

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES LEAD HAZARD  
CONTROL PROGRAMS**

**LEAD HAZARD NOFA (COMBINED)**

**LEAD-BASED PAINT HAZARD  
CONTROL GRANT PROGRAM, LEAD  
HAZARD REDUCTION  
DEMONSTRATION GRANT PROGRAM,  
AND OPERATION LEAD ELIMINATION  
ACTION PROGRAM**

**Lead-Based Paint Hazard Control Grant Program, Lead Hazard Reduction Demonstration Grant Program, and Operation Lead Elimination Action Program**

*Overview Information*

A. Federal Agency Name: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. Funding Opportunity Title: Lead-Based Paint Hazard Control Program, Lead Hazard Reduction Demonstration Program, and Operation Lead Elimination Action Program).

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: FR-5100-N-20; OMB Approval Number 2539-0015.

E. Catalog of Federal Domestic Assistance (CFDA) Number(s): 14.900 Lead-Based Paint Hazard Control in Privately Owned Housing and 14.905 Lead Hazard Reduction Demonstration Program, and 14.903 Operation Lead Elimination Action Program.

F. Dates: Applications must be received and validated by Grants.gov no later than 11:59:59 p.m. eastern time on May 18, 2007 for the Lead-Based Paint Hazard Control and Operation Lead Elimination Action Programs, and the application deadline date for the Lead Hazard Reduction Demonstration is May 30, 2007. See the General Section for specific instructions regarding application submission.

G. Additional Overview Content Information:

1. Purpose of the Program.

a. The purpose of the Lead-Based Paint Hazard Control Program is to assist states, Native American Tribes, and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately owned housing for rental or owner-occupants.

b. The purpose of the Lead Hazard Reduction Demonstration Grant Program is the same as the Lead-Based Paint Hazard Control, but the Lead Hazard Reduction Demonstration Grant Program is targeted for urban jurisdictions with the highest lead-based paint hazard control needs.

c. The purpose of the Operation Lead Elimination Action Program is to provide grants to private sector and non-profit organizations to leverage funds for addressing lead hazards in privately owned housing units and eliminating lead poisoning as a major public health threat to young children.

2. Available Funds. Approximately \$148.4 million (Lead-Based Paint Hazard Control Program, Lead Hazard

Reduction Demonstration Program and Lead Elimination Action Program).

3. Eligible Applicants.

a. To be eligible to apply for funding under the Lead-Based Paint Hazard Control (LBPHC) Grant Program, the applicant must be a state, Native American Tribe, city, county, or other unit of local government. Multiple units of a local government (or multiple local governments) may apply as a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an Environmental Protection Agency (EPA) authorized lead-based paint training and certification program.

b. To be eligible to apply for the Lead Hazard Reduction Demonstration (LHRD) Grant Program, the applicant must be a city, county, Native American Tribe, or other unit of local government. The applicant must have at least 3,500 pre-1940 occupied rental housing units, as listed at the 2000 Census Web site identified in Form HUD 96013, Need/Extent of the Problem. In addition, a State may apply on behalf of one or more of the eligible local jurisdictions if it has an EPA-authorized lead-based paint training and certification program. A list of eligible applicants can be downloaded with the application from [www.grants.gov/Applicants/Apply\\_for\\_grants.jsp](http://www.grants.gov/Applicants/Apply_for_grants.jsp) in Appendix A.

c. To be eligible to apply for funding under the Operation Lead Elimination Action Program (LEAP), the applicant must be a non-profit or for-profit entity or firm. For-profit institutions are not allowed to earn a fee. Colleges and Universities are also eligible to apply. National and local groups are encouraged to apply. States, cities, counties and units of local government and their departments are not eligible.

4. Match. See NOFA Criteria by Grant Program Chart in Section III, Eligibility Information.

5. Information on application. The applications for this NOFA can be found at <http://www.grants.gov>. The General Section contains information about Grants.gov registration, submission requirements, and submission procedures.

**Full Text of Announcement**

**I. Funding Opportunity Description**

A. Program Description. The Lead-Based Paint Hazard Control Program (LBPHC), the Lead Hazard Reduction Demonstration Grant Program (LHRD) and the Operation Lead Elimination Action Program (LEAP) are authorized

by Section 1011 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Pub. L. 102-550). HUD's authority for making funding available under this NOFA for the Lead-Based Paint Hazard Control Program, the Operation Lead Elimination Action Program and the Lead Hazard Reduction Demonstration Program is the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110-5, approved February 15, 2007). The Lead-Based Paint Hazard Control Grant Program assists states, Native American Tribes and local governments, and the Lead Hazard Reduction Demonstration Program assists urban jurisdictions with the highest lead-based paint hazard control needs, in undertaking programs for the identification and control of lead-based paint hazards in eligible privately owned rental and owner-occupied housing units. Operation Lead Elimination Action Program (LEAP) provides grants to private sector and non-profit organizations to leverage funds for addressing lead hazards in privately owned housing units and eliminating lead poisoning as a major public health threat to young children. HUD is interested in promoting lead hazard control approaches that result in the reduction of elevated blood lead levels in children for the maximum number of low-income families with children under six years of age, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and replicable elsewhere. Refer to the HUD Web site <http://www.hud.gov/offices/lead/regs/leadtitlex.pdf> to obtain information on Title X. HUD's Lead Safe Housing Regulation is available at <http://www.hud.gov/offices/lead/leadsaferule/LSHRFinal21June04.rtf>, and the companion interpretive guidance publication at <http://www.hud.gov/offices/lead/leadsaferule/LSHRGuidance21June04.rtf>. If you cannot access the information you can call the NOFA Information Center at 800-HUD-8929. If you are a hearing- or speech-impaired person, you may request the information by telephone TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

Because lead-based paint is a national problem, these funds will be awarded to programs that will fulfill the following objectives:

1. Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled;

2. Target the reduction of elevated blood lead levels in children for the maximum number of low-income families with children less than six years of age, for the longest period of time;

3. Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated;

4. Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs that will continue beyond the grant period;

5. Affirmatively further fair housing and environmental justice;

6. Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based non-profit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards;

7. Establish a public registry (listing) of lead-safe housing or inclusion of the lead-safe status of properties in a publicly accessible address-based property information system to be affirmatively marketed to families with young children; and

8. To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, published June 30, 1994).

#### *B. Changes in the FY 2007 NOFA*

1. A total of 150 pages for the entire application including narrative responses, attachments, tables, appendices, and other required forms.

2. All contributions above the statutory match requirement should be reported as leveraged contributions.

3. The Lead Hazard Reduction Demonstration Grant Program has a 10 percent match requirement and an 80

percent direct Lead Hazard Control cost requirement.

## **II. Award Information**

A. Funding Available. From current and past years' funding, approximately \$76.4 million will be available for the Lead-Based Paint Hazard Control Program, approximately \$54.7 million will be available for the Lead-Based Paint Hazard Reduction Grant Program, and approximately \$17.3 million will be available for Operation Lead Elimination Action Program.

1. Approximately 26 to 40 grants will be awarded to applicants for the Lead-Based Paint Hazard Control Program. Approximately 14 to 22 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program, and approximately 9 to 12 grants will be awarded to applicants for Operation Lead Elimination Action Program. Grant award amounts for the entire period of performance for Lead-Based Paint Hazard Control Program grants shall be from approximately \$1 million up to a maximum of \$3 million per grant, for the Lead Hazard Reduction Demonstration Program grants, from approximately \$1 million up to a maximum of \$4 million per grant, and for Operation Lead Elimination Action Program (LEAP) grants a maximum of \$2 million per grant. Applications for amounts larger than the applicable maximum amount for a program will be deemed ineligible and will not be reviewed.

2. The start date for grants is expected to be no later than October 1, 2007. The period of performance shall not exceed 36 months. Period of performance extensions for delays due to conditions beyond the grantee's control will be considered by HUD in accordance with 24 CFR 84.25(e)(2) or 85.30(d)(2), as applicable, and the OHHLHC Program Guide. Such extensions, when granted, are one time only, and for no longer than a period of one year from the original period of performance end date.

B. Contracts or Other Formal Arrangements.

1. If selected for funding, grantees are required to maintain a contract administration system to ensure sub-grantee and contractor conformance with the terms, conditions, and

specifications of contracts. Grantees must enter into written contracts or agreements with sub-grantees and contractors, which identify specific services to be provided such as:

- Staffing requirements,
- Time periods for the performance of work,
- Project budget, and total amount of compensation to be provided,
- Methods and documentation requirements for obtaining reimbursement of expenses,
- Record keeping and reporting requirements,
- Requirements placed upon the sub-grantee or contractor to comply with applicable federal laws, regulations, circulars, and Executive Orders,
- Provisions for the grantee with access to financial and other documents and files for the purpose of monitoring sub-grantee or contractor performance and compliance with the local contract or agreement, and applicable Federal laws, regulations, circulars and Executive orders.

2. All applicants are encouraged to enter into formal arrangements with grassroots community-based non-profit organizations, including faith-based organizations, or other community-based organizations, particularly if such organizations will be reimbursed for eligible activities under this NOFA. (This does not apply to Native American Tribes.) These formal arrangements could be a contract, a Memorandum of Understanding (MOU), a Memorandum of Agreement (MOA), or a letter of commitment. Such relationships should be established prior to the actual execution of an award or within 120 days of the effective start date of the grant agreement.

## **III. Eligibility Information**

### *A. Eligible Applicants*

See the General Section for additional eligibility requirements applicable to HUD Programs. See chart below that describes eligible applicants, match percentage requirement, minimum percentage of federal funds for direct lead hazard control activities, and maximum administrative cost.

MATCH REQUIREMENTS AND ADMINISTRATIVE COSTS BY GRANT PROGRAMS

Programs	Eligible applicants	Percent of HUD award		
		Match	Direct lead hazard control costs	Administrative cost
Lead-Based Paint Hazard Control Program (LBPHC).	State, Native American Tribe, city, county, or other unit of local government. Multiple units of a local government (or multiple local governments) may apply as a consortium; however, you must identify a lead applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an Environmental Protection Agency (EPA) authorized lead-based paint training and certification program.	10% .....	Minimum 65% ...	Maximum 10%.
Lead hazard Reduction Demonstration (LHRD).	City, county, Native American Tribe, or other unit of local government. The applicant must have at least 3,500 pre-1940 occupied rental housing units, as listed at the 2000 Census Web site identified in Form HUD 96013, Need/Extent of the Problem. In addition, a State may apply on behalf of one or more of the eligible local jurisdictions if it has an EPA-authorized lead-based paint training and certification program. A list of eligible applicants can be downloaded with the application from <a href="http://www.grants.gov">www.grants.gov</a> , in Appendix A.	10% .....	Minimum 80% ...	Maximum 10%.
Operation Lead Elimination Action Program (LEAP).	For-profit and non-profit entities; colleges and universities; and national and local groups. For profit institutions are not allowed to earn a fee.	None .....	Minimum 65% ...	Maximum 10%.

*B. Cost Sharing and Match*

This section applies to all three grant programs. See Chart above for statutory match requirements. Match and Leverage Guidance in *Appendix B* can be downloaded with the application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If an applicant does not meet the minimum requirements of 10 percent match for LBPHC it will be considered ineligible for an award.

Under Rating Factor 4, Leveraging, HUD provides rating points to applicants that documenting additional resources to increase the scope or effectiveness of the proposed program activities. For the LBPHC and LHRD that have a required match, HUD will award points to applicants that provide additional resources over required match amount. For LEAP applicants, which has no matching requirement, HUD will award points based upon the amount of resources that are leveraged by the applicant. The larger the amount of funds or in-kind services that are secured by the applicant, the higher the number of points that will be awarded under Rating Factor 4. For all programs, match and/or leverage contributions may be in the form of cash including private sector funding, or in-kind (non-cash) contributions or a combination of these sources. With the exception of Community Development Block Grant (CDBG) funds, or other programs that allow their funds to be considered local funds and therefore eligible to be used

as matching funds, federal funds may not be used to satisfy any statutorily required matching requirement, as applicable. Both CDBG and other local funds must be used for otherwise eligible grant-related lead hazard control activities to be eligible as match or leverage funds. For cash and in kind match and leveraged contributions, the applicant must submit a letter of commitment, signed by an official of the organization legally able to make commitments on behalf of the organization. The letter must indicate the amount and source, and detail how the contribution will support the proposed grant program. The signature of the authorized official on the Form SF-424 is deemed as official documentation of commitment of match or other contributed resources of the applicant organization. A separate letter from the applicant organization is not required. For LEAP applicants, a leveraged resource only from the private sector is considered eligible. All matching and leveraged contributions shall be used for the same purposes as allowed for by the federal funds.

*C. Other*

1. Eligible Costs and Activities. This section applies to all three grant programs unless otherwise specified.

All lead hazard control activities funded under the LBPHC, LHRD and LEAP must be conducted in compliance with the applicable requirements of HUD's Lead-Safe Housing Regulation,

24 CFR part 35, and the companion Interpretive Guidance publication. Activities must also comply with any additional requirements in effect under a state or Tribal Lead-Based Paint Training and Certification Program that has been authorized by the EPA pursuant to 40 CFR 745.320.

There are, in general, four categories of eligible costs under each competitive grant program included in this NOFA: (1) Direct costs for lead-based paint hazard identification and control activities, (2) other direct costs, (3) indirect costs, and (4) administrative costs.

a. Definition of Direct Costs and Description of Lead-Based Paint Hazard Identification and Control Activities.

Direct costs are defined as the allocable portion of allowable costs incurred directly for the purposes of the grant. Direct costs for lead hazard control activities consist of lead dust, soil and paint-chip testing and associated laboratory costs, the purchase or lease of a maximum of two X-ray fluorescence analyzers (if not otherwise available), and XRF maintenance, lead paint inspection and risk assessments, interim controls, abatement of lead-based paint or lead-based paint hazards (see section C.1(a)(4)(b) for abatement limitations), occupant protection and temporary relocation of occupants when lead hazard control work supported by this program is conducted in a unit, and clearance examinations. Direct costs for

lead-based paint hazard identification and control activities do not include universal blood lead testing, housing rehabilitation beyond what is specifically required to carry out effective lead hazard control, training, community education and outreach, applied research and purchase of supplies or equipment and administrative costs. Eligible activities to meet the minimum 65% (LBPHC and LEAP) or 80% (LHRD) direct lead hazard control costs, as applicable, are as follows:

(1) Performing lead dust, soil and paint-chip testing, lead-based paint inspections, risk assessments, clearance examination, and engineering and architectural activities that are required for, and in direct support of, interim control and lead hazard abatement work, of eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures.

(2) All laboratory analysis in support of required testing and evaluation under this NOFA must be conducted by a laboratory recognized for the analysis by the EPA National Lead Laboratory Accreditation Program (NLLAP).

(3) All lead-based paint testing results, summaries of lead-based paint hazard control treatments, and clearances must be provided to the owner of the unit, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers. Grantee files must contain verifiable evidence of providing lead hazard control reports, such as a signed and dated receipt. Refer to 24 CFR 35.125 of the Lead Safe Housing Regulation.

(4) All lead-based paint hazards identified in housing units and in common areas of multifamily housing enrolled in this grant program must be controlled or eliminated by either of the following strategies or a combination of the two;

(a) Interim Controls. According to the HUD Guidelines, interim controls of lead-based paint hazards including lead-contaminated dust and soil in housing must include specialized cleaning techniques to address lead dust.

(b) Lead-Based Paint Hazard Abatement. Abatement of all lead-based paint or lead-based paint hazards is generally authorized only in states or localities that require complete abatement by law. HUD does not consider abatement of all lead-based paint to be cost effective in most circumstances; therefore, a grantee must make a special request in writing prior

to conducting complete abatement of lead-based paint or lead-based paint hazards. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure (i.e., the drip line or foundation of the unit being treated, and children's play areas).

(5) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. These grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs, to the extent practicable. HUD encourages integration of this grant program with housing rehabilitation, maintenance, weatherization, and other energy conservation activities.

(6) Carrying out temporary relocation of families and individuals while the remediation is conducted and until the time the affected unit receives clearance for re-occupancy. See Section III.C.4.e, Real Property Acquisition and Relocation of the General Section and Section VI.B.4 of this NOFA for discussion of regulations that apply when relocating families.

#### b. Description of Eligible Other Direct Costs.

(1) Purchasing or leasing equipment having a per-unit cost under \$5,000 (except for the purchase or lease of up to two X-ray fluorescence analyzers used by the grant program).

(2) Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors.

(3) Conducting pre-hazard control blood lead testing of children under six years of age residing in or frequently visiting units undergoing lead hazard control work.

(4) Conducting targeted outreach, affirmative marketing, education or outreach programs on lead hazard control and lead poisoning prevention designed to increase the ability of the program to deliver lead hazard control services including educating owners of rental properties, tenants, and others on the Residential Lead-Based Paint Hazard Reduction Act, Lead-Safe Housing Rule, and applicable provisions of the Fair Housing Act especially as it pertains to familial status (e.g., families with children) and disability discrimination, offering educational materials in languages that are common in the community other than English, consistent with HUD's published Limited English Proficiency (LEP) Recipient Guidance, 68 FR 70968, and

providing training on lead-safe maintenance and renovation practices and management. Upon request, this also would include making all materials available in alternative formats to persons with disabilities (e.g., Braille, audio, and large type).

(5) Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such data as may be required by HUD.

(6) Preparing a final report at the conclusion of grant activities.

(7) Providing resources to build capacity for lead-safe housing and lead hazard control, including free delivery of HUD-approved lead-safe work practices training courses for housing rehabilitation contractors, rehabilitation workers, homeowners, renters, painters, remodelers, maintenance staff, and others conducting renovation, rehabilitation, maintenance or other work in private housing; free delivery of lead sampling technician training, lead-based paint worker or contractor certification training; and subsidies for licensing or certification fees to low-income persons seeking credentials as lead-based paint workers or contractors or lead sampling technicians.

(8) Conducting planning, coordination, and training activities to comply with HUD's Lead-Safe Housing Regulation (24 CFR part 35, subparts B-R). These activities should support the expansion of a workforce properly trained in lead-safe work practices that is available to conduct interim controls on HUD-assisted housing covered by these regulations.

(9) Conducting outreach and related activities that will result in increased lead hazard control activities in low-income privately owned or owner-occupied housing with lead-based paint hazards. For LEAP grants, outreach and/or related activities, must be tied to a leveraging strategy.

(10) Participating in applied research, studies, or developing information systems to enhance the delivery, analysis, or conduct of lead hazard control activities, or to facilitate targeting and consolidating resources to further childhood lead poisoning prevention efforts.

c. For reference to the Administrative Cost requirements, please see Appendix D, which can be downloaded with the application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

d. For reference to the Indirect Cost requirements see Appendix C, which can be downloaded with the application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

2. Eligibility of HUD-Assisted Housing. The Table 10, "Eligibility of HUD Assisted Housing," that lists the housing units that may participate under each of the three competitive programs detailed in this NOFA can be downloaded with the application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

3. Threshold Requirements. To be an eligible applicant, you must meet all of the threshold requirements in Section III.C of the General Section as well as any specific threshold requirements listed in this subsection. Applications will not be funded if they do not meet the threshold requirements.

a. Applicants under the Lead-Based Paint Hazard Control and Lead Hazard Reduction Demonstration Programs are required to match 10 percent of the funds requested with other funds or resources. There is no match requirement for LEAP.

b. Applicants under the Lead Hazard Reduction Demonstration Program must be a city, county, Native American Tribe, or other unit of local government. The applicant must have at least 3,500 pre-1940 occupied rental housing units, as listed at the 2000 Census Web site identified in Form HUD 96013, Need/Extent of the Problem. A list of eligible applicants can be downloaded with the application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). In addition, a State may apply on behalf of one or more of the eligible local jurisdictions if it has an EPA-authorized lead-based paint training and certification program. There is no minimum threshold requirement for the number of pre-1940 occupied units for LBPHC or LEAP.

c. All applicants under the Lead Hazard Reduction Demonstration Program must provide the actual number of children with documented elevated blood levels residing within the jurisdiction(s) where the lead hazard control work will be conducted for the most recent twelve-month period available since January 1, 2003 and identify the source of the data. Failure to provide these data will result in the application not being rated or ranked.

d. EPA Authorization. If you are a state government or Native American Tribal government, you must have an EPA-authorized Lead-Based Paint Training and Certification Program in effect, on the application deadline date, to be eligible to apply for Lead Based Paint Hazard Control and Lead Hazard Reduction Demonstration Grant funds. The approval date in the **Federal Register** notice published by the EPA will be used in determining the Training and Certification status of the applicant

state or Native American Tribal government. If you do not have an EPA authorized program on the application submission date, the application will not be rated or ranked. Further, if you do not have an EPA authorized program on the grant award date, you will not be awarded a grant under this NOFA.

e. Consolidated Plans. (This requirement does not apply to Native American Tribes.) You must submit, as an appendix, the current lead-based paint element from the approved Consolidated Plan of the jurisdiction(s) where the lead-based paint hazard control will be conducted. In lieu of submitting a hard copy of the lead-based paint element from the current consolidated plan(s), you may substitute a Web site address. The Web site must contain the lead-based paint element of the current Consolidated Plan(s). If the jurisdiction does not have a currently approved Consolidated Plan, but is otherwise eligible for LBPHC and LHRD grant programs, you must include the jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235. You should include the discussion of any lead-based paint issues in your jurisdiction's Analysis of Impediments, particularly as it addresses your target areas.

f. An applicant requesting a grant amount greater than the maximum grant award amount will be deemed ineligible and not reviewed or rated.

g. Applications that do not have either a narrative response to the rating factors or form HUD-424 CBW Budget worksheet will not be reviewed or rated.

h. Fiscal Year 2006 awardees of LBPHC, LHRD, reopened LHRD, or LEAP grants, are not eligible to apply for any of these three programs during this competitive NOFA cycle.

i. Applicants may submit up to one application for each of the competitive programs covered by this NOFA for which they are eligible.

#### 4. Environmental Requirements

a. Recipients of Lead-Based Paint Hazard Control Grants and Lead Hazard Reduction Demonstration grants must comply with 24 CFR part 58, Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities, and must carry out environmental review responsibilities as a responsible entity under part 58.

b. Work on properties assisted with LEAP funds under this NOFA is covered by the provisions of section 305(c) of the Multifamily Housing Property Disposition Reform Act of 1994, which are implemented by HUD regulations at

24 CFR part 50. Under part 50, a responsible entity, usually a local government unit, must assume the environmental review responsibilities for activities funded under LEAP. Under 24 CFR 50.3(h), if a responsible entity or the recipient objects to the responsible entity performing the environmental review for LEAP activities, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50.

c. For all grants under this NOFA, recipients and other participants in the project are prohibited from undertaking, or committing or expending HUD or non-HUD funds (including leveraged or match funds) on a project or activities under this NOFA (on activities other than listed in 24 CFR 58.34, 58.35(b) or 58.22(f)) until the responsible entity completes an environmental review and the applicant submits and HUD approves a Request for the Release of Funds and the responsible entity's environmental certification (both on form HUD 7015.15). In the case of LEAP grants, the grantee must await HUD's completing the review and notifying the grantee of the approval of the environmental review before initiating work. The results of the environmental review may require that proposed activities be modified or proposed sites may be rejected. The results of the environmental reviews may require that proposed activities be modified or proposed sites rejected. For part 58 procedures, see <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>. For assistance, contact Edward Thomas, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (215) 861-7670 (this is not a toll-free number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a grant under these funded programs will be given additional guidance in these environmental responsibilities.

5. Administrative and Other Requirements. If awarded a grant, you must comply with the requirements and maintain appropriate documentation to demonstrate compliance with the requirements specified below. The requirements apply to all grant programs unless otherwise specified.

a. Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992), Section 1011. Section 217 of Public Law 104-134 (the Omnibus Consolidated

Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) amended Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) to read as follows:

“Section 1011. Grants for Lead-Based Paint Hazard Reduction in Target Housing

“(a) General Authority. The Secretary is authorized to provide grants to eligible applicants to evaluate and reduce lead-based paint hazards in housing that is not federally assisted housing, federally owned housing, or public housing, in accordance with the provisions of this section. Grants shall only be made under this section to provide assistance for housing that meets the following criteria—

“(1) for grants made to assist rental housing, at least 50 percent of the units must be occupied by or made available to families with incomes at or below 50 percent of the area median income level and the remaining units shall be occupied or made available to families with incomes at or below 80 percent of the area median income level, and in all cases the landlord shall give priority in renting units assisted under this section, for not less than 3 years following the completion of lead abatement activities, to families with a child under the age of six years, except that buildings with five or more units may have 20 percent of the units occupied by families with incomes above 80 percent of area median income level;

“(2) for grants made to assist housing owned by owner-occupants, all units assisted with grants under this section shall be the principal residence of families with income at or below 80 percent of the area median income level, and not less than 90 percent of the units assisted with grants under this section shall be occupied by a child under the age of six years or shall be units where a child under the age of six years spends a significant amount of time visiting.”

(1) Trained and Certified Professionals. Funded activities must be conducted by persons qualified for the activities according to 24 CFR part 35, subparts B–R (possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians, or others having been trained in a HUD-approved course in lead-safe work practices).

