

2016

CONSOLIDATED ANNUAL

PERFORMANCE EVALUATION REPORT

(CAPER)

JULY 1, 2016 – JUNE 30, 2017

CR-05 - Goals and Outcomes

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

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

As a HOME Consortium the City of Auburn and the City of Lewiston have made good progress in meeting the goals identified in the 2015 -2019 Consolidated Plan. Eight high priority and one low priority goal have been identified for Auburn and three goals identified for Lewiston. Most projects have met their goals or on track to meet them.

Prevent Deterioration of Housing Stock: The CDBG Housing Rehab Program continues to be popular with property owners in the target area. This year we funded the rehab for 17 properties (45 rental units/8 owner occupied units). The HOME Rehab Program funded the rehab of 4 homeowner units.

Promote Jobs and Development: a city council and mayor initiative was promoted this year; the Storefront Traffic Accelerates Revitalization (STAR) Program is a loan program for business owners looking to locate in vacant storefronts in the CDBG target areas or owners of these properties who wish to make renovations to the vacant spaces in their buildings to attract new business. The program was unrolled in November, 2016 however no loans were approved.

Make Neighborhoods Safe and Walkable: The city council initiative “Neighborhood Challenge Grant” was unveiled. This will allow for neighbors, associations or other groups to suggest enhancements to city owned property that will beautify and increase safety in their neighborhoods.

Prevent Homelessness: Home funds for Staying Home Rental Assistance Program were not utilized but will be carried forth for our third program year.

Support Construction of New Affordable Housing: We have a commitment with a developer for the new construction of a 42 unit mixed income rental project. 31 of the units will be affordable and 2 will be HOME Units. Also, we are working with two developers looking to create up to 100 Affordable Rental Units.

Create Mixed Income Neighborhoods: The City funded a HOME Special Project at 11 Walker Street, Lewiston which included the acquisition/rehab/sale of a vacant foreclosed property. A 9 unit Housing Co-op Project is near completion.

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

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

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Anti-poverty/Auburn	Non-Housing Community Development	CDBG: \$300,000	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1000	644	65%	210	344	164%
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$300,000	Rental units constructed	Household Housing Unit	50	0	0%	10	0	0.00 %
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$400,000	Homeowner units rehabilitated	Household Housing Unit	10	8	80%	2	8	400%
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$492,865	Direct Financial Assistance to Homebuyers	Households Assisted	17	10	59%	3	9	300%
Fair Housing/Aub	Fair Housing and Housing Choice	CDBG: \$8,000	Other	Other	12	4	34%	2	1	50%
Improve Parks and Community Gardens/Auburn	Non-Housing Community Development	CDBG: \$170,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	4305	1285	30%	861	0	0%
Improve Parks and Community Gardens/Auburn	Non-Housing Community Development	CDBG: \$100,000	Other	Other	3	1	34%	1	0	0.00%

Improve Safety & Efficiency of Housing/Lewiston	Affordable Housing	HOME: \$300,000	Rental units constructed	Household Housing Unit	50	0	0.00%	0	0	0%
Improve Safety & Efficiency of Housing/Lewiston	Affordable Housing	HOME: \$400,000	Homeowner Housing Rehabilitated	Household Housing Unit	10	10	100%	2	8	400%
Increase Owner Occupancy/Auburn	Affordable Housing	HOME: \$375,000	Direct Financial Assistance to Homebuyers	Households Assisted	25	3	12%	5	1	20%
Make Neighborhood Streets Safe and Walkable/Auburn	Non-Housing Community Development	CDBG: \$312,050	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	4305	0	0.00%	2305	0	0.00%
Make Neighborhood Streets Safe and Walkable/Auburn	Non-Housing Community Development	CDBG: \$212,950	Other	Other	3000	0	0.00%	0	0	0%
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ 1,689,500 HOME: \$0.00	Rental units rehabilitated	Household Housing Unit	185	61	33%	37	32	87%
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$515,000	Homeowner Housing Rehabilitated	Household Housing Unit	90	35	39%	18	15	84%
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$250,000 HOME: \$	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	500	244	49%	100	133	133%

Prevent Homelessness/Auburn	Homeless	CDBG: \$90,000 / HOME: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	200	201	100%	71	83	117%
Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$93,750	Homelessness Prevention	Persons Assisted	125	66	53%	25	33	132%
Prevent Homelessness/Lewiston	Affordable Housing	HOME: \$62,500	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	125	23	19%	25	23	92%
Promote Jobs and Development/Auburn	Non-Housing Community Development	CDBG: \$200,000	Facade treatment/business building rehabilitation	Business	10	0	0.00%	2	0	0.00%
Promote Jobs and Development/Auburn	Non-Housing Community Development	CDBG: \$200,000	Businesses assisted	Businesses Assisted	10	0	0.00%	2	0	0.00%
Support Construction of New Affordable Housing/Aub	Affordable Housing	HOME: \$300,000	Rental units constructed	Household Housing Unit	60	0	0.00%	12	0	0.00%

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

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

CDBG funds are used to address eight of the nine goals identified in the 5 year Consolidated Plan. The Anti-Poverty Strategy is addressed by providing funds to three public service agencies and three city programs. Community Concepts Inc., Literacy Volunteers, and Androscoggin Head

Start are crucial to the success of families who are struggling with the issues of poverty. The Auburn Police Department offers two programs, the Work with Me and the Suspension Diversion Program aimed at area high school youth to ensure they remain in school and learn important skills that can transition them out of generational poverty. The Recreation Scholarship Program is funded to assist youth to attend summer camp. Were it not for this assistance many children would be unsupervised during the work week. The program makes it possible for parents to work, look for employment and better their financial situations.

