



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
WASHINGTON, D.C. 20410-3000

OFFICE OF LEAD HAZARD CONTROL

POLICY GUIDANCE NUMBER:	2000-03	DATE:	May 9, 2000
SUBJECT:	Grant Modifications for Lead-Based Paint Hazard Control Grants		
STATUS:	Current		
APPLICABILITY:	All grant rounds		
RELATED GUIDANCES:	None		
COMMENTS:			

The purpose of this policy guidance is to clarify procedures for requesting grant modifications. Grant modifications must be submitted for

- Extensions of the expiration date of the grant
- Change in key personnel
- Change in budget allocation (changing allocation more than 10% of the total Federal grant amount)
- Change in the number of units
- Other significant changes
- Other administrative changes

The submission of the information discussed below will provide the information necessary for your Government Technical Representative and the Grants Officer to act upon your request. Please note that any requested changes are not effective until you have received a modified grant document (HUD Form 1044). The grant regulations (at 24 CFR 85.30) state that prior approval is required for changes in scope, key personnel and budget.

All grant modifications require a letter requesting the modification signed by the authorized individual (typically the name shown in block 10 of the HUD form 1044). Unless specified below, the requests must be submitted as soon as the requirement is identified. The cover letter must include specific details (dates, numbers, etc.) of your request and a brief summary of the reason the change is needed. If you are requesting a change for several reasons, provide the information required to process all the modifications in a single request. Additional information required is discussed below.

**Extensions of the expiration date of the grant** - Requests for extension must be submitted 90 days prior to the expiration date. Requests for additional time must include:

- Updated and detailed information about the status of your grant program. This must include the number of units completed as well as current budget information (including the amount of the funds remaining).
- Details, including the length of the extension (including dates).
- A detailed justification of the request, and anticipated impacts on staffing, budget, or unit production.
- A quarterly schedule for the extension period (format is attached). Project your production out through the end of the grant period using this format.

**Change in key personnel** - Requests to add, delete, or change key personnel must include:

- Resumes of the new individual(s).
- Percentages of time all key personnel will be dedicated to the project.
- Discussion of new responsibilities following key personnel changes.
- You may wish to include a revised organization chart or staffing list.

*Note: You should discuss changes in key personnel with your Government Technical Representative before changes are made to ensure you comply with the Key Personnel clause in your grant agreement.*

**Change in budget allocation** - Requests for a budget change (which will exceed a cumulative of 10 percent of the Federal grant amount over the period of performance of the grant) must include:

- Your proposed revised budget (you must use the SF 424A and the Cost Element Breakdown)
- Revised budget narrative.
- Your discussion of why the budget revision is necessary and the anticipated impact on the grant program, including the number of units projected to be completed.

*Note: If you require a change in budget allocation which does not exceed the cumulative of 10 percent of the Federal grant amount, please discuss the change with your GTR*

**Change in the number of units** - Requests to change the number of units must include:

- Detailed discussion of the reasons the change is necessary.
- Detailed information on how the proposed number of units was determined.
- An updated budget, regardless of the cost impact of the reduction.
- A quarterly schedule for the grant period. Project your production out through the end of the grant period using this format.

**Other significant changes** - Requests for modifications for other reasons must include the basis of the request, sufficient budget and schedule information to allow HUD to assess the potential impact of the change, and other supporting information.

**Other administrative changes** - Requests for modifications to update administrative information (address, phone number, etc.) must detail the necessary change in your letter. No additional information is required.

**Effective date** - When possible, provide the effective date for your request.

If you have any additional questions, please contact your Government Technical Representative.

Sincerely,

A handwritten signature in black ink, appearing to read "Ellis G. Goldman". The signature is fluid and cursive, with a long horizontal flourish extending to the left.

Ellis G. Goldman  
Director, Program Management Division

Enclosures

### Federal Budget

Line Items	Currently Approved Budget (per Grant Agreement or Subsequent Amendments)	Requested Revisions	Proposed Budget
Direct Labor			
Fringe Benefits			
Travel			
Equipment			
Supplies and Materials			
Consultant			
Contracts and Sub-grantees			
Other Direct Costs			
Indirect Costs			
<b>Total</b>			

### Matching Budget

Line Items	Currently Approved Budget (per Grant Agreement or Subsequent Amendments)	Requested Revisions	Proposed Budget
Direct Labor			
Fringe Benefits			
Travel			
Equipment			
Supplies and Materials			
Consultant			
Contracts and Sub-grantees			
Other Direct Costs			
Indirect Costs			
<b>Total</b>			

<b>Quarterly Progress Schedule for Extension Period</b>			
<b>Quarter Ending</b>	<b>Date (insert dates below)</b>	<b>Units Inspected</b>	<b>Units Completed and Cleared</b>
Current date			
Next quarter			
Two quarters from current date			
Three quarters from current date			
Four quarters from current date			
Five quarters from current date			
Six quarters from current date			
Seven quarters from current date			
Eight quarters from current date			