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U.S. Department of Housing and Urban Development
Community Planning and Development

Special Attention of:

All Secretary's Representatives
All State/Area Coordinators
All CPD Division Directors

Notice: CPD 01-07

Issued: May 15, 2001
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Cross Reference: 24 CFR Parts 91 and 92

SUBJECT: HOME Program - Instructions for Designating New Participating Jurisdictions (PJs); Reserving and Obligating Funds; Reallocating Funds; and Numbering HOME Investment Partnerships Agreements

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CGHF: Distribution: W-3-1, Special
I. Purpose

This notice serves to describe the following processes: designating new PJs; reserving and obligating HOME Program funds; reallocating funds; using Attachment A of the HOME Investment Partnership Agreements; and numbering form HUD-40093. This notice supersedes Notices CPD 00-04, 93-22 and any other policy guidance or directive relating to the reservation and obligation of HOME Program funds and numbering HOME Investment Partnership Agreements.

II. Background

The HOME Program is authorized by the HOME Investment Partnerships Act which is Title II of the Cranston-Gonzalez National Affordable Housing Act, as amended (42 U.S.C. 12701 et seq.) (Act). Section 217 of the Act provides that funds made available under the program shall be allocated by formula to States and to eligible local jurisdictions. In accordance with section 217(b)(3) of the Act, HUD will include, as jurisdictions eligible to receive allocations of HOME funds by formula, units of general local government that, as of the end of the previous fiscal year, qualified as metropolitan cities (as defined at section 102(a)(4) of the Housing and Community Development Act of 1974 (42 U.S.C. 5302(a)(4)); urban counties (as defined at section 102(a)(6) of the Housing and Community Development Act of 1974 (42 U.S.C. 5302(a)(6)), and approved consortia of units of general local government.

III. Allocation Threshold and Participation Threshold

In order for a jurisdiction to be eligible to receive HOME funds, the proposed allocation must reach or exceed a certain threshold. In years in which the HOME appropriation is $1.5 billion or more, the minimum allocation required for new PJs is $500,000. In years in which the HOME appropriation is less than $1.5 billion, the minimum allocation required for new PJs is $335,000.

In addition, when a proposed PJ's formula allocation is equal to or less than $750,000 (or $500,000 in fiscal years where Congress appropriates less than $1.5 billion), HUD must find:

- The unit of general local government has a local Public Housing Authority -(PHA) and has demonstrated a capacity to carry out the provisions of this part, as evidenced by satisfactory performance under one or more HUD-administered programs that provide assistance for activities comparable to the eligible activities.

- The State has authorized HUD to transfer to the unit of general local government a portion of the State's allocation, or the State, the unit of general local government, or both, has made available its own resources such that the sum of the amounts transferred or made available are equal to or greater than the difference between the unit of general local government's formula allocation and $750,000 (or $500,000 in fiscal years where Congress appropriates less than $1.5 billion).

(see 24 CFR 92.102)
Jurisdictions that previously were designated as PJs are "grandfathered," and may receive allocations whether or not their allocations meet these minimum thresholds.

See Section XII for instructions on recording local funds in the Integrated Disbursement and Information System (IDIS).

IV. Designation of New PJs

Upon receipt of the electronic form HUD-185 (Field Office Assignment of Funds) and list of PJs as described in Section V below, Field Offices must identify any jurisdiction that is eligible to receive a HOME Program allocation for the first time and provide the jurisdiction(s) with notification of its formula allocation amount. The notification must include instructions advising the jurisdiction of the procedures for designation as a HOME Program PJ (see 24 CFR 92.103 through 92.105). The notification should advise the jurisdiction that it must:

- Submit a written notification of intent to participate in the HOME Program within 30 days of the date of the notification from the Field Office. **NOTE: THIS IS A STATUTORY DEADLINE.**

- Submit a consolidated plan as required in 24 CFR 92.104 within 90 days after providing notification to HUD of its intent to become a participating jurisdiction. **NOTE: THIS IS A STATUTORY DEADLINE.**

- If the jurisdiction's allocation is less than $750,000 (or $500,000 in years in which Congress appropriates less than $1.5 billion for the program), to be designated a HOME PJ, the jurisdiction must include with its notification one or more of the following as evidence that it has met the participation threshold:
  1. Authorization from the State to transfer a portion of its HOME allocation to the jurisdiction;
  2. A letter from the Governor or designee indicating that the required funds have been approved and budgeted for the jurisdiction; or
  3. A letter from the chief executive officer of the unit of local government indicating that the required funds have been approved and budgeted.

When the jurisdiction has complied with the requirements of 24 CFR 92.102 through 92.104 described above, the jurisdiction will be designated as a PJ upon approval of the jurisdiction's consolidated plan (see 24 CFR 91) by the Field Office. Once a State or unit of local government is designated a participating jurisdiction, it remains a participating jurisdiction for subsequent fiscal years and the requirements of 24 CFR 92.102 through 92.105 do not apply unless HUD revokes the designation in accordance with section 24 CFR 92.107.
NOTE: For jurisdictions that receive an allocation for the first time, Headquarters will ask Field Offices to assign a grant number prior to assigning funds to the Field Offices. (See Sections V, X and XI below for any new jurisdiction that submits a notice of intent to participate in the HOME Program.) In assigning HOME Investment Partnerships numbers to new jurisdictions, Field Offices should be sure that the number has not been used for another jurisdiction. In addition, Field Offices should be sure that, with the exception of the fiscal year, an already approved PJ’s HOME Investment Partnerships number remains the same for subsequent years.

Any new consortium (including one comprised of a city or an urban county that was a PJ the previous fiscal year) must submit a notice of intent and must meet the $750,000 or $500,000 participation threshold, as applicable.

