

Maine Annual Action Plan

CDBG, HOME and ESG

Plan Year 2016

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

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Executive Summary

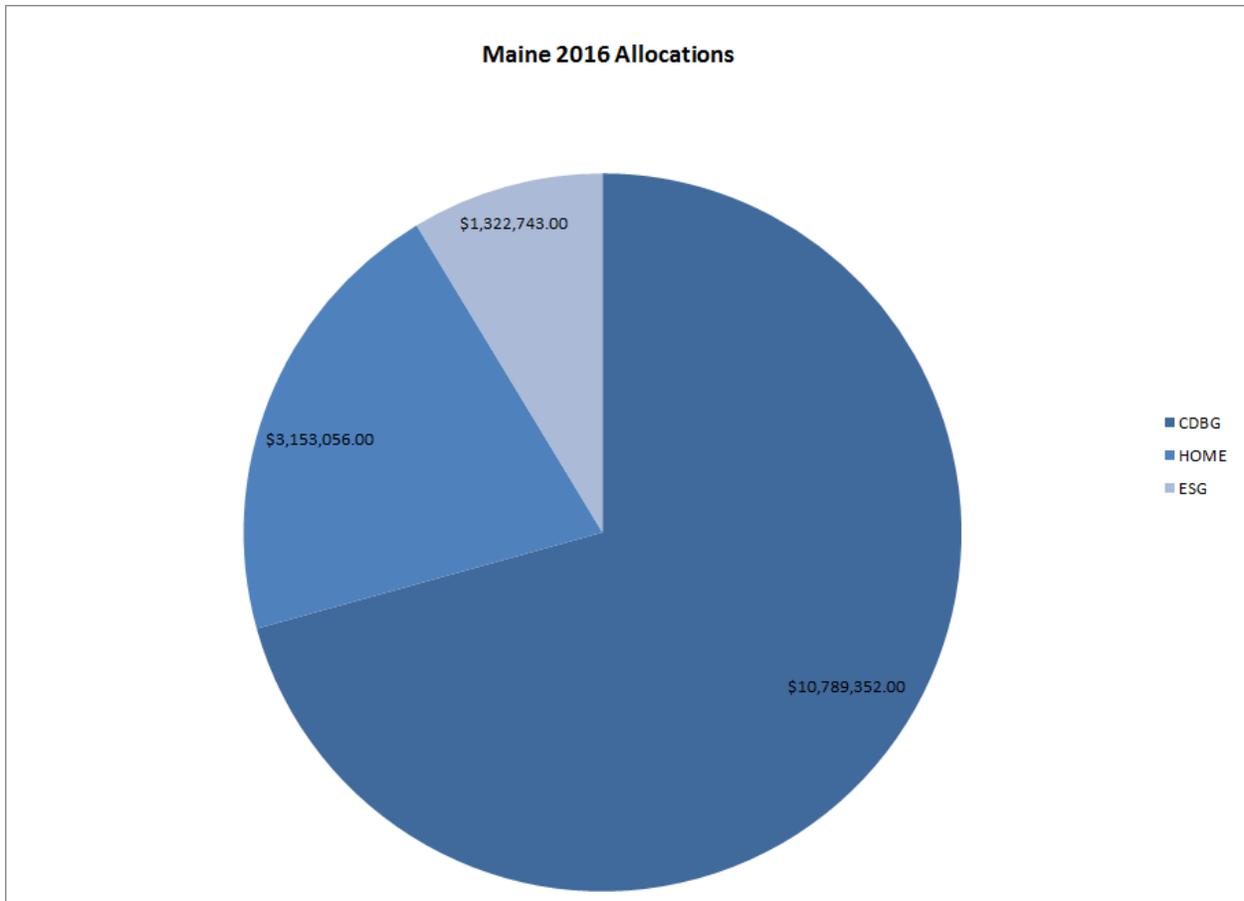
AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

The Consolidated Plan is the five-year housing and community development planning document for the state of Maine. The Community Development Block Grant (CDBG), Emergency Solutions Grants Program (ESG) and HOME Investment Partnerships Program (HOME) are US Department of Housing and Urban Development's (HUD) funded formula programs covered under the Consolidated Plan.

The Consolidated Plan is carried out through Annual Action Plans. The 2016 Annual Action Plan describes the priorities and respective resource investments of the three federally funded programs that are anticipated to be available and utilized during the program year 2016 (January 1, 2016 to December 31, 2016) to address the priority needs and specific goals identified by the Consolidated Plan.

The Department of Economic and Community Development (DECD) will administer the CDBG program. Maine State Housing Authority (MaineHousing) will administer the HOME and ESG programs. MaineHousing and the DECD look forward to continued coordination of programs and will involve other partners to leverage resources.



Maine 2016 Allocations

2. Summarize the objectives and outcomes identified in the Plan

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

The 2015-2019 Consolidated Plan identified the following three overarching objectives:

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

The Five Year Plan identified the following three program outcomes for each activity funded by the three federal programs:

- Improved availability/accessibility

- Improved affordability
- Improved sustainability

All activities funded in 2016 will support at least one objective and one outcome. The framework for realizing these objectives and outcomes include the following priorities:

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

In 2016 MaineHousing plans to create 225 new or rehabilitated multifamily units, provide rapid re-housing for 150 households and assist over 7,500 homeless shelter guests.

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 outcomes identified in the Consolidated Plan and includes an evaluation of past performance through measurable goals and objectives compared to actual performance. This document can be found on the MaineHousing website.

The State of Maine made progress on its priority needs and objectives in FY 2014, the last complete period for which a CAPER was submitted. The best indicators of results, i.e. performance measures, are described below for DECD and MaineHousing.

Community Development Block Grant (CDBG) Program:

The State received \$10.9 million in CDBG funds in FY 2014. These funds were allocated to municipalities for a wide range of activities directed toward downtown revitalization, economic development, community infrastructure and facility improvements, workforce development and other actions to address identified housing needs.

HOME Investment Partnerships (HOME) Program:

The State received \$3.3 million of HOME funds in FY 2014. These funds assisted a total of 134 homes in need of repair, and 118 households were provided rental assistance through the STEP Program (TBRA). In 2014, HOME funds were awarded for new construction of three projects, including one 27 unit project by a Community Housing Development Organization.

Emergency Solutions Grant (ESG) Program:

In FY 2014, MaineHousing allocated a total of \$714,063 in ESG funds for shelter operations. MaineHousing used ESG funds to assist 41 homeless shelter programs (consisting of 29 provider agencies) to shelter 7,765 unique homeless individuals. ESG funds, state real estate transfer tax fees, and state general funds were used to support homeless shelter providers with shelter operating expenses. A total of \$3.4 million in funds were awarded to shelter providers based upon a combination of even distribution and a bed-night per-diem rate. MaineHousing also allocated \$960,288 for the rapid re-housing Home to Stay program.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

The public consultation process for this plan included several public forums. The 2016 Annual Action Plan forums occurred July 7, 2015 at the Maine Affordable Housing meeting, July 27th at the MaineHousing office in Augusta, and July 28th at the Presque Isle Public Library. The topic of these forums was the allocation of 2016 CDBG, HOME and ESG funds, and these meetings were held prior to drafting of the 2016 Annual Action Plan.

Public hearing notices of the Augusta and Presque Isle forums were placed on both the DECD and MaineHousing websites, and stakeholder groups were also notified of the forums via email.

The draft plan was made available on the MaineHousing and DECD websites for a 30-day period beginning October 9, 2015.

A Public Hearing was held November 10, 2015. Notice of the meeting was provided through posting on the MaineHousing and DECD websites and via email to individuals and organizations. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, nonprofit organizations, providers of housing and services to the homeless, and individuals.

An updated Citizen Participation Plan (included in the attachments of this Annual Action Plan) has been designed to increase citizen participation through the use of online surveys, telephone surveys, focus groups and public hearings/forums. The new Citizen Participation Plan will be effective with the 2016 Annual Action Plan.

5. Summary of public comments

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

Input was received during the public forums which was used during the drafting of the Annual Action Plan. No formal public comments were received on the Annual Action Plan.

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

No formal public comments were received.

7. Summary

The Maine Department of Economic and Community Development and MaineHousing will be partner agencies for the 2016 Annual Action Plan.

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

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

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

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

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

Table 1 – Responsible Agencies

Narrative

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

Consolidated Plan Public Contact Information

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

1. Introduction

The Annual Action Plan reflects consultation with many agencies, organizations and private citizens of the State of Maine. These groups and individuals represent a variety of housing and community development programs and concerns. Other entities consulted include state and local governments, non-profit organizations, regional housing authorities and representatives of the private sector, social services providers, housing providers and local authorities among others.

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

MaineHousing and DECD work closely to ensure that housing providers, private organizations, state and local governmental agencies, service providers, as well as the general public, are consulted during the development of the Annual Action Plan. Participation is encouraged through mailings to targeted individuals and agencies, website postings, and newspaper notices across the state. Public input is received and accepted in the form of telephone consultations, emails, Facebook comments, and testimonies at meetings and hearings. Additionally MaineHousing works with homeless service providers and other organizations toward a shared goal of preventing and eliminating homelessness in Maine. Collaborative efforts underway include:

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

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

MaineHousing is the Collaborative Applicant for the Maine Continuum of Care (CoC). MaineHousing is also the HMIS lead agency for the State of Maine, which includes the Portland CoC (PCoC) and the Maine CoC (MCoC). The mission of the Maine CoC is to plan and coordinate an inclusive system that helps Maine people avoid or quickly exit homelessness, while addressing the underlying causes of homelessness. The Maine CoC develops and manages the

annual Continuum of Care application process, identifies and addresses service gaps and risk factors in the community, and establishes specific goals and action steps to address homelessness.

Since 1998, MaineHousing has prepared and submitted the annual HUD application for funding on behalf of the Maine CoC. Over 11 million dollars are leveraged annually to support programs and services for homeless individuals and families. MaineHousing provides leadership, consultants, meeting space, and administrative staff to support the Maine CoC's year-round planning process for the NOFA competitive application. This leadership is specifically interested in serving the needs of homeless persons from the following sub-populations: chronically homeless individuals, families with children, veterans, and unaccompanied youth.

In collaboration with the CoC's, MaineHousing has rewritten the Homeless Rule so that the funding specifically targets long term stayers, including both individuals and families. Recent changes in the Homeless Rule also include the introduction of performance measures to better determine shelter success in meeting the needs of sub-populations and the shelter stayers as a whole.

MaineHousing also works collaboratively with Supportive Services for Veteran Families (SSVF). MaineHousing produces customized reports that indicate geographic needs and usage of Veteran Affairs Supportive Housing (VASH) vouchers (which MaineHousing administers). SSVF staff regularly attend both MCoC and PCoC meetings.

Staff of all Maine State homeless programs that service unaccompanied youth (Preble Street Joe Kreisler Teen Center in Portland, New Beginnings in Lewiston, and Shaw House in Bangor) regularly attend at MCoC and PCoC meetings and are frequently relied upon as the experts in this area. MaineHousing, as the HMIS lead, additionally provides data to all interested parties to assist in the identification of needs and resource prioritization.

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

MaineHousing is the ESG administrator for all areas of Maine except Portland and is the Maine CoC Collaborative Applicant. Maine CoC members participate in MaineHousing's ad hoc Committee on Shelter Funding to help develop shelter funding policies and priorities. In 2015, MaineHousing sought input from the Maine CoC, the Statewide Homeless Council, and the PCoC.

in changing the Homeless Rule. This rule governs MaineHousing's allocation of resources for programs serving the homeless population, program design, and allocation of ESG funds. Through this process, MaineHousing consulted regularly with the CoC's to solicit feedback on changes for each section of the rule. Among these changes are the introduction and formalization of performance measures, the introduction of funding to support Rapid Re-Housing and Long-term stayer stabilization, and a move away from funding Shelters based on bed-night counts. New data sharing activities and policies are tailored to domestic violence programs working under VAWA. Work with the CoCs to create written procedures and policies that work for the providers and meet Federal requirements will be ongoing.

In 2015, MaineHousing worked with Maine CoC Leadership to develop a Coordinated Assessment System. The Client Access Assessment and Referral Experience (CAARES) group includes members from both the Portland CoC and the Maine CoC. MaineHousing supported the effort to develop this system by contributing resources in the form of Collaborative Applicant administrative and HMIS staff to assist the CoC's in accomplishing this goal. This initiative will standardize the service structure for households and individuals on the verge of, or experiencing, homelessness. It will also serve as the platform for data elements in HMIS, allowing for standardized evaluation of needs and outcome data, which will then be available to help influence policy and guide the use of funds and resources.

