

2017

CONSOLIDATED ANNUAL

PERFORMANCE EVALUATION REPORT

(CAPER)

JULY 1, 2017 – JUNE 30, 2018

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.

Support Construction of New Affordable Housing: There was much focus on the development of new affordable housing units. In Auburn there is ongoing construction of 62 Spring Street Apartments where 41 new units including 2 commercial spaces will become available for occupancy

in late 2018 – early 2019. Of the 41 units 32 will be affordable; the project is 50% complete. In Lewiston The Hartley Block Apartments located in downtown at 149-159 Lisbon Street will make available 53 units of which 39 will be affordable. Also, in the works are two additional LIHTC Projects that will create 89 units. These 4 projects are all new construction and is especially important as the vacancy rates in Auburn and Lewiston are at a low of 3% according to data shared by area landlords. A total of \$820,000 in HOME funds are earmarked for the 4 projects.

Make Neighborhoods Safe and Walkable: The Hampshire Street Reconstruction Project was completed after a long delay caused by the need of Central Maine Power Company to move underground powerlines; this brought us into the winter season and the projects was put on hold until late April of 2018. Today the completed project has enhanced pedestrian safety with new crosswalks, sidewalks and lighting and beautified the neighborhood with new plantings and signage. CDBG funds of \$312,050 have been expended.

Improve Parks and Create Community Gardens: Newbury Street Garden, the 2nd community garden had a very successful year despite a late start. Site work began in April with the City’s public service crew clearing brush, vines and removing trees. With water installation and fencing in place garden beds were quickly constructed and 24 new gardeners had access to the site for growing vegetables, fruits and herbs. The garden is 90% complete and in the next growing season it will accommodate 40 gardeners.

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: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1000	1006	100.60%	189	362	191.53%
Anti-poverty/Auburn	Non-Housing Community Development	CDBG: \$	Homeless Person Overnight Shelter	Persons Assisted	0	0		0	0	
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$	Rental units constructed	Household Housing Unit	50	0	0.00%	10	0	0.00%
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$	Rental units rehabilitated	Household Housing Unit	10	16	160.00%			
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$	Homeowner Housing Added	Household Housing Unit	0	0		0	0	
Create Mixed Income Neighborhoods/Lewiston	Affordable Housing	HOME: \$	Direct Financial Assistance to Homebuyers	Households Assisted	17	15	88.24%	10	5	50.00%
Fair Housing/Aub	Fair Housing and Housing Choice	CDBG: \$	Other	Other	12	5	41.67%	2	1	50.00%

Improve Parks and Community Gardens/Auburn	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	4305	1285	29.85%	48	0	0.00%
Improve Parks and Community Gardens/Auburn	Non-Housing Community Development	CDBG: \$	Other	Other	3	2	66.67%			
Improve Safety & Efficiency of Housing/Lewiston	Affordable Housing	HOME: \$	Rental units constructed	Household Housing Unit	50	0	0.00%			
Improve Safety & Efficiency of Housing/Lewiston	Affordable Housing	HOME: \$	Homeowner Housing Rehabilitated	Household Housing Unit	10	16	160.00%	5	8	160.00%
Increase Owner Occupancy/Auburn	Affordable Housing	HOME: \$	Direct Financial Assistance to Homebuyers	Households Assisted	25	4	16.00%	8	1	12.50%
Make Neighborhood Streets Safe and Walkable/Auburn	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	4305	1390	32.29%	4305	1390	32.29%
Make Neighborhood Streets Safe and Walkable/Auburn	Non-Housing Community Development	CDBG: \$	Other	Other	3000	0	0.00%			
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Rental units rehabilitated	Household Housing Unit	185	63	34.05%	38	21	55.26%

Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Homeowner Housing Added	Household Housing Unit	0	0				
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Homeowner Housing Rehabilitated	Household Housing Unit	90	32	35.56%	18	11	61.11%
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Housing for Homeless added	Household Housing Unit	0	0		0	0	
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Housing for People with HIV/AIDS added	Household Housing Unit	0	0		0	0	
Prevent Deterioration of Housing Stock/Auburn	Affordable Housing	CDBG: \$ / HOME: \$	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	500	302	60.40%	100	58	58.00%
Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	200	282	141.00%	6	6	100.00%
Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	125	83	66.40%	45	26	57.78%

Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$	Homeless Person Overnight Shelter	Persons Assisted	170	246	144.71%	65	75	115.38%
Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$	Overnight/Emergency Shelter/Transitional Housing Beds added	Beds		0				
Prevent Homelessness/Auburn	Homeless	CDBG: \$ / HOME: \$	Homelessness Prevention	Persons Assisted		12				
Prevent Homelessness/Lewiston	Affordable Housing	HOME: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	125	58	46.40%			
Prevent Homelessness/Lewiston	Affordable Housing	HOME: \$	Housing for Homeless added	Household Housing Unit	0	0		23	12	52.17%
Promote Jobs and Development/Auburn	Non-Housing Community Development	CDBG: \$	Facade treatment/business building rehabilitation	Business	0	0				
Promote Jobs and Development/Auburn	Non-Housing Community Development	CDBG: \$	Jobs created/retained	Jobs	0	0		2	0	0.00%
Promote Jobs and Development/Auburn	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	10	0	0.00%			

Support Construction of New Affordable Housing/Aub	Affordable Housing	HOME: \$	Rental units constructed	Household Housing Unit	60	0	0.00%	12	0	0.00%
Support Construction of New Affordable Housing/Aub	Affordable Housing	HOME: \$	Rental units rehabilitated	Household Housing Unit	0	0				

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

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

The Anti-Poverty Strategy is addressed by providing funds to two public service agencies and two city programs. 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 a program called “Work with Me” 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. The program makes it possible for parents to work, look for employment and better their financial situations. Auburn’s aging housing stock which is neglected and in disrepair especially in the target areas. In the past year the housing market has changed, and we are seeing more properties being sold to then undergo complete rehabs. New owners are able to purchase properties below market value because of the condition and completely rehab the units. Many were vacant buildings and so we are now adding affordable units that were otherwise unoccupiable. HOME Funds are available for rehab of owner-occupied units. The Hampshire Street Reconstruction and Beautification Project is a \$1.5 million-dollar project that is supplemented with \$312,050 of CDBG funds is complete. It offers a newly rebuilt road, newly constructed sidewalks and enhanced crosswalks, new lighting and landscaping. The project broke ground in March of 2017 and was completed in May of 2018. The neighborhood is seeing new development, it is safer and more attractive. The 2nd Community Garden is located in the New Auburn Target Area on a prime city-owned lot with river frontage. The project is 90% complete and offered garden beds for 24 residents of the neighborhood. It is expected to offer 40 residents the opportunity in the next growing season. The gardeners have been enthusiastic and volunteering in excess of just maintaining their bed. They have donated a picnic table and umbrella and have hosted neighborhood bbq’s.

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	316	40
Black or African American	191	4
Asian	20	0
American Indian or American Native	2	2
Native Hawaiian or Other Pacific Islander	1	0
Total	530	46
Hispanic	16	1
Not Hispanic	514	45

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 92% of the population is white, 2% is Black or African American, 4% is White/American Indian/Alaskan Native while all other races were less than 2%.

