

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: KENTUCKY HOUSING CORPORATION PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 07/2012 PHA Code: KY-901				
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: NONE Number of HCV units: 5,634				
3.0	Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only				
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)				
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program PH HCV
	PHA 1:				
	PHA 2:				
	PHA 3:				
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.				
5.1	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 for the next five years:				
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.				
6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: (underlined text)</p> <p>February 24, 2011 Revisions</p> <ul style="list-style-type: none"> • Page 13: To prevent future drug-related and other criminal activity, as well as other patterns of behavior that pose a threat to the health, safety or right to peaceful enjoyment of the premises by other residents and neighbors, and as required by HUD Notice 96-27, KHC will screen applicants for drug-related, violent, sex-offense and other criminal convictions which pose a threat to safety or right to peaceful enjoyment by other residents and neighbors. <u>Screening will apply upon receipt of completed leasing documents</u> of all members of the household who are 18 years of age or older. <ul style="list-style-type: none"> ○ All persons denied assistance or whose assistance has been terminated under this section will be given the opportunity to request an informal hearing. ○ KHC will access Kentucky Sex Offender Registry records for all program applicants age 18 or over. ○ Program participants/applicants are subject to a review of criminal records. ○ <u>As the receiving PHA of a program participant through portability, KHC will accept the initial PHA's criminal background check if it has been conducted within the last six months.</u> • Page 15: In cases of drug-related criminal activity involving possession of a controlled substance, a program applicant/participant may avoid termination of assistance under this section, if the program applicant/participant has minor children living in the home, discontinues use of controlled substances and abuse of alcohol AND completes a supervised drug and/or alcohol treatment program. The supervised drug and/or alcohol treatment program must be completed within six months of program admission or reinstatement. Participants must submit to KHC monthly reports from treatment program staff describing their progress and anticipated completion date as well as a certificate of completion. • Page 20: <u>Acceptable evidence of the Social Security number consists of:</u> <ul style="list-style-type: none"> a. <u>A copy of an original Social Security number card issued by the Social Security Administration. Both front and back copies are required.</u> b. <u>A copy of an original Social Security Administration-issued document, which contains the name and Social Security number of the individual; or</u> • Page 23: The head of household is the adult member of the <u>family</u> who is designated by the family as head, is wholly or partly responsible for paying the rent and has the legal capacity to enter into a lease under state/local law. Emancipated minors who qualify under state law will be recognized as head of household. 				

Spouse of Head

Spouse is the marriage partner of the head of household.

- Page 23: Co-head is an individual in the household that is equally responsible with the head of household for ensuring that the family fulfills program responsibilities but who is not a spouse.
 - A family can have only one co-head.
 - A family may have a spouse or co-head, but not both.
 - Emancipated minors who qualify under state law may be a co-head.
- Page 29: Acceptable evidence of the Social Security number consists of:
 - a. A copy of an original Social Security number card issued by the Social Security Administration. **Both front and back copies are required.**
 - b. A copy of an original Social Security Administration-issued document, which contains the name and Social Security number of the individual; or
 - c. A copy of an original document issued by a federal, state or local government agency, which contains the name and Social Security number of the individual.
- Page 31: KHC maintains three regional waiting lists consisting of 87 counties.
- Page 38: KHC gives a preference on the waiting list to applicants who are applying for rental assistance through the Scholar House Program **if the program received KHC approval in CY 2007. Two programs received funding in CY 2007, the Learning Villa in Owensboro, Kentucky, and the Bowling Green Scholar House in Bowling Green, Kentucky.**

If a previous Scholar House Program participant reapplies for assistance in the Scholar House Program, as part of eligibility screening, consideration will be given to the following:

- If a Scholar House Program applicant was previously evicted from the Scholar House Program for non-compliance with lease provisions or terminated for non-compliance with the educational component of the program, or if the participant was terminated from Section 8 assistance by the PHA for non-compliance with Scholar House or Section 8 requirements, the participant will be found ineligible for re-admission for a period of at least three years. The terms “eviction” and “termination” include the initiation of eviction and/or termination proceedings, even if the participant moved prior to the completion of the action. If found ineligible, the applicant will be offered an informal review and the opportunity to prove they were wrongfully evicted or terminated.
- If a Scholar House Program applicant was a previous participant in the Scholar House Program and left the program after being placed on probation, or if they were determined to be in non-compliance with requirements and would have been placed on probation had they remained in the program, they will not be eligible for re-admission unless they can provide proof they maintained at least 2.0 GPA and full-time student status in each succeeding semester occurring after the semester in which the non-compliance occurred. If the applicant satisfies this requirement and is re-admitted to the program, they will be considered on probation from the date of re-admission.

