

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

---

Small PHA Plan Update  
Annual Plan for Fiscal Year: 2001

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

**PHA Plan  
Agency Identification**

**PHA Name:** Housing Authority of Harlan, KY

**PHA Number:** KY077

**PHA Fiscal Year Beginning: (mm/yyyy)** 07/01

**PHA Plan Contact Information:**

Name: Donald L. Deaton, Executive Director

Phone: 606-573-5800

TDD: 1-800-247-2510

Email (if available): dmorris@kih.net

**Public Access to Information**

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

- Main administrative office of the PHA
- PHA development management offices

**Display Locations For PHA Plans and Supporting Documents**

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

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

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

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

**PHA Programs Administered:**

- Public Housing and Section 8       Section 8 Only       Public Housing Only

**Annual PHA Plan**  
**Fiscal Year 2001**  
 [24 CFR Part 903.7]

**i. Table of Contents**

Provide a table of contents for the Plan, including attachments, and a list of supporting documents available for public inspection. For Attachments, indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

<b>Contents</b>	<u>Page #</u>
<b>Annual Plan</b>	
i. Executive Summary (optional)	
ii. Annual Plan Information	
iii. Table of Contents	
1. Description of Policy and Program Changes for the Upcoming Fiscal Year	3
2. Capital Improvement Needs	3-4
3. Demolition and Disposition	4-5
4. Homeownership: Voucher Homeownership Program	5
5. Crime and Safety: PHDEP Plan	6
6. Other Information:	
A. Resident Advisory Board Consultation Process	6-7
B. Statement of Consistency with Consolidated Plan	7-8
C. Criteria for Substantial Deviations and Significant Amendments	8-9
<b>Attachments</b>	
<input checked="" type="checkbox"/> Attachment A : Supporting Documents Available for Review	
<input checked="" type="checkbox"/> Attachment B_: Capital Fund Program Annual Statement	
<input checked="" type="checkbox"/> Attachment C_: Capital Fund Program 5 Year Action Plan	
<input type="checkbox"/> Attachment __: Capital Fund Program Replacement Housing Factor Annual Statement	
<input type="checkbox"/> Attachment __: Public Housing Drug Elimination Program (PHDEP) Plan	
<input checked="" type="checkbox"/> Attachment D_: Resident Membership on PHA Board or Governing Body	
<input checked="" type="checkbox"/> Attachment E_: Membership of Resident Advisory Board or Boards	
<input type="checkbox"/> Attachment __: Comments of Resident Advisory Board or Boards & Explanation of PHA Response (must be attached if not included in PHA Plan text)	
<input checked="" type="checkbox"/> Other (List below, providing each attachment name)	
Attachment F. Capital Fund Performance & Evaluation Reports.	
Attachment G. Deconcentration Questionnaire.	

## **ii. Executive Summary**

[24 CFR Part 903.7 9 (r)]

At PHA option, provide a brief overview of the information in the Annual Plan

See 1. Below.

### **1. Summary of Policy or Program Changes for the Upcoming Year**

In this section, briefly describe changes in policies or programs discussed in last year's PHA Plan that are not covered in other sections of this Update.

The Housing Authority of Harlan will during the upcoming (2<sup>nd</sup> year of the initial 5-year plan) year implement the provisions of the Community Services requirements and the Pet Policy requirements that apply to projects (developments) of general occupancy. Additionally, it will continue its 5-year Capital Improvements Program by making needed major improvements, i.e., replace old heating boilers with new more energy efficient ones and construction of a new elevator on the east end exterior of the Highrise Apartments [KY 77-2]. During the first year of the 5-year Agency Plans, the PHA amended its ACOPP to include the required provisions of the 1998 Housing Act and subsequent HUD Final Rule on Occupancy. Further, HAH provided for additional local options by adopting Ceiling/Flat Rents (same definition) at amounts below the Section 8 FMRs for Harlan County and adopting FICA and health insurance premium deductions from Income-based rents for working families.