V. Assignment and Reservation of Funds

A. Basic Procedure. The CPD Headquarters Budget Office assigns HOME Program funds to the Field Offices by entering the funds in the HUDCAPS accounting system. Once entered, a file will be distributed to the Headquarters Accounting Office. This file will be interfaced with the Program Accounting System (PAS) so that all funds allocated to each jurisdiction will be automatically reserved to each specific jurisdiction.

A cover memo, along with summary totals of funds assigned to each Field Office, will then be sent to each Field Office informing them that funds have been assigned and reserved in the accounting system. Copies of detailed reports listing each participating jurisdiction will be sent via email to each Field Office. At this point, Field Office staff are able to obligate funds following the procedures outlined in Section VIII.

As with formula allocations to PJs, the reservation of funds to insular areas will be made in the same manner.

B. Handling Special Situations. Two situations require adjustments to the initial allocations: 1) jurisdictions that are becoming new PJs for the first time and are receiving transfers of HOME funds from the State to meet the minimum threshold amount (see Section III) and 2) jurisdictions that decline their funds and the funds must be transferred to the State.

1. New PJs:
   a. State is overseen by same Field Office as New PJ:
The Field Office:

- Prepares 2 forms HUD-718 (Attachment 3): one for de-reserving funds from the State and one for reserving the funds for the new PJ.
- Prepares 2 forms HUD-40093 (Attachment 1): one for the State and one for the new PJ.
- Sends above forms to the CFO National Accounting Center in Fort Worth for processing.
- Prepares form HUD-40093A (Attachment 2) which describes the relationship between the two entities and sends it, along with copies of the above forms to Headquarters, Office of Affordable Housing Programs (OAHP).

b. State is overseen by different Field Office than New PJ:

The Field Office that oversees State:

- Prepares form HUD-718 to de-reserve funds from State's HOME allocation.
- Prepares form HUD-40093 for the State.
- Sends both forms to the CFO Accounting Office for processing.
- Prepares form HUD-40093A which describes the relationship between the Field Offices involved along with copies of the above forms to Headquarters/OAHP.

Headquarters:

- OAHP prepares memo from the Deputy Assistant Secretary (DAS) for Grant Programs to the CPD Directors in the affected Field Offices.
- CPD Budget office prepares the forms HUD-185 to reassign funds to the affected Field Offices.
- DAS for Grant Programs sends letter and processed forms HUD-185 to the affected Field Offices.

After receiving the letter, the Field Office overseeing the new PJ:

- Prepares a form HUD-718 to reserve the de-reserved funds from the State.
- Prepares a form HUD-40093 for the new PJ.
- Sends the forms to the CFO Accounting Center for processing.
- Sends form HUD-40093A with copies of the above forms to OAHP.
2. City[Urban County Declining Funds:

a. City[Urban County is overseen by same Field Office as State:

The Field Office:

- Prepares 2 forms HUD-718: one for de-reserving funds from the City/urban county's funds and one for reserving the funds for the State.
- Prepares a form HUD-40093 for the State.
- Sends the above forms to the CFO Accounting Center for processing.
- Prepares form HUD-40093A, which describes the relationship between the two entities, along with copies of the above forms to Headquarters/OAHP.

b. If City/Urban County is overseen by a different Field Office than the State:

The Field Office that oversees City/urban county:

- Prepares form HUD-718 to de-reserve funds from City/urban county's HOME allocation.
- Sends form HUD-718 to the CFO Accounting Office for processing.
- Prepares form HUD-40093A which describes the relationship between the Field Offices involved along with a copy of the form HUD-718 to Headquarters/OAHP.

Headquarters:

- OAHP prepares memo from the Deputy Assistant Secretary (DAS) for Grant Programs to the CPD Directors in the affected Field Offices.
- CPD Budget office prepares the forms HUD-185 to reassign funds from and to the affected Field Offices.
- DAS for Grant Programs sends letter and processed HUD-185s to the affected Field Offices.

After receiving the letter, the Field Office overseeing the State:

- Prepares a form HUD-718 to reserve the de-reserved funds from the City/urban county.
- Prepares a form HUD-40093 for the State.
- Sends the forms to the CFO Accounting Center for processing.
- Sends form HUD-40093A with copies of the above forms to OAHP.

Note I - Filling out form HUD-718
Contact Marcia Wadsworth in CPD's Budget Office at 202-708-2182 x4437 if you have questions about filling out the HUD-718.

**Note 2 - Filling in lines 8, 9 and 10 of form HUD-40093:**

If the State has not recorded its initial allocation on form HUD-40093 with the CFO National Accounting Center for the fiscal year for which it is transferring funds to a new jurisdiction or receiving funds from a declining jurisdiction, enter 0 on line 8, and enter the initial allocation minus the transfer or plus the declined jurisdiction's funds on lines 9 and 10.

If the State has already recorded its current year obligation on form HUD-40093 with the CFO National Accounting Center, enter the initial allocation on line 8, enter the amount of transferred or declined funds on line 9 and the net or sum of lines 8 and 9 on line 10.

For the City/urban county receiving transferred funds, enter the amount of the initial allocation on line 8, the amount transferred from the State on line 9 and the sum of lines 8 and 9 on line 10.

**Note 3 - Sending forms HUD-40093A to OAHP:**

Send forms to Headquarters/OAHP, Attn.: Alice Gregal, Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164).

**VI. Reallocations**

The procedures for reallocations of funds in the HOME Program are described in 24 CFR 92.450. Reallocations are either noncompetitive or competitive.

**A. Non-competitive Reallocations**

Procedures for non-competitive reallocations that are due to 1) a transfer of HOME funds from the State to a new jurisdiction to meet the minimum participation threshold amount; or 2) a transfer of funds to the State from a City/urban county that is declining its funds are discussed in Section V.

