Maine Annual Action Plan

CDBG, ESG, HTF, and HOME

Plan Year 2023

Prepared by
Maine State Housing Authority
Maine Department of Economic and Community Development
February 2023
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Annual Action Plan
2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
Executive Summary

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

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

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

This document, the 2023 Maine Annual Action Plan, is the third Action Plan in the Consolidated Plan cycle. It describes how DECD and MaineHousing plan to allocate HUD block grant funds during the 2023 program year, which runs from January 1, 2023 to December 31, 2023.

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

2. Summarize the objectives and outcomes identified in the Plan

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

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

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

All future activities funded in 2023 will support at least one objective and one outcome. The framework for realizing these objectives and outcomes include the following priorities:

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

To achieve these goals, the State will use a combination of federal and state funds and other public and private funds to address priority housing and community development needs.

In 2023, the State proposes to allocate funding to the following activities.

CDBG:

• See attached CDBG Program Statement

HOME:

• $2.8 million for rental housing
• $1.4 million for tenant based rental assistance

ESG:

• $641,735 for emergency shelter operations and essential services
• $641,735 for rapid rehousing

HTF:

• $2,759,772 million for rental housing
• $306,641.21 for administrative costs

This funding will result in

• sheltering 5,500 homeless individuals
• rental assistance for 135 homeless individuals
• 200 new or rehabilitated multifamily housing units
• 50 homeowner houses rehabbed
• 1000 persons assisted by a public facility or infrastructure activity
• 50 jobs created or retained
• 125 businesses assisted

The funding levels shown in the draft Plan are estimated amounts. Once actual 2023 allocations are announced the following adjustments will be made:

• DECD will adjust the Special Projects Category in the CDBG Program budget to absorb any discrepancy from the estimated amount.
• MaineHousing will equally allocate ESG funding to emergency shelter and rapid rehousing
• MaineHousing will adjust the HOME funding allocated to rental housing to reflect any change in allocation.
• MaineHousing will allocate the HTF to rental housing.

3. Evaluation of past performance

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

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

It is important to note that the State of Maine provides affordable housing and community development through a variety of assistance programs, many of which are funded through agency resources or state appropriations. In 2022 MaineHousing assisted more than 900 First Time Home Buyers, an average of 3,625 monthly voucher households, 235 homeowners (not including over 27,500 helped with energy assistance) and more than 5,600 homeless individuals.

MaineHousing used funds to complete 9 multifamily projects, for a total of 244 units (128 for families, 86 for older adults and 30 supportive housing). In 2022, 25 projects were under construction (302 family units, 743 units for older adults and 10 supportive housing units).

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the Continuum of Care (CoC) and other interested parties. A hybrid public consultation opportunity occurred on December 20, 2022. This hearing was accessible both remotely and in person. The combined forum and public hearing was broadly advertised and was attended by seven people. The topic of the forum was the allocation of 2023 CDBG, HOME, HTF and ESG funds, and the meeting was held prior to the drafting of the 2023 Annual Action Plan.
Public hearing notice of the virtual hearing was placed on both the DECD and MaineHousing websites, and stakeholder groups were notified of the forum via email. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and interested individuals. The virtual forum/hearing was also announced via social media with postings on the MaineHousing social media sites.

5. **Summary of public comments**

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

See Attached Public Comment.

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

N/A

7. **Summary**

The Maine Department of Economic and Community Development and MaineHousing will be partner agencies for the 2023 Annual Action Plan.

All activities funded in 2023 will address one of the following goals:

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

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

The format of this Plan is mandated by HUD. HUD has provided an online template for grantees as part of its planning and reporting system called IDIS. The questions in bold and many of the tables are created automatically by IDIS. After the Plan is approved by HUD, results of plan goals will be reported each year in the Consolidated Annual Performance Evaluation Report (CAPER), another on-line document which will be produced in IDIS.
PR-05 Lead & Responsible Agencies - 91.300(b)

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

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

<table>
<thead>
<tr>
<th>Agency Role</th>
<th>Name</th>
<th>Department/Agency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lead Agency</td>
<td>MAINE</td>
<td>MaineHousing</td>
</tr>
<tr>
<td>CDBG Administrator</td>
<td>MAINE</td>
<td>Department of Economic &amp; Community Development</td>
</tr>
<tr>
<td>HOME Administrator</td>
<td>MAINE</td>
<td>MaineHousing</td>
</tr>
<tr>
<td>ESG Administrator</td>
<td>MAINE</td>
<td>MaineHousing</td>
</tr>
<tr>
<td>HTF Administrator</td>
<td>MAINE</td>
<td>MaineHousing</td>
</tr>
</tbody>
</table>

Table 1 – Responsible Agencies

**Narrative**

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

MaineHousing is also the Collaborative Applicant for the Maine Continuum of Care (CoC) and the HMIS lead agency.

**Consolidated Plan Public Contact Information**

MaineHousing has been designated as the lead agency and primary point of public contact on the Consolidated Plan and the subsequent Annual Action Plans. The Annual Action Plan for 2023 can be viewed and downloaded on the MaineHousing website.
AP-10 Consultation - 91.110, 91.300(b); 91.315(l)

1. Introduction

The Consolidated Plan reflects consultation with many agencies, organizations and private citizens of the State of Maine. These groups and individuals represent a variety of housing and community development programs and concerns. Other entities consulted include state and local governments, not-for-profit organizations, public housing authorities, representatives of the private sector, social services providers, housing providers, emergency management agencies, and the Continuums of Care among others. MaineHousing and DECD conducted an extensive public participation process to assess the needs of the state. That process included statewide meetings and forums, with notice to interested parties.

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

MaineHousing and DECD work closely to ensure that housing providers, private organizations, State and local governmental agencies, service providers, as well as the general public, are consulted during the development of the Consolidated Plan. Participation is encouraged through mailings to targeted individuals and agencies, website postings, and newspaper notices across the state. Public input is received and accepted in the form of telephone consultations, emails, Facebook comments, and testimonies at meetings and hearings.

MaineHousing in partnership with the Statewide Homeless Council and the CoC work toward a shared goal of preventing and eliminating homelessness in Maine. To that end, MaineHousing and the Statewide Homeless Council, in consultation with the CoC, have established regional Service Hubs throughout Maine. These Service Hubs bring together local service providers to coordinate services and resources. The composition of each Hub team varies, but includes representatives from local and statewide housing agencies, human service providers, healthcare organizations, law enforcement, educational institutions, and other entities and agencies that frequently interface with people experiencing homelessness.

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

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

The Maine Continuum of Care (MCoC) includes representatives of Health Service Agencies and other entities focused on chronically homeless individual and families, families with children, veterans and unaccompanied youth, as well as persons at risk of homelessness. MaineHousing provides staffing support and leadership to
the MCoC: MaineHousing is the Collaborative Applicant for the Maine Continuum of Care and the HMIS lead agency for the State of Maine. The MCoC meets monthly. Topics such as accessing HUD CoC funding, allocation of program resources, development of common assessment tools, performance measurement, and HMIS are discussed at the monthly meetings. The MCoC has also designated MaineHousing as the Management Entity for the statewide Coordinated Entry System. To that end, MaineHousing and MCoC have worked together, along with other stakeholders, to design and implement a coordinated system of service delivery and housing resources. MaineHousing, the MCoC, the Statewide Homeless Council, and the Homeless Service Hubs across Maine are also working to gather comprehensive data to compile a By Name List of all people experiencing chronic homelessness in Maine, with the objective of reducing chronic homelessness statewide.

Describe consultation with the Continuum(s) of Care that serves the State in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

Consultation on allocation:

Allocation of ESG for the State of Maine is detailed in the Homeless Solutions Rule which is posted on the MaineHousing website (https://www.mainehousing.org/docs/default-source/msha-rules/19--homeless-solutions-rule.pdf). In 2022, MaineHousing initiated a review of the rule to incorporate feedback from the MCoC and ESG Grantees. MaineHousing convened a group of representatives from 11 of the 28 grantees and conducted 5 meetings over a 4-month period to draft a revision to the rule, which became effective in December 2022. The draft rule was also presented to the full MCoC for feedback before initiation of the public hearing/comments process. Additionally, the criteria for receiving ESG funding requires that applicants be regular and active participants of the MCoC. This requirement helps ensure that the ESG awardees have a venue to regularly provide feedback to MaineHousing.

Performance Standards and Evaluation:

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

Policies and Procedures for HMIS:

In collaboration with the MCoC, all HMIS Policies and Procedures and Governance Documents are reviewed annually and updated as needed based on this review.

The HMIS Policies and Procedures underwent a full revision in 2022 in collaboration with the CoC.

2. Agencies, groups, organizations and others who participated in the process and consultations
<table>
<thead>
<tr>
<th></th>
<th>Agency/Group/Organization</th>
<th>MAINE STATE HOUSING AUTHORITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Agency/Group/Organization Type</td>
<td>Housing</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Grantee Department</td>
</tr>
<tr>
<td></td>
<td>What section of the Plan was addressed by Consultation?</td>
<td>Housing Need Assessment</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Homeless Needs - Chronically homeless</td>
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<tr>
<td></td>
<td></td>
<td>Homeless Needs - Families with children</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Homelessness Needs - Veterans</td>
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<tr>
<td></td>
<td></td>
<td>Homelessness Needs - Unaccompanied youth</td>
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<tr>
<td></td>
<td></td>
<td>Homelessness Strategy</td>
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<tr>
<td></td>
<td></td>
<td>Non-Homeless Special Needs</td>
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<tr>
<td></td>
<td></td>
<td>Anti-poverty Strategy</td>
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<td></td>
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<td>Lead-based Paint Strategy</td>
</tr>
<tr>
<td></td>
<td>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</td>
<td>Consulted through Meetings, E-mail and Phone Calls.</td>
</tr>
<tr>
<td>2</td>
<td>Agency/Group/Organization</td>
<td>MAINE</td>
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<tr>
<td></td>
<td>Agency/Group/Organization Type</td>
<td>Housing</td>
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<td></td>
<td></td>
<td>Services - Housing</td>
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<td></td>
<td></td>
<td>Services - Broadband Internet Service Providers</td>
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<td>Services - Narrowing the Digital Divide</td>
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<tr>
<td></td>
<td></td>
<td>Other government - State</td>
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<tr>
<td></td>
<td></td>
<td>Grantee Department</td>
</tr>
<tr>
<td></td>
<td>What section of the Plan was addressed by Consultation?</td>
<td>Economic Development</td>
</tr>
<tr>
<td>Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</td>
<td>Consulted through Meetings, E-mail and Phone Calls</td>
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<tr>
<td><strong>3</strong> Agency/Group/Organization</td>
<td>Maine Statewide Homeless Council</td>
<td></td>
</tr>
<tr>
<td><strong>Agency/Group/Organization Type</strong></td>
<td>Housing</td>
<td></td>
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<tr>
<td></td>
<td>Services - Housing</td>
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<tr>
<td></td>
<td>Services-Children</td>
<td></td>
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<tr>
<td></td>
<td>Services-Elderly Persons</td>
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<td></td>
<td>Services-Persons with Disabilities</td>
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<td>Services-Persons with HIV/AIDS</td>
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<td>Services-Victims of Domestic Violence</td>
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<td></td>
<td>Services-homeless</td>
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<td>Services-Health</td>
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<td>Services-Education</td>
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<td></td>
<td>Services-Employment</td>
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<td></td>
<td>Service-Fair Housing</td>
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<td></td>
<td>Services - Victims</td>
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<tr>
<td></td>
<td>Health Agency</td>
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<td></td>
<td>Child Welfare Agency</td>
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<td></td>
<td>Publicly Funded Institution/System of Care</td>
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<tr>
<td></td>
<td>Other government - State</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other government - Local</td>
<td></td>
</tr>
<tr>
<td><strong>What section of the Plan was addressed by Consultation?</strong></td>
<td>Homelessness Strategy</td>
<td></td>
</tr>
<tr>
<td>Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</td>
<td>The Statewide Homeless Council meets regularly to discuss needs and issues. MaineHousing solicited their input on the allocation of funding. They are notified of plan development, public hearings and comment periods. The Statewide Homeless Council also worked with MaineHousing and outside consultants to develop regional collaborative Service Hubs, which foster coordination on a local level throughout the state of Maine.</td>
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<tr>
<td>4</td>
<td>Maine Continuum of Care</td>
<td></td>
</tr>
</tbody>
</table>
| Agency/Group/Organization Type | Housing  
Services - Housing  
Services-Children  
Services-Elderly Persons  
Services-Persons with Disabilities  
Services-Persons with HIV/AIDS  
Services-Victims of Domestic Violence  
Services-homeless  
Services-Health  
Services-Education  
Services-Employment  
Service-Fair Housing  
Services - Victims  
Health Agency  
Child Welfare Agency  
Publicly Funded Institution/System of Care  
Other government - State  
Other government - Local |
| What section of the Plan was addressed by Consultation? | Homeless Needs - Chronically homeless  
Homeless Needs - Families with children  
Homelessness Needs - Veterans  
Homelessness Needs - Unaccompanied youth  
Homelessness Strategy |
<table>
<thead>
<tr>
<th>Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</th>
<th>The Maine Continuum of Care meets regularly to discuss needs and issues. MaineHousing solicited input on the allocation of funding. The Continuum of Care is notified of plan development, public hearings and comment periods.</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Agency/Group/Organization</td>
</tr>
<tr>
<td>Agency/Group/Organization Type</td>
<td>Housing</td>
</tr>
<tr>
<td></td>
<td>PHA</td>
</tr>
<tr>
<td></td>
<td>Services - Housing</td>
</tr>
<tr>
<td></td>
<td>Other government - Federal</td>
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<tr>
<td></td>
<td>Other government - State</td>
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<tr>
<td></td>
<td>Other government - County</td>
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<tr>
<td></td>
<td>Regional organization</td>
</tr>
<tr>
<td></td>
<td>Business Leaders</td>
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<tr>
<td></td>
<td>Civic Leaders</td>
</tr>
<tr>
<td></td>
<td>Business and Civic Leaders</td>
</tr>
<tr>
<td>What section of the Plan was addressed by Consultation?</td>
<td>Housing Need Assessment</td>
</tr>
<tr>
<td>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</td>
<td>The Maine Affordable Housing Coalition (MAHC) is a diverse coalition of more than 130 private and public sector organizations, including developers, architects, engineers, builders, investors, Community Action agencies, public housing authorities, housing and service providers, advocates and others committed to ensuring that all Mainers are adequately and affordably housed. MaineHousing and DECD are active participants in the organization. MAHC is notified of plan development, public hearings, and comment periods.</td>
</tr>
</tbody>
</table>

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

Not Applicable; all agencies and stakeholders were welcome to participate.
Other local/regional/state/federal planning efforts considered when preparing the Plan

<table>
<thead>
<tr>
<th>Name of Plan</th>
<th>Lead Organization</th>
<th>How do the goals of your Strategic Plan overlap with the goals of each plan?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuum of Care</td>
<td>MaineHousing</td>
<td>The Continuum of Care goals have been recognized in the 2020 Consolidated Plan and the subsequent 2023 Annual Action Plan.</td>
</tr>
<tr>
<td>Analysis of Impediments to Fair Housing Choice</td>
<td>MaineHousing</td>
<td>The Analysis of Impediments to Fair Housing Choice was updated in conjunction with the 2020 Consolidated Plan to identify impediments to fair housing choice and actions to address those impediments.</td>
</tr>
<tr>
<td>Qualified Allocation Plan</td>
<td>MaineHousing</td>
<td>The Qualified Allocation Plan recognizes the needs and priorities identified in the 2020 Consolidated Plan.</td>
</tr>
</tbody>
</table>

Table 3 - Other local / regional / federal planning efforts

Narrative
AP-12 Participation - 91.115, 91.300(c)

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

MaineHousing and DECD followed the State's Citizen Participation Plan and reached out to local, regional and state organizations, the CoC and other interested parties. The December 20, 2022 hybrid public consultation opportunity was accessible remotely and in person. The combined forum and public hearing was broadly advertised and was attended by seven people. The topic of the forum was the allocation of 2023 CDBG, HOME, HTF and ESG funds, and the meeting was held prior to the drafting of the 2023 Annual Action Plan.

Public hearing notice of the virtual hearing was placed on the MaineHousing websites, and stakeholder groups were notified of the forum via email. The MaineHousing email list includes community leaders, developers, CHDOs, local housing authorities, advocacy groups, not-for-profit organizations, providers of housing and services to the homeless, CoC members, and interested individuals.

Citizen Participation Outreach

<table>
<thead>
<tr>
<th>Sort Order</th>
<th>Mode of Outreach</th>
<th>Target of Outreach</th>
<th>Summary of Response/Attendance</th>
<th>Summary of Comments Received</th>
<th>Summary of Comments Not Accepted and Reasons</th>
<th>URL (If applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Public Meeting</td>
<td>Non-targeted/broad community</td>
<td>The 12/20/22 virtual forum was attended by 7 people.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Newspaper Ad</td>
<td>Non-targeted/broad community</td>
<td>Notice of the 12/20/22 public hearing was published on 12/2/22 in the Bangor Daily News, the Portland Press Herald, the Lewiston Sun Journal and the Kennebec Journal.</td>
<td></td>
<td>See Attached Public Comment.</td>
<td></td>
</tr>
</tbody>
</table>

Table 4 – Citizen Participation Outreach
Expected Resources

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

Introduction

Anticipated Resources

<table>
<thead>
<tr>
<th>Program</th>
<th>Source of Funds</th>
<th>Uses of Funds</th>
<th>Expected Amount Available Year 1</th>
<th>Narrative Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Annual Allocation: $ Program Income: $ Prior Year Resources: $ Total: $</td>
<td>Expected Amount Available Remainder of ConPlan $</td>
</tr>
<tr>
<td>CDBG</td>
<td>public - federal</td>
<td>Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services</td>
<td>11,760,505 0 0 11,760,505</td>
<td>22,542,428</td>
</tr>
<tr>
<td>Program</td>
<td>Source of Funds</td>
<td>Uses of Funds</td>
<td>Expected Amount Available Year 1</td>
<td>Narrative Description</td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Annual Allocation: $</td>
<td>Program Income: $</td>
</tr>
<tr>
<td>HOME</td>
<td>public - federal</td>
<td>Acquisition</td>
<td>4,493,753</td>
<td>0</td>
</tr>
<tr>
<td>ESG</td>
<td>public - federal</td>
<td>Conversion and rehab for transitional housing</td>
<td>1,394,301</td>
<td>0</td>
</tr>
<tr>
<td>Program</td>
<td>Source of Funds</td>
<td>Uses of Funds</td>
<td>Expected Amount Available Year 1</td>
<td>Expected Amount Available Remainder of ConPlan</td>
</tr>
<tr>
<td>---------</td>
<td>----------------</td>
<td>----------------------------------------</td>
<td>----------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>HTF</td>
<td>public - federal</td>
<td>Acquisition Admin and Planning Homebuyer assistance Multifamily rental new construction Multifamily rental rehab New construction for ownership</td>
<td>3,066,413 0 0 3,066,413 3,066,413</td>
<td>MaineHousing allocates HTF funds to new construction, rehabilitation, and financing of multi-family rental projects.</td>
</tr>
<tr>
<td>Other</td>
<td>public - federal</td>
<td>Other</td>
<td>0 0 0 0 0</td>
<td></td>
</tr>
</tbody>
</table>

**Table 5 - Expected Resources – Priority Table**

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

The ESG 100% match requirement will be met with State HOME funds and the Shelter Operating Subsidy. HOME 25% match requirement will be met with State funding for housing stabilization and relocation services, as well as interest savings on below market rate loans.
If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

Not Applicable

Discussion
### Annual Goals and Objectives

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

#### Goals Summary Information

<table>
<thead>
<tr>
<th>Sort Order</th>
<th>Goal Name</th>
<th>Start Year</th>
<th>End Year</th>
<th>Category</th>
<th>Geographic Area</th>
<th>Needs Addressed</th>
<th>Funding</th>
<th>Goal Outcome Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Improve and Preserve the Quality of Housing</td>
<td>2020</td>
<td>2024</td>
<td>Affordable Housing</td>
<td>State Of Maine</td>
<td>Improve and Preserve the Quality of Housing</td>
<td>CDBG: $4,000,000</td>
<td>Rental units rehabilitated: 50 Household Housing Unit</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Homeowner Housing Rehabilitation: 50 Household Housing Unit</td>
</tr>
<tr>
<td>4</td>
<td>Improve Public Infrastructure</td>
<td>2020</td>
<td>2024</td>
<td>Non-Housing</td>
<td>State Of Maine</td>
<td>Improve Public Infrastructure</td>
<td>CDBG: $2,800,000</td>
<td>Public Facility or Infrastructure Activities other than Low/Moderate Income Housing</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Community Development</td>
<td></td>
<td></td>
<td></td>
<td>Benefit: 1000 Persons Assisted</td>
</tr>
<tr>
<td>5</td>
<td>Improve Economic Opportunity</td>
<td>2020</td>
<td>2024</td>
<td>Non-Housing</td>
<td>State Of Maine</td>
<td>Improve Economic Opportunity</td>
<td>CDBG: $3,000,000</td>
<td>Jobs created/retained: 50 Jobs Businesses assisted: 125 Businesses Assisted</td>
</tr>
<tr>
<td>6</td>
<td>Expand Affordable Housing Opportunities</td>
<td>2020</td>
<td>2024</td>
<td>Affordable Housing</td>
<td>State Of Maine</td>
<td>Expand Affordable Housing Opportunities</td>
<td>HOME: $2,811,226 HTF: $2,982,433</td>
<td>Rental units constructed: 135 Household Housing Unit</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Rental units rehabilitated: 15 Household Housing Unit</td>
</tr>
</tbody>
</table>
### Table 6 – Goals Summary

#### Goal Descriptions

<table>
<thead>
<tr>
<th>1</th>
<th>Goal Name</th>
<th>Provide Rapid Re-Housing</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td>MaineHousing’s Homeless Solutions Rule states that all grantees must provide services based upon Rapid Re-Housing and Housing First tenets. Grantees receive access to a variety of set-aside short, medium, and long-term rapid re-housing vouchers to assist them in achieving this goal. Shelters are given training on Rapid Re-Housing and Housing First principals and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these concepts (2022-eshap-navigator-services-guide.pdf posted on the mainehousing.org website ), and have the ability to assist people experiencing homelessness access the set-aside of housing resources as well as other appropriate housing resources. Grantees utilize the Maine Navigator Services Eligibility Assessment (Maine NavSEA) to determine eligibility for Rapid Rehousing services, and provide those services to eligible households who opt for them.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2</th>
<th>Goal Name</th>
<th>Support Emergency Shelter Operations &amp; Services</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td>The current funding formula allocates 50 percent of the total ESG funding for Shelter Operations, to be disbursed to the eligible ESHAP shelters in Maine based on their Bed Capacity. “Bed Capacity” is defined as the maximum number of beds in an Emergency Shelter as indicated on an annual application for funding; however, the Bed Capacity of a Low Barrier Shelter (as indicated on the annual application) is multiplied by 125%. This multiplier is to support the higher utilization of Low Barrier Shelters and encourage all ESHAP shelters to move toward Low Barrier models where feasible. Each Emergency Shelter receives a percentage equal to the Emergency Shelter’s Bed Capacity divided by total Bed Capacity available statewide for the calendar year.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3</th>
<th>Goal Name</th>
<th>Improve and Preserve the Quality of Housing</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4</th>
<th>Goal Name</th>
<th>Improve Public Infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td></td>
</tr>
</tbody>
</table>

---

Annual Action Plan 2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
<table>
<thead>
<tr>
<th>5</th>
<th><strong>Goal Name</strong></th>
<th>Improve Economic Opportunity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6</th>
<th><strong>Goal Name</strong></th>
<th>Expand Affordable Housing Opportunities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Goal Description</strong></td>
<td>The <strong>Rental Loan Program</strong> (RLP) provides long-term mortgage financing at attractive interest rates for development of affordable rental housing in projects of five or more units.</td>
</tr>
</tbody>
</table>

Program objectives are:

- Maximize use of tax exempt bonds to develop affordable housing.
- Provide affordable mortgage financing that enables developers to utilize low income housing tax credits.
- Provide below-market, 30 year fixed rate notes that enable project viability.
- Provide capital for preservation of existing rental housing.

This program is a companion to the Low Income Tax Credit (LIHTC) program, and provides subsidized financing to enable use of tax credits. Administrative guidance for the Rental Loan Program is provided through the Rental Loan Program Guide, which is available at www.mainehousing.org. Administrative guidance for the Low Income Housing Tax Credit Program is provided through a rule making process which is required to establish the Allocation of State Ceiling for Low Income Housing Tax Credit.

Additional program funds come from the Housing Trust Fund, which will also be used to produce, preserve, acquire and/or rehabilitate rental housing for extremely low income households.
AP-25 Allocation Priorities – 91.320(d)

Introduction:

MaineHousing anticipates using funds as follows:

Rental Housing: $2.8 million HOME and $2,759,772 HTF -- The Rental Loan Program

Rental Assistance: $1,400,000 2022 HOME - Stability Through Engagement Program (TBRA)

Emergency homeless shelter operations & essential services (ESHAP): $641,735 ESG

Rapid Rehousing (ESHAP): $641,735 ESG

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

CDBG priorities are Housing, Infrastructure and Economic Development

Funding Allocation Priorities

<table>
<thead>
<tr>
<th></th>
<th>Provide Rapid Re-Housing (%)</th>
<th>Support Emergency Shelter Operations &amp; Services (%)</th>
<th>Improve and Preserve the Quality of Housing (%)</th>
<th>Improve Public Infrastructure (%)</th>
<th>Improve Economic Opportunity (%)</th>
<th>Expand Affordable Housing Opportunities (%)</th>
<th>Total (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDBG</td>
<td>0</td>
<td>0</td>
<td>40</td>
<td>30</td>
<td>30</td>
<td>0</td>
<td>100</td>
</tr>
<tr>
<td>HOME</td>
<td>33</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>67</td>
<td>100</td>
</tr>
<tr>
<td>ESG</td>
<td>50</td>
<td>50</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>100</td>
</tr>
<tr>
<td>HTF</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>100</td>
</tr>
<tr>
<td>Other CDBG-CV</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other ESG-CV</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Table 7 – Funding Allocation Priorities

Annual Action Plan
2023
**Reason for Allocation Priorities**

The funding listed above is reflective of program history and public input. Allocation amounts are based on demand and capacity of the agencies. MaineHousing and DECD strive to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.