### **2. Capital Improvement Needs**

[24 CFR Part 903.7 9 (g)]

Exemptions: Section 8 only PHAs are not required to complete this component.

A.  Yes  No: Is the PHA eligible to participate in the CFP in the fiscal year covered by this PHA Plan?

B. What is the amount of the PHA's estimated or actual (if known) Capital Fund Program grant for the upcoming year? \$306,303.

C.  Yes  No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete the rest of Component 7. If no, skip to next component.

D. Capital Fund Program Grant Submissions

#### **(1) Capital Fund Program 5-Year Action Plan**

The Capital Fund Program 5-Year Action Plan is provided as Attachment B.

#### **(2) Capital Fund Program Annual Statement**

The Capital Fund Program Annual Statement is provided as Attachment C.

### **3. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

<b>Demolition/Disposition Activity Description (Not including Activities Associated with HOPE VI or Conversion Activities)</b>
1a. Development name: 1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. Number of units affected: 6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Relocation resources (select all that apply) <input type="checkbox"/> Section 8 for      units <input type="checkbox"/> Public housing for      units <input type="checkbox"/> Preference for admission to other public housing or section 8 <input type="checkbox"/> Other housing for      units (describe below)
8. Timeline for activity: a. Actual or projected start date of activity: b. Actual or projected start date of relocation activities: c. Projected end date of activity:

**4. Voucher Homeownership Program**

[24 CFR Part 903.7 9 (k)]

- A.  Yes  No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to next component; if “yes”, describe each program using the table below (copy and complete questions for each program identified.)

**B. Capacity of the PHA to Administer a Section 8 Homeownership Program N/A for HAH**

The PHA has demonstrated its capacity to administer the program by (select all that apply):

- Establishing a minimum homeowner downpayment requirement of at least 3 percent and requiring that at least 1 percent of the downpayment comes from the family’s resources

- Requiring that financing for purchase of a home under its section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards
- Demonstrating that it has or will acquire other relevant experience (list PHA experience, or any other organization to be involved and its experience, below):

**5. Safety and Crime Prevention: PHDEP Plan NOT APPLICABLE to H A of Harlan**

[24 CFR Part 903.7 (m)]

Exemptions Section 8 Only PHAs may skip to the next component PHAs eligible for PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- A.  Yes  No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- B. What is the amount of the PHA’s estimated or actual (if known) PHDEP grant for the upcoming year? \$ \_\_\_N/A\_\_\_\_\_
- C.  Yes  No Does the PHA plan to participate in the PHDEP in the upcoming year? If yes, answer question D. If no, skip to next component.
- D.  Yes  No: The PHDEP Plan is attached at Attachment \_\_\_\_\_

**6. Other Information**

[24 CFR Part 903.7 9 (r)]

**A. Resident Advisory Board (RAB) Recommendations and PHA Response**

- 1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
- 2. If yes, the comments are Attached at Attachment (File name)
- 3. In what manner did the PHA address those comments? (select all that apply)
  - The PHA changed portions of the PHA Plan in response to comments  
A list of these changes is included  
    - Yes  No: below or
    - Yes  No: at the end of the RAB Comments in Attachment \_\_\_\_\_.
  - Considered comments, but determined that no changes to the PHA Plan were necessary. An explanation of the PHA’s consideration is included at the at the end of the RAB Comments in Attachment \_\_\_\_\_.
  - Other: (list below) Only “negative” comments received where that the 3 member Resident Advisory Council felt that Pets had no place in public housing. When advised that the Housing Authority’s must, by Federal Law, have such a Pet Policy, they asked it be as “restrictive” as possible. Otherwise, they RAB

were supportive and appreciative of the PHA's efforts to date and plans for the future.

## **B. Statement of Consistency with the Consolidated Plan**

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

1. Consolidated Plan jurisdiction: (provide name here) Commonwealth of Kentucky (State Plan)

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

The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.

