself or those with whom he or she has family or business ties, during his or her tenure or for one year thereafter.	<input type="checkbox"/>
6	We will have an HMIS notice (Or equivalent for DV agencies) present on website	<input type="checkbox"/>

Date: Required Attachments & Exhibits. Please label with the corresponding letter.			
	Attachments & Exhibits	Attached	Not Applicable or Unchanged from 2020
A.	Certification Regarding Lobbying	<input type="checkbox"/>	
B.	Homeless Experience Consumer Participation	<input type="checkbox"/>	
C.	Minimum Data Requirements Certification	<input type="checkbox"/>	
D.	Applicant Conflict of Interest Disclosure and Acknowledgement Form	<input type="checkbox"/>	
E.	Certification of Local Approval for Nonprofit Organizations	<input type="checkbox"/>	
F.	Homeless Initiatives Contract Form	<input type="checkbox"/>	
G.	Documentation of 501(c)(3) status.	<input type="checkbox"/>	
H.	Most recent audit completed within the last 12 months by an outside firm and accompanying management letter (A 153 or comparable)	<input type="radio"/>	<input type="radio"/>
I.	Corporate Resolution from Board of Directors to approve application submission	<input type="radio"/>	<input type="radio"/>
J.	An organizational chart showing titles and lines of authority for all individuals with any role in approving or recording of financial transactions	<input type="radio"/>	<input type="radio"/>
K.	List of agency Board of Directors outlining who each member represents.	<input type="radio"/>	<input type="radio"/>
L.	Agency general Release of Information	<input type="radio"/>	<input type="radio"/>
Below are all required policies for ESHAP Shelters. All required policies must be submitted and labeled with their corresponding number.			
		Attached	Not Applicable or Unchanged from 2020
1.	Applicant organization's non-discrimination policy including a narrative indicating how the public will be informed of the policy	<input type="radio"/>	<input type="radio"/>
2.	Client Grievance and Appeal of Termination Policies	<input type="radio"/>	<input type="radio"/>
3.	Evidence of policies and procedures that outline approval authority for financial transactions, guidelines for controlling expenditures and the recording of financial transactions	<input type="radio"/>	<input type="radio"/>
4.	Chart of all financial accounts and/or account manual	<input type="checkbox"/>	
5.	Record retention policy	<input type="radio"/>	<input type="radio"/>
6.	Procurement Policy	<input type="radio"/>	<input type="radio"/>

7.	Personnel policy indicating all personnel are responsible for communicating to appropriate supervisory officials any operating problems or noncompliance with regulations or laws – whistleblower protections	<input type="radio"/>	<input type="radio"/>
8.	Access to shelter services (how one accesses services) policy	<input type="radio"/>	<input type="radio"/>
9.	Client Residential rights and responsibilities	<input type="radio"/>	<input type="radio"/>
10.	Program personnel and facility operations	<input type="radio"/>	<input type="radio"/>
11.	Health and Safety	<input type="radio"/>	<input type="radio"/>
12.	Food preparation and distribution	<input type="radio"/>	<input type="radio"/>
13.	HMIS or Comparable Database Data Security protocols including any security procedures for staff who work from home with client data	<input type="radio"/>	<input type="radio"/>
14.	Fair Housing policy	<input type="radio"/>	<input type="radio"/>
15.	Drug-Free Workplace Policy	<input type="radio"/>	<input type="radio"/>
16.	Emergency Action Plans (if available)	<input type="checkbox"/>	
17.	Policy on computer protocols and handling confidential information/PII (if available)	<input type="checkbox"/>	
18.	Policy on coordination of services (if available)	<input type="checkbox"/>	
19.	Agency's Homeless Verification Form (please indicate here if Maine Housing's form is the only form utilized by your agency) <input type="checkbox"/>	<input type="radio"/>	<input type="radio"/>

MAINEHOUSING NONDISCRIMINATION NOTICE:

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

ATTACHMENT A. CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreement

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

Typed Name and Address

Title

Signature

Date

ATTACHMENT B: HOMELESS EXPERIENCE CONSUMER PARTICIPATION

Documentation of the active participation of a person experiencing homeless or formerly experiencing homelessness on the governing board or other equivalent policymaking entity which makes policies and decisions regarding any facility, service, or other assistance is a requirement for organizations applying for ESG funds as per 24 CFR 576.

Name of Organization:

1. Does the organization have representation of a person or Persons Experiencing Homelessness or a person formerly experiencing homelessness on the Board of Directors or other equivalent policymaking entity?

2. The number of person(s) who are experiencing or have formerly experienced homelessness on the Board of Directors or policymaking entity:

3. The name of the policymaking entity is:

Does the policymaking entity listed above consider and make policies and decisions regarding any facility, service, or other assistance provided by your organization?

If yes, explain the types of policies and decisions regarding the facility, services, or other assistance which are made by the policymaking entity and how its policies and decisions are forwarded to the Board of Directors and what happens after. Please limit your response to a narrative that fits within the remaining space on this page.

4. If your agency does not currently meet this ESJAP requirement please describe what efforts will be taken over the 2021 program year to ensure the participation of a person who is experiencing or did experience homelessness on your decision-making governing board or policy-making entities.

PRINT Name & Title

SIGNATURE & DATE:

Narrative space for Question 3 or 4:

ATTACHMENT C. MINIMUM DATA REQUIREMENTS

CERTIFICATION OF COMPLIANCE

I, _____, in my capacity as Executive Director of _____, do hereby (Name) (Agency) certify to comply with the data entry requirements as prescribed by HUD in the HMIS Data Standards, which can be found at <https://files.hudexchange.info/resources/documents/HMIS-Data-Standards-Manual.pdf>, in addition to Maine required data elements, and will record services provided to our clients. This data will be recorded in the HMIS or comparable database for victim service providers. I understand that failure to enter this information into ServicePoint or a comparable database for victim service providers may impact future funding.

Signature

Date

ATTACHMENT D. CONFLICT OF INTEREST DISCLOSURE AND ACKNOWLEDGEMENT FORM

Please respond to the following questions: Was any principal or affiliate of the applicant, or anyone who will be paid for work on the program a MaineHousing employee or commissioner within the last year? Does the applicant, any principal or affiliate of the applicant, or anyone who will be paid for work on the program have business ties, familial relationships, or other close personal relationships with a current MaineHousing employee or commissioner or with anyone who was a MaineHousing employee or commissioner within the last year? If yes, please describe in the box below:

If you are unsure whether a relationship, association, or connection you or an employee has may constitute a conflict of interest, please consult with MaineHousing's Manager of Audit and Compliance Linda Grotton: (207) 624-5735 or lgrotton@mainehousing.org

ESG Conflict Interest Acknowledgement

I, (name), _____, on behalf of (agency name) _____, have read and acknowledge the following regulatory requirements from 24 CFR § 576.404 pertaining to conflict of interest and ESG funds:

(a) *Organizational conflicts of interest.* The provision of any type or amount of ESG assistance may not be conditioned on an individual's or family's acceptance or occupancy of emergency shelter or housing owned by the recipient, the subrecipient, or a parent or subsidiary of the subrecipient. No subrecipient may, with respect to individuals or families occupying housing owned by the subrecipient, or any parent or subsidiary of the subrecipient, carry out the initial evaluation required under § 576.401 or administer homelessness prevention assistance under § 576.103. Recipients and subrecipients must also maintain written standards of conduct covering organizational conflicts of interest required under 2 CFR 200.318.

