

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

**Special Attention of:**

Regional Administrators  
Category "A" Field Office Managers  
Directors, Office of CPD  
Directors, CPD Division  
All Participating Jurisdictions

**Notice:** CPD 94-30

**issued:** December 15, 1994

**Expires:** December 15, 1995

**Cross Reference:** 24 CFR Part 92

Subject: Annual Performance Report (APR) for the HOME Program

1. **Purpose:** The purpose of this notice is to provide instructions for submitting the Annual Performance Report (APR) for the HOME Program required by 24 CFR 92.509(b). The APR must be submitted by each participating jurisdiction (PJ). Only one APR is to be submitted per PJ (local, consortia, or state).
  
11. **Background:** The HOME Program, authorized by the HOME Investment Partnerships Act, was enacted as Title 11 of the National Affordable Housing Act (NAHA). The purposes of HOME are to expand the supply of decent, affordable housing for low- and very low-income families; to build State and local capacity to carry out affordable housing programs; and to provide for coordinated assistance to participants in the development of affordable low-income housing.
  
111. **Scope of APR:** The APR consists of narrative statements and several forms: the APR HOME Program (form HUD-40107), the HOME Match Report (form HUD-40107-A), and the HOME Project Reports. The APR provides the Department with information which is not reported through the HOME Cash and Management Information System (C/MI System). This information is necessary for program analyses and evaluation and for reporting to Congress.
  
- IV. **Period of Performance:** The APR reporting period covers a 12 month period beginning October 1 and ending September 30. This period coincides with the Federal fiscal year.
  
- V. **Timing and Procedure for Submission:** The APR must be submitted annually on or before December 31 and cover program activity undertaken with HOME funds during the most recently completed Federal fiscal year. The original APR is to be submitted under signature of the Chief Executive Officer to the HUD Field Office responsible for the PJ. A copy is to be submitted to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, SW, Washington, DC 20410. The PJ is to keep one copy.

**CGHF: Distribution:** W-3-1, W-2, R-1, R-6, Special (CPD Regional and Field Office Directors), HOME Participating Jurisdictions

**VI. Forms:** There are three types of forms for the HOME APR due in 1994.

- A. **Annual Performance Report, HOME Program** (form HUD-40107): This form is required and is used for reporting the following:
  - 1. Contracts with Minority Business Enterprises (MBE) and Women Business Enterprises (WBE)
  - 2. Minority Owners of Rental Property
  - 3. Relocation and Real Property Acquisition by race/ethnicity
  
- B. **HOME Match Report** (form HUD-40107-A): This is for reporting match contributions and must be submitted by every PJ that incurred a match liability. Match liability occurs when Federal Fiscal Year 1993 or FY 1994 funds (or subsequent FY funds) are drawn down from the U.S. Treasury for HOME projects. A jurisdiction not required to submit this report, either because it did not incur any match liability or because it had a full match reduction, may submit a HOME Match Report if it wishes in order to earn credit against future match liability. A PJ that is in a presidentially declared disaster area may apply for a full match reduction for the amount of HOME funds spent on HOME projects in the disaster area, in accordance with §92.222(b). This report is described in Paragraph VIII.
  
- C. **HOMIE Project Reports:** These are for reporting HOME projects that involved shortfall funds and/or program income but no U.S. Treasury funds. If any Treasury funds were involved, then the project would be reported through the C/MI System and would not be reported here. To eliminate this reporting burden, and to have data on all of its HOME projects included in C/MI System reports, a jurisdiction may choose to include some Treasury money in all of its projects.

The existing Homeownership Assistance Project Completion Report (form HUD-40096), Multiple-unit Homeownership Assistance Project Completion Report (form HUD-40096-M), Rental Housing Project Completion Report (form HUD40097), and the Tenant-Based Rental Assistance Project Set-Up Report (form HUD-40095) are used in conjunction with the appropriate modified instructions. PJs will need to keep records so the required information can be reported in the APR. Programs that involve shortfall funds and/or program income but no Treasury money must be reported on the APR if the final expenditure of shortfall or program income occurred prior to June 1; if the final expenditure occurred between June 1 and the end of the fiscal year, the PJ has the option of including it in the current APR or in the APR for the subsequent year. This timing is consistent with the requirement for submitting completion reports for projects that are reported through the C/MI System.

**VIL Narrative Statements:** The narrative statements shall consist of the following seven assessments and analyses, including a description of problems encountered by the jurisdiction in its efforts to implement the HOME Program. Each of the seven assessments should start on a separate page and identify the PJ in the upper right hand corner.

**A. Comprehensive Housing Affordability Strategy (CHAS):**

1. An assessment by the PJ of the relationship of the activities carried out under the PJ's HOME Program to the objectives identified in its approved CHAS; and
2. An analysis of the extent to which HOME funds were distributed among different categories of housing needs identified in its approved CHAS.

**B. Private Sector Participation:** An analysis of the PJ's efforts to maximize participation by the private sector.

**C. Community Housing Development Organizations (CHDOs):** An assessment of the PJ's efforts to identify CHDOs for participation in its HOME program.

**D. Affirmative Marketing:** An assessment of the effectiveness of the affirmative marketing actions prescribed in 24 CFR 92.351.

**E. Minority Outreach:** An assessment of the effectiveness of the PJ's minority outreach program including:

1. An analysis of participation by minorities and women and entities owned by minorities and women in its HOME program; and
2. A statement of actions planned to improve performance in the use of minority- and women-owned businesses, where appropriate.