The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.

The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

Activities to be undertaken by the PHA in the coming year are consistent with specific initiatives contained in the Consolidated Plan. (list such initiatives below)

This year's Plan will again addresses occupancy for extremely low through low-income applicants and occupants. The Plan caps the rent amount at the lesser of the Income-based Rent or the applicable (for the bedroom size unit occupied) Ceiling/Flat Rent amount. The Ceiling/Flat Rents (are one in the same by definition) are set at amounts below the Section 8 FMRs for Harlan County. Income-based rents are calculated by taking the statutory deductions (e.g., \$480 for each minor child, \$400 for an elderly or disabled head of household) and Housing Authority of Harlan (HAH) optional deductions for FICA taxes and health insurance premiums withheld from wages/salaries. It is HAH's intent and belief that these considerations will help keep rents affordable while allowing it to retain a necessary solvency position. Further, capital improvements made to the HAH's two projects during the subject and future Agency Plan years will enhance the living environment for all those eligible individuals and families both who are occupants and aspiring applicants.

Other: (list below)

3. PHA Requests for support from the Consolidated Plan Agency

Yes  No: Does the PHA request financial or other support from the State or local government agency in order to meet the needs of its public housing residents or inventory? If yes, please list the 5 most important requests below:

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

The State Consolidated Plan sets forth the following, with which the HAH's activities are consistent: "Expand the supply of safe, decent, sanitary and affordable housing for very-low and low-income families through ...rehabilitation...."

## **C. Criteria for Substantial Deviation and Significant Amendments**

### **1. Amendment and Deviation Definitions**

24 CFR Part 903.7(r)

PHAs are required to define and adopt their own standards of substantial deviation from the 5-year Plan and Significant Amendment to the Annual Plan. The definition of significant amendment is important because it defines when the PHA will subject a change to the policies or activities described in the Annual Plan to full public hearing and HUD review before implementation.

#### **A. Substantial Deviation from the 5-year Plan:**

- a.) Redirection of more than 25% 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 HA employees by more than 25% from that authorized on the July 1st of each fiscal year.

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

#### **B. Significant Amendment or Modification to the Annual Plan:**

- a.) Changes to rent or admission policies or organization of its waiting list.
- 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.
- 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 HA exercises no control.

## **Attachment A** **Supporting Documents Available for Review**

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

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
	State/Local Government Certification of Consistency with the Consolidated Plan (not required for this update)	5 Year and Annual Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction/s in which the PHA is located and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
	Any policy governing occupancy of Police Officers in Public Housing <input type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Eligibility, Selection, and Admissions Policies
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Results of latest binding Public Housing Assessment System (PHAS) Assessment	Annual Plan: Management and Operations
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
	Any required policies governing any Section 8 special housing types <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for any active grant year	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing §504 of the Rehabilitation Act and the Americans with Disabilities Act. See, PIH 99-52 (HA).	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program (section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Cooperation agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report	Annual Plan: Safety and Crime Prevention

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
	PHDEP-related documentation: <ul style="list-style-type: none"> <li>· Baseline law enforcement services for public housing developments assisted under the PHDEP plan;</li> <li>· Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15);</li> <li>· Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities;</li> <li>· Coordination with other law enforcement efforts;</li> <li>· Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and</li> <li>· All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan.</li> </ul>	Annual Plan: Safety and Crime Prevention
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G) <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
X	Community Service Requirements Implementation Plan & Report on First Year Plan's accomplishments	Annual Plan

**Annual Statement/Performance and Evaluation Report ATTACHMENT C.  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/**