Funds that are deobligated due to failure of a jurisdiction to meet commitment deadlines, disbursement deadlines or other program requirements are added to funds appropriated and distributed by formula. Instructions for obligation of these funds will be provided each year as such funds are included with the formula allocations. For more information about the deobligation process see CPD 01-XX notice on Commitment / CHDO / Reservation and Expenditure Deadline Requirements for the HOME Program.

**B. Competitive Reallocations**
If the funds to be reallocated are from a State that is not designated a PJ, the funds will be reallocated through a competitive process to localities within the State, with preference being given to localities that are not PJs. If the funds to be reallocated are from a local jurisdiction and the local jurisdiction is located in a State that is not a PJ, the funds will be reallocated by a competitive process to units of local government and community housing development organizations (CHDOs) within the State, with priority going to applications for affordable housing within the unit of general local government. In such a competition, it is possible that funds may be allocated to other than a unit of local government. Currently, all States are PJs.

Funds set aside for CHDOs that are deobligated from PJs for failure to meet the commitment deadline (see 24 CFR 92.500(d)) will be reallocated through competition to other PJs for affordable housing developed, owned, or sponsored by community housing development organizations. Currently, OAHP has not deobligated sufficient CHDO funds to hold a national competition.

VII. Congressional Notifications Requests

Field Offices must request a Congressional release date prior to forwarding the HUD-executed form HUD-40093 (Attachment 1) to HOME PJs. Field Offices should send Congressional notification requests to "CPD Notification" in Lotus Notes with a copy to the appropriate Office of Executive Services Desk Officer. Requests should be made using the HUD Notification form (Congressional release template) (Attachment 4). Note: Return receipt should be used to verify receipt of Congressional notification requests.

The Office of Executive Services (OES) will process the requests through the Assistant Secretary for Community Planning and Development (CPD) and the Assistant Secretary for Congressional and Intergovernmental Relations (CIR). CIR will work with Public Affairs and the Office of the Secretary to determine a release strategy and to assign the Congressional release date.

CIR will notify the appropriate Member of Congress, OES and the Field Office of the Congressional release date.

Field Offices may direct questions regarding the status of a Congressional release date request to their Desk Officer in OES.

VIII. Obligation of Funds

Obligation of funds in the HOME Program occurs when the Field Office, after review and approval of the Consolidated Plan in accordance with 24 CFR part 91, executes a HUD-40093 (Attachment 1) for the PJ and notifies the PJ of the approval in accordance with the Department's Congressional notification procedures (See Section VII).
NOTE: The date of obligation is always the Congressional release date. The Congressional release date must also be the date of the transmittal letter notifying the jurisdiction of the award.

After approval of the award and notification of the PJ, the Field Office must provide the CFO National Accounting Center a copy of the HUD-executed form HUD-40093 and a copy of the transmittal letter notifying the PJ or other entity of the award. The obligation is recorded by the CFO National Accounting Center based on the Congressional release date shown in the HUD-executed form HUD-40093. The date for determining whether the PJ has met its commitment and expenditure requirements is two years from the last day of the month in which funds are obligated (See 24 CFR 92.500(d)).

NOTE: The Department is developing a new grant agreement form entitled Funding Agreement for Formula Programs, form HUD-1044E, that will be used by all formula grant programs. When issued, form HUD-40093 will no longer be used for HOME grant agreements. Specific instructions for filling out the new grant agreement form for HOME PJs will be posted on HOME's web site at www.cpd.www.hud.gov/cpd/home/homeweb.html and included in future releases of this notice.

IX. Access to Grant Funds

After the form HUD-40093 is executed by the participating jurisdiction, the Field Office must provide the CFO National Accounting Center with a copy. Upon receipt of the form HUD-40093 signed by the PJ, the CFO National Accounting Center records the contract amount in the Program Accounting System (PAS) which transfers the contract amount to the Line of Credit Control System (LOCCS) for the PJ.

Jurisdictions that previously have not received HOME funds must also submit a Direct Deposit Sign-up Form, SF-1199A (Attachment 5) and an IDIS (Integrated Disbursement and Information System) Access Request Form (Attachment 6).

The initial access to IDIS is granted by the CPD/IDIS System Administrator located at HUD Headquarters. The PJ must identify an IDIS Local System Administrator who is responsible for controlling and restricting access to IDIS within its area. The IDIS Local System Administrator completes the IDIS Access Request Form and submits it to the Field Office. The Field Office reviews and signs it and sends it (via US Mail or FAX) to the CPD/IDIS System Administrator who issues the User ID.

X. Instructions for Numbering HOME Investment Partnerships Agreements

All HOME Investment Partnerships Agreements are numbered in accordance with the procedures below. The number, with the exception of the fiscal year, remains the same for the jurisdiction (or entity) each year.

1. Initial Letter Identification

M - HOME Investment Partnerships Program
2. **Fiscal Year Identification**

The last two-digits of the fiscal year of the appropriated funds.

3. **Identification of HOME Investment Type**

   - **Formula Allocations and Competitive Reallocations to PJ's**
     - MC - Direct Formula Metropolitan City
     - UC - Direct Formula Urban County
     - DC - Direct Formula Consortium
     - SG - State
     - ST - Direct Formula Insular Area

   - **Competitive Reallocations to other Participating Entities**
     - CH - Community Housing Development Organization
     - HG - City/County Participants

4. **State Code**

   Federal Standard two-digit numeric code for the State in which the jurisdiction is located.