HUD considers the active use of HMIS for planning purposes within the CoC a best practice, and HMIS is a requirement for Continuum of Care jurisdictions. Annually, the CoCs are required to designate a lead agency, and they have continued to designate MaineHousing as the Lead since 2004. In January of 2014, the Maine CoC voted and approved a Joint Governance Charter for both the Maine CoC and Portland CoC, which outlines the roles, responsibilities, relationship and authorities of the two CoC's, the Maine HMIS Lead Agency, the HMIS Program and other participants. This Joint Governance Charter will continue for 2015. The purpose of the Charter is to ensure continued operation and consistent participation in the HMIS for making planning and funding decisions through the use of targeted, quality data on the characteristics and service utilization of persons accessing Maine's homeless service system.

In 2015, MaineHousing developed new data quality standards. The new data standards were a joint release by the federal partners at HUD, HHS, and the VA, with varying program and data collection requirements. These data standards require additional training for all HMIS participating programs,

and additional tasks will be needed to fully implement these standards in the next few years. The implementation of a new Data Quality Plan will require that the HMIS Lead take a more proactive approach with partner agencies to ensure that they are maintaining a level of data quality that is consistent with the standards set forth by HUD.

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

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	MaineHousing
	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 Economic Development 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	Other government - State
	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 Economic Development 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
3	Agency/Group/Organization	Maine Affordable Housing Coalition
	Agency/Group/Organization Type	Housing Services - Housing Services-Elderly Persons Services-homeless Other government - State Other government - County Other government - Local Business and Civic Leaders Foundation Grantee Department
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.

4	Agency/Group/Organization	Western Maine Community Action
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Health Regional organization
	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 Economic Development 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?	July 27, 2015 public forum. Discussed the 2016 Annual Action Plan.
5	Agency/Group/Organization	WASHINGTON COUNTY
	Agency/Group/Organization Type	Other government - County

	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 Economic Development
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	July 27, 2015 public forum. Discussed the 2016 Annual Action Plan.
6	Agency/Group/Organization	CITY OF PORTLAND
	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 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 Non-Homeless Special Needs Economic Development 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?	July 27, 2015 public forum. Discussed the 2016 Annual Action Plan. Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
7	Agency/Group/Organization	Maine Statewide Independent Living Council
	Agency/Group/Organization Type	Housing Services-Persons with Disabilities Regional organization
	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 Economic Development 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?	July 27, 2015 public forum. Discussed the 2016 Annual Action Plan.

8	Agency/Group/Organization	Northern Maine Development Commission
	Agency/Group/Organization Type	Regional organization
	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 Economic Development 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?	July 28, 2015 public forum. Discussed the 2016 Annual Action Plan.
9	Agency/Group/Organization	FORT FAIRFIELD
	Agency/Group/Organization Type	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 Non-Homeless Special Needs Economic Development 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?	July 28, 2015 public forum. Discussed the 2016 Annual Action Plan.

10	Agency/Group/Organization	Madawaska, Town of
	Agency/Group/Organization Type	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 Non-Homeless Special Needs Economic Development 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?	July 28, 2015 public forum. Discussed the 2016 Annual Action Plan.
11	Agency/Group/Organization	Hope and Justice Project
	Agency/Group/Organization Type	Services-Victims of Domestic Violence Services-Education Services - Victims
	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 Economic Development 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?	July 28, 2015 public forum. Discussed the 2016 Annual Action Plan. Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Starting in March 2015 and continuing to August 2015.
12	Agency/Group/Organization	CUMBERLAND COUNTY
	Agency/Group/Organization Type	Other government - County
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
13	Agency/Group/Organization	AUGUSTA
	Agency/Group/Organization Type	Housing PHA 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 Non-Homeless Special Needs Economic Development 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?	Attended July 7, 2015 group meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
14	Agency/Group/Organization	Genesis Community Loan Fund
	Agency/Group/Organization Type	Housing Community Development Financial Institution
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy Non-Homeless Special Needs Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.

15	Agency/Group/Organization	Developers Collaborative
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
16	Agency/Group/Organization	Anew Development LLC
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.

17	Agency/Group/Organization	Portland Housing Authority
	Agency/Group/Organization Type	Housing PHA 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 Non-Homeless Special Needs Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
18	Agency/Group/Organization	Shalom House
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with Disabilities Services-homeless Publicly Funded Institution/System of Care

	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group. Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
19	Agency/Group/Organization	Northern New England Housing Investment Fund
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.

20	Agency/Group/Organization	COMMUNITY HOUSING OF MAINE, INC
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group. Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
21	Agency/Group/Organization	CWS Architects
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
22	Agency/Group/Organization	Crede Associates, LLC
	Agency/Group/Organization Type	Housing Regional organization
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
23	Agency/Group/Organization	Richard Curtis & Associates Architects
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.
24	Agency/Group/Organization	COASTAL ENTERPRISES, INC.
	Agency/Group/Organization Type	Housing Regional organization Business Leaders
	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 Economic Development 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?	Forum held at July 7, 2015 meeting. Discussed the 2016 Annual Action Plan. Requested comments from the group.

25	Agency/Group/Organization	TEDFORD HOUSING
	Agency/Group/Organization Type	Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
26	Agency/Group/Organization	PREBLE STREET RESOURCE CENTER
	Agency/Group/Organization Type	Housing Services-Children Services-homeless Services - Victims
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
27	Agency/Group/Organization	Bangor Area Homeless Shelter
	Agency/Group/Organization Type	Housing Services-homeless

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
28	Agency/Group/Organization	City of Bangor
	Agency/Group/Organization Type	PHA Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims 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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
29	Agency/Group/Organization	Family Violence Project
	Agency/Group/Organization Type	Housing Services-Victims of Domestic Violence Services-homeless Services - Victims
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.

30	Agency/Group/Organization	PEABODY HOUSE, INC
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with HIV/AIDS Services-Health Services-Education
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
31	Agency/Group/Organization	Milestone Foundation
	Agency/Group/Organization Type	Housing Services-Elderly Persons Services-homeless Services-Health Health Agency
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
32	Agency/Group/Organization	Hope House
	Agency/Group/Organization Type	Housing Services - Housing Services-Children
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
33	Agency/Group/Organization	Maine Coalition to End Domestic Violence
	Agency/Group/Organization Type	Services-Victims of Domestic Violence Services-Education Regional organization
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
34	Agency/Group/Organization	COMMUNITY CONCEPTS, INC.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-homeless Services-Health Services-Education
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
35	Agency/Group/Organization	Rural Community Action Ministries
	Agency/Group/Organization Type	Services - Housing Services-Elderly Persons Services-homeless Services-Health Services-Education

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
36	Agency/Group/Organization	York County Shelter Programs Inc.
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
37	Agency/Group/Organization	Family Crisis Services
	Agency/Group/Organization Type	Housing Services-Elderly Persons Services-Victims of Domestic Violence Services-homeless Services - Victims

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
38	Agency/Group/Organization	HOME Inc.
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
39	Agency/Group/Organization	Mid-Coast Hospitality House
	Agency/Group/Organization Type	Housing Services-homeless

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
40	Agency/Group/Organization	Caring Unlimited Inc.
	Agency/Group/Organization Type	Housing Services - Housing Services-Victims of Domestic Violence
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
41	Agency/Group/Organization	HOPE HAVEN GOSPEL MISSION - EMERGENCY SHELTER
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-homeless

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
42	Agency/Group/Organization	New Hope for Women for Knox County
	Agency/Group/Organization Type	Housing Services - Housing Services-Victims of Domestic Violence
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
43	Agency/Group/Organization	YANA, Inc.
	Agency/Group/Organization Type	Housing Services - 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
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
44	Agency/Group/Organization	Homeless Services of Aroostook
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
45	Agency/Group/Organization	NEW BEGINNINGS, INC.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-homeless

	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
46	Agency/Group/Organization	The Emmaus Center
	Agency/Group/Organization Type	Housing Services - Housing Services-Persons with Disabilities Services-Victims of Domestic Violence Services-homeless Services - Victims
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.

47	Agency/Group/Organization	Bread of Life Ministries
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
48	Agency/Group/Organization	Rumford Group Homes Inc.
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.

49	Agency/Group/Organization	Shaw House
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Health
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
50	Agency/Group/Organization	Spruce Run
	Agency/Group/Organization Type	Housing Services - Housing Services-Victims of Domestic Violence Services - Victims
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.

51	Agency/Group/Organization	Mid-Maine Homeless Shelter
	Agency/Group/Organization Type	Housing Services - Housing Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.
52	Agency/Group/Organization	The Next Step Domestic Violence Project
	Agency/Group/Organization Type	Housing Services - Housing Services-Victims of Domestic Violence Services-homeless
	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?	Consulted multiple times via email, website postings and public hearing regarding revisions of the Homeless Rule. Started in March 2015 and continued to August 2015.

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

Not Applicable; all agencies and stakeholders were encouraged to participate and provide input to the development of the 2016 Annual Action Plan.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	MaineHousing	The Continuum of Care goals have been recognized in the Consolidated Plan Strategic Plan.

Table 3 - Other local / regional / federal planning efforts

AP-12 Participation - 91.115, 91.300(c)

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

The public consultation process for this plan included several public forums. The 2016 Annual Action Plan forums occurred July 7, 2015 at the Maine Affordable Housing meeting at the Portland Public Library, July 27th at the MaineHousing office in Augusta, and on July 28th at the Presque Isle Public Library. The topic of these forums was the allocation of 2016 CDBG, HOME and ESG funds. These meetings were held prior to the drafting of the 2016 Annual Action Plan.

Public notice of the Augusta and Presque Isle forums were placed on both the DECD and MaineHousing websites. Stakeholder groups were also notified of the forums via email.

The draft plan was made available on the MaineHousing and DECD websites for a 30-day period beginning October 9, 2015.

A Public Hearing was held on November 10th for public comment on the preliminary draft of the 2016 Action Plan. Notice of the meeting was provided through posting on the MaineHousing and DECD websites and via email to individuals and organizations. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, nonprofit organizations, providers of housing and services to the homeless, and individuals. Public hearing notices encourage participation by persons with disabilities.

The public consultation process for revisions to the MaineHousing Homeless Rule included multiple emails, posting on websites and a public hearing. Stakeholder groups for this rule change included the statewide homeless council, regional homeless councils, CoC's, shelter directors and the general public.

Input was received during the public forums which was used during the drafting of the Annual Action Plan. No formal public comments were received on the Annual Action Plan.

An updated Citizen Participation Plan (included in the attachments of this Annual Action Plan) has been designed to increase citizen participation through the use of online surveys, telephone surveys, focus groups and public hearings/forums. The new Citizen Participation Plan will be effective with the 2016 Annual Action Plan.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Hearing	Non-targeted/broad community	3	0	0	
2	Newspaper Ad	Non-targeted/broad community				
3	Public Meeting	Non-targeted/broad community	40	0	0	
4	Internet Outreach	Non-targeted/broad community				
5	Public Meeting	Non-targeted/broad community	17			
6	Public Hearing	Homeless Providers and interested parties	13			

Table 4 – Citizen Participation Outreach

Expected Resources

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

Introduction

The following table displays the anticipated resources to be allocated to the State of Maine broken down by program type. Projections are made for FY 2016 and the remaining three years of the Consolidated Plan.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder 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	10,789,352	0	0	10,789,352	43,157,408	DECD through its annual Method of Distribution allocates funds these eligible categories. UGLG then apply based on their community needs.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	3,153,056	150,000	2,701,950	6,005,006	9,459,168	MaineHousing allocates HOME funds to Multifamily rental new construction, Multifamily rental rehab, as well as to TBRA.
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	1,322,743	0	215,241	1,537,984	3,968,229	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.
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

ESG funds are matched with State HOME funds and the Shelter Operating Subsidy. HOME funds are matched with State of Maine DHHS funding for services used, as well as interest savings on below market rate loans. The State of Maine CDGB program requires matching funds for all housing activities, public facilities grants, public infrastructure grants and downtown revitalization program funds. The match consists of a mix of non-CDBG loans, grants, endownments and cash match.

