

# Consolidated Annual Performance and Evaluation Report

---

State of Maine

Plan Year 2015

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

April 2016

*MaineHousing does not discriminate on the basis of race, color, religion, sex, sexual orientation, national origin, ancestry, physical or mental disability, age, familial status or receipt of public assistance in the admission or access to or treatment in its programs and activities. In employment, MaineHousing does not discriminate on the basis of race, color, religion, sex, sexual orientation, national origin, ancestry, age, physical or mental disability or genetic information. MaineHousing will provide appropriate communication auxiliary aids and services upon sufficient notice. MaineHousing will also provide this document in alternative formats upon sufficient notice. MaineHousing has designated the following person responsible for coordinating compliance with applicable federal and state nondiscrimination requirements and addressing grievances:*

*Jodie Stevens, Maine State Housing Authority, 353 Water Street, Augusta, Maine  
04330-4633, Telephone Number 1-800-452-4668 (voice in state only), (207) 626-  
4600 (voice) or Maine Relay 711.*



**Contents**

CR-05 - Goals and Outcomes ..... 4

CR-10 - Racial and Ethnic composition of families assisted..... 8

CR-15 - Resources and Investments 91.520(a)..... 9

CR-20 - Affordable Housing 91.520(b)..... 16

CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c) ..... 18

CR-30 - Public Housing 91.220(h); 91.320(j) ..... 24

CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j) ..... 26

CR-40 - Monitoring 91.220 and 91.230..... 29

CR-45 - CDBG 91.520(c)..... 32

CR-50 - HOME 91.520(d)..... 33

CR-60 - ESG 91.520(g) (ESG Recipients only)..... 35

CR-70 – ESG 91.520(g) - Assistance Provided and Outcomes ..... 45

CR-75 – Expenditures ..... 47

Attachments..... 50

State PER..... 51

AI Action Items ..... 55

Multifamily Monitoring ..... 68

CR 65 Persons Assisted with ESG ..... 85

Section 3 Reports ..... 86

## **CR-05 - Goals and Outcomes**

### **Progress the jurisdiction has made in carrying out its strategic plan and its action plan. 91.520(a)**

This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year.

This Maine Annual Performance Report describes progress on implementation of Maine's Consolidated Plan during 2015. The Consolidated Plan covers the use of HOME Investment Partnership Program (HOME), Emergency Solutions Grant (ESG), Community Development Block Grant (CDBG), and leveraged funds for the period 1/1/2015 to 12/31/2015.

During 2015 the Maine State Housing Authority (MaineHousing) administered the HOME and ESG funds. The Maine State Department of Economic and Community Development (DECD) administered the CDBG funds.

It is important to note that the state provides affordable housing and community development through a variety of assistance programs, many of which are funded through agency resources or state appropriations. In 2015 MaineHousing assisted more than 600 First Time Home Buyers, 7000 Renters, 400 Homeowners (not including over 37,000 helped with Energy Assistance) and more than 4500 Homeless households.

The state has identified objectives and expected outcomes for CDBE, HOME and ESG through the Consolidated Plan process. The Annual Action Plan addresses how objectives are to be met each year.

While production results have sometimes exceeded or fallen short of stated goals significant progress has been made to address the Consolidated Plan priorities and objectives. Both rental units constructed (123% of 2015 goal) and use of tenant based rental assistance (104% of 2015 goal) exceeded the 2015 goals.

This report covers the first year in the five year (2015-2019) Consolidate Plan.

**Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)**

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee’s program year goals.

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	350	814	232.57%	70	814	1,162.86%
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Facade treatment/business building rehabilitation	Business	100	14	14.00%	10	14	140.00%
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Jobs created/retained	Jobs	600	180	30.00%	165	180	109.09%
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	100	34	34.00%	30	34	113.33%
Improve Public Infrastructure	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	5000	20048	400.96%	1000	20048	2,004.80%

Improve the Quality of Existing Housing	Affordable Housing	CDBG: \$	Rental units rehabilitated	Household Housing Unit	60	78	130.00%	10	78	780.00%
Improve the Quality of Existing Housing	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	800	405	50.63%	160	405	253.13%
Increase the Quality and Supply of Rental Housing	Affordable Housing	CDBG: \$ / HOME: \$ / ESG: \$ / Other: \$	Rental units constructed	Household Housing Unit	563	140	24.87%	113	140	123.89%
Increase the Quality and Supply of Rental Housing	Affordable Housing	CDBG: \$ / HOME: \$ / ESG: \$ / Other: \$	Rental units rehabilitated	Household Housing Unit	562	93	16.55%	132	93	70.45%
Increase Use of Rapid Re-Housing	Homeless	HOME: \$ / ESG: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	2000	524	26.20%	500	524	104.80%
Support Emergency Shelter Operations & Services	Homeless	ESG: \$	Homeless Person Overnight Shelter	Persons Assisted	38825	7020	18.08%	7765	7020	90.41%

**Table 1 - Accomplishments – Program Year & Strategic Plan to Date**

**Assess how the jurisdiction's use of funds, particularly CDBG, addresses the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified.**

The data above includes five Homeowner Housing Rehabilitation units funded by MaineHousing. MaineHousing committed \$71,395.90 of prior year HOME funds to Home Repair in 2015.

MaineHousing assists homeless individuals with ESG. ESG assistance includes operations for the costs of emergency shelter facilities as well as housing relocation and stabilization services for those individuals and families who are homeless. The housing relocation and stabilization services are provided by trained staff, called Navigators, who assist homeless individuals and families with an initial housing assessment, developing a housing stability plan, helping to rapidly rehouse them and then follow them up to a year after they obtain housing.

Other funds were used to complete eight multifamily projects, for a total of 373 units (86 for families and 287 for seniors). HOME funds have been allocated to five development projects that have been granted notice to proceed (128 family units and 105 units for seniors).

The three highest CDBG priorities: Improve economic opportunity, Improve public infrastructure and Improve quality and affordability were addressed with CDBG funding by allocating over 80% of the annual amount to those three activities.

## CR-10 - Racial and Ethnic composition of families assisted

Describe the families assisted (including the racial and ethnic status of families assisted). 91.520(a)

	CDBG	HOME	ESG
White	462	464	5,307
Black or African American	6	68	1,178
Asian	3	3	37
American Indian or American Native	12	3	108
Native Hawaiian or Other Pacific Islander	0	2	18
<b>Total</b>	<b>483</b>	<b>540</b>	<b>6,648</b>
Hispanic	0	14	6,655
Not Hispanic	483	526	197

Table 2 – Table of assistance to racial and ethnic populations by source of funds

### Narrative

The CDBG and HOME data in the table above is populated from the HUD IDIS system; it may not include information on all activities covered by this report.

According to the IDIS Report HOME Summary of Accomplishments for FY 2015, 12% of HOME assisted households were of a race other than white and 2% were Hispanic.

Racial and ethnic data is not available for ESG households; data is reported by individual persons served through the ESG program. The total includes individuals with multiple races, and individuals assisted by ESG that did not provide race and ethnicity information.

The above table reflects housing for the CDBG program. Public Infrastructure and Economic Development capture people however the percentage of non-white people served is similar to the housing demographics.



## CR-15 - Resources and Investments 91.520(a)

### Identify the resources made available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG		42,327,196	13,841,454
HOME		12,008,668	2,806,199
ESG		5,317,600	1,287,106
Other	Other		

**Table 3 - Resources Made Available**

### Narrative

Funding HUD provided to Maine for 2015 CDBG, HOME and ESG programs is shown above. Note that amounts may include funds from previous allocations.

For FY 2015, MaineHousing allocated a total of \$1,287,106 in ESG funds for shelter operations. MaineHousing used ESG funds to assist 42 homeless shelter programs that assisted 7,020 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 and rapid re-housing activities. A total of \$737,817 was awarded to shelter providers based upon a combination of even distribution and a bed-night per diem rate. MaineHousing also allocated \$ 549,289 for the rapid re-housing Home To Stay Program.

In July of 2015 as a result of advocacy by the homeless shelter providers the Maine State Legislature increased the state general funding to shelters. An additional amount of \$2,000,000 was allocated to shelters for the period of July 1, 2015 to June 20, 2016. Half of this amount was distributed to shelters in the 3rd and 4th quarters of 2015.

## Identify the geographic distribution and location of investments

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description
State Of Maine	100	100	State Of Maine

**Table 4 – Identify the geographic distribution and location of investments**

County	# of HOME Units (not including TBRA)
Androscoggin	64
Cumberland	111
Kennebec	1
Somerset	2
York	60

## Leveraging

**Explain how federal funds leveraged additional resources (private, state and local funds), including a description of how matching requirements were satisfied, as well as how any publicly owned land or property located within the jurisdiction that were used to address the needs identified in the plan.**

ESG requires a one-to-one matching of funds. For FY 2015, MaineHousing did not require matching from sub-recipients. MaineHousing was able to exceed the required match and received \$2,000,000 from Maine State HOME Funds and \$1,250,000 from the State General Fund for a total of \$3,250,000.

HOME funds are matched with State of Maine Department of Health and Human Services funding for services used by STEP clients as well as State HOME funds used in the Home Repair program. In the past major sources of matching funds have also included foregone taxes and fees, and the present value of interest subsidy for below market rate loans. Also, Home to Stay Participants may receive housing assistance through a limited number of Housing Choice Vouchers allocated to the program.

MaineHousing uses Low-Income Housing Tax Credits for the development of affordable rental housing, in conjunction with agency financing.

The State CDBG program has minimum match requirements in the Public Infrastructure, Economic Development program of 25% and 50% respectively.