5. **Serial Number**

   The four-digit serial numbers are assigned as follows:

   - The number 0100 always will be the serial number assigned by HUD to the State HOME Investment Partnerships agreement. The State is responsible for assigning serial numbers using this numbering system to its State recipients. States will sequentially assign a HOME Investment Partnerships number to their recipients beginning with 0101 but not to exceed 0199, unless additional numbers are made available by Headquarters. The serial number assigned to a State recipient by the State will remain the same for all years. The fiscal year identifier will separately identify individual awards made for each fiscal year source of funds.

   - The numbers 0200-0499 will be used by the Field Office for sequential assignment to direct formula recipients and to recipients receiving competitive reallocations (local jurisdictions and Community Housing Development Organizations). The serial number assigned to a direct formula recipient will remain the same for all years. The fiscal year identifier will separately identify individual awards made for each fiscal year source of funds.
For States that are covered by two Field Offices, one Field Office will use the numbers 0200-0499 and the other will use the numbers 0500-0999.

Consortia participants should be assigned only a single serial number regardless of the number of units of local government in the consortium.

When funds are automatically reallocated to a PJ or if a PJ receives a competitive reallocation, the serial number previously assigned to the PJ will remain the same. Separate instructions will be provided with the reallocations as to what fiscal year identifier to use.

PJs are responsible for assigning serial numbers to Community Housing Development Organizations (CHDOs) receiving CHDO set aside funds by adding a dash followed by a two-digit extension to the PJ's HOME Investment Partnerships number starting with "01" and numbering consecutively thereafter for each subsequent CHDO identified by the participating jurisdiction.

An example of using the above described numbering system is shown below:

- A participating jurisdiction that is a city in the State of Illinois for fiscal year 2001.
  
  M01-MC170209

- The first Community Housing Development Organization reservation for the above participating jurisdiction.
  
  M01-MC170209-01

XI. Entering Grant Numbers into IDIS

Instructions for establishing PJs, CHDOs, State Recipients, and Other Entities in IDIS are included in Chapter 15 of the CPD-IDIS User manual, IDIS Utilities (available at http://www.hud.gov/cpd/idis/refman/ref_man.html). Headquarters will establish new PJs in IDIS. Field Offices will create State Recipients, CHDOs and Other Entities in IDIS using the Utilities Option, C04MU06 screen "Grantee Inquire/Update/Add." Grant numbers assigned by PJs to new CHDOs are entered into IDIS by the Field Office on the C04MU07 screen. Once these steps have been completed the PJ may reserve funds to HDOS, State Recipients, and Other Entities.
XII. Instructions for Recording Local Funds in IDIS

If the new PJ's allocation is less than $750,000 (or $500,000 in fiscal years in which Congress appropriates less than $1.5 billion) and all or part of the difference between the unit of local government's formula allocation and the minimum participation threshold was made available from its own resources, these funds must 1) be deposited in the PJ's local account and 2) correctly recorded in IDIS.

For example, a unit of local government receives a formula allocation totaling $650,000. The state transfers an additional $60,000 to the local government to increase their authorization to $710,000. The local government provides an additional $40,000 to meet the minimum participation threshold amount. The additional local amount of $40,000 does not get included in the IDIS fiscal year authorization. It is the responsibility of the PJ to track these funds through IDIS as program income.

For reporting purposes all percentage requirements and authorizations will be calculated from the minimum threshold amount of $750,000. The Administrative (admin.), CHDO Operating Expenses, CHDO Requirement and CHDO Capacity Building authorizations will be manually adjusted to reflect percentages from the $750,000 threshold rather than the lower amount authorized in IDIS. Local funds not recorded in IDIS as program income will not be reported or credited towards commitment, CHDO reservation and expenditure requirements.

There are four steps necessary to accurately record these funds in IDIS:

1. After the grant agreement is prepared, the Field Office must notify Tom Dulebohn, Financial and Information Services Division, Office of Affordable Housing Programs (OAHP) via e-mail or phone (202-708-2684 x4573) so that Headquarters can ensure that the admin. ceiling, commitment requirement, CHDO reservation requirement, CHDO operating expense limit and CHDO capacity building are based on the minimum participation threshold amount.

2. After the grant has been established in IDIS, the PJ must record the local funds in the Create Receipt screen in IDIS. This action ensures that these funds are available for both commitment and expenditure and that any activities funded with these amounts are credited toward meeting the PJ's commitment, CHDO reservation and expenditure requirements. See instructions in Attachment 7-A.

3. Before funds are drawn for an activity, the funds in the local account must be attached to that activity in the Maintain Activity Funding screen in IDIS. This action ensures that these funds are available to be expended. See instructions in Attachment 7-B.

4. When local funds are used to fund all or part of an activity, the drawdown screen in IDIS must be filled in. This action ensures that the PJ is credited with the expenditure. See Attachment 7-C.
ATTACHMENTS:

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Funding Approval and HOME Investment Partnerships Agreement
Title II of the National Affordable Housing Act

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

1. Participant Name and Address
2. Participant Number
3. Tax Identification Number

4. No Longer Used
5. Appropriation Number
6. No Longer Used
7. FY (yyyy)

8. Previous Obligation (Enter "0" for initial FY allocation)
   a. Formula Funds
   b. Community Housing Development Org. (CHDO) Competitive Reallocation

9. Current Transaction (+ or -)
   a. Formula Funds
      1. CHDO (For deobligations only)
      2. Non-CHDO (For deobligations only)
   b. CHDO Competitive Reallocation or Deobligation