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

The proposed 2023 funding allocations address the priorities and goals outlined in the Five-Year Consolidated Plan. The distribution of funds will follow the priorities set forth in the Consolidated Plan:

- Expand Affordable Housing Opportunities
- Provide Rapid Re-Housing
- Support Emergency Shelter Operations & Services
- Improve and Preserve the Quality of Housing
- Improve Public Infrastructure
- Improve Economic Opportunity
**AP-30 Methods of Distribution – 91.320(d) &(k)**

**Introduction:**

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

**Distribution Methods**

**Table 8 - Distribution Methods by State Program**

<table>
<thead>
<tr>
<th></th>
<th>State Program Name:</th>
<th>Community Development Block Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Funding Sources:</td>
<td>CDBG</td>
</tr>
<tr>
<td></td>
<td>Describe the state program addressed by the Method of Distribution.</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
</tr>
<tr>
<td></td>
<td>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
</tr>
<tr>
<td>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
<td></td>
</tr>
<tr>
<td>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Describe how resources will be allocated among funding categories.</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
<td></td>
</tr>
<tr>
<td>Describe threshold factors and grant size limits.</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
<td></td>
</tr>
<tr>
<td>What are the outcome measures expected as a result of the method of distribution?</td>
<td>see State of Maine 2023 Program Statement (attached)</td>
<td></td>
</tr>
</tbody>
</table>

2 State Program Name: Emergency Shelter and Housing Assistance Program (ESHAP)

Funding Sources: ESG
<p>| Describe the state program addressed by the Method of Distribution. | In consultation with the MCoC and in partnership with Emergency Shelters and Homeless Service Providers throughout the state, MaineHousing offers the ESHAP Program as an annual Grantee process to assist individuals and families who are experiencing homelessness. The funding formula allocation is detailed in the Homeless Solutions Rule and the ESG Written Standards. |</p>
<table>
<thead>
<tr>
<th>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</th>
<th>To be eligible to receive ESHAP funds an applicant must:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Be a 501(c)(3) not-for-profit organization.</td>
<td></td>
</tr>
<tr>
<td>• Be eligible in accordance with the HEARTH Act.</td>
<td></td>
</tr>
<tr>
<td>• Be a provider of homeless services with at least one year of experience providing emergency housing, street outreach, homeless prevention or Rapid Re-Housing services.</td>
<td></td>
</tr>
<tr>
<td>• Be a regular and active participant in the Maine Continuum of Care.</td>
<td></td>
</tr>
<tr>
<td>• Be a regular and active participant in their local Homeless Service Hub by participating in Hub meetings and providing relevant data to the Hubs for the generation of a by-name list of Persons Experiencing Homelessness;</td>
<td></td>
</tr>
<tr>
<td>• Have a board/advisory board that includes at least one person who is homeless or formerly homeless who is involved in policy or public planning of the organization.</td>
<td></td>
</tr>
<tr>
<td>• Participate in the Coordinated Entry System.</td>
<td></td>
</tr>
<tr>
<td>• Not engage in any explicitly religious activities, such as worship or religious instruction. If religious activities are offered, they must occur at a separate time or location from the activities and services covered in this rule.</td>
<td></td>
</tr>
<tr>
<td>• Participate in the Homeless Management Information System (HMIS) or a comparable database for victims of domestic violence and meet performance and reporting requirements.</td>
<td></td>
</tr>
<tr>
<td>For a complete list of requirements, see the Emergency Shelter and Housing Assistance Program Guide and Application (attached)</td>
<td></td>
</tr>
<tr>
<td>Applicants are funded by demonstrating they have met minimum threshold requirements. If applicants meet all criteria listed in the ESHAP Program Guide and Application, they will receive a percentage of funding as outlined in the Homeless Solutions Rule.</td>
<td></td>
</tr>
<tr>
<td>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</td>
<td><strong>Shelter Operations</strong>: An amount equal to 45% of the Funding Formula Allocation will be disbursed among Emergency Shelters, such that each Emergency Shelter will receive a percentage equal to its Bed Capacity divided by a number equal to the total Bed Capacity available statewide for the calendar year. Agencies will receive scheduled payments on a quarterly basis.</td>
</tr>
<tr>
<td>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</td>
<td></td>
</tr>
<tr>
<td>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</td>
<td></td>
</tr>
<tr>
<td><strong>Describe how resources will be allocated among funding categories.</strong></td>
<td><strong>Not Applicable</strong></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Describe threshold factors and grant size limits.</strong></td>
<td>Grants are based upon the threshold as described in the Maine Homeless Solutions Rule. MaineHousing uses up to 50 percent of ESG funding for emergency shelter operations as noted in the Operations Share description above and the remaining funds for the Stabilization Share also detailed above.</td>
</tr>
<tr>
<td><strong>What are the outcome measures expected as a result of the method of distribution?</strong></td>
<td>MaineHousing provided emergency shelter for 5,630 people in 2022. We anticipate serving approximately 5500 in 2023. All shelters receiving funding will be tracked on performance benchmarks and will receive additional funding depending on their ability to meet these benchmarks.</td>
</tr>
<tr>
<td><strong>3 State Program Name:</strong></td>
<td><strong>Rental Loan Program</strong></td>
</tr>
</tbody>
</table>
| **Funding Sources:** | HOME  
HTF |
<table>
<thead>
<tr>
<th>Describe the state program addressed by the Method of Distribution.</th>
</tr>
</thead>
<tbody>
<tr>
<td>The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine. Preservation may include federally-assisted housing, such as HUD 202, HUD 811 and Rural Development 515 properties at risk of being lost due to the expiration of federal rental assistance contracts, physical or financial deterioration, and/or owners opting out of federal housing programs. To achieve the goals of this Program, MaineHousing will make various resources available in the form of amortizing loans, deferred payment loans and/or grants under this Program or in conjunction with the Program from time to time, including without limitation, the following resources:</td>
</tr>
<tr>
<td>- taxable bond proceeds;</td>
</tr>
<tr>
<td>- private activity tax-exempt bonds;</td>
</tr>
<tr>
<td>- 501(c)(3) or governmental unit tax-exempt bond proceeds; and</td>
</tr>
<tr>
<td>- subsidy resources.</td>
</tr>
<tr>
<td>These resources are usually combined with equity generated from the syndication of Low Income Housing Tax Credits (LIHTC) and/or Maine’s Affordable Housing Tax Credits. Competitive credits and “automatic” credits are awarded in accordance with Maine’s Qualified Allocation Plan. Additional program funds come from the Housing Trust Fund, which will also be used to produce, preserve, acquire and/or rehabilitate rental housing for extremely low income households. Applicants for state or federal tax credits who commit to providing units for individuals with specific housing needs may receive HTF funds for those dedicated units. MaineHousing attempts to maximize the benefit of these limited resources by combining the resources and encouraging applicants to seek other non-MaineHousing resources. Amortizing loans, funded with the proceeds of taxable or tax-exempt bond proceeds, for developments that do not need MaineHousing subsidy are available typically on a walk-in basis. MaineHousing allocates competitive low income housing tax credits separately under MaineHousing’s Low Income Housing Tax Credit Program. All applicants who are awarded...</td>
</tr>
</tbody>
</table>
| Describe all of the criteria that will be used to select applications and the relative importance of these criteria. | Qualified developers may apply. Applicants must:  
- Provide housing and services to vulnerable populations (for HTF units)  
- Demonstrate ability to undertake required eligible development activities and obligate funds in a timely manner  
- Demonstrate their ability to make use of additional funding sources  
- Have a satisfactory credit history and demonstrate adequate financial capacity to own and operate the housing, including the use of any available rental assistance funding.  
- Have control of the development site.  
- Demonstrate they will provide the required number of lower income units.  
- Prioritize underserved areas.  
- Meet the State’s housing priority needs as described in the Consolidated Plan: Improve and Preserve the Quality of Housing, Expand Affordable Housing Opportunities, and/or Help Maine People Attain Housing Stability.  
In addition, the management agent for the housing must demonstrate successful experience in managing similar properties.  
MaineHousing generally selects those developments that will provide the greatest amount of long term, low-income housing at the least cost of taxpayer subsidy dollars. |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>low income housing tax credits on a competitive basis or are eligible for “automatic” low income housing tax credits must comply with the applicable Qualified Allocation Plan. MaineHousing may make various additional discretionary subsidy resources available from time to time.</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</td>
<td></td>
</tr>
<tr>
<td>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</td>
<td></td>
</tr>
<tr>
<td>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</td>
<td></td>
</tr>
</tbody>
</table>
| Describe how resources will be allocated among funding categories. | HOME and HTF funds allocated to the Rental Loan Program are expected to be used for the construction, acquisition and rehabilitation, and rehabilitation of qualified residential rental projects.

HTF units must be provided to individuals with specific housing needs and incomes at or below 30% of Area Median Income (AMI). The estimated FY 2023 HTF Allocation Amount is $3,066,413.21; of that $2,759,772 is for direct investment in unit production. HUD regulations allow MaineHousing to use up to ten percent ($306,641.21) of the state allocation for reasonable costs to administer the HTF. |
| Describe threshold factors and grant size limits. | A. Combination of Available Resources
MaineHousing attempts to maximize the impact of the limited resources it has available by combining resources and encouraging applicants to seek other non-MaineHousing sources of funding.

B. Tax-exempt Bond Financing
MaineHousing may issue tax-exempt bonds under Section 142(d) or Section 145 of the Internal Revenue Code (Code) as a source of funding under the Program. The Code imposes certain requirements and limitations on the use of tax-exempt bond proceeds. There may be additional requirements under the Program.

C. Non Tax Exempt Proceeds
Non tax exempt proceeds are used mostly in conjunction with an allocation of low income housing tax credits under the competitive Low Income Housing Tax Credit Program.

D. Subsidy Resources
Any project receiving subsidy is subject to the regulatory requirements associated with the subsidy resource. |
<table>
<thead>
<tr>
<th><strong>What are the outcome measures expected as a result of the method of distribution?</strong></th>
<th>MaineHousing expects to create or preserve 150 new rental units, 7 to 10 of which will be rental units serving extremely low income households using the HTF.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4</strong></td>
<td><strong>State Program Name:</strong></td>
</tr>
<tr>
<td></td>
<td>Stability through Engagement Program (STEP) TBRA</td>
</tr>
<tr>
<td></td>
<td><strong>Funding Sources:</strong> HOME</td>
</tr>
<tr>
<td></td>
<td><strong>Describe the state program addressed by the Method of Distribution.</strong></td>
</tr>
<tr>
<td></td>
<td>STEP is designed to provide short- and medium-term rental assistance for up to 24 months to help individuals and families experiencing homelessness achieve housing stability. Referrals to the STEP Program can only be made by the Housing Navigators, and the Maine Coordinated Entry System (MCES) as the system develops.</td>
</tr>
<tr>
<td></td>
<td><strong>Describe all of the criteria that will be used to select applications and the relative importance of these criteria.</strong></td>
</tr>
<tr>
<td></td>
<td>Rapid Re-housing participants may be eligible to receive short- and medium-term rental assistance, for a maximum of 24 months, through STEP if they meet the following requirements (unless prohibited by VAWA):</td>
</tr>
<tr>
<td></td>
<td>• Staying in a shelter or working with an ESHAP provider.</td>
</tr>
<tr>
<td></td>
<td>• Enrolled and participating in ESHAP with an approved Housing Stability Plan.</td>
</tr>
<tr>
<td></td>
<td>• Continued contact with their Housing Navigator to review progress no less than every 30 days.</td>
</tr>
<tr>
<td></td>
<td>• Reassessment to evaluate if continued assistance is necessary at 12 months.</td>
</tr>
<tr>
<td></td>
<td>• As referred to STEP from the MCES Prioritized List once the process is developed.</td>
</tr>
<tr>
<td></td>
<td>See STEP Administrative Plan for detail (attached).</td>
</tr>
<tr>
<td>If only summary criteria were described, how can potential applicants access application manuals or other state publications describing the application criteria? (CDBG only)</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Describe the process for awarding funds to state recipients and how the state will make its allocation available to units of general local government, and non-profit organizations, including community and faith-based organizations. (ESG only)</td>
<td></td>
</tr>
<tr>
<td>Identify the method of selecting project sponsors (including providing full access to grassroots faith-based and other community-based organizations). (HOPWA only)</td>
<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Describe how resources will be allocated among funding categories.</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>Describe threshold factors and grant size limits.</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>What are the outcome measures expected as a result of the method of distribution?</td>
<td>The goal for the STEP program is to administer 135 STEP coupons to rapidly re-house individuals and/or families experiencing homelessness and to keep 95% of them stably housed.</td>
</tr>
</tbody>
</table>
Discussion:

The method of distribution above relates to money budgeted to the programs mentioned. Administrative costs are partially covered by 10 percent of the annual HOME and HTF allocations and 7.5 percent of the annual ESG allocation.
AP-35 Projects – (Optional)

Introduction:

See the CDBG 2023 Program Statement

<table>
<thead>
<tr>
<th>#</th>
<th>Project Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>HOME23 TBRA</td>
</tr>
<tr>
<td>2</td>
<td>ESG23 Maine</td>
</tr>
<tr>
<td>3</td>
<td>Rental Loan Program 23</td>
</tr>
<tr>
<td>4</td>
<td>HOME23 ADMIN</td>
</tr>
<tr>
<td>5</td>
<td>HTF23 Admin</td>
</tr>
</tbody>
</table>

Table 9 – Project Information

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

The allocation priorities are reflective of program history and public input. Allocation amounts are based on demand and capacity of the agencies.

MaineHousing and DECD strive to use federal funds efficiently and effectively by combining them with other available resources that will serve as matching funds.
<table>
<thead>
<tr>
<th></th>
<th>Project Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>HOME23 TBRA</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Target Area</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Goals Supported</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Needs Addressed</strong></td>
<td>Help Maine People Attain Housing Stability</td>
</tr>
<tr>
<td></td>
<td><strong>Funding</strong></td>
<td>HOME: $1,400,000</td>
</tr>
<tr>
<td></td>
<td><strong>Description</strong></td>
<td>STEP (TBRA) is designed to provide short- and medium-term rental assistance for 24 months to help individuals and families achieve housing stability. The focus is on rapidly re-housing people who are currently experiencing homelessness. Referrals to the STEP Program can only be made by Housing Navigators.</td>
</tr>
<tr>
<td></td>
<td><strong>Target Date</strong></td>
<td>12/31/2023</td>
</tr>
<tr>
<td></td>
<td><strong>Estimate the number and type of families that will benefit from the proposed activities</strong></td>
<td>135 Households</td>
</tr>
<tr>
<td></td>
<td><strong>Location Description</strong></td>
<td>Statewide</td>
</tr>
<tr>
<td></td>
<td><strong>Planned Activities</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>ESG23 Maine</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Target Area</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Goals Supported</strong></td>
<td>Provide Rapid Re-Housing Support Emergency Shelter Operations &amp; Services</td>
</tr>
<tr>
<td></td>
<td><strong>Needs Addressed</strong></td>
<td>Help Maine People Attain Housing Stability</td>
</tr>
<tr>
<td></td>
<td><strong>Funding</strong></td>
<td>ESG: $1,387,536</td>
</tr>
<tr>
<td></td>
<td><strong>Description</strong></td>
<td>MaineHousing plans to use the 2023 allocation of ESG funds to provide grants to emergency shelters serving people who are homeless or at risk of homelessness. Grants may be used for shelter operations, rapid re-housing and HMIS data collection costs.</td>
</tr>
<tr>
<td></td>
<td><strong>Target Date</strong></td>
<td>12/31/2023</td>
</tr>
<tr>
<td></td>
<td><strong>Estimate the number and type of families that will benefit from the proposed activities</strong></td>
<td>MaineHousing anticipates serving 2,400 households with rapid rehousing funding and 5,500 people with emergency shelter funding.</td>
</tr>
<tr>
<td>Location Description</td>
<td>Statewide</td>
<td></td>
</tr>
<tr>
<td>----------------------</td>
<td>-----------</td>
<td></td>
</tr>
<tr>
<td>Planned Activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3</th>
<th>Project Name</th>
<th>Rental Loan Program 23</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Area</td>
<td>State Of Maine</td>
<td></td>
</tr>
<tr>
<td>Goals Supported</td>
<td>Expand Affordable Housing Opportunities</td>
<td></td>
</tr>
<tr>
<td>Needs Addressed</td>
<td>Expand Affordable Housing Opportunities</td>
<td></td>
</tr>
</tbody>
</table>
| Funding | HOME: $2,811,226  
HTF: $3,066,413 |
| Description | The primary goal of the Rental Loan Program is to create and preserve affordable multi-family residential rental housing in the State of Maine. The HTF has been allocated entirely to this program. Eligible activities will include acquisition and/or rehabilitation of existing housing units, adaptive re-use of existing buildings, or new construction of rental housing units. |
| Target Date | |
| Estimate the number and type of families that will benefit from the proposed activities | The 2023 goal is 150 new multifamily units, 7 to 10 of which will be new supportive housing units for extremely low income individuals. |
| Location Description | Statewide |
| Planned Activities | New construction and acquisition/rehabilitation of multifamily housing. |

<table>
<thead>
<tr>
<th>4</th>
<th>Project Name</th>
<th>HOME:23 ADMIN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goals Supported</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Needs Addressed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funding</td>
<td>HOME: $467,914</td>
<td></td>
</tr>
<tr>
<td>Description</td>
<td>HOME Admin and Program Income Admin</td>
<td></td>
</tr>
<tr>
<td>Target Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimate the number and type of families that will benefit from the proposed activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Location Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planned Activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5</th>
<th>Project Name</th>
<th>HTF23 Admin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goals Supported</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------</td>
<td>--</td>
<td></td>
</tr>
<tr>
<td>Needs Addressed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funding</td>
<td>HTF: $306,641</td>
<td></td>
</tr>
<tr>
<td>Description</td>
<td>HTF Admin</td>
<td></td>
</tr>
<tr>
<td>Target Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimate the number and type of families that will benefit from the proposed activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Location Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planned Activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
AP-40 Section 108 Loan Guarantee – 91.320(k)(1)(ii)

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

No

Available Grant Amounts

Acceptance process of applications
AP-45 Community Revitalization Strategies – 91.320(k)(1)(ii)

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

No

State's Process and Criteria for approving local government revitalization strategies
AP-50 Geographic Distribution – 91.320(f)

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

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

Geographic Distribution

<table>
<thead>
<tr>
<th>Target Area</th>
<th>Percentage of Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Of Maine</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 10 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

Maine Housing and DECD have chosen not to target particular geographical areas for special assistance.

Discussion

Please see above
Affordable Housing

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

Introduction:

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

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

<table>
<thead>
<tr>
<th>One Year Goals for the Number of Households to be Supported</th>
</tr>
</thead>
<tbody>
<tr>
<td>Homeless</td>
</tr>
<tr>
<td>Non-Homeless</td>
</tr>
<tr>
<td>Special-Needs</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>One Year Goals for the Number of Households Supported Through</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rental Assistance</td>
</tr>
<tr>
<td>The Production of New Units</td>
</tr>
<tr>
<td>Rehab of Existing Units</td>
</tr>
<tr>
<td>Acquisition of Existing Units</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

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

Discussion:

The goals listed above are in relation to HOME and HTF funding only. Additional households will be assisted with other programs offered by MaineHousing and DECD.
AP-60 Public Housing - 24 CFR 91.320(j)

Introduction:

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

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

While MaineHousing does not have jurisdiction over public housing agencies, several public housing authorities and other housing and community development agencies are required to obtain a certification that their program plans are consistent with the State of Maine Consolidated Plan. The State Consolidated Plan serves the majority of the state since only a few local jurisdictions develop Consolidated Plan documents. In 2023, MaineHousing will serve as the lead agency for reviewing housing plans for consistency with the housing component of the State Consolidated Plan.

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

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

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

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

MaineHousing is not designated as a troubled PHA.

Discussion:

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

Introduction

The Emergency Solutions Grant (ESG) program is designed to help with: operating shelter costs as well as health, employment, and housing services; rapid re-housing and housing stabilization services for homeless individuals and families; and HMIS data collection. This funding opportunity is available to existing emergency shelters throughout the state sponsored by not-for-profit organizations and local municipalities. Administrative guidance for the Emergency Solutions Grant Program is provided through the Homeless Solutions Rule, Emergency Shelter and Housing Assistance Program (ESHAP) Program Guide & Application, ESHAP Navigator Services Guide, MaineHousing ESG Written Standards, and the STEP Admin plan.

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

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

MaineHousing's Homeless Solutions Rule states that all grantees will provide services based upon Rapid Re-Housing or Housing First tenets. Grantees are given access to short, medium, and long-term rapid re-housing resources to assist them in achieving this goal. Shelters are provided training on Rapid Re-Housing and Housing First principles and are required to have a Housing Navigator at each grantee recipient location with a working knowledge of these services and concepts. All households being served complete the Maine Navigator Services Eligibility Assessment (Maine NavSEA) to determine eligibility for services and to guide the client to available housing as quickly and efficiently as possible. Grantees also utilize the Maine Coordinated Entry System (MCES) phased assessment to assess their current needs and direct them to appropriate housing options within Coordinated Entry. All shelters are given the opportunity to extend their Navigator Services to serve eligible persons experiencing homelessness who are unsheltered.

Addressing the emergency shelter and transitional housing needs of homeless persons

ESG funding will be utilized for shelter operations and rapid re-housing activities, as well as HMIS data collection. The ESG shelter funding one-year goal is to provide assistance to 5500 persons served by 40 ESG funded providers.

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

- PATH serves at-risk individuals and families with unmet mental illness or co-occurring disorders.
- The SSVF Program provides outreach and case management to at-risk veterans’ families statewide.
- Pine Tree Legal Assistance helps people facing evictions in larger cities.
- Maine DHHS uses some BRAP (Bridging Rental Assistance Program) funds for homelessness prevention.
- MaineHousing provides ESG funding and the ESHAP program to 37 shelters.
- MaineHousing provides state funding for a Rapid Rehousing program through six partner agencies across the state.
- MaineHousing provides state funding for a Housing Problem Solving program, which utilizes Rapid Resolution approaches and techniques to divert people away from homelessness prior to losing housing, or to rapidly resolve their housing crisis after housing has been lost.

The “long-term stayers” (in shelter over 180 days) initiative is a service collaborative that meets regularly to identify and target services and resources toward those persons who are heavily utilizing shelter and other emergency resources. Homeless Service Providers will continue to be funded with an emphasis on performance measures that increase the number of households able to obtain and maintain permanent housing and reduce the incidents of returns to homelessness.

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

Foster Care: Maine DHHS contracts with not-for-profit youth service providers statewide to help youth and families develop healthy transition plans and assist youth in obtaining Transitional Housing, Permanent Housing, and Permanent Supportive Housing, or to remain in care until they have finished their education. Providers actively monitor teens who are discharged from foster care to the streets or shelters, and advocate with Maine DHHS for improved policies and resources.

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

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

**Corrections:** The Statewide Homeless Council and MCoC oppose any policy that releases inmates to shelters. Although no specific Department of Corrections (DoC) policy exists to prevent release of offenders to shelters, Maine DoC’s goal is to prevent release to shelters. To achieve this goal, DoC’s policy is to begin pre-release planning 45 days prior to release (County jails begin pre-release planning at 90 days). MCoC providers work collaboratively with prison staff to help find community housing and supportive services (when needed) for inmates following release. STEP vouchers are also available with very limited parameters.

**Discussion**

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

Introduction:

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

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

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

1. Lack of Affordable Housing
2. Racial, Ethnic and Cultural Barriers
3. Community Planning and Zoning Decisions that Impede Affordable Housing
4. Lack of Availability and Access to Housing for Disabled Individuals
5. Limited access to Neighborhood Opportunities and Community Assets
6. Lack of Understanding of Fair Housing and Affirmatively Furthering Fair Housing

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

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

Discussion:

Results of actions taken to address the identified impediments to fair housing are reported in the Consolidated Annual Performance and Evaluation Report (CAPER), which is submitted annually to HUD.
AP-85 Other Actions – 91.320(j)

Introduction:

The following sections discuss other actions MaineHousing and DECD will undertake in FY 2023.

Actions planned to address obstacles to meeting underserved needs

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

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

Actions planned to foster and maintain affordable housing

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

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

- Low Income Housing Tax Credits (LIHTC)
- the Housing Choice Voucher program
- the Low Income Heating Assistance Program (HEAP) and the Weatherization program, and
- a Maine state tax credit program that will provide additional resources to support the development of affordable housing.

Actions planned to reduce lead-based paint hazards

MaineHousing currently administers a $3.8 million, 42 month HUD-funded Lead Hazard Reduction Grant Program. The program provides grants to single-family, owner-occupied homes and owners of residential rental units to make their properties lead safe. Owners of residential rental units are required to keep the units affordable (50% - 80% of AMI) for three years after the completion of the abatement work. This program includes a comprehensive Healthy Homes assessment and intervention component which addresses a variety of health and safety related housing conditions, such as indoor allergen reduction, injury prevention (falls, electrical hazards, etc.), carbon monoxide and radon, and excess heat and cold.

MaineHousing administers a $3 million State HOME funded Maine Lead Paint Hazard Abatement Program that provides grants to assist single-family, owner occupied homes and owners of residential rental units to make their homes and apartments lead safe. Owners of residential rental units are required to rent to low-income renters (at or below 100% AMI) and the units must remain affordable (Fair Market Rent rates) for
Achieving lead safe homes is accomplished by using licensed lead abatement contractors to abate lead-based paint hazards and may involve interior and exterior work. Lead-based paint abatement measures employed for both the HUD-funded and State-funded programs are based on a lead design plan and may include paint removal or stabilization, encapsulation or replacement of siding, as well as door and window replacements.

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

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

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

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

**Actions planned to develop institutional structure**

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

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

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

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

**Discussion:**

Please see above
Program Specific Requirements
AP-90 Program Specific Requirements – 91.320(k)(1,2,3)

Introduction:

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

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

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

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

Total Program Income: 0

Other CDBG Requirements

1. The amount of urgent need activities

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

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

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

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

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for

Annual Action Plan 2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
homebuyer activities as required in 92.254, is as follows:

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

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

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

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

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

The refinancing requirements include the following conditions:

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

5. If applicable to a planned HOME TBRA activity, a description of the preference for persons with special needs or disabilities. (See 24 CFR 92.209(c)(2)(i) and CFR 91.220(l)(2)(vii)).

6. If applicable to a planned HOME TBRA activity, a description of how the preference for a specific category of individuals with disabilities (e.g. persons with HIV/AIDS or chronic mental illness) will narrow the gap in benefits and the preference is needed to narrow the gap in benefits and services received by such persons. (See 24 CFR 92.209(c)(2)(ii) and 91.220(l)(2)(vii)).
7. If applicable, a description of any preference or limitation for rental housing projects. (See 24 CFR 92.253(d)(3) and CFR 91.220(l)(2)(vii)). Note: Preferences cannot be administered in a manner that limits the opportunities of persons on any basis prohibited by the laws listed under 24 CFR 5.105(a).

**Emergency Solutions Grant (ESG)**

Reference 91.320(k)(3)

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

Please see the CoC Emergency Solutions Grant (ESG) Written Standards dated November 2020 (attached).

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

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

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

Not Applicable

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

MaineHousing and its ESG Grantees currently meet the homeless participation requirement in 24 CFR 576.405(a).

5. Describe performance standards for evaluating ESG.

With assistance from HUD Technical Assistance, a monitoring tool, which includes a risk analysis score, and a CoC reporting mechanism have been created and are currently in use. Using these tools, a written report will be presented to the CoC at least annually.

**Housing Trust Fund (HTF)**

Reference 24 CFR 91.320(k)(5)

1. How will the grantee distribute its HTF funds? Select all that apply:
Applications submitted by eligible recipients

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

Not Applicable

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

Eligible applicants are:

   • Successful LIHTC applicants

Ineligible Applicants include:

   • The Applicant, any Principal thereof, or Affiliates of either
     a) has an uncorrected IRS Form 8823 in connection with any LIHTC Project to the extent it is correctable unless previously waived by MaineHousing;
     b) has been declared in default or has been 60 calendar days or more delinquent on any loan with MaineHousing, unless the default or delinquency has been cured or there is an approved payment or workout plan in good standing prior to the Application deadline;
     c) has ever been the owner of any project in which MaineHousing has foreclosed a mortgage interest or received a deed-in-lieu of foreclosure of a mortgage interest unless previously waived by MaineHousing;
     d) is presently debarred, suspended, proposed for debarment, or excluded from participation in any federal or state programs;
     e) has in the last 10 years either commenced or had commenced against it any proceeding in or for bankruptcy, receivership, reorganization or any other arrangement for relief from creditors commenced against it that affected a MaineHousing-funded project that was not dismissed within 90 calendar days; or
   • The tax credit syndicator, investor, or Affiliates of either
     a) transferred its interest in any LIHTC Project after March 25, 2014 in violation of the Ownership Transfer Rule; or
     b) failed to make any required capital contributions with respect to any LIHTC Project, and has not corrected such actions prior to the Application deadline.
     MaineHousing may reject the Application if it determines the deficiencies are not addressed.
MaineHousing may also require financial statements from the Applicant, Principal thereof, or Affiliates of either.

Funds remaining after the initial RFP process may be distributed by MaineHousing under a subsequent RFP available to all or a subset of the above eligible recipients. Individuals are not eligible to receive direct assistance from the HTF. The State does not intend to use sub-grantees in the 2023 funding cycle.

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

MaineHousing will distribute HTF funds through a competitive process by selecting applications that are submitted by eligible recipients under the rules of MaineHousing’s Qualified Allocation Plan (QAP) for LIHTC. Scoring will be based upon a combination of the required selection criteria located at 24 CFR§91.320[k][5] and selection criteria adopted by MaineHousing. The QAP will be available on the MaineHousing website.

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

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

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

All tenants must be limited to 30% of AMI or less.

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

MaineHousing will require that affordability be for a 30 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.

Scoring Criteria:

- Extent to which project provides housing and services to vulnerable populations (for HTF units)
- Extent to which applicant demonstrates ability to undertake required eligible development activities
and obligate funds in a timely manner

- Extent to which applicant demonstrates their ability to make use of additional funding sources
- Extent to which applicant demonstrates a satisfactory credit history and adequate financial capacity to own and operate the housing, including the use of any available rental assistance funding.
- Extent to which applicant demonstrates control of the development site.
- Extent to which project provides the required number of lower income units.
- Extent to which project prioritizes underserved areas.
- Extent to which project meets the State’s housing priority needs as described in the Consolidated Plan: Improve and Preserve the Quality of Housing, Expand Affordable Housing Opportunities, and/or Help Maine People Attain Housing Stability.

In addition, the management agent for the housing must demonstrate successful experience in managing similar properties.

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

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

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

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

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

MaineHousing may make Section 8 Housing Choice Vouchers available on a “project-based” basis for eligible units funded with HTF.

