

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

PHA Plans

5 Year Plan for Fiscal Years 2005 - 2009
Annual Plan for Fiscal Year 2005

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHA Name: Kentucky Housing Corporation

PHA Number: KY901

PHA Fiscal Year Beginning: (mm/yyyy) 07/2005

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices (**Regional Offices**)

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

Regional Offices

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2005 - 2009
[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is:
Kentucky Housing Corporation (KHC) was created to provide safe, decent, affordable housing opportunities for very low, low and moderate-income Kentuckians. Recognizing that housing is a basic human need, KHC is committed to pursue all partnerships and resources necessary to promote, develop and provide affordable housing, thereby improving the quality of life for all Kentuckians.

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- PHA Goal: Expand the supply of assisted housing
Objectives:
- Apply for additional rental vouchers:
KHC's Tenant-Based Rental Assistance Programs Department (TBRA) will react to the availability of additional rental vouchers. KHC will consider all contract opportunities offered by HUD. We will continually strive to maximize the number of Section 8 units administered by the Corporation and explore funding strategies. These strategies are to:
- **Keep current with market demand and conditions to ascertain level of assistance needed.**
 - **Maintain flexibility within staffing levels to react quickly to availability.**

- Have service delivery process in place to successfully implement the program.

Quantifiable Measures

KHC's baseline units have increased to 4,802. This has been accomplished through the acquisition of additional mainstream vouchers, project-based property owner opt-outs and/or contract expirations (including Moderate Rehabilitation Program contract expirations), and assuming vouchers per HUD's request from Fulton County Housing Authority.

Over the past six years, we have experienced program growth of 1,570 units or 32.69 percent over this timeframe. In July 1998, we had a total program size of 3,232 units.

- Reduce public housing vacancies:
- Leverage private or other public funds to create additional housing opportunities:
- Acquire or build units or developments
- Other (list below)

PHA Goal: Improve the quality of assisted housing
Objectives:

- Improve public housing management: (PHAS score)
- Improve voucher management: (SEMAP score) **KHC continues to use the Action Plan (Attachment A) to assure the TBRA Program meets and/or exceeds all SEMAP requirements.**
- Increase customer satisfaction: **There are three regional rental assistance offices located throughout the 85-county jurisdiction served by KHC. All three offices are staffed by housing professionals whose duties are to:**
 - **Conduct public outreach, which includes soliciting landlords, properties in assigned areas; negotiating agreements with outside agencies for distribution of applications; educating potential participants and outside agencies on corporate programs and processes and maintaining local presence as housing information source.**
 - **Schedule and conduct housing quality standards (HQS) inspections prior to initial occupancy, annually and at request of tenant and landlord.**
 - **Process paperwork necessary for initial, interim and annual recertifications.**
 - **Process paperwork necessary for tenants to exercise portability.**
 - **Schedule and conduct briefing sessions with families to inform them of program requirement.**

- **Serve as a local contact for families, owners and social service agencies.**

Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)

Renovate or modernize public housing units:

Demolish or dispose of obsolete public housing:

Provide replacement public housing:

Provide replacement vouchers:

Other: (list below)

KHC will complete monitoring inspections of units as required by SEMAP to assure all units meet HQS and lead-based paint requirements

Quantifiable Measure

KHC has exceeded the required percentage of monitoring inspections per SEMAP requirements. SEMAP required 47 inspections to be conducted and KHC staff has conducted HQS monitoring inspections on 152 units.

PHA Goal: Increase assisted housing choices

Objectives:

Provide voucher mobility counseling: **KHC encourages mobility to increase housing choices and satisfaction for all participating families. This service is provided through the briefing sessions with families conducted by housing representatives. Families are briefed prior to initial program participation.**

Conduct outreach efforts to potential voucher landlords: **KHC has implemented a Marketing Action Plan (Attachment B) in all regional offices to market the rental assistance program in the counties administered by KHC. The objective of the plan is to increase occupancy and landlord participation as well as sustain program utilization.**

Increase voucher payment standards: **It is department policy to utilize fair market rents (FMRs) to the greatest extent to serve as many families as possible under the Annual Contribution Contract (ACC). KHC reviews its payment standards annually and sets its payment standard at 90 percent of the FMR in all counties served. Additionally, KHC will request to increase a higher payment standard as needed to serve persons with disabilities.**

Implement voucher homeownership program: **KHC's homeownership voucher program has been implemented and is currently being administered.**

Implement public housing or other homeownership programs:

Implement public housing site-based waiting lists:

Convert public housing to vouchers:

Other: (list below)

HUD Strategic Goal: Improve community quality of life and economic vitality

- PHA Goal: Provide an improved living environment
Objectives:
- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
 - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
 - Implement public housing security improvements:
 - Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - Other: (list below)
A major responsibility of the regional office staff is to communicate with local governments, state welfare offices and the real estate industry regarding the availability of housing assistance. The community is improved by the increased knowledge and awareness gained by this communication.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- PHA Goal: Promote self-sufficiency and asset development of assisted households
The primary goal of the Family Self-Sufficiency (FSS) Program is to promote self-sufficiency by providing participating families with housing assistance, case management and support services to enable the family to become gainfully employed and independent of public housing assistance within five years.

In addition, it is an objective of KHC to provide each family who fulfills their FSS contract with services to enable the family to become homeowners. These services include a comprehensive homeownership education program and low-interest mortgage loans (one to six percent) to be used in conjunction with the savings earned in the FSS escrow account. This provides participating families with a real opportunity to remain independent of housing assistance and take control of their lives.

KHC's FSS Program staff works to increase employment opportunities for assisted families by offering a unique combination of services. The FSS Program contracts with agencies throughout the state to offer case management to program participants. Case management enhances a

participant's chance of seeking and maintaining employment through advocacy, technical assistance and supportive counseling.

The escrow savings account offers an incentive that enhances asset development for participants. Credit to an escrow account occurs as a result of an increase in earned income during the term of the contract. After completion of the FSS contract, the participant receives the funds saved in the escrow account, which provides them with the opportunity for continued economic independence.

Quantifiable Measure

KHC was originally allotted 470 FSS slots. Of the 470, we have had 169 graduates reducing the number of available FSS slots to 301. KHC has exceeded the SEMAP requirement for the number of FSS participants and participants with escrow accounts. We have 255 participants and 153 FSS families with escrow balances. This equates to 84.7 percent participants and 60 percent with escrow balances, which exceeds SEMAP requirements

Objectives:

- Increase the number and percentage of employed persons in assisted families:
- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

- **Conduct education and outreach to housing providers, consumers and fair housing advocates about discrimination and fair housing laws.**

- **Conduct education and outreach throughout the state about the requirements of special needs populations.**
- **Encourage builders and developers to produce affordable housing in all areas of the state.**
- **Encourage builders and developers to produce homes that are readily accessible.**
- **Provide technical assistance on issues related to fair housing.**

Annual PHA Plan
PHA Fiscal Year 2005
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
 Small Agency (<250 Public Housing Units)
 Administering Section 8 Only

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

The following information is Kentucky Housing Corporation's Annual Plan including highlights of major initiatives, discretionary policies and attachments. It covers Fiscal Year 2005. The plan details the operation of the Section 8 Tenant-Based Rental Assistance Program. It summarizes KHC's current strategic issues and planning projections and provides management information and funding strategies. It is also a primary vehicle for communication and coordination of activities. This plan provides KHC with the direction for making day-to-day decisions, as well as a template for evaluating risks, ascertaining customer needs, designing programs to meet those needs and enabling KHC to compete in the ever-changing world of business, technology and economics.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