Auburn has an old and aging housing stock and so the CDBG Housing Rehabilitation Program offers an affordable option to property owners to rehabilitate their properties. Auburn's vacancy rate is at a low of 3% so it is important to maintain what is available until new units are built. In addition, we are very much aware that while the housing stock needs attention the neighborhoods in our target areas are in need of safety improvements and beautification to rid the area of blight. The Hampshire Street Reconstruction and Beautification Project is a \$1.5 million dollar project that is supplemented with \$312,050 of CDBG funds. It will offer a newly rebuilt road, newly constructed sidewalks and enhanced crosswalks, new lighting and landscaping. The project broke ground in March of 2017 and is expected to be complete in December, 2017. The City unveiled a new program in November, 2016 as a result of a city council initiative. The Neighborhood Challenge Grant will make available CDBG funds to neighborhoods that have ideas on how to improve and beautify their neighborhoods. We are in receipt of one application that looks favorable for funding.

CR-10 - Racial and Ethnic composition of families assisted

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

91.520(a)

	CDBG	HOME
White	603	52
Black or African American	261	3
Black or African American and White	12	
Asian	19	1
American Indian/Alaskan Native	11	
Native Hawaiian/Other Pacific Islander	1	
American Indian/Alaskan Native & White	6	
Americ. Indian/Alaskan Native & Black/African	2	
Other multi-racial	6	
Total	921	56
Hispanic	47	0
Not Hispanic	874	56

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

Narrative

The total population for the city of Auburn is 22,916 and the 2015 ACS shows that 91.4% of the population is white, 1.2% is Black or African American, 3.6% is White/American Indian/Alaskan Native while all other races were less than 1%.

The analysis of CDBG Funds spent by population shows that 66% were white, 29% were black and the other races received less than 1% each. Home Funds spent by population shows that 93% of the funds went to white and 7% of the funds went to black or Asian households.

When comparing the two it is apparent that Auburn is predominantly white but it also shows that we spend a larger proportion of funds on minorities than the ACS indicates by race.

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG	CDBG	1,280,751	448,331
HOME	HOME	1,452,517	643,985

Table 3 - Resources Made Available

Narrative

The 2016 Action Plan included \$1,280,751 from Community Development resources for activities and administrative costs of which \$511,800 was the new grant, \$339,206 was program income, and \$429,745 was prior year funds. The program leveraged \$858,305 against the grants to non-profit agencies and also leveraged \$166,756 against the loans and grants awarded for housing rehabilitation projects. From these resources, Community Development projects accounted for an expenditure of \$448,331. By categories, \$227,590 was spent on housing activities, \$7,560 on public improvements, \$126,089 on social services, and \$87,100 was spent on administration which includes paying staffing salaries and benefits, goods and services to operate the program, fair housing activities.

Through the Auburn-Lewiston Consortium HOME resources are available to the two communities to assist in creating low-income rental housing units, encouraging home ownership, rehabilitating buildings, and assisting homeless persons. The 2016 Action Plan included \$1,452,517 in HOME resources for projects and programs of which \$323,707 was the new grant, \$309,968 in program income, and \$818,842 from prior year funds for both Auburn and Lewiston. From these resources, HOME funded activities accounted for an expenditure of \$450,668. The program leveraged \$98,015. For the City of Auburn the expenditures were \$138,790 for a special acquisition/rehab, \$4,875.59 for homebuyer assistance, \$98, for homeowner rehabilitation, \$20,417 for security deposits, and \$35,369 for administration in Auburn. In Lewiston the expenditures were \$66,102 for a special acquisition/rehab, \$7,417 for homebuyer assistance, \$243,666 for homeowner rehabilitation, \$14,102 for security deposits, and \$14,753 for administration.

Identify the geographic distribution and location of investments

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description
DOWNTOWN TARGET AREA	20	14	2 housing rehabs projects
NEW AUBURN TARGET AREA	20	45	8 housing rehab projects
UNION STREET TARGET AREA	60	28	Community Garden

Table 4 – Identify the geographic distribution and location of investments

Narrative

The majority of the projects reflected in the numbers in the chart above are Housing Rehab Projects. However 13% of the projects were outside of the target areas. Our CDBG rehab program allows for CDBG funds to be spent outside the target areas for households that qualify as LMI and when the nature of the repairs is an emergency. CDBG funds allocated to specific areas in this budget included \$312,050 for the Hampshire Street Reconstruction. The project broke ground late in March and no funds were expended.