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

Annual Action Plan
2023

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MaineHousing will require that affordability be for a 30 year term. The affordability requirements will be outlined in a deed covenant that will be recorded in the applicable registry of deeds.

h. Describe the grantee’s required priority for funding based on the merits of the application in meeting the priority housing needs of the grantee (such as housing that is accessible to transit or employment centers, housing that includes green building and sustainable development features, or housing that serves special needs populations). If not distributing funds by selecting applications submitted by eligible recipients, enter “N/A”.

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

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

See scoring criteria above.

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

Yes

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

Yes

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

Yes

7. **Maximum Per-unit Development Subsidy Amount for Housing Assisted with HTF Funds.** Enter or attach the grantee’s maximum per-unit development subsidy limits for housing assisted with HTF funds.
The limits must be adjusted for the number of bedrooms and the geographic location of the project. The limits must also be reasonable and based on actual costs of developing non-luxury housing in the area.

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

Total Development Cost (TDC).

Cost reasonableness will be evaluated using an index, which is the weighted average of the TDC per unit and the TDC per bedroom. For mixed-use projects, the TDC for only the residential portion of the project, including common areas, will be used for this calculation. The weighted average will be calculated as follows:

\[
\frac{[2 \times \text{TDC/unit}] + [\text{TDC/bedroom}]}{3}
\]

The product of this calculation will be referred to throughout this document as the “TDC Index”. An Application will be rejected if the TDC Index exceeds the TDC Index Cap below for a project of its type at any time prior to the later of the construction loan closing or carryover allocation.

<table>
<thead>
<tr>
<th>Type of Project</th>
<th>TDC Index Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptive Reuse</td>
<td>$337,500 per unit</td>
</tr>
<tr>
<td>New construction</td>
<td>$318,750 per unit</td>
</tr>
<tr>
<td>Acquisition and rehabilitation of existing housing</td>
<td>$206,250 per unit</td>
</tr>
</tbody>
</table>

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

In addition, the rehabilitation standards must address each of the following: health and safety; major systems; lead-based paint; accessibility; disaster mitigation (where relevant); state and local codes, ordinances, and zoning requirements; Uniform Physical Condition Standards; Capital Needs Assessments (if applicable); and broadband infrastructure (if applicable).
MaineHousing will utilize the MaineHousing Quality Standards and Procedures Manual (located on the MaineHousing website) to ensure that the rehabilitation standards located at §93.301[b] are met for all housing units rehabilitated with HTF funds. The MaineHousing Manual covers all applicable accessibility requirements, and state and local standards, codes, regulations, and zoning requirements. In addition, MaineHousing will further require that:

- The project team shall provide an estimate (based on age and condition) of the remaining useful life of the major building systems upon project completion. Major systems include: structural support and roofing; cladding and weatherproofing (e.g., windows, doors, siding, gutters); plumbing; electrical; and heating, ventilation, and air conditioning.
- For multifamily housing with 26 or more total units, the useful life of systems must be determined through a capital needs assessment that determines the work to be performed and identifies the long-term physical needs of the project.
- If the remaining useful life of one or more major systems is less than the applicable period of affordability, MaineHousing will ensure that a replacement reserve is established and that adequate monthly payments are made to repair or replace the systems as needed.

At the onset of any project, MaineHousing will conduct on-site inspections with qualified UPCS inspectors on staff to identify any deficiencies from HUD’s Uniform Physical Condition Standards (UPCS). Any such deficiencies will be addressed in the renovation scopes of work. Follow-up inspections will be conducted at the completion of the project to assure any and all identified deficiencies have been properly addressed.

(Attached are UPCS Inspectable Items and Observable Deficiencies)

**Lead-based Paint**

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

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

1. If the LBP risk assessment indicates the presence of LBP, the Part 35 provisions for the level of federal rehabilitation assistance applicable to the project, and any related requirements of the Maine DEP Lead Regulations, will apply to the project, as follows:

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

3. Ongoing LBP maintenance and re-evaluation in accordance with §35.1355 will be required if LBP has been identified on a project site.
<table>
<thead>
<tr>
<th>Goal 1: Produce Activities to Support Environmental Protection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1: Implement specific environmental protection measures</td>
</tr>
<tr>
<td>Measure 1: Establish a monitoring program for water quality</td>
</tr>
<tr>
<td>Measure 2: Rehabilitate polluted areas and wetlands</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Goal 2: Enhance Economic Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 2: Increase economic growth</td>
</tr>
<tr>
<td>Measure 1: Develop new business opportunities</td>
</tr>
<tr>
<td>Measure 2: Improve workforce training programs</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Goal 3: Improve Public Safety</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 3: Reduce crime rates</td>
</tr>
<tr>
<td>Measure 1: Increase police patrols</td>
</tr>
<tr>
<td>Measure 2: Implement community policing programs</td>
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</tbody>
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<tr>
<th>Goal 4: Foster Community Engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 4: Strengthen community bonds</td>
</tr>
<tr>
<td>Measure 1: Organize community events</td>
</tr>
<tr>
<td>Measure 2: Enhance neighborhood watches</td>
</tr>
</tbody>
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<thead>
<tr>
<th>Goal 5: Promote Health and Wellness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 5: Improve public health outcomes</td>
</tr>
<tr>
<td>Measure 1: Expand access to healthcare services</td>
</tr>
<tr>
<td>Measure 2: Implement health education programs</td>
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<table>
<thead>
<tr>
<th>Goal 6: Strengthen Government Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 6: Enhance efficiency and effectiveness</td>
</tr>
<tr>
<td>Measure 1: Implement new technology solutions</td>
</tr>
<tr>
<td>Measure 2: Refine internal processes</td>
</tr>
</tbody>
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<tr>
<th>Goal 7: Enhance Civic Engagement</th>
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</thead>
<tbody>
<tr>
<td>Objective 7: Increase voter turnout</td>
</tr>
<tr>
<td>Measure 1: Improve voting infrastructure</td>
</tr>
<tr>
<td>Measure 2: Increase voter education</td>
</tr>
</tbody>
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<tr>
<th>Goal 8: Promote International Relationships</th>
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</thead>
<tbody>
<tr>
<td>Objective 8: Strengthen international partnerships</td>
</tr>
<tr>
<td>Measure 1: Expand international trade agreements</td>
</tr>
<tr>
<td>Measure 2: Enhance cultural exchange programs</td>
</tr>
</tbody>
</table>

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<tr>
<th>Goal 9: Improve Education Quality</th>
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</thead>
<tbody>
<tr>
<td>Objective 9: Increase graduation rates</td>
</tr>
<tr>
<td>Measure 1: Implement new educational strategies</td>
</tr>
<tr>
<td>Measure 2: Enhance teacher training programs</td>
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</tbody>
</table>

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<tr>
<th>Goal 10: Enhance Infrastructure</th>
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</thead>
<tbody>
<tr>
<td>Objective 10: Improve public infrastructure</td>
</tr>
<tr>
<td>Measure 1: Expand public transportation services</td>
</tr>
<tr>
<td>Measure 2: Enhance maintenance and repair programs</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>OMB Control No:</td>
<td>2506-0117 (exp. 09/30/2021)</td>
<td>Information about the OMB control number.</td>
</tr>
<tr>
<td>Overview</td>
<td>Overview of the plan</td>
<td>Summary of the plan's goals and objectives.</td>
</tr>
<tr>
<td>Key Objectives</td>
<td>Key objectives for the year</td>
<td>Specific goals and targets for the year.</td>
</tr>
<tr>
<td>Action Items</td>
<td>Action items for implementation</td>
<td>Detailed tasks and actions to achieve the objectives.</td>
</tr>
<tr>
<td>Resources</td>
<td>Resources required for implementation</td>
<td>Description of the resources needed.</td>
</tr>
<tr>
<td>Timeline</td>
<td>Timeline for implementation</td>
<td>Schedule of activities and deadlines.</td>
</tr>
<tr>
<td>Performance Measures</td>
<td>Performance measures</td>
<td>Metrics to evaluate the success of the plan.</td>
</tr>
<tr>
<td>Appendices</td>
<td>Appendices</td>
<td>Additional information and supplementary data.</td>
</tr>
</tbody>
</table>
9. **Resale or Recapture Guidelines.** Below, the grantee must enter (or attach) a description of the guidelines that will be used for resale or recapture of HTF funds when used to assist first-time homebuyers. If the grantee will not use HTF funds to assist first-time homebuyers, enter “N/A”.

Not Applicable

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

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

MaineHousing does not intend to limit beneficiaries to any particular segments of the extremely low income population. MaineHousing designed the QAP to enable applicants to target housing for vulnerable populations. However, MaineHousing will not require that applicants serve selected subpopulations. MaineHousing may award additional scoring points to applicants serving the homeless population.

MaineHousing will require that all units that receive financial assistance from the HTF be affordable to households with incomes at or below 30% of the Area Median Income. This affordability restriction will be outlined in deed covenants that will remain in place for 30 years from the date that the HTF funds are disbursed. This affordability restriction will not be contingent upon any outstanding HTF funding.

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

Not Applicable

**Discussion:**

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

Audit and Compliance Department Memorandum

To:  2023 Annual Action Plan Second Public Hearing record

From: Linda L Grotton, Director, Audit and Compliance

Date: March 16, 2023

Subject: Summary of March 16, 2023 Public Hearing

On Thursday, March 16, 2023 at 3:00 PM MaineHousing, in conjunction with the Maine Department of Economic and Community Development held a second Public Hearing for the State of Maine 2023 Annual Action Plan. The hearing was held in MaineHousing’s State of Maine Conference Room, and the hearing was open to the general public. Notices regarding the public hearing had gone out via email and in local newspapers on February 22, 2023. The published notices stated the time, date and location of the public hearing, and that the meeting rooms would be accessible to persons with physical disabilities. Contact information was provided, as was information necessary to testify virtually.

In attendance at the public hearing were Mark Wiesendanger (Director of Development), Allison Gallagher (Director of Housing Choice Vouchers), Lauren Bustard (Senior Director of Homeless Initiatives), and Linda Grotton, (Director of Audit/Compliance). Joining via the RingCentral video conference system was Deborah Johnson, Director of Community Development Maine DECD.

The Public Hearing was opened by Mark Wiesendanger stating that the purpose of the public hearing was to obtain comments on the draft 2023 Annual Action Plan. HUD requires a public hearing to gather citizen input regarding the four sources of federal funding addressed in the Action Plan:

- Community Development Block Grants (CDBG) administered by the DECD.
- Emergency Solutions Grants (ESG).
- The Home Investment Partnership Program (HOME).
- National Housing Trust Fund (HTF) program.

After the introduction, Mark opened the Hearing to public comment. No member of the public attended, and no public comments were received. Seeing no public comment, the public hearing was then closed.
NOTICE OF AGENCY RELEASING

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Do This

A weekly guide to Maine adventure, entertainment, and fun for every day of the week.

 объявлений

Список объявлений

Включая

At Your Service
Public Notices
Garage Sales
Antiques & Auctions

PUBLIC NOTICES

Town of Yarmouth Planning Board Notice of Public Hearing

The Yarmouth Planning Board will hold a public hearing on Thursday, March 10, 2023, at 7:00 pm at the Municipal Building, 88 Main Street, Yarmouth. The purpose of this public hearing will be to receive comments on the Town's Comprehensive Plan. If you are unable to attend the hearing, please submit your comments in writing to the Planning Board at the address above.

Public Notice: The Southington Board of Education will hold a public hearing on Thursday, March 1, 2023, at 7:00 pm at the Municipal Building, 88 Main Street, Southington. The purpose of this public hearing will be to receive comments on the Town's Comprehensive Plan. If you are unable to attend the hearing, please submit your comments in writing to the Board of Education at the address above.

Public Notice: The Tiverton Planning Board will hold a public hearing on Monday, March 7, 2023, at 7:00 pm at the Municipal Building, 100 Main Street, Tiverton. The purpose of this public hearing will be to receive comments on the Town's Comprehensive Plan. If you are unable to attend the hearing, please submit your comments in writing to the Planning Board at the address above.

Public Notice: The Westport Island Planning Board will hold a public hearing on Tuesday, March 8, 2023, at 7:00 pm at the Municipal Building, 100 Main Street, Westport Island. The purpose of this public hearing will be to receive comments on the Town's Comprehensive Plan. If you are unable to attend the hearing, please submit your comments in writing to the Planning Board at the address above.

Notice of Public Comment and Draft Availability: The Annual Action Plan for the Department of Housing and Urban Development (HUD) requires the State of Maine to publish an Annual Action Plan (AAP) for the upcoming fiscal year. The AAP includes information on the allocation of funds for various programs, including housing, community development, and disaster recovery. The public is invited to provide comments on the AAP for the upcoming fiscal year, which will be available for public comment through April 1, 2023. Comments can be submitted electronically through the Department's website or by mail to the Office of Community Development at the address above.

Notice of State Rulemaking: The Department of Public Safety is proposing a rule change to the Motor Vehicle Code related to the use of seat belts and airbags in vehicles. The proposed rule change would require all drivers and passengers to wear seat belts and airbags at all times while operating a motor vehicle. The proposed rule change would also require all new motor vehicles to be equipped with seat belts and airbags. The public is invited to provide comments on the proposed rule change, which will be available for public comment through April 1, 2023. Comments can be submitted electronically through the Department's website or by mail to the Office of Rulemaking at the address above.
Audit and Compliance Department Memorandum

To: 2023 Annual Action Plan Initial Public Hearing record

From: William F. Kuhl, Compliance Officer I

Date: January 24, 2023

Subject: Summary of December 20, 2022 Initial Public Hearing

On Tuesday December 20, 2022 at 2:00 PM MaineHousing, in conjunction with the Maine Department of Economic and Community Development held the Initial Public Hearing for the State of Maine 2023 Annual Action Plan. The hearing was held in MaineHousing’s State of Maine Conference Room, and the hearing was open to the general public. Notices regarding the public hearing had gone out via email and in local newspapers on December 2, 2022. The published notices stated the time, date and location of the public hearing, and that the meeting rooms would be accessible to persons with physical disabilities. Contact information was provided, as was information necessary to testify virtually.

In attendance at the public hearing were Mark Wiesendanger, Director of Development, Allison Gallagher Director of Housing Choice Vouchers, Paula Weber Compliance Officer II, and William Kuhl Compliance Officer I. Joining via the RingCentral video conference system were Deborah Johnson, Director of Community Development Maine DECD, and Lauren Bustard Senior Director of Homeless Initiatives.

The Public Hearing was opened by Paula Weber stating that this initial hearing was the kickoff meeting for the 2023 Annual Action Plan. Paula stated that HUD requires the public hearing to gather citizen input on how the funds should be allocated for four sources of federal funding:

- Community Development Block Grants (CDBG) administered by the DECD.
- Emergency Solutions Grants (ESG).
- The Home Investment Partnership Program (HOME).
- National Housing Trust Fund (HTF) program.

After introduction Paula opened the Hearing to public comment.

One person called in, Anthony Armstrong, a Portland area attorney and commercial real estate broker. Mr. Armstrong stated that he had previous experience with MaineHousing and developing single-family developments, and multi-family housing. Mr. Armstrong stated that he will reserve comment until the draft of the Annual Action Plan is open to the public. Mr. Armstrong’s main point of concern was the Low Income Housing Tax Credit (LIHTC) program. Mr. Armstrong stated that he did have comments that were more procedural in nature, and thought it strange comments were invited for a plan that did not yet exist. Mr.
Armstrong stated that it might be beneficial to have open forums in other regions of the state so the public can give their thoughts personally.  
- Seeing no other public comment the public hearing was then closed.
December 8, 2022

Public Comments Regarding the Maine 2023 Annual Action Plan

My name is Cullen Ryan and I serve as the Executive Director of Community Housing of Maine or CHOM, the largest supportive housing provider for homeless populations in Maine. Our staff of 12 works collaboratively with more than 50 different service provider organizations to effectively and efficiently house more than 1100 of Maine’s most vulnerable people. I serve in various leadership roles in working to end homelessness and have been working with homeless populations for 35 years.

I write to respectfully offer comments on the Maine 2023 Annual Action Plan.

1) As with recent years, this year’s plan has been very well thought out, and I commend MaineHousing for carefully crafting plans to align with Maine’s Plan to End and Prevent Homelessness. I am particularly pleased to see that the Stability Through Engagement Program (STEP), one of the tools very much in keeping with that plan, has transitioned into a true two-year program as of 2021 including up to twenty-four months of rental assistance. I also applaud MaineHousing for including the rollover preference to Section 8 for the relatively few people who need that assistance when their STEP subsidy expires in the most recent Plan. I fully support MaineHousing retaining these recent changes in its 2023 Plan, as they make STEP an optimized tool for ending homelessness.

2) Thank you for targeting the Housing Trust Fund (HTF) to people needing permanent supportive housing (PSH) in last year’s Annual Action Plan. I strongly encourage continuing this in the 2023 Plan by feathering this funding, and as such PSH, in with Low-Income Housing Tax Credit (LIHTC) properties. These two funding sources blend well and would enhance Maine’s ability to serve vulnerable populations within larger housing developments. There has never been a higher need for permanent supportive housing (PSH) in Maine. The HTF has become one of Maine’s most important resources for ending long term homelessness because it creates housing used to stably house this population. Feathering this funding into LIHTC properties and coupling it with rental subsidies to ensure the success of extremely low-income populations, further opens the door for this population to be welcomed into affordable housing properties throughout Maine. I am pleased that MaineHousing has returned to using the state HOME fund to create small, bricks and mortar PSH. Maine is behind in meeting this critical need and could use a significant injection of flexible resources to allow for more creative PSH models.

And thank you for making Project-Based Section 8 (PBS8) available for PSH projects – I urge that you continue to do so. PBS8 makes housing affordable and allows for deep targeting and lower barrier access, especially important for people experiencing homelessness with extremely low incomes, and it makes it feasible for populations that are disabled. PBS8 has allowed for Housing First models to exist in Maine, and it has allowed people experiencing long term or chronic homelessness to be stably housed. I would encourage MaineHousing to also consider making critical PBS8 available for permanent supportive housing projects developed through the LIHTC program and funding sources outside of the Supportive Housing Program. This would allow housing developers to leverage other funding resources for the construction and/or acquisition/rehab of the housing itself, using PBS8 to feasibly address operational costs. This would significantly increase capacity for urgently needed permanent supportive housing development in Maine.

One City Center, 4th Floor · Portland, ME 04101 · phone 207.879.0347 · fax 207.879.0348
www.chommhousing.org

Annual Action Plan

2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
3) Thank you for using ESG funds for the ESHAP program – I have no doubt that this will continue in the 2023 Annual Action Plan. There is brilliance to this design as it puts housing navigators to work in homeless shelters to support access to housing and to support people after they secure housing. Most homeless shelters would have no other means to pay for integral housing navigators. ESHAP is perfectly in keeping with Goal One of Maine’s Plan to End and Prevent Homelessness. Thank you for recently announcing changes to the Homeless Rule that would improve upon this program design by streamlining ESHAP resource allocations. And thank you for recent program improvements that expand this critical program it to other organizations and nonprofits that are not classified as emergency shelters, similar to MaineHousing’s Rapid Re-Housing Program that launched during the pandemic. I hope that this practice continues in the 2023 Annual Action Plan because it will assist in Maine’s critically needed homelessness diversion strategy. It also allows for “virtual” homeless shelters that provide everything needed to end homelessness while a person stays very briefly (if at all) in a motel, etc. This deepens Maine’s toolbox in ending and preventing homelessness, and Maine has numerous dedicated organizations standing at the ready and well poised to carry out this critical housing access and stability work.

Thank you for putting such thought into well-designed approaches to resource design and allocation in recent years.

Please consider furthering diversion and prevention efforts including in particular funding additional housing support workers – people who can help the homeless population find their way into housing. This model has proven successful in places like Hennepin County Minnesota where 1200 people in Emergency Rental Assistance funded hotels became 0 people in hotels largely through investments in Housing Focused Case Management. This model has produced a 97% retention rate in housing. Hennepin County also benefited from motels/hotels being converted into single room occupancy housing, which increased housing opportunities for this population.

Thank you very much for the opportunity to comment in advance of the 2023 Annual Action Plan being formally drafted. It allows for broad stakeholder input and support.
Annual Action Plan 2023

Legal Notices

Boats/Marine

Motorcycles/Mopeds

Agriculture General

Sports Utility

Carpeting

Pickups/4 Wheel Drives

Fuel & Firewood

Pet Supplies

Tactors/Trailers/Trucks

Transportation General

Legal Notices

The following legal notices are related to the classified ads in the magazine.

Boats/Marine

Motorcycles/Mopeds

Agriculture General

Sports Utility

Carpeting

Pickups/4 Wheel Drives

Fuel & Firewood

Pet Supplies

Tactors/Trailers/Trucks

Transportation General
Inflation gauge closely monitored by the Fed as it slows to still-high 6%

By Paul Wiseman
WASHINGTON — The U.S. Federal Reserve reported Thursday that core inflation, a measure that excludes volatile energy and food prices, fell to 5.9% in October from 6.6% in September, but it remains high and will be closely watched by central bankers as they consider tightening interest rates.

"Inflation is a key concern for the Fed," said economist Paul Ashworth of Capital Economics. "They will be watching these numbers closely as they consider their next steps." The Fed has forecast a 5.4% increase in personal consumption expenditures (PCE) prices for 2023, but it's up to 6.3% on an annualized basis.

"The Fed is in a bind," said Ashworth. "They want to see inflation come down, but they also want to avoid recessions. They're trying to walk a tightrope." The Fed is set to hold its first policy meeting of 2024 in December, and market expectations are for at least one more rate hike.

"The Fed is trying to do a difficult balancing act," said Ashworth. "They want to avoid depressions, but they also want to avoid inflation. They're in a tough spot." The Fed has already raised rates by 1 percentage point this year and is expected to announce another quarter-point hike in December.

"The Fed is in a tight corner," said Ashworth. "They want to see inflation come down, but they also want to avoid recessions. They're trying to walk a tightrope." The Fed is set to hold its first policy meeting of 2024 in December, and market expectations are for at least one more rate hike.

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PRICES

COMBINED STOCKS ON THE NYSE AND NASDAQ (Index: Average/Dividend Yield)

WIDELY HELD MUTUAL FUNDS

MARKET ROUNDPUP (Saturday, December 1, 2023)

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STEP Administrative Plan – January 1, 2023
SECTION 1: GENERAL POLICIES
[Emergency Services & Housing Assistance Program Navigator Services Process Guide]

A. Purpose of the Plan
To describe MaineHousing’s policies for the Stability Through Engagement Program (STEP), funded under the HOME Investment Partnerships Program regulations at 24 CFR Part 92 (Fed HOME regulations)

While STEP operates in strict accordance with federal regulations, the Plan is not intended to restate mandated policies and procedures of the United States Department of Housing and Urban Development (HUD). To the extent that anything in this Plan contradicts federal law or regulations, now existing or hereafter amended from time to time, the federal law or regulation will take precedence.

The goal of this Plan is to provide an overview of MaineHousing policies. More detailed procedures, forms and related program documents are described in the current Emergency Shelter and Housing Program (ESHP) Program Guide and Application. Unless otherwise specified in this Plan, or the Program Guide, STEP shall be guided by the policies and procedures established in the current MaineHousing Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs. The Administrative Plan is available on the MaineHousing website at the following link: http://www.mainehousing.org/programs-services/rental/rentaldetail/HousingChoiceVouchers

B. MaineHousing’s Equal Access Policy
Maine State Housing Authority (“MaineHousing”) does not discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, 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, gender identity or expression, 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:

Lauren Bustard
Maine State Housing Authority 26
Edison Drive
Augusta, Maine 04330
Telephone Number (207) 626-4600 (voice) or 1-800-452-4668 (voice in state only)
or Maine Relay 711

In the administration of its programs, MaineHousing will comply with, and will require its Owners to comply with, all applicable nondiscrimination and equal opportunity laws, including without limitation the following laws, as amended from time to time:

• The Fair Housing Act (42 U.S.C. 3610-3619).
• Title VI of the Civil Rights Act of 1964.
• The Age Discrimination Act of 1975.
• Executive Order 11063, Equal Opportunity in Housing, 1962, as amended.
• Executive Order 12259, 46 FR 1253 (1980), as amended.
• Executive Order 12892, 59 FR 2939 (1994).
• Section 504 of the Rehabilitation Act of 1973.

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OMB Control No: 2506-0117 (exp. 09/30/2021)
• Title II of the Americans with Disabilities Act, 42 U.S.C. 12101.
• Violence Against Women Act

C. Fair Housing Complaints
MaineHousing provides assistance to applicants and Participants claiming illegal discrimination by printing the equal housing logo or slogan on all outreach information; posting equal housing posters in all offices; assisting applicants and Participants in completing appropriate paperwork; and referring families experiencing problems to the Maine Human Rights Commission, HUD, or other legal services.

All applicants receive a copy of Form HUD-903.1 “Are You a Victim of Housing Discrimination” which includes the toll-free number for the Housing Discrimination Hotline and the address for filing a complaint with HUD.

D. Code of Conduct
1. Conflicts of Interest
   Neither MaineHousing, nor its contractors, subcontractors, or Agents may enter into any contract or arrangement in connection with the Programs in which any of the following persons has a direct or indirect interest during service or for one year after service.

   • Any present or former commissioner of MaineHousing (except a Participant commissioner).
   • Any employee of MaineHousing, or any contractor, subcontractor or Agent for MaineHousing, who formulates policy or influences decisions with respect to the Program.
   • Any public official, member of a governing body, or State or local legislator, who exercises functions or responsibilities with respect to the Programs.
   • Any member of the United States Congress.

   Any person listed above must disclose his or her direct or indirect interest, or prospective interest, in such a contract or arrangement to MaineHousing and to HUD. HUD may waive the above conflict of interest provisions for good cause.

   No employee, commissioner or Agent of MaineHousing shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

   • The employee, officer, or Agent,
   • Any member of their family,
   • Domestic partner,
   • Or an organization which employs, or is about to employ any of the above, has a financial or other interest in the firm selected for the award.

   Any Agent may not provide administrative services in connection with any Unit in which the Agent has an ownership interest or for which the Agent provides any type of management service. In the event an Agent owned or managed Unit is located within the Agent’s jurisdiction, MaineHousing will retain a substitute administrator for such Unit.

2. Gifts and Other Compensation
   Any employee or commissioner of MaineHousing may not accept any gift, compensation or service beyond nominal value from any person or organization with which MaineHousing does business. This prohibition includes persons and organizations that have done business with MaineHousing in the recent past and those considering or attempting to do business in the future. Any person or entity that is a contractor, subcontractor, or Agent for MaineHousing in connection with the
Programs may not accept any gift, compensation or service beyond nominal value from any person or organization associated with the Programs.

Compensation includes gifts, services, or money to members of the immediate Family or Household of the employee, contractor, subcontractor or Agent, or gifts, services or money given to anyone on behalf of the employee, contractor, subcontractor or Agent. Employees, contractors, subcontractors and Agents need to be sensitive to the appearance of impropriety in accepting any gift, service or compensation of any value, including the purchase of meals. No gift, service or compensation may be accepted if the intent is to influence decision-making. Employees, contractors, subcontractors and Agents should use prudent judgment when evaluating the purpose of the gift giving and in the acceptance of the gift, even a token item of minimal value. Employees, contractors, subcontractors and Agents are also prohibited from accepting multiple gifts, services or compensation from one person or organization, which when combined would be beyond nominal value in any calendar year.

Compensation from public speaking engagements, other than compensation for actual expenses, is subject to MaineHousing’s policy if (i) the subject of the speech or discussion relates to MaineHousing’s business, or (ii) the event or occasion for the speech is sponsored or hosted by an individual or organization with which MaineHousing transacts business.

3. Remedies for Violation
MaineHousing may take disciplinary action up to and including termination for any conduct by an employee that violates any of MaineHousing’s policies, including its conflicts of interest and gifts and other compensation policies. The timing, sequence, and degree of discipline will depend upon the facts and circumstances of each case. Maine law also provides for the removal of a commissioner or director for misconduct in office, after notice and a hearing.

E. Area of Operation
MaineHousing’s area of operation will be statewide in the State of Maine. The STEP Program may be administered in whole or in part by MaineHousing in different areas of the State of Maine.