(2) Lead hazard evaluation and control work must be conducted in compliance with HUD’s Lead Safe Housing Rule, 24 CFR part 35, the HUD Guidelines, and applicable federal, state and local regulations and guidance.

(3) You must document the income and family composition of occupants of units assisted to meet Title X requirements. Identify the key staff who will certify as to the eligibility of each unit assisted under the grant based on the determination of income, and when required, the presence of a child under six years of age.

6. Prohibited Practices. You must not engage in the following prohibited practices:

- a. Open flame burning or torching;
- b. Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- c. Uncontained hydroblasting or high-pressure wash;
- d. Abrasive blasting or sandblasting without HEPA exhaust control;
- e. Heat guns operating above 1,100 degrees Fahrenheit;
- f. Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and
- g. Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

7. Written Policies and Procedures. You must have clearly established, written policies and procedures for eligibility, program marketing, unit selection, expediting work on homes occupied by children with elevated blood lead levels, and all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, temporary relocation and clearance examination. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

8. Continued Availability of Lead-Safe Housing to Low-Income Families. Units in which lead hazards have been controlled under this program shall be occupied by or continue to be available to low-income residents as required by Title X (Section 1011). You must maintain a publicly available registry (listing) of units in which lead hazards have been controlled and ensure that these units are affirmatively marketed to agencies and families as suitable housing for families with children less than six years of age. The grantee must also provide the owner with the lead hazard evaluation and control information generated by activities under this grant, so that the owner can comply with his/her disclosure

requirements under 24 CFR part 35, Subpart A.

9. Testing. In developing your application budget, include costs for lead paint inspection, risk assessment, and clearance examination for each dwelling that will receive lead hazard control, as follows:

a. General. All testing and sampling shall comply with the Lead Safe Housing Rule and conform to the current HUD Guidelines, the EPA lead hazard standards at 40 CFR part 745, and federal, state, or tribal regulations developed as part of the appropriate contractor certification program, whichever is most stringent.

b. Lead-Based Paint and Lead-Based Paint Hazard Identification. A lead-based paint inspection and risk assessment is required.

c. Clearance Testing. If rehabilitation is conducted in conjunction with lead hazard control, clearance may be conducted either after the lead hazard control work is completed, and again after any subsequent rehabilitation work is completed, or after all of the lead hazard control and rehabilitation work is completed. Clearance shall be successfully completed before re-occupancy.

10. Blood lead testing. Each child under six years of age should be tested for lead poisoning within the six months preceding the lead hazard control work. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention (CDC) publications Preventing Lead Poisoning in Young Children (1991), and Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials (1997).

11. Cooperation With Related Research and Evaluation. You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or another government agency associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal. Participant data shall be subject to the Privacy Rule of the Health Insurance Portability and Accountability Act of 1996 (HIPAA). HIPAA and the Privacy Rule can be found at [www.hhs.gov/ocr/hipaa](http://www.hhs.gov/ocr/hipaa).

12. Data Collection. You shall collect, maintain, and provide to HUD the data

necessary to document and evaluate grant program outputs and outcomes.

13. Financial Control. Financial control systems shall be established including methods and procedures to ensure that only grant eligible expenses are charged to the grant as reimbursable expenses or project match; that appropriate documentation of time worked on and charged to the grant is maintained; that no more than 10 percent of grant funds are used for administrative costs and that indirect cost allocation plans are updated annually.

14. Section 3 Employment Opportunities. Please refer to Section III.C of the General Section. The requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) are applicable to this program. This sub-factor will be evaluated on the extent to which an applicant describes how it proposes to:

- Provide opportunities to train and employ Section 3 residents; and
- Award contracts to Section 3 contractors, as each of those terms is defined in the regulations, 24 CFR Part 135. Applicants that demonstrate their responsiveness to the section 3 requirements may receive up to 2 points (see Rating Factor 3). Annual submission of Form HUD-60002 is required. Regulations regarding the provision of Section 3 of the Housing and Urban Development Act of 1968 can be located at 24 CFR Part 135.

15. Replacing Existing Resources. Funds received under the grant programs covered under this NOFA shall not be used to replace existing community resources dedicated to any ongoing project.

16. Certifications and Assurances. By signing the SF-424, you are agreeing to the certifications and assurances listed in the General Section and this NOFA.

17. Code of Conduct. If awarded assistance, you will be required, prior to entering into a grant agreement with HUD, to submit a copy of your Code of Conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your Code of Conduct. An applicant who submitted an application during FY2005 or FY2006 and included a copy of its code of conduct *will not* be required to submit another copy if the applicant is listed on HUD's Web site <http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>. An applicant must also include a copy of its code of conduct if the information listed on the above Web site has changed (e.g., the person who submitted the previous application is no longer your authorized

organization representative, the organization has changed its legal name or merged with another organization, or the address of the organization has changed, etc.). Refer to the General Section for further information about the Code of Conduct requirements.

18. Lead-Safe Work Practice Training Activities. Under the Lead-Based Paint Hazard Control Grant Program, you are encouraged to provide resources to promote the expansion of a workforce that is:

- Properly trained in lead-safe work practices;
- Available to conduct interim controls and/or lead hazard abatement;
- Able to follow lead-safe work practices while performing work on HUD assisted housing units; and
- Able to safely repair, rehabilitate, and maintain other privately owned residential property.

19. Coordination among Critical Agencies.

a. Under the Lead-Based Paint Hazard Control or Lead Hazard Reduction Demonstration programs, you shall participate in the state-wide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning as a major public health problem by 2010, or assist in the development of a plan in states or localities that do not have such a plan. The CDC strategic elimination plans for state and local childhood lead poisoning prevention programs can be downloaded from <http://www.cdc.gov/nceh/lead/StrategicElimPlans/strategicplans.htm>. Additionally, if awarded lead hazard control or lead hazard demonstration funds, you shall enter into or extend existing collaborative arrangements with childhood lead poisoning prevention programs among health agencies, housing agencies, community development agencies, and code enforcement agencies (or equivalent) for their target area(s), local jurisdiction(s), and, for state or tribal applicants, with their state or tribal health agencies, housing agencies, development agencies, and code enforcement agencies (or equivalent). Arrangements must describe how the health department and the housing and/or development agency have or will consider enrolling housing units (or multifamily buildings) in which one or more children under age 6 years have elevated blood lead levels, with priority to housing where repeated and/or severe cases of childhood lead poisoning have occurred. HUD encourages LEAP applicants to enter into such agreements.

20. Work Plan. Upon award, you shall develop a work plan including

measurable quarterly performance goals and specific time-phased objectives for each of the major activities and tasks required to execute the project. These major activities and tasks are outlined in the Quarterly Progress Reporting System (Form HUD-96006) and include: Program Management and Capacity Building including data collection and program evaluation; Community Education, Outreach and Training; and Lead Hazard Activities including testing, interventions, and temporary relocation.

a. Describe how lead hazard units, especially those known to house elevated blood lead level children under six years of age, will be identified, selected, prioritized, and considered for treatment under this grant and/or other programs of the grantee or grantee's team members. An elevated blood lead level is defined as an excessive absorption of lead that is a confirmed concentration of ten (10) micrograms of lead per deciliter of whole blood.

You must demonstrate how you consider housing units identified by local health and child welfare agencies where incidences of childhood lead poisoning have occurred, particularly those where multiple poisonings have been reported, for enrollment into lead hazard control treatment programs, as well as demonstrate the use of other sources of information on high priority housing:

b. Your work plan should address your jurisdiction's Consolidated Plan goals for pursuing community planning and development and housing programs relative to lead and other housing-related issues that affect the health of residents. The work plan must include a detailed strategy to:

(1) Obtain data from state or local health departments or from families themselves (either directly, for example, through service organizations that families distribute their information) on the addresses of housing units in which children have been identified as lead poisoned, as required by 24 CFR 91.100(a)(2).

(2) Continue or enter into collaborative agreements or arrangements with applicable state or local health and child welfare agencies, community development organizations, and housing agencies and/or other housing organizations to team with HUD Lead-Based Paint Hazard Control, Lead Hazard Reduction Demonstration, and LEAP grantees to identify and address childhood lead poisoning in the jurisdiction collaboratively, and describe the methods for coordinating among these agencies.



(3) Demonstrate specific steps and/or actions that will be taken to ensure that other resources in the community are utilized to increase funding, provide training, and to link with other local programs engaged in lead hazard control activities.

(4) Describe how the project will be managed, and the timeline for staffing the program, establishing a lead-based paint contractor pool, and obtaining HUD approval for the Request for the Release of Funds (HUD Form 7015.15).

(5) Describe how assistance and funding will flow from you to the actual performers of the hazard reduction work.

(6) Describe the selection process for sub-grantees, sub-contractors, or sub-recipients.

(7) Describe the financing mechanism used to support lead hazard control work in units (name of administering agency, eligibility requirements, type of financing, etc.), any owner matching requirement, and the terms, conditions, and amounts of assistance available, include affordability terms and provisions for forgiveness and recapture of funds.

(8) Perform combined lead-based paint inspection and risk assessment procedures using the HUD Guidelines, applicable sections of the Lead Safe Housing Rule and use EPA standards to identify lead hazards and to conduct clearance testing.

(9) Describe the process for developing work specifications and bids on properties selected for lead hazard control work.

(10) The specific intervention methods and clearance procedures to be conducted for units enrolled and treated.

(11) The number of rental-occupied, vacant, and owner-occupied units, including the number of single-family and multifamily units, proposed for interim controls and hazard abatement.

(12) The occupant protection and relocation plan for residents required to be out of their homes during hazard control activities. The relocation should be in accordance with Section III.C.4.e.

(13) The outputs and overall outcomes for community education, outreach, and training activities, including the nature and number of events and the number of individuals to receive education, outreach, and training.

(14) The blood lead testing and other measures to be undertaken to protect children under six years of age and other occupants of units undergoing lead hazard control work.

(15) The evaluation process used to measure program performance, with

particular attention given to program performance in the five key areas evaluated by OHHLHC on a quarterly basis (NOFA Rating Factor 5 response): number of units inspected and risk assessed; number of units cleared of lead hazards; the amount of grant funds disbursed through HUD's Line of Credit Control System (LOCCS); the number of persons reached through outreach and education efforts; and the number of persons trained in lead hazard control courses. For LEAP only, the quarterly assessment will include one additional performance measure, which is the amount of leverage.

(16) The grantee's accounting, finance, and internal audit procedures;

(a) Procedures for tracking funds obtained through government resources (including HUD, other federal agencies, and state and local governments), match and leverage; and

(b) Procedures for the procurement process and the reimbursement process of vendors, contractors, and sub-grantees.

(17) Quarterly performance benchmarks. The benchmarks identified in the work plan for a 36-month period of performance are on the Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008. (You can download Form HUD-96008 from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp), in the application instructions download section.) All applicants are required to complete the Factor 3 Table—Soundness of Approach, and the Work Plan Development Worksheet with Minimum Benchmark Standards for 36 Months—Form HUD-96008 for the purposes of developing your work plan. Applicants selected for award may be asked to modify the work plan to reflect agreed upon benchmarks determined during pre-award negotiations.

21. Detailed Budget. Submit a detailed budget that identifies the total budget (federal share and matching and/or leverage contribution) on Form HUD-424 CBW and budget and cost justification narrative for all budget categories of your grant request. You must provide a separate estimate for the overall grant management element (Administrative Costs), which is more fully defined in Section IV.E of this NOFA. All applicants must provide a detailed budget for any subcontractors, sub-grantees, or sub-recipients receiving greater than 10 percent of the federal budget request. In the event of a discrepancy between grant amounts requested in various sections of the application, the amount you indicate on

the Form SF-424 will govern as the correct value.

22. Institutional Review Board (IRB). Indicate if your program includes conducting research involving human subjects in a manner which requires IRB approval and periodic monitoring under 24 CFR part 60, which incorporates the Department of Health and Human Service's regulations, at 45 CFR part 46. For additional information on what constitutes human subjects' research or how to obtain an institutional assurance, see the Department of Health and Human Services, Office of Human Research Protection (OHRP) Web site at <http://www.hhs.gov/ohrp/>.

#### IV. Application and Submission Procedures

##### A. Address to Request Application Package

See the General Section for specific procedures concerning the electronic application submission requirements. The application and Instructions are available at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If you have difficulty accessing the information, you may call the help desk help line at (800) 518-GRANTS or e-mailing [support@grants.gov](mailto:support@grants.gov).

Guidebook and Further Information: HUD provides a Desktop User Guide to Find, Register and Apply for Grant Opportunities using Grants.gov. The Desktop User Guide is available on HUD's Web site at <http://www.hud.gov/utilities/intercept.cfm?offices/adm/grants/deskuserguide.pdf>. If you have difficulty accessing the information, you may call HUD's NOFA Information Center at (800-HUD 8929). If you are a hearing-or speech-impaired person, you may request the information by telephone TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

##### B. Content and Form of Application Submission

Applicants eligible to apply under this NOFA are to follow the submission requirements described below:

#### 1. Applicant Information

##### a. Application Format.

(1) Application including narrative responses, attachments, tables, appendices, and other required forms should be limited to a total of 150 pages. Number all pages of the application sequentially from page 1 to the end of the application, including charts, figures, tables and appendices. If the application exceeds the 150-page limit and has no page numbers, HUD will consider only the first 150 pages it

prints for review (forms will be counted first).

(2) The application narrative response to the Rating Factors is limited to a maximum of 20 pages (excluding appendices and worksheets) of size 8½" x 11" using a 12-point (minimum) font with not less than 1" margins on all sides.

(3) Materials provided in the appendices should directly refer to the specific rating factor narrative. Applicants are strongly urged to not submit information that is not required and/or requested in the NOFA or relevant to a specific narrative response. The narrative rating responses should be submitted as a single Microsoft Word document file. All attachments must identify the related factor in the footer by providing the rating factor and the page number (e.g., Factor 1 Attachment, pg. 1), and should be submitted as a single zip file attachment to the electronic application.

b. Information contained in the abstract will not be considered in the evaluation and scoring of your application.

c. Application Checklist (Voluntary). Your application must contain all of the required information requested in this NOFA and the General Section. These items include the standard forms, and the certifications and assurances listed in the General Section that are applicable to this NOFA. The forms required for application submission and instructions can be found in the application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). The "Checklist and Submission Table of Contents" below includes a list of the required items needed for submitting a complete application and receiving consideration for funding.

Checklist and Submission Table of Contents (Counts Towards the 150 Page Limit)

- Application Checklist (paper copy applications only)
- Applicant Abstract (limited to a maximum of 2 pages)
- Rating Factors Response (limited to a maximum of 20 narrative pages plus the following forms):

1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD-96012;
2. Needs/Extent of the Problem—Form HUD-96013;
3. Soundness of Approach (Work Plan/Budget)—Form HUD-96014;
4. Leveraging and Matching Resources—Form HUD-96015; and
5. Achieving Results and Program Evaluation—Logic Model—Form HUD-96010.

Other Materials in Support of Rating Factors

- Application for Federal Assistance—Form SF-424;
- Survey on Ensuring Equal Opportunity for Applicants—Form SF-424 Supplement (Faith Based EEO Survey (SF-424 SUPP) on Grants.gov);
- Grant Application Detailed Budget (HUD Detailed Budget Form on Grants.gov) and Worksheet HUD-424 CBW, Total Budget (Federal Share and Matching) and Budget Justification Narrative;
- Applicant/Recipient Disclosure/Update Report—Form HUD-2880 (HUD Applicant Recipient Disclosure Report on Grants.gov);
- Certification of Consistency with the RC/EZ/EC-II Strategic Plan—Form HUD-2990;
- Certification of Consistency with the Consolidated Plan—Form HUD-2991;
- Disclosure of Lobbying Activities (if applicable)—Form SF-LLL;
- Development Worksheet with Minimum Benchmark Standards (36 Months) Form HUD-96008;
- Match and Leverage Documentation; Third Party Documentation Facsimile Transmittal (Facsimile Transmittal Form on Grants.gov)(for electronic applications)—Form HUD-96011;
- Questionnaire for HUD's Removal of Regulatory Barriers (HUD Communities Initiative Form on Grants.gov)—Form HUD-27300, including required documentation or URL references;
- You Are Our Client Survey—Form HUD-2994-A (optional); and
- Threshold Requirements (Refer to Section III.C of the General Section, and Section III.C.3, Threshold Requirements, of this NOFA).

C. Submission Dates and Times. The application must be received and validated by Grants.gov no later than 11:59:59 p.m. eastern time on the deadline date. Please note that the validation process may take up to 72 hours. Refer to the General Section for timely submission requirements.

D. Intergovernmental Review: Not required.

#### E. Funding Restrictions

1. Administrative Costs. There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix D of this NOFA at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

2. Ineligible Activities. You may not use grant funds for any of the following activities:

- a. Purchase of real property.
- b. Purchase or lease of equipment having a per-unit cost in excess of \$5,000, except for the purchase and lease of up to two X-ray fluorescence analyzers used by the grant program.
- c. Chelation or other medical treatment costs related to children with Elevated Blood Lead levels (EBLs). Non-federal funds used to cover these costs may be counted as part of the required matching contribution.
- d. Lead hazard evaluation or control activities in publicly-owned housing, or project-based Section 8 housing (this housing stock is not eligible under Section 1011 of the Lead-Based Paint Hazard Reduction Act).
- e. Lead hazard evaluation or control activities in housing covered by a settlement agreement, consent decree, court order or other similar action by HUD or EPA regarding the Lead Disclosure Rule (24 CFR part 35, Subpart A, or the equivalent 40 CFR part 745, subpart F), or by HUD regarding its Lead Safe Housing Rule (24 CFR part 35, subparts B–R).
- f. Presumption of the presence of lead-based paint or lead-based paint hazards. A lead-based paint inspection and risk assessment are required.
- g. Activities that do not comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

h. Lead-hazard control or rehabilitation of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128) as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59–79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

F. Other Submission Requirements: Applicants are required to submit applications electronically via the Web site <http://www.grants.gov>. See the General Section for additional information on the electronic process and how to request a waiver from the requirement, if necessary. Applicants

should submit their waiver requests in writing by e-mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to Jonnette Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, *Jonnette\_G.\_Hawkins@hud.gov*. If you are granted a waiver of the electronic application submission requirement, the application must be received by HUD no later than 11:59:59 p.m. on the application deadline date. The waiver approval notification will provide further information on where to send the application and the number of copies to be provided.

## V. Application Review Information

A. Criteria: The following section applies to all applicants unless otherwise specified.

### 1. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points maximum for all applicants)

All applicants.

a. *Capacity of the Applicant (10 points)*. This rating factor addresses your capacity to successfully implement the proposed activities. The applicant must demonstrate that it has sufficient personnel or will actively retain qualified experts or professionals, and is prepared to perform lead-based paint hazard evaluation, lead-based paint hazard control intervention work, and other proposed activities within 120 days of the effective date of the grant award. HUD reserves the right to terminate the grant if sufficient personnel or qualified experts are not retained to actively perform these program activities within this 120-day period. All applicants must respond to this Rating Factor, including completing the Factor 1 Table. The "applicant" includes the applicant organization as a whole, and the applicant staff, including key personnel responsible for implementing the program.

Applicants are to list by name and/or position title all key personnel, whether currently vacant or contingent upon an award, including the percentage of time to be dedicated to the proposed program. Key personnel should include, at a minimum, one Project Director and one Program Manager. The applicant must describe the relevant knowledge and experience of the Project Director and Program Manager, and any additional key personnel, who will carry out program activities, including the time commitment of each to the proposed program. The day-to-day

Program Manager must be experienced in the management of housing rehabilitation or lead hazard control, childhood lead poisoning prevention, or similar work involving project management, and must be dedicated to the proposed program for a minimum of 75 percent of the time. The applicant must describe the roles and responsibilities of each key personnel, including any/all relevant current or previous experience in the planning and management of large, complex and interdisciplinary programs involving housing rehabilitation, lead hazard control, childhood lead poisoning prevention, or similar work. Resumes (maximum three pages each for up to three key personnel) or position descriptions for those key personnel to be hired, and organizational charts for the grant program must be submitted as an appendix. Similarly, applicants must list and describe sub-grantees, sub-contractor organizations, sub-recipients and consultants that will provide services and carry out critical activities for the proposed grant program. Provide the capacity of the above entities as demonstrated by experience in initiating and implementing related environmental, health, or housing projects. List key personnel from each sub-grantee or sub-contractor organization who will provide services, their respective roles and responsibilities on the proposed program and the time commitment to the proposed program.

### b. Relevant Organization Experience (10 points).

(1) New Applicants. Your organizational capacity should be demonstrated by describing prior experience in initiating and implementing lead hazard control or related environmental, health or housing programs. Include a table that lists the relevant and most recent experience in initiating and implementing lead hazard control efforts and or related environmental, health or housing programs and/or grants awarded (which may also include philanthropic/foundation awards for LEAP applicants). Provide examples of relevant programs that you currently manage or have previously managed within the past three years (e.g., Lead Hazard Control, CDBG Housing Rehabilitation, Childhood Lead Poisoning Prevention Program, Healthy Homes Demonstration, Weatherization, LEAP, etc). Include the following details for each project:

- Title of the project
- Start and end date of the project
- Funding Agency

- Name of the Project Director and Program Manager

- Dollar amount of the project
- Project goals and deliverables
- Whether or not the project was completed on time and all goals achieved

- Discussion of significant obstacles and how they were resolved
- If grant's performance was rated, the final rating received HUD's evaluation process will consider an applicant's past performance record as reported to HUD in effectively organizing and managing its grant operations, in meeting performance and work plan benchmarks and goals, and in managing funds, including its ability to account for funds appropriately, the timely use of funds received either from HUD or other federal, state or local programs, and meeting performance milestones. HUD may also use other information relating to these items from sources at hand, including public sources such as newspapers, Inspector General or Government Accountability Office Reports or Findings, hotline complaints, or other sources of information that possess merit.

(2) Current or previous grantees under any of this NOFA's programs: HUD will evaluate the applicant's quarterly performance reports for the most recent four (4) quarters, and award a maximum of 10 points based on the performance ratings.

### 2. Rating Factor 2: Need/Extent of the Problem (20 points maximum for Lead-Based Paint Hazard Control and Lead Hazard Reduction Demonstration Programs, and 10 points maximum for LEAP).

This factor refers to whether or not the community where eligible lead hazard control activities will be conducted has significant lead-based paint hazards to be addressed and an urgent need exists for HUD funding to address the problem in the identified target area(s). A target area is the area in which you will be performing lead hazard control activities; the area may be a whole jurisdiction, or, if a portion of a jurisdiction is being targeted, a specific set of Census tracts. Each applicant will be evaluated and scored in this rating factor based on documented need as evidenced by thorough, credible, and applicable data and information. For you to receive maximum points for this rating factor there must be a direct and substantial relationship between your proposed lead hazard control activities, the Consolidated Plan's lead element, and the documented community needs. Since an objective of the program is to

prevent at-risk children from being poisoned, specific attention must be paid to documenting the identified need as it applies to any selected targeted area(s). The applicant shall complete the Factor 2 Table—Need/Extent of the Problem.

Multiple tables (one per target area) are permissible. Provide the number of children less than 6 years of age in the target area(s). You must identify the Census 2000 tract numbers for each target area that is smaller than your jurisdiction. The data submitted to HUD may be verified using data available from the Census <http://factfinder.census.gov>, HUDuser <http://www.huduser.org/datasets/il/fmr99rev/hud99revmd.txt>, and other sources available to HUD. Points will be awarded in this rating factor based on the information documenting the number of children with an elevated blood lead level, the number of pre-1940 housing units, the number and percentage of families with incomes at or below 80% of the Area Medium Income as determined by HUD within your jurisdiction and/or target areas, and other socioeconomic or environmental factors in the applicants target area(s).

a. Points will be awarded based on the documented number of children with an EBL entered in the Rating Factor 2 table. Documented Number of Children with an Elevated Blood Lead (EBL) (5 Points Maximum for LBPHC and LHRD Programs, and 3 Points Maximum for LEAP). See Rating Factor 2—Table 1 (LBPHC), Table 2 (LHRD) and Table 3 (LEAP) for “Points Awarded for the Number of Children Under 6 Years of Age with an Elevated Blood Lead Level in the Applicant’s Target Area(s),” that can be downloaded for each grant program from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Provide the Census tract numbers for each target area that is smaller than your jurisdiction area(s). Provide the actual number of children documented as having an elevated blood lead (EBL) residing within the target area and within the jurisdiction where the lead hazard control work will be conducted for the most recent complete calendar year and identify the source of the data. HUD will accept data for the most recent 12-month period available since January 1, 2003. States must report the number in each target area and each city, county, or other area where funds will actually be used. (Data are needed just in the application, and are not required during or after grant completion.) Consortia of local governments must report the number in the cities or counties making up the

consortium. For the purposes of this application, the “documented number of children” with an EBL is based on the CDC level of concern. Failure to provide this number in the application means that no points will be awarded for this sub-factor.

b. Points will be awarded based on other socioeconomic or environmental factors in the applicants target area(s). (Maximum 5 points for Lead-Based Paint Hazard Control and Lead Hazard Reduction Demonstration Programs, and 3 Points Maximum for LEAP). Describe the need and extent of the lead poisoning problem in children under six years of age in terms of other socioeconomic or environmental factors that demonstrate the need to establish or continue lead hazard control work in the jurisdiction and target area(s).

c. Points will be awarded based on the documented housing market data relevant to the specified target area(s) entered in the Rating Factor 2 table. (5 Points maximum for LBPHC and LHRD Programs, and 2 Points Maximum for LEAP). Points will be awarded under the LBPHC and LEAP Programs for the number of pre-1978 occupied housing units in the applicant’s target area(s), see Rating Factor 2—Table 4 (LBPHC) and Table 5 (LEAP) for “Points Awarded for Number of Pre-1978 Occupied Housing Units in Target Area(s),” that can be downloaded as part of the program instructions from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Points will be awarded under the LHRD program for the number of pre-1940 occupied rental housing units in the applicant’s target area(s), see Table 6 (LHRD) for “Points Awarded for Number of Pre-1940 Occupied Rental Housing Units in Target Area,” that can be downloaded as part of the program instructions from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

d. Points will be awarded based on the documented percentage of very-low income (less than 50 percent of the area median) and low-income (less than 80 percent of the area median income) families, as determined by HUD and entered in the Rating Factor 2 table (5 Points Maximum for LBPHC and LHRD Grant Programs and 2 Points Maximum for LEAP). <http://www.grants.gov> See Rating Factor 2—Table 7 (LBPHC), Table 8 (LHRD) and Table 9 (LEAP) for “Points Awarded for Number of Very Low and Low-Income Percentages of Families in Target Area(s),” that can be downloaded from [www.grants.gov](http://www.grants.gov), for each grant program.