Leveraging

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

The CDBG Housing Rehab Program is leveraged by a 25% match for investor owned properties. The CDBG Weatherization Program offers a \$3,500 deferred loan which is leveraged with often more than double the CDBG investment. The two programs accounted for \$166,756 in leveraged funds. The Auburn/Lewiston Lead Grant Program offers a \$10,000 grant per unit, a Healthy Homes Grant of \$2,300 per unit and requires a 10% owner match which can be a CDBG loan; the program accounted for \$252,836 in leverage funds. The STAR Business Loan Program requires a 50% match however there was no activity in this program. Public Service Agencies account for \$858,305 in leveraged funds this year. In FY2016 the CDBG program leveraged a total of \$1,277,897 which is 2.5 times our annual allocation.

The HOME Program leveraged funds of \$200,771 with two Special Acquisition/Rehab/Sale projects. The City has an approved 42 unit Rental Development Project in the wings which will include leveraged funds from a TIF district, the Low Income Tax Credit from Maine State Housing Authority and other state and private sources. This activity will be accounted for in 2017.

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	1,462,674
2. Match contributed during current Federal fiscal year	30,500
3 .Total match available for current Federal fiscal year (Line 1 plus Line 2)	1,493,174
4. Match liability for current Federal fiscal year	33,848
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	1,459,326

Table 5 – Fiscal Year Summary - HOME Match Report

Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match
1524	12/15/2016	30,000	\$0	\$0	\$0	\$0	\$0	\$30,000

Table 6 – Match Contribution for the Federal Fiscal Year

HOME MBE/WBE report

Program Income – Enter the program amounts for the reporting period				
Balance on hand at beginning of reporting period	Amount received during reporting period	Total amount expended during reporting period	Amount expended for TBRA	Balance on hand at end of reporting period
\$	\$	\$	\$	\$
\$0	\$309,968	\$309,968	\$34,519	\$0

Table 7 – Program Income

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

Table 8 - Minority Business and Women Business Enterprises

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

Table 9 – Minority Owners of Rental Property

Relocation and Real Property Acquisition – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition

Parcels Acquired		1	\$19,260			
Businesses Displaced		0	0			
Nonprofit Organizations Displaced		0	0			
Households Temporarily Relocated, not Displaced		0	0			
Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number						
Cost	0	0	0	0	0	0

Table 10 – Relocation and Real Property Acquisition

CR-20 - Affordable Housing 91.520(b)

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

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	46	62
Number of Non-Homeless households to be provided affordable housing units	16	41
Number of Special-Needs households to be provided affordable housing units	16	0
Total	78	103

Table 11 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	62	56
Number of households supported through The Production of New Units	0	0
Number of households supported through Rehab of Existing Units	16	57
Number of households supported through Acquisition of Existing Units	0	1
Total	78	114

Table 12 – Number of Households Supported

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

We are exceeding our goals of assisting families living or moving to affordable housing units. This is especially challenging as the inventory of units is diminishing because of State Lead Abatement Orders, demolitions and in general the old housing stock. With CDBG, HOME, the Lead Hazard Control Grant programs we have been able to exceed our goals.

The Special Needs would have been addressed with a new program to assist homeless families with school aged children. Staffing issues prevented the implementation of the program but these guidelines are now being developed and should be available this fall.

Discuss how these outcomes will impact future annual action plans.

The Special Needs families’ outcome saw no progress but we are ready to implement The Staying Home Rental Assistance Program this fall and it is expected to have a favorable impact on families in poverty and especially the children who will not be in danger of having to miss school or move to another school district. The pilot program will be closely monitored in the first 6 months and we could see an increase in funding in future action plans if the need is great.

The City of Auburn is focusing on the development of new affordable housing units. HOME funds have been allocated for the creation of two HOME units in what will be a 42 unit affordable housing project on Spring Street. We are also in the early stages of development of 2 additional affordable rental development projects that will potentially receive funding in our future action plans. These two projects are projected to create 100 +/- affordable units.

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

Number of Households Served	CDBG Actual	HOME Actual
Extremely Low-income	232	56
Low-income	106	0
Moderate-income	10	3
Total	348	59

Table 13 – Number of Households Served

Narrative Information

Auburn’s housing stock has faced an unprecedented level of deterioration since the recession. We are seeing more properties being sold to investors who are doing substantial rehab projects and bringing vacant units back on line in the areas of the city that are in need of safe, affordable units. The City is being aggressive with the use of Tax Increment Financing dollars to encourage new building construction. The Consolidated Plan promotes housing rehabilitation and the development of new housing units.

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

Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through:

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

Auburn works actively with area homeless service providers to improve coordination. Continuum issues are being addressed by Lewiston-Auburn Alliance for Services to the Homeless (LAASH), a collaboration of 20+ social service providers, who meet monthly to coordinate services, create greater access to the service system, and insure that individuals receive services in an appropriate fashion. LAASH determined that coordination of services remains one of the area's greatest needs.

During the 2016 program year Auburn developed a new program to assist homeless families of school aged children. The program is designed to help homeless families with school aged children by providing security deposit, monthly rental, and utility subsidies for up to 12 months. The main goal of the program will be to house homeless families and keep K-8 students in their current school. The program will be available in the fall of 2017 and is funded with HOME dollars. We project to be able to assist 8 families.