F. MaineHousing Staff
MaineHousing staff will work with grantees of the Program. At a minimum, MaineHousing staff will provide the following services:

- Review Program applications and determine applicant eligibility based upon:
  - Verification of homelessness documents
  - Income eligibility documents
  - Results of Criminal Background Check
- Review and approve or deny Request for Unit Approval
- Arrange the initial Housing Quality Standard (HQS) inspection, provided the unit is available. An assigned HQS inspector will conduct all inspections.
- Process all documents necessary for landlord payments and manage all correspondence and calculations in regards to tenant and program payments to landlords
- Complete subsidy calculations
- Calculate Utility Allowances
- Arrange for any Informal review or hearing procedures
- Process all necessary client terminations or end of program participation

G. Homeless Initiatives Program Officers
Monitor client files to ensure that the grantee complies with recordkeeping requirements

H. Housing Assistance Navigator
In addition to the roles and expectations referenced in the ESHAP Program Guide, each grantee of the

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Program will have at least one Primary Navigator whose responsibilities for the Program will include, but are not limited to the following:

- Assist applicants in preparing and submitting Program applications
- Assist applicants in the development of a Housing Stability Plan
- Conduct coupon briefings for households approved for Program Coupons
- Assist applicants with housing search and placement
- Provide Outreach to and negotiation with landlords
- Review all Program Request for Unit Approval documents necessary to request a unit inspection
- Assist with submitting rental applications and understanding leases
- Assess housing for compliance with Emergency Solutions Grant (ESG) requirements for habitability, lead-based paint, and rent reasonableness
- Assist with obtaining utilities and making moving arrangements
- Conduct re-evaluations of participant progress, including updating the Housing Stability Plan at least every 90 days
- Assist with mediation between the program participant and the owner or person(s) with whom the program participant is living as is necessary to prevent the program participant from losing permanent housing
- Provide credit and budget coaching necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems
- Provide Renter Education
- Meet periodically with MaineHousing Staff for Technical Assistance

SECTION 2: ELIGIBILITY AND REQUIREMENTS


A. Homelessness

The Program offers short-term or medium-term rental assistance targeted to homeless individuals and families that meet HUD homeless status eligibility as outlined in 42 USC § 11302 (a) (1)(2)(3)(4) & (b)

B. Income Guidelines

For STEP, the Applicant’s annual income must be at or below 60% of area median income (AMI) for their Household size. However, up to 10% of the total number of Participants receiving rental assistance under the STEP Program may have annual income up to 80% of area median income. Income includes gross Household income from all sources. The rules under HUD’s Section 8 Housing Choice Voucher Program will be used to determine annual income and area median income.

C. Housing Stability Plan

Participation in a Housing Stability Plan (Plan) is a requirement in this Program. In the case of participants covered under VAWA, a stability plan is optional. A Plan will be developed and agreed upon by all adult members of the household and the Navigator. The Navigator will review and update the Housing Stability Plan with the household at least every 90 days.

D. Applicants with Disabilities

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Applicants with Disabilities or with a Family member with Disabilities that require a reasonable accommodation in order to fully utilize the Program will be given an opportunity to request an accommodation at the time of application and at any time throughout participation in the Program. MaineHousing will make reasonable accommodations to allow a person with Disabilities equal access to the Program. In response to a request for a reasonable accommodation, MaineHousing may request reliable Disability-related information that (1) is necessary to verify that the person meets the definition of “Disability” under applicable federal and State of Maine statutes and regulations, (2) describes the needed accommodation, and (3) shows the relationship between the person’s Disability and the requested accommodation. The information will be provided by a reliable third party who is in a position to know about the person’s Disability, such as a doctor, other medical professional or non-medical service agency. Medical records or other detailed information about the nature of the Disability will generally not be necessary. All information provided will be used by MaineHousing only to make or assess a decision to grant or deny a reasonable accommodation request.

SECTION 3: PROCEDURES FOR PARTICIPANT SELECTION
[24CFR§92.2099c]

A. Participant Selection

MaineHousing will accept completed applications for the Program from awarded grantees of the ESHAP Program. Incomplete applications will not be processed. Completed applications will be submitted for review and final approval by the Occupancy Specialist. Applications will be received on a first come first served basis only when there is funding available.

The Occupancy Specialist will review the completed application for eligibility. Submission of a completed application does not ensure admission to the Program. Once the Occupancy Specialist approves the application and background checks they will notify the Navigator and authorize them to schedule the Coupon Issuance Briefing with the applicant. Coupon Issuance Briefings should take place within one week of approval.

Depending on the results of the application process, the applicant and his or her Household may be denied a Coupon.

Any applicants that are on an existing Centralized Housing Choice Voucher (HCV) waiting list will remain on that list. To remain active, applicants are responsible for maintaining and updating any necessary information while they are on any waiting list.

SECTION 4: SUBSIDY STANDARDS
[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 5 Part II]

A. Bedroom Allocation

The following factors will be considered in determining bedroom allocations:

- Number of persons;
- Relationship of persons;
- Sex and age of persons; and
- Need to avoid overcrowding, maximize use of space, and minimize subsidy costs.

Bedrooms are allocated as follows:

- One bedroom for each two persons with a designation of HEAD/CO-HEAD or SPOUSE within the household, except in the following circumstances: Single head of household with additional family members not designated as a spouse or co-head will be allocated a separate bedroom.
- One bedroom for each additional family member (other adult) not designated as a spouse or co-
head.
- One bedroom for each two Children under 18 of the same gender. Children of the same gender who are 10 years apart in age will be allocated separate bedrooms.
- Children under 18 of different genders will be allocated separate bedrooms.
- One bedroom for an approved Live-in Aide.
- One bedroom for single person families
- Expectant head with no other household members will be allocated two bedrooms
- Head with expectant spouse/cohead with no other household members will be allocated 2 bedrooms

Minor and full time college students who spend 50% or less time with the Family will not be considered for bedroom allocation. In no case will two currently-assisted Households, leased under any rental assistance program, be allowed to collect subsidy for the same Dependent(s). Exceptions may be granted by the Occupancy Specialist if justified by the age, sex, health, Disability, or relationship of Family members or other circumstances, or by the size of the rooms in the Unit.

SECTION 5: ABSENCE FROM UNIT
[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 5 Part I.C. & Chapter 12 Part I.E.]

A Family must notify the Navigator if it is absent from the Unit for 30 days in any 45-day period. During the absence from the Unit, the Housing Assistance Payment will be paid and the Family must pay the tenant portion of the rent. If the Family is absent from a STEP Unit for a period exceeding 60 consecutive days for reasons other than health or emergency, Housing Assistance Payments will be terminated.

Families must comply with requests for verifications of health or emergency reasons or rental assistance will be terminated. Incarceration is not a health or emergency reason. Absences for any reason other than health or emergency reasons must be approved by the Occupancy Specialist.

SECTION 6: FAMILY BREAKUP
[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 3 Part I.C.]

In the absence of a judicial decision or an agreement among the original family members, the MaineHousing will determine which family will continue to receive assistance. In making its determination, MaineHousing will take into consideration the following factors: (1) the interest of any minor children, including custody arrangements; (2) the interest of any ill, elderly, or disabled family members; (3) the interest of any family member who is the victim of domestic violence, dating violence, sexual assault, or stalking, including a family member who was forced to leave an assisted unit as a result of such actual or threatened abuse; (4) any possible risks to family members as a result of criminal activity; and (5) the recommendations of social service professionals.

When there are minor children in the Family, the adult Family member who is a signatory to the lease and is providing primary housing for the minor children retains the subsidy. Generally, when there are no minor children and an adult Family member leaves the Unit any remaining adult Family member who is a signatory to the lease retains the subsidy. Exceptions may be made on a case-by-case basis for extenuating circumstances.

SECTION 7: SCREENING FOR CRIMINAL ACTIVITY
[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 3 Part III.D.]

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MaineHousing will screen each applicant and adult member of the applicant’s Household for criminal activities, including Drug-related Criminal Activity, Violent Criminal Activity, and other criminal activity. An “adult” is a person who is 18 years of age or older, a person who was convicted of a crime as an adult when under the age of 18, or an emancipated minor. “Household” means the Family and any Live-in Aide approved by MaineHousing.

Each adult member of the applicant Household will be required to sign a release form authorizing any law enforcement agency to release criminal conviction records. A refusal to submit a signed release form will disqualify the applicant Household from consideration for participation in the Program. MaineHousing will use the criminal conviction records information for admission screening and in determining whether to approve the addition of an adult Family member or a Live-in Aide as an occupant of the Unit. The Navigator may also consider information contained in criminal records in connection with the development of the Housing Stability Plan for a Program participant to determine obtainable housing stability of the applicant.

MaineHousing may obtain information concerning criminal activity for which there is no conviction from any other additional sources that are available to MaineHousing.

The Navigators will encourage Owners to check prior references and perform any background checks they may be using as a tenant selection criteria for potential tenants.

SECTION 8: DENIAL OF ADMISSION

[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 3 Part III.B. & C. & Chapter 16 Part III.A.]

A. Mandatory Denial for Criminal Activity

An applicant Household will not be eligible for admission to the Program if:

- Applicant or any Household member has ever been convicted of the manufacture or production of methamphetamine on the Premises of any federally-assisted housing, including the building or complex in which rental Units are located and the common areas and grounds.
- Applicant or any Household member is subject to a lifetime registration requirement under a sex offender or other sex crime registration program of the State of Maine or any other state.
- Maine Housing Policy: MaineHousing will deny assistance to any current user of Medical Marijuana in accordance with the Quality Housing and Work Responsibility Act of 1998, 42 U.S.C. § 13661.

B. Discretionary Denial for Criminal Activity

An applicant Household may be denied admission to the Program, at MaineHousing’s discretion, for other criminal activity, whether or not such activity has resulted in an arrest or conviction. In determining whether to deny admission to the Program when denial is not mandatory, MaineHousing may consider all relevant circumstances, including but not limited to the following: the seriousness of the matter; the amount of time since the criminal activity occurred; the extent of participation or culpability of individual Household members; any mitigating circumstances; and the effects of denial of admission on Family members who were not involved in the activity. As a condition of admission to the Program, MaineHousing, in its discretion, may require, among other things, proof of enrollment in, or successful completion of, a supervised Drug, alcohol or other rehabilitation program.

C. Denial for Owing Money to MaineHousing

The Occupancy Specialist may deny assistance to an applicant who owes monies to MaineHousing, or any other housing authority, unless the applicant has paid the funds in full or entered into a repayment agreement,
prior to admission. If repayment arrangements are made, a copy of the repayment agreement must be submitted to the Navigator and become a part of the applicant’s Stability Plan.

The Occupancy Specialist may deny assistance to an applicant who is not in good standing in regards to the terms of the repayment agreement with MaineHousing or any other housing authority.

D. Informal Reviews for Applicants

Applicants who are denied admission to the Program may seek an informal review. MaineHousing shall give an applicant prompt written notice of the denial decision. The notice shall contain a brief statement of the reasons for the decision; inform the applicant that he or she may request an informal review of the decision; and describe how to obtain the informal review. The informal review may be conducted by any person other than the person who made or approved the decision or a subordinate of that person. The applicant will be given the opportunity to present written or oral objections to the decision to deny assistance. MaineHousing will promptly notify the applicant and Navigator in writing of the final decision after the informal review, including a brief statement of the reasons for the final decision.

No opportunity for informal review will be given for the following:

- Discretionary administrative determinations or consideration of general policy issues or class grievances.
- A determination of the number of bedrooms entered on the Coupon.
- A determination that a Unit located by a Coupon holder does not comply with HQS or MaineHousing standards.
- Disapproval of an Owner’s lease for the Unit.
- A decision not to approve a request by a Coupon holder for an extension of the term of the Coupon beyond the initial 120 issuance.

SECTION 9: COUPON ISSUANCE, TERM, EXTENSIONS AND MOVING RESTRICTIONS

[MaineHousing Housing Choice Voucher Administrative Plan – Chapter 2 Part II.A, Chapter 5 Part II.D. & E. & Chapter 10 Part I]

A. Coupon Term and Extensions

Each Coupon is the Family's authorization to search for housing and is issued after the Family has been verified eligible by the Occupancy Specialist and briefed on program requirements by the Navigator. The Coupon also describes the Family’s obligations.

Each Coupon, will initially be issued to the Family for a 120-day period during which time the Family is expected to find a Unit to rent. The Family must submit to the Navigator a completed Request for Unit Approval, signed Lease Addendum, Landlord W-9, Lead Paint Disclosure and unsigned copy of the lease within the 120-day period, unless an extension is granted by the Occupancy Specialist. The Family must submit a request for an extension in writing at least seven days before the expiration date on the Coupon. Authorization for an extension must be approved before the expiration of the Coupon or any extension. No suspension of time will be allowed. Exceptions may be made on a case-by-case basis for extenuating circumstances.

The Navigators should make themselves available to assist applicants and participants in locating and retaining housing and should reach out to Owners of rental property throughout the community.

The Occupancy Specialist may grant a 60-day extension for the following reasons:

- Extenuating circumstances, such as death or illness, which prevent the Family from
finding a Unit;

- The Family submits "Request(s) for Unit Approval" which are denied by MaineHousing's Occupancy Specialist, or several Units fail;
- The Family size or market conditions make finding a Unit difficult.

If a Family does not find a Unit within the timeframe allowed, the Coupon is no longer valid. The Family may submit a new application and will be subject to the application review process.

If a Family with a member who is disabled requests in writing an additional extension as a reasonable accommodation, and makes such request prior to the expiration of the coupon, or original extension, MaineHousing will make an evaluation, based on regulations under Section 504 of the Rehabilitation Act of 1973 as amended (Section 504), and may grant an additional extension as a reasonable accommodation for families with a member who is disabled and needs an accessible Unit.

B. Moving Restrictions

During the initial term of the lease, MaineHousing will not allow any move by the Participant Family without the consent of the Owner unless an exception is granted by the Occupancy Specialist.

Exceptions may be granted for, but not limited to:

- Verified domestic violence
- Documented hate crimes
- Verified appropriate medical reasons
- Verified job offers
- The Unit becomes unsafe or unsanitary without the fault of the tenant Family or any of its guests and the Owner fails or refuses to satisfactorily remedy the situation within the time required by the Occupancy Specialist.

Unless excused by a provision of the lease or by law, tenants must pay all money owed to an Owner for unpaid rent or damages before moving to another Unit under the Program. MaineHousing will terminate assistance for unapproved moves.

SECTION 10: OWNERS


A. Outreach to Owners

The Navigators are available to assist applicants and participants in locating and retaining housing by reaching out to Owners of rental property throughout the community. MaineHousing in conjunction with Navigators will encourage Owners and property managers to participate in the Program by:

- Outreach to and negotiation with landlords.
- Assisting with mediation between the program participant and the owner or person(s) with whom the program participant is living as necessary to prevent the program participant from losing permanent housing.
- Developing and maintaining Program information for Owners and property managers.
- Addressing local Owner groups.
- Advertising via:
  - Newsletters/community resources guides/flyers
  - Local Owner publications.
The Navigators may identify areas where participants are experiencing difficulty in finding rental housing and make presentations to Owners and property managers in those areas.

Owners are encouraged to check prior references and perform any background checks they may be using as tenant selection criteria for potential tenants.

B. Owner Enforcement

Owners will be notified in writing of any violation of Owner obligations and will be given a specified period of time during which to take corrective action. Failure to correct violations will result in abatement of the rental assistance payments for those days the Owner was in non-compliance and could result in termination of the rental assistance payments through the Program as well as disapproval as a participating Owner in the future.

The Owner may not assign the rental assistance payments to a new Owner without the prior written consent of MaineHousing and must abide by the terms and conditions regarding assignment transfer.

C. Disapproval of Prospective Owners

MaineHousing reserves the right to disapprove Owners from participating in the Program if:

- The Owner is in noncompliance, or has a history of noncompliance, with this or any other federal or state housing program, or state or local codes; or
- The Owner engages, or has a history of engaging, in abusive or violent behavior or criminal activity, including but not limited to:
  - Actual or implied threats or harm
  - Actions that threaten the health, safety or peaceful enjoyment of tenants
  - Abusive language
  - Stalking or harassment

SECTION 11: HOUSING QUALITY STANDARDS
[24CFR§ 92.209(j) & MaineHousing Housing Choice Voucher Administrative Plan Chapter 8, Part I]

A. Inspection Standards

MaineHousing will inspect Units to ensure that the Units and the buildings in which they are located are decent, safe and sanitary. MaineHousing will use the Housing Quality Standards (HQS) established by HUD regulations in 24 CFR Section 982.401 as the minimum standard for compliance.

B. MaineHousing Standards

In addition to HQS, MaineHousing has adopted additional local required inspection and performance standards as detailed in Chapter 8, Part I, Sections 8-I.A and 8-I.B. of MaineHousing’s Housing Choice Voucher Administrative Plan

C. Housing Inspection

1. Initial Inspections

MaineHousing will conduct initial inspections within a reasonable amount of time of receiving a completed Request for Unit Approval packet. The initial inspection must comply with all HQS and MaineHousing inspection and performance standards before rental assistance payments can begin.
MaineHousing will notify the Owner of items needing repair. If the Owner is unwilling to make the necessary repairs, the Unit may not be occupied by the applicant.

2. Other Inspections
Special inspections will be performed at the request of the Family or the Owner or at the Occupancy Specialist’s discretion.

In the event of an extension of rental assistance beyond the initial 12 month term, the unit, or any subsequent unit, must pass an annual inspection by a MaineHousing HQS Inspector.

All inspections will be conducted using the HQS Inspection Checklist developed by HUD and also including the MaineHousing standards required by this Plan.

Program Owners must comply with applicable Section 504 regulations relating to modifications to their Units and must also comply with all other provisions of all civil rights and fair housing laws.

D. Owner Responsibility; Follow-up Inspections

If a Unit is occupied by a Participant, the Owner must correct within 24 hours life-threatening violations including but not limited to non-working smoke detectors, hazardous electrical situations, non-working carbon monoxide detectors, or loss of heating during the winter months, and must correct within 48 hours emergency violations including but not limited to loss of running or hot water. Other violations must be corrected within 30 days unless an extension is granted by the Occupancy Specialist.

MaineHousing will notify the Owner, Navigator and Participant of the violations and the time limit within which to correct them.

MaineHousing will verify that the 24-hour and 48-hour deficiency repairs have been made, and perform a follow-up inspection as soon as possible. For all other deficiencies, MaineHousing will verify correction of the deficient items after all required repairs have been completed.

If violations are not corrected within the stated time limit, Housing Assistance Payments will cease beginning the first of the following month. If violations are corrected while the tenant is still a participant in the Program, payments may begin again as of the date of the correction.

If the Unit is determined to be uninhabitable because of fire, flood, or natural disaster damage, the rental assistance for that Unit will be terminated as of the end of the month in which the Unit was made uninhabitable. No 30-day notice of rental assistance termination will be required. The Family will be issued a Coupon to search for a new Unit.

E. Tenant-Caused HQS Violations

MaineHousing will notify the tenant, Navigator and the Owner of a tenant-caused HQS violation and the time limit within which to correct it. A tenant-caused violation is:

- Failure to pay for tenant-supplied Utilities,
- Failure to provide and maintain any tenant-supplied appliance, and
- Damage caused by the tenant or a guest to the Unit or Premises that is an HQS failure.

Tenants must make restitution for tenant-caused HQS violations. If the tenant fails to do so, the Owner may evict the tenant and MaineHousing may terminate Housing Assistance Payments.
SECTION 12: RENT REASONABLENESS
[24CFR§92.209(f) & MaineHousing Housing Choice Voucher Administrative Plan Chapter 8 Part III]

MaineHousing will accept units by area and bedroom size that meet or are below the effective Voucher Payment Standards established for the Housing Choice Voucher program.

MaineHousing will use a rent reasonableness system in accordance with HUD guidelines to compare program Units with market rate Units. Specifically, the system in place will allow MaineHousing to establish appropriate rents for program Units by comparing them to unassisted Units, taking the following into consideration: location, Unit size and Unit type. If the rental amount for a particular unit exceeds the HUD approved rent amount, and the landlord is not willing to negotiate a lower rental amount, the Occupancy Specialist may research the rental market in that specific area to obtain documentation to determine if the rent amount is justified.

SECTION 13: UTILITY DEPOSITS
[24CFR§92.209(a)]

The STEP Program may provide a one-time utility deposit to assist Participants in obtaining utility services for their Unit. Utility deposit assistance may be used only for Utilities permitted under the Section 8 Housing Choice Voucher utility allowance, which includes electricity, gas, oil, sewer and water, but does not include telephone and cable television. A utility deposit may be provided under the STEP Program only if (i) the tenant Family has been issued a rental assistance Coupon, (ii) the Unit selected by the tenant Family has passed inspection, and (iii) the tenant Family has entered into a lease with the Owner.

STEP Utility Deposits will be made on behalf of a Family directly to the utility company, upon receipt of proper documentation, and will not be recaptured by the STEP Program.

SECTION 14: SECURITY DEPOSITS
[24CFR§92.209(a), 24CFR§92.209(j)]

The Program may provide a security deposit on behalf of the Family to assist them in securing a Unit under their initial lease. A security deposit may be provided under the Program only if (i) the tenant Family has been issued a rental assistance Coupon, (ii) the Unit selected by the tenant Family has passed inspection, and (iii) the tenant Family has entered into a lease with the Owner.

If a participating Family is authorized by MaineHousing to move to a new Unit with more bedrooms that requires a security deposit in excess of the initial security deposit amount provided by MaineHousing, MaineHousing may provide the additional amount to assist the Family in securing the new Unit. If a participating Family is authorized by MaineHousing to move to another Unit with the same number of bedrooms, or fewer, the security deposit for the subsequent Unit is the responsibility of the Family. Exceptions for additional security deposits payments may be approved by MaineHousing Staff.

Security Deposits will be made directly to the Owner/landlord on behalf of a Family and will not be recaptured by the Program, but shall be returned to the Family. Owners must comply with all requirements of Maine law applying to security deposits to include those provisions governing return of security deposits upon termination of the tenancy.

MaineHousing will prohibit the Owner from collecting a security deposit in excess of two months’ rent. Tenant is responsible for any pet deposit that may be charged. Exceptions for additional security deposits payments may be approved by MaineHousing Staff.
SECTION 15: RENTAL ASSISTANCE PAYMENTS AND EXTENSIONS
[24CFR§92.209(e)]

A. Assistance Payments

MaineHousing will issue rental assistance payments to Owners, or their designated representatives. The Owner will be paid on or about the first day of the month for which the rental payment is due. The Owner agrees that the Owner’s endorsement on the check or acceptance of the Electronic Funds Transfer (EFT) will be conclusive evidence that the Owner received the full amount due for the month, and will be a certification that:

- The Unit is in decent, safe and sanitary condition, and that the Owner is providing the services, maintenance and Utilities agreed to in the lease for the Unit.
- The Unit is leased to and occupied by the tenant named in the lease.
- The Owner has not received and will not receive any payments as rent for the Unit other than those identified in the lease.
- To the best of the Owner’s knowledge, the Unit is used solely as the tenant’s principal residence.

Payments for move-ins and move-outs, with effective dates not on the first day of the month, will be prorated to reflect the actual number of days.

If MaineHousing determines that the Owner is not entitled to any payments received, in addition to other remedies, MaineHousing may deduct the amount of the overpayment from any amounts due the Owner, including the amounts due under any other Program rental assistance payment.

B. Extensions of Assistance

Each participant will be allowed up to 24 months of rental assistance, subject to review and compliance with all requirements of the Program. At the end of the initial 12-month term, the Occupancy Specialist will process a recertification of income and family composition. Additional information regarding extensions is detailed in Section 19 B of this Plan.

SECTION 16: LEASE TERM AND OTHER PROVISIONS
[24CFR§92.209(e)-(g)]

The initial term of the lease between the Owner and the tenant will be for one year. For STEP the initial term may be less than one year if both parties agree to a shorter term.

No lease, or lease renewal that proposes to increase the amount of rent or change utility responsibilities for the Unit being rented, will be effective during the term of rental assistance unless it has been approved in advance by MaineHousing.

SECTION 17: INCOME, ASSETS, EXPENSES AND MINIMUM RENT

A. Income, Assets & Expenses

The income, assets and expenses allowed for each tenant Family are described in HUD’s Section 8 Housing Choice Voucher regulations, 24 C.F.R. Part 5, Subpart f and 24 C.F.R. Part 982, Subpart E.

For tenant Family income, assets and expenses MaineHousing will not accept written third-party

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verification provided directly from the tenant Family. If attempts to obtain verification are unsuccessful, MaineHousing will document oral verifications. Such documentation will include facts, date of contact, and source of information. If third-party verifications cannot be obtained, MaineHousing may accept secondary sources of verification.

MaineHousing will not include, as assets, assets valued at $1,000 or less that have been disposed of for less than fair market value.

MaineHousing may conduct an interim reexamination at any time to assist a participant in the STEP Program.

B. Minimum Rent

MaineHousing will require each tenant Family to pay a minimum of 30% of their adjusted gross income per month toward their rent and/or utility allowance.

SECTION 18: CHANGES IN INCOME OR HOUSEHOLD COMPOSITION
[24 CFR § 92.203.]

A. Income Changes

A change resulting in the reduction of the Family’s income, and therefore, their share of the rent, will be effective as of the first of the month following the date of the reported change.

Families are not required to report any other changes in income or expense unless they are a zero/minimal income family or a new family member brings income to the household. Changes in income must be reported within 14 days of the change.

Families with income that has been excluded as sporadic income, may be required to report changes on a quarterly basis.

If a family reports a change that it was not required to report and that would result in an increase in the family share of the rent, MaineHousing will note the information in the tenant file, but will not conduct an interim reexamination.

If a family reports a change that it was not required to report and that would result in a decrease in the family share of rent, MaineHousing will conduct an interim reexamination.

Families may report changes in income or expenses at any time.

A change resulting in an interim certification will be effective on the first of the month following the notice given by MaineHousing.

B. Household Composition

The Family must inform the Navigator of the birth, adoption, or court-awarded custody of a child within 14 days of the event. Written approval from the landlord must be submitted to the Navigator when a Participant wants to add a member to the Household. The Participant must then have the approval of the Occupancy Specialist before adding any Household member or a Live-in Aide as an occupant of the Unit. Each additional adult Household member will be required to provide documentation regarding identity, citizenship status, income, and meet all other program requirements. As a condition of approval of the additional Household member, MaineHousing will screen each additional adult member for criminal activities and background. The additional adult member will be required to submit a signed release form authorizing any law enforcement agency to release criminal conviction records to MaineHousing and

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MaineHousing's use of the records and information to determine whether to approve the additional member as an occupant of the Unit. A refusal or failure to submit a signed release form for this purpose will result in a denial of approval to add the adult member as an occupant of the Unit. MaineHousing may obtain information concerning criminal activity for which there is no conviction from any other additional sources that are available to MaineHousing.

MaineHousing will deny approval to add the adult member as an occupant of the Unit if any of the reasons stated in Mandatory Denial for Criminal Activity exists. MaineHousing may deny such approval for any of the reasons stated in Discretionary Denial for Criminal Activity.

SECTION 19: VOUCHER TERM, VOUCHER RENEWAL AND PROGRAM COMPLETION
[Emergency Services & Housing Assistance Program Navigator Services Process Guide]

A. Voucher Term

Program participants are required to meet monthly with their Navigator and to review and update their housing stability plan quarterly. The agency providing Navigator services may be exempt from the requirement to meet with program participants monthly because they also receive funding under the Violence Against Women Act (VAWA) or the Family Violence Prevention and Services Act (FVPS), as these prohibit making housing conditional on the program participant's acceptance of services.

B. Voucher Renewal

Participants are eligible for assistance for twelve months beyond the end of their initial 12 month term. Program Participants must work with their Navigator to submit updated family composition and income paperwork to the Occupancy Specialist as part of an annual recertification process. Annual paperwork will be sent to the participant 105 days before the effective date of the certification.

- How the renewal will allow the participant to achieve housing stability;
- What specific steps the participant and the Navigator will take to ensure that the participant achieves housing stability during the renewal;
- The agency must also commit in writing to providing all necessary ongoing navigator services required to ensure the participant achieves housing stability prior to the end of any renewal, including monthly check-ins;
- These services must be provided for the duration of any renewals(s), unless the participant is exited from the Program;
- Funding to provide these services cannot be charged to the ESG Housing and Stabilization Share of agency’s ESHAP funding as they will be taking place outside the initial 12 month time limit for ESG Housing and Stabilization Services.

To be eligible to request a voucher renewal the following will be considered:

- A determination that the Participant continues to meet Program eligibility requirements.
- A determination that a Participant has made some progress towards achieving the goals set forth in his or her Housing Stability Plan.
- A determination that a Participant has not violated Program Obligations.

If a renewal is needed the following information will be required as part of the annual recertification:

- Updated HMIS, DHHS and MaineHousing ROI forms for all household members
- Updated Income Verifications from all sources for all adult household members
- Updated Housing Stability Plan relevant to the renewal
  - If the client intends to stay in the current unit:
    - The unit must PASS re-inspection by a MaineHousing HQS Inspector
  - If the tenant intends to move to a new unit:

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The tenant must give proper notice to their current landlord
- The tenant must complete and return a L.I. packet
- The new unit must PASS inspection by a MaineHousing HQS Inspector
- The tenant will be responsible for the Security Deposit for the new unit

Any additional extension requests must be submitted in writing within ten days prior to the expiration of the voucher renewal.