<b>Fiscal Year Summary – HOME Match</b>	
1. Excess match from prior Federal fiscal year	41,463,259
2. Match contributed during current Federal fiscal year	107,003
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	41,570,263
4. Match liability for current Federal fiscal year	626,496
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	40,943,767

**Table 5 – Fiscal Year Summary - HOME Match Report**

Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match
10207	10/09/2014	4,515	0	0	0	0	0	4,515
10208	10/30/2014	3,754	0	0	0	0	0	3,754
10209	10/16/2014	859	0	0	0	0	0	859
10210	10/16/2014	780	0	0	0	0	0	780
10211	10/09/2014	7,528	0	0	0	0	0	7,528
10212	10/30/2014	5,825	0	0	0	0	0	5,825
10220	11/27/2014	2,402	0	0	0	0	0	2,402
10233	01/08/2015	2,824	0	0	0	0	0	2,824
10234	12/11/2014	289	0	0	0	0	0	289
10237	11/13/2014	1,626	0	0	0	0	0	1,626
10238	11/20/2014	2,735	0	0	0	0	0	2,735
10239	03/12/2015	8,259	0	0	0	0	0	8,259
10246	04/26/2015	2,415	0	0	0	0	0	2,415
10253	08/13/2015	261	0	0	0	0	0	261
10270	08/20/2015	1,150	0	0	0	0	0	1,150
DHHS Match STEP	09/30/2015	61,781	0	0	0	0	0	61,781

Table 6 – Match Contribution for the Federal Fiscal Year

**HOME MBE/WBE report**

<b>Program Income</b> – Enter the program amounts for the reporting period				
<b>Balance on hand at begin-ning of reporting period</b> \$	<b>Amount received during reporting period</b> \$	<b>Total amount expended during reporting period</b> \$	<b>Amount expended for TBRA</b> \$	<b>Balance on hand at end of reporting period</b> \$
57,313	3,635	53,361	53,361	7,586

**Table 7 – Program Income**

<b>Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period</b>						
	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
<b>Contracts</b>						
Dollar Amount	0	0	0	0	0	0
Number	0	0	0	0	0	0
<b>Sub-Contracts</b>						
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0
	Total	Women Business Enterprises	Male			
<b>Contracts</b>						
Dollar Amount	0	0	0			
Number	0	0	0			
<b>Sub-Contracts</b>						
Number	0	0	0			
Dollar Amount	0	0	0			

Table 8 – Minority Business and Women Business Enterprises

<b>Minority Owners of Rental Property – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted</b>						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	5	0	0	0	0	5
Dollar Amount	5,851,909	0	0	0	0	5,851,909

Table 9 – Minority Owners of Rental Property

<b>Relocation and Real Property Acquisition</b> – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition						
Parcels Acquired		0		0		
Businesses Displaced		0		0		
Nonprofit Organizations Displaced		0		0		
Households Temporarily Relocated, not Displaced		0		0		
Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	0	0	0	0	0	0

Table 10 – Relocation and Real Property Acquisition

## CR-20 - Affordable Housing 91.520(b)

**Evaluation of the jurisdiction's progress in providing affordable housing, including the number and types of families served, the number of extremely low-income, low-income, moderate-income, and middle-income persons served.**

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	500	524
Number of Non-Homeless households to be provided affordable housing units	225	233
Number of Special-Needs households to be provided affordable housing units	0	0
<b>Total</b>	<b>725</b>	<b>757</b>

**Table 11 – Number of Households**

	One-Year Goal	Actual
Number of households supported through Rental Assistance	500	524
Number of households supported through The Production of New Units	113	140
Number of households supported through Rehab of Existing Units	112	98
Number of households supported through Acquisition of Existing Units	0	0
<b>Total</b>	<b>725</b>	<b>762</b>

**Table 12 – Number of Households Supported**

**Discuss the difference between goals and outcomes and problems encountered in meeting these goals.**

The one-year goal is set for HOME-funded programs in the 2015 Annual Action plan. With the exception of rehab of existing units all goals were met. It is difficult to predict the exact breakdown of new unit's vs rehabbed units in multifamily housing production. This variance may well be resolved in future years.



**Discuss how these outcomes will impact future annual action plans.**

Outcomes for activities in 2015 do not seem to suggest a need to change activities in the next action plan.

**Include the number of extremely low-income, low-income, and moderate-income persons served by each activity where information on income by family size is required to determine the eligibility of the activity.**

<b>Number of Persons Served</b>	<b>CDBG Actual</b>	<b>HOME Actual</b>
Extremely Low-income	147	183
Low-income	160	47
Moderate-income	55	11
<b>Total</b>	<b>362</b>	<b>241</b>

**Table 13 – Number of Persons Served**

**Narrative Information**

Based on data available in IDIS, more than 98% of beneficiaries of MaineHousing HOME assisted programs in 2015 had incomes at or below 60% of HUD median income, with the greatest number at or below 30% of median income.

## **CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c)**

### **Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through: Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs**

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 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. In addition to ESG funds, MaineHousing provides State Shelter Assistance Program funds, totaling \$3,250,000. The shelter funding methodology is governed by the Homeless Programs Rule.

ESG funding was utilized for shelter operations and rapid re-housing activities, as well as HMIS data collection. The ESG shelter funding helped to serve 7,020 persons in 42 ESG funded shelters, and 1,088 persons were assisted by the Home To Stay Program, a rapid re-housing initiative.

Since 2013, MaineHousing has been collaborating with our homeless providers, creating initiatives and pilot programs in an attempt to cause system change and transform the homeless response system. In reviewing the statistics from 2013 – 2015, many of the various initiatives have been making an impact on decreasing homelessness and reversing the rate of growth for shelter expenditures.

In 2015, there were.....

- 12% less homeless clients
- Utilizing 4% less shelter beds
- Representing 63% decrease in the average length of time clients remain in shelter

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

ESG funding is used to strengthen Maine's two Continuums of Care (CoC) by providing direct services to homeless persons. ESG funds were provided to sub-recipients in every CoC region. Each region has a priority to provide shelter and supportive services for homeless individuals and families. ESG funds also were provided to shelters in all CoC regions to pay for the operating costs and for rapid re-housing activities.

Both of Maine's CoCs apply to HUD annually for funding under the McKinney Vento Homeless Assistance Program to address homelessness. Annually, HUD funding to the CoC's provides funding for transitional housing (TH) and Permanent Housing (PH) including Shelter Plus Care. In Maine, the Housing Inventory Chart has a total of 1,190 TH year round beds. In recent years, HUD has encouraged CoC's to review their TH Projects and determine whether they could be re-tooled into rapid re-housing for families, be changed to transition in place programs, etc. As a result, both CoC's are focusing more on TH programs for specific sub-populations such as youth, DV, Veterans, co-occurring disorders, etc. and emphasizing permanent housing particularly PSH.

HUD's experience has demonstrated that providing support in permanent supportive housing assists persons in maintaining their housing and reduces their risk for recidivism and homelessness. Both CoC's boast a robust portfolio of PSH and both have significant experience with PSH. Eighty eight (88) percent of PCoC's PH inventory (661 year round beds) is Permanent Supportive Housing and 94 percent of the MCoC housing inventory (2,286 year round beds) is PSH. Additionally, over the last several years, both CoC's have encouraged projects to move to a Housing First model with their PSH Projects.

Finally, MaineHousing administers the Stability Through Engagement Program (STEP) which is HOME funded tenant based rental assistance (TBRA) to homeless individuals and families that are working with one of the 42 shelters across the state of Maine. This is permanent housing that is focused on rapid rehousing instead of PSH. Last year, the STEP Program assisted 225 homeless households by providing rapid rehousing and housing relocation and stabilization services. Program

participants pay 30% of their income for rent and can receive rental assistance for up to one year. Program participants develop a housing stability plan with trained shelter staff, called Navigators who meet with them at least every 30 days to monitor their program and assist them in maintaining stability and preventing another reoccurrence of homelessness. The success of this program is high and the average annual housing assistance payment in 2015 was \$4,007.00.

**Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: likely to become homeless after 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); and, 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.

**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 initiatives in recent years that have helped to facilitate the transition to permanent housing including the following:

Some of the most successful initiatives have been the Home to Stay Pilot Program, the Shelter System Change Pilot and the Long-term Stayer Initiative in conjunction with the Statewide Homeless Council and DHHS.

MaineHousing's new shelter programs, Home to Stay and Shelter System Change Incentive, embraced the Housing First models and created funding opportunities for staffing Housing

Navigators to help rapidly re-house clients with a focus on housing stability.

Navigators help a program participant move from homelessness to appropriate housing opportunities, quickly and efficiently. Navigators help clients access an array of mainstream services to meet the health, housing, employment, resources, and other basic needs of the client.

The Shelter System Change Incentive created funding opportunities for shelters based on performance based housing outcomes. Shelters received additional incentives for client exits to permanent housing, reductions in lengths of stays and returns to homelessness.

The Long-Term Stayer Initiative has addressed permanent housing outcomes for the hardest to serve clients with mental health and substance abuse issues that have occupied the longest shelter stays. Navigators and community providers work together using the Housing First model to assist clients with housing and the supports they need.

The CoC Leadership Group was established with both the Maine and Portland Continuums of Care to address statewide planning efforts on homelessness and a Coordinated Entry System for the homeless response system. The group has the support from MaineHousing through HUD Planning Grants and HUD Technical Assistance. They are working on establishing the Client Access Assessment & Referral System (CAARES), a no wrong door approach where assistance is easily accessible no matter where or how people present and uniform assessment which identifies and prioritizes any person who is homeless or at risk of homelessness anywhere in Maine and refers them to available and appropriate resources.

Another significant population that is being more effectively served is the Veteran population in Maine. There has been a 46% reduction in veteran homelessness in Maine from 2014 to 2015. There are 3 SSVF programs that conduct outreach across the entire state of Maine and work directly with Veterans and their families who are either homeless or at risk of homelessness. These programs have been highly successful in serving Veterans and in some cases are able to assist literally homeless Veterans obtain housing and by pass the shelters.

These initiatives, combined with performance measures that target lengths of stay and recidivism (returns to homelessness) have assisted in significantly reducing the average length of stay in shelters by 67% from 2013 to 2015 and has seen a significant decrease of 12% in that same period for the number of 7,765 in 2013 to 7,020 in 2015.

## **CR-30 - Public Housing 91.220(h); 91.320(j)**

### **Actions taken to address the needs of public housing**

MaineHousing is not a public housing authority. The State does review the Annual and Five-Year Plans of public housing authorities throughout the state to determine consistency with Maine's Consolidated Plan and issues certifications to these authorities upon request documenting this fact.

In 2015 MaineHousing worked collaboratively with the PHA's in Maine:

- Participating in and hosting 'Occupancy meetings' which include staff representatives of PHAs statewide. These meetings include discussions of best practices, new regulation implementation and often contain a training component.
- Collaborating with PHAs statewide in the implementation of the new Portability regulations. This regulation provides for tenant choice when moving to jurisdiction shared by 2 or more PHAs.
- Our new Family Self-Sufficiency (FSS) Program Coordinator is working at the state level to increase and improve resources available to FSS participants. We are also designing a webpage that will include financial literacy resources for participants statewide.
- Working toward a statewide HCV waiting list so that applicants will only have to apply once.
- Coordinating the development of a new Case Management Model to improve tenant outcomes. Currently Portland, Augusta and Bath PHAs have staff participating in this project.
- Collaborating with other PHAs in hosting statewide HCV Inspector Forums/training.
- Offering landlord educational outreach sessions with Augusta and Waterville PHAs.

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

MaineHousing does not own or manage public housing and does not have access to public housing residents to encourage them to participate in management or homeownership.