Other activities: LAASH lacked funds to hire a consultant to develop a Community Needs Assessment and so engaged Bates College Students to complete one as a class project. With the assistance of the GIS Coordinator from the City of Auburn the students mapped out bus routes and services to the homeless using GIS. Noticeable barriers appear due to bus routes not reaching all services as well as the timing of the bus pick-ups and drop-offs that some homeless persons may need to utilize. Four main focuses that come to light where: child care, health services, employment, and transportation.

Fedcap - Fedcap is now working in Maine and was awarded a 6-year contract with DHHS/OFI through a competitive RFP process. Fedcap's mission is empower people with barriers to move toward economic independence as valued members of the workforce.

Auburn works with a number of agencies to assure that homeless persons are referred to appropriate housing and that they receive services. Homeless persons come to Auburn's Social Services office where the Director assesses their needs. They are then referred to homeless shelters for emergency resolution, then to Auburn Housing Authority or other resources for permanent housing. When emergency shelter is not available, people are referred to area motels. The Auburn Social Services Director works with other service providers such as Common Ties, Safe Voices, Tri-County Mental health, and Vocational Rehabilitation/DHS to help with services. Once people are housed, the Social Services office may pay the rent for people with no income source until they have access to monthly income.

Addressing the emergency shelter and transitional housing needs of homeless persons

The Cities of Auburn and Lewiston worked with a non-profit housing developer, Tedford Housing, to develop housing for the homeless. Each city now has a supportive housing project for formerly homeless persons, 10 units of family housing in Lewiston and 6 units to house individuals in Auburn. The City of Auburn also provides support services to Tedford Housing and Safe Voices through its social service grants under the Community Development Program. The Safe Voices grant provides support services at the shelter level and Tedford Housing provides support services to formerly homeless individuals living at its permanent housing project in Auburn.

The Auburn Lewiston area has several shelters that do not participate as members of LAASH nor do they request CDBG funding. Hope Haven is a 34 bed emergency shelter for men, women and children. They provide beds for over 300 homeless annually, provide 2,000 meals and offer clothing for 1,000 people. St. Martin de Porres offers two shelters, one for men and another for women. Unfortunately the three shelters mentioned here prefer not to participate in state or local efforts to assist the homeless, do not report on numbers yet they do provide a needed service.

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

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Persons who are chronically homeless have access to the two supportive housing projects in either Auburn or Lewiston, depending on their family structure. These are managed and operated by Tedford Housing and they provide a total of 16 housing units.

A barrier identified by LAASH for persons who are homeless or near homeless is a lack of assistance to help pay for a security deposit for a rental unit. A subcommittee of LAASH, the Security Deposit Loan Committee, was formed to address this problem. A group of 8 volunteers representing Auburn and Lewiston General Assistance, Auburn and Lewiston Housing Authority, Auburn and Lewiston Community Development, and other LAASH members, meet regularly to administer the Security Deposit Program, and have received private grants. In FY2016 32 homeless/at-risk households were assisted in Auburn and 23 in Lewiston. Since 2005 the program received 636 requests, and has assisted 534 households who are homeless or at risk to gain access to housing. HOME Funds support people who have Section 8 vouchers and the Gorman Foundation provides funds for those who do not have vouchers or other

housing assistance.

The State of Maine has launched a new initiative with their Shelter Plus Care vouchers for long-term stayers. If a person is homeless 180 out of the previous 365 days, they will go to the top of the list to receive a voucher. They will be utilizing the HMIS system to identify these people. The challenge for the chronically homeless is the largest shelter that serves this area, Hope Haven, does not allow anyone to remain in the shelter more than 60 days.

There are other services available that link the homeless to services. However, these services are only available to people who have Maine Care. Preble Street is an organization that provides case management, but primarily to homeless veterans. Another organization, Homeless Voice for Justice, works with the homeless to help them advocate for themselves, and works to address systemic type issues. With the loss of the rapid-rehousing program, the only prevention comes from the two cities' Security Deposit Program.

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

Anyone who is homeless and presenting to Auburn has access to the City's resources for assistance. Auburn works with a number of agencies to assure that homeless persons are referred to appropriate housing and that they receive services. When a homeless person comes to Auburn, the Social Services Director assesses their needs. They are then referred to homeless shelters for emergency resolution, then to Auburn Housing Authority or other resources for permanent housing. When emergency shelter is not available, then people are referred to area motels. The Auburn Social Services Director works with other service providers such as Common Ties, Save Voices, Tri-County Mental Health, and Vocational Rehabilitation.

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

Actions taken to address the needs of public housing

Auburn Housing Authority is repaving walkways at all public housing sites in phases & plans to refurbish the elevator cabs at the Lake Auburn Towne House. We will be renovating the office, library and community kitchen at the Lake Auburn Towne House as well. We have completed the installation of security cameras throughout our developments.

We continue to monitor federal policy concerning the Rental Assistance Demonstration Program, but find that financial feasibility remains limited, due to inadequate rent levels. We may apply for participation in the Moving-To Work program once HUD has provided more information on the application requirements.

Auburn Housing Authority continues to employ two full-time Resident Services Coordinators who work closely with residents to assist them in accessing any services required to continue living independently. We continue to offer scholarships to residents attending college, and have several students attending good schools including Springfield College, Brown University, Bates College, Central Maine Community College and the University of Maine system.