The analysis of CDBG Funds spent by population shows that 59% were white, 35% were black and the other races received 6%. Home Funds spent by population shows that 87% of the funds went to white households/persons, 9% are black households/persons and then 4% went to other households. There is an increase of assistance going to races other than white. Last year 66% of those assisted were white. The numbers suggest that the demographics for the City are changing and more minorities are living here.

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	1,744,097	992,110
HOME	HOME	1,434,956	259,163
HOPWA	HOPWA		
ESG	ESG		
Other	Other		

Table 3 - Resources Made Available

Narrative

The 2017 Action Plan included \$1,744,097 from Community Development resources for activities and administrative costs of which \$516,369 was the new grant, \$238,000 was program income, and \$989,728 were prior year funds. From these resources, Community Development projects accounted for an expenditure of \$992,110. By categories, \$474,175 was spent on housing activities, \$291,155 on public improvements, \$10,000 on Economic Development, \$3,322 on relocation expenses, \$108,719 on social services, and \$104,739 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 2017 Action Plan included \$1,434,956 in HOME resources for projects and programs of which \$322,787 was the new grant, \$145,640 in program income, and \$966,529 from prior year funds for both Auburn and Lewiston. From these resources, HOME funded activities accounted for an expenditure of \$259,163. The Consortium expenditures \$140,023 for homebuyer assistance, \$91,130 for homeowner rehabilitation, \$28,010 for the TBRA Program.

Identify the geographic distribution and location of investments

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description
DOWNTOWN TARGET AREA	20	10	Economic Dev., Housing Rehab, Code Enforcement
Lewiston Target Areas	20		Housing

NEW AUBURN TARGET AREA	20	33	Community Garden, Public Improvements, Housing Rehab, Code Enforcement
UNION STREET TARGET AREA	40	57	Public Imp., Housing Rehab, Code Enforcement

Table 4 – Identify the geographic distribution and location of investments

Narrative

The chart demonstrates CDBG funds only. In addition to the activities above CDBG funds were utilized outside of the target area for housing rehab projects which addressed life and safety issues or weatherization projects in single family homes. \$31,263 of CDBG funds were expended outside the target areas. HOME funds are distributed city wide in both Auburn and Lewiston. Lewiston activities accounted for 83% of the expenditures. The Hartley Block New Rental Construction Project saw expenses of \$302,187, Housing Rehab in Lewiston accounted for \$97,234, Homebuyer assistance with Rehab accounted for \$28,786. In Auburn, Housing Rehabs funds expended are \$37,260, Acquisition/Rehab/Homebuyer expended \$16,622 and TBRA expended \$20,818. Auburn has a commitment of \$250,000 for New Rental Construction. The first disbursement of HOME funds will be at 50% completion which is projected to be in October 2018.

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 grant which is leveraged with often more than double the CDBG investment through the State's Energy Efficiency Programs. 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 Housing Rehab Program accounted for \$236,190 in leverage funds; the STAR Business Loan Program leveraged \$15,000; Public Service Agencies leveraged \$1,011,117; finally, Public Improvement projects leveraged \$1,171,697. In FY2017 the CDBG program leveraged a total of \$2,434,004 which is 4.7 times the CDBG allocation.

The HOME Program leveraged funds of \$201,548 through Homebuyer Assistance projects. The Hartley Block Affordable Housing Project will leverage \$11,508,411 and 62 Spring Street Affordable Housing Project will leverage \$7,381,696.

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	1,461,878
2. Match contributed during current Federal fiscal year	3,552
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	1,465,430
4. Match liability for current Federal fiscal year	38,178
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	1,427,252

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
1618	08/13/2017	1,552	0	0	0	0	0	1,552
1634	01/30/2018	1,000	0	0	0	0	0	1,000
1666	04/30/2018	1,000	0	0	0	0	0	1,000

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	201,261	201,261	28,010	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						
Dollar Amount	0	0	0	0	0	0
Number	0	0	0	0	0	0
Sub-Contracts						
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0
	Total	Women Business Enterprises	Male			
Contracts						
Dollar Amount	0	0	0			
Number	0	0	0			
Sub-Contracts						
Number	0	0	0			
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	0	0	0	0	0	0
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		0	9,344			
Businesses Displaced		0	0			
Nonprofit Organizations Displaced		0	0			
Households Temporarily Relocated, not Displaced		0	0			
Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	0	0	0	0	0	0

Table 10 – Relocation and Real Property Acquisition

CR-20 - Affordable Housing 91.520(b)

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

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	146	120
Number of Non-Homeless households to be provided affordable housing units	222	46
Number of Special-Needs households to be provided affordable housing units	14	7
Total	382	173

Table 11 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	160	127
Number of households supported through The Production of New Units	173	0
Number of households supported through Rehab of Existing Units	35	40
Number of households supported through Acquisition of Existing Units	14	6
Total	382	173

Table 12 – Number of Households Supported

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

We have seen a challenge with providing assistance for Homeless households with rental assistance and have determined one reason is the lack of affordable housing. Vacancy rates are at a low of 3%. The construction of new rental units will lessen this challenge. Both Auburn and Lewiston have projects underway that will bring 73 new units on-line by spring of 2019. The Spring Street project is delayed by 3 months bringing the new projected completion to March, 2019. Lewiston's project is on schedule to be complete with a similar timeframe. In addition Auburn has conditional commitments for 75

additional units; one project will close and begin construction in October, 2018 and the second is looking at a November closing with construction to follow providing the weather does not delay groundbreaking.

Discuss how these outcomes will impact future annual action plans.

The consortium sees the need to continue funding the TBRA programs which is crucial for assistance the homeless population. Working with the schools has given us a means of reaching homeless families with school aged children. We will also continue to work with developers of affordable housing. The Housing Rehabilitation programs have been popular with owners of investment properties and funds will continue to be made available. Both Cities are seeing an uptick with Homebuyer activity and so will continue with this program as well.

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	393	34
Low-income	47	6
Moderate-income	24	5
Total	464	45

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 complete rehab projects and bringing vacant units back on-line in the areas of the city that need 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 2017 program year Auburn's newly developed Staying Home Rental Assistance Program for homeless families of school aged children received 7 referrals from the School Department. 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. Lewiston has developed a similar program and will be available in 2018.

The City of Lewiston's Public Library houses a division of the Community Partnership for Protection of Children. This is a drop-in resource center for people in poverty and homelessness to direct them to resources within the Consortium. Lewiston and Auburn work with a number of agencies to assure that homeless persons are referred to appropriate housing and that they receive services. Homeless persons come to the Social Services office where the Director assesses their needs. They are then referred to homeless shelters for emergency resolution, then to the Housing Authority or other resources for permanent housing. When emergency shelter is not available, people are referred to area motels. The 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 the Continuum of Care and 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

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 FY2017 27 homeless/at-risk households were assisted in Auburn and 12 in Lewiston. 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 beginning the modernization of kitchens at the Family Development in what will be a multi-year process due to funding limitations. Depending on pricing it may take 2 or more years. We are also removing asbestos floor tiles and replacing carpet at the Lake Auburn Towne House elderly project built in 1969.

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

Auburn Housing Authority has two resident commissioners representing the interests of lower income households. We continue with our down payment savings program in which we match savings with interested residents' savings. We continue to work with the City of Auburn and others to seek homeownership opportunities for residents ready to buy their own homes.