Table of Contents

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2000 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)
 - (A) **SEMAP Action Plan (ky901a01)**
 - (B) **Marketing Action Plan (ky901b01)**
 - (C) **Organizational Chart (ky901c01)**
 - (D) **Rental Assistance Programs (ky901d01)**
 - (E) **Resident Advisory Board Information (ky901e01)**
 - (F) **Resident Advisory Board Members (ky901f01)**
 - (G) **Project-Based Voucher Program Summary (ky901g01)**
 - (H) **Informal Hearing Process (ky901h01)**
 - (I) **Statement of Progress on Meeting 5-Year Mission and Goals (ky901i01)**

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
NA	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
NA	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
NA	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
NA	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
NA	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
NA	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
NA	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
NA	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
NA	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
NA	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
NA	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
NA	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
NA	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted	Annual Plan: Annual Audit

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	117,779	5	5	5	5	5	5
Income >30% but <=50% of AMI	79,990	5	5	5	5	5	5
Income >50% but <80% of AMI	92,166	4	4	4	3	3	4
Elderly	10,641	5	3	3	4	3	5
Families with Disabilities	47,549	5	5	5	5	5	5
Black	33,719	4	4	4	4	4	4
Asian	667	4	4	4	4	4	4
White	255,143	3	3	3	3	3	3
American Indian	406	4	4	4	4	4	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

Consolidated Plan of the Jurisdiction/s

Indicate year: 2004 - 2008

- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year: 2004
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA’s waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	10,342		1,274
Extremely low income <=30% AMI	8,356	80.8	
Very low income (>30% but <=50% AMI)	1,965	19	
Low income (>50% but <80% AMI)	21	.2	
Families with children	7,220	69.8	
Elderly families	380	3.7	
Families with Disabilities	1,696	16.4	
White	9,104	88.1	
Black/African American	1,203	11.6	
Am. Indian-Alaska Nat.	24	.2	
Nat. Hawaiian-Pac. Is.	11	.1	

Housing Needs of Families on the Waiting List			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes: How long has it been closed (# of months)? 10 Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency’s reasons for choosing this strategy.

KHC’s Five-Year Strategic Plan includes partnering with: HUD on national/local level, other KHC departments; local social service agencies; other public housing agencies, owners and agents of rental units. KHC will consider all contract opportunities offered by HUD. It will continually strive to maximize the number of Section 8 units administered by the Corporation.

KHC has chosen this strategy to increase our baseline units as well as our rental housing stock to accommodate eligible families on our Section 8 waiting list.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units

- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)
Assisted living facilities allows clients to remain independent longer and receive rental assistance while receiving services to give them a better quality of life.

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)
Target available assistance to families with disabilities.

KHC currently administers 75 mainstream vouchers. 200 additional units are set aside to provide assistance to disabled families.

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA’s selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<p>Financial Resources: Planned Sources and Uses</p>

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2005 grants)		
a) Public Housing Operating Fund		
b) Public Housing Capital Fund		
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	19,110,917	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self- Sufficiency Grants	150,306	
h) Community Development Block Grant		
i) HOME	1,500,000	
Other Federal Grants (list below)		
Shelter Plus Care Grant	137,376	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income		
4. Other income (list below)		
4. Non-federal sources (list below)		
Total resources	20,898,599	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2) Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either

through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA’s Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal

- Any time family composition changes
- At family request for revision
- Other (list)

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site-based waiting lists
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments
If selected, list targeted developments below:
- Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing

Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

Criminal or drug-related activity only to the extent required by law or regulation

Criminal and drug-related activity, more extensively than required by law or regulation

More general screening than criminal and drug-related activity (list factors below)

Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

Criminal or drug-related activity

Other (describe below)

For landlord screening purposes, previous landlord names and where tenant lived.

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

**Regional offices; Kentucky Housing Corporation's Web site;
Applications are made available to social service offices**

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

- **Vouchers are initially valid for a period of 60 days from the date of issuance to the family. No days, such as weekends or holidays are excluded from the 60 days. If the 60th day falls on a non-working day, then the family may conduct pertinent business on the next working day. Upon review and approval, extensions may be given to a family if requested on or just prior to the expiration date. Additional extensions may be granted as long as the total length provided does not exceed 120 days. Extensions are provided in writing.**
- **KHC will comply with all requirements outlined in PIH Notice 2005-5 to comply with the Olmstead decision as well as being flexible in establishing reasonable initial search terms and subsequent extensions for families as needed to serve persons with disabilities.**

(4) Admissions Preferences

a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence

Substandard housing
Homelessness
High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
- Written materials
- Other (list below)

Tenant and landlord brochures.

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
- Other (list below)

Kentucky Housing Corporation's website

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0

- \$1-\$25
- \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

For the earned income of a previously unemployed household member
 For increases in earned income
 Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:

- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- Yes for all developments
- Yes but only for some developments

No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- Other (list below)

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)
On a case-by-case basis, approval from HUD has been requested and approved for families with disabilities.

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

Reasonable accommodation purposes.

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
 Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
 Rent burdens of assisted families
 Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

- **Loss of eligibility or awaiting determination for assistance**
- **Evicted**
- **Income decrease**
- **Death in family**
- **Other circumstances as determined by KHC and HUD**

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.

See Attachment C. Chart attached is organization of the Rental Assistance Department. Director reports to the senior director in charge of programs.

- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use “NA” to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	NA	NA
Section 8 Vouchers	4,802	1274
Section 8 Certificates	0	0
Section 8 Mod Rehab	32	12
Special Purpose Section 8 Certificates/Vouchers (list individually)	Shelter Plus Care (34) Tenant-Based Rental Assistance (TBRA) (300 Units)	15
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA’s public housing management and maintenance policy documents, manuals and handbooks that contain the Agency’s rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

Please review Attachment D for an overview of the Section 8 management

policies and procedures.

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
- PHA main administrative office
 - PHA development management offices
 - Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)
- PHA main administrative office
 - Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
If yes, list developments or activities below:

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:

1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description

1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name:

1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved:) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved:) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

- Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
 26 - 50 participants
 51 to 100 participants
 more than 100 participants

b. PHA-established eligibility criteria

- Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

Each Homeownership Program participant must first meet the general requirements for admission to the Section 8 Housing Choice Voucher Program as set forth in KHC’s Administrative Plan. In addition, the participant family must meet the eligibility requirements of the Homeownership Program. The additional eligibility requirements for participation in the Homeownership Program include that the family must:

- **Applicants/Participants for the Homeownership Program must hold a valid housing choice voucher, may not owe any monies to KHC or any other housing authority and must meet the other eligibility criteria for the Homeownership Program.**
- **Eligible applicants/participants in the Homeownership Voucher Program are required to participate in KHC’s Family Self-Sufficiency Program (FSS) in order to participate in the Homeownership Program.**
- **If a head of household, spouse or other adult household member, who will execute the contract of sale, mortgage and loan documents has**

previously defaulted on a mortgage obtained through the Homeownership Program, the family will be ineligible to participate in the Homeownership Program.

- **The family may not have received notice of termination of assistance more than once in the previous year.**

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY
KHC has 22 cooperative agreements with a beginning date of March 1, 1993.

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families

- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

Eligible Section 8 Homeownership participants are required to participate in the FSS Program.

b. Economic and Social self-sufficiency programs

- Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
Housing Assistance	All	FSS Participant	KHC	Section 8
Case Management	All	FSS Participant	KHC	Section 8
Housing Assistance	All	Homeownership	KHC	Section 8
Case Management	All	Homeownership Participant	KHC	Section 8

KHC coordinates the program with other state and local social service agencies to provide services to meet the individual needs of FSS and homeownership voucher families. Several services will be provided to all participants which will include housing assistance, assessment, case management, a comprehensive homeownership education program and pre/post homeownership counseling. Other services which may be provided, based upon the needs of the family, include:

- Education**
- Job training/placement**
- Childcare**
- Transportation**
- Treatment and counseling for substance and alcohol abuse**
- Other**

To date, KHC has had six families close on home loans.