(b) *Individual conflicts of interest.* For the procurement of goods and services, the recipient and its subrecipients must comply with 2 CFR 200.317 and 200.318. For all other transactions and activities, the following restrictions apply:

(1) *Conflicts prohibited.* No person described in paragraph (b)(2) of this section who exercises or has exercised any functions or responsibilities with respect to activities assisted under the ESG program, or who is in a position to participate in a decision-making process or gain inside information with regard to activities assisted under the program, may obtain a financial interest or benefit from an assisted activity; have a financial interest in any contract, subcontract, or agreement with respect to an assisted activity; or have a financial interest in the proceeds derived from an assisted activity, either for him or herself or for those with whom he or she has family or business ties, during his or her tenure or during the one-year period following his or her tenure.

(2) *Person covered.* The conflict-of-interest provisions of paragraph (b)(1) of this section apply to any person who is an employee, agent, consultant, officer, or elected or appointed official of the recipient or its subrecipients.

20

(c) *Contractors:* All contractors of the recipient or subrecipient must comply with the same requirements that apply to subrecipients under this section.

Name of Applicant:

Signed:

Date:

Printed Name:

Title:



ATTACHMENT E. CERTIFICATION OF LOCAL APPROVAL FOR NONPROFIT ORGANIZATIONS

Emergency Solutions Grant (ESG) regulations (24CFR § 576.202(a)(2)) require that any private nonprofit agency receiving ESG funding have the approval of the unit of local government in whose jurisdiction they operate.

The undersigned, authorized to act on behalf of (name of town/city) _____ certifies to MaineHousing that (name of shelter agency) _____ has the approval of the above named local government to provide the following ESG funded services within this municipality:

Signature

Printed Name

Title

ATTACHMENT F. HOMELESS INITIATIVES CONTACT FORM

This form is required with application. Any changes to shelter contact information must be reported to Maine Housing as changes occur.



Date: _____

Attachment F: Homeless Initiatives Contact Form

Organization Name: _____
 Organization Mailing Address: _____
 City: _____ State: _____ Zip Code: _____
 Organization Physical Address: _____
 City: _____ State: _____ Zip Code: _____
 Phone: _____ Fax: _____ Website: _____
Shelter Name*: _____
 * If you operate more than one shelter please complete one form for each shelter.
 Shelter Mailing Address: _____
 City: _____ State: _____ Zip Code: _____

Organization Type (check all that apply):	
City/County	<input type="checkbox"/>
Non-Profit	<input type="checkbox"/>
Fairly Based/Non-Profit	<input type="checkbox"/>
Other:	<input type="checkbox"/>
Below for MSHA use only	
HMIS Updated	<input type="checkbox"/>
ShareFile Access Set-up	<input type="checkbox"/>
Contract Last Updated	<input type="checkbox"/>

Executive Director: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Director/Program Manager: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Primary Financial Contact: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
HMIS Lead: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Primary Navigator Services Provider: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Navigator Services Provider: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Navigator Services Provider: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Navigator Services Provider: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____
Coordinated Entry (CE) Primary Contact: _____ Title: _____ E-mail Address: _____ Phone: _____ Ext: _____ CC: _____

Executive Director: _____

 Printed Name Date

 Signature

ShareFile Access Levels	
Level A	Directors, Financial Officers, Managers
Level B	Primary Navigators, Navigators, CE contact
Level C	

**Maine Continuum of Care
Coordinated Entry System Policies and Procedures**

1/29/2020

Table of Contents

OVERVIEW.....	4
Purpose and Background.....	4
Core Requirements for a Coordinated Entry System.....	4
Guiding Principles for Maine’s Coordinated Entry System.....	5
Terms and Definitions.....	6
Roles.....	8
POLICIES AND PROCEDURES.....	10
Version.....	10
Coordinated Entry Participation and Coordination Policy.....	10
Fair and Equal Access Policy.....	11
Nondiscrimination Policy.....	11
Low Barrier Policy.....	11
Marketing Policy.....	11
ACCESS.....	12
No Wrong Door Approach.....	12
Emergency Services.....	13
Diversion and Homeless Prevention.....	13
Street Outreach.....	14
ASSESSMENT.....	14
Maine CES Assessments.....	14
Assessment Criteria.....	15
Privacy Protection.....	15
Disclosure.....	16
Updated Participant Information.....	16
Participant Consent.....	16
PRIORITIZATION.....	16
REFERRAL.....	17
Referral Rejection Policy.....	17
Referral Outcomes.....	18
GRIEVANCE AND APPEAL.....	18
Scope.....	18
Participant/Citizen grievance and appeal.....	18
	2
MCoC CES Policies and Procedures: 1/29/2020	

Step One Grievance/Appeal.....	18
Step Two Grievance/ Appeal.....	19
Program Grievance vs CES.....	19
Step One Grievance/Appeal.....	19
Step Two Grievance/Appeal.....	20
Recordkeeping.....	20
Affirmative Outreach.....	20
DATA MANAGEMENT.....	20
Maine HMIS Authorization for Disclosure of Health and/or Personal Information (ROI).....	21
Privacy Protections.....	21
HMIS Data Systems Procedures.....	21
EVALUATION.....	22
Participating Provider Evaluation.....	22
Participant Evaluation.....	22
Appendices.....	23
Appendix A: Order of Priority in CDC program-funded Permanent Supportive Housing.....	23
Appendix B: 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.....	23
Appendix C: Order of Priority in Permanent Supportive Housing Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness.....	25
Appendix D: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources.....	26
Appendix E: Veteran CES Policy and Procedure.....	26
Policy.....	26
Procedure.....	26

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. Individual CES providers will still maintain their own admission processes and eligibility requirements, as required by each project's existing commitments. CES will add a layer of collaboration to ensure that each person experiencing homelessness is connected to the best available housing intervention for them.

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

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"). Coordinated entry is an approach to coordination and management of a crisis response system's resources to efficiently and effectively connect people to interventions that will rapidly end their homelessness. 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.

This manual provides the policy and procedure framework for the Maine Coordinated Entry System and serves the following purposes:

- Sets forth the policies governing Maine's CE system.
- Provides all organizations in the homeless and social service systems with a basic overview of how CE operates and what they can expect when engaging with the system.
- Provides an overview of what those experiencing homelessness or a housing crisis can expect when engaging with Maine's CE system.
- Documents all required CE policies by the Department of Housing and Urban Development (HUD), as described in CPD Notice 17-01: Notice Establishing Additional Requirements for a CoC Centralized or Coordinated Assessment System.

Core Requirements for a Coordinated Entry System¹

¹ For more information, please refer to the *Coordinated Entry Core Elements* document, found here: <https://www.hudworkshouses.info/resources/5340/coordinated-entry-core-elements/>

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.
- Individual CoC projects have ultimate responsibility for determining the eligibility of prospective participants in their programs and for collecting and maintaining eligibility documentation.

Guiding Principles for Maine’s Coordinated Entry System

The goal of Coordinated Entry 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, including access to mainstream health services, social services, and employment programs.
- 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 utilize HMIS for the purposes of managing participant information and facilitating quick access to available CoC resources.
- The CES will use and integrate a Housing First philosophy. In practice, this philosophy will work to ensure that regardless of any real or perceived presenting mental health or substance use issues, individuals will be connected to housing as quickly as possible. Further, this Housing First philosophy will help to ensure that clients presenting with the highest vulnerabilities will be matched and connected with the most intensive interventions available.