10. Revised Obligation
    a. Formula Funds
    b. CHDO Competitive Reallocation

11. Special Conditions (check applicable box)
    □ Not applicable
    □ Attached

12. Date of Obligation (Congressional Release Date)
    (mm/dd/yyyy)

This Agreement between the Department of Housing and Urban Development (HUD) and the Participating Jurisdiction/Entity is made pursuant to the authority of the Home Investment Partnerships Act (42 U.S.C. 12701 et seq.). The Participating Jurisdiction/Entity's approved Consolidated Plan submission/Application and the HUD regulations at 24 CFR Part 92 (as now in effect and as may be amended from time to time) and this HOME Investment Partnership Agreement, form HUD-40093, including any special conditions, constitute part of this Agreement. Subject to the provisions of this Agreement, HUD will make the funds for the Fiscal Year specified, available to the Participating Jurisdiction/Entity upon execution of this Agreement by the parties. All funds for the specified Fiscal Year provided by HUD by formula reallocation are covered by this Agreement upon execution of an amendment by HUD, without the Participating Jurisdiction's execution of the amendment or other consent. HUD's payment of funds under this Agreement is subject to the Participating Jurisdiction's/Entity's compliance with HUD's electronic funds transfer and information reporting procedures issued pursuant to 24 CFR 92.502. To the extent authorized by HUD regulations at 24 CFR Part 92, HUD may, by its execution of an amendment, de-obligate funds previously awarded to the Participating Jurisdiction/Entity without the Participating Jurisdiction's/Entity's execution of the amendment or other consent. The Participating Jurisdiction/Entity agrees that funds invested in affordable housing under 24 CFR Part 92 are repayable when the housing no longer qualifies as affordable housing. Repayment shall be made as specified in 24 CFR Part 92. The Participating Jurisdiction agrees to assume all of the responsibility for environmental review, decision making, and actions, as specified and required in regulation at 24 CFR 92.352 and 24 CFR Part 58.

13. For the U.S. Department of HUD (Name and Title of Authorized Official)
14. Signature
15. Date

16. For the Participating Jurisdiction/Entity (Name and Title of Authorized Official)
17. Signature
18. Date

19. Check one: □ Initial Agreement □ Amendment #________
Instructions for Completing the Funding Approval and HOME Investment Partnerships Agreement, form HUD-40093

**General Instructions:** This Agreement is used for one of five purposes: 1) the initial Agreement between HUD and the Participating Jurisdiction (PJ) that obligates HOME formula funds; 2) the initial Agreement between HUD and the PJ/entity that obligates Community Housing Development Organization (CHDO) competitive reallocation funds; 3) the amendment to the Agreement that deobligates the amount of a PJ/entity’s HOME funds previously obligated because of a reduction by HUD; 4) the amendment to the Agreement that deobligates the amount of a State’s HOME funds previously obligated, in order to transfer that amount to a new jurisdiction to meet its minimum participation threshold; or 5) the amendment to the Agreement that reallocates to a State the amount of HOME funds declined by a city/urban county.

For all initial Agreements (purposes #1 and #2), make five copies of this Agreement (HUD-40093) and have them signed as originals by the appropriate HUD official, who is usually the Community Planning and Development (CPD) Director in the Field Office. One copy should be held by the Field Office for informational purposes. Three copies should be sent to the jurisdiction (or entity) for signature. The jurisdiction (or entity) should sign all copies and keep one for its records and return two signed as originals to the HUD Field Office. The HUD Field Office should send one copy to the CFO National Accounting Center for recording the contract. Send one copy to Headquarters, OAHHP, Attn: Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164). Headquarters will ensure that the correct grant amount and date of obligation are entered in the Integrated Disbursement and Information System, which will obviate changes to commitment, CHDO reservations, and expenditure deadlines. Keep one copy for the Field Office files.

For amendments to the Agreement that deobligate funds because of a reduction by HUD (purpose #3), after notification from the Headquarters Office of Affordable Housing (OAHHP) to proceed, make four copies of this Agreement (HUD-40093) and have them signed as originals by the appropriate HUD official, who is usually the CPD Director in the Field Office. **It is not necessary to have the jurisdiction sign the form.** The Field Office should send one copy to the jurisdiction (or entity) for its records. Send one copy to the CFO National Accounting Center to initiate the deobligation. Send one copy to Headquarters, OAHHP, Attn: Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164) so that Headquarters can track the deobligation. Keep one copy for the Field Office files.

For amendments to the Agreement that deobligate the amount of a State’s HOME funds in order to transfer that amount to a new jurisdiction to meet its minimum participation threshold (purpose #4) or that reallocate to a State the amount of HOME funds declined by a city/urban county (purpose #5), make five copies of this Agreement (HUD-40093) and have them signed as originals by the appropriate HUD official, who is usually the CPD Director in the Field Office. One copy should be held by the Field Office for informational purposes. Four copies should be sent to the jurisdiction (or entity) for signature. The jurisdiction should sign all copies and keep one for its records and return three signed as originals to the HUD Field Office. The HUD Field Office should send one copy to the CFO National Accounting Center for initiating the deobligation or reallocation. Send one copy to Headquarters, OAHHP, Attn: Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164) so that Headquarters can track the deobligation or reallocation. Keep one copy for the Field Office files.

In addition, form HUD-40093-A, Attachment A to the Funding Approval and HOME Investment Partnerships Agreement, must be attached and sent to Headquarters, OAHHP, Attn: Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164) for purposes #4 and #5, as follows:

- The State is transferring HOME funds to a new Jurisdiction to enable a new Jurisdiction to meet its minimum participation threshold amount; or
- The City/Urban County is declining HOME funds.

1. **Participant Name and Address.** Enter the participating jurisdiction’s (or entity’s) name and address as shown in Item 4 of Standard Form 424.

2. **Participant Number.** Enter the applicable participant number assigned by the HUD Field Office for the PJ/entity that corresponds to the fiscal year source of funds for this transaction.

3. **Tax Identification Number.** Enter the Tax (Employer) Identification Number (TIN) shown in Item 6 of Standard Form 424. For jurisdictions (or entities) that are already participating in the HOME Program, this must be the TIN associated with the jurisdiction (or entity) for the HOME Program.