MaineHousing's affordable mortgage financing and downpayment assistance are available to first-time homebuyers that meet income requirements.

### **Actions taken to provide assistance to troubled PHAs**

MaineHousing is not designated as a troubled PHA.

## **CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j)**

**Actions taken 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. 91.220 (j); 91.320 (i)**

A number of actions addressed housing and community development barriers. These actions include:

- improvement of organizational capacity
- protecting and improving housing and community development assets
- promoting homeownership awareness
- providing homebuyer education and foreclosure mitigation counseling
- participating in the Continuum of Care to provide housing and services for the state's homeless population

## **Actions taken to address obstacles to meeting underserved needs. 91.220(k); 91.320(j)**

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

In 2015 seventy five percent of all households assisted with HOME were in the lowest income category (30% of area median or less).

## **Actions taken to reduce lead-based paint hazards. 91.220(k); 91.320(j)**

In 2015 MaineHousing's Lead Hazard Control Program abated 64 units at an average cost of \$12,079.

**Actions taken to reduce the number of poverty-level families. 91.220(k); 91.320(j)**

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.

In 2015, MaineHousing worked with the Community Action Agencies to weatherize 419 homes, improve the heating systems for 1,241 households and to provide Low Income Home Energy Assistance to 37,368 households.

**Actions taken to develop institutional structure. 91.220(k); 91.320(j)**

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.

In 2015 MaineHousing worked with the Continuums of Care to implement programs to serve homeless persons. MaineHousing also worked the Community Action Agencies to serve homeowners. MaineHousing partners with lenders to provide Homebuyer loans and with developers to construct and preserve multifamily housing.

## **Actions taken to enhance coordination between public and private housing and social service agencies. 91.220(k); 91.320(j)**

In 2015 MaineHousing worked collaboratively with the PHA's in Maine:

- Participating in and hosting 'Occupancy meetings' which include staff representatives of PHAs statewide. These meetings include discussions of best practices, new regulation implementation and often contain a training component.
- Collaborating with PHAs statewide in the implementation of the new Portability regulations. This regulation provides for tenant choice when moving to jurisdiction shared by 2 or more PHAs.
- Our new Family Self-Sufficiency (FSS) Program Coordinator is working at the state level to increase and improve resources available to FSS participants. We are also designing a webpage that will include financial literacy resources for participants statewide.
- Working toward a statewide HCV waiting list so that applicants will only have to apply once.
- Coordinating the development of a new Case Management Model to improve tenant outcomes. Currently Portland, Augusta and Bath PHAs have staff participating in this project.
- Collaborating with other PHAs in hosting statewide HCV Inspector Forums/training.
- Offering landlord educational outreach sessions with Augusta and Waterville PHAs.

## **Identify actions taken to overcome the effects of any impediments identified in the jurisdictions analysis of impediments to fair housing choice. 91.520(a)**

In 2015 MaineHousing updated the Analysis of Impediments to Fair Housing Choice. The updated Analysis is available on the MaineHousing website.

See attached list of actions taken in 2015 to address impediments identified in the existing Analysis of Impediments to Fair Housing Choice.

## **CR-40 - Monitoring 91.220 and 91.230**

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

MaineHousing monitors Multi-family rental projects receiving HOME funds for compliance with the program rules and property standards through on-site inspections at the required frequency outlined in 24 CFR §92.504(d). On-site inspections consist of a tenant file review and physical plant inspection of 20% of HOME-assisted units. Reports are issued for both types of inspections and Owners are provided 30 days to rectify any non-compliance identified during the review (or less if more significant health and safety items are identified through the physical plant inspection of the units). If non-compliance remains uncorrected, the property could be declared to be in default and action taken to call the note. In some circumstances, the period of affordability may be extended for any period the property was deemed non-compliant.

In addition to on-site reviews, annually MH reviews all financial reports provided by the owner (budgets and Audited Financial Reviews) to identify potential financial risks to the property as well as the submitted tenant status reports that outline the tenancy and income levels of tenants in HOME units, allowing us to validate that the targeted population continues to be served in the property and that rents fall within allowable limits.

ESG: MaineHousing review the performance of sub-recipients in carrying out their responsibilities at least once every year. In conducting performance reviews, MaineHousing relies primarily on information obtained from the records and reports from the Grantee, as well as information from monitoring reviews, audit reports, and HMIS. Staff reviews a random selection of files for specific documentation of: homelessness, disability status, target population, on-going assessment, follow up and supportive services. Staff verifies homeless participation in policies and project development and compliance with their grant agreements.

If MaineHousing determines that the sub-recipients have not complied with a program requirement, MaineHousing will give the sub-recipients notice of this determination and an opportunity to

demonstrate, within the time prescribed by MaineHousing and on the basis of substantial facts and data that Grantee has complied with program requirements.

Sub-recipients are expected to properly maintain all books, documents, payrolls, papers, information, records, accounting records, bednight rosters, client files, and other material pertaining to their grant agreements and make such materials available at its offices for purposes of audit, inspection, duplication, and examination so as to allow MaineHousing and HUD to monitor and audit. Additionally, MaineHousing inspect the sub-recipients shelter facilities at reasonable times and under reasonable conditions but at least every two years.

The State CDBG program monitors all UGLG grantees for compliance with all CDBG regulations.

**Citizen Participation Plan 91.105(d); 91.115(d)**  
**Describe the efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports.**

The draft 2015 CAPER was available for public comment for 15 days beginning April 12, 2016. Public was notified of the availability via newspaper ads in the Lewiston Sun Journal, Bangor Daily News, Kennebec Journal and Portland Press Herald. DECD and MaineHousing posted copies of the draft document on their websites.

A Public Hearing was for the CAPER occurred on April 25, 2016. Five people attended the hearing.

Public input into the draft CAPER is considered in preparing the final report to HUD. There were five comments on the draft.

2016 Public Comments on the CAPER – April 25, 2016

1. Comment: Parking at MaineHousing is not compliant with federal and state laws for accessibility to persons with disabilities. The parking needs access isles.

Response: MaineHousing appreciates that the commenter brought the parking problem to their attention. MaineHousing will work with the City of Augusta to assure that parking is compliant with Federal and State laws.

2. Comment: No mention was found about found about accessibility or universal design in the section on Impediments to Fair Housing Choice. They request use of universal design in publicly funded housing.

Response: The CAPER is a report which describes activities and accomplishments during the program year (2015). MaineHousing is aware of the request for universal design in publicly funded housing and will consider this question in program design.

3. Comment: The Maine SILC offers to assist MaineHousing and DECD with this process.

Response: MaineHousing and DECD appreciate the offer of assistance from Maine SILC.

4. Comment: A comment was made that it would be interesting to have a future study of why people are homeless.

Response: Studies of the reasons people are Homeless are not within the scope of the CAPER.

5. Comment: A comment was made regarding appreciation for the Home Retro program and the extension to include Housing Choice Vouchers.

Response: MaineHousing and DECD acknowledge the comment about the HOME Retro program.

**CR-45 - CDBG 91.520(c)**

**Specify the nature of, and reasons for, any changes in the jurisdiction’s program objectives and indications of how the jurisdiction would change its programs as a result of its experiences.**

There were no changes to the State of Maine's CDBG program objectives.

<b>Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?</b>	No
--	----



## **CR-50 - HOME 91.520(d)**

**Include the results of on-site inspections of affordable rental housing assisted under the program to determine compliance with housing codes and other applicable regulations**

Please list those projects that should have been inspected on-site this program year based upon the schedule in §92.504(d). Indicate which of these were inspected and a summary of issues that were detected during the inspection. For those that were not inspected, please indicate the reason and how you will remedy the situation.

See attached summary of projects monitored in 2015.

## **Provide an assessment of the jurisdiction's affirmative marketing actions for HOME units. 92.351(b)**

All property owners are required to have a Management Plan and an Affirmative Fair Housing Marketing Plan that is approved by MaineHousing. The owner will be responsible for selecting residents in a non-discriminatory manner and maintaining a written waiting list of applicants in accordance with the project's resident selection policies and criteria that comply with all federal and state laws prohibiting discrimination on the grounds of race, color, national origin, religion, sex, physical or mental handicap, sexual orientation, familial status, ancestry and receipt of public assistance. As a result, there is a diverse population of ethnic and religious that reside in MaineHousing funded properties.

## **Refer to IDIS reports to describe the amount and use of program income for projects, including the number of projects and owner and tenant characteristics**

MaineHousing applies program income to the activity being disbursed when the funds are available. In 2015 Program Income totaling \$53,361.43 was used for the STEP program. It is not

possible to determine which landlords and tenants benefited from program income.

**Describe other actions taken to foster and maintain affordable housing.  
91.220(k) (STATES ONLY: Including the coordination of LIHTC with the  
development of affordable housing). 91.320(j)**

MaineHousing uses the Rental Loan Program (RLP) to provide low interest, long term mortgage financing to qualified private, for profit and nonprofit developers of affordable rental housing. The RLP may be used for new construction and for the acquisition and rehabilitation of existing housing. MaineHousing combines a number of financial resources for the RLP including HOME funding, tax-exempt financing and various state resources. This program is specifically designed to be used in conjunction with the equity provided through the LIHTC.

