

# State of Maine Community Development Block Grant Program



Economic & Community  
Development



## Housing Assistance Grant Program

## 2021 Application Package

Office of Community Development  
111 Sewall Street  
59 State House Station  
Augusta, ME 04333-0059  
Phone: (207) 624-7484  
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**Application by Invitation Only**

# **Housing Assistance Grant Program**

## Table of Contents

<b>Application Timetable and Requirements</b>	<b>Page 3</b>
<b>Step-by-Step Guide for Successful Application Submission</b>	<b>Page 4</b>
<b>Application Checklist &amp; Packaging Requirements</b>	<b>Page 5</b>
<b>Application Overview</b>	<b>Page 6</b>
<b>Application Instructions &amp; Scoring Criteria</b>	<b>Page 8</b>
<b>Project Information Sheet</b>	<b>Page 10</b>
<b>Matching Funds Table</b>	<b>Page 11</b>
<b>Budget Summary</b>	<b>Page 12</b>
<b>Cover Sheet</b>	<b>Page 13</b>
<b>Sample Application Title VI Public Hearing Notice</b>	<b>Page 16</b>

# Housing Assistance Grant Program

## APPLICATION TIMETABLE & REQUIREMENTS

Please take note that eligible applicants for HA funding are limited to those communities receiving prior written OCD approval of their Letter of Intent to Apply. Applicants submitting a HA application without OCD approval of their Letter of Intent will have the application returned unscored.

All applications must be received electronically by **4:00 P.M., Friday, May 7, 2021.**

Late submissions will not be accepted and will be returned unopened.

Faxed copies will not be accepted.

Applications must be received as one complete PDF formation application submitted via email to: [ocd.application@maine.gov](mailto:ocd.application@maine.gov)

**FOR FURTHER INFORMATION: (207) 624-7484**

### SUBMISSION REQUIREMENTS

See Page 5 for packaging instructions.  
Include only those attachments requested by OCD

**ONE ORIGINAL** – Scanned and emailed in PDF formation, packaged in this exact order:

Signed Cover Sheet with Certifications, Project Information Sheet, Application Responses, Matching Funds Table with attached Letters of Commitment, Budget Summary, and Public Hearing Record and Mandatory Attachments as directed.

**MARGIN AND TYPE SIZE** for all Applications must contain margins consistent with those in this Application document and be typed using a minimum size 12 Arial font on 8 1/2 x 11 inch paper.

**MAXIMUM LENGTH OF APPLICATIONS** Applications are limited to **four (4) pages** to provide the responses required in Section II (D), not counting required attachments.

**NON-CONFORMING APPLICATIONS WILL NOT BE SCORED**

This Application Package is available electronically at:

**[www.meocd.org](http://www.meocd.org)**

# Housing Assistance Grant Program

## A STEP-BY-STEP GUIDE FOR SUCCESSFUL APPLICATION SUBMISSION

1. Read the entire Application Package carefully! Be sure to follow the instructions on Page 3 as to due date, font and paper size, margins, emailing requirements and maximum length allowed for required responses. For additional information on all CDBG programs consult the 2021 CDBG Program Statement available on the OCD web site.
2. Eligible applicants for HA funding are limited to those communities receiving prior written OCD approval of their Letter of Intent to Apply. Applicants submitting a HA application without OCD approval of their Letter of Intent will have the application returned unscored.
3. Complete the Application Cover Sheet on Pages 14-15. The Cover Sheet contains places for signatures and lists specific state and federal regulations that applicants certify they will follow if awarded CDBG funds. Make sure all required signatures are obtained. At a minimum, each applicant will need the signature of their Chief Executive Officer (CEO). In addition, signatures are required from each CEO for multi-jurisdictional Applications.
4. Complete the Project Information Sheet on Page 10. This sheet will list project activities, developer, if applicable, HA amount requested, number of units to be assisted; identify if the project is multi-jurisdictional and for housing rehabilitation projects document compliance with administrative and procurement requirements set forth in Section 1 (J) on Page 6 of this application package, and Section 2 (A) (1) of the 2021 CDBG Program Statement.
5. Use a maximum of four (4) pages for your Required Responses to the Impact, Development of Strategy, and Citizen Participation criteria contained on Page 9 in Section II (D) of this application package. Make sure you address each applicable subcategory! You may submit a maximum two (2) page attachment documenting cost estimates and projected project timeline. This does not count towards the 4 pages.
6. Complete the Matching Funds Table on Page 12 and attach letters of commitment for each funding source claimed on the table.
7. Complete the Budget Summary on Page 13. Directions for completion are included.
8. Attach documentation of local public hearing to the Application. This must be in compliance with the requirements set forth on Page 6. Please remember all public hearing notices must comply with the Title VI requirements set forth in the sample notice contained on page 16 of this application package. Any applicant submitting a non-compliant public hearing notice will have five points deducted from their final application score.
9. Package your Application exactly in the order specified on Page 5 and be sure to submit 1 original and 4 copies that meet the requirements contained on Page 3. Do not include binders, report covers, or folders, as they will be discarded prior to scoring.
10. Use the Application Checklist & Packaging Requirements on Page 5 as a tool to make sure your Application will be complete and ready for OCD review.
11. Remember! The Application due date is 4:00pm Friday, May 7, 2021.