<b>PHA Name: Housing Authority of Harlan</b>		<b>Grant Type and Number</b> Capital Fund Program: 502 Capital Fund Program Replacement Housing Factor Grant No:		
<input checked="" type="checkbox"/> <b>Original Annual Statement</b>		<input type="checkbox"/> <b>Reserve for Disasters/ Emergencies</b> <input type="checkbox"/> <b>Revised A</b>		
<input type="checkbox"/> <b>Performance and Evaluation Report for Period Ending:</b>		<input type="checkbox"/> <b>Final Performance and Evaluation Report</b>		
<b>Line No.</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		
		<b>Original</b>	<b>Revised</b>	
1	Total non-CFP Funds			
2	1406 Operations	\$ 40,000.		
3	1408 Management Improvements			
4	1410 Administration	\$ 3,303.		
5	1411 Audit			
6	1415 liquidated Damages			
7	1430 Fees and Costs	\$ 33,000.		
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures	\$230,000.		
11	1465.1 Dwelling Equipment—Nonexpendable			

**Annual Statement/Performance and Evaluation Report ATTACHMENT C.  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/**

PHA Name: Housing Authority of Harlan		Grant Type and Number Capital Fund Program: 502 Capital Fund Program Replacement Housing Factor Grant No:	
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised A	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report	
Line No.	Summary by Development Account	Total Estimated Cost	
12	1470 Nondwelling Structures		
13	1475 Nondwelling Equipment		
14	1485 Demolition		
15	1490 Replacement Reserve		
16	1492 Moving to Work Demonstration		
17	1495.1 Relocation Costs		
18	1498 Mod Used for Development		
19	1502 Contingency		
20	Amount of Annual Grant: (sum of lines 2-19)	\$306,303.	
21	Amount of line 20 Related to LBP Activities		
22	Amount of line 20 Related to Section 504 Compliance		
23	Amount of line 20 Related to Security		
24	Amount of line 20 Related to Energy Conservation Measures	\$ 90,000.	

**Annual Statement/Performance and Evaluation Report ATTACHMENT C.  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CI)  
Part II: Supporting Pages**

PHA Name: Housing Authority of Harlan		Grant Type and Number Capital Fund Program #: 502 Capital Fund Program Replacement Housing Factor #:			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost	
				Original	Revised
PHA - Wide	Operations-Financial Support due to large # of vacancies, 4 utilities, etc.	1406	1	\$ 40,000.	
PHA - Wide	Administration- cover advertising, copying, etc., necessary 2 support CFP	1410	1	3,303.	
PHA - Wide	Fees & Costs-hire A&E and Mod Mgr.	1430	2	33,000.	
KY 77-02	Dwelling Structures-remove & replace boilers w/higher efficiency, electronically fired ones.	1460	2	90,000.	
KY 77-02	Dwelling Structures-construct elevator and shaft on exterior east end of building	1460	1	140,000.	

**Annual Statement/Performance and Evaluation Report ATTACHMENT C.  
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFR)  
 Part II: Supporting Pages**

PHA Name: Housing Authority of Harlan		<b>Grant Type and Number</b> Capital Fund Program #: 502 Capital Fund Program Replacement Housing Factor #:			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost	
				Original	Revised





**Capital Fund Program 5-Year Action Plan ATTACHMENT B.**

**Capital Fund Program Five-Year Action Plan**

**Part I: Summary for Agency Plans year beginning July 1, 2001**

PHA Name: Housing Authority of Harlan, KY					<input checked="" type="checkbox"/> Original 5-Year <input type="checkbox"/> Revision No:
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: 2002 PHA FY: Begin July 1, 2002	Work Statement for Year 3 FFY Grant: 2003 PHA FY: Begin July 1, 2003	Work Statement for Year 4 FFY Grant: 2004 PHA FY: Begin July 1, 2004	
	Annual Statement				
KY 077-01		\$102,303.	\$102,303.	\$106,303.	
KY 077-02		\$126,000.	\$126,000.	\$150,000.	
PHA-Wide		\$ 78,000.	\$ 78,000.	\$ 50,000.	
Total CFP Funds (Est.)		\$306,303.	\$306,303.	\$306,303.	
Total Replacement Housing Factor Funds					