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 made 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 2017-2018 the Consortium received 26 applications representing 44 units that were approved for rehabilitation projects. These numbers represent 17 owner-occupied units and 28 rental units. A total of \$520,860 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. Starting 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. 477 Minot Avenue and 48 Hampshire Street also received TIF financing packages from the city and will break ground for construction by December 2018.

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 and Lewiston.
- Performed preliminary qualifications for 9 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 9, 1 bought home in Auburn, 3 purchased homes in Lewiston and 5 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 \$9,461 for public services related to child care services allowing parents to attend skill building classes, career courses or work. Eighty-two families received services.

Reading Skills: \$9,096 to improve the reading skills of Auburn residents through Literacy Volunteers Programs. 195 individuals received services.

Life and Job Skills: \$48,830 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. 52 students were assisted. The students are taught job specific skills to help them transition to a life out of poverty.

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 and Lewiston Housing Authority: The Housing Authorities assist the Community Development Office in several ways. They assist us with the Security Deposit Program and the Staying Home Rental Assistance 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 FY2017 the Auburn Consortium worked on the following:

Landlord Forum: The Maine State Housing Authority along with the Housing Authorities and the City of

Auburn sponsored a Fair Housing Forum for Landlords. The event was held on May 17 at the Auburn Housing Authority. It was open to all landlords in Auburn and Lewiston. The event was well attended with approximately 50 people participating.

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: Desk Monitoring is conducted for Sub-Recipient Grantees receiving CDBG funds. 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 2017 staff scheduled monitoring of the Androscoggin Head Start Child Care Program and Literacy Volunteers. Due to staffing concerns the monitoring was not completed prior to the completion of this report however it will be done and the reports will be available at a later date.

HOME INVESTMENT PARTNERSHIPS PROGRAM: Monitoring of the HOME program for FY2017 consisted of desk monitoring of Auburn's files. Files for new projects are monitored by the Community Development Manager when setting up the activity in IDIS. Files were monitored for completeness. Lewiston submits invoices for reimbursement with back-up documentation attached, the ER record and IDIS set-up information. Letters were sent to monitor the affordability period for Homebuyers and Home Rehab Projects. Of the 19 projects all were found in compliance of the Home Agreement.

HOME RENTAL: 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 2016. 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 2018. In 2017, Auburn did a physical inspection of Auburn Housing Authority projects to include Webster School Apartments and Vincent Square. A few minor corrections were noted and have been corrected and all units meet Housing Quality Standards. Fair Housing Reports were submitted from Bates Street Senior Living and Maple Street Housing in Lewiston and Vincent Square Apartments in Auburn.

TBRA: The City of Auburn conducted on-site monitoring at both Auburn and Lewiston Housing Authority records in May/June 2018 in preparation for a HUD Monitoring visit scheduled for July, 2018. Minor deficiencies were noted. The City will address concerns and any findings when the monitoring letter is

received.

MINORITY AND WOMEN BUSINESS ENTERPRISES: There were no projects in FY2017 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 4, 2018 announcing the availability of the draft Consolidated Annual Performance Evaluation Report. Copies were available free of charge. The comment period ended on September 19.

On September 17 the Citizen's Advisory Committee (CAC) met to review the draft 2017 CAPER. A copy of the Public Notice and the CAC Minutes of the meeting are attached in the appendices. No other comments were received.

CR-45 - CDBG 91.520(c)

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

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 FY2017 covering both CDBG and HOME funds.

The Commercial and Small Business Loan Program was eliminated in favor of the Storefront Traffic Attracts Revitalization Program (STAR). With only one loan approved since its inception the City will re-assess the need for the program. We may opt for a general Economic Development Program where each application will be reviewed to ensure eligibility with HUD guidelines.

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

No

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

CR-50 - HOME 91.520(d)

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

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

On-site inspections were conducted in HOME Rental Projects in Auburn at Vincent Square Apartments and Webster School Apartments. Issues noted in the inspection on 2/27/18 at Webster School included: missing cap for sprinkler head, lighting at main entrance and near elevator not functioning, sidewalks were ice covered. All items reinspected and Passed Final Inspection on 3/16/18. Issues noted at the Vincent Square Apartments inspection on 2/27/18 included: tile flooring in common area needed repairs and Central Maine Power boot needed to be removed. All items reinspected and passed Final Inspection on 3/16/2018.

Up until 2015 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 were scheduled to 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. No monitoring reports were submitted for Lewiston Projects and Auburn was not able to follow-up due to lack of staffing. This will be corrected in 2018.

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 two rental development projects, 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: \$143,876.06	Lewiston: \$25,080.71
Homebuyer Program:	Auburn: \$ 9,837.61	Lewiston: \$3441.22
Security Deposit Program:	Auburn \$13,066.45	Lewiston: \$5959.00

Home funds for rehab assisted 4 white and 1 black household. 1 was extremely low and 1 was low and 5 were moderately low. The TBRA program assisted 38 households of which 33 were extremely low and 5 were very low; 35 were white and 3 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.

Attachment

CAPER Public Notice

**NOTICE OF AVAILABILITY
CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORT**

The City of Auburn is preparing its Consolidated Annual Performance and Evaluation Report (CAPER) for the Community Development Block Grant and HOME Investment Partnerships Programs. The report provides information concerning various activities undertaken during the period of July 1, 2017 through June 30, 2018 and compares the outcomes against the annual and 5-year goals of the Consolidated Plan. The report will be submitted to HUD, Boston Field Office no later than September 30, 2018.

In accordance with HUD regulations at 24 CFR 91.105 a draft of the CAPER is made available for public examination and comment. Citizens are given 15 days to forward comments which will then be included in the report. The comment period will expire on September 15, 2018. Interested persons may obtain the draft report by contacting the Community Development Office at 207-253-5691, ext. 1336 or by e-mail at ybaub@ci.auburn.maine.gov. Comments may be submitted in writing to Yvonne Scudamore, City of Auburn, 60 Court Street, Auburn, Maine, 04210.
Yvonne Scudamore
City of Auburn

CAC Minutes of 9.17.2018

MINUTES

CITIZENS ADVISORY COMMITTEE

COMMUNITY ROOM 2ND FLOOR AUBURN HALL

4:00 PM – SEPTEMBER 17, 2018

CAC Members Present: Joe Gray, Lance Gagne, Tim Griffin, Holly Lasagna, Larry Pelletier, Rick Whiting

Absent: Belinda Gerry, Doris Russell, Diane Whiting

Staff: Yvette Bouttenot

Staffing Updates: Yvette Bouttenot, Community Development Manager retiring on December 21. Zach Lenhert will be the new Manager and will start on October 1 for 12 weeks of cross training before assuming full responsibility. Neighborhood Services Coordinator has been on medical leave since March 21 and is expected to return in November. CAC member resignations: Velma McDonnell and Theresa Smith.

Presentation of the draft Comprehensive Annual Performance and Evaluation Report (CAPER) for Program Year 2017

Yvette reviewed the 2017-2018 CDBG and HOME Budgets and Program Income received for the period. She then presented the outcomes by goal for the 3rd year of the 5-year consolidated plan.

Discussion/Comments:

- Committee will meet more often to establish continuity with the process and keep members engaged throughout the year. Next meeting will be in November.
- Expenditure of funds and CDBG timeliness must be monitored closely. Consider moving funds out of programs that are not meeting goals to fund projects ready to implement or move the funds to programs that are most successful. Consider funding increases for programs that are exceeding goals to meet the demand.
- Program Administration and Public Services are capped 20% and 15% respectively. The additional program income received will allow for more funds in both categories.