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2004 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8	301	255 (2/1/05)

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
 - Informing residents of new policy on admission and reexamination
 - Actively notifying residents of new policy at times in addition to admission and reexamination.
 - Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
 - Establishing a protocol for exchange of information with all appropriate TANF agencies
 - Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 - Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)
3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
- Attached at Attachment (File name)
 - Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
- Considered comments, but determined that no changes to the PHA Plan were necessary.
 - The PHA changed portions of the PHA Plan in response to comments
List changes below:
 - Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

- a. Nomination of candidates for place on the ballot: (select all that apply)
- Candidates were nominated by resident and assisted family organizations
 - Candidates could be nominated by any adult recipient of PHA assistance
 - Self-nomination: Candidates registered with the PHA and requested a place on ballot
 - Other: (describe)
- b. Eligible candidates: (select one)
- Any recipient of PHA assistance
 - Any head of household receiving PHA assistance
 - Any adult recipient of PHA assistance
 - Any adult member of a resident or assisted family organization
 - Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **Commonwealth of Kentucky**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
 - **Encourages the development of supportive service programs for low-income elderly persons/families living in subsidized rental units.**
 - **Facilitates the creation of affordable rental units in rural areas.**
 - **Coordinates housing and services among state departments and agencies.**
 - **Forms partnerships with Social Service providers.**
 - **Enters into a corporative initiative with other agencies of the Commonwealth to develop 12 transitional supportive housing developments across the state to serve individuals who have a history of substance abuse, with an emphasis on the homeless, those at risk of becoming homeless and those referred by the judicial system.**

Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

- **Encourages the development of supportive service programs for low-income elderly persons/families living in subsidized rental units.**
- **Facilitates the creation of affordable rental units in rural areas.**
- **Coordinates housing and services among state departments and agencies.**

- **Forms partnerships with Social Service providers**
- **Commitment to the Governor’s plan to develop 12 facilities across the state to provide transitional supportive housing that serves individuals who have a history of substance abuse, with an emphasis on the homeless, those at risk of becoming homeless and those referred by the judicial system.**

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

KHC will consider the following as a “significant” or “substantial” deviation from our Consolidated Plan:

- **Changes to rent or admission policies or organization of the waiting list.**
- **Any change with regards to designation of the Homeownership Program or conversion activities.**
- **Any changes regarding the designation of the project-based housing types.**

In order to allow equal opportunity for all families, KHC will add applicants to the waiting list and select applicants from the waiting list by date of application.

KHC will increase its minimum total tenant payment from \$25 to \$50.

The Governor has announced that Kentucky is engaging in a new strategy to overcome drug abuse with the establishment of 12 housing recovery centers. The centers will provide transitional supportive housing that serves individuals who have a history of substance abuse, with an emphasis on the homeless, those at risk of becoming homeless and those referred by the judicial system. To finance the centers, KHC will set aside \$2.5 million a year in federal tax credits in 2005 and 2006 for construction and operations. The Governor’s Office for Local Development will provide \$4 million in federal funds through the Community Development Block Grant program. The Department of Corrections will contribute \$ 3 million.

Other than the above changes, KHC remains on target with the goals outlined in our five-year plan and does not have any other deviations from the original plan.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
3	1408 Management Improvements	
4	1410 Administration	
5	1411 Audit	
6	1415 Liquidated Damages	
7	1430 Fees and Costs	
8	1440 Site Acquisition	
9	1450 Site Improvement	
10	1460 Dwelling Structures	
11	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

**Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

SEMAP ACTION PLAN

OBJECTIVE: To meet or exceed all SEMAP requirements.

IMPLEMENTATION DATE: February 1, 2000 (Updated February 2005)

- **SEMAP INDICATOR 1 – SELECTION FROM THE WAITING LIST:**

The financial analyst will review the program utilization report monthly to determine the number of baseline units available to lease. Based on program need, the financial analyst will inform the leadership team of the number of applicants that need to be sent top-of-the-waiting list (TOWL) letters. The leadership team will make the decision on when and where the TOWL letters should be sent, based on the information from the financial analyst. When the decision is made by the leadership team, the waiting list administrator will be informed and will use the YARDI software report system to select the applicable applicants from the waiting list. The applicants will be selected by date of application, unless it is a project-based unit that requires that applicants be selected by applicable bedroom size. The report will list the applicants to be selected from the waiting list. The software system prints the TOWL letters and enters the sent date on the applicant letter screen. The waiting list administrator will compare the letters and the report to ensure they correspond with the number of letters that were mailed to applicants who have reached the top of the waiting list. TOWL letters for all programs will be selected by using the software report system. The reports will be compared to ensure the applicants that received letters were selected from the waiting list in the correct order, as stated in the Administrative Plan.

- **SEMAP INDICATOR 2 – REASONABLE RENT:**

During the regional office review, all rent reasonableness books for the assigned areas will be reviewed to ensure that KHC policy and SEMAP requirements are met. The regional manager will use the KHC Rent Reasonableness Review Form and Evaluation Form to complete the review. A follow-up memorandum to the regional office will be sent regarding all accomplishments, findings, correction methods and time frames.

- **SEMAP INDICATOR 3 – DETERMINATION OF ADJUSTED INCOME:**

The Upfront Income Verification (UIV) system will be used to obtain third-party verifications for each participating family for all income. Third-party verifications will be obtained from the source for all asset and allowance determinations. If third-party documentation is not available when a certification is being processed, an explanation will be written on the file and followed up with a request for a completed third-party verification. A verbal verification from the source of income, asset or allowance will be accepted. Quality control file reviews will be conducted to ensure third-party verifications are used along with the correct allowances and utility allowance chart.

- **SEMAP INDICATOR 4 – UTILITY ALLOWANCE SCHEDULE:**

KHC will determine annually whether there has been a change in utility rates or other applicable charges and whether an adjustment is required in the utility schedules. If KHC determines that a change of at least ten percent or greater has occurred, KHC will establish a schedule of adjustments taking into account the size and type of units and other pertinent factors.

Adjustments of any increase/decrease of utility rates within the counties KHC serves will be noted on a Utility Allowance Survey Report Form and available for review. All adjusted and updated Utility Allowance Schedules will be submitted to HUD.

- **SEMAP INDICATOR 5 – HQS QUALITY CONTROL INSPECTIONS:**

The regional managers will conduct the quality control sample size of inspections as required under SEMAP and KHC policy. A sample of inspections will be selected from recently completed Housing Quality Standards (HQS) inspections (no more than three months) for each of the field offices under KHC. Monitoring inspections will focus on HQS noncompliance, not on a complete general inspection. A follow-up memorandum to the regional office staff will be sent regarding all accomplishments, findings, correction methods and time frames.

All monitoring inspections will be listed in the Monitoring Inspection Logbook that is kept by the regional manager and put into the Yardi inspection File.

- **SEMAP INDICATOR 6 – HQS ENFORCEMENT:**

Quality control file reviews will be conducted to determine the accuracy of HQS enforcement. Participant files will be reviewed to determine that the correct time frames for correcting violations were followed. In addition, files will be reviewed to assure that prompt action was taken in the event the unit was abated.

- **SEMAP INDICATOR 7 – EXPANDING HOUSING OPPORTUNITIES:**

Although most of our participants reside in the rural areas of Kentucky, we provide very good coverage of our service areas. Participants are encouraged to locate housing within the entire service area and are not directed towards designated housing areas.