## CR-60 - ESG 91.520(g) (ESG Recipients only)

ESG Supplement to the CAPER in *e-snaps*

### For Paperwork Reduction Act

#### 1. Recipient Information—All Recipients Complete

##### Basic Grant Information

Recipient Name	MAINE
Organizational DUNS Number	809045511
EIN/TIN Number	016000001
Identify the Field Office	BOSTON
Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance	

##### ESG Contact Name

Prefix	Ms
First Name	PAULA
Middle Name	A
Last Name	PALADINO
Suffix	0
Title	Manager of Homeless Initiatives

##### ESG Contact Address

Street Address 1	353 Water Street
Street Address 2	0
City	Augusta
State	ME
ZIP Code	04330-4633
Phone Number	2076245706
Extension	0
Fax Number	2076245768
Email Address	PPALADINO@MAINEHOUSING.ORG

##### ESG Secondary Contact

Prefix	Mrs
First Name	PAULA
Last Name	WEBER
Suffix	0
Title	Compliance Officer

**Phone Number** 2076264600  
**Extension** 4619  
**Email Address** pweber@mainehousing.org

## 2. Reporting Period—All Recipients Complete

**Program Year Start Date** 01/01/2015  
**Program Year End Date** 12/31/2015

### 3a. Subrecipient Form – Complete one form for each subrecipient

**Subrecipient or Contractor Name:** York County Shelter Programs Inc.  
**City:** Alfred  
**State:** ME  
**Zip Code:** 04002, 0820  
**DUNS Number:** 187039425  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 100004.31

**Subrecipient or Contractor Name:** Bangor Area Homeless Shelter  
**City:** Bangor  
**State:** ME  
**Zip Code:** 04401, 6403  
**DUNS Number:** 783449689  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 22393.35

**Subrecipient or Contractor Name:** Bread of Life Ministries  
**City:** Augusta  
**State:** ME  
**Zip Code:** 04330, 4607  
**DUNS Number:** 780854311  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 20386.25

**Subrecipient or Contractor Name:** Caring Unlimited Inc.  
**City:** Sanford  
**State:** ME  
**Zip Code:** 04073, 0550  
**DUNS Number:** 780082806  
**Is subrecipient a victim services provider:** Y  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 22438.49

**Subrecipient or Contractor Name:** Community Concepts Inc.  
**City:** South Paris  
**State:** ME  
**Zip Code:** 04281, 0278  
**DUNS Number:** 086887056  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 13089.32

**Subrecipient or Contractor Name:** Family Crisis Services  
**City:** Portland  
**State:** ME  
**Zip Code:** 04104, 0704  
**DUNS Number:** 043790832  
**Is subrecipient a victim services provider:** Y  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 33628.85

**Subrecipient or Contractor Name:** Family Violence Project  
**City:** Augusta  
**State:** ME  
**Zip Code:** 04332, 0304  
**DUNS Number:** 198925133  
**Is subrecipient a victim services provider:** Y  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 3745.76

**Subrecipient or Contractor Name:** HOME Inc.  
**City:** Orland  
**State:** ME  
**Zip Code:** 04472, 0010  
**DUNS Number:** 071733240  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 13834.97

**Subrecipient or Contractor Name:** The Emmaus Center  
**City:** Ellsworth  
**State:** ME  
**Zip Code:** 04605, 0223  
**DUNS Number:** 829703040  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 42764.65

**Subrecipient or Contractor Name:** Homeless Services of Aroostook  
**City:** Presque Isle  
**State:** ME  
**Zip Code:** 04769, 1753  
**DUNS Number:** 195221630  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 24606.19

**Subrecipient or Contractor Name:** Hope and Justice Project  
**City:** Presque Isle  
**State:** ME  
**Zip Code:** 04769, 2254  
**DUNS Number:** 627646102  
**Is subrecipient a victim services provider:** Y  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 11250

**Subrecipient or Contractor Name:** Hope Haven Gospel Mission  
**City:** Lewiston  
**State:** ME  
**Zip Code:** 04240, 7817  
**DUNS Number:** 198851677  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 18933.11

**Subrecipient or Contractor Name:** MAPS  
**City:** South Portland  
**State:** ME  
**Zip Code:** 04106, 1999  
**DUNS Number:** 780855383  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 15306.25

**Subrecipient or Contractor Name:** Mid-Maine Homeless Shelter  
**City:** Waterville  
**State:** ME  
**Zip Code:** 04903, 2612  
**DUNS Number:** 803876713  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 72265.79

**Subrecipient or Contractor Name:** Milestone Foundation  
**City:** Portland  
**State:** ME  
**Zip Code:** 04101, 4209  
**DUNS Number:** 073993883  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 37988

**Subrecipient or Contractor Name:** New Beginnings Inc.

**City:** Lewiston

**State:** ME

**Zip Code:** 04240, 6736

**DUNS Number:** 194538534

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 41002.29

**Subrecipient or Contractor Name:** The Next Step Domestic Violence Project

**City:** Ellsworth

**State:** ME

**Zip Code:** 04605, 1465

**DUNS Number:** 046740339

**Is subrecipient a victim services provider:** Y

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 28324.05

**Subrecipient or Contractor Name:** Penobscot Community Health Center Inc.

**City:** Bangor

**State:** ME

**Zip Code:** 04402, 2100

**DUNS Number:** 034744040

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 141511

**Subrecipient or Contractor Name:** Preble Street: Florence House

**City:** Portland

**State:** ME

**Zip Code:** 04104, 1459

**DUNS Number:** 780081485

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 51468.02



**Subrecipient or Contractor Name:** Preble Street: Joe Kreisler Shelter  
**City:** Portland  
**State:** ME  
**Zip Code:** 04104, 1459  
**DUNS Number:** 780081485  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 11938.44

**Subrecipient or Contractor Name:** Rumford Group Homes Inc.  
**City:** Rumford  
**State:** ME  
**Zip Code:** 04276, 1846  
**DUNS Number:** 603062365  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 25931.41

**Subrecipient or Contractor Name:** Rumford Group Homes Inc.: Norway Shelter  
**City:** Rumford  
**State:** ME  
**Zip Code:** 04276, 1846  
**DUNS Number:** 603062365  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 5730.26

**Subrecipient or Contractor Name:** Rumford Group Homes Inc.: Rumford/South Paris  
**City:** Rumford  
**State:** ME  
**Zip Code:** 04276, 1846  
**DUNS Number:** 603062365  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 8311.75

**Subrecipient or Contractor Name:** Rural Community Action Ministries

**City:** Leeds

**State:** ME

**Zip Code:** 04263, 3402

**DUNS Number:** 113617695

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 2439.31

**Subrecipient or Contractor Name:** Safe Voices

**City:** Auburn

**State:** ME

**Zip Code:** 04212, 0713

**DUNS Number:** 840710149

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 27202.96

**Subrecipient or Contractor Name:** Shaw House

**City:** Bangor

**State:** ME

**Zip Code:** 04401, 6327

**DUNS Number:** 927356907

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 2577.13

**Subrecipient or Contractor Name:** Spruce Run

**City:** Bangor

**State:** ME

**Zip Code:** 04402, 0653

**DUNS Number:** 783449697

**Is subrecipient a victim services provider:** Y

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 16687.46

**Subrecipient or Contractor Name:** Tedford Housing: Family Shelter  
**City:** Brunswick  
**State:** ME  
**Zip Code:** 04011, 1927  
**DUNS Number:** 781973946  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 31157.81

**Subrecipient or Contractor Name:** Tedford Housing: Adult Shelter  
**City:** Brunswick  
**State:** ME  
**Zip Code:** 04011, 1927  
**DUNS Number:** 781973946  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 9305.85

**Subrecipient or Contractor Name:** YANA, Inc.  
**City:** Saco  
**State:** ME  
**Zip Code:** 04072, 0328  
**DUNS Number:** 966221041  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Other Non-Profit Organization  
**ESG Subgrant or Contract Award Amount:** 3366

**Subrecipient or Contractor Name:** City of Portland: Family Shelter  
**City:** Portland  
**State:** ME  
**Zip Code:** 04101, 2418  
**DUNS Number:** 071747802  
**Is subrecipient a victim services provider:** N  
**Subrecipient Organization Type:** Unit of Government  
**ESG Subgrant or Contract Award Amount:** 147305.21

**Subrecipient or Contractor Name:** City of Portland: Oxford Street Shelter

**City:** Portland

**State:** ME

**Zip Code:** 04101, 2418

**DUNS Number:** 071747802

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Unit of Government

**ESG Subgrant or Contract Award Amount:** 225470.98

**Subrecipient or Contractor Name:** Knox County HOmeless Coalition

**City:** Rockland

**State:** ME

**Zip Code:** 04841, 1696

**DUNS Number:** 020536997

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 37467.6

## CR-70 – ESG 91.520(g) - Assistance Provided and Outcomes

### 8. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	402,595
Total Number of bed-nights provided	347,512
Capacity Utilization	86.32%

Table 14 – Shelter Capacity

### 9. Project Outcomes Data measured under the performance standards developed in consultation with the CoC(s)

The State of Maine does not prioritize the allocation of ESG geographically. All shelters receiving funding will be tracked on performance benchmarks and will receive additional state funding depending on their ability to meet these benchmarks. Payments are based on performance of successful housing exits including housing retention, income and supports, and recidivism. ESG recipients were evaluated on the following measures in 2015:

- Number and percentage of shelter exits to permanent housing will be at least 30%;
- Decrease by 10% in average length of stay and;
- Number of households returning to shelters from permanent housing will be 25% or less

The Homeless Management Information System (HMIS) was used in conjunction with regular program monitoring to ensure grantee performance using established performance measures. Shelter outcomes were evaluated on a semi-annual basis. Success in achieving performance measures, along with other factors, formed the basis for funding decisions. Below is a table that describes the number and percentages of shelters achieving these performance measures. Because this was new in 2015, many shelters began the process of focusing on these measures and working with clients to help them achieve these outcomes. It is anticipated that in 2016, these percentages will increase as shelters implement policies and changes that support client progress toward these outcomes.

	Quarters 1 and 2 of 2015			Quarters 3 and 4 of 2015		
	Number of shelters achieving goal	Total number of shelters	Percent achieving goal	Number of shelters achieving goal	Total number of shelters	Percent achieving goal
<b>Performance Measurement # 1: Exits to Permanent Housing are 30% or Greater</b>	17	42	40%	34	42	81%
<b>Performance Measurement #2: Average Length of Stay Decreases by 10%</b>	26	42	62%	10	42	24%
<b>Performance Measurement #3: Returns to Homelessness are 25% or less</b>	38	42	90%	33	42	79%

## CR-75 – Expenditures

### 11. Expenditures

#### 11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2013	2014	2015
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	0
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Homelessness Prevention</b>	<b>0</b>	<b>0</b>	<b>0</b>

Table 15 – ESG Expenditures for Homelessness Prevention

#### 11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2013	2014	2015
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	187,685	757,841	549,289
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Rapid Re-Housing</b>	<b>187,685</b>	<b>757,841</b>	<b>549,289</b>

Table 16 – ESG Expenditures for Rapid Re-Housing

#### 11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2013	2014	2015
Essential Services	0	0	0
Operations	643,916	453,119	737,817
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0

<b>Subtotal</b>	<b>643,916</b>	<b>453,119</b>	<b>737,817</b>
-----------------	----------------	----------------	----------------

**Table 17 – ESG Expenditures for Emergency Shelter**

**11d. Other Grant Expenditures**

	<b>Dollar Amount of Expenditures in Program Year</b>		
	<b>2013</b>	<b>2014</b>	<b>2015</b>
HMIS	65,435	0	0
Administration	0	0	99,705
Street Outreach	0	0	0

**Table 18 - Other Grant Expenditures**

**11e. Total ESG Grant Funds**

<b>Total ESG Funds Expended</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
3,494,807	897,036	1,210,960	1,386,811