# Housing Assistance Grant Program

## APPLICATION CHECKLIST & PACKAGING REQUIREMENTS

Use this to make sure your Application contains all required submissions and is packaged in the proper order!

A complete application consists of the following items packaged in this exact order: Cover Sheet and Project Information Sheet must also be packaged in the same order starting with the Required Responses.

- Cover Sheet with original signature;**
- Project Information Sheet;**
- Required Responses to the Impact, Development Strategy, and Citizen Participation sections. (Maximum of four (4) pages);**
- Matching Funds Table with attached letters of commitment;**
- Budget Summary;**
- Public hearing record including the published public hearing notice, attested hearing minutes and attendance list – Notice must comply with sample notice contained on page 17 of this application package; and**
- Mandatory documentation of cost estimates and projected project timeline.**

Incomplete packages or 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.



## SECTION I - HOUSING ASSISTANCE GRANT APPLICATION OVERVIEW

### A. Introduction

The Housing Assistance Grant Program (HA) provides funding to address housing problems of Low and Moderate Income (LMI) persons.

### B. Letter of Intent as HA Application Eligibility Requirement

Eligible applicants for HA funding are limited to those communities receiving prior written OCD approval of their Letter of Intent to Apply. Applicants submitting a HA application without OCD approval of their Letter of Intent will not be scored.

### C. Special Threshold Requirement for Housing Assistance Applications:

Communities may not submit a HA application if they have received or benefited from two HA awards within the five (5) year period prior to the CDBG program year for which applications are being accepted. A waiver may be granted by the Director of OCD for cause.

### D. Public Hearing Requirements

Each applicant is required to hold a duly authorized public hearing during the Application process with a minimum of 10 days prior notice. The hearing must be advertised in local newspapers and posted according to local requirements. The published notice must meet the Title VI requirements set forth in the sample notice contained on Page 16 of this application package. **Any applicant submitting a non-compliant public hearing notice will have five points deducted from their final application score.** Applicants must attach a copy of the published hearing notice, attested copy of the minutes and attendance list to the original and all four (4) copies of the Application.

### E. Documentation of CDBG National Objective:

Each HA project activity must meet a National Objective of the CDBG program by benefiting low to moderate income persons.

### F. Matching Funds Requirements

Communities applying for HA funds for housing activities must provide a cash match of at least 20 percent of the total HA grant award. This must be reflected on the Matching Funds Table contained on Page 12 of this Application Package. Firm letters of commitment for all matching funds must be attached to the table and all copies of the application.

### G. Financial Commitments as a Threshold Requirement:

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.

### H. Maximum HA Grant Amount: \$1,000,000

### I. Maximum Allowable HA Per Housing Unit Costs:

Except for approved new construction, conversion, acquisition and/or relocation, all other HA projects are limited to a maximum of \$40,000 per housing unit assisted. This total includes ***all*** combined project activities. This maximum can be waived by the Director of OCD for cause. **Public infrastructure is not an allowable expense.**

### J. Administrative Capabilities for Housing Rehabilitation Applicants:

Applicants for HA assistance must have an identified multi-family project with a developer approved by the Office of Community Development.