- Programs that are not on track to meet 5-year goals include Homeowner Rehab, Economic Development (STAR), increasing owner occupancy (current trend shows improvement) and support Fair Housing. Recommendation to offer an Economic Development Program that is open to any business that can meet HUD regulations.
- HOME requires 15% of allocation be used for Community Housing Development Organization (CHDO) projects. 68 West Dartmouth Street is an example of a CHDO project. The house sold to eligible buyer in December. 62 Spring Street is also a CHDO project.
- HOME funds can be used for new construction, but it cannot be the main source of funds. Must partner with other funding sources such as Habitat for Humanities, USDA or MSHA or with a CHDO (Auburn Housing Development Corporation).
- HOME Consortium includes Auburn and Lewiston. The funding is shared equally after 10% administration budget. Admin budget is split 70/30 favoring Auburn as the lead consortium member.

Other business:

Holly and Yvette will meet to discuss process for the development of the upcoming Action Plan and Budget.

Adjournment: Meeting adjourned at 5:20 p.m.

Respectfully yours,

Yvette Bouttenot
Community Development Manager

PR-26



Office of Community Planning and Development
 U.S. Department of Housing and Urban Development
 Integrated Disbursement and Information System
 PR26 - CDBG Financial Summary Report
 Program Year 2017
 AUBURN, ME

DATE: 06-28-18
 TIME: 3:00
 PAGE: 1

PART I: SUMMARY OF CDBG RESOURCES

01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR	1,031,259.51
02 ENTITLEMENT GRANT	516,369.00
03 SURPLUS URRAN RENEWAL	0.00
04 SECTION 108 GUARANTEED CDFI FUNDS	0.00
05 CURRENT YEAR PROGRAM INCOME	373,909.99
05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR ST TYPE)	0.00
06 FUNDS RETURNED TO THE LINE OF CREDIT	0.00
06a FUNDS RETURNED TO THE LOCAL CDBG ACCOUNT	0.00
07 ADJUSTMENT TO COMPLETE TOTAL AVAILABLE	0.00
08 TOTAL AVAILABLE (SUM LINES 01-07)	1,921,538.50

PART II: SUMMARY OF CDBG EXPENDITURES

09 DISBURSEMENTS ON LINE 05a FOR SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION	887,371.07
10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT	0.00
11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)	887,371.07
12 DISBURSED IN JOBS FOR PLANNING/ADMINISTRATION	104,738.50
13 DISBURSED IN JOBS FOR SECTION 108 REPAYMENTS	0.00
14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES	0.00
15 TOTAL EXPENDITURES (SUM LINES 11-14)	992,109.57
16 UNEXPENDED BALANCE (LINE 08 - LINE 15)	929,428.93

PART III: LOW/MOD BENEFIT THIS REPORTING PERIOD

17 EXPENDED FOR LOW/MOD HOUSING IN SPECIAL AREAS	0.00
18 EXPENDED FOR LOW/MOD MULTI UNIT HOUSING	0.00
19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES	396,488.93
20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT	473,678.65
21 TOTAL LOW/MOD CREDIT (SUM LINES 17-20)	0.00
22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)	0.00%

LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS

23 PROGRAM YEAR(S) COVERED IN CERTIFICATION	TY: 2015 PY: 2016 PY: 2017
24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION	0.00
25 CUMULATIVE EXPENDITURES BENEFITTING LOW/MOD PERSONS	0.00
26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)	0.00%

PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS

27 DISBURSED IN JOBS FOR PUBLIC SERVICES	104,738.50
28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	0.00
29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	0.00
30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS	0.00
31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30)	104,738.50
32 ENTITLEMENT GRANT	516,369.00
33 PRIOR YEAR PROGRAM INCOME	339,209.50
34 ADJUSTMENT TO COMPLETE TOTAL SUBJECT TO PS CAP	0.00
35 TOTAL SUBJECT TO PS CAP (SUM LINES 32-34)	855,574.50
36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)	12.25%

PART V: PLANNING AND ADMINISTRATION (PA) CAP

37 DISBURSED IN JOBS FOR PLANNING/ADMINISTRATION	104,738.50
38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	0.00
39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	0.00
40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS	0.00
41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 + LINE 40)	104,738.50
42 ENTITLEMENT GRANT	516,369.00
43 CURRENT YEAR PROGRAM INCOME	373,909.99
44 ADJUSTMENT TO COMPLETE TOTAL SUBJECT TO PA CAP	0.00
45 TOTAL SUBJECT TO PA CAP (SUM LINES 42-44)	895,017.49
46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45)	11.65%



Program Year 2017
 AUBURN, ME

LINE 17 DETAIL: ACTIVITIES TO CONSIDER IN DETERMINING THE AMOUNT TO ENTER ON LINE 17
 Report retained no data.

LINE 18 DETAIL: ACTIVITIES TO CONSIDER IN DETERMINING THE AMOUNT TO ENTER ON LINE 18

Plan Year	IDIS Project	IDIS Activity	Activity Name	Matrix Code	National Objective	Drawn Amount
2016	2	1620	242 Main Street	143	LMH	\$21,400.00
2016	2	1625	72 Newbury Street	143	LMH	\$18,340.00
2016	2	1626	77 Fifth Street	140	LMH	\$37,425.00
2016	2	1677	42 Newbury Street	148	LMH	\$1,057.50
2016	2	1629	16 Fourth Street	146	LMH	\$71,139.00
2016	2	1630	41-43 Dunn Street	148	LMH	\$36,137.60
2017	2	1640	45 Elm Street	148	LMH	\$5,700.00
2017	2	1643	62-64 Denmark Street	146	LMH	\$22,908.88
2017	2	1645	27 Vine Street	146	LMH	\$44,139.42
2017	2	1662	53 Third Street	146	LMH	\$8,777.80
2017	2	1663	154 Madison Street	146	LMH	\$3,130.00
2017	2	1661	71 Cook Street	146	LMH	\$19,887.05
2017	2	1671	7 Chestnut Street	146	LMH	\$24,447.46
				148	Matrix Code	\$318,485.11
2016	2	1587	Housing Shows	141	LMH	\$9,081.19
2017	2	1638	Lead Testing and Clearances	14H	LMH	\$3,040.85
2017	2	1614	Salaries and Services - Housing Admin	11H	LMH	\$27,952.97
				14H	Matrix Code	\$87,084.11
Total						\$405,569.42