**F. Tenant Assistance/Relocation:** A description of:

1. The steps taken to minimize displacement as a result of a project assisted under the HOME Program;
2. The steps taken to (a) identify in a timely manner all persons who occupy the site of a project assisted under the HOME Program, (b) determine whether or not they will be required to move permanently as a result of the project, and (c) ensure issuance of timely information notices to them. Identify the entity issuing notices in connection with projects carried out by a third party (e.g., private-owner rehabilitation);

3. (a) The cause of any displacement (e.g., acquisition, rehabilitation) of households, businesses and nonprofit organizations indicated in Part V of Form HUD-40107, that occurred during the reporting period, (b) whether the financial assistance was at Uniform Relocation Act levels, the levels under section 104(d) of the Housing and Community Development Act of 1974, as amended, or at levels provided under an optional relocation policy (if the latter, attach a copy of optional policies), and (c) the extent to which assistance was provided through tenant-based rental assistance (e.g. Section 8 Rental Certificates or Vouchers);
4. The steps taken to coordinate the provision of housing assistance and the delivery of services to occupants of project sites, whether or not displaced, including a description of special services provided.

G. **Shortfall Funds:** Information on the commitment of the funds for HOME projects (including the dates of commitment), if the projects do not involve any HOME funds drawn down from the U.S. Treasury and are therefore not set up through the C/MI System. This information is to be provided only by those jurisdictions. that received formula allocations that were less than the participation threshold amount and made up the shortfall between the formula allocation and the threshold amount with local or state funds (other than HOME funds). Note: The threshold amount needed to qualify as a HOME PJ for Federal fiscal year 1992 was \$750,000, and this threshold amount for Federal FY 1993 and Federal FY 1994 was \$500,000.

VIII. **Matching Requirements:** Congress waived matching contribution requirements for Federal FY 1992 funds only and reinstated them for Federal FY 1993 funds and subsequent Federal FY funds. With the APR due in 1994, the HOME Match Report form must be submitted by every PJ that incurred a match liability. Match liability occurs when FY 1993 or FY 1994 funds (or subsequent year funds) are drawn down from the U.S. Treasury for HOME projects. A PJ may start counting match contributions as of the beginning of Federal Fiscal Year 1993 (October 1, 1992). A jurisdiction not required to submit this report, either because it did not incur any match or because it had a full match reduction, may submit a HOME Match Report if it wishes. The match would count as excess match that is carried over to subsequent years. The match reported on the form must have been contributed during the reporting period (between October 1 and September 30). In accordance with 24 CFR 92.508 (a)(2)(vii), a running log must be maintained by the PJ for HUD monitoring. To facilitate meeting this requirement, a PJ may wish to keep its running log in the format of the HOME Match Report.

Where a jurisdiction is entirely within a disaster area declared by the President pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act, it may apply for and receive a full match reduction after submitting a copy of the disaster declaration to the local HUD Field Office.

If only certain counties within a PJ (e.g., a State) are declared disaster areas, the full match reduction applies only to the amount of HOME funds spent on projects (new construction and other HOME projects) in those disaster areas. In order to determine the reduction of match liability, the jurisdiction must provide a list of the counties included in the Presidentially-declared disaster areas. HUD will then give a full match reduction to those disaster areas and provide a report reflecting the match liability for the non-disaster areas. The match reduction is in effect for the federal fiscal year in which an area was declared a disaster area and for the following federal fiscal year.

## IX. Definitions:

- A. **Racial and Ethnic Group Definitions:** Below are definitions of the racial and ethnic groups used in this APR. The category that most closely reflects an individual's recognition in his/her community should be used for purposes of reporting on a person of mixed racial and/or ethnic origins.
1. **"White, Not Hispanic Origin":** A person having origins in any of the original peoples of Europe, North America, or the Middle East, but not of Hispanic origin.
  2. **"Black, Not Hispanic Origin":** A person having origins in any of the black racial groups of Africa, but not of Hispanic origin.
  3. **"Native American":** A person having origins in any of the original peoples of the North America Continent, who maintains cultural identification through tribal affiliations or community recognition.
  4. **"Hispanic:"** A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
  5. **"Asian or Pacific Islander":** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. For example, this area would include China, India, Japan, Korea, the Philippine Islands, and Samoa.
- B. **Other Definitions:**
- L **"Minority Business Enterprise (MBE)"** means a business enterprise which is at least 51 percent owned by one or more minority individuals, or in the case of any publicly owned business, at least 51 percent of the voting stock is owned by one or more minority individuals, and whose management and daily operations are controlled by one or more such individuals. "Minority individuals" includes Blacks - Not Hispanic Origin, Native Americans, Hispanics, and Asians or Pacific Islanders. "Control" means exercising the power to make policy decisions.

2. **"Women's Business Enterprise (WBE)"** means a business that is at least 51 percent owned by a woman or women who also control and operate it. "Control" means exercising the power to make policy decisions. "Operate" means being actively involved in the day-to-day management.
3. **"Minority Property Owner"** means a minority person who owns and controls one or more dwelling units. Such persons include Blacks - Not Hispanic Origin, Native Americans, Hispanics, and Asians or Pacific Islanders.
4. **"Displaced Person"** means any person that moves from real property, or moves personal property from real property, permanently, as a direct result of rehabilitation, demolition, acquisition or conversion for a HOME project. A person is defined as a family, individual, nonprofit organization, or farm, including any corporation, partnership or association. (See 24 CFR 92.353)
5. **"Program Income"** means any return on the investment of HOME funds, including any repayment of HOME funds and any payment of interest or other return of HOME funds (see 24 CFR 92.503).
6. "Shortfall Funds" are non-HOME funds used to make up the difference between the participation threshold and the amount of HOME funds allocated to the PJ (see 24 CFR 92.102).