Terms and Definitions²

211 Maine	211 is a free, confidential information and referral service that connects people of all ages across Maine to local services. Provides a 24/7/365 access point for CES engagement and maintains an updated list of CES providers and referral agencies.
Access Point	Access points refer to how people experiencing a housing crisis learn that coordinated entry exists and are able to access crisis response services.
Chronically Homeless	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: <ul style="list-style-type: none"> i. Lives in a place not meant for human habitation, a Safe Haven, or an emergency shelter; AND ii. Has been homeless continuously for at least 12 months, or on at least four separate occasions in the last 3 years, as long as the combined occasions equal at least 12 months and each break in homelessness separating the occasions included at least 7 consecutive nights of not living as described in (i) above.
Case Conferencing	Local process for CE 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.
Continuum of Care (CoC)	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.

² Please note that HUD often updates definitions and terms, and the CES committee will aim to keep this document as up to date as possible. However, should the definitions listed here not reflect the most up to date HUD information, the HUD terms and definitions will be used in practice, rather than those listed here.

Continuum of Care Program	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.
Emergency Shelter	Short-term emergency housing available to persons experiencing homelessness.
Emergency Solutions Grant (ESG) Program	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 essential services to shelter residents; (5) rapidly rehouse individuals and families experiencing homelessness; and (6) prevent families and individuals from becoming homeless.
Homeless Prevention	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.
Homeless Management Information System (HMIS)	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.
Homeless Youth	A person 24 years of age or younger who is unaccompanied by a parent or guardian and is without shelter where appropriate care and supervision are available, whose parent or legal guardian is unable or unwilling to provide shelter and care or who lacks a fixed, regular and adequate nighttime residence. "Homeless youth" does not include a person incarcerated or otherwise detained under federal or state law.
Long Term Stayers	Long Term Stayers (LTS) were originally defined as people staying over 180 cumulative days in shelters or outdoors within a 365-day period (cumulative). Because of the success in housing this population, the definition was amended in March 2016 to the longest stayer in homelessness inside or outside as determined by local shelters for all parts of Maine except Portland. Portland retained the original definition.
Projects for Assistance in Transition from Homelessness (PATH)	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.

7

MCoC CES Policies and Procedures: 1/29/2020

Public Housing Authority (PHA)	Local entity that administers public housing and Housing Choice Vouchers (HCV) (aka Section 8 vouchers).
Permanent Supportive Housing (PSH)	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.
Rapid Re-Housing (RRH)	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.
Release of Information (ROI)	Written documentation signed by a participant to release personal information to authorized partners.
Transitional Housing (TH)	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.

Roles

CES Participating Provider	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.
CoC Board of Directors	Responsible for the general oversight of the CES, including the approval of the CE Policies & Procedures document.
Collaborative Applicant	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.
Emergency Solutions Grant Recipients	The purpose of the Emergency Solutions Grants (ESG) program is to assist individuals and families quickly regain stability in permanent housing after experiencing a housing crisis or homelessness. ESG recipients for Maine include the City of Portland and MaineHousing.

Evaluation Entity	The entity responsible for the evaluation of the CES process of using participant and provider data to measure the functioning of the CE process.
HMIS Lead Agency	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.
Mainstream Services Provider	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.
Management Entity	The entity in charge of the day-to-day operation of coordinated entry involves staff, recordkeeping documentation, technology, and other infrastructure that supports the implementation of coordinated entry at the CoC or homeless system level.
Participant	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.
Policy Oversight Entity	The entity that is responsible for outlining the expectations for participation in coordinated entry. This includes CoC expectations for use of appropriate assessment tools, participation in case conferencing or other coordination mechanisms, use of the coordinated entry process to fill project vacancies or openings, addressing the safety needs of survivors of domestic violence, and the associated incentives or penalties associated with meeting or failing to meet those expectations.
Referral Partner	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.
U.S. Department of Housing and Urban Development (HUD)	Federal agency responsible for administering housing and homeless programs including the CoC and ESG Programs.
U.S. Department of Veteran Affairs (VA)	Federal agency responsible for providing health care and other services, including assistance to end homelessness, to Veterans and their families.

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. The CES aims to be 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; Maine's ESG funded programs and emergency shelters; PATH and other street outreach providers; and domestic violence, youth, and Veteran specific service providers.

Coordinated Entry is an opportunity for homeless service professionals to improve the quality, access, customer service experience, and coordination of services of Maine's homeless response network. CES relies heavily on the competency, knowledge, experience, and fostered relationships of its providers and staff to improve entry, divert when assessed best practice, and soften landings to homelessness for individuals and families. Coordinated Entry is a tool to help problem solve individual, and often unique, issues in connecting individuals to the best available right resource. The Maine CoC strongly recommends CoC members, partners, and all other collaborative parties participate in a unified fashion.

Version

The MCoC's CES 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 MCoC is committed to continuous improvement, and will review and revise this document as needed, and anyone who is interested in submitting suggestions for revisions to the document should submit them to Chair(s) of the CES Committee.

Version	Date Approved	Key Updates
1	5/17/18	Complete draft.
2	9/18/18	Updated language in opening & access sections.
3		Significant rewrite to reflect updated system design.

Coordinated Entry Participation and Coordination Policy

All CoC and ESG (24CFR§576.400(b) 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).

All CoC & ESG funded agencies are invited to participate in the CES committee. The MCoC will ensure that membership of its CE Committee includes at least one representative for each ESG recipient agency

10

MCoC CES Policies and Procedures: 1/29/2020

(currently MaineHousing and City of Portland). At least annually, the Maine Coordination Entry System Policies and Procedures document will be reviewed by the CE Committee and updated if necessary

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 twenty-four hours a day with trained staff to assist persons and provide information about and/or referral to appropriate resources.

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.

The CES prioritization and referral processes comply 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.

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 (including, but not limited to, 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.

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.

ACCESS

No Wrong Door Approach¹

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 which homeless assistance provider they present at for assistance. The principles of this approach are:

- People can seek emergency assistance through any of the CES access points, including but not limited to 211 Maine, local Emergency Shelters, PATH, and other local outreach providers.
- All access points utilize the Maine Access and Safety Assessment (see page 13 for more information on the assessment process) 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 to address emergency and crisis needs, as applicable.

There will be separate access points for the following specialized populations: veterans, households fleeing, or attempting to flee, domestic violence, and youth. It is important to note that those participants that are eligible for separate access points maintain eligibility for mainstream/CES resources. The separate access points are as of follows:

- For Veterans, two major access points will be:
 - The VA Homeless Health Hotline, which is answered 24 hours a day, 7 days a week. The number is 1-877-424-3838.
 - The VHS (SSVF) referral line, which answered Monday through Friday from 8 a to 4:30p. The number is 1-800-377-5709.
 - It should be noted that the veteran CES also operates off of a No Wrong Door system and veterans can be referred to the veteran specific system of resources from any homeless service provider in the state as well.
- For youth, the access points will be the three major shelters for youth across the state:
 - Preble Street Teen Center, 343 Cumberland Avenue, Portland, Maine 04101
 - New Beginnings, 490 Main Street, Lewiston, Maine, 04240
 - Shaw House, 136 Union Street, Bangor, Maine, 04401

¹ For more information on the No Wrong Door approach, please refer to the HUD CES Core Elements Document: <https://files.hudexchange.info/resources/documents/Coordination@Entry-Core-Elements.pdf>

- For those fleeing domestic violence, the access point will be the statewide hotline, which is 1-866-834-HELP (4357).
 - Maine's Domestic Violence Resource Centers may be accessed 24/7 through the statewide number or through local helplines offered by each of the participating member organizations. (see all the numbers for each of the organizations on the MCEDV website). Helpline is the first step for victims of domestic violence who are fleeing an abusive partner, or for anyone who is concerned about someone who is being abused. Survivors may meet in person with an advocate at the local domestic violence resource center; or speak with an advocate on the phone about their circumstance. Advocacy services may include access to 24/7 Helpline for information and support, assistance with understanding the civil process for obtaining an Order for Protection from Abuse, assistance with understanding the civil and criminal court systems relative to domestic violence, access to support and education groups, temporary emergency shelter and/or referrals to other homeless providers.