LINE 19 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 19

Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount
2012	14	1410	6094763	New Auburn River Trail	03F	LMA	\$1,011.80
2012	14	1415	6131338	New Auburn River Trail	03F	LMA	\$5,010.00
2017	7	1669	6147204	Union Street Park Lighting Installation	03F	LMA	\$7,200.00
					03F	Matrix Code	\$13,221.80
2016	4	1593	6064768	Hampshire Street Reconstruction	09L	LMA	\$168,553.39
2016	4	1580	6131338	Hampshire Street Reconstruction	09L	LMA	\$81,878.90
2017	7	1673	0100025	Sidewalk and Greenspace Improvements	09L	LMA	\$8,118.40
					03L	Matrix Code	\$264,980.40
2017	7	1641	6081768	Newbury Street Community Garden	03Z	LMA	\$143.21
2017	7	1611	6180023	Newbury Street Community Garden	03Z	LMA	\$12,789.15
					03Z	Matrix Code	\$12,942.36
2017	1	1555	6147204	Auburn Police - Work With Me Program	05D	LHC	\$33,713.07
2017	1	1555	6180023	Auburn Police - Work With Me Program	05D	LHC	\$18,615.61
2017	1	1556	6147201	Auburn Recreation Dept - Scholarships	05D	LHC	\$15,451.00
					05D	Matrix Code	\$64,290.68
2017	5	1650	5131338	Safe Voices	05G	LMC	\$6,000.00
2017	5	1650	6147204	Safe Voices	05G	LMC	\$3,230.50
2017	5	1650	6180023	Safe Voices	05G	LMC	\$3,230.50
					05G	Matrix Code	\$12,461.00
2017	1	1651	6131338	Ancroscoggin Head Start	05L	LMC	\$4,730.50
2017	1	1651	6147204	Ancroscoggin Head Start	05L	LMC	\$2,365.25
2017	1	1651	6180023	Ancroscoggin Head Start	05L	LMC	\$2,365.25
					05L	Matrix Code	\$9,461.00
2016	7	1668	6147204	Webster Street Garden - PS	05Z	LMC	\$5,050.00
2017	1	1652	6131338	Literacy Volunteers	05Z	LMC	\$4,547.20
2017	1	1652	6147204	Literacy Volunteers	05Z	LMC	\$2,173.60



Office of Community Planning and Development
 U.S. Department of Housing and Urban Development
 Integrated Datacenter and Information System
 PR26 - CDBG Financial Summary Report
 Program Year 2017
 AUBURN, ME

DATE: 09-26-18
 TIME: 9:00
 PAGE: 3

Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount	
2017		1622	6180023	Literacy Volunteers	052	LHC	\$7,575.20	
2017	5	1645	6131338	Tedford Housing	052	LHC	\$1,733.50	
2017	5	1649	6147704	Tedford Housing	052	LHC	\$1,865.25	
2017	5	1649	6180023	Tedford Housing	052	LHC	\$1,865.25	
							Matrix Code	\$22,507.60
2016	2	1631	6084768	80 Broad Street	144	LHF	\$1,934.44	
2016	2	1631	6131338	80 Broad Street	144	LHF	\$13,811.81	
							Matrix Code	\$15,756.25
2017	2	1648	6131338	Weatherization Program	147	LHF	\$8,256.37	
2017	2	1648	6147704	Weatherization Program	147	LHF	\$8,300.00	
2017	2	1643	6180023	Weatherization Program	147	LHF	\$6,777.11	
							Matrix Code	\$23,333.48
2017	2	1639	6084768	Code Enforcement	15	LHA	\$165.60	
2017	2	1639	6131338	Code Enforcement	15	LHA	\$10,152.28	
2017	2	1639	6147704	Code Enforcement	15	LHA	\$10,652.47	
2017	2	1639	6180023	Code Enforcement	15	LHA	\$8,745.74	
							Matrix Code	\$29,715.59
2017	3	1654	6131338	Drift Bore Underground	18C	LMI	\$5,474.90	
2017	3	1654	6147704	Drift Bore Underground	18C	LMI	\$6,525.70	
							Matrix Code	\$12,000.60
Total							\$473,679.65	

LINE 27 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 27

Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount	
2017	1	1655	6147704	Auburn Police - Work With Me Program	05D	LHC	\$30,219.07	
2017	1	1655	6180023	Auburn Police - Work With Me Program	05D	LHC	\$19,816.81	
2017	1	1655	6147704	Auburn Recreation Dept - Scholarships	05D	LHC	\$15,481.00	
							Matrix Code	\$64,296.68
2017	5	1650	6131338	Safe Voices	05G	LHC	\$8,300.00	
2017	5	1650	6147704	Safe Voices	05G	LHC	\$8,280.50	
2017	5	1650	6180023	Safe Voices	05G	LHC	\$3,233.50	
							Matrix Code	\$12,461.00
2017	1	1651	6131338	Androsocoin Head Start	05L	LHC	\$4,730.50	
2017	1	1651	6147704	Androsocoin Head Start	05L	LHC	\$2,385.25	
2017	1	1651	6180023	Androsocoin Head Start	05L	LHC	\$2,385.25	
							Matrix Code	\$9,461.00
2016	2	1668	6147704	Water Street Garden - PS	052	LHC	\$5,950.00	
2017	1	1652	6131338	Literacy Volunteers	052	LHC	\$4,347.20	
2017	1	1652	6147704	Literacy Volunteers	052	LHC	\$2,173.30	
2017	1	1652	6180023	Literacy Volunteers	052	LHC	\$2,575.20	
2017	5	1649	6131338	Tedford Housing	052	LHC	\$3,730.00	
2017	5	1649	6147704	Tedford Housing	052	LHC	\$1,865.25	
2017	5	1649	6180023	Tedford Housing	052	LHC	\$1,665.25	
							Matrix Code	\$22,507.60
Total							\$108,716.68	

LINE 37 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 37

Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount
2017	12	1636	6084768	Salaries - Administration	21A		\$20,440.27
2017	12	1636	6131338	Salaries - Administration	21A		\$97,575.16
2017	12	1636	6147704	Salaries - Administration	21A		\$19,280.48



Office of Community Planning and Development
 U.S. Department of Housing and Urban Development
 Integrated Disbursement and Information System
 PR25 - CDBG Financial Summary Report

DATE: 09-26-18
 TIME: 10:02
 PAGE: 4

Program Year 2017
 AUBURN, ME

Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount
2017	12	1636	6100023	Salaries - Administration	21A		\$22,195.10
2017	12	1636	6187404	Salaries - Administration	21A		\$1,731.70
2017	12	1637	6084768	Goods and Services	21A		\$1,137.37
2017	12	1637	6131338	Goods and Services	21A		\$3,784.48
2017	12	1637	6147204	Goods and Services	21A		\$8,384.91
2017	12	1637	6180023	Goods and Services	21A		\$7,424.83
						Matrix Code	\$104,738.60
Total							\$104,738.60

2017 CAPER Checklist

**REGION ONE - BOSTON
2017 CONSOLIDATED ANNUAL PERFORMANCE AND EVALUATION REPORT (CAPER) COMPLETENESS
CHECKLIST FOR ENTITLEMENTS**

Grantee: <u>City of Auburn</u>	Program year: <u>2017</u>
Reviewed by: _____	Date: <u>9-25-18</u>
Programs covered by the report: <input checked="" type="checkbox"/> CDBG <input type="checkbox"/> CDBG-Section 108 <input checked="" type="checkbox"/> HOME <input type="checkbox"/> ESG <input type="checkbox"/> HOPWA <input type="checkbox"/> HTF	
Date CAPER due:	<u>9-30-2018</u>
Date CAPER received (see timestamp below "Status" on CR-00):	

IDIS Reports for CAPER Review: For additional assistance in completing a CAPER review, CPD staff may want to use the PR03, PR23, PR25, PR33 and PR91. If the jurisdiction is a HTF subgrantee, use the PR108 and PR109 reports. Updated instructions on how to review the PR25 Report may be found in the *Troubleshooting Guide for the PR26 CDBG Financial Summary Report* distributed to all field offices. The guide may also be accessed at <https://www.hudexchange.info/resource/2652/updated-instructions-completing-cdbg-financial-summary-report-pr26/>.