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

Auburn Housing Authority has two resident commissioners who represent the interests of lower income households, and one former resident who is a New American homeowner and successful entrepreneur. We continue to seek homeownership opportunities for residents who are succeeding financially and have developed the capacity to move “up and out” of public housing.

Actions taken to provide assistance to troubled PHAs

Auburn Housing Authority is a high performing agency with good scores for both the Public Housing Assessment System (PHAS)-90 and Section 8 Management Assessment Program (SEMAP)-100.

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

Actions taken to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment. 91.220 (j); 91.320 (i)

The 2015-2019 Consolidated Plan identified two barriers to affordable housing: 1) lack of investment and 2) lack of a building code.

Lack of Investment: The City has amended its housing rehab program guidelines and will be available to property owners starting July 1, 2016. Maximum loan amounts have been increased in response to the increase in costs for rehab work. Forgivable loans are now offered for 25% of the project costs and grants are available for exterior repairs. For owner occupied units 50% of the project cost will be funded with a deferred loan for households who are 65 – 80% of median income. Households under 65% will receive a deferred loan of 100% of loan amount. Maximum loan amounts have been increased here as well.

In 2016-2017 we received 25 applications representing 56 units that were approved for rehabilitation projects. These numbers represent 8 owner-occupied units and 48 rental units. A total of \$417,763 in CDBG/HOME funds was invested in the deteriorating housing stock.

Building Codes: Auburn has welcomed new housing developments. The policies and zoning ordinances in place do not restrict affordable housing projects to be developed. Community Development uses its own housing standards as well as the Maine Uniform Building and Energy Code for rehabilitation and new construction. In January 2017, the State of Maine will be looking to update the Uniform Building Code and Auburn will participate in the process.

Zoning Ordinances: The Form-Based Code was adopted by the City Council in May 2016. It allows for increased housing development, allows for increased density, decreases parking requirements and allows for in-fill projects.

Tax and Public Policies: The Downtown TIF District was approved by the City Council to allow for new investment with tax incentives. Within this district a property at 62 Spring Street was carved out and approved for a Housing TIF and Low Income Tax Credits by Maine State housing Authority paving the way for 32 new affordable housing units. The same process is being followed for two additional affordable housing projects which, if approved, will mean 100 +/- new units.

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

The obstacles to meeting underserved needs are typically associated with inadequate financial resources, both for the City in terms of what can be offered, and from the perspective of our consumers

who are stretched with issues of affordability. In attempting to meet underserved needs and expand financial resources, the City has:

- Joined forces with the City of Lewiston in an effort to bring in more resources to the City. A \$3.4 million dollar Lead Demonstration grant was awarded in FY2017 for lead remediation in rental properties. This is especially crucial as the State of Maine has created stricter laws on lead paint hazards and reduced the level a child is considered poisoned from 10 ug/dl to 5 ug/dl. An increase in numbers of Lead Abatement Orders has already occurred.
- Partnered with Community Concepts, Inc. to bring weatherization resources to Auburn.
- Performed preliminary qualifications for 4 households to determine acceptability for Auburn's home ownership programs. Applicants received mortgage counseling and referral to home ownership education and training classes, and to appropriate mortgage lenders (Rural Development, Maine State Housing Authority, and local lenders). Of the 4, 2 bought home in Lewiston and 2 dropped out of the program.
- Partnered with a local bank that offers \$11,000 grants to qualified homebuyers for down payment assistance.
- Developed a Homebuyer/Homeowner Counseling Program for applicants who are not mortgage ready but aspire to become homeowners and for homeowners who are applicants of the rehabilitation program. For potential homeowners budgeting tools are provided and clients are counseled long term, 6 months – 3 years, until they are mortgage ready. Four clients received these services.
- Offered deferred payment loans to help very low and extremely low income homeowners with their home repairs.

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

Actions taken to reduce the risks of lead-based paint are:

- The City of Lewiston took the lead in applying for a Lead Demonstration Grant in 2017 and was awarded \$3,000,000 in Lead Hazard Demonstration Grant and \$400,000 in Healthy Homes Funds. The City of Auburn shares in this award. Auburn will provide inspection services, underwriting for Auburn properties and a CDBG funded program for owners who needed financial assistance in coming up with the required 10% match to the lead grant. A Memorandum of Understanding was signed and the cities agreed that properties with State Abatement orders would take priority and all others would be on a first come first serve basis. In September, 2016, the State of Maine was successful in reducing the threshold for lead levels in children from 10 ug/dL to 5 ug/dL. In order to keep up with the anticipated increase in abatement orders the State hired 5 additional inspectors to complete inspections and enforce laws in properties where children have been identified to be lead poisoned.
- Enforced RRP training requirements for contractors who provide rehabilitation improvements to

- participants of Auburn's rehabilitation programs;
- Promoted lead awareness by providing brochures to rehab participants and their tenants. The Lead Grant Program provides the services of a tenant out-reach worker who works directly with the families and educates them on lead safety in the home as well as other healthy homes topics;
 - Provided a HEPA vac for Auburn residents at no cost; and
 - Completes lead clearances for units rehabilitated through the Community Development programs.

