

# Consolidated Annual Performance and Evaluation Report

---

State of Maine

Plan Year 2016

Prepared by

Maine State Housing Authority

Maine Department of Economic and Community Development

March 2017

CAPER

1

*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).....	14
CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c) .....	16
CR-30 - Public Housing 91.220(h); 91.320(j) .....	19
CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j) .....	21
CR-40 - Monitoring 91.220 and 91.230.....	24
CR-45 - CDBG 91.520(c).....	26
CR-50 - HOME 91.520(d).....	27
CR-60 - ESG 91.520(g) (ESG Recipients only).....	28
CR-65 - Persons Assisted .....	38
CR-70 – ESG 91.520(g) - Assistance Provided and Outcomes .....	41
CR-75 – Expenditures .....	43
Attachments.....	45
PR 28.....	46
2016 AI Results.....	50
Multifamily Monitoring .....	72
2016 ESG eCart .....	79
Section 3 Reports .....	80

## **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 the implementation of Maine's Consolidated Plan during 2016. 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 1/1/2016 to 12/31/2016. Objectives and expected outcomes for CDBG, HOME and ESG have been identified through the Consolidated Plan process. The Annual Action Plan addresses how objectives are to be met each year.

During 2016 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 2016 MaineHousing assisted more than 975 First Time Home Buyers, 6,600 Renters, 540 Homeowners (not including over 32,000 helped with Energy Assistance) and more than 6,300 Homeless households. MaineHousing used funds to complete twenty-one multifamily projects, for a total of 752 units (392 for families and 360 for seniors). In 2016 HOME funds were allocated to four projects that have been granted notice to proceed (80 family units and 105 units for seniors).

While production results have sometimes exceeded or fallen short of stated goals, significant progress has been made to address the Consolidated Plan priorities and objectives. Both rental units rehabilitated (165% of 2016 goal) and use of tenant-based rental assistance (120% of 2016 goal) exceeded the 2016 goals.

This report covers the second year in the five year (2015-2019) Consolidated 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: \$	Facade treatment/business building rehabilitation	Business	100	22	22.00%			
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Jobs created/retained	Jobs	600	230	38.33%	132	150	113.64%
Improve Economic Opportunity	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	100	264	264.00%	50	230	460.00%
Improve Public Infrastructure	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	5000	22697	453.94%	1000	2649	264.90%
Improve the Quality of Existing Housing	Affordable Housing	CDBG: \$	Rental units rehabilitated	Household Housing Unit	60	102	170.00%			
Improve the Quality of Existing Housing	Affordable Housing	CDBG: \$	Homeowner Housing Rehabilitated	Household Housing Unit	800	644	80.50%	300	239	79.67%

Increase the Quality and Supply of Rental Housing	Affordable Housing	CDBG: \$ / HOME: \$ / ESG: \$ / Housing Trust Fund: \$ / Other: \$	Rental units constructed	Household Housing Unit	593	140	23.61%	128	0	0.00%
Increase the Quality and Supply of Rental Housing	Affordable Housing	CDBG: \$ / HOME: \$ / ESG: \$ / Housing Trust Fund: \$ / Other: \$	Rental units rehabilitated	Household Housing Unit	592	278	46.96%	112	185	165.18%
Increase Use of Rapid Re-Housing	Homeless	HOME: \$ / ESG: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	2000	705	35.25%	150	181	120.67%
Support Emergency Shelter Operations & Services	Homeless	ESG: \$	Homeless Person Overnight Shelter	Persons Assisted	38825	13267	34.17%	7933	6247	78.75%

**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 State of Maine CDBG program identified the highest priorities as Housing, Economic Development, and Public Infrastructure. For the program year 2016 over 90% of the funding went to those three areas.

One example of MaineHousing's success in meeting goals is the increased the use of Rapid Re-Housing. This goal is being met with the help of navigators, funded through ESG. The navigators are a relocation and stabilization resource and have access to rapid re-housing rental subsidies through the Stability Through Engagement Program (STEP) and Housing Choice Vouchers (HCV). STEP (funded with HOME) is available to households experiencing homelessness. STEP can provide rental assistance for up to two years. Navigators follow the households after housing placement to ensure housing stability is maintained, and that appropriate referrals are in place. This, in coordination with the multiple system level changes in Maine, has resulted in continued progress toward the rapid re-housing of homeless families and individuals in 2016.

## 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	2,213	291	4,302
Black or African American	42	27	1,042
Asian	42	0	28
American Indian or American Native	0	5	59
Native Hawaiian or Other Pacific Islander	0	2	19
<b>Total</b>	<b>2,297</b>	<b>325</b>	<b>5,450</b>
Hispanic	24	8	182
Not Hispanic	2,273	312	5,503

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. This racial and ethnic data is only from HOME activities completed in 2016; many other individuals and families were assisted with HOME in 2016. Additionally persons identifying as multi-racial are not included in the data above.

According to the IDIS Report **HOME Summary of Accomplishments for FY 2016**, 11% 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 does not include individuals with multiple races, and individuals assisted by ESG that did not provide race and ethnicity information.

The above table reflects the Housing priority for the CDBG program. The Public Infrastructure and Economic Development priorities also capture racial and ethnic data, and 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		43,157,408	8,832,372
HOME		9,459,168	5,789,836
ESG		3,968,229	1,438,303
Other	Housing Trust Fund	3,000,000	0
Other	Other		0

Table 3 - Resources Made Available

### Narrative

Funding that HUD provided to Maine for 2016 CDBG, HOME and ESG programs is shown above. Note that amounts may include funds from previous allocations.

For FY 2016, MaineHousing allocated a total of \$6,599,485 for the Operations, Stabilization, and Performance Shares of ESHAP. These funds assisted 40 homeless shelter programs which served 6,304 individuals and families who were homeless.

The combination of ESG, Maine Real Estate Transfer Tax fees, and State General funds were used to support homeless shelter providers with shelter operating expenses, relocation, and stabilization services. The Operations Share was funded with \$614,848 of ESG funds and \$2,027,599 of State General funds; the Stabilization Share was funded with \$823,455 of ESG, \$1,084,933 of Maine Real Estate Transfer Tax, and \$733,583 of State General funds; and the Performance Share was funded with \$1315,067 of State General funds.

### 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

### Narrative

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

In 2016 MaineHousing completed HOME Rental housing in three Maine counties. ESG funds assisted shelters in twelve Maine counties.

## 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 2016, MaineHousing utilized approximately \$4.9 million of State of Maine funds for match.

HOME funds are matched with State of Maine Department of Health and Human Services funding for services used by STEP clients as well as the present value of interest subsidy for below market rate loans. In the past, major sources of matching funds have also included foregone taxes and fees and State HOME funds invested in multifamily and home repair activities. Also, ESHAP 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 CDBG program requires a minimum 1/1 match in the Business Assistance Program and a minimum 25% in Public Infrastructure.

<b>Fiscal Year Summary – HOME Match</b>	
1. Excess match from prior Federal fiscal year	40,943,767
2. Match contributed during current Federal fiscal year	3,380,639
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	44,324,406
4. Match liability for current Federal fiscal year	720,130
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	43,604,276

**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
2016.01.NON	09/23/2016	1,484,073	0	0	0	0	0	1,484,073
2016.02.NON	09/30/2016	1,896,566	0	0	0	0	0	1,896,566

Table 6 – Match Contribution for the Federal Fiscal Year

### HOME MBE/WBE report

Program Income – Enter the program amounts for the reporting period				
Balance on hand at begin-ning of reporting period \$	Amount received during reporting period \$	Total amount expended during reporting period \$	Amount expended for TBRA \$	Balance on hand at end of reporting period \$
7,586	227,864	234,601	58,486	849

Table 7 – Program Income

<b>Minority Business Enterprises and Women Business Enterprises</b> – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period						
	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	8,733,177	0	0	0	0	8,733,177
Number	4	0	0	0	0	4
<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	8,773,177	0	8,773,177			
Number	4	0	4			
<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</b> – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	4	0	0	0	0	4
Dollar Amount	3,945,182	0	0	0	0	3,945,182

**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	
Number	0	0	0	0	0
Cost	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	161	131
Number of Non-Homeless households to be provided affordable housing units	229	185
Number of Special-Needs households to be provided affordable housing units	0	0
<b>Total</b>	<b>390</b>	<b>316</b>

Table 11 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	150	131
Number of households supported through The Production of New Units	128	0
Number of households supported through Rehab of Existing Units	112	187
Number of households supported through Acquisition of Existing Units	0	0
<b>Total</b>	<b>390</b>	<b>318</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 2016 Annual Action plan. 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. The data above is only from HOME activities completed in 2016; many other individuals and families were assisted with HOME in 2016.

In 2016 MaineHousing exceeded the goal for rehab of existing units but did not meet the goal for producing new units. It is difficult to predict the exact breakdown of new units vs rehabbed units in multifamily housing production in a given year due to the application process. This variance may well be resolved in future years. Note that in 2016 HOME funds have been allocated to four projects that have been granted notice to proceed (Three of these projects will produce a total of 146 new units; the fourth project will include both rehab and new units). Data from these activities will be reported when they are completed.

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

Outcomes for activities in 2016 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	149	255
Low-income	83	37
Moderate-income	31	1
<b>Total</b>	<b>263</b>	<b>293</b>

Table 13 – Number of Persons Served

**Narrative Information**

According to the IDIS Report **HOME Summary of Accomplishments for FY 2016**, more than 99% of beneficiaries of MaineHousing HOME-assisted programs in 2016 had incomes at or below 60% of HUD median income, with the greatest number at or below 30% of area median income.

Maine is assisting extremely low-income, low-income and moderate income persons and progress is being made towards the goals identified in both the 2016 Annual Action Plan and the Consolidated Plan. Both rental units rehabilitated (165% of 2016 goal) and use of tenant-based rental assistance (120% of 2016 goal) exceeded the 2016 goals.