### 3. Rating Factor 3: Soundness of Approach (40 points maximum for all applicants)

Applicants shall complete the Rating Factor 3 Table Soundness of Approach. (All Applicants: Based on analysis of internal historical data, lead hazard control costs average approximately \$8,000 per unit. It is, therefore, anticipated that average per unit cost for all programs under this NOFA will be no more than this value. If your per-unit cost estimate exceeds the above dollar figure, you should justify the cost overrun).

The work plan should include specific, measurable, and time-phased objectives for each major program activity and should reflect benchmark performance standards for unit evaluation, unit production, match/leverage funds, community outreach and education, skills training, and other activities. Examples of benchmarks include number of units to be made lead-safe, number of children living in units to be made lead-safe, number of persons to be trained to perform lead hazard control activities, number of educational programs to be presented and/or the number of persons to be served by such programs. The benchmark form (Form HUD—96008) and policy guidance on developing work plans are available at the HUD Web site: <http://www.hud.gov/offices/lead/lhc/pgi/index.cfm>.

a. *Lead Hazard Control Work Plan Strategy (10 Points all Applicants):* Describe the overall work plan goals and time-phased strategy to complete work within the 36-month period of performance (Form HUD—96008). Describe the methods, including schedule and milestones, that will be used to identify and control lead-based paint hazards and how the desired project benchmarks will be achieved. Include information about the estimated numbers of families to be contacted, units enrolled, units to receive risk assessments and inspections, units to receive lead hazard control work, individuals/groups to be reached through education and/or outreach activities and trained.

Additionally, provide responses to the following:

(1) Program Administration and Financial Management. Describe the approach and method to successfully administer the proposed program.

(a) Include details about staff and project oversight/monitoring, contract administration (routine monitoring of all sub-grantees and contractors to ensure conformity to the terms, conditions and specifications of

contracts or other formal agreements), and how funding will flow from the grantee to those who will perform work under the proposed program.

(b) Discuss the lead hazard control financing strategy, including verification of financing eligibility requirements, terms, conditions, dollar limits, amounts available for lead hazard control work in the various categories of housing (e.g., single-family, multi-family, vacant, owner or tenant-occupied), and who is responsible for establishing, administering and overseeing this aspect of the program. Describe how recapture of grants or loan funds to owners of assisted units will occur when recipients fail to comply with any terms and conditions of the financing arrangement (e.g., failure to comply with affordability, affirmatively marketing and providing priority to renting units to families with children under six years of age, sale of property, etc.). Explain the type of assistance (e.g., grants, deferred/forgivable loans and the basis and schedule for forgiveness), and the role of other resources such as private sector financing and matching, if any, from rental property owners.

(c) Describe your involvement in coordination among critical agencies, including participation in the CDC state-wide or jurisdiction-wide strategic plan to eliminate childhood lead poisoning by 2010.

(2) Program Start-Up. Describe program start-up activities during the first 120 days of the grant (hiring/training staff, establishing qualified contractor pool, outreach/education and unit enrollment activities).

Provide information about internal and external capacity-building steps necessary to ensure a smooth and timely start-up phase. Provide detailed information about other organizations that provide the knowledge and skills required to address lead hazard control, including establishment of a qualified contractor pool, and other lead poisoning prevention actions that are essential for successfully implementing your program (e.g., education, testing, housing interventions).

(a) Describe the proposed involvement of grassroots community-based nonprofit organizations, including faith-based organizations, in the program activities. These activities may include outreach, community education, marketing, inspection, and housing evaluations and interventions.

(b) Explain how you will implement the environmental review and Request for Release of Funds process, and who is responsible to obtain the required HUD approval for intended lead hazard control work on eligible, enrolled units.

Include a description of the steps to be taken, and who will be responsible, to comply with applicable environmental reviews for individual projects.

(3) Outreach, Recruitment and Unit Enrollment. Describe the methods and strategies, including the individuals and/or sub-grantees, sub-recipients or contractors responsible for marketing and outreach to intended target area(s) and/or residents, including recruitment and enrollment activities to supply the program with sufficient numbers of eligible units within an established timeframe.

(a) Describe how you will identify, select, prioritize and enroll eligible housing units in which you will undertake lead hazard control interventions, especially those known to house EBL children. Include the number of eligible privately-owned housing units, including the number of owner-occupied, rental, vacant, single and/or multi-family units to be enrolled.

(b) Describe your planned approach to control lead hazards in vacant and/or occupied units before children are poisoned.

(c) Describe measures you will take to sustain recruitment. Identify the staff responsible for both monitoring recruitment status and implementing the measures identified to sustain recruitment.

(d) Explain how you will obtain data from state/local health departments, Childhood Lead Poisoning Prevention Programs (CLPPP) and other health care and housing agencies on the addresses of housing units in which children have been identified as lead poisoned, for purposes of recruiting and enrolling housing units.

(e) Discuss how referrals from the Section 8, Housing Choice Voucher program and other agencies that provide housing assistance to low-income households with children, including CDBG, HOME Investment Partnerships Program-funded housing programs, weatherization or other sources, will be received and processed.

(f) Describe how you will obtain information in order to document the occupants of units assisted and meet the Title X income and family composition requirements by identifying key staff who will certify as to the eligibility of each unit assisted, based on the determination of income, and when required, the presence of a child or children under six years of age.

*b. Technical Approach/Lead Hazard Control Intervention (10 Points for all Applicants).* Describe the technical approach and associated costs for testing enrolled units, blood-lead testing of children in enrolled units, lead

hazard control methods and strategies, occupant protection and temporary relocation.

Describe the lead hazard control methods, and strategies, including the most cost-effective hazard control methods you will undertake and the number of single and multi-family units that you will treat based on the method selected (e.g., interim controls and/or hazard abatement). Explain your strategy to ensure that the units are maintained lead safe after treatment.

If you maintain that approaches other than interim controls are necessary, a justification is necessary. For example, abatement might be justified in an area where significant amounts of low-income housing stock are highly distressed or where lead hazard control work is being combined with rehabilitation over \$25,000 per housing unit. Where highly distressed housing stock exists, applicants should explain why options for households to move to lead-safe housing are not viable.

Complete abatement of lead-based painted surfaces in units is generally not a cost effective strategy. In cases where only a few surfaces have identified lead-based paint hazards and if abatement is cost-effective, the applicant must provide a detailed rationale for selecting complete abatement as a strategy.

(a) Management. Indicate the individual or entity responsible for, and describe the process for developing the work specifications and the lead hazard control contractor bid and selection process (i.e., the contracting) on properties selected for lead hazard control work. Explain the management process to ensure the cost-effectiveness of intended lead hazard control methods.

(b) Coordination.

(1) Explain the coordination of relevant activities among lead hazard control, rehabilitation, weatherization, and other contractors performing work other than lead hazard control.

(2) Describe your testing methods, schedule, and costs for lead-based paint inspections and risk assessments and clearance examinations. If you propose to use a more restrictive standard than the HUD/EPA thresholds, provide the standard(s) that will be used. All testing shall be performed in accordance with applicable regulations.

(3) Describe how you will ensure that contractors, property owners and maintenance personnel performing interim controls and lead hazard abatement work are properly trained and/or certified, and how work will be monitored and supervised to ensure that contractors perform work of reasonable quality in compliance with work

specifications and applicable federal/state/local regulations.

(4) Provide a realistic schedule for completing key program activities and outputs, by quarter, so that all activities and outputs can be completed before or within the grant period of performance. Key production activities include unit enrollment, lead-based paint inspection and risk assessments, hazard control and clearance of units. Describe the estimated timeframe for treating a typical unit from referral and intake to hazard control and clearance. Explain how the program will accommodate emergency referrals (e.g., units occupied by a child under six years of age with an EBL).

(5) Provide guidelines and/or flowcharts that demonstrate the agency and team member responsibilities for each step in the unit production process (from intake and enrollment to completion and clearance of units). Describe how coordination and hand-offs from individuals or agencies to and from each step in the unit production process will be carried out. Discuss how the actual production status of units, from intake and enrollment to completion and clearance, will be monitored, and how and when impediments to production will be identified and remedied.

(6) Relocation:

(a) Describe your plan for the relocation of occupants of units selected for remediation, if temporary relocation is necessary (see Section VI B.4, below). If temporary relocation is necessary, address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc., and the source of funding for relocation.

(b) If relocation is necessary for occupants of rental units, describe your plan for ensuring right of return and/or first referral for occupants of units selected for remediation who have had to move for the remediations to be performed. Describe your plan and the individual(s) responsible for occupant protection and the temporary relocation of occupants of units selected to receive lead hazard control work. Describe strategies to avoid overnight relocation in small-scale projects consistent with applicable subsections of HUD's Lead Safe Housing Regulations.

(7) Describe the methods, measures and cost for performing blood lead testing in children less than six years of age.

(a) Describe strategies to increase blood lead testing of children within the target area(s).

(b) Explain who will be responsible for ensuring and how you will ensure

that all children less than six years of age who occupy units to be assisted with lead hazard control work receive blood lead testing within six months of commencement of work on the unit.

(c) Identify the individual responsible to ensure that children identified with an elevated blood-lead level are referred to appropriate medical care and how patient confidentiality, privacy and the security of medical information is protected as required by the Health Insurance Portability and Accountability Act (HIPAA) of 1996.

*c. Economic Opportunity (7 points for all applicants).*

(1) *Section 3 Requirement (2 of 7 points).* Explain how you will provide appropriate economic opportunities to Section 3 residents and Section 3 businesses of the target area, in compliance with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and HUD's implementing rules at 24 CFR Part 135. Describe how you will accomplish Section 3 requirements by identifying the number of individuals to receive such training per discipline, the schedule for delivering said training for low and very low-income persons living within the applicant's jurisdiction, and how trained individuals will be linked to employment opportunities with Section 3 businesses owned by and/or employ low and very low-income persons living within the grantee's jurisdiction.

(2) *Lead Hazard Control Outreach (5 of 7 points).*

(a) Describe your involvement in collaborative agreements or arrangements with childhood lead poisoning prevention programs, housing, community development, and code enforcement agencies (or equivalent) for the target area(s), as applicable. If these collaborative agreements or arrangements are not yet made, address plans to develop these agreements.

(b) Discuss the opportunity-to-learn approaches to educate children, parents, workers, business people, and other community members about lead poisoning prevention and lead hazard control. Include how the proposed educational program will continue to meet the needs of those children already living in units to receive lead hazard control work.

(c) *Community and Private Sector Involvement:*

(i) Describe the role of grassroots, community-based nonprofit organizations, including faith-based organizations, in specific program activities (e.g., hazard evaluation and control, monitoring, awareness,

education and outreach within the community).

(ii) Explain how the intended education program(s) will be culturally sensitive, targeted, and linguistically appropriate. Identify the means available to supply the educational materials in other languages (identify all that apply) common to the community.

(iii) Include the estimated number of individuals to receive the intended education and the estimated number of events to be delivered.

(d) *Affirmatively Furthering Fair Housing:*

(i) Describe strategies and methodologies that affirmatively further fair housing and increase access to lead-safe housing for all segments of the population: homeowners, owners of rental properties, and tenants.

(ii) Identify who will ensure and how the applicant will ensure that the program will continue to affirmatively market and match treated units with low-income families with children less than six years of age in the future.

(iii) Explain how this outreach strategy will avoid housing discrimination against families with young children, and how families will have adequate, lead-safe housing choices in the future. The strategy could also include affirmatively marketing your services to those populations least likely to apply and who may not be served by any of the organizations working with you or the grantee team.

*d. HUD's Departmental Policy Priorities and Consolidated Plan (6 points for all applicants; each policy priority is 1 point, except the policy priority addressing Removal of Regulatory Barriers (#4, which is 2 points).* Please note that HUD Form 27300 requires the submission of documentation and contact information to receive policy priority points. Indicate if, and describe how, you will address any of HUD's departmental policy priorities (see General Section for more detailed explanation of HUD's policy priorities). Applicants shall also provide evidence of the priority that the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice has placed on addressing the needs described.

The policy priorities that are applicable to this NOFA, and which the applicant should address, are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grassroots Community-based Non-profit Organizations, including Faith-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD

Programs; (4) Removal of Regulatory Barriers to Affordable Housing; and (5) Promoting Energy Efficiency and Energy Star. HUD expects the applicants to implement Energy Star building techniques and utilize Energy Star appliances whenever activities of the grant afford the opportunity. (For information on Energy Star Programs and Appliances, see <http://www.epa.gov/epahome/athome.htm> and HUD's scheduled webcast.)

Describe how the proposed program would contribute to satisfying the stated needs in the Consolidated Plan or Indian Housing Plan, and eliminate impediments identified in the Analysis of Impediments (AI).

*e. Data Collection and other Program Support Activities (2 Points for all Applicants).*

(1) Identify and discuss the specific methods you will use (in addition to HUD reporting requirements) to document activities, progress, and program effectiveness. Explain how you will make necessary changes to improve program performance.

(2) Describe how databases, including web sites, computer, paper or other formats, will incorporate the provisions of the Privacy Act of 1974, such that the addresses of enrolled, treated and/or cleared housing units shall not include personal information that could identify any child affected.

*f. Budget Proposal (5 points).*

(a) Your budget proposal should thoroughly estimate all applicable costs (administrative, direct, indirect, and other direct costs), and be presented in a clear and coherent format in accordance with the requirements listed in the General Section. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Form HUD-424-CBW) and all major tasks, for yourself, sub-recipients, major subcontractors, joint venture participants, or others contributing resources to the project. A separate budget must be provided for partners who are proposed to receive more than 10 percent of the federal budget request. Your application will be evaluated on the extent to which your resources are appropriate for the scope of your proposed project.

(b) Your narrative justification associated with these budgeted costs should be submitted as part of the Total Budget (Federal Share, Matching and Leveraging), but is not included in the 20-page limit for this submission. Separate narrative justifications should be submitted for partners that are submitting separate budgets. Your

proposed budget should clearly identify the funding or cash equivalent amounts being provided as matching funds and as leveraged funds. These funds should reflect the numbers and contributions provided in response to Rating Factor 4, Leverage.

(c) The application will not be rated on the proposed cost; however, cost will be considered in addition to the rated factors to determine whether the proposal is most advantageous to the Federal Government. Cost will be the deciding factor when proposals ranked under the listed factors are considered acceptable and are substantially equal.

4. Rating Factor 4: Leveraging Resources (10 points maximum for Lead-Based Paint Hazard Control and Lead Hazard Reduction Demonstration Program, and 20 points maximum for LEAP). This rating factor applies to all programs unless otherwise specified.

LBPFC and LHRD applicants will be given higher points for leveraged contributions that the applicant commits over and above the 10 percent or 25 percent statutory match requirement. For LEAP applicants, leveraged contributions at or above 100 percent of the federal requested amount are eligible to receive higher points. See Section III.B, Cost Sharing and Match, regarding letters of commitment from organizations other than the applicant required for the leveraging to be eligible for points. Based on the documented match/leverage funding, points will be awarded in accordance with the charts below.

Lead-based paint hazard control and lead hazard reduction demonstration	
Documented leveraged contributions of the requested HUD amount: at least (percent)	Points awarded
10 .....	0
15 .....	1
20 .....	2
30 .....	3
40 .....	4
50 .....	5
60 .....	6
70 .....	7
80 .....	8
90 .....	9
100 .....	10

LEAP	
Documented leveraged contributions of the requested HUD amount: at least (percent)	Points awarded
0 .....	0
100 .....	1.00
110 .....	2.25
120 .....	3.50
130 .....	4.75
140 .....	6.00
150 .....	7.25
160 .....	8.50
170 .....	9.75
180 .....	11.00

Lead-based paint hazard control and lead hazard reduction demonstration	
Documented leveraged contributions of the requested HUD amount: at least (percent)	Points awarded
190 .....	12.25
200 .....	13.50
210 .....	14.75
220 .....	16.00
230 .....	17.25
240 .....	18.50
250 .....	20.00

5. Rating Factor 5: Achieving Results and Program Evaluation (10 Points maximum for all applicants). This rating factor reflects HUD's goal to embrace high standards of ethics, management, and accountability.

*a. Description of program activities, outputs and short-term, intermediate-term and long-term outcomes (5 points).*

(1) State clearly the project goals ("benchmarks") and activities to achieve these goals.

(2) Describe how you will measure the results.

(3) Explain how you will document and track your goals, program activities, and schedules.

(4) Identify the procedures you will follow to make adjustments to your work plan to improve performance if benchmarks are not met within established timeframes.

*b. Logic Model (5 points).*

(1) Submit Form HUD-96010.

HUD is using an electronic Logic Model with dropdown menus from which you can select needs, activities, and outcomes appropriate to your program. See the General Section for detailed information on the use of the Logic Model. HUD is requiring grantees to use program-specific questions to self-evaluate the management and performance of their program. Training on HUD's logic model and the reporting requirements for addressing the Management questions will be provided via satellite broadcast.

In evaluating Rating Factor 5, HUD will consider how you have described the benefits and outcome measures of your program. HUD will also consider the evaluation plan, to ensure the project is on schedule and within budget.

(2) Performance indicators should be objectively quantifiable and should measure actual achievements against anticipated achievements. Step 1. The planning component of the logic model should identify the problem or need and develop a plan. Step 2. The intervention component of the logic model should identify the kinds of services, activities, and outputs projected. Step 3. The

impact component of the logic model should identify the projected outcomes. Step 4. The accountability (phase one) component of the logic model should include data sources, measurement, and reporting tools. Step 5. The accountability (phase two) component of the logic model should include the evaluation methodology or the evaluation process. As a planning tool, the logic model can provide the statement of need and also provide the rationale for the proposed service or activity. For goals or benchmarks, the logic model can provide a set of quantifiable goals including timeframes. These goals allow you, the applicant, and HUD to monitor and assess your progress in achieving your program work plan. The process for the achievement of outcome goals should include identifying the expected outcome and the estimated number needed to achieve the goal or the expected outcome in terms of the community impact or changes in economic and social status. Some examples of measurement-reporting tools are survey instruments; attendance logs; case report; pre-post tests; or waiting lists. Describe where/how data are maintained, for example, central databases; individual case records; specialized access databases, tax assessor databases; and local precinct.

Also, identify the location where the database is maintained, updated, etc., for example, on-site, subcontractor, or specify (e.g., identify what the other is).

**6. Bonus Points (2 Points for All Programs)**

Applicants are eligible for two bonus points for projects that the applicant proposes to conduct in federally designated Empowerment Zones (EZs), Renewal Communities (RCs), or Enterprise Communities designated by United States Department of Agriculture (USDA) in round II (EC-IIs) and that are certified to be consistent with the area's strategic plan or RC Tax Incentive Utilization Plan (TIUP). Applicants must submit a completed Certification of Consistency with the RC/EZ/EC-II Strategic Plan—Form HUD-2990 signed by the appropriate official of the RC/EZ/EC II and also meet the requirements listed in the General Section for a possible award of two bonus points.

Discuss whether any of the proposed activities will occur in any of these areas and how they will benefit the residents of those zones or communities.

**B. Reviews and Selection Process**

1. Rating and Ranking. Please refer to the General Section.

a. Applicants that meet all of the threshold requirements will be eligible

to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A of this NOFA.

b. Remaining Funds. Refer to the General Section for HUD's procedures if funds remain after all selections have been made within a category.

c. The scoring criteria to be used to award the maximum points for this NOFA are based on how fully and thoroughly the applicant answers each item listed in each rating factor.

**2. Factors for Award Used to Rate and Rank Applications.**

a. Implementing HUD's Strategic Framework and Demonstrating Results. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission. To support this effort, grant applications submitted for HUD programs will be rated on how well they tie proposed outcomes to HUD's policy priorities and Annual Goals and Objectives, and the quality of proposed Evaluation and Monitoring Plans.

b. The maximum number of points to be awarded is 100 plus two bonus points as described in the General Section and above.

c. The factors for rating and ranking eligible applicants under all categories, and the maximum points for each factor are stated below:

Rating factors	Maximum points	
	LBPHC & LHRD	LEAP
1. Capacity of the Applicant and Relevant Organizational Experience .....	20	20
2. Need/Extent of the Problem .....	20	10
3. Soundness of Approach .....	40	40
4. Matching and Leveraging Resources .....	10	20
5. Achieving Results and Program Evaluation .....	10	10
Empowerment Zone, Renewal Zones and Enterprise Community (II) Bonus Points .....	2	2
<b>Total .....</b>	<b>102</b>	<b>102</b>

**VI. Award Administration Information**

**A. Award Notices**

**1. Applicants Selected for Award.**

a. Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer providing details regarding the effective start date of the grant agreement and any additional data and information to be submitted to execute the grant. This letter is not an authorization to begin work or incur costs under the grant.

b. HUD may require that a selected applicant participate in negotiations to determine the specific terms of the grant agreement, budget, and Logic Model. Should HUD not be able to successfully

conclude negotiations with a selected applicant, an award will not be made. Applicants should note that, if they are selected for multiple awards, they must ensure that they have sufficient resources to provide the promised match and/or leveraging for the multiple awards. During negotiations, such applicants would be required to provide alternative match and/or leveraged resources, if necessary, before the grant can be awarded in order to avoid committing duplicate match and/or leveraged resources to more than one OHHLHC grant. If the applicant accepts the terms and conditions of the grant agreement, a signed grant agreement

must be returned by the date specified. Instructions on how to have the grant agreement account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will be provided. In accordance with OMB Circular A-133 (Audits of States, Local Governments and Nonprofit Organizations), if an awardee expends \$500,000 in federal funds in a single year, they follow the requirements of the Single Audit Act and must submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse. The address can be



obtained from their Web site. The SF-SAC can be downloaded at: <http://harvester.census.gov/sac/>.

2. Debriefing. The General Section provides the procedures for applicants to request a debriefing.

3. Negotiation. Refer to the General Section for additional details.

4. Adjustments to Funding. Refer to the General Section for additional details.

B. Administrative and National Policy Requirements: Refer to the General Section for additional details regarding the Administrative and National Policy Requirements applicable to HUD Programs.

1. *National Historic Preservation Act*. The National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 apply to the lead-hazard control or rehabilitation activities that are undertaken pursuant to this NOFA.

2. *Waste Disposal*. You must handle waste disposal according to the requirements of the appropriate local, state, and federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint, but are not classified as hazardous in accordance with state or local law or the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines are available from the HUD Web site at: <http://www.hud.gov/offices/lead/guidelines/hudguidelines/index.cfm>.

3. *Worker Protection Procedures*. You must observe the procedures for worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Health and Safety Administration (OSHA) (29 CFR 1926.62, Lead Exposure in Construction), or the state or local occupational safety and health regulations, whichever are most protective. If other applicable requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

4. *Relocation*. The relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), as amended, and the implementing government-wide regulation at 49 CFR part 24, that cover any person (including individuals, businesses, and farms) displaced as a direct result of the acquisition, rehabilitation, or demolition of real property, apply to this grant program. If such persons are required to temporarily relocate for a project, the requirements of the URA

regulations at 49 CFR 24.2(a)(9) must be met. HUD recommends you review these regulations when preparing your proposal. (They can be downloaded from the Government Printing Office Web site at <http://www.gpoaccess.gov/cfr/index.html> by entering the regulatory citation in quotes without any spaces (e.g., "49CFR24.2") in the Quick Search box.). See Section III.C.4.e of the General Section for additional information about relocation.