# Annual Performance Report HOME Program

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

OMB No. 2501-0013 (exp.1 11/30/97)

Public Reporting Burden for this collection of information is estimated to average 2.5 hours 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2501-0013), Washington, D.C. 20503. Do not send this completed form to either of these addresses.

This form is intended to collect numeric data to be aggregated nationally as a complement to data collected through the Cash and Management Information (CIMI) System. Participants should enter the reporting period in the first block. The reporting period is October 1 to September 30. Instructions are included for each section if further explanation is needed.

Submit this form on or before December 31. Send one copy to the appropriate HUD Field Office and one copy to:  
HOME Program, Rm 7116, 451 7th Street, S.W., Washington, D.C. 20410.

This report is for period: (mm/dd/yy)  
Starting: Ending:

Date Submitted:

## Part 1: Participant Identification

- 1. Participant Number
- 2. Participant Name
- 3. Name of Person Completing Report
- 4. Phone No. (include Area Code)
- 6. Address
- 6. city
- 7. State
- B. Zip Code

## Part II: Program Income

Enter the following program income amounts for the reporting period: in block 1 the balance on hand at the beginning; in block 2 the amount generated; in block 3 the amount expended; and in block 4 the amount for Tenant-Based rental Assistance.

- 1. Balance on Hand at Beginning of Reporting Period:
- 2. Amount Received During Reporting Period:
- 3. Total Amount Expended During Reporting Period:
- 4. Amount Expended for Tenant-Based Rental Assistance:
- 6. Balance on Hand at End of Reporting Period

$(1 + 2 - 3) = 5$

## Part III: Minority Business Enterprises (MBE) and Women Business Enterprises (WBE)

In the table below, indicate the number and dollar value of contracts for HOME projects completed during the reporting period.

	Minority Business Enterprises (MBE)					
	a. Total	b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	f. White Non-Hispanic
<b>A. Contracts</b>						
1. Number						
2. Dollar Amount						
<b>B. Sub-Contracts</b>						
1. Number						
2. Dollar Amount						
	a. Total	b. Women Business Enterprises (WBE)	c. Male			
<b>C. Contracts</b>						
1. Number						
2. Dollar Amount						
<b>D. Sub-Contracts</b>						
1. Number						
2. Dollar Amount						

**Part IV: Minority Owners of Rental Property**

In the table below, indicate the number of HOME assisted rental property owners and the total dollar amount of HOME funds in these rental properties assisted during the reporting period.

	a. Total	b. Alaskan Native or American Indian	Minority Property Owners		a. Hispanic	f. White Non-Hispanic
			c. Asian or Pacific Islander	d. Black Non-Hispanic		
1. Number						
2. Dollar Amount						

**Part V: Relocation and Real Property Acquisition**

Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition. The data provided should reflect only displacements and acquisitions occurring during the reporting period.

	a. Number	b. Cost	Minority Households			
Households Displaced	a. Total	b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	a. Hispanic	f. White
1. Parcels Acquired						
2. Businesses Displaced						
3. Nonprofit Organizations Displaced						
4. Households Temporarily Relocated, not Displaced						
5. Households Displaced: No.						
6. Households Displaced: <u>Cost</u>						

Instructions for Completing Form HUD-40107,  
Annual Performance Report (APR), HOME Program

Read the instructions for each item carefully before completing the form. Please type or print clearly in ink. Prepare an original and two copies of the form and attach them to the corresponding copies of the APR. The HOME APR is due on or before December 31. Submit the originals to the appropriate HUD Field Office. Submit one copy to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, Washington, D.C. 20410. Retain the other copy for your records.

Applicability. This form is a required part of the HOME APR and must be completed by each Participating Jurisdiction (PJ).

**Part 1: Participant Identification**

Block 1. Participant Number. Enter the participant number assigned by HUD.

**Block 2.** Participant Name. Enter the name of the PJ.

Block 3. Name of Person Completing Report. Enter the name of person to contact for further information regarding the report.

Block 4. Phone No. Enter the phone number, including- area code, of the person to contact for further information regarding the report.

Block 5. Address. Enter the PJ's address.

Block 6. City. Enter the city where the PJ's office is located.

Block 7. State. Enter the state where the PJ's office is located.

Block 8. Zip Code. Enter the zip code where the PJ's office is located.

**Part H. Program Income**

Block 1. Balance on Hand at beginning -of Reporting Period. Enter the balance of program income available at the beginning of the reporting period.

Block 2. Amount Received During the Reporting Period. Enter the amount of all program income received during the reporting period.

Block 3. Total Amount Expended During the Reporting Period. Enter the total amount of

all program income expended during the reporting period (whether reported through the C/MI System or not).

**Block 4. Amount for Tenant-Based Rental Assistance.** Enter the portion of program income reported in block 3 expended for tenant based rental assistance projects during the reporting period. [Note: because there is no completion form for tenant-based rental assistance projects, the amount of program income used for such projects is not reported

**Block 5. Balance on Hand at end of Reporting Period.** Enter the balance of program income available at the end of the reporting period. This amount should equal the amount in block 1 plus the amount in block 2 less the amount in block 3.

Note: Completed HOME projects funded with program income, but with no Treasury funds, are not set up through the C/MI System and must be reported in the APR's HOME Project Report. The HOME Project Report consists of modified instructions used in conjunction with the existing forms for reporting projects set up through the C/MI System (i.e., the project set up report for tenant-based rental assistance projects and the project completion reports for the other types of HOME projects). A PJ can eliminate this reporting burden by including some Treasury funds in all of its projects since a project set up through the C/MI System is not reported in the HOME APR.