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

Home to Stay participants may receive housing assistance through a limited number of Housing Choice Vouchers.

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

Not applicable

Discussion

Please see above

Annual Goals and Objectives

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

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Increase the Quality and Supply of Rental Housing	2015	2019	Affordable Housing	State Of Maine	Expand the Supply of Affordable Housing	CDBG: \$1,000,000 HOME: \$3,499,948	Rental units constructed: 113 Household Housing Unit Rental units rehabilitated: 112 Household Housing Unit
2	Increase Use of Rapid Re-Housing	2015	2019	Homeless	State Of Maine	Help Maine People Attain Housing Stability	HOME: \$800,000 ESG: \$823,932	Tenant-based rental assistance / Rapid Rehousing: 150 Households Assisted
3	Support Emergency Shelter Operations & Services	2015	2019	Homeless	State Of Maine	Help Maine People Attain Housing Stability	ESG: \$614,848	Homeless Person Overnight Shelter: 7933 Persons Assisted
4	Improve the Quality of Existing Housing	2015	2019	Affordable Housing	State Of Maine	Improve Housing Quality	CDBG: \$1,700,000	Homeowner Housing Rehabilitated: 300 Household Housing Unit
5	Improve Public Infrastructure	2015	2019	Non-Housing Community Development	State Of Maine	Improve Public Infrastructure	CDBG: \$2,700,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1000 Persons Assisted
6	Improve Economic Opportunity	2015	2019	Non-Housing Community Development	State Of Maine	Improve Economic Opportunity	CDBG: \$4,650,000	Jobs created/retained: 132 Jobs Businesses assisted: 50 Businesses Assisted

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Increase the Quality and Supply of Rental Housing
	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> <p>Housing Assistance Grant Program</p> <p>This program provides resources to communities to address their rental housing needs. They can address existing housing rehabilitation and/or conversion of properties to housing.</p>

2	Goal Name	Increase Use of Rapid Re-Housing
	Goal Description	<p>MaineHousing included a requirement in the new Homeless Rule that all grantees will provide services based upon Rapid Re-Housing or Housing First tenets. Grantees are given access to both short-term STEP, and permanent HCV housing vouchers, to assist them in achieving this goal. Shelters will be provided training on Rapid Re-Housing and Housing First principals and be required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services. All shelter stayers who are in shelter greater than 14 days will be assessed via the VI SPDAT, or other standardized housing assessment and prioritization tools, to prioritize and place households on the appropriate track for available housing. Although multiple housing resources are available in our communities (Shelter Plus Care, fair market housing, and Tax Credit Properties) MaineHousing has set-aside both STEP and HCV vouchers specifically for Navigators to access in their efforts to rapidly re-house households. The use of STEP vouchers is detailed below.</p> <p>The STEP Component is designed to provide short and medium term rental assistance for up to 12 months to help individuals and families achieve housing stability. STEP focuses on rapidly re-housing people who meet HUD’s definition of homelessness and are willing to work with a Housing Navigator on housing stability once they are housed.</p> <p>Navigators assist program participants in the following areas:</p> <ul style="list-style-type: none"> • Assessment of housing barriers, needs, and preferences • Development of an Action Plan for locating housing • Housing search support, including assistance with submitting rental applications, understanding leases, and negotiating with owners • Assistance with obtaining utilities and making moving arrangements • Coordination of resources and services to obtain federal, state, and local benefits • Information and referrals to other providers • Long term housing stability planning, including development of an individualized housing and service plan to accomplish permanent housing stability

3	Goal Name	Support Emergency Shelter Operations & Services
	Goal Description	<p>MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for:</p> <ul style="list-style-type: none"> • Shelter operations • Rapid Re-housing • HMIS data collection <p>Maine’s emergency shelters</p> <ul style="list-style-type: none"> • Provide a safety net to help homeless individuals and families by offering temporary shelter to meet their basic needs; • Support successful rapid re-housing and; • Help homeless individuals and families resolve their housing crisis and remove barriers to housing stability. <p>Shelters provide a safety net, helping people get off the streets and limiting their exposure to the elements. Shelter personnel also assess their immediate needs for medical, mental and chemical health treatment. They connect homeless individuals and families with mainstream resources and provide essential services including case management. Shelter services decrease the short-term costs to municipalities (e.g. ambulance, fire, etc.) and help increase the life expectancy and quality of life for individuals.</p> <p>Shelter guests are encouraged to participate in programming and services with the goal of obtaining and maintaining stable housing, thus reducing on-going shelter costs.</p>
4	Goal Name	Improve the Quality of Existing Housing
	Goal Description	The Home Repair Network provides funds for single family rehabilitation.
5	Goal Name	Improve Public Infrastructure
	Goal Description	

6	Goal Name	Improve Economic Opportunity
	Goal Description	

Table 7 – Goal Descriptions

AP-25 Allocation Priorities – 91.320(d)

Introduction

MaineHousing anticipates using funds as follows:

Rental Housing: \$3,499,918 HOME -- The Rental Loan Program

Rental Assistance: \$800,000 HOME - Stability Through Engagement Program (TBRA)

Emergency homeless shelter operations & essential services: \$614,848 ESG -- Shelter Operations and \$823,932 ESG -- Rapid Rehousing (Home to Stay)

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

Funding Allocation Priorities

	Increase the Quality and Supply of Rental Housing (%)	Increase Use of Rapid Re-Housing (%)	Support Emergency Shelter Operations & Services (%)	Improve the Quality of Existing Housing (%)	Improve Public Infrastructure (%)	Improve Economic Opportunity (%)	Total (%)
CDBG	10	0	0	20	30	40	100
HOME	84	16	0	0	0	0	100
ESG	0	50	50	0	0	0	100
Other Other	0	0	0	0	0	0	0

Table 8 – Funding Allocation Priorities

Reason for Allocation Priorities

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

MaineHousing allocated 2016 funds consistent with the goals and priorities outlined in the 2013-2016 Strategic Plan. MaineHousing strives to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.

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

The 2016 Annual Action Plan addresses the priorities and goals outlined in the five year Consolidated Plan. The distribution of funds will follow the priorities set forth in the consolidated plan:

- Increase the Quality and Supply of Rental Housing
- Increase Use of Rapid Re-Housing
- Support Emergency Shelter Operations & Services
- Improve the Quality of Existing Housing
- Improve Public Infrastructure
- Improve Economic Opportunity

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

Introduction

This section summarizes the Method of Distributions (MOD) used to allocate CDBG, HOME and ESG funds. The housing and community development needs statewide exceed the available resources to address them.

Distribution Methods

Table 9 - Distribution Methods by State Program

1	State Program Name:	Community Development Block Grant
	Funding Sources:	CDBG
	Describe the state program addressed by the Method of Distribution.	The CDBG Program Statement is the document that outlines the Method of Distribution by which eligible units of general government access funding for local projects.
	Describe all of the criteria that will be used to select applications and the relative importance of these criteria.	See 2016 CDBG Program Statement
	If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)	See 2016 CDBG Program Statement

<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 2016 CDBG Program Statement</p>
<p>Describe threshold factors and grant size limits.</p>	<p>See 2016 CDBG Program Statement</p>

	<p>DECD expects to assist over 1500 households with the CDBG funds.</p>
2	<p>State Program Name: Emergency Shelter Funding</p>
	<p>Funding Sources: ESG</p>
	<p>Describe the state program addressed by the Method of Distribution.</p> <p>MaineHousing provides grants to emergency shelters serving people who are homeless. Grants may be used for:</p> <ul style="list-style-type: none"> • Shelter operations • Essential shelter services • Rapid Re-housing • HMIS for data collection <p>More detail on allowable uses is provided in the Homeless Programs Rule.</p> <p>To be eligible to receive emergency shelter funds, an applicant must:</p> <ul style="list-style-type: none"> • Be a qualified 501(c) (3) not-for profit organization. • Operate a fixed facility (unless the shelter is a safe home serving victims of domestic violence) that provides overnight shelter 365 days per year and phone access 24 hours a day. • Provide shelter to eligible clients, regardless of their ability to pay. • Provide intake and assessment services that link people who are homeless with appropriate services, including services that help clients move toward appropriate stable housing. • Have the administrative and financial management capacity necessary to operate the shelter and to account for the use of the grant. • Conform to the Maine minimum shelter standards established by the Maine Statewide Homeless Council and described in the Homeless Rule.

<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>MaineHousing will set forth requirements and selection and approval criteria germane to a particular Program in the applicable Program Guide. Selection criteria may include:</p> <ol style="list-style-type: none"> 1. Mainstream Resources 2. Housing 3. Health Care 4. Employment 5. Prevention 7. Data Collection Requirements 8. Reporting Requirements 9. Monitoring and Assessment. 10. Rule Limitations
<p>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</p>	

<p>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</p>	<p>MaineHousing will utilize the following application process for the Emergency Solutions Grant Program:</p> <p>a. MaineHousing staff will review each application to ensure that it is complete, including the submission of required attachments, and that the applicant meets the minimum threshold required to receive funding. Only complete applications will be considered, and incomplete applications will be returned to the applicant.</p> <p>b. Applicants who are eligible for funding will be issued a grant agreement specifying terms and conditions of a funding award. Successful applicants will be expected to submit a Certification of Local Approval, verifying that the municipality in which the program will run will not be seeking additional funds from the Emergency Solutions Grant program to perform similar activities. A grant agreement will not be fully executed until this certification, and any other documents that may be required by MaineHousing, are received.</p> <p>Once applications have been approved, work plans must be completed and returned for approval within the timeframe indicated by MaineHousing. MaineHousing will issue a grant agreement once the work plan is approved. The grant agreement is required to be executed and returned by shelter program providers within the timeframe indicated by MaineHousing.</p> <p>Funding will occur as outlined in the Homeless Programs Rule.</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>Funding Formula Allocation</p> <p>From time to time MaineHousing will allocate a certain amount of funds to be distributed, subject to availability, to Emergency Shelters and Emergency Housing Providers (the “Funding Formula Allocation”) pursuant to the following funding methodology:</p> <p>A. Shelter Operations. An amount equal to 40% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each Emergency Shelter will receive a percentage equal to the Emergency Shelter’s Bed Capacity divided by a number equal to the total Bed Capacity available statewide for the calendar year. Agencies will receive scheduled payments on a quarterly basis.</p> <p>B. Rapid Re-housing, Long-term Stayer and Stabilization Share. An amount equal to 40% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each agency providing staffing for Rapid Re-housing, Housing First and Housing Stabilization services operated by the agency will be eligible to receive a percentage equal to the agency’s number of Clients Assessed and Stabilized, divided by the total number of Clients Assessed and Stabilized statewide in the previous quarter. Agencies are reimbursed for costs on a quarterly basis.</p> <p>C. Incentives and Performance Share. An amount equal to 20% of the Funding Formula Allocation will be made available to eligible agencies that provide successful housing outcomes based on performance indicator data in HMIS (or elsewhere for providers of services to victims of domestic violence). Providers will receive a percentage of funding for each outcome performance measure that they meet. The amount of funding available for each performance measure will be the same. The percentage of funding a provider receives for each performance measure met will be equal to the number of clients served by the provider divided by the total number of clients served by all of the providers that meet the respective performance measure benchmark in the previous quarter, or in the previous calendar year for the recidivism benchmark. Agencies will receive a performance based payment on a semi-annual basis.</p> <p>Grantees that receive allocations from federal funds, including Emergency Solutions Grant or HOME Investment Partnership Act funds, may be required to provide match from local or private funds.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>MaineHousing uses up to 40% of ESG funding for emergency shelter operations and the remaining funds for Rapid Re-housing, incentives, relocation activities and performance share.</p>

	<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>MaineHousing provided Emergency Shelter for 7,933 people in 2014, and we anticipate serving a like amount in 2016. All shelters receiving funding will be tracked on performance benchmarks and will receive additional funding depending on their ability to meet these benchmarks. As indicated by the Incentives and Performance Share.</p>
3	<p>State Program Name:</p>	<p>Home to Stay</p>
	<p>Funding Sources:</p>	<p>ESG</p>