## **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 Maine CoC's outreach plan is primarily conducted through the Department of Health and Human Services (DHHS) Projects for Assistance in Transition from Homelessness (PATH) grantees. PATH Navigators reach out statewide to youth and adults who are homeless and at risk, including individuals at risk of homelessness currently residing in jails and hospitals. The goal of these outreach efforts is to engage individuals who are homeless, assess their immediate needs and health care concerns, determine their eligibility for MaineCare and other services, and transition them to a community provider for ongoing assistance. PATH Navigators identify those who are homeless and those at-risk, through local law enforcement, 211, General Assistance offices, faith-based organizations, libraries, and other not-for-profits, such as community action agencies.

Maine also has three Supportive Services for Veteran Families (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 unsheltered homeless Veterans to obtain housing and by-pass the shelters.

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

Maine addresses both emergency shelter and transitional housing needs of persons who are homeless through the direction of Maine's two Continuums of Care (CoC) - the MCoC (Maine Balance of State) and the PCoC (Portland). Each region has a priority to provide shelter and supportive services for individuals and families who are homeless. ESG funds were provided to shelters in both CoC regions to pay for the operating costs and for housing relocation and stabilization 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 is used for transitional housing (TH) and Permanent Housing (PSH) including Shelter Plus Care. 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. As a result, both CoC's are focusing more on TH programs for specific sub-populations such as Youth, Victims of Domestic Violence, Veterans, and those experiencing co-occurring disorders.



**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**

The prevention efforts on behalf of Maine publicly-funded institutions remain as outlined in the 2015 – 2019 Consolidated Plan. Maine expects that as the coordinated entry system for the state is implemented, the resources available upon exit of all of these institutions will become clearer and more accessible to those in need.

**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**

The ESHAP program uses a two-tier system to prioritize homeless household access to scarce housing resources. Households that are in ESHAP-funded shelters are given an initial assessment, including the Vulnerability Index and Service Prioritization Decision Assistance Tool (VI-SPDAT), within the first 30 days of their shelter stay. This score and the Maine CoC prioritization chart, which prioritizes length of time homeless, guide the Navigator's assessment of which shelter stayer should receive the appropriate resources. The rapid re-housing principals which are integral to the ESHAP program are coupled with this prioritization of the longest term stayer.

The ESHAP Performance Share offers providers a financial incentive to focus efforts on helping stayers achieve permanent housing and to ensure that they remain in permanent housing. The table below illustrates the minimum benchmarks shelters must meet to receive this funding.

The HUD System Performance Measure report for 2016 shows the length of time persons remain homeless (Metric 1) in emergency shelters to be 68.5 days across all shelter subpopulations. The report also shows exits to permanent housing with returns to homelessness (Metric 2) to be 42% and 14% returns to homelessness in less than 6 months.

Performance Measures	Low Barrier Shelter Benchmark	Single Adult Shelter Benchmark	Family Shelter Benchmark	Teen Shelter Benchmark	Domestic Violence Shelter Benchmark
1. Percentage of clients exiting to permanent housing.	<b>5% or greater</b>	<b>30% or greater</b>	<b>30% or greater</b>	<b>5% or greater</b>	<b>30% or greater</b>
2. Percentage of clients who return to homelessness within 6 months of exiting to permanent housing.	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>

**Minimum Shelter Benchmarks**

## **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 2016 MaineHousing worked collaboratively with the PHA's in Maine as follows:

- Participated in 'Occupancy meetings' which included staff representatives of PHAs statewide. These meetings included discussions of best practices, new regulation implementation and often contain a training component.
- Collaborated with PHAs statewide in the implementation of the new Portability regulations. This regulation provides for tenant choice when moving to jurisdiction shared by two or more PHAs.
- Made improvements to our Family Self-Sufficiency (FSS) program that included the initiation of a webpage containing a financial education program and other resources available to all FSS participants in the state, as well as including a listing of contact information for all FSS programs statewide. Our FSS staff has taken the lead in developing a statewide participant and program evaluation model to assess program effectiveness. We are also collaborating with Portland Housing Authority on a new National FSS Network to identify best practice for the program through a partnership with Compass Working Capital.
- Was instrumental in the passing of a state law that requires all PHAs to participate in a statewide centralized waiting list for the Housing Choice Voucher program. We are in the progress of ensuring that our program, along with all the other programs, will be on board by the end of 2017.
- Completed the development of a new Case Management Model to improve tenant outcomes. Portland, Augusta, and Bath PHA staff participated in this project and MaineHousing staff will be offering training on the model to interested PHAs.
- Collaborated with other PHAs in hosting statewide HCV Inspector Forums/training.
- Offered landlord educational outreach session with Biddeford Housing Authority.

MaineHousing has two financing programs specifically for Public Housing Authorities:

- The PHA Permanent Financing Demonstration Program can provide permanent financing in an initial amount of up to \$1,500,000 to be used for housing development related costs, including acquisition and rehabilitation costs.
- The PHA Short Term Financial Demonstration Program can provide flexible, short term capital in an initial amount up to \$1,500,000 to be used for housing development related costs, including acquisition and rehabilitation costs.

**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 down payment assistance are available to first-time homebuyers that meet income requirements.

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

There are no troubled PHAs in Maine.

## **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)**

The Annual Action Plan states that MaineHousing and the Department of Economic and Community Development will continue to encourage qualified applicants to apply for CDBG, HOME, and ESG funds. Additionally the agencies monitor public policy with particular interest in issues related to affordable housing and community development.

### **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 2016 seventy-one percent of all households assisted with HOME were in the lowest income category (30% of area median income or less).

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

In 2016, MaineHousing's Lead Hazard Control Program abated 13 units at an average cost of \$10,545. This was a decrease from 2015 is due to the fact that the three-year grant cycle came to an end. A new three-year Lead Hazard Reduction Demonstration Grant was awarded to MaineHousing that will start in early 2017.

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

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 2016, MaineHousing worked with the Community Action Agencies to weatherize 470 homes, improve the heating systems for 1,211 households, and to provide Low Income Home Energy Assistance to 32,234 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 2016 MaineHousing worked with the Continuums of Care to implement programs to serve persons who are homeless. MaineHousing also worked with 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 2016 MaineHousing worked collaboratively with the PHA's in Maine by:

- 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.

MaineHousing continues to work closely with the Maine Community Action Agencies (CAAs) to deliver services for LIHEAP, Weatherization, Home Repair, Lead Abatement, and drought relief. Efforts to coordinate these efforts and to deliver services to Maine residents are executed through regular meetings with the CAAs. Coordination is also conducted through regular email communications and web-based trainings.

MaineHousing also closely partners with AlphaOne, a non-profit organization which advocates for and provides services for Maine residents with disabilities. Through the Home Retro Program, MaineHousing provides funding to AlphaOne to retrofit the homes of clients needing accessible accommodations for their homes.

**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 Analysis is available on the MaineHousing website.

See the attached list of actions taken in 2016 to address impediments identified in the 2015 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). As outlined in the 2013 Final HOME Rule, in 2016 MaineHousing implemented a risk-based model which adjusted the frequency intervals for inspections. On-site inspections consist of both tenant file reviews and physical plant inspections of 20% of HOME-assisted units, although the two may not happen simultaneously. In some cases, the file review and inspection may occur in offsetting years to allow for broader coverage – this is especially true in those cases where there is no other financing in the property. 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 MaineHousing 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 validation that the targeted population continues to be served in the property and that rents fall within allowable limits.

In 2016 MaineHousing redesigned the monitoring process and tools for the Emergency Shelter and Housing Assistance Program (ESHAP). HUD TA worked directly with MaineHousing to review the monitoring tools for this ESG program. This review included:

- current policies and procedures for both Program and Financial management,
- developing comprehensive ESG Written Standards for sub recipients,
- increasing efficiencies with monitoring tools and process, and
- updating financial and program management processes to reflect the changes in the program model.

MaineHousing has developed a comprehensive monitoring tool that covers all aspects of ESG monitoring. MaineHousing also implemented an annual risk analysis to determine which shelters require on-site monitoring and which can receive desk audits. The first year utilizing this new tool (2017) will require MaineHousing staff to provide a comprehensive on-site monitoring of all sub recipients.



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 2016 CAPER was available for public comment for 15 days beginning March 6th, 2017. The 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 to gather comments on the CAPER occurred on March 9, 2017 at the Maine State Housing Authority office. Public comments were invited through March 24, 2017.

Notice of the comment period and public hearing was provided through posting on the MaineHousing and DECD websites and via email to individuals and organizations. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, nonprofit organizations, providers of housing and services to the homeless, and individuals. The public hearing notices encouraged participation by persons with disabilities.

A language translator is available on the MaineHousing website.

No comments were received.

**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 in the state's program objectives.

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

**[BEDI grantees] Describe accomplishments and program outcomes during the last year.**

## **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 the attached summary of projects monitored in 2016.

### **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 is 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 ethnic and religious population that resides 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 2016 Program Income was applied to 5 HOME activities (1 Home Repair, 2 Multifamily and 2 TBRA). In 2016 Program Income totaling \$58,486 was used for the STEP (TBRA) program. It is not possible to determine which STEP landlords and tenants benefited from program income. This information is available on the IDIS Program Income Detail Report.