5. *Davis-Bacon wage rates*. The Davis-Bacon wage rates are not applicable to these programs. However, if you use grant funds in conjunction with other federal programs, Davis-Bacon requirements will apply to the extent required under the other federal programs.

6. *Procurement of Recovered Materials*. See the General Section for information concerning this requirement.

7. *Executive Order 13202*. "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects." See General Section for information concerning this requirement.

C. Reporting: Reports shall comply with section VI.C. of the General Section. In addition, successful applicants will be required to submit quarterly, annual and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Specific guidance and additional details will be provided to successful applicants. The following items are a part of OHHLHC reporting requirements.

1. Final Work Plan and Budget are due within sixty days of signing the grant agreement.

2. Progress reports are due on a quarterly basis. In quarterly reports, grantees provide information about accomplishments in the areas of program management; assessment and intervention activities; community education, outreach, training and capacity building; data collection and analysis; as well as a listing of completed units and financial report. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance at <http://www.hud.gov/offices/lead>. For FY 2007, HUD is considering a new concept for the Logic Model. The new concept

is a Return on Investment (ROI) statement. HUD will be publishing a separate notice on the ROI concept.

3. Annual report shall be submitted at the end of each fiscal year. A final report is due at the end of the project period, which includes final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement. Specific information on all reporting requirements will be provided to successful applicants.

4. Racial and Ethnic Beneficiary Data. HUD does not require LBPFC, LHRD and LEAP awardees to report ethnic and racial beneficiary data as part of their initial application package. However, such data must be reported on an annual basis, at a minimum, during the implementation of your grant agreement. You must report the data as described in the General Section and use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data, using Form HUD-27061, Race and Ethnic Data Reporting Form, if applicable (HUD Race Ethnic Form on Grants.gov), found on HUD's Web site at <http://www.hudclips.org/cgi/index.cgi>. Grantees can also use an online system to meet this requirement, provided the data elements and reports derived from the system are equivalent to the data collection in the form HUD-27061.

5. All grant recipients must comply with reporting requirements of subpart E (Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects) and the HUD regulations at 24 CFR part 135).

## VII. Agency Contact(s)

For questions related to the application process, you may contact the Grants.gov help line at 800-518-GRANTS. For programmatic questions, you may contact: Ms. Jonnette G. Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control: Department of Housing and Urban Development; 451 Seventh Street, SW., Room 8236, Washington, DC 20410-3000; telephone (202) 755-1785, extension 7593 (this is not a toll-free number); facsimile (202) 755-1000; e-mail: [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov). For administrative questions, you may contact Curtissa L. Coleman, Grants Officer, at the address above or by telephone at: (202) 755-1785, extension 7580 (this is not a toll-free number); e-

mail at: [Curtissa\\_L.\\_Coleman@hud.gov](mailto:Curtissa_L._Coleman@hud.gov). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

#### VIII. Other Information

A. General. For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

B. Paperwork Reduction Act. The information collection requirements contained in this document have been

approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2539-0015. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 80 hours to prepare the application, 16 hours to finalize the grant agreement, and 32 hours per annum for grant administration (progress reporting) per respondent.

This includes the time for collecting, reviewing, and reporting the data for the application, quarterly reports, and final report. The information will be used for awardee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

C. Appendices. Appendices A, B, C, D and E of this NOFA are available for downloading with the application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Appendix E lists HUD's comments on selected issues related to the Lead Hazard Reduction Demonstration Grant Program.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES LEAD HAZARD  
CONTROL PROGRAMS**

**TECHNICAL STUDIES NOFA  
(COMBINED)**

**LEAD TECHNICAL STUDIES AND  
HEALTHY HOMES TECHNICAL STUDIES**

Billing Code 4210-01-C

## Lead Technical Studies and Healthy Homes Technical Studies Programs

### Overview Information

A. Federal Agency Name: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control.

B. Funding Opportunity Title: Lead Technical Studies and Healthy Homes Technical Studies.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: FR-5100-N-25, OMB Paperwork Approval number is 2539-0015.

E. Catalog of Federal Domestic Assistance (CFDA) Numbers: 14.902, Lead Technical Studies Grant Program, and 14.906, Healthy Homes Technical Studies Grant Program.

F. Dates: The application deadline date is May 18, 2007. Applications must be received and validated by Grants.gov no later than 11:59:59 pm eastern time on the application deadline date. See Section IV of the General Section, regarding application submission procedures and timely filing requirements.

### G. Additional Information:

1. *Purpose:* To fund technical studies to improve existing methods for detecting and controlling lead-based paint and other housing-related health and safety hazards, to develop new methods to detect and control these hazards, and to improve our knowledge of lead-based paint and other housing-related health and safety hazards.

2. *Available funding:* HUD anticipates that approximately \$5.6 million will be available. Of this, approximately \$3.6 million is for Lead Technical Studies and approximately \$2.0 million is for Healthy Homes Technical Studies.

3. *Anticipated awards:* Approximately 4 to approximately 10 awards will be made for the Lead Technical Studies Program, ranging from approximately \$200,000 to a maximum of \$1 million each for the entire period of performance. The anticipated amounts and number of individual awards for the Healthy Homes Technical Studies Program will be approximately 2 to approximately 6 awards, ranging from approximately \$200,000 to a maximum of \$1 million each for the entire period of performance.

4. *Type of awards:* Cooperative agreements, with substantial involvement of the government, will be awarded (see Paragraph II.C for a description of substantial involvement).

5. *Eligible applicants:* Academic, not-for-profit and for-profit institutions located in the U.S., state and units of general local government, and federally

recognized Native American tribes are eligible to apply. For-profit firms are not allowed to earn a fee (*i.e.*, make a profit from the project).

6. Cost sharing or "matching" is not required; however, applicant "leveraging" contributions are encouraged (see Section V.A.3.d).

7. There is no limit on the number of applications that each applicant may submit.

8. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov): The General Section contains information on submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand the Grants.gov electronic application process.

### Full Text of Announcement

#### I. Funding Opportunity Description

##### A. Purpose of the Programs

The overall goal of both the Lead and the Healthy Homes Technical Studies programs is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of lead-based paint and other housing related health and safety hazards. This also supports HUD's Strategic Goal to Strengthen Communities and the associated policy priority to Improve Our Nation's Communities by improving the environmental health and safety of families living in public and privately owned housing.

##### B. Program Description

HUD is funding studies to improve HUD's and the public's knowledge of lead-based paint hazards and other housing-related health and safety hazards, and to improve or develop new hazard assessment and control methods, with a focus on the key residential health and safety hazards. Key hazards are discussed in Appendix A of this NOFA. A list of references that serves as the basis for the information provided in this NOFA is provided as Appendix B to this NOFA. Both Appendix A and Appendix B of this NOFA can be found on HUD's Web site at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

#### 1. General Goals

##### a. Lead Technical Studies

The overall goal of the Lead Technical Studies grant program is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of residential lead-based paint hazards.

Through the Lead Technical Studies Program, HUD is working to fulfill the requirements of sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) (42 U.S.C. 4854 and 4854a) which directs HUD to conduct research on topics which include the development of "improved methods for evaluating [and] reducing lead-based paint hazards in housing," among others.

Brief descriptions of active and previously funded lead technical studies projects can be found on HUD's Web site at <http://www.hud.gov/offices/lead/techstudies/index.cfm>. Where appropriate, you are strongly encouraged to build your proposed study upon HUD-sponsored work that has been previously completed, in addition to other relevant research (*i.e.*, that contained in government reports and in the published literature).

The results of the technical studies will be used in part to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (Guidelines)*. For supporting references, including where to find the *Guidelines*, see Appendix B on HUD's Web site at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

##### b. Healthy Homes Technical Studies

The overall goals and objectives of the Healthy Home Initiative (HHI), which includes the Healthy Homes Technical Studies Program and the Healthy Homes Demonstration Grant Program (see the Healthy Homes Demonstration Grant Program NOFA published in this SuperNOFA), are to:

(1) Mobilize public and private resources, involving cooperation among all levels of government, the private sector, grassroots community-based organizations, including faith-based organizations, and other non-profit organizations, to develop the most promising, cost-effective methods for identifying and controlling housing-related hazards; and

(2) Build local capacity to operate sustainable programs that will continue to prevent, minimize, and control housing-related hazards in low- and very low-income residences when HUD funding is exhausted.

The HHI departs from the more traditional approach of attempting to correct one hazard at a time. HUD is interested in promoting approaches that are cost-effective and efficient and result in the reduction of health threats for the maximum number of residents and, in particular, low-income children.

In April 1999, HUD submitted a preliminary plan that described the HHI to Congress. The submission (Summary

and Full Report), and a description of the HHI are available on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/index.cfm>.

In addition to deficiencies in basic housing facilities that may impact health, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new and often more subtle health hazards in the residential environment (e.g., asthma triggers). While such hazards will tend to be found disproportionately in housing that is substandard (e.g., structural problems, lack of adequate heat, poor maintenance, etc.), such housing-related environmental hazards may also exist in housing that is otherwise of good quality. Appendix A of this NOFA briefly describes the key housing-associated health and injury hazards HUD considers targets for intervention. HUD has also developed resource papers on a number of topics of importance under the HHI, including mold, environmental aspects of asthma, carbon monoxide, and unintentional injuries. These resource papers can be downloaded at <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>.

Brief descriptions of current and recently completed Healthy Homes Technical Studies projects and grantee contact information can be found on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/hhigranteeinfo.cfm>.

## 2. Community Participation

HUD believes that it is important for researchers to incorporate some aspect of meaningful community participation in the development and implementation of studies that are conducted in communities and/or involve significant interaction with community residents. Community participation can improve study effectiveness in various ways, including the development of more appropriate research objectives, improving recruitment and retention of study participants, improving participants' involvement in and understanding of a study, improving ongoing communication between researchers and the affected community, and more effectively disseminating study findings. HUD encourages applicants to consider using a "community based participatory research (CBPR)" approach, where applicable, in study design and implementation. (See, e.g., the report published by the National Institute of Environmental Health Sciences titled "Successful Models of Community-Based Participatory Research" at: <http://www.niehs.nih.gov/translat/>

*pubs.htm*). CBPR is characterized by substantial community input in all phases of a study (i.e., design, implementation, data interpretation, conclusions, and communication of results).

## C. Authority

The Lead Technical Studies program is authorized under sections 1011(g)(1), 1011(o), and 1051–1053 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, 42 U.S.C. 4851 et seq.). The Healthy Homes Technical Studies program is authorized under sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. 1701z–1 and 1701z–2). Fiscal Year 2007 funds for both programs are authorized under the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110–5, approved February 15, 2007).

## II. Award Information

### A. Funding Available

Approximately \$3.6 million in fiscal year 2007 funds are available for Lead Technical Studies. Approximately \$2.0 million is available for Healthy Homes Technical Studies. Cooperative agreements will be awarded on a competitive basis following evaluation of all eligible proposals according to the rating factors described in Section V.A.3 of this NOFA. HUD anticipates that approximately 4 to 10 awards will be made for the Lead Technical Studies Program, and that approximately 2 to 6 awards will be made for the Healthy Homes Technical Studies Program with awards ranging from approximately \$200,000 to no more than \$1 million per award for each program. Applications for additional work related to existing HUD-funded technical studies (i.e., for work outside of the scope of the original agreement) are eligible to compete with applications for awards on new subjects. These applications will be evaluated in the same manner as new applicants.

### B. Anticipated Start Date and Period of Performance for New Grants

The start date for new awards is expected to be not later than October 1, 2007. The period of performance cannot exceed 36 months from the time of award. The proposed performance period should include adequate time for such project components as the Institutional Review Board process, if required, the recruitment of new staff and/or study participants, and the development of new instrumentation or methods (e.g., analytical methods), all of which have been found to delay projects

in the past. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 84.25(e)(2) or 85.30(d)(2), as applicable, and the OHHLHC Program Guide. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. Applicants are encouraged to plan studies with shorter performance periods than 36 months; however, when developing your schedule, you should consider the possibility that issues may arise that could cause delays.

### C. Type of Award Instrument

Awards will be made as cooperative agreements. Anticipated substantial involvement by HUD staff for cooperative agreements may include, but will not be limited to:

1. Review and suggestion of amendments to the study design, including: study objectives; field sampling plan; data collection methods; sample handling and preparation; and sample and data analysis.

2. Review and provision of technical recommendations in response to quarterly progress reports (e.g., amendments to study design based on preliminary results).

3. Review and provision of technical recommendations on the journal article(s) and final study report.

4. Requirements for peer review of scientific data in accordance with the Office of Management and Budget Information Quality Guidelines. All HUD-sponsored research is subject to the OMB Final Information Quality Bulletin for Peer Review (70 FR 2664–2677, January 14, 2005) prior to its public dissemination. In accordance with paragraph II.2 of the Bulletin, HUD will not need further peer review conducted on information that has already been subjected to adequate peer review. Therefore grantees must provide enough information on their peer review process for HUD to determine whether additional review is needed.

## III. Eligibility Information

### A. Eligible Applicants

Academic and non-profit institutions located in the United States, state and units of general local government, and federally recognized Native American tribes are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a profit from the project. Applications to supplement existing projects are eligible to compete with applications for new awards. Federal agencies are not eligible to submit

applications. The General Section identifies threshold requirements that must be met for an organization to receive an award.

#### B. Cost Sharing or Matching

Cost sharing or matching is not required. In rating your application, however, you will receive a higher score under Rating Factor 4 if you provide evidence of significant resource leveraging.

#### C. Other

##### 1. Eligible Activities

###### a. Lead Technical Studies.

HUD is particularly interested in the following topics:

(1) *Development of alternative or improved clearance methods.* The clearance of a dwelling following lead hazard control activities is achieved by collecting dust-wipe samples following a standard protocol, with subsequent analysis of the samples by a laboratory recognized under the National Lead Laboratory Accreditation Program (NLLAP). Lead hazard control costs could be reduced if immediate clearance results could be obtained in the field. Existing techniques that can be used to analyze dust samples in the field include the use of portable X-ray fluorescence (XRF) analyzers and anodic stripping voltammetry (ASV) instruments. It is theoretically possible to also employ colorimetric methods to analyze clearance samples. These techniques can be used in a screening context in which a "failure" would indicate the need for additional cleaning before definitive clearance wipe samples are collected for analysis by an appropriate laboratory. It is possible for an organization using a field-based technology to achieve recognition as a portable laboratory under NLLAP; however, it is HUD's understanding that, to date, this has not been done. HUD is interested in funding research that improves the performance of portable analytical technologies for lead dust-wipe analysis with the ultimate goal of improving the feasibility for such technologies to be used to conduct definitive analyses in the field.

HUD has funded research for the on-site use of X-Ray Fluorescence (XRF) for dust wipe lead analysis and does not intend to fund additional work on this topic through this NOFA.

(2) *Reducing exterior soil as a cause of dust-lead hazards.* Studies have shown that lead in exterior dust and soil can be an important source of lead exposure to young children, both through direct contact and indirectly when tracked or blown into the home.

HUD has funded several studies that have assessed approaches to reducing the risk posed by this large environmental lead reservoir. These previous studies have focused on the following topics: reducing the bioavailability (as determined using in vitro testing) of lead in soil through the addition of composted biosolids or other additives; reducing soil hazards in urban yards through targeted landscaping (e.g., raised beds, improving ground cover); reducing exterior dust-lead levels through exterior building treatments and street and sidewalk cleaning; development of new sampling method for surface soils, and reducing surface soil-lead hazards by overlaying with clean soil and grass cover (see, e.g.: Binns *et al.*, 2004, and Farfel *et al.*, 2005, in Appendix B).

Additional study is needed to assess the long-term effectiveness of interim controls to reduce soil and exterior dust-lead hazards. Research is also needed to develop interim controls and strategies for exterior dust and soil that are reasonable in cost, feasible to implement, and which do not require frequent maintenance to retain their effectiveness. Also, the relationship between control of soil lead hazards and interior dust lead levels has not been adequately described.

(3) *Effectiveness of Ongoing Maintenance Activities in Controlling Lead-Based Paint Hazards.* There are few studies directly assessing the effectiveness of ongoing lead-based paint maintenance programs. HUD is interested in evaluating the effectiveness and feasibility of ongoing lead-based paint maintenance programs, identifying program components for which particular implementation difficulties exist, and evaluating proposed measures for overcoming those difficulties. Such an evaluation of program components could address whether and how technically-acceptable and cost-effective work practices are selected and implemented, how effectively supervisors monitor work activities to ensure that lead-based paint hazards are controlled and that dust and debris are contained and cleaned up during and after work, and how well clearance procedures (including necessary re-cleaning) are integrated into the maintenance program, among other factors.

(4) *Use of Available Databases to Evaluate the Efficacy of Lead Hazard Control Activities.* Public databases can be used to help target and assess the effectiveness of lead hazard control activities. Examples of this include the use of census data to identify neighborhoods that are at high risk for

lead poisoning (e.g., age and value of housing used in combination with indicators of socioeconomic status) and the use of blood-lead screening data to target dwellings that have been associated with repeated identification of resident children with elevated blood-lead levels. Geographic Information Systems (GIS) have also been successfully used as a tool to help target high-risk housing. At a broader level, serial blood-lead screening data could be used to assess the effectiveness of lead hazard control activities or laws that require lead hazard control treatments in high risk housing (e.g., by comparing community screening results before and after laws were enacted while accounting for the overall downward trend in blood lead levels and the performance of Lead Hazard Control grantees and other activities). HUD is interested in studies that assess effective and creative uses of public databases to improve the efficacy of lead hazard control programs (e.g., targeting neighborhoods), assess the effectiveness of enforcement and lead hazard control activities and regulations, and other uses of these data that further the goal of improving methods for the identification and control of residential lead-based paint hazards. Applicants proposing projects under this topic area should focus primarily on the use of existing data as opposed to the collection of new data through field activities. An applicant must demonstrate why the collection of any new data is important in the context of a proposed study (e.g., to validate a model developed using publicly available data) and that there is a limited amount of new data being collected.

(5) *Other Focus Areas that are Consistent with the Overall Goals of HUD's Lead Technical Studies Program.* HUD will consider funding applications for technical studies on other topics that are consistent with the overall goals and objectives of the Lead Technical Studies program, as described above. In such instances, for an applicant to receive an award, it is necessary that the applicant describe in sufficient detail how the proposed study is consistent with the overall lead technical studies program goals and objectives.

**Note:** A limited amount of lead hazard control activities, which involve construction rather than research, may be conducted as part of a project (see Section IV.E.9 of this NOFA).

###### b. Healthy Homes Technical Studies

(1) HUD expects to advance the recognition and control of residential

health and safety hazards and more closely examine the link between housing and health. The overall objectives of the Healthy Homes Technical Studies projects to be funded through this NOFA include, but are not limited to:

(a) Development and evaluation of low-cost test methods and protocols for identification and assessment of housing-related hazards;

(b) Development and assessment of cost-effective methods for reducing or eliminating housing-related hazards;

(c) Evaluation of the effectiveness of housing interventions and public education campaigns, and barriers and incentives affecting future use of the most cost-effective strategies;

(d) Investigation of the epidemiology of housing-related hazards and illness and injuries associated with these hazards, with an emphasis on children's health;

(e) Evaluation of residential health and safety hazard assessment and control methodologies and approaches (including both existing methods and the evaluation of novel approaches);

(f) Analysis of existing data or generation of limited new data to improve knowledge regarding the prevalence and severity of specific hazards in various classes of housing, with a focus on low-income housing. Specific examples include:

(i) The prevalence of carbon monoxide and other indoor air quality hazards;

(ii) The prevalence and patterns of moisture problems and biological contaminants associated with excess moisture (e.g., fungi, mold, bacteria, dust mites);

(iii) The prevalence of specific childhood injury hazards in housing; and

(iv) Improved understanding of the relationship between a residential exposure and childhood illness or injury.

Applicants that propose this type of study should discuss how the knowledge that is gained from the study could be used in a program to reduce these hazards in target communities.

(g) Low-cost analytical techniques and instruments for the rapid, on- and off-site determination of environmental contaminants of concern (e.g., bioaerosols, pesticides, allergens). HUD's primary interest is in the improvement of existing instruments or methods, and not in the development of new technologies or instruments. The OHHLHC has noted that these types of studies pose a high risk of experiencing significant delays. Applicants seeking to develop new technologies/instruments

should discuss why, if funded, their proposed project would be unlikely to experience significant delays in its completion.

(2) HUD is particularly interested in the following topics:

(a) Improving or assessing the efficacy of current methods for residential Integrated Pest Management (IPM). IPM approaches focus on the use of economical means for managing pests, which incorporate information on the life cycles of pests and their interaction with the environment, while minimizing hazards to people, property, and the environment. HUD is particularly interested in IPM methods for reducing cockroach and/or rodent populations in multifamily housing, with an emphasis on low-income housing.

(b) Controlling excess moisture by reducing migration through the building envelope and condensation of water vapor on interior surfaces, with an emphasis on low-cost interventions for low-income housing;

(c) Improving indoor air quality, such as through cost-effective approaches to upgrading residential ventilation or improving control/management of combustion appliances. Applicants should discuss how proposed approaches might affect residential energy costs (e.g., increasing air exchange rates resulting in an increase in heating costs);

(d) Dust control measures (e.g., preventing track-in of exterior dust and soil, improved methods for interior dust cleaning) have been identified as key areas in the HHI Preliminary Plan;

(e) Evaluating the effectiveness of education and outreach methods designed to provide at-risk families with the knowledge to adopt self-protective behaviors with respect to housing-related health hazards. If you propose a study in this focus area you should cite and discuss the theoretical basis for the education/outreach approach that you are proposing.

(f) *Other Focus Areas that are Consistent with the Overall Goals of HUD's Healthy Homes Technical Studies Program.* HUD will consider funding applications for technical studies on other topics that are consistent with the overall goals and objectives of the Healthy Homes Technical Studies program, as described above. In such instances, for an applicant to receive an award, it is necessary that the applicant describe in sufficient detail how the proposed study is consistent with the overall program goals and objectives.

(3) *General Information.* In proposing to conduct a study on a particular topic, applicants should consider:

(a) The "fit" of the proposed hazard assessment and/or control methods within the overall goal of addressing "priority" health and safety hazards in a cost-effective manner;

(b) The efficacy of the proposed methods for hazard control and risk reduction (e.g., how long is effective hazard reduction maintained);

(c) Where and how these methods would be applied and tested, and/or perform demonstration activities; and

(d) The degree to which the study will help develop practical, widely applicable methods and protocols or improve our understanding of a residential health hazard.

Applications for a study for which the sole or primary focus is on lead-based paint hazards are ineligible for funding under the Healthy Homes Technical Studies program. Such studies should be submitted for funding under the Lead Technical Studies Program.

Applicants should consider the efficiencies that might be gained by working cooperatively with one or more recipients of HUD's Healthy Homes Demonstration and/or Lead Hazard Control grants, which are widely distributed throughout the United States. Information on current grantees is available at <http://www.hud.gov/offices/lead>.

You may address one or more than one of the above technical studies topic areas within your proposal, or submit separate applications for different topic areas.

**Note:** A limited amount of hazard control activities, which involve construction rather than research, may be conducted as part of a Healthy Homes Technical Studies project (see Section IV.E.9 of this NOFA).

## 2. *Threshold Requirements Applicable to all Applicants.*

To receive an award of funds from HUD, you must meet all the threshold requirements in the General Section.