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

Auburn's Anti-Poverty Strategy is to assist low-income families by eliminating the barriers that prevent them from working. This is accomplished by supporting efforts to expand or improve services that improve a family's ability to meet their basic needs including child-care, transportation, and affordable housing.

All of Auburn's anti-poverty strategies have been addressed:

Child Care: Androscoggin Head Start and Child Care received \$9,000 for public services related to child care services allowing parents to attend skill building classes, career courses or work. Ten families received services.

Reading Skills: \$8,635 to improve the reading skills of Auburn residents through Literacy Volunteers Programs. 204 individuals received services.

Life and Job Skills: \$40,000 for a program partnering the Auburn Police and the School Departments along with the Career Center and local business owners in working with youths who are homeless or at-risk of a life of crime. 90 students were assisted. The students are taught job specific skills to help them transition to a life out of poverty. A second program that is coordinated with the PAL Center received \$20,000 in CDBG funding. The Auburn Police and School Departments offers the Suspension Diversion program that works with youth who have been suspended from school and are sent home where there is no supervision because the parents are at work. Instead the students go to the PAL Center where they receive assistance to continue school work. In addition the parents of the suspended students receive parent coaching that will teach them skills to help their child stay in school and out of the criminal justice system. 43 students were assisted. Third, the Bridges out of Poverty received \$6,446 to families needing case management and peer mentoring. Two families received assistance.

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

To reduce gaps in the institutional structure, the City of Auburn is committed to establishing and

maintaining relationships with organizations and institutions that are service providers in Auburn. Auburn will continue to support efforts combining local government, non-profit organizations and private sector expertise to improve services to low-income residents.

The institutional structure has improved in Auburn primarily due to the citizen participation efforts and the consultation processes involved in developing the Consolidated Plan. The 2015-2019 Consolidated Plan involved a committee of 20 Auburn residents representing persons of minority race or ethnic background, representatives of community or faith based organizations, organization representing the interest of homeless people, a city councilor, residents, business owners and landlords representing the three target areas (Downtown, New Auburn, Union Street). These citizens were responsible for setting housing priorities for the Community Development Program.

Auburn works in many collaborative efforts. Community Development staff sponsors or participates in several committees who meet regularly. These include Lewiston-Auburn Alliance for Services to the Homeless (LAASH), Security Deposit Committee, and Bridges out of Poverty Steering Committee. Any activity sponsored by the Community Development Department involves public participation and outreach into the community. The linkages created by these processes helps to increase the communication and understanding among the City, the community, and various organizations and businesses in the Auburn/Lewiston area.

Through the efforts to develop a plan to address impediments to fair housing, a group comprised of Auburn and Lewiston Community Development Departments and Housing Authorities are now working to further the goals of the plan.

The City also participates in monthly meetings of the Lead Committee sponsored by Healthy Androscoggin and the Green and Healthy Homes Initiative to make housing safe for owners and renters.

Staff of the Community Development Departments of Auburn and Lewiston meet regularly to talk about HOME program issues, review guidelines, develop budget and performance report, checklists and documentation, and to collaborate on joint efforts that benefit both cities. Through a Consortium Agreement change, the City of Auburn will now be assisting Lewiston with administration of the Homebuyer and Homeowner Rehab Programs.

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

Monthly meetings are attended by Community Development staff that help with coordination issues centered on housing and services.

LAASH: The focus of Lewiston-Auburn Alliance of Services to the Homeless is to improve the manner in which persons/families that are homeless or at-risk of homelessness are assisted to find housing and appropriate services to maintain their independence. This is done through increase collaboration,

sharing information and strengthening cooperation among local agencies and providers; identifying gaps in services by evaluating the adequacy and availability of homeless resources and prioritizing homeless needs; increasing public awareness; and encouraging development of services, programs, and projects. LAASH also reaches out to Bates College professors and students and offers them projects to assist us with identifying community needs. Agencies who are not active participants of LAASH are invited for presentations. Last year FEDCAP agency gave our group an in-depth understanding on their program and how it works to help the homeless of our community.

Lead Triage Committee: A monthly meeting of the key players involved in all aspects of the Lead Hazard Control Grant. The participants are but not exclusively Community Development Staff, Community Concepts Inc., Healthy Androscoggin, Auburn and Lewiston Housing Authority, State of Maine Lead Poisoning Prevention Program, Pine Tree Legal Authority, Code Enforcement, and staff from GHHI Initiative. Reviews of the ongoing application process, abatement orders and abatement projects, outreach to the tenants for education, and coordination with GHHI so that all triggers that create health issues in residential units

GHHI: In June 2014 the Auburn City Council authorized the City Manager to sign a compact to become a member of the Green and Healthy Homes Initiative. The compact is a new collaborative effort to improve the health of Auburn-Lewiston families. Partners in the compact will work closely to coordinate healthy home interventions that will bring the best results possible. There will be a central coordinating agency to act as facilitator, to conduct a housing assessment, identify available resources, coordinate interventions/improvements, and educate the family. We expect measurable improvements in health and social outcomes of children and families.