<p>Describe the state program addressed by the Method of Distribution.</p>	<p>MaineHousing is linking Emergency Solutions Grant (ESG) funds with Stability Through Engagement Program (STEP) funds and Housing Choice Vouchers (HCV) for the Rapid Re-housing, Long-term Stayer and Stabilization Share, referred to as the Home to Stay program. MaineHousing, in partnership with housing assistance agencies throughout the state, offers the Home to Stay Program for individuals and families who are homeless and seeking permanent housing.</p> <p>Program participants are assigned a trained Resource Navigator to assist them in learning and gaining valuable skills that will meet their health, housing, employment and other basic needs in order to overcome barriers to obtaining and maintaining housing.</p> <p>Resource Navigators will help program participants to develop and work on goals as part of a Housing Stability Plan designed to assist participants to achieve housing stability, and to connect them with appropriate services and support.</p> <p>Navigators assist program participants with:</p> <ul style="list-style-type: none"> • Assessment of housing barriers, needs, and preferences • Development of an Action Plan for locating housing • Housing search activities, including assistance with submitting rental applications, understanding leases and outreach to and negotiation with owners • Assistance with obtaining utilities and making moving arrangements • Resource coordination, to include developing, securing, and coordinating services and obtaining federal, state, and local benefits • Information and referrals to other providers • Long term housing stability planning, including development of an individualized housing and service plan to accomplish permanent housing stability • Mediation between the program participant and the owner or person(s) with whom the program participant is living as is necessary to prevent the program participant from losing permanent housing
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<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Home to Stay participants may be eligible to receive temporary rental assistance, for a maximum of 12 months, through STEP if they meet the following requirements:</p> <ul style="list-style-type: none"> • Staying in or working with a Home to Stay provider. • Enrolled and participating in Home to Stay with an approved Housing Stability Plan, and creating viable goals, to ensure that they remain housed after program participation ends.
<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>This question requires a response for the CDBG Program.</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>Rapid Re-housing funding for staffing will be awarded to all shelters receiving ESG funding for shelter operating funds for 2016. It will also be made available to agencies working with individuals experiencing homelessness if they meet the minimum threshold criteria necessary to administer the Home to Stay program. The funds are to be used for housing relocation and stabilization services to rapidly re-house individuals and families living in shelters or on the streets. The funding methodology has changed this year and is described in the attached Homeless Programs Rule.</p> <p>In addition to ESG funds, all successful applicants will have access to Stability Through Engagement Program (STEP) funds and Housing Choice Vouchers on a first-come-first-serve basis as the resources remain available.</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 to Stay funding is an integral part of funding for any shelter receiving ESG funding for supporting shelter operations.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>MaineHousing uses up to 60% of ESG funding for emergency shelter operations and the remaining funds for Rapid Re-housing and relocation activities.</p>

	<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>It is the expectation that 100% of program participants will be:</p> <ul style="list-style-type: none"> • provided a comprehensive assessment of their needs and barriers that threaten housing stability, and a plan of action to achieve housing stability will be created, • assisted with search and placement for adequate housing, including subsidized housing programs, • provided with coordination of services and advocacy as determined by the housing stability assessment and plan of action, • provided ongoing monitoring and evaluation to ensure implementation of the housing stability plan of action and positive outcomes, and • no more than 15% of program participants will return to an emergency shelter. <p>In addition to the above performance expectations, the following may be used as criteria for future funding:</p> <ul style="list-style-type: none"> • the percentage of HCV referrals who are accepted into the program, • the percentage of HCV participants who complete one year of program requirements, • the percentage of STEP participants who obtain adequate income resources to remain stably housed, and • The percentage of STEP participants who receive the necessary support services to remain stably housed.
4	<p>State Program Name:</p>	<p>Rental Loan Program</p>
	<p>Funding Sources:</p>	<p>HOME</p>

<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 bond; • 501(c)(3) or governmental unit tax-exempt bond proceeds; and • subsidy resources. <p>These resources are usually combined with equity generated from the syndication of Low Income Housing Tax Credits (LIHTC). Competitive credits and “automatic” credits are awarded in accordance with Maine’s Qualified Allocation Plan.</p> <p>MaineHousing attempts to maximize the benefit of these limited resources by combining the resources and encouraging applicants to seek other non-MaineHousing resources.</p> <p>Amortizing loans, funded with the proceeds of taxable or tax-exempt bond proceeds, for developments that do not need MaineHousing subsidy are available typically on a walk-in basis.</p> <p>MaineHousing allocates competitive low income housing tax credits separately under MaineHousing’s Low Income Housing Tax Credit Program. All applicants who are awarded low income housing tax credits on a competitive basis or are eligible for “automatic” low income housing tax credits must comply with the applicable Qualified Allocation Plan.</p> <p>MaineHousing may make various discretionary subsidy resources available from time to time.</p>
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<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Qualified developers may apply. Applicants must:</p> <ul style="list-style-type: none"> • Demonstrate previous successful experience in the development of similar projects. • Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing. • Have control of the development site. • Demonstrate they will provide the required number of lower income units. <p>In addition, the management agent for the housing must be demonstrating successful experience in managing similar properties.</p> <p>MaineHousing generally selects for RLP funding 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>This question requires a response for the CDBG Program.</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>This question requires a response for the ESG Program.</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>Approximately half of the HOME funds allocated to the Rental Loan Program are for the construction of new units , while the other half of the funds are allocated to the rehabilitation and preservation of existing units.</p>
<p>Describe threshold factors and grant size limits.</p>	<p>A. Combination of Available Resources</p> <p>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</p> <p>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</p> <p>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</p> <p>Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource.</p>
<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>MaineHousing expects to produce 113 new rental units and to rehabilitate 112 rental units.</p>
<p>5 State Program Name:</p>	<p>Stability through Engagement Program (TBRA)</p>
<p>Funding Sources:</p>	<p>HOME</p>

<p>Describe the state program addressed by the Method of Distribution.</p>	<p>STEP is designed to provide short term rental assistance for up to 12 months to help individuals and families achieve housing stability. The focus is on rapidly re-housing people who are currently staying in a homeless shelter that receives ESG funding. Referrals to the STEP Program can only be made by the staff Navigators.</p>
<p>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</p>	<p>Rapid Re-housing participants may be eligible to receive temporary rental assistance, for a maximum of 12 months, through STEP if they meet the following requirements:</p> <ul style="list-style-type: none"> • Staying in or working with a Home to Stay provider. • Enrolled and participating in Home to Stay with an approved Housing Stability Plan. • Continued contact with their housing Navigator to review their progress no less than every 30 days.
<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>This question requires a response for the CDBG Program.</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 and Homeless Program funding is awarded through an application process where the applicants must demonstrate they are able to meet minimum threshold criteria needed to receive funding, will participate in training necessary to the Home to Stay program, and will participate in incentive funding which included data sharing across all successful applicants.</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 the Home to Stay Program Method of Distribution</p>
<p>Describe threshold factors and grant size limits.</p>	<p>Once applications have been approved, work plans must be completed and returned for approval within the timeframe indicated by MaineHousing. MaineHousing will issue a grant agreement once the work plan is approved. The grant agreement is required to be executed and returned by shelter program providers within the timeframe indicated by MaineHousing</p>

<p>What are the outcome measures expected as a result of the method of distribution?</p>	<p>Due to an anticipated increase in demand of the STEP vouchers, the goal for the STEP program is to administer 150 STEP coupons to rapidly re-house 150 individuals and/or families from shelters. Program Expectations include the following:</p> <ul style="list-style-type: none"> • 100% of program participants will be provided a comprehensive assessment of their needs and barriers that threaten housing stability and a plan of action to achieve housing stability will be created. • 100% of program participants will be assisted with search and placement for adequate housing, including subsidized housing programs. • 100% of program participants will be provided with coordination of services and advocacy as determined by the housing stability assessment and plan of action. • 100% of program participants will be provided ongoing monitoring and evaluation to ensure implementation of the housing stability plan of action and positive outcomes. • No more than 25% of program participants exiting to permanent housing will return to emergency shelters. <p>Future funding may depend on satisfaction of the above performance expectations. In addition, the following may be used as criteria for future funding:</p> <ul style="list-style-type: none"> • The percentage of HCV referrals who are accepted into the program. • The percentage of HCV participants who complete one year of program requirements. • The percentage of STEP participants who obtain adequate income resources to remain stably housed. • The percentage of STEP participants who receive the necessary support services to remain stably housed
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Discussion

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

AP-35 Projects – (Optional)

Introduction

A description of project is optional for States. Neither MaineHousing nor DECD are able to specify projects that will be funded at this time.

#	Project Name

Table 10 – Project Information

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

Allocation priorities are based on demand and capacity of the agencies.

MaineHousing allocated 2016 funds consistent with the goals and priorities outlined in the 2013-2016 Strategic Plan. MaineHousing strives to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.

AP-38 Project Summary

Project Summary Information

Table 11 – Project Summary

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

Not Applicable

Acceptance process of applications

Not Applicable

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 or ESG geographically. Income eligible citizens, Community Housing Development Organizations, 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. Home repair, lead paint hazard reduction, weatherization, and energy assistance services are delivered statewide through Community Action Agencies under contract with MaineHousing.

Geographic Distribution

Target Area	Percentage of Funds
State Of Maine	100

Table 12 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The State of Maine has not chosen to target particular geographical areas for special assistance.

Discussion

Please see above

Affordable Housing

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

Introduction

One year affordable housing goals vary by program and the population to be served. Data in the following tables may overlap due to some 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 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	150
Non-Homeless	225
Special-Needs	0
Total	375

Table 13 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	150
The Production of New Units	113
Rehab of Existing Units	112
Acquisition of Existing Units	0
Total	375

Table 14 - One Year Goals for Affordable Housing by Support Type

Discussion

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

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

Introduction

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

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

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

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

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

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

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

MaineHousing is not designated as a troubled PHA.

Discussion

Please see above

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

Introduction

The Emergency Solutions Grant (ESG) program is designed to help with: operating shelter costs as well as health, employment, and housing services; rapid re-housing and housing stabilization services for homeless individuals and families; as well as 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 Programs Rule, which is attached. In addition to ESG funds, MaineHousing provides State Shelter Assistance Program funds, totaling approximately \$3.4 million. The shelter funding methodology is governed by the Homeless Programs Rule.

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

ESG funding will be utilized for shelter operations, essential services and rapid re-housing activities, as well as HMIS data collection. The ESG shelter funding one-year goal is 7,933 persons served by the 41 ESG funded shelters, and at least 150 households assisted by the Home To Stay Program.

Addressing the emergency shelter and transitional housing needs of homeless persons

Shelters that receive ESG and state funds shall meet basic threshold criteria as outlined in the Homeless Programs Rule, in addition to state and federal regulations:

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

- provide access 365 days per year to assist Homeless Persons 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 ;
- operate at Bed Capacity unless the homeless response system is experiencing demand insufficient to fill capacity;
- 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;
- 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 policies and procedures for standards that address the following areas: access to shelter services, residential rights and responsibilities; program, personnel and facility

operations; health and safety; food preparation and distribution; case management services; staff training; and HMIS and computer protocols.

Agencies not meeting state and federal regulations will not receive funding.

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

There are a number of programs and services that will continue in 2016 to assist homeless persons make the transition to permanent housing, help reduce the length of time people experience homelessness, as well as help prevent them from becoming homeless again. PATH serves at-risk individuals & families with unmet mental illness or co-occurring disorders to prevent homelessness. The SSVF Program provides outreach and case management to at-risk veterans' families statewide. Pine Tree Legal Assistance assists people in preventing evictions in larger cities. Maine DHHS uses some BRAP funds (TBRA) for homelessness prevention. MaineHousing is an ESG grantee and provides ESG funding and the Home-to-Stay program to 41 shelters.

The "long term stayers" (in shelter over 180 days) initiative prioritizes Shelter plus Care vouchers to house the chronically homeless and long term stayers with mental illness & co-occurring disorders in shelters. Emergency Shelters will continue to be funded with an emphasis on performance measures that reduce the lengths of stay. Additionally, All Shelters receiving funding will be tracked on meeting specific performance measures and outcomes that will directly impact their funding.

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

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

and resources.

Health Care: Hospital Discharge Planning Guidelines have been developed by the Statewide Homeless Council and Maine hospitals regarding the discharge of homeless patients. The Guidelines instruct hospitals to begin the discharge planning process upon admission. Patients are to be discharged with appropriate clothing and with a plan for accessing required medications/supplies. MCoC members also monitor discharges to shelters and follow up with hospitals as needed. Each Maine hospital or community discharge location must designate a management team member to oversee ongoing compliance with the Guidelines.