### **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	Maine Balance of State CoC

**ESG Contact Name**

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

**ESG Contact Address**

Street Address 1	353 Water Street
Street Address 2	0
City	Augusta
State	ME
ZIP Code	04330-4633
Phone Number	2076264600
Extension	4619
Fax Number	2076464678
Email Address	pweber@mainehousing.org

**ESG Secondary Contact**

Prefix
First Name
Last Name
Suffix
Title
Phone Number
Extension
Email Address

## 2. Reporting Period—All Recipients Complete

**Program Year Start Date** 01/01/2016  
**Program Year End Date** 12/31/2016

### 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:** 49078.14

**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:** 29388.91

**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:** 15250.57

**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:** 19538.89

**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:** 2386.68

**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:** 14923.68

**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:** 12224.55

**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:** 31430.72

**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:** 14316.21

**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:** 20419.75

**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:** 20620.83

**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:** 40954.62

**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:** 33208.23

**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:** 17367.89

**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:** 4605.12



**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:** 86652.12

**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:** 32267.89

**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:** 14086.97

**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:** 20814.28

**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:** 12949.65

**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:** 367.97

**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:** 2899.34

**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:** 19946.83

**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:** 15838.33

**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:** 14023.02

**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:** 20438.31

**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:** 21177.56

**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:** 2052.27

**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:** 126749.94

**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:** 215884.48

**Subrecipient or Contractor Name:** Knox County HHomeless 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:** 32572.58

**Subrecipient or Contractor Name:** Western Maine Homeless Outreach

**City:** Farmington

**State:** ME

**Zip Code:** 04938, 0830

**DUNS Number:** 463669071

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

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

**ESG Subgrant or Contract Award Amount:** 8089.94

**Subrecipient or Contractor Name:** Rumford Group Homes Inc. Strathglass (Annex)

**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:** 3838.86

**Subrecipient or Contractor Name:** Rumford Group Homes, Inc.: Rumford Family

**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:** 3553.87

**CR-65 - Persons Assisted**

**NOTE: The CR-65 Persons Assisted section has been replaced by the eCart ESG CAPER Annual Reporting Tool. The State of Maine eCart report is attached to this CAPER.**

**4. Persons Served**

**4a. Complete for Homelessness Prevention Activities**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 14 – Household Information for Homeless Prevention Activities**

**4b. Complete for Rapid Re-Housing Activities**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 15 – Household Information for Rapid Re-Housing Activities**

**4c. Complete for Shelter**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 16 – Shelter Information**

**4d. Street Outreach**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 17 – Household Information for Street Outreach**

**4e. Totals for all Persons Served with ESG**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	
Children	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 18 – Household Information for Persons Served with ESG**

**5. Gender—Complete for All Activities**

	<b>Total</b>
Male	
Female	
Transgender	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 19 – Gender Information**

**6. Age—Complete for All Activities**

	<b>Total</b>
Under 18	
18-24	
25 and over	
Don't Know/Refused/Other	
Missing Information	
<b>Total</b>	

**Table 20 – Age Information**

**7. Special Populations Served—Complete for All Activities**

**Number of Persons in Households**

<b>Subpopulation</b>	<b>Total</b>	<b>Total Persons Served – Prevention</b>	<b>Total Persons Served – RRH</b>	<b>Total Persons Served in Emergency Shelters</b>
Veterans				
Victims of Domestic Violence				
Elderly				
HIV/AIDS				
Chronically Homeless				
<b>Persons with Disabilities:</b>				
Severely Mentally Ill				
Chronic Substance Abuse				
Other Disability				
Total (unduplicated if possible)				

**Table 21 – Special Population Served**



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

### 10. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	404,420
Total Number of bed-nights provided	327,346
Capacity Utilization	80.94%

Table 22 – Shelter Capacity

### 11. 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 receive funding based on program outcomes and benchmarks, including additional state funding depending on their ability to meet performance benchmarks. The ESHAP program uses a two-tier system to prioritize homeless household access to scarce housing resources. Households that are in ESHAP-funded shelters are given an initial assessment, including the Vulnerability Index and Service Prioritization Decision Assistance Tool (VI-SPDAT), within the first 30 days of their shelter stay. This score and the Maine CoC prioritization chart, which prioritizes length of time homeless, guide the Navigator’s assessment of which shelter stayer should receive the appropriate resources. The rapid re-housing principals which are integral to the ESHAP program are coupled with this prioritization of the longest term stayer.

The ESHAP Performance Share offers providers a financial incentive to focus efforts on helping stayers achieve permanent housing and to ensure that they remain in permanent housing. The table below illustrates the minimum benchmarks shelters must meet to receive this funding.

The HUD System Performance Measure report for 2016 shows the length of time persons remain homeless (Metric 1) in emergency shelters to be 68.5 days across all shelter subpopulations. The report also shows exits to permanent housing with returns to homelessness (Metric 2) to be 42% and 14% returns to homelessness in less than 6 months.

Performance Measures	Low Barrier Shelter Benchmark	Single Adult Shelter Benchmark	Family Shelter Benchmark	Teen Shelter Benchmark	Domestic Violence Shelter Benchmark
1. Percentage of clients exiting to permanent housing.	<b>5% or greater</b>	<b>30% or greater</b>	<b>30% or greater</b>	<b>5% or greater</b>	<b>30% or greater</b>
2. Percentage of clients who return to homelessness within 6 months of exiting to permanent housing.	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>	<b>15% or less</b>

**Shelter Performance Benchmarks**

## CR-75 – Expenditures

### 11. Expenditures

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

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
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 23 – ESG Expenditures for Homelessness Prevention

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

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
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	757,841	549,289	823,455
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Rapid Re-Housing</b>	<b>757,841</b>	<b>549,289</b>	<b>823,455</b>

Table 24 – ESG Expenditures for Rapid Re-Housing

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

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Essential Services	0	0	0
Operations	453,119	737,817	614,848
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
<b>Subtotal</b>	<b>453,119</b>	<b>737,817</b>	<b>614,848</b>

Table 25 – ESG Expenditures for Emergency Shelter

**11d. Other Grant Expenditures**

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
HMIS	0	0	0
Administration	0	99,705	99,205
Street Outreach	0	0	0

**Table 26 - Other Grant Expenditures**

**11e. Total ESG Grant Funds**

Total ESG Funds Expended	2014	2015	2016
4,135,279	1,210,960	1,386,811	1,537,508

**Table 27 - Total ESG Funds Expended**

**11f. Match Source**

	2014	2015	2016
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	1,210,960	3,250,000	4,900,000
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>1,210,960</b>	<b>3,250,000</b>	<b>4,900,000</b>

**Table 28 - Other Funds Expended on Eligible ESG Activities**

**11g. Total**

Total Amount of Funds Expended on ESG Activities	2014	2015	2016
13,496,239	2,421,920	4,636,811	6,437,508

**Table 29 - Total Amount of Funds Expended on ESG Activities**

## Attachments

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 10
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-11-DC-23-0001		Data as of December 31, 2016		
1. Financial Status A. Total Funds (1) Allocation 11,496,744 (2) Program Income 0 B. Amount Obligated to Recipients 11,051,843 0 C. Amount for State Administration 329,934 D. Amount for Technical Assistance 114,967 E. Amount for Section 108 Loan Guar. 0		2. National Objectives A. Period Specified for Benefit: FY 11 to FY 13 B. Amount Used to: (1) Benefit to Low-Mod Income 8,719,409 (2) Prevent/Eliminate Slums/Blight 1,882,293 (3) Meet Urgent Community Develop Needs 0 (4) Acquisition/Rehabilit. Noncountable 0 (5) Local Administration 450,141 11,051,843		

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 11
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-12-DC-23-0001		Data as of December 31, 2016		
1. Financial Status A. Total Funds (1) Allocation 10,581,799 (2) Program Income 0 B. Amount Obligated to Recipients 10,164,347 0 C. Amount for State Administration 311,635		2. National Objectives A. Period Specified for Benefit: FY 11 to FY 13 B. Amount Used to: (1) Benefit to Low-Mod Income 8,988,219 (2) Prevent/Eliminate Slums/Blight 1,139,590 (3) Meet Urgent Community Develop Needs 0 (4) Acquisition/Rehabilit. Noncountable 0		

D. Amount for Technical Assistance	105,817	(5) Local Administration	36,538
E. Amount for Section 108 Loan Guar.	0		
			10,164,347

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 12
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-13-DC-23-0001		Data as of December 31, 2016		
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	10,319,769	
B. Amount Obligated to Recipients	10,695,240	(2) Prevent/Eliminate Slums/Blight	43,812	
C. Amount for State Administration	322,582	(3) Meet Urgent Community Develop Needs	0	
D. Amount for Technical Assistance	111,290	(4) Acquisition/Rehabilit. Noncountable	0	
E. Amount for Section 108 Loan Guar.	0	(5) Local Administration	331,659	
				10,695,240

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 13
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-14-DC-23-0001		Data as of December 31, 2016		
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	2,981,784	(1) Benefit to Low-Mod Income	10,369,554
B. Amount Obligated to Recipients	10,508,388	(2) Prevent/Eliminate Slums/Blight	0
		(3) Meet Urgent Community Develop Needs	0
C. Amount for State Administration	318,730	(4) Acquisition/Rehabilit. Noncountable	0
D. Amount for Technical Assistance	109,365	(5) Local Administration	138,834
E. Amount for Section 108 Loan Guar.	0		10,508,388

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 14
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-15-DC-23-0001		Data as of December 31, 2016		
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	9,859,752	
B. Amount Obligated to Recipients	10,299,471	(2) Prevent/Eliminate Slums/Blight	150,000	
		(3) Meet Urgent Community Develop Needs	0	
C. Amount for State Administration	315,308	(4) Acquisition/Rehabilit. Noncountable	0	
D. Amount for Technical Assistance	107,654	(5) Local Administration	289,719	
E. Amount for Section 108 Loan Guar.	0			10,299,471

State DCBG Performance Evaluation Report		U.S. Department of Housing And Urban Development		Page 15
State: Maine		Reporting Period: 01/01/16 - 12/31/16		
Grant Number: B-16-DC-23-0001		Data as of December 31, 2016		



1. Financial Status		2. National Objectives	
A. Total Funds		A. Period Specified for Benefit: FY 14 to FY 16	
(1) Allocation	10,789,352	B. Amount Used to:	
(2) Program Income	0	(1) Benefit to Low-Mod Income	7,388,368
B. Amount Obligated to Recipients	7,833,368	(2) Prevent/Eliminate Slums/Blight	320,000
		(3) Meet Urgent Community Develop Needs	0
C. Amount for State Administration	315,787	(4) Acquisition/Rehabilit. Noncountable	0
D. Amount for Technical Assistance	107,789	(5) Local Administration	125,000
E. Amount for Section 108 Loan Guar.	0		
			7,833,368

## 2016 AI Results

### Analysis of Impediments to Fair Housing Choice

#### 2016 Results

MaineHousing submits the following action plan to address impediments identified in its Analysis of Impediments to Fair Housing.