Auburn Housing Authority: Auburn Housing assists the Community Development Office in several ways. They assist us with the Security Deposit Program by taking the lead for intake, determining eligibility and helping the clients find suitable homes; they are our CHDO so that we are able to meet the HOME requirements; they have a preference in assisting households that may become displaced by government action and they are actively engaged in the Auburn Lewiston Fair Housing Alliance helping us to affirmatively further fair housing choice.

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

In 2013 The Cities of Auburn and Lewiston adopted a plan to address the impediments to fair housing choice. The plan identified several strategies that a team of Community Development and Housing Authority partners will address. Strategies that were identified in the plan are 1) landlord workshops on disability rights and policies, 2) tenant workshops, and Sharia financing for the Muslim community. We believe that by educating landlords of tenants' rights we are enforcing Fair Housing for all. It is difficult to reach out to tenants and attendance at past events offered is minimal. In FY2016 the Auburn Consortium worked on the following:

Landlord Forum: The Cities of Auburn & Lewiston along with the Housing Authorities sponsored a Fair Housing Forum for Landlords. The specific topic for the forum was “Effective Leases” and an update on the new “Lead Laws in the State of Maine”. The event was held on June 21 at the Central Maine Community College. It was open to all landlords in Auburn and Lewiston. The speakers for Effective Leases included private attorneys who specialize in real estate/landlord issues and public attorneys from Pine Tree Legal Assistance. Maine recently voted into law the right to smoke marijuana and many landlords were looking for language to incorporate into leases that did not infringe on tenant rights but also protected the landlord from abusive behaviors of tenants. The update on Lead Laws was offered by Eric Frohberg, Supervisor for the State of Maine Lead Poisoning Prevention Program. In September of 2016 Maine stepped up the program by hiring 5 new housing unit inspectors charged with completing inspections in units where a child has been determined to be lead poisoned. The State has recently reduced the blood lead level that indicates a lead poisoning from 10 ug/dl to 5 ug/dl. The message to landlords was that they are not able to discriminate against households with children as a means of protecting themselves from a state inspection if a child is poisoned while residing in their units. Instead the landlord needs to be pro-active in addressing lead hazards before a child is poisoned. Eleven landlords attended the event.

CR-40 - Monitoring 91.220 and 91.230

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

COMMUNITY DEVELOPMENT: Monitoring is conducted by Community Development and consists of 1) desk monitoring and 2) on-site monitoring. All sub-grants are awarded through a sub-recipient agreement which stipulates requirements of the grant. A monthly/quarterly reporting system is designed to reduce the risk of funding an ineligible activity or having inadequate documentation. With each invoice, sub-recipients are required to submit reports of accomplishments and demographic data on beneficiaries. The reports are reviewed prior to payment of invoices. In 2016 staff conducted monitoring of the Webster Street Community Garden Program, the City of Auburn's Recreation Department Scholarship Program and the City of Auburn's Police Department Suspension Diversion Program. There were no findings to report.

HOME INVESTMENT PARTNERSHIPS PROGRAM: Monitoring of the HOME program for FY2016 consisted of desk monitoring of Auburn's files.

Homebuyer and Homeowner: Files for new projects are monitored by the Community Development Manager when setting up the activity in IDIS. Files were monitored for completeness.

Rental Monitoring: The City of Auburn proposed a new monitoring schedule for HOME Rental units. We no longer will alternate the annual review of projects by City. Instead all projects will be monitored every other year by each respective City. Lewiston will now complete the on-site and desk monitoring for Lewiston projects and as the Consortium leader Auburn will review the reports for completeness. Both Auburn and Lewiston HOME Rental projects were monitored in 2015. The HOME units in all projects were inspected by Auburn's Housing Coordinator and site visits as well as desk monitoring was completed by the City of Auburn's Community Development Director and CDBG Coordinator. Next monitoring is scheduled for 2017.

Security Deposit Program: The City of Auburn conducted on-site monitoring at both Auburn and Lewiston Housing Authority records in 2015. The next monitoring is scheduled for 2017.

MINORITY AND WOMEN BUSINESS ENTERPRISES: The City of Auburn makes efforts to alert minority and women business enterprises of available work. The Community Development Department maintains a list of minority and women business enterprises on file for Community Development funded public improvement projects. Each time the City advertises for Community Development funded work, businesses registered with the City are mailed an invitation to bid or a request for proposals. In an effort to reach as many minority and women owned businesses as possible, the City obtains a list of Certified Disadvantaged and Women Business Enterprise from Maine's Department of Transportation.

Every Maine registered business is sent a personal letter to ask if the business wants to be listed in the City of Auburn's directory of MBE/WBE. The list is updated periodically. There were no projects in FY2016 that involved a solicitation of minority and women-owned businesses.

Citizen Participation Plan 91.105(d); 91.115(d)

Describe the efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports.

A public notice was placed in the Lewiston Sun Journal on September 23, 2017 announcing the availability of the draft Consolidated Annual Performance Evaluation Report. Copies were available free of charge. The comment period ended on October 8, 2017 and there were no public comments. A copy of the notice is in the appendix.