### 3. *Program Requirements.*

The following requirements are applicable to both the Healthy Homes Technical Studies and Lead Technical Studies Programs:

a. *Program Performance.* Grantees shall take all reasonable steps to accomplish all activities within the approved period of performance. HUD reserves the right to terminate the cooperative agreement prior to the expiration of the period of performance if the grantee fails to make reasonable progress in implementing the approved program of activities or fails to comply with the terms of the cooperative agreement.

b. *Regulatory Compliance.* Grantees must comply with all relevant federal, state, and local regulations regarding exposure to and proper disposal of hazardous materials.

c. *Blood Lead Testing.* Any blood lead testing, blood lead level test results, medical referral, or follow-up for children under 6 years of age will be conducted according to the recommendations of the Centers for Disease Control and Prevention (CDC), *Preventing Lead Poisoning in Young Children* (see Appendix B of this NOFA).

d. *Restricted Use of Funds.* HUD technical studies grant funds will not replace existing resources dedicated to any ongoing project.

e. *Laboratory Analysis for Lead.* Laboratory analysis covered by the NLLAP will be conducted by a laboratory recognized under the program.

f. *Laboratory Analysis for Mold.* Samples to be analyzed for mold (fungi) must be submitted to a laboratory accredited through the Environmental Microbiological Laboratory Accreditation Program (EMLAP), administered by the American Industrial Hygiene Association (AIHA).

g. *Human Research.* Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, required by HUD at 24 CFR 60.101, which incorporates the Department of Health and Human Services (DHHS) Protection of Human Subjects regulation at 45 CFR part 46.

h. *OSHA Compliance.* The requirements of the Occupational Safety and Health Administration (OSHA) (e.g., 29 CFR part 1910 and/or 1926, as applicable) or the state or local occupational safety and health regulations, whichever are most stringent, will be met.

i. *Civil Rights.* The institution administering the grant must meet the civil rights threshold set forth in the General Section.

j. *Disclosure.* All test results and other information in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the knowledge of lead-based paint and its hazards to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) (24 CFR Part 35, subpart A). Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required.

k. *Privacy.* Submission of any information on the properties to databases (whether Web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any child affected. You should also check to ensure you meet state privacy regulations.

l. Applicants must incorporate meaningful community involvement into any study that requires a significant level of interaction with a community during implementation (e.g., projects being conducted within occupied dwellings or which involve surveys of community residents). The term community refers to a variety of populations comprised of persons who have commonalities that can be identified (e.g., based on geographic location, ethnicity, health condition, common interests). Applicants should identify the community that is most relevant to their particular project. There are many different approaches to involving the community in the conception, design, and implementation of a study and the subsequent dissemination of findings. Examples include but are not limited to: Establishing a structured approach to obtain community input and feedback (e.g., through a community advisory board); including one or more community-based organizations as study partners; employing community residents to recruit study participants and collect data; and enlisting the community in the dissemination of findings and translation of results into improved policies and/or practices. A discussion of community involvement in research involving housing-related health hazards can be found in Chapter 5 of the Institute of Medicine publication titled "Ethical Considerations for Research on Housing-Related Health Hazards Involving Children" (see Appendix B for more information on this report).

m. *Economic Opportunities for Low- and Very Low-Income Persons (Section 3).* This program is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u). Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to businesses which provide economic opportunities to low- and very low-income persons. The

regulations may be found at 24 CFR part 135.

n. *Standardized Dust Sampling Protocol and Quality Control Requirements.* Grantees collecting samples of settled dust from participant homes for environmental allergen analyses (e.g., cockroach, dust mite) will be required to use a standard dust sampling protocol, unless there is a strong justification to use an alternate protocol (e.g., the study involves the development of an alternative sampling method). The HUD protocol can be found on the OHHLHC Web site at: <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>. Grantees conducting these analyses will also be required to include quality control dust samples, provided by OHHLHC at no cost to the grantee, with the samples that are submitted for laboratory analyses. For the purpose of budgeting laboratory costs, you should assume that 5 percent of your total allergen dust samples will consist of Quality Control samples.

#### 4. DUNS Requirement.

Refer to the General Section for information regarding the DUNS requirement. A DUNS number must be provided for the institution that is submitting an application. Your DUNS number must be included in your electronic application submission. Be sure to use the DUNS number that you have registered as an Authorized Organization Representative (AOR) with Grants.gov and that your eBusiness Point of Contact has authorized you to submit an application on behalf of the applicant organization (see the General Section for details about the Grants.gov registration process).

## IV. Application and Submission Information

If you are interested in applying for funding under this program, please review carefully the General Section and the following additional information.

### A. Addresses to Request Application Package

All applications must be submitted electronically. The information required to submit an application is contained in the program section of this NOFA and the General Section. Applications can be downloaded from the web at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If you have difficulty accessing the information you may call the Grants.gov help line toll-free at (800) 518-GRANTS (4726) from Monday to Friday from 7 a.m. to 9 p.m. eastern time, or send an e-mail to [Support@grants.gov](mailto:Support@grants.gov).



### B. Content and Form of Application Submission

1. *Applicant Data.* Your application must contain the items listed in this section. These items include the standard forms contained in the General Section that are applicable to this funding announcement (collectively referred to as the "standard forms"). Copies of these forms are available on line at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). The required items are:

a. *Application Abstract.* An abstract with the project title, the names and affiliations of all investigators, and a summary of the objectives, expected results, and study design (two-page maximum) must be included in the proposal. Information contained in the abstract will not be considered in the evaluation and scoring of your application. Any information you wish to be considered should be provided under the appropriate rating factor response.

b. *All forms as required by the General Section.* However, forms HUD-2991 (Certification of Consistency with the Consolidated Plan) and HUD-27061 (Race and Ethnicity Data) are not required with the application for these programs.

c. *Materials Submitted.* A project description/narrative statement addressing the rating factors for award under the program (Lead Technical Studies or Healthy Homes Technical Studies) for which you are applying. The narrative statement must be identified in accordance with each factor for award (Rating Factors 1 through 5). Number the pages of your narrative statement. The project description or narrative must be included in the responses to the rating factors. The response to the rating factors should not exceed a total of 25 pages, single-sided, with a minimum 12-point font and a minimum margin width of 1-inch. Any pages in excess of this limit will not be read. The points you receive for each rating factor will be based on the portion of your narrative statement that you submit in response to that particular factor, supplemented by any appendices that are referenced in your narrative response to the rating factor. Supporting materials that are not referenced or discussed in your responses to the individual rating factors will not be considered. Additional materials (e.g., appendices) must be submitted with your application according to the directions in the General Section. The footer on the pages of these materials should identify

the rating factor that they are supporting.

d. *Supporting Materials.* Include the resumes of the principal investigator and other key personnel and other materials that are needed in your response to the rating factors (e.g., organizational chart, letters of commitment, a list of references cited in your responses to the rating factors). Each resume shall not exceed three pages, and is limited to information that is relevant in assessing the qualifications and experience of key personnel to conduct and/or manage the proposed technical studies. This information will not be counted towards the Rating Factors narrative 25-page limit.

e. *Additional Information.* Submit other optional information provided in support of your application following the directions in the General Section. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read. Do not include additional narrative information that is an extension of or expands upon any of your rating factor responses. Such narrative will not be considered.

f. *Budget.* Include a total budget with supporting cost justification up to four pages, which will cover all budget categories of the federal grant request. This information will not be counted towards the Rating Factors narrative 25-page limit. Use the budget format discussed in Rating Factor 3, Section V.A.3.c, below. In completing the budget forms and justification, you should address the following elements:

(1) Direct Labor costs, including all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full time equivalent (FTE) or hours per year (hours/year) (i.e., one FTE equals 2,080 hours/year);

(2) Allowance for one trip to HUD Headquarters in Washington, DC, for each year of your grant, planning each trip for two people. The first trip will occur shortly after grant award for a stay of two or three days, depending on your location, and the remaining trips will have a stay of one or two days, depending on your location;

(3) A separate budget proposal for each subrecipient receiving more than 10 percent of the total federal budget request;

(4) Supporting documentation for salaries and prices of materials and equipment, upon request; and

(5) *Indirect Cost Rates.* Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. The documentation

will be verified during award negotiations. Organizations that do not have a federally negotiated rate schedule must obtain a rate from their cognizant federal agency, otherwise the organization will be required to obtain a negotiated rate through HUD.

g. *Checklist for Technical Studies Program Applicants.*

(1) Applicant Abstract (limited to 2 pages).

(2) Rating Factor Responses (Total narrative response limited to 25 pages.)

(a) Capacity of the Applicant and Relevant Organizational Experience (21 points).

(b) Need/Extent of the Problem (15 points).

(c) Soundness of Approach (50 points).

(d) Leveraging Resources (6 points).

(e) Achieving Results and Program Evaluation (8 points).

(f) Bonus Points (RC/EZ/EC-II) (2 points).

(3) Required materials in response to rating factors (does not count towards 25-page limit).

(a) Resumes of Key Personnel (limited to 3 pages per resume).

(b) Organizational Chart.

(c) Letters of Commitment (if applicable)—Letters of commitment should include language defining the activities to be performed, the contributions to be made, and the monetary value of each.

**Note:** HUD recommends against including letters of support that do not commit services, materials, or funds; they will not add to the consideration of your application.

(4) Optional material in support of the Rating Factors (20 page limit).

(5) Required Forms and Budget Material.

(a) Form SF 424 (Application for Federal Assistance).

(b) Form HUD-424-CBW (Budget Worksheet).

(c) Form HUD-96010 (Logic Model Form).

(d) Form SF-424 Supplement, "Survey on Ensuring Equal Opportunities for Applicants" ("Faith Based EEO Survey (SF-424 SUPP)" on Grants.gov) (to be completed by private nonprofit organizations only).

(e) Form SF LLL (Disclosure of Lobbying Activities, if applicable).

(f) Form HUD-2880, "Applicant/Recipient Disclosure/Update Report" ("HUD Applicant Recipient Disclosure Report" on Grants.gov).

(g) Form HUD-2990 (Certification of Consistency with the RC/EZ/EC-II Strategic Plan, required only for applicants who are seeking these 2 bonus points).

(h) Form HUD-2994-A (You Are Our Client Grant Applicant Survey, Optional).

(i) Form HUD-27300, "Questionnaire for HUD's Removal of Regulatory Barriers" ("HUD Communities Initiative Form" on Grants.gov) including the required information, if applicable.

(j) Form HUD-96011, "Third Party Documentation Facsimile Transmittal" ("Facsimile Transmittal Form" on Grants.gov) (Used as the cover page to transmit third party documents and other information designed for each specific application for tracking purposes. HUD will not read faxes that do not use the HUD-96011 as the cover page to the fax).

#### C. Submission Dates and Times

Electronic applications must be received and validated by Grants.gov on or before 11:59:59 PM eastern time on the application deadline date. Refer to the General Section for submission requirements.

#### D. Intergovernmental Review

This NOFA is excluded from the requirement of an Intergovernmental Review.

#### E. Funding Restrictions

1. *Administrative Costs.* There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix C of this NOFA, which can be downloaded from Grants.gov.

2. *Indirect Costs.* Please see <http://www.hud.gov/offices/adm/grants/fundsavail.cfm> for reference to the Indirect Cost requirements.

3. *Purchase of Real Property.* The purchase of real property is not an allowable cost under this program.

4. *Purchase or Lease of Equipment.* The purchase or lease of equipment having a per unit cost in excess of \$5,000 is not an allowable cost, unless prior written approval is obtained from HUD.

5. *Medical Treatment.* Medical treatment costs are not allowable under this program.

6. *Profit.* For profit institutions are not allowed to earn a profit.

7. You must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

8. You may not conduct lead-based paint or healthy home hazard control activities or related work that constitutes construction, reconstruction, repair or improvement (as referenced in Section 3(a)(4) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128)) of a building or mobile home which is located in an area identified by

the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

a. The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

b. Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

9. *Construction Activities.* The amount of HUD Lead Technical Studies grant funds used for lead-based paint hazard control activities may not exceed 20% of the total HUD funds awarded. The amount of HUD Healthy Homes Technical Studies grant funds used for construction activities may not exceed 40% of the total HUD funds awarded. Furthermore, the majority of any funds dedicated to Healthy Homes construction activities shall be spent for interventions not intended for lead hazard control.

#### F. Other Submission Requirements

Applicants are required to submit applications electronically via the Web site [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). See sections IV.B and F of the General Section for additional information on the electronic process and how to request a waiver from the requirement if necessary. Applicants should submit their waiver requests in writing using e-mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to Ms. Jonnette Hawkins at: [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov).

#### V. Application Review Information

##### A. Criteria

1. *Threshold Requirements.* Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.3 of this NOFA. Your application must receive a total score of at least 75 points to be considered for funding.

2. *Award Factors.* Each of the five factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 100 points plus a possible 2 bonus

points. Applicants should be certain that each of these factors is adequately addressed in the project description and accompanying materials.

##### 3. Rating Factors.

a. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (21 Points). This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of your application will include any sub-grantees, consultants, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor, HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of key and supporting personnel* (14 points). HUD will assess the qualifications of key personnel to carry out the proposed study as evidenced by relevant academic background, publications, and recent (within the past 10 years) research experience. Publications and/or research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed under this NOFA. HUD will also evaluate the qualifications of supporting personnel such as statisticians and research assistants. Partner organizations will also be evaluated with respect to their qualifications and capabilities to successfully implement their proposed project roles.

(2) *Past performance of the study team in managing similar projects* (7 points). HUD will evaluate your demonstrated ability to successfully manage various aspects (e.g., personnel management, data management, quality control, reporting) of a complex technical study, as well as your overall success in completing projects on time and within budget. If applicable, provide the number and title of current and past OHHLHC grants as well as past performance of the organization (applicant and/or partners) on other grant(s) or project(s) related to residential environmental health and safety research, or other relevant experience. Provide details about the nature of the project, the funding agency, and your performance (e.g., timely completion, achievement of desired outcomes). You should also discuss the degree to which the results from past research have been used to develop new or improved methods or tools for residential hazard assessment or control. If your organization has an

active OHHLHC grant or cooperative agreement, provide a description of the progress and outcomes achieved under that award.

If you completed one or more HUD-funded Technical Studies grants, your performance will be evaluated in terms of achievements made under the previous grant(s). If you have completed a previous HUD-funded Technical Studies grant but you have not published the study results in a peer-reviewed scientific journal, you should explain why the results have not been published.

b. Rating Factor 2: Need/Extent of the Problem (15 Points). This factor addresses the extent to which there is a need for your proposed technical study. In responding to this factor, you should document in detail how your project will make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in Section I.B.1.a (Lead Technical Studies) or I.B.1.b (Healthy Homes Technical Studies), as appropriate for the program to which you are applying. For example, you should demonstrate how your proposed study addresses a need with respect to the development of improved methods for the assessment and control of residential lead-based paint hazards or addresses a need associated with an important housing-related health hazard, with an emphasis on children's health. This is especially important for applicants that are proposing to study a lead or healthy homes topic that is not highlighted as a priority area by HUD in section III.C of this NOFA; such applicants that do not provide supporting language to demonstrate this will not receive points under this rating factor. Specific topics to be addressed for this factor include (five points for each item):

(1) A concise review of the research need that is addressed in your study and why it is high priority with respect to the program. For Healthy Homes Technical Studies applicants, include available documented rates of illness or injury associated with the hazard or hazards that you are addressing, including local, regional, and national data, as applicable.

(2) A discussion of how your proposed project would significantly advance the current state of knowledge for your focus area, especially with respect to the development of practical, cost-effective solutions.

(3) A discussion on how you anticipate your study findings will be used to improve current methods for assessing or mitigating the hazards under study. Indicate why the method/

protocol that would be improved through your study would likely be widely adopted (e.g., low cost, easily replicated, lack of other options).

c. Rating Factor 3: Soundness of Approach (50 Points). This factor addresses the quality of your proposed technical study plan. Specific components include:

(1) Soundness of the study design (26 points). Clearly and thoroughly describe the design of your proposed study and identify the major objectives. If possible, your study should be designed to address testable hypotheses that are clearly stated. The study should be presented as a logical sequence of steps or phases with individual tasks described for each phase. Your narrative should reflect the relevant scientific literature, which should be thoroughly cited in your application. Describe the statistical basis for your study design and demonstrate that you would have adequate statistical power to test your stated hypotheses and achieve your study objectives. You should identify any important "decision points" in your study plan and you should discuss your plans for data management, analysis and archiving. You should demonstrate that it is clearly feasible to complete the study within the proposed period of performance and successfully achieve your objectives. HUD has observed that studies can miss targeted performance timelines because of delays in the IRB approval process or unexpected difficulties with recruiting study participants, and delays in developing new laboratory methods or instruments. If applicable, describe actions that you will take to minimize the possibility that your study would experience delays in these areas (e.g., understanding likely IRB requirements in advance, planning on additional avenues for recruitment of participants, initiating the development of new methods/instruments).

If you are proposing to conduct a study that includes a significant level of community interaction (e.g., studies involving participant recruitment, survey research, environmental sampling on private property), describe your plan for meaningful involvement of the affected community in your proposed study. You should define the community of interest with respect to your proposed study and discuss why and how your proposed approach to community involvement will make a meaningful contribution to your study and to the community.

(2) *Policy Priorities (5 points)*. Indicate if your proposed study will address any of the FY 2007 policy priorities that are applicable to this NOFA (see the

General Section for additional details regarding these policy priorities). You will receive one point under Rating Factor 3(2) for each of the applicable FY 2007 policy priorities that are found in the General Section and applicable to the Technical Studies NOFA that are adequately addressed in your application, with the exception of "Removal of Barriers to Affordable Housing," for which you can receive up to two points (see the General Section). Policy priorities that are applicable to the Technical Studies NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grass-Roots Faith-based and other Community-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD Programs, and (4) Removal of Barriers to Affordable Housing.

Each policy priority is worth one point, except for policy priority (4), Removal of Regulatory Barriers to Affordable Housing, which is worth up to 2 points provided the applicant includes a narrative response and submits the required documentation as described in Form HUD 27300 to this policy priority. Applicants may also provide a Web site address where the documentation can be readily found.

(3) *Quality assurance mechanisms (8 points)*. You must describe the quality assurance mechanisms that will be integrated into your project design to ensure the validity and quality of the results. Applicants that receive awards will be required to submit a Quality Assurance Plan to HUD. You should plan for this and include Quality Assurance activities in your study work plan. The Office of Management and Budget paperwork approval for the Quality Assurance Plan template for this program is currently pending.

(a) Discuss the major quality assurance mechanisms that are relevant for your proposed study. Examples of quality assurance mechanisms include, but are not limited to: procedures for selection of samples/sample sites, sample handling, use of quality control samples, validating the accuracy of instrumentation, measures to ensure accuracy during data management, staff training, and final validation of your dataset. Documents (e.g., government reports, peer-reviewed academic literature) that provide the basis for your quality assurance mechanisms should be cited. Also, identify members of the study team who will have primary responsibility for drafting and ensuring compliance with the Quality Assurance Plan. Your application will be rated on

the thoroughness, clarity, and validity of your proposed quality assurance activities, and their appropriateness for ensuring the validity and quality of the data.

(b) For the collection of data using instruments, such as surveys and visual assessment tools, describe the procedures that you will follow to ensure accurate data capture and transfer (e.g., transfer of data from the field to a database). Also, describe any research done (or planned) to validate the instrument.

(c) *Institutional Review Boards*. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR 60.101, which incorporates the DHHS regulation at 45 CFR part 46), if your research involves human subjects, your organization must provide proof (e.g., a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before initiating such activities you must also provide the number for your organization's assurance (i.e., an "institutional assurance") that has been approved by the DHHS's Office for Human Research Protections (OHRP).

You do not have to provide proof of IRB approval with your application. If you do not have IRB approval yet, you should address how you will obtain such approval. Describe how you will obtain informed consent (e.g., from the subjects, their parents or their guardians, as applicable) and discuss the steps you will take to help ensure participants' understanding of the elements of informed consent, such as the purposes, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families including persons with disabilities. For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP Web site at <http://www.hhs.gov/ohrp/>.

(4) *Project management plan (5 points)*. The proposal should include a management plan that provides a schedule for the clear and expeditious completion of major tasks, with associated benchmarks and major study milestones, and major deliverables. If your application includes multiple organizations, you should identify the

organization/person that has primary responsibility for completion of each of the major study tasks. The major tasks and benchmarks/deliverables identified in the management plan should be consistent with those identified in the Logic Model (see description under Rating Factor 5). You should include plans for preparation of one or more articles for publication in peer-reviewed academic journals and submission of the draft(s) to the journal(s) after HUD acceptance. The final deliverable can be submitted to HUD during the agreed upon period of performance or during the 90-day closeout period following award expiration.

(5) *Budget Proposal (6 points)*.

(a) Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the General Section. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Form HUD-424-CBW) and all major tasks, for yourself, sub-recipients, major subcontractors, joint venture participants, or others contributing resources to the project. A separate budget must be provided for partners who are proposed to receive more than 10 percent of the federal budget request. Your application will be evaluated on the extent to which your resources are appropriate for the scope of your proposed study.

(b) Your narrative justification associated with these budgeted costs should be submitted as part of the Total Budget (Federal Share and Matching), but is not included in the 25-page limit for this submission. Separate narrative justifications should be submitted for partners that are submitting separate budgets.

(c) The application will not be rated on the proposed cost; however, cost will be considered in addition to the rated factors to determine the proposal most advantageous to the Federal Government. Cost will be the deciding factor when proposals ranked under the listed factors are considered acceptable and are substantially equal.

d. Rating Factor 4: Leveraging Resources (6 Points). Your proposal should demonstrate that the effectiveness of HUD's Technical Studies grant funds is being increased by securing other public and/or private resources or by structuring the project in a cost-effective manner, such as integrating the project into an existing study (either funded by HUD or another source) that will be concurrent with

your proposed study. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of your project. Staff and in-kind contributions should be assigned a monetary value.

You should provide evidence of leveraging/partnerships by submitting: letters of firm commitment, memoranda of understanding, and/or agreements to participate from those entities identified as partners in the project efforts. Each document must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization. Simple letters that only indicate support of the proposed study are not sufficient. Leveraging is discussed in Appendix D, "Matching and Leveraging Contribution Guidance," of this NOFA.

e. Rating Factor 5: Achieving Results and Program Evaluation (8 Points). This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their applications and assess their performance to ensure performance goals are met. Achieving results means you, the applicant, have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

Program evaluation requires that you, the applicant, identify program outcomes, interim products or benchmarks, and indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated goals. Your evaluation plan should identify what you are going to measure, how you are going to measure it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes.

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. In evaluating this factor, HUD will consider how you have described the procedures you will follow to have reliable outcome measures and performance, so that the project will be recognized as being of high quality that provides benefits to the community.

In your response to this Rating Factor, discuss the performance goals for your project and identify specific outcome

measures. Describe how the outcome information will be obtained, documented, and reported. You must complete and return the eLogic Model™ Form HUD-96010 included in the download instructions found as part of the application at <http://www.grants.gov>. You must show your proposed project short-term, intermediate, long-term and final results. Instructions on the Logic model are contained in the General Section and are also contained in Tab 1 of the electronic form. The form features drop down menus from which to select and construct the Logic Model response relevant to your proposal. The electronic logic model with dropdown menus is in the instruction download at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) under the program NOFA.

Also, in responding to this factor, you should:

(1) Identify benchmarks that you will use to track the progress of your study;

(2) Identify important study milestones (e.g., the end of specific phases in a multiphase study, recruitment of study participants, developing a new analytical protocol), which should also be clearly indicated in your study timeline. Also identify potential obstacles in meeting these objectives, and discuss how you would respond to these obstacles;

f. Bonus Points (2 points). Applicants are eligible to receive up to two bonus points for projects located within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), and which will serve the residents of these communities (see the General Section). In order to be eligible for these bonus points, applicants must meet the requirements of the General Section and submit a completed form HUD-2990, with descriptive language in the budget discussion describing the actual work that is to be done in these communities.

#### B. Review and Selection Process

1. *Corrections To Deficient Applications.* The General Section provides the procedures for correcting deficient applications.

2. *Rating and Ranking.* Awards will be made in rank order for each type of Technical Studies Program applications (Lead or Healthy Homes), within the limits of funding availability for the program.

a. *Partial Funding.* In the selection process, HUD reserves the right to offer partial funding to any or all applicants.

If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award.

b. *Remaining Funds.* See the General Section for HUD's procedures if funds remain after all selections have been made within either type of Technical Studies Program.

#### VI. Award Administration Information

##### A. Award Notices

1. *Notice of Award.* Applicants who have been selected for award will be notified by letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer. The letter will state the program for which the application has been selected, the amount the applicant is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the award. An executed cooperative agreement is the authorizing document.

HUD may require that all the selected applicants participate in negotiations to determine the specific terms of the cooperative agreement, budget, and Logic Model. If you accept the terms and conditions of the cooperative agreement, you must return your signed cooperative agreement by the date specified during negotiation. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant. Applicants should note that, if they are selected for multiple OHHLHC awards, they must ensure that they have sufficient resources to provide the promised match and/or leveraging for the multiple awards. During negotiations, applicants selected for multiple awards will be required to provide alternative match and/or leveraged resources, if necessary, before the grant can be awarded. This is required in order to avoid committing duplicate match and/or leveraged resources to more than one OHHLHC grant.

Awardees will receive additional instructions on how to have the grant account entered into HUD's Line of Credit Control System (LOCCS) payment system or its successor will be provided. Other forms and program requirements will also be provided.

In accordance with OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations), grantees expending \$500,000 in Federal funds within a program or fiscal year must submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, the address can be obtained from their Web site. The SF-SAC can be downloaded at <http://harvester.census.gov/sac/>.

2. *Debriefing.* The General Section provides the procedures applicants should follow for requesting a debriefing.

##### B. Administrative and National Policy Requirements

###### 1. Environmental Requirements.

###### a. Eligible Construction and Rehabilitation Activities.

(1) A Technical Studies award does not constitute approval of specific sites where activities that are subject to environmental review may be carried out. Recipients conducting eligible construction and rehabilitation activities must comply with 24 CFR part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities". Recipients that are States, units of general local government or Indian tribes must carry out environmental review responsibilities as a responsible entity under part 58. Where the recipient is not a State, unit of general local government or Indian tribe, a responsible entity, usually the unit of general local government or Indian tribe, must assume the environmental review responsibilities for construction or rehabilitation activities funded under this NOFA. Under 24 CFR 58.11, where the recipient is not a State, unit of general local government or Indian tribe, if a responsible entity objects to performing the environmental review, or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. In such cases, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed. See paragraph (2) below for additional assistance.