### K. Applicant Prohibitions

Units of local government may not apply for more than one HA program per grant year. In addition, all HA applicants must meet the past performance criteria contained in the 2021 Program Statement on page 8, Section 1 (G). Eligible units of general local government as defined above may apply for CDBG assistance on behalf of the five Maine Indian Tribes. Maine Indian Tribes are not themselves eligible applicants.

## **L. Multi-Jurisdictional Applications**

A multi-jurisdictional application is one submitted from two or more communities joining together to create a single HA program to meet shared problems in the respective communities.

## **M. Application Process**

The selection process for the HA Program consists of two phases - an Application Phase and a Project Development Phase.

### **1. Competitive Application**

The application must provide a narrative description of the Impact, Development Strategy, and Citizen Participation relating to housing activities proposed in the application.

The applicant must complete the Application form and may only attach additional information if specifically requested. Please remember to answer briefly and as completely as possible within the allotted space. The focus of the review is to assess the readiness, feasibility, LMI impact, health and safety issues and need for funding from the basic facts of the situation and proposed solution. Reviewing and scoring of applications will begin following the application deadline of May 7, 2021. Each application will be rated on its own merit and in relation to all other applications. After the scoring process is completed, successful communities will be invited into the project development phase.

### **2. Project Development**

An invitation into the Project Development Phase reserves funds for the project. Program funding is contingent upon the Office of Community Development's (OCD) receipt of funds from HUD and successful completion of Project Development criteria. All aspects of the Project Development Phase must be completed prior to the execution of a contract with OCD and include:

- 1) environmental review;
- 2) cost analysis and justification;
- 3) non CDBG project funds commitments;
- 5) management plan development; and
- 6) specific state and federal requirements.

The emphasis during the Project Development Phase is on development of the best project to meet the community's HA needs. A Development Program Manager will be assigned to work with each community to assist in the finalization of their project. **Applicants have six months to complete the project development phase process or notice of award may be rescinded.**

### **3. Project Implementation**

Following contract execution, the community will be awarded HA funds and will begin to implement their project. The Development Program Manager will remain involved with the community throughout project implementation providing technical assistance and to monitor for compliance with federal and state regulations.

# SECTION II - HOUSING ASSISTANCE GRANT APPLICATION INSTRUCTIONS AND SCORING CRITERIA

## A. Introduction

Communities must provide a narrative description of the Impact, Development Strategy, and Citizen Participation relating to the HA activity proposed in the application. Scoring criteria for Impact, Development Strategy, and Citizen Participation are described below. Each application will be rated in relation to all others in a **three-stage process** described in Sections D – E below.

There is no minimum score required for an application to be considered for funding. The maximum length of an application, excluding the Cover Sheet, Project Information Sheet, Matching Funds Table & Letters of Commitment, Budget Summary, Public Hearing Documentation and a maximum two page documentation of cost estimates and projected project timeline is **four (4) pages** on 8 1/2 x 11 inch paper with a print size no smaller than that in this application package. Please refer to Page 6 of this application package for required packaging instructions.

**All nonconforming applications will be not be scored.**

Fundable activities in the HA program include but are not limited to: rehabilitation of occupied or vacant multi-family housing units, same site replacement housing, relocation assistance, acquisition, alternative housing, conversion of non-residential structures, demolition, historic preservation, lead based paint removal, new housing construction as allowed by HUD regulations, provision of potable water or sewer, and removal of architectural barriers. All activities must be directly related to assisting or creating LMI residential housing units.

## B. Cover Sheet

Please complete the cover sheet found on Page 15 of this packet and attach to the front of your application. **The Chief Executive Officer must sign the Cover Sheet.** The Cover Sheet consists of three sections:

### 1. Applicant Identification

Community's name, address, Chief Executive Officer (CEO), contact person, phone numbers and e-mail address.

### 2. State Certifications

List of state certifications that applicants agree to follow if they are awarded Housing Assistance Program funds.

### 3. Federal Certifications for Local Governments

List of federal certifications that communities agree to follow if they are awarded Housing Assistance Program funds.