If the request for an extension beyond the 24 months, is denied, a written notice of the denial will be sent to the tenant and Navigator, and the tenant’s rental assistance will terminate as originally scheduled at the end of their 24 month term.

C. Program Completion

If a household completes the Program, their Housing Assistance Payments will end. A household will be considered to have completed the Program if:

- The household has completed their Housing Stability Plan and the goals set to attain housing stability;
- The household has voluntarily decided to withdraw from the program; or
- The household no longer needs the subsidy i.e. they can pay the entire rental amount without assistance.
- The Household has received the maximum 24 months of assistance.

SECTION 20: TERMINATION
[MaineHousing Housing Choice Voucher Administrative Plan Chapter 12 Part I]

MaineHousing will terminate Housing Assistance Payments for a Participant if:

- Any Household member has ever been convicted of Drug-related Criminal Activity relating to the manufacture or production of methamphetamine on the Premises of any federally-assisted housing, including the building or complex in which rental Units are located and the common areas and grounds.
- Any Household member is found to be a lifetime registrant on any sex offender registry.

MaineHousing may terminate Housing Assistance Payments for a Participant if any one or more of the following activities, conditions, or events occurs or exists:

- The Participant commits a serious or repeated violation of the lease.
- The Participant fails to make payments on monies owed to MaineHousing or any other housing authority.
- Any Household member commits fraud, bribery or any other corrupt or criminal act in connection with the Program.
- Owns or has any interest in the Unit.
- Any Household member engages in any Drug-related Criminal Activity.
- Any Household member engages in any Violent Criminal Activity.
- Any Household member engages in abuse of alcohol, illegal Drugs, or criminal activity that threatens the health, safety or peaceful enjoyment of the Premises by other residents (including property management staff residing on the Premises) and persons residing in the immediate vicinity of the Premises.

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• Subleases or otherwise transfers the Unit or assigns the lease.
• Receive Program assistance while receiving another housing subsidy for the same Unit or a different Unit under any other Federal, State, or local housing assistance program.
• Damages the Unit or Premises (other than ordinary wear and tear) or permits any guest to damage the Unit or Premises.
• Receives Program assistance while residing in a Unit owned by a parent, child, grandparent, grandchild, sister or brother of any member of the Family, unless MainHousing has determined (and has notified the Owner and the Family of such determination) that approving the rental of the Unit, notwithstanding such relationship, would provide a reasonable accommodation for a Family member who is a person with Disabilities.
• Any Household member is violating a condition of probation or parole imposed under Federal or state law.
• Any Household member threatens or engages in abusive or violent behavior toward any person including but not limited to actual or implied threats of harm, abusive language, or stalking or harassment.
• The Participant fails to meet the Participant obligations stated in HUD regulations or Program documents. These obligations include, but are not limited to:
  ▪ Supplying any information that MainHousing determines to be necessary including information of Family Household income and composition.
  ▪ Disclosing and verifying social security numbers and signing and submitting consent forms for obtaining information.
  ▪ Promptly notifying the Navigator in writing when the Family is away from the Unit for an extended absence.
  ▪ Obtaining written approval from the Owner and Navigator prior to adding any additional Household member or Live-in Aide to the Unit.
  ▪ Allowing MainHousing to inspect the Unit at reasonable times and after reasonable notice.
  ▪ Notifying the Navigator and the Owner in writing at least 30 days before moving out of the Unit or terminating the lease.
  ▪ Using the Unit as the Family’s only residence.
  ▪ Notifying the Navigator in writing, within 14 days of the event, of the birth, adoption or court-awarded custody of a child.
  ▪ Giving the Navigator a copy of any Owner eviction notice upon receipt of notice.
  ▪ Paying any utility bills and providing and maintaining any appliances that the Owner is not required to provide under the lease.
  ▪ Paying the tenant portion of the monthly rent to the Owner.

In deciding whether to terminate Housing Assistance Payments, the Occupancy Specialist may consider the preponderance of evidence, which, in situations involving the termination for criminal activity, shall not require an arrest or conviction; the seriousness of the matter; the extent of participation or culpability of individual Household members; mitigating circumstances and the effects of termination on Family members who were not involved in the action.

In appropriate cases, the remaining Family members may be allowed to continue to receive assistance on the condition that any Household member who has engaged in domestic violence, Drug-related Criminal Activity or Violent Criminal Activity does not reside in the Unit. The Occupancy Specialist will ask the remaining Head of Household to sign an agreement not to allow the offending Household member(s) to reside in the Unit occupied by the Household. The Occupancy Specialist may terminate Housing Assistance Payments to any Family who violates the agreement.

Terminations related to circumstances of Domestic Violence, Dating violence, Sexual Assault or Stalking shall be administered in accordance with the applicable provisions of MaineHousing’s Administrative Plan for Section 8 Housing Choice Voucher and Project Based Voucher Programs then in effect, the Violence against Women Act of 2013 (VAWA) and the applicable HUD regulations.

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Once a decision to terminate Housing Assistance Payments is made, a 30-day written notice will be sent to the tenant, Navigator and Owner. If MaineHousing decides to terminate Housing Assistance Payments, the Rental Assistance Payment Contract will terminate and the Lease Addendum will become null and void as of the date stated in the notice.

SECTION 21: TERMINATION HEARINGS AND ACTIONS NOT REQUIRING INFORMAL HEARINGS
[MaineHousing Housing Choice Voucher Administrative Plan Chapter 12 Part II]

A. Termination Hearings
MaineHousing shall give a Participant an opportunity for an informal hearing to consider whether decisions relating to the individual circumstances of the Participant are in accordance with applicable laws, HUD regulations and MaineHousing policies relating to a decision to terminate assistance for the Participant.

MaineHousing shall give a Participant prompt written notice of any decision that may result in a request for a hearing. The notice of the decision will be sent by mail to the Participant’s last known address and shall contain the following:

- A brief statement of the reasons for the decision.
- The specific proposed action to be taken.
- A statement informing the Participant that an informal hearing may be requested within 10 days of receipt of the notice.
- A statement of how, where and when the request for hearing should be submitted.
- A statement that the Participant has the right to view any documents or evidence in the possession of MaineHousing upon which MaineHousing based its proposed action before the informal hearing.
- A statement that Housing Assistance Payments will continue during the informal hearing process.

Termination hearings conducted will comply with the following:

- The hearing will be conducted by a hearing officer in accordance with the Maine Administrative Procedures Act.
- At his or her own expense, a Participant may be represented by a lawyer or other representative.
- Prior to a hearing, Participant shall be given the opportunity to examine, and copy at their own expense, any documents, including records and program regulations, directly relevant to the hearing. MaineHousing will consider reasonable requests to waive the obligation to pay for documents a Participant may request which are directly relevant to the hearing. MaineHousing will provide the Participant with all documentary evidence it intends to enter into evidence at the hearing at no charge.
- MaineHousing must be given the opportunity to examine and copy at its offices before the hearing any Participant documents that are directly relevant to the hearing. The Participant must provide MaineHousing with any documents they wish to enter into evidence at the Hearing. The Participant may not rely on a document at the hearing that was not made available for inspection and copying.
- The person conducting the hearing will regulate the conduct of the hearing in accordance with these procedures.
- MaineHousing and the Participant shall be given the opportunity to present evidence and question witnesses. Evidence may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.
- The person conducting the hearing shall issue a written decision, briefly stating the reasons for the decision, and provide a copy of the decision to the Participant within 7 business days of the decision.
hearing.

- Factual determinations relating to the individual circumstances of the Participant shall be based on a preponderance of the evidence presented at the hearing. The issues at the hearing will be whether MaineHousing's decision relating to the individual circumstances of the Participant were in accordance with applicable laws, HUD regulations and MaineHousing policies. The hearing shall not be a complete review of whether MaineHousing should have undertaken the proposed action. The hearing officer is not to impose the hearing officer's judgment on the wisdom of the decision.

MaineHousing shall not be bound by any hearing decision which is contrary to HUD regulations, Federal, State or local law, or this Plan, or which concerns a matter for which an informal hearing is not required to be provided and is in excess of the authority of the person conducting the hearing. If MaineHousing determines that it is not bound by a hearing decision, it shall promptly notify the Participant of the determination and the reasons for the determination.

B. Actions not Requiring Informal Hearings

No opportunity for an informal hearing is provided for the following actions:

- Determinations that a Unit does not comply with HUD Housing Quality Standards or additional inspection and performance standards imposed by MaineHousing.
- Decisions to exercise any remedy against the Owner of a Unit, including but not limited to the termination of Housing Assistance Payments.
- Determinations that a Unit does not comply with HQS because of Family size.
- Decisions on how MaineHousing determines its utility allowance schedule.
- Discretionary administrative determinations or consideration of general policy issues or class grievances.
- Decisions not to approve a Unit or tenancy.
- Decisions not to approve a request by a Participant for an extension of the term of a Coupon issued.

SECTION 22: PROGRAM FRAUD

[MaineHousing Housing Choice Voucher Administrative Plan Chapter 14]

MaineHousing is dedicated to maintaining the integrity of the Program and will take positive steps to prevent the occurrence of program abuse, misrepresentation or fraudulent activity by Owners or program Participants.

A. Owner Fraud and Program Abuse

Fraudulent or program abuse activities by Owners include but are not limited to:

- The Owner receiving payment in excess of the rent stated in the lease.
- The Owner receiving payment for a Unit that is not occupied by the Participant Family identified in the lease as the occupants of that Unit.
- The Owner receiving payment for a Unit that the assisted Family has vacated.

Actions that MaineHousing may take when an Owner has committed fraud or other program abuse include, but are not limited to:

- Deducting the amount of any overpayment from any amounts due the Owner, whether or not related to the fraud or program abuse.
- Terminating the rental assistance payments.
- Reporting violations to appropriate federal or state governmental agencies.
• Disapproving the Owner for further participation in the Program.

B. Applicant and Participant Fraud and Program Abuse
Fraudulent or program abuse activities by applicants or Participants include but are not limited to:

• Failure to report changes in Household income or assets within 14 days to the Navigator.
• Failure to report changes in Household composition within 14 days to Navigator.
• Allowing unauthorized individuals to reside in the Unit.
• Owning or having any interest in the Unit.

Actions that MaineHousing may take when an applicant or Participant has committed fraud or other program abuse include but are not limited to:

• Mandatory repayment to MaineHousing of all rental assistance, utility deposit, and security deposit payments that were made as a result of fraudulent information.
• Denial of assistance.
• Termination of assistance.
• Reporting violations to appropriate federal or state governmental agencies.

SECTION 23: PAYMENT POLICIES ON MONIES OWED
[MaineHousing Housing Choice Voucher Administrative Plan Chapter 14 Part II]

If a Participant or Owner owes MaineHousing money, MaineHousing will notify the party of the amount owed and will offer a choice of payment in full or a repayment agreement. MaineHousing may, at its discretion, terminate Housing Assistance Payments for noncompliance with a signed repayment agreement. MaineHousing will maintain records of monies owed for such things as overpayments and/or fraud recovery.

A. Participant Accounts

Participant accounts will be accompanied by a repayment agreement to be completed and returned by the Participant.
• If the Participant fails to sign the agreement, MaineHousing may send notice that the bill must be paid or Housing Assistance Payments will be terminated.
• If the Participant owes monies to MaineHousing and is entitled to a utility reimbursement, MaineHousing will notify the Participant that this reimbursement will be withheld until the monies owed are paid in full.

The Participant will be given 30 days from the date of the notice in which to object.

B. Owner Accounts

If Owner accounts of monies owed to MaineHousing in excess of $150.00 are not cleared by the date specified, MaineHousing will be entitled to exercise one or more rights and remedies available under the law or in equity and may report the non-payment to appropriate federal or state governmental agencies.

APPENDIX – DEFINITIONS

Coupon: A document issued by MaineHousing to an applicant selected for admission to the Program describing the program and procedures for approval of a Unit selected by the applicant. The Coupon also states the obligations of the Family under the program.
Dependent: A member of the Family, other than the Head of Household, spouse, or foster children or adults, who is under 18 years of age, a person with a Disability, or a full-time student.

Disability or Disabilities: Disability includes any physical or mental condition that (a) substantially limits one or more of a person’s major life activities, or (b) significantly impairs physical or mental health, or (c) requires special education, vocational rehabilitation or related services, or (d) is specified in accessibility laws, to include orthopedic, visual, speech and hearing impairments, cerebral palsy, autism, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, Human Immunodeficiency Virus infection or AIDS, mental retardation, and psychiatric illness, amyotrophic lateral sclerosis, chronic obstructive pulmonary disease, Crohn’s disease, cystic fibrosis, substantial disfigurement, kidney or renal diseases, lupus, major depressive disorder, mastectomy; intellectual disability, paralysis, Parkinson’s disease, pervasive developmental disorders, rheumatoid arthritis, schizophrenia, acquired brain injury, and alcoholism. An individual who has a record of any of these conditions or who is regarded as having or is likely to develop any of these conditions is also considered a person with a disability. This definition does not include a person whose disability is based solely on Drug or alcohol dependence.

Drug: A controlled substance as defined in Section 102 of the federal Controlled Substances Act (21 U.S.C. §802) or a Scheduled Drug as defined in Title 17-A of the Maine Revised Statutes.

Drug-related Criminal Activity: The illegal manufacture, sale, distribution, or use of a Drug, or the possession of a Drug with intent to manufacture, sell, distribute or use the Drug.

Family: A person or combination of two or more persons sharing residency whose income and resources are available to meet the group’s needs.

Head of Household: The person who assumes legal and financial responsibility for the Household and is listed on the application as Head of Household.

Homeless Program Officer: A Maine Housing Homeless Program Officer will be assigned to each grantee of the Program.

Household: A Family and any Live-in Aide approved by Maine Housing.

Housing Assistance Payment: The monthly housing assistance payment made by Maine Housing that includes a payment to the Owner for rent under the Family’s lease and a payment to the Family if the total assistance payment exceeds the rent to the Owner.

Housing Stability Plan: The Housing Stability Plan domains address the following possible participant needs; housing, income, health, transportation, education and legal issues. While a Housing Stability Plan will have all domains available, it may not be necessary for a household to utilize all of them.

Live-in Aide: A person who resides in the Unit with an Elderly Family or a Disabled Family and provides necessary supportive services.

Navigator: Conduct comprehensive assessments of clients, identify and prioritize housing needs, create housing stability plans, assist with housing search and placement, and follow clients beyond shelter to ensure housing stability.

Occupancy Specialist: A Maine Housing Occupancy Specialist will be assigned to each participant of the Program.

Owner: Any person or entity who owns a building in which a Participant leases or may lease a Unit.
**Participant:** A Family who has been admitted to, and is currently assisted under, the Program.

**Premises:** The building or complex in which a Unit is located, including common areas and grounds.

**Recertification:** The process of securing documentation of total Family income used to determine the portion of rent the Family will pay.

**Subsidy Standards:** Standards established to determine the appropriate number of bedrooms and amount of subsidy for Families of different sizes and compositions.

**Unit:** A residential housing space leased by a Family for its personal use.

**Utilities:** Water, electricity, gas, other heating, refrigeration or cooking fuels, trash collection and sewage services. Telephone and cable service are not included as a utility.

**Violent Criminal Activity:** Any criminal activity that has, as one of its elements, the use, attempted use, or threatened use of physical force against the person or property of another.
MAINEHOUSING

Emergency Solutions Grant (ESG) Written Standards

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About this document

MaineHousing is awarded Emergency Solutions Grant (ESG) funds annually from the Department of Housing and Urban Development (HUD). HUD requires that ESG recipients establish Written Standards describing how these funds will be used, including how they are allocated to ESG sub-recipients. MaineHousing allocates ESG and other funds through Emergency Shelter and Housing Assistance Program (ESHAP) Grants to qualifying agencies throughout the state of Maine to assist persons experiencing homelessness. Chapter 19 of the MaineHousing Rules, the Maine Homeless Solutions Rule, developed in conjunction with the Maine Continuum of Care (MCC) and the Maine Statewide Homeless Council (SHC), governs how MaineHousing allocates ESG funds and other available resources to qualifying ESHAP grantees. These Written Standards apply specifically to the ESG funding that is part of ESHAP. Regulations that govern other ESHAP funding sources are covered in other documents.

MaineHousing strives to ensure compliance with HUD and Maine Homeless Solutions Rule requirements while also giving providers the autonomy they need to craft policies and procedures that work best for their shelters, their programs, and the populations they serve. Several documents, reviewed annually, are available to help guide ESHAP Grantees. These documents are mentioned frequently throughout the ESG Written Standards and are incorporated by reference as part of this document. They contain important details that clarify or expand upon the information provided here and ESHAP grantees are expected to be familiar with them.

1. Maine Homeless Solutions Rule
2. ESHAP Program Guide and Application
3. ESHAP Shelter Monitoring Tool
4. HMIS Governance Document
5. HMIS Policies and Procedures Manual
6. Maine Coordinated Entry Policies and Procedures

These ESG Written Standards and aforementioned documents are intended to provide guidance to ESHAP grantees regarding the minimum expectations for compliance for ESG funding. As ESG sub-recipients, ESHAP Grantees may set standards on their provision of assistance that exceed these minimum standards, but must at the very least comply with HUD regulations and with the guidelines in this document. If an ESG sub-recipient establishes their own standards in addition to the ones outlined here, these must be described in the sub-recipient’s Policies and Procedures Manual to be reviewed by MaineHousing annually as part of the ESG application and monitoring processes. Additional details about ESG program requirements can be found at hudexchange.info/esg and in the Code of Federal Regulations, CFR-title-24-part576. ESG Sub-recipients should be sure to read, understand, and follow HUD guidance when developing their own written standards.
Background

The Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act) amended the McKinney-Vento Homeless Assistance Act and revised the Emergency Shelter Grants Program, renaming it the Emergency Solutions Grants (ESG) program. HUD administers ESG as a formula grant program, meaning each jurisdiction is allocated a specific calculated dollar amount, as opposed to a competitive grant where applications are scored and ranked to determine funding. Eligible ESG recipients are states, metropolitan cities, urban counties and territories, which must apply through their jurisdiction’s Consolidated Planning process. MaineHousing is the ESG Recipient for the State of Maine, and distributes ESG funding and other resources to qualifying sub-recipients annually through Emergency Shelter and Housing Assistance Program (ESHAP) Grants. The City of Portland, Maine, also receives ESG funding directly from HUD as a separate Consolidated Plan jurisdiction. These Written Standards apply only to ESG funds that are distributed though MaineHousing ESHAP Grants, including ESHAP Grants to the City of Portland, but not to those ESG funds the City of Portland, or any other jurisdiction, receives directly from HUD.

ESG Eligible Activities

HUD allows ESG funding to be used for activities related to providing street outreach, emergency shelter, homelessness prevention, rapid re-housing assistance, and HMIS, as well as administrative activities. However, ESHAP intentionally focuses the use of ESG funds distributed by MaineHousing to specific Emergency Shelter Operation and Rapid Re-Housing Stabilization Service activities. This is done to maximize the impact of these limited funds and to avoid duplication of efforts. For example, Maine DHHS provides Outreach through their Projects for Assistance in Transition from Homelessness (PATH) program, and MaineHousing provides Rapid Re-Housing Rental Assistance through the Stability Through Engagement Program (STEP) and funding for significant shelter repairs through the Supportive Housing Repair Program.

MaineHousing distributes all ESG funds, except those used for allowable administrative costs, to eligible sub-recipients who are local government and/or private nonprofit organizations in the state of Maine who serve individuals and families experiencing homelessness. MaineHousing allocates ESG funds through the ESHAP Application process, and works with the Maine Continuum of Care (MCOC) and the Maine Statewide Homeless Council (SHC) in determining how to apportion these funds annually. MaineHousing also provides match funding for the ESG award with cash and/or noncash contributions in accordance with HUD ESG requirements.

Emergency Shelter Operations

Eligible Activities: As detailed in the ESHAP Program Guide and Application, qualifying Homeless Service Provider Agencies may use this portion of funding for costs related to the general maintenance and operation of an Emergency Shelter facility, such as rent, minor repairs, security, fuel, equipment, insurance, and utilities. This portion may also be used for costs more directly related to the individuals and families being served, such as food, furnishings, personal hygiene items, and other necessary supplies. This can also include the cost of a hotel or motel voucher where or when no other appropriate emergency shelter option is available for a qualifying family or individual.
Eligible program participants: Any individual or family meeting the definition of “homeless” under 24 CFR 576.2 is potentially eligible to benefit, directly or indirectly, from the activities described above. However, individual agencies and/or shelters may limit their services to particular sub-populations such as Youth, Families, or Victims of Domestic Violence, and may refer individuals or families who do not meet such criteria to other appropriate emergency shelter options. Any such limitations must be detailed by the agency in their program specific Written Standards/Policies and Procedures Manual, and must comply with all applicable HUD and Fair Housing regulations.

Rapid Re-Housing Stabilization Services

Eligible Activities: As detailed in the ESHAP Program Guide and Application, qualifying Homeless Service Provider Agencies may use this portion of funding for costs related to housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair services, as necessary to help homeless individuals or families living in shelters or in places not meant for human habitation to move as quickly as possible into permanent housing and achieve stability.

Eligible program participants: Individuals and families who meet the criteria under paragraph (1) of the “homeless” definition in 24 CFR 576.2 or who meet the criteria under paragraph (4) of the “homeless” definition and live in an emergency shelter or other place described in paragraph (1) of the “homeless” definition, and meet other eligibility criteria outlined in the ESHAP Program Guide and Application. In addition, participants must be assessed with housing prioritization tools prior to receiving housing relocation and stabilization services. Eligibility for housing relocation and stabilization services must be verified and documented by the sub-recipient.

Standards for Providing Rapid-Housing Stabilization Services: While providing housing stabilization and relocation services, the sub-recipient must meet with the participant not less than once per month and develop a plan for housing stability with the participant. The plan for housing stability must be updated every 90 days during the time that the participant is receiving services. Participants may not receive more than 24 months of housing relocation and stabilization services after placement in permanent housing. Sub-recipients are exempt from service and stability plan requirements if the Violence Against Women Act of 1994 (42 U.S.C. 13701 et seq.) or the Family Violence Prevention and Services Act (42 U.S.C. 10401 et seq.) prohibits that recipient or sub-recipient from making its shelter or housing conditional on the participant’s acceptance of services.

ESG Sub-Recipient Policies & Procedures

As ESG Sub-recipients, all ESHAP grantees must establish and consistently apply Written Standards in the form of agency/program specific Policies and Procedures for providing assistance covered by ESG funding. Agencies must ensure that their Policies and Procedures Manual is consistent with Maine Housing ESG Written Standards, ESHAP Program Guide and Application, and HUD regulations regarding the use of these funds. In addition to policies and procedures contained in these Written Standards, ESHAP Program Guide and Application, and the Maine Homeless Solutions Rule, sub-recipients are required to have the following:
• Standard policies and procedures for evaluating individuals’ and families’ eligibility for assistance under Emergency Solutions Grant (ESG);
  ○ Above policies must include process for documenting the homeless status of each individual and family, as detailed in 24 CFR §576.500(b). Sub-recipients must establish the order of priority for documenting homeless status as third-party documentation first, intake worker observations second, and certification from the person seeking assistance third;
• Policies and procedures for admission, diversion, referral, and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest; Code of Federal Regulations / Title 24 - Housing and Urban Development / Vol. 3 / 2018-04-01202
• Policies and procedures for assessing, prioritizing, and reassessing individuals’ and families’ needs for essential services related to emergency shelter;
• Policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers; other homeless assistance providers; and mainstream service and housing providers (see § 576.400(b) and (c) for a list of programs with which ESG-funded activities must be coordinated and integrated to the maximum extent practicable);
• All sub-recipient policies must be nondiscriminatory and adhere to applicable fair housing laws.

**ESHAP Funding Requirements**

In addition to the Policies and Procedures requirements above, all ESG sub-recipients must meet the eligibility requirements outlined in the Maine Homeless Solutions Rule and the ESHAP Program Guide and Application prior to receiving funding. All programs funded as Emergency Shelters must meet all Emergency Shelter requirements in the Homeless Solutions Rule and the ESHAP Program Guide and Application.

**Data Collection and Reporting Requirements**

In order to receive funding, ESHAP grantees must adhere to the data collection requirements outlined in the Maine Homeless Solutions Rule and the ESHAP Program Guide and Application. In addition, ESG sub-recipients must be in compliance with the Maine HMIS Policies and Procedures Manual and HMIS Governance Document.

Each ESHAP grantee must provide program and client data to centralized data collection systems in the forms and within the timeframes required and prescribed by MaineHousing, as HMIS Lead, and in accordance with the HMIS Governance Document and Policies & Procedures Manual.

ESHAP grantee data and reports will not be considered submitted unless MaineHousing determines that the data and report is sufficiently complete and all client data is valid. Incomplete or missing data or reports may impact ESHAP funding distribution.

**Coordinated Entry Requirements**
ESG sub-recipients must use the centralized or coordinated assessment system (referred to as “Coordinated Entry”) established by the Continuum of Care. Coordinated Entry is an approach to coordination and management of a crisis response system’s resources to efficiently and effectively connect people to interventions that will rapidly end their homelessness. Coordinated Entry processes are intended to help communities prioritize people who are most in need of assistance. They also provide information to CeCs and other stakeholders about service needs and gaps to help communities strategically allocate their current resources. ESG sub-recipients who are Victim service providers must also utilize a Coordinated Entry System, but may choose to use a comparable, parallel system specific to DV providers if they do not wish to use the Continuum of Care’s general centralized or coordinated assessment system.

Monitoring and Assessment Expectations

MaineHousing will monitor all ESHAP grantee programs for compliance at least every two years. Grantees will be notified at least 30 days prior to any monitoring visits or desk audits.

Grantees will maintain records sufficient to meet monitoring and auditing requirements of MaineHousing and HUD including without limitation, financial records, nightly bed rosters, policies and procedures, and client files. Shelters will be required to provide supporting documentation for fiscal compliance monitoring in reference to expenses incurred during the program year as well as documentation demonstrating compliance with state and federal requirements. Financial records must specifically show ESG Allocations and ESG Expenses to demonstrate the funds are used only for eligible activities. MaineHousing may copy and examine all of a grantee’s records for Monitoring purposes other than medical or other confidential client information protected by privacy laws.

In the case of a physical shelter program facility, MaineHousing will inspect for compliance with HUD’s minimum emergency shelter standards pursuant to and MaineHousing Asset Management inspection standards to ensure facilities meet basic health, safety, and structural guidelines.

Conflict of Interest

ESG sub-recipients must provide a conflict of interest statement with their annual application. Conflicts of interest include, but are not limited to, the following examples:

(a) Organizational conflicts of interest: The provision of any type or amount of ESG assistance may not be conditioned on an individual's or family's acceptance or occupancy of emergency shelter or housing owned by the recipient, the sub-recipient, or a parent or subsidiary of the sub-recipient. No sub-recipient may, with respect to individuals or families occupying housing owned by the sub-recipient, or any parent or subsidiary of the sub-recipient, carry out the initial evaluation required under § 576.401 or administer homelessness prevention assistance under § 576.103. Recipients and sub-recipients must also maintain written standards of conduct covering organizational conflicts of interest required under 2 CFR 200.318. (b) Individual conflicts of interest. For the procurement of goods and services, the recipient and its sub-recipients must comply with 2 CFR 200.317 and 200.318. For all other transactions and activities, the following restrictions apply: (1) Conflicts

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

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


Additional ESG Funding Allocations

If HUD makes additional ESG funds available to MaineHousing outside of HUD’s annual Consolidated Plan allocation process, MaineHousing will establish appropriate program guides, applications, terms and conditions detailing the eligible activities and distribution procedures for such funds at that time and will share this information publicly on our website.
Joint Coordinated Entry System for the state of Maine’s Continuums of Care (MCoC & PCoC)

Written Standards

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

October 5, 2015

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

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

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

1. Establish and consistently follow written standards for providing Continuum of Care assistance;
2. Establish performance targets appropriate for population and program type; and

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

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

The Coordinated Entry Written Standards will:

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

The written standards have been established to ensure that persons experiencing homelessness who enter programs throughout the CoC will be given similar information and support to access and maintain permanent housing. All programs that receive ESG or CoC funding are required to abide by
these written standards. Agency program procedure should reflect the policy and procedures described in this document. The CoC strongly encourages programs that do not receive either of these sources of funds to accept and utilize these written standards.