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

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

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

Introduction

In 2015 MaineHousing updated the Maine Analysis of Impediments to Fair Housing Choice. The process included discussions focused in part 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. In addition MaineHousing held two forums for the Annual Action Plan on July 27th and 28th, 2015 at which zoning, building and housing codes, affordability, age, the NIMBY issue, and other potential impediments to developing or rehabilitating needed affordable housing units were discussed.

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. Actions to address the impediments are detailed in the Analysis of Impediments to Fair Housing Choice which is attached to this Annual Action Plan.

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

Discussion

The 2015 Analysis of Impediments to Fair Housing Choice is included as an attachment to this Annual Action Plan.

AP-85 Other Actions – 91.320(j)

Introduction

This section describes a variety of other efforts the state will continue during the program year to help address housing and community development needs.

Actions planned to address obstacles to meeting underserved needs

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

Actions planned to foster and maintain affordable housing

The activities to foster and maintain affordable housing include the production of new units, 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 (LIHEAP)

Actions planned to reduce lead-based paint hazards

MaineHousing's Lead Hazard Control Program provides 0% deferred forgivable loans to make lower-income homes lead safe. Achieving lead safe homes may involve paint removal or stabilization, as well as door and window replacements. The entire amount of the loan is forgiven after 5 years, provided that the property hasn't been refinanced or sold during that time, and in the case of rental property, the units remain affordable.

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 goals of these agencies are 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 and ESG funding. Both MaineHousing and DECD participate in a number of standing meetings with representatives from state and local government, nonprofit, 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 both the Consolidated Planning process and development of the MaineHousing Strategic Plan. Continued coordination with these groups will be a key to the success of both plans. MaineHousing plans to maintain communications with pertinent individuals and groups, both via traditional methods and through new technologies (e.g. on-line meetings, internet-based survey's, etc.)

Both MaineHousing and DECD are members of many different trade organizations and advisory boards. This involvement provides an opportunity to enhance coordination. Additionally both agencies participate in a number of standing meetings with representatives from state and local government, nonprofit, and private providers of housing, economic development, 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 Home To Stay 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. | 85.00% |

**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 refinancing requirements include the following conditions:

1. 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.
2. 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.
3. State whether the new investment is being made to maintain current affordable units, create additional affordable units, or both.
4. Specify the required period of affordability, whether it is a minimum 15 years or longer.
5. 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.

6. 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 24 CFR 91.320(k) (3)

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

An initial evaluation to determine the eligibility of each individual or family's eligibility for ESG assistance and the amount and types of assistance the individual or family needs to regain stability in permanent housing is conducted. To be eligible for assistance, household income must be below 30 percent of AMI. One time security deposits and utility deposits may be offered. Ongoing support services are provided to all program participants as needed until clients have achieved housing stability.

Homelessness prevention activities are provided to the extent that the assistance is necessary to help the program participant regain housing stability. Funds are used to provide individuals and families who meet the criteria under the "at risk of homelessness" definition, or who meet the criteria in paragraph (2), (3), or (4) of the "homeless" definition of the HEARTH Act and have an annual income below 30 percent of median family income as determined by HUD.

ESG funds are used to provide housing relocation and stabilization services necessary to assist a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing. Rapid re-housing assistance is provided to program participants who meet the criteria under paragraph (1) or paragraph (4) of the "homeless" definition in the HEARTH Act and have an annual income below 30 percent of median family income as determined by HUD.

An initial intake interview is conducted with clients to verify program eligibility and assess the level of client need. A strategy to achieve client stability within the timeframe established by program regulations is created. Short-term (up to 3 months) housing search and placement,

housing stability case management, mediation, legal services and credit repair services and any needed support services are provided to assist program participants achieve housing stability. Program eligibility is recertified at least every three months.

Short-term financial assistance may be provided for up to 3 months, with clients expected to pay 30% of their income for rent. Rental units must meet rent reasonableness and habitability standards as outlined in the HEARTH Act before any rental payments are approved. In addition, Lead Based Paint Poisoning Act requirements must be met when applicable (based upon participant household composition.) One time security deposit assistance may be provided, not to exceed the monthly rental amount.

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

The Maine CoC has not yet established a centralized assessment system. However, MaineHousing received a HUD funded planning grant to research and make recommendations on best practices for a statewide coordinated assessment in Maine.

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).

MaineHousing allocates a certain amount of funds to be distributed, subject to availability, to Emergency Shelters and Emergency Housing Providers (the “Funding Formula Allocation”) pursuant to the following funding methodology:

Shelter Operations. An amount equal to 40% of the Funding Formula Allocation will be disbursed among eligible agencies, such that each Emergency Shelter will receive a percentage equal to the Emergency Shelter’s Bed Capacity divided by a number equal to the total Bed Capacity available statewide for the calendar year. Agencies will receive scheduled payments on a quarterly basis.

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

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

- Payments are based on performance of successful housing exits including housing retention, income and supports, and recidivism.
- Allocation. MaineHousing may allocate other funds for Programs to assist Homeless Persons in accordance with applicable federal and state laws.
- Programs. MaineHousing shall design and offer Programs based upon available funds, restrictions attached to such funds, best practices, and needs.
- Program Guides. MaineHousing shall publish on MaineHousing's website a Program Guide with respect to each Program and shall distribute the Program Guide to parties who may be eligible

for the Program and who have expressed an interest to MaineHousing in connection with the type of activities eligible under the Program, to parties MaineHousing selects for marketing the particular Program, and upon request.

- 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.
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.**

Although Maine State Housing Authority is a State agency and is not required to “reach out,” we do include the requirement that sub-recipients meet the condition of having homeless or former homeless representation on their board or in some type of policy making role. Typically, if the requirement is unable to be met via board representation, regular meetings of shelter guests are held to discuss the policies of the shelter program. The meetings are used as a tool to solicit input on current policies and institute changes in policy as necessary.

5. Describe performance standards for evaluating ESG.

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

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

Examples of Performance Measures:

% of agency household departures to permanent housing (Housing is retained for at least six months).

% of agency household departures whose income increased between entry and departure through benefits, employment, education or training.

% of decrease in average length of stay.

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

Attachments

Grantee Unique Appendices

State of Maine Citizen Participation Plan

The U.S. Department of Housing and Urban Development (HUD) has consolidated the planning, application, reporting and citizen participation processes of four formula grant programs: Community Development Block Grants (CDBG), Home Investment Partnerships (HOME), Emergency Shelter Grants (ESG) and Housing Opportunities for Persons with AIDS (HOPWA). The single planning process is intended to fulfill three basic goals: to provide decent housing, to provide a suitable living environment, and to expand economic opportunities.

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

THE CONSOLIDATED PLAN AND THE ANNUAL ACTION PLAN

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

Consultation

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

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

Participation of Citizens

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

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

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

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

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

Public Notice

Reasonable notice will be given to announce the availability of the draft Consolidated Plan or Annual Action Plan. Availability of the draft Plan or Annual Action Plan will be announced on both the MaineHousing and DECD websites.

Public Hearings

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

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

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

CONSIDERATION OF PUBLIC COMMENTS

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

CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORTS

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

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

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

SUBSTANTIAL AMENDMENTS

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

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

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

CITIZEN COMPLAINTS

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

PUBLIC ACCESS

Availability of Documents

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

Access to Records

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

Effective with the 2016 Annual Action Plan – November 2015

99-346 MAINE STATE HOUSING AUTHORITY

Chapter 19: HOMELESS SOLUTIONS RULE

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

1. Definitions

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

September 28, 2015

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

- U. “Long-term Stayer” means a currently Homeless Person who has either been continuously homeless or has at least 180 cumulative emergency shelter housing stays in a twelve (12) month period of time, as defined by the Statewide Homeless Council.
- V. “MaineHousing” means Maine State Housing Authority.
- W. “Maine Consolidated Plan” is a plan prepared by MaineHousing and the Maine Department of Community and Economic Development (“DECD”) and approved by HUD in accordance with 24 CFR part 91. The Consolidated Plan serves as the framework for a statewide dialogue to identify housing and community development priorities that align and focus funding from the Community Development Block Grant (CDBG) Program administered by DECD and the HOME Investment Partnerships (HOME) Program and Emergency Solutions Grant and (ESG) Program, which are administered by MaineHousing.
- X. “Mainstream Resources” means a variety of Federal and state benefit government assistance programs Homeless Persons may be eligible to receive. These include but are not limited to: Temporary Assistance For Needy Families (TANF), Food Supplement Program, veterans’ benefits, MaineCare, General Assistance, Supplemental Security Income Program (SSI), Social Security Disability Insurance (SSDI), and Housing Choice Vouchers Program.
- Y. “Maine’s Job Bank” is an on-line job posting and job search system provided by Maine CareerCenter.
- Z. “McKinney-Vento Act” means the Stewart B. McKinney-Vento Homeless Assistance Act, 42 U.S.C. §11301 *et seq.*, and the regulations promulgated thereunder.
- AA. “Program” means an offering of grants subject to recapture available to prospective eligible Applicants on certain terms and for certain purposes determined by MaineHousing pursuant to this rule.
- BB. “Program Guide” means the written procedural and administrative guide for a particular Program governed by the terms and conditions of this rule.
- CC. “Rapid Re-housing” means housing relocation and stabilization services and short- and/or medium-term rental assistance as necessary to help Homeless Persons move as quickly as possible into permanent housing and achieve stability in that housing.
- DD. “Regional Homeless Council” means one of the following three advisory committees concerning homelessness: Region I comprising York and Cumberland Counties; Region II comprising Androscoggin, Franklin, Kennebec, Knox, Lincoln, Sagadahoc, Somerset, Oxford, and Waldo Counties; and Region III comprising Penobscot, Piscataquis, Aroostook, Washington, and Hancock Counties.
- EE. “Shelter Operations” are the costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies necessary for the operation of an Emergency Shelter.

- FF. “Statewide Homeless Council” means the advisory committee created pursuant to §5046 of the Act.
- GG. “Violence Against Women Act “ or “VAWA” is a United States federal law (Title IV, sec. 40001-40703 of the Violent Crime Control and Law Enforcement Act of 1994, H.R. 3355).

2. Eligible Applicants

To be eligible to receive funds, an Applicant must:

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

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

3. Emergency Shelter or Emergency Housing Provider Requirements

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

- A. provide access 365 days per year to assist Homeless Persons meet basic emergency shelter needs;
- B. provide adequate sleeping space or beds, and clean and functioning shower and toilet facilities;
- C. provide safe and nutritious food, including breakfast or access to breakfast and, if open 24 hours, also provide lunch and dinner or access to lunch and dinner;
- D. treat all guests with dignity and respect, regardless of religious or political beliefs, cultural background, disability, gender identity or sexual orientation;
- E. provide shelter and housing services based upon a Rapid Re-housing or Housing First ;
- F. operate at Bed Capacity unless the homeless response system is experiencing demand insufficient to fill capacity;
- G. provide linkages and access to community resources such as health care, job readiness and employment services, Mainstream Resources, and educational services to assist guests in achieving housing stability;
- H. assess guests for housing prioritization and services to enable mobility to permanent housing with adequate supports;
- I. inform guests of their rights and responsibilities, including specific shelter policies and house rules;
- J. accept eligible persons regardless of their ability to pay or their eligibility for reimbursement or actual reimbursements from any third party source, including local, municipal, state, or federal funding sources;
- K. have no lease requirements for guests;

- L. if serving families with children, provide space other than open dormitory style and do not require involuntary family separation for admission;
- M. provide separate accommodations for male and female consumers;
- N. protect the privacy and confidentiality of guests and their personal information;
- O. provide training, policies, procedures and regular maintenance to encourage, improve, and maintain the health and safety of guests, volunteers and staff;
- P. post fire, disaster, and other emergency procedures in a conspicuous place and review the procedures with each guest;
- Q. maintain a daily and confidential census of shelter clients including precise sleeping locations;
- R. operate in compliance with all applicable federal, state and local codes, laws and regulations; and
- S. have written policies and procedures for standards that address the following areas: access to shelter services, residential rights and responsibilities; program, personnel and facility operations; health and safety; food preparation and distribution; case management services; staff training; and HMIS and computer protocols.

4. **Funding Formula Allocation**

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

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

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

including housing prioritization assessment, housing stability plans and transfers to permanent housing.