**Part III:  
Minority Business Enterprises (NOE)**

**Block A.La. Total.** Enter the total number of contracts with business enterprises. This is the sum \*of the five blocks A. I b., A. I.c., A. I.d., A.Le., and A.I.f.

Blocks A.Lb. **Alaskan Native or American Indian, A.I.c. Asian or Pacific Islander, A.I.d. Black Non-Hispanic, A.Le Hispanic, A.Lf White Non-Hispanic.** Enter the number of contracts, by race/ethnicity, in each of these blocks.

**Block A.2.a. Total.** Enter the total amount of contracts with business enterprises in dollars. This is the sum of the five blocks A.2.b., A.2.c., A.2.d., A.2.e., and **A.2.f.**

**Blocks A.2.b. Alaskan Native or American Indian, A.2.c. Asian or Pacific Islander, A.2.d. Black Non-Hispanic, A.2.e. Hispanic, A.2.f White Non-Hispanic.** Enter the dollar amount of contracts, by race/ethnicity, in each of these blocks.

**Block B.La. Total.** Enter the total number of subcontracts with business enterprises. This is the sum of the five blocks B. I b., B. I.c., B.I.d., B.I.e., and B.I.f.

Blocks B.Lb. **Alaskan Native or American Indian, B.I.c. Asian or Pacific Islander, B.I.d. Black Non-Hispanic, B.Le Hispanic, B.Lf White Non-Hispanic.** Enter the number of subcontracts, by race/ethnicity, in each of these blocks.

**Block B.2.a. Total.** Enter the total amount of subcontracts with business enterprises in dollars. This is the sum of the five blocks B.2.b., B.2.c., B.2.d., B.2.e., and **B.2.f.**

**Blocks B.2.b. Alaskan Native or American Indian, B.2.c. Asian or Pacific Islander, B.2.d. Black Non-Hispanic, B.2.e. Hispanic, B.2.f White Non-Hispanic.** Enter the dollar amount of subcontracts, by race/ethnicity, in each of these blocks.

**Women Business Enterprises (WBE)**

**Block C.I.a. Total.** Enter the total number of contracts with business enterprises. This is the total of blocks C. Lb and C. I.c. It should be the same number as block A. La.

**Block C.I.b. WBE.** Enter the number of contracts with WBEs.

**Block C.I.c. Male.** Enter the number contracts with male-owned business enterprises.

**Block C.2.a. Total.** Enter the total dollar amount of contracts with business enterprises. This is the sum of blocks C.2.b. and C.2.c. It should be the same amount as block A.2.a.

**Block C.2.b. WBE.** Enter the total dollar amount of contracts with WBEs.

**Block C.2.c. Male.** Enter the dollar amount of contracts with male-owned business enterprises.

**Block D.La. Total.** Enter the total number of subcontracts with business enterprises. This is the sum of blocks D. Lb. and D. I.c. It should be the same as block B. 1. a.

**Block D.I.b. WBE.** Enter the number of subcontracts with WBEs.

**Block D.I.c. Male.** Enter the number of subcontracts with male-owned business enterprises.

**Block D.2.a. Total.** Enter the total dollar amount of subcontracts with business enterprises. This is the sum of blocks D.2.b. and D.2.c. It should be the same amount as block B.2.a.

**Block D.2.b. WBE.** Enter the total dollar amount of subcontracts with WBEs.

**Block D.2.c. Male.** Enter the dollar amount of subcontracts with male-owned business enterprises.

#### Part IV: Minority Property Owners.

Complete only for HOME-assisted rental properties and only those owned by individuals (not corporations or partnerships). Do not include owner occupants residing in HOME-assisted units. For such occupants, that information is reported through the C/MI System.

Block La. **Total.** Enter the sum of the five blocks I.b., I.c., I.d., Le., and Lf.

**Blocks Lb. Alaskan Native or American Indian, 1.c. Asian or Pacific Islander, Ld. Black Non-Hispanic, Le Hispanic, Lf White Non-Hispanic.** For HOME-assisted rental property owned by individuals, enter the number of properties by race/ethnicity of the owner in each of these blocks.

**Block 2.a. Total.** Enter the sum of the five blocks 2.b., 2.c., 2.d., 2.e., and 2.f.

**Blocks 2.b. Alaskan Native or American Indian, 2.c. Asian or Pacific Islander, 2.d. Black Non-Hispanic, 2.e. Hispanic, 2f White Non-Hispanic.** For HOME-assisted rental property owned by individuals, enter the total amount of HOME funds in rental projects completed during the reporting period by race/ethnicity of property owners in each of these blocks.

#### Part V: Relocation and Real Property Acquisition

Block La. **Number.** Enter the total number of parcels acquired. (Count contiguous tracts under the same ownership as one parcel.)

Block Lb. **Cost.** Enter the total dollar amount of parcels acquired. (Count contiguous tracts under the same ownership as one parcel.)

**Block 2.a. Number.** Enter the total number of businesses displaced.

Block 2.b. **Cost.** Enter the total dollar amount of relocation payments paid to displaced businesses.

**Block 3.a. Number.** Enter the total number of nonprofit organizations displaced.

**Block 3.b. Cost.** Enter the total dollar amount of relocation payments paid to displaced nonprofit organizations.

**Block 4.a. Number.** Enter the total number of temporary relocations of households not displaced. A household can be comprised of a family or an individual.