Consortia CAPERS: All consortia grantees – lead and member communities – are responsible for submitting their own CAPERS. Consortia CAPERS are not connected in the system. Each member can create their own separately.

System Troubleshooting Guide: This checklist contains an IDIS CAPER troubleshooting guide with information on current screen and download issues. For example, supplemental and attached information provided by the grantee may not download into the Word document. Reviewers using a Word download should also check the referenced screen to pull up and review attached supplemental information. For a complete e-Con Planning Suite troubleshooting guide, access it at: <https://www.hudexchange.info/resources/documents/Troubleshooting-Guide-Consolidated-Plan-Template-in-IDIS.pdf>.

Section 3: Date grantee submitted Section 3 report in SPEARS 9-26-18

CONCLUSION AND RECOMMENDATION: Based on my review of this report, in accordance with all applicable regulations, I find this report to be:

- Satisfactory
- Unsatisfactory

Comments: Type comments here.

SIGNED:	
Reviewer: _____	Date: _____
Program Manager: _____	Date: _____
CPD Director: _____	Date: _____

	Yes	No	Comments/Verification
Citizen Participation 91.105(d)(2), 91.115(d) – CR-00 or CR-40			
Is there evidence the 15-day comment period for citizens was provided?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is there a summary of comments received?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<i>No Comments received</i>
CR-05: Goals & Outcomes 91.520(a) & 91.520(d)			
Did the report provide an assessment of progress in carrying out its strategic plan and Action Plan (including the HTF allocation plan)? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the report provide an assessment of how the use of funds, particularly CDBG, addressed the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified? (91.520(d))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<i>Notes: The grantee should cite specific examples from the two tables on CR-05 to highlight specific accomplishments and, if applicable, explain why progress was not made toward meeting specific goals, objectives, and proposed outcomes. Additional content can also be provided by the grantee as uploaded document to the CR-05 screen. Reviewers should note-These uploads will not appear in the downloaded word report.</i>			
CR-10: Racial & Ethnic Composition of Families Assisted			
Did the grantee provide the racial/ethnic data for accomplishments? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<i>Notes: This table is read-only and cannot be edited. Information in the table is from activity accomplishment data entered by the grantee during the program year into IDIS. ESG Specific: Accomplishments associated with ESG projects are recorded in the Homeless Management Information System (HMIS) and are not recorded in IDIS. ESG recipients will report this data in the eCort tool which grantees will attach in the CR-00 screen.</i>			
CR-15: Resources and Investments			
For each target area, the system will carry forward the planned percentages of allocation from the Action Plan. If no target areas are identified in the Strategic Plan or the HTF allocation plan (for HTF grantees) does the narrative discuss the geographic distribution and location of investments? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is there a description of how any publicly owned land or property located within the jurisdiction was used to address the needs identified in the plan? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee explain how federal funds leveraged additional resources (private, state, and local funds)? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is there a description of how HOME and ESG matching requirements were satisfied? (91.520(a))	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Fiscal Year Summary – HOME Match (HUD 40107-A Report)			
1. Excess match from prior Federal fiscal year. This should be the amount of carry-over from the previous year's match report. (Line 5 from prior year report)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
2. Match contributed during current Federal fiscal year. This should be the total listed from the Match Contribution table on this screen. (Sum of column 9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
3. Total match available for current Federal fiscal year (Line 1 + Line 2). System calculated.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4. Match liability for current Federal fiscal year. This should be the same amount as that listed on the PR33 Home Match Liability Report under the column Match Liability Amount for the current fiscal year.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5 Excess match carried over to next Federal fiscal year (Line 3- Line 4). System calculated	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Match Contribution for the Federal Fiscal Year			
Is the PJ's method of identifying the project understandable in case CPD needed to review this information? <i>If the project is HOME-funded, it is recommended to use the IDIS activity number as the project number. For match projects that are not HOME-funded, a numbering system that includes the prefix "NON" should be recommended.</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Do the dates the match was contributed fall within the correct Federal Fiscal Year for this reporting period [Column 2]?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
HOME Program Income			
Verify amount received during reporting period by using the PR09 Report	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Verify the total amount expended during reporting period by using the PR07 Report.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Verify the amount expended for TBRA by using the PR05 or PR07 Report.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Verify the balance on hand at end of reporting period by using the PR09 Report.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<p><i>Notes: Expenditure data on the CR-15 screen is generated by IDIS based on drawdowns completed during the program year. Drawdowns made after the CAPER is generated will not appear on this screen. The grantee may update values in both columns to reflect draws made after the CAPER is begun.</i></p> <p><i>HOME-specific: Section 220(a) of the HOME Statute requires participating jurisdictions (PJs) to make matching contributions based on the amount of HOME funds disbursed from the PJ's HOME Investment Trust Fund during the Federal fiscal year. Consequently, PJs must report matching contributions based on the Federal fiscal year, NOT the PJ's program year. The amount reported is based on the Federal fiscal year immediately preceding the end of the PJ's program year. For example, if the last day of a PJ's program year is March 31, 2015, the timeframe for reporting match would be October 1, 2013 through September 30, 2014. If the last day of a PJ's program year is September 30, 2015, the timeframe for reporting match would be October 1, 2014 through September 30, 2015. The IDIS PR33 Report identifies the PJ's matching liability amount for each Federal fiscal year.</i></p>			
CR-20: Affordable Housing			
Did the grantee provide the actual number of households provided affordable housing units in the	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
program year? Use the PR-03 and PR23 reports to assist in the review.			
<p><i>Note: This table contains information entered by the grantee into the Action Plan. The table only includes the grantee's goals for the number of homeless, non-homeless, and special needs households to be provided affordable housing within the program year using funds made available to the jurisdiction as specified in their Annual Action Plan on screen AP-55 – Affordable Housing. For the purpose of this section, the term "affordable housing" is defined in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership. The numbers reported for actual should be consistent with the accomplishments reported at the Activity level in IDIS. Several reports, including the PR23 – Summary of Accomplishments for CDBG and HOME, can help the jurisdiction determine the actual number of ELI, LI, and MI renter and owner households that were provided affordable housing units during the program year. The grantee should be asked to revise the numbers in its Annual Action Plan, if the one-year goal field includes numbers that do not meet the definition of "affordable housing" as defined in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership. Other housing units assisted that do not meet the definition of "affordable housing" in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership may be discussed separately. These estimates should not include the provision of emergency shelter, transitional shelter, or social services.</i></p>			
Did the grantee provide the actual number of households supported?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<p><i>Note: This table lists the goals and actual number of affordable housing units produced in the program year for each type of housing assistance (rental assistance, production of new units, rehabilitation of existing units, and acquisition of existing units). The One-Year Goal field is system generated based on the information from screen AP-55 – Affordable Housing in the Annual Action Plan. The numbers reported in the Actual field should be consistent with the accomplishments reported at the Activity level in IDIS. Several reports, including the PR23 – Summary of Accomplishments for CDBG & HOME, can help the jurisdiction determine the actual counts for the program year. Grantees can adjust these values to correct actual numbers. For the purpose of this section, the term "affordable housing" is defined in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership.</i></p>			
Did the grantee discuss the difference between goals & outcomes and any problems encountered in meeting these goals? 91.520	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee discuss how these outcomes will impact future annual Action Plans?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee provide the actual number of households provided affordable housing with both CDBG, HOME and HTF funds?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The number of extremely low -income renter households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners
The number of extremely low- income owner households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners
The number of low income renter households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners
The number of low income owner households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners

	Yes	No	Comments/Verification
The number of moderate income renter households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners
The number of moderate income owner households?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017 CAPER screens do not divide by renters and owners
The number of middle income persons served?	<input type="checkbox"/>	<input type="checkbox"/>	2017 CAPER does not include this question.
The number of homeless persons served?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the number of owner and renter households assisted meet the Section 215 definition of affordable housing included?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
<p><i>Note: This table should display the number of persons assisted at each income level who received housing assistance during the program year. The numbers reported for actual based on accomplishments entered into IDIS at the activity level. Incorrect numbers may be the result of accomplishments entered after the CAPER was created. Several reports, including the PR23 – Summary of Accomplishments, can help the jurisdiction determine the actual counts for the number of households that were provided affordable housing units during the program year. Grantees can adjust these values in the system to correct actual numbers. Compare the number of ELI, LI, MI, and homeless households provided affordable housing with narrative for the strategic plan goals summary screen SP-45 to determine progress in meeting the strategic plan goal. For the purpose of this section, the term "affordable housing" for all program accomplishments is defined in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership.</i></p> <p><i>Other housing units assisted that do not meet the definition of "affordable housing" in the HOME regulations at 24 CFR 92.252 for rental housing and 24 CFR 92.254 for homeownership and in the HTF regulations at 24 CFR 93.302 for rental housing and 24 CFR 93.304 for homeownership, may be discussed separately. These estimates should not include the provision of emergency shelter, transitional shelter, or social services.</i></p>			
Did the grantee provide additional narrative regarding the information provided by these tables? Is there an evaluation of progress in meeting its specific objective of providing affordable housing assistance during the reporting period? Each type of owner and renter household should be discussed (ELI, LI, Mod, MI, Homeless)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is there a summary of the efforts to address "worst case needs", and progress in meeting the needs of persons with disabilities? Worst-case housing needs are defined as low-income renter households who pay more than half of their income for rent, live in seriously substandard housing, which includes homeless people, or have been involuntarily displaced. The needs of persons with disability do not include beds in nursing homes or other service-centered facilities.	<input type="checkbox"/>	<input type="checkbox"/>	2017 CAPER does not include this question
Did the grantee describe other actions taken to foster and maintain affordable housing? 91.220(k); 91.520(a). This info may also be on the CB-50 screen.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
States Only: Did the state include the coordination of LIHTC with the development of affordable housing?	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
91.320(j); 92.520(a). This info may also be on the CR-50 screen.			
CR-25: Homeless and Other Special Needs			
Does the report the grantee's progress in reaching out to homeless persons, especially unsheltered persons, and assessing their individual needs? 91.520(c)(1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Address the emergency shelter and transitional housing needs of homeless persons? 91.520(c)(2)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Address helping low income individuals and families avoid becoming homeless, especially extremely low income individuals and families who are:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
(a) Likely to become homeless after being discharged from publicly funded institutions and systems of care, such as health care facilities, correction programs, mental health facilities, foster care and other youth facilities? 91.520(c)(4)(i)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
(b) Receiving assistance from public or private agencies that address housing, health, social services, employment, education or youth needs? 91.520(c)(4)(ii). The grantee should explain how the jurisdiction is implementing a homeless discharge coordination policy, and how ESG homeless prevention funds are being used in this effort.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Address 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 experienced homelessness, facilitating access for homeless individuals and families to affordable units, and preventing individuals and families who were recently homeless from becoming homeless again? 91.520(c)(3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
CR-30: Public Housing			
Did the grantee identify actions taken to address the needs of public housing? 91.520(a)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to encourage public housing residents to become more involved in management and participate in homeownership? 91.520(a)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If grantee has a troubled PHA, did it identify actions to provide assistance to this PHA?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
CR-35: Other Actions			
Did the grantee describe actions taken to remove or improve 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?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to address obstacles to meeting underserved needs? 91.220(k); 91.320(j)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to reduce lead-based paint hazards? 91.220(k); 91.320(j)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to reduce the number of poverty-level families? 91.220(k); 91.320(j)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to develop institutional structure? 91.220(k); 91.320(j)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to enhance coordination between public and private housing and social service agencies? 91.220(k); 91.320(j)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee identify actions taken to overcome the effects of any impediments identified in the grantee's analysis of impediments to fair housing choice or AFH? 91.520(a)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
CR-40: Monitoring			
Did the grantee describe the standards and procedures used to monitor activities and used to ensure long-term compliance with requirements of the programs involved, including minority business outreach and comprehensive planning requirements? This should include all CPD funds received: CDBG (including Section 108, if applicable), HOME, HTF, ESG & HOPWA.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee describe efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports, including minorities, non-English speaking persons and persons with disabilities? 91.520(a)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
CR-45: CDBG Grantees			
Did the grantee specify the nature of, and reasons for, any changes in the grantee's program objectives and indications of how the jurisdiction would change its programs as a result of its experiences? 91.520(d)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Does the grantee have an existing Section 108 guaranteed loan?	<input type="checkbox"/>	<input type="checkbox"/>	2017 CAPER does not include this question