Scholar House Program applicants who previously participated in the program and who moved out but are later determined by the PHA to have been in complete compliance with the Scholar House and Section 8 Program requirements are eligible for re-admission to the program.

- Page 40: When HUD awards special funding for certain family types (targeted funding), families who qualify are placed on the regular waiting list. When a specific type funding becomes available, the waiting list is searched for the first available family meeting the targeted funding criteria. Applicants who are admitted under targeted funding are not identified as special admissions. The following targeted funding programs are administered by KHC, subject to availability:

Mainstream for Persons with Disabilities
Non-Elderly, Disabled Families

- Page 42: **THIRD-PARTY VERIFICATION REQUIREMENTS [24 CFR §960.259(c)(1) and §982.516(a)(2)**
The PHA must obtain and document in the tenant file third-party verification of the following factors, or must document in the tenant file why third-party verification was not available:
 - (1) reported family annual income;
 - (2) the value of assets;
 - (3) expenses related to deductions from annual income; and
 - (4) other factors that affect the determination of adjusted income

- Page 42:

Income Verification (EIV) system (not available for income verifications of applicants)

- | | | |
|---|--|---|
| 5 | <u>Upfront Income Verification (UIV)</u> using non-HUD system | Highest (Optional) |
| 4 | <u>Written Third-Party Verification</u> | High (Mandatory to supplement EIV-reported income sources and when EIV has no data;
<u>Mandatory for non-EIV reported income sources;</u>
<u>Mandatory when tenant disputes EIV-reported employment and income information and is unable to provide acceptable documentation to support dispute)</u> |
| 3 | <u>Written Third-Party Verification Form</u> | Medium-Low (Mandatory if written third-party verification documents are not available or rejected by the PHA; and when the applicant or tenant is unable to provide acceptable documentation) |
| 2 | <u>Oral Third-Party Verification</u> | Low (Mandatory written third-party verification is not available) |
| 1 | <u>Tenant Declaration</u> | Low (Use as a last resort when unable to obtain any type of third-party verification) |

Note: This verification hierarchy applies to income determinations for applicants and participants. However, EIV is not available for verifying income of applicants.

Third-Party Verification Techniques

Upfront Income Verification (UIV) (Level 6/5): The verification of income before or during a family reexamination, through an independent source that systematically and uniformly maintains income information in computerized form for a number of individuals.

Written Third-Party Verification (Level 4): An original or authentic document generated by a third-party source dated either within the 60-day period preceding the reexamination or PHA request date. KHC's request date shall begin 120 days preceding the reexamination effective date or 60 days prior to voucher issuance. Such documentation may be in the possession of the tenant (or applicant) and is commonly referred to as tenant-provided documents. It is HUD's position that such tenant-provided documents are written third-party verification since these documents originated from a third-party source. KHC may, at its discretion, reject any tenant-provided documents and follow up directly with the source to obtain necessary verification of information.

Examples of acceptable tenant-provided documentation (generated by a third-party source) include, but are not limited to: *pay stubs, payroll summary report, employer notice/letter of hire/termination, SSA benefit verification letter, bank statements, child support payment stubs, welfare benefit letters and/or printouts and unemployment monetary benefit notices. Current tenant-provided documents must be used for income and rent determinations.

*Per HUD guidance, a minimum of two current and consecutive pay stubs are required for determining annual income from wages. For new income sources or when two pay stubs are not available, annual income should be projected based on the information from a traditional written, third-party verification form or the best available information.

Written Third-Party Verification Form (Level 3): Also, known as a traditional, third-party verification. This is a standardized form to collect information from a third-party source. The form is completed by the third-party by hand (in writing or typeset). PHAs send the form directly to the third-party source by mail, fax or email.

Oral Third-Party Verification (Level 2): Independent verification of information by contacting the individual income/expense source(s), as identified through the UIV technique or identified by the family, via telephone or in-person visit. PHA staff should document in the tenant file, the date and time of the telephone call (or visit to the third party), the name of the person contacted and telephone number, along with the confirmed information.

This verification method is commonly used in the event that the independent source does not respond to the PHA's faxed, mailed or e-mailed request for information in a reasonable time frame.

Non-Third Party Verification Technique

Tenant Declaration (Level 1): The tenant submits an affidavit of reported income and/or expenses to the PHA. This verification method should be used as a last resort when the PHA has not been successful in obtaining information via all other verification techniques. When the PHA relies on tenant declaration, the PHA must document in the tenant file why third-party verification was not available.