In some cases, people may need additional accommodations to access the CES. In these instances, the COC designates:

- CES participating providers provide linkages to communication accommodations through translation services to effectively and clearly communicate with people who have disabilities, including visual, auditory, and limited English proficiency.
- It will be ensured that access to the CES will be accessible to persons with mobility barriers.

Emergency Services

In case of emergency, call 911. After-hours housing crisis response access is available via telephone through 211, which can refer to police, and emergency medical care services for people seeking emergency housing assistance twenty-four hours a day year-round. This can include your local General Assistance office, 211 also coordinates with domestic violence providers, emergency services, shelters, and other housing crisis programs. The CES system does not utilize prioritization to access emergency shelter services. However, each individual provider utilizes their own process for programmatic eligibility. It is important to note that due to the limited number of shelter nights in the state, it is possible that a bed might not be available for an individual when they are seeking it. In this case, providers will work to connect that individual with other resources to help address their immediate needs.

Diversion and Homeless Prevention

Acknowledging the potentially traumatic nature of literal homeless, providers will help individuals to explore possible safe alternatives to emergency shelter. The CES will ensure that all potentially eligible people will be given the opportunity to explore options for diversion and homeless prevention, screened for homelessness prevention assistance, regardless of the access point at which they initially seek assistance.

Street Outreach

Street outreach programs, including but not limited to PATH, SSVF, and individual shelter programs will function as access points to the CES process. These points will seek to engage people who may not seek traditional shelter services, especially those individuals and families sleeping unsheltered.

ASSESSMENT

All projects participating in CE will follow the assessment and protocols of the CES. The assessment process will collect only enough participant information to prioritize and refer people to available housing and support services.

Maine CES Assessments

The assessment component of the coordinated entry process will be implemented in phases in order to capture information on an as-needed basis as participants navigate the process, recognizing that person-centered and trauma-informed approaches are necessary throughout the CE process.

The steps for the CES standardized assessment process include:

Access & Safety 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. This initial assessment will also be aimed at assessing the immediate safety of the individual. If an individual is presenting as fleeing, or attempting to flee from domestic violence, the entity doing the assessment will act in accordance with the Individuals and Families Fleeing Domestic Violence policy.

Coordinated Entry Assessment 1: When an individual accesses emergency services, such as entering an emergency shelter, basic Universal Data Elements (UDEs) will be collected. These UDEs include the individual's name, date of birth, social security number, living situation the night before accessing emergency services, and length of time homeless.

Coordinated Entry Assessment 2: The second phase of assessment is the collection of HMIS Common Data Elements and Universal Data Elements necessary to enroll the participant in a crisis response project, such as emergency shelter or other homeless assistance projects. At times, the Coordinated Entry Assessment 1 and Coordinated Entry Assessment 2 will be completed together.

Vulnerability Assessment: Each person is assessed for vulnerability using the VI-SPDAT, after at least 14 days of homelessness or at any time if unsheltered, in accordance with the assessment policy and procedures outlined in this document. This assessment is meant to collect information to identify a person's housing and service needs with the intent to resolve that individual's housing crisis. This step may also include other Housing Barrier assessments.

necessary to refine, clarify, and verify the individual's housing and homeless history, barriers, goals, eligibility, and preferences.

Due to individual programmatic eligibility requirements, there may be further documentation necessary beyond this assessment process. Further information on an individual's eligibility for specific programs and resources will be determined in the referral phase of CE.

Assessment Criteria

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.

Length of Time Homeless is determined by a person's totality of homelessness (as determined by HMIS data, third-party verification, and/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 tools by the CoC, or its designee.

Vulnerability is determined through a vulnerability assessment, the VI-SPDAT. The VI-SPDAT is administered by providers for people experiencing homelessness, in accordance with the written standards, and is the approved vulnerability tool for ESG and SSVF providers, among others. Based on the specific set of questions inherent in the tool, an individual will be given a score.

If a trained provider believes the assessment does not accurately reflect the individual's vulnerability, the score can be adjusted on a case by case basis, through discussion with the case conferencing group. The VI-SPDAT can only be conducted by a provider who has been appropriately trained to use this tool.

Participants have the right to refuse to answer any assessment questions. If there is an individual experiencing homelessness that declines to complete the VI-SPDAT, or in extenuating circumstances, there is an opportunity for that person to remain unscored. If this is the case, case conferencing and length of time homeless will be used to help establish vulnerability for that person. Refusal will have no negative effect upon a participant's involvement in the CES, though it could affect programmatic eligibility later in the process.

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.

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.

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.

Participant Consent

As part of the assessment process, participants will be provided with a written copy of the MCoC'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 MCoC's "Participant Consent" form.

PRIORITIZATION

The MCoC will use data collected through the assessment process to prioritize people experiencing homelessness within the MCoC's geography for available housing resources. Emergency services are a critical crisis response resource and access to such services will not be prioritized.

Once all phases of the assessment have been completed, each person or household who may be eligible for COC-funded housing resources will be placed on a centralized prioritization list, managed by the Homeless Project Coordinator. This by-name list will ensure that those with the highest vulnerability and barriers are prioritized for resources and that their wait times are as short as possible.

It is the policy of the MCoC to use the CES to prioritize the housing needs of individuals and households based on length of time homeless and vulnerability. The MCoC is committed to continuous improvement and will consider including other factors in the prioritization formula, such as housing barriers and potential eligibility factors, as the system develops.

The MCoC will use a dynamic prioritization approach and a case conferencing structure, which will allow for flexibility when prioritizing people for particular housing interventions. Dynamic prioritization will allow for those experiencing homelessness to be prioritized for available housing interventions even if another resource would be ideal. (For example, an individual prioritized for PSH may be offered a RRH intervention, as to decrease wait time and connect the individual to permanent housing as soon as possible.)

The case conferencing group will meet on a monthly basis (or more frequently if needed), and all CES participating providers will be invited to attend. At case conferencing meetings, the group will discuss individuals on the prioritization list, their respective vulnerability, and any recent updates to their situations that might impact their vulnerability. Then the group will choose which individuals to refer for housing resources that may come available soon. The Homeless Project Coordinator will connect the service provider with the appropriate resource providers in order to begin the referral process.

Where possible and reasonable, the case conferencing group may consider provider eligibility requirements (e.g., chronic homelessness) before deciding upon referrals. However, it remains the responsibility of the provider receiving the referral to determine and document the eligibility of the individual or family referred through CES, in accordance with its funding requirements and governance.

REFERRAL

All MCoC and ESG program recipients and subrecipients will use the CES established by the MCoC (inclusive of DV, Veteran, and Youth-specific parallel processes) as the only referral source from which to fill vacancies in housing and/or services funded by MCoC and ESG programs. When the case conference identifies an individual or household to be referred to a particular housing resource, the Homeless Project Coordinator will facilitate connection and communication between the identified individuals, their caseworkers, and the housing resource(s) in question. At this time, the project application will be completed and submitted by the participant. While the system will make a best effort to connect each person experiencing homelessness with appropriate housing resources, the amount of available housing resources within the system is limited.

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.