	Yes	No	Comments/Verification
If yes, did the grantee report accomplishments and program income on any open activities during the last year?			2017 CAPER does not include this question
Does the grantee have any open Brownfields Economic Development Initiative (BEDI) grants?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
If yes, did the grantee describe grant accomplishments and program outcomes during the last year?	<input type="checkbox"/>	<input type="checkbox"/>	
<p><i>NOTE: Section 108 recipients and BEDI grantees should describe program accomplishments and outcomes following instructions for Section 108 reporting contained in Chapters 8 and 9 of the IDIS Online for CDBG Entitlement Communities Training Manual at: https://www.hudexchange.info/resource/2085/idis-online-for-cdbg-entitlement-communities-training-manual/. Review IDIS PR03 Report to determine extent to which extremely low-income, low-income, and moderate-income served by each activity where information on income by family is required to determine the eligibility of the activity. 91.520(d) Review jurisdictions with a HUD-approved neighborhood revitalization strategy to determine progress against benchmarks for the program year.</i></p>			
CR-50: HOME Grantees			
Did the grantee 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, including:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
A list of projects that should have been inspected on-site this program year based upon the schedule in §92.504(d)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
An indication of which of these were inspected and a summary of issues that were detected during the inspection?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
A description of how it will remedy the situation for those properties that were not inspected?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee provide an assessment of the jurisdiction's affirmative marketing actions for HOME units and programs? §92.351(a)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee provide data on the amount and use of program income for projects? This response should include the number of projects and owner and tenant characteristics in the projects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Did the grantee describe other actions taken to foster and maintain affordable housing? 91.220(k); 91.520(a). This info may also be on the CR-20 screen.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
States Only: Did the state include the coordination of LIHTC with the development of affordable housing? 91.320(j); 92.520(a). This info may also be on the CR-20 screen.	<input type="checkbox"/>	<input type="checkbox"/>	
CR-55: HOPWA Grantees			
Did the jurisdiction provide the actual numbers of households receiving HOPWA assistance for each eligible type of housing assistance?	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
<p><i>Note: The table on CR-55 lists the one year goals and actual number of households receiving HOPWA assistance for each eligible type of housing assistance. The One-Year Goal Field is based on the information entered on the AP 70 screen (HOPWA Goals) in the Action Plan. The IDIS accomplishments screens are going through design changes and grantee have not been reporting correctly in these data fields. In this screen, the numbers reported must be manually entered for actual should be consistent with the accomplishment data reported in the jurisdictions HOPWA Paper CAPER.</i></p>			
CR-56: HTF Grantees/Subgrantee – This screen will be released October 2017. It will apply to CAPERs beginning with FY2018 action plans.			
Did the jurisdiction describe the HTF program's accomplishments and the extent to which the jurisdiction complied with its approved HTF Allocation Plan and the requirements of 24 CFR part 93?	<input type="checkbox"/>	<input type="checkbox"/>	
Data on emergency transfers requested under 24 CFR 5.2005(e) and 24 CFR 92.359, pertaining to victims of domestic violence, dating violence, sexual assault, or stalking, including data on the outcomes of such requests? (New VAWA Rule: Reporting requirements became effective May 15, 2017.)	<input type="checkbox"/>	<input type="checkbox"/>	
Did the grantee describe other actions taken to foster and maintain affordable housing? §91.320(j) and §91.220(k); 91.520(a). This info may also be on the CR-20 screen.	<input type="checkbox"/>	<input type="checkbox"/>	
States Only: Did the state include the coordination of LIHTC with the development of affordable housing? 91.320(j); 92.520(a). This info may also be on the CR-20 screen.	<input type="checkbox"/>	<input type="checkbox"/>	
CR-60: ESG Grantees			
Did the grantee complete all of the required ESG recipient and subrecipient information? 91.520(g)	<input type="checkbox"/>	<input type="checkbox"/>	
<i>Note: This information can be confirmed in each grantee/PJ profile.</i>			
CR-65: ESG Persons Assisted			
<p><i>Starting with their 2017 CAPER submissions, ESG recipients will report accomplishments on persons assisted through ESG-funded projects using the ESG CAPER template in Sage HMIS. The information in Sage HMIS replaces all data previously collected on screen CR-65. Recipients should leave all tables on screen CR-65 blank.</i></p> <p><i>To access the ESG CAPER, log in to Sage HMIS (https://www.sagehmis.info/), and scroll down to the "CAPER current status" section. If your CAPER is not listed, you may need to increase the number of entries shown (default is 10).</i></p> <p><i>To open the submission, click on the purple text in the "Link to Submission" column. Check the "HUD – CPD Field Office Review" screen to view the cumulative data.</i></p>			
Did the recipient submit an ESG CAPER for the correct time period in Sage HMIS?	<input type="checkbox"/>	<input type="checkbox"/>	
Were all projects able to upload CSV files?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the cumulative information seem reasonable given the type of programs the recipient funded with	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
ESG? Ex: If they fund outreach, accomplishments should be reported under street outreach.			
Once the review was complete, did you change the status to "complete" and hit "save"?	<input type="checkbox"/>	<input type="checkbox"/>	
CR-70: ESG Assistance Provided			
Did the jurisdiction report on shelter utilization rates for ESG expenditures? 91.520(g)	<input type="checkbox"/>	<input type="checkbox"/>	
Did the jurisdiction report on project outcomes data measured under the performance standards developed in consultation with the CoC(s) that were established in the recipient's action plan (screen AP-90)?	<input type="checkbox"/>	<input type="checkbox"/>	
CR-75: ESG Expenditures			
Did the jurisdiction report the dollar amount from each of the three most recent fiscal year allocations that were expended during the recipient's program year for each ESG component, as well as match sources?	<input type="checkbox"/>	<input type="checkbox"/>	
<i>Note: CPD Reps should review this table in iDIS. Totals in tables 11e and 11g in the MS Word download currently exclude the 'Street outreach' values in table 11d from the total calculation.</i>			

FINANCIAL ANALYSIS:

To ensure the integrity of the CAPER, a comprehensive review of both programmatic and financial analysis should be performed. The financial review evaluates the fiscal integrity and financial capacity of the grantee and can be used as a part of the Annual Community Assessment. This section examines the financial data for accuracy, necessity, and compliance with Federal cost principles and agency. Deficiencies found during the financial analysis do not affect the determination as to whether or not the CAPER is satisfactory; however, any violations in the following regulatory requirements could result in a monitoring finding.

	Yes	No	Comments/Verification
CAPER Financial Analysis			
CDBG Entitlement Grantee: {PR26} – <i>Note use the PR26 Troubleshooting Guide to verify calculations are correct, particularly in regard to PI and SI for both annual allocations and Section 108 loan guarantees.</i>			
Was the 70% low/mod overall spending requirements for CDBG met? (PR26 Report)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
If this is a multi-year certification, review period covered.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Has the grantee exceeded the 20% administrative cap for CDBG?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Has the grantee exceeded the 15% public service cap for CDBG?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Grant-based admin cap: Run a <i>PR26 CDBG Activity Summary by Selected Grant</i> report for 2015 and 2017. Has the grantee exceeded the 20% grant based administrative cap?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
HOME PJ: {PR 22, PR25, PR49, PR27}			
Has the PJ exceeded the 10% administrative cap for HOME?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the PJ met the 15% CHDO set-aside for HOME?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Has the PJ met its 24-month HOME commitment requirement? (Does not apply to deadlines that occur in 2017- 2019).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Has the PJ met its five-year HOME expenditure requirement? (Does not apply to FY 2015 grant and later).	<input type="checkbox"/>	<input type="checkbox"/>	
HTF Grantee: (PR 108 and PR109) If a jurisdiction has received HTF funds, this section should be reviewed.			
Has the grantee exceeded the 10% administrative cap for HTF?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the grantee met its 24-month HTF commitment requirement?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the grantee met its five year HTF expenditure requirement?	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	Comments/Verification
Has the grantee met its HTF activity spending requirements? (Minimum 80 percent for rental housing, maximum of 10 percent for homeownership housing) 24 CFR 93.200(a)(1)	<input type="checkbox"/>	<input type="checkbox"/>	
Has the grantee met its HTF income targeting requirements per 24 CFR 93.250?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the grantee exceeded the 1/3% operating cost cap for HTF, per 24 CFR 93.200?	<input type="checkbox"/>	<input type="checkbox"/>	
HOPWA Grantee: (paper APR CAPER)			
<i>Note: Use the paper APR CAPER until the IDIS accomplishment screen is fully functional!</i>			
Has the grantee exceeded the 3% administrative cap for HOPWA or the 7% administrative cap by project sponsors under HOPWA?	<input type="checkbox"/>	<input type="checkbox"/>	
Did the jurisdiction 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?	<input type="checkbox"/>	<input type="checkbox"/>	
ESG Grantee: (PR91, PR93)			
Has the jurisdiction exceeded the 7.5% administrative cap for ESG?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the amount of ESG funds for street outreach and emergency shelter activities exceed the greater of 60% of the jurisdiction's fiscal year ESG grant or the amount of FY2010 ESG funds committed for homeless assistance activities?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the jurisdiction on track to meet the 24-month expenditure deadlines? (See the ESG Operating Instructions for guidance about possible corrective actions when the expenditure deadline has not been met.)	<input type="checkbox"/>	<input type="checkbox"/>	