(2) For all grants under this NOFA, recipients and other participants in the project are prohibited from undertaking, or committing or expending HUD or non-HUD funds (including HUD leveraged or match funds) on, a project or activities under this NOFA (other

than activities listed in 24 CFR 58.34, 58.35(b) or 58.22(f) until the responsible entity completes an environmental review and the applicant submits and HUD approves a Request for the Release of Funds and the responsible entity's environmental certification (both on form HUD 7015.15) or, in the case where the recipient is not a State, unit of general local government or Indian tribe and HUD has determined to perform the environmental review under part 50, HUD has completed the review and notified the grantee of its approval. The results of the environmental reviews may require that proposed activities be modified or proposed sites rejected. For Part 58 procedures, see <http://www.hud.gov/offices/cpd/environment/index.cfm>. For assistance, contact Edward Thomas, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (215) 861-7670 (this is not a toll free-number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling 1-800-877-8339. Recipients of a grant under these funded programs will be given additional guidance in these environmental responsibilities.

b. All other activities not related to construction and rehabilitation activities are categorically excluded under 24 CFR 50.19(b)(1), (3), and (9) from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

2. *Conducting Business in Accordance with HUD Core Values and Ethical Standards.* If awarded assistance under this NOFA, prior to entering into a cooperative agreement with HUD, you will be required to submit a copy of your code of conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your code of conduct. See the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

3. *Participation in HUD-Sponsored Program Evaluation.* See the General Section.

4. *Removal of Barriers to Affordable Housing.* See the General Section.

5. *HUD Reform Act of 1989.* The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the General Section.

6. *Executive Order 13202.* Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202,

"Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects", is a condition of receipt of assistance under this NOFA.

**Note:** This Order only applies to construction work.

7. *Procurement of Recovered Materials.* See the General Section for information concerning this requirement.

8. *Davis-Bacon Wage Rates.* The Davis-Bacon prevailing wage rates do not apply to this program. However, if program funds are used in conjunction with other federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other federal programs.

### C. Reporting

1. *Post Award Reporting Requirements.* Final budget and work plans are due 60 days after the start date.

2. *Progress Reporting.* Progress reporting is required on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance at: <http://www.hud.gov/offices/lead>. For FY 2007, HUD is considering a new concept for the Logic Model. The new concept is a Return on Investment (ROI) statement. HUD will be publishing a separate notice on the ROI concept.

3. *Racial and Ethnic Beneficiary Data.* HUD does not require grantees to collect racial and ethnic beneficiary data for this program. Grantees conducting studies that do not involve people, such as those confined to the laboratory or certain types of environmental sampling, will not be required to submit Form-27061 to HUD. If, however, racial and ethnic data are collected and reported as part of a study funded under this program NOFA, you must use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data as presented on Form HUD-27061, Racial and Ethnic Data Reporting Form (and instructions for its use), found on [http://www.hudclips.org/sub\\_nonhud/html/forms.htm](http://www.hudclips.org/sub_nonhud/html/forms.htm).

4. *Final Report.* The cooperative agreement will specify the requirements for final reporting (e.g., final technical report and final project benchmarks and milestones achieved against the

proposed benchmarks and milestones in the Logic Model which was approved and incorporated into your cooperative agreement).

5. *Draft Scientific Manuscript(s).* Grantees will be required to complete a minimum of one draft manuscript for publication in a peer-reviewed journal.

### VII. Agency Contact(s)

For technical help in downloading an application from Grants.gov or submitting an application via Grants.gov, call the Grants.gov help desk at 800-518-GRANTS. For programmatic questions on the Lead Technical Studies program, you may contact Dr. Robert Weisberg, Office of Healthy Homes and Lead Hazard Control, at (202) 755-1785, extension 7687 (this is not a toll-free number) or via e-mail at

[Robert\\_F.\\_Weisberg@hud.gov](mailto:Robert_F._Weisberg@hud.gov). For programmatic questions on the Healthy Homes Technical Studies program, you may contact Dr. Peter Ashley, Office of Healthy Homes and Lead Hazard Control, at (202) 755-1785, extension 7595 (this is not a toll-free number) or via e-mail at [Peter\\_J.\\_Ashley@hud.gov](mailto:Peter_J._Ashley@hud.gov). For grants administrative questions, you may contact Ms. Curtissa L. Coleman, Office of Healthy Homes and Lead Hazard Control, at telephone (202) 755-1785, extension 7580 (this is not a toll-free number) or via e-mail at [Curtissa\\_L.\\_Coleman@hud.gov](mailto:Curtissa_L._Coleman@hud.gov). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

### VIII. Other Information

A. Other Office of Healthy Homes and Lead Hazard Control Information. For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit <http://www.hud.gov/offices/lead>.

B. Paperwork Reduction Act. The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2539-0015. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 80 hours per respondent for the application and 16 hours to finalize the cooperative agreement. This includes

the time for collecting, reviewing, and reporting the data for the application. This information will be used for grantee selection. The reporting burden for completion of the Quality Assurance Plan by applicants who are awarded a

grant is estimated at 24 hours per grantee (OMB approval is pending). Response to this request for information is required in order to receive the benefits to be derived.

C. Appendices. Appendices A, B, C and D to this NOFA are available for downloading with the application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

## **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

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### **HEALTHY HOMES LEAD HAZARD CONTROL PROGRAMS**

### **TECHNICAL STUDIES NOFA**

### **LEAD OUTREACH GRANT PROGRAM**

## Lead Outreach Grant Program

### Overview Information

A. Federal Agency Name: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control (OHHLHC).

B. Funding Opportunity Title: Lead Outreach Grant Program.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: The **Federal Register** number is: FR-5100-N-26. The OMB approval number is 2539-0015.

E. Catalog of Federal Domestic Assistance (CFDA) Number(s): 14.904, Lead Outreach Grant Program.

F. Dates: The application deadline date is May 18, 2007. Applications must be received and validated by grants.gov no later than 11:59:59 pm eastern time on the application deadline date. See Section IV of the General Section, regarding application submission procedures and timely filing requirements.

G. Additional Important Information:

1. *Overall Purpose.* This funding opportunity is to provide funding for information dissemination about lead poisoning prevention through outreach.

2. *Available Funds.* Approximately \$2 million is available under this program.

3. *Number of Awards.* Approximately 5 to 8 cooperative agreements will be awarded.

4. *Type of Awards.* The awards will be made as cooperative agreements.

5. *Eligible Applicants.* Academic and non-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. For-profit firms are also eligible; however, they are not allowed to earn a fee (i.e., no profit can be made from the project).

6. *Matching Requirements and Leveraging.* Ten percent match or cost sharing from applicant and partners is required. All contributions, regardless of source, above the 10 percent match are considered leverage. Leveraging is encouraged. Applications will receive a higher score under Rating Factor 4 if you provide evidence of significant cost sharing and leveraging. Leveraging means increasing the amount or number of eligible activities that can be performed under this award through cash or in-kind contributions of resources. Applicants must provide evidence that proposed matching resources are not from Federal funds, and provide a statement of commitment that proposed matching or leveraging resources are not previously committed as match or leverage to support other

applications or existing awards. Match and leveraged resources may be used only for eligible activities. See Section III.B and Section V, Rating Factor 4.

7. *Limitations on Applications.* Each applicant, partner, sub-contractor and sub-recipient may participate in only one application to the Lead Outreach program. Outreach applicants are not prohibited from receiving other OHHLHC grant awards if those grant programs' selecting official selects them for such awards.

### Full Text of Announcement

I. Funding Opportunity Description. Background information about lead, lead-based paint hazards and other information applicable to this NOFA can be found at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

A. Purpose of the Program. The purpose of this program is to raise public awareness and deliver HUD-approved training about lead-based paint as a source of lead poisoning, childhood lead poisoning prevention, and proper lead hazard identification, control and lead safe rehabilitation and maintenance methods for at-risk communities and children, primarily to underserved populations. Only entities, states or local governments that are not current Lead-Based Paint Hazard Control, Lead Hazard Reduction Demonstration, or Operation Lead Elimination Action Program (LEAP) grantees, or sub-grantees, contractors or sub-contractors receiving 10 percent or greater of the award may apply to this program. If an applicant has received previous OHHLHC funding, the application must clearly explain why there remains a need for lead outreach in that jurisdiction.

B. Authority. The authority for this program is Sections 1011(e)(8) and (g)(1) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992), and the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110-5, approved February 15, 2007).

C. Changes in the FY 2007 Competitive NOFA. Listed below are major changes from the FY 2006 Lead Outreach NOFA:

1. The outreach and education categories have been merged and the technical assistance category of activity has been eliminated.

2. Eligible outreach and educational activities are clearly identified and described.

3. For this round of funding, higher points will be awarded to communities having confirmed elevated blood level (EBL) rates for children under 6 years of

age equal to or greater than 2.5 percent and that track and report lead poisoning data.

## II. Terms of Award

### A. Available Funding

Approximately \$2 million from fiscal year 2007 and prior year funds is available under this program. HUD anticipates that approximately five to approximately eight cooperative agreements will be awarded, for a minimum of \$200,000 and a maximum of \$400,000 each for the entire period of performance.

### B. Type of Award and Period of Performance

1. Awards will be made as cooperative agreements.

2. The anticipated start dates for new awards is expected to be no later than October 1, 2007. The period of performance for awards will be 24 months from the date of award.

3. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 84.25(e)(2) or 85.30(d)(2), as applicable, and the OHHLHC Program Guide. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. Although applicants are encouraged to plan projects with shorter performance periods than 24 months, you should consider the possibility that issues may arise that could cause delays when developing your schedule.

## III. Eligibility Information

### A. Eligible Applicants

1. Academic, not-for-profit and for-profit institutions located in the United States, states and units of general local government, and federally recognized Native American tribes are eligible to apply. For-profit firms are not allowed to earn a fee (i.e., make a profit from the project).

2. Current Lead-Based Paint Hazard Control, Lead Hazard Reduction Demonstration, or Operation Lead Elimination Action Program (LEAP) grantees, sub-grantees, entities, states or local governments receiving 10 percent or greater of the grant award are not eligible to apply to this program as applicants, sub-grantees, team members, contractors or sub-contractors in any capacity receiving 10 percent or greater of grant funds. Conversely, an entity may not apply under this NOFA or be a sub-grantee, sub-contractor, participant, or partner receiving 10 percent or greater of grant funds. An entity that is an existing grantee, sub-



grantee, sub-contractor or partner receiving 10 percent or greater of grant funds on another application or grant may not apply under this program in any role. Organizations that are "doing business as" a different organization are considered to be the same entity. Organizations may not qualify for eligibility by applying under a different name.

**B. Cost Sharing or Matching Requirements.** A 10 percent match is required. Leveraging is encouraged. Applicants must provide a matching contribution of at least 10 percent of the requested cooperative agreement sum. If an applicant does not include proper documentation of the minimum 10 percent match requirements in the application, it will be considered ineligible for an award and will not be reviewed. Matching contributions may be in the form of cash or in-kind (non-cash) contributions or a combination of these sources. Matched resources must be used only for eligible activities. With the exception of Community Development Block Grant (CDBG) funds, or other programs that only allow their funds to be considered local funds and therefore eligible to be used as matching funds, federal funds may not be used to satisfy any statutorily required matching requirement, as applicable. Federal funds may be used, however, for contributions above the 10 percent match requirement, provided that these funds are used only for eligible activities under the Lead Outreach program. The applicant must submit a letter of commitment for the match or leverage from each organization other than itself that is providing match or leverage, whether cash and/or in-kind. The letter must indicate the amount and source of the match, and detail how the matching funds will be specifically dedicated to and integrated into supporting the proposed cooperative agreement program. The signature of the authorized official on the Form SF-424 commits proposed matching or other contributed resources of the applicant organization. A separate letter from the applicant organization is not required.

### C. Other

#### 1. Threshold Requirements.

Applicants must also meet the threshold requirements of the General Section, including the Civil Rights threshold.

2. Policies applicable to all activities in this NOFA.

a. Each awardee will be assigned a GTR (Government Technical Representative) who will provide oversight and approve grantees' activities and deliverables.

b. Awardees must use existing outreach, training and technical assistance documents unless they can adequately justify in their application that a great need exists in their community to substantively modify existing documents or create new ones. Before creating a new product (such as a brochure, curriculum or technical document), grantees must investigate if a similar item already exists and can be used or revised with a level of effort lower than would be spent creating a new equivalent product. Applicants must ensure that materials are appropriate for the target populations, including persons with Limited English Proficiency (LEP), and for visually impaired or other disabled persons (see Eligible Activities, below). All new products and adaptations/translations must be submitted to HUD as deliverables, in electronic format suitable for web posting.

c. For use under this program, all documents in languages other than English must be culturally neutral (understandable by speakers of all dialects of the target language). For a new translation to be acceptable, grantees must provide evidence that translators are certified by the American Translators Association. Awardees are responsible for first determining if a translation already exists. Quality reviews are required for all translations. Reimbursements will not be allowed for translations of federal documents that have previously been translated into the target language.

d. HUD has noted that during prior funding rounds, some applicants to this program have not met all requirements for application content and submission. HUD recommends that applicants use and follow the application checklist in this NOFA to help them identify any missing elements and complete the application before it is submitted. No information may be submitted after the deadline date except under the threshold review process. Although applications with curable deficiencies are offered an opportunity at threshold review to submit certain information to cure these deficiencies, non-curable deficiencies are not correctable and may disqualify an application. (See General Section.)

3. *Eligible Activities.* Consideration will only be given to proposed activities that are specifically listed as eligible in this NOFA. Other work activities are ineligible. All activities must address childhood lead poisoning prevention (primarily from lead-based paint in housing) and/or control at the national, regional, and/or local levels. If an activity or training curriculum is not

specifically listed below, it may not be used. The following section lists specific eligible activities.

a. Door-to-door canvasses, small-group meetings, community meeting visits, health fairs, conducting presentations or speaking engagements to inform the public and owners of housing, including owners receiving rehabilitation or other tax credits, about programs that can assist in control of the identified lead hazards, and other activities to publicize or conduct events that highlight lead hazards in the home environment;

b. Earned media (no-cost public service announcements), news stories in radio, print, or TV to raise public awareness and promote name recognition for treatment programs;

c. Advertising (paid ads on buses, billboards, etc.);

d. Use of collateral materials and campaign props and incentives. These materials include outreach brochures and printed materials, visual presentations, giveaways with outreach providers' phone numbers/contact information, mascots, cleaning kits, meals not to exceed \$10 in value per meal per person, etc. The use of appropriate training materials is also eligible, but training materials are not considered to be collateral materials, props or incentives. (See paragraph III.C.3.o., Eligible Activities, below.) Outreach materials and props can support general lead outreach and education efforts. However, the budget must include details of the items including cost per item. All expenditures made by a grantee must be linked to specific outreach activities and listed in the approved budget;

e. Development and maintenance of infrastructure and support such as telephone hotlines and Web sites;

f. Entering into working arrangements with regional/local non-profit organizations, including grassroots community-based organizations, faith-based organizations; chambers of commerce; public and private social service agencies; corporations, retailers, construction organizations, or unions for the purpose of coordinating or conducting joint outreach activities;

g. Other outreach activities designed to disseminate information to targeted populations identified as being at-risk of lead poisoning;

h. Making materials available in alternative formats for persons with disabilities (e.g., Braille, audio, large type) upon request, and providing materials in languages other than English that are common in the community, consistent with HUD's published Limited English Proficiency

(LEP) Recipient Guidance, 68 FR 70968 (see above);

i. Program administration in accordance with the guidelines established under funding restrictions;

j. Program evaluation and assessment activities to improve the effectiveness of present and future outreach efforts and to measure whether efforts have successfully been targeted to at risk populations;

k. Innovative use of funds to outreach and education to regional/local community groups, residents, and other appropriate community stakeholders to resolve regional/local lead poisoning problems, as approved by the GTR;

l. Delivery of HUD-approved (or state-approved, as applicable) Lead Safe Work Practices (Interim Controls), EPA- or state-approved lead training, Lead Awareness training curricula, or visual assessment training, for the target audience(s);

m. Training regional/local residents and businesses, including retail paint sales associates and managers, on identifying and preventing lead-based paint hazards, and lead safe maintenance and renovation work practices, etc.;

n. Educating tenants, owners, housing inspectors, and others about HUD's lead safety regulations, including the Lead Disclosure Rule and Lead Safe Housing Rule (24 CFR part 35), regional/local building codes, and HUD's Housing Quality Standards (HQS) and Uniform Physical Condition Standards (UPCS), as applicable;

o. Training curriculum design, development, maintenance and evaluation; preparing, distributing appropriate training materials, including photographs, other graphics and visual presentations (compliance with copyright and trademark laws is the responsibility of the grantee);

p. Applying for or maintaining EPA, State or HUD approval of training program (as applicable);

q. Promoting or marketing training courses directly or through partnerships with organizations conducting outreach;

r. Delivery of formal or one-on-one or group educational or training sessions in classrooms, homes or other locations;

s. Delivery of informal one-on-one or group educational sessions, workshops or demonstrations in homes or other locations (cleaning techniques, etc.);

t. Participation in training-related partnerships and task forces; and,

u. Auditing course delivery, training, mentoring and evaluating trainers to increase lead safety training capacity.

#### IV. Application and Submission Information

A. Address to Request Application Package. All the information required to submit an application can be downloaded from the web at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Consult the General Section for more information. If you have difficulty accessing the information, you may call the Grants.gov helpline toll-free at (800) 518-GRANTS or e-mail [Support@grants.gov](mailto:Support@grants.gov).

#### B. Content and Form of Application Submission

1. *Application Format.* Because of the electronic submission process, proposals must conform to the formatting requirements below to be eligible. All material submitted must be required or be in support of the narrative response to the rating factors. Any material, whether required or supplemental, that is not properly located in the application, and referenced and discussed within the narrative statement as described below, will not be rated. The narrative response to all rating factors (see below) must be submitted within a single electronic file within the zip file attached to the application. The narrative response to the five rating factors may not exceed 25 pages (excluding required additional materials and worksheets, see below) equivalent to one-side only on 8½ x 11 inch paper using a standard 12-point font with not less than ¾-inch margins on all sides. Each attachment or appendix must be an individual electronic file. All pages must be numbered in order starting with the cover page and continuing through the appendices. HUD is not responsible for electronic transmission errors or omissions. Applicants are responsible for verifying the successful transmission of all documents submitted with their applications.

2. *Prohibition on Materials Not Required.* Submission of materials other than those specified as allowable by this NOFA are prohibited. Reviewers will not consider resumes (other than those called for in response to the rating factors), reports, charts, letters, or any other documents attached to the application.

3. *Required Application Contents.* Applications must contain all of the information required by this NOFA, including the following items:

a. *Application Abstract.* An abstract is required. It may not exceed 2 pages of 8½ x 11 inch paper using a standard 12-point font with not less than ¾-inch

margins on all sides in length, and must summarize the proposed project, including the objectives, proposed activities and expected results, the dollar amount requested, and contact information for the applicant and project partners. Information contained in the abstract will not be considered in the evaluation and scoring of your application. Any information you wish considered should be provided under the appropriate rating factor. The 2-page abstract will not be included in the 25-page limit of the application.

The abstract will be used for developing the news release to the public if the application is funded.

b. *Narrative Response.* A narrative statement with supporting required forms and other documents addressing the five rating factors for award is required. This portion of the application consists of a narrative response to each of the five rating factors (total 25-page limit), specific HUD-required forms documents (which do not count toward the page limit), and optional supplemental material (20-page limit). Pages in excess of these limits will not be read. Each of Rating Factors 1–5 has an associated required form (HUD–96012, HUD–96013, HUD–96014, HUD–96015, and HUD–96010, respectively) that does not count toward the page limits, and must be located immediately after the response to that rating factor (see list of forms, below). You are advised to review each factor carefully for program specific requirements. The response to each factor should be concise and contain only information relevant to the factor, but detailed enough to address each factor fully. Please do not repeat material in response to the five factors; instead, focus on how well the proposal responds to each of the factors. In factors where there are sub-factors, each sub-factor must be presented separately.

All information relative to a given rating factor MUST be contained in the narrative for that rating factor. If it is found in a different rating factor, IT WILL NOT BE CONSIDERED. In addition, supplemental material that is not referenced and discussed within that portion of the narrative will not be considered.

c. In addition to the abstract and narrative response described above, the following materials (which do not count toward the page limits) must be included in the locations specified: resumes, process flow diagram for the project (*not* the employer's organizational chart), budget, and other required forms. The standard forms can be found in the application package on Grants.gov.

(1) Resumes and a process flow diagram for your project must be placed immediately following the narrative response to Rating Factor 1. Resumes for project director, day-to-day program manager and up to 3 key personnel (limited to 3 pages per resume) are required. (See Rating Factor 1.)

(2) Include a detailed budget for any sub-contractors, sub-grantees, or sub-recipients receiving greater than 10 percent of the federal budget request. Use the budget format discussed in Rating Factor 3.

(3) Form HUD-96010, Logic Model (See Rating Factor 5).

(4) General letters of support will not be considered and are discouraged.

d. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. Do not submit the checklist (see below) with the application.

#### *Checklist for Applicants*

##### *Abstract (Limited to 2 Pages)*

##### *Required Information Supporting Rating Factors*

1. Capacity of the Applicant and Relevant Organizational Experience, plus Form HUD-96012; Resumes of Proposed Project Director, Day-to-day Program Manager and up to 3 Key Personnel; Project Organization Chart.

2. Need/Extent of the Problem, plus Form HUD-96013.

3. Soundness of Approach, plus Form HUD-96014; budget forms and narrative budget justification.

4. Matching and Leveraging Resources plus Form HUD-96015, Leveraging Resources, Letters of Commitment attached immediately after Rating Factor 4.

5. Achieving Results and Program Evaluation plus Form HUD-96010 Logic Model.

##### *Additional Material Supporting the Rating Factors (attachments, appendices, etc.: 20-page limit)*

##### *Complete Checklist of Required Forms and Budget Material*

1. Form SF-424 (Application for Federal Assistance).

2. Form HUD-CBW (Detailed Budget Worksheet).

3. Form SF-424 SUPP (Faith Based EEO Survey) (to be completed by private nonprofit organizations only).

4. Form SF-LLL (if applicable) (Disclosure of Lobbying Activities).

5. Form HUD-2880 (Applicant Recipient Disclosure Report).

6. Form-2990 Certification of Consistency with the RC/EZ/EC/II Strategic Plan (required only for

applicants who are seeking these bonus points).

7. Form HUD-2994A You Are Our Client Grant Applicant Survey (Optional).

8. Form HUD-27300 HUD Communities Initiative (if applicable) (up to 2 points can be awarded).

9. Form HUD-96011 Facsimile Transmittal, for electronic applications (used as the cover page to transmit third-party documents and other documentation designed for each specific application for tracking purposes. HUD will not read faxes that do not use the HUD-96011 as the cover page to the fax).

#### *C. Submission Dates and Times*

*Application Submission Dates:* Applications must be received and validated by Grants.gov by 11:59:59 p.m. eastern time on the deadline date. Refer to the General Section for additional requirements including registration requirements, deadline dates, Grants.gov validation, proof of delivery, and other information regarding electronic application submission via <http://www.grants.gov>.

D. Intergovernmental Review. Not applicable to this program. See 24 CFR Part 52.

#### *E. Funding Restrictions.*

1. *Administrative Costs.* There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix A and can be downloaded with this application from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Eligible administrative costs include leases for office space, under the following conditions:

a. The lease must be for existing facilities not requiring rehabilitation or construction;

b. No repairs or renovations of the property may be undertaken with federal funds;

c. Properties in the Coastal Barrier Resources System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased with federal funds.

2. *Indirect Costs.* You must comply with Indirect Cost requirements. Guidelines for indirect cost requirements are provided in Appendix B and may be downloaded as part of your application package from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

3. HUD will not fund the following ineligible activities:

a. Purchase of real property.

b. Purchase or lease of equipment having a per-unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.

c. Identification of lead-based paint or lead-based paint hazards, hazard reduction (including, interim controls or abatement), rehabilitation, remodeling, maintenance, repair, or any other construction work, blood lead testing of adults or children, laboratory analysis, medical treatment, clearance examinations and visual assessment.

d. Renovations or construction work on office space leased for the program.

e. Activities required in order to fulfill court orders or consent decrees, settlements, conciliation agreements, or other compliance agreements.

#### *F. Other Submission Requirements*

1. Applications are required to be received and validated electronically via the Web site <http://www.grants.gov>. See Section IV of the General Section for additional information on the electronic process. Waivers may only be granted for cause. See General Section for further discussion.

2. *Waiver of Electronic Submission Requirements.* Applicants should submit their waiver requests in writing by e-mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to Jonnette Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov).

#### **V. Application Review Information**

##### *A. Criteria*

1. *Threshold Requirements.* Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.3 of this NOFA. Your application must receive a total score of at least 75 points to be considered for funding.

2. *Award Factors.* Each of the five factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 100 plus 2 possible bonus points. Applicants should be certain that each of these factors is adequately addressed in the project description and accompanying materials.