Provider Declined Referral: In the very rare instance that a referral is rejected by a CoC- or ESG-funded project, the reason as to why must be documented and sent to the Homeless Project Coordinator and the participant, if applicable. If the participant is still in need of housing, they will be referred back to the case conferencing group.

Referral Outcomes

Referral outcomes will be tracked and monitored at case conferencing, including any unsuccessful referrals due to eligibility, declinations by the referred individuals, etc. The case conferencing group will utilize the information about outcomes to refine the referral process.

GRIEVANCE AND APPEAL

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

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

Scope

These procedures shall address grievances and appeals of the CES itself. Any program or person who interacts with the Coordinated Entry System may file an appeal, regardless of whether or not the program or person is participating in the CES. Each participating program must have its own internal grievance and appeal process. In instances where the aggrieved party's complaint involves a program level decision, or the actions of a program staff, then that program's grievance and appeal policies shall be used. CES grievance and appeal procedures will be utilized when the complaint pertains to the actions or decisions of the CES Project Coordinator, or the case conferencing group as a whole, in respect to the operation of the Coordinated Entry System. If it is uncertain whether the grievance is program related or system related, the Project Coordinator and a representative from the agency in question will make a determination.

Participant/Citizen grievance and appeal

Step One Grievance/Appeal

Any complaints should involve an informal conversation during which the aggrieved person should have an opportunity to express their concerns and have them addressed.

Should the person choose to carry their grievance forward, at this point they shall complete a CES Grievance Form. This form will detail the nature of the grievance, and include any and all supporting evidence for the grievance. The form shall be written in a manner that will allow people to complete and submit the form without assistance if necessary, but people may accept the assistance of a caseworker in completing and submitting the form as well.

The completed CES Grievance Form will be transmitted to the CES Project Coordinator. The Project Coordinator shall consider the grievance, and render a decision within the case conferencing cycle for the locality where the grievance was filed. If the grievance or appeal involves the Project Coordinator, then the Coordinator shall recuse themselves from the process. In this case, the CES Committee Chair(s) will be asked to consider the grievance or appeal.

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

In all cases, the aggrieved person will be informed of the decision in writing as soon as possible. The notice of decision will also include information about what next steps may occur. If the person is still dissatisfied with the decision, they may choose to escalate their grievance or appeal.

Step Two Grievance/ Appeal

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

The person will send their Grievance Form, supporting evidence, and a copy of the Step One decision to the COC Tri-Chairs within 30 days of the Step One decision.

The Tri-Chairs shall consider the evidence, and choose to either uphold or overturn the Step One decision. If the appeal involves an agency represented by one of the Tri-Chairs, that chair shall recuse themselves from the process. This decision must be rendered within 30 days of the Step Two process being initiated. The aggrieved person will be informed of this decision in writing. All decisions at this stage are considered final.

Program Grievance vs CES

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

Step One Grievance/Appeal

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

The complaint and supporting evidence will be considered by the appropriate group, who will render a decision within 30 days. The group hearing the appeal will also make any decision on corrective actions.

19

MCoC CES Policies and Procedures: 1/29/2020

if necessary. This group will notify the aggrieved agency in writing as soon as a decision is made, as well as what next steps may occur.

Step Two Grievance/Appeal

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

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

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

Recordkeeping

The CES Project Coordinator shall keep records of all CES grievances/appeals, and their results. Those records shall be forwarded to the Evaluation Entity, the CES Committee, COC or COC Board at their request.

Affirmative Outreach

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

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 is 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 is 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)

Participants must receive and acknowledge an HMIS Release of Information (ROI) form prior to the collection of data for CES. The form identifies what data will be collected, what data will be shared, which agencies data will be shared with, and what the purpose of the data sharing is. Participants will have the option to decline sharing data; doing so does not make them ineligible for CES.

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.

Appendices

- Appendix A: Order of Priority in CoC program-funded Permanent Supportive Housing
- Appendix B: 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 C: Order of Priority in PSH Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness
- Appendix D: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources
- Appendix E: Veteran CES Policy and Procedure
- Appendix F: HMIS Release of Information

Appendix A: 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 B: Order of priority in CoC program funded Permanent Supportive Housing Beds Dedicated to Persons Experiencing Chronic Homelessness and Permanent Supportive Housing Prioritized for Occupancy by Persons Experiencing Chronic Homelessness

1st Priority: Chronically Homeless Individuals and Families with the Longest History of Homelessness and with the Most Severe Service Needs.

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

1. The chronically homeless individual or head of household of a family has been homeless and living in a place not meant for human habitation, a safe haven, or in an emergency shelter for at

- least 12 months either continuously or on at least four separate occasions in the last 3 years, where the cumulative total length of the four occasions equals at least 12 months; and
2. The CoC Program has identified the chronically homeless individual or head of household as having severe service needs.

2nd Priority: Chronically Homeless Individuals and Families with the Longest History of Homelessness.

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

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

3rd Priority: Chronically Homeless Individuals and Families with the Most Severe Service Needs.

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

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

4th Priority: All Other Chronically Homeless Individuals and Families.

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

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

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

Appendix C: 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 D: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources

Basic priority order per HUD Notice CPD-14-012						
	Priority	Homeless Category	Length of Stay in Homelessness	Where Experience Homelessness	Severity of Service Needs	Documented Disability
Dedicated CH PSH Beds	1	Chronic - Individual or HHLD with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	UN, ES, SH	High - VI-SPDAT Score of 10 or greater	Yes
	2	Chronic - Individual or HHLD with Children	> 12 Months Continuous OR Total of at least 4 Episodes Total > 12 months in 3 years	UN, ES, SH	Low-VI-SPDAT Score of 5 or greater	Yes
	3	Chronic - Individual or HHLD with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UN, ES, SH	High - VI-SPDAT Score of 10 or greater	Yes
	4	Chronic - Individual or HHLD with Children	Total of at least 4 Episodes Total < 12 months in 3 years	UN, ES, SH	Low-VI-SPDAT Score of 5 or greater	Yes
Committed CH Beds (85% program goal)	5	Category 1 - Individual or HHLD with	Any length of Stay OR < 90 Days Institution	UN, ES, SH OR Institution if UN, ES, SH Prior to entry	High - VI-SPDAT Score of 10 or greater	Yes
	6	Category 1 - Individual or HHLD with	> or = 6 Months Continuous OR at least 3 episodes in 3 years > = 6 Months OR < = 90 Days in Institution	UN, ES, SH OR Institution if UN, ES, SH Prior to entry	Low-VI-SPDAT Score of 3 or greater	Yes
	7	Category 1 - Individual or HHLD with	Any Time > 30 days OR < 90 Days Institution	UN, ES, SH OR Institution if UN, ES, SH Prior to entry	Low-VI-SPDAT Score of 5 or greater	Yes
	8	Category 1 - Individual or HHLD with	Any Length of Stay > 24 days	TH IF previous UN, ES, or SH (dependent on funding source CoC or ESG)	Low-VI-SPDAT Score of 5 or greater	Yes

Appendix E: 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.

Support Services for Veterans and Families (SSVF)
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	1-877-424-3838	Easter Seals 207-818-0754 x1004
Preble Street 1-800-377-5709	Grant and Per Diem- Transitional Housing Programs	
	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.
 1. 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.
 - c. 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:
 1. Reply to all entities represented on the initial request ensuring that multiple agencies are not responding to a single Veteran in need.
 2. The responding agency will reach out to the referring agency's POC to ascertain more detailed information about the Veteran's current housing situation.
 3. 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.
 1. 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).
 - 1. 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.
- iii. 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.
 - 1. 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:
 - a. **0-3 No or light intervention** – Rapid Rehousing Intervention (SSVF or Community Funded)
 - b. **4-7 Rapid Re-housing Intervention** (SSVF or Community Funded)
 - c. **8+ Refer to Permanent Supportive Housing Project** (VA HUD VASH or Community Funded Program)
- iv. 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.
- v. 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.
- vi. Enrollments in GPD can exist in parallel to enrollments with SSVF or HUD VASH in compliance with applicable program guides.