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>1.1: Data collection and analysis</b>  Identify areas of highest need to prioritize multifamily housing placement	The number of multifamily housing units for elderly  The number of multifamily housing units for families	Annually	CPD
<b>Results:</b>  <b>The number of multifamily housing units for elderly is 8700.</b>  <b>The number of multifamily housing units for families is 7170.</b>			
<b>1.2: Data collection and analysis</b>  Assess the need for maintaining the level of funding for affordable housing	Changes (increase/decrease) in funding available for programs  The number of external requests for data and analysis	Annually	CPD
<b>Results: Program funding has remained level for the last several years. MaineHousing needs analysis shows that demand far outweighs supply. The number of external requests for data and analysis is 32.</b>			
<b>1.3: Data collection and analysis</b>  Conduct local community housing assessments upon	The number of requests received and analyses completed	Upon Request	CPD

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
request			
<b>Results: No requests for local analysis were received though MaineHousing's research unit. MaineHousing provided housing data to 33 unique individuals or organizations in 2016.</b>			
<b>1.4: Data collection and analysis</b>  Publish housing facts and organize data to assist external partners conducting affordable housing related research	The number of website hits to Housing Facts site  The number of website hits to research site	Annually	CPD
<b>Results: The Housing Facts page on the MaineHousing website received 1026 hits between 1/1/2016 and 12/31/2016. The research section of the MaineHousing website received 4128 hits between 1/1/2016 and 12/31/2016.</b>			
<b>1.5: Program Design</b>  Allocate low-income housing tax credits (LIHTC) and funding for new construction and preservation of affordable and mixed-income multifamily housing in Maine	The number of new affordable units and number of affordable units preserved	Annually	AM/DEV/CPD
<b>Results: 254 new affordable units were created and 149 existing affordable units were preserved.</b>			
<b>1.6: Program Design</b>  Require deeper affordability than federal minimum affordability for LIHTC and tax-exempt bonds	The percentage and number of units awarded LIHTC and funding that are targeted at or below 50% of AMI	Annually	DEV

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>Results: 198 Units (47%) are targeted at or below 50% of AMI.</b>			
<b>1.7: Program Design</b>  Offer subsidy for affordable units to incent developers to provide more affordable units than required by the program, and allow developers to use other sources to provide deeper affordability in lieu of reducing MaineHousing's subsidy	The number of affordable units awarded LIHTC with affordability periods beyond the federally-required minimum and the program-required minimum	Annually	DEV
<b>Results: To clarify, the objective is the number of affordable units awarded LIHTC with deeper affordability than the federally-required minimum and the program-required minimum.</b>  <b>229 more affordable LIHTC units were created or preserved than the minimum federal requirement and 222 more affordable LIHTC units were created or preserved than the minimum required under the applicable MaineHousing programs. Of the affordable LIHTC units created or preserved, 262 units provide deeper affordability than the federally-required and program-required minimums.</b>			
<b>1.8: Program Design</b>  Require longer period of affordability than required under the federally-required minimum affordability period	The number of units awarded LIHTC that are required to be affordable beyond the federally-required minimum affordability period	Annually	DEV

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>Results: 397 units were awarded LIHTC with affordability periods beyond the federally required minimum in 2016.</b>			
<b>1.9: Homebuyer Assistance</b>  Maintain or increase the difference between MaineHousing's lower interest rate relative to the average bank rate for low and moderate income homebuyers	Change in yearly differential in MaineHousing interest rate compared to market rate	Annually	HO
<b>Results: Market interest rates remained very steady during most of 2016, with only slight fluctuations up or down until late in the year. Homeownership was able to maintain its base interest rate at approximately 50 bps below market for the entire year. Homeownership did conduct a special rate (2.99%) campaign for the month of June to celebrate National Homeownership Month which temporarily increased the spread below market rates. Just prior to and then after the national elections in November, market rates rose to the highest levels of the year. Homeownership also adjusted its base rate upward, but continued to maintain a spread of 50-60 bps below market for the remainder of the year.</b>			
<b>1.10: Homebuyer Assistance</b>  Provide down payment assistance to qualified homebuyers	The number of buyers receiving down payment assistance	Annually	HO
<b>Results: 941 MaineHousing borrowers utilized the Advantage down payment assistance option in 2016. 941 loans utilizing Advantage represented 96% of total loans in the MaineHousing First Time Homebuyer program in 2016.</b>			
<b>1.11: Homeowner</b>	The number of low-income	Annually	EHS

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>Assistance</b>  Preserve existing affordable single family homes by providing grants and no interest loans to low-income households to make repairs and improvements	households assisted		
<b>Results: 7 low-income households were assisted with Mobile Home Replacements and 61 low-income households were assisted by the Home Repair program in 2016.</b>			
<b>1.12: Education and Outreach</b>  Distribute materials on affordable housing and fair housing at conferences, workshops, and other appropriate public venues	The number of events at which these materials are distributed  The number of brochures and other materials distributed	Ongoing	HO
<b>Results:</b>  <b>Affordable housing materials were distributed at 11 events.</b>  <b>Fair housing materials were distributed at 5 events.</b>  <b>Affordable housing brochures were available to 1,865 conference attendees.</b>  <b>Fair housing materials were available to 260 conference attendees.</b>			
<b>1.13: Education and Outreach</b>  Publish data to educate the public on regional change and variations in home ownership and rental	The number of website hits to Housing Facts site	Ongoing	CPD

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
affordability			
<b>Results: The Housing Facts page on the MaineHousing.org website received 1,026 hits between 1/1/2016 and 12/31/2016.</b>			
<b>1.14: Education and Outreach</b>  Sponsor a conference for the affordable housing industry in the State (the Affordable Housing Conference) every other year.	The number in attendance	Biannually	DIR
<b>Results: The next Affordable Housing Conference is scheduled for September 22, 2017.</b>			
<b>1.15: Evaluation</b>  Examine MaineHousing Programs and Services to determine their success in addressing the lack of affordable housing	The number of programs that achieve performance goals	Annually	CPD
<b>Results: 5 of 6 MaineHousing departments reached their 2016 performance goals.</b>			
<b>1.16: Evaluation</b>  Review Affirmative Fair Housing Marketing Plans for new and existing multi-family housing.	Number of plans reviewed.	Once upon project review and then every 1 to 3 years depending on the type of project	AM

<b>Impediment 1: Lack of Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p>In 2016, MaineHousing completed 25 AFHMP reviews during the Management and Occupancy review process for projects funded with HOME and/or match with 5 or more assisted units. In addition, 2 new projects submitted the AFHMP for review. In total 27 plans were reviewed.</p>			

<b>Impediment 2. Racial, Ethnic and Cultural Barriers</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>2.1: Assess Maine’s effectiveness in reducing racial, ethnic and cultural barriers to housing</b></p> <p>Examine data on:</p> <ul style="list-style-type: none"> <li>• incomes of minority populations</li> <li>• changes in the concentration of minority populations in Maine's Census tracts</li> <li>• Research loan origination data for patterns related to race</li> </ul>	<p>Summary report shared with MaineHousing program directors and the public</p>	<p>Annually</p>	<p>CPD</p>
<p><b>Results: Analysis of racial and ethnic group’s income, concentrations and home buying activities were concluded and distributed to the Fair Housing Committee at MaineHousing in addition to the 6 department directors.</b></p>			
<p><b>2.2: Ensure program information provided by</b></p>	<p>The number of website hits to the</p>	<p>Ongoing</p>	<p>CPD /HCV</p>



<b>Impediment 2. Racial, Ethnic and Cultural Barriers</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>MaineHousing is available in alternative languages.</b>	translation tool  Number of language translation services requested  Use of Language Line		
<p><b>Results:</b></p> <p>The use of the translation tool on the MaineHousing.org website was not tracked in 2016. Tracking for this tool has now been implemented and will be regularly collected.</p> <p>In 2016 53 consumers utilized Language Line in 7 languages.</p>			
<b>2.3:</b>  <b>Provide the Fair Housing information and resource notice with housing information to clients. The notice contains fair housing, legal disabilities rights and LEP resources and is included in application packages used by Homeless Initiatives and the Housing Choice Voucher team.</b>	The number of notices sent	Ongoing	HI/HCV
<p><b>Results:</b></p> <p>Over 560 Fair Housing notices were sent in 2016.</p> <p>383 HCV Briefing packets including notices on Fair Housing were sent to clients. The notice is attached to all HCV applications.</p> <p>181 Households received Fair Housing information from the Homeless Initiatives department.</p>			

<b>Impediment 2. Racial, Ethnic and Cultural Barriers</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>2.4: Coordinate and fund tenant education and financial literacy training for Navigators who in turn deliver financial literacy training for individuals transitioning from homeless shelters to permanent housing.</b></p>	<p>The number of navigators trained</p> <p>The number of clients trained</p>	<p>Annually</p>	<p>HI</p>
<p><b>Results:</b></p> <p>The number of navigators trained: 45</p> <p>The number of clients trained: 2930</p> <p>In 2016 while the “Rent Smart” trainers were unavailable we offered a Train the Trainer “Financial Capabilities and Coaching Education Services”.</p> <p>All clients who have shelter stays longer than 14 days, and were served by the providers who attended the “Rent Smart” training the previous year and “Financial Planning” in 2016, were required to review financial components of a clients income and financial needs as verified by a Housing Stability Plan. 2930 Housing Stability Plans were completed by Navigators in 2016.</p>			
<p><b>2.5: Coordinate and fund Fair Housing Workshops for immigrants and refugees in Lewiston and Portland. Through the use of headsets, interpreters translate the presenter’s remarks and printed literature is made available in different languages.</b></p>	<p>The number of workshops and immigrants/refugees trained</p>	<p>Annually</p>	<p>HO</p>