Examples of Potential Performance:

- ✓ % of agency households screened for prioritization of housing options.
- ✓ % of agency household departures placed in permanent housing with a lease.
- ✓ % of agency household departures with documented income through benefits, employment, education or training.

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

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

Examples of Performance Measures:

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

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

5. Program Design

- A. **Allocation.** In addition to the Funding Formula Allocation, MaineHousing may allocate other funds for Programs to assist Homeless Persons in accordance with applicable federal and state laws.
- B. **Programs.** MaineHousing shall design and offer Programs based upon available funds, restrictions attached to such funds, best practices, and needs. The funds may be used for shelter services and outreach activities; for Homeless Prevention and Rapid Re-housing activities such as rental assistance, housing search, mediation, outreach to property owners, legal services, security on utility deposits, and moving

costs; and to support entities that offer an integrated array of services to meet the health, housing, employment, and other basic needs of Homeless Persons.

- C. **Program Guides.** MaineHousing shall publish on MaineHousing's website a Program Guide with respect to each Program and shall distribute the Program Guide to parties who may be eligible for the Program and who have expressed an interest to MaineHousing in connection with the type of activities eligible under the Program, to parties MaineHousing selects for marketing the particular Program, and upon request.

6. Funding

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

- a. Applicant's relationships and links with one or more local health care providers who provide treatment for clients; and
- b. Applicant's ability to provide or refer clients for mental health or substance abuse assessments and treatment.

4. Employment

- a. how well the Applicant assists clients with employment searches, including registering with Maine's Job Bank;
- b. how well the Applicant has developed and maintained effective working relationships with local CareerCenters in assisting clients; and
- c. how well the Applicant has developed and maintained effective working relationships with local employers or employment agencies in assisting clients.

5. Prevention

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

7. Data Collection Requirements

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

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

- E. Submit de-duplicated aggregate reports as required by MaineHousing.

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

8. Reporting Requirements

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

9. Monitoring and Assessment.

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

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

10. Rule Limitations

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

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

EFFECTIVE DATE:



State of Maine

Community Development Block Grant Program

2016 Proposed Program Statement

Office of Community Development
111 Sewall Street, 3rd Floor
59 State House Station
Augusta, Maine 04333-0059
Phone: (207) 624-7484
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**19-498 CMR DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
CHAPTER 44 COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM
2016 PROGRAM STATEMENT**

SUMMARY

This Program Statement describes the method by which 2016 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. The 2016 CDBG program was developed by the Department of Economic and Community Development (DECD) following a review of past programs, a forum with program constituents, 3 state-wide public forums and a comprehensive assessment of statewide community and economic development needs. In accordance with the Maine Administrative Procedures Act, DECD will hold a public hearing regarding the development of this Program Statement on November 4, 2015, Burton Cross Office Building, 3rd floor, 111 Sewall Street, Augusta Maine.

SECTION 1. PROGRAM OVERVIEW

A. CDBG OBJECTIVES

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

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

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

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

B. METHOD OF DISTRIBUTION:

DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2016 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 Facilities Grants
- d. Public Infrastructure Grants
- e. Downtown Revitalization Grants
- f. Workforce Development Grants
- g. Safe Neighborhood Program Grants
- h. Small Business Development Centers
- i. Urgent Need Grants
- j. Special Projects

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 certified CDBG Grant Administrator and in the case of Housing Rehabilitation a qualified Rehabilitation Technician (as employees or consultants). The Office of Community Development must approve waivers of this requirement in writing. All planning activities are exempt from this requirement.

D. PROGRAM TIMEFRAME

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

Program	Letter of Intent Due Date	Application Due Date <u>By Invitation Only</u>
Downtown Revitalization Economic Development	January 30, 2016	TBD*
*	1 st Friday of January, February and March**	May 13, 2016
*	1 st Friday of April, May, and June**	July 29, 2016
Housing Assistance	1 st Friday of July, August and September **	October 28, 2016
Micro-Enterprise Assistance	March 11, 2016	May 6, 2016
*	1 st Friday of January, and February **	March 25, 2016
*	1 st Friday of March and April**	May 27, 2016
*	1 st Friday of May and June**	July 29, 2016
Safe Neighborhood Program	1 st Friday of July and August**	September 23, 2016
Public Facilities	May 6, 2016	June 17, 2016
Public Infrastructure	January 15, 2016	TBD*
Special Projects *	January 15, 2016	March 4, 2016
Urgent Need	N/A	TBD*
Workforce Development	N/A	TBD*
*	May 6, 2016**	June 17, 2016
*	July 1, 2016**	August 12, 2016

***Subject to availability of funds.**

**** If the first Friday of the month falls on a holiday the Economic Development and Micro-Enterprise Assistance Programs Letter(s) of Intent will be due by 4:00pm on the next business day.**

E. 2016 PROGRAM BUDGET

FY 2016 CDBG Budget	\$10,765,432
Administration	315,308
Technical Assistance Administration	107,654
Regional Council Planning Assistance	114,347

Community Development

Downtown Revitalization Grants*	0
Home Repair Network Program	1,700,000
Housing Assistance Grants	1,000,000
Public Facilities Grants*	0
Public Infrastructure Grants	2,700,000
Workforce Development Grants	500,000
Safe Neighborhood Program	700,000
Small Business Development Centers	50,000
Urgent Need Grants*	0
Special Projects	178,123

Economic Development

Business Assistance Grants	2,700,000
Micro-Enterprise Assistance Grants	700,000

TOTAL Estimated 2016 CDBG Funds (final amount determined by HUD) **10,765,432**
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 Safe Neighborhood Program or Workforce Development programs 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

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applicants applying on behalf of a Maine Indian Tribe are permitted to apply in the same 2016 CDBG funding category as long as the eligible applicant will not directly benefit from the tribal CDBG project.

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

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

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

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

6. Application Threshold: Incomplete and/or non-conforming applications which do not meet the specifications set forth in the 2016 Program Statement and 2016 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 2016 Community Development Block Grant program, communities that received CDBG grants in or prior to 2012 must have finally closed out their grants prior to application due date. Communities that received CDBG grants in 2013 must have conditionally closed their grants prior to application due date. Communities that received CDBG grants in 2014 must have expended 50% of their benefit activity funds prior to application due date. Communities that received 2015 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 will terminate a community's grant if progress on the project is not apparent within 6 months, or 3 months in the case of Economic

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Development Programs (Business Assistance and Micro-Enterprise Assistance), Workforce Development Grants and Safe Neighborhood Program, from the date of contract signing. The Office of Community Development may grant waivers for just cause.

H. EXCLUSIONS:

1. Multiple Grants: Except for the Economic Development grants-Business Assistance Grants and Micro-Enterprise Assistance 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. Subsequent Year Award: Except for the Economic Development Program-Business Assistance Grants, Micro-Enterprise Assistance Grants, and project specific Housing Grants, units of general local government and Unorganized Territory that benefited from a 2015 award may not apply again in that specific program until the 2017 program. This exclusion may be waived by the Director of OCD with cause.

3. Downtown Revitalization (DR) Grantees: Communities may not submit a DR application if they have received or benefited from two (2) DR awards within the five (5) year period prior to the CDBG program year for which applications are being accepted. **Applications for multi-jurisdictional Downtown Revitalization projects will only be eligible if the downtowns are contiguous and each meets the definition of a downtown as defined in PL 1999 Ch. 776 (codified at 30-A M.R.S.A. § 4301(5-A)).**

4. Housing Assistance Grant Program (HA) Past Performance Requirement: Communities are not eligible to apply for a HA grant unless all prior HA grants are 100% expended and conditionally closed out. 100% expended also requires that no HA funds exist in the housing escrow account.

5. Housing Assistance (HA) Grantees: Communities may not submit a HA application for single family rehabilitation if they have received or benefited from two (2) HA awards within the five (5) year period prior to the CDBG program year for which applications are being accepted.

I. AWARD PROCESS:

1. Scoring:

Applicants will be placed in rank order from highest to lowest according to the final scores determined by the OCD Review Team. All program applications with the exception of the Urgent Need Grants and the Home Repair Network will be scored on a 100-point maximum scoring basis with allowance for bonus points where applicable. Final scores will be determined by averaging the scores assigned by members of the Review Team and adding any applicable bonus point. Notification of CDBG awards will typically be made in 30-45 days from receipt of a complete application. Notification of award may be delayed if additional information is requested by OCD. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow. **In the event of a tie in any CDBG program scoring process, consideration will be given to the community that is listed as a Service Center.** 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. (Excluding the Economic Development Program)
- 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. For the Economic Development, Microenterprise Assistance, Safe Neighborhood and Workforce Development Programs OCD will rescind the CDBG program award offer if the community is not under contract within three 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 may not submit a HA single family rehabilitation application if they have received or benefited from two HA awards within the five (5) year period prior to the CDBG program year for which applications are being accepted. Multi-jurisdictional applications with more than 3 communities will not be accepted.

2. Eligible Activities: Eligible HA activities are rehabilitation of occupied or vacant single-family or multi-family housing units, same site replacement housing, relocation assistance, acquisition, alternative housing, energy conservation, correction of code violations, conversion of non-residential structures, demolition, down payment assistance, first time homebuyer's programs, lead based paint removal, new housing construction as allowed by HUD regulations, provision of potable water or sewer, removal of architectural barriers and eligible planning activities necessary to complete the Project Development Phase.

3. Exclusions: See Section 1H (6) (7).

4. Matching Funds: Applicants for housing activities must provide a match (cash or in-kind) of at least 10 % of the total HA grant award; except for eligible new housing construction activities which must provide a cash match of at least 20% of the total HA grant award.

5. Maximum HA Grant Amount: \$1,000,000

6. Maximum Administrative Costs: The HA Program allows 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.**

7. Section 8 Housing Quality Standards: All units assisted or created with HA funds must, if possible, meet HUD Section 8 Minimum Housing Quality Standards. 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.

8. Administrative Capabilities for Housing Rehabilitation Applicants: Applicants for HA assistance must demonstrate at the time of submitting the Letter of Intent that they have the capacity to administer the program either through municipal staff that is a qualified CDBG Rehabilitation Technician; or have completed a procurement process under the guidelines of the CDBG program (24 CFR Part 85) to hire a qualified CDBG Rehabilitation Technician subject to award of a HA contract.

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

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(a) Stage 1:

Letter of Intent: All communities wishing to submit a HA application must submit a Letter of Intent to OCD on or before March 11, 2016 according to the requirements set forth in the 2016 Housing Assistance Application Package.

(b) Stage 2:

Application: The maximum length of an application is **four pages (not counting required attachments)**. The application deadline for the HA Program is 4:00PM on May 3, 2016. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

Impact (40 points):

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

Development Strategy (40 points):

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

Citizen Participation (20 points):

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

11. Final Application Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

B. HOME REPAIR NETWORK PROGRAM

The Home Repair Network Program (HRN) provides funding to address housing problems of low- and moderate-income persons by combining CDBG funding with the Maine State Housing Authority and the United States Department of Agriculture Rural Development Program funding. 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 identified for the Home Repair Network delivery system as approved by the Director of the OCD.

2. Eligible Activities: Eligible activities under the HRN Program are rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, removal of architectural barriers and the Critical Access Ramp Program (via Alpha One).

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

4. Maximum HRN Grant Amount: \$1,700,000. Allocations to each of the established regions will be determined by the Office of Community Development.

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

6. 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.

7. 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 FACILITIES GRANT PROGRAM

The Public Facilities Grant (PF) Program provides gap funding for local public facility activities, which alleviate a threat to the health and safety of the general public.

1. Eligible Activities: Eligible activities in the PF program are construction, acquisition, reconstruction, rehabilitation, site clearance, historic preservation, and relocation assistance **associated with** public facilities projects and eligible planning activities necessary to complete the Project Development Phase.

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

3. Match: All communities applying for PF 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, endowments, etc. contributed to the project.

4. Maximum PF Grant Amount: \$300,000

5. Demonstration of Need: Applicants must have demonstrated that the proposed activity will alleviate a threat to the health and safety of the general public. This demonstration must have been made part of the Letter of Intent and Verification submitted to the Office of Community Development on or before January 15, 2016.

6. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of a) benefiting 51% or greater low/moderate income persons or b) preventing or eliminating slum or blighting conditions. Census information, a certified target area 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. For spot blight activities documentation must be submitted to OCD substantiating the condition of the structure as "blighted." ***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 15, 2016.***

7. Priority for Public Facilities Projects: Regional Service Centers and Contiguous Census Designated Places and Compact Urban Areas Designated as Regional Service Centers and activities supporting the revitalization of downtown areas will be given priority during the evaluation and selection process for awarding PF program funds. Lists of all service center communities are available from the 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 PF application must first submit a Letter of Intent and Verification of CDBG National Objective to OCD on or before 4:00PM on Friday January 15, 2016 according to the requirements set forth in the 2016 PF application package.

(b) Stage 2:

Application: The application deadline for the PF program will be announced by the OCD, pending the availability of funds. 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 why the project is necessary – 8 points
- Conditions warranting new construction or renovations, including health and safety concerns– 10 points
- How these conditions affect LMI persons in the community or region – 10 points
- Size and make up of user base of facility – 6 points
- Why PF funds are necessary for project – 6 points

Development Strategy (40 points):

- A description of the new or renovated facility, including size, design factors, alleviation of health and safety factors, utilities and location – 10 points
- Specific use of PF funds – 10 points
- Positive effect on LMI persons – 10 points
- Project timeline, details of engineering or architectural work completed to date, proposed date for start of construction, tasks remaining prior to project implementation, final commitment of other funds and how PF funds will be expended within a 12 month period – 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 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

9. Final Application Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development phase as funds allow.

D. PUBLIC INFRASTRUCTURE GRANT PROGRAM

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

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

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

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

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

Activity Group Numbers:

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

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

6. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of benefiting 51% or greater low/moderate income persons via Census information, or a certified target area survey. ***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 15, 2016.***

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 on or before 4:00PM on Friday January 15, 2016 according to the requirements set forth in the 2016 PI application package.

(b) Stage 2:

Application: The application deadline for the PI Program is 4:00PM on March 4, 2016. 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

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

8. Final Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

E. DOWNTOWN REVITALIZATION GRANT PROGRAM

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

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

2. Exclusions: See Section 1H (4) (5).

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

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: \$400,000

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 on or before 4:00pm on Friday, January 30, 2016.***

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 first submit a Letter of Intent and Verification of CDBG National Objective to OCD on or before 4:00PM on Friday January 29, 2016 according to the requirements set forth in the 2016 DR application package.

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(b) Stage 2:

Application: The maximum length of an application is **six pages, not counting required attachments**. The application deadline for the DR program will be announced by the OCD, pending the availability of funds. 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 four scoring areas below and be determined by the total of each sub-scoring area.

Impact (40 points):

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

Development of Strategy (40 points):

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

Citizen Participation (20 points):

- Effective use of media (newspapers, radio, TV, web etc.) to further public awareness and participation. – 4 points
- Relevance of listed meeting/hearing comments (not counting required public hearing) and the overall citizen participation process in application and project development. – 4 points
- Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business related organizations in

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identification of problems and development of the application and project.
– 4 points

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

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

Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

9. Final Application Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team added to any applicable Maine Downtown Center Bonus and Business Friendly Community Bonus. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

F. WORKFORCE DEVELOPMENT GRANT PROGRAM

The Workforce Development Grant (WDG) Program addresses community and business resource needs by providing funding for operating expenses, equipment, and program materials for workforce training programs which will benefit low/moderate income (LMI) persons.

1. Eligible Activities: Eligible activities include operating and program material expenses for the purpose of providing workforce training and skills development to address the shortage of an available trained workforce. Other eligible public service activities associated with the project are allowed. Planning activities necessary to complete the Project Development Phase are eligible activities. Structural changes such as construction, renovation, or rehabilitation and out-of state travel costs, including airfare, lodging and meals are **not** eligible for WDG funding. Program development and marketing materials are also **not** eligible expenses under this grant.

2. Project Benefit: Eligible WDG 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 WDG 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; or

3. All communities applying for WDG 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 WDG Amount: \$100,000

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

(a) Stage 1:

Letter of Intent: All communities wishing to submit a WDG application must submit a Letter of Intent. Refer to Page 5 of this document for Letter of Intent

due dates and deadlines. 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**. 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 WDG funds are critical for the project – 10 points

Development Strategy (40 points):

- A description of the new or expanded service, specific use of WDG 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 WD 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 WDG 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 consisting of the average of the scores assigned by members of the Review Team. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

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G. SAFE NEIGHBORHOOD PROGRAM

The Safe Neighborhood Program (SN) provides resources to support new or expanded local law enforcement and crime prevention programming in designated neighborhoods which will benefit low/moderate income (LMI) persons. These funds will help alleviate illegal drug activity, violent crime and property crime, which will benefit residents.

1. Special Threshold Criteria and Certifications: SN Program funds will be distributed through an annual grant application selection process.

(a) Eligible Activities: Eligible activities include personnel costs, equipment, training and any other eligible public service activities necessary to support local law enforcement agencies' efforts to primarily combat the sale and distribution of illegal drugs and associated other crimes; eligible planning activities necessary to complete the Project Development Phase.

(b) Project Benefit: Eligible SN projects must provide benefits to one of the groups of persons listed below:

(ii) Target areas in communities where 51% or greater of the persons residing in the target area are determined to be LMI; or

(iii) Communities designated as 51% or greater LMI according to the most recent American Community Survey (ACS) Census data.

(c) All communities applying for SN funds must certify that:

(i) The program represents a new service to the community/target area; or a quantifiable increase in the level of an existing service;

(iii) The activity will meet the need **or** will continue after SN funding is expended.

2. Special Program Requirements:

(a) Maximum SN Amount: \$100,000

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:** All communities wishing to submit a SN application must submit a Letter of Intent to OCD on or before May 6, 2016 according to the requirements set forth in the 2016 Safe Neighborhood Program Application Package.

b. **Application:** The maximum length of an application is **four pages, not counting required attachments**. The application deadline for the SN program is 4:00PM on June 17, 2016. Each application will be rated in relation to all others in a two-stage process.

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Stage 1: Review Team Analysis – 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 four scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

(i) Impact (40 points):

- *A description of the scope, magnitude and severity of the identified problems – 12 points
- *Past efforts to deal with the identified problems – 5 points
- *Conditions requiring a new or expanded service – 7 points
- *Issues faced by service providers including capacity, finances and staffing – 6 points
- *Why SN funds are critical for the project – 10 points

(ii) Development Strategy (40 points):

- *A description of the new or expanded service, specific use of SN funds, including how this service will resolve identified problems, and why this service will be more effective than existing services for the targeted areas – 8 points
- *How the SN new/expanded service will benefit LMI persons– 8 points
- *Project timeline, including a start date, tasks completed to date and how SN funds will be expended in a timely manner – 10 points
- *Capacity and qualifications of the service provider implementing the project, including familiarity with the needs of project beneficiaries, and the experience of the overall SN grant administrator – 7 points
- *How the public service established or expanded with SN funding will continue after the SN funding ends, or there will no longer be a need for these services after the SN program ends – 7 points

(iv) 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

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*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

Stage 2: Final Application Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow. There is no minimum Final Application Score required for an application to be considered for funding.

H. 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 with the exception of Baldwin, Brunswick, Casco, Frye Island and Westbrook are not eligible for financial assistance under the SBDCTA.

I. URGENT NEED GRANT PROGRAM

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

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

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

2. Program Requirements:

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

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

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

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

(a) Stage 1:

Application: An UN application must include the following:

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

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

(b) Stage 2:

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

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

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

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

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

J. SPECIAL PROJECTS PROGRAM

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

SECTION 3. ECONOMIC DEVELOPMENT PROGRAMS

A. ECONOMIC DEVELOPMENT

The Economic Development program (EDP) provides communities with **gap** funding to assist identified businesses in the creation/retention of jobs for low-and moderate-income persons.

1. Eligible Activities by Group Number:

<u>Group Numbers</u>	<u>Maximum Award</u>
a) Grants to Municipalities: for acquisition, relocation, demolition, clearance, construction, reconstruction, installation and rehabilitation associated with public infrastructure projects such as water and sewer improvements, flood and drainage improvements, broadband/wireless access, publicly-owned commercial and industrial buildings, parking, streets, curbs, gutters, sidewalks, etc. All public infrastructure must be owned by the municipality or public or private utility and be in support of an identified business.	\$1,000,000
b) Grants to Municipalities for Direct Business Support: for capital and non-capital equipment, land and site improvements, rehabilitation or construction of commercial or industrial buildings, job training, working capital and capital equipment and be in support of an identified business. Acquisition is not an allowable activity under this group.	\$1,000,000

2. Exclusions:

- Applicants may apply in only one specific activity group
- **EDP funds cannot be used to refinance existing debt.**
- All EDP activities must be in support of an identified business; speculative activities are excluded.
- Communities receiving an EDP award may not receive any other EDP award for the same project or business during the same program year or for the same project or business from a prior program year that has not met final closeout status.

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.

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

6. Maximum Project Size for Utilizing EDP Funds: \$3,000,000 Phasing of projects to make the total cost appear to be below the maximum project size is expressly forbidden.

7. Program Requirements:

(a) EDP Letter of Intent Due Dates:

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

(b) EDP Application Due Dates: By invitation only as a result of accepted Letter of Intent.

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

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

(e) EDP Matching Funds Requirements: Communities applying for Economic Development Program funds must certify that a 100% cash match of the total EDP award will be provided. Matching funds must be directly related to the activities undertaken with EDP funding.

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

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

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

(a) Stage 1:

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

(b) Stage 2:

Application: Members of the Review Team will 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.

Problem Statement (40 points) -

Scope (15 points)

- 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 (10 points)

- Identify how employment opportunities for persons of low/moderate income are negatively affected by the identified problems.
- Emphasize the importance of the affected business in relation to the stability of the community/region and its current financial well being including property tax analysis before and after the proposed activities.

Need (15 points)

- 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.

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Solution (40 points) -

Project Description (15 points)

- Detail the activities that the community/business will undertake using EDP funds to resolve the problems/needs presented in the Problem Statement.
- Identify, in detail, the specific acquisition, equipment, real property improvements and/or fixtures that will be installed, modified, and upgraded, etc., with EDP funds.
- Explain how the solution directly solves the identified problems/needs.
- Include a firm figure of the number of jobs to be created or retained as a result of the project, and how these jobs relate to persons of low/moderate income.
- Clearly state the amount of EDP funds sought and how they will fit into the overall financing for the project.
- Include a graphic description (aerial photo, map, and sketch) of the sites involved. Provide a generalized location of the site relative to the community and a copy of a floodplain map showing the project location. Include existing and proposed site and/or building improvements.

Effect on Assisted Business (10 points)

- 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 (15 points)

- Describe how the project is assured of successful completion within 12 months.
- Identify what work, such as pre-engineering, construction and improvements, or fixture purchases that have been completed, or are in process, and exactly how these relate to the proposed EDP project.
- Provide background information (including resumes) for the owners and/or managers of the business and specific information about the skills and experiences of the owners and/or managers as related to the successful management of the business and proposed project.
- Include a concise timetable for project implementation.

Citizen Participation (20 Points) -

Public Hearing Process (10 points)

Describe how citizen participation contributed to the actual development of this application, including how the required public hearing contributed to the process.
(Submit a public hearing record consisting of the published public hearing

notice, hearing minutes, and attendance list with the original and all three copies of the application.)

Business/Local Involvement (10 points)

Outline other input from businesses, chambers of commerce, development organizations, local groups and individuals have had in increasing the citizen participation process for the proposed project.

Highlight how the use of any media (TV, radio, newspapers, etc.) increased public awareness and participation in the EDP project.

10. Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

11. Final Score Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team and Business Friendly Community Designation Bonus if applicable. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

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

B. MICRO-ENTERPRISE ASSISTANCE GRANT PROGRAM

The Micro-Enterprise Assistance Grant (MEA) Program provides grant funds to assist in innovative solutions to problems faced by micro-enterprise businesses. Assistance to businesses may be in the form of grants or loans at the discretion of the community.