3. Rating Factors for All Categories.

a. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points). This factor includes information about the organization, its individual employees

and partners, and past performance. Higher points will be given for more recent, relevant experience of high quality. The following areas will be evaluated: organizational capacity, experience and past performance, individual staff and participants' qualifications including education and experience, and specific qualifications related to the categories of activities under this NOFA. Applicants should not explain their work plans in this rating factor response, but should demonstrate the ability and commitment of its organization as a whole and the individuals proposed to serve on this project.

(1) *Organizational Experience*. This sub-factor addresses the extent to which the applicant's organization has the organizational experience necessary to successfully implement the proposed activities in a timely manner. HUD will evaluate the organization's experience in initiating, implementing, and evaluating related outreach, health education and training and recruitment projects, or solving community problems directly related to this program. In rating this sub-factor, HUD will consider the extent to which the proposal demonstrates organizational experience that is recent and relevant. HUD will consider organizational experience within the last 5 years to be recent and experience pertaining to activities of similar scope to be relevant.

(a) Describe whether you have sufficient personnel, or will be able to quickly hire qualified experts or professionals to begin your proposed project within 30 days of award, if funded.

(b) Describe how the principal components of your project organization will participate in, or support, your project, and how you propose to coordinate with your partners. Include a project-specific organizational chart indicating the organizational capacities of and interrelationships among the various entities involved in the project. Do not provide an organization chart of your employer unless it meets the project-specific criteria described above.

(c) Past performance in previous projects with an emphasis on health education, outreach and recruitment, training and education, or technical assistance. This sub-factor evaluates the extent to which an applicant has performed previous work successfully. Provide details about the nature of projects performed through grants or contracts. Applicants failing to disclose previous grants or contracts with OHHLHC or HUD may be deemed ineligible for award. To receive maximum points for this factor,

applicants must provide the following specific information:

(i) A detailed list outlining the period of performance, achievement of specific tasks, measurable objectives (benchmarks) and outcomes consistent with the approved timeline/work plan and budget;

(ii) If any applicant, proposed partner, contractor, sub-contractor or sub-recipient intending to receive 10 percent or greater of the award funding has had previous OHHLHC grant funding, the application must provide details about the level of performance on that grant, clear justification as to why additional funds are requested at this time and explanation regarding the local lead poisoning surveillance and a tracking system. If the jurisdiction has no local system for tracking and reporting blood lead data, do not enter any EBL data on HUD-Form 96013 (see Rating Factor 2, Need/Extent of the Problem).

(iii) Comparison of previous awards' proposed match or leveraged resources compared to what was actually matched; and,

(iv) A detailed list outlining the timeliness and completeness of complying with all reporting requirements. In addressing timeliness, compare when reports were due with when they were actually submitted.

(2) *Individual Qualifications:*

(a) *Project Director and Day-to-Day Project Manager*. OHHLHC considers these to be among the most important individuals working on its grants. Programs that do not experience vacancies or high turnover in these important positions typically have levels of performance and success that are higher than those of programs having vacancies or high turnover. Identify by name the individuals proposed to serve as the overall project director and day-to-day project manager. The terms "Project Director" and "Day-to-Day Project Manager" must be used consistently in the application to earn points for individuals having these responsibilities, regardless of their current employer-assigned position titles. Describe their individual qualifications that will enable them to function effectively in their assigned roles, including knowledge, work experience, management experience, education, training, and publications. Include specific projects they have performed involving planning and managing large and complex interdisciplinary outreach or educational programs, especially those involving housing, public health, or environmental initiatives.

(b) *Other Key Personnel*. Identify by name and position up to three

additional key personnel. In this rating factor response, provide the individual qualifications, experience, percentage commitment to the project, salary costs to be paid by funds from this program, and role in the proposed project for each key personnel. You must provide resumes (or position descriptions and copies of job announcements including salary range, for vacant positions) for the project director, day-to-day project manager, and up to three additional key personnel to receive maximum points for this rating sub-factor.

(c) *Sub-recipients (sub-grantees, sub-contractors and consultants)*. Include descriptions of their experience and qualifications. Detail their grant and financial management experience. You may find it useful to include a table indicating the name, position and percentage contribution of participating individuals, specifying organizational affiliation. Describe who is responsible for quality control of processes and materials produced by sub-recipients.

(3) In addition to other eligibility criteria and knowledge of OHHLHC's grant programs, applicants must also demonstrate specific capacity as follows:

(a) *Outreach Providers*: Specific capacity to provide outreach services, such as holding community meetings, health fairs, adapting printed materials, writing public service announcements, etc. Applications that include development and distribution of media products in languages other than English must include a discussion of the applicant's (or sub-grantee's/contractor's) expertise in those languages and in meeting the informational needs of non-English-speaking, underserved populations. Outreach grantees involving face-to-face interaction with the community should have staff that are well-trained, motivated, committed to the program, and reflect the characteristics of the target community.

b. *Rating Factor 2: Need/Extent of the Problem (10 Points)*. This factor addresses the extent to which there is a need for funding the proposed program activities and an indication of the importance of meeting the need(s) in the target area. In this round of funding, HUD is targeting those communities with significant numbers of lead poisoned children. All applicants are encouraged to target minority populations and utilize minority media in an effort to achieve diversity in outreach and educational efforts. The proposal will be evaluated on the extent to which the level of need for the proposed activities and the importance of meeting the need(s) are documented.

To earn any points for this factor, the data used must be specific to the area where the proposed activities will be carried out (for projects with specific regional/local target areas, do not apply the data to the entire regional/locality or state). To receive maximum points for this factor, proposals must demonstrate that the target area(s) has a rate of elevated blood lead levels in children up to age six of 2.5 percent or greater. Lead poisoned children are children up to age 6 (72 months) who are tested and have confirmed blood lead levels of at least 10 micrograms per deciliter ( $\mu\text{g}/\text{dL}$ ). For this program, the confirmed EBL rate is the total number of confirmed cases expressed as a percentage of the total number of children tested.

In order to receive maximum points, proposals addressing one or a few communities must explain how the targeted community's(ies) Five Year Consolidated Plan(s) and Analysis(es) of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need. Only communities whose Consolidated Plans identify lead-based paint hazards in housing as a serious problem and have a clear implementation strategy for meeting this need will receive maximum points for this rating factor. Communities having Consolidated Plans that indicate the most serious needs and present the clearest strategies will receive higher points for this rating factor.

To demonstrate these needs, applicants must use surveys or other analyses contained in at least one or more current and reliable data sources. In rating this factor, HUD will consider data collected within the last five (5) years and published by government agencies or peer-reviewed journals to be current and reliable. Sources for regional/localized data can be found at: <http://www.ffiec.gov>. Other reliable sources of data include, but are not limited to, Census reports, HUD Continuum of Care gap analysis and its E-Map (to find additional information, go to HUD's Web site: <http://www.hud.gov/emaps>), Comprehensive Plans, community needs analyses such as provided by the United Way, and other sound, reliable, and appropriate sources.

c. Rating Factor 3: Soundness of Approach (40 Points). This factor contains three sub-factors:

- (1) your goals and objectives;
- (2) the quality and cost-effectiveness of your proposed work plan; and,
- (3) proposed budget.

Before developing a work plan, applicants should review the activities

that are not eligible under this program, as described in Section IV.E.3, above. No points will be awarded for ineligible activities. Higher points will be given to applications that contain approaches with clearly articulated goals, activities and sub-activities, and demonstrate a logical progression of implementation steps.

(1) Project Goals (10 Points). Describe:

(a) The goals and objectives for your project based on the need described under Rating Factor 2, and

(b) How proposed activities would address your goals and HUD's policy priorities.

See the General Section for information on HUD's policy priorities. The policy priorities that are applicable to the Lead Outreach NOFA and that are eligible for one point each are: (1) Improving our Nation's Communities (focus on distressed communities); and (2) Providing full and equal access to grass-roots, faith-based and other community-based organizations in HUD program implementation. Removal of regulatory barriers to affordable housing is eligible for up to 2 points provided the required documentation, as specified in form HUD 27300 (HUD Communities Initiative), is part of the application submission to HUD. Applicants may also provide a Point of Contact Name and phone or email address and the required documentation as noted in the form HUD 27300. You may provide a URL for a Web site where the required documentation is readily accessible for use.

(2) Work Plan (20 Points). HUD will award maximum points for this sub-factor to applications that demonstrate a high probability of success of the program, convey the significance of the tasks identified, and propose realistic time frames. This portion of the response will be evaluated based on the extent to which the proposed work plan demonstrates the following:

(a) The general approach and overall strategy;

(b) Specific, measurable and time-phased objectives for each major program activity, accompanied by a complementary schedule indicating proposed date(s) of completion (in three-month intervals);

(c) Specific services and/or activities. The work plan must identify all major tasks and list all proposed activities in sequential order. For maximum points, the activities must correlate to the needs explained in the narrative response to Rating Factor 2. All activities under this program must assist the regional/local area to develop or implement a strategy to eliminate lead poisoning, target at-risk populations or areas, and

implement programs to meet those populations' information needs. In addition, grantees' regular, routine activities must provide information to owners and low-income occupants about regional/local resources for housing rehabilitation and lead hazard control programs.

Describe in detail how you will identify and serve participants receiving services, especially participants in high-risk groups and communities, vulnerable populations and persons traditionally underserved. Include a brief, concise outreach strategy or marketing plan, as applicable, in the work plan and list on the Logic Model (submitted under Rating Factor 5). To receive maximum points, you must:

(i) Identify your approaches to overcoming poor response, attendance or participation difficulties and explain how you will ensure that proposed activities do not duplicate activities by others for the target area previously completed or currently underway;

(ii) Identify the personnel responsible for major tasks;

(iii) Describe your products or outputs and expected outcomes or impacts;

(iv) Describe your proposed methods to research existing materials or develop new ones, and print and disseminate materials for outreach or training. (Note: All products to be distributed to the public, whether in hard copy or electronic format, must be submitted to HUD for review and in final form as deliverables in electronic format suitable for web posting.)

(v) Describe how you will ensure that materials will be of consistently high quality and technically sound;

(vi) Describe the plan to manage the project. Include details about the management and financial systems, and how you will track and ensure the cost-effectiveness of expenditures and will link them to specific activities;

(vii) Describe how you propose to coordinate with HUD field offices and HUD program personnel, as applicable, in your application; and

(viii) Describe how you will make materials available in alternative formats for persons with disabilities (e.g., Braille, audio, large type) upon request, and provide materials in languages other than English that are common in the community, consistent with HUD's published Limited English Proficiency (LEP) Recipient Guidance, 68 FR 70968.

(d) Outreach providers must follow these specific program requirements:

(i) Increase lead awareness among the general public;

(ii) Provide information to owners and low-income occupants about regional/

local resources for housing rehabilitation and lead hazard control programs; and

(iii) Create a detailed outreach strategy as part of their work plan.

(e) Training providers must follow these specific program requirements:

(i) Meet a documented regional/local need to develop a sustainable capacity of lead safety trained workers and/or EPA-or state-certified lead professionals;

(ii) Have underserved and minority populations as the primary target audience;

(iii) Provide information to owners and low-income occupants about regional/local resources for housing rehabilitation and lead hazard control programs;

(iv) Perform structured education of other groups about lead poisoning prevention and control;

(v) Target a specific, appropriate audience;

(vi) Use a HUD-approved curriculum for all interim controls training and specify in the application all training materials to be used;

(vii) Provide plans for sustainability including train-the-trainer programs;

(viii) Design the course materials as "step-in" packages so that HUD or other training providers may independently conduct the course on their own;

(ix) Make the course materials available to the GTR in sufficient time for review (minimum of three weeks), for you to provide revision, and for the GTR to provide concurrence on the content and quality prior to delivery;

(x) Provide all course materials in an electronic format that will permit wide distribution among field offices, and HUD grantees (see the General Section for information on formats acceptable to HUD);

(xi) Arrange for delivery of the training with HUD participation when requested by the GTR;

(xii) Establish minimum enrollments for deliveries of training courses; implement and disseminate fair course cancellation policies;

(xiii) Deliver HUD-approved training courses that have been designed and developed by others on a "step-in" basis when requested; and

(xiv) For Interim Controls (Lead Safe Work Practices), training providers must comply with HUD's Interim Criteria to Evaluate Training Courses in Lead Safe Work Practices (<http://www.hud.gov/offices/lead>). The costs associated with attending these required sessions are eligible under the grant.

(f) Institutionalization (applies to all applicants). All applicants must provide a detailed description of how the applicant plans to mainstream or

continue integrating lead poisoning prevention into its regular, permanent programs. To evaluate institutionalization, HUD will evaluate the extent to which the applicant (and partners) demonstrate:

(i) Other lead poisoning prevention projects that are locally funded;

(ii) Specific examples of and the degree of implementation of the Lead Safe Housing Rule in the jurisdiction's publicly-funded housing programs, as applicable;

(iii) Commitment to undertake project activities in the future;

(iv) Support and involvement of the applicant's organizational leadership; and

(v) Commitment to include lead-related work in decisions affecting policy and program development.

(3) Budget Justification (10 Points). HUD is not required to approve or fund all proposed activities. Your budget will be evaluated for its reasonableness, clear justification, and consistency with the work plan. Submit a narrative justification associated with the budget that explains all budget categories and costs for each major task of the work plan and that does not simply repeat the budget numbers in the narrative.

Identify the source of funds as HUD, applicant match, or third-party (partner) leverage. Each budget page should identify the entity and project year to which it applies. Higher points will be awarded for greater percentages of sub-contracting and substantive work performed by bona fide and legitimate grassroots organizations, including faith-based and other community-based non-profit organizations, Fair Housing Organizations, advocates for various minority and ethnic groups, and persons with disabilities. Applicants should note that national-level organizations are not considered by HUD to be grassroots organizations, which are generally small, local groups with social services budgets less than \$300,000. In completing the budget forms and justification, you should address the following specific elements:

(a) Direct Labor. Direct Labor costs should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full-time equivalent (FTE) or hours per year (hours/year) (*i.e.*, one FTE equals 2,080 hours/year);

(b) Travel to HUD Meetings. You should budget for one trip annually to HUD Headquarters in Washington, DC, planning each trip for two people for 2 or 3 days, depending on your location;

(c) Sub-grantee and Sub-recipient Budgets. Without exception, a separate

budget proposal must be provided for any sub-recipient(s) receiving greater than 10 percent of the total federal budget request;

(d) Provide supporting documentation for salaries and cost of materials and equipment; and

(e) Federally Negotiated Indirect Cost Rate, without exception. Organizations that have a federally negotiated indirect cost rate should provide documentation of that rate. Organizations not having a federally negotiated rate schedule must obtain a rate from their cognizant federal agency. Applicant and sub-grantee budgets should reference only their own indirect cost rates.

d. Rating Factor 4: Leveraging Resources (15 points). This factor evaluates the ability to:

(1) Contribute allowable resources from your organization; (2) leverage (secure) other allowable public and/or private sector resources (such as financing, supplies, or services) that can be added to HUD's funds to perform eligible activities; and, (3) sustain your proposed project from sources other than HUD at the end of the period of performance. This program has a 10 percent match requirement. Higher points will be awarded for percentages of leveraged resources, compared to the amount of HUD funds requested. To receive points for leveraged resources above the 10 percent required match, all contributions committed for the period of performance, whether cash or in-kind, must be expressed in dollar values and documented in a commitment letter (or memorandum of understanding, or agreement to participate) on official letterhead submitted with the application signed and dated by a responsible official legally able to make commitments on behalf of the organization, from each contributing organization (except that leveraging from the applicant's own resources does not require a letter of commitment). The letter must describe the contributed resource(s) that will be used in your project, and roles and responsibilities as they relate to the proposed project. Letters must be submitted with your application.

For more information on matching and leveraging resources, see Appendix C, which can be downloaded from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

e. Rating Factor 5: Achieving Results and Program Evaluation (15 points). This rating factor reflects HUD's goal to embrace high standards of ethics, management, and accountability. Describe in detail your Year 1, Year 2 and Total goals. State clearly the project activities including specific goals

(outputs) of each activity and how you will achieve those goals. Describe how you will measure the results. Provide your goals, activities (outputs), outcomes and projected performance results (goals) for the entire grant period. In the narrative, explain how you will document and track your goals, program activities, and schedules. Identify the procedures you will follow to make adjustments to your work plan to improve performance if projected outputs and outcomes are not met within established timeframes. To receive maximum points for this rating factor, you must explain your plan to *actively manage, not solely implement*, the proposed program. All awardees will be required to use HUD's Logic Model to report results. Grantees may also use a project management tool, to manage and evaluate the programs' effectiveness and modify strategies as needed to achieve the greatest return on HUD's investment. HUD has found that modest additional actions to gather information about results would enable grantees to better measure the impact of their outreach and education efforts. Outcomes that are vague or not measurable will not receive points.

Applicants must complete and return the Logic Model Form HUD-90610. HUD is using a standardized "Master" Logic Model from which you can select needs, activities (outputs), and outcomes appropriate to your program. See the General Section for detailed information on use of the "Master" Logic Model. HUD is requiring grantees to use program-specific questions to self-evaluate the management and performance of their program. Training on HUD's Logic Model and reporting requirements will be provided via satellite broadcast. In evaluating Rating Factor 5, HUD will consider how you have described the management and evaluation mechanisms, benefits, and outcome measures of your program. HUD will also consider the proposed objectives and performance objectives relative to cost and achieving the purpose of the program, as well as evaluation plan, to ensure the project is on schedule and within budget. Instructions for completing the Logic model are found in Tab 1 of the form HUD 96010. Training on the Logic Model is available via satellite broadcast and webcast. The training schedule can be found on <http://www.hud.gov/offices/admin/grants/fundsavail.cfm>.

f. Bonus Points for Federally Designated Zones and Communities (2 points). HUD will award two bonus points to each application that includes a valid Form HUD-2990 certifying that the proposed activities/projects in the

application are consistent with the strategic plan for an empowerment zone (EZ) designated by HUD or the United States Department of Agriculture (USDA), the tax incentive utilization plan for an urban or rural renewal community designated by HUD (RC), or the strategic plan for an enterprise community designated in round II by USDA (EC-II) and that the proposed activities/projects will be located within the RC/EZ/EC-II identified above and are intended to serve the residents. A listing of the RC/EZ/EC-II is available on the Internet at <http://www.hud.gov/cr>.

#### B. Reviews and Selection Process.

1. The review and selection process is provided in the General Section. The General Section also provides the procedures for correcting deficient applications.

2. *Partial Funding.* In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award. Please see the General Section for a discussion of adjustments to funding that may be made by HUD during the selection process.

3. *Remaining Funds.* See the General Section for HUD's procedures if funds remain after all selections have been made.

4. *Minimum Points for Award.* Your application must receive a total score of at least 75 points to be considered for funding.

C. Anticipated Announcement and Award Dates. HUD anticipates announcing awards under this program no later than October 1, 2007.

### VI. Award Administration Information

#### A. Award Notices

1. *Notice of Award.* Applicants that have been selected for award will be notified by letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer. The letter will state the program for which the application has been selected, the amount the grantee is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the cooperative agreement.

2. *Negotiations.* HUD may require that selected applicants participate in negotiations to determine the specific terms of the cooperative agreement,

budget, and Logic Model. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant. If you accept the terms and conditions of the cooperative agreement, you must return your signed cooperative agreement by the date specified during negotiation.

3. *Award Adjustments.* If funds remain after all selections have been made, the remaining funds may be redistributed or made available for other competitions.

4. *LOCCS Payment System.* After receiving the letter, additional instructions on how to have the grant account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will also be provided.

5. *Start of Work.* All awardees are expected to commence activity immediately upon completion of negotiations, and execution of the cooperative agreement.

6. *Applicant Debriefing.* See the General Section for information regarding unsuccessful applicant debriefing.

#### B. Administrative and National Policy Requirements

1. *Environmental Review.* In accordance with 24 CFR 50.19(b)(2), (b)(3) and (b)(9), activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

2. *HUD Reform Act of 1989.* Applicants must comply with the requirements for funding competitions established by the HUD Reform Act of 1989 (42 U.S.C. 3531 *et seq.*) as defined in the General Section.

3. *Audit Requirements.* Any grant recipient that expends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR Parts 84 and 85 in accordance with OMB Circular A-133. In accordance with OMB Circular A-133 (Audits of States, Regional/Local Governments and Non-Profit Organizations), grantees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, at the address obtained from their Web site. The SF-SAC can be

downloaded at: <http://harvester.census.gov/sac/>.

4. *Timely Hiring of Staff.* HUD reserves the right to terminate awards made to recipients that fail to timely hire (within 30 days of award) staff to fill key positions identified in the applicant's proposal as vacant.

5. *Executive Order 13202.* Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects", is a condition of receipt of assistance under this NOFA.

6. *Procurement of Recovered Materials.* See the General Section for further information.

7. *Conducting Business in Accordance with HUD Core Values and Ethical Standards.* Refer to the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

### C. Reporting

The following items are Post-Award Reporting Requirements:

1. *Final Budget and Work Plan.* Final budget and work plans are due 60 days after the effective date of the cooperative agreement.

2. *Racial and Ethnic Data.* HUD does not require Lead Outreach applicants to report ethnic and racial beneficiary data as part of their initial application package. However, such data must be reported on an annual basis, at a minimum, during the implementation of your grant agreement. You must report the data as described in the General Section and use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data, using Form HUD-27061, Racial and Ethnic Data Reporting Form, found on [http://www.hudclips.org/sub\\_nonhud/html/forms.htm](http://www.hudclips.org/sub_nonhud/html/forms.htm) along with instructions for its use.

3. *Progress reporting.* Progress reporting is done on a quarterly and annual basis. For specific reporting requirements, see policy guidance at: <http://www.hud.gov/offices/lead>. OHHLHC awardees will submit quarterly reports via an on-line

reporting system and will use their Logic Model approved as part of the grant agreement to measure and report performance for each quarter. The quarterly report must reflect all benchmarks (output goals) and proposed outcomes (results) that are indicated on the Logic Model with an associated cost estimate. For FY 2007, HUD is considering a new concept for the Logic Model. The new concept is a Return on Investment (ROI) statement. HUD will be publishing a separate notice on the ROI concept. Deviations from projected outputs and outcomes, either positive or negative, should be reported in the Logic Model under the reporting Tab. The completed Logic Model showing output and outcome status must be submitted as part of the quarterly progress report.

4. *Final Report.* An overall final cooperative agreement report, due at the completion of the cooperative agreement, will detail activities (e.g., the number of low-income housing units enrolled in lead hazard treatment programs as a result of activities performed under the cooperative agreement, number and type of materials produced, activities conducted, evaluation of the various outreach and educational methods used, findings, and recommended future actions at the conclusion of cooperative agreement activities). The final report shall include cumulative achievements, final project outputs, outcomes and results reported against the project's Logic Model (Form HUD-96010) as approved and incorporated into your award agreement, including explanations of any deviations from projected levels of performance.

### VII. Agency Contacts

For programmatic questions, you may contact Jonnette Hawkins, Office of Healthy Homes and Lead Hazard Control; telephone (202) 755-1785, extension 7593 (this is not a toll-free number) or via e-mail at [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov). For grants administrative questions, you may contact Mr. Royal Rucker, Office of Healthy Homes and Lead Hazard Control; telephone (202) 755-1785 extension 7584 (this is not a toll-free number) or via e-mail at [\[Rucker@hud.gov\]\(mailto:Rucker@hud.gov\). If neither of these individuals is available, you may contact the Office's general Lead Regulations hotline, at \(202\) 755-1785, extension 7698. Your call will be forwarded in one business day for subsequent response by the appropriate staff. Hearing- or speech-challenged individuals may access these numbers through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.](mailto:Royal_A._</a></p></div><div data-bbox=)

### VIII. Other Information

A. For additional information about this NOFA, program, or for general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

#### B. Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2539-0015. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 80 hours to prepare the application, 16 hours to finalize the cooperative agreement, and 32 hours per annum for grant administration (progress reporting) per respondent. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

#### C. Appendices

Appendices A, B, and C of this NOFA are available for downloading with the application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HEALTHY HOMES LEAD HAZARD  
CONTROL PROGRAMS**

**TECHNICAL STUDIES NOFA**

**HEALTHY HOMES DEMONSTRATION  
PROGRAM**

**Healthy Homes Demonstration Program***Overview Information*

A. Federal Agency Name: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control (OHHLHC).

B. Funding Opportunity Title: Healthy Homes Demonstration Program.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: FR-5100-N-19, OMB Paperwork approval number 2539-0015.

E. Catalog of Federal Domestic Assistance (CFDA) Number(s): 14.901, Healthy Homes Demonstration Program.

F. Dates: The application deadline date is May 18, 2007. Applications must be received and validated by Grants.gov no later than 11:59:59 pm eastern time on the application deadline date. See the General Section IV, regarding application submission procedures and timely filing requirements.

*G. Additional Information*

1. Purpose of the Program. The purpose of the Healthy Homes Demonstration Program is to develop, demonstrate, and promote cost-effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children in low- and very low-income families. The Healthy Homes Demonstration program is committed to supporting the Departmental Strategic Goal of strengthening communities by addressing housing conditions that threaten health. As a part of this commitment, the Healthy Homes Initiative strives to reduce allergen levels in 5,000 units by 2011, and correspondingly, reduce asthmatic episodes for 3,000 children living in those units.