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

This Document

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

Purpose:

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

Overview of Coordinated Entry/ Assessment

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

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

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

**Responsibilities of the Continuum of Care**

The CoC program includes transitional housing, permanent supportive housing for disabled persons, rapid re-housing, permanent housing, supportive services, and the Homeless Management Information System. A CoC is a geographically based group of representatives that carries out the planning responsibilities of the CoC program, as set for the in 24 CFR part 578. These representatives come from organizations that provide services to the homeless, or represent the interests of the homeless or formerly homeless. The three major duties of a CoC are to (1) operate the CoC, (2) designate a HMIS for the CoC, and (3) develop a plan for the CoC. The Coordinated Entry/Assessment System must incorporate and defer to any funding requirements established under the CoC Program interim rule, ESG Program interim rule, or a Notice of Funding Availability (NOFA) under which a project is awarded.

The CoC Interim Rule defines several responsibilities of the Continuum of Care (578.7 (a) (8)). One of these responsibilities is to establish and operate either a centralized or coordinated assessment system, in consultation with recipients of ESG program funds within the geographic area. This coordinated entry/assessment system provides an initial, comprehensive assessment of the needs of individuals and families for housing and services.

The Continuum must develop a specific policy to guide the operation of the centralized or coordinated assessment system on how its system will address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim service providers. This system must comply with any requirements established by HUD by Notice.

A coordinated entry/assessment system is defined to mean a coordinated process designed to coordinate program participant intake, assessment, and provision of referrals. A coordinated entry/assessment system covers the geographic area, is easily accessed by individuals and families seeking housing or services, is well advertised, and includes a comprehensive and standardized assessment tool. This definition establishes basic minimum requirements for the Continuum’s coordinated assessment system.

Another responsibility of the CoC’s, in consultation with recipients of ESG program funds within the geographic area, is to establish and consistently follow written standards for providing Continuum of Care assistance. At a minimum, these written standards must include:

- Policies and procedures for evaluating individuals’ and families’ eligibility for assistance under
this part;

- Policies and procedures for determining and prioritizing which eligible individuals and families will receive transitional housing assistance;
- Policies and procedures for determining and prioritizing which eligible individuals and families will receive rapid re-housing assistance;
- Standards for determining what percentage or amount of rent each program participant must pay while receiving rapid re-housing assistance;
- Policies and procedures for determining and prioritizing which eligible individuals and families will receive permanent supportive housing assistance;

CES systems are important in ensuring the success of homeless assistance and homeless prevention programs in communities. In particular, such assessment systems help communities systematically assess the needs of program participants and effectively match each individual or family with the most appropriate resources available to address that individual or family's particular needs.

**Geographic Area:**

Maine is a state in the New England region, the northeastern United States, bordered by the Atlantic Ocean to the east and south; New Hampshire to the west; and the Canadian provinces of Quebec to the northwest and New Brunswick to the northeast. Maine is both the northernmost and easternmost portion of New England. The United States Census Bureau estimates that the population of Maine was 1,330,089 on July 1, 2014, a 0.13% increase since the 2010 United States Census and it and it covers an area of 35,385 square miles. This geographic area includes urban, suburban, and rural areas. The Maine Balance of State Continuum of Care covers all 16 of Maine counties except for the City of Portland, and extends from the Aroostook County in the northern part of the state all the way down to York County. The City of Portland Continuum of Care is the other continuum in Maine and it covers only the City itself.

**Target Population**

This process is intended to serve people experiencing homelessness and those who believe they are at imminent risk of homelessness who reside in the state of Maine. Homelessness will be defined in accordance with the
official HUD definition of homelessness. People at imminent risk of homelessness are people who believe they will become homeless, according to the HUD definition within the next 72 hours. People who think they have a longer period of time before they will become homeless should be referred to other prevention-oriented resources available in the community.

**Goals of Coordinated Entry/Assessment**

Most communities lack the resources needed to meet all of the needs of people experiencing homelessness. This combined with the lack of well-developed coordinated entry processes has resulted in severe hardships for people experiencing homelessness. They often face long waiting times to receive assistance or are screened out of needed assistance.

The CES System is intended to increase and streamline access to housing and services for households experiencing homelessness, match appropriate levels of housing and services based on their needs, and prioritize persons with severe service needs for the most intensive interventions. It helps communities prioritize assistance based upon vulnerability and severity of service needs to ensure that people who need assistance the most can receive it in a timely manner. The CES also provides information about service needs and gaps to help communities plan their assistance and identify needed resources.

HUD’s primary goals for coordinated entry processes are:

- Assistance will be allocated as effectively as possible
- Assistance is easily accessible no matter where or how people present

The CoC Leadership Team members identified the following common goals for the Coordinated entry/Assessment System:

- The process will be easy on the client, and provide quick and seamless entry into homelessness services
- Individuals and families will be referred to the most appropriate resource(s) for their individual situation
- The process will prevent duplication of services
- The process will reduce length of homelessness
- The process will improve communication among agencies

**Guiding Principles**

The goal of the coordinated assessment process is to provide each consumer with adequate services and supports to meet their housing needs, with a focus on returning them to housing as quickly as possible. Below are the guiding principles that will help Maine meet these goals.

- Adopt statewide standards: but allow flexibility for local customization beyond baseline standard.
• **Consumer Choice**: Consumers will be given information about the programs available to them and have some degree of choice about which programs they want to participate in. They will also be engaged as key and valued partners in the implementation and evaluation of coordinated assessment through forums, surveys, and other methods designed to obtain their thoughts on the effectiveness of the coordinated assessment process.

• **Promote client-centered practices** – Every homeless persons should be treated with dignity, offered at least minimal assistance, and participate in their own housing plan. Provide ongoing opportunities for consumers participation in the development, oversight, and evaluation of coordinated assessment. Consumers should be offered choice whenever possible.

• **Prioritize most vulnerable** as the primary factor among many considerations—Limited resources should be directed first to persons and families who are most vulnerable*. Less vulnerable persons and families will be assisted as resources allow. *Vulnerability will be defined locally.

• **Collaboration**: Because coordinated assessment is being implemented system wide, it requires a great deal of collaboration between the CoC’s, providers, mainstream assistance agencies (e.g., Department of Health and Human Services, hospitals, and jails), funders, and other key partners. This spirit of collaboration will be fostered through open communication, transparent work by a strong governing council (the Coordinated Assessment Committee), consistently scheduled meetings between partners, and consistent reporting on the performance of the coordinated assessment/entry process.

• **Accurate Data**: Data collection on people experiencing homelessness is a key component of the coordinated assessment process. Data from the assessment process that reveals what resources consumers need the most will be used to assist with reallocation of funds and other funding decisions. To capture this data accurately, all assessment staff and providers must enter data into HMIS (with the exception of some special populations and other cases, outlined later in this document) in a timely fashion. Consumers’ rights around data will always be made explicit to them, and no consumer will be denied services for refusing to share their data.

• **Performance-Driven Decision Making**: Decisions about and modifications to the CES process will be driven primarily by the need to improve the performance of the homelessness assistance system on key outcomes. These outcomes include reducing new entries into homelessness, reducing lengths of episodes of homelessness, and reducing repeat entries into homelessness. Changes may also be driven by a desire to improve process-oriented outcomes, including reducing the amount of waiting time for an assessment.

• **Housing First**: The most successful model for housing people who experience chronic homelessness is permanent supportive housing using a “Housing First” approach, which is a client-driven strategy; the provides immediate access to housing without requiring participation in psychiatric treatment, treatment for sobriety, or other service participation requirements. After settling into housing, consumers are offered a wide range of supportive services that focus primarily on helping them maintain their housing. Maine’s CES strongly encourages recipients of PH/PSH and TH, whenever possible funding to implement a Housing First approach. Coordinated assessment will support a housing first approach, and will thus work to connect households with...
the appropriate permanent housing opportunity, as well as any necessary supportive services, as quickly as possible.

- **Prioritizing the Hardest to House**: Coordinated assessment referrals will prioritize those households that appear to be the hardest to house or serve for program beds and services. This approach will ensure an appropriate match between the most intensive services and the people least likely to succeed with a less intensive intervention, while giving people with fewer housing barriers more time to work out a housing solution on their own. This approach is most likely to reduce the average length of episodes of homelessness and result in better housing outcomes for all.

- **Transparency**: Make thoughtful decisions and communicate directives openly and clearly.

### Operating the Coordinated Entry System

In the past three years, there have been efforts by the MCOC and PCOC towards coordinated entry/assessment. This has set a path for establishing the system-wide coordinated entry/assessment system. In 2012 and 2013, the Collaborative Applicants for the MCOC and PCOC submitted a planning grant application which would allow both CoC’s to identify and work toward a state-wide Coordinated Entry/Assessment System. Both CoC’s received the FY2012 Planning Grant which was then implemented in 2014 and identified initial steps. Because the Collaborative Applicants did not receive the FY2013 planning grant, a private foundation grant was applied for and was approved to continue the work in FY2015. Finally, both CoC’s were awarded the FY2014 Planning Grants which are expected to be implemented in 2016 to continue help the system become fully operational. When fully implemented, the CES System will include:

- Information about available services and programs for persons experiencing a housing or homeless crisis
- Uniform intake, assessment and screening tools and processes
- Real-time knowledge about program inventories and capacity
- Coordinated referrals to receive prevention, housing or related services
- Enrollment prioritization and waitlist management for housing programs.

### Key Elements of Maine’s CES:

#### Definitions:

A list of definitions of terms used in this document are described in Appendix A.

#### Requirements:

Both of Maine’s CoC’s, the MCoC and PCOC have adopted HUD’s Notice CPD 14-012 on the Prioritizing Person’s Experiencing Chronic Homelessness and other Vulnerable Homeless Persons in Permanent
Supported Housing and Record Keeping Requirements for Documenting Chronic Homeless Status, which are summarized in Appendices B, C, and D.

Pre-Screening

All potential consumers will be pre-screened and asked several questions to determine if they are homeless or at risk of imminent homelessness. If they are screened and it is determined that they meet this criteria, they will be offered a more thorough assessment to identify their specific needs. Guiding principles for this process include:

- The pre-screening tool will be the same regardless of access point;
- If the program that is triaging is also a service provider, the pre-screening tool can be combined with a deeper assessment;
- The pre-screen is meant to shelter or divert an individual or family experiencing or at risk of homelessness;
- The pre-screen may be different by service hub (i.e. centralized, phone, no wrong door); and
- The tool will ask about 4 questions but the person asking can ask additional clarifying questions.

Screening, Assessment and Referral

Consumers will be directed community wide to the established “front doors” for Screening, Assessment and referral. A Front Door is one of the agreed upon entry points into the CES, and is where formal Screening and/or Assessment for client’s entry into the housing programs funded by HUD’s ESG and CoC programs for the Homeless Assistance System. Screening and assessment collects information to guide housing referrals based on program eligibility and services offered for Homeless Prevention Programs, Rapid Re-Housing, Transitional Housing and Permanent Supportive Housing.

Prioritization standards

Maine’s CoC’s have adopted the provisions and requirements set out in the HUD Notice CPD-14-012 for the Prioritizing Person’s Experiencing Chronic Homeless and Other Vulnerable Homeless Persons in Permanent Supportive Housing (PSH)and Recordkeeping requirements for Documenting Chronic Homeless Status as the baseline written standards for operations of Maine’s CES. Maine’s CoC Board will adopt additional written standards for establishing eligibility and prioritization of clients for assistance. These standards will be specific and detailed, address any unique eligibility requirements for assistance (e.g., disability or subpopulation), reflect the homeless population and subpopulations within the CoC as reported on the Housing Inventory Chart, and reflect the housing and services within the CoC, and reflect the national and targeting priorities. Prioritization Standards for PSH are described in Appendices E, F and G and Appendix H is a table summary of the basic priority order per HUD Notice CPD 14-102.

The matching process and eventual referral linkage process will take into account a set of prioritization criteria for each project type. The order of client priority on the prioritization list will under no circumstances be based on disability type or diagnosis. CoC’s will establish priority for each project type based on the severity of the needs, length of time homeless, or subpopulation characteristics, depending on the specific CoC component type.
Low Barrier Policy
CoC providers will make enrollment determinations on the basis of limiting barriers to enrollment in services and housing. No consumer may be turned away from crisis response services or homeless designated housing due to lack of income, lack of employment, disability status, or substance use unless the project’s primary funder requires the exclusion or a previously existing and documented neighborhood covenant/good neighbor agreement has explicitly limited enrollment to clients with a specific set of attributes or characteristics. Funders restricting access to projects based on specific client attributes or characteristics will need to provide documentation to the CoC providing a justification for their enrollment policy.

No Wrong Door Approach
Because of the diversity and size of the state of Maine, access to the CES follows a “No Wrong Door” approach. The principles of this approach are:

- A consumer can seek housing assistance through any of the participating homeless services providers and will receive integrated services;
- Consumers should have equal access to information and advice about the housing assistance for which they are eligible in order to assist them in making informed choices about available services that best meet their needs;
- Participating providers have a responsibility to respond to the range of consumer needs and act as the primary contact for consumer who apply for assistance through their service unless or until another provider assumes that role;
- Participating providers will provide a proactive service that facilitates the consumer applying for assistance or accessing services from another provider regardless of whether the original provider delivers the specific housing services required by a presenting consumer; and
- Participating housing providers will work collaboratively to achieve responsive and streamlined access services and cooperate to use available resources to achieve the best possible housing outcomes for consumer, particularly for those with high, complex or urgent needs.

CES Components:

Assessment Tool
The CoC’s will develop a universal assessment tool for use in managing the client intake, assessment, and referral process. The standard tool may be customized by each individual CoC project with additional program-specific assessment questions and response categories necessary to address the unique aspects and needs of individual programs. All assessment tools will utilize a scoring paradigm to assist with documenting clients’ needs and prioritizing services.

Assessment Process
CoC’s will employ a progressive assessment approach. Progressive assessment stages the asking and sequencing of assessment questions such that prospective program participants are asked only those questions directly related to service enrollment and prioritization decisions necessary to progress the participant to the next stage of assessment or determine a referral to a service strategy.
Data Sharing
All CoC’s will follow the Data Sharing policies developed by the HMIS Advisory Task Force in conjunction with MaineHousing.

Emergency services
Defined access points must provide directly or make arrangements through other means to ensure universal access to crisis response services for clients seeking emergency assistance at all hours of the day and all days of the year. The CoC’s must document their planned after-hours emergency services approach. After hours crisis response access may include telephone crisis hotline access, coordination with policy, emergency medical care.

Fair and Equal Access
All CoC’s will ensure fair and equal access to the CES programs and services for all clients regardless of actual or perceived race, color, religion, national origin, age, gender identity pregnancy, citizenship, familial status, household composition, disability, Veteran status, or sexual orientation. If an individual’s self-identified gender or household composition creates challenging dynamics among residents within a facility, the host program should make every effort to accommodate the individual or assist in locating alternative accommodation that is appropriate and responsive to the individual’s needs.

Full coverage
The full geography of the CoC must be covered by CES services including access to crisis response services, assessment of clients, and referral options.

Joining the CES
All programs that receive CoC or ESG funding are required by their funders to participate in the CES. Other programs are encouraged and welcome to join the CES. Those programs that are not required by their funder to participate in the CES will sign a Memorandum of Understanding agreeing to participate in the system for a minimum of six months.

Mainstream services
The CoC’s must implement a screening protocol to assess each client’s potential eligibility for the following mainstream resources or services:

- Housing
- Medical benefits
- Nutrition assistance
- Income supports

Monitoring and Reporting of CES
All CoC’s must adhere to a state-defined monitoring and reporting plan for CES. The State-defined monitoring process will report on performance objectives related to CES utilization, efficiency and effectiveness.

Privacy protections
CES operations and staff must abide by all State of Maine-defined privacy protections as defined by the HMIS Advisory Committee. Consumer consent protocols, data use agreements, data disclosure policies, and any other privacy protections offered to program participants as a result of each consumer’s participation in HMIS will be the same as CES.
Resource List
A list of all available CoC resources will be maintained, including each project's eligibility criteria and prioritization protocols. The list of resources must be updated annually and be publicly available.

Referral criteria
Both CoC's must define referral criteria for all projects within the CoC's geographic area. Referral criteria must identify all the eligibility and exclusionary criteria used by program staff to make enrollment determinations for referred persons or households. Established guidelines must describe acceptable time frames for reviewing and communicating referral decisions (i.e., whether the potential program participant is either accepted or denied enrollment). If a potential client is not offered enrollment, the reason for rejection must be clearly communicated and documented in HMIS. The referral criteria must be published at least annually and support the identification of and connection to appropriate housing and services for all assessed clients.

Referral Rejection Policy
Both CoC providers and program participants may deny or reject referrals, although service denials should be infrequent and must be documented in HMIS or other comparable system with specific justification as prescribed by the CoC. The specific allowable criteria for denying a referral must be established by the CoC, must be shared with each project and consumer, and be reviewed and updated annually. All participating projects and clients must provide the reason for service denial, and may be subject to a limit on number of service denials. Aggregate counts of service denials, categorized by reason for denial, must be reported by the CoC annually.

At a minimum, project's referral rejection/denial reasons must include the following:
- Consumer/household refused further participation (or client moved out of CoC area)
- Consumer/household does not meet required criteria for program eligibility
- Consumer/household unresponsive to multiple communication attempts
- Consumer resolved crisis without assistance
- Consumer/household safety concerns. The client's/household's health or well-being or the safety of current program participants would be negatively impacted due to staffing, location, or other programmatic issues.
- Consumer/household needs cannot be addressed by the program. The program does not offer the services and/or housing supports necessary to successfully serve the household.
- Program at bed/unit/service capacity at time of referral
- Property management denial (include specific reason cited by property manager)
- Conflict of interest.

Safety planning
The CoC must provide necessary safety and security protections for persons fleeing or attempting to flee family violence, stalking, dating violence, or other domestic violence situations. These policies will be developed in conjunction with agencies that serve people experiencing these situations.

Standardized access and assessment
All defined access point providers must administer the Maine CES Assessment Process as defined by the CoC Leadership Group and/or Joint Maine CoC Board of Directors. The assessment process must be standardized across each participating CoC, with uniform decision-making across all assessment
locations and staff. If access points or assessment processes are conducted or managed by providers who do not receive HUD, MaineHousing, or local county funds, those providers must still abide by assessment standards and protocols defined by the CoC. CES will operate using a client-centered approach, allowing clients to freely refuse to answer assessment questions and/or refuse referrals.

**Stakeholder Inclusion**

CoC’s will support the implementation, expansion, and ongoing operation and evaluation of Coordinated Entry Systems by regularly convening stakeholder input and feedback opportunities. CoC must develop a plan to collect stakeholder feedback at least annually and will engage participants from all CoC component types, referral sources, residents and participants of homeless services and programs, funders of homeless response systems, and mainstream system providers.

**System Advertisement and Outreach**

**Outreach**

Local CES Systems are **required** to contact private and public agencies including those in the CoC, 211, VA, social service agencies and state and/or local government agencies to educate and provide information on available programs. Outreach activities are **required** to be done a minimum of once per year. These activities can be done in conjunction with the Point in Time Count or at another time as determined by the CoC. The CES is **required** to coordinate with existing street outreach programs as well as private and public agencies, social service organizations, etc. for referrals, so that people sleeping on the streets are prioritized for assistance in the same manner as any other person assessed through the Coordinated Assessment System.

Maine’s CoC’s are **encouraged** to provide resources/information about the CES to 24 hour establishments as well restaurants, hospitals, hot meal programs, churches, schools, check cashing locations and other places known to be frequented by the target population. In addition, each CoC is **encouraged** to explore various outreach activities such as hosting a booth at local community events, resource fairs, festivals and county fairs to provide information and resources.

**Advertisement**

Advertisement is to include a **minimum of flyers** posted at those places stated above (as allowed). Other forms of advertisement can include newspaper ads, radio, websites, etc. to generate referrals and applications. Advertising is to focus on people experiencing literal homelessness and **clearly state eligibility requirements** in an effort to reach the target population as opposed to those who do not meet the criteria. Information about the Coordinated Assessment System will also be available on the Maine Homeless Planning website (www.mainehomelessplanning.org).

**System Evaluation**

The CES process will be evaluated on a regular basis to ensure that it is operating at maximum efficiency. Evaluation will be carried out primarily through the Coordinated Assessment Committee and any consultants or third parties they engage to help them. Evaluation mechanisms will include the following:

- **A monthly review of metrics from the coordinated assessment process.** The data to be reviewed, and the thresholds that should be met, will be developed.
• An annual forum with people experiencing homelessness that have been through the coordinated assessment process.
• A report issued on the homeless assistance system to the community annually with a section devoted to coordinated assessment and homelessness assistance system outcomes. This report will include trends from the month-to-month analysis of coordinated assessment data, as well as the total number of assessments and referrals made, successes to be shared, and a note from the Coordinated Assessment Committee on the process’s progress. Major findings from this report should be presented at the CoC Board and full meetings the month it is released by a member of the Coordinated Assessment Committee.

Training
The CES will be responsible for training the remaining service providers in their region. Each region will have flexibility for how this training is conducted. The training can be either in-person or via webinar. Ideally this training will take place prior to the roll-out of the CES but at a minimum should occur within two months of the Coordinated Assessment start date.
Appendices

Appendix A: Definitions

At-risk of Homelessness – An individual or family who has income below 30% of area median family income for the area, as defined by HUD, and who does not have sufficient resources or support networks immediately available to prevent them from moving into an emergency shelter or other place described in the “homeless” definition (See Exhibit A and Exhibit B), and meets one if the following definitions defined under 24 CFR 578.3 (CoC program) or 24 CFR 576.2 (ESG program). This may also include a child or youth who qualifies as homeless under other Federal programs.

HMIS/HMIS – Community Management Information System (formerly the Homeless Management Information System) means the information system designated by the Continuum of Care to comply with the HMIS requirements prescribed by HUD.

HMIS/HMIS Lead Agency – The entity designated by the Continuum of Care to operate the HMIS/HMIS on its behalf.

Chronically Homeless - A person is chronically homeless if they have been homeless for at least one year continuously or has experienced four episodes over the last three years. For this definition, the persons must have been homeless in a place not meant for human habitation, in an emergency shelter, or in a safe haven. In addition, persons must be diagnosed with one or more of the following conditions: Substance abuse disorder, serious mental illness, developmental disability, post-traumatic stress disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability.

CoC/Continuum of Care – A group composed of representatives of relevant organizations, which generally includes nonprofit homeless providers; victim service providers; faith-based organizations; governments; businesses; advocates; public housing agencies; school districts; social services providers; mental health agencies; hospitals; universities; affordable housing developers; law enforcement; organizations that serve homeless and formerly homeless veterans, and homeless or formerly homeless persons that are organized to plan for and provide a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area.

ESG – Emergency Solutions Grant Program (24 CFR part 576)

Developmental Disability – Defined in Section 102 of the Developmental Disability Assistance and Bill of Rights Act of 2000, and means a severe, chronic disability that is attributable to a mental or physical impairment or combination, and is manifested before age 22, and is likely to continue indefinitely. It must result in substantial limitations in 3 or more major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for
independent living, or economic self-sufficiency. **AND** reflects need for special services or individualized support, or other form of assistance this is lifelong or extended duration.

**Disabling Condition** – A physical, mental, or emotional impairment, including an impairment caused by alcohol or drug abuse, post-traumatic stress disorder, or brain injury, which is expected to be of long-continued and indefinite duration, substantially impedes the person's ability to live independently, and is of such a nature that such ability could be improved with more suitable housing conditions; a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance Bill of Rights Act of 200; or Acquired Immunodeficiency Syndrome (AIDS) or any conditions arising from the etiologic agent for Acquired Immunodeficiency Syndrome, including infection with the Human Immunodeficiency Virus (HIV).

**Emergency Shelter** – Any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless and which does not require occupants to sign leases or occupancy agreements.

**Fair Market Rent** – Means the rents published in the Federal Register annually by HUD.

**Families** – Family includes, but is not limited to, regardless of marital status, actual or perceived sexual orientation, or gender identity, the followings: (1) A single person, who may be an elderly person, displaced person, disabled person, near-elderly person, or any other single person; or (2) A group of persons residing together, and such group includes, but is not limited to (a) A family with our without children (a child who is temporarily away from the home because of placement in foster care is considered a member of the family); (b) An elderly family; (c) A near-elderly family; (d) A disabled family; (e) A displaced family; and (f) The remaining member of a tenant family.

**Homeless** – There are 4 categories within the definition of homelessness, as defined under the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act); the most common definition being an individual or family who lacks a fixed, regular, and adequate nighttime residence under Category 1. See Exhibit A.

**Homeless Prevention** – A program targeted to individuals and families at risk of homelessness. Specifically, this includes those that meet the criteria under the “at risk of homelessness” definition at 576.2, as well as those who meet the criteria in Category 2, 3, and 4 of the “homeless definition and have an annual income below 30% of family median income for the area.

**Housing First** – An approach to quickly and successfully connect individuals and families experiencing homelessness to permanent housing without preconditions and barriers to entry, such as sobriety, treatment or service participation requirements. Supportive services are offered to maximize housing stability and prevent returns to homelessness as opposed to addressing predetermined treatment goals prior to permanent housing entry.

**Permanent Housing** – Community-based housing without a designated length of stay, and includes both Permanent Supportive Housing and Rapid Re-housing.
**Permanent Supportive Housing** – Permanent housing in which supportive services are provided to assist homeless persons with a disability to live independently.

**Physical, Mental or Emotional Impairment** – Expected to be long-continuing or of indefinite duration; substantially impedes the person’s ability to live independently, and could be improved by more suitable housing.

**Rapid Re-housing** – Housing relocation and stabilization services and short- or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing. Assistance may be provided for up to 24 months during any 3-year period, and may include rental arrear for up to six months, to eligible persons who qualify as homeless under Category 1 and 4 of the “homeless” definition.

**Recipient** – An applicant that signs a grant agreement with HUD.

**Rent Reasonableness** – A process conducted by the recipient or sub-recipient to determine if the rent charged for the unit receiving rental assistance is reasonable in relation to rents being charged for comparable assisted units, taking into account the location, size, type, quality, amenities, facilities, and management and maintenance of each unit. Reasonable rent must not exceed rents currently being charge for comparable unassisted units.

**Safe Haven** – For the purpose of defining chronically homeless, supportive housing that means the following: (1) serves hard to reach homeless persons with severe mental illness who came from the streets and have been unwilling or unable to participate in supportive services; (2) provides 24-hour residence for eligible persons for an unspecified period; (3) has an overnight capacity limited to 25 or fewer persons: and (4) provides low-demand services and referrals for the residents.

**Street Outreach** – The act of reaching out to unsheltered homeless people; connecting them with emergency shelter, housing or critical services; and provide urgent, non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility.

**Sub-recipient** – A private nonprofit organization, State, local government, or instrumentality of State or local government that receives a sub-grant from the recipient to carry out a project.

**Transitional Housing** – Facilitates the movement of homeless individuals and families to permanent housing within 24 months.

**Unsheltered Homeless** – Individuals and families who qualify as homeless under Category 1(i) of the “homeless” definition. See Exhibit A.