**Block 4.b. Cost.** Enter the total dollar amount of payments for temporary relocations of households not displaced.

**Block 5.a. Total.** Enter the sum of the five blocks 5.b., 5.c., 5.d., 5.e., and 5.f.

**Blocks 5.b. Alaskan Native or American Indian, 5.c. Asian or Pacific Islander, 5.d. Black Non-Hispanic, 5.e. Hispanic, 5f White Non-Hispanic.** Enter the total number of households displaced, by race/ethnicity, in each of these blocks. A family shall be reported as "one" household, not as the number of people in the household. An individual living alone is also considered a household.

**Block 6.a. Total.** Enter the sum of the five blocks 6.b., 6.c., 6.d., 6.e., and 6.f.

**Blocks 6.b. Alaskan Native or American Indian, 6.c. Asian or Pacific Islander, 6.d. Black Non-Hispanic, 6.e. Hispanic, 6.f White Non-Hispanic.** Enter the total dollar amount of relocation payments paid to households displaced, by race/ethnicity, in each of these blocks.

# HOME Match Report

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

OMB Approval No. 2501-0013 (exp. 11/30/97)

Public reporting burden for this collection of Information is estimated to average 0.75 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2501-0013) Washington, D.C. 20503. Do not send this completed form to either of these addressees,

Match Contributions for  
M

## Part 1: Participant Identification

1. Participant No: (assigned by HUD)      2. Name of the Participating Jurisdiction:  
5. Street Address of the Participating Jurisdiction:  
6. City:      7. State:      8. Zip Code:

- Federal Fiscal Year:  
3. Name of Contact: (person completing this report)  
4. Contact's Phone No. (include area code)

## Part II: Fiscal Year Summary

1. Excess match from prior federal fiscal year \$  
2. Match contributed during current federal fiscal year (see Part 111.9.) \$  
3. Total match available for current federal fiscal year (line 1 + line 2) \$  
4. Match liability for current federal fiscal year \$  
5. Excess match carried over to next federal fiscal year (line 3 - line 4) \$

## Part III: Match Contribution for the Federal Fiscal Year

1. Project No. or Other ID	2. Date of Contribution	3. Cash (non-federal sources)	4. Foregone Taxes, Fees, Charges	5. Appraised Land/ Real Property	6. Required Infrastructure	7. Site Preparation Construction Materials, Donated labor	8. Bond Fi, inancing	9. Total Match
-------------------------------	----------------------------	----------------------------------	-------------------------------------	-------------------------------------	-------------------------------	---	----------------------------	-------------------

Name of the Participating Jurisdiction:  
Year:

Federal Fiscal

1. Project No. or Other ID	2. Date of Contribution	3. Cash (non-federal sources)	4. Foregone Taxes, Fees, Charges	5. Appraised Land Real Property	6. Required Infrastructure	7. Site Preparation, Construction Materials, Donated labor	8. Bond Financing	9. Total Match
-------------------------------	----------------------------	----------------------------------	-------------------------------------	------------------------------------	-------------------------------	--	----------------------	-------------------

## Instructions for the HOME Match Report

### Applicability:

The HOME Match Report is part of the HOME APR and must

be filled out by every participating jurisdiction that incurred a match liability. Match liability occurs when FY 1993 funds (or subsequent year funds) are drawn down from the U.S. Treasury for HOME projects. A Participating Jurisdiction (PJ) may start counting match contributions as of the beginning of Federal Fiscal Year 1993 (October 1, 1992). A jurisdiction not required to submit this report, either because it did not incur any match or because it had a full match reduction, may submit a HOME Match Report if it wishes. The match would count as excess match that is carried over to subsequent years. The match reported on this form must have been contributed during the reporting period (between October 1 and September 30).

### Timing:

This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the

Office of Affordable Housing Programs, CGHF  
Room 7176, HUD, 451 7th Street, S.W.

contribution.

Washington, D.C. 20410.

The participating jurisdiction also keeps a copy.

### Instructions for Part II:

I. **Excess match from prior federal fiscal year:** Excess

match carried over from prior federal fiscal year.

2. **Match contributed during current federal fiscal year:** equivalent

The total amount of match contributions for all projects listed under Part III in column 9 for the federal fiscal year.

3. **Total match available for current federal fiscal year:** The sum of excess match carried over from the prior federal fiscal year (Part II, line 1) and the total match contribution for the current federal fiscal year (Part III, line 2). This sum is the total match available for the federal fiscal year.

4. **Match liability for current federal fiscal year:** The

amount of match liability is available from HUD and is provided periodically to PJs. The match must be provided

in the current year. The amount of match that must be provided is based on the amount of HOME funds drawn from the U.S. Treasury for HOME projects. The amount of match required equals 25% of the amount drawn down for HOME projects during the federal fiscal year. Excess match may be carried over and used to meet match liability for subsequent years (see Part II, line 5). Funds drawn down for administrative costs, CHDO operating expenses, and CHDO capacity building do not have to be matched. Funds drawn down for CHDO seed money and/or technical assistance loans do not have to be matched if the project does not go forward. A jurisdiction is allowed to get a partial reduction (50%) of match if it meets one of two statutory distress criteria, indicating "fiscal distress," or else a full reduction (100%) of match if it meets both criteria, indicating "severe fiscal distress." The two criteria are poverty rate (must be equal to or greater than 125% of the average national family poverty rate to qualify for a reduction) and per capita income (must be less than 75% of the national average per capita income to qualify for a reduction). In addition, a jurisdiction can get a full reduction if it is declared a disaster area under the Robert

T. Stafford Disaster Relief and Emergency Act.

5. **Excess match carried over to next federal fiscal year:** The total match available for the current federal fiscal year (Part II, line 3) minus the match liability for the current federal fiscal year (Part II, line 4). Excess match may be liability.