For multi-jurisdictional applications, one unit of general local government must be identified as the lead applicant. Signatures of the Chief Executive Officer of each participating unit of general local government, or County Commissioner on behalf of participating unorganized territories, signifies approval for the lead applicant to apply on their behalf.

## C. Project Information Sheet

A Project Information Sheet is included on Page 10 of this Application Package. Applicants must complete the sheet which lists project activities, developer, HA amount requested, number of units to be assisted.



## D. Review Team Analysis

Members of the four-person OCD 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.

**1. Impact (40 points)** describes the community problems or needs the applicant wishes to address with HA assistance. The following rating criteria will be used:

Description of the specific housing problems to be addressed with HA funds – 15 points

How the problems were identified – 10 points

How the problems affect LMI persons in the community and historic lack of resources – 15 points

**2. Development Strategy (40 points)** presents solutions to the problems identified in the Impact section. (***You must submit an attachment documenting cost estimates and projected project timeline.***) The following rating criteria will be used:

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

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

**3. Citizen Participation (20 points)** describes how citizens, community groups and project beneficiaries participated in identifying the problems and solutions included in this application. (**Note: you must also submit a public hearing record consisting of the Title VI compliant published public hearing notice, hearing minutes, and attendance list with the original and all six copies of the application.**) The following rating criteria will be used:

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 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 contributions – 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.

## E. Final Application Score

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

# Community Development Block Grant Housing Assistance Grant Program Project Information Sheet

1. Applicant: \_\_\_\_\_
2. Multi-Jurisdictional: \_\_\_\_ Yes \_\_\_\_ No
3. If yes, list all participating communities: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. Name of Developer: \_\_\_\_\_
5. Non-Profit: \_\_\_\_ Yes \_\_\_\_ No
6. If developer is a non-profit please explain status: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. Briefly summarize project activities: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
8. HA Request: \$\_\_\_\_\_ Total Project Cost: \_\_\_\_\_
9. Number of housing units to be created/assisted: \_\_\_\_\_

# Community Development Block Grant Housing Assistance Grant Program Matching Funds Table

Funding Source	Grant/Loan	Amount	Terms of borrowing or bond sale
TOTAL: \$			

**Submit a copy of this Matching Funds Table and all letters of commitment with the original and all four copies of the application.**

# Community Development Block Grant Housing Assistance Grant Program Budget Summary

Cost Category	Column 1 CDBG	Column 2 Local	Column 3 State	Column 4 Utility	Column 5 Non- CDBG Federal	Column 6 Other	Column 7 Cost Category Total
Land Acquisition							
Legal Expenses							
Appraisals							
Relocation							
Demolition							
Site Work							
Architectural							
Engineering							
Construction							
Materials							
Equipment							
Inspection							
Down Payments							
Administration							
Rehab Administration							
Other (List)							
1.							
2.							
3.							
<b>TOTAL COSTS</b>							

## Directions for Completing Budget Summary

1. For each applicable cost (cash and in-kind) in the Cost Category column, list the projected dollar amount for all applicable funding sources in columns 1-6.
2. List the total dollar amount for each cost category in column 7, Cost Category Total
3. Enter the total of all Cost Category amounts in column 7 in the TOTAL COSTS box directly under column 7.
4. Submit a copy of this Summary with the original and all four copies of the application.

**Community Development Block Grant  
Housing Assistance Grant Program  
Cover Sheet and Certifications**

**A. Applicant Identification**

<b>Applicant:</b>	
<b>Address:</b>	
<b>Town/City/County:</b>	
<b>Zip Code:</b>	
<b>Chief Executive Officer:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Contact Person:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Census Tract(s) Where Proposed HA Activities will occur:</b>	
<b>Applicant DUNS (Dunn &amp; Bradstreet) #:</b>	
<b>(visit <a href="http://www.nea.gov/grants/apply/DUNS.html">www.nea.gov/grants/apply/DUNS.html</a> if applicant needs to obtain a number)</b>	



**B. CERTIFICATION BY AUTHORIZED OFFICIAL OF MUNICIPALITY AND SUB-GRANTEE (if applicable):**

**1. State Certifications**

- a. To the best of my knowledge and belief, the information in this Application is true and correct;
- b. the governing body of the applicant has duly endorsed the document;
- c. the proposed project has been reviewed and it complies with the Community's comprehensive plan and/or applicable state and local land use requirements;
- d. will work with the Office of Community Development to develop a detailed project if it receives a conditional award; and
- e. will comply with all applicable State laws and regulations.