**Capital Fund Program Five-Year Action Plan Housing Authority of Harlan, KY  
Part II: Supporting Pages—Work Activities for Agency Plans year beginning July 1, 2001**

Activities for Year 1	Activities for Year :_2____ FFY Grant: 2002 PHA FY: Beginning July 1, 2002			Activities for Year :_3____ FFY Grant: 2003 PHA FY: Beginning July 1, 2003	
See Annual Plan Statements					
	KY 77-01	Dwelling Structures-convert to fluorescent lighting	\$30,000.	PHA Wide	Non-Equipment utility
	KY 77-01	Dwelling Structures-replace all electric switches, outlets, face & outlet plates	\$18,000.	KY 77-01	Dwelling Structures-resize 5 B into small
	KY 77-02	Dwelling Structures-convert to fluorescent lighting in kitchens	\$20,000.		
	KY 77-02	Dwelling Structures-replace all electric switches, outlets, face & outlet plates	\$12,000.		
	KY 77-02	Dwelling Structures-improve Emergency Call System	\$10,000.		

**Attachment B.**

**Capital Fund Program Five-Year Action Plan Housing Authority of Harlan, KY**

**Part II: Supporting Pages—Work Activities for Agency Plans year beginning July 1, 2001**

Activities for Year 1	Activities for Year :_4____ FFY Grant: 2004 PHA FY: Beginning July 1, 2004			Activities for Year :_4____ FFY Grant: 2004 PHA FY: Beginning July 1, 2004	
See Annual Plan Statements	PHA Wide	Non-Dwelling Equipment-purchase 2 <sup>nd</sup> Utility Vehicle	\$28,000.	KY 77-01	Dwelling paint interior
	KY 77-02	Dwelling Structures-paint interior & all common areas	\$75,000.		

**PHA Public Housing Drug Elimination Program Plan**

This ENTIRE Section does NOT APPLY to the Housing Authority of Harlan

**Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.**

**Section 1: General Information/History**

- A. Amount of PHDEP Grant \$      N/A
- B. Eligibility type (Indicate with an “x”)            N1      N2       
R
- C. FFY in which funding is requested
- D. Executive Summary of Annual PHDEP Plan

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long

**E. Target Areas**

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area. Unit count information should be consistent with that available in PIC.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)


**F. Duration of Program**

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an “x” to indicate the length of program by # of months. For “Other”, identify the # of months).

**12 Months**\_\_\_\_\_ **18 Months**\_\_\_\_\_ **24 Months**\_\_\_\_\_

**G. PHDEP Program History**

Indicate each FY that funding has been received under the PHDEP Program (place an “x” by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. The Fund Balances should reflect the balance as of Date of Submission of the PHDEP Plan. The Grant Term End Date should include any HUD-approved extensions or waivers. For grant extensions received, place “GE” in column or “W” for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Grant Start Date	Grant Term End Date
FY 1995						
FY 1996						
FY 1997						
FY1998						
FY 1999						

**Section 2: PHDEP Plan Goals and Budget AGAIN THIS DOES not APPLY 2 HAH**

**A. PHDEP Plan Summary**

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

**B. PHDEP Budget Summary**

Enter the total amount of PHDEP funding allocated to each line item.

FFY _____ PHDEP Budget Summary	
Original statement	
Revised statement dated:	
Budget Line Item	Total Funding
9110 – Reimbursement of Law Enforcement	
9115 - Special Initiative	
9116 - Gun Buyback TA Match	
9120 - Security Personnel	
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	
9150 - Physical Improvements	
9160 - Drug Prevention	
9170 - Drug Intervention	
9180 - Drug Treatment	

9190 - Other Program Costs	
<b>TOTAL PHDEP FUNDING</b>	

### C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

### Required Attachment D.: Resident Member on the PHA Governing Board

1.  Yes  No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board: Phillip Fluker

B. How was the resident board member selected: (select one)?

- Elected  
 Appointed

C. The term of appointment is (include the date term expires): December 2003

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

- the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis  
 the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.  
 Other (explain):