- **SEMAP INDICATOR 8 – FMR LIMIT AND PAYMENT STANDARDS:**

Our payment standard (PS) will be based upon 90 percent of the HUD-approved Fair Market Rents (FMR) for each county administered by KHC. Each year when the FMR changes, the PS will be adjusted to coincide with the FMR. On a case-by-case basis, to provide reasonable accommodation to disabled participants, KHC will seek approval from HUD to increase the PS to 120 percent of the FMR. Exception PS are periodically requested from HUD to accommodate areas where the FMR is determined too low. A file will be maintained to document the PS and it will include the published FMR related to each year.

- **SEMAP INDICATOR 9 – ANNUAL REEXAMINATIONS:**

To determine that an annual reexamination has been conducted at least every 12 months on participating families, the Annual Recertification Processing Calendar will be used. The annual recertification process will begin 120 days prior to the annual reexamination effective date. This allows sufficient time to gather verifications for processing prior to the annual reexamination effective date. The rental housing coordinator will utilize the Recap to verify that annual reexaminations are received and processed in a timely manner. The timeliness of annual reexaminations will also be reviewed during quality control file reviews.

- **SEMAP INDICATOR 10 – CORRECT TENANT RENT CALCULATIONS:**

The calculation of correct tenant rent and family share (TTP) will be evaluated during sample quality control file reviews. If a calculation error is found, the file will be returned to the rental housing coordinator for a correction to be made.

- **SEMAP INDICATOR 11 – PRECONTRACT HQS INSPECTIONS:**

Quality control file reviews are conducted to ensure units pass HQS inspection on or before the beginning date of the lease and HAP contract.

- **SEMAP INDICATOR 12 – ANNUAL HQS INSPECTIONS:**

The Annual Inspection Recap will be followed to ensure that annual HQS inspections are conducted for each unit under contract. The Annual Inspection Recaps are prepared quarterly by the regional manager notifying staff of inspections due within the next 12 months. Timeliness of annual HQS inspections will also be reviewed when quality control file reviews are conducted.

- **SEMAP INDICATOR 13 – LEASE-UP:**

The Financial Analyst will give the Rental Assistance Programs Department a targeted occupancy number based upon the funding amount of the Annual Budget Authority (ABA). This target number will be used when submitting the annual budget to HUD and will be the number used by the Rental Assistance Programs Department to determine if we are meeting SEMAP requirements. The Rental Assistance Programs Department

tracks the occupancy percentages monthly to assure that the maximum number of families are being served. A leasing worksheet is used by the department to track occupied units. We begin by using the beginning ABA amount and entering monthly expenditures for HAP, UAP, damages, unpaid rent, vacancy loss (moderate rehabilitation and project-based units only) and administrative fees. We then use the number of units leased, based upon our monthly status reports. This information enables us to determine if we are under or over leased so that decisions can be made accordingly. For SEMAP purposes, we will maintain a file containing this documentation to support our occupancy tracking.

- **SEMAP INDICATOR 14 – FSS ENROLLMENT & ESCROW PERCENTAGE:**

Yardi software reports are used to determine Family Self-Sufficiency Program enrollment and escrow totals. Program reports are produced monthly. Each time the escrow accounts are updated, a copy of the report is filed with the Escrow Transaction List.

A master SEMAP file will be maintained, which will contain a file for each of the SEMAP indicators monitored. The quality control sample size set by the Rental Assistance Programs Department will exceed that of the SEMAP requirements of approximately 50 files. MTCS Error Reports will also be used to monitor compliance with SEMAP requirements.

MARKETING ACTION PLAN

OBJECTIVE: To market rental assistance program in the counties administered by KHC, to increase occupancy and landlord participation.

PLAN OF ACTION

- Regional office staff will target a specific county or region within their jurisdiction to solicit applications and will work with the occupancy staff to determine areas where the top of the waiting list (TOWL) letters will be sent.

OCCUPANCY RECRUITMENT

Regional Office staff will spend a **minimum of one (1) day per month** in their selected county soliciting applicants. Some suggestions for solicitation are:

- Advertise in the county (i.e., using local papers, fliers, posters) that you plan to visit. Indicate in the advertisement the location where you will be distributing and completing applications.
- Visit apartment complexes (especially Rural Development) and schedule a time to speak to current residents to assist them in completing applications.
- Contact current landlords to see if they have tenants in other units that may benefit from our program and send applications.
- Schedule a time at local senior centers and arrange to leave applications.
- Schedule a time to visit local domestic violence agencies and arrange to leave applications.
- Make arrangement to leave Section 8 applications with health departments where they may be distributed. Many health departments have staff members who make home visits and will take our applications with them.
- Local school systems have Resource Centers to assist low-income children in the schools. A list of these centers can be obtained through the Health Department. Schedule visits to these centers to explain KHC's programs and leave applications.
- Work with Head Start programs through your local community action agency.
- All community based services agencies should be contacted. Visit each center to distribute applications and explain TANF and FSS referrals.
- Department for Blind and Vocational Rehabilitation offices have low-income clients. These are other locations where KHC applications can be distributed.
- Some areas have inter-county agency meetings where representatives from most social services community-based services will have information about those meetings.

LANDLORD RECRUITMENT

- Regional office staff should spend a **minimum of one (1) day per month** recruiting landlords. Some suggestions for recruitment are:
- Visit local property valuation administration offices and ask about property owners in that area.
- When a family moves out of a unit, call that landlord and ask to post unit as available. Maintain a list of available units to mail to families who have been briefed on the program and are looking for a unit.
- Keep your landlord list current. The list should be updated quarterly.
- Conduct landlord orientations monthly; try different times and locations. Ask a satisfied current landlord to speak at these meetings. Magistrates make excellent speakers.
- Speak at Board of Realtors meetings, Rotary Club, and Lions Club meetings providing information on the rental assistance programs.
- Contact landlords in your Rent Reasonableness books for possible program participation.
- Ask current landlords if they know others who may be interested in program participation..