**2. Federal Certifications**

- a. will take actions to affirmatively further fair housing and implement CDBG activities in compliance with Title VI of the Civil Rights Act of 1964 and Title VIII of the Civil Rights Act of 1968;
- b. will not attempt to recover capital costs for the construction of public improvements, assisted in whole or in part with CDBG funds, by charging special assessments or fees against properties owned and occupied by persons of low and moderate income, including any fee, charge or assessment made as a condition of obtaining access to such public improvements, unless:
  - (i) CDBG funds are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than CDBG funds; or
  - (ii) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, and the applicant certifies that it lacks sufficient CDBG funds to comply with the requirements of clause (i) above.
- c. prior to expenditure of CDBG funds, it will establish a local community development plan that identifies the Community's housing and community development needs, including the needs of low and moderate income, and the activities to be undertaken to meet them;
- d. will provide in a timely manner for citizen participation, public hearings, and access to information with respect to the Maine CDBG Program and the proposed local CDBG project/program. Indicate in public notices and at public hearings that the State program is competitive, the maximum grant amount that can be requested, and the general type of activities contained in the proposed local program. Also announce in public notices the availability of the local program plan/application, describe the Community's previous CDBG performance (if any), and how the Community will collect, consider and maintain all oral and written comments received on the proposal;
- e. will adopt and follow a residential anti-displacement and relocation assistance plan which complies with Section 104 (d) of the Housing and Community Development Act of 1974, as amended, that at a minimum provides for the replacement of all low/moderate income dwelling units that are demolished or converted to a non-LMI housing use as a direct result of CDBG assistance, and a relocation assistance component;
- f. is not listed on U. S. Department of Labor's Debarred and Suspended Contractor's List and will not employ contractors or subcontractors on this list;
- g. will comply with the requirements of Section 319 of Public Law 101-121 regarding government-wide restrictions on lobbying; and
- h. with the exception of administrative or personnel costs, it will verify that no person who is an employee, agent, consultant, officer, or elected official 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, per 24 CFR Part 570.611.
- i. 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.
- j. Transfer positions cannot be counted toward the job creation/retention requirements.
- k. 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.
- l. The Federal Equal Credit Opportunity Act prohibits creditors from discriminating against credit applications on the basis of race, color, religion, national origin, sex, marital status, age (provided that the applicant has the capacity to enter into a binding contract); and because all or parts of the applicant's income is derived from any public assistance program; or because the applicant has, in good faith, exercised any rights under the Consumer Credit Protect Act. The federal agency that administers compliance with this law concerning this creditor is the Federal Trade Commission. If a person believes that he or she was denied assistance in violation of this law, they should contact the Federal Trade Commission, Washington DC 20580.

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Signature of Chief Executive Officer

Name of Community

Date: mm/dd/year

## Public Hearing Notice to Comply with Title VI Requirements

Public Hearing Notice  
The City/Town of \_\_\_\_\_

The City/Town of \_\_\_\_\_ will hold a Public Hearing on \_\_\_ (date) \_\_\_, at \_\_\_ (time) \_\_\_, at the \_\_\_ (location) \_\_\_ to discuss an application being submitted to the State of Maine CDBG program for a (specific name of grant program) . The purpose of the grant application is to state purpose. Public comments will be solicited at this Hearing and will be submitted as part of the application. All persons wishing to make comments or ask questions about the grant application are invited to attend this Public Hearing. Comments may be submitted in writing to: (name of contact, address) at any time prior to the Public Hearing. TDD/TTY users may call (list local TTY number or 711) . If you are physically unable to access any of the City's/Town's programs or services, please call (list local contact and phone number), so that accommodations can be made.



***Any applicant submitting a non-compliant public hearing notice will have five points deducted from their final application score.***

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

**BY CONTACTING:**

**OFFICE OF COMMUNITY DEVELOPMENT  
111 SEWALL STREET, 3<sup>RD</sup> 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](http://www.meocd.org)**

**The Maine State CDBG Program is Funded by:**