CR-45 - CDBG 91.520(c)

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

The development of the 5 year Consolidated Plan saw new goals identified in moving Auburn forward to meeting HUD's national objectives. Program guidelines are routinely reviewed to evaluate their effectiveness in meeting the needs of people in the City. The Community Development Department proposed a number of changes in response to the challenges of the past few years as follows:

- In recent years the Auburn Consortium made extensive changes to its Homebuyer Program by creating a HOME match savings subsidy. The change included lowering the front-end ratio for housing debt that is used to calculate the assistance level. The match has been increased to a 5:1 match starting July 1, 2016. The match is now a grant and the City offers a forgivable loan to enforce to affordability period.
- The Auburn Consortium increased the maximum loan limit under the Homeowner Rehab Program from \$35,000 to \$40,000 and 50% of the loan is now deferred.
- The City amended its Community Development Housing Rehab Programs by increasing the maximum loan amount from \$18,000 to \$25,000 for emergency repairs and for general rehab we now allow for a portion of the project costs to be a forgivable loan for investment properties. For owner-occupied projects the homeowner can now access a \$40,000 loan that is 100% deferred for households under 65% of median income and 50% deferred for households between 65 – 80%.

Program Amendments: The following are program amendments during FY2016 covering both CDBG and HOME funds.

CDBG Auburn: Funding for the Residential Rehabilitation Loan Program was reduced by \$25,000 in order to kick off the newly developed Neighborhood Challenge Grant. Applicants from neighborhood organizations or residents are encouraged to think outside the box to develop improvements projects that will increase the safety and appeal around their neighborhoods. Improvements must be to publicly owned lots and rights of way. No applications were processed.

The Commercial and Small Business Loan Program was eliminated in favor of the Storefront Traffic Attracts Revitalization Program (STAR). The program offers a \$50,000 forgivable loan in exchange for job creation. Five applications were received but none were approved.

A sidewalk project in New Auburn did not move forward so the funds of \$312,050 were shifted the Hampshire Street Reconstruction Project in the Union Street target area. This project is projected to be complete in December, 2017.

HOME Auburn: The budget to acquire and rehab two single family homes was reduced moving \$110,000 to a proposed development of Co-op Housing. The City reached out to the only co-op housing developer in the area but he was not prepared to begin a new project at this time.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?

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

There are no open BEDI Grants in Auburn.

CR-50 - HOME 91.520(d)

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

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

No on-site inspections were conducted in HOME Rental Projects in Auburn and Lewiston. Up until 2016 Auburn and Lewiston monitoring and inspections were conducted by alternating even years and odd years. In 2015 all HOME units in both Cities were inspected and monitored. Both Cities will monitor all rental projects in 2017. Each City will be responsible for conducting its own on-site monitoring and Auburn will then review Lewiston’s files for compliance.

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

Community Development staff reviewed the Affirmative Marketing Plans and annual reports for three rental development projects, Franklin Apartments, Vincent Square Apartments, and Webster School Apartments, all located in Auburn. Rental Property Management are following due diligence to meet the requirements outlined in the Affirmative Fair Housing Marketing Plan for multifamily housing.

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

Generally program income is added to the pool of funds and is used as soon as it is received. Project expenses from program income are not tracked separately from the loan pool. The loan pool is made up of a new grant, prior year funds, and program income.

HOME Program Income Received:

Homeowner Rehab Program:	Auburn: \$135,571	Lewiston: \$118,559
Homebuyer Program:	Auburn: \$34,017	Lewiston: \$4,207
Security Deposit Program:	Auburn \$11,570	Lewiston: \$6,043

Home funds for rehab assisted 4 white and 1 black and 1 Asian household. 1 was extremely low and 2 were very low and 3 were low. The TBRA program assisted 56 households of which 51 were extremely low and 5 were very low; 52 were white and 4 were black households.

Describe other actions taken to foster and maintain affordable housing. 91.220(k) (STATES

**ONLY: Including the coordination of LIHTC with the development of affordable housing).
91.320(j)**

Our CDBG Housing Rehabilitation Loan Program is key to supporting our goal of preventing the deterioration of housing units. The housing stock is old and lack of investment over the years is prevalent in our target areas. By offering grants and forgivable loans we have encouraged more investment. The program requires that rents be at the Fair Market rates and any vacant units must be rented to low income households. Also, Auburn developed its own Housing Standards which are more stringent than Housing Quality Standards. Rehabbed units will meet the standards when projects are complete.

The Auburn Consortium offers HOME funds to non-profit and for-profit housing developers to construct affordable housing units. Since the HOME funds are a less significant part of the financing in a development package, HOME resources generally are the leveraged funds for more substantial dollars through Maine Housing's Low Income Housing Tax Credit program or other federal housing production programs. All of Auburn's and most of Lewiston's HOME supported rental developments have benefitted from the partnership with Maine Housing. Without Maine Housing, there would be no new affordable new developments. Also, Auburn has been open to providing Housing TIF's to foster the development of affordable rental projects. The City of Auburn has completed the rehab of a single family home using HOME Funds. The City through its CHDO, Auburn Housing Development Corp. purchased a vacant property, did a substantial rehab and the property is now on the Market for sale to a qualified buyer (less than 80% of median income). This is the 4th single family home that Auburn has converted to affordable housing; Lewiston completed its first in 2016.