1. Eligible Activities: Eligible activities under the Micro-Enterprise Assistance category are grants or loans to for-profit businesses that can be used for working capital and interior renovations, façade grants or loans for exterior improvements, including signage, painting, siding, awnings, lighting, display windows and other approved improvements; and eligible planning activities necessary to complete the Project Development Phase. **Sewer, water, storm drainage, parking, roads or streets and other infrastructure improvements and buildings solely for residential use are not eligible.**

2. Exclusions: See Section 1H (3)

3. Micro-Enterprise Assistance Loan Repayments – Communities that establish Micro-Enterprise Assistance as loans, and anticipate receiving \$35,000 or more in loan repayments, must utilize the services of a Community Development Financial Institution (CDFI) or a Community Based Development Organization (CBDO) as defined in Section 105(a)(15) of the Housing and Community Development Act of 1974, to manage repayments and subsequent relending. Micro-Enterprise Assistance Grants will be structured as forgivable loans.

4. Maximum MEA Grant Amount: \$150,000 per Community per year.

5. Maximum Amount of Micro-Enterprise Assistance to an individual Business: \$50,000

6. Project Benefit:

(a) Micro-Enterprise Grant/Loan: Existing or developing businesses that have five or fewer employees, one of whom owns the enterprise, and whose family income is LMI will meet the project benefit. Applicants will need to submit a copy of their 2015 Income Tax filing. For those businesses whose owners are Low-to moderate-income existing employees' incomes are not considered in meeting project benefit.

(b) Businesses with owners who do not qualify as low-to moderate-income **must create up to two (2) full-time equivalent (FTE) jobs (depending on funds requested), which must be taken by low-to moderate-income individuals.** Proof of employee income will be required. Businesses applying for MEA funds must have a business plan not older than 18 months and must have met with a Small Business Development Center (SBDC) business counselor in the three months prior to submitting an application for assistance.

(c) Business 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.

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7. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of 1) assisting existing or developing businesses that have five or fewer employees, one of whom owns the enterprise, and whose family income is LMI, or 2) creating up to two FTE jobs which must be taken by low- to moderate income individuals, or 3) preventing or eliminating slum or blighting conditions conforming to the requirements of Title 30-A M.R.S.A. § 5202 and HUD,. ***These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD***

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

(a) Stage 1:

Letter of Intent and Verification of CDBG National Objective: All communities wishing to submit a MEA application must submit a Letter of Intent and Verification of CDBG National Objective to OCD. Refer to Page 5 of this document for Letter of Intent due dates and deadlines. 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**. Members of the Review Team will assign a Point Total for each application reviewed. Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

Impact (40 points):

- State the problem and explain how it negatively impacts the local economy. – 30 points
- Explain why MEA funds are necessary for the project; describe efforts to secure other grant or loan funds, and tell why they are not available locally to assist – 10 points

Development Strategy (40 points):

- Provide Identification and description of potential business grant/loan applicants and their needs – 15 points
- Explain how the MEA project will stimulate business and assist in improving the area's long-term viability. – 15 points
- Provide a project timeline; list activities or actions completed to date. – 10 points

Citizen Participation (20 points):

- Effective use of any media (newspapers, radio, TV, etc.). – 5 points

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- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) in application and project development. – 5 points
- Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business related organizations in development of the application and project. – 5 points
- How other local resources (cash and in-kind) are directly related to the project. – 5 points

9. Business Friendly Community Designation Bonus – 3 bonus points will be assigned to each applicant community certified as a Business-Friendly Community at time of application.

10. Final Score – Each application will receive a Final Application Score consisting of the average of the scores assigned by members of the Review Team, added to any applicable Business Friendly Community Bonus. Starting at the top of the scoring list, applicants will be invited to proceed to the Project Development Phase as funds allow.

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 2016 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 2016 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 2016 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 2016 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The State of Maine's Administrative Procedures Act 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:

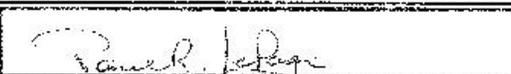


Grantee SF-424's and Certification(s)

OMB Number: 4040-0004
Expiration Date: 3/31/2016

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 type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision
		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:	4. Applicant Identifier:	
5a. Federal Entity Identifier:		5b. Federal Award Identifier: B-16-DC-23-0001
State Use Only:		
6. Date Received by State:	7. State Application Identifier:	
B. APPLICANT INFORMATION:		
* a. Legal Name: Department of Economic and Community Development		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 01-600000	* c. Organizational DUNS: 8090455170000	
* d. Address:		
* Street1:	59 State House Station	
Street2:		
* City:	Augusta	
County/Parish:	Kennebec	
* State:	ME: Maine	
Province:		
* Country:	USA: UNITED STATES	
* Zip / Postal Code:	04333-0059	
* e. Organizational Unit:		
Department Name:	Division Name:	
DECD		
* f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	* First Name:	Deborah
Middle Name:		
* Last Name:	Johnson	
Suffix:		
Title:	Director, Office of Community Development	
Organizational Affiliation:		
* Telephone Number:	207-0524-9817	Fax Number: 207-287-8073
* Email: deborah.johnson@maine.gov		

Application for Federal Assistance SF-424		
* 9. Type of Applicant 1: Select Applicant Type:		
<input type="text" value="A: State Government"/>		
Type of Applicant 2: Select Applicant Type:		
<input type="text"/>		
Type of Applicant 3: Select Applicant Type:		
<input type="text"/>		
* 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="34-296"/>		
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="2"/>	* b. Program/Project: <input type="text" value="142"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2016"/>	* b. End Date: <input type="text" value="12/31/2016"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="19,789,352.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="276,256.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="20,065,608.00"/>
* 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 ¹⁴ and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances ¹⁵ 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>¹⁴ The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Paul"/>
Middle Name: <input type="text" value="K"/>	
* Last Name: <input type="text" value="LePage"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-3531"/>	Fax Number: <input type="text" value="207-287-1034"/>
* Email: <input type="text" value="governor@maine.gov"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="2-11-16"/>

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 type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision
		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		5b. Federal Award Identifier: E-16-SG-23-0001
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
B. APPLICANT INFORMATION:		
* a. Legal Name: Maine State Housing Authority		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 01-031291		* c. Organizational DLNS: 00000000000000000000
d. Address:		
* Street1:	353 Macox Street	
Street2:		
* City:	Bangsala	
County/Parish:	Kennebec	
* State:	ME: Maine	
Province:		
* Country:	USA: UNITED STATES	
* Zip / Postal Code:	04330 4633	
e. Organizational Unit:		
Department Name: Maine State Housing Authority		Division Name:
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	Mr	* First Name: Wade
Middle Name:		
* Last Name:	Merrill	
Suffix:		
Title: Deputy Director		
Organizational Affiliation:		
* Telephone Number: 207 624-4500	Fax Number: 207 624-5702	
* Email: wcmerrill@mainehousing.org		

Application for Federal Assistance SF-424			
* 9. Type of Applicant 1: Select Applicant Type:			
A: State Government			
Type of Applicant 2: Select Applicant Type:			
Type of Applicant 3: Select Applicant Type:			
* Other (specify):			
* 10. Name of Federal Agency:			
U.S. Department of Housing and Urban Development			
11. Catalog of Federal Domestic Assistance Number:			
14-221			
CFDA Title:			
Emergency Solutions Grant (ESG) program			
* 12. Funding Opportunity Number:			
* Title:			
13. Competition Identification Number:			
Title:			
14. Areas Affected by Project (Cities, Counties, States, etc.):			
<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:			
Emergency Solutions 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="122"/>
Attach an additional list of Programs/Project Congressional Districts if needed	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2016"/>	* b. End Date: <input type="text" value="12/31/2016"/>
18. Estimated Funding (\$):	
* a. Federal:	<input type="text" value="1,322,743.00"/>
* b. Applicant:	<input type="text"/>
* c. State:	<input type="text"/>
* d. Local:	<input type="text"/>
* e. Other:	<input type="text"/>
* f. Program Income:	<input type="text"/>
* g. TOTAL:	<input type="text" value="1,322,743.00"/>
* 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 Deb? (if "Yes," provide explanation in attachment)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
21. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
** 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="Paul"/>
Middle Name: <input type="text" value="R"/>	<input type="text"/>
* Last Name: <input type="text" value="LeFoge"/>	<input type="text"/>
Suffix: <input type="text"/>	<input type="text"/>
* Title: <input type="text" value="GOVERNOR"/>	<input type="text"/>
* Telephone Number: <input type="text" value="207-287-3531"/>	Fax Number: <input type="text" value="207-257-1034"/>
* Email: <input type="text" value="p.lefoge@maine.gov"/>	<input type="text"/>
* Signature of Authorized Representative: <input type="text" value="Paul R. LeFoge"/>	* Date Signed: <input type="text" value="3-11-16"/>

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 type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/> M-24-09-23-0000	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text"/> Maine State Housing Authority		
* b. Employer / Taxpayer Identification Number (EIN/TIN): <input type="text"/> 01 631299	* c. Organizational DLNS: <input type="text"/> 086877115000	
d. Address:		
* Street1: <input type="text"/> 353 Water Street	Street2: <input type="text"/>	
* City: <input type="text"/> Augusta	County/Parish: <input type="text"/> Kennebec	
* State: <input type="text"/> ME: Maine	Province: <input type="text"/>	
* Country: <input type="text"/> USA: UNITED STATES	* Zip / Postal Code: <input type="text"/> 04330-4633	
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"/> Helmut	
Middle Name: <input type="text"/>	* Last Name: <input type="text"/> Kerrill	
Suffix: <input type="text"/>	Title: <input type="text"/> Deputy Director	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text"/> 207 524 4500	* Fax Number: <input type="text"/> 207 524-5702	
* Email: <input type="text"/> hkerrill@mainehousing.org		

Application for Federal Assistance SF-424			
* 9. Type of Applicant 1: Select Applicant Type:			
A: State Government:			
Type of Applicant 2: Select Applicant Type:			
Type of Applicant 3: Select Applicant Type:			
* Other (specify):			
* 10. Name of Federal Agency:			
U.S. Department of Housing and Urban Development			
11. Catalog of Federal Domestic Assistance Number:			
14 239			
CFDA Title:			
RORR Investment Partnership Program			
* 12. Funding Opportunity Number:			
Title:			
13. Competition Identification Number:			
Title:			
14. Areas Affected by Project (Cities, Counties, States, etc.):			
	Add Attachment	Delete Attachment	View Attachment
* 16. Descriptive Title of Applicant's Project:			
NONE, see Consolidated Plan			
Attach supporting documents as specified in agency instructions.			
Add Attachments	Delete Attachments	View Attachments	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text"/>	* b. Program/Project: <input type="text" value="162"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachments"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="01/01/2016"/>	* b. End Date: <input type="text" value="12/31/2016"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="3,153,056.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="3,153,056.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)	
<input checked="" type="checkbox"/> 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="Paul"/>
Middle Name: <input type="text" value="R"/>	
* Last Name: <input type="text" value="LePage"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Governor"/>	
* Telephone Number: <input type="text" value="207-287-3931"/>	Fax Number: <input type="text" value="207-287-1034"/>
* Email: <input type="text" value="governor@maine.gov"/>	
* Signature of Authorized Representative: <input type="text" value="Paul R. LePage"/>	* Date Signed: <input type="text" value="3-11-16"/>

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, which means it will conduct an analysis of impediments to fair housing choice within the state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

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, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under section 102(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG 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

Specific CDBG Certifications

The State certifies that:

Citizen Participation -- It is in full compliance and 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 or will be following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486.

Consultation with Local Governments -- It has or will comply with the following:

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 housing and community development 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 objectives of Title I of the Housing and Community Development Act of 1974, as amended. (See 24 CFR 570.2 and 24 CFR part 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 certifies that 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 a 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.** The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 199 , , and . (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;

3. Special Assessments. The state will require units of general local government that receive CDBG funds to certify to the following:

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.

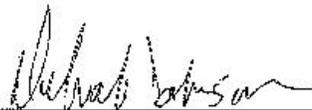
It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, 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.

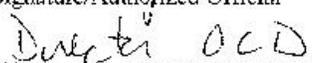
Excessive Force – It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

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 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Compliance with Laws -- It will comply with applicable laws.



Signature/Authorized Official


Title

03/08/2016

Date

Specific HOME Certifications

The State certifies that:

Tenant Based Rental Assistance -- If it intends to provide tenant-based rental assistance:

The use of HOME funds for 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.

Appropriate Financial Assistance -- 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;

John A. Gallagher, Jr.
Signature/Authorized Official

03-16-2016
Date

03-16-2016
Title Director

ESG 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 – 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, 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.

Gilman S. Gallagher / member
Signature/Authorized Official

03-16-2016
Date

Director
Title