**Victim Service Provider** – A private nonprofit organization whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking. This term includes rape crisis centers, battered women’s shelters, domestic violence transitional housing programs, and other programs.
Appendix B: PROGRAM REQUIREMENTS FOR ALL PROGRAMS

- Programs must coordinate with other homeless services within the CoC.
- Programs must coordinate with mainstream resources in the CoC including housing, social services, employment, education and youth programs for which participants may be eligible.
- Programs must have written policies and procedures and must consistently apply them to all participants.
- Programs that serve households with children:
  - A staff person must be designated as the educational liaison that will ensure that children are enrolled in school, connected to appropriate services in the community, including early childhood program such as Head Start, Part C of the Individuals with Disabilities Education Act, and the McKinney Vento education services.
  - The age and gender of a child under age 18 must not be used as a basis for denying any family’s admission to a project that provides shelter for families with children.
- Programs receiving ESG and CoC funding must participate in HMIS (Homeless Management Information System), unless otherwise stated by federal regulations. However all homeless programs are strongly encouraged to participate in HMIS.
- Programs must meet minimum HMIS data quality standards.
- Programs providing Domestic Violence or Legal Services may opt out of HMIS participation but must utilize a comparable database to collect HUD required data elements.
- Programs must participate in Coordinated Entry System and use the prioritization criteria established in this documents.
- Programs must conduct an initial evaluation to determine the amount and type of assistance needed to regain stability in permanent housing.
- Program rules and regulations should be designed in the spirit of inclusion rather than as grounds for denial or termination. Programs should exercise judgment and examine all extenuating circumstances in determining when violations are serious enough to warrant termination so that a program participant’s assistance is terminated only in the most severe cases.
- Programs must have a formal procedure for terminating assistance to a participant that recognizes the rights of the participant(s) involved.
  - Programs must use judgment and examine all extenuating circumstances in determining that a violation should result in termination.
  - Every effort should be made to allow the participant to remain in the program; termination should only be exercised in the most severe cases.
  - Termination does not necessarily preclude assistance at a future date.
- Programs must make known that use of the facilities and services are available to all on a nondiscriminatory basis.
- Programs may not engage in inherently religious activities such as worship, religious instruction or proselytization as part of the programs or services funded under the CoC or ESG. These activities can be conducted but must be separate and voluntary for program participants.
Appendix C: RECORD KEEPING REQUIREMENTS FOR ALL PROGRAMS

Participant Recordkeeping Requirements include:

- All records containing personally identifying information must be kept secure and confidential
- Programs must have written confidentiality/privacy notice a copy of which should be made available to participants if requested
- Documentation of homelessness (following HUDs guidelines)
- A record of services and assistance provided to each participant
- Documentation of any applicable requirements for providing services/assistance
- Documentation of use of coordinated assessment system
- Documentation of use of HMIS
- Records must be retained for the appropriate amount of time as prescribed by HUD

Financial Recordkeeping Requirements include:

- Documentation for all costs charged to the grant
- Documentation that funds were spent on allowable costs
- Documentation of the receipt and use of program income
- Documentation of compliance with expenditure limits and deadlines
- Retain copies of all procurement contracts as applicable
- Documentation of amount, source and use of resources for each match contribution
Appendix D: OCCUPANCY STANDARDS FOR ALL PROGRAMS

All housing units, including scattered site programs owned and managed by private landlords, must meet applicable state or local government health and safety codes and have current certificate of occupancy for the current use and meet or exceed the following minimum standards: (For more detail refer to ESG regulations 576.403 (b) Minimum Standards):

- Buildings must be structurally sound to protect from the elements and not pose any threat to health and safety of the residents.
- Must be accessible in accordance with Section 504 of the Rehabilitation Act, the Fair Housing Act and the Americans with Disabilities Act where applicable.
- Must provide an acceptable place to sleep and adequate space and security for themselves and their belongings.
- Each room must have a natural or mechanical means of ventilation.
- Must provide access to sanitary facilities that are in operating condition, private and clean.
- Water supply must be free of contamination.
- Heating/cooling equipment must be in working condition.
- Must have adequate natural or artifical illumination and adequate electrical resources to permit safe use of electrical appliances.
- Food preparation areas must have suitable space and equipment to store, prepare and serve food in safe and sanitary manner.
- Building must be maintained in a sanitary condition.
- Must be at least one smoke detector in each occupied unit of the program; and where possible near sleeping areas. The fire alarm system must be designed for hearing-impaired participants. There must be a second means of exiting the building in case of fire or other emergency.

The Program, Record Keeping and Occupancy Standards as represented above apply to all programs regardless of the type of services/housing that they provide.
Appendix E: Order of Priority in CoC Program-funded Permanent Supportive Housing

Recipients of CoC Program-funded PSH are required to follow the order of priority when selecting participants for housing in accordance with the CoC’s written standards while also considering the goals and any identified target populations served by the project, and in a manner consistent with their current grant agreement.

Due diligence should be exercised when conducting outreach and assessment to ensure that persons are served in the order of priority as adopted by the MCOC and PCOC. HUD and the CoC’s recognize that some persons—particularly those living on the streets or in places not meant for human habitation—might require significant engagement and contacts prior to their entering housing and recipients are not required to keep units vacant where there are persons who meet a higher priority within the CoC and who have not yet accepted the PSH opportunities offered to them. Street outreach providers should continue to make attempts with those persons using a Housing First approach to place as few conditions on a person’s housing as possible.

Appendix F: Order of Priority in CoC Program-funded Permanent Supportive Housing Beds Dedicated to Persons Experiencing Chronic Homelessness and Permanent Supportive Housing Prioritized for Occupancy by Persons Experiencing Chronic Homelessness

1st Priority:

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

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

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

2nd Priority:

Chronically Homeless Individuals and Families with the Longest History of Homelessness.
A chronically homeless individual or head of household, as defined in 24 CFR 578.3, for whom both of the following are true:

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

3rd Priority:

Chronically Homeless Individuals and Families with the Most Severe Service Needs.

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

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

4th Priority:

All Other Chronically Homeless Individuals and Families.

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

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

Where a CoC or a recipient of CoC Program-funded PSH beds that are dedicated or prioritized is not able to identify chronically homeless individuals and families as defined in 24 CFR 578.3 within the CoC, the order of priority in the next section may be followed.
Appendix G: Order of Priority in Permanent Supportive Housing Beds Not Dedicated or Prioritized for Persons Experiencing Chronic Homelessness

CoC Program-funded non-dedicated and non-prioritized PSH should offer housing to chronically homeless individuals and families first, but minimally are required to place otherwise eligible households in an order that prioritizes, in a nondiscriminatory manner, those who would benefit the most from this type of housing, beginning with those most at risk of becoming chronically homeless.

1\textsuperscript{st} Priority:

Homeless Individuals and Families with a Disability with the Most Severe Service Needs.

An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter for any period of time, including persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution and has been identified as having the most severe service needs.

2\textsuperscript{nd} Priority:

Homeless Individuals and Families with a Disability with a Long Period of Continuous or Episodic Homelessness.

An individual or family that is eligible for CoC Program-funded PSH who has been living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months. This includes persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution and had been living or residing in one of those locations for at least 6 months or on at least three separate occasions in the last 3 years where the cumulative total is at least 6 months.

3\textsuperscript{rd} Priority:

Homeless Individuals and Families with Disability Coming from Places Not Meant for Human Habitation, Safe Havens, or Emergency Shelters.

An individual or family that is eligible for CoC Program-funded PSH who has been living in a place not meant for human habitation, a safe haven, or an emergency shelter. This includes persons exiting an institution where they have resided for 90 days or less but were living or residing in a place not
meant for human habitation, a safe haven, or in an emergency shelter immediately prior to entering the institution.

4th Priority:

Homeless Individuals and Families with a Disability Coming from Transitional Housing.

An individual or family that is eligible for CoC Program-funded PSH who is coming from transitional housing, where prior to residing in the transitional housing lived on streets or in an emergency shelter, or safe haven. This priority also includes homeless individuals and homeless households with children with a qualifying disability who were fleeing or attempting to flee domestic violence, dating violence, sexual assault, or stalking and are living in transitional housing – all are eligible for PSH even if they did not live on the streets, emergency shelters, or in a safe haven.
Appendix H: Coordinated Assessment Priority Status Guidelines for CoC Housing Resources

### Basic priority order per HUD Notice CPD-14-012

<table>
<thead>
<tr>
<th>Priority</th>
<th>Homeless Category</th>
<th>Length of Homeless History</th>
<th>Where Homeless History Occurred</th>
<th>Security of Tenancy Needs</th>
<th>Documentation/Disability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Chronic: Individual or Adult with Children</td>
<td>&lt; 6 Months Continuation OR Total of at least 4 episodes Total of at least 6 months in 5 years</td>
<td>Unfit, GH</td>
<td>High – 18 SNAP Score of 18 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>2</td>
<td>Chronic: Individual or Adult with Children</td>
<td>&gt; 6 Months Continuation OR Total of at least 4 episodes Total of at least 12 months in 5 years</td>
<td>Unfit, GH</td>
<td>Low – 18 SNAP Score of 11 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>3</td>
<td>Chronic: Individual or Adult with Children</td>
<td>Total of at least 4 episodes Total of at least 6 months in 3 years</td>
<td>Unfit, GH</td>
<td>High – 18 SNAP Score of 18 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>4</td>
<td>Chronic: Individual or Adult with Children</td>
<td>Total of at least 4 episodes Total of at least 12 months in 5 years</td>
<td>Unfit, GH</td>
<td>Low – 18 SNAP Score of 11 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>5</td>
<td>Category 1: Individual or Adult with Children</td>
<td>Any length of stay OR &lt; 60 Days Institutional</td>
<td>Unfit, GH, SH</td>
<td>High – 18 SNAP Score of 18 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>6</td>
<td>Category 2: Individual or Adult with Children</td>
<td>&gt; 6 Months Continuation OR at least 3 episodes in 3 years OR &gt; 6 Months OR &gt; 90 Days Institutional</td>
<td>Unfit, GH, SH</td>
<td>Low – 18 SNAP Score of 11 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>7</td>
<td>Category 3: Individual or Adult with Children</td>
<td>Any length of stay OR &lt; 60 Days Institutional</td>
<td>Unfit, GH, SH</td>
<td>Low – 18 SNAP Score of 11 or greater</td>
<td>Yes</td>
</tr>
<tr>
<td>8</td>
<td>Category 4: Individual or Adult with Children</td>
<td>Any length of stay OR &gt; 60 Days OR &gt; 90 Days Institutional</td>
<td>Unfit, GH, SH</td>
<td>Low – 18 SNAP Score of 11 or greater</td>
<td>Yes</td>
</tr>
</tbody>
</table>

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OMB Control No: 2506-0117 (exp. 09/30/2021)
### Appendix I: 2015 Ending Homelessness Prioritization Chart

<table>
<thead>
<tr>
<th>Priority</th>
<th>Homeless Category</th>
<th>Parameters</th>
<th>N</th>
<th>Resources</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>5%</td>
<td>Long Term Stayers (LTS)/Individuals</td>
<td>Greater or equal to 180 days in a 365 period</td>
<td>267</td>
<td>$300 Dedicated SVP vouchers. For Vet vs HUD/HAM with Initial VVIF assistance.</td>
<td>1) 1 year of HMI data, application, 2) CEA will centralize vouchers and assign these to shelters/providers directly; 3) CEA will follow up to verify disability and criteria for chronic homelessness.</td>
</tr>
<tr>
<td>15%</td>
<td>Long Term Stayers (LTS)/Families</td>
<td>Greater or equal to 180 days in a 365 period</td>
<td>50</td>
<td>Home to Stay</td>
<td>STEP or Section 8 From Home to Stay, shelters use Home to Stay resources to solve for this population</td>
</tr>
<tr>
<td>15%</td>
<td>Domestic Violence, Families &amp; Individuals</td>
<td>Greater than 30 days</td>
<td>875</td>
<td>Dedicated transitional supportive housing, permanent supportive housing, Section 8, BRAP, S4C</td>
<td>Transitional DV Resources, OCHOM, ETC</td>
</tr>
<tr>
<td>15%</td>
<td>Unaccompanied Youth unable to be reunited with their families</td>
<td>Greater than 30 days</td>
<td>50</td>
<td>Transitional supportive housing</td>
<td>Transitional youth service provider/BRAP (RAP)</td>
</tr>
<tr>
<td>15%</td>
<td>Less than Long Term Stayers (LTS) Individuals &amp; Families</td>
<td>Greater than 60 days but less than 180 days in a 365 day period</td>
<td>290</td>
<td>Permanent housing, permanent supportive housing, transitional supportive housing, Section 8, BRAP, S4C, For Vet vs SSVF, or where appropriate HUD/VAMC</td>
<td>Shelter case management, market apartments with outreach support</td>
</tr>
<tr>
<td>80%</td>
<td>Institutions</td>
<td>Greater than 30 days</td>
<td>100</td>
<td>BRAP</td>
<td>BRAP/DAAS</td>
</tr>
</tbody>
</table>

P5: Appropriately homeless, Unaccompanied Youth working toward reunification/visibility |

Less than 30 days & not flagged on VV-SPEAD |

638 | General Assistance, STEP |

Existing mainstream resources - general assistance, rapid re-housing, STEP, For Youth: Traditional youth service providers
2023 Program Statement

Office of Community Development
111 Sewall Street, 3rd Floor
59 State House Station
Augusta, Maine 04333-0059
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www.meocd.org

2023 PROGRAM STATEMENT
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The Office of Community Development reserves the right to fund only those applications deemed to be in the best interest of, and that offer definable benefits to, the State of Maine and the Community Development Block Grant Program. The Director of the Office of Community Development (OCD) may waive any requirement of the program provided such waiver would not be out of compliance with CDBG Program regulations.
SUMMARY

This Program Statement describes the method by which 2023 Community Development Block Grant (CDBG) program funds will be distributed. The CDBG program is administered pursuant to 5 M.R.S.A 13073. DECD held a virtual combined public forum/hearing regarding the development of this Program Statement on December 16, 2022, 2:00-4:00 PM and June 14, 2022 3:00-4:00 PM.

SECTION 1. PROGRAM OVERVIEW

A. CDBG OBJECTIVES

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

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

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

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

DECD, through the Office of Community Development (OCD), offers programs to assist municipalities to achieve their community and economic development objectives. The 2023 Program Statement provides a description of the selection criteria that OCD will use to allocate CDBG funds among communities. Programs are grouped under the three categories listed below.

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

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

3. Technical Assistance

C. STATE ADMINISTRATION:

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

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

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

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

Application deadlines – All Letters of Intent must be received via e-mail by the Office of Community Development on or before 4:00PM EST on the dates listed below.

<table>
<thead>
<tr>
<th>Program</th>
<th>Letter of Intent Due Date VIA E-MAIL</th>
<th>Application Due Date By Invitation Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Downtown Revitalization</td>
<td>January 27, 2023</td>
<td>March 10, 2023</td>
</tr>
<tr>
<td>Economic Development</td>
<td>1st of the month starting July 1,2023</td>
<td>Per invitation</td>
</tr>
<tr>
<td>Housing Assistance</td>
<td>March 24, 2023</td>
<td>May 19, 2023</td>
</tr>
<tr>
<td>Public Infrastructure</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Public Service</td>
<td>March 24, 2023</td>
<td>May 5, 2023</td>
</tr>
<tr>
<td>Community Enterprise</td>
<td>February 24, 2023</td>
<td>April 14, 2023</td>
</tr>
<tr>
<td>Special Projects</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>Urgent Need*</td>
<td>TBD</td>
<td>TBD</td>
</tr>
</tbody>
</table>

*Funding for this program may be available based upon redistribution, reallocation and/or additional allocation from HUD.
E. 2023 PROGRAM BUDGET

2023 CDBG Budget  $11,760,505
Administration  335,210
Technical Assistance Administration  117,605

Community Development
Rural Housing Preservation Program  1,000,000
Downtown Revitalization Grants *  300,000
Home Repair Network Program  1,000,000
Housing Assistance Grants  2,000,000
Public Service Grants  200,000
Public Infrastructure Grants  2,800,000
Regional Council Planning Assistance  150,000
Small Business Development Centers  100,000
Maine Development Foundation/Downtown Center Assistance  300,000
Community Enterprise Grants  600,000
Special Projects  557,690
Urgent Need Grants*  0

Economic Development
Economic Development Grants  1,000,000
Micro-Enterprise Assistance Grants  1,300,000

TOTAL 2023 CDBG Funds  $11,760,505

Funding for individual categories may change based on actual HUD award.

*Funding for this program may be available based upon redistribution, reallocation and/or additional allocation from HUD.
F. CERTIFICATIONS

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

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

G. GENERAL REQUIREMENTS:

1. Eligible Applicants: All units of general local government in Maine, including plantations, except for the entitlement communities of Auburn, Bangor, Biddeford, Lewiston, Portland and all of Cumberland County with the exception of Brunswick and Frye Island are eligible to apply for and receive State CDBG program funds. County governments may apply on behalf of the Unorganized Territory. Groups of local governments may apply for multi-jurisdictional or joint projects. Multi-jurisdictional applications require designation of one local government as the lead applicant and consent for that designation by each participating local government. Counties may apply for the Public Service program on behalf of a collaboration of communities. Eligible applicants, including counties as defined above may apply for CDBG assistance on behalf of the five Maine Indian Tribes. Maine Indian Tribes are not themselves eligible applicants. Eligible applicants applying on behalf of a Maine Indian Tribe are
permitted to apply in the same 2023 CDBG funding category only if the eligible applicant will not directly benefit from the tribal CDBG project.

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

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

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

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

6. Application Threshold: Incomplete and/or non-conforming applications which do not meet the specifications set forth in the 2023 Program Statement and 2023 CDBG Application Packages will be removed from the scoring process during the threshold review.

7. Financial Commitments: Applications for projects not demonstrating a firm financial commitment as required in the application materials will be removed from the scoring process during the threshold review.

8. Restriction of Grant Awards: OCD may deny or restrict the award of grants to communities with outstanding audit(s), monitoring findings, or a record of administrative misconduct.

9. Past Performance: In order to be eligible to apply for a 2023 Community Development Block Grant program, communities that received CDBG grants in prior years must be in good standing with the Office of Community Development. All Past Performance Criteria will be strictly enforced; however, these criteria may be waived for just cause by the Director of OCD.

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

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

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

I. AWARD PROCESS:

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

2. Project Development Phase:
   a. Project Planning: Details of the project including engineering, bid requirements, budget, and/or grant administration.
   b. Acceptance of Funds: Public Hearing and Legislative Body Approval for the acceptance of funds.
   c. Local Certifications: Local adoption of State and Federal regulations.
   d. Project Benefit: Verification that proposed activities meet or will meet one of the CDBG Program National Objectives.
   e. Environmental Review: Review of project for compliance with State and Federal Environmental Regulations.

3. Project Development Timeframe and Assistance:
The goal of the Project Development Phase is a grant contract for CDBG funds. An OCD Development Program Manager will be assigned to work closely with each community to finalize their project. OCD will rescind the CDBG program award offer if the community is not under contract within six months of the date of the award offer and invitation into the project development phase process. The Office of Community Development may grant waivers for just cause.
SECTION 2. COMMUNITY DEVELOPMENT PROGRAMS

A. HOUSING ASSISTANCE GRANT PROGRAM

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

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

2. Eligible Activities: Eligible HA activities are rehabilitation of occupied or vacant multi-family housing units, conversion of non-residential structures, homeownership/downpayment assistance, construction of new units by a non-profit community based housing development organization.

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

4. Maximum HA Grant Amount: $500,000

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

6. Selection Process: The selection process for all HA applications will consist of two stages:
   (a) Stage 1:
      Letter of Intent: All communities wishing to submit a HA application must submit a Letter of Intent. After review for completeness and eligibility, units of general local government may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.
   (b) Stage 2:
      Application: The maximum length of an application is four pages (not counting required attachments). Please refer to Page 5 of this document for Program deadlines and due dates. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

      Impact (40 points):
      - A description of the specific housing problems to be addressed with HA funds – 15 points
      - How the problems were identified – 10 points
      - How these issues affect LMI persons in the community or region – 15 points

      Development Strategy (40 points):

10
• A description of the plan proposed to implement the housing project – 20 points

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

**Citizen Participation (20 points):**

• How overall citizen participation process directly relates to identification of solution strategies and application development - 4 points

• Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 4 points

• Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 4 points

• Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process – 4 points

• How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments – 4 points

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

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

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

2. Eligible Activities: Eligible activities under the HRN Program include but are not limited to: rehabilitation of occupied or vacant single-family or multi-family housing units, demolition, same site replacement housing, provision of potable water and sewer, energy conservation, removal/mitigation of lead-based paint, asbestos, radon, or other hazardous material, necessary ADA modifications, special eligible projects approved by OCD.

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

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

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

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

No Letters of Intent or Applications will be accepted for the 2023 Program Year. The Communities of Eagle Lake, Grand Isle, and Solon, who submitted applications in 2022, are eligible for funding in 2023.

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

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

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

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

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

   Activity Group Numbers:

   1) Water system installation/improvements, sewer system installation/improvements, water/sewer system hookups, storm drainage, utility infrastructure, dams with the main purpose of providing the primary water storage facility for an active water district or municipal system. Maximum Amount: $1,000,000

   2) Infrastructure in support of new LMI affordable fully financed housing. Maximum Amount: $1,000,000

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

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

7. Selection Process: The selection process for all PI applications will consist of two stages:

   (a) Stage 1:
**Letter of Intent and Verification of CDBG National Objective:** All communities wishing to submit a PI application must submit a Letter of Intent and Verification of CDBG National Objective to OCD. After review for completeness and eligibility, units of general local governments may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:

**Application:** Please refer to Page 5 of this document for Program deadlines and due dates.

Each application will be rated in relation to all others in a two-stage process. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area.

**Impact (40 points):**

- A description of why the project is necessary, previous efforts to address needs, and how the project was prioritized locally – 6 points
- What engineering firms and/or regulatory agencies have verified the infrastructure problems, and what studies and testing have been done that corroborate the need – 6 points
- How the verified health, safety and welfare conditions affect users and others in the community and region – 8 points
- Size and demographic makeup of user base and target area of projected infrastructure project – 10 points
- Why PI funds are necessary to fill a funding gap, what other state and/or federal agency funding is involved, capacity of the utility or town to borrow, and how match funds will work with PI funds to implement the project – 10 points

**Development Strategy (40 points):**

- A description of the proposed infrastructure improvements, including size, capacity, design, utilities and fit with existing systems – 10 points
- Positive impacts on health, safety and welfare of users directly attributable to proposed PI expenditures – 5 points
- Extent of financial benefits to users; list current user rates, what rates will be if PI funding is approved, and list what user rates will be if the project is built without PI funding – 15 points
- Project timeline: list tasks necessary to begin implementation. Identify work already completed, such as engineering, design and final commitment of other funds. Identify when remaining tasks will be completed. Estimate a project completion date and describe why project timeline is feasible – 10 points

**Citizen Participation (20 points):**

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

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

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

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

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

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

4. Planning Requirements: Applicants must have completed a comprehensive downtown revitalization planning process within the past five years. Communities with plans older than five years must demonstrate that their plans are under active implementation, the action plan remains valid, or have been updated within the past 5 years. The proposed DR activities must be in the plan as recommended actions necessary for downtown revitalization.

5. Maximum DR Award: $300,000

6. Bonus Points for Applicants with Maine Downtown Center Designation: Applicants will receive three bonus points if they have been designated as a Main Street Maine Community by the Maine Downtown Center, or one bonus point if they have been designated as a Maine Downtown Network Community.

7. Demonstration of National Objective: Applicants must demonstrate that the project meets the National Objective of 1) benefiting 51% or greater low/moderate income persons or 2) preventing or eliminating slum or blighting conditions. Census information, a certified town-wide income survey, or an officially adopted declaration of slum/blight conditions conforming to the requirements of Title 30-A M.R.S.A § 5202 and HUD must be submitted to OCD. These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD.

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

(a) Stage 1: **Letter of Intent and Verification of CDBG National Objective:**
All communities wishing to submit a DR application must submit a Letter of Intent. After review for completeness and eligibility, units of general local governments may be
invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:
Application: The maximum length of an application is six pages, not counting required attachments.
Please refer to Page 5 of this document for Program deadlines and due dates.
Each application will be rated in relation to all others. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area.

Impact (40 points):

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

Development of Strategy (40 points):

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

Citizen Participation (20 points):

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

• Involvement of potential LMI project beneficiaries in development of the application and project, and how the required public hearing relates to the application development and citizen participation process. – 4 points

• How other local resources (cash and in-kind) are directly related to the project, and the establishment of a cash value equivalent for all in-kind commitments. – 4 points

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

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

9. **Final Application Score** – Each application will receive a Final Application Score assigned by members of the Review Team plus any applicable Maine Downtown Center and/or Opportunity Zone Bonus points. The top scoring applicants will be considered for an invitation to proceed to the Project Development Phase as funds allow.
E. PUBLIC SERVICE GRANT PROGRAM
The Public Service Grant (PSG) Program addresses community and business resource needs by providing funding for operating expenses, equipment, and program materials for activities which will benefit low/moderate income (LMI) persons. Please refer to Page 5 of this document for Program deadlines and due dates.

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

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

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

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

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

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

4. Maximum PSG Amount: $50,000

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

   (a) Stage 1: Letter of Intent: All communities wishing to submit a PSG application must submit a Letter of Intent. Please refer to Page 5 of this document for Program deadlines and due dates. After review for completeness and eligibility, units of general local governments will be invited to make a full application.

   (b) Stage 2: Application: The maximum length of an application is four pages, not counting required attachments. Please refer to Page 5 of this document for Program deadlines and due dates.
Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and be determined by the total of each sub-scoring area. A maximum of 100 points is obtainable.

**Impact (40 points):**
- Conditions requiring a new or expanded service – 15 points
- Issues faced by service providers including capacity, finances and staffing – 15 points
- Why PSG funds are critical for the project – 10 points

**Development Strategy (40 points):**
- A description of the new or expanded service, specific use of PSG funds, including how this service will resolve identified problems, and why this service will be more effective than existing services for the targeted beneficiaries – 10 points
- How PSG funds will be utilized to assist LMI persons or a HUD approved Limited Clientele group – 10 points
- Project timeline, including a start date, tasks completed to date, how PSG funds will be expended in a timely manner, and method of tracking success – 10 points
- Capacity and qualifications of the service provider implementing the project, including familiarity with the needs of project beneficiaries – 10 points

**Citizen Participation (20 points):**
- How overall citizen participation process directly relates to identification of solution strategies and application development - 5 points
- Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation – 5 points
- Relevance of listed meeting/hearing activities/comments (not counting required public hearing) on application and project development – 5 points
- Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process – 5 points

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

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

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

   (a) Eligible Activities:

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

   (b) Communities ineligible for SBDCTA Assistance:

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

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

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

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

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

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

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

   (a) poses a serious and immediate threat to the health or welfare of the community;

   (b) originated or became a direct threat to public health and safety no more than 18 months prior to submission of the application;

   (c) is a project the applicant cannot finance on its own. “Cannot finance on its own” means, that the town’s tax burden, regulatory structure, utility user fees, bonding capacity, or previous or existing budgetary commitments, precludes it from assuming the additional financial obligation needed for this project; and

   (d) cannot be addressed with other sources of funding.

2. Program Requirements:

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

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

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

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

(a) Stage 1:

 Application: An UN application must include the following:

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

• certification that the proposal is designed to address an urgent need and an immediate response is required to halt the threat of injury or loss of life;
• information regarding when the urgent need condition occurred or developed into a threat to health and safety;

• evidence confirming the applicant is unable to finance implementation on its own; and,

• documentation that other financial resources are not available to implement the proposal.

• a copy of a state or federal declaration of disaster.

(b) Stage 2:

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

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

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

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

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

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

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

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

   **(a) Eligible Activities:**

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

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

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

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

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

   **(f) Project Benefit:**

   **(i) Business Facade Grants:** Project benefit will be met when exterior improvements and signage on an existing business take place in a designated slum/blight area, or documentation exists that a business qualifies under a spot blight basis.

   **(ii) Streetscapes:** Project benefit will be met when streetscapes take place in a designated slum/blight area or the applicant
community where the project will take place is 51% or greater LMI as determined by HUD and the U.S. Census.

2. Special Program Requirements

**Demonstration of National Objective:** Applicants must demonstrate that the project meets the National Objective of 1) benefiting 51% or greater low/moderate income persons, or 2) preventing or eliminating slum or blighting conditions. Census information, a certified target area survey, an officially adopted declaration of slum/blight conditions conforms to the requirements of MRSA Title 30-A, Chapter 205, 5202 and HUD, or assurances of spot blight designation eligibility must be submitted to OCD. *These demonstrations must be made as part of the Letter of Intent and Verification of CDBG National Objective submitted to OCD on or before 4:00pm on Friday February 25, 2023.*

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

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

All communities wishing to submit a CE application must submit a Letter of Intent and Verification of CDBG National Objective to OCD on or before 4:00PM on Friday January 29, 2023 according to the requirements set forth in the 2023 CE application package.

(b) **Application:** The maximum length of an application is **four pages, not counting required attachments.** The application deadline for the CE Program is 4:00 PM on April 9, 2023.

