

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0 PHA Information
 PHA Name: Housing Authority of Harlan PHA Code: KY-077
 PHA Type: Small High Performing Standard HCV (Section 8)
 PHA Fiscal Year Beginning: (MM/YYYY): 07/2010

2.0 Inventory (based on ACC units at time of FY beginning in 1.0 above)
 Number of PH units: 177 Number of HCV units: _____

3.0 Submission Type
 5-Year and Annual Plan Annual Plan Only 5-Year Plan Only

4.0 PHA Consortia PHA Consortia: (Check box if submitting a joint Plan and complete table below.)

Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program	
				PH	HCV
PHA 1:					
PHA 2:					
PHA 3:					

5.0 5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.

5.1 Mission. State the PHA’s Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA’s jurisdiction for the next five years: *The Housing Authority of Harlan’s (HAH) goal is to provide drug free, affordable, decent, safe and sanitary housing for eligible families and to provide opportunities and promote self-sufficiency and economic independence for our residents.*

5.2 Goals and Objectives. Identify the PHA’s quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.
See below

6.0 PHA Plan Update
 (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: *None*
 (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. *509 Poplar Street, Harlan, KY 40831*

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. *Include statements related to these programs as applicable.*

8.0 Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the *Capital Fund Program Annual Statement/Performance and Evaluation Report*, form HUD-50075.1, for each current and open CFP grant and CFFP financing.

8.2 Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the *Capital Fund Program Five-Year Action Plan*, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.

8.3 Capital Fund Financing Program (CFFP).
 Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.

9.0 Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.

9.1 Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. **Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.**

10.0	Additional Information. Describe the following, as well as any additional information HUD has requested. (a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan. <i>See Below comments</i> (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" See below/
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11.0	Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office. (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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Item # 5.2. (5-Year Goals & Objectives)

1. *Two of every five new residents will be selected from the extremely low (i.e., 30% and below) income range of applicants for Housing Authority of Harlan (HAH) projects/developments.*
2. *HAH will attempt to improve living conditions by undertaking capital improvements within its financial means. Each year, to the extent that capital and operating funds are available, necessary and/or meaningful capital improvements will be undertaken. Resident input will be sought and considered in determining the items and the priority of work to be accomplished each year.*
3. *Safe and secure housing for all HAH residents will be a continuing goal, which will be measured by applicant interest and resident satisfaction. To help facilitate knowledge and necessary improvements in this area, meetings between the members of the resident council and the Executive Director and/or Resident Coordinator will be held at least quarterly to discuss applicable issues. The Chief of Police will also be invited to attend these meetings. Collectively, the HAH, its residents and Police Department will strive to implement necessary changes, corrections and/or measures that are realistic and obtainable within the financial resources available to all parties.*
4. *We will continue to try to improve our occupancy level to 95% or higher. **As of October 31, 2004, the occupancy level is 87.6, or 155 of 177 available units.** We will continue to make physical improvement to our properties to make them more attractive, while maintaining our "affordable" rent structure, and advertise these features to potential residents through both media and word of mouth means.*
5. *We will strive to achieve "High Performer" status, by raising our scores on the "Financial" and/or "Physical" areas of the PHAS by one or more points.*
6. *The Housing Authority of Harlan's (HAH) ACOPP offers a selection preference for victims of "domestic violence" to cover the provisions/definitions (of "domestic violence victims") stated in the "Victims of Women's Act of 2005. Further, the ACOPP and HAH's dwelling lease offer protection for family members who are victims of such violence. "Thus, HAH will offer all applicants the "preference" during the selection process. However, applicants must provide evidence of being a "domestic violence" victim before they are granted this preference. Additionally, HAH will offer continued occupancy privileges to those residents who are victims of domestic violence (while pursuing eviction of those resident family members who are the perpetrators of such acts.) Additionally, HAH will offer such victims referral assistance, such as local counseling, medical and legal service agencies. Finally, HAH will maintain records of those new residents who have been granted selection preference; those residents who were victims of domestic violence (and whose significant other was evicted for such acts) as well as those who were referred for local assistance.*

Item 10 (a) Progress in Meeting 5 Year Mission & Goals (Accomplishments Noted in Bold following each goal/objective)

1. *Two of every five new residents will be selected from the extremely low (i.e., 30% and below) income range of applicants for Housing Authority of Harlan (HAH) projects/developments.*
2. *HAH will attempt to improve living conditions by undertaking capital improvements within its financial means. Each year, to the extent that capital and operating funds are available, necessary and/or meaningful capital improvements will be undertaken. Resident input will be sought and considered in determining the items and the priority of work to be accomplished each year. **HAH has made several improvements in the living conditions of its properties in the past five years. Included in these are the placement of carbon monoxide detectors in all units, improvement in the fire alarm system at the Highrise Apartments (KY 77-02), replacement of the interior sewer (soil waste) lines in several of the family unit buildings, upgrade of the security camera system at all sites, re-roofing of all family dwelling buildings, purchase and installation of CFL bulbs and water saver devices for dwelling units, purchase and installation of purchase of 34 (Energy Star) refrigerators as well as 25 new gas stoves.***