Exceptions to Third-Party Verification Requirements [24 CFR §960.259(c)(1) and §982.516(a)(2)]

HUD is aware that in some situations, third-party verification is not available for a variety of reasons. Oftentimes, the PHA may have made numerous attempts to obtain the required verifications with no success, or it may not be cost effective to obtain third-party verification of income, assets or expenses, when the impact on total tenant payment is minimal. In these cases, the PHA is required to document in the family file the reason(s) why third-party verification was not available.

When the PHA is Required to Request Written Third-Party Verification in Addition to EIV

The PHA must request written third-party verification under the following circumstances:

- a. When the tenant disputes the EIV information and is unable to provide acceptable documentation to support his/her dispute (24 CFR §5.236(b)):
- b. When the PHA requires additional information that is not available in EIV and/or the tenant is unable to provide the PHA with current acceptable tenant-provided documentation. Examples of additional information includes, but is not limited to:
 - i. Effective dates of income (i.e., employment, unemployment compensation or Social Security benefits)
 - ii. For new employment: pay rate, number of hours worked per week, pay frequency, etc.
 - iii. Confirmation of change in circumstances (i.e., reduced hours, reduced rate of pay, temporary leave of absence, etc.)

Note: 24 CFR §5.236(a), prohibits PHAs from taking adverse action based solely on EIV information.

Required File Documentation [24 CFR §5.233(a)(2)(i)]

Type of file documentation required to demonstrate PHA compliance with mandated use of EIV as a third-party source to verify tenant employment and income information.

A. For each new admission, the PHA is required to do the following:

- i. Review the EIV Income Report to confirm/validate family-reported income within 120 days of the PIC submission date; and
- ii. Print and maintain a copy of the EIV Income Report in the tenant file; and
- iii. Resolve any income discrepancy with the family within 60 days of the EIV Income Report date.

B. For each historical adjustment, the PHA is required to do the following:

- i. Review the EIV Income Report to confirm/validate family-reported income within 120 days of the PIC submission date; and
- ii. Print and maintain a copy of the EIV Income Report in the tenant file; and
- iii. Resolve any income discrepancy with the family within 60 days of the EIV Income Report date.

C. For each interim reexamination of family income and composition, the PHA is required to have the following documentation in the tenant file:

- **ICN Page** when there is **no** household income discrepancy noted on the household's Income Discrepancy Report tab or Income Discrepancy Report. KHC staff will print the ICN page and place in the tenant file.
- Page 51: Signing a Housing Choice Voucher constitutes the applicant's acceptance of a program. Should the applicant allow his/her Housing Choice Voucher to expire, the assistance will be terminated and no hearing will be provided. The family may reapply for rental assistance if the waiting list is open.
- Page 52: **21.2 HOUSING CHOICE VOUCHER RECALLS [24 CFR §982.552 (a) (2)]**

To ensure that housing assistance payments costs do not exceed the HUD-approved budget authority, issued vouchers may be recalled if leasing documents have not been received and approved by KHC. Applicants will be returned to the waiting list using their original application date. Vouchers will again be offered at such time that it has been determined by KHC that funding is available.

- Page 53: **21.3 STATEMENT OF FAMILY RESPONSIBILITY ISSUANCE**

KHC regional office staff will issue the Statement of Family Responsibility (SFR). The SFR will be issued and dated at the time of the briefing. Signing an SFR constitutes the applicant's acceptance of the program and project-based unit. If the applicant fails to move into the project-based/moderate rehabilitation unit, the SFR becomes void and assistance will be denied. The family may reapply for rental assistance if the waiting list is open. **Under certain circumstances, such as the Recovery Kentucky program, a Memorandum of Understanding may be executed with the Recovery Kentucky program center to allow their staff to conduct briefings.**

- Page 64: **28.6 BED BUG POLICY/PROCESS:**

When Bed Bugs are Reported:

1. Lease will be reviewed to verify who is responsible for extermination – tenant or landlord? If the lease does not state who is responsible, the inspector will attempt to determine how the infestation occurred. For example, did the tenant bring infested furniture into the unit or did the infestation come from a neighboring apartment? If a determination cannot be made, the violation will be assigned to the owner.
2. KHC must receive written documentation by a licensed pest control company that all bed bugs have been exterminated and unit is cleared from any hazard of bed bugs. This documentation must be received by the reinspection date.

3. Abatement/termination will be processed if adequate documentation is not received timely. A proactive owner extension may be granted if documentation is received from a licensed pest control company stating that the extermination is taking place but additional treatments are required. Units that are not treated and cleared of the bed bug infestation will be added to the non-compliant unit list.
4. When bed bugs are reported in a project-based or moderate rehabilitation unit, all units under contract will fail HQS. Documentation from a licensed pest control company must be received by KHC confirming that all units under contract are cleared from the hazard of bed bugs.