2. Available Funds. HUD anticipates that approximately \$5,000,000 in fiscal year 2007 and prior year funds will be available.

3. Anticipated Awards. Approximately five to seven cooperative agreements will be awarded for a maximum of \$1,000,000 each for the entire period of performance.

4. Eligible Applicants. Not-for-profit institutions and for-profit firms state and local governments, federally recognized Indian Tribes, and colleges and universities located in the United States. For-profit firms are not allowed to make a profit from the project.

5. Type of award. Cooperative Agreements, with substantial involvement of the Government, will be awarded (see Paragraph II.C for a description of substantial involvement).

6. Match. None required, but leveraging strongly encouraged.

7. Limitations. There are no limitations on the number of applications that each applicant may submit.

8. Information on application. The applications for this NOFA can be found at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). The General Section contains information about Grants.gov registration, submission requirements, and submission procedures.

**Full Text of Announcement****I. Funding Opportunity Description***A. Background*

The Healthy Homes Demonstration Program is a part of HUD's Healthy Homes Initiative (HHI). In April 1999, HUD submitted to Congress a Healthy Homes Initiative: Preliminary Plan containing a full description of the HHI. This description (Summary and Full Report) is available on the HUD Web site at: <http://www.hud.gov/offices/lead/hhi/index.cfm>. This site also contains additional information on the HHI.

HUD believes that it is important for grantees to incorporate meaningful community participation, to the greatest extent possible, in the development and implementation of programs that are conducted in communities and/or involve significant interaction with community residents. Community participation can improve program effectiveness in various ways, including the development of more salient program objectives, recruitment and retention of study participants, participants' understanding of the program, ongoing communication, and more effectively disseminating study findings.

HUD encourages applicants to consider using a "community-based participatory research (CBPR)" approach, where applicable, in study design and implementation. For example, see the report published by the National Institute of Environmental Health Sciences titled "Successful Models of Community-Based Participatory Research" at: <http://www.niehs.nih.gov/translat/pubs.htm>. CBPR is characterized by substantial community input in all phases of a study, including the design, implementation, data interpretation, conclusions, and communication of results. The HHI seeks proposals that provide a coordinated approach to address multiple hazards caused by a limited number of building deficiencies. The HHI approach is anticipated to reduce labor and travel costs and

provide substantial savings, since separate visits to a home by an inspector, public health nurse, or outreach worker can add significant costs to project activities. OHHLHC is in the process of evaluating the effectiveness of the Healthy Homes Initiative, and, as a result of this evaluation, will be examining the efficiencies (as measured by per-unit costs and benefits) of a coordinated approach to assess and remediate multiple housing-related hazards.

In addition to deficiencies in basic housing facilities that may impact health and safety, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new, and often more subtle, health and safety hazards in the residential environment. While such health hazards will tend to be found disproportionately in housing that is substandard, these environmental health and safety hazards also exist in housing that is otherwise of good quality. "Housing-Related Health and Injury Hazards," Appendix A, a brief description of the housing-associated health and injury hazards HUD considers key targets for remediation, can be downloaded with your application package at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). The Web site <http://www.hud.gov/offices/lead/hhi/index.cfm> also lists some of the references that serve as the basis for information provided in the Healthy Homes Demonstration Program NOFA.

HUD's authority for making funding available under this NOFA is the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110-5, approved February 15, 2007).

*B. Healthy Homes Initiative Goals*

1. Develop and implement demonstration projects that address multiple housing-related problems affecting the health of children;

2. Achieve the Healthy Homes Initiative's Departmental Strategic Goal objective of reducing allergen levels in 5,000 units by 2011, and correspondingly, reducing asthmatic episodes for 3,000 children living in those units;

3. Mobilize public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based, nonprofit organizations, including faith-based organizations, to develop the most promising, cost-effective methods for identifying and controlling housing-related environmental health and safety hazards;

4. Build local capacity to operate sustainable programs that will prevent and control housing-related environmental health and safety hazards in low- and very low-income residences when HUD funding is exhausted; and

5. Affirmatively further fair housing and environmental justice.

HUD also encourages applicants to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD's fiscal year 2007 Policy Priorities are discussed in the General Section.

### *C. Healthy Homes Demonstration Program Objectives*

The objectives of the Healthy Homes Demonstration Program include direct remediations, including assessment of housing-related hazards, education and outreach and capacity building. HUD recognizes that, in many cases, activities may meet multiple objectives. Because the development and evaluation of effective methods for assessing and remediating housing-related hazards is the principal focus of the Healthy Homes Demonstration Program, awardees must expend at least 65 percent of grant funds on direct remediations in the home. Additional expenditures may include capacity building (training) and information dissemination.

1. Direct remediations in homes of children where environmental triggers may contribute to a child's illness, including the following kinds of activities:

a. Development of cost-effective protocols for identifying homes that are candidates for remediations, identifying environmental health and safety hazards in these homes, and screening out homes where structural or other factors, including cost issues, make remediations impractical;

b. Development of appropriately scaled, flexible, cost-effective and efficient assessment and intervention strategies that take into account the range of unhealthy conditions encountered in housing, that maximize the number of housing units that receive remediations and the number of positive or negative health outcomes as a result. HUD believes health outcomes, particularly the reduction in asthmatic episodes or injuries, are an important component of this NOFA and wants to assess how Healthy Homes remediations affect the health of the population being served relative to the population at large. Therefore, any health outcome should be documented.

c. Development of methodologies for evaluating the effectiveness of remediations and assessing the effect of

the remediation on the health of the resident or program participant.

2. Education and outreach that furthers the goal of protecting children from environmentally induced illnesses, including:

a. Targeting, through education and outreach, specific high-risk communities and other identified audiences such as homeowners, landlords, health care providers, pregnant women, children, residential construction contractors, maintenance personnel, housing inspectors, real estate professionals, home buyers, and low- or very low-income minority families;

b. Developing and delivering public outreach programs that provide information about effective methods for preventing housing-related childhood diseases and injuries, and promoting the use of these methods, especially in low- and very low-income residences; and

c. Increasing public awareness of housing-related environmental health and safety hazards that threaten the health of children, through the use of media strategies using print, radio and television, including the use of minority media and provision of materials in alternative formats and materials for populations with Limited English Proficiency (LEP).

3. Building capacity in the target community to assure that Healthy Homes programs are sustained beyond the life of the award period, including the development of local capacity in target areas for target groups to operate sustainable programs to prevent and control housing-related environmental health and safety hazards.

## **II. Award Information**

### *A. Funding Available*

Approximately \$5,000,000 in fiscal year 2007 and prior year funds are available for Healthy Homes Demonstration cooperative agreements. HUD anticipates that approximately five to seven cooperative agreements will be awarded, for a maximum of \$1,000,000 each for the entire period of performance.

Applicants may wish to review currently funded grants on the Healthy Homes Web site at: <http://www.hud.gov/offices/lead/hhi/index.cfm>.

### *B. Anticipated Start Date and Period of Performance for New Cooperative Agreements*

1. The start date for new cooperative agreements is expected to be no later than October 1, 2007, with a period of performance not to exceed 36 months. For planning purposes, applicants need

to include adequate time for start up activities such as the Institutional Review Board approval process, recruitment of study participants, fulfillment of environmental requirements, and development of new methods (e.g., survey forms, database, etc.) within this period of performance.

2. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.24(e)(2) or 85.30(d)(2), as applicable, and the OHHLHC Program Guide. Because delays have been associated with recruitment and Institutional Review Board approval issues, HUD encourages applicants to involve all partners in pre-planning processes. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. Although applicants are encouraged to plan projects with shorter performance periods than 36 months, you should consider the possibility that issues may arise that could cause delays when developing your schedule.

### *C. Type of Award Instrument*

Awards will be made as cooperative agreements. Anticipated substantial involvement by HUD staff for cooperative agreements may include, but will not be limited to:

1. Review and suggestion of amendments to the study design, including: study objectives; field sampling plan; data collection methods; sample handling and preparation; and sample and data analysis.

2. Review and provision of technical recommendations in response to quarterly progress reports (e.g., amendments to study design based on preliminary results).

3. Review and provision of technical recommendations on journal article(s) and the final report for the project.

4. Collaboration on peer review of scientific data in accord with the Office of Management and Budget (OMB) Information Quality Guidelines. All HUD-sponsored research is subject to the OMB Final Information Quality Bulletin for Peer Review (70 FR 2664-2677, published on January 14, 2005) prior to its public dissemination. In accordance with paragraph II.2 of the Bulletin, HUD will not need further peer review conducted on information that has already been subjected to adequate peer review. Therefore, grantees must provide enough information on their peer review process for HUD to determine whether additional review is needed.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants include not-for-profit institutions and for-profit firms, state and local governments, federally recognized Indian Tribes, and colleges and universities located in the United States. For-profit firms are not allowed to make a profit from the project.

#### B. Cost Sharing or Matching

Cost sharing or matching is not required. In rating your application, however, HUD will award a higher score under Rating Factor 4 if you provide documentation of commitments for significant leveraging.

#### C. Other

##### 1. Threshold Requirements

Applicable to all Applicants Under the SuperNOFA. As an applicant, you must meet all the threshold requirements described in the General Section. Applications that do not address the threshold items will not be funded. Cooperative agreements will be awarded on a competitive basis following evaluation of all proposals according to the rating factors described in this NOFA. A minimum score of 75 points is required for consideration for award. The maximum score that can be attained is 100 points for the narrative responses and an additional 2 bonus points for activities proposed to be located in RC/EZ/EC-II communities.

##### 2. Eligible Activities

The following activities and support tasks are eligible under the Healthy Homes Demonstration Program. a. Assessing (evaluating) housing to determine the presence of environmental health and safety hazards (e.g., moisture intrusion, mold growth, pests and allergens, unvented appliances, exposed steam pipes or radiators, deteriorated lead-based paint) through the use of accepted assessment procedures.

b. Remediating existing housing-based environmental health and safety hazards and addressing conditions that could recur.

c. Undertaking rehabilitation activities to effectively control housing deficiencies that are required for remediating environmental health and safety hazards in the unit. Funds under this program may only be used to address lead-based hazards at the de minimis level (see 24 CFR 35.1350(d)). These lead hazard evaluation and/or control activities may not be a principal focus of the cooperative agreement. (Lead hazard evaluation and control activities are carried out under HUD's

Lead-Based Paint Hazard Control Grant Program, Lead Hazard Reduction Demonstration Grant Program, and Operation Lead Elimination Action Program.) For information about conducting remediation of de minimis amounts of lead-based paint hazards, refer to the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (HUD Guidelines). The HUD Guidelines and/or applicable regulations may be downloaded from HUD's Web site at <http://www.hud.gov/offices/lead/guidelines/index.cfm>.

d. Carrying out temporary relocation of families and individuals while the remediation is conducted and until the time the affected unit receives clearance for re-occupancy. See III.C.4.e, Real Property Acquisition and Relocation, of the General Section, and Section VI.B.4 of this NOFA for a discussion of regulations that apply when relocating families.

e. Environmental sampling and medical testing to protect the health of the remediation workers, supervisors, and contractors, unless reimbursable from another source.

f. Conducting testing, analysis, and mitigation for lead, mold, carbon monoxide and/or other housing-related environmental health and safety hazards as appropriate, following generally accepted standards or criteria. A laboratory recognized by the U.S. Environmental Protection Agency's (EPA's) National Lead Laboratory Accreditation Program (NLLAP) must analyze paint, soil or dust samples related to lead-based paint. Samples to be analyzed for fungi should be submitted to a laboratory accredited in the Environmental Microbiological Laboratory Accreditation Program (EMLAP), administered by the American Industrial Hygiene Association (AIHA).

g. Carrying out necessary architectural, engineering and work specification development and other construction management services.

h. Providing training on Healthy Homes practices to homeowners, renters, landlords, painters, remodelers, and housing maintenance staff working in low- or very low-income housing.

i. Providing cleaning supplies for hazard remediation to grassroots community-based nonprofit organizations, including faith-based organizations, for use by homeowners and tenants in low-income housing, or providing these supplies to homeowners and tenants directly. (See the General Section for more information about grassroots community-based nonprofit

organizations, including faith-based organizations.)

j. Providing incentives (financial or other incentives, including coupons for a video rental, coupons for groceries, stipends for completion of surveys, child care, cleaning kits, etc.) with a value up to \$10 for recruitment, through up to \$250 for the most significant or lengthy participation. These incentives are subject to approval by HUD. Their purpose is to encourage recruitment and retention in the healthy homes program, and participation in educational and training activities and other program-related functions.

k. Conducting community education programs on housing-related environmental health and safety hazards. Materials should be available in alternative formats for persons with disabilities including Braille, audio, large type), upon request, and in languages other than English that are common in the community, consistent with HUD's published "Limited English Proficiency (LEP) Recipient Guidance" (see <http://www.hud.gov/offices/fheo/library/lepFRguidance.html>).

l. Securing liability insurance for housing-related environmental health and safety hazard evaluation and control activities. This is not considered an administrative cost.

m. Supporting data collection, analysis, and evaluation of project activities. (As a condition of the receipt of financial assistance under this NOFA, all successful applicants will be required to cooperate with HUD staff and contractors who are performing HUD-funded research and evaluation studies.)

3. Program Requirements. In addition to the program requirements in the General Section, applicants must also meet the following program requirements.

a. Institutional Review Board (IRB) Approval. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, 45 CFR 46, codified by HUD at 24 CFR 60.101), if your grant activities include research involving human subjects, your organization must provide an assurance (e.g., a letter signed by an appropriate official) that the research has been reviewed and approved by an IRB before you can initiate activities that require IRB approval. You must also provide the number for your organization's assurance (institutional assurance) that has been approved by the Department of Health and Human Service's Office of Human Research Protections (OHRP). For additional information on elements of human subject research or obtaining

an institutional assurance, see the OHRP Web site at: <http://www.hhs.gov/ohrp>.

b. HIPAA Authorization. The Privacy Rule of the Health Insurance Portability and Accountability Act of 1996 requires covered entities that transmit health information electronically (health care providers, health plans, etc.) to protect that information. This may be accomplished by obtaining authorization from the patient or parent, obtaining a waiver of authorization from an IRB or HIPAA Privacy Board or de-identifying data. You should identify whether your proposal is subject to requirements of the HIPAA Privacy Rule and, if so, how you plan to address these requirements. Additional information on HIPAA and the Privacy Rule can be found at <http://www.hhs.gov/ocr/hipaa> and <http://privacyruleandresearch.nih.gov/authorization.asp>.

c. Community Involvement. Applicants must incorporate meaningful community involvement in any programmatic study that requires a significant level of interaction with a community (including, projects being conducted within occupied dwellings or which involve surveys of community residents). A community is made up of various groups of persons who have commonalities that can be identified on the basis of geographic location, ethnicity, health condition, and common interests. Applicants should identify the community that is most relevant to their particular project. There are many different approaches for involving the community in the conception, design, and implementation of a project and the subsequent dissemination of findings. Examples include, but are not limited to: establishing a structured approach to obtain community input and feedback (such as involving a community advisory board); including one or more community-based organizations as study partners; employing community residents to recruit study participants and collect data; and enlisting the community in the dissemination of findings and translation of results into improved policies and/or practices. A discussion of community involvement in research involving housing-related health hazards can be found in Chapter 5 of the Institute of Medicine publication titled "Ethical Considerations for Research on Housing-Related Health Hazards Involving Children," at <http://www.iom.edu/cms/12552/26004/29871.aspx>.

d. Program Performance. Awardees shall take all reasonable steps to accomplish all healthy homes activities

within the approved period of performance. HUD will closely monitor the awardee's performance with particular attention to completion of specified activities, deliverables and milestones, and number of units proposed to be assessed or to receive remediation. Any previous requests for no-cost extensions will be considered in the evaluation of the capacity of the applicant under Rating Factor 1.

e. Lead Hazard Control Activities. All lead hazard control activities must be conducted in compliance with HUD's Lead-Safe Housing Rule, 24 CFR Part 35. Grantees must also comply with any additional requirements in effect under a state or Native American Tribal Lead-Based Paint Training and Certification Program that has been authorized by the EPA pursuant to 40 CFR 745.320. See Section III.C.2.c regarding lead activity limitations.

f. Compliance with Lead Disclosure Rule. All lead-based paint and lead-based paint hazard test and hazard reduction results must be provided to the owner of the unit, with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR Part 35, subpart A). This information may only be used for purposes of remediation of hazards in the unit and not for retribution/eviction. Disclosure of other identified housing-related environmental health and safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required unless disclosure is required by Federal, state or local regulations.

g. Integrated Pest Management. All pest control activities shall incorporate the principles and methods of integrated pest management (IPM). In technical terms, IPM is the coordinated use of pest and environmental information with available pest control methods to prevent unacceptable levels of pest damage by the most economical means and with the least possible hazard to people, property, and the environment. The IPM approach emphasizes a targeted use of pesticides that limits the possibility of human exposure (e.g., as opposed to wide-spread applications) and includes interventions based on the behavior of the target pest (e.g., preventing access to food or water). One source for information on IPM is Environmental Health Watch; you can download information from its Web site: [http://www.ehw.org/Asthma/ASTH\\_Cockroach\\_Control.htm](http://www.ehw.org/Asthma/ASTH_Cockroach_Control.htm).

h. Dust Sampling Protocol. Collection of settled dust samples for

environmental allergen analysis (e.g., cockroach, dust mite) must follow a standard dust sampling protocol, such as the protocol posted on the OHHLHC website, <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>. If an applicant chooses to use a different protocol, such as a protocol from the Occupational Safety and Health Administration (OSHA), the U.S. Environmental Protection Agency (EPA), the National Institute of Environmental Health Sciences (NIEHS) or the American Society of Testing and Materials (ASTM), the applicant must provide a justification to HUD. The awardee is also required to submit quality control (QC) samples of allergens in household dust, provided at no cost, as blind samples in the train of samples submitted for laboratory analysis. For the purpose of budgeting laboratory costs, assume that 5 percent of your total allergen dust samples will consist of HUD-provided QC samples.

i. Hazardous Waste Disposal. Awardees must follow procedures for hazardous waste disposal as required by the EPA (e.g., 40 CFR parts 61, 260–282, 300–374, and/or 700–799, as applicable), the Department of Transportation (e.g., 49 CFR parts 171–177), and/or appropriate state or local regulatory agencies.

j. Worker Protection Procedures. Awardees must comply with the procedures for worker protection established in the HUD Guidelines as well as the requirements of OSHA, e.g., 29 CFR part 1910 and/or 1926, as applicable, or the state or local occupational safety and health regulations, whichever are more stringent.

k. Written Policies and Procedures. You must have written policies and procedures for all phases of interventions, including recruitment, enrollment, participant prioritization, unit assessment, development of specifications, remediations, training, financing, occupant relocation, independent project inspection, and clearance testing (e.g., for mold, lead, carbon monoxide or other hazards, as applicable). You and all your subcontractors, sub-recipients, and their contractors must comply with these policies and procedures.

l. Data Collection and Provision. You must collect, maintain, and provide to HUD the data necessary to document the various approaches used to evaluate and control housing-related environmental health and safety hazards, including evaluation and remediation methods, building conditions, medical and familial information (with confidentiality of

individually-identifiable information ensured) in order to determine the effectiveness and relative cost of these methods.

m. Section 3 Employment Opportunities. Recipients of assistance in the Healthy Homes Demonstration Program must comply with Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low- and Very-Low-Income Persons in Connection with Assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements of subpart E. See Section V, Rating Factor 3, for recommendations for implementing Section 3 Employment Opportunities.

n. Conducting Business in Accordance with HUD Core Values and Ethical Standards. If selected for an award under the Healthy Homes Demonstration Program NOFA, you will be required to submit a copy of your Code of Conduct and describe the methods you will use to ensure that all officers, employees, and agents of your organization are aware of your Code of Conduct. If you previously submitted your Code of Conduct to HUD and it appears in the listing on HUD's Web site at <http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>, you do not have to resubmit the information unless there has been a change in the legal name, address or authorizing official for your organization. See the General Section for information about conducting business in accordance with HUD's core values and ethical standards.

4. DUNS Requirement. Refer to the General Section for information regarding the DUNS requirement.

#### IV. Application and Submission Information

##### A. Web Address To Access an Application Package

Copies of this published NOFA and application forms for this program may be downloaded from the Grants.gov Web site at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If you have difficulty accessing the information you may call the Grants.gov helpline toll-free at (800) 518-GRANTS or e-mail [Support@grants.gov](mailto:Support@grants.gov). Helpline customer representatives will assist you in accessing the information.

##### B. Content and Form of Application Submission

The following section provides instructions on the items to be submitted as part of the application. See the General Section for instructions for

submitting third party documents and electronic files.

1. An abstract describing the goals and objectives of your proposed program (2 page limit, single-spaced, 12 point standard font, at least 3/4-inch margins) must be included in the proposal. The abstract should include the title of your proposed project, amount of funding requested from HUD, amount of funding leveraged or matched, period of performance, a short summary of the proposed project and the name, mailing address, e-mail address and telephone number of the principal contact person for the primary entity. Information contained in the abstract will not be considered in the evaluation and scoring of your application. Any information you wish considered should be provided under the appropriate rating factor. The 2-page abstract will not be included in the 25 page limit of the application.

2. A narrative statement addressing the rating factors for award. Number the pages of your narrative statement and include a header and a footer that provides the name of the applicant and the name of the program to which you are applying. Narrative statements provided as part of the application should be individually labeled to identify the rating factor to which the narrative is responding (for example, Factor 1, Capacity of the Applicant, etc.). You are strongly advised to use the format of the NOFA as an outline for discussion of your rating factors. The overall response to the rating factors must not exceed a total of 25 pages including all rating factors (single-sided, single-spaced, 12 point standard font, at least 3/4-inch margins). Any pages in excess of this limit will not be read. Application packages without narrative statements addressing the rating factors will not be reviewed or considered for funding. Applicants should carefully review each narrative attached to the electronic application to make sure that you have attached the correct file and not an incomplete one, as this is not a curable deficiency.

3. The score for each rating factor will be based on the content of the narrative submitted for each rating factor, supplemented by materials referenced and discussed in that portion of your narrative statement. Information relative to a given rating factor must be contained in the narrative for that rating factor. If it is found in another rating factor, it will not be considered. In addition, supplemental material that is not referenced and discussed within the narrative statements will not be rated.

4. The position descriptions and resumes, if available, of your project

director and project manager and up to three additional key personnel (in accordance with Rating Factor 1), not to exceed 2 pages each (single-spaced, 12-point font, with at least 3/4 inch margins). This information will not be counted toward the page limit.

5. Any attachments, materials, references, or other relevant information that directly support the narrative must not exceed 20 pages for your entire application. Any pages in excess of this limit will not be read. See the General Section for instructions for submitting third party documents or material not readily available in electronic format.

6. A detailed budget narrative (maximum 4 pages) with supporting justification for all budget categories of your funding request, in accordance with Rating Factor 3, Section V.A.2.c(3). This budget narrative will not be counted towards the 25-page limit of the application. In completing the budget forms and justification, you should address the following elements:

a. Direct Labor costs should include all full- and part-time staff required for the planning and implementation phases of the project. These costs should be based on full-time equivalent (FTE) or hours per year (hours/year). (One FTE equals 2,080 hours/year.)

b. You should budget for one trip annually for two people for meetings at HUD Headquarters in Washington, DC, assuming a 2-3 day stay per trip depending upon your location.

c. A separate budget proposal should be provided for any sub-recipients receiving more than 10 percent of the total federal budget request.

d. You should be prepared to provide supporting documentation for salaries and prices of materials and equipment, upon request.

e. Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Other organizations should submit their proposal with their suggested indirect rate. If they are funded and HUD is the cognizant agency, it will set a rate; otherwise HUD will request the cognizant federal agency to set the rate.

f. You should submit a copy of the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

7. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

*Checklist for Healthy Homes  
Demonstration Program Applicants*

*Applicant Abstract (Limited to 2 Pages)*

- Rating Factor Responses (Total narrative response limited to 25 pages. Rating Factor tables (Forms HUD-96012, 96016, 96015 and 96010) do not count toward the 25-page limit.)

1. Capacity of the Applicant and Relevant Organizational Experience—Form HUD 96012.

2. Need/Extent of the Problem—Form HUD-96016.

3. Soundness of Approach.

4. Leveraging Resources—Form HUD-96015.

5. Achieving Results and Program Evaluation—Form HUD-96010 (Logic Model).

- Required materials in response to rating factors (does not count towards 25-page limit)

Form SF 424, Application for Federal Assistance.

Form HUD-424-CB, "Grant Application Detailed Budget" (HUD Detailed Budget Form on Grants.gov).

Form SF-424 Supplement, "Survey on Ensuring Equal Opportunities for Applicants" (Faith-Based EEO Survey on Grants.gov).

Faith-Based EEO Survey (to be completed by private nonprofit organizations only).

Form SF-LLL, Disclosure of Lobbying Activities

Form HUD-2880, "Applicant/Recipient Disclosure/Update Report" (HUD Applicant Recipient Disclosure Report on Grants.gov).