4. **No Longer Used.**

5. **Appropriation Number.** Enter the Appropriation Number from the HUD-185.1 sub-assigning funds for the Fiscal Year source of funds for this transaction.

6. **No Longer Used.** Note: This item, formally Funding Approval Number, has been replaced by item 19, below.

7. **Fiscal Year.** Indicate the fiscal year (yyyy) source of funds for this transaction. Only funds from this fiscal year are to be included in this transaction. (A separate form must be completed for each FY’s funds.)

8. **Previous Obligation.** Enter the total amount of funds that have been previously obligated for this participant for this FY source of funds.

   a. **Formula Funds.** Enter the total amount of formula funds previously obligated to the participant. If this is the funding approval form for the participant’s initial allocation for the fiscal year, the amount will be “0”. If this is a funding approval form for reallocating or deobligating funds, enter the amount from line 10c of the previously submitted form HUD-40093 for the FY identified under item 7.

   b. **Community Housing Development Organization (CHDO) Competitive Reallocation.** Enter the amount of funds previously obligated to the PJ/entity by competition for CHDOs. If this is a funding approval form for reallocating or deobligating funds previously allocated by competition for CHDOs, enter the amount from line 10b of the previously submitted form HUD-40093 for the FY identified under item 7.
9. **Current Transaction.** Enter the total amount of funds for this action. Indicate a deobligation either by placing parentheses around the amount deobligated or a minus sign before the amount de-obligated.

   a. **Formula Funds.** Of the amount indicated under item 9, indicate the amount that is for formula funds. If this is a formula fund deobligation, show the distribution of that amount of funds under line 9a.1 CHDO funds and/or line 9a.2 non-CHDO funds.

   1. CHDO. Of the amount indicated under item 9a, indicate the amount that are CHDO funds. If none, enter "0". Note: If this is a CHDO competitive reallocation, enter the amount in 9b.

   2. Non-CHDO. Of the amount indicated under item 9a, indicate the amount that are Non-CHDO funds. If none, enter "0".

   b. **CHDO Competitive Reallocation or Deobligation.** Of the amount indicated on line 9, indicate the amount that is reallocated or deobligated from funds previously reallocated by CHDO competition.

Note: CHDO set-aside funds that are recaptured by HUD are available for reallocation if, within 24 months after the last day of the month in which HUD notifies the PJ of HUD’s execution of the HOME Investment Partnerships Agreement (Congressional release date), at least 15 percent of the PJ’s allocation is not reserved for CHDOs.

10. **Revised Obligation.** Enter the total amount of funds available to the jurisdiction (or entity) after this transaction (Item 8 plus/minus Item 9).

   a. **Formula Funds.** Enter the total amount of formula funds available to the participating jurisdiction after this transaction (item 8a plus/minus item 9a).

   b. **CHDO Competitive Reallocation.** Enter the total amount of funds available to the PJ/entity as a competitive reallocation for CHDOs after this transaction (item 8b plus/minus item 9b).

11. **Special Conditions.** If applicable, check the box and attach any special conditions that are part of the Agreement.

12. **Date of Obligation.** The date of obligation is the Congressional release date. The Congressional release date must be the date of the letter notifying the PJ (or entity) of the initial award of funds for the FY identified under item 7. This field is not required if the Agreement is being amended for a deobligation because of a reduction by HUD (purpose #3).

13. **Name and Title of HUD Official.** Enter the name and title of the HUD official who is authorized to sign the Agreement on behalf of HUD. This is usually the Field Office CPD Director.

14. **Signature of HUD Official.** The HUD official signs the Agreement here.
This form must be used if 1) the State is transferring HOME funds to a new Jurisdiction, or 2) if the City/Urban County is declining HOME funds. Send the form to Headquarters, OAH, Attn: Director, Financial and Information Services Division via fax (202-708-1744) or pouch mail (Room 7164).

Check one box only.

☐ 1. The State is transferring HOME funds to a new Jurisdiction, to enable a new Jurisdiction to meet its minimum participation threshold amount.

The State of ____________________________________________
(Enter the name of the State that the HOME funds are being transferred from)

Grant Number ________________________________
(Enter the State Grant Number) (and the FY(yyyy))

is transferring $______________________________ to ________________________________
(enter the amount of HOME funds being transferred) Enter the name of the PJ receiving the HOME funds

Grant Number ________________________________
(Enter the PJ Grant Number) (and the FY(yyyy))

Revised obligation for the State $ ________________
(Original obligation minus the amount transferred)

Revised obligation for the new PJ $ ________________
(Original obligation plus the amount transferred)

If the State and new Participating Jurisdiction are overseen by different Field Offices:

__________________________________________  ____________________________________________
State's Field Office  New Jurisdiction's Field Office

☐ 2. The City/Urban County is declining HOME funds.

The City/County of ____________________________ is declining the FY (yyyy) ________________
(Enter the name of the PJ that declined)

allocation of $ ________________________________.

