

**KNOX COUNTY HOUSING AUTHORITY
GALESBURG, ILLINOIS**

GRIEVANCE PROCEDURES

Adopted by KCHA Board of Commissioners

Resolution No.: _____

Date of Adoption: _____

Effective Date of Implementation: _____

GRIEVANCE PROCEDURES

A. Purpose and Scope

The purpose of these Grievance Procedures is to assure that the Knox County Housing Authority (hereinafter referred to as KCHA) residents are afforded an opportunity for a hearing, if the resident disputes within a reasonable time, any KCHA action or failure to act, involving the resident's lease, or KCHA regulations which adversely affect the individual resident's rights, duties, welfare or status.

Additional areas covered by these procedures include the Community Service requirements, minimum rent hardship exemptions, and income changes resulting from welfare program requirements. Escrow deposits are not required for grievances related to minimum rent hardships and welfare reductions. These procedures also cover grievances related to improper disclosure or inappropriate use of information obtained by the KCHA through criminal records, sex offender registration records, drug abuse treatment facility records and domestic violence records.

These procedures, by reference, are incorporated into and become a part of the KCHA's dwelling lease.

B. Governing Law

The law governing this grievance procedure is Section 6 (K) of the U.S. Housing Act of 1937 (42 U.S.C. sec. 1437 d (K) and subpart B of 24 CFR part 966 (24 CFR secs. 966.50-966.57).

C. Definitions

The following definitions of terms shall be applicable to this grievance procedure:

1. *Grievance*: Any dispute which a resident may have with respect to an action or a failure to act by the KCHA in accordance with the individual resident's lease or KCHA regulations, which adversely affects the individual resident's rights, duties, welfare or status.
2. *CFR*: The code of Federal regulations, which contains the federal regulations governing this grievance procedure.
3. *Complainant*: Any resident (as defined in this section below) whose grievance is presented to the KCHA in accordance with the requirements set forth in this procedure.
4. *Drug-related criminal activity*: The illegal manufacture, sale, distribution, use or possession with intent to manufacture, sell, distribute, or use a controlled substance, as defined in section 102 of the Controlled Substances Act (21 U.S.C. sec. 802) as from time to time amended.

5. "Authority": The Knox County Housing Authority, a body corporate organized and existing under the laws of the State of Illinois.
6. Elements of due process: The following procedural safeguards are required to be followed in an eviction action or a termination of tenancy in a state or local court:
 - a. Adequate notice to the resident of the grounds for terminating the tenancy and for eviction;
 - b. Right of the resident to be represented by counsel;
 - c. Opportunity for the resident to refute the evidence presented by the KCHA, including the right to confront and cross examine witnesses and to present any affirmative legal or equitable defense which the resident may have; and
 - d. A decision on the merits.
7. Hearing Officer: An impartial person selected in accordance with 24 CFR sec. 966.55 and this grievance procedure to hear grievances and render decisions with respect thereto.
8. Hearing panel: A three-member panel composed of impartial persons, selected in accordance with 24 CFR sec. 966.55 and these procedures to hear grievances and render decisions with respect thereto.
9. HUD: The United States Department of Housing and Urban Development.
10. Notice: As used herein, the term notice shall, unless otherwise specifically provided, mean written notice.
11. The "Regulations": The HUD regulations contained in subpart B of 24 CFR sec. 966.
12. Resident organization: An organization of residents, which includes any resident management corporation.
13. Resident: The adult person (or persons) other than a live-in aid:
 - a. Who resides in the unit and who executed the lease with the KCHA as lessee of the dwelling unit, or, if no such persons reside in the unit;
 - b. The person who resides in the unit, and who is the remaining head of the household of the resident family residing in the dwelling unit.
14. Business Days: Monday through Friday of each week, except for legal holidays recognized by the federal government and/or local city government.

D. Incorporation in Leases

This grievance procedure shall be incorporated by reference in all leases between residents and the KCHA whether or not so specifically provided for in such leases.