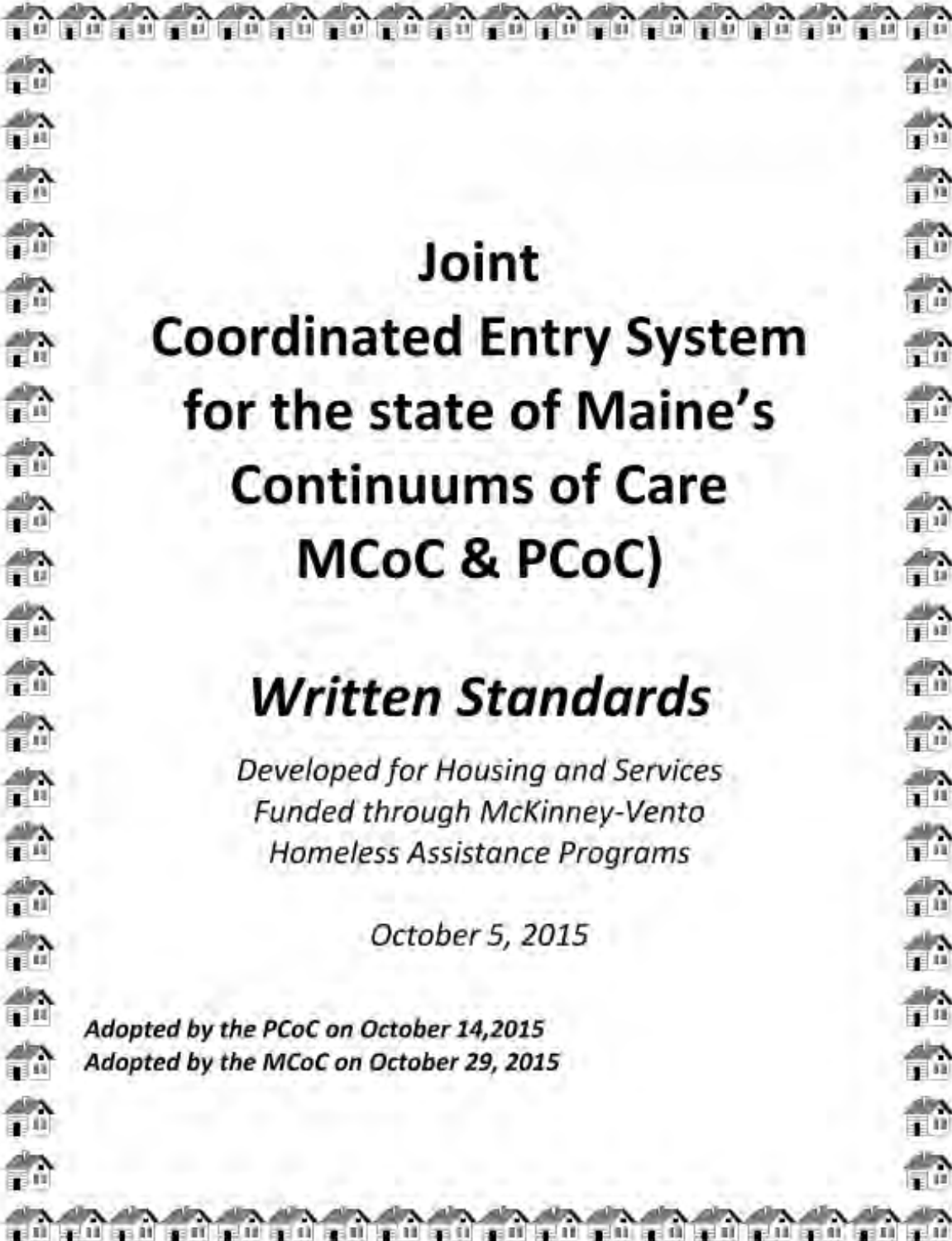
C. Veteran Project Entry

- 4. Project Entry
 - a. Decision for Veterans that score between 0 and 7

- j. 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:
 - 1. 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.
 - 2. 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.
- i. If the Veteran is initially engaged by HCHV service provider will need:
 - 1. To contact any of the SSVF providers within 3-4 business days
 - 2. Maintain contact with the Veteran and ensure the referral was picked up at case consultation.
- b. Decision for Veterans 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.
 - 1. 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
 - d. NOTE: In most instances this can and should be the referring person's contact information.
 - c. 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.
 - d. 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.

D) Veteran Project Denial, Program Capacity denials and or Project Enrollment Termination.

5. 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.
6. 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.
7. 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.



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

Written Standards

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

October 5, 2015

***Adopted by the PCoC on October 14, 2015
Adopted by the MCoC on October 29, 2015***

Contents

Introduction	4
This Document	5
Purpose:	5
Overview of Coordinated Entry/ Assessment	5
Responsibilities of the Continuum of Care	6
Geographic Area:	7
Target Population	7
Goals of Coordinated Entry/Assessment	8
Guiding Principles.....	8
Operating the Coordinated Entry System.....	10
Key Elements of Maine's CES:.....	10
Definitions:.....	10
Requirements:.....	10
Pre-Screening.....	11
Screening, Assessment and Referral.....	11
Prioritization standards	11
No Wrong Door Approach	12
CES Components:.....	12
Assessment Tool	12
Assessment Process	12
Data Sharing	13
Emergency services.....	13
Fair and Equal Access	13
Full coverage.....	13
Joining the Coordinated Assessment System	13
Mainstream services	13
Monitoring and Reporting of CES	13
Privacy protections	13
Resource List.....	14
Referral criteria	14
Referral Rejection Policy	14

2 | Page

Safety planning.....	14
Standardized access and assessment.....	14
Stakeholder Inclusion.....	15
System Advertisement and Outreach.....	15
System Evaluation.....	15
Training.....	16
Appendix A: Definitions.....	18
Appendix B: PROGRAM REQUIREMENTS FOR ALL PROGRAMS.....	21
Appendix C: RECORD KEEPING REQUIREMENTS FOR ALL PROGRAMS.....	22
Appendix D: OCCUPANCY STANDARDS FOR ALL PROGRAMS.....	23
Appendix E: Order of Priority in CoC Program-funded Permanent Supportive Housing.....	24
Appendix F: Order of Priority in CoC Program-funded Permanent Supportive Housing Beds Dedicated to Persons Experiencing Chronic Homelessness and Permanent Supportive Housing Prioritized for Occupancy by Persons Experiencing Chronic Homelessness.....	24
Appendix G: Order of Priority in Permanent Supportive Housing Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness.....	26
Appendix H: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources.....	28
Appendix I: 2015 Ending Homelessness Prioritization Chart.....	29

Introduction

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

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

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

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

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

The Coordinated Entry Written Standards will:

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

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

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

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

This Document

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

Purpose:

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

Overview of Coordinated Entry/ Assessment

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

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

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

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

Responsibilities of the Continuum of Care

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

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

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

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

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

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

this part;

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

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

Geographic Area:

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



Target Population

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

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

Goals of Coordinated Entry/Assessment

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

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

HUD's primary goals for coordinated entry processes are:

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

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

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

Guiding Principles

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

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

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

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

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

Operating the Coordinated Entry System

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

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

Key Elements of Maine's CES:

Definitions:

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

Requirements:

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

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

Pre-Screening

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

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

Screening, Assessment and Referral

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

Prioritization standards

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

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

Low Barrier Policy

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

No Wrong Door Approach

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

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

CES Components:

Assessment Tool

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

Assessment Process

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

Data Sharing

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

Emergency services

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

Fair and Equal Access

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

Full coverage

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

Joining the CES

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

Mainstream services

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

- Housing
- Medical benefits
- Nutrition assistance
- Income supports

Monitoring and Reporting of CES

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

Privacy protections

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

Resource List

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

Referral criteria

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

Referral Rejection Policy

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

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

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

Safety planning

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

Standardized access and assessment

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

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

Stakeholder Inclusion

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

System Advertisement and Outreach

Outreach

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

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

Advertisement

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

System Evaluation

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

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

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

Training

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

Appendices

Appendix A: Definitions

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

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

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

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

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

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

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

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

Disabling Condition – A physical, mental, or emotional impairment; including an impairment caused by alcohol or drug abuse, post-traumatic stress disorder, or brain injury, which is expected to be of long-continued and indefinite duration, substantially impedes the person's ability to live independently, and is of such a nature that such ability could be improved with more suitable housing conditions; a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance Bill of Rights Act of 2001; or Acquired Immunodeficiency Syndrome (AIDS) or any conditions arising from the etiologic agent for Acquired Immunodeficiency Syndrome, including infection with the Human Immunodeficiency Virus (HIV).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix B: PROGRAM REQUIREMENTS FOR ALL PROGRAMS

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

Appendix C: RECORD KEEPING REQUIREMENTS FOR ALL PROGRAMS

Participant Recordkeeping Requirements include:

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

Financial Recordkeeping Requirements include:

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

Appendix D: OCCUPANCY STANDARDS FOR ALL PROGRAMS

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

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

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

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

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

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

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

1st Priority:

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

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

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

2nd Priority:

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

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

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

3rd Priority:

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

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

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

4th Priority:

All Other Chronically Homeless Individuals and Families.

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

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

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

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

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

1st Priority:

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

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

2nd Priority:

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

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

3rd Priority:

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

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

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

4th Priority:

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

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

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

Appendix I: 2015 Ending Homelessness Prioritization Chart

	Priority	Homeless Category	Parameters	N	Resources	Process
5%	P1	Long Term Stayers (LTS)/Individuals	Greater or equal to 180 days in a 365 period	262	300 Dedicated SPC vouchers. For Vets: HUD/VASH with Initial SSVF assistance.	1) 1 year of HMIS data, application; 2) CAA will centralize vouchers and award these to shelters/providers directly; 3) CAA will follow up to verify disability and criteria for chronic homelessness.
	P2	Long Term Stayers (LTS)/Families	Greater or equal to 180 days in a 365 period	50	Home to Stay	STEP or Section 8 from Home to Stay; shelters use Home to Stay resources to solve for this population
15%	P3	Domestic Violence Families & Individuals	Greater than 30 days	275	Dedicated transitional supportive housing, permanent supportive housing, Section 8, BRAP, S+C	Transitional DV Resources, CHOM, ETC.
	P3	Unaccompanied Youth unable to be reunited with their families	Greater than 30 days	50	Transitional supportive housing	Transitional youth service partners/BRAP -LAA's
	P3	Less than Long Term Stayers (LTS) Individuals & Families	Greater than 60 days but less than 180 days in a 365 day period	290	Permanent housing, permanent supportive housing, transitional supportive housing, Section 8, BRAP, S+C. For Vets: SSVF, or where appropriate HUD/VASH	Shelter case management, market apartments with outreach support.
	P4	Institutions	Greater than 90 days	100	BRAP	BRAP-LAAs
80%	P5	Circumstantially Homeless, Unaccompanied Youth (working toward reunification/stability)	Less than 30 days & not flagged on VI-SPDAT	6138	General Assistance, STEP	Existing mainstream resources - general assistance, rapid re-housing, STEP. For Youth: Traditional youth service providers

Grantee SF-424's and Certification(s)

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. 4601-1655) 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.

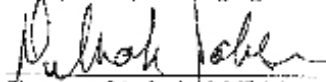
Anti-Lobbying -- To the best of the State's knowledge and belief:

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. 1701(u) and implementing regulations at 24 CFR Part 135.


Signature of Authorized Official

02/26/2021
Date

Director, Office of Community Development
Title

Specific Community Development Block Grant Certifications

The State certifies that:

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

Consultation with Local Governments --

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

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

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

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

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available.
2. **Overall Benefit.** In the aggregate, not less than 70 percent of the CDBG funds, including Section 108 guaranteed loans, received by the State during the following fiscal year(s) 2021 [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

04/06/2021
Date

Director, Office of Community Development
Title

Specific HOME Certifications

The State certifies that:

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

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

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



Signature of Authorized Official

4/7/2021

Date

Director

Title

Emergency Solutions Grant Certifications

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

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

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

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

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

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

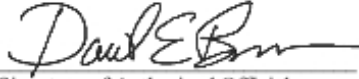
Essential Services and Operating Costs – If ESG funds are used for shelter operations or essential services related to street outreach or emergency shelter, the subrecipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided,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

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

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

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

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



Signature of Authorized Official

4/7/2021

Date

Director

Title

APPENDIX TO CERTIFICATIONS


INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:

Lobbying Certification

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

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. Data Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: E-51-EC-23-0001	
State Use Only:		
6. Data Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: State of Maine Department of Economic & Community Development		
* b. Employer/Taxpayer Identification Number (E/TIN): 00-6000001	* c. Organizational DUNS: 8059455110009	
d. Address:		
* Street: Street2:	59 State House Station	
* City:	Augusta	
County/Parish:	<input type="text"/>	
* State:	ME; Maine	
Province:	<input type="text"/>	
* Country:	USA; UNITED STATES	
* Zip / Postal Code:	04330	
e. Organizational Unit:		
Department Name: Economic/Community Development	Division Name: <input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
* First Name:	Deborah	
Middle Name:	<input type="text"/>	
* Last Name:	Johnson	
Suffix:	<input type="text"/>	
Title:	Director Office of Community Development	
Organizational Affiliation: <input type="text"/>		
* Telephone Number:	207-624-9819	Fax Number: <input type="text"/>
* Email: Deborah.Johnson@maine.gov		

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="As State Government"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="US Department of Housing and Urban Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-226"/>	
CFDA Title: <input type="text" value="Community Development Block Grant"/>	
* 12. Funding Opportunity Number: <input type="text"/>	
* Title: <input type="text"/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="Community Development Block Grant see Consolidated Plan"/>	
Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text" value="1"/>	* b. Program/Project: <input type="text" value="1 of 2"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2021"/>	* b. End Date: <input type="text" value="12/31/2021"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="11,984,932.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="256,656.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="13,241,588.00"/>
* 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 type="checkbox"/> I AGREE	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="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"/>	
* Telephone Number: <input type="text" value="207-624-8817"/>	* Fax Number: <input type="text" value="207-287-8090"/>
* Email: <input type="text" value="deborah.johnson@maine.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="02/26/21"/>

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2022

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

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

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

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

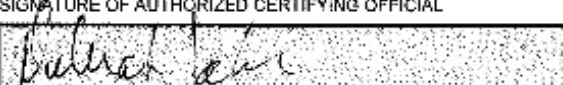
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain.
8. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4001 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1688), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), 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. §§280 dd-3 and 280 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.