B. Date of next term expiration of a governing board member: December 2001

C. Name and title of appointing official(s) for governing board (indicate appointing official for the next position):

Danny Howard, Mayor, City of Harlan is the appointing official. Under Kentucky Revised Statutes, the Mayors of KY Cities are by the nature of election to office, a member of the Board of Commissioners of City Housing Authorities AND are the appointing authority for the remaining four Board members.

## Required Attachment E.: Membership of the Resident Advisory Board or Boards

List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

The Housing Authority's Resident Advisory Board, locally called the Resident Council, is made up of three members, namely Brenda Hooker, Thelma Seals, and Andrew (Andy) Redman, Jr.

## Attachment F. CIAP/Capital Funds Program Performance & Evaluation Reports for FFY1999 & FFY2000 awards.

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/				
PHA Name: <b>Housing Authority of Harlan (KY)</b>		Grant Type and Number <b>KY36P07790899</b> Capital Fund Program Grant No: <b>908</b> Replacement Housing Factor Grant No:		
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:    ) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: <b>12/31/00</b> <input type="checkbox"/> Final Performance and Evaluation Report				
Line No.	Summary by Development Account	Total Estimated Cost		
		Original	Revised	
1	Total non-CFP Funds			
2	1406 Operations			
3	1408 Management Improvements Soft Costs			
	Management Improvements Hard Costs			
4	1410 Administration	\$ 1,000.00	\$ 10,687.84	\$ 10,687.84
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs	\$ 29,240.00	\$ 27,755.00	\$ 27,755.00
8	1440 Site Acquisition			
9	1450 Site Improvement			
10	1460 Dwelling Structures	\$262,061.00	\$253,858.16	\$253,858.16
11	1465.1 Dwelling Equipment—Nonexpendable			
12	1470 Nondwelling Structures			
13	1475 Nondwelling Equipment			
14	1485 Demolition			
15	1490 Replacement Reserve			
16	1492 Moving to Work Demonstration			
17	1495.1 Relocation Costs			
18	1499 Development Activities			
19	1502 Contingency			
	Amount of Annual Grant: (sum of lines.....)	\$292,301.00	292,301.00	\$292,301.00
	Amount of line XX Related to LBP Activities			
	Amount of line XX Related to Section 504 compliance			
	Amount of line XX Related to Security –Soft Costs			
	Amount of Line XX related to Security-- Hard Costs			
	Amount of line XX Related to Energy Conservation Measures			
	Collateralization Expenses or Debt Service			



**Annual Statement/Performance and Evaluation Report  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFP)  
Part III: Implementation Schedule**

PHA Name: Housing Authority of Harlan (KY)		Grant Type and Number <b>KY36P07790899</b> Capital Fund Program No: 908 Replacement Housing Factor No:					Federal
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			
	Original	Revised	Actual	Original	Revised	Actual	
KY 77-01	12/31/99		1/31/00	12/31/01			