Revised obligation for the State $ ________________________________
If the declining Jurisdiction and the State are overseen by different Field Offices:

__________________________________________  ____________________________________________
State's Field Office  Declining Jurisdiction's Field Office

Prepared by ____________________________ at ____________________________ in ____________________________
(Name) (Phone/email) (Field Office)
## FUNDS RESERVATION & CONTRACT AUTHORITY

1A. NAME AND ADDRESS OF PROJECT IDENTIFICATION

1B. PROJECT CONTRACT, IAA OR PURCHASE ORDER NUMBER

2. DATE OF PREPARATION (Month, Day and Year)

3. RESERVATION NUMBER

4. NAME AND TITLE OF SOURCE OFFICER

### 5. Funding and Accounting Classification

<table>
<thead>
<tr>
<th>APPROPRIATION OR FUND SYMBOL</th>
<th>COST CENTER CODE</th>
<th>SUB-OBJECT CLASS CODE</th>
<th>RESERVATION OUTSTANDING</th>
<th>INCREASE (Decrease)</th>
<th>NET AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B</td>
<td></td>
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<tr>
<td>C</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>D</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**NET TOTALS**

### 6. Purpose of This Action  (Check Applicable Box(es))

A. INITIAL RESERVATION  
B. INCREASE OR (Decrease) RESERVATION (Amendment Number _____)  
C. CANCEL RESERVATION (Bracket Amount in 5E)  
D. EXECUTE, AMEND OR WAIVE CONTRACT

7A. DESCRIPTION OF PROJECT

7B. CONTRACT CONDITIONS (If any)

8A. DATE (Mo., Day and Year)

8B. SIGNATURE OF SOURCE OFFICER

### 9. To Be Completed by the Originating Office

RECOMMENDATION AND AUTHORIZATION (If Required):

In accordance with authority vested in or delegated to the undersigned; in consequence of provisions and requirements of applicable law; under decisions of record regarding the project or program identified in Block 1B above; and with determination that the actions in Block 5 are in the public interest, those actions are recommended and authorized herewith:

A. RECOMMENDED (Signature)  
B. TITLE  
C. DATE (Mo., Day & Year)  
D. AUTHORIZED (Signature)  
E. TITLE  
F. DATE (Mo., Day & Year)

G. OFFICIAL PRESS RELEASE DATE (Month, Day and Year)

### 10. For Accounting Use Only

☐ FUNDS AVAILABLE  ☐ RESERVATION RECORDED OR ADJUSTED TO AMOUNT SHOWN IN 5F

By _______________________________  Date _______________________________

Previous Edition is Obsolete

HUD-718 (3-76)
HUD NOTIFICATION
U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410

FIELD OFFICE:

ACTION:

DESCRIPTION:

RECIPIENT    CONGRESSIONAL    DISTRICT    AMOUNT

PROJECT HIGHLIGHTS:

RECIPIENT CONTACT:
PHONE:

HUD CONTACT:
PHONE:

CONGRESSIONAL DELEGATION:    PARTY:    DATE:

SUMMARY OF NOTIFICATION ACTION:

Secretary _____  Deputy Secretary _____  Asst. Secretary _____  LCR _____

Congressional Call Completed To:  ____________    Date:  ____________

CPD Field Office/Program Office  ________________

OFM (Pearl C. Peebles, Ext. 4896)
**DIRECT DEPOSIT**

**SIGN-UP FORM**

**DIRECTIONS**

- To sign up for direct deposit, the payee is to read the back of this form and fill in the information requested in Sections 1 and 2. Then take or mail this form to the financial institution. The financial institution will verify the information in Sections 1 and 2, and will complete Section 3. The completed form will be returned to the Government agency identified below.
- A separate form must be completed for each type of payment to be sent by Direct Deposit.

### SECTION 1 (TO BE COMPLETED BY PAYEE)

<table>
<thead>
<tr>
<th>A. NAME OF PAYEE (last, first, middle initial)</th>
<th>D. TYPE OF DEPOSITOR ACCOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS (street, route, P.O. Box, APO/FPO)</td>
<td>CHECKING</td>
</tr>
<tr>
<td>CITY</td>
<td>E. DEPOSITOR ACCOUNT NUMBER</td>
</tr>
<tr>
<td>STATE</td>
<td>F. TYPE OF PAYMENT (Check only one)</td>
</tr>
<tr>
<td>ZIP CODE</td>
<td>□ Social Security</td>
</tr>
<tr>
<td>TELEPHONE NUMBER</td>
<td>□ Federal / Military Civilian Pay</td>
</tr>
<tr>
<td>AREA CODE</td>
<td>□ Supplemental Security Income</td>
</tr>
<tr>
<td></td>
<td>□ MIL. Active</td>
</tr>
<tr>
<td></td>
<td>□ Railroad Retirement</td>
</tr>
<tr>
<td></td>
<td>□ MIL. Retired</td>
</tr>
<tr>
<td></td>
<td>□ Civil Service Retirement (OPM)</td>
</tr>
<tr>
<td></td>
<td>□ MIL. Survivor</td>
</tr>
<tr>
<td></td>
<td>□ VA Compensation or Pension</td>
</tr>
<tr>
<td></td>
<td>□ Other</td>
</tr>
<tr>
<td></td>
<td>(specify)</td>
</tr>
<tr>
<td>B. NAME OF PERSON(S) ENTITLED TO PAYMENT</td>
<td>G. THIS BOX FOR ALLOTMENT OF PAYMENT ONLY (if applicable)</td>
</tr>
<tr>
<td></td>
<td>TYPE</td>
</tr>
<tr>
<td>C. CLAIM OR PAYROLL ID NUMBER</td>
<td></td>
</tr>
<tr>
<td>Prefix</td>
<td>SIGNATURE</td>
</tr>
<tr>
<td>Suffix</td>
<td>SIGNATURE</td>
</tr>
</tbody>
</table>

**PAYEE/Joint Payee Certification**

I certify that I am entitled to the payment identified above, and that I have read and understood the back of this form. In signing this form I authorize my payment to be sent to the financial institution named below to be deposited to the designated account.