<b>Impediment 2. Racial, Ethnic and Cultural Barriers</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>Results: MaineHousing coordinated one Fair Housing workshop for immigrant and refugees. It was held in April 2016 at the Trinity Jubilee Center in Lewiston. 25 people attended. Interpreters participated in the workshop providing translation in French and Somali.</b></p>			
<p><b>2.6: Fund English as a Second Language financial literacy group education and one-on-one counseling for individuals who are not proficient in the English language.</b></p>	<p>Amount of funding and number of groups and individuals counseled</p>	<p>Annually</p>	<p>HO</p>
<p><b>Results: Of the 311 individuals receiving HUD Grant funded group education and/or one-on-one financial literacy counseling services through CFL, 224 reported they were Limited English Proficient.</b></p> <p>The HUD grant funded 6 CFL financial literacy education classes serving 92 individuals in the immigrant and refugee community.</p> <p>The HUD grant funded interpreter services for individuals not proficient in the English language. Interpreters provided English to French translation in three (3) financial literacy classes (see below).</p> <p>1) Basic Career Building – 12 hours – April 27 – June 1, 2016</p> <p>2) Basic Money Management (Portland) – 10 hours – April 29 – May 27, 2016.</p> <p>3) Basic Money Management (Lewiston) – 10 hours – May 17 – May 31, 2016.</p>			
<p><b>2.7: Fund training to increase the financial expertise of housing counselors that offer English as a Second Language financial literacy group education in Portland and Lewiston.</b></p>	<p>Amount of funding and number of counselors trained</p>	<p>Annually</p>	<p>HO</p>

<b>Impediment 2. Racial, Ethnic and Cultural Barriers</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>Results:</b> The HUD grant funded training to enhance the expertise of two CFL counselors.</p> <p>The first counselor completed two NeighborWorks courses: 1) Credit Counseling for Maximum Results (Dec 12-14, 2016) and 2) Effective Approaches to Student Loan Counseling (Dec 15-16, 2016) in Washington, D.C.</p> <p>The second counselor completed a National Council of La Raza Housing Counseling Program course in New York March 14 – 16, 2016.</p>			

<b>Impediment 3. Community Planning and Zoning Decisions that Impede Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>3.1: Collaborate with local housing authorities, municipalities, Maine Municipal Association and area planning agencies</b>	The number of requests for assistance	As Needed	CPD
<p><b>Results:</b> No requests for assistance were received by MaineHousing in 2016. However MaineHousing is working with planning and housing organizations to develop an Opportunity Index.</p>			
<b>3.2: Attend local zoning and planning board meetings to educate members about fair housing laws upon request</b>	The number of meetings  Number of requests made and number of presentations delivered	As Needed	LEGAL
<p><b>Results:</b> MaineHousing did not receive any requests for fair housing presentations or make any presentations to local zoning and planning boards in 2016.</p>			

<b>Impediment 3. Community Planning and Zoning Decisions that Impede Affordable Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>3.3: Develop materials designed to educate the public on the multiple benefits affordable housing can bring to each and every community</b>	Materials Developed	2016	CPD
<p><b>Results: The following materials were developed in 2016.</b></p> <p><b>Affordability Index and Housing Facts</b></p> <p><b>Housing Profiles on the physical characteristics of housing, affordability and energy use</b></p> <p><b>Interactive Maps for Congressional Districts, State Senate Districts and counties showing the distribution of households served in each geography</b></p> <p><b>These materials are available on the <a href="http://MaineHousing.org">MaineHousing.org</a> website under the Policy &amp; Research section.</b></p>			
<b>3.4: Upon request, review local and regional Analysis of Impediments (AI)</b>	Number of requests fulfilled	As Needed	CPD
<p><b>Results: No local or regional AI's reviews were requested in 2016.</b></p>			
<b>3.5: Support affordable housing projects against NIMBY efforts (discrimination by communities or neighbors) as necessary, to preserve the housing</b>	Number of projects experiencing NIMBYism and number supported by MaineHousing	Ongoing	LEGAL
<p><b>Results: One MaineHousing project experienced NIMBYism in 2016. The City of Portland's decision to rezone a portion of a parcel of land from one type of residential zone (R5a) to another type of residential zone (R5) which allowed multifamily housing to allow the development of an 88-unit senior housing project on</b></p>			

Impediment 3. Community Planning and Zoning Decisions that Impede Affordable Housing			
Action	Measurable Objective	Timeline	Responsible Department
<p>property that was already partially zoned R5 and which converts existing structures on the site rather than creating new construction was challenged by neighbors. The City's decision was upheld in the lower court and on appeal to the Maine Law Court, the State's highest court. The NIMBY challenge increased the development costs of the project, and while the project was on hold pending resolution in the courts, the equity market experienced a significant drop in tax credit pricing which created a significant gap in the project's budget. MaineHousing is working with the developer to close the gap, which will include additional funding from MaineHousing.</p>			

Impediment 4. Lack of Availability and Access to housing for disabled individuals			
Action	Measurable Objective	Timeline	Responsible Department
4.1: Create accessible units	Number of accessible units created	Annually	DEV
Results: 58 accessible units were created.			
4.2: The QAP incents housing developers to provide more accessible units than required under state and federal law	Number of additional accessible units created	Annually	DEV
Results: 14 of the accessible units created in 2016 were additional units not required by state and federal law.			
4.3: Educate developers and landlords about accessibility requirements	Number of developers and landlords reached with information	Ongoing	AM/DEV/ HCV
<p>Results: 3,000 HCV landlords were reached via the MaineHousing Landlord Newsletter. This newsletter provided information on the Home Retro Program, which provides grant money to landlords with tenants who need apartment modifications due to their disabilities. 2 applications are in process for Home Retro Program.</p> <p>Additionally MaineHousing worked with one project owner about accessibility requirements during</p>			

<b>Impediment 4. Lack of Availability and Access to housing for disabled individuals</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p>rehab/ and with another owner on an accessibility question related to access requirements for tenants to gardens retained on site.</p> <p>13 developers were reached with accessibility requirement information in 2016.</p>			
4.4: Fund home retro program to make single family homes accessible	Number of homes retrofitted	Annually	EHS
<p><b>Results: 13 homes were assisted by the Home Retro Program.</b></p>			
4.5: Continue to encourage the use of MaineHousingSearch.org to identify accessible units	Number flagged for accessibility Hits on mainehousingsearch.org	Ongoing	HI/CPD
<p><b>Results: The number of units flagged for accessibility is a point in time number. As of 1/1/2017 there were 595 accessible units listed on the MaineHousingSearch website.</b></p> <p>During 2016 MaineHousingSearch.org had 563,468 page views and 116,101 searches.</p> <p>Use of Mainehousingsearch.org was encouraged as a resource to all Homeless Initiative clients.</p>			
4.6: Research and track the need for accessible units based on the concentration of people with disabilities	Research completed		CPD
<p><b>Results: MaineHousing research shows 4 tracks with concentrations of people with disabilities.</b></p>			
4.7: Collaborate with members of the Statewide Independent Living Counsel to move individuals with disabilities from institutions to	Number of homeward bound vouchers Number of individuals with disabilities achieving	Ongoing	AM/HCV/ EHS

<b>Impediment 4. Lack of Availability and Access to housing for disabled individuals</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
independent living	independence		
<b>Results: 20 individuals successfully used homeward bound vouchers to achieve independence in 2016.</b>			
<b>4.8: Continue to utilize Maine Relay 711 for the hearing impaired.</b>	The number of Maine relay 711 calls	Ongoing	FAC
<b>Results: MaineHousing used Maine relay 711 as needed in 2016. We estimate the service was used a minimum of 8 times in 2016.</b>			
<b>4.9: MaineHousing's website, www.mainehousing.org, is accessible to persons with disabilities.</b>	The number of hits to accessibility information pages	Ongoing	CPD
<b>Results: We have accessibility information included in our privacy policy on the MaineHousing webpage. This policy received 123 hits between 1/1/2016 and 12/31/2016.</b>			

<b>Impediment 5. Limited access to neighborhood opportunities and community assets</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>5.1: Conduct an economic impact study of housing in Maine</b>	Number published and distributed	2016	CPD
<b>Results: The Economic Impact Study is in progress with a targeted completion date of March 2017.</b>			
<b>5.2: Utilize selection criteria in the LIHTC Qualified Allocation Plan to incent the development of affordable housing in high-opportunity</b>	The number of projects awarded LIHTC that are located in high-opportunity areas	Annually	DEV



<b>Impediment 5. Limited access to neighborhood opportunities and community assets</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>areas</b></p> <p>Remove inherent disincentives for locating affordable housing in high-opportunity areas (municipal approval not required other than applicable zoning approvals and entire State is designated as difficult-to-develop area to eliminate the economic incentive to locate affordable housing in QCTs)</p>			
<p><b>Results: 4 LIHTC projects were located in high opportunity areas in 2016. These 4 projects represent 195 LIHTC units. The number of units should be the measurable objective for this action.</b></p>			
<p><b>5.3: Qualified Allocation Plan</b></p> <p>Require a preference to be given to persons on a Section 8 or public housing waiting list in all units in LIHTC projects that are not covered by RD or Section 8 project-based rental assistance</p>	<p>The number of projects awarded LIHTC that are located in high-opportunity areas</p>	<p>Annually</p>	<p>DEV</p>
<p><b>Results: To clarify, the objective is misstated: It should be the number of LIHTC projects that give a preference to persons on a section 8 or public housing waiting list.</b></p> <p><b>8 LIHTC projects gave preference to persons on a Section 8 or public housing waiting list.</b></p>			