3. *Safe and secure housing for all HAH residents will be a continuing goal, which will be measured by applicant interest and resident satisfaction. To help facilitate knowledge and necessary improvements in this area, meetings between the members of the resident council and the Executive Director and/or Resident Coordinator will be held at least quarterly to discuss applicable issues. The Chief of Police will also be invited to attend these meetings. Collectively, the HAH, its residents and Police Department will strive to implement necessary changes, corrections and/or measures that are realistic and obtainable within the financial resources available to all parties. Meetings were held, from time to time, with members of HAH's Resident Council and with members of the Harlan Police Department. Both parties/groups indicate that they feel the HAH's properties are among, if not the, safest multifamily properties in Harlan County. This is due in part to the security camera surveillance system that HAH has in place. And that system was totally upgraded during the summer of 2009. Goal met.*

4. *We will continue to try to improve our occupancy level to 95% or higher. As of October 31, 2004, the occupancy level is 87.6, or 155 of 177 available units. We will continue to make physical improvement to our properties to make them more attractive, while maintaining our "affordable" rent structure, and advertise these features to potential residents through both media and word of mouth means. Unfortunately, we were not able to achieve this goal due to the fact that there are so many other subsidized (Section 8, Tax Credit and HOME) rental properties in Harlan County and the fact that the population of Harlan County has dropped drastically (by one-third according last Census) in recent years. Moreover, much of the Capital Funding received and used during this period had to go to improving existing living conditions (e.g. replacement of bad interior soil waste (sewer) lines in dwelling units, rather than making improvements in amenities to keep up with competitor complexes. Additionally, most of our competitor rental projects are much newer complexes and have more amenities to offer. Our occupancy level as of December 1, 2009 was 88%, (approximately same as it was on October 31, 2004), or 147 occupied of 167 available units. Ten units were off-line undergoing Modernization (CFP) actions at that time.*

5. *We will strive to achieve "High Performer" status, by raising our scores on the "Financial" and/or "Physical" areas of the PHAS by one or more points. We have been able to achieve and maintain a "High Performer" status for most of the five-year period including the current year, due largely to being able to raise the scores in "Financial" and "Physical" areas of the PHAS. Goal achieved.*

6. *The Housing Authority of Harlan's (HAH) ACOPP offers a selection preference for victims of "domestic violence" to cover the provisions/definitions (of "domestic violence victims") stated in the "Violence Against Women's Act of 2005". Further, the ACOPP and HAH's dwelling lease offer protection for family members who are victims of such violence. Thus, HAH will offer all applicants the "preference" during the selection process. However, applicants must provide evidence of being a "domestic violence" victim before they are granted this preference. Additionally, HAH will offer continued occupancy privileges to those residents who are victims of domestic violence (while pursuing eviction of those resident family members who are the perpetrators of such acts.) Additionally, HAH will offer such victims referral assistance, such as local counseling, medical and legal service agencies. Finally, HAH will maintain records of those new residents who have been granted selection preference; those residents who were victims of domestic violence (and whose significant other was evicted for such acts) as well as those who were referred for local assistance. While the HAH has had the "selection preference" for victims of Domestic Violence (as per the VAWA of 2005) and has had a lease addendum covering protection of victims in retaining occupancy, it has not had a single applicant or resident family member claim such protection. Nevertheless, since both the ACOPP and Dwelling Lease offer such preference and/or protection, we consider this goal met.*

Item 10.0 (b) Definitions of Significant Amendment and Substantial Deviation/Modification

The Housing Authority of Harlan (HAH) has chosen the following as its definition of Substantial Deviation/Modification from its Five-Year/Annual Plan:

- a.) Redirection of more than 20% of its operating budget funds from any budgeted/scheduled activity to another activity or;*
- b.) A major change in program direction (e.g., new or different housing selection preference criterion, new or changes to deductions from income-based rents, additional efforts to enhance deconcentration opportunities, changes in the basis of determining Ceiling/Flat rent amounts, etc.) that requires action on the part of the Board of Commissioners; or*
- c.) Increasing or decreasing the total number of HAHC employees by more than 25% from that authorized on the July 1st of each fiscal year.*

However, NONE of these changes will be considered a Substantial Deviation IF those changes result from Government (i.e., Federal, State, or Local) actions over which the HAH exercises no control.

2. *The HAH has chosen to use the HUD definition of Significant Amendment or Modification. Specifically, it will consider the following to be such modifications/amendments:*

- a.) Changes to rent or admission policies or organization of its waiting list, or*
- b.) Additions of non-emergency work items (not included in the current Annual Statement or 5-Year Action Plan) or change in use of the replacement reserve funds under the Capital Grant Funds Program, or*
- c.) Any change with regard to demolition or disposition, designation of projects/buildings (for the elderly/disabled or families with disabilities), homeownership programs or conversion activities.*

However, NONE of these changes will be considered Substantial Amendments/Modifications IF those changes result from Government (i.e., Federal, State, of Local) actions over which the HAH exercises no control.