SIGNATURE DATE
SIGNATURE DATE

**SECTION 2 (TO BE COMPLETED BY PAYEE OR FINANCIAL INSTITUTION)**

<table>
<thead>
<tr>
<th>GOVERNMENT AGENCY NAME</th>
<th>GOVERNMENT AGENCY ADDRESS</th>
</tr>
</thead>
</table>

**SECTION 3 (TO BE COMPLETED BY FINANCIAL INSTITUTION)**

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF FINANCIAL INSTITUTION</th>
<th>ROUTING NUMBER</th>
<th>CHECK DIGIT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>DEPOSITOR ACCOUNT TITLE</td>
<td></td>
</tr>
</tbody>
</table>

**FINANCIAL INSTITUTION CERTIFICATION**

I confirm the identity of the above-named payee(s) and the account number and title. As representative of the above-named financial institution, I certify that the financial institution agrees to receive and deposit the payment identified above in accordance with 31 CFR Parts 240, 209, and 210.

<table>
<thead>
<tr>
<th>PRINT OR TYPE REPRESENTATIVE'S NAME</th>
<th>SIGNATURE OF REPRESENTATIVE</th>
<th>TELEPHONE NUMBER</th>
<th>DATE</th>
</tr>
</thead>
</table>

Financial institutions should refer to the GREEN BOOK for further instructions.

THE FINANCIAL INSTITUTION SHOULD MAIL THE COMPLETED FORM TO THE GOVERNMENT AGENCY IDENTIFIED ABOVE.

NSN 7540-01-058-0224

1199-207

20
IDIS Access Request (Temporary Form, Feb 1999)

This form is to be completed by the recipient's (or grantee's) chief executive officer or designated representative. Send notarized original to your local HUD CPD Field Office for review and forwarding to:

U.S. Dept of HUD, CPD
451 7th St, SW, Rm 7224
Washington, DC 20410
ATTN: IDIS Sys Admin  FAX: 202-708-3363

* CHANGE NAME/FUNCTIONS/GRANTEE    RENEW LAPPED ID    NEW REQUEST
ADD ACCESS TO ANOTHER GRANTEE    DROP FROM IDIS

Authorized User's Name: (Last, First, MI)

________________________________________
Soc Sec Num (SSN): __________________________ Office Phone: (____) ______________________

Office Address: (Street, City, State, Zip) CPD Use:

________________________________________
UOG Code: ________________________________

Grantee Organization's Name: __________________________
I am with a CITY ______ COUNTY ___ STATE ___ STATE SUBGRANTEE ___ **

* ALWAYS MARK ALL THE FUNCTIONS NEEDED.
Authorized Set Up Activity ___ Request Drawdown ___ Approve Drawdown ___
Functions/ Local IDIS Administrator
Program Areas: CDBG__ ESG ___ HOME ____ HOPWA

Note: Every IDIS user can view activities and get reports even if no other functions are authorized.

________________________________________
Authorized User's Signature and Date: __________________________ Date ______________________

Field Office Approval (CPD Director or Designee): __________________________ Date ______________________

(NOTE: You can't authorize yourself, only your CEO or "grant holder" can.) Notary (signature and date):
I authorize the person above to access IDIS, with the functions checked.
(Typed please)
Approved by: Name __________________________

Title __________________________

Office Phone: (____) __________________________

Office Address: (Street, City, State, Zip)

________________________________________

Approving Official's Signature and Date: __________________________

** Approval of State Subgrantee Request - CPD State Coordinator or State Official name, signature, and date:

Name: __________________________ Signature: __________________________ Date: __________________________

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)
Instructions for Recording, Committing and Disbursing Local Funds

The local account contains funds that enable the jurisdiction to meet the participation threshold amount described in Section 92.102 of the HOME regulations.

A. Instructions for Recording Local Funds in IDIS:

1. Select option H Receipts Menu from the IDIS Main Menu
2. Select option 01 Receipt Authorization from the Receipts Menu
3. Place an X next to your PJ name and press <Enter>
4. Press <Enter> to confirm the authorization
5. Select option 02 Create Receipt from the Receipts Menu
6. Enter the following:
   Receipt Program Code M
   Fiscal Year YYYY of grant number
   Source Type Select applicable code:
   MC = Metro City
   UC = Urban County
   DC = Consortium
   SG = State Recipient
   Fund Type PI
   Amount Amount of local funds
7. When the information is successfully entered, the following message appears at the bottom of the screen: “Receipt Posted. Please Note Grant and Voucher Number”

B. Instructions for Attaching Local Funds to an Activity

1. Select option I Activity Funding from the IDIS Main Menu
2. Select option 02 Maintain Activity Funding from the Activity Funding Menu
3. Enter the HUD Activity Number committing program income and press <Enter>. Enter an <X> next to the desired grant funds you want to commit and press <Enter>. Screen C04M005 will appear.
4. Enter the amount of local funds under the Funded Amount field and press <Enter>
5. When the information is successfully enter
6. Fiscal Year is optional.

C. Instructions for Recording Disbursed Local Funds in IDIS

1. Select option D (Drawdown) from the Main Menu
2. Select option 01 (Drawdown Authorization) from the Drawdown Menu
3. Place an X next to the PJ Name and press <Enter> which will take you back to the
   Drawdown Menu.
4. Select option 04 (Create Drawdown/Voucher) from Drawdown Menu and press
   <Enter>. Screen C04MD10 should appear.
5. Enter all the HUD activity numbers requesting drawdowns and press <Enter>. Screen
   C04MD11 should appear. You can request up to 60 activities on one voucher request.
6. Enter the draw amounts for each listed activity number. If PI funds have been receipted an additional line will appear for that activity with a Fund Type of PI. When finished entering all the required amounts press <Enter> to save.

7. NOTE: To view more activities on the voucher press enter to save data before paging up or down.

8. Press <Shift> <F10> to initiate drawdown request. The <Shift> <F10> will take you to the C04MD14 screen to review your request. Press <Shift> <F10> again to accept drawdown.

NOTE: The drawdown request is not complete until a voucher number is displayed at the bottom of the C04MD14 screen.