<b>Impediment 5. Limited access to neighborhood opportunities and community assets</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<p><b>5.4: Qualified Allocation Plan</b></p> <p>Incent the development of new housing in areas with access to community assets (location in service center communities with higher need and location near public transportation, schools, employment, services and other amenities important to daily living )</p>	<p>The number of projects awarded LIHTC that are located in service center communities based on need and location near community assets</p>	<p>Annually</p>	<p>DEV</p>
<p><b>Results: 5 LIHTC projects were located in service center communities in 2016.</b></p>			
<p><b>5.5: Qualified Allocation Plan</b></p> <p>Incent the development of affordable housing in areas where the differential between the maximum LIHTC rent and the market rent is higher</p>	<p>The LIHTC/market rent differential for projects awarded LIHTC</p>	<p>Annually</p>	<p>DEV</p>
<p><b>Results: To clarify, the objective is the number of LIHTC projects in areas where the market rent exceeds the LIHTC rent.</b></p> <p><b>Of the 11 LIHTC projects completed in 2016, 5 LIHTC projects were awarded points for being located in areas where the market rent is at least 10% higher than the market rent. The other 6 LIHTC projects are located in areas where the market rent is higher than the LIHTC rent although they were not funded under programs that incented it.</b></p>			
<p><b>5.6: Qualified Allocation Plan</b></p> <p>Encourage economic diversity by incenting the development of new affordable housing in higher income areas and mixed-income</p>	<p>The number of projects awarded LIHTC that are located in high-income areas and the number of mixed-income projects awarded LIHTC that are located in QCT's</p>	<p>Annually</p>	<p>DEV</p>

<b>Impediment 5. Limited access to neighborhood opportunities and community assets</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
housing in qualified census tracts			
<b>Results: 4 LIHTC projects were located in high-income areas in 2016 and no LIHTC projects were located in QCTs.</b>			
<b>5.7: Design a Tenant Incentive Program designed to assist lower income tenants to move into areas where public transportation is more readily available</b>	Program developed	2016	HCV
<b>Results: The program developed for 2016 offered a \$100 incentive to landlords to rent to HCV program participants in low poverty areas. The program was discontinued due to low participation. A new program was developed for 2017 offering landlords in low poverty areas security deposit funds up to \$1000.</b>			
<b>5.8: Continue to provide e-HomeAmerica as an on-line option for home buyer education.</b>	% of homebuyers who utilize eHomeAmerica on-line.	Ongoing	HO
<b>Results: Between Oct. 1, 2015 and Sept. 30, 2016, 1,112 individuals completed eHomeAmerica's homebuyer education course online and one-hour, one-on-one post course educational session with a housing counselor.</b>			
<b>5.9: Continue to sponsor homeownership education classes that contain information about Fair Housing laws that are relevant to prospective home buyers.</b>	Number of participants in home buyer education classes.	Ongoing	HO
<b>Results: Between Oct. 1, 2015 and Sept. 30, 2016, 2,060 individuals completed an in-person homebuyer education class. The hoMEworks class curriculum requires instructors to address Fair Housing and Fair Lending.</b>			
<b>5.10: Utilize existing conferences and workshops to</b>	Number of relevant professionals	Ongoing	HO/HI/HCV

<b>Impediment 5. Limited access to neighborhood opportunities and community assets</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
educate relevant professionals about fair housing law and enforcement	educated Number of staff trained		
<b>Results: 18 HCV Department staff completed a Nan McKay Fair Housing Webinar training on January 27 &amp; 28, 2016.</b>			

<b>Impediment 6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>6.1: Develop education materials aimed at reducing the number of discriminatory advertisements made by landlords</b>	Number of information pieces distributed including newsletters and brochures	Ongoing	CPD/LEGAL
<b>Results: MaineHousing is in the process of developing these materials.</b>			
<b>6.2: Partner with associations focused on human rights as it pertains to fair housing</b>	Number of joint initiatives	Ongoing	HO and Program Directors
<b>Results: MaineHousing partnered with Pine Tree Legal Assistance in the delivery of two 3-hour Advanced Fair Housing Workshops. 41 property managers and landlords attended the workshop in Westbrook on October 25, 2016 and 54 attended in Bangor on November 8, 2016. MaineHousing has also partnered with Maine Equal Justice Partners and Public Advocates Office in their LIHEAP working group.</b>			
<b>6.3: Coordinate fair housing complaint resolution with partners</b>	Number of fair housing interventions	Ongoing	LEGAL
<b>Results: Total of 8 interventions with general breakdown as follows:</b>			
<ul style="list-style-type: none"> <li>• 4 reasonable accommodation/reasonable modification issues</li> </ul>			

<b>Impediment 6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<ul style="list-style-type: none"> <li>• <b>2 physical accessibility; and</b></li> <li>• <b>2 occupancy issues</b></li> </ul>			
<b>6.4: Continue fair housing public education programs designed to assist landlords, builders, and relevant professionals</b>	Number of relevant professionals receiving training	Ongoing	DEV/HCV/HO/AM/HI
<p><b>Results:</b></p> <p>MaineHousing partnered with Pine Tree Legal Assistance in the delivery of two 3-hour Advanced Fair Housing Workshops. 41 property managers and landlords attended the workshop in Westbrook on October 25, 2016 and 54 attended in Bangor on November 8, 2016.</p> <p>Additionally 23 HCV staff attended Fair Housing/Reasonable Accommodation Training in January 2016 and 13 development professional received training in 2016.</p>			
<b>6.5: Maintain MaineHousing's Fair Housing website page which includes information and resources about fair housing and equal access laws.</b>	Number of website hits on the Fair Housing page.	Ongoing	CPD
<p><b>Results:</b> The Fair Housing page on our MaineHousing.org website received 1206 hits between 1/1/2016 and 12/31/2016.</p>			
<b>6.6: Continue to administer the HUD Housing Counseling Grant</b>	Number of individuals or families counseled	Ongoing	HO
<p><b>Results:</b> Between Oct. 1, 2015 and Sept. 30, 2016, 642 individuals received HUD grant funded housing and/or financial literacy education or counseling services.</p>			

<b>Impediment 6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
<b>6.7: Continue to provide MaineHousing's comprehensive Communications Resource Guide to employees, contractors, agents, and owners/property managers of multi-family projects.</b>	Number of guides distributed.	Ongoing	LEGAL/AM
<b>Results: MaineHousing did not track requests for this guide in 2016. It is our goal to put this out on the MaineHousing website as a resource to all in 2017. The Communication Resource Guide is posted on the Intranet for use by Departments with their partners and for employees.</b>			
<b>6.8: MaineHousing refers fair housing complaints to appropriate fair housing and equal access agencies in the State.</b>	Number of complaints referred.	Ongoing	LEGAL
<b>Results: A minimum of 5 cases were referred to the appropriate fair housing/equal access agency for further review/investigation but there may have been more. It is practice to refer tenants to the appropriate fair housing/equal access agency whenever situations/concerns are not addressed to the tenant's satisfaction.</b>			
<b>6.9: MaineHousing has an internal grievance procedure for applicants and participants to file fair housing complaints about programs and services.</b>	Number of internal grievances resolved.	Ongoing	LEGAL
<b>Results: There were no internal grievances in 2016.</b>			
<b>6.10: Continue to mediate and resolve applicant and</b>	Number of referrals	Ongoing	HCV

<b>Impediment 6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing</b>			
<b>Action</b>	<b>Measurable Objective</b>	<b>Timeline</b>	<b>Responsible Department</b>
landlord/tenant issues through Community Mediation Services			
<b>Results: 2 referrals made to Community Mediation Services for landlord/tenant issues.</b>			
<b>6.11: Continue to distribute MaineHousing's Rental Housing Guide.</b>	Number of guides distributed. Number of Rental Housing Guide views on the website.	Ongoing	HCV
<b>Results: 1,000 Rental Housing Guides were printed and distributed statewide in 2016. The Rental Housing Guide was viewed on MaineHousing website over 700 times.</b>			
<b>6.12: MaineHousing program documents and contracts include language requiring sub-recipients of MaineHousing funding to adhere to Fair Housing and Civil Rights laws and regulations.</b>	Number of documents that don't comply.	Ongoing	LEGAL
<b>Results: We have no documents to report.</b>			
<b>6.13: Encourage employees and staff working on behalf of MaineHousing to attend local education and training events on the topics of fair housing and equal access.</b>	Number of training events attended.	Ongoing	HR
<b>Results: In 2016 MaineHousing held one all – staff training event. Additionally one staff person received additional training.</b>			

# Multifamily Monitoring

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-1383	6983	\$145,000.00	9/1/2036	9/15/2016	10/19/2016	Also tax credit property. No significant file issues noted. UPCS violations identified with inspections but all cleared timely.
MSHA-SHP-981	1690	\$100,000.00	6/1/2018	1/11/2016	3/25/2016	Desk review - no change in tenants. No issues with inspection.
M925-0001-874	1903	\$157,000.00	12/15/2024	4/1/2016	12/3/2015	Desk review in 2016. Inspection noted no major physical plant issues.
MSHA-RLP-1187	5129	\$2,076,612.00	4/28/2023	6/22/2016	6/10/2016	No issues noted.
MSHA-RLP-1376	6980	\$600,000.00	6/12/2036	9/15/2016	11/4/2016	No lead disclosure in tenant file (rectified) and no issues noted with inspection.
MSHA-RLP-1430	8072	\$590,312.00	8/1/2038	9/10/2015	11/4/2016	Superior inspection score - risk rating changed MOR frequency.
MSHA-RLP-1487	9817	\$132,174.00	1/14/2041	10/1/2015	10/7/2015	Risk based changed frequency to every three years. Last MOR was Above Average and PPI superior.
MSHA-RLP-1511		\$0.00	5/18/2032	4/20/2016	4/29/2016	No issues noted.
MSHA-RLP-1489	9854	\$600,000.00	8/18/2041	8/17/2016	8/16/2016	No tenant file issues noted. Inspection denoted tenant caused clutter/tripping hazards in unit. Cleared.
MSHA-RLP-1202	5130	\$2,262,670.00	11/25/2032	11/17/2015	10/26/2016	Risk model changed frequency to every 3 years. Inspection found no significant issues (Superior rating).
MSHA-RLP-1429	7948	\$560,000.00	1/16/2038	5/18/2016	5/12/2016	File review denoted 1 instance when student status was not completed by tenant on self cert. Validated not a student. No significant PPI issues noted.
MSHA-RLP-1469	9567	\$470,609.00	4/23/2040	5/12/2016	5/5/2016	File review denoted issues with third party documentation and use of correct rent charts. Actual auditor error that could have been cleared before report issued. Superior inspection.
MSHA-RLP-1397	8016	\$600,000.00	5/1/2037	8/16/2016	8/24/2016	File review denoted no issues. Inspection denoted some tenant caused blocked egress concerns and broken GFCI. Items subsequently cleared.
MSHA-NOFA-972	3039	\$51,630.00	7/9/2018	3/8/2016	7/7/2016	Desk review of tenant file - no issues noted. Inspection found a blocked egress concern and loose decking boards. Items rectified timely.
MSHA-SHP-985	1972	\$113,000.00	5/12/2027	3/27/2014	1/22/2016	PPI and MOR in off years - Only 2 units. Tenant file review not due until 2017. Last inspection was 2013 so it was due in 2016. No issues denoted with inspection.
MSHA-CHDO-1007	1973	\$91,000.00	9/23/2017	11/29/2016	7/21/2016	Desk review of tenant files. No issues identified. Inspection found no issues - Superior score.
MSHA-SHP-1415	7464	\$168,692.00	2/22/2036	3/27/2014	1/20/2016	Tenant file review not due until 2017 but physical inspection due in 2016 (last PPI in 2013). Inspection denoted no issues.



PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-SHP-910	310	\$60,000.00	12/12/2026	10/6/2016	8/11/2015	Desk review of tenant file in 2016 - no turnover in tenants since 2012. Physical plant inspection completed in 2015. PPI due in 2017.
MSHA-SHP-893	1964	\$90,000.00	3/1/2026	9/23/2016	7/16/2015	Desk review of tenant files. No issues identified. Inspection in off year - completed in 2015.
MSHA-CHDO-1060	3492	\$80,000.00	1/14/2029	10/18/2016	4/20/2016	Tenant file review denoted one instance of unsigned VAWA form (although it was in file). Will have tenants sign going forward. Physical inspection denoted tenant caused clutter, a leaking pipe. Items subsequently rectified.
MSHA-RLP-1427	8147	\$364,000.00	9/17/2038	11/5/2015	11/5/2015	New risk model moves this to a three year review.
MSHA-RLP-1462	9569	\$900,000.00	6/1/2040	1/21/2015	11/17/2016	New risk model moves this to a three year review. Physical plant inspection denoted small hole in bathroom wall, door knob missing, receptacle broken and loose flooring. Awaiting response from owner.
MSHA-RLP-907	311	\$165,000.00	10/9/2025	7/19/2016	10/28/2016	Desk review of tenant files - no tenant turnover since 2013. No issues noted. Physical plant inspection found non-working CO detectors in one unit and unprotected CFL bulbs in two units. Awaiting response. Project going through ownership transfer.
MSHA-RLP-1398	7842	\$2,830,309.00	11/20/2037	11/18/2015	11/19/2015	Risk based model moved this to a three year review frequency. Due in 2018
MSHA-RLP-1472	9904	\$119,829.00	11/23/2051	5/11/2016	5/31/2016	File review found no issues. Physical plant inspection found dryer duct detached from wall. Item subsequently rectified.
MSHA-RLP-1366		\$0.00	5/3/2026	12/20/2016	9/23/2016	File review found no issues. Physical plant inspection denoted 2 instances of a CFL bulb being used in range hood. Items have been rectified.
MSHA-RLP-1309	6467	\$750,000.00	6/16/2035	9/10/2015	9/18/2015	Risk based model moved this to a three year review frequency. Due in 2018
MSHA-RLP-1379	6998	\$600,000.00	2/28/2037	9/9/2016	12/9/2016	Tenant file review denoted no issues. Physical plant inspection denoted dryer ductwork detached from the wall, staining on ceiling in laundry room, water damage on ceiling on one unit. Awaiting response from owner.
MSHA-RLP-1234	5513	\$399,900.00	8/19/2023	11/5/2015	11/10/2016	Risk based model moved review frequency to once every three years. Physical plant still conducted - no issues noted. Next review 2018.
MSHA-RLP-1424	8212	\$600,000.00	4/3/2038	11/19/2015	11/2/2016	Risk based model moved review frequency to once every three years. Physical plant still conducted - no issues noted. Next review 2018.

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-1521	9874	\$915,901.00	9/28/2041	4/20/2016	4/28/2016	Tenant file review denoted issues with language in the lease addendum. Immediately rectified. Physical plant inspection noted in one unit damaged hardware on the doors and burner not working on stove. Items cleared.
MSHA-RLP-1547	10053	\$535,345.00	3/21/2043	5/18/2016	5/20/2016	No issues identified
MSHA-SHP-914	472	\$20,000.00	3/7/2026	6/1/2016	2/10/2016	Desk review completed. No tenant turnover. No issues noted. Physical plant inspection denoted a few small items - Above Average score.
MSHA-CHDO-1026	1974	\$125,000.00	5/28/2018	6/15/2016	12/1/2016	Desk review completed on tenant files. No turnover since 2013. No issues noted. Physical plant inspection denoted no issues.
MSHA-CHDO-1127	4325	\$120,000.00	1/28/2020	7/15/2016	5/6/2016	Desk review of tenant files. No issues noted. Physical plant inspection denoted no issues. File review and PPI in off years. 3 year review frequency. 1 unit project. Tenant file review found no issues.
MSHA-SHP-1197	5325	\$84,871.00	11/21/2041	5/17/2016	6/3/2015	File review and PPI in off years. 3 year review frequency. 1 unit project. Tenant file review found no issues.
MSHA-COC-1311	6886	\$74,900.00	12/17/2019	5/17/2016	10/30/2014	File review found no issues. Physical Plant inspections conducted by our Housing Choice Voucher department as this project has project based vouchers and must meet HQS to continue to qualify. No issues noted.
MSHA-COC-1390h	9980	\$133,919.90	4/30/2027	5/17/2016	12/1/2016	Tenants meet income requirements and rents are within allowable limits. MH working with Owner related to on-going management issues (administrative concerns).
MSHA-SHP-870	172	\$60,000.00	3/16/2025	9/15/2015	various times throughout 2016	No issues denoted
MSHA-SHP-1185	5970	\$250,000.00	7/24/2043	4/29/2016	12/9/2015	Physical Plant inspection scheduled for 2017
MSHA-COC-1200	5944	\$781,990.00	6/23/2019	10/27/2015	8/22/2014	Tenant file review denoted no issues. Physical Plant inspection found one instance of GFCl issue. Promptly remedied.
MSHA-SHP-922	1987	\$221,750.00	6/11/2026	3/23/2016	4/15/2016	Tenant file review denoted no issues. Physical Plant inspection found GFCl issue, exposed wires and CO detector issues. Still awaiting response. Scheduling a follow up inspection in early 2017.
MSHA-CROP-943	1968	\$50,000.00	1/1/2027	1/22/2016	7/14/2016	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2017.
MSHA-RLP-1524		\$0.00	10/1/2033	9/30/2014	9/2/2014	

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-1288	5923	\$350,000.00	12/17/2023	9/30/2014	9/2/2014	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2017.
MSHA-RLP-1315	6387	\$396,456.00	1/18/2025	4/20/2016	4/8/2016	Tenant file review found issues with outdated leases (tenants had been in place for a long time and leases just not updated to most current) and issues with lease termination notification of 30 days. Items corrected. Physical Plant inspection found missing gasket on stove. Corrected.
MSHA-RLP-1375	8117	\$735,000.00	9/1/2038	4/20/2016	5/3/2016	Tenant file review found one instance of no lease addendum in file. Corrected. No issues noted with physical plant inspection. Tenant file review denoted issues with lease addendum. Items corrected. Physical Plant inspection found missing CO
MSHA-RLP-1428	8520	\$520,000.00	12/18/2027	4/20/2016	4/28/2016	detector. Fixed.
MSHA-RLP-1519	9910	\$702,825.00	3/22/2043	4/20/2016	4/19/2016	Tenant file review found need to update lease addendum. Fixed. Physical plant inspection found issue with duct work used on gas dryer. Fixed.
MSHA-RLP-1351		\$0.00	12/13/2025	9/10/2015	9/14/2015	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2018.
MSHA-RLP-1545		\$0.00	10/29/2035	6/22/2016	7/5/2016	No issues noted.
MSHA-RLP-501	9835	\$600,000.00	11/1/2041	9/10/2015	9/10/2015	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2018.
MSHA-RLP-1224	5474	\$1,551,900.00	3/16/2020	10/20/2015	11/6/2015	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2018.
MSHA-RLP-1294h	5958	\$1,100,660.00	12/1/2021	6/20/2016	6/27/2016	Tenant file review found no issues. Physical plant inspection found peeling paint. Item corrected.
MSHA-RLP-1395	7949	\$1,200,000.00	4/30/2038	9/10/2015	9/17/2015	Tax credit project as well. Risk based model allows for change in review frequency to once every three year at this time. Next review is 2018.
MSHA-RLP-1522	9991	\$925,000.00	3/28/2043	9/13/2016	9/14/2016	No issues noted.
M925-0038-780	33	\$87,500.00	2/1/2019	3/7/2016	11/5/2015	Desk review completed on tenant files. No issues noted on eligibility. Physical plant reviews in off years. PPI due in 2017.