### Instructions for Part III:

1. **Project No. or Other ID:** "Project number" is assigned by the C/MI System when the PJ makes a project set-up call. These projects involve at least some Treasury funds. If the HOME project does not involve Treasury funds, it must be identified with "other ID" as follows: the fiscal year (last two digits only), followed by a number (starting from "01" for the first non-Treasury-funded project of the fiscal year), and then at least one of the following abbreviations:

"SF" for project using shortfall funds, "PI" for projects using program income, and "NON" for non-HOME assisted affordable housing. Example: 93.01.SF, 93.02.PI,

93.03.NON, etc.

Shortfall funds are non-HOME funds used to make up the difference between the participation threshold and the amount of HOME funds allocated to the PJ; the participation threshold requirement applies only in the PJ's first year of eligibility. [§92.102]

Program income (a) so called "repayment income") is any return on the investment of HOME funds. This income must be deposited in the jurisdiction's HOME account to be used for HOME projects. [§92.503(b)]

Non-HOME-assisted affordable housing is investment in housing not assisted by HOME funds that would qualify as "affordable housing" under the HOME Program definitions. "NON" funds must be contributed to a specific project; it is not sufficient to make a contribution to an entity engaged in developing affordable housing. [§92.219(b)]

2. **Date of Contribution:** Enter the date of contribution. Multiple entries may be made on a single line as long as the contributions were made during the current fiscal year. In such cases, if the contributions were made at different dates during the year, enter the date of the last

3. **Cash:** Cash contributions from non-federal resources. This means the funds are contributed permanently to the HOME Program regardless of the form of investment the jurisdiction provides to a project. Therefore all repayment, interest, or other return on investment of the contribution carried over and applied to future HOME project match used for HOME projects. The PJ, non-federal public entities (State/local governments), private entities, and individuals can make contributions. The grant

of a below-market interest rate loan to the project is eligible when the loan is not repayable to the PJ's HOME account. [§92.220(a)(1)] In addition, a cash contribution can count as match if it is used for eligible costs defined under §92.206 (except administrative costs and CHDO

operating expenses) or under §92.209, or for the following non-eligible costs: the value of non-federal funds used to remove and relocate ECHO units to accommodate eligible tenants, a project reserve account for replacements, a project reserve account for unanticipated increases<sup>5</sup> in

operating costs, operating subsidies, or costs relating to the portion of a mixed-income or mixed-use project not related to the affordable housing units. [§92.219(c)]

4. **Foregone Taxes, Fees, Charges:** Taxes, fees, and charges that are normally and customarily charged but have been waived, foregone, or deferred in a manner that achieves affordability of the HONIE-assisted housing. Ibis includes State tax credits for low-income housing development. The amount of real estate taxes may be based on the post-improvement property value. For those taxes, fees, or charges given for future years, the value is the present discounted cash value. [§92.220(a)(2)]
5. **Appraised Land/Real Property:** The appraised value, before the HOME assistance is provided and minus any debt burden, lien, or other encumbrance, of land or other real property, not acquired with federal resources. The appraisal must be made by an independent, certified appraiser. [§92.220(a)(3)]
6. **Required Infrastructure:** The cost of investment, not made with federal resources, in on-site and off-site infrastructure directly required for HONIE-assisted affordable housing. The infrastructure must have been completed no earlier than 12 months before HONIE funds were committed. [§92.220(a)(4)]
7. **Site preparation, Construction materials, Donated labor:** The reasonable value of any site-preparation and

construction materials, not acquired with federal resources, and any donated or voluntary labor (see §92.354(b)) in connection with the site-preparation for, or construction or rehabilitation of, affordable housing. The value of site-

preparation and construction materials is determined in accordance with the PJ's cost estimate procedures. The value of donated or voluntary labor is determined by a single rate ("labor rate") to be published annually in the Notice Of Funding Availability (NOFA) for the HONE Program. [§92.220(6)]

- 8.- **Bond Financing:** Multifamily and single-family project bond financing must be validly issued by a State or local government (or an agency, instrumentality, or political subdivision thereof). 50% of a loan from bond proceeds made to a multifamily affordable housing project owner

can count as match. 25% of a loan from bond proceeds made to a single-family affordable housing project owner can count as match. Loans from all bond proceeds, including excess bond match from prior years, may not exceed 25% of a PJ's total annual match contribution. [§92.220(a)(5)] The amount in excess of the 25% cap for bonds may carry over, and the excess will count as part of the statutory limit of up to 25% per year. Requirements regarding bond financing as an eligible source of match will be available upon publication of the implementing regulation early in FY 1994.

9. **Total Match:** Total of items 3 through 8. This is the total match contribution for each project identified in item 1.

**Ineligible forms of match include:**

- I. Contributions made with order derived from federal resources e.g. CDBG funds [§92.220(b)(1)]
2. Interest rate subsidy attributable to the federal tax-exemption on financing or the value attributable to federal tax credits [§92.220(b)(2)]
3. Contributions from builders, contractors or investors, including owner equity, involved with HONE-assisted projects. [§92.220(b)(3)]
4. Sweat equity [§92.220(b)(4)]
5. Contributions from applicants/recipients of HOME assistance [§92.220(b)(5)]
6. Fees/charges that are associated with the HOME Program only, rather than normally and customarily charged on all transactions or projects [§92.220(a)(2)]
7. Administrative costs

## **HOME Project Report**

### **Instructions for Reporting Tenant-Based Rental Assistance Projects for the HOME APR**

**Applicability:** The HOME Project Report is part of the HOME Annual Performance Report (APR). It is for reporting HOME projects not set up through the C/MI System because they involved shortfall funds and/or program income but no Treasury funds. To eliminate this reporting burden, a jurisdiction may choose to include some Treasury funds in all of its projects since a project set up through the C/MI System is not reported in the HOME APR. NOTE: It is unlikely that a tenant-based rental assistance (TBRA) project would be funded solely with program income because program income must be used up before Treasury funds are drawn down, and there may not be enough program income to draw down for a TBRA project every month for up to 24 months.