**Table 19 - Total ESG Funds Expended**

**11f. Match Source**

	<b>2013</b>	<b>2014</b>	<b>2015</b>
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	897,036	1,210,960	3,250,000
Local Government	0	0	0
Private Funds	0	0	0
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
<b>Total Match Amount</b>	<b>897,036</b>	<b>1,210,960</b>	<b>3,250,000</b>

**Table 20 - Other Funds Expended on Eligible ESG Activities**

**11g. Total**

<b>Total Amount of Funds Expended on ESG Activities</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
8,852,803	1,794,072	2,421,920	4,636,811

**Table 21 - Total Amount of Funds Expended on ESG Activities**





## Attachments



(1) Allocation	10,581,799	B. Amount Used to:	
(2) Program Income	0	(1) Benefit to Low-Mod Income	8,976,585
B. Amount Obligated to Recipients	10,164,347	(2) Prevent/Eliminate Slums/Blight	1,151,188
C. Amount Drawn Down	10,447,109	(3) Meet Urgent Community Develop Nee	0
D. Amount for State Administration	311,635	(4) Acquisition/Rehabilit. Noncountable	0
E. Amount for Technical Assistance	105,817	(5) Local Administration	36,574
F. Amount for Section 108 Loan Guar.	0		10,164,347

State CDBG Performance Evaluation Report		U.S. Department of Housing and Urban Development	
State: Maine		Reporting Period: 01/01/15 - 12/31/15	
Grant Number: B-13-DC-23-0001		Data as of December 31, 2015	
1. Financial Status		2. National Objectives	
A. Total Funds		A. Period Specified for Benefit: FY 11 to FY 13	
(1) Allocation	11,129,112	B. Amount Used to:	
(2) Program Income	0	(1) Benefit to Low-Mod Income	10,258,769
B. Amount Obligated to Recipients	10,695,240	(2) Prevent/Eliminate Slums/Blight	104,812
C. Amount Drawn Down	10,808,762	(3) Meet Urgent Community Develop Nee	0
D. Amount for State Administration	322,582	(4) Acquisition/Rehabilit. Noncountable	0
E. Amount for Technical Assistance	111,290	(5) Local Administration	331,659
F. Amount for Section 108 Loan Guar.	0		10,695,240

State CDBG Performance	U.S. Department of Housing
------------------------	----------------------------

Evaluation Report		and Urban Development	
State: Maine		Reporting Period: 01/01/15 - 12/31/15	
Grant Number: B-14-DC-23-0001		Data as of December 31, 2015	
1. Financial Status		2. National Objectives	
A. Total Funds		A. Period Specified for Benefit: FY 14 to FY 16	
(1) Allocation	10,936,483	B. Amount Used to:	
(2) Prior Year's Unobligated Funds	1,977,394	(1) Benefit to Low-Mod Income	12,346,948
B. Amount Obligated to Recipients	10,508,388	(2) Prevent/Eliminate Slums/Blight	0
C. Amount Drawn Down	10,628,188	(3) Meet Urgent Community Develop Nee	0
D. Amount for State Administration	318,730	(4) Acquisition/Rehabilit. Noncountable	0
E. Amount for Technical Assistance	109,365	(5) Local Administration	138,834
F. Amount for Section 108 Loan Guar.	0		12,485,782

State CDBG Performance Evaluation Report		U.S. Department of Housing and Urban Development	
State: Maine		Reporting Period: 01/01/15 - 12/31/15	
Grant Number: B-15-DC-23-0001		Data as of December 31, 2015	
1. Financial Status		2. National Objectives	
A. Total Funds		A. Period Specified for Benefit: FY 14 to FY 16	
(1) Allocation	10,765,432	B. Amount Used to:	
(2) Program Income	0	(1) Benefit to Low-Mod Income	8,462,504
B. Amount Obligated to Recipients	8,726,851	(2) Prevent/Eliminate Slums/Blight	150,000

C. Amount Drawn Down	2,180,842	(3) Meet Urgent Community Develop Nee	0
D. Amount for State Administration	315,308	(4) Acquisition/Rehabilit. Noncountable	0
E. Amount for Technical Assistance	107,654	(5) Local Administration	114,347
F. Amount for Section 108 Loan Guar.	0		8,726,851

## AI Action Items

Impediment	Action / Accomplishment	Timeframe
Lack of Affordable Housing	MaineHousing collects and records data on race, ethnicity, familial status and disability status in connection with its federal programs and the low income housing tax credit program.	Ongoing
Lack of affordable housing	MaineHousing annually publishes Maine's "Housing Facts" -- data sheets on rental housing and homeownership affordability by labor market area, county, and statewide. This report is used by local planners, grant writers, and market study analysts.	Annually
Lack of affordable housing Racial, ethnic and cultural barriers	MaineHousing maintains a database that is used to track inquiries and complaints received, including those related to fair housing issues.	Ongoing

Lack of awareness of fair housing laws	MaineHousing’s website includes a fair housing page, which provides information and resources about fair housing and equal access laws. <a href="http://www.mainehousing.org/education/fair-housing-education/fair-housing-mainehousing">http://www.mainehousing.org/education/fair-housing-education/fair-housing-mainehousing</a> . Also MaineHousingSearch.org contains information and resources about fair housing: <a href="http://www.mainehousingsearch.org/Resources.html">http://www.mainehousingsearch.org/Resources.html</a> .	Ongoing
Lack of awareness of fair housing laws	Public forums are conducted annually in several locations throughout the State of Maine during the development of each Five-Year Consolidated Plan and Annual Plan updates. Participation is encouraged through mailings to individuals, website postings, e-mails, and newspaper notices across the state. Forum presentations include information concerning fair housing; examples of barriers to fair housing choice, as well as Maine fair housing complaint data, are provided.	Annually



Racial, ethnic and cultural barriers	MaineHousing’s website includes a general information page translated in the twelve most-spoken languages in the State of Maine, including French, Spanish, Somali, Vietnamese, Serbian, Russian, Arabic, Acholi, Farsi (Persian), Khmer (Cambodian), Chinese and Korean. Update: Linda sent an email to Amanda Ouellette approving the Google translation tool for the website. Jason Dupuy also approved. (3/19)	Ongoing
Lack of understanding of duty to provide reasonable accommodations and modifications	MaineHousing’s comprehensive Communications Resource Guide is available to employees, contractors, agents, and the owners/property managers of projects in our multifamily portfolio. The guide includes information on available auxiliary aids and services, including qualified interpreters, note takers, transcription services, telephone headset amplifiers, assistive listening devices, closed caption decoders, open and closed captioning, qualified readers, audio recordings, Braille materials and large print materials. The guide also includes information on state and national language interpreters and translation services.	Ongoing
Racial, ethnic and cultural barriers	A Fair Housing information and resource notice is included with all housing information provided to	Ongoing

Barriers faced by persons with disabilities	clients. The notice contains fair housing, legal disabilities rights and resources, and LEP and resources and is included by Homeless Initiatives and the Section 8 team as part of their application packages.	
Barriers faced by persons with disabilities	The offices of MaineHousing and its Agents are accessible to persons with disabilities in accordance with all applicable federal and state laws. MaineHousing utilizes Maine Relay 711 for the hearing impaired. MaineHousing's website, <a href="http://www.mainehousing.org">www.mainehousing.org</a> , is accessible to persons with disabilities.	Ongoing
Barriers faced by persons with disabilities	MaineHousing has adopted eHome America (on-line Homebuyer Education) as acceptable pre-purchase education. It is available in both English and Spanish.	Ongoing
Barriers faced by persons with disabilities	MaineHousing developed (with Alpha One) and funds the Home Retro Program, accessibility grant program for low-income single-family households with an occupant with a physical disability.	Ongoing

<p>Barriers faced by persons with disabilities</p>	<p>In collaboration with the Maine Department of Health and Human Services and 211Maine, MaineHousing offers <a href="http://MaineHousingSearch.org">MaineHousingSearch.org</a>, a free online rental listing service for both affordable and market rate properties. The site provides detailed property listings, including information on accessibility and special needs housing. The service is supported by a toll-free, bilingual call center, Monday - Friday, 9 a.m. to 8 p.m. EST.</p>	<p>Ongoing</p>
<p>Fair housing complaints</p>	<p>MaineHousing makes referrals to appropriate fair housing and equal access agencies in the State, including the Maine Human Rights Commission, the Maine Equal Justice Project, the Maine Disability Rights Center, Pine Tree Legal Assistance, the Volunteer Lawyer's Project, Alpha One and Legal Services for the Elderly.</p>	<p>Ongoing</p>
<p>Fair housing complaints</p>	<p>MaineHousing has an internal grievance procedure for applicants and participants to file fair housing complaints about MaineHousing's programs and services. Applicants and participants are not required to utilize the grievance procedure before pursuing a complaint with HUD or the Maine Human Rights Commission.</p>	<p>Ongoing</p>

Lack of affordable housing	MaineHousing supports multi-family housing projects against NIMBY efforts, such as discriminatory actions by municipal planning boards, abutters and neighbors of proposed multi-family projects. MaineHousing maintains funding resources through extracted legal and administrative proceedings and, in some cases, funds a portion of the carrying costs and legal costs associated with such proceedings.	Ongoing
Lack of affordable housing	<p>MaineHousing, as the State's housing finance agency, housing credit agency and participating jurisdiction, has historically, and continues, to provide funding for the development of and preservation of affordable and mixed-income multi-family housing in the State. MaineHousing's programs address barriers to fair housing choice as follows:</p> <ul style="list-style-type: none"> <li>• Require developers to give preference in housing to persons on Section 8 and public housing waiting lists;</li> </ul>	Ongoing

• Remove incentives for locating housing in high-poverty areas, for example, remove economic incentive to develop projects in qualified census tracts by designating entire state as "difficult to develop area," which qualifies all tax credit projects (not just those located in qualified census tracts) for the boost in eligible basis, which in turn, increases amount of credit project is eligible to receive; programs do not require municipal approval for a project other than local zoning approvals

• Incent the development of housing in low-poverty areas through scoring categories such as market rent/affordable rent differentials and incent the development of housing with project-based rental assistance

• Include incentives for the development of family housing

• Include a set-aside and/or preference for housing for persons with special needs, including homeless, persons with disabilities and victims of domestic violence; and

• Require service providers in all multi-family housing to offer services to residents of the housing or refer residents to services, education and other opportunities.