When Bed Bugs are Discovered after Entering a Unit:

1. Before entering each unit, an inquiry will be made by KHC staff as to whether there have been any issues with bed bugs. If KHC staff members are already in a unit and the family reports there are bed bugs or live bed bugs are evident, KHC staff will immediately explain to the family that KHC does not allow inspectors to enter units with a known bed bug infestation and exit the unit. After exiting the unit, KHC staff will explain the bed bug policy to the family and try to determine the cause of the infestation.
2. The policy listed above under “When Bed Bugs are Reported” will be followed.
3. Once confirmation that the bed bugs have been eliminated is received from a licensed pest control company, the inspection will be rescheduled.

In addition to professional extermination, there are several practices the tenant can follow to reduce the risk of re-infestation:

1. Reduce clutter in the unit.
2. Wash all infested clothing, bedding, etc., in hot water and soap in a washing machine and dry on high heat.
3. Monitor all furniture that is brought into the unit.
4. Steam clean mattresses, furniture, etc.
5. Purchase encasements for all mattresses and box springs.

The tenant should report any suspected infestations immediately to the landlord.

- Page 86: **34.2 INTERIMS AFTER LEASE UP**

Rents set by KHC at initial or annual recertifications will remain in effect unless changes in family circumstances occur. Program participants must report within 10 calendar days changes outlined below.

- Page 87: All increases in rent will be made with a 30-day notice to the family, assuming the family reported change within 10 days of occurrence and provided information as required. If change was not reported within 10 days of occurrence, then the family will be required to sign a repayment agreement.
- Page 87: If a change in household members decreases the bedroom size, the family will be required to move or the owner must lower the rent to accommodate the smaller size FMR (**Moderate Rehabilitation/Project-Based Vouchers only**). If the owner cannot accommodate the family with a smaller sized project-based unit or chooses not to lower the rent, the family will be issued a housing choice voucher and must transfer to a non-project-based unit.
- Page 102: Failure to make timely payments will be grounds for termination of assistance. However, extension of time may be granted if the family reports to KHC that they are unable to fulfill their payment obligation based on the originally established monthly payment amount, but can pay a reduced amount. A family cannot request more than one reduction in a 12-month period unless the family experiences a family composition change or crisis that impacts their household income. For example, a family member is hospitalized, loss of wages, etc. The composition change or crisis must impact the household income to be considered as an exception to the 12-month limitation. A family who is terminated from housing assistance will have ten days from notification to request an informal hearing.
- Page 105: In the event that KHC must deny, due to insufficient funding, a participant’s request to exercise portability to a “higher cost area,” KHC advises the requesting participant to contact KHC monthly to inquire if funding is available. KHC will not issue vouchers to waiting list applicants prior to processing outgoing portability requests.

- Page 106: **48.0 PERMANENTLY/TEMPORARILY ABSENT HOUSEHOLD MEMBERS**

- KHC will count income of every family member listed on the lease including those who are temporarily absent.
- KHC must count the income of the spouse of the head of household if the person is temporarily absent, such as away at college or in the armed services, even if that person is not listed on the lease.

Exception to this policy would occur if two Recovery Kentucky participants are married, but live independent of one another in two separate Recovery Kentucky centers. They would be administered as two separate households. The income of each would not be counted in both households.

- KHC will not include adult children as part of the household if they are away from home serving in the military.
- Members away at school will continue to be considered a family member unless information becomes available to KHC indicating that the student has established a separate household or the family declares that the student has established a separate household.

KHC will require proof of address as well as a copy of the parent(s) previous year's tax return in order to verify student's establishment of a separate household. If the parent(s) have claimed the student as a dependent, KHC will continue to consider the student as a family member.

A separate household is defined as a place of residence where the student may reside independent of their enrollment in school. Residing in a school dormitory does not qualify as establishment of a separate household.

This policy should not be confused with determining Student Eligibility. When determining Student Eligibility, the student must verify independence from his/her parents for at least one year. (See Section 12.3.)

- Page 160: **MAINSTREAM PROGRAM OPERATING PLAN**

Only a disabled family that is income-eligible may receive a mainstream program voucher. KHC will draw disabled families from the waiting list to issue any available vouchers funded through the Mainstream Program. Additionally, KHC staff will work with the state director of Advocacy for Persons with Disabilities to reach this population and educate them on the availability of suitable housing. At any time more than one family is competing for an available mainstream voucher, the first family to be determined eligible for the program by KHC staff will be issued the voucher. Remaining families, upon eligibility determination, will be issued housing choice vouchers if available.

