NYS Homes & Community Renewal
Office of Community Renewal

FEDERAL ASSISTANCE EXPENDITURE FORM 9-1 INSTRUCTIONS

1) Background

The Community Development Block Grant (CDBG) and Home Investment Partnerships Program (HOME), passed through NYS Homes and Community Renewal, Office of Community Renewal, are federally sourced funds and as such are subject to Part 200.501 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirement. Part 200.501 requires all Recipients that meet the expenditure threshold to have a single audit conducted for the year in which expenditures of federal assistance exceed the threshold amount. The threshold amounts are as follows:

- Fiscal Year End Dates 9/30/2025 and after - $1,000,000
- Fiscal Year End Dates 8/31/2025 and before - $750,000

Only the FAE form for the threshold amount of $1,000,000 or more is posted on the NYS HOME and NYS CDBG website. If you require the use of a FAE form for fiscal year end dates prior to 9/30/2025, please contact us at OCRAudit@hcr.ny.gov.

2) Instructions

Each recipient must submit a Federal Assistance Expenditure Form, (FAE) to the Office of Community Renewal (OCR) within 60 days after its fiscal year end date. A form must be submitted annually until the award/grant is closed out with the OCR. To complete the form, please fill out the following fields:

a) Recipient Name: Enter the organization name as it is stated in your written agreement with the Housing Trust Fund Corporation.

b) Expenditure of Federal Funds Table: In the provided table, list the amount of CDBG and HOME funds expended during the fiscal period covered by the FAE form. These line items should include any CDBG and/or HOME fund expenditures from Office of Community Renewal programs and sources outside of the Office of Community Renewal. On the “All Other Federal Funds” line, enter expenditures from any other federal fund source(s) expended during the reporting period.

c) For the Fiscal Year: Enter the start and end date of the fiscal year being reported.

d) Threshold Status Checkboxes: Check the appropriate box to identify if the organization expended, or did not expend, the threshold amount or more in federal funds.

If you are attesting that the total Federal funds expended from ALL sources meets or exceeds the threshold amount, then Part 200.501 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements is applicable. An audit report must be submitted to the Federal Audit Clearinghouse and the Office of Community Renewal within 30 calendar days after the auditee receives the auditor's report(s) or nine months after the end of the audit period, whichever is earlier.

e) Anticipated Submission Date of the Audit: Enter the date you anticipate submitting the single audit to the Federal Audit Clearinghouse and the Office of Community Renewal. Only complete if you attested that an audit is applicable.

f) Certification: In this section the signatories are attesting that the information submitted on the FAE form is true, complete and accurate. The signature, title and telephone numbers of the Chief Fiscal Officer and the Chief Elected Official/Chief Executive Officer are required for form submission. If the CEO is the same person as the CFO, please indicate that in the CFO field. Do not leave it blank.

3) FAE Form Submission

Please submit the completed form to the Office of Community Renewal's Finance & Compliance Staff at OCRAudit@hcr.ny.gov. If you have any questions regarding the FAE process, please do not hesitate to contact the Office of Community Renewal at (518) 474-2057 or by sending an email to the email address identified above.