	<ul style="list-style-type: none"> <li>Encourage economic diversity in the state by incenting the development of low-income housing in higher income areas and mixed income housing in qualified census tracts</li> </ul>	
Lack of awareness of fair housing laws	MaineHousing sponsors homeownership education classes that contain information about Fair Housing laws that are relevant to prospective homebuyers. MaineHousing utilizes alternative formats for potential homebuyers whose disability prevents them from attending class.	Ongoing
Barriers faced by persons with disabilities		
Lack of awareness of fair housing laws	All advertising, brochures and program materials include the equal housing slogan or logo and, to the extent feasible, MaineHousing's equal access policy.	Ongoing
Lack of awareness of fair housing laws	MaineHousing displays fair housing posters in areas and offices that are visible to the public.	Ongoing
Lack of awareness of fair housing laws	MaineHousing has a reasonable accommodations policy and procedure for employment as well as for programs and services.	Ongoing
Lack of awareness of fair housing laws	MaineHousing directs consumers to available housing resources and information, including appropriate fair housing and legal assistance agencies.	Ongoing

Lack of awareness of fair housing laws	MaineHousing produces a Rental Housing Guide which provides information on housing resources and information, including fair housing information and contact information for fair housing and legal assistance agencies. The Rental Housing Guide is widely distributed and is also posted on MaineHousing's website.	Ongoing
Lack of awareness of fair housing laws	MaineHousing works directly with various fair housing and legal services agencies, upon request, to mediate and resolve applicant and landlord/tenant issues.	Ongoing
Lack of awareness of fair housing laws	Multifamily housing programs financed or administered by MaineHousing require that owners operate the program in a nondiscriminatory manner, including marketing and outreach efforts to those populations least likely to apply. All MaineHousing project-based Section 8 and HOME properties recipients must adopt and implement an Affirmative Fair Housing Marketing Plan.	Ongoing
Lack of awareness of fair housing laws	MaineHousing program documents and contracts include language requiring subrecipients of MaineHousing funding to adhere to Fair Housing and Civil Rights laws and regulations.	Ongoing

Lack of awareness of fair housing laws	Source of income is a protected class under Maine's fair housing and equal access laws, and MaineHousing assists in enforcement and compliance with this law by requiring all landlords receiving any funding (not just federal funding, but all sources of funding) from MaineHousing to accept assistance under the Programs, and to assist persons denied access to housing and programs by referring them to and working with legal advocacy programs and the Maine Human Rights Commission.	Ongoing
Racial, ethnic & cultural barriers	MaineHousing funds one-on-one financial literacy training for individuals transitioning from homeless shelters to permanent housing and funds ESL financial literacy education for individuals who are not proficient in the English language.	Ongoing
Racial, ethnic, or cultural barriers	MaineHousing actively participates in the annual <i>Festival of Nations</i> , attended by ethnically diverse populations. MaineHousing provides housing information to attendees.	Ongoing



Racial, ethnic, or cultural barriers.	MaineHousing displays an <i>I Speak</i> card in its main lobby to assist persons with limited English proficiency to request language assistance. We also have a contractual relationship with a national language interpreter and translation service to respond promptly. Written translation of documents is also available upon request.	Ongoing
Racial, ethnic, or cultural barriers	Maine's Housing Registry, found on <a href="http://MaineHousingSearch.org">MaineHousingSearch.org</a> is available in 71 different languages.	Ongoing
Racial, ethnic, or cultural barriers.	MaineHousing translated the State and Federal Fair Housing posters in the twelve most-spoken languages in the State of Maine for display in the MaineHousing lobby and on the mainehousing.org website. MaineHousing also provides a variety of Fair Housing brochures translated in several languages in the public lobby.	Ongoing
Lack of awareness of fair housing laws		
Lack of awareness of fair housing laws	All new employees attend employee orientation training. During orientation, employees are given a copy of MaineHousing's Equal Access Handbook, and they sign that they have received it. It is also readily available to all employees on MaineHousing's intranet.	Ongoing

Lack of awareness of fair housing laws	Employees and staff working on behalf of MaineHousing are encouraged to attend local education and training events on the topics of fair housing and equal access. As needed, MaineHousing departments also seek out and bring fair housing training sessions in-house.	See Staff Training Tab
Racial, ethnic and cultural barriers	MaineHousing's ActWell Committee members maintain a Diversity Library where staff can share books, movies, and music CD's with diversity themes.	On-going
Lack of awareness of fair housing laws	MaineHousing's Fair Housing/Equal Access Team is responsible for facilitating fair housing related activities and monitoring MaineHousing's compliance.	Ongoing
Lack of understanding of duty to provide reasonable accommodations & modifications	MaineHousing regularly reviews programs, policies and procedures to ensure continuing equal access.	Ongoing
Lack of awareness of fair housing laws	Fair Housing is Your Right! taught by Patricia Ender, Pine Tree Legal	April 22 & 24, 2015
Lack of awareness of fair housing laws	Training on Legal Issues with Tenants, Pine Tree Legal	4/15/2015
Lack of awareness of fair housing laws	Training on Fair Housing and Reasonable Accommodation	6/18/15 and 6/19/15

Lack of awareness of fair housing laws	Provided training on Fair Housing Issues for Landlords	11/19/2015
Lack of awareness of fair housing laws	Provided Rent-Smart Training to ESG subrecipients	2/25/15-2/26/15
Lack of awareness of fair housing laws	Provided Training for ESG subrecipients, including LGBTQ Issues and Fair Housing	12/4/2015

## Multifamily Monitoring

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-501	9835	\$600,000.00	11/1/2041	9/10/2015	9/10/2015	File review found race and ethnicity forms missing in some tenant files. These were obtained and placed in the file. PPI found two bathroom sinks with missing stoppers. All deficiencies corrected.
M92S-0003-785	1878	\$175,000.00	1/1/2037	4/23/2015	5/6/2015	No file violations. PPI showed peeling paint on the exterior walls, deficiencies in proper operation of fire suppression system. Items corrected.
M93S-0103-807	62	\$122,500.00	3/10/2019	11/24/2015	9/4/2015	No violations found in file review. PPI found one GFCI in unit to be faulty. Item corrected.
M92S-0073-812	49	\$78,375.00	4/1/2019	3/26/2014	7/22/2015	MOR and physical plant off cycle - working to put them back on simultaneous schedule in 2016. No violations noted in file review. Physical plant shows signs of aging with deteriorating roofs, driveway eroding and issues found with building exterior walls (portion of missing vinyl siding). Also has a column holding up awning that needed to be corrected. Management working to correct items.

M93R-0098-827	59	\$65,000.00	4/28/2024	11/25/2015	5/14/2015	PPI noted roof damage due to falling ice. Insurance claim filed and item corrected. Also found fire extinguishers not inspected as often as required under the code. Owner corrected. No violations noted in file review.
M93R-0191-853	139	\$30,000.00	7/15/2024	10/8/2015	7/23/2015	No violations noted in file review. PPI showed signs of deterioration - driveway settling, rotting fence, siding shows wear, stringers for steps wearing, tripping hazards on fire escape, and blocked egress in unit (door lock set too high). AM working with owner to ensure deficiencies get corrected.
MSHA-SHP-855	544	\$40,000.00	2/2/2026	10/22/2015	5/29/2015	No violations noted. Meets FedHOME affordability and physical plant standards.
M92S-0001-874	1903	\$157,000.00	12/15/2024	4/7/2015	12/3/2015	No violations noted. Meets FedHOME affordability and physical plant standards.
MSHA-SHP-892	1962	\$145,000.00	6/18/2026	11/18/2015	9/1/2015	Found to have serious deficiencies in the tenant files (lack of proper documentation to support eligibility) and FedHOME requirements. Due to changes in personnel managing the property. Significant PPI issues found as well. Working closely with the owner to bring this back into compliance. A full review (MOR and PPI) will be completed in 2016 and annually thereafter through the remainder of the affordability period.

M92S-0226-897	210	\$22,200.00	7/31/2019	11/24/2015	9/4/2015	No violations with tenant file review. Minor deficiencies in PPI to include peeling paint on the exterior and on one bedroom ceiling; a detached baluster on stairs outside of building; ductwork for dryer disconnected. Management working to correct deficiencies.
MSHA-SHP-910	310	\$60,000.00	12/12/2026	11/30/2015	8/11/2015	No violations in tenant file review. PPI found one issue with a GFCI not meeting code requirements. Item corrected.
MSHA-SHP-912	355	\$26,286.00	1/1/2026	8/25/2015	7/17/2015	Tenant file showed lack of adequate eligibility documentation in the file and deficiencies with lease being used. Working with management to correct issues. Population being served is very low income. No violations noted with PPI.
MSHA-SHP-922	1987	\$221,750.00	6/11/2026	10/21/2015	8/29/2014	MOR and physical plant off cycle - working to put them back on in 2016. MOR identified issues with tenant files to include lack of proper 3rd party documentation, no lead disclosure form in file and improper tracking of assets. Processes corrected to ensure proper documentation going forward. Did not affect tenant eligibility.
MSHA-NEWL-942	1173	\$41,664.00	1/26/2018	11/24/2015	9/4/2015	No file violations noted. PPI found instances of missing CO detectors (a Maine code requirement).

MSHA-NOFA-954	3042	\$52,196.00	6/25/2018	11/18/2015	9/1/2015	Serious deficiencies noted with both file review and physical plant. Damaged exterior walls, roof deterioration, blocked egress in units in the windows, garbage and debris throughout site, dryer not properly vented to the outside, vinyl flooring missing. Tenant files showed lack of adequate documentation in the files. There has since been a change in management and the staff working closely with MaineHousing to understand and ensure proper implementation of requirements. Tenants do meet affordability requirements (homeless population). A review will be conducted again in 2016.
MSHA-SHP-986	1622	\$100,000.00	5/8/2028	12/1/2015	1/14/2016	Could not get PPI scheduled at end of Dec so went beginning of Jan. No violations noted - meets FedHOME affordability and property standards.
MSHA-SHP-992	1391	\$80,000.00	7/11/2027	12/21/2015	5/22/2015	Tenant file review found issues with improper documentation of eligibility (not concerned that tenants don't meet the requirements but want better support in the files). Still working with management. Report was just issued. No violations with the PPI.

MSHA-CHDO-1008	2002	\$210,000.00	9/27/2018	10/28/2015	7/16/2015	Tenant file review found issues with improper documentation of eligibility (not concerned that tenants don't meet the requirements but want better support in the files). Still working with management. Report was just issued. No violations with the PPI.
MSHA-RLP-1075		\$0.00	3/20/2020	8/18/2015	8/7/2015	Change in management had occurred and small items of deficiency were noted in the file review; none affecting eligibility. All items corrected within the required timeframe.
MSHA-RLP-1136	5945	\$350,000.00	7/1/2034	9/10/2015	9/22/2015	PPI noted issues with blocked egress in a bedroom (tenant installed air conditioner), 2 bathroom sinks missing stoppers and missing cover on exterior electrical receptacle. All deficiencies corrected. Tenant file found one instance where lease was missing from the tenant file and one with a re-certification self-cert missing. Both items corrected. No eligibility concerns.
MSHA-CHDO-1161	4752	\$216,150.00	11/13/2031	12/9/2015	6/29/2015	No violations noted. Meets FedHOME affordability and physical plant standards.