E. Exceptions

These procedures are applicable to all individual grievances, as defined in the KCHA's Definitions section of these policies, between the resident and the KCHA with the following exceptions:

1. The procedures are not applicable to disputes between residents not involving the KCHA, or to class grievances. The procedures are not intended as a forum for initiating or negotiating policy changes between a group or groups of residents and the Board of Commissioners; and
2. HUD has issued a due process determination that the law of the State of Illinois requires that the resident be given the opportunity for a hearing in court that provides the basic elements of due process (as defined in the Definition section of these policies) before eviction from a dwelling unit. Therefore, the KCHA has elected to determine that this grievance procedure shall not be applicable to any termination of tenancy or eviction that involves:
 - a. Any activity, not just criminal activity that threatens the health, safety, or right to peaceful enjoyment of the premises by other residents or employees of KCHA; or
 - b. Any drug-related criminal activity on or off such premises;
 - c. Any criminal activity that is cause for eviction even in the absence of conviction or arrest;
 - d. Alcohol abuse that interferes with the health, safety, or right to peaceful enjoyment of the premises by other residents.

However, improper use of or disclosure of information obtained by the KCHA through criminal records, sex offender registration records and drug abuse treatment facility records, may be the subject of a grievance by a tenant of the KCHA.

F. Processing Grievances

The primary objective of this process is to settle grievances at the lowest level and as quickly as possible, and minimize impact upon the KCHA's operations. Except as stated in paragraphs A. and B. above, the KCHA's procedures shall afford each resident an opportunity for a hearing on a grievance, in accordance with the requirements, standards, and criteria contained in these procedures, with such modifications as are required by State law. The process for handling grievances is outlined below.

1. Informal Settlement of Grievance

- a. Grievances shall be personally presented, either orally or in writing, to the KCHA's central office, or to the office of the development in which the complainant resides, so that the grievance may be discussed informally and settled without a hearing, if possible. This notice should be given within thirty (30) business days after the occurrence giving rise to the grievance.
- b. A summary of such discussion shall be prepared within five (5) business days. One copy shall be given to the resident and one shall be retained in the KCHA's resident file.
- c. The summary shall specify the names of the participants, dates of the meetings, nature of the complaint, the proposed disposition of the complaint, and the specific reasons therefore, and the procedures by which a hearing may be obtained if the resident is not satisfied.
- d. The KCHA shall specifically include notice to the resident of the following:
 - (1) the time limit to request a formal grievance hearing;
 - (2) that the grievance can be heard by a hearing officer or a hearing panel, and what the procedure is for selecting the officer or panel;
 - (3) what specifically must be included in the complainant's written request for a grievance, as provided in paragraph 1.b of the KCHA's Procedures to Obtain a Hearing;
 - (4) that if the complainant fails to request a hearing within the required time period (5 business days) after receiving the summary, the KCHA's decision rendered at the informal conference becomes final. However, the complainant does not waive the right to contest the KCHA's action in an appropriate judicial proceeding;
 - (5) that the resident has a right to be represented by counsel or other representative at a formal grievance hearing; and
 - (6) that the resident requesting a hearing has a right to examine any KCHA documents relevant to the hearing, including records and regulations. The resident shall be allowed to obtain a copy from the KCHA of any such documentation at the resident's expense, as stated in the "Charges in Addition to Rent" schedule.

2. Procedures to Obtain a Hearing

- a. Request for a Hearing:
 - (1) The resident shall submit a written request for a hearing to the KCHA, or to the development office, within five (5) business days after receipt of the written summary of the informal discussion.

- (2) The written request shall specify:
 - the reasons for the grievance;
 - the action or relief sought;
 - the complainant's statement setting forth the times at which the complainant will be available for a hearing during the next ten (10) business days;
 - complainant's preference, if any, concerning whether the grievance should be heard by a single hearing officer or by a hearing panel.
- (3) If the complainant fails to request a hearing within five (5) business days after receiving the written summary of the informal settlement conference, the KCHA's decision rendered at the informal conference becomes final and the KCHA is not thereafter obligated to offer the complainant a formal hearing.
Should the resident fail to request a hearing such failure shall not constitute a waiver by the resident of his/her right thereafter to contest the KCHA's action in disposing of the complaint in an appropriate judicial proceeding.

b. Selection of Hearing Officer or Hearing Panel:

- (1) Grievances shall be presented before a hearing officer or hearing panel.
- (2) A hearing officer or hearing panel shall be selected as follows:
 - (a) The hearing officer shall be an impartial, disinterested person selected jointly by the KCHA and the resident. The officer cannot be a party related to the grievance.
If they cannot agree on a hearing officer, they shall each appoint a member of a hearing panel, and the appointed members shall select a third member.
If the members appointed by the KCHA and the resident cannot agree on a third member, such member shall be appointed by an independent arbitration organization, such as the Center for Disputes Settlement of the America Arbitration Association, or by any other third-party agreed upon by the KCHA and the resident.
 - (b) In lieu of the procedures set forth in paragraph (1) above the KCHA may provide for the appointment of a hearing officer or a hearing panel by any method which is approved by the majority of residents (in any building, group of buildings, or development, or group of developments to which the methods are applicable) voting in an election or meeting of residents held for the purpose.
 - (c) In all cases, the KCHA will consult with resident organizations before appointment of hearing officers or hearing panels and documents related to discovery in the grievance process will be made available to residents.

c. Hearing Prerequisite:

- (1) All grievances shall be personally presented, either orally or in writing, pursuant to the informal procedure prescribed in the paragraph on Informal Settlement of Grievance, above, as a condition precedent to a hearing under this section.
- (2) If the complainant shows good cause why he/she failed to proceed in accordance with the paragraph on informal settlement, above, the provisions of this subsection may be waived by the hearing officer or hearing panel.

d. Escrow Deposit:

- (1) Before a hearing is scheduled in any grievance involving the amount of Tenant Rent which the KCHA claims is due, the resident shall pay into an escrow account, an amount equal to the amount of the Tenant Rent due and payable as of the first of the month preceding the month in which the act or failure to act took place.
- (2) The resident shall thereafter deposit the same amount of the Tenant Rent into that escrow account monthly, until the complaint is resolved by decision of the hearing officer or hearing panel.
- (3) The KCHA may waive these requirements in extenuating circumstances. Unless so waived, failure to make such payments shall result in termination of the grievance procedures.
- (4) Failure to make payment shall not constitute a waiver of any right the resident may have to contest the KCHA's disposition of the resident's grievance in any appropriate judicial proceeding.
- (5) Escrow deposits are not required for grievances related to minimum rent hardships and welfare reductions.

e. Scheduling Hearings:

- (1) The hearing officer or hearing panel shall promptly schedule the hearing, for a time and place reasonably convenient to both the resident and the KCHA, upon a resident's compliance with the above requirements.
- (2) A written notification specifying the time, place, and the procedures governing the hearing shall be delivered to the resident and the appropriate KCHA official.

3. Procedures Governing the Hearing

- a. Official or Panel: The hearing shall be held before a hearing officer or a hearing panel, as appropriate.

- b. Safeguards of Due Process: The resident shall be afforded a fair hearing providing the basic safeguards of due process, which include the following.

- (1) The opportunity to examine documents before the hearing, and to copy all documents, records, and regulations of the KCHA that are relevant to the hearing at the expense of the complainant. Any requested document not made available to the resident may not be relied on by the KCHA at the hearing.
- (2) The right to be represented by counsel or other person chosen as the resident's representative.
- (3) The right to a private hearing, unless the resident requests a public hearing.
- (4) The right to present evidence and arguments in support of the resident's complaint, to controvert evidence relied on by the KCHA or development management, and to confront and cross examine all witnesses on whose testimony or information the KCHA or development management relies.
- (5) A decision based solely and exclusively upon the facts presented at the hearing.

- c. Previous Decision

The hearing officer or hearing panel may render a decision without proceeding with the hearing, if the hearing officer or hearing panel determines that the issue has been previously decided in another proceeding.

- d. Failure to Appear:

- (1) If the resident or the KCHA fails to appear at a scheduled hearing, the hearing officer or hearing panel may make a determination to postpone the hearing, for a period not to exceed five (5) business days, or may make a determination that the party has waived his or her right to a hearing.
- (2) The hearing officer or hearing panel shall notify both the resident and the KCHA of the determination.
- (3) A determination that the complainant has waived his or her right to a hearing shall not constitute a waiver of any right the resident may have to contest the KCHA's disposition of the grievance in an appropriate judicial proceeding.