(i) **Impact (40 points):**

*State the problems then present the scope and magnitude of the identified problems. – 6 points*

*Explain how the problems negatively impact the local economy and the viability of existing downtown or village area. – 8 points*

*Clearly define how the problems negatively affect LMI persons and/or contribute to slum/blight conditions. – 10 points*

*Describe the obstacles to overcoming the identified problems. – 6 points*

*Explain why CE funds are necessary for the project; describe efforts to secure other grant or loan funds and tell why they are not are available locally to assist businesses or local government with their development and site improvement needs. – 10 points*

(ii) **Development Strategy (40 points):**

*List the specific activities to be undertaken in the project. For streetscapes include location, size and design features. – 5 points*

*Identify the specific use of CE funds and the specific tasks or activities to be funded with each other source of funds. – 5 points*
*Provide Identification and description of potential business façade applicants and their needs; or provide details of how areas in need of streetscape improvements were identified and prioritized. – 5 points

*Explain how the CE project will stimulate business in the downtown or village area and assist in improving the area’s long-term viability. – 6 points

*Describe how the CE funded activities will have a positive impact on LMI persons and/or on alleviation of the slum/blight conditions. – 6 points

*Provide a project timeline; list activities or actions completed to date. – 4 points

*Describe the capacity and experience of the administrator to market and conduct a façade program or streetscape improvement effort; and describe how CE funds will be expended in a timely manner. – 5 points

*Budget Summary Review – 4 points

(iii) Citizen Participation (20 points):

*Effective use of any media (newspapers, radio, TV, etc.) to further public awareness and participation. – 4 points

*Relevance of listed meeting/hearing activities/comments (not counting required public hearing) and the overall citizen participation process in application and project development. – 4 points

*Involvement of downtown and local businesses, Chambers of Commerce, development groups or other business-related organizations in identification of problems and development of the application and project. – 4 points

*Involvement of potential LMI project beneficiaries in development of the application and project and how the required public hearing relates to the application development and citizen participation process. – 4 points

*How other local resources (cash and in-kind) are directly related to the project and the establishment of a cash value equivalent for all in-kind commitments. – 4 points

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

Stage 2: Final Application Score – Applications will be awarded funding based on the consensus of the review team. There is no minimum Final Application Score required for an application to be considered for funding.
K. RURAL HOUSING PRESERVATION PROGRAM

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

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

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

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

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

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

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

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

1. Eligible Activities: Maximum Award
   a) Grants to Municipalities for Direct Business Support: $100,000*
      working capital and capital equipment purchase
      Acquisition and any type of construction is not an allowable activity.

2. Exclusions:
   - Applicants may apply on behalf of only one business.
   - EDP funds cannot be used to refinance existing debt.
   - All EDP activities must be in support of an identified business; speculative activities are excluded.
   - Communities may not apply on behalf of a business that has received prior CDBG EDP funding.
   - Waivers to increase the maximum grant award amount, in instances where the impact of the project is substantial and can be documented, both through project investment and job creation, must be approved by the Director of the Office of Community Development.

3. Project Benefit: All projects must document that at a minimum, 51% of all jobs created or retained as a result of the funded activity must be taken/held by persons of low and moderate income as defined by HUD. Jobs created/retained must be in the community applying for the EDP award, new jobs to that community and not associated with any other branches of the assisted business located in another community. Transfer positions cannot be counted toward the job creation/retention requirements. In the event that job creation requirements are not met, the applicant community will be responsible for immediate repayment to DECD of all CDBG funds expended on the project.

4. Program Dollars per Job: The maximum CDBG participation per job created or retained with EDP funds is $30,000.

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

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

(b) EDP Application Due Dates: By invitation only as a result of accepted Letter of Intent. Please refer to Page 5 of this document for Program deadlines and due dates.

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

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

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

- The retail business represents the provisions of new products and services previously unavailable in the community or is a tourism-related business; and

- The development or expansion of the retail business represents a net economic gain for the community and the region. Applications supporting a retail business or businesses are required to certify that the development represents a new overall gain for the region’s economy and not a shift from existing established businesses to a new or expanded one; and

- The retail business is located in either a downtown district meeting the definition in 30-A.M.R.S. Section 4301 (S-A); or a designated local growth area contained in an adopted and consistent comprehensive plan; and

- At least 50% of the jobs created by the retail business must be full time jobs.

7. Selection Process: The selection process will consist of two stages. Members of the Review Team will assign a Review Point Total for each application reviewed. Review Point Totals will consist of the sum of the three scoring areas below and any applicable bonus points. The following criteria will be used:
(a) Stage 1:
Letter of Intent: All communities wishing to submit an EDP application must first submit a Letter of Intent. After review for completeness and eligibility, units of general local governments may be invited to make a full application. Please refer to Page 5 of this document for Program deadlines and due dates.

(b) Stage 2:
Application: Members of the Review Team will assess the applications based on the following criteria:

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

Impact Identify how employment opportunities for persons of low/moderate income are negatively affected by the identified problems.
• Emphasize the importance of the affected business in relation to the stability of the community/region and its current financial well-being.

Need Identify reasons why the community/business is unable to finance the proposed project on its own, or with assistance from other sources.
• Include a narrative that highlights any recent efforts by the community/business to assist job creation/retention activities.

Solution
Project Description Detail the activities that the community/business will undertake using EDP funds to resolve the problems/needs presented in the Problem Statement.
• Identify, in detail, the specific working capital uses of EDP funds.
• Explain how the solution directly solves the identified problems/needs.
• Include a firm figure of the number of jobs to be created or retained as a result of the project, and how these jobs relate to persons of low/moderate income.
• Clearly state the amount of EDP funds sought and how they will fit into the overall financing for the project.

Effect on Assisted Business
• Describe the effect the EDP award and completion of the project, as a whole, will have on the ability of the community/business to remain competitive, and create/retain quality jobs.
• Describe the market including identification of competitors, price structure, resource availability, operating/manufacturing costs, transportation costs, demand, and other factors influencing the marketability of the product or service proposed. Also identify all project risks and the extent of the risks.
Project Timeline and Feasibility

- Describe how the project is assured of successful completion within 12 months.
- Provide background information (including resumes) for the owners and/or managers of the business and specific information about the skills and experiences of the owners and/or managers as related to the successful management of the business and proposed project.
- Include a concise timetable for project implementation.

Citizen Participation

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

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

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

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

The Micro-Enterprise Assistance Program (MEA) provides funding to non-entitlement areas statewide to address the needs of Micro businesses. This program will start July 1, 2023 and will be administered on a regional basis throughout Maine, as stated below.

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

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

Cannabis related businesses are not eligible.

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

3. Project Benefit / Demonstration of National Objective:

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

4. Selection Process:

All Micro-Enterprise businesses wishing to submit a MEA application must meet with their local Small Business Development Center advisor to determine eligibility. SBDC advisors will review and submit complete applications to be considered for funding.
SECTION 4. TECHNICAL ASSISTANCE

The Office of Community Development will use Technical Assistance funds to: conduct workshops, produce program materials, provide training and provide technical assistance and outreach to communities.

Regional Providers will provide planning assistance to units of general local government in identifying community & economic development needs, developing, and administering CDBG projects. For purposes of this paragraph the term “planning assistance” means the facilitating of skills and knowledge in planning, developing, and administering CDBG activities for entities in non-entitlement areas that may need but do not possess such skills and knowledge.

SECTION 5. REDISTRIBUTION OF GRANT FUNDS

This section describes the methods by which undistributed funds, disencumbered funds, additional funds received from HUD, and program income will be redistributed.

1. Local Government Grants from the State: Applicants receiving grants under the CDBG program but failing to have their projects substantially underway (environmental review complete, program costs obligated, construction or services begun) within six months of grant award, may have their grant rescinded by DECD. Rescinded grant funds may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

Unexpended funds remaining in the grantee’s CDBG account at grant closeout, funds remaining in a grantee’s award but not requested upon grant closeout, and funds returned to DECD because of disallowed costs may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

2. Unallocated State Grants to Local Governments: Unallocated grant funds resulting from lack of adequate program competition or demand in any of the available 2023 CDBG programs and any additional funds allocated by HUD may be added to any open CDBG contract and can be used to make additional awards under any eligible CDBG program activity.

3. Basis for Redistribution: The decision to redistribute funds will be made after staff evaluation of the following: the total funds available, new requests for funding, requests for additional funding from current CDBG grantees and applicants for competitions that did not receive funding. The OCD may redistribute available funds to any project deemed to be in the best interest of, and that offer CDBG definable benefits to the State of Maine.

SECTION 6. PROGRAM INCOME

As used in this Proposed Statement, “Program Income” means the gross income received by a grantee from any grant-supported activity in excess of $35,000. Applicants will refer to the CDBG Regulations and the Maine Office of Community Development policies on program income.
SECTION 7. APPEALS

Appeals of award decisions are restricted to errors of fact or procedure. Appeals in the areas of judgment qualitative scoring will not be entertained. In the case of a successful appeal, funds will be reserved for the project from available or subsequent CDBG funds.

An applicant wishing to appeal DECD’s decision regarding their 2023 application restricted to errors of fact or procedure, may do so by submitting an appeal letter to the Director of the Office of Community Development within fifteen (15) days of the award announcement for that specific program.

SECTION 8. AMENDMENTS TO THE PROGRAM STATEMENT

The State may amend the 2023 Program Statement from time to time in accordance with the same procedures required for the preparation and submission of the program statement. The Department of Housing and Urban Development’s citizen participation requirements will guide the amendment process.
THIS MATERIAL IS AVAILABLE IN ALTERNATIVE FORMAT UPON REQUEST

BY CONTACTING:

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

ALSO AVAILABLE ON THE OFFICE OF COMMUNITY DEVELOPMENT WEB SITE:

www.meocd.org

The Maine CDBG Program is Funded by:

EQUAL HOUSING OPPORTUNITY
Grantee SF-424's and Certification(s)

STATE CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the State certifies that:

Affirmatively Further Fair Housing — The State will affirmatively further fair housing.

Uniform Relocation Act and Anti-displacement and Relocation Plan — It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (42 U.S.C. 4601-4655) and implementing regulations of 49 CFR Part 24. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42 in connection with any activity assisted with funding under the Community Development Block Grant or HOME programs.

Anti-Lobbying — To the best of the State's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure sworn to Report Lobbying," in accordance with its instructions.

3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of State — The submission of this consolidated plan is authorized under State law and the State possesses the legal authority to carry out the programs under the consolidated plan for which it is seeking funding, in accordance with applicable HUD regulations.

Conistency with plan — The housing activities to be undertaken under Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the State's consolidated plan.


Signature of Authorized Official

Date

Director, Office of Community Development

Annual Action Plan
2023
Specific Community Development Block Grant Certifications

The State certifies that:

Citizen Participation — It is following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 and each unit of general local government that receives assistance from the State is following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.485.

Consultation with Local Governments —

1. It has consulted with affected units of local government in the nonmetropolitan area of the State in determining the method of distribution of funds;

2. It engages in or will engage in planning for community development activities;

3. It provides or will provide technical assistance to units of local government in connection with community development programs;

4. It will not refuse to distribute funds to any unit of general local government on the basis of the particular eligible activity selected by the unit of general local government to meet its community development needs, except that a State is not prevented from establishing priorities in distributing funding on the basis of the activities selected.

Local Needs Identification — It will require each unit of general local government to be funded to identify its community development and housing needs, including the needs of low-income and moderate-income families, and the activities to be undertaken to meet those needs.

Community Development Plan — Its consolidated plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objective of the CDBG program (i.e., the development of viable, decent housing and expanding economic opportunities, primarily for persons of low and moderate incomes) and requirements of 24 CFR Parts 91 and 570.

Use of Funds — It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate-income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available.

2. Overall Benefit. In the aggregate, not less than 70 percent of the CDBG funds, including Section 108 generated loans, received by the State during the following fiscal years:

   - 2023: $ ________ - 2024: $ ________ - 2025: $ ________

   If a State certifies that the overall benefit to the community of the activities assisted with CDBG funds during the fiscal year ending June 30, 2023, is less than the overall benefit during the fiscal year ending June 30, 2022, it shall indicate the reasons for this decrease and the manner in which it intends to correct the deficiency.

Annual Action Plan
2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
3. **Special Assessments.** It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 08 loan guaranteed funds, by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

In addition, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it needs CDBG funds to cover the assessment.

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

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations, and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction.

**Compliance with Anti-discrimination laws** – The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and the Fair Housing Act (42 U.S.C. 3601-3619) and implementing regulations.

**Compliance with Laws** – It will comply with applicable laws

[Signature]

03/09/2023

[Title]

---

Annual Action Plan

2023

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Specific HOME Certifications

The State certifies that:

**Tenant Based Rental Assistance** -- If it plans to use HOME funds for tenant-based rental assistance, tenant-based rental assistance is an essential element of the State's consolidated plan.

**Eligible Activities and Costs** -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §92.205 through §92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

**Subsidy Layering** -- Before committing any funds to a project, the State or its recipients will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.

Date 4/21/2023
Signature of Authorized Official

Director
Title
Emergency Solutions Grant Certifications

Each State that seeks funding under the Emergency Solutions Grants Program must provide the following certifications:

Matching Funds – The State will obtain any matching amounts required under 24 CFR 576.201 in a manner so that its subrecipients that are least capable of providing matching amounts receive the benefit of the exception under 24 CFR 576.201(a)(2).

Discharge Policy – The State will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Confidentiality – The State will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

The State will ensure that its subrecipients comply with the following criteria:

Major rehabilitation/conversion/renovation – If an emergency shelter’s rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the building will be maintained as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the building will be maintained as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – If ESG funds are used for shelter operations or essential services related to street outreach or emergency shelter, the subrecipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure. so long the applicant serves the same type of persons (e.g., families with children, unaccompanied youth, veterans, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The subrecipient will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.
**Homeless Persons Involvement** – To the maximum extent practicable, the subrecipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under ESG, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted ESG.

**Consolidated Plan** – All activities the subrecipient undertakes with assistance under ESG are consistent with the State’s current HUD-approved consolidated plan.

Signature of Authorized Official

Date 04/21/2023

Date

Director

Title
APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:

Lobbying Certification
This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.
## Application for Federal Assistance SF-424

### 1. Type of Program:
- [ ] Preapplication
- [X] Application
- [ ] Change/Correction Application

### 2. Type of Application:
- [X] New
- [ ] Construction
- [ ] Other (Specify): 

### 5. Name and Title:
- [ ] Applicant
- [ ] Contractor
- [ ] Other (Specify): 

### 6. Federal Award Identifier:

### 7. Recipient Award Identifier:

### ARROWHEAD INFORMATION:

**a. Legal Name: ** [ ] State of [ ] Department of [ ] Economic & Community Development

**b. Employer/Agency identification Number (EIN):**

**c. Organization Name:**

**d. Address:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Information</th>
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<tbody>
<tr>
<td>State</td>
<td>[ ] City</td>
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<tr>
<td>Zip</td>
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</table>

### d. Organizational Unit:

**Department Name:**

**Division:**

**Contact Person:**

**Contact Number:**

### 6. Name and contact information of person to be contacted on matters involving this application:

**First Name:**

**Last Name:**

**Title:**

**Phone Number:**

**Fax Number:**

**Email Address:**

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### Annual Action Plan

2023
<table>
<thead>
<tr>
<th>Application for Federal Assistance SF-424</th>
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<tr>
<td>* 9. Type of Applicant 1: Select Applicant Type:</td>
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<tr>
<td>[State Government]</td>
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<tr>
<td>[Other Government]</td>
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<tr>
<td>* 10. Name of Federal Agency:</td>
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<tr>
<td>[Department of Housing and Urban Development]</td>
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<td>* 11. Catalog of Federal Domestic Assistance Number:</td>
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<td>[ND]</td>
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<tr>
<td>* 12. Funding Opportunity Number:</td>
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<tr>
<td>[ ]</td>
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<tr>
<td>* 13. Competition Identification Number:</td>
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<tr>
<td>[ ]</td>
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<tr>
<td>* 14. Areas Affected by Project (Cities, Counties, States, etc.):</td>
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<tr>
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<td>[ ]</td>
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<tr>
<td>* 16. Descriptive Title of Applicant's Project:</td>
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<tr>
<td>[Community Development Block Grant]</td>
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</tbody>
</table>

Attach supporting documents as specified by agency instructions.
Application for Federal Assistance SF-424

16. Congressional Districts OF:
A. Applicant [ ] B. Program/Project [ ]

Abstract an interalia list of Program/Project Congressional districts involved:

17. Proposed Project:
A. Start Date: 01/01/2023 B. End Date: 12/31/2023

18. Estimated Funding ($):

A. Federal [ ] B. Applicant [ ]
C. State [ ] D. Local [ ]
E. Other [ ] F. Proposes Involving 2,000 or More People [ ]
G. TOTAL [ ]

19. Is Application Subject to Review by State Under Executive Order 12296 Process?
[ ] a. This application was made available to the State under the provisions of Executive Order 12296 process for review by the State. [ ] b. Program is not covered by EO 12296.

20. Is the Applicant Delineated On Any Federal Detail? (If "Yes," provide explanation in attachment.)
[ ] Yes [ ] No

If "Yes", provide explanation and attach:

21. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also agree to comply with any resulting terms of future award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code: Title 210, Section 506 (f))

I AGREE [ ]

22. The list of certifications and assurances, or at least the name of any possible list is contained in the announcement or agency specific regulations.

Authorized Representative:

[Signature] [Date] [Telephone Number] [FAX Number]

OMB Control No: 2506-0117 (exp. 09/30/2021)
Annual Action Plan 2023


2. Will comply with the Anti-Deficiency Act (5 U.S.C. §§5301-5309) which prohibits the use of hard-copy print in construction or renovation of residence structures.

3. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (28 U.S.C. §224); (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1688, as amended); and (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of disability.

4. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

5. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

6. Will comply with the requirements of the housing authority with regard to the drafting, review, and approval of construction plans and specifications.

7. Will establish safeguards to prohibit employees from using any forms or a purpose that constitutes or presents the appearance of a personal or organizational conflict of interest, or personal gain.


9. Will comply with the Anti-Deficiency Act (5 U.S.C. §§5301-5309) which prohibits the use of hard-copy print in construction or renovation of residence structures.

10. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (28 U.S.C. §224); (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1688, as amended); and (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of disability.

11. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

12. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

13. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

14. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.

15. Will provide and maintain complete and adequate records of the construction of the building and document such actions in the Appendix A of the annual plan. Inspectors will review and approve construction plans and specifications.
11. Will comply or has already complied with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. § 5024 et seq.) except to the extent that inconsistent treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in such uses.


14. Will comply with Federal insurance purchase requirements of Sections 102(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4026), which requires FEMA to mandate a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

15. Will comply with all applicable and enforceable laws, treaties, regulations, and ordnances governing the project.


17. Will ensure that the federal funds are used in accordance with the requirements of Section 106 of the National Historic Preservation Act of 1966 (20 U.S.C. § 405 et seq.), the Archaeological and Historical Preservation Act of 1974 (16 U.S.C. § 470 (d) et seq.), and the Environmental Protection Agency (EPA) regulations (40 CFR Part 30).
# Application for Federal Assistance SF-424

## 1. Type of Submission:
- [ ] Preapplication
- [x] New Application
- [ ] Continuation
- [ ] Changed/Corrected Application

## 2. Type of Application:
- [ ] New
- [ ] Continuation
- [ ] Revision
- [ ] Other (Specify):

## 3. DateReceived:

## 4. Applicant Identifier:

## 5a. Federal Entity Identifier:

## 5b. Federal Award Identifier:

## 6. Date Received by State:

## 7. State Application Identifier:

## 8. APPLICANT INFORMATION:

### a. Legal Name:

### b. Employer/Taxpayer Identification Number (EIN/TIN):

### c. UE:

### d. Address:

- **Street:** 15 Edison Drive
- **City:** Augusta
- **State:** ME: Maine
- **Zip / Postal Code:** 04330-4633

## d. Address:

### e. Organizational Unit:

**Department Name:** Maine State Housing Authority

**Division Name:**

### f. Name and contact information of person to be contacted on matters involving this application:

- **Prefix:** Mr.
- **First Name:** Daniel
- **Middle Name:**
- **Last Name:** Brennan
- **Suffix:**
- **Title:** Director
- **Organizational Affiliation:**

### * Telephone Number:

**Fax Number:** 207-624-5702

### * Email:

brennan@mainehousing.org

---

**Annual Action Plan 2023**

**OMB Control No:** 2506-0117 (exp. 09/30/2021)
### Application for Federal Assistance SF-424

**9. Type of Applicant 1: Select Applicant Type:**
- A: State Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

*Other (specify):*

**10. Name of Federal Agency:**
- US Department of Housing and Urban Development

**11. Catalog of Federal Domestic Assistance Number:**
- 4.239

**CFDA Title:**
- HOME Investment Partnership Program

**12. Funding Opportunity Number:**

**Title:**

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**15. Descriptive Title of Applicant's Project:**
- HOME, See Consolidated Plan

Attach supporting documents as specified in agency instructions.
### Application for Federal Assistance SF-424

16. Congressional Districts Of:
   - *a. Applicant*
   - *b. Program/Project*

Attach an additional list of Program/Project Congressional Districts if needed.

#### 17. Proposed Project:
- *a. Start Date:*
- *b. End Date:*

#### 18. Estimated Funding ($):
- *a. Federal: 4,493,753*
- *b. Applicant*
- *c. State*
- *d. Local*
- *e. Other*
- *f. Program Income*
- *g. TOTAL: 4,493,753*

#### 19. Is Application Subject to Review By State Under Executive Order 12372 Process?
- o. This application was made available to the State under the Executive Order 12372 Process for review on __________.
- o. Program is subject to E.O. 12372 but has not been selected by the State for review.
- o. Program is not covered by E.O. 12372.

#### 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)
- o. Yes
- o. No

If "Yes", provide explanation and attach

#### 21. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)

- o. I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

### Authorized Representative:

- **Prefix:** Mr.
- **First Name:** Daniel
- **Middle Name:**
- **Last Name:** Brennan
- **Suffix:**
- **Title:** Director
- **Telephone Number:** 207-626-4480
- **Fax Number:** 207-624-5702
- **Email:** dbrennan@mainehousing.org

- **Signature of Authorized Representative:**

- **Date Signed:** 4/21/2023
NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.

4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.

5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM’s Standards for a Merit System of Personnel Administration (5 C.F.R. Part 509, Subpart F).

9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§9801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681, 1683, and 1665-1666), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcoholism or alcoholism (g §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 d-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.


14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-204) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).


18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

[Signature]

TITLE

Director

APPLICANT ORGANIZATION

Maine State Housing Authority

DATE SUBMITTED

4/21/2023
### Application for Federal Assistance SF-424

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
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<td><strong>1. Type of Submission:</strong></td>
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</tr>
<tr>
<td><strong>2. Type of Application:</strong></td>
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<td><strong>5a. Federal Entity Identifier:</strong></td>
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<td><strong>5b. Federal Award Identifier:</strong></td>
<td>E-23-DC-23-0001</td>
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<td><strong>6. Date Received by State:</strong></td>
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<td><strong>7. State Application Identifier:</strong></td>
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<td><strong>8. APPLICANT INFORMATION:</strong></td>
<td>Maine State Housing Authority</td>
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<tr>
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<td><strong>b. Employer/Taxpayer Identification Number (EIN/TIN):</strong></td>
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<td><strong>c. UE:</strong></td>
<td>NJEQKZUEJ5</td>
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<tr>
<td><strong>d. Address:</strong></td>
<td>26 Edison Drive, Augusta, ME, 04330-4633</td>
</tr>
<tr>
<td><strong>e. Organizational Unit:</strong></td>
<td>Maine State Housing Authority</td>
</tr>
<tr>
<td><strong>f. Name and contact information of person to be contacted on matters involving this application:</strong></td>
<td>Mr. Brennan, Director, 207-624-4606, 207-624-5702, <a href="mailto:brennan@mainehousing.org">brennan@mainehousing.org</a></td>
</tr>
</tbody>
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**Annual Action Plan 2023**

OMB Control No: 2506-0117 (exp. 09/30/2021)
Application for Federal Assistance SF-424

* 9. Type of Applicant 1: Select Applicant Type:
   - State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

* 10. Name of Federal Agency:
   - US Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:
   - 4.231
   - CFDA Title:
     - Emergency Solutions Grant (ESG) program

* 12. Funding Opportunity Number:

* Title:

13. Competition Identification Number:

   Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

* 15. Descriptive Title of Applicant’s Project:
   - ESG, See Consolidated Plan

Attach supporting documents as specified in agency instructions.
### Application for Federal Assistance SF-424

**16. Congressional Districts Of:**

- **a. Applicant:**
- **b. Program/Project:**

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

- **a. Start Date:**
- **b. End Date:**

**18. Estimated Funding ($):**

- **a. Federal:** 1,394,301
- **b. Applicant:**
- **c. State:**
- **d. Local:**
- **e. Other:**
- **f. Program Income:**
- **g. TOTAL:** 1,394,301

**19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- **(a) This application was made available to the State under the Executive Order 12372 Process for review on:**
- **(b) Program is subject to E.O. 12372 but has not been selected by the State for review:**
- **(c) Program is not covered by E.O. 12372:**

**20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- **(Yes) No**

If "Yes", provide explanation and attach

**21. By signing this application, I certify (1) to the statements contained in the list of certifications**

- **and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances**

- **and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to civil, criminal, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

- **I AGREE**

**The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.**

### Authorized Representative:

- **Prefix:** Mr.
- **First Name:** Daniel
- **Middle Name:**
- **Last Name:** Brennan
- **Suffix:**
- **Title:** Director
- **Telephone Number:** 207-624-4200
- **Fax Number:** 207-624-5701
- **Email:** dbrennan@mainehousing.org
- **Signature of Authorized Representative:**

- **Date Signed:** 4/21/2023

---

**Annual Action Plan**

2023

**OMB Control No:** 2506-0117 (exp. 09/30/2021)
### Application for Federal Assistance SF-424

**Annual Action Plan 2023**

OMB Control No: 2506-0117 (exp. 09/30/2021)

<table>
<thead>
<tr>
<th>A. Type of Submission:</th>
<th>B. Type of Application:</th>
<th>* If Revision, select appropriate letter(s):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preapplication</td>
<td>New</td>
<td></td>
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<tr>
<td>Application</td>
<td>Continuation</td>
<td></td>
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<tr>
<td>Changed/Corrected Application</td>
<td>Revision</td>
<td></td>
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<tr>
<td></td>
<td>* Other (Specify):</td>
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</tr>
</tbody>
</table>

**3. Date Received:**

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

F-23-SG-23-0100

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

<table>
<thead>
<tr>
<th>B. Applicants Information:</th>
</tr>
</thead>
<tbody>
<tr>
<td>* a. Legal Name: Maine State Housing Authority</td>
</tr>
<tr>
<td>* b. Employer/Taxpayer Identification Number (EIN/TIN): 11-0312916</td>
</tr>
<tr>
<td>* c. UE: 1E6EQ2UB3J5</td>
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</tbody>
</table>

**d. Address:**

- **Street:** 26 Edison Drive
- **City:** Augusta
- **State:** ME: Maine
- **Country:** USA: UNITED STATES
- **Zip / Postal Code:** 04330-4633

**e. Organizational Unit:**

- **Department Name:** Maine State Housing Authority
- **Division Name:**

**f. Name and contact information of person to be contacted on matters involving this application:**

- **Prefix:** Mr.
- **First Name:** Daniel
- **Middle Name:**
- **Last Name:** Brennan
- **Suffix:**
- **Title:** Director
- **Organizational Affiliation:**

- **Telephone Number:** 207-626-4600
- **Fax Number:** 207-624-5702
- **Email:** dbrennan@mainehousing.org

Annual Action Plan 2023

OMB Control No: 2506-0117 (exp. 09/30/2021)
<table>
<thead>
<tr>
<th>Application for Federal Assistance SF-424</th>
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<tbody>
<tr>
<td><strong>9. Type of Applicant 1: Select Applicant Type:</strong></td>
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<tr>
<td>Ai State Government</td>
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<tr>
<td><strong>Type of Applicant 2: Select Applicant Type:</strong></td>
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<td><strong>Type of Applicant 3: Select Applicant Type:</strong></td>
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<td><strong>Other (specify):</strong></td>
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<td><strong>10. Name of Federal Agency:</strong></td>
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<td>US Department of Housing and Urban Development</td>
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<td><strong>11. Catalog of Federal Domestic Assistance Number:</strong></td>
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<td><strong>CFDA Title:</strong></td>
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<td>Housing Trust Fund</td>
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<td><strong>12. Funding Opportunity Number:</strong></td>
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<td><strong>13. Competition Identification Number:</strong></td>
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<td><strong>Title:</strong></td>
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<tr>
<td><strong>14. Areas Affected by Project (Cities, Counties, States, etc.):</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Add Attachment</td>
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<tr>
<td><strong>15. Descriptive Title of Applicant's Project:</strong></td>
</tr>
<tr>
<td>Attach supporting documents as specified in agency instructions.</td>
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Application for Federal Assistance SF-424

16. Congressional Districts Of:
   * a. Applicant
   * b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

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   * a. Start Date: 
   * b. End Date: 

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   * a. Federal
   * b. Applicant
   * c. State
   * d. Local
   * e. Other
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   Yes ☐ No ☐
   If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☐ I AGREE

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Authorized Representative:

Prefix: Mr. * First Name: Daniel
Middle Name: 
Last Name: Brennan
Suffix: 
Title: Director

* Telephone Number: 207-626-4800 Fax Number: 207-624-5702

* Email: dbrennan@mainehousing.org

* Signature of Authorized Representative: 

* Date Signed: 5/31/2023

Annual Action Plan 2023

OMB Control No: 2506-0117 (exp. 09/30/2021)