Previous Edition Usable

Authorized for Local Reproduction

Standard Form 424D (Rev. 7-87)
Prescribed by OMB Circular A-102


11. Will comply, or has already complied, with the requirements of Titles I and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1504-1506 and 7324-7326) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 175(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1966 (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 108 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (deification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Director Office of Community Development
APPLICANT ORGANIZATION State of Maine, Dept Economic & Community Development	DATE SUBMITTED 02/26/2021

SF-424D (Rev. 7-97) 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: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
B. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text"/> Maine State Housing Authority		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/> 01-01129-0	* c. Organizational DUNS: <input type="text"/> 068471130000	
d. Address:		
* Street1: <input type="text"/> 26 Edgemoor Drive	<input type="text"/>	
* Street2: <input type="text"/>	<input type="text"/>	
* City: <input type="text"/> AUGUSTA	<input type="text"/>	
* County/Parish: <input type="text"/>	<input type="text"/>	
* State: <input type="text"/> ME: MAINE	<input type="text"/>	
* Province: <input type="text"/>	<input type="text"/>	
* Country: <input type="text"/> USA: UNITED STATES	<input type="text"/>	
* Zip (Postal Code): <input type="text"/> 04311-4633	<input type="text"/>	
e. Organizational Unit:		
Department Name: <input type="text"/> 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"/> Mr.	* First Name: <input type="text"/> Peter	<input type="text"/>
Middle Name: <input type="text"/>	<input type="text"/>	
* Last Name: <input type="text"/> PETELLI	<input type="text"/>	
Suffix: <input type="text"/>	<input type="text"/>	
Title: <input type="text"/> Deputy Director		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text"/> 207-686-0000	Fax Number: <input type="text"/> 207-686-0000	
* Email: <input type="text"/> peter.petelli@mainehousing.org		

Application for Federal Assistance SF-424	
<p>* 9. Type of Applicant 1: Select Applicant Type:</p> <input type="text" value="At: State Government"/> <p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/> <p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/> <p>* Other (specify):</p> <input type="text"/>	
<p>* 10. Name of Federal Agency:</p> <input type="text" value="US Department of Housing and Urban Development"/>	
<p>11. Catalog of Federal Domestic Assistance Number:</p> <input type="text" value="14-039"/> <p>CFDA Title:</p> <input type="text" value="HOME Investment Partnerships Program"/>	
<p>* 12. Funding Opportunity Number:</p> <input style="background-color: yellow;" type="text"/> <p>* Title:</p> <input style="background-color: yellow;" type="text"/>	
<p>13. Competition Identification Number:</p> <input type="text"/> <p>Title:</p> <input type="text"/>	
<p>14. Areas Affected by Project (Cities, Counties, States, etc.):</p> <input type="text"/> <div style="display: flex; justify-content: space-around;"> <input type="button" value="Add Attachment"/> <input type="button" value="Cancel Attachment"/> <input type="button" value="View Attachment"/> </div>	
<p>* 15. Descriptive Title of Applicant's Project:</p> <input type="text" value="HOME, Sea Grant Advanced Plan"/>	
<p>Attach supporting documents as specified in agency instructions:</p> <div style="display: flex; justify-content: space-around;"> <input type="button" value="Add Attachments"/> <input type="button" value="Cancel Attachments"/> <input type="button" value="View Attachments"/> </div>	

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.	
[]	[Add Attachment] [] []
17. Proposed Project:	
*a. Start Date: []	**b. End Date: []
18. Estimated Funding (\$):	
*a. Federal	[0,000,000.00]
*b. Applicant	[]
*c. State	[]
*d. Local	[]
*e. Other	[]
*f. Program Income	[]
*g. TOTAL	[0,000,000.00]
* 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="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	
[]	[Add 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	
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: [Mr.]	* First Name: [Daniel]
Middle Name: []	
* Last Name: [Brandon]	
Suffix: []	
* Title: [Director]	
* Telephone Number: [207-626-4400]	Fax Number: [207-626-5700]
* Email: [dbrandon@mainehousing.org]	
* Signature of Authorized Representative: []	* Date Signed: [4/7/2021]

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2022

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

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

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

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


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), 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 dd-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.

Previous Edition Usable

Authorized for Local Reproduction

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. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties) and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Maine State Housing Agency	04/09/2021

SF-424D (Rev. 7-97) 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: <input type="text" value=""/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text" value="5-11-00000-0000"/>	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
B. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text" value="Maine State Housing Authority"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="01-01129-0"/>	* c. Organizational DUNS: <input type="text" value="068071150000"/>	
d. Address:		
* Street1: <input type="text" value="26 Edgemoor Drive"/>	<input type="text"/>	
Street2: <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="04310-4633"/>	<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="Evelyn"/>	<input type="text"/>
Middle Name: <input type="text"/>	<input type="text"/>	
* Last Name: <input type="text" value="Petrelli"/>	<input type="text"/>	
Suffix: <input type="text"/>	<input type="text"/>	
Title: <input type="text" value="Deputy Director"/>		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="207-686-0000"/>	Fax Number: <input type="text" value="207-686-0000"/>	
* Email: <input type="text" value="epetrelli@msaha.org"/>		

Application for Federal Assistance SF-424	
<p>* 9. Type of Applicant 1: Select Applicant Type:</p> <input type="text" value="At: State Government"/> <p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/> <p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/> <p>* Other (specify):</p> <input type="text"/>	
<p>* 10. Name of Federal Agency:</p> <input type="text" value="US Department of Housing and Urban Development"/>	
<p>11. Catalog of Federal Domestic Assistance Number:</p> <input type="text" value="14-C01"/> <p>CFDA Title:</p> <input type="text" value="Emergency Structures Repair (ESR) program"/>	
<p>* 12. Funding Opportunity Number:</p> <input type="text" value=""/> <p>* Title:</p> <input type="text" value=""/>	
<p>13. Competition Identification Number:</p> <input type="text"/> <p>Title:</p> <input type="text"/>	
<p>14. Areas Affected by Project (Cities, Counties, States, etc.):</p> <input type="text"/> <p style="text-align: right;"> <input type="button" value="Add Attachment"/> <input type="button" value="Cancel Attachment"/> <input type="button" value="View Attachment"/> </p>	
<p>* 15. Descriptive Title of Applicant's Project:</p> <input type="text" value="ESR, See Consolidated Form"/>	
<p>Attach supporting documents as specified in agency instructions:</p> <p style="text-align: right;"> <input type="button" value="Add Attachments"/> <input type="button" value="Cancel Attachments"/> <input type="button" value="View Attachments"/> </p>	

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.	
[]	[Add Attachment] [] []
17. Proposed Project:	
*a. Start Date: []	*b. End Date: []
18. Estimated Funding (\$):	
*a. Federal	[1,350,750.00]
*b. Applicant	[]
*c. State	[]
*d. Local	[]
*e. Other	[]
*f. Program Income	[]
*g. TOTAL	[1,350,750.00]
* 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="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	
[]	[Add Attachment] [] []
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: [Mr.]	* First Name: [Daniel]
Middle Name: []	
* Last Name: [Brandon]	
Suffix: []	
* Title: [Director]	
* Telephone Number: [207-626-4400]	Fax Number: [207-626-5700]
* Email: [dbrandon@mainehousing.org]	
* Signature of Authorized Representative: []	* Date Signed: [4/7/2021]

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2022

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

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

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

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


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), 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 dd-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.

Previous Edition Usable

Authorized for Local Reproduction

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. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties) and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Maine State Housing Authority	04/09/2021

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