- Page 161: **APPENDIX F NON-ELDERLY DISABLED PROGRAM**

Entire Appendix added to Administrative Plan

- Page 164: **APPENDIX G SAFE HAVENS/EMERGENCY HOME TBRA**

Entire Appendix added to Administrative Plan

- Page 190: **APPENDIX H Samaritan Project**

Entire Appendix added to Administrative Plan

- Page 204: **APPENDIX I CHAFEE ROOM AND BOARD**

Entire Appendix added to Administrative Plan

- Page 218: **APPENDIX J OLMSTEAD HOUSING INITIATIVE**

Entire Appendix added to Administrative Plan

- Page 232: **The hearing officer's decision is final**; however, 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.

Anyone wishing to appeal the hearing officer's decision may file the matter in a court of competent jurisdiction.

- Page 235: **APPENDIX M CRIMINAL RECORD CONFIDENTIALITY**

Entire Appendix added to the Administrative Plan

- Page 236: **To ensure that housing assistance payments costs do not exceed the HUD approved budget authority, issued vouchers may be recalled if leasing documents have not been received and approved by KHC. Applicants will be returned to the waiting list using their original application date. Vouchers will again be offered at such time that it has been determined by KHC that funding is available.**

- Page 256: **Estranged: An unfriendly or hostile spousal relationship that results in a spouse being removed from or distancing themselves from the family.**

- Page 261: **Love Eviction: Evictions from family or friends' residences.**

August 25, 2011 Revisions

- Page 17: **8.10 Enterprise Income Verification (EIV) National Repository**

HUD maintains a national repository of debts owed to PHAs and adverse termination of former participants of the HCV Program. This information is maintained within HUD's EIV system which is used by PHAs to verify employment and income information of program participants, as well as to reduce administrative and rental assistance payment errors. The EIV system is designed to assist PHAs and HUD in ensuring families are eligible to participate in the HCV Program and determine the correct amount of rental assistance for which a family is eligible. All PHAs are required to use this system.

HUD requires PHAs, which administer the HCV Program, to report the following information at the conclusion of participation in the HCV Program.

- Amount of any balance owed to the PHA (up to \$500,000);
- Whether or not a repayment agreement has been executed for the amount owed to a PHA;
- Whether or not a participant has filed bankruptcy; and
- The negative reason for the participant's end of participation in the HCV Program.

This information will be available to HUD employees, PHA employees and contractors of HUD and PHAs.

KHC will deny or terminate participation on the HCV program for the following reasons listed in the national repository.

- Money owed to KHC or any another PHA in connection with Section 8 or public housing assistance, including Section 8 multifamily housing. The family will have the opportunity to avoid denial or termination if they provide proof of payment in full or execution of a repayment contract within ten days of date of notification of program denial or termination. Denial or termination will apply only to monies owed in relation to over payment of housing assistance payments and/or special claims reimbursed to the owner by the PHA.

If KHC becomes aware of the money owed after program participation begins, KHC will proceed with termination of the family's rental assistance due to program fraud. The participant may avoid termination of rental assistance if they provide proof of payment in full or execution of a repayment contract within ten days of notification to the family.

KHC will only deny or terminate assistance for the head-of-household listed in the national repository. Household members including spouse or co-head listed in the repository will not be penalized for money owed.

- Criminal activity with violence (See Section 8.6)
- Criminal activity with drugs (See Section 8.7)
- Criminal activity/sex offender (See Section 8.6)
- Page 32: A preference will be given to applicants on the waiting lists who:
 - Have been victims of a state- or federal- declared natural disaster within 120 days; or
 - Are seeking assistance through the Scholar House Program; or
 - Families receiving assistance through a temporary funding source, i.e., HOME TBRA (Tenant-Based Rental Assistance) or Housing Assistance Fund (HAF). Applicants in this category will be placed on the waiting list for a preference at the time their initial, one-year lease term expires. Their annual recertification date will be used as their Section 8 application date.
- Page 33: A family on the Section 8 waiting list may update their application at any time. This update information should include household members, income, address and other pertinent information. Applicants must update their application in writing. An exception may be made if requiring the application update in writing places a hardship on the family. In this case, the update and the hardship will be documented by the waiting list specialist.
 - An applicant may be placed on the waiting list in only one county. If an applicant wishes to transfer to another county, he/she may do so by contacting KHC in writing to update their application. His/her placement on the new list will be based upon the original application date.
 - When applicants reach the top of the waiting list and a vacancy exists, they will be notified in writing that assistance is available. Families will have 60 days from the date of the written notice to contact the regional office. If the family fails to respond to the letter of invitation or fails to complete their paperwork, the family's application will be removed from the waiting list and will need to reapply by completing a new application.
 - If the mail is returned to KHC with no forwarding address, the family will be removed from the waiting list and will need to reapply by completing a new application. However, if the family contacts KHC within 60 days of the mail out, the family will be mailed top of the waiting list paperwork.
- Page 34: **13. PREAPPLICATION ACCEPTANCE SCHEDULE**

KHC's waiting list will remain open. Applications will be accepted during the months of January and July. Applications will be accepted via KHC's web site at www.kyhousing.org, hand delivery or mail. Applications may be accepted outside the months of January and July for special or targeted populations.
- Page 35: An additional bedroom will be granted if a household member will be turning 6 within 60 days of a process and the event would qualify the family for an additional bedroom.

