

# LEXINGTON

## DRAFT CONSOLIDATED PLAN 2019 ONE-YEAR ACTION PLAN

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT

May 10, 2019

FOR FURTHER INFORMATION:

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# Executive Summary

## AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

### 1. Introduction

The Lexington-Fayette Urban County Government's 2019 Annual Action Plan represents the jurisdiction's goals and objectives for addressing housing and community development needs for the period July 1, 2019 through June 30, 2020. This executive summary provides an overview of the plan including Lexington-Fayette County's proposed strategy for addressing these problems during the coming year. The goals in the Consolidated Plan include the provision of safe and affordable housing for low- and moderate-income persons, homeless persons, and for persons with special needs; public improvements and neighborhood revitalization in low- and moderate-income neighborhoods; renovation of buildings and sites in the community that are used for the provision of social services to low-income persons; and provision of services that will positively impact social and economic conditions for low-income persons. The Lexington-Fayette Urban County Government (LFUCG) uses Community Development Block Grant funds, HOME Investment Partnerships Program funds, and Emergency Solutions Grants Program funds primarily for housing rehabilitation, new housing development, first-time homeownership, public improvements, and public services for at-risk youth, homeless persons, and other persons with special needs.

### 2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

The jurisdiction recognizes a need for an expanded supply of affordable housing, specifically affordable housing for extremely low-income renter families. As identified in the Needs Assessment in the Consolidated Plan, approximately 18,000 households are severely cost-burdened, meaning that they pay greater than 50% of their income for housing, and most of these households are at or below 30% of area median income. Over the one-year period, the jurisdiction plans to add or rehabilitate 318 units of rental housing, 11 of which will be HOME units, through Consolidated Plan resources and other funding sources. Also identified as a need is rehabilitation of existing housing units occupied by low-income owners. In response, the jurisdiction will continue operation of a housing rehabilitation program and an emergency repair program. Over the one-year period, it is anticipated that 25 households will be assisted. In response to the area's high cost of homeownership, the jurisdiction will continue to support subsidies for first-time homebuyers. Over the one-year period, 2 households will be assisted with homeownership. The jurisdiction will allocate funding for operation of programs for the homeless and for at-risk youth. Emergency Solutions Grants funding will be used to offset costs of operating emergency shelters for single women and their children; children and youth ages 6 weeks to 18 years; and an emergency shelter for adults and children who are the victims of domestic violence. Annually, approximately 1,600 persons will have access to emergency shelter and other services to help them move to permanent housing. Community Development Block Grant funds will be used to provide a

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housing navigator who will work with approximately 40 low-income persons with mental illnesses who are ready to transition from an institutional setting to permanent housing. With ESG funds, two rapid rehousing and prevention programs will assist 45 individuals. The jurisdiction will continue its replacement of storm water facilities, sidewalks, streets, and sanitary sewers in the Meadows-Northland-Arlington area. Over the one-year period, a public investment of \$814,920 will be made to improve the livability of this neighborhood. In addition, \$407,460 of CDBG funds will be allocated toward the purchase of a facility for programming to assist victims of child abuse and neglect. Funds will also be used to replace heating and cooling systems in an arts and educational facility serving a low-income community.

### **3. Evaluation of past performance**

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

During the reporting period (July 1, 2017 through June 30, 2018), the local government used federal funding from the U.S. Department of Housing and Urban Development to address housing needs, public improvements, and social services needs of the low-income population of Lexington-Fayette County. Construction was completed on 14 new rental units for low-income persons, rehabilitation was completed on 17 rental units for low-income persons and 16 owner-occupied existing housing units were rehabilitated. Ten ramps were constructed, one lift was installed, and handrails were installed on one unit to assist low-income owner-occupied households with occupants with disabilities. Eight low-income first-time homebuyers were assisted in purchasing existing housing units. Two nonprofit agencies provided 7 extremely low-income households with tenant based rental assistance. Five nonprofit agencies and the local government provided housing and supportive services to 2,273 homeless persons, and assisted 271 homeless persons into permanent housing during the program year. Additionally 5 persons received homeless prevention services for assistance with rent and utilities to remain in their current housing units. Four non-profit organizations and the local government provided evening and after-school services to 455 youth in an effort to help them succeed in school and become productive adults.

Construction continued for public improvements at Bryan Avenue from Park View Avenue to Meadow Park and at Park View Avenue from Bryan Avenue to Oak Hill Drive. Construction began on improvements for 8 parks. Improvements were completed at 2 parks and 1 recreational area. Accessibility improvements were completed to historic Cadentown School. Construction was started on improvements at the Family Care Center and Black and Williams Community Center. Construction was started on rehabilitation to a youth emergency shelter and safety improvements were started to a men's emergency shelter.

### **4. Summary of Citizen Participation Process and consultation process**

Summary from citizen participation section of plan.

The Lexington-Fayette Urban County Government (LFUCG) followed an adopted Citizens Participation Plan in its development of the 2019 Annual Action Plan. The LFUCG conducted two public hearings (November 5, 2018, and March 18, 2019) in an attempt to solicit comment on the housing and community development needs of the community. In addition to advertising in the community's daily newspaper, The Lexington Herald-Leader, the government sends out emails and letters to neighborhood associations in low-income neighborhoods, churches in low-income neighborhoods, Urban County Council members and their staff, and to organizations and individuals who have indicated an interest in the housing and community development needs of the low-income, homeless, and special needs populations. The public hearings are advertised on the government's cable channel and on the government's internet webpage, with the public invited to e-mail ideas and suggestions. The government's Office of Public Information also distributes notices of the public hearings through social media.

Consultations were conducted between the months of March and June with agencies serving low-income and homeless persons (including the Continuum of Care) in an attempt to determine housing and service needs of the homeless and those at-risk of homelessness. Consultations were also conducted with a local community development corporation, neighborhood associations, and other organizations whose missions are to improve housing, services, and economic opportunities for low-income people.

#### **5. Summary of public comments**

This could be a brief narrative summary or reference an attached document from the Citizen Participation section of the Con Plan.

No comments received.

#### **6. Summary of comments or views not accepted and the reasons for not accepting them**

No comments received.

#### **7. Summary**

Lexington-Fayette Urban County Government solicits applications from organizations requesting funds to carry out Consolidated Plan projects. Because funding is limited, the LFUCG is unable to fulfill all requests. A summary of all applications received is attached in appendices.

## PR-05 Lead & Responsible Agencies – 91.200(b)

### 1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT	Division of Grants and Special Programs
HOME Administrator	LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT	Division of Grants and Special Programs
ESG Administrator	LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT	Division of Grants and Special Programs

**Table 1 – Responsible Agencies**

### Narrative (optional)

Lexington-Fayette Urban County Government is a fully merged city-county government with the powers of both a city of the second class and a county created from the merger of the City of Lexington and the County of Fayette in 1974 and operates pursuant to Chapter 67A of the Kentucky Revised Statutes. The Urban County Government operates under a Mayor-Council form of government where executive and administrative functions are vested with the Mayor and legislative authority rests with the Urban County Council. The Mayor is the chief executive officer and is elected to serve a four-year term. The Urban County Council has fifteen members, including twelve district members who serve two-year terms and three at-large members who serve four-year terms. The Mayor is assisted in the administration of the government by a Chief Administrative Officer and seven departmental commissioners.

The Division of Grants and Special Programs, the governmental unit that has responsibility for the planning and writing of grant applications for federal funds and responsibility for the financial management of federal funds and for compliance with federal regulations, is under the LFUCG's Chief Administrative Officer. The Division of Grants and Special Programs has responsibility as lead agency for the development of the consolidated plan and for contracting and management of CDBG, HOME, and ESG funds. The Division of Grants and Special Programs operates a homeowner housing rehabilitation program and contracts with a loan servicing agency for servicing the first-time homebuyer programs operated by nonprofit organizations that use HOME funding.

In 2014, the Lexington-Fayette Urban County Government created an Office of Homelessness Prevention and Intervention (OHPI) in response to recommendations made in the January 2013 report of the Mayor's Commission on Homelessness. The OHPI Director, also under the supervision of the Chief Administrative Officer, is responsible for planning and coordinating recommendations made by the

Commission. An LFUCG Homelessness Prevention and Intervention Board appointed by the Mayor was created to guide this mission. The OHPI assumed responsibility for the Continuum of Care in May 2015.

In 2014, the Lexington-Fayette Urban County Government also created its own Affordable Housing Trust Fund, providing for an Affordable Housing Board and an Affordable Housing Manager who reports to the Commissioner of Planning, Preservation, and Development. The mission of this program is to leverage public investment to preserve, produce, and provide safe, quality, affordable housing. The Affordable Housing Trust Fund has an independent board appointed by Mayor and approved by Council.

### **Consolidated Plan Public Contact Information**

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## **AP-10 Consultation – 91.100, 91.200(b), 91.215(I)**

### **1. Introduction**

In preparation of the 2018 Annual Action Plan, the Lexington-Fayette Urban County Government (LFUCG) consulted with a variety of organizations who have an interest in homelessness, housing for low-income persons, social and mental health services, and community development activities. In addition to the organizations below, staff members consulted with the LFUCG Affordable Housing Manager, the LFUCG Office of Homelessness Prevention and Intervention, the Lexington-Fayette Urban County Housing Authority, the Mayor's Commission on Citizens with Disabilities, and LFUCG's Director of Aging and Disability Services.

### **Provide a concise summary of the jurisdiction's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(I))**

The Lexington-Fayette Urban County Government relies upon the community's many nonprofit and government-based organizations to provide health and social services to low-income households. The LFUCG provides more than \$3 million annually from its general fund in addition to federal funds to subrecipient organizations including assisted housing and public housing providers. As part of that funding process, the LFUCG requires the development of partnerships among existing social service providers to ensure that low- and moderate-income households are provided with a seamless level of services to enhance their self-sufficiency. The LFUCG Department of Social Services has established four divisions (Youth Services, Family Services, Adult and Tenant Services, and Aging and Disability Services), a Domestic Violence Prevention Board, Office of Substance Abuse and Violence Intervention, and the Lexington Global Engagement Center (multi-cultural affairs). The staff of these divisions and offices have created collaborative relationships throughout the community with the mission of having all residents healthy and fully engaged.

In addition, the LFUCG operates separately an Office of Homelessness Prevention & Intervention and Office of Affordable Housing. Each of those offices is advised by a board that includes key stakeholders who inform funding and policy decisions. The LFUCG Homelessness Prevention and Intervention Board brings together homeless shelters, domestic violence providers, recovery programs, law enforcement, hospitals, landlords, housing developers, veterans services providers, and many more organizations who review community needs and develop and implement solutions, some of which are ultimately supported with federal funding to subrecipients as reflected in the Annual Action Plan. This same process applies for affordable housing. The LFUCG operates an Affordable Housing Trust Fund supported with \$2 million annually from the city's general fund. This board collaborates with the city's Division of Grants and Special Programs to build financing packages for affordable housing development that include federal, state, local and private funding. This fund's governing board brings together bankers, housing

developers, social service providers, elected officials, Realtors, and citizens to set funding priorities and review progress.

**Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.**

The LFUCG, through its Office of Homelessness Prevention & Intervention, serves as the Collaborative Applicant and lead agency for the one-county Lexington-Fayette Continuum of Care. The 13-member LFUCG Homelessness Prevention & Intervention Board serves as the local CoC Board and, along with a two-person staff, conducts all planning, prioritization and funding recommendations for the federal CoC funding in the Continuum but also for an annual allocation of \$750,000 from the city's general fund which is used to make grants for CoC priorities. The LFUCG Division of Grants and Special Programs coordinates efforts with the CoC through participation in all CoC meetings and communication about funding priorities and decisions. This ensures that the jurisdiction's federal funds are directed to best serve the CoC's plans and priorities for serving people experiencing homelessness, especially chronically homeless individuals and families, families with children, veterans, and unaccompanied youth as well as people at risk of homelessness. LFUCG allocation of ESG funds, for example, to Rapid Rehousing serves to address a critical need for Rapid Rehousing that was identified by the CoC, especially for youth. In addition, this project's participation in Coordinated Entry serves to further support the CoC in its efforts to prevent and reduce homelessness.

**Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS**

Lexington-Fayette Urban County Government staff meets annually with the Continuum of Care for the purpose of reviewing allocation of Emergency Solutions Grants funds and discussing how these funds may be better used to address the needs of the homeless population. A summary of applications for these funds is presented to the CoC group for review and comment. The Continuum of Care has voiced concerns about how Rapid Rehousing/Homelessness Prevention program is being operated. These concerns have been helpful in creating a more effective program. LFUCG staff members have become licensed users of the Kentucky HMIS in order to provide support to the community's homeless providers for the purpose of improving participation and helping to implement a community-wide coordinated entry system. Grants & Special Programs staff members meet often with the Office of Homelessness and Division of Social Services to review outcomes and spending and adjust programming as needed to reflect CoC needs and priorities.

**2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction's consultations with housing, social service agencies and other entities**

**Table 2 – Agencies, groups, organizations who participated**

1	<b>Agency/Group/Organization</b>	HOPE CENTER
	<b>Agency/Group/Organization Type</b>	Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homelessness Needs - Veterans Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Individual meetings and participation in Continuum of Care. The Hope Center serves on the CoC Board and participates in coordinated entry. This relationship is strong and will continue as Hope Center is the primary men’s shelter.
2	<b>Agency/Group/Organization</b>	Lexington Fair Housing Council
	<b>Agency/Group/Organization Type</b>	Service-Fair Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Impediments to Fair Housing
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Reviewed evictions data and housing instability information and participated in a series of Landlord-Tenant Forums to collect information on community needs and problems faced by people in need of affordable housing.
3	<b>Agency/Group/Organization</b>	LEXINGTON HABITAT FOR HUMANITY
	<b>Agency/Group/Organization Type</b>	Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Individual meetings to discuss local homeownership needs for low- to moderate-income households. Reviewed local market trends impacting pricing, sales turnaround and how that impacts lower income homebuyers. Will continue to develop and expand homeownership programming.
4	<b>Agency/Group/Organization</b>	REACH, INC.
	<b>Agency/Group/Organization Type</b>	Housing
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	The Executive Director of the organization was consulted on the CHDO program and on how federal financial assistance to first-time homebuyers could be improved.
5	<b>Agency/Group/Organization</b>	COMMUNITY ACTION COUNCIL FOR LEXINGTON-FAYETTE, BOURBON,HARRISON
	<b>Agency/Group/Organization Type</b>	Community Action Agency
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homeless Needs - Families with children Homelessness Strategy Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Through individual meetings and participation in CoC, developed a lead role for this organization to take over administration of the Coordinated Entry System. Also developed a revised Rapid Rehousing program included in the 2018 Annual Action Plan that responds to identified needs. This will continue in the 2019 Annual Action Plan.
6	<b>Agency/Group/Organization</b>	Commerce Lexington
	<b>Agency/Group/Organization Type</b>	Business and Civic Leaders

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	<b>What section of the Plan was addressed by Consultation?</b>	Economic Development
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	Ongoing consultation on economic development needs for low-income areas and areas of high unemployment including specific opportunities. LFUCG continues to support locally funded workforce development projects and a jobs incentive fund. Will continue to evaluate those projects and consider opportunities for leveraging federal funding.
7	<b>Agency/Group/Organization</b>	Volunteers of America
	<b>Agency/Group/Organization Type</b>	Housing Services - Housing Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Homelessness Needs - Veterans
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	VOA leads a CoC sponsored Veterans Committee to review housing and employment needs specific to veterans. The Office of Homelessness is deeply involved with this group including coordinated entry for homeless veterans. The Jurisdiction is participating in a local committee to end veteran homelessness and create additional permanent housing units for veterans.
8	<b>Agency/Group/Organization</b>	Kentucky Interagency Council on Homelessness
	<b>Agency/Group/Organization Type</b>	Other government - State
	<b>What section of the Plan was addressed by Consultation?</b>	Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	LFUCG Director of Grants & Special Programs serves as the Co-Chairman of this statewide intergovernmental coordinating agency. Group meets quarterly to review housing data and evaluate programming. Also seeks opportunities to improve collaboration across state and local government in Kentucky using a statewide and regional approach.
9	<b>Agency/Group/Organization</b>	Arbor Youth Services, formerly MASH Services of the Bluegrass
	<b>Agency/Group/Organization Type</b>	Services-homeless
	<b>What section of the Plan was addressed by Consultation?</b>	Homelessness Needs - Unaccompanied youth Homelessness Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This organization serves as the local lead for serving youth 18-24 who are homeless or at risk of homelessness. Coordinating an existing ESG Rapid Rehousing project for youth and identified need for rehabbed facilities in the organization homeless youth and increased outreach services. Coordination continues at least a monthly basis.

**Identify any Agency Types not consulted and provide rationale for not consulting**

**Other local/regional/state/federal planning efforts considered when preparing the Plan**

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	LFUCG Office of Homelessness Prevention and Intervention	Goals are consistent
2018 Comprehensive Plan for LFUCG	LFUCG Division of Planning	Goals are consistent
Moving to Work Annual Plan	Lexington Housing Authority	Goals are consistent
Newtown Pike Extension Corridor Plan	LFUCG Divisions of Planning and Engineering	Goals are consistent. Plan is a result of collaboration among LFUCG, Kentucky Transportation Cabinet, and Federal Highway Administration in an effort to preserve a neighborhood while extending a major roadway.

**Table 3 – Other local / regional / federal planning efforts**

**Narrative (optional)**

**AP-12 Participation – 91.105, 91.200(c)**

**1. Summary of citizen participation process/Efforts made to broaden citizen participation  
Summarize citizen participation process and how it impacted goal-setting**

The Lexington-Fayette Urban County Government (LFUCG) followed an adopted Citizens Participation Plan in its development of the 2019 Annual Action Plan. The LFUCG conducted two public hearings (November 5, 2018, and March 18, 2019) in an attempt to solicit citizen comment on the housing and community development needs of the community. A draft annual action plan was published on May 10, 2019 providing for a 30-day review and comment period through June 9, 2019. The draft plan was submitted to the Urban County Council for work session review and final approval on June 6, 2019.

**Citizen Participation Outreach**

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Hearing	Minorities  Non-targeted/broad community	6 persons attended first public hearing. 5 persons attended second public hearing.	No comments were received		

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/ attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Letters and emails to LFUCG staff, organizations, churches, and neighborhood association	Minorities Persons with disabilities Non-targeted/broad community Neighborhood Associations	Applications from several organizations were received. A summary of these applications has been attached in the Appendices.	See summary	Some projects were not approved for funding due to past performance, but primarily due to limited funding and/or concerns about applicant capacity.	
3	Internet Outreach	Non-targeted/broad community	Public hearings and plan publication were advertised on the government's Web site.	No comments were received.	No comments were received.	<a href="http://www.lexingtonky.gov">www.lexingtonky.gov</a>

**Table 4 – Citizen Participation Outreach**

## Expected Resources

### AP-15 Expected Resources – 91.220(c)(1,2)

#### Introduction

In addition to HOME, CDBG, and ESG funds allocated from the U.S. Department of Housing and Urban Development, the jurisdiction allocates general fund dollars in the amount of \$300,000 as grant match for HOME to be used for rental housing development, and grant match in the amount of \$54,976 for rapid rehousing (ESG) and \$7,688 for administration (ESG).

The Jurisdiction also is providing general fund dollars annually to the Affordable Housing Trust Fund in the amount of \$2,000,000 and to the Office of Homelessness Prevention and Intervention in the amount of \$750,000. An additional allocation of general fund dollars in the amount of \$750,000 will be used for emergency shelter operations. LFUCG sewer user funds in the amount of \$300,000 will be allocated to the replacement of sanitary sewers along with CDBG-funded public improvements.

#### Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	2,346,550	175,000	0	2,521,550	0	

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership	1,228,568	150,000	0	1,378,568	0	
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	195,464	0	0	195,464	0	

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Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
Other	public - local	Acquisition Admin and Planning Financial Assistance Housing Multifamily rental new construction Multifamily rental rehab Services Other	2,750,000	0	0	2,750,000	2,750,000	The LFUCG has allocated \$2,000,000 to a local Affordable Housing Trust Fund for the construction and rehabilitation of affordable housing units. The LFUCG has also allocated \$750,000 for an Innovative and Sustainable Solutions to Homelessness Fund to support priorities of the Continuum of Care.
Other	public - local	Admin and Planning Financial Assistance Housing Multifamily rental new construction Overnight shelter Public Services Rapid re-housing (rental assistance)	495,464	0	0	495,464	495,464	Lexington-Fayette Urban County Government uses general fund dollars to match the HOME program and to provide match for administration and rapid rehousing in the ESG program. ESG Match is \$62,664 and HOME Match is \$300,000. Additionally, other agencies will provide the ESG match in the amount of \$132,800.

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Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
Other	public - local	Overnight shelter	750,000	0	0	750,000	750,000	The Lexington-Fayette Urban County Government allocates General Fund to support the operations of overnight shelters in the community.
Other	public - local	Public Improvements	300,000	0	0	300,000	300,000	Sewer User Funds collected for the purpose of operating sanitary sewer system and for rehabilitating deteriorating sanitary sewers. These funds will be used to support the Meadows Northland Arlington project.

**Table 5 - Expected Resources – Priority Table**

**Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied**

The Lexington-Fayette Urban County Government will provide from its 2020 General Fund grant match in the amount of \$300,000 for the required HOME Investment Partnership Match.

The Lexington-Fayette Urban County Government will provide from its 2020 General Fund grant match in the amount of \$62,664 as partial match for the Emergency Solutions Grants Program. Other match for the Emergency Solutions Grants Program in the amount of \$132,800 will be provided as in-kind match from the Community Partners who are providing services using these federal funds.

The Lexington-Fayette Urban County Government, by Ordinance No. 103-2014 on September 11, 2014, has designated annual funding in the amount of \$2,000,000 for the “Affordable Housing Fund,” and annual funding in the amount of at least \$750,000 for the “Innovative and Sustainable Solutions to Homelessness Fund” continuing on into the Fiscal Year 2020.

LFUCG annually allocates operating funds (General Fund) to community partner agencies with general fund dollars. To this end, an estimated annual allocation in the amount of \$750,000 will be expended for emergency shelters in the community in Fiscal Year 2020.

**If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan**

The publicly owned properties that are anticipated to be used to address the needs identified in the plan are community centers and park land for use as public facilities, one building currently leased by AVOL, and the Hope Center shelter facility for men experiencing homelessness.

**Discussion**

Lexington and its affordable housing developers and partner agencies will continue to pursue funding from the Kentucky Affordable Housing Trust Fund, National Affordable Housing Trust Fund, Low-Income Housing Tax Credits, HUD's SHOP program, HUD's 811 and 202 programs, VASH program, and other state and federal resources as are available to fulfill identified needs of the community.

## Annual Goals and Objectives

### AP-20 Annual Goals and Objectives

#### Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Development of Rental Housing	2015	2019	Affordable Housing Homeless Non-Homeless Special Needs		Affordable Housing	CDBG: \$0 HOME: \$731,606 Grant Match: \$300,000 Homeless and Affordable Housing Funds: \$2,000,000	Rental units constructed: 15 Household Housing Unit
2	Homeownership	2015	2019	Affordable Housing		Affordable Housing	HOME: \$351,536	Homeowner Housing Rehabilitated: 1 Household Housing Unit Direct Financial Assistance to Homebuyers: 8 Households Assisted
3	Homeowner Housing Rehabilitation	2015	2019	Affordable Housing		Affordable Housing	CDBG: \$684,948 HOME: \$190,285	Homeowner Housing Rehabilitated: 28 Household Housing Unit
4	Emergency Repair for Homeowners	2015	2019	Affordable Housing		Affordable Housing	CDBG: \$50,932	Homeowner Housing Rehabilitated: 5 Household Housing Unit

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Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
5	Public Improvements	2015	2019	Non-Housing Community Development		Public Improvements and Infrastructure	CDBG: \$914,920 LFUCG Sewer User Funds: \$300,000	Public service activities other than Low/Moderate Income Housing Benefit: 2000 Persons Assisted
6	Other Public Facilities	2015	2019	Non-Housing Community Development		Public Facilities	CDBG: \$457,190	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 5610 Persons Assisted
7	Public Services - Non-Homeless Special Populations	2015	2019	Non-Homeless Special Needs		Public Services	CDBG: \$50,933	Public service activities other than Low/Moderate Income Housing Benefit: 3469 Persons Assisted
8	Public Services- Youth Programs	2015	2019	Non-Housing Community Development		Public Services	CDBG: \$77,405	Public service activities other than Low/Moderate Income Housing Benefit: 362 Persons Assisted
9	Public Services-- Homeless Populations	2015	2019	Homeless		Public Services	ESG: \$83,456 Grant Match: \$83,456 Homeless and Affordable Housing Funds: \$750,000 Local Emergency Shelter: \$750,000	Homeless Person Overnight Shelter: 1700 Persons Assisted

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Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
10	Rapid Rehousing	2015	2019	Homeless		Rapid Rehousing	ESG: \$104,320 Grant Match: \$104,320	Tenant-based rental assistance / Rapid Rehousing: 20 Households Assisted
11	Fair Housing	2015	2019	Administration		Public Services	CDBG: \$40,746	Other: 1 Other

Table 6 – Goals Summary

### Goal Descriptions

1	<b>Goal Name</b>	Development of Rental Housing
	<b>Goal Description</b>	<p>HOME funds in the amount of \$246,591 and match funds in the amount of \$100,000 will be used to support the construction of 222 rental units (7 of which are HOME units) at Kearney Creek Apartments located at 2559 Kearney Ridge Boulevard, Lexington, KY 40511 for low-income families earning 60% or less of the area median income.</p> <p>HOME funds in the amount of \$275,705 and match funds in the amount of \$200,000 will be used to support the construction of 96 rental units (4 of which are HOME units) at The Oasis at Kearney Creek located at 2750 Meadowsweet Lane, Lexington, KY 40511 for low-income families earning 80% or less of the area median income.</p> <p>The Fayette County Local Development Corporation, recognized as a Community Housing Development Organization, will use \$190,282 in HOME funds for the new construction of two duplexes on Florence Avenue in Lexington, KY, creating 4 new units for rental to low income households. Fayette County Local Development Corporation will also receive \$19,028 for operation of their CHDO rental program.</p> <p>The Jurisdiction provides general fund dollars annually to its Affordable Housing Trust Fund in the amount of \$2,000,000.</p>

<b>2</b>	<b>Goal Name</b>	Homeownership
	<b>Goal Description</b>	<p>HOME funds in the amount of \$114,169 will be used to support a first-time homebuyer program that is operated by REACH. Approximately 4 low-income households will become homeowners with assistance from this program. Additionally, REACH, recognized as a Community Housing Development Organization, will purchase and rehabilitate 1 existing unit for sale to a low-income first time homebuyer with HOME funds in the amount of \$142,712. REACH will also receive \$19,028 for operation of their CHDO program.</p> <p>HOME funds in the amount of \$85,627 will be used to support a first-time homebuyer program that is operated by Lexington Habitat for Humanity. Approximately 4 low-income households will become homeowners with assistance from this program.</p>
<b>4</b>	<b>Goal Name</b>	Homeowner Housing Rehabilitation
	<b>Goal Description</b>	<p>HOME and CDBG funds will be used to continue the Single Family Housing Rehabilitation Program that provides either deferred loans or low-interest loans to low-income owner occupants for purposes of bringing their houses up to code. It is expected that approximately 20 units will be rehabilitated during the 2019 program year and that 15 of these units will be occupied by households whose incomes are below 50% of median income and 5 units will be occupied by households whose incomes are from 50% to 80% of median income.</p> <p>\$310,085 in CDBG and \$190,285 in HOME will be used for direct assistance to homeowners.</p> <p>\$334,117 in CDBG will be used for the operating costs of the Homeowner Rehabilitation Program.</p> <p>In addition, the LFUCG will provide \$40,746 to the Realtor Community Housing Foundation for its RAMP program that improves accessibility through the design and construction of ramps for people with low incomes who have mobility needs.</p>
<b>7</b>	<b>Goal Name</b>	Emergency Repair for Homeowners
	<b>Goal Description</b>	CDBG funds in the amount of \$50,932 will be used to implement an emergency repair program for low income homeowners. It is anticipated that at least 5 homeowners will benefit from this program

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8	<b>Goal Name</b>	Public Improvements
	<b>Goal Description</b>	<p>With CDBG funding in the amount of \$814,920 and \$300,000 in Sewer User Funds, LFUCG will continue its public improvements in the Meadows/Northland/Arlington neighborhood in Phase 6A-2 with the replacement of curbs, gutters and sidewalks, street reconstruction, storm sewer improvements, and sanitary sewer improvements on Bluegrass Avenue, from Bryan Avenue to just past Highlawn Avenue and McCloy Alley from Locust Avenue to Bluegrass Avenue.</p> <p>With CDBG funding in the amount of \$100,000, LFUCG will install sidewalks along a section of Liberty Road improving access for low-income residents of the area.</p>
11	<b>Goal Name</b>	Other Public Facilities
	<b>Goal Description</b>	<p>LFUCG will provide CDBG funds in the amount of \$407,460 to CASA of Lexington for acquisition of a facility to expand services to abused, neglected, and dependent children.</p> <p>LFUCG will use CDBG funds in the amount of \$49,730 to replace heating and cooling systems in The Living Arts &amp; Science Center, 362 N. Martin Luther King Boulevard, Lexington, KY. The LASC serves one of Lexington-Fayette County's most low-income neighborhoods and is located in the heart of that area.</p> <p>LFUCG will use CDBG funds in the amount of \$27,479 to resurface the existing 1/4 mile track at the Russell School Community Services Center. The recreational area is accessible for area-wide community use. The focus of the proposed revitalization project will target area youth ages 8-18 and senior residents but will remain fully accessible to the public.</p>

<b>12</b>	<b>Goal Name</b>	Public Services - Non-Homeless Special Populations
	<b>Goal Description</b>	<p>LFUCG will use approximately 5.5% of its CDBG allocation for the support of public services in the community. Of the \$128,338 allocated for services, \$40,746 in Community Development Block Grant funds will be used to provide a housing navigator who will work with approximately 40 low-income persons with mental illnesses who are ready to transition from an institutional setting to permanent housing.</p> <p>Radio Eye will be funded in the amount of \$10,187 to broadcast the readings of newspapers, magazines, and other printed material to individuals with print-impairments. An estimated 3,429 individuals will benefit from this service. The average listener age is 77, and approximately 71.9% are economically disadvantaged.</p>
<b>13</b>	<b>Goal Name</b>	Public Services-Youth Programs
	<b>Goal Description</b>	<p>The LFUCG will use approximately 5.5% of its CDBG revenue for the support of public services in the community. Of the \$128,338 allocated for services, \$77,405 (60%) will be used to support services for low-income youth. These services will be provided by Police Activities League (100 youth), Arbor Youth Services (75), The Salvation Army Boys &amp; Girls Club (67) and Repairers Lexington (120).</p>
<b>15</b>	<b>Goal Name</b>	Public Services--Homeless Populations
	<b>Goal Description</b>	<p>ESG funds in the amount of \$83,456 will be used to support emergency shelter operations at Arbor Youth Services (150 individuals), The Salvation Army (1,300 individuals) and GreenHouse17 (250 individuals). Agencies will provide match in the amount of \$83,456. Local General Fund dollars in the amount of \$750,000 will be used to support emergency shelter operations at GreenHouse17, The Salvation Army, Arbor Youth Services, and the Hope Center.</p> <p>The Jurisdiction also provides an additional \$750,000 annually from local funds through its Office of Homelessness Prevention and Intervention to support homelessness projects identified by the Continuum of Care.</p>

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<b>16</b>	<b>Goal Name</b>	Rapid Rehousing
	<b>Goal Description</b>	<p>Community Action Council will be funded in the amount of \$52,160 in ESG funds for the purpose of operating a rapid rehousing program assisting an estimated 10 families to become permanently housed. LFUCG and Community Action Council will each provide portions of the required match of \$52,160.</p> <p>Arbor Youth Services, Inc. will be funded in the amount of \$52,160 in ESG funds to support the costs of a youth advocate to provide case management services to 10 young households (aged 18-24) who are homeless and to provide them rapid rehousing assistance. LFUCG and Arbor Youth Services will each provide portions of the required match of \$52,160.</p>
<b>19</b>	<b>Goal Name</b>	Fair Housing
	<b>Goal Description</b>	Lexington currently funds the Human Rights Commission from the Community Development Block Grant Program in the amount of \$50,000. The Commission will continue fair housing education and outreach efforts to analyze and eliminate housing discrimination in the jurisdiction and to promote fair housing choice for all persons in the community.

## Projects

### AP-35 Projects – 91.220(d)

#### Introduction

During the 2019 Program year, the jurisdiction will allocate Consolidated Plan funds to projects that improve existing housing for low-income residents through rehabilitation, energy efficiency improvements, lead-based paint hazard reduction, and handicap accessibility improvements; increase the supply of homeownership units through new construction and down payment assistance; and increase the supply of rental units for low-income households with new construction. Funds will be allocated for services to households who are homeless or at-risk of homelessness and to activities that serve at-risk youth. Case management services will be provided to a low-income special needs population. The jurisdiction will continue its public improvements in the Meadows-Northland-Arlington area, improving the living environment of a low-income residential neighborhood as well as providing sidewalk access in a low-income neighborhood. The jurisdiction will also continue to support the Lexington-Fayette Urban County Human Rights Commission in an effort to affirmatively further fair housing.

#### Projects

#	Project Name
1	CASA Facility Acquisition
2	Radio Eye Public Service
3	Meadows/Northland/Arlington
4	Single Family Housing Rehabilitation Program
5	Housing Rehabilitation Operations
6	Fair Housing Education and Outreach
7	Housing Rehabilitation, Emergency Repair
8	Youth Services
9	New Beginnings Housing Navigator
10	Liberty Road Sidewalks (Construction)
11	Living Arts & Science Center Heating & Cooling Replacement
12	First-time Homebuyers Program--R.E.A.C.H.
13	Lexington Habitat for Humanity First-Time Homebuyer Program
14	Realtor Community Housing Foundation Repair Program
15	Grantee Administration
16	CHDO Operating
17	CHDO--Lexington-Fayette County Local Development Corporation
18	CHDO-REACH, Inc.
19	Development of Rental Housing Units
20	ESG1 Lexington-Fayette

Table 7 - Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

**AP-38 Project Summary**

**Project Summary Information**

<b>1</b>	<b>Project Name</b>	CASA Facility Acquisition
	<b>Target Area</b>	
	<b>Goals Supported</b>	Other Public Facilities
	<b>Needs Addressed</b>	Public Facilities
	<b>Funding</b>	CDBG: \$407,460
	<b>Description</b>	Funds provided to CASA of Lexington for acquisition of a facility to expand services to abused, neglected, and dependent children.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funds provided to CASA of Lexington for acquisition of a facility to expand services to abused, neglected, and dependent children.
	<b>2</b>	<b>Project Name</b>
<b>Target Area</b>		
<b>Goals Supported</b>		Public Services - Non-Homeless Special Populations
<b>Needs Addressed</b>		Public Services
<b>Funding</b>		CDBG: \$10,187
<b>Description</b>		Radio Eye will be funded in the amount of \$10,187 to broadcast the readings of newspapers, magazines, and other printed material to individuals with print-impairments.
<b>Target Date</b>		
<b>Estimate the number and type of families that will benefit from the proposed activities</b>		
<b>Location Description</b>		
<b>Planned Activities</b>		Funding will be used for salaries for the operation of the program which will result in an expansion of services to increase the number of listeners.
<b>3</b>		<b>Project Name</b>
	<b>Target Area</b>	

	<b>Goals Supported</b>	Public Improvements
	<b>Needs Addressed</b>	Public Improvements and Infrastructure
	<b>Funding</b>	CDBG: \$814,920 LFUCG Sewer User Funds: \$300,000
	<b>Description</b>	With CDBG funding in the amount of \$814,920 and \$300,000 in Sewer User Funds, LFUCG will continue its public improvements in the Meadows/Northland/Arlington neighborhood in Phase 6A-2 with the replacement of curbs, gutters and sidewalks, street reconstruction, storm sewer improvements, and sanitary sewer improvements on Bluegrass Avenue, from Bryan Avenue to just past Highlawn Avenue and McCloy Alley from Locust Avenue to Bluegrass Avenue.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Public improvements include storm water drainage improvements, installation of new sidewalks, curbs, gutters, and streets, and replacement of sanitary sewers.
<b>4</b>	<b>Project Name</b>	Single Family Housing Rehabilitation Program
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeowner Housing Rehabilitation
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	CDBG: \$310,085 HOME: \$190,285
	<b>Description</b>	Federal funds will be used to provide low-interest loans to low-income homeowners and deferred loans to very low-income homeowners for purposes of bringing their homes into compliance with the housing code and to improve energy efficiency. The LFUCG Division of Grants and Special Programs is responsible for operation of this program.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	20 low-income owner occupants will be assisted with bringing their homes up to code, including energy efficiency improvements, lead-based paint abatement or hazard reduction, and accessibility enhancements.
<b>5</b>	<b>Project Name</b>	Housing Rehabilitation Operations
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeowner Housing Rehabilitation
	<b>Needs Addressed</b>	Affordable Housing

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	<b>Funding</b>	CDBG: \$334,117
	<b>Description</b>	Funding is allocated for operation of the LFUCG single family housing rehabilitation program. Support includes personnel costs of the loan and relocation specialists and the rehabilitation specialists, legal fees, appraisal fees, and other operation supplies. The project is directly operated by the LFUCG's Division of Grants and Special Programs.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Salaries and benefits for staff of the Division of Grants and Special Programs to include Code Enforcement Officers and Financial Officers, appraisals, legal services, loan servicing, training, and necessary supplies and equipment.
<b>6</b>	<b>Project Name</b>	Fair Housing Education and Outreach
	<b>Target Area</b>	
	<b>Goals Supported</b>	Fair Housing
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	CDBG: \$40,746
	<b>Description</b>	The project will assist the government in meeting its obligation as an entitlement community to affirmatively further housing. Project consists of retention of a full-time investigator for fair housing complaints. An agreement will be entered into with the Lexington-Fayette Urban County Human Rights Commission for operation of this project.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Fair housing activities to include advertisements, technical assistance to public, nonprofit, and faith-based agencies and the private sector in regards to affirmatively furthering fair housing, conducting workshops, collaborations with other agencies to promote fair housing, conducting fact-finding discussions, maintaining fair housing marketing program, investigating and mediating fair housing complaints.
<b>7</b>	<b>Project Name</b>	Housing Rehabilitation, Emergency Repair
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeowner Housing Rehabilitation Emergency Repair for Homeowners
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	CDBG: \$50,932

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	<b>Description</b>	The Division of Grants and Special Programs will operate an emergency housing repair program for low-income homeowners to include electrical, plumbing, and HVAC repairs
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Emergency repairs to include electrical, plumbing, and HVAC for low-income owner-occupants.
<b>8</b>	<b>Project Name</b>	Youth Services
	<b>Target Area</b>	
	<b>Goals Supported</b>	Public Services-Youth Programs
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	CDBG: \$77,405
	<b>Description</b>	LFUCG will use \$77,405 of CDBG for support services for low-income youth. These services will be performed by Police Activities League, Arbor Youth Services, The Salvation Army Boys & Girls Club, and Repairers Lexington.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funding will be used for operating programs that provide support services to low-income youth.
<b>9</b>	<b>Project Name</b>	New Beginnings Housing Navigator
	<b>Target Area</b>	
	<b>Goals Supported</b>	Public Services - Non-Homeless Special Populations
	<b>Needs Addressed</b>	Public Services
	<b>Funding</b>	CDBG: \$40,746
	<b>Description</b>	\$40,746 in Community Development Block Grant funds will be used to provide a housing navigator at New Beginnings, Bluegrass, Inc. who will work with approximately 40 low-income persons with mental illnesses who are ready to transition from an institutional setting to permanent housing.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	

	<b>Location Description</b>	
	<b>Planned Activities</b>	\$40,746 in Community Development Block Grant funds will be used to provide a housing navigator at New Beginnings, Bluegrass, Inc. who will work with low-income persons with mental illnesses who are ready to transition from an institutional setting to permanent housing. The Housing Navigator will maintain a regular presence in local hospitals and personal care homes where he/she will work closely with the staff to identify individuals with serious mental illness who will likely need extra supports to successfully transition to living in the community. Once referred, the Housing Navigator will promptly meet with potential program participants to discuss services and complete a housing assessment with the individuals who choose to participate in the program. This information will be used to develop a service plan based on the individual's expressed needs and preferences. When appropriate, our staff will also conduct a VI-SPDAT and make nominations to Lexington's Coordinated Entry System where they will promptly be matched with appropriate and available resources. Once an individualized plan is developed, the Housing Navigator will connect the program participant to the local housing authority, available housing programs, and community landlords to assist them with securing housing and aiding in their transition back into the community. For those who want and need it, the Housing Navigator will also be available to assist participants with accessing needed items to prepare for their transition such as household furnishings, food stamps, health insurance benefits, and community-based healthcare services. At their option, program participants can also be linked to ongoing support services designed to build independent living and tenancy skills, assist with re-integrating into the community, and improve their quality of life.
10	<b>Project Name</b>	Liberty Road Sidewalks (Construction)
	<b>Target Area</b>	
	<b>Goals Supported</b>	Public Improvements
	<b>Needs Addressed</b>	Public Improvements and Infrastructure
	<b>Funding</b>	CDBG: \$100,000
	<b>Description</b>	Construction of sidewalk along Liberty Road.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Installation of sidewalk where none previously existed along a section of Liberty Road serving residents of a low-income neighborhood and providing access to a key corridor.
11	<b>Project Name</b>	Living Arts & Science Center Heating & Cooling Replacement
	<b>Target Area</b>	
	<b>Goals Supported</b>	Other Public Facilities

	<b>Needs Addressed</b>	Public Facilities
	<b>Funding</b>	CDBG: \$49,730
	<b>Description</b>	Replacement of heating and cooling systems in the Living Arts & Science Center located in and serving low-income neighborhoods.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Replacement of heating and cooling units at the Living Arts & Science Center property located at 362 N. Martin Luther King Blvd.
<b>12</b>	<b>Project Name</b>	First-time Homebuyers Program--R.E.A.C.H.
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeownership
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$104,169
	<b>Description</b>	REACH Inc., will provide subsidies for eligible first-time homebuyers purchasing new or existing single-family units. Subsidies will be in the form of down payment assistance and/or assistance with closing costs. An agreement will be entered into with REACH Inc., for program operation.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Assistance in the form of mortgage subsidies and assistance with closing costs will be provided to households so that they can become first-time homebuyers.
<b>13</b>	<b>Project Name</b>	Lexington Habitat for Humanity First-Time Homebuyer Program
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeownership
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$85,627
	<b>Description</b>	Lexington Habitat for Humanity will provide subsidies for eligible first-time homebuyers purchasing new or existing single-family units. Subsidies will be in the form of down payment assistance and/or assistance with closing costs. An agreement will be entered into with Lexington Habitat for Humanity for program operation.
	<b>Target Date</b>	

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Assistance in the form of mortgage subsidies and assistance with closing costs will be provided to households so that they can become first-time homebuyers.
14	<b>Project Name</b>	Realtor Community Housing Foundation Repair Program
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeowner Housing Rehabilitation
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	CDBG: \$40,746
	<b>Description</b>	Organization will provide exterior repairs and new roofing to housing units that are owned and occupied by LMI elderly persons; provide ramps and other accessibility renovations to houses of LMI persons with mobility impairments; provide emergency repairs for very low-income elderly homeowners. A subrecipient agreement will be entered into with Realtor Community Housing Foundation for operation of the program.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Activities include exterior repairs and new roofing to housing units that are owned and occupied by LMI elderly persons; design and installation of ramps and other accessibility renovations to houses of LMI persons with mobility impairments; emergency repairs for very low-income elderly homeowners.
15	<b>Project Name</b>	Grantee Administration
	<b>Target Area</b>	
	<b>Goals Supported</b>	Development of Rental Housing Homeownership Homeowner Housing Rehabilitation Emergency Repair for Homeowners Public Improvements Other Public Facilities Public Services - Non-Homeless Special Populations Public Services-Youth Programs
	<b>Needs Addressed</b>	Affordable Housing Public Facilities Public Improvements and Infrastructure Public Services

	<b>Funding</b>	CDBG: \$244,476 HOME: \$105,141
	<b>Description</b>	Project will support the administrative costs of operating the CDBG and HOME programs. These costs include administrative personnel, professional services, equipment, supplies, and other operating costs of the programs.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funds will be used to support the administrative costs of the CDBG and HOME programs. Funds will be used to support personnel costs, training, supplies, and professional services.
16	<b>Project Name</b>	CHDO Operating
	<b>Target Area</b>	
	<b>Goals Supported</b>	Development of Rental Housing Homeownership
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$38,056
	<b>Description</b>	Operating costs of the jurisdiction's CHDOs--Lexington-Fayette County Local Development Corporation and REACH.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funds will be used to support the operating costs of the two CHDOs.
17	<b>Project Name</b>	CHDO--Lexington-Fayette County Local Development Corporation
	<b>Target Area</b>	
	<b>Goals Supported</b>	Development of Rental Housing
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$190,282
	<b>Description</b>	As one of the designated CHDOs, the Lexington-Fayette County Local Development Corporation will acquire properties, rehabilitate units or conduct new construction for use as rental properties for low-income households.
	<b>Target Date</b>	

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funds will be used to support the construction costs of a total of 4 rental housing units. The units will be new construction and energy efficient.
<b>18</b>	<b>Project Name</b>	CHDO-REACH, Inc.
	<b>Target Area</b>	
	<b>Goals Supported</b>	Homeownership
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$142,712
	<b>Description</b>	REACH, INC. as a CHDO, will develop one new housing unit.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funds will be used to support the redevelopment costs of 1 housing unit.
<b>19</b>	<b>Project Name</b>	Development of Rental Housing Units
	<b>Target Area</b>	
	<b>Goals Supported</b>	Development of Rental Housing
	<b>Needs Addressed</b>	Affordable Housing
	<b>Funding</b>	HOME: \$522,296 Grant Match: \$300,000 Homeless and Affordable Housing Funds: \$2,000,000
	<b>Description</b>	HOME funds in the amount of \$246,591 and match funds in the amount of \$100,000 will be used to support the construction of 222 rental units (7 of which are HOME units) at Kearney Creek Apartments located at 2559 Kearney Ridge Boulevard, Lexington, KY 40511 for low-income families earning 60% or less of the area median income. HOME funds in the amount of \$275,705 and match funds in the amount of \$200,000 will be used to support the construction of 96 rental units (4 of which are HOME units) at The Oasis at Kearney Creek located at 2750 Meadowsweet Lane, Lexington, KY 40511 for low-income families earning 80% or less of the area median income. The Jurisdiction provides general fund dollars annually to the Housing Trust Fund in the amount of \$2,000,000.
	<b>Target Date</b>	

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	HOME funds will be used to support the construction of 222 rental units (7 of which are HOME units) at Kearney Creek Apartments for low-income families earning 60% or less of the area median income. HOME funds will be used to support the construction of 96 rental units (4 of which are HOME units) at The Oasis at Kearney Creek for low-income families earning 80% or less of the area median income.
<b>20</b>	<b>Project Name</b>	ESG19 Lexington-Fayette
	<b>Target Area</b>	
	<b>Goals Supported</b>	Public Services--Homeless Populations Rapid Rehousing
	<b>Needs Addressed</b>	Rapid Rehousing Homelessness Prevention Emergency Shelter Operations
	<b>Funding</b>	ESG: \$195,464 Homeless and Affordable Housing Funds: \$750,000
	<b>Description</b>	2019 ESG funds have been allocated for operation of emergency shelters, prevention, and rapid rehousing. Funds have also been allocated for administration. The LFUCG provides \$750,000 in local, general fund dollars for the operation of emergency shelters and another \$750,000 annually for an Innovative and Sustainable Solutions to Homelessness Fund that supports projects identified by the Continuum of Care.
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	ESG funds will be utilized for operation of shelters at The Salvation Army (women and women with children); Arbor Youth Services (unaccompanied children and youth); and GreenHouse17 (victims of domestic violence). In addition, funds will be provided to Community Action Council for rapid rehousing assistance and to Arbor Youth Services for prevention and rapid rehousing.

## **AP-50 Geographic Distribution – 91.220(f)**

### **Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed**

The Lexington-Fayette Urban County Government (LFUCG), during the next year, will continue to direct funding from the Community Development Block Grant (CDBG) program into Census Tract 14 for public improvements. This phase of the Meadows-Northland Arlington project includes the replacement of curbs, gutters and sidewalks, street reconstruction, storm sewer improvements, and sanitary sewer improvements on Bluegrass Avenue, from Bryan Avenue to just past Highlawn Avenue and McCloy Alley from Locust Avenue to Bluegrass Avenue. 80.95% of the households are low- and moderate-income, and African-Americans make up 18% of the population and persons of Hispanic Origin make up 9.6% of the population.

In addition, sidewalks will be installed in Census Tract 16 along Liberty Road between Block Groups 1 and 2. This combined geography has a low-moderate income percentage of 61.4% and the sidewalks will provide access for low- and moderate-income residents to one of Lexington’s busiest commercial corridors, including access to public transportation.

Assistance for housing rehabilitation is based upon household eligibility and may be located anywhere in the urban county area. The first-time homebuyer program supports development of single family housing by REACH and Lexington Habitat for Humanity. The production of new rental housing is encouraged in non low-income census tracts. Funds for services are not based upon geographic locations, but based upon income eligibility of population being served.

### **Geographic Distribution**

<b>Target Area</b>	<b>Percentage of Funds</b>

**Table 8 - Geographic Distribution**

### **Rationale for the priorities for allocating investments geographically**

Public improvements in the Meadows-Northland-Arlington area are part of a planned twenty-year strategy to improve the infrastructure and drainage problems in this large low-income neighborhood. The lead agency in recommending allocations for investments in public improvements is the LFUCG Division of Engineering. This same division has identified the Liberty Road sidewalks project as a priority for low- and moderate-income residents in the city’s east side, which is often overlooked when such projects are planned.

Public investment in housing rehabilitation, housing production, and homeownership are encouraged throughout the jurisdiction in an effort to provide low-income households with maximum choice in housing location. The Lexington Habitat for Humanity and REACH, Inc. provide down payment assistance to first-time homebuyers of existing housing throughout the community. LFUCG’s Division of Grants and Special Programs operates a single family housing rehabilitation program and an emergency repair program for eligible households throughout the community.

## Discussion

Other geographic areas that need improved public infrastructure and public facilities will be considered for funding in the future.

## Affordable Housing

### AP-55 Affordable Housing – 91.220(g)

#### Introduction

During the project year, the following affordable housing units will be assisted:

- Lexington’s single family housing rehabilitation program for low-income owners — 20 units.
- Lexington’s emergency repair program — 5 units.
- Kearney Creek Apartments – new construction of 222 units (7 HOME units).
- Oasis at Kearney Creek – new construction of 96 units (4 HOME units).
- Fayette County Local Development Corporation will construct four new rental units.
- REACH (CHDO) will rehabilitate one unit of affordable housing.

One Year Goals for the Number of Households to be Supported	
Homeless	0
Non-Homeless	41
Special-Needs	0
Total	41

Table 9 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	0
The Production of New Units	15
Rehab of Existing Units	25
Acquisition of Existing Units	1
Total	41

Table 10 - One Year Goals for Affordable Housing by Support Type

## Discussion

## **AP-60 Public Housing – 91.220(h)**

### **Introduction**

#### **Actions planned during the next year to address the needs to public housing**

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

The Lexington Housing Authority (LHA) encourages self-sufficiency, community awareness and involvement to our clients through a variety of programs, one of the most visible is the Family Self-Sufficiency (FSS) program. FSS offers case management and supportive services to help a family gain financial self-sufficiency. Each participant's needs are customized and may include job training, career planning and financial literacy education, such as budgeting, saving and establishing good credit. As a participation incentive, LHA will establish an escrow account for FSS Program families. Over the course of the program, as FSS participants achieve their self-sufficiency goals, their earned income will likely increase. When this occurs, LHA will escrow any increases the family pays in rent due to an increase in earned income. Families can then use funds to help achieve their established self-sufficiency goals while they are in the FSS Program or at their discretion once they have successfully met program goals.

Currently the LHA has 31 Housing Choice Voucher (HCV) Homeownership participants. The HCV Homeownership program is available to current HCV participants and public housing residents. Homeownership participants must be first-time homebuyers and they are required to participate in homeownership counseling.

HOME funds allocated to REACH, Inc., and Lexington Habitat for Humanity will assist LHA's Housing Choice Voucher holders with the opportunity to become homeowners. The HCV Homeownership Program requires potential homebuyers to be both income and mortgage eligible by a mortgage lender. HOME funds are used to subsidize the principal, making the unit affordable.

#### **If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance**

The Lexington Fayette Urban County Housing Authority is not designated as "troubled" by HUD. In fact, the LHA was designated by HUD as a High Performer in 2011 prior to entering the MTW Demonstration. The LHA maintains that designation during the Demonstration. The LHA's MTW agreement has been extended through 2028.

HUD's MTW program gives a select group of public housing authorities (PHAs) funding and policy flexibility not available to traditional PHAs. As of 2019, a total of 39 agencies have signed MTW agreements with HUD.

**Discussion:** The LHA provides Housing Choice Voucher funding to ten (10) special partner programs that serve specific populations in Lexington. During 2018, more than 600 families were housed through special partner programs that offer assistance to vulnerable populations that include individuals who may be homeless or at risk of homelessness, victims of domestic violence, individuals in recovery, elderly and disabled.

## **AP-65 Homeless and Other Special Needs Activities – 91.220(i)**

### **Introduction**

LFUCG's Office of Homelessness Prevention and Intervention (OHPI) has worked with the Lexington CoC to establish a Coordinated Entry process to ensure that assistance for the homeless population in Lexington is prioritized for homeless individual(s) and families with the greatest need creating an effective and efficient homeless assistance delivery system for moving people from homelessness to permanent housing. In 2014, with the establishment of the OHPI office, LFUCG Staff undertook the effort of coordinating and executing the Lexington CoC's annual Point In Time (PIT) Count. The PIT Methodology has improved every year since, including working with the Lexington Street Outreach team, police, code enforcement, and parks and recreation to ensure that all known locations were incorporated and more volunteers recruited to participate in the count. The January 30, 2019, point in time count found 787 persons living on the streets, in shelters, and in transitional housing, reflecting a decrease of 48% since the count in 2014. An improved, sounder methodology has guaranteed a more accurate count since 2014 and the Lexington CoC's PIT numbers have continued to decline. LFUCG via the OHPI continues to invest in innovative and sustainable housing first models to end homelessness. In 2018, LFUCG via the OHPI funded the first Medical Respite Program for the homeless, a second chance employment program, housing navigation program, and a high utilizer permanent supportive housing program, landlord recruitment program while maintaining all previously funded initiatives. In fall 2019, the OHPI will be working with community stakeholders on the development of the strategic plan solely focused on ending chronic and youth homelessness by 2020.

**Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including**

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

Hope Center, Inc. operates an aggressive street outreach program in an effort to engage homeless persons who do not present to a shelter. This team is an active participant with Coordinated Entry and has had much success identifying those unsheltered individuals that meet the Lexington CoC established requirements that include prioritizing those with significant health, functional impairments, and/or behavioral health challenges and/or are vulnerable to illness or death. This street outreach program was expanded in 2018 to include an additional 7 staff working on SOAR applications and housing for those unsheltered. Staff have engaged more than 300 people since 2015 with 13% increasing their income while on the street as well as permanently housing 24 households in less than 90 days.

The Lexington CoC continues to deploy a "no wrong door" approach with Coordinated Entry and has all homeless service providers actively assessing homeless individuals and families for participation in the Coordinated Entry process. In 2018, a marketing strategy was implemented to include materials to reach all at-risk or currently homeless individuals with language and other communication barriers. This includes United Way of the Bluegrass 2-1-1 which conducts assessments for the homeless for inclusion in the Coordinated Entry process in 194 languages, texting, and video chat.

Hope Center also operates the HopeMobile which includes food, clothing, healthcare, and referrals for shelter, counseling and job training. This program is partially funded through LFUCG's Department of Social Services Extended Social Resources Grant Program. The Catholic Action Center operates a severe

weather Compassionate Caravan in both winter and summer months, reaching those who would most likely not present or are unable to present at a shelter or other community provider seeking assistance.

During fiscal year 2018, Lexington's Office of Homelessness Prevention and Intervention awarded a one-year grant, \$82,591.00, to Bluegrass Care Navigators for start-up and implementation of Fayette County's first Medical Respite program designed for those homeless individuals and families that are too medically frail to return to the streets or shelter. Local dollars through the OHPI also funded a new initiative for housing navigation and intensive case management allowing for those experiencing homeless with prioritization to those chronically homeless to have intensive case management to locate and secure safe and stable housing rapidly. This program is also responsible for recruitment of new landlords for participation in CoC, ESG, and locally funded housing programs. This one-year grant was funded at \$176,159.00. The program has added 23 new landlords to the network and assisted 18 chronically homeless individuals with 75% of those moving to permanent housing in less than 90 days.

A new program will be implemented in 2019 – a payee program will provide financial services free of charge for up to 120 individuals experiencing homelessness and those selected for housing programs. This program is paid for with local funding for the next 3 years at, \$483,557. Also implemented in 2019 will be a private shower facility in the downtown area serving up to 14 individuals per day, a security deposit program in partnership with the local housing authority to provide move-in costs for homeless households with income under 50% AMI, and a new permanent supportive housing partnership with a managed care organization.

OHPI continues to provide a grant to cover all costs associated with obtaining a state issued I.D. card. In partnership with the Fayette County Circuit Court Clerk implementing a rarely used Kentucky Revised Statue, costs are covered for a "homeless I.D." at just \$4 a person.

### **Addressing the emergency shelter and transitional housing needs of homeless persons**

Hope Center, Inc., will be supported from local general funds for the purpose of supporting basic operations of the emergency program for homeless men. This is the community's primary shelter for homeless men. This shelter provides three meals per day, overnight lodging, and shower and laundry facilities. As clients sign in, they are assessed in the intake office and referred to programs designed to address client needs and assist clients in regaining independence. Hope Center programs include long-term recovery, mental health care, employment, transitional housing, social services, detox unit, and a Hispanic program. Approximately 1,800 homeless men are served each year. The performance standard is to provide basic emergency shelter services and transitional housing for persons who are homeless, and through case management and referral, assist them with advancing to permanent housing.

GreenHouse17 (formerly Bluegrass Domestic Violence Program) will be funded in the amount of \$41,728 from the ESG Program for the purpose of operating an emergency shelter for the victims of domestic violence. This program's emergency shelter services are especially designed to reduce the duration and damage of homelessness by helping individuals and families victimized by domestic violence transition from the acute trauma of abuse to stability and eventual self-sufficiency. Approximately 185 adults and children are served annually. The performance standard is to provide

basic emergency shelter services and transitional housing for persons who are homeless, and through case management and referral assist them with advancing to permanent housing.

The Salvation Army will be funded in the amount of \$20,864 from the ESG Program for the purpose of supporting basic operations of the emergency program for single women and women with children. This is the community's only shelter for women with children and the primary shelter for single adult women. This shelter provides three meals per day, overnight lodging, case management, and shower and laundry facilities. As clients sign in, they are assigned a case manager and referred to programs designed to address client needs and assist clients in regaining independence. Approximately 1,500 persons and 1,200 households are served each year. The performance standard is to provide basic emergency shelter services for persons who are homeless, and through case management and referral, assist them with advancing to permanent housing.

Arbor Youth Services will be funded in the amount of \$20,864 from the ESG Program for the purpose of supporting basic operations of an emergency shelter for children and youth experiencing homelessness. This is the community's only shelter for unaccompanied youth experiencing homelessness and children work with a team to address immediate needs such as hunger before moving toward a more comprehensive approach to seeking long-term housing solutions using a trauma-informed approach. The LFUCG's fiscal year 2020 proposed budget also includes local funding in the amount of \$750,000 for emergency shelters in Lexington-Fayette Urban County. These funds will support Arbor Youth Services, Community Action Council, The Salvation Army and GreenHouse17.

**Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again**

Community Action Council and Arbor Youth Services will each be awarded \$52,160 in ESG funds for the purpose of operating rapid rehousing programs. The Community Action program will target individuals and families while the Arbor Youth Services program will specifically target youth ages 18-24. Approximately 20 families will be assisted. The performance standard is to increase the number of homeless households moving into permanent housing.

The Lexington-Fayette Continuum of Care was recognized in 2019 by the U.S. Interagency Council on Homelessness as a community that has effectively ended veteran homelessness. The CoC has built a system that ensures homelessness among veterans is rare, brief and non-recurring. The CoC is now working to expand that same system to get the same outcome for youth and chronic homeless populations.

**Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving**

**assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.**

The LFUCG’s proposed 2020 budget includes a \$200,000 allocation to the Division of Adult Services for financial assistance to prevent homelessness when there is a temporary income loss and evictions or utility shut-offs are threatened.

The proposed budget also includes \$3,250,000 in local funds from for the Extended Social Resources Grant Program to address for basic human needs, mental health and substance abuse services, positive youth development, public health, services for senior citizens, and violence prevention. These funds will provide support of programs to various community nonprofits to address community needs, most of which address housing, health, social services, employment education and youth needs.

**Discussion**

Lighthouse Ministries, a faith-based organization in downtown Lexington, operates a daytime free lunch and dinner program for people who are homeless and/or low-income. The organization provides lunch and dinner every day of the week. The organization has expanded its facility to create a dining facility that seats 190 people and includes a full commercial kitchen. In exchange for funding in the amount of \$67,657 from the city’s in general funds dollars from the Office of Homelessness Prevention and Intervention, Lighthouse Ministries agreed to operate the Dining with Dignity program in this space for a minimum of three years. Lighthouse makes the space available 365 nights each year to groups/organizations wishing to serve meals to people who are homeless and low-income. The goal of this project was to consolidate as many scattered nightly meal service programs as possible, including meals served in parts and other public spaces, into this one facility. The result has been a more pleasant and consistent dining experience for those in need.

As a result of a recent surge in panhandling, LFUCG launched a program to encourage citizens to donate to the LexGive program online instead of donating directly to panhandlers. The LexGive program, operated by a community partner, provides panhandlers with day jobs beautifying the city and also acts as a way to communicate with the population about job training and housing opportunities and any other identified support services.

Due to community interest in the housing first model, OHPI set up a fund with the Blue Grass Community Foundation in order for individual citizens, foundations, companies, and others to donate directly to a fund dedicated to ending chronic homelessness in Lexington. Within the first week, with no marketing, the fund raised more than \$5,000. A full marketing campaign will be released in the summer of 2019.

**AP-75 Barriers to affordable housing – 91.220(j)**

**Introduction:**

The greatest identified barrier to development of affordable housing in the community is the escalating cost of land and associated lack of supply. Lexington follows an Urban Service Area approach which restricts growth to specific areas. There are no immediate plans to expand the urban service area, which will continue to drive up the cost of land. During the coming program year the Lexington-Fayette Urban County Government will continue to support construction of the Southend Park Urban Village, an area

traditionally low-and very low-income. This community land trust development was created as part of a major transportation project that extended Newtown Pike from Main Street to South Limestone Street. The housing phase of the project will result in the eventual new construction of 155 residential units. In order to provide affordable units and to ensure that these units remain affordable, a Community Land Trust for perpetual ownership of land was organized as a means of protecting the land from a speculative market. This represents Lexington's first attempt to organize a Community Land Trust. Successful implementation may pave the way for other applications of this model.

**Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment**

Other perceived barriers to the development of affordable housing are the regulations imposed upon new construction in infill areas. The Lexington-Fayette Urban County Government zoning ordinance has been amended to facilitate infill and redevelopment in existing neighborhoods, protecting these neighborhoods from inappropriate development, improving the quality of infill, and eliminating unnecessary regulations. In a continuing effort to monitor the effects of these modifications, the Division of Planning conducts periodic meetings with the stakeholders, primarily affordable housing providers and neighborhood residents, to evaluate the effects, both good and bad, of the infill and redevelopment regulations. Based upon these meetings additional text amendments to the ordinance may be proposed. The Division of Planning also continues to work with the Division of Water Quality to assess sanitary and storm sewer infrastructure in infill and redevelopment areas to determine the appropriateness of expanded development.

During Fiscal Year 2015, Lexington launched its own Affordable Housing Trust Fund, allocating an initial \$3,000,000 from general fund for the purpose of producing and preserving safe, quality, affordable housing through coordination with public and private partners, investment in strategic opportunities, and policy development. Legislation was also enacted assuring a minimum of \$2 million allocated annually. This included the creation of an Affordable Housing Manager and an Affordable Housing Trust Fund Board. Since its inception, the Lexington Affordable Housing Trust Fund has supported the creation or preservation of 1,431 units of affordable housing, leveraging millions of dollars in public and private investment.

Lexington has also reactivated its Vacant Property Review Commission, and under city ordinance, may now classify property as abandoned which has been vacant or unimproved for a period of at least one year and which is unfit for occupancy, or has become a place for the accumulation of trash and debris, or has been infested with rodents or other vermin, or has been tax delinquent for a period at least three years. Once declared as abandoned, the property is taxed additionally at the rate of \$1.00 per each \$100.00 of assessed value.

**Discussion:**

**AP-85 Other Actions – 91.220(k)**

## **Introduction:**

### **Actions planned to address obstacles to meeting underserved needs**

The jurisdiction has recognized a need for public services and public improvements in its Cardinal Valley neighborhood. A small area plan has been completed for this area. An early identified underserved need is for adequate public services for this low-income, largely Hispanic neighborhood. In Program Year 2015, CDBG funds were allocated for a feasibility study for an eight acre commercial site for the purpose of creating a public service area that would uniquely serve the residents of this area. The feasibility study has now been completed. It includes the cost of acquiring land, clearing existing buildings, and environmental remediation and the relationship to the adjacent floodplain, and addresses possible methods of financing the construction, maintenance, and operations, as well as ownership options of the land to ensure the long-term viability of the project as a community asset for both the partner agencies and LFUCG. The LFUCG continues to work alongside community partners to incentivize activity in this area utilizing other means as CDBG funding is inadequate for implementation of the study's findings.

### **Actions planned to foster and maintain affordable housing**

Lexington-Fayette Urban County Government will use its federal, state, and local allocations to develop and maintain affordable housing through development of new rental housing, rehabilitation of existing housing (owner and renter), fostering homeownership for low-income first-time buyers, and support of tenant-based rental assistance for very low-income households who have disabilities. To the greatest extent possible, the jurisdiction will seek other funds to help fill the identified gap for affordable housing.

During the coming year, the LFUCG will continue its support of public housing by working with the Lexington Fayette Urban County Housing Authority in its attempts to rehabilitate or reconstruct public housing units that have exhibited structural failure and been deemed unsafe for habitation.

### **Actions planned to reduce lead-based paint hazards**

Lexington-Fayette Urban County Government uses some of its HUD entitlement funds for low-income owner-occupied rehab and first-time homebuyer activities. The staff has been trained and certified on lead-based paint regulations. Staff determines the level of lead-based paint compliance for the projects. Risk assessment, lead testing, evaluation of testing results, lead-based paint control, and abatement procedures are completed as necessary. The work write-ups for rehab projects incorporate lead-based paint hazard reduction work and protective measures. When indicated, clients with small children are referred to the Fayette County Health Department for blood lead screening.

For the coming year it is anticipated that 20 housing rehabilitation jobs will be completed for low-income owner-occupied units. It is estimated that 75% of these units will be found to have lead hazards requiring either interim controls or abatement. Depending on the level of potential lead hazards, some households are temporarily relocated during rehabilitation. All homeowners whose houses require interim controls or lead abatement are given the Lead Hazard Information Pamphlet and Disclosure and, if paint testing or a risk assessment was conducted, they are given a Notice of Lead Hazard Evaluation and Reduction. The LFUCG staff also conducts lead hazard evaluations of all pre-1978 units that are being purchased by low-income households under the HOME assisted first-time homebuyer programs

for the purpose of ensuring that the units are lead-safe. These homebuyers are also provided with a Lead Hazard Information Pamphlet and Disclosure and if paint testing or a risk assessment was conducted a Notice of Lead Hazard Evaluation and Reduction. The Grant Compliance staff of the Division of Grants and Special Programs also conducts lead screening on all pre-1978 housing units that are assisted under the Emergency Solutions Grants Homelessness Prevention/Rapid Rehousing activity. For other federally funded housing activities, the LFUCG staff provides lead hazard evaluations and resident notification as required by 24 CFR Part 35.

### **Actions planned to reduce the number of poverty-level families**

The Antipoverty Strategy for the Annual Action Plan is the same as that described in the 2015 Five-Year Strategic Plan.

### **Actions planned to develop institutional structure**

LFUCG's Division of Grants and Special Programs is an administrative division that reports to the Chief Administrative Officer. This division is responsible for the financial management of all federal and state grants to the Lexington-Fayette Urban County Government. The division has lead responsibility for development of the Consolidated Plan and for implementation and monitoring of CDBG, HOME, and ESG programs. In addition the division is responsible for operating a housing rehabilitation program and an emergency housing repair program for low-income households. LFUCG's Division of Engineering is responsible for planning, bidding, and constructing public improvements. This division reports to the Commissioner of the Department of Planning, Preservation, and Development. The LFUCG has employed an Affordable Housing Manager to conduct activities under the Affordable Housing Trust Fund. In 2019, this position and the local Affordable Housing Trust Fund administration will be moved to the Division of Grants and Special Programs to improve coordination with federal HOME funding and other resources. The Director of the Office of Homelessness Prevention and Intervention is housed in the Office of the Chief Administrative Officer but collaborates regularly with the Division of Grants & Special Programs, which participates in all CoC meetings.

### **Actions planned to enhance coordination between public and private housing and social service agencies**

During Fiscal Year 2015, the Lexington-Fayette Urban County Government created an Office of Homelessness Prevention and Intervention and an Office of Affordable Housing. The Director of the Office of Homelessness Prevention and Intervention serves in a leadership role to enhance coordination between public and private housing and social service agencies to end homelessness in Lexington. This includes providing leadership to the Continuum of Care process and implementing a coordinated entry system for services for homeless persons. Also in 2015, the LFUCG created an Affordable Housing Trust Fund with the mission of facilitating the preservation, production, and provision of safe, quality, affordable housing through coordination with public and private partners, investment in strategic opportunities, and policy development. The trust fund is guided by a board that includes council members, housing developers, homebuilders, financial institutions, housing providers, and providers of social services and supportive services.

The LFUCG will continue to rely upon private nonprofit social service agencies, including faith-based entities, for the provision of services to the homeless and to special needs populations such as persons

with severe mental illnesses, persons with developmental disabilities/mental retardation, persons with substance abuse problems, and persons with HIV/AIDS. Over the years, the LFUCG has established strong collaborative relationships with these organizations.

**Discussion:**

## Program Specific Requirements

### AP-90 Program Specific Requirements – 91.220(I)(1,2,4)

**Introduction:**

**Community Development Block Grant Program (CDBG)  
Reference 24 CFR 91.220(I)(1)**

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

- |  |          |
|--|----------|
| 1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed  | 0        |
| 2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan. | 0        |
| 3. The amount of surplus funds from urban renewal settlements  | 0        |
| 4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan   | 0        |
| 5. The amount of income from float-funded activities   | 0        |
| <b>Total Program Income:</b>   | <b>0</b> |

**Other CDBG Requirements**

- |   |         |
|---|---------|
| 1. The amount of urgent need activities   | 0       |
| 2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan. | 100.00% |

**HOME Investment Partnership Program (HOME)  
Reference 24 CFR 91.220(I)(2)**

- 1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:**

No other forms of investment will be used.

- 2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:**

- 3.** The jurisdiction proposes recapture of HOME funds when homebuyers sell units before the expiration of the period of affordability.

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- 4. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:**

See recapture guidelines in the unique appendices.

- 5. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:**

Use of HOME funds to refinance existing debt is not planned.

### **Emergency Solutions Grant (ESG) Reference 91.220(l)(4)**

- 1. Include written standards for providing ESG assistance (may include as attachment)**

See grantee's unique appendices.

- 2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.**

The Office of Homelessness Prevention and Intervention (HMIS Lead Agency) has produced policies and procedures for the OneDoor Lexington Coordinated Entry (coordinated assessment system). This system provides that any homeless person may enter the system through any organization and be referred for the appropriate level of services. Organizations' staff have been trained on use of the Vulnerability Index - Service Prioritization Decision Assistance Tool (VI-SPDAT). Recipients receiving funding from the U.S. Department of Housing and Urban Development's homeless assistance grants participate in the Kentucky Homeless Management Information System operated by the Kentucky Housing Corporation. Lexington has also begun requiring that all agencies receiving local and other public funds (CDBG) for services to the homeless population be compliant with entering data into the HMIS, and agree to participate in a coordinated entry system. The HMIS in Lexington is an "open" system, which means that client data is shared for those individuals who have signed a Release of Information (ROI) form. Lexington currently does not have agencies electing to keep data closed. A truly integrated centralized intake system functions best in an "open" environment that allows users to view important information about other housing and services that a client household may have received. The Central Kentucky Homeless and Housing Initiative (CKHHI) has served as the Fayette County user group for the KYHMIS; however as of May 2015 this role was assumed by the Office of Homelessness Prevention and Intervention. The Director of the Office of Homelessness Prevention and Intervention requires that all subrecipients of general fund emergency shelter dollars participate in the coordinated entry system.

At this time, the lead HMIS agency is working to improve the structure of the system. The following goals have been completed:

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- Integrating the By-Name-List into HMIS to be live and accessible to all licensed users.
- Confirming all agencies and all funding components within CoC structure.
- Restructuring all agency funding components for the ability to make multiple referrals to multiple agencies by email and share client/household data for that referral.
- Restructuring all agency funding components to comply with HUD's APR and CAPER reporting requirements.
- Conducting joint planning meeting with Kentucky Housing Corporation to establish goals in relation to Lexington-Fayette County's homeless system needs.
- Conducting HMIS user training on new system structures and how to utilize the system for a community solution.
- Conducting Coordinated Entry training for all CoC members.

**3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).**

For the 2019 Program Year, the Lexington-Fayette Urban County Government (LFUCG) used a public process to solicit applications for funding from the Emergency Solutions Grants program.

Information about regulations and eligible activities along with forms to use and applications were made available at the first public hearing on November 5, 2018. Also included were the criteria that would be used to evaluate projects. Emails and letters were sent to nonprofit agencies serving homeless persons, low-income persons, and minority populations; low-income neighborhood associations; churches in low-income neighborhoods; and Urban County Council members and their staff to inform them of the process and how to request information about funding. Hard copy and electronic documents were mailed, e-mailed, and posted online. The LFUCG website was used to inform the public of the process and timeline. The website included the calendar of events in the process and the phone number to call to request further information and/or assistance. All applications were due on or before December 14, 2018. The criteria used to review and rank applications included applicant capacity, project quality, need for project, and operational feasibility. ESG applications were reviewed and ranked by the staff of the LFUCG Division of Grants and Special Programs. These recommendations were then reviewed and approved by the Chief Administrative Officer and Mayor.

In January 2019, the Director of the Division of Grants and Special Programs consulted with the Office of Homeless Prevention and Intervention, the organizational entity that maintains responsibility for the Lexington/Fayette County Continuum of Care to discuss distribution of funds for the 2019 Emergency Solutions Grants Program. The distribution plan included the use of federal funds for rapid re-housing for homeless persons, for operation of the area's homeless shelters that made applications for funds for operations, and for administration. The Division of Grants and Special Programs will maintain ongoing coordination with the CoC in 2019. Additionally, staff from the Division of Grants and Special Programs participate in CoC meetings.

**4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions**

## **regarding facilities and services funded under ESG.**

The LFUCG is governed by a Mayor and Council members elected by popular vote, and therefore cannot be directly compliant with this requirement. The Lexington Office of Homelessness Prevention and Intervention (OHPI) was created in June 2014 with the appointment of a full-time director and the organization of a 13-member Homeless Prevention and Intervention (HPI) Board comprised of elected officials, business leaders, service providers, community advocates, faith-based organizations, and people experiencing homelessness.

The functions of the HPI Board include the following:

- Consider and recommend solutions to specific issues as they arise.
- Consider and advise Director of OHPI on broad matters that impact people experiencing homelessness.
- Review and consider progress on implementation of recommendations made by Mayor's Commission on Homelessness.
- Monitor key indicators and other data to track and understand trends.
- Support OHPI by disseminating activities and reports to respective constituencies and other key stakeholders.
- Establish guidelines for LFUCG funding to support activities that reduce and prevent homelessness.

## **5. Describe performance standards for evaluating ESG.**

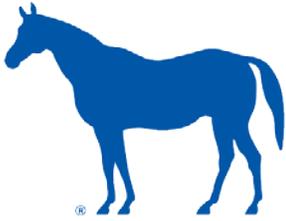
The performance standard is to move homeless individuals and families into safe and affordable permanent housing. The Office of Homelessness tracks these measures through HMIS and other reports and shares with the Division of Grants for evaluation of ESG performance.

### **Rapid Re-housing**

The performance standard is to ensure that individuals and families experiencing homelessness move into and maintain safe and affordable permanent housing. The jurisdiction utilizes reports from HMIS and the Office of Homelessness/Continuum of Care to evaluate ESG recipients.

### **Emergency Shelter**

The performance standard is to provide safe emergency shelter services for persons who are homeless, and through case management and referral, assist them with advancing to permanent housing. In addition, shelters are evaluated on average length of stay and returns to homelessness. Documentation of the number of homeless persons moving to permanent housing will be maintained and the Continuum of Care utilizes reports from HMIS to evaluate ESG recipients.



# LEXINGTON

## CONSOLIDATED PLAN ONE YEAR ACTION PLAN 2019 UNIQUE APPENDICES

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## **FAIR HOUSING AND TITLE VI**

Lexington provides funding to the Lexington-Fayette Urban County Human Rights Commission from the Community Development Block Grant Program to conduct fair housing education and outreach efforts, to analyze and eliminate housing discrimination in the jurisdiction, and to promote fair housing choice for all persons in the community. In addition to CDBG funds, LFUCG also provides the commission with \$205,725 in local funding for agency operation.

The most recent Analysis of Impediments to Fair Housing was complete in 2016. The Lexington Fair Housing Council and the Lexington-Fayette County Human Rights Commission are among the agencies that participated in its development.

The AI and associated consultations with stakeholders found that Lexington lacks adequate access to accessible/special needs housing; cost limits housing choice; low-income housing is concentrated in areas with decreased opportunity; and mortgage lending practices reduce homeownership opportunities for racial and ethnic minorities. The cost and availability of land are among the most significant factors in preventing a more integrated housing environment. Households with children are looking for housing in neighborhoods with low crime rates and higher performing schools which tend to have higher-cost housing. This pattern is self-perpetuating. Because of land costs, developers of low-income housing are unable to develop housing in neighborhoods with low crime rates and high performing schools. The LFUCG seeks to address this in its Plan by supporting development of rental units in more diverse areas of the community with access to desirable schools and services.

The jurisdiction revised its Citizens Participation Plan in 2016 to incorporate updates to federal regulations; to provide for more inclusive participation; and to update notification processes. The jurisdiction expanded use of social media, for example. The Citizens Participation Plan may also incorporate elements of Title VI requirements. Public hearings are advertised in media that serves the African American population, but are not translated into other languages.

In 2018, the LFUCG completed development of a Title VI plan that identifies the director of Global Lex as Title VI Coordinator for LFUCG. This individual, the Multicultural Affairs Coordinator, implements the plan. An analysis of LEP populations indicates that approximately 15,000 persons in Fayette County speak English less than “very well.” Spanish and Chinese are the two languages that meet the threshold requirement of 1,000 or more. Individuals who do not speak English “very well” but do speak a language other than Spanish or Chinese also need accommodation. The top 10 foreign languages spoken in Lexington are Spanish, French, Russian, Chinese (Mandarin and Cantonese), Japanese, Vietnamese, Arabic, Swahili and Portuguese. The Title VI Plan considers these languages. LFUCG’s subrecipients of CDBG, ESG, and HOME funds are required to comply with the provisions of Title VI. Most of these subrecipients serve a diverse population, and are able to provide interpreters or use a language line when necessary.

The Department of Social Services also employs a Language Assistance Coordinator at Global Lex. Global Lex assesses the service needs of Lexington’s immigrants, refugees, visitors, and other limited English proficient individuals and supports their civic integration and access to business and services in compliance with Kentucky and federal law. The office provides multilingual assistance, cross-cultural education and links to the international communities to all divisions of the Lexington-Fayette Urban County Government and to the community at-large on request.

October 19, 2018

To Whom It May Concern:

The Lexington-Fayette Urban County Government announces that a Public Hearing will be held on **Monday, November 5, 2018, at 6:00 P.M. in the Council Chambers on the second floor of the Government Center at 200 East Main Street, Lexington, KY.** The purpose of the Public Hearing is to obtain citizen comment on the housing and community development needs of Lexington-Fayette County for development of the Consolidated Plan for submission to the U.S. Department of Housing and Urban Development in 2019. The 2019 Consolidated Plan will contain a one-year action plan that addresses decent housing, a suitable living environment, and expanded economic opportunities for low- and moderate-income residents and will serve as the application for funding from the Community Development Block Grant (CDBG) program, the HOME Investment Partnerships program, and the Emergency Solutions Grants (ESG) program.

Information that will be provided at the public hearing includes a summary of the history of these programs in this community and the range of activities that may be undertaken through the CDBG, HOME, and ESG programs. Estimates of the amount of funds the government expects to receive for the period July 1, 2019 through June 30, 2020, will also be provided. Forms for requesting funding from HOME, CDBG, and ESG will be available at the public hearing.

If you have any questions, or desire additional information regarding this public hearing, please contact Suzie Loveday, Grants Manager, Grants and Special Programs, 200 East Main Street, 6th Floor, Lexington, KY 40507, 258-3070 (TDD 425-2563). As of November 6, 2017, information provided at the public hearing, including application forms, will be available on the Lexington-Fayette Urban County Government's web page at **[www.lexingtonky.gov/grants](http://www.lexingtonky.gov/grants)**.

If you are a person with a disability that would necessitate assistance so that you might participate in the above listed meeting, please contact Grants and Special Programs at 258-3070 (TDD 425-2563) as far in advance of the meeting as possible so that arrangements may be made.

Sincerely,

Charlie Lanter  
Director





March 4, 2019

Dear Citizen:

The Lexington-Fayette Urban County Government announces that a second Public Hearing will be held on Monday, March 18, 2019, at 6 PM in the Council Chambers, 2nd floor of the Government Center at 200 E. Main St., Lexington, KY. The purpose of the Public Hearing is to obtain citizens' views on the development of the Consolidated Plan one-year Action Plan that is to be submitted by LFUCG to the U.S. Department of Housing and Urban Development and to provide information on housing and non-housing needs of the low- and moderate-income residents of the community.

Information that will be provided at the Public Hearing includes:

- the amount of federal assistance that LFUCG expects to receive from the CDBG, ESG, and HOME programs for federal program year 2019 and plan to address any differences in the final allocation amounts,
- the range of activities which may be undertaken through these programs, including the amount that will benefit persons of low and moderate income and information on the proposed priorities, and
- the proposed activities to be undertaken in the one-year action plan for the period July 1, 2019 through June 30, 2020.

If you have any questions, or desire additional information regarding this public hearing, please contact Charlie Lanter, Director, Grants and Special Programs, 200 East Main Street, 6th Floor, Lexington, KY 40507, 258-3070 (TDD 425-2563). You may also submit your questions via email: [clanter@lexingtonky.gov](mailto:clanter@lexingtonky.gov). Information concerning the Consolidated Plan process is available on the LFUCG's web page at <https://www.lexingtonky.gov/consolidated-plan>.

The Lexington-Fayette Urban County Government operates its programs and services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act of 1964. If information is needed in languages other than English or if you are a person with a disability that would necessitate assistance so that you might participate in the above listed meeting, please contact Grants and Special Programs at 859-258-3070 at least 7 days in advance of the public hearing so that arrangements may be made.

Sincerely,

Charlie Lanter  
Director





**DRAFT 2019 Consolidated Plan One-Year Action Plan  
May 10, 2019**

The Lexington-Fayette Urban County Government (LFUCG) announces that as of Friday, May 10, 2019, the DRAFT 2019 Consolidated Plan one-year Action Plan will be available for review by interested parties. The purpose of the Consolidated Plan is to serve as a planning document for the LFUCG's participation in the U.S. Department of Housing and Urban Development's community planning and development programs. The overall goal of these programs is to develop viable urban communities by providing decent housing and a suitable living environment and expanding economic opportunities for low and moderate-income persons.

The 2019 Action Plan is a one-year plan that provides for the allocation of federal funding from:

- the Community Development Block Grant (CDBG) program in the amount of \$2,346,550
- program income from the CDBG program in the amount of \$175,000
- federal funding in the amount of \$1,228,568 from the HOME program
- \$300,000 in local cash match for the HOME program
- \$150,000 program income from the HOME Program
- \$195,464 in federal funding from the Emergency Solutions Grants (ESG) program and \$62,664 in local cash match for the ESG program.

The annual action plan provides for these funds to be expended on public improvements, housing rehabilitation, public services, first time homebuyer program, rehabilitation and new construction of rental units, rapid rehousing and prevention, operational support for emergency and transitional housing, and planning and administration activities. The one-year period is from July 1, 2019, to June 30, 2020.

As of Friday, May 10, 2019, copies of the Action Plan will be available for public examination in the Reference Room at the Lexington Public Library located at 140 East Main Street and at the Library's branch locations. The Action Plan may also be examined in the office of Grants and Special Programs, Lexington-Fayette Urban County Government, 200 East Main Street, 6th floor, between the hours of 8:00 a.m. and 4:00 p.m., Monday through Friday or online at <https://www.lexingtonky.gov/consolidated-plan>. A reasonable number of free copies may be obtained from Grants and Special Programs. If information is needed in languages other than English, please contact the Division of Grants and Special Programs at 859-258-3070 (TDD 425-2563).

Citizen comments will be accepted for a period of 30 days, Friday, May 10, 2019, through 5:00 p.m., Sunday, June 9, 2019. Please address comments to the attention of Suzie Loveday, Grants Manager, Grants and Special Programs, LFUCG, 6th Floor, 200 East Main Street, Lexington, KY 40507. You may also submit your comments via email: [sloveday@lexingtonky.gov](mailto:sloveday@lexingtonky.gov). Information concerning the Consolidated Plan process is available on the LFUCG's web page at <https://www.lexingtonky.gov/consolidated-plan>.



PROCESS USED TO RECOMMEND PROJECTS FOR FUNDING  
2019 ONE-YEAR ACTION PLAN  
CONSOLIDATED PLAN

For the 2019 Program Year, the Lexington-Fayette Urban County Government (LFUCG) used a public process to solicit applications for funding from the Community Development Block Grant program, the HOME Investment Partnerships program, and the Emergency Solutions Grants program.

At the first Public Hearing on November 5, 2018, information on regulations and eligible activities along with forms to use were made available. Also included were the criteria that would be used to evaluate projects. Letters and emails were sent to nonprofit agencies serving homeless persons, low-income persons, and minority populations, low-income neighborhood associations, churches in low-income neighborhoods, and to Urban County Government council members and their staff was conducted to inform them of the process and how information on requesting funding could be obtained such as paper copies mailed from the government agency, email, and downloading of fill-in the blank forms from the LFUCG web page. The LFUCG website was also used to inform the public of the process that would be followed. The website included the calendar of events in the process and the phone number to call to request further information and/or assistance.

All applications were due on or before December 14, 2018. The criteria used to review and rank applications included applicant capacity, project quality, need for project, and operational feasibility. CDBG public facilities, public improvements, and housing applications along with ESG, and HOME applications were reviewed and ranked by the staff of the LFUCG Division of Grants and Special Programs. Applications recommended for funding were reviewed based upon applicant capacity, project quality, need for project, and operational feasibility. These recommendations were then reviewed and approved by the Chief Administrative Officer and Mayor's staff.

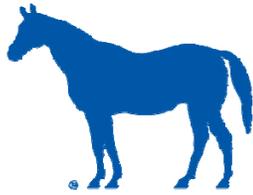
A Second Public Hearing was conducted on March 19, 2018. The draft plan was published on March 18, 2019. Final decision on funding rests with the Urban County Council. During the expiration of the 30-day public comment period that ends on June 9, 2019, the Council reviews the plan for adoption at its meetings on May 16 and June 6<sup>th</sup>.

# HUD ANNUAL ACTION PLAN 2019

## Proposed Projects & Applications Received

	FEDERAL	PROGRAM INCOME	REQUIRED MATCH	TOTAL REVENUE		
<b>CDBG</b>	<b>\$2,346,550</b>	<b>\$175,000</b>		<b>\$2,521,550</b>		
				<i>Recommended Award</i>	<i>Previous Year</i>	<i>Requested Amount/Need</i>
<b>CONTINUATION PROJECTS</b>						
Administration and Planning: (limit of 20% of award):						
				Administration: Grants & Special Programs Staff, Other expenses	\$220,000	\$240,000
				Human Rights Commission- Education and Outreach	\$50,000	\$65,000
Infrastructure:						
				Meadows/Northland/Arlington	\$600,000	\$800,000
				Liberty Road Sidewalks	\$0	\$100,000
Housing:						
				Housing Rehabilitation Operations/Staff	\$392,283	\$328,000
				Housing Rehabilitation, owner-occupied,	\$360,064	\$300,000
				Housing Rehabilitation, Emergency Repair	\$50,000	\$50,000
				Realtor Community Housing Foundation-Ramp Program	\$0	\$51,644
Public Facilities:						
				CASA - Acquisition of Facility	\$0	\$500,000
				Living Arts & Science Center - Heating & Cooling Replacement	\$0	\$49,730
				Alano Club Rehab	\$0	\$207,280
Supportive Services: (limit of 15% of award):						
				Arbor Youth Services- youth services - Outreach Center	\$27,304	\$31,752
				Big Brothers Big Sisters of the Bluegrass- School Plus Ment. Prog.- Year 3	\$20,000	\$30,000
				Police Activities League - Year 18	\$25,000	\$121,060
				New Beginnings Bluegrass--Housing Navigator Program Year 2	\$40,000	\$55,000
				The Salvation Army - Boys & Girls Club - NEW	\$0	\$30,000
				Repairers Lexington, Inc. - Youth Educational & Enrichment Year 3	\$10,000	\$10,000
				Radio Eye - Year 2	\$10,000	\$25,000
				Living Arts & Science Center - STEAM Program	\$0	\$34,832
<b>SERVICES MAXIMUM</b>		<b>\$ 378,233</b>	<b>Total Services:</b>	<b>\$128,338</b>		
<b>TOTAL AWARDS RECOMMENDED</b>				<b>\$2,521,550</b>		
<b>TOTAL CDBG FUNDS REQUESTED</b>						<b>\$3,035,298</b>
	FEDERAL	PROGRAM INCOME	REQUIRED MATCH	TOTAL REVENUE		
<b>HOME</b>	<b>\$1,228,568</b>	<b>\$150,000</b>	<b>\$300,000</b>	<b>\$1,678,568</b>		
				<i>Recommended Award</i>	<i>Previous Year</i>	<i>Requested Amount/Need</i>
<b>Homeownership</b>						
				REACH, Inc.	\$50,000	\$200,000
				Lexington Habitat for Humanity	\$0	\$125,000
<b>Administratior</b>						
				Division of Grants and Special Programs	\$99,000	\$100,000
				REACH Admin for Homebuyer Program	\$10,000	\$10,000
				Fayette County Local Development Corporation CHDO Operation Grant	\$20,000	\$20,000
				Reach CHDO Operation Grant	\$20,000	\$20,000
<b>CHDO - Rental Housing Development</b>						
				Fayette County Local Development Corporation (CHDO required 15% minimum of federal award)	\$135,000	\$200,000
<b>CHDO - Homebuyer</b>						
				REACH CHDO	\$135,000	\$300,000
<b>Housing Rehab</b>						
				LFUCG Single Family Housing Rehab	\$100,000	\$200,000
<b>Rental Housing Development*</b>						
				AU Associates - Kearney Creek Apartments	\$0	\$800,000
				AU Associates - Oasis at Kearney Creek	\$0	\$500,000
<b>TOTAL AWARDS RECOMMENDED</b>				<b>\$1,678,568</b>		
<b>TOTAL REQUESTS FOR HOME</b>						<b>\$2,475,000</b>
	FEDERAL	PROGRAM INCOME	REQUIRED MATCH	TOTAL REVENUE		
<b>ESG</b>	<b>\$195,464</b>	<b>\$0</b>	<b>\$195,464</b>	<b>\$390,928</b>		
				<i>Recommended Award</i>	<i>Previous Year</i>	<i>Requested Amount/Need</i>
				<i>LFUCG Match</i>		
				<i>Agency Match</i>		
				Rapid Rehousing-Community Action Council	\$25,000	\$152,000
				Rapid Rehousing - Arbor Youth Services	\$0	\$160,638
				Shelter Operations: Hope Center for Men	\$70,000	\$120,000
				GreenHouse17	\$40,000	\$49,620
				The Salvation Army	\$0	\$60,000
				Arbor Youth Services	\$19,708	\$195,000
			<i>These agencies provide their own match.</i>	\$104,320		
			Administration--LFUCG	\$7,688	\$12,664	\$10,000
<b>TOTAL AWARDS RECOMMENDED</b>				<b>\$195,464</b>		
<b>TOTAL REQUESTS FOR ESG</b>						<b>\$747,258</b>
<b>TOTAL AWARDS RECOMMENDED (CDBG, HOME, ESG)</b>					<b>\$4,395,582</b>	

\$ 495,464.00



# LEXINGTON

## **FIRST TIME HOMEBUYER ASSISTANCE GUIDELINES HOME Investment Partnership Program MAY 2016**

### **INTRODUCTION**

The Lexington-Fayette Urban County Government (LFUCG) will make HOME funds available to nonprofit corporations for the purpose of developing and operating first-time homeownership programs for low-income households. The government's primary objective in using part of its HOME allocation for first-time homeownership programs is to increase the number of affordable housing units in the community and to increase the opportunities for homeownership for low-income families in Fayette County. In general, the LFUCG will provide HOME funds to approved nonprofits for the purpose of purchasing or rehabilitating existing single-family houses; new construction of single family houses which will be marketed to eligible and qualified first-time homebuyers; and direct assistance to first-time homebuyers for the purchase of new or existing single-family houses. Assistance will be provided to eligible homebuyers under the recapture option.

These guidelines will serve as operational parameters within which the nonprofits can receive HOME funds and provide financial assistance to first-time homebuyers. Hereinafter in this document, nonprofits may be referred to as grantor agencies. In addition to these guidelines, all projects funded under the HOME Investment Partnerships Program are subject to the regulations codified at 24 CFR Part 92.

### **STATEMENT OF INTENT**

The content of this document establishes the operating parameters for all Lexington-Fayette Urban County Government HOME funded first time homebuyer programs. It is the intent of the Lexington-Fayette Urban County Government to provide in each homebuyer case the smallest subsidy necessary to make the purchase possible. As the Lexington-Fayette Urban County Government provides funds for the first time homebuyer programs of several non-profits, it is the responsibility of each non-profit to attract other public and private funds and to minimize the use of HOME funds.

### **FAIR HOUSING**

LFUCG administers a variety of HUD programs and is required to affirmatively further the purposes and policies of the Fair Housing Act, which is Title VIII of the Civil Rights Act of 1968. The Fair Housing Act not only prohibits discrimination, but in conjunction

with other statutes, directs LFUCG to take steps to proactively overcome historic patterns of segregation, promote fair housing choice, and foster inclusive communities for all.

Under Consolidated Plan regulations, LFUCG is required to undertake fair housing planning, which consists of the following: 1) an Analysis of Impediments (AI) to fair housing choice; 2) actions to address the identified impediments; and 3) maintenance of records to support the affirmatively furthering fair housing certification.

The Affirmative Marketing Plan is part of the 2015 Consolidated Plan which may be viewed on the LFUCG website at [www.lexingtonky.gov](http://www.lexingtonky.gov).

### **ELIGIBLE FIRST-TIME HOMEBUYERS**

All Applicants for homebuyer assistance must meet the following criteria:

- Be a first time homebuyer (Borrower cannot currently own or have owned a home for at least the last three years)
- Must occupy the home as its principal residence throughout the period of affordability
- Must not have at any time in the past received HOME funding for homebuyer assistance as provided by the LFUCG
- Must have completed 8 hours pre-purchase counseling and homebuyer education through a HUD-certified counseling agency as evidenced by a Certificate/Letter of Completion. In lieu of HUD-certified counseling, LFUCG may approve an alternate counseling program.
- Annual household income, as calculated by HUD regulations at 24 CFR Part 5, must not exceed 80% of the Area Median Income limit for the Lexington-Fayette MSA. The purchasing household must be low income at the time of approval by the Division of Grants and Special Programs, or at the time the HOME funds are invested, whichever is later. Verification of income is required and is good for a period of six months.

Funds are available for any low-income family that has been a resident of Fayette County Metropolitan Service Area for one (1) year which includes: Bourbon, Clark, Fayette, Jessamine, Scott and Woodford Counties. The assisted unit must be located in Fayette County.

### **ELIGIBLE ACTIVITIES**

- New Construction
- Acquisition and rehabilitation of existing vacant single-family residential structures
- Acquisition of an existing unit that meets Housing Quality Standards and local property maintenance code

Nonprofits may use HOME funds to purchase and rehabilitate properties whose after-rehab appraised value is less than actual costs of production only with prior written

approval from the Division of Grants and Special Programs. In cases where the costs for acquisition and rehabilitation are greater than 120% of the after-rehab fair market value, the grantor agency shall document the reasons for excess costs and obtain written permission of the Lexington-Fayette Urban County Government's Division of Grants and Special Programs before proceeding with the project.

The Lexington-Fayette Urban County Government's Division of Grants and Special Programs will evaluate on a case-by-case basis each project in which costs are expected to exceed 120% of the fair market value of the property to determine an acceptable level of excess costs. The LFUCG Division of Grants and Special Programs will consider such factors as location, size, and environmental factors (Examples are presence of lead-based paint and lead-based paint hazards, presence of asbestos and historic preservation requirements) in its evaluation of each property.

### **INELIGIBLE ACTIVITIES**

- Luxury improvements or improvements that exceed the neighborhood standard Reconstruction of a unit that was not standing at least 12 months prior to the commitment of HOME funds
- Land acquisition or demolition that does not result in a unit of affordable housing

### **ELIGIBLE PROPERTIES**

The property must be located in Fayette County. Effective May 2, 2016, the value of an existing home may not exceed \$149,000. The value of a new home may not exceed \$228,000. All properties must be appraised by a state licensed or certified appraiser in the Commonwealth of Kentucky prior to purchase.

### **PROPERTY STANDARDS**

New construction of single family units (units that were constructed during the past 12 months) shall comply with the building codes adopted by the LFUCG Division of Building Inspection. Effective January 1, 2014, the 2013 KRC (2012 IRC with 2013 Kentucky Amendments) applies to construction of single family residential buildings.

An existing housing unit (twelve months or older) must meet the Section 8 Housing Quality Standards and the local property maintenance code. In addition, a home inspection is required for all existing homes, by a state licensed inspector. If the property requires rehabilitation LFUCG Building codes apply as well as rehabilitation standards adopted by the LFUCG Division of Grants and Special Programs.

The property type must be a single family property (one unit detached) and deeded as such. Condominiums and duplexes will not be considered.

### **FORM OF OWNERSHIP**

For the purposes of the HOME program, homeownership means ownership in fee simple title.

**PERIOD OF AFFORDABILITY**

The HOME rule at §92.254(a)(3) requires that all HOME-assisted homebuyer housing be acquired by an eligible low-income family, and the housing must be the principal residence of the family throughout the period of affordability.

The following table outlines the required minimum affordability periods.

<b>If the total HOME investment or direct subsidy in the unit is:</b>	<b>The period of affordability is:</b>
Under \$15,000	5 years
Between \$15,000 and \$40,000	10 years
Over \$40,000	15 years

The mortgage documents and/or deed restrictions must include language detailing the affordability period and the recapture provisions.

**AFFORDABILITY CRITERIA**

All applicable ratios noted below are based on the Income of the qualifying applicant for a 30 year conventional mortgage. If the qualifying applicant is married, the income of both spouses will be included in determining the ratios even if only one applicant is the qualifying applicant. The monthly expenditure for Principal, Interest, Taxes, and Insurance (PITI) shall not be less than the percentage of gross household income indicated in the table below and shall not be more than 33% of the gross income at the time of loan approval. All applicants should only be provided gap financing based on the maximum amount of mortgage they can repay.

If the homebuyer receives a Housing Assistance Payment (HAP) from HUD’s Section 8 Housing Program, the minimum percentages are not applicable for PITI.

<b>Family Size</b>	<b>Minimum PITI %</b>
1	20%
2	19%
3	18%
4	17%
5	16%
6	15%
7	14%
8	13%

The first-time homebuyer may not commit more than 41% of their gross income for total long-term debt. Long-term debt is defined as debt exceeding repayment for more than 6 months, or debt with an outstanding balance of more than \$3,000. The homebuyer will be required to commit to the financing of the purchase of the home, all cash reserves, to include checking and savings accounts, cash on hand, and certificates of deposit, which is in excess of six months of PITI unless pre-approved by the Division of Grants and Special Programs. There is no requirement that first-time homebuyers remain low income after they purchase the property. Increases or decreases in gross income or changes in PITI do not affect the eligibility of a family outside of the six-month period noted in the section on homebuyer eligibility. If homeowner association fees are required, then these will be considered as housing costs and counted along with PITI.

All variances in calculating the required percentages noted above must have prior written approval from the Division of Grants and Special Programs.

### **Borrower Criteria and Credit Worthiness**

Of all criteria used to evaluate the credit worthiness and capacity of a low- and moderate-income borrower, the individual borrower's credit must be the driving determinant factor. Each household will be evaluated on a case-by-case basis in order to determine credit-worthiness.

Income must have a history, be verifiable in the present and be able to be relied upon in the future. Income history must cover at least cover a twelve-month period. It must be verifiable in writing through traditional sources and/or tax returns. Tax returns are only acceptable verification for self-employed persons.

*Definition of Household Size and Members:* The Household is comprised of ALL individuals who will be occupying the home over the next or upcoming twelve months. The following individuals are not counted as part of the household: foster children, unborn children, children who live with the applicant (parent) less than 50% of the time, children being pursued for legal custody or adoption who are not yet living with the household at the time of application, and non-family care-takers. A child who resides with the household at least 50 percent of the time and receives over 50% of the care from the applicant, can be counted as a household member.

### **FORMS OF SUBSIDY**

- A. *Principal Reduction.* In order to make the monthly carrying cost of PITI affordable to the homebuyer, the Urban County Government will allow HOME funds to be used by the grantor agencies to subsidize units by providing "gap" financing or principal reduction to make up the difference between the market value of the property and a sales price that renders the monthly PITI affordable. A **second** mortgage shall be placed upon the property by the grantor agency or the Lexington-Fayette Urban County Government. The second mortgage shall provide for the **RECAPTURE** of the HOME subsidy in the event that the homebuyer sells the property, is foreclosed upon by another mortgagee, or ceases to occupy the property as the principal residence.

- B. *Amount of Subsidy.* For eligible first time home buyers below 80% of median income, the maximum home purchase subsidy may be \$20,000 for 1 person households, \$25,000 for households of 2 and \$30,000 for households of 3 or more if needed. The HOME subsidy may be used to fund acquisition costs up to 106% of fair market value to include eligible closing costs. The minimum HOME subsidy cannot be less than \$1,000.
- C. *Development Subsidy.* In the event the total development costs exceed the appraised value, the house may not sell for more than the appraised value. The difference between the total development costs and the appraised value is development subsidy. LFUCG permits eligible grantor agencies to use HOME funds as development subsidy with a minimum of \$1,000 provided as a direct subsidy to the homebuyer. Eligible grantor agencies will be required to submit documentation to LFUCG to support the necessity of a development subsidy. This may include but is not limited to an appraisal and a detailed final cost breakdown.

### **TERMS**

The buyer will be required to invest at least \$500 in cash at the time of closing. The remaining funds needed for closing costs, downpayment, or principal reduction will be provided in the following forms:

- 1) 2% repayable loan for homebuyers between 71% and 80% of median income with a term of 20 years.
- 2) 1% repayable loan for homebuyers between 61% and 70% of median income with a term of 20 years.
- 3) A non-repayable loan for homebuyers at or below 60% of area median income with a term of 20 years. Beginning in year 11, 10% of the loan amount will be forgiven each year.

The monthly repayment amount for any repayable HOME loan will be included in the cap of 33% of gross income for PITI. The Urban County Government will take loan servicing responsibility for repayable loans in the form of receiving and documenting payments, unless otherwise approved in a written agreement. The requirements of private lenders and government regulations must prevail if the terms of the direct loan would violate said requirements and regulations. Any deviations from the terms stated above will require justification and prior approval from the Division of Grants and Special Programs.

### ***Example:***

*For a 3-person household, the maximum amount of income to be eligible for the HOME Program is \$49,100. The family has two parents who work at jobs earning minimum wage which is currently set at \$7.25 an hour. Their total combined family income is \$30,160. Their PITI must be at least 18% of \$30,160 which is \$452.40 per month.*

*100% of the area median income for a family of 3 is \$61,375. At \$30,160, the family is making approximately 49% of the Area Median Income. Because the family is below*

60% AMI, the family is eligible for a nonrepayable loan that is forgiven starting in year 11.

*The family has found a 3-bedroom house listed at \$140,000. A typical mortgage will have a term of 30 years and an interest rate of 4.0%. The base payment is \$668.38 with an additional \$200 a month for taxes and insurance that raises the total payment to \$868.38. The family has met their minimum PITI ratio but has exceeded the maximum PITI ratio of 33%. Therefore, the family has a gap that can be filled with HOME funding. The amount of gap that will be provided will depend on several factors such as the amount of debt. In this scenario, the family has financial obligations of \$250 each month which gives them a back-end ratio of 44.5%, which is well above the maximum of 41%. This family is eligible for up to \$30,000 in HOME funding. If they are given a grant of \$25,000, they now have a base payment of \$549 plus \$200 in taxes and insurance for a total of \$749.03 which is 29.8% of their income. With other financial obligations totaling \$250, their back-end ratio is now reduced to 39.75% which puts them within the allowable financial ratios.*

### **SUBORDINATION**

The grantor agency may provide for subordination of the mortgage(s) securing the HOME subsidy only if as identified: (1) if there is no change in the government's mortgage position, total encumbrances cannot exceed 106% of the appraised value of the property; (2) if there is a change to the government's position, third position is the lowest acceptable, and total encumbrances do not exceed 90% of the appraised value (appraiser subject to approval by the LFUCG) and the total long-term debt as defined previously does not exceed 41% of the households and the reason for the subordination is capital improvements for the subject property. The government reserves the right to decline the subordination requests if the terms of the new mortgage are determined to negatively impact the homeowner's financial position.

### **VIOLATION OF RESTRICTION ON PRINCIPAL RESIDENCE**

In the event that the homebuyer ceases to occupy the HOME-subsidized unit as his principal residence during the required period of affordability, the Mortgagee shall provide for foreclosure of the mortgage which secures the HOME subsidy.

### **INSURANCE REQUIREMENTS**

Grantor agencies are responsible for ensuring that HOME units are properly insured during the construction/rehab process. Grantor agencies should also ensure through mortgages that the assisted property remains insured throughout the affordability period. At a minimum, the policy must be in an amount sufficient to cover the HOME investment. If HOME is subordinate to another mortgage, the policy must cover both mortgages. For all home buyer units, either the LFUCG or the grantor agency must be listed as a loss payee on the insurance policy. LFUCG shall contract with a loan servicing agency that has the capacity to purchase forced placed insurance in the event that homeowner fails to maintain coverage.

### **SECURITY**

All properties developed under a HOME-assisted first-time homebuyer program, whether or not the first-time purchaser receiving a repayable or non-repayable loan as described above, will be considered to be HOME-assisted and therefore are subject to all HOME restrictions.

All HOME restrictions regarding the period of affordability and use of property as principal residence during the period of affordability shall be included in the loan agreement, mortgage, and mortgage note, made in favor of the grantor agency or the Lexington Fayette Urban County Government; however, if the unit only receives a Developer's subsidy, then a recorded Deed of Restriction is also required.

The Lexington Fayette Urban County Government must approve all loan agreements, mortgages, mortgage notes, and deed of restrictions (if applicable) for properties assisted under the provisions of these guidelines prior to a grantor beginning a program.

If and when possible, the LFUCG will encourage participating private lenders to include all pertinent HOME requirements in the loan and mortgage documents for the private financing.

### **ASSUMABILITY OF SUBSIDY**

No HOME subsidy mortgage may be assumed during the period of affordability.

### **USE OF RECAPTURED HOME SUBSIDY**

Any HOME funds recaptured by the grantor agency under the provisions of these guidelines shall be returned to the Lexington-Fayette Urban County Government within ten days of receipt, unless otherwise noted in a written agreement.

### **PROGRAM INCOME**

All program income must be reported and returned to the LFUCG within 10 days of receipt, unless otherwise noted in a written agreement.

### **REPORT TO THE LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT**

The grantor agency shall report all pending property sales, all pending foreclosures (pertaining to events during the period of affordability), and violations of restrictions on use of HOME-assisted properties as principal residences of homebuyers to the Lexington-Fayette Urban County Government within five working days of their knowledge of the action.

### **HOME RELOCATION REQUIREMENTS**

A HOME-assisted homeownership project is subject to relocation requirements under the Uniform Relocation Act (URA). In order to avoid the costs of relocation and to avoid the displacement of persons, the Urban County Government requires that nonprofits purchase only vacant properties or properties which are owner-occupied and are being publicly marketed. An owner-occupant who sells a property is not eligible for relocation assistance under the URA as long as the seller, prior to sale is informed in writing: (1) of the fair market value of the property; and (2) that the buyer does not have the power

of eminent domain and, therefore, will not acquire the property if negotiations fail to result in an amicable sales agreement. The nonprofit will be required to document all steps of the acquisition. If vacant units are purchased, the government will evaluate whether or not the seller removed tenants in order to sell a "vacant" building.

### **CONFLICT OF INTEREST**

All grantor agencies must establish a Conflict of Interest policy that adheres to 24 CFR Part 84.84, and 2 CFR 200, as applicable. Potential conflicts of interest may arise from many situations. Some of the more common examples are:

- Requests for program assistance from employees, families of employees or board members, or families of board members of recipients or sub-recipients
- Recipients or sub-recipients contracting with or procuring materials from employees, families of employees or board members, or families of board members of recipients or sub-recipients.

All HOME grantor agencies are responsible for identifying situations in which a conflict of interest, whether real or perceived, may exist. If a conflict of interest is identified, the grantor agency must seek an exemption before proceeding with the project.

### **LEAD-BASED PAINT (For all pre-1978 units)**

*Per 24 CFR Part 35, sellers must disclose to the purchaser or lessee the presence of any known lead-based paint and/or lead-based paint hazards; provide available records and reports; provide the purchaser or lessee with a lead hazard information pamphlet; give purchasers a 10-day opportunity to conduct a risk assessment or inspection; and attach specific disclosure and warning language to the sales or leasing contract before the purchaser or lessee is obligated under a contract to purchase or lease target housing.*

All grantor agencies shall ensure that these regulations are followed.

### **APPLICATION FOR HOMEOWNERSHIP ASSISTANCE**

Each grantor agency must develop and use a standard program application form. Each household must complete the standard application form. If necessary, the grantor agency will provide assistance in preparing the form, especially to the elderly, handicapped, limited-English speaking persons and persons who are unable to read and/or write. A Uniform Residential Loan Application is not considered a program application and cannot be used as such under this program.

Each grantor agency shall comply with Title VI of the Civil Rights Act, ensuring that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Each grantor agency shall implement a language assistance program for persons who have limited English proficiency.

### **HOME INCOME LIMITS**

Annual household income must be calculated based on HUD regulations at 24 CFR Part 5 and compared to the most recent HUD Income limits based on HUD estimates of median family income, with adjustments based on family size.

### **BENEFICIARY AGREEMENT**

All prospective first-time homebuyers will receive counseling on the obligations, terms, and conditions associated with a HOME funded property. This counseling will cover how the first-time homebuyer program works and require the potential homebuyer to sign acknowledgement of program guidelines.

#### ***Revision History:***

F:\WP51\HCD\HCDGEN\2400-001.doc - August 1, 2001

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F:\WP51\HCD\HCDGEN\fthbguide804.doc

Revised March 2007

Revised October 2007

Revised February 2008

Revised May 9, 2008

Revised March 2010

Revised April 28, 2011

Revised April, 25, 2013

Revised February 25, 2014

Revised May2016

**LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT**  
**HOME FIRST TIME HOMEBUYER ASSISTANCE**

**RECAPTURE PROVISIONS**

**MAY 2016**

In the event that the HOME-subsidized property is sold during the period of affordability, Lexington-Fayette Urban County Government (LFUCG) will follow these provisions as established in the HOME regulations at 24 Code of Federal Regulations 92.254(a)(5). The period of affordability is based upon the direct HOME subsidy provided to the homebuyer.

**Direct HOME subsidy** is the amount of HOME assistance that enabled the homebuyer to buy the unit. The direct subsidy includes downpayment, closing costs, interest subsidies, or other HOME assistance provided directly to the homebuyer. Only the direct subsidy amount provided to the homebuyer is subject to recapture.

If the home is SOLD prior to the end of the affordability period, the net proceeds from the sale, if any, will be returned to LFUCG. **Net proceeds** are defined as the sales price minus superior loan repayment (other than HOME funds) and any closing costs. Under no circumstances can LFUCG recapture more than is available from the net proceeds of the sale. If the net proceeds exceed the original HOME subsidy amount the excess will be paid to the homeowner.

Other than the actual sale of the property, if the homebuyer/homeowner breaches the terms and conditions for any other reason, e.g. no longer occupies the property as his/her principal residence, the full amount of the subsidy is immediately due and payable.

**Example:**

A homebuyer receives \$10,000 of HOME downpayment assistance to purchase a home. The direct HOME subsidy to the homebuyer is \$10,000, which results in a five-year period of affordability. If the homebuyer sells the home after three years, LFUCG would recapture, assuming that there are sufficient net proceeds, the entire \$10,000 direct HOME subsidy. The homebuyer would receive any net proceeds in excess of \$10,000.

## **AFFIRMATIVE MARKETING PLAN**

As a participating jurisdiction, the Lexington-Fayette Urban County Government will comply with the Affirmative Marketing Requirements of the HOME Investment Partnerships Program. The following will be the policies and procedures of the Urban County Government.

In order to ensure compliance with the provisions of 92.351 the Lexington-Fayette Urban County Government will:

- A. Include Affirmative Marketing/Equal Opportunity Requirements as part of request for proposals on all HOME-assisted projects.
- B. Include Equal Housing Logo in all published program notices and information.
- C. Require that all HOME-assisted projects use the Equal Housing Logo in all advertising.
- D. Require that HOME-assisted projects notify minority and fair housing associations, ministerial groups, housing counseling services, neighborhood organizations, and other relevant groups of the availability of rental units, of the Affirmative Marketing Requirements of the HOME Investment Partnerships Program, and to request their assistance in marketing outreach.
- E. Require that the HOME-assisted project maintain copies of material and relevant information to document affirmative marketing actions.
- F. The Lexington-Fayette Urban County Government will include a clause in the Loan and Mortgage Agreement with the project owner which will call for the Mortgage to be immediately due and payable if the project owner is found to be in violation of Fair Marketing Requirements. In addition, the Loan Agreement and Mortgage will include provisions which allow the Lexington-Fayette Urban County Government to monitor for the relevant period of affordability the Equal Opportunity/Affirmative Marketing Requirements of the program and to require that the project owner take whatever corrective action that the Lexington-Fayette Urban County Government deems appropriate.

## Lexington-Fayette Urban County Government Standards for Providing ESG Assistance May 2019

The standards for operating rapid rehousing/homelessness prevention programs are detailed below.

### RAPID RE-HOUSING

LFUCG has adopted the Coc’s Rapid Rehousing Standards (attached).

### HOMELESSNESS PREVENTION

ESG funds may be used to provide housing relocation and stabilization services and medium-term rental assistance necessary to prevent an individual or family from moving into an emergency shelter or another place described in paragraph (1) of the “homeless” definition in 24 CFR §576.2. This assistance, referred to as homelessness prevention, may be provided to individuals and families who meet the criteria under the “at risk of homelessness” definition **or** who meet the criteria in paragraph (2), (3), or (4) of the “homeless” definition in 24 CFR §576.2 **and** have an annual income **below 30 percent** of median family income for the area, as determine by HUD.

The costs of homelessness prevention are only eligible to the extent that the assistance is necessary to help the program participant regain stability in the program participant’s current permanent housing or move into other permanent housing and achieve stability in that housing.

ESG’s *Homeless Prevention* program will serve households who have the highest risk of becoming homeless without ESG assistance. In particular,

- families with children lacking stable housing, who meet the definition of at-risk, and
- youth between the ages of 18 and 24 who have aged out of foster care and who have no support networks

### EMERGENCY SHELTER OPERATIONS

ESG funds may be used for costs of providing essential services to homeless families and individuals **in** emergency shelters, renovating buildings to be used as emergency shelter for homeless families and individuals, and operating emergency shelters. Refer to 24 CFR §576.102 for eligible costs and requirements.



Emergency Solutions Grant Funds will be used for operation of emergency shelters for single men, single women, families, unaccompanied youth, and victims of domestic violence. Emergency shelters are defined as facilities that provide overnight accommodations for homeless persons.

### ***Written Standards***

Shelters must establish written standards for the provision of assistance under the Emergency Solutions Grants program and apply these standards consistently for all program participants, to fully staff the facilities and provide for appropriate supervision at all times, and to provide adult individual or group counseling, advocacy and referrals, job-skills training, and job placement assistance, and a follow-up program to homeless persons.

### ***In-take Procedures***

Shelters must maintain and follow written intake procedures to ensure compliance with the homeless definition. The procedures must require documentation at intake of the evidence relied upon to establish and verify homeless status. The procedures must establish the order of priority for obtaining evidence as third-party documentation first, intake worker observations second, and certification from the person seeking assistance third. However, lack of third party documentation must not prevent an individual or family from being immediately admitted to emergency shelter, receiving street outreach services, or being immediately admitted to shelter or receiving services provided by a victim service provider.

### ***HMIS Requirement***

All client information is to be entered correctly into the approved Homeless Management Information System or comparable database used by victim service or legal service providers. This information is acceptable evidence of third-party documentation and intake worker observations if the HMIS retains an auditable history of all entries, including the person who entered the data, the date of entry, and the change made; and if the HMIS prevents overrides or changes of the dates on which entries are made.

Shelters agree to fully comply with 24 CFR 576.500 in the documentation of client eligibility for emergency shelter services. For each individual and family determined ineligible to receive Emergency Solutions Grant (ESG) assistance, the record must include documentation of the reason for that determination. The Shelter must ensure that data on all persons served and all activities assisted under ESG are entered into the applicable community-wide HMIS (homeless management information system) in accordance with standards of the U.S. Department of Housing and Urban Development.

### ***Safety Standards***

Shelters must meet the following minimum safety, sanitation, and privacy standards:

- (1) *Structure and materials.* The shelter building must be structurally sound to protect residents from the elements and not pose any threat to health and safety of the residents.
- (2) *Access.* The shelter must be accessible in accordance with Section 504 of the Rehabilitation Act (29 U.S.C. 794) and implementing regulations at 24 CFR part 8; the Fair Housing Act (42 U.S.C. 3601 *et seq.*) and implementing regulations at 24 CFR part 100; and Title II of the Americans with Disabilities Act (42 U.S.C. 12131 *et seq.*) and 28 CFR part 35; where applicable.
- (3) *Space and security.* Except where the shelter is intended for day use only, the shelter must provide each program participant in the shelter with an acceptable place to sleep and adequate space and security for themselves and their belongings.
- (4) *Interior air quality.* Each room or space within the shelter must have a natural or mechanical means of ventilation. The interior air must be free of pollutants at a level that might threaten or harm the health of residents.
- (5) *Water supply.* The shelter's water supply must be free of contamination.
- (6) *Sanitary facilities.* Each program participant in the shelter must have access to sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.
- (7) *Thermal environment.* The shelter must have any necessary heating/cooling facilities in proper operating condition.
- (8) *Illumination and electricity.* The shelter must have adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There must be sufficient electrical sources to permit the safe use of electrical appliances in the shelter.
- (9) *Food preparation.* Food preparation areas, if any, must contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.
- (10) *Sanitary conditions.* The shelter must be maintained in a sanitary condition.
- (11) *Fire safety.* There must be at least one working smoke detector in each occupied unit of the shelter. Where possible, smoke detectors must be located near sleeping areas. The fire alarm system must be designed for hearing-impaired residents. All public areas of the shelter must have at least one working smoke detector. There must also be a second means of exiting the building in the event of fire or other emergency.

### ***Confidentiality***

Shelters shall develop procedures that insure confidentiality of records pertaining to an individual provided family violence prevention or treatment services.

### ***Ending Assistance***

Shelters shall comply with the requirements of 24 CFR 576.402 which provides for the termination of assistance to individuals who violate program requirements. Termination of assistance must be in accordance with a formal process established by the Shelter that recognizes the rights of individuals affected. The Shelter must exercise judgment and examine all extenuating circumstances in determining when violations warrant termination so that a program participant's assistance is terminated only in the most severe cases.

The Shelter must coordinate and integrate, to the maximum extent practicable, ESG-funded activities with other programs targeted to homeless people in the area covered by the Continuum of Care or area over which the services are coordinated to provide a strategic, community-wide system to prevent and end homelessness for that area.

### ***Other Requirements***

The Shelter shall comply with the requirements of Title VI of the Civil Rights Act of 1964 as amended; Title VIII of the Civil Rights Act of 1968, 42 U.S.C. 3601 through 3619, and all implementing regulations and executive orders; shall comply with the prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101-6107); and the prohibitions against discrimination against handicapped individuals under Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794).

The Shelter shall ensure that emergency services shall be made available without regard to actual or perceived sexual orientation, gender identity or marital status. Shelter shall not inquire about the sexual orientation or gender identity of any applicant for or person receiving these services.

Shelters shall administer a policy designed to ensure that facilities are free from the illegal use, possession, or distribution of drugs or alcohol by its employees and beneficiaries.

## **REQUESTS FOR PAYMENT**

All requests for payments for this program will be submitted to the Division of Grants and Special Programs for processing. All requests will contain the amount of payment, participant's name and address, vendor to be paid, proof of participant income at initial enrollment or if changes have occurred, proof of rent reasonableness, a copy of the utility allowance work sheet, HMIS reports, copy of rental assistance agreement, documentation of monthly meeting, and completed Housing Barriers Assessment Tool (as applicable). In determining eligibility of participants, all federal criteria on definition of "homeless" and "at-risk of homelessness" must be followed. The recipient shall maintain documentation of program eligibility.

## HMIS REQUIREMENT

All client information is to be entered correctly into the approved Homeless Management Information System.

## REPORTING

All recipients will provide Division of Grants and Special Programs with monthly reports describing the clients served. This report shall include data concerning the number, age, sex, race, ethnicity, and family status of the adults and children served under this project along with the monthly HMIS report. **This report shall be submitted no later than 30 days after the end of each month.**

In addition, an annual report shall provide an unduplicated count of the individuals receiving financial assistance under this program and the number of persons who received other types of prevention services. A form will be provided. An annual report is due on July 30 of each year. **Last, recipients MUST document the households assisted with ESG funding and conduct a follow up no more than 6 months after the assistance has ended to determine if households are still permanently housed. This information is required to be reported to our division.**



# LEXINGTON

*Homelessness Prevention  
& Intervention*

## Lexington CoC Standards for Rapid Re-Housing Programs

As required in 24 CFR 578.7(a)(9) – Responsibilities of the Continuum of Care: the Lexington Continuum of Care (CoC) has developed the following Rapid Re-Housing (RRH) guidelines for the Emergency Solutions Grant (ESG)-funded and CoC-funded programs, to insure:

- Program accountability to individuals and families experiencing homelessness.
- Program compliance with HUD rules and guidance.
- Program uniformity and common client expectations.
- Adequate program staff competence and training, specific to the target population being served.
- All providers of Rapid Re-Housing assistance have a basis of knowledge of best practices, no matter the funding stream.

Rapid Re-Housing is housing created for the purpose of providing an immediate permanent housing situation for moderately vulnerable homeless individuals and families. Common types of RRH include HUD CoC RRH, ESG RRH, and Supportive Services for Veteran Families (SSVF) RRH. Contemporary research has shown RRH to be one of the most effective types of housing in the fight to end homelessness from both a cost and housing stability perspective.

Rapid Re-Housing programs will adopt a housing first philosophy and will participate in the Lexington CoC Coordinated Entry process to ensure the local prioritization of individuals for housing.

For additional specific guidance on the respective RRH Programs, please refer to: Rapid Re-Housing: ESG vs CoC (HUD Guidance): [here](#).

### **ELIGIBILITY:**

All individuals and/or heads of households served must qualify as “homeless” based on Categories 1 or 4 of the “homeless” definition found at 24 CFR 578.3 and **must be referred via Coordinated Entry**.

All Lexington CoC RRH providers will work from the viewpoint of screening people *in* rather than *out*.

1. Head of household must meet must qualify as “homeless” based on Categories 1 or 4 of the “homeless” definition found at 24 CFR 578.3.
2. Programs may not establish additional eligibility requirements beyond those required by this document.

3. Programs cannot disqualify an individual or family because of evictions or poor rental history, criminal history, or credit history.
4. The only reasons programs may have the option to disqualify an individual or family from program entry are:
  - a. Household make-up, provided it does not violate HUD's Fair Housing and Equal Opportunity requirements or HUD's Equal Access Rule (Singles-Only programs can disqualify households with children, Families-Only programs can disqualify single households, etc.)
  - b. RRH subsidy money has been exhausted.

**PERSONNEL (attached job description template)**

**STANDARD:** The program shall be adequately staffed by qualified personnel to ensure quality service delivery, effective program management, and the safety of program participants.

A housing-based case worker and manager are organized and trained professionals that act as positive change agents in holistically assisting individuals/families in achieving and maintaining housing, while concurrently promoting awareness and teaching strategies that reduce the likelihood of a return to homelessness in the future.

Agency must have a staffing contingency plan for staff absences.

**CRITERIA:**

1. The agency selects, for its service staff, only those employees with appropriate knowledge, or experience, for working with individuals and families experiencing homelessness and/or other issues that put individuals or families at risk of housing instability.
2. The program provides training to all paid and volunteer staff on both the policies and procedures used by the program and on specific skill areas as determined by the program.
3. The program provides diversity training to all paid and volunteer staff.
4. All paid and volunteer service staff participates in ongoing and/or external training and professional development to further enhance their knowledge and ability to work with individuals and families experiencing homelessness and/or other issues that put individuals or families at risk of housing instability.
5. All KYHMIS users must abide by the standard operating procedures found in the Lexington CoC KYHMIS Policies and Procedures manual. Additionally, users must adhere to the privacy and confidentiality terms set forth in the User Agreement and attend all trainings as applicable.
6. Staff with supervisory responsibilities for overall program operations and agency staff with responsibilities for supervision of the casework, counseling, and/or case management components

shall have, at a minimum, a bachelor's degree in a human service-related field and/ or demonstrated ability and experience that qualifies them to assume such responsibility.

7. All staff must have a written job description that at a minimum addresses the major tasks to be performed and the qualifications required for the position.
8. Case workers' job descriptions direct them to focus on housing and to use strengths based practices.
9. Case workers are trained on RRH case management strategies and related evidence based practices, as well as, program policies and community resources.
10. Case supervisors review current cases and individual service plans on a regular and consistent basis to ensure quality/coordinated services.
11. Program has clear safety procedures for home visits.

**PROGRAM ENROLLMENT PROCESS:**

**STANDARD:** The program will have minimal entry requirements to ensure the most vulnerable of the population are being served. The program will ensure active client participation and informed consent.

**CRITERIA:**

1. The case worker will schedule a face to face meeting with client at a location of the client's choice. This can include the office, a community location such as the library, or emergency shelter.
2. The case worker explains the program rules and expectations prior to admitting the individual or family into the program. These rules and expectations should assure fairness, to avoid arbitrary decisions that may vary from client to client, or staff to staff.
3. The case worker will explain housing first principles and practices to the individual/family.
4. The program will utilize all standardized Lexington CoC forms for enrollment as applicable.
5. The program will maintain KYHMIS Release of Information, documentation including enrollment packet, documentation of homelessness, disability documentation, and other pertinent demographic and identifying data in KYHMIS.
6. Paper files can also be kept as long as they are stored in a secure location.

## **HOUSING IDENTIFICATION:**

**STANDARD:** The program will assist participants in locating safe, affordable housing that meets participants' needs.

### **CRITERIA:**

1. In locating housing, the program considers the needs of the individual or family experiencing homelessness.
2. The program provides assistance in accessing suitable housing. The case worker **will**:
  - a. Complete a housing barriers assessment with the participant household and generate a housing identification plan aimed at addressing identified barriers.
  - b. Provide program participants with a list of potential landlords or housing units for self-guided housing identification efforts.
  - c. Provide 3-4 potential housing options to the program participant within 7 days from program enrollment. An exception will be made in the case of participants whose extreme housing barriers make it impossible for program staff to identify multiple housing options (ex: sex offenders).
  - d. Assist the individual/family with navigating the community in order to facilitate property walk-throughs, application submissions, meeting of property managers, etc. This may include assistance with transportation.
  - e. Advocate with prospective landlords on behalf of the participant to generate partnership with the program and facilitate the housing process.
3. Programs will assess potential housing for compliance with HUD Housing Quality Standards (HQS), lead-based paint, and rent reasonableness and fair market rent standards prior to the participant signing a lease with the landlord, and the program signing a rental assistance agreement with the landlord. See 24 CFR 578.37(a)(1)(ii).
4. The program signs a rental assistance agreement with the landlord.
5. The program participant signs a lease with the landlord.
6. The program and the participant sign a housing stabilization plan.
7. All rent payments made by program participants must be paid directly to the landlord or property owner.

## **FINANCIAL ASSISTANCE STANDARDS:**

**STANDARD:** No RRH project will have a uniform policy for providing rental assistance as this kind of policy is not driven by participant's assessed needs.

All assistance provided through ESG and CoC Programs must benefit households who have an annual income below 30 percent of median household income for the area based on household size, and as updated annually by HUD (with the exception of those who are currently homeless by HUD definition, but must be within 30 percent at 1-year certification). Continued assistance after 12 months through ESG Programs must benefit households who have an annual income at or below 30 percent of Area Median Income (AMI) regardless of homeless status at entry.

**INCOME DETERMINATION (attached income verification forms):** Minimum standards for determination of an individual or family's annual income consist of calculating income in compliance with 24 CFR 5.609. Annual income is defined as all amounts, monetary or not, which:

- Go to, or on behalf of, the family head or spouse (even if temporarily absent) or to any other family member; or
- Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and
- Which are not specifically excluded in paragraph (c) of 24 CFR 5.609.
- Annual income also means amounts derived (during the 12-month period) from assets to which any member of the family has access.
- Providers will use standardized CoC forms to document income. In verifying income providers are required to obtain third party verification whenever possible. Self-certification or verification is to be accepted only when all efforts have been made to obtain third party verification have not produced results.

**CRITERIA:** The program's minimum standards for Rental Assistance should include:

1. The program employs a progressive approach when determining the amount the household will contribute toward their monthly rent payment. Programs should remain flexible, taking into account the unique and changing needs of the household while staying within program regulations. Programs **will review** the amount of rental assistance paid for the participating household every 3 months and changes made to the agreement will be determined by continued need and ability of the household to sustain housing long-term. In no event will RRH assistance exceed 24 months. Programs should have written policies and procedures for determining the amount of rent participants pay towards housing costs. ***This amount must be reasonable based on household income – including \$0 for households with no income and 30% of adjusted gross income for households with an income.***
2. The program may provide assistance with:
  - a. Rental application fees
  - b. Security deposits (up to 2 months)
  - c. First and last month's rent
  - d. Property damage (up to 1 month's rent, one time per participant)
  - e. Utility deposits
  - f. One-time moving costs
  - g. Rental arrears (ESG only)
3. Participants receive the approval for the minimum amount of financial assistance necessary to prevent homelessness.

4. Providers should work with landlords to provide documentation of financial assistance every 3 months (**attached financial assistance contract form**).
5. The program will re-evaluate the household for continued income eligibility at least annually. To continue to receive Rapid Re-Housing assistance, a program participant's re-evaluation must demonstrate eligibility based on:
  - a. Lack of resources and support networks. The program participant's household must continue to lack sufficient resources and support networks to retain housing without program assistance.
  - b. Need. The recipient or subrecipient must determine the amount and type of assistance that the individual or family will need to maintain stability in permanent housing.
  - c. If a participant is enrolled in the program for longer than 12 months, the program participant household's annual income must be demonstrated not to exceed 30% of area median income (AMI) as determined by HUD and in accordance with 24 CFR 576.401(b)(1)(i). (ESG only)

#### **CASE MANAGEMENT SERVICES**

**STANDARD:** The program will provide access to case management services by trained staff to each individual or family participating in the program in the person's home, not an office. Case workers are required to maintain a minimum of two contacts per week with participant households.

#### **CRITERIA:**

1. **Case Management:** Component services and activities consist of: (i) Counseling; (ii) Developing, securing, and coordinating services; (iii) Obtaining federal, state and local benefits; (iv) Monitoring and evaluating program participant progress; (v) Developing an individualized housing and service plan, including planning a path to permanent housing stability.
2. **Other Eligible Services** may be provided:
  - a. Child Care
  - b. Education Services
  - c. Employment assistance and job training
  - d. Housing search and counseling services
  - e. Legal services
  - f. Life skills training
  - g. Mental health services
  - h. Outpatient health services
  - i. Substance abuse treatment services
  - j. Transportation

\*\* See 24 CFR 578.53 for more specific information.
3. The case worker will explain case worker and program participant expectations (**attached case management expectations form**):
  - a. Case workers are expected to:

- i. Work with the client to be housed or stay housed
    - ii. Work with the client on case management tasks to overcome housing barriers
    - iii. Advocate on behalf of the client
    - iv. Refer to community resources and assuring linkage with those resources
    - v. Modify case plans to change with client need
    - vi. Monitor, evaluate, and record client progress
    - vii. Treat clients with dignity and respect
    - viii. Respond to and assist clients in crisis
  - b. Program participants are expected to:
    - i. Work with the case worker to be housed or stay housed
    - ii. Have an active role in planning, reviewing and changing their case plan
    - iii. Follow through on case management tasks
    - iv. Give accurate information about circumstances that may impact their housing
    - v. Assist by making and keeping a safe environment
    - vi. Notify the case worker if a scheduled appointment needs changed
4. Program connects households to community resources that help households maintain a lease and address barriers to housing retention. Program is required to offer households assistance in applying for mainstream benefit assistance. Households have the right to decline—however, participants should understand that assistance is not ongoing and is intended to aid households in becoming self-sufficient.
5. Program improves individual/households understanding of landlord/tenant rights and responsibilities and addresses other issues in the past resulted in housing crisis or housing loss (**attached landlord/tenant rights and responsibilities form**).
6. Caseload Ratios:
- a. Staff serving clients maintaining housing should not exceed a caseload ratio of 40 clients to one staff member.
  - b. Staff serving initial clients seeking housing should not exceed a caseload ratio of 25 clients to one staff member.
  - c. Staff serving youth should not exceed a caseload ratio of 10 clients to one staff member.

## **EVICTION**

**STANDARD:** The program will work with participant households to prevent eviction whenever possible. When preventing eviction is not possible, the program will assist households in mitigating negative consequences and establishing subsequent housing.

## **CRITERIA:**

1. Program will work with participant households to prevent eviction whenever possible. This includes review of lease agreement terms at move-in, engaging participants in resolving issues that arise which threaten housing retention, and mediation with landlords.

2. Should a participant household be unable to remain in housing despite all eviction prevention strategies, the program should work with households to mitigate negative consequences. This includes engaging participants in voluntarily vacating the housing unit to prevent formal eviction proceedings.
3. Eviction does not constitute termination. The program will work to rapidly rehouse any participant household that is evicted from housing.

### **TERMINATION**

**STANDARD:** Termination is supposed to be limited to only the most severe cases. Programs will exercise judgement and examine all extenuating circumstances when determining if violations are serious enough to warrant termination.

### **CRITERIA:**

1. The program explains the services that are available and encourages each adult household member to participate in program services, but does not make service usage a requirement or the denial of services a reason for disqualification or termination. Although participation in service plans is offered weekly as a resource, participants cannot be terminated for not following through with the plans.
2. To terminate assistance to program participant, the agency must follow the due process provisions set forth in 24 CFR 576.402.
3. To terminate financial assistance and/or housing relocation and stabilization services to program participants, the required formal process, at a minimum, must consist of:
  - Written notice to the program participant containing a clear statement of the reasons for termination;
  - A review of the decision, in which the program participant has the opportunity to present written or oral objections before a person other than the person who made or approved the termination decision;
  - Prompt written notice of the final decision to the program participant.

\*Termination under this section does not preclude the program from providing further assistance at a later date to the same individual or family.

**PARTICIPANT GRIEVANCES:** All providers of RRH programs shall be required to have a written formal termination and grievance policy that is provided to all participants at intake and made available at any time, to enable a participant to dispute an agency decision on eligibility for assistance (or any other reason). The policy must include the method by which an applicant would be made aware of the grievance procedure, and the formal process for review and resolution.

If a participant household violates program requirements, the provider may terminate assistance in accordance with a formal process established above.

## **FOLLOW-UP SERVICES**

**STANDARD:** Programs must ensure a continuity of services to all clients exiting their programs. Agencies can provide these services directly or through referrals to other agencies.

### **CRITERIA:**

1. Programs develop exit plans with the participant to ensure continued permanent housing stability and connection to community resources, as desired.
2. Programs should attempt to follow up with participants through verbal or written contact at least once 6 months after the client exits the program. A program may provide follow-up services to include identification of additional needs and referral to other agency and community services in order to prevent future episodes of homelessness.
3. Supportive services may be provided up to 6 months after the financial assistance stops.

## **EVALUATION AND PLANNING**

**STANDARD:** Ongoing program planning and evaluation will be conducted by the Lexington CoC Program and Evaluation Committee. It will take into consideration the criteria below and any other local data benchmarks as defined by the Program and Evaluation Committee.

### **CRITERIA:**

1. The program has written goals and objectives, that are evaluated annually, for its services to meet the outcomes required by HUD performance benchmarks including:
  - Reduce the length of time program participants experience homelessness. Households served by the program should move into permanent housing in an average of 60 days or less.
  - Maximize permanent housing success rates. Programs should ensure that at least 80% of exiting households exit to a permanent housing destination.
  - Decrease the number of households returning to homelessness. Programs should ensure that at least 95% of households exiting the program do not become homeless again within one year of exit.

## Housing-Based Case Worker Job Description

A housing-based case worker is an **organized and trained professional** that acts as a **positive change agent** in holistically assisting individuals/families in **achieving and maintaining housing**, while concurrently promoting awareness and teaching strategies that **reduce the likelihood of a return to homelessness** in the future.

### Job Knowledge & Core Competencies

Housing-based case workers should possess knowledge in the following areas:

- History of homelessness
- Poverty
- Health & mental health services
- Addictions
- Treatment
- Harm reduction
- Housing
- Hoarding
- Income supports/benefits
- Corrections
- Domestic violence
- Children's services
- Fetal alcohol spectrum disorders
- Brain injuries
- Medication management
- Trauma/abuse

Housing-based case workers should possess the following core competencies:

- Practice motivational interview and exercise active listening;
- Practice assertive engagement;
- Assist service participants in working through the Stages of Change;
- Ability to teach, model, and reflect on actions and attitudes in a range of settings;
- Coordinate and advocate for services as appropriate;
- Help service participants establish goals and an individualized service plan;
- Appropriately prepare documentation;
- Organize and chair case conferences;
- Perform their duties safely, including working safely alone;
- Perform First Aid and CPR, and maintain certification in both;
- Employ Universal Precautions as necessary in specific situations;
- Assess risks and develop appropriate plans to help ensure continuation of service;
- Complete incident reports as necessary in response to specific situations;
- De-escalate and learn from conflict through effective de-briefing;
- Respect privacy and confidentiality in accord with all relevant legislation;
- Perform duties in a culturally competent manner;
- Follow all relevant legislation.

**Form 200  
Verification of Employment**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

The person referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify the income of program participants. The information provided will remain confidential to satisfaction of that stated purpose only. I do hereby authorize the release of this information:

\_\_\_\_\_  
Applicant's Name (print clearly) Signature of Applicant Date

**SECTION TO BE COMPLETED BY THE EMPLOYER**

Employer: \_\_\_\_\_

\_\_\_\_\_  
Address City State Zip

Employee Job Title: \_\_\_\_\_

Presently Employed:  Yes-Employment Start Date \_\_\_\_\_  No-Last day of Employment \_\_\_\_\_

**Current** Rate of Pay: \$ \_\_\_\_\_  
(circle one) hourly weekly bi-weekly semi-monthly monthly yearly other \_\_\_\_\_

Average # of regular hours per week: \_\_\_\_\_

Overtime Rate: \$ \_\_\_\_\_ per hour Average # of overtime hours per week: \_\_\_\_\_

Shift Differential Rate: \$ \_\_\_\_\_ per hour Average # of shift differential hours per week: \_\_\_\_\_

Commissions, bonuses, tips, other: \$ \_\_\_\_\_  
(circle one) hourly weekly bi-weekly semi-monthly monthly yearly other \_\_\_\_\_

List any anticipated change in the employee's rate of pay within the next 12 months: \_\_\_\_\_

If the employee's work is seasonal or sporadic, please indicate the layoff period(s): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Employer's Signature Employer's Printed Name Date

Phone Number: \_\_\_\_\_ Fax: \_\_\_\_\_





**Form 202  
Verification of Child Support**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
 Applicant's Name (print) (last four digits)

The person referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify the income of program participants. Please complete all information below.

I do hereby authorize the release of this information:

\_\_\_\_\_  
 Applicant's Name (print clearly) Signature of Applicant Date

**SECTION TO BE COMPLETED BY CHILD SUPPORT PROVIDER**

Amount of child support payments: \$ \_\_\_\_\_ weekly; \$ \_\_\_\_\_ monthly; \$ \_\_\_\_\_ other

If inconsistent, list total amount in last six months: \$ \_\_\_\_\_

Date child support payments began: \_\_\_\_\_ Date ended: \_\_\_\_\_

Names of children for which payments are made:

\_\_\_\_\_  
 Name Name

\_\_\_\_\_  
 Name Name

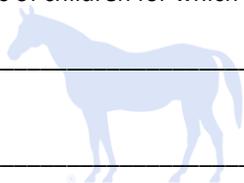
\_\_\_\_\_  
 Name Name

**I certify this information is true and complete.**

\_\_\_\_\_  
 Name (Print) Signature Date

\_\_\_\_\_  
 Address City State Zip Telephone

\_\_\_\_\_  
 Title or relation to participant (agency if applicable)



**LEXINGTON**  
*Homelessness Prevention  
& Intervention*



**Form 203**  
**Verification of Informal Support**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

The person referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify all income for the program participant's household. The information provided will remain confidential. Please complete all information below.

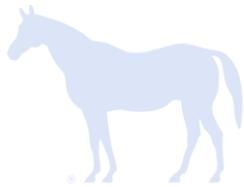
I do hereby authorize the release of this information:

\_\_\_\_\_  
Applicant's Name (print clearly) Signature of Applicant Date

**SECTION TO BE COMPLETED BY INFORMAL SUPPORT PROVIDER**

I certify that I provide financial assistance in the amount of \$\_\_\_\_\_  weekly  monthly

The assistance provided is for:



**LEXINGTON**  
*Homelessness Prevention  
& Intervention*

**I certify this information is true and complete.**

\_\_\_\_\_  
Name (print) Signature Date

\_\_\_\_\_  
Relationship to Participant Agency (if applicable) Telephone

\_\_\_\_\_  
Address City State Zip



**Form 204**  
**Zero Income Certification**

I, \_\_\_\_\_, have applied for emergency or rental assistance through the \_\_\_\_\_ program. Program regulations require verification of all income from participating households.

Income includes but is not limited to:

- Gross wages, salaries, overtime pay, commissions, fees, tips and bonuses
- Net income from operation of a business or from rental or real personal property
- Interest, dividends and other net income of any kind for real personal property
- Periodic payments received from Social Security , annuities, insurance policies, retirement funds, pensions, disability or death benefits and other similar types of periodic receipts
- Lump sum payment(s) for the delayed start of a periodic payment (except as provided in 24 CFR 5.609 (b)(5))
- Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation, and severance pay
- Public assistance
- Alimony and child support payments (whether through the court system or not)
- Regular pay, special pay and allowances of a head of household or spouse who is a member of the Armed Forces (whether or not living in the dwelling)
- Regular monetary gifts from family and/or friends

I have stated during this verification process that I have no income at this time. I have not received income since \_\_\_\_\_. I do not expect to receive any income until \_\_\_\_\_. I applied for \_\_\_\_\_ (other financial assistance) on \_\_\_\_\_ (date).

I understand that any misrepresentation of information or failure to disclose information requested on this form may disqualify me from participation in the program for which I am applying, and may be grounds for termination of assistance. I certify that the above information is true and correct. I also understand that it is my responsibility to report all changes to my household composition or income when they occur.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witness: \_\_\_\_\_ Date: \_\_\_\_\_



**Form 205**  
**Income Verification Due Diligence**

RE: \_\_\_\_\_ SSN XXX-XX \_\_\_\_\_

The completion of this form is required when source documents and/or third-party verifications of income are not obtainable and/or HUD's preferred method of verifying income is not followed. HUD specifies the following order for income verifications: source documents, written third-party, oral third-party, and self-certification.

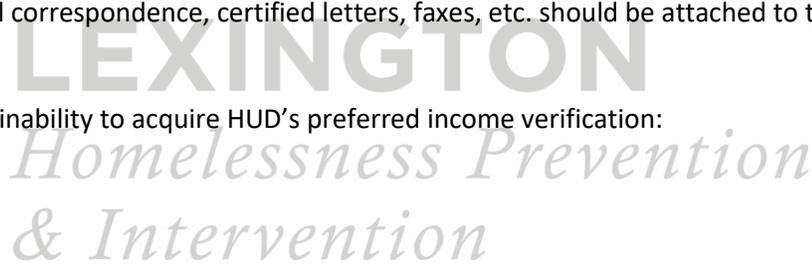
Potential reasons for not obtaining source documents: applicant/participant does not receive paystubs due to direct deposit, the first paycheck has not yet been received, social security award letter has been misplaced or lost, etc.

Potential reasons for not obtaining third-party verification include: inability to contact third party, third party refused to provide information, etc.

Efforts reflecting attempts to follow HUD's preferred order include phone calls, e-mails, letters, faxes, etc.

When documenting the efforts and outcomes for phone call attempts, descriptions must include the name and title of the individual, contact number, date and time. Copies of efforts to obtain third-party documentation through e-mail correspondence, certified letters, faxes, etc. should be attached to this document.

Describe the reason(s) for the inability to acquire HUD's preferred income verification:



Describe efforts to follow HUD's preferred method of verifying income and the outcome:

Document(s) attached:  Yes  No

If yes, specify: \_\_\_\_\_

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Print Name Date



**Form 210  
Verification of Assets**

RE: \_\_\_\_\_ SSN XXX-XX- \_\_\_\_\_  
 Applicant's Name (print) (last four digits)

The above referenced person is an applicant in a federally assisted housing program. Federal regulations require that we verify all assets of the program participants and their household. The information provided will remain confidential to satisfaction of that stated purpose only.

By signing below I authorize the release of this information:

\_\_\_\_\_  
 Participant's Signature Date

**SECTION TO BE COMPLETED BY BANKING INSTITUTION**

	<u>Current Balance</u>	<u>Interest Rate on Account</u>	<u>Date Account Opened</u>
Checking Account #1:	\$ _____	\$ _____	_____
Checking Account #2	\$ _____	\$ _____	_____
	<u>Current Balance</u>	<u>Interest Rate on Account</u>	<u>Date Account Opened</u>
Savings Account #1:	\$ _____	\$ _____	_____
Savings Account #2	\$ _____	\$ _____	_____
<u>Other Accounts</u>		<u>Interest Rate</u>	<u>Date Account</u>
<u>Account Type</u>	<u>Current Balance</u>	<u>on Account</u>	<u>Opened</u>
_____	\$ _____	\$ _____	_____
_____	\$ _____	\$ _____	_____

**I certify this information is accurate.**

\_\_\_\_\_  
 Name (print clearly) Title Signature Date

\_\_\_\_\_  
 Financial Institution Telephone Number

\_\_\_\_\_  
 Address City State Zip



**Form 220**  
**Verification of Child Care Expense**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

The individual referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify expenses paid for the care of dependent children enabling the family member to be employed or to attend school. The amounts provided must be paid out-of-pocket by the participant and may not be reimbursed from another source.

By signing below I authorize the release of this information and certify that I am not reimbursed from any source for the amount paid:

\_\_\_\_\_  
Applicant's Signature Date

**SECTION TO BE COMPLETED BY THE CHILD CARE PROVIDER**

By signing below, I certify that I provide child care services for the above-referenced participant and receive the amount of compensation stated. Please complete all information requested.

Names of children for which payments are made:

\_\_\_\_\_  
Name Name

\_\_\_\_\_  
Name Name

I receive \$ \_\_\_\_\_ weekly for services **(OR)** I receive \$ \_\_\_\_\_ monthly for services

Date child care began: \_\_\_\_\_ number of hours child care is provided: \_\_\_\_\_ daily  
**(OR)** \_\_\_\_\_ weekly **(OR)** monthly.

Is any portion of the child care expense paid by another source?  Yes  No

**If Yes:** Total child care amount: \$ \_\_\_\_\_ Amount paid by another source: \$ \_\_\_\_\_

If amounts are received for child care during holidays, vacations, etc., please provide dates and amount received: \_\_\_\_\_

I certify that this information is accurate:

\_\_\_\_\_  
Child Care Provider Signature Name (print)

\_\_\_\_\_  
Child Care Facility (if applicable) Telephone #

\_\_\_\_\_  
Address City State Zip



**Form 221**  
**Verification of Attendant Care Expense**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

The individual referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify attendant care expenses paid for unreimbursed, anticipated costs. The amounts provided must be paid out-of-pocket by the individual or family member and may not be reimbursed from another source.

By signing below I authorize the release of this information and certify that I am not reimbursed from any source for the amount paid:

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

**SECTION TO BE COMPLETED BY ATTENDANT CARE PROVIDER**

By signing below, I certify that I provide attendant care for the above-referenced participant and receive the amount of compensation stated.

Is any portion of the attendant care expense paid by another source?  Yes  No

**If Yes:** Total amount: \$ \_\_\_\_\_ Amount paid by another source: \$ \_\_\_\_\_

I receive \$ \_\_\_\_\_ weekly for services **(OR)** I receive \$ \_\_\_\_\_ monthly for services

Date attendant care began: \_\_\_\_\_.

Number of hours care is provided: \_\_\_\_\_ daily **(OR)** \_\_\_\_\_ weekly **(OR)** monthly.

If amounts are received for attendant care during holidays, vacations, etc., please provide dates and amount received: \_\_\_\_\_

**I certify that this information is true and complete.**

\_\_\_\_\_  
Attendant Care Provider Signature

\_\_\_\_\_  
Name (print)

\_\_\_\_\_  
Attendant Care Facility (if applicable)

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Address

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip



**Form 222  
Verification of Auxiliary Apparatus Expenses**

RE: \_\_\_\_\_ SSN XXX-XX- \_\_\_\_\_  
 Applicant's Name (print) (last four digits)

The individual referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify the out-of-pocket medical expenses of program participants. This information includes the estimated out-of-pocket medical expenses (e.g. wheelchair, walker ramp, vision impaired expenses, etc.) of participant for the anticipated next 12-month period. If not available, then provide medical expenses for the past 12-month period. Expenses do not include amounts covered by insurance or reimbursed to the participant.

By signing below I authorize the release of this information and certify that I am not reimbursed from any source for the amount paid:

\_\_\_\_\_  
 Applicant's Signature Date

**SECTION TO BE COMPLETED BY DOCTOR OR OFFICE STAFF**

Description of Expenses	Total Out-of-Pocket Amount Paid by Participant	
	Anticipated 12 Mo. (OR)	Last Actual 12 Mo.

The information is provided by:

\_\_\_\_\_  
 Name (print) Signature Date

\_\_\_\_\_  
 Title Name of Business Phone Number

\_\_\_\_\_  
 Address City State Zip



**Form 223  
Verification of Medical Expenses**

RE: \_\_\_\_\_ SSN XXX-XX- \_\_\_\_\_  
 Applicant's Name (print) (last four digits)

The individual referenced above is a participant in a federally assisted housing program. Federal regulations require that we verify the out-of-pocket medical expenses of program participants. This information must be provided by a third party, such as a doctor or pharmacist, familiar with the actual or estimated out-of-pocket medical expenses of the participant for the next 12-month period. If not available, please provide medical expenses for the past 12-month period. Expenses do not include amounts covered by insurance or reimbursed to the participant.

By signing below I authorize the release of this information and certify that I am not reimbursed from any source for the amount paid:

\_\_\_\_\_  
 Applicant's Signature Date

**SECTION TO BE COMPLETED BY THE DOCTOR, PHARMACIST OR OFFICE STAFF**

Description of Expenses	Total Out-of-Pocket Amount Paid by Participant	
	Anticipated 12 Mo. (OR)	Last Actual 12 Mo.

The information is provided by:

\_\_\_\_\_  
 Name (print) Signature Date

\_\_\_\_\_  
 Title Name of Business Phone Number

\_\_\_\_\_  
 Address City State Zip



**Financial Assistance Contract for Rapid Re-Housing**

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

Tenant name: \_\_\_\_\_

Unit address: \_\_\_\_\_

Please indicate the type of financial assistance being provided (check all that apply):

Security Deposit       Utility Deposit       Financial Assistance

This financial assistance contract is by and between \_\_\_\_\_ (Agency Name) and \_\_\_\_\_ (Landlord/Owner). The effective date is \_\_\_\_\_. The total unit rent as identified in the lease is \$ \_\_\_\_\_ per month and is due on the \_\_\_\_\_ day of each month. The owner/landlord agrees to accept and \_\_\_\_\_ (Agency Name) agrees to pay assistance payments for the above referenced tenant for a period not to exceed 24 months or the end of the tenant's lease term.

This financial assistance agreement will terminate on one of the following:

- (1) The tenant moves out of the housing unit voluntarily
- (2) The lease terminates and is not renewed
- (3) The tenant becomes ineligible to receive RRH financial assistance
- (4) If the unit fails to meet the housing quality standards of 24 CFR 982.401(a)
- (5) Immediately upon program funding ending

The landlord/owner further agrees that during the term of this contract, the landlord/owner will provide \_\_\_\_\_ (Agency Name) with copies of any lease violations or notice to vacate the unit that are provided to the tenant.

This financial assistance is intended to assist the tenant in returning to self-sufficiency. As such, the tenant household's income will be reviewed every three months to determine the need for and amount of continued financial assistance. \_\_\_\_\_ (Agency Name) will notify the owner/landlord of any changes in financial assistance.

\$ \_\_\_\_\_ will be/is \_\_\_\_\_ (Agency Name) responsibility (1<sup>st</sup> month's rent)

\$ \_\_\_\_\_ will be/is \_\_\_\_\_ (Agency Name) responsibility (Ongoing)

\_\_\_\_\_  
Landlord/Owner

\_\_\_\_\_  
Date

\_\_\_\_\_  
Agency Representative

\_\_\_\_\_  
Date



## Case Management Expectations

RE: \_\_\_\_\_ SSN XXX-XX-\_\_\_\_\_  
Applicant's Name (print) (last four digits)

As a participant of rapid re-housing assistance provided by \_\_\_\_\_ (Agency Name), case management services are available to my household for the duration of my assistance. The case worker providing this service is expected to make contact with my household a minimum of two times per week.

I understand and acknowledge that the case worker is expected to:

- \_\_\_\_\_ Work with the client to be housed or stay housed
- \_\_\_\_\_ Work with the client on case management tasks to overcome housing barriers
- \_\_\_\_\_ Advocate on behalf of the client
- \_\_\_\_\_ Refer to community resources and assuring linkage with those resources
- \_\_\_\_\_ Modify case plans to change with client need
- \_\_\_\_\_ Monitor, evaluate, and record client progress
- \_\_\_\_\_ Treat clients with dignity and respect
- \_\_\_\_\_ Respond to and assist clients in crisis

I understand and acknowledge that the program participant is expected to:

- \_\_\_\_\_ Work with the case worker to be housed or stay housed
- \_\_\_\_\_ Have an active role in planning, reviewing and changing their case plan
- \_\_\_\_\_ Follow through on case management tasks
- \_\_\_\_\_ Give accurate information about circumstances that may impact their housing
- \_\_\_\_\_ Assist by making and keeping a safe environment
- \_\_\_\_\_ Notify the case worker if a scheduled appointment needs changed

\_\_\_\_\_  
Program Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Agency Representative

\_\_\_\_\_  
Date

## **Uniform Residential Landlord & Tenant Act (URLTA) Tenant/Landlord Rights & Responsibilities Overview**

The Uniform Residential Landlord & Tenant Act (URLTA) is a state law that is adoptable by counties and cities. The counties that choose to adopt the law must adopt it in full- they may not pick and choose what statutes they wish to enforce and which they do not. Out of Kentucky's 120 counties, only about 19 have adopted URLTA. It is important to recognize whether a jurisdiction has adopted the law before relying on it. The following counties have adopted the law: **Fayette**, Jefferson, Oldham, and Pulaski. The following cities have adopted the law: Covington, Newport, Florence, Georgetown, Dayton, Taylor Mill, Ludlow, Bellevue, Melbourne, Barbourville, Bromley, Southgate, Woodlawn, and Silver Grove URLTA details the rights and responsibilities of landlords and tenants. The law can be a very helpful resource and guide for both landlords and tenants, as the expectations and guidelines are laid out in a clearer manner than the counties in which URLTA is not adopted.

### **Some of a tenant's rights:**

- \_\_\_\_\_ A tenant has the right to view an apartment and know the bank account in which the security deposit will be held before signing the lease
  
- \_\_\_\_\_ A tenant has the right to record a list of any damages or defects that exist in an apartment and ask that the landlord sign off on the list before moving into an apartment.
  
- \_\_\_\_\_ When a tenant is moving out of a unit, the tenant has the right to walk through his or her apartment with the landlord to note any damages, and require that the list be signed by both him or her and the landlord. If the tenant leaves the apartment in good condition the landlord must mail the security deposit to the tenant's most recent address within 30 days. If the tenant does not leave the apartment in good condition, the landlord holds the right to use the security deposit to make necessary repairs- the tenant may require to see the cost of the repairs.

### **Some of a tenant's responsibilities:**

- \_\_\_\_\_ A tenant must maintain the apartment clean, take care of the appliances, and throw their trash away in the designated areas
  
- \_\_\_\_\_ A tenant must pay their rent on time
  
- \_\_\_\_\_ A tenant must not disturb the peace and safety of their neighbors
  
- \_\_\_\_\_ A tenant must not break the terms of the written lease
  
- \_\_\_\_\_ A tenant must inform the landlord when they plan on being away from their apartment for more than 7 days

### **Some of a landlord's rights:**

- \_\_\_\_\_ A landlord may enter a unit to inspect, make repairs, and/or show the unit to prospective tenants, but the landlord must provide the tenant with 2 days notice prior
  
- \_\_\_\_\_ A landlord may enter into a unit without notice only for emergency purposes. Other than these listed times, a landlord must have a court order to enter into a unit

## Uniform Residential Landlord & Tenant Act (URLTA) Tenant/Landlord Rights & Responsibilities Overview

### Some of a landlord's responsibilities:

- \_\_\_\_\_ A landlord must inform the tenant who they pay their rent to and who takes care of maintenance issues
- \_\_\_\_\_ A landlord must maintain a property that is up to local health and safety code to guarantee the well-being of the tenant
- \_\_\_\_\_ A landlord must maintain all appliances of the home in working order (electrical appliances, heating, plumbing, and other included amenities)
- \_\_\_\_\_ A landlord must always provide working hot water
- \_\_\_\_\_ A landlord must assure heat between (October 1-May 1) during the year

### Other:

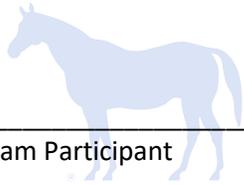
- \_\_\_\_\_ Both the landlord and the tenant must comply with and complete the terms of the rental contract
- \_\_\_\_\_ If there are any problems with a tenant's apartment (such as with the heating, plumbing, the stove, air conditioning), the tenant must give the landlord written notice of the problems
- \_\_\_\_\_ In the case that a landlord does not respond and/or acknowledge the problems, the tenant must contact the necessary local agency, if possible (such as Code Enforcement or the Health Department). If the living situation is a safety hazard, then the tenant should address the lease violation in written form to the landlord. The tenant can therein state that they are giving 30 days notice to vacate the unit unless the landlord cures the problem within 14 days of when he receives the notice (certified mail is necessary to ensure that a landlord receives the mail).
- \_\_\_\_\_ If a landlord cuts off necessary services to a tenant's unit, such as water, heating, etc., the tenant has the right to end the lease with proper notification given.
- \_\_\_\_\_ If a tenant violates the lease, the landlord needs to write out the specific violation and provide the tenant written notice.
- \_\_\_\_\_ If the violation is for non-payment of rent, the landlord must give notice of 7 days to either pay the rent or evict. If the rent is not paid during the period of those 7 days, the landlord may proceed with filing for eviction in court.
- \_\_\_\_\_ If the violation is for non-compliance with the lease, the landlord must give the tenant a notice of 14 days to either cure the problem or evict. If the problem is not cured within the 14 days, the landlord may proceed with filing for eviction in court.
- \_\_\_\_\_ If a tenant is on a month to month lease, either the landlord or the tenant may provide 30 days notice to vacate when ready to end the lease. If a tenant is on a week to week lease, then either the landlord or the tenant may provide 7 days notice to vacate when ready to end the lease.

**Uniform Residential Landlord & Tenant Act (URLTA)  
Tenant/Landlord Rights & Responsibilities Overview**

It is extremely important for a tenant to understand fully what they are signing when they agree to a lease; the lease is the document that will stand as law between a tenant and landlord in court, if ever presented in court. A tenant should be aware of the terms of the lease (the duration of it, how much notice they will need to provide the landlord before vacating at the end of the lease, etc.).

By endorsing below, I acknowledge that my case worker has reviewed tenant/landlord rights and responsibilities under the Uniform Residential Landlord & Tenant Act (URLTA) with me. In addition, I have been provided with a copy of this document as well as contact information for the Lexington Fair Housing Council:

**Lexington Fair Housing Council  
207 E Reynolds Rd, Ste 130  
Lexington, KY 40517  
(859) 971-8067**



**LEXINGTON**

*Homelessness Prevention  
& Intervention*

\_\_\_\_\_  
Program Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Agency Representative

\_\_\_\_\_  
Date