VACANT UNIT RECRUITMENT

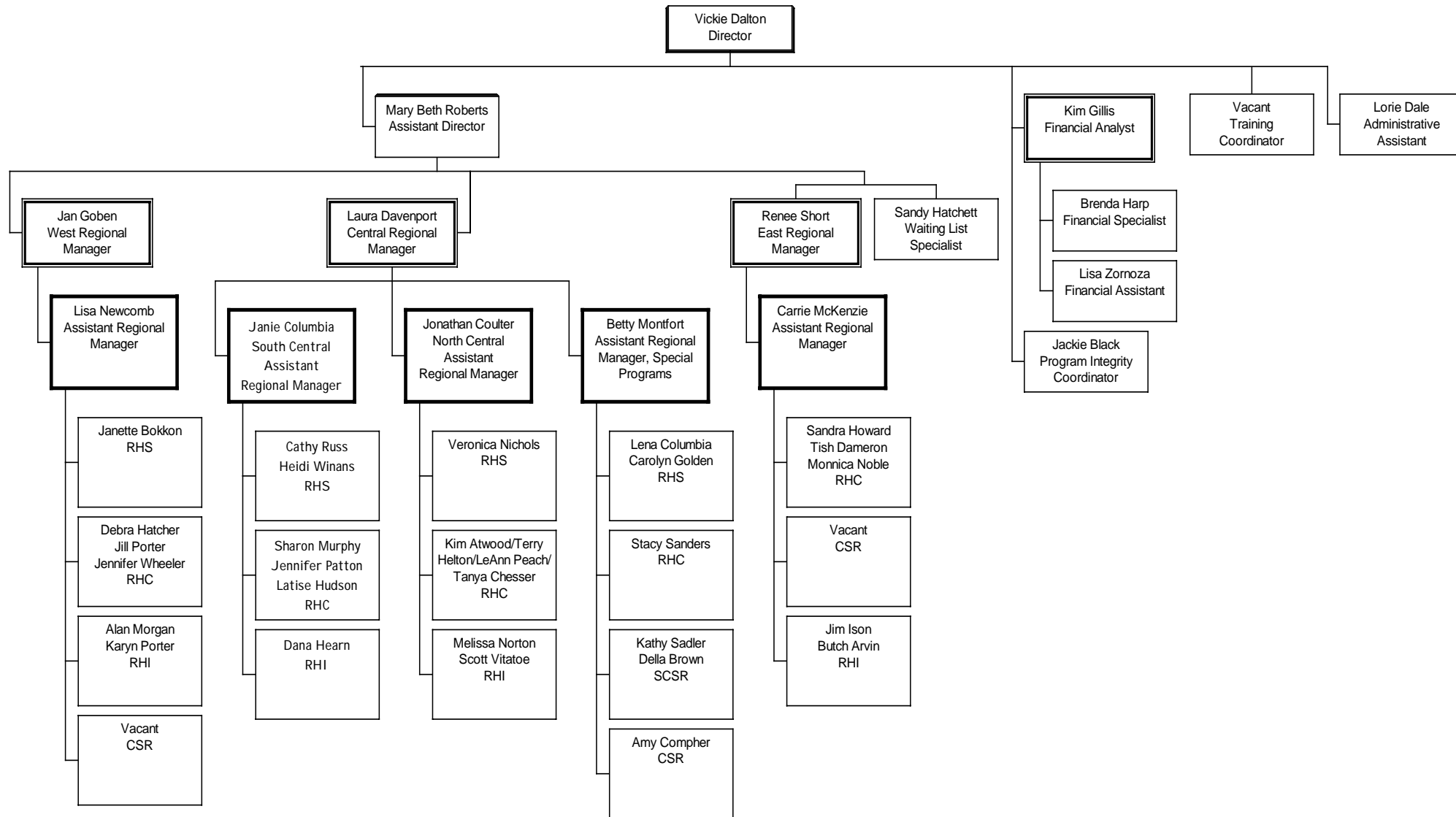
Regional offices will spend a **minimum of two (2) half days** each month actively seeking available units for tenants who have been briefed on the program and are looking for a unit. Keep a bulletin board or available unit list and update it at least every two weeks. Record this information on the KHC Available Unit Listing Form for each county. A copy of this form should be mailed twice a month to all families who have been briefed and are looking for a unit in the county. To comply with fair housing requirements, all tenants should receive the same information, and information on all available units should be provided. **Remember the landlord list and the available unit list are not the same.**

ADDITIONAL ACTIONS

- All three regional offices will share information with the other two regional offices by providing the name, address, and phone number of all prospective landlords who contact their office for information. All prospective landlords will be encouraged to list their available units on KHC's Kentucky Rents website.
- Regional office phone numbers will be listed in each county, not just in the county where the office is located.
- The term "**Section 8**" should be dropped from advertisements and replaced with "**Rental Assistance.**"
- A promotional poster will be created for the "Rental Assistance Program."
- KHC staff will do promotional booths at county fairs as well as local festivals upon request.

Attachment C

RENTAL ASSISTANCE DEPARTMENT



RHC = Rental Housing Coordinator
 RHS = Rental Housing Specialist (3+ years of experience)
 RHI = Rental Housing Inspector
 CSR = Customer Service Representative
 SCSR= Sr. Customer Service Representative (3+ years of experience)

Tenant-Based Rental Assistance Programs

Administer federal rental assistance through subsidy to families while assuring compliance of housing quality standards for affordable housing units.

Vision

High performing housing agency providing superior customer service by an effective knowledgeable team.

Mission

KHC's Rental Assistance Programs Department acts in the interest of low- and very low-income Kentucky families, providing guidance and financial support in their search and selection of safe, decent, affordable rental housing.

Values

- Pursuit of excellence
- Effective knowledge of policies/procedures
- Timeliness and ability to meet deadlines
- Detail - and change-oriented
- Service to families and participating landlords
- Compliance with federal guidelines

Measures of Success

- Number of rental units subsidized

Tenant-Based Rental Assistance Programs (continued)

- Level of customer satisfaction
- Physical condition of housing

***Change From Contract
Administration to In-House
Administration***

KHC staff will administer all rental assistance programs operations in three regional offices.:

To embrace change, the following will occur:

- New staff in place.
- Accounting systems developed.
- Quality control measures developed.
- Software programs developed.
- Policy and procedures established.

To do this, staff will:

- Consult with Accounting and systems development staff.

Tenant-Based Rental Assistance Programs (continued)

- Consult with KHC's Information Technology Department for software and hardware needs.
- Establish policies and procedures.

Strategic Issues

Develop Partnerships

If partnerships are forged:

- Opportunities exist for more efficient program implementation.
- More agencies will work together in a positive fashion.

To accomplish this, staff will:

- Partner with HUD on national/local level.
- Partner with other KHC departments.
- Partner with local social service agencies.
- Partner with other public housing authorities.
- Partner with owners and agents of rental units.

Tenant-Based Rental Assistance Programs (continued)

Program Funding Strategy

KHC will consider all contract opportunities offered by HUD. It will continually strive to maximize the number of Section 8 units administered by the Corporation.

Tenant-Based Rental Assistance Programs

Activities: Continued, New or Expanded

Continuing Products and Services	New or Expanded Products or Services	Products and Services to be Explored
Section 8 Housing Choice Vouchers	Implement new program organization of in-house administration versus contractual administrators.	Implement new tenant-based rental assistance software
HOME TBRA	Adopt new quality control measures.	Explore need to increase project-based rental assistance.
Family Self-Sufficiency	Partner with Social Services and other PHA's.	Explore continued expansion of Homeownership Voucher Program
Shelter Plus Care	Utilize UIV system for participant verifications.	Future of moderate rehabilitation
Enhanced Vouchers	Adopt HUD five-year and annual plans.	
Project-Based Vouchers	Expand Homeownership Voucher Program	
Moderate Rehabilitation		
Homeownership Voucher		
Assisted Living Vouchers		
SRO's		
Mainstream Vouchers		

Tenant-Based Rental Assistance Programs

Implementation Time Line

	2001	2002	2003	2004	2005
Products and Services:					
Rental Assistance Programs	Housing Choice Vouchers Section 8 Certificates Section 8 Vouchers Rental Housing Deposits Pursue Welfare to Work (300 Vouchers)	Housing Choice Vouchers			
Family Self-Sufficiency	Consider Family Self-Sufficiency (FSS) Expansion of Services to Traditional Voucher Expand Partnerships with Social Services	Expand FSS Services to Voucher Holders	FSS		
Moderate Rehabilitation	Mod Rehab 300 units	Mod Rehab 275 units	Mod Rehab 250 units	Mod Rehab 225 units	Mod Rehab 32 units
Project-Based Vouchers	Project-Based 100 units	Project-Based 150 units	Project-Based 200 units	Project-Based 250 units	Project-Based 367 units
Emergency TBA	Emergency TBA				TBRA 300 units
Shelter Plus Care	Shelter Plus Care 35 tenants	Shelter Plus Care 35 tenants	Shelter Plus Care 35 tenants	Shelter Plus Care 35 tenants	Shelter Plus Care 35 tenants

Tenant-Based Rental Assistance Programs

Implementation Time Line (continued)

	2001	2002	2003	2004	2005
Operational Issues:	Lack of Affordable Housing Stock for Use by Voucher Holders Develop New Partners New Lead-Based Paint Regulations Impact on Section 8 Program				
Products and Services to be Explored:	Explore Ways to Allocate Expenses to Proper Programs	Develop	Implement Allocation System	Use Allocation System	
	Explore In-House Versus Contractual Area Administrator	Develop In-House Contractual Area Administrator			
	Homeownership Vouchers	Homeownership Vouchers	Revisit Homeownership Vouchers	Implement Homeownership Vouchers	Expand Homeownership Voucher Program

RESIDENT ADVISORY BOARD MEMBERS

1. RESIDENT PARTICIPATION (24 CFR 964.11)

KHC and HUD promote participation and the active involvement of residents in all aspects of the housing agencies' Section 8 mission and operation. Section 8 residents have a right to serve on a Resident Advisory Board to represent their interests. KHC's Resident Advisory Board is composed of active Section 8 participants who provide supportive assistance in the form of recommendations to Section 8 personnel.