**Annual Statement/Performance and Evaluation Report  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFP)**

PHA Name: <b>Housing Authority of Harlan</b>		Grant Type and Number <b>KY36P07750100</b> Capital Fund Program Grant No: 501 Replacement Housing Factor Grant No:		
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12-31-00 <input type="checkbox"/> Final Performance and Evaluation Report				
Line No.	Summary by Development Account	Total Estimated Cost		
		Original	Revised	
1	Total non-CFP Funds			
2	1406 Operations	\$ 30,000.		\$ 30,000.
3	1408 Management Improvements Soft Costs Management Improvements Hard Costs			
4	1410 Administration	\$ 1,900.		
5	1411 Audit			
6	1415 Liquidated Damages			
7	1430 Fees and Costs	\$ 31,777.		\$ 31,777.
8	1440 Site Acquisition	\$ 30,000.		
9	1450 Site Improvement	\$111,657.		
10	1460 Dwelling Structures	\$ 66,614.		\$ 66,614.
11	1465.1 Dwelling Equipment—Nonexpendable			
12	1470 Nondwelling Structures	\$ 12,655.		
13	1475 Nondwelling Equipment	\$ 21,700.		\$ 21,700.
14	1485 Demolition			
15	1490 Replacement Reserve			
16	1492 Moving to Work Demonstration			
17	1495.1 Relocation Costs			
18	1499 Development Activities			
19	1502 Contingency			
	Amount of Annual Grant: (sum of lines.....)	\$306,303.		\$ 306,303.
	Amount of line XX Related to LBP Activities			
	Amount of line XX Related to Section 504 compliance			
	Amount of line XX Related to Security –Soft Costs			
	Amount of Line XX related to Security-- Hard Costs			
	Amount of line XX Related to Energy Conservation Measures	\$ 90,000.		
	Collateralization Expenses or Debt Service			

**Annual Statement/Performance and Evaluation Report**  
**Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPR)**  
**Part II: Supporting Pages**

PHA Name: Housing Authority of Harlan, KY		Grant Type and Number KY36P07750100			
		Capital Fund Program Grant No: 501		Replacement Housing Factor Grant No:	
Development Number Name/HA-Wide Activities	General Description of Major Work Categories		Dev. Acct No.	Quantity	Total Estimated Cost
PHA Wide	Operations		1406	various	\$ 30,000.
PHA Wide	Administration-misc. assoc'd w/CFP		1410	Various	\$ 1,900.
PHA Wide	Fees & Costs-hire A&E and Mod Mgr.		1430	2	\$ 31,777.
PHA Wide	NonDwelling Equip.-paint machines, key machine and woodworking equip.		1475.1	4	\$ 4,200.
KY 77-02	NonDwelling Equip.-New Community Rm.. furniture & large screen TV		1475.1	Various	\$ 17,500.
KY 77-02	Site Acquisition-purchase site adjacent to high rise for add't parking & green area		1440	1	\$ 30,000.
KY 77-01	Site Improvements-upgrade Propane Gas Svcs., create curb cuts, improve drainage and lawns & repair broken concrete on all sites		1450	Various	\$ 46,070.
PHA Wide	Site Improvements-Purchase & Install additional trees & shrubs		1450	Various	\$ 20,650.
KY 77-02	Site Imprv.-Remove old fence, excavate new parking area, develop 6' wide grass strip & install new fence and wood screen		1450	Various	\$ 44,937.
KY 77-01	Dwelling Structures-Install plywood back to furnace room doors, convert up to 3 sets of 5 BR units to smaller units		1460	Various	\$ 56,970.
KY 77-02	Dwelling Structures-Replace GFI plugs all kitchens		1460	80	\$ 2,000.
KY 77-02	Dwelling Structures-Install face brick over concrete foundation & replace pipe handrails on loading dock		1460	Various	\$ 7,644.
KY 77-01	NonDwelling Structure-convert Concrete Block Bldg. to Maintenance Shop w/all necessary heat, air and light accessories		1470	1	\$ 12,655.

**Annual Statement/Performance and Evaluation Report  
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPR)  
 Part III: Implementation Schedule**

PHA Name: Housing Authority of Harlan		Grant Type and Number <b>KY36P07750100</b>					Federal
		Capital Fund Program No: 501					
		Replacement Housing Factor No:					
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date) 12-31-00			All Funds Expended (Quarter Ending Date) 12-31-00			
	Original	Revised	Actual	Original	Revised	Actual	
PHA Wide	3-31-02			9-30-03			

**Attachment G. Deconcentration Questionnaire:**

**Component 3, (6) Deconcentration and Income Mixing**

- a.  Yes  No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.
- b.  Yes  No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]