MSHA-SHP-1181	5143	\$224,900.00	12/28/2041	12/16/2015	6/29/2015	Tenant file review found issues with improper documentation of eligibility (not concerned that tenants don't meet the requirements but want better support in the files). Still working with management. Report was just issued. No violations with PPI.
MSHA-SHP-1183	6851	\$437,865.96	6/27/2045	10/22/2015	10/28/2015	Tenant file review noted issue with lease term. Lease term modified to meet HUD requirements. PPI noted improper ductwork for venting of gas dryers. Awaiting correction by management (report just issued).
MSHA-SHP-1185	5970	\$250,000.00	7/24/2043	2013	12/9/2015	Project went through Bankruptcy in 2015. Owner assumed mortgage and covenants. Will review in 2016.
MSHA-CHDO-1186	5128	\$88,000.00	3/31/2016	8/27/2015	8/13/2015	Completed close out review for project. No file violations identified. PPI noted bushes too close to building, stairs needing repair in spots, peeling paint on exterior, broken basement window, roof shingles nearing end of useful life, missing stopper, slow draining sink and inoperable smoke detector. Items cleared.
MSHA-RLP-1187	5129	\$2,076,612.00	4/28/2023	6/18/2015	6/23/2015	PPI found missing stopper in one bathroom sink. Item corrected. No tenant violations noted.

MSHA-COC-1200	5944	\$781,990.00	6/23/2019	10/27/2015	8/22/2014	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1202	5130	\$2,262,670.00	11/25/2032	11/17/2015	12/4/2015	Tenant file review found one instance of tenant being overcharged rent by \$1/mo. Overpayment reimbursed. PPI found no issues.
MSHA-RLP-1224	5474	\$1,551,900.00	3/16/2020	10/20/2015	11/6/2015	No violations noted in tenant file review. PPI found potential tripping hazards on steps to entry of one unit, door oven loose in one unit, failing caulking in windows. All items cleared.
MSHA-RLP-1234	5513	\$399,900.00	8/19/2023	11/5/2015	11/18/2015	Tenant file review one instance where third party verification could not be found in the file. Third party validation collected and in the file. PPI noted one inoperable emergency light. Item corrected.
MSHA-RLP-1257		\$0.00	7/13/2025	6/18/2015	6/25/2015	Minor physical plant deficiencies identified in common areas and in units. One unit infested with bedbugs. All items cleared within required timeframe. No deficiencies found in tenant file review.
MSHA-RLP-1259	5947	\$75,000.00	3/10/2024	9/10/2015	9/24/2015	No tenant file violations - multiple PPI deficiencies noted - loose vinyl siding, holes in walls, tenant caused blocked egress, peeling flooring. Items cleared.

MSHA-RLP-1289	5778	\$2,260,000.00	11/20/2023	8/18/2015	8/12/2015	No tenant file violations noted. PPI showed tripping hazard on walkway, slow drain in bathroom sink (1 unit), deteriorated vinyl floor. Items cleared.
MSHA-RLP-1297		\$0.00	4/10/2023	11/19/2015	11/23/2015	Minor physical plant deficiencies (no H&S items) identified in the common areas. Items corrected within required timeframe. No deficiencies found in the file review.
MSHA-RLP-1298		\$0.00	3/30/2024	5/12/2015	5/27/2015	No concerns noted with tenant file review. PPI found 2 tenant caused blocked egress concerns and one bathroom sink stopper needing to be fixed. Items corrected as required.
MSHA-RLP-1303		\$0.00	7/2/2024	10/1/2015	9/30/2015	Found one instance of overcharge of maximum FedHOME rent. Adjustment made and tenant reimbursed. PPI found potential egress issues with chain locks installed too high and false panel missing in front of vanity in one bathroom. All items corrected.
MSHA-RLP-1304		\$0.00	7/13/2025	6/18/2015	6/25/2015	No violations found in file review. PPI noted peeling paint on the exterior of the building, overgrown vegetation on exterior of building and an expired fire extinguisher in the community room. PPI items corrected.

MSHA-RLP-1309	6467	\$750,000.00	6/16/2035	9/10/2015	9/18/2015	PPI found one unit where walls needed paint, loose tiles in another unit and a unit with stains on the bathroom ceiling. All items corrected. No violations in Tenant file review.
MSHA-RLP-1315	6387	\$396,456.00	1/18/2025	4/22/2015	4/13/2015	Tenant file review found lease addendum needed to be updated to reflect current HUD requirements. Lease Addendum updated. No violations noted on PPI.
MSHA-RLP-1341	6451	\$320,000.00	1/1/2036	9/10/2015	10/5/2015	No tenant file violations noted. PPI found one deteriorated bathroom floor and medicine cabinet and torn screens (in one unit) and damaged walls in another unit. All items repaired.
MSHA-RLP-1351		\$0.00	12/13/2025	9/10/2015	9/14/2015	File review noted deficiencies with lack of FedHOME lease addendum and Improper documentation on student status. Items promptly corrected. PPI found damage to closet door (tenant caused) in one unit. Item was fixed.
MSHA-RLP-1357	6515	\$320,000.00	8/9/2035	8/18/2015	8/12/2015	NO violations of FedHOME requirements noted. All units passed inspection (project based vouchers).
MSHA-RLP-1358	6450	\$1,500,000.00	5/1/2035	5/21/2015	5/28/2015	Tenant file review noted lease addendum needed to be updated to reflect current HUD requirements. Lease addendum updated as required. PPI noted one bathroom sink draining slowly. Item corrected.

MSHA-RLP-1364	6888	\$1,073,544.00	1/20/2036	11/19/2015	11/16/2015	No violations - meets FedHOME affordability and property standards.
MSHA-RLP-1365		\$0.00	3/29/2026	5/21/2015	5/26/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1366		\$0.00	5/3/2026	9/10/2015	9/18/2015	File review identified no follow up actions. Affordability requirements being met. PPI found ductwork being used to vent gas dryers not code compliant. Ductwork updated to meet code.
MSHA-RLP-1367		\$0.00	8/17/2025	9/10/2015	9/23/2015	File review noted one instance of tenant being overcharged on maximum HH rent and a couple files with missing race/ethnicity forms. Tenant rent adjusted and reimbursement for overpayment made. Race ethnicity forms obtained for all household members. Found multiple UPCS violations during PPI including peeling paint, damaged trim, tripping hazards, missing rear entry door sweeps, broken flapper in toilet, wall and ceiling damage in unit, water damage to units (tenant caused), peeling flooring, missing stopper to sink. All PPI deficiencies corrected within required timeframe.

MSHA-RLP-1368		\$0.00	3/22/2027	3/5/2015	3/30/2015	File review found concerns with current leases being used. Leases updated and instituted meeting FedHOME requirements. No physical plant concerns requiring follow up identified.
MSHA-RLP-1370		\$0.00	3/24/2030	6/18/2015	6/18/2015	File review noted no FedHOME violations. PPI identified missing sink stopper, blocked electrical panel, leaking kitchen faucet. Items repaired.
MSHA-RLP-1376	6980	\$600,000.00	6/12/2036	9/10/2015	9/23/2015	No file violations. PPI noted deteriorating trim, broken receptacle, blocked egress with chain locks installed too high. All items cleared.
MSHA-RLP-1377	7503	\$480,000.00	12/20/2036	11/10/2015	9/11/2015	No file violations. PPI noted one instance of carpet bubbling for potential tripping hazard. Item corrected.
MSHA-RLP-1379	6998	\$600,000.00	2/28/2037	9/10/2015	10/5/2015	No violations - meets FedHOME affordability and property standards.
MSHA-RLP-1380	6982	\$400,000.00	7/26/2036	9/10/2015	9/24/2015	PPI found small areas of damage to vinyl siding, sliding screen door not working as intended, improper ductwork for gas dryers. All items corrected. No file violations.

MSHA-RLP-1381		\$0.00	2/9/2026	4/23/2015		File review found a lease addendum conforming to FedHOME requirements did not exist and there was an inadequate Affirmative Fair Housing and Marketing Plan. Lease Addendum signed and in file for all tenants and Affirmative Fair Housing Marketing Plan updated. PPI found damaged seals on exterior doors. Seals replaced.
MSHA-RLP-1382	8015	\$600,000.00	4/22/2038	9/10/2015	9/9/2015	No violations noted in file review. PPI showed areas of peeling paint on the exterior; deteriorating shingles, broken electrical receptacles, bathroom faucet in unit needed repair; gfci needed replacement and stained carpet in a unit. Items corrected.
MSHA-RLP-1383	6983	\$145,000.00	9/1/2036	9/12/2013	10/1/2013	Tax Credit project with 1 FedHOME unit. Reviews have been done consecutively. Review scheduled for 2016 and will ensure correct frequency thereafter.
MSHA-RLP-1395	7949	\$1,200,000.00	4/30/2038	9/10/2015	9/17/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1397	8016	\$600,000.00	5/1/2037	3/5/2015	3/11/2015	No violations noted with tenant file review. PPI identified potential concerns with blocked egress (chain locks set too high); missing smoke detector and deteriorating sidewalks. All items repaired.