11. KHC ROLE IN WORKING WITH RESIDENT ADVISORY BOARDS (24 CFR 964.18; 964.150)

KHC recognizes the voluntary Resident Advisory Board (RAB) as the sole representative of the Section 8 participants it represents and supports its resident participation activities. KHC will assist the RAB in setting up annual meetings, providing reimbursement of travel, meals, and lodging expenses when necessary, and in organizing the annual selection of voluntary members to the Board. KHC will provide office space necessary for meetings. KHC may also elect to conduct business through written correspondence to the Board members if deemed applicable. KHC does not provide any monetary stipends to the members of the Resident Advisory Board for volunteer services. The RAB members serve in an advisory role only and do not have any authority or power to implement changes or procedures except through recommendations to KHC staff who may choose to implement recommended changes.

111. GOALS AND ACTIVITIES OF THE RESIDENT ADVISORY BOARD

The goal of the Resident Advisory Board, is through the direct participation of Section 8 residents, that the overall quality of life for all Section 8 participants may be positively affected and the delivery of Section 8 services enhanced. The Board activities will include at a minimum:

- ◆ Review and make recommendation on the KHC Annual Plan;
- ◆ Review and make recommendations on Section 8 public awareness efforts – landlord and applicant recruitment.
- ◆ Review Section 8 Administrative Procedures (outlined in Annual Plan) for consumer feedback.

IV. MEMBERSHIP RECRUITMENT AND SELECTION

The Resident Advisory Board shall consist of a maximum of ten (10) members. Having KHC's field offices nominate a Section 8 participant for the RAB will generate candidates for membership. No more than ten (10) members will be selected from the nominations to serve on the RAB. Program participants may volunteer for the RAB if they are currently in good standing with KHC (no termination proceedings pending or history of program family obligation violations). If more than ten persons volunteer for the RAB, KHC will utilize a random selection process that proportionately represents KHC's jurisdiction.

Each RAB Member may serve for a one-year period and may volunteer for additional (consecutive or non-consecutive) terms of service annually. In the event a RAB member discontinues his/her Section 8 rental assistance or is terminated from the Section 8 Program, he/she immediately forfeits their right to serve on the RAB in any capacity.

Resident Member of the PHA Governing Board

Tonya Bailey
133 Andover Dr.
Winchester, KY 40391

Tracy Johnson
398 Church St.
Versailles, KY 40383

Angela White
840 Martin Luther King Ct.
Versailles, KY 40383

Mary Constant
286 Highland Ct., Apt. 13
Shepherdsville, KY 40165

Helen McGreevy
109 Valleyview Dr.
Shelbyville, KY 40065

Leslee Reynolds
392 Dunover
Versailles, KY 40383

Margaret Ribando
25 Vine St.
Winchester, KY 40391

James Rice
119 Strode Station Cir.
Winchester, KY 40391

Nicki Richardson
1044 Scarlet Ln.
Lawrenceburg, KY 40342

Existing Project-Based Units

PROPERTY	ADDRESS	No. Of UNITS
Angela Homes	172 Sand Dollar Ct., Shepherdsville, KY	24
Allison Apartments	142 Winning Colors Dr., Mt. Washington, KY	24
Hughes Avenue Apartments	11 Hughes Ave., Winchester, KY	12
Abbey Ridge	Moore Dr., Elizabethtown, KY	16
Purchase Community Housing Corporation	14 Spruce St., Murray, KY 206 Barnett St., Hazel, KY	1 1
Village Oaks Apartments	Crestmore Dr., Franklin, KY	5
Wellsprings	311 Ninth St., Shelbyville, KY	4
Townview Apartments	351 Broadway, Jackson, KY	17
Northwood Homes	Ryan Dr., Leitchfield, KY	24
Clifty Heights	Stanford St., Science Hill, KY	10
Martinsville I & II	118 Ninth St., Shelbyville, KY	11
Irvine Renaissance	Collins St., Irvine, KY	28
Oakview Apartments	630 Oakview Dr., Vanceburg, KY	4
Communicare	615 Westport Rd., Elizabethtown, KY	11
Main Cross Apartments	Eight Mains St., Mt. Sterling, KY	48
Hawthorne Apartments	1143 Sixth Ave., Calvert City, KY	6
Amy Lynn Apartments	Rt. 1, Box 442, Tollesboro, KY	8
Clay Street Apartments	Hawesville, KY	8
Diuguid Apartments	1408 Duiguid, Murray, KY	6
Pinewood Townhomes	Salyersville, KY	11
East Cumberland Estates	Jamestown, KY	8
Eilerman House Project	Booneville, KY	4
Marilyn Heights	Mt. Washington, KY	32

Projected Project-Based Units

PROPERTY	ADDRESS	No. of UNITS
Whitesburg Transitional Housing	Whitesburg, KY	6
Givemy Gardens I & II	Paris, KY	26
Lifeskills, Inc.	Bowling Green, KY	2
Eagle's Landing	Somerset, KY	23
Pennyroyal, Reg., MH-MR	Hopkinsville, KY	2
Jarnigan Place	Hazard, KY	4
Tanglewood Apartments	Murray, KY	8
Lincoln Place	Stanford, KY	4
Pennyroyal Reg. MH-MR	Pinceton, KY	2

KENTUCKY HOUSING CORPORATION
Rental Assistance Programs
Complaints and Appeals

INTRODUCTION

The informal hearing requirements defined in the HUD regulations are applicable to participating families who disagree with an action, decision or inaction of KHC. This Chapter describes the policies, procedures and standards to be used when families disagree with a KHC decision. The procedures and requirements are explained for preference denial meetings, informal reviews and hearings. It is the policy of KHC to ensure that all families have the benefit of all protections due to them under the law.

A. COMPLAINTS TO KHC

KHC will respond promptly to complaints from families, owners, employees and members of the public. All complaints will be documented. KHC may require that complaints other than HQS violations be put in writing. HQS complaints may be reported by telephone.

KHC hearing procedures will be provided to families in the briefing packet.

Categories of Complaints

Complaints from families: If a family disagrees with an action or inaction of KHC or owner.

- **The family will submit the complaint to the regional manager (RM) or rental housing coordinator/specialist (RHC).**
 - **In the event the RM or RHC is unable to satisfy the complaint, it will be referred to the RM's or RHC's direct supervisor.**
 - **If a complaint is not resolved at that point, it will be referred to the director of rental assistance programs.**

Complaints from owners: If an owner disagrees with an action or inaction of the PHA or a family.

- **Complaints from owners will be referred in the same manner as those from families.**

Complaints from staff: If a staff person reports an owner or family either violating or not complying with program rules, the complaint will be referred to the staff person's direct supervisor.