For program applicants, transfers and port-in participants:

 - When issuing a voucher, an unborn child will be counted as an additional household member when determining bedroom size. Verification of the pregnancy by a health care provider is required to determine appropriate bedroom size. The smaller, applicable bedroom size will be granted prior to the birth. Depending on the household composition after the child is born, a voucher for a larger bedroom size will be issued at annual recertification if applicable unless the birth presents overcrowding of the unit. Overcrowding will be addressed upon notification to KHC by the family.

- When the family composition changes prior to lease-up but is reported to KHC after lease-up; and results in the family leasing an over-sized unit; and the family's rent portion exceeds 40 percent of their adjusted gross income, the family will be issued a transfer voucher for the appropriate bedroom size. The family and the landlord will be notified the housing assistance payments will terminate for the leased unit at the end of the following month. The family will be required to transfer to an eligible unit.
- Page 37: A household consists of a couple who are expecting a child, an eight-year-old boy, a four-year-old daughter and a twelve-year-old daughter:
 - When issuing an initial voucher, the family qualifies for a three-bedroom voucher.
 - If a girl is born, the family qualifies for a four-bedroom voucher to be issued at the next annual recertification unless the birth of the girl presents an overcrowding issue. Overcrowding would be addressed upon notification to KHC by the family.
 - If a boy is born, the family remains eligible for a three-bedroom voucher. (Family must provide verification of the pregnancy completed by a health-care provider.)
- Page 40: When HUD awards special funding for certain family types (targeted funding), families who qualify are placed on the regular waiting list. When a specific type of funding becomes available, the waiting list is searched for the first available family meeting the targeted funding criteria. Applicants who are admitted under targeted funding are not identified as special admission. The following targeted funding programs are administered by KHC, subject to availability:

Mainstream for Persons with Disabilities
Non-Elderly, Disabled (NED) Families
 - Money Follows the Person applicant will receive a preference for a NED voucher prior to other qualifying NED applicants.**HUD-Veteran Affairs Supportive Housing (VASH)**
- Page 45: **Tenant Declaration (Level 1):** The tenant submits a self-certification of reported income and/or expenses to the PHA. The certification must be in written form and must be signed and dated by the tenant. This verification method should be used as a last resort when the PHA has not been successful in obtaining information via all other verification techniques. When the PHA relies on tenant declaration, the PHA must document in the tenant file why third-party verification was not available.
- Page 57: **Zero Housing Assistance Payments.** If the housing assistance payment equals zero for an initial or transfer lease up, a HAP contract will not be executed.
- Page 60: Each unit must have a permanent heat source that provides adequate heat to each room used for living or sleeping. During the period of October to May, the heat source must be capable of maintaining a minimum temperature of 65 degrees within three feet of the floor and exterior walls in all living/sleeping rooms.
- Page 60: Pursuant to 24 CFR, Part 983.260, once a project-based voucher holder has participated in the Project-Based Voucher Program for one year, they may request a housing choice voucher for transfer. In addition to continued project-based voucher assistance for one year, a Recovery Kentucky participant must also document successful completion of the recovery program. Issuance of the housing choice voucher is dependent on the participant's continued eligibility as well as housing choice voucher availability.
- Page 61: KHC inspectors will use electronic devices or HUD inspection form and KHC inspection summary when conducting an inspection.
- Page 63: Proactive owner extensions will also be considered when the sale of the property results in the new owner not receiving notice of the needed owner repairs or if the new owner does not have ample time to complete the repairs. Approval of extensions and the time frames will be determined by the assistant director of HQS inspections.
 - When HQS violations occur regarding the property exterior, common areas or bed bugs in a **project-based voucher, project-based certificate or moderate rehabilitation** property, housing assistance payments for all units under contract will be abated when violations are not addressed in a timely manner.
- Page 64: **28.3 COMPLAINT INSPECTIONS**