To report TBRA HOME projects not set up through the C/MI System, the existing Tenant-Based Rental Assistance Project Set-Up Report (form HUD-40095) is used in conjunction with some modified instructions. TBRA projects that involved shortfall funds and/or program income but no Treasury money must be reported on the APR if the final expenditure of shortfall or program income occurred prior to June 1; if the final expenditure occurred between June 1 and the end of the fiscal year, the PJ has the option of including it in the current APR or in the APR for the subsequent year. (This timing is consistent with the requirement for submitting completion reports for rental or homeownership projects that are set up through the C/MI System.)

**Timing:** This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, Washington, D.C. 20410. The participating jurisdiction also keeps a copy.

#### Modified Instructions:

Mark the Appropriate Box: Enter "APR"

Part A. Use the same instructions, except for items 1. and 5.

1. Project Number: Use the methodology used on the HOME Match Report form for "Other ID , " with the exception that "NON (non-HOME-assisted affordable housing)" would not be used since it is not applicable here. "Other ID" is for identifying HOME projects that do not involve any Treasury funds and is written as follows: the fiscal year (last two digits only), followed by a number (starting from "01 " for the first non-Treasury-funded project of the fiscal year), and then the abbreviation(s) "SF" for projects using shortfall funds and/or "PI" for projects using program income.

*e.g., 93.01.SF, 93.02.PI, 93.03.SF.PI, etc.*

5. Home Program Funds for Project: Use this for reporting project costs instead of HOME funds as follows:

a. Total Funds Requested: Cross out this heading and enter the amount of the total project costs by adding the amount under column 5.c.

b. Participant Number: Cross out this heading and enter under this column the categories "SF" for total shortfall funds, "PI" for total HOME program income, and "Other" for any other funds not included under "SF" and "PI."

c. Dollar Amount of Funds: Enter the amount of funds used in each category listed under column 5.b.

Part B. Same instructions.

Part C. For the chart on Household Characteristics, enter the data for each unit assisted with shortfall funds and/or program income.

## **HOME Project Report**

### **Instructions for Reporting Homeownership Assistance Projects for the HOME APR**

**Applicability:** The HOME Project Report is part of the HOME Annual Performance Report (APR). It is for reporting HOME projects not set up through the C/MI System because they involved shortfall funds and/or program income but no Treasury funds. To eliminate this reporting burden, a jurisdiction may choose to include some Treasury funds in all of its projects since a project set up through the C/MI System is not reported in the HOME APR.

To report Homeownership Assistance HOME project not set up through the C/MI System, the existing Homeownership Assistance Project Completion Report (Form HUD-40096) is used in conjunction with some modified instructions. Homeownership Assistance projects that involved shortfall funds and/or program income but no Treasury money must be reported on the APR if the final expenditure of shortfall or program income occurred prior to June 1; if the final expenditure occurred between June 1 and the end of the fiscal year, the PJ has the option of including it in the current APR or in the APR for the subsequent year. (This timing is consistent with the requirement for submitting completion reports for rental or homeownership projects that are set up through the C/MI System.)

**Timing:** This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, Washington, D.C. 20410. The participating jurisdiction also keeps a copy.

**Modified instructions: Mark the Appropriate Box:** Enter

"APR" **Part A.** Use the same instructions except for item 1.

1. **Project Number:** Use the methodology used on the HOME Match Report form for "Other ID," with the exception that "NON (non-HOME-assisted affordable housing)" would not be used since it is not applicable here. "Other ID" is for identifying HOME projects that do not involve any Treasury funds and is written as follows: the fiscal year (last two digits only), followed by a number (starting from "01 " for the first non-Treasury-funded project of the fiscal year), and then the abbreviation(s) "SF" for projects using shortfall funds and/or "PI" for projects using program income. *e.g., 93.01.SF, 93.02.PI, 93.03.SF.PI, etc.*

**Part B.** Under "**Type of Activity Financed**" (rehab, new construction, etc.) check the appropriate activity that was financed with shortfall funds and/or program income.

Under "Project Costs" only items 2. through 5. are to be completed since none of the projects reported in the APR involve Treasury funds, making item 1. not applicable here. Shortfall is to be recorded in items, 2.(2) and 2.(3) as appropriate. There is already a space for recording program income (see item 4.).

**1. HOME Funds:** Enter "N/A" in the blanks.

**2. Public Funds:** (1) Use the same instructions.

(2) and (3) are for reporting shortfall funds.

**3. Private Funds:** same instructions

**4. HOME Program Income:** same instructions

**5. Total Project Cost:** Add items 2. through 4.

**Part C.** Use the same instructions except for item 3.

**3. Total HOME Funds for Downpayment Assistance:** Enter the total shortfall funds and program income used for downpayment assistance instead of the HOME funds drawn down from the Treasury. **Part**

**D.** Same instructions **Part E. Project Address** is self explanatory.

For **Project Number** use the same project number entered in Part A. 1.

For the chart on **Household Characteristics**, enter the data for each unit assisted with shortfall funds and/or program income.