Complaints from the general public: Complaints or referrals from persons in the community in regard to KHC, a family or an owner.

- **Complaints from the general public will be referred to the RM or RHC for the area. If a complaint is not resolved, it will be referred to the RM's or RHC's direct supervisor.**

B. INFORMAL REVIEW PROCEDURES FOR APPLICANTS

Reviews are provided for applicants who are denied assistance before the effective date of the HAP Contract. However, if an applicant is denied assistance for citizenship or eligible immigrant status, the applicant is entitled to an informal hearing.

When KHC determines that an applicant is ineligible for the program, the family must be notified of their ineligibility in writing. The notice must contain:

The reason(s) they are ineligible;

The procedure for requesting a review if the applicant does not agree with the decision; and

The time limit for requesting a review.

KHC must provide applicants with the opportunity for an informal review of decisions denying:

Listing on KHC's waiting list;

Issuance of a voucher;

Participation in the program.

Informal reviews are not required for established policies and procedures and KHC determinations such as:

Discretionary administrative determinations by KHC;

General policy issues or class grievances;

A determination of the family unit size under KHC subsidy standards;

Refusal to extend or suspend a voucher;

KHC determination not to grant approval of the tenancy;

Determination that unit is not in compliance with HQS;

Determination that unit is not in accordance with HQS due to family size or composition.

Procedure for Review

A request for an informal review must be received **in writing** by the close of the business day, no later than **ten** calendar days from the date of KHC's notification of denial of assistance. The informal review will be scheduled within **20** calendar days from the date the request is received.

The informal review will not be conducted by the person who made or approved the decision under review nor a subordinate of that person.

The review will be conducted by:

- **A staff person who is at the manager level or above**

The applicant will be given the option of presenting oral or written objections to the decision. Both KHC and the family may present evidence and witnesses. The family may use an attorney or other representative to assist them at their own expense.

- **The review may be conducted by mail and/or telephone if acceptable to both parties.**

A notice of the review findings will be provided in writing to the applicant within **ten** calendar days after the review. It shall include the decision of the review officer and an explanation of the reasons for the decision.

All requests for a review, supporting documentation and a copy of the final decision will be retained in the family's file.

C. INFORMAL HEARING PROCEDURES

When KHC makes a decision regarding the eligibility and/or the amount of assistance, applicants and participants must be notified in writing. KHC will give the family prompt notice of determinations, which will include:

The proposed action or decision of KHC;

The date the proposed action or decision will take place;

The family's right to an explanation of the basis for KHC's decision;

The procedures for requesting a hearing if the family disputes the action or decision;

The time limit for requesting the hearing;

To whom the hearing request should be addressed.

KHC must provide participants with the opportunity for an informal hearing for decisions related to any of the following KHC determinations:

Determination of the family's annual or adjusted income and the computation of the housing assistance payment;

Appropriate utility allowance used from schedule;

Family unit size determination under KHC subsidy standards;

Determination to terminate assistance for any reason;

Determination to terminate a family's FSS Contract, withhold supportive services or propose forfeiture of the family's escrow account.

KHC must always provide the opportunity for an informal hearing before termination of assistance.

Informal hearings are **not** required for established policies and procedures and KHC determinations such as:

Discretionary administrative determinations by KHC;

General policy issues or class grievances;

Establishment of KHC schedule of utility allowances for families in the program;

KHC determination not to approve an extension or suspension of a voucher term;

KHC determination not to approve a unit or lease;

KHC determination that an assisted unit is not in compliance with HQS (KHC must provide hearing for family breach of HQS because that is a family obligation determination);

KHC determination that the unit is not in accordance with HQS because of the family size;

KHC determination to exercise or not exercise any right or remedy against the owner under a HAP contract.

Notification of Hearing

It is KHC's objective to resolve disputes at the lowest level possible and to make every effort to avoid the most severe remedies. However, if this is not possible, KHC will ensure that applicants and participants will receive all of the protections and rights afforded by the law and the regulations.

When KHC receives a request for an informal hearing, a hearing shall be scheduled within **20** calendar days. The notification of hearing will contain:

The date and time of the hearing;

The location where the hearing will be held;

The family's right to bring evidence, witnesses, legal or other representation at the family's expense;

Items the family is **required** to bring to the hearing.

The right to view any documents or evidence in the possession of KHC upon which KHC based the proposed action and, at the family's expense, to obtain a copy of these documents prior to the hearing. **Requests for documents or evidence must be received no later than seven days before the hearing date.**

A notice to the family that KHC will request a copy of any documents or evidence the family will use at the hearing. **Requests for documents or evidence must be received no later than seven days before the hearing date.**

KHC's Hearing Procedures

After a hearing date is agreed to, the family may request to reschedule only upon showing "good cause," which is defined as an unavoidable conflict which seriously affects the health, safety or welfare of the family.

If a family does not appear at a scheduled hearing and has not rescheduled the hearing in advance, the family must contact KHC within 24 hours, excluding weekends and holidays. KHC will reschedule the hearing only if the family can show good cause for failure to appear.

Families have the right to:

Present written or oral objections to KHC's determination;

Examine the documents in the file, which are the basis for KHC's action, and all documents submitted to the hearing officer;

Copy any relevant documents at their expense;

Present any information or witnesses pertinent to the issue of the hearing;

Request that KHC staff be available or present at the hearing to answer questions pertinent to the case; and

Be represented by legal counsel, advocate or other designated representative at their own expense.

- **If the family requests copies of documents relevant to the hearing, KHC will make the copies for the family and assess a charge of ten cents per copy. In no case will the family be allowed to remove the file from KHC's office.**
- **In the event information in the file is received from a party who wishes to remain anonymous, KHC will release information only to the extent possible while preserving the anonymity of the party.**

In addition to other rights contained in this Chapter, KHC has a right to:

Present evidence and any information pertinent to the issue of the hearing;

Be notified if the family intends to be represented by legal counsel, advocate or another party;

Examine and copy any documents to be used by the family prior to the hearing;

Have its attorney present; and

Have staff persons and other witnesses familiar with the case present.

The informal hearing shall be conducted by the hearing officer appointed by KHC who is neither the person who made or approved the decision, nor a subordinate of that person. KHC appoints hearing officers who:

- **Are manager-level staff from other departments in the Corporation.**

The hearing shall concern only the issues for which the family has received the opportunity for hearing. Evidence presented at the hearing may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.

Documents may be presented which have not been provided to the other party before the hearing if requested by the other party. "Documents" includes records and regulations.

- **Whenever possible, informal hearings will be audio-recorded.**

The hearing officer may ask the family for additional information and/or might adjourn the hearing in order to reconvene at a later date, before reaching a decision.

- **If the family misses an appointment or deadline ordered by the hearing officer, the action of KHC shall take effect and another hearing will not be granted.**

The hearing officer will determine whether the action, inaction or decision of KHC is legal in accordance with HUD regulations and this Administrative Plan based upon the evidence and testimony provided at the hearing. Factual determinations relating to the individual circumstances of the family will be based on a preponderance of the evidence presented at the hearing.

A notice of the hearing findings shall be provided in writing to KHC rental assistance programs staff and the family within **ten** calendar days and shall include:

A clear summary of the decision and reasons for the decision;

If the decision involves money owed, the amount owed and documentation of the calculation of monies owed;

The date the decision goes into effect.

KHC is not bound by hearing decisions:

Which concern matters in which KHC is not required to provide an opportunity for a hearing;

Which conflict with or contradict HUD regulations or requirements;

Which conflict with or contradict federal, state or local laws; or

Which exceed the authority of the person conducting the hearing.