KHC inspectors will conduct complaint inspections in the following situations:
 - The owner reports the unit does not comply with HQS. In this instance, the owner must first notify the family in writing with a copy to KHC allowing ten days for repairs. If the family does not respond, a complaint inspection will be scheduled within 10 days.
 - KHC obtains information which indicates the unit does not comply with HQS.
 - The family reports the unit does not comply with HQS. In this instance, the family must first notify the owner in writing with a copy to KHC allowing ten days for repairs. If the owner does not respond, a complaint inspection will be scheduled within 10 days.
- Page 66: **Project-Based Vouchers, Project-Based Certificate and Moderate Rehabilitation Properties**

When a bed bug infestation is reported in a unit(s) under contract with the Project-Based Voucher, Project-Based Certificate or Moderate Rehabilitation Program, all units under contract must be inspected by a licensed pest control company and certified to be clear of the infestation.
- Page 66: **28.7 REQUIREMENTS ABOVE HQS**
 - Smoke detectors are required in the "immediate vicinity" of each sleeping area and one on each level of the unit. (KHC defines

“immediate vicinity” as a distance no greater than eight feet.)

- Double-keyed deadbolt locks are prohibited. Any door with such a lock cannot be counted as a fire/alternative means of egress for HQS purposes and therefore will not be acceptable.

Burglar bars on windows used as a fire egress are acceptable when equipped with a “quick release” handle, thereby not blocking the alternative means of exit. Burglar bars without the “quick release” handle cannot be used on windows used as a fire egress. Any form of burglar bar is acceptable on windows not used as a fire egress.

- Page 103: Upon management approval, a repayment contract may be suspended for a period up to six months if the family has lost all household income.

A family who is terminated from housing assistance will have ten days from notification to request an informal hearing.

- Participants requesting to exercise portability (outside KHC’s jurisdiction) must pay any monies owed in full prior to being issued a portability voucher. In the event that a repayment is being processed at the time a family requests to exercise portability, the repayment must be processed and the family must pay in full the monies owed prior to the portability request being processed.

- Page 104: **Participants terminated from the program for failure to sign and return repayment agreement or who have failed to comply with any or all terms outlined in the repayment agreement may be reported to the credit bureau.**

Should an unpaid claim be processed by the current owner and paid by KHC, the family will be notified of the amount of its liability.

Repayment agreements initiated due to failure to report income will be based on actual unreported income received. Under these circumstances, increases in same source income will be processed to count the actual income earned, in contrast to the policy. Example: Increases in income, i.e., wages, child support, and KTAP will be counted for purposes of the repayment agreement.

- Page 114: 24 CFR 983.56 restricts the number of units that can be project-based to 25 percent per building. Exceptions to the 25 percent per building cap are as follows.

- a. Units in a single-family building;
- b. Excepted units in a multifamily building.
 - 1. Excepted units means units in a multifamily building that are specifically made available for :
 - i. Elderly or disabled families
 - ii. Families receiving supportive services

Families Receiving Supportive Services

KHC will consider supportive services as described below.

- Development of an individual plan for reaching education and personal goals.
- Periodic review of challenges which may be impeding successful goal attainment.
- Periodic evaluations of the individual plan to determine progress and make any necessary adjustments.
- Building parenting skills.
- Child care services.

- Page 120: A five-year Contract of Participation will be signed, effective the first of the month following the signature date. The individual addendum to the Contract of Participation must be completed and signed at this same time. Mandatory goals, which must be completed to successfully graduate from the FSS Program and become eligible for any or all funds available through the escrow account, are as follows:

1. To seek and maintain employment.
2. To become welfare-free for one year prior to the FSS contract expiration date or the date of graduation, whichever comes first.
3. Attend financial counseling.

- Page 134: EXHIBIT A

FSS PROGRAM COORDINATING COMMITTEE MEMBERS

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Richmond, KY 40475

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1231 Louisville Rd.
Frankfort, KY 40601

- Page 161: **INTRODUCTION**

Mainstream program vouchers enable disabled families to lease affordable private housing of their choice. Mainstream program vouchers also assist persons with disabilities who often face difficulties in locating suitable and accessible housing on the private market.

ELIGIBILITY

Only a disabled family that is income-eligible may receive a mainstream program voucher. A disabled family means a family whose head, spouse or sole member is a person with disabilities. It may include two or more persons with disabilities living together or one or more persons with disabilities living with one or more live-in aides.

TURNOVER

Mainstream vouchers will be issued to disabled families upon turnover. At any time more than one eligible waiting list applicant is competing for an available mainstream voucher, the first family to be determined eligible for the program by KHC staff will be issued the voucher. Remaining families, upon eligibility determination, will be issued housing choice vouchers (HCV) if available. If an HCV is not available, the applicant(s) will be returned to the waiting list with their original application date.

- Page 162: **PORTABILITY**

Mainstream vouchers are portable and will be processed as outlined in Section 46.0 of the Housing Choice Voucher Program section of this Administrative Plan.