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
M925-0034-789	30	\$175,000.00	2/9/2019	1/30/2014	7/13/2016	Late in annual reporting and tenant file review not conducted. Physical plant inspection found issues such as peeling paint, issues with emergency lighting, missing stopper and inoperable exhaust fan. Awaiting response. On WATCH list and scheduled for both tenant file review and physical plant inspection in 2017.
MSHA-NEWL-942	1173	\$41,664.00	1/2/2017	7/12/2016	9/4/2015	File review close out found no issues.
M925-0226-897	210	\$22,200.00	7/31/2019	7/12/2016	9/4/2015	File review and PPI in off years. Tenant file review identified no issues.
M925-0073-812	49	\$78,375.00	4/1/2019	3/26/2014	7/22/2015	Late in annual reporting and tenant file review not conducted. On WATCH list and scheduled for both tenant file review and physical plant inspection in 2017.
M935-0103-807	62	\$122,500.00	3/10/2019	7/12/2016	9/4/2015	File review and PPI in off years. Tenant file review identified no issues.
M925-0050-806	89	\$175,000.00	2/10/2019	9/21/2012	9/17/2015	Late in annual reporting and tenant file review not conducted. On WATCH list and scheduled for both tenant file review and physical plant inspection in 2017. No concerns with tenant eligibility - administrative issues. Working with management to correct.
MSHA-SHP-986	1622	\$100,000.00	5/8/2028	12/1/2015	1/14/2016	Tenant file review and PPI in off years. PPI identified emergency lighting in one area not working. Item corrected.
MSHA-RLP-1357	6515	\$320,000.00	8/9/2035	8/16/2016	8/26/2016	No tenant file review findings. PPI shows peeling paint, bathroom floor with water damage, toilet seat broken, flex ductwork for dryer damaged, missing flooring pieces, and broken range components. Items cleared.
MSHA-RIP-1380	6982	\$400,000.00	7/26/2036	9/15/2016	9/29/2016	No tenant file review findings. PPI shows loose receptacle and burner element on stove broken. Items repaired.
MSHA-SHP-892	1962	\$145,000.00	6/18/2026	5/19/2016	11/30/2016	On WATCH list - annual review due to issues with management company. Tenant file review noted issues with lease language which has subsequently been rectified. Physical plant inspection (PPI) noted issues with peeling paint in common areas. Awaiting response.
MSHA-NEWL-996	1506	\$35,053.00	9/1/2027	8/16/2016	7/28/2016	Desk review completed of tenant file. No issues noted. PPI identified missing padding on exposed pipes, unprotected cfl in range hood. Response not yet received.

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-1251h	6932	\$250,000.00	2/3/2025	7/7/2016	12/9/2015	PPI and tenant file review in off years. This project has multiple funding sources and is reviewed annually for one funding source. No concerns noted in tenant file review. Next PPI in 2017
MSHA-RLP-1377	7503	\$480,000.00	12/20/2036	11/10/2015	12/9/2016	wasn't due until 2017 - chose to move PPI earlier. No issues noted
MSHA-RLP-729		\$0.00	6/1/2023	9/15/2016	10/6/2016	Tenant file review identified no lease addendum in the files and a race and ethnicity form missing. Items all corrected. PPI identified missing handrail, graffiti, inoperable fan, stained walls, missing CO detector. Awaiting final clearance of these items.
MSHA-NOFA-954	3042	\$52,196.00	6/25/2018	5/19/2016	8/11/2016	On WATCH list - annual review due to issues with management company. Tenant file review noted issues with lease language which has subsequently been rectified. Physical plant inspection (PPI) noted issues with garbage/debris, peeling paint, broken/missing screens, missing smoke detectors, broken burners. Follow up inspection found most items corrected. On annual schedule until further notice.
MSHA-RLP-1303		\$0.00	7/2/2024	10/24/2016	10/26/2016	Tenant file review found missing lead disclosure form in files. Been corrected. PPI identified loose carpeting in one unit, missing smoke detector batteries, auxiliary locks placed high enough to cause egress concern. Awaiting response.
MSHA-RLP-1417		\$0.00	11/16/2026	10/27/2016	11/4/2016	Tenant file review found missing lead disclosure form and race and ethnicity forms in files. Been corrected. PPI identified GFCI issues in 2 units. Items cleared.
MSHA-RLP-1553		\$0.00	2/15/2033	10/27/2016	11/18/2016	No issues noted.
MSHA-RLP-1368		\$0.00	3/22/2027	3/22/2016	3/23/2016	No issues noted with tenant file review. PPI identified blocked egress in one unit (tenant caused). Corrected.
MSHA-RLP-1381		\$0.00	2/9/2026	4/22/2016	4/21/2016	No issues noted.
MSHA-RLP-1257		\$0.00	7/13/2025	6/22/2016	6/9/2016	Tenant file review identified no issues. PPI identified worn carpeting, blocked egress, non-working light switches, siding deteriorating. Allowed 6 month extension to get siding done. Awaiting final clearance.
MSHA-RLP-1304		\$0.00	7/13/2025	6/22/2016	6/9/2016	Tenant file review identified no issues. PPI identified a hole in bedroom wall in one unit. Item cleared.

PrjNum	IDIS #	Fed Home Funds	Compliance End Date	MOR date	PPI date	Summary of Issues/Comments
MSHA-RLP-1298		\$0.00	3/30/2024	5/23/2016	5/26/2016	Tenant file review identified no issues. PPI identified potential egress issue with auxiliary locks placed too high, loose faucet. Items cleared. Roofs nearing end of useful life.
MSHA-RLP-1495		\$0.00	5/10/2032	9/13/2016	9/23/2016	No issues noted.
MSHA-RLP-017	10164	\$319,889.00	7/5/2046	5/17/2016	5/12/2016	New project. Initial review in 2016. No issues noted.
MSHA-RLP-949	10163	\$775,283.00	8/12/2046	9/13/2016		Brand new project - initial review in 2016. No PPI - still under construction/rehab. File review found one instance of Sec 8 overcharged (exceeded FedHOME limit) and one missing race ethnicity form. Items corrected.
MSHA-SHP-1326	7048	\$100,000.00	6/22/2021		10/19/2016	PRA B11 project with Monitoring Agreement with HUD that they are responsible for monitoring. GAP fill only. PPI found no issues.
MSHA-RLP-751	10162	\$1,450,000.00	7/5/2046	11/14/2016	10/28/2016	Brand new project (acquisition rehab of existing project fully occupied)- initial review in 2016. File review found no proper validation household meets HOME student rule and one household over income for HOME purposes. Awaiting responses on how they will bring this into compliance. PPI identified several instances of blocked egress, damaged flooring, ceiling damage and water damage to walls. Items corrected.

## 2016 ESG eCart



2016 Round 2  
ESG-CAPER-Reportir



2016 Total  
CR-65.xlsx

## Section 3 Reports



### Section 3 Summary Report

Economic Opportunities for Low- and Very Low-Income Persons  
**U.S. Department of Housing and Urban Development**  
 Office of Fair Housing and Equal Opportunity

OMB Approval No. 2529-0043  
 (exp. 11/30/2018)

Disbursement Agency
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330
01-0312916

Reporting Entity
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330

Dollar Amount:	\$104,046.00
Contact Person:	Paula Weber
Date Report Submitted:	01/17/2017

Reporting Period		Program Area Code	Program Area Name
From	To		
01/01/2016	12/31/2016	LBA	Lead-Based Paint Abatement

**The expenditure of these funds did not result in any covered contracts or new hires during the 12-month period selected.**





### Section 3 Summary Report

Economic Opportunities for Low- and Very Low-Income Persons  
**U.S. Department of Housing and Urban Development**  
 Office of Fair Housing and Equal Opportunity

OMB Approval No. 2529-0043  
 (exp. 11/30/2018)

Disbursement Agency
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330
01-0312916

Reporting Entity
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330

Dollar Amount:	\$1,132,182.26
Contact Person:	Paula Weber
Date Report Submitted:	01/26/2017

Reporting Period		Program Area Code	Program Area Name
From	To		
01/01/2016	12/31/2016	EMRG	Emergency Shelter Grants

**The expenditure of these funds did not result in any covered contracts or new hires during the 12-month period selected.**



### Section 3 Summary Report

Economic Opportunities for Low- and Very Low-Income Persons  
**U.S. Department of Housing and Urban Development**  
 Office of Fair Housing and Equal Opportunity

OMB Approval No. 2529-0043  
 (exp. 11/30/2018)

Disbursement Agency
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330
01-0312916

Reporting Entity
MAINE STATE HOUSING AUTHORITY
353 water street, AUGUSTA, ME 04330

<b>Dollar Amount</b>	\$7,988,799.02
<b>Contact Person</b>	Paula Weber
<b>Date Report Submitted</b>	03/02/2017

Reporting Period		Program Area Code	Program Area Name
From	To		
01/01/2016	12/31/2016	HOME	HOME Program

## Part I: Employment and Training

Job Category	Number of New Hires	Number of New Hires that Are Sec. 3 Residents	Aggregate Number of Staff Hours Worked	Total Staff Hours for Section 3 Employees	Number of Section 3 Trainees
The expenditure of these funds did not result in any new hires.					
<b>Total New Hires</b>					0
<b>Section 3 New Hires</b>					0
<b>Percent Section 3 New Hires</b>					N/A
Total Section 3 Trainees					0
The minimum numerical goal for Section 3 new hires is 30% .					

## Part II: Contracts Awarded

<b>Construction Contracts</b>	
Total dollar amount of construction contracts awarded	\$8,733,177.00
Total dollar amount of contracts awarded to Section 3 businesses	\$0.00
Percentage of the total dollar amount that was awarded to Section 3 businesses	0.0%
Total number of Section 3 businesses receiving construction contracts	0
The minimum numerical goal for Section 3 construction opportunities is 10% .	
<b>Non-Construction Contracts</b>	
Total dollar amount of all non-construction contracts awarded	\$654,018.00
Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$0.00
Percentage of the total dollar amount that was awarded to Section 3 businesses	0.0%
Total number of Section 3 businesses receiving non-construction contracts	0
The minimum numerical goal for Section 3 non-construction opportunities is 3% .	

**Part III: Summary**

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing.

No	Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contacts with community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
No	Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
No	Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
No	Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
No	Other; describe below.

Housing Developers are required to conduct outreach. No new hires were reported.