KHC shall send a letter to the participant if it determines KHC is not bound by the hearing officer's determination within **ten** calendar days. The letter shall include KHC's reasons for the decision.

All requests for a hearing, supporting documentation, and a copy of the final decision will be retained in the family's file except cases relating to fraudulent or criminal related activity..

D. HEARING AND APPEAL PROVISIONS FOR "RESTRICTIONS ON ASSISTANCE TO NON-CITIZENS"

Assistance to the family may not be delayed, denied or terminated on the basis of immigration status at any time prior to the receipt of the decision on the INS appeal.

Assistance to a family may not be terminated or denied while the KHC hearing is pending but assistance to an applicant may be delayed pending the KHC hearing.

INS Determination of Ineligibility

If a family member claims to be an eligible immigrant and the INS SAVE system and manual search do not verify the claim, KHC notifies the applicant or participant within 10 days of their right to appeal to the INS within 30 days or to request an informal hearing with KHC either in lieu of or subsequent to the INS appeal.

If the family appeals to the INS, they must give KHC a copy of the appeal and proof of mailing or KHC may proceed to deny or terminate. The time period to request an appeal may be extended by KHC for good cause.

The request for a KHC hearing must be made within 14 days of receipt of the notice offering the hearing or, if an appeal was made to the INS, within 14 days of receipt of that notice.

After receipt of a request for an informal hearing, the hearing is conducted as described in this Chapter for both applicants and participants. If the hearing officer decides that the individual is not eligible, and there are no other eligible family members KHC will:

Deny the applicant family;

Defer termination if the family is a participant and qualifies for deferral;

Terminate the participant if the family does not qualify for deferral.

If there are eligible members in the family, KHC will offer to prorate assistance or give the family the option to remove the ineligible members.

All other complaints related to eligible citizen/immigrant status:

If any family member fails to provide documentation or certification as required by the regulation, that member is treated as ineligible. If all family members fail to provide, the family will be denied or terminated for failure to provide.

Participants whose termination is carried out after temporary deferral may not request a hearing since they had an opportunity for a hearing prior to the termination.

Participants whose assistance is pro-rated (either based on their statement that some members are ineligible or due to failure to verify eligible immigration status for some members after exercising their appeal and hearing rights described above) are entitled to a hearing based on the right to a hearing regarding determinations of tenant rent and total tenant payment.

Families denied or terminated for fraud in connection with the Non-citizens Rule are entitled to a review or hearing in the same way as terminations for any other type of fraud.

E. MITIGATING CIRCUMSTANCES FOR APPLICANTS/PARTICIPANTS WITH DISABILITIES

When applicants are denied placement on the waiting list or KHC is terminating assistance, the family will be informed that presence of a disability may be considered as a mitigating circumstance during the informal review process.

KHC shall provide reasonable accommodations for persons with disabilities to participate in an informal review or informal hearing. Reasonable accommodation may include qualified sign language interpreters for the hearing-impaired, readers, accessible locations and/or attendants. If it is known that the applicant is visually impaired, any notice to the

applicant or participant which is required by these procedures will be in accessible format.

F. RIGHT TO APPEAL DECISIONS

Any decision of the hearing officer which denies relief requested by the applicant or participant in whole or in part, does not constitute a waiver of, nor affect in any manner whatsoever, any rights the applicant or participant may have to seek relief in a court of competent jurisdiction.

STATEMENT OF PROGRESS

This report will outline the progress made by Kentucky Housing Corporation (KHC) 's Tenant-Based Rental Assistance Program during the fiscal year of 2004, as well as, detail any deviations from the five-year plan. KHC's baseline units have increased to 4,802. This has been accomplished through the acquisition of additional mainstream vouchers, project-base property owner opt-outs and/or contract expirations and assuming vouchers per HUD's request from Fulton County Housing authority. Over the past six years, KHC has experienced program growth of 1,570 units or 32.69 percent over this timeframe. In July 1998, we had a total program size of 3,232 units. This growth is in addition to replacing an average of 106 families monthly due to turnover. This growth has allowed us to meet our goal of providing safe, decent and affordable housing to more Kentuckians. The implementation of the Section Eight Management Assessment Program (SEMAP) Action and Marketing Plans has enabled us to reach and assist more families.

The Department of Housing and Urban Development (HUD) awarded KHC a "High Performer" rating under the SEMAP this year for the third straight year.

KHC is pleased to once again announce that fourteen percent of our housing assistance payments are for persons with disabilities. We are pleased to be able to provide assistance to such a large percentage of this population.

Management staff has conducted monitoring inspections in excess of the number required for our agency by SEMAP. Additionally, we have updated our Administrative Plan to incorporate applicable regulatory change and/ or policy changes. The new plan was adopted October 28, 2004.

We continue to convert the expired Moderate Rehabilitation units to Housing Choice Vouchers. Additionally, we have been able to increase our baseline units through this conversion, as well as, the receipt of units from Project Based unit owner opt-outs.

We continue to utilize HOME funds through our Tenant-Based Rental Assistance Program to assist additional homeless families and have increased the number of assisted families for this emergency program from 150 to 265 over this fiscal year. We anticipate utilizing HOME funds to assist 300 families through the TBRA program in the upcoming year.

The 85 housing choice vouchers received previously through the Hope for the Elderly Independence Program are being directed toward persons who are 62 years of age or older or persons with disabilities. The rental assistance is identical to the Housing Choice Voucher Program.

KHC has selected and is in the process of implementing new program software for the rental department. The web-based Yardi software will provide us with more flexibility and efficiency in program administration as we move away from contract administration to full KHC administration through three regional offices. This reorganization will enable us to provide full program administration and excellent customer service to our clients.

We continue to project-base our Housing Choice Vouchers, up to the 15 percent allowed, as deemed beneficial to owners and families. We plan to bring several more units on line this year which will increase the number of units currently project based from 233 to 367. Additionally we have 73 units in the pipeline.

The Governor's office has unveiled a \$9.5 million initiative to help pay for the construction and operation of 12 recovery centers across the state to provide transitional supportive housing that serves individuals who have a history of substance abuse, with an emphasis on the homeless, those at risk of becoming homeless and those referred by the judicial system. KHC will provide \$2.5 million a year in federal tax credits in 2005 and 2006 for construction and operations. The Governor's Office for Local Government will put up \$4 million in federal funds through the Community Development Block Grant program. The Department of Corrections will also contribute \$3 million. Housing Choice Vouchers will be project based to provide subsidy to these individuals.

KHC has continued to expand its Homeownership voucher program. We are partnering with three agencies to improve the efficiency and success of the program. Partnering agencies will provide pre and post housing counseling to the families. They will also work with the families to identify financing institutions to provide first and second mortgages. KHC will provide the housing choice voucher and make housing assistance payments to the financial institution. KHC currently has six families who have closed loans on their homes through the homeownership voucher program.

KHC has changed its administration of the waiting list by eliminating preferences and opting to add to and pull from the waiting list by date of application. KHC will use set-aside vouchers and special funding that is awarded for targeted populations according to program specifications.

President Lyndon B. Johnson spoke the following words as he signed the Housing and Urban Development Act on August 10, 1965. "From Plymouth Rock to Puget Sound, the first priority of the men and women who settled this vast and this blessed continent was to put a roof over the heads of their family. And that priority can never change." KHC recognizes that the words President Johnson spoke on that day still hold true. The rental staff recognizes that housing is a basic human need and is committed to pursue all partnerships and resources necessary to promote, develop and provide affordable housing to the very low, low-and moderate-income Kentuckians. We consider it a privilege to play a vital part in improving the quality of life for the citizens of the Commonwealth.