- Page 165: **FSS PARTICIPATION**

Families participating in the NED Program are eligible for participation in the FSS Program as described in the Family Self-Sufficiency Appendix of this Administrative Plan.

- Page 166: **VASH – Entire appendix**

- Page 176: **HOME Tenant-Based Rental Assistance – Entire appendix**

- Page 209: **Housing Now – Entire appendix**

- Page 238: **EXHIBIT D**

KENTUCKY HOUSING CORPORATION RECORDS RETENTION AND DISPOSITION SCHEDULE

DEPARTMENT: SECTION 8 TENANT-BASED RENTAL ASSISTANCE

<u>Records Title</u>	<u>Description</u>	<u>Storage Retention-Paper</u>	<u>Storage Retention-Electronic</u>	<u>Disposition</u>
<u>Tenant Files</u>	<u>Move Outs</u> <u>Waiting List</u> <u>Waiting List Applications</u> <u>File Add Ons</u>	<u>Image then Destroy</u>	<u>3 years after move out</u>	<u>Shred-it</u>
<u>1099 IRS Forms</u>	<u>Tax Forms</u>	<u>7 Years</u>	<u>No Electronic Record</u>	<u>Shred-it</u>
<u>Audit Findings</u>	<u>Audit Paperwork</u>	<u>Image then Destroy</u>	<u>5 Years</u>	<u>Shred-it</u>
<u>SEMAP</u>	<u>SEMAP</u>	<u>Image then Destroy</u>	<u>7 Years</u>	<u>Shred-it</u>

	<p>Financial <u>Monthly Printout</u> <u>Image then Destroy</u> <u>3 Years</u> <u>Shred-it</u></p> <p><u>Owner HAP Billings</u> <u>Tenant Utility Payments</u></p> <ul style="list-style-type: none"> Page 245: Disabled Family: <u>A disabled family is that in which the head, spouse or sole member is a person with disabilities. It may include two or more persons with disabilities living together or one or more persons with disabilities living with one or more live-in aides</u> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.</p> <p>Copies of the PHA Plan and Administrative Plan are available at KHC’s main office at 1231 Louisville Road, Frankfort, Kentucky 40601 and at its satellite offices, or by calling KHC’s rental assistance department at 800-633-8896 or on KHC’s website at www.kyhousing.org.</p>
7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p>HOMEOWNERSHIP VOUCHER PROGRAM: Kentucky Housing Corporation currently allows program participants the opportunity to utilize a tenant-based voucher to assist in the purchase of a home. This program will continue through the next fiscal year. Over the past six years 48 families have utilized vouchers to become homeowners. To be eligible, families must be current program participants and must agree to attend and complete Kentucky Housing Corporation’s homeownership counseling program to ensure that their credit standing is suitable to apply for a home loan. Other eligibility guidelines are available on KHC’s website at http://www.kyhousing.org/page.asp?sec=54&id=651.</p> <p>PROJECT-BASED VOUCHERS: Kentucky Housing Corporation’s Housing Finance and Construction Department uses a competitive funding process for all of its programs. From time to time KHC may suspend the acceptance of applications requesting project-based vouchers. The purpose of the project-based voucher program is to encourage property owners to make standard housing available to low-income families at rents within the Section 8 fair market rents in areas where there is a shortage of available affordable housing. Additionally, owners are encouraged to upgrade substandard rental housing stock, make rental units fully accessible to persons with disabilities and make the units available to very low- to moderate income families.</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. NOT APPLICABLE</p>
8.1	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing. NOT APPLICABLE</p>
8.2	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. NOT APPLICABLE</p>
8.3	<p>Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. NOT APPLICABLE</p>
9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p>
9.1	<p>Strategy for Addressing Housing 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. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p>

11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <ul style="list-style-type: none"> (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

9.1 Strategy for Addressing Housing Needs. Provide a 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. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the ___ 5-Year and/or Annual PHA Plan for the PHA fiscal year beginning 7/1/2012 hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

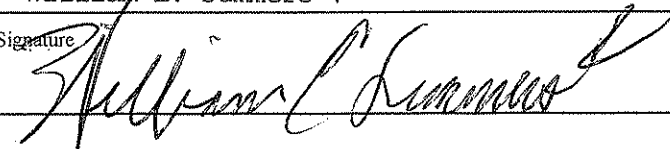
KENTUCKY HOUSING CORPORATION
PHA Name

KY-901
PHA Number/HA Code

 5-Year PHA Plan for Fiscal Years 20 - 20

 X Annual PHA Plan for Fiscal Years 20 12 - 20 13

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official William E. Summers V	Title Board Chairman
Signature 	Date February, 23, 2012