## **HOME Project Report**

### **Instructions for Reporting Rental Housing Projects for the HOME APR**

**Applicability:** The HOME Project Report is part of the HOME Annual Performance Report (APR). It is for reporting HOME projects not set up through the C/MI System because they involved shortfall funds and/or program income but no Treasury funds. To eliminate this reporting burden, a jurisdiction may choose to include some Treasury funds in all of its projects since a project set up through the C/MI System is not reported in the HOME APR.

To report rental housing HOME projects not set up through the C/MI System, the existing Rental Housing Project Completion Report (Form HUD-40097) is used in conjunction with some modified instructions. Rental projects that involved shortfall funds and/or program income but no Treasury money must be reported on the APR if the final expenditure of shortfall or program income occurred prior to June 1; if the final expenditure occurred between June 1 and the end of the fiscal year, the PJ has the option of including it in the current APR or in the APR for the subsequent year. (This timing is consistent with the requirement for submitting completion reports for rental or homeownership projects that are set up through the C/MI System.)

**Timing:** This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, Washington, D.C. 20410. The participating jurisdiction also keeps a copy.

**Modified instructions: Mark the Appropriate Box:** Enter "APR" **Part A.** Use the same instructions except for item 1. 1. Project Number: Use the methodology used on the HOME Match Report form for "Other ID," with the exception that "NON (non-HOME-assisted affordable housing)" would not be used since it is not applicable here. "Other ID" is for identifying HOME projects that do not involve any Treasury funds and is written as follows: the fiscal year (last two digits only), followed by a number (starting from "01" for the first non-Treasury-funded project of the fiscal year), and then the abbreviation(s) "SF" for projects using shortfall funds and/or "PI" for projects using program income.

e.g., 93.01.SF, 93.02.PI, 93.03.SF.PI, etc.

**Part B.** Under "**Type of Activity Financed**" (rehab, new construction, etc.) check the appropriate activity that was financed with shortfall and/or program income.

Under "Project Costs" only items 2. through 6. are to be completed since none of the projects reported in the APR involve Treasury funds, making item 1. not applicable here. Shortfall is to be recorded in items 2.(2) and 2.(3) as appropriate. There is already a space for recording program income (see item 5.).

**1. HOME Funds:** Enter "N/A" in the blanks.

**2. Public Funds:** (1) Use the same instructions.

(2) and (3) are for reporting shortfall funds.

**3. Private Funds:** same instructions

**4. Low Income Tax Credit Syndication Proceeds:** same instructions

5. HOME Program Income: same instructions

6. Total Project Cost: Add items 2. through 5. Part

C. Project Address is self explanatory.

For Project Number use the same project number entered in Part A. 1.

For the chart on Household Characteristics, enter the data for each unit assisted with shortfall funds and/or program income.

## HOME Project Report

### Instructions for Reporting Multiple-unit Homeownership Assistance Projects for the HOME APR

**Applicability:** The HOME Project Report is part of the HOME Annual Performance Report (APR). It is for reporting HOME projects not set up through the C/MI System because they involved shortfall funds and/or program income but no Treasury funds. To eliminate this reporting burden, a jurisdiction may choose to include some Treasury funds in all of its projects since a project set up through the C/MI System is not reported in the HOME APR.

To report Multiple-unit Homeownership Assistance HOME projects not set up through the C/MI System, the existing Multiple-unit Homeownership Assistance Project Completion Report (Form HUD-40096-M) is used in conjunction with some modified instructions. Multiple-unit homeownership assistance projects that involved shortfall funds and/or program income but no Treasury money must be reported on the APR if the final expenditure of shortfall or program income occurred prior to June 1; if the final expenditure occurred between June 1 and the end of the fiscal year, the PJ has the option of including it in the current APR or in the APR for the subsequent year. (This timing is consistent with the requirement for submitting completion reports for rental or homeownership projects that are set up through the C/MI System.)

**Timing:** This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the Office of Affordable Housing Programs, Room 7176, HUD, 451 7th Street, Washington, D.C. 20410. The participating jurisdiction also keeps a copy.

#### Modified instructions:

In blank space in upper right hand corner of Page 1: Enter "APR"

Part A. Use the same instructions except for item 1. 1. Project Number: Use the methodology used on the HOME Match Report form for "Other ID, " with the exception that "NON (non-HOME-assisted affordable housing)" would not be used since it is not applicable here. "Other ID" is for identifying HOME projects that do not involve any Treasury funds and is written as follows: the fiscal year (last two digits only), followed by a number (starting from "01 " for the first non-Treasury-funded project of the fiscal year), and then the abbreviation(s) "SF" for projects using shortfall funds and/or "PI" for projects using program income.

*e.g., 93.01.SF, 93.02.PI, 93.03.SF.PI, etc.*

Part B. Under "Type of Activity Financed" (rehab, new construction, etc.) check the appropriate activity that was financed with shortfall and/or program income.

Under "Project Costs" only items 2. through 5. are to be completed since none of the projects reported in the APR involve Treasury funds, making item 1. not applicable here. Shortfall is to be recorded in items 2.(2) and 2.(3) as appropriate. There is already a space for recording program income (see item 4.).

1. HOAM Funds: Enter "N/A" in the blanks.
2. Public Funds: (1) Use the same instructions.  
(2) and (3) are for reporting shortfall funds.
3. Private Funds: same instructions
4. HOME Program Income: same instructions
5. Total Project Cost: Add items 2. through 4. Part

C. Project Address is self explanatory-

For Project Number use the same project number entered in Part A. 1.

For the chart on Unit Costs and Owner/Tenant Characteristics, enter the data for each unit assisted with shortfall funds and/or program income.