MSHA-RLP-1398	7842	\$2,830,309.00	11/20/2037	11/18/2015	11/19/2015	PPI identified issue with venting of gas dryers and clogged bathroom sink. Items corrected. No violations noted in the file review.
MSHA-SHP-1416	7616	\$200,000.00	7/13/2021	11/10/2015	11/4/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1417		\$0.00	11/16/2026	10/1/2015	10/26/2015	File review one instance where tenant was overcharged maximum LH rent. Rent adjusted and tenant reimbursed. PPI noted one instance of a missing CO detector. Item installed.
MSHA-RLP-1424	8212	\$600,000.00	4/3/2038	11/19/2015	11/23/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1427	8147	\$364,000.00	9/17/2038	11/5/2015	11/5/2015	Tenant file review found no violations. PPI found one bathroom wash basin draining slowly. Items promptly corrected.
MSHA-RLP-1428	8520	\$520,000.00	12/18/2027	4/22/2015	4/13/2015	No violations noted in tenant file review. PPI found one faulty GFCI which was replaced.
MSHA-RLP-1429	7948	\$560,000.00	1/16/2038	5/21/2015	5/28/2015	No violations noted - meets fedhome affordability and property standards



MSHA-RLP-1430	8072	\$590,312.00	8/1/2038	9/10/2015	9/23/2015	Tenant file review showed rent amount exceeding HOME limits. Refund issued to tenant and correction to rent amount made. PPI showed faulty GFCI and potential tripping hazard with carpet that was folding up. Items corrected.
MSHA-RLP-1436	8220	\$76,310.00	10/2/2038	9/10/2015	9/24/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1450	8269	\$280,000.00	10/23/2038	5/21/2015	5/28/2015	PPI found tenant caused h&s items (flammable items stored in oven) and slow draining bathroom sink. Items corrected. File review found lease needed to be modified to include language on what constitutes low income family. Item corrected/lease meets requirements.
MSHA-RLP-1462	9569	\$900,000.00	6/1/2040	1/21/2015	12/11/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1471		\$0.00	3/25/2030	8/18/2015	9/3/2015	No violations noted in the file review. PPI showed improper ductwork being used to vent gas dryers. Item corrected.
MSHA-RLP-1472	9904	\$119,829.00	11/23/2051	4/22/2015	4/8/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1487	9817	\$132,174.00	1/14/2041	10/1/2015	10/7/2015	No violations noted with file review. PPI found one instance of issue with loose electrical receptacle in

						a unit. Item corrected.
MSHA-RLP-1489	9854	\$600,000.00	8/18/2041	8/18/2015	9/28/2015	No violations - Property met FedHOME affordability and property standards.
MSHA-RLP-1495		\$0.00	5/10/2032	9/10/2015	9/1/2015	No violations - meets FedHOME affordability and property standards.
MSHA-RLP-1511		\$0.00	5/16/2032	4/22/2015	4/21/2015	File review noted 2 files with missing lease addendum and another 2 files with incorrect lease addendum language. Items corrected. PPI showed improper ductwork being used for gas dryers. Proper ductwork installed.
MSHA-RLP-1519	9910	\$702,825.00	3/22/2043	4/22/2015	1/29/2015	No violations noted with file review. PPI showed improper ductwork being used with gas dryer in laundry room and peeling paint in bathroom of one unit. All items corrected and cleared.
MSHA-RLP-1521	9874	\$915,901.00	9/28/2041	4/22/2015	4/8/2015	PPI showed seals in atrium door in one unit had failed. Item corrected. Tenant file review found that files did not contain the proper FedHOME lease addendum. Lease addendum was s was obtained on 7/23/2015.

MSHA-RLP-1522	9991	\$925,000.00	3/28/2043	9/10/2015	9/17/2015	Tenant file review found one instance of tenant being charged above maximum FedHOME rent. Tenant was refunded overpayment. PPI identified issue with hearing impaired alarm system not working as intended. Item fixed.
MSHA-RLP-1547	10053	\$535,345.00	3/21/2043	5/21/2015	5/15/2015	No violations noted in the tenant file review. PPI found issue with ductwork being used with gas dryer (needs to be rigid instead of flexible). Item corrected.
MSHA-RLP-1585	10064	\$416,215.00	3/19/2044	9/10/2015	9/30/2015	PPI found one instance of branches touching building and one bathroom basin stopper not working as intended. Items cleared immediately. No violations noted in tenant file review.
MSHA-RLP-1251h	6932	\$250,000.00	2/3/2025	7/22/2015	12/9/2015	No violations noted - meets fedhome affordability and property standards
MSHA-RLP-1294h	5958	\$1,100,660.00	12/1/2021	6/15/2015	6/15/2015	Project based assistance in all units. No violations noted in file review. Multiple deficiencies noted in the PPI - deteriorating walkways, roofs, doors locks set too high (potential for blocked egress in emergency), flammable materials near baseboard heater/on stove top in unit, blocked electrical panel, multiple tripping hazards in units, inoperable GGCI and smoke detector. Items cleared. Unit inspected annually under the HAP.

MSHA-COC-1390h	9980	\$133,919.90	4/30/2027		Ownership transfer in 2015 when review was to be completed. Scheduled to be reviewed in 2016 in order to give adequate time for new management to assume role. Last review was in 2014.
----------------	------	--------------	-----------	--	---

## CR 65 Persons Assisted with ESG



ESG-CAPER-Reporting-Tool-and-eCart-Gui

The ESG data in the 2015 CAPER does not include individuals\households served in 7 Domestic Violence Shelters. MaineHousing is working with HUD and the shelters to resolve issues related to exporting data from their comparable databases. HUD advised MaineHousing to submit the CAPER without the domestic violence data. Once those issues have been resolved, the data will be submitted to HUD.

## Section 3 Reports

# MAINE STATE HOUSING AUTHORITY

Fiscal Year: 10/01/2014 through 09/30/2015 Program Code/Name: CON -COC NEW PROJECTS ( \$71,816.38)

## Address

353 WATER STREET, AUGUSTA, MAINE 4330

## Contact Details

Contact Person: Paula Weber Phone Number: (207) 626-4619

Fax Number: (207) 624-0855 Email Address: pweber@mainehousing.org

Submission Date: Tue, Mar 15, 2016

## Agency Hires

Job Category	Number Of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
--------------	------------------------	--	--	---	---------------------------------

## Contracting Details

Construction Amount:

Construction Amount Section 3:

Construction Section 3 Percentage:

Construction Businesses:

Non-Construction Amount: \$431,110

Non-Construction Amount Section 3:

Non-Construction Section 3 Percentage:

Non-Construction Businesses:

## Compliance Details

Recruited Low Income residents: No

Training Or Employment Of Section 3 Residents: No

Promoting Section 3 Business: No

Pre-Apprenticeship Programs: No

Other efforts for achieving compliance: Yes

## Other Efforts Explanation:

The HMIS grant does not create economic opportunities

# MAINE STATE HOUSING AUTHORITY

Fiscal Year: 10/01/2014 through 09/30/2015 Program Code/Name: HMC -HOME INVESTMENT CPD ( \$2,363,394.76)

## Address

353 WATER STREET, AUGUSTA, MAINE 4330

## Contact Details

Contact Person: Paula Weber Phone Number: (207) 626-4619

Fax Number: (207) 624-0855 Email Address: pweber@mainehousing.org

Submission Date: Tue, Mar 15, 2016

## Agency Hires

Job Category	Number Of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
--------------	------------------------	--	--	---	---------------------------------

## Contracting Details

Construction Amount: \$0

Construction Amount Section 3:

Construction Section 3 Percentage:

Construction Businesses:

Non-Construction Amount: \$0

Non-Construction Amount Section 3:

Non-Construction Section 3 Percentage:

Non-Construction Businesses:

## Compliance Details

Recruited Low Income residents: No

Training Or Employment Of Section 3 Residents: No

Promoting Section 3 Business: No

Pre-Apprenticeship Programs: No

Other efforts for achieving compliance: Yes

## Other Efforts Explanation:

Housing developers were required to conduct outreach activities. No data was reported. Also, HOME funds are used for Tenant Based Rental Assistance, utility cost and security deposits. No jobs are created by this use of funds.



# MAINE STATE HOUSING AUTHORITY

Fiscal Year: 10/01/2014 through 09/30/2015 Program Code/Name: HMF -HOME INVESTMENT PRG ( \$300,216.7)

## Address

353 WATER STREET, AUGUSTA, MAINE 4330

## Contact Details

Contact Person: Paula Weber Phone Number: (207) 626-4619

Fax Number: (207) 624-0855 Email Address: pweber@mainehousing.org

Submission Date: Mon, Mar 14, 2016

## Agency Hires

Job Category	Number Of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
--------------	------------------------	--	--	---	---------------------------------

## Contracting Details

Construction Amount: \$0

Construction Amount Section 3:

Construction Section 3 Percentage:

Construction Businesses:

Non-Construction Amount: \$0

Non-Construction Amount Section 3:

Non-Construction Section 3 Percentage:

Non-Construction Businesses:

## Compliance Details

Recruited Low Income residents: No

Training Or Employment Of Section 3 Residents: No

Promoting Section 3 Business: No

Pre-Apprenticeship Programs: No

Other efforts for achieving compliance: Yes

## Other Efforts Explanation:

Housing developers were required to conduct outreach activities. No data was reported. Additionally HOME funds are used for Tenant Based Rental Assistance and security deposit. No jobs are created by this program.

# MAINE STATE HOUSING AUTHORITY

Fiscal Year: 10/01/2014 through 09/30/2015 Program Code/Name: LHB -LEAD HAZARD REDUC GR ( \$1,081,502)

## Address

353 WATER STREET, AUGUSTA, MAINE 4330

## Contact Details

Contact Person: Paula Weber Phone Number: (207) 626-4619

Fax Number: (207) 624-0855 Email Address: pweber@mainehousing.org

Submission Date: Tue, Mar 15, 2016

## Agency Hires

Job Category	Number Of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
--------------	------------------------	--	--	---	---------------------------------

## Contracting Details

Construction Amount:

Construction Amount Section 3:

Construction Section 3 Percentage:

Construction Businesses:

Non-Construction Amount:

Non-Construction Amount Section 3:

Non-Construction Section 3 Percentage:

Non-Construction Businesses:

## Compliance Details

Recruited Low Income residents: No

Training Or Employment Of Section 3 Residents: No

Promoting Section 3 Business: No

Pre-Apprenticeship Programs: No

Other efforts for achieving compliance: Yes

## Other Efforts Explanation:

No contracts were awarded in excess of \$100,000

# MAINE STATE HOUSING AUTHORITY

Fiscal Year: 10/01/2014 through 09/30/2015 Program Code/Name: SOG -EMERG SOLUTION GRANT ( \$1,524,654.44)

## Address

353 WATER STREET, AUGUSTA, MAINE 4330

## Contact Details

Contact Person: Paula Weber Phone Number: (207) 626-4619

Fax Number: (207) 624-0855 Email Address: pweber@mainehousing.org

Submission Date: Mon, Mar 14, 2016

## Agency Hires

Job Category	Number Of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
--------------	------------------------	--	--	---	---------------------------------

## Contracting Details

Construction Amount: \$0

Construction Amount Section 3:

Construction Section 3 Percentage:

Construction Businesses:

Non-Construction Amount: \$4,579,400

Non-Construction Amount Section 3:

Non-Construction Section 3 Percentage:

Non-Construction Businesses: 0

## Compliance Details

Recruited Low Income residents: No

Training Or Employment Of Section 3 Residents: No

Promoting Section 3 Business: No

Pre-Apprenticeship Programs: No

Other efforts for achieving compliance: Yes

## Other Efforts Explanation:

No ESG Programs engaged in construction, ESG is used for shelter operations and rapid rehousing.