- e. Entitlement and Justification:

- (1) At the hearing, the resident must first make a showing of an entitlement to the relief sought.
- (2) Thereafter, the KCHA must sustain the burden of justifying the KCHA's action or failure to act against which the complaint is directed.

f. Conduct of the Hearing:

- (1) The hearing shall be conducted informally by the hearing officer or hearing panel.
- (2) Oral or documentary evidence pertinent to the facts and issues raised by the resident may be received without regard to admissibility under the rules of evidence applicable to judicial proceedings.
- (3) The hearing officer or hearing panel shall require the KCHA, the resident, legal counsel, and other participants or spectators to conduct themselves in an orderly fashion. Failure to comply with the directions of the hearing officer or hearing panel to obtain order may result in exclusion from the proceedings, or in a decision adverse to the interests of the disorderly party, and granting or denial of the relief sought, as appropriate.

g. Transcript:

- (1) The resident or the KCHA may arrange, in advance and at the expense of the party making the arrangement, for a transcript of the hearing.
- (2) Any interested party may purchase a copy of such transcript.

h. Accommodation to Disabled Persons

The KCHA's will provide reasonable accommodation for persons with disabilities throughout the grievance process. This includes, but is not limited to, accommodating tenants with disabilities by accepting grievances at alternate sites or by mail, having KCHA staff reduce an oral request for a grievance to writing for a tenant with a disability who cannot write due to the disability, and providing accommodations in the grievance hearing itself by providing qualified sign language interpreters, readers, accessible locations or attendants.

4. a. Decision, Reasons, Copies and Files:

- (1) The hearing officer or hearing panel shall prepare a written decision, together with the reasons therefore, within a reasonable time after the hearing (usually within 10 business days).
- (2) A copy of the decision shall be sent to the resident and the KCHA.
- (3) The KCHA shall retain a copy of the decision in the resident's folder.
- (4) A copy of the decision, with all names and identifying references deleted, shall also be maintained by the KCHA and made available for inspection by a prospective complainant, his or her representative, or the hearing panel or hearing officer.

b. Subsequent Actions

The decision of the hearing officer or hearing panel shall be binding on the KCHA, which shall take all actions, or refrain from any actions, necessary to carry out the decision, unless the Board of Commissioners determines, within ten (10) business days, and promptly notifies the resident of its determination, that:

- (1) The grievance does not concern KCHA action or failure to act in accordance with or involving the resident's lease or KCHA regulations, which adversely affect the resident's rights, duties, welfare, or status; and
- (2) The decision of the hearing officer or hearing panel is contrary to applicable Federal, State, or local law, HUD regulations, or requirements or the Annual Contributions Contract between HUD and the KCHA.

c. Judicial Proceedings

A decision by the hearing officer, hearing panel, or Board of Commissioners, in favor of the KCHA, or which denies the relief requested by the resident, in whole or in part, shall not constitute a waiver of, nor affect in any manner whatever, any rights the resident may have to a trial de novo or judicial review in any judicial proceedings, which may thereafter be brought in the matter.

5. KCHA Notice

Notices under this grievance procedure shall be deemed delivered:

- a. Upon personal service thereof to the complainant or an adult member (18 years of age or older) of the complainant's household;
- b. Upon the date receipted for or refused by the addressee, in the case of certified or registered U.S. Mail; or
- c. On the second business day after first class mailing, with the U.S. Postal Service.

6. Concurrent Notice

If a resident has filed a request for grievance hearing in a case involving the KCHA's notice of termination of tenancy, the complainant should be aware that the State law notice to vacate and the notice of termination of tenancy required under Federal law can run concurrently.

If the hearing officer or hearing panel upholds the KCHA's action to terminate the tenancy, the KCHA may commence an eviction action in court by the later of:

- a. The expiration of the date for termination of tenancy and vacation of premises stated in the delivered termination notice, or
- b. The delivery of the report of decision of the hearing officer or panel to complainant.

7. Modification

This grievance procedure may not be amended or modified except by approval of a majority of the Board of Commissioners of the KCHA, present at a regular meeting or a special meeting called for such purposes.

- a. The KCHA must provide for at least thirty (30) days advance notice to residents and resident organizations of any changes proposed to be made to this grievance procedure, setting forth the proposed changes and providing an opportunity to present written comments.
- b. The KCHA shall consider any comments submitted before final adoption of any amendments.

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NOTICE

The Nelrod Company has made its best efforts to comply with regulations, laws, and Federal/local policies. The Nelrod Company does not offer advice on legal matters or render legal opinions. We recommend that the Housing Authority's general counsel and/or attorney review this policy prior to approval by the Board of Commissioners.

The Nelrod Company is not responsible for any changes made to these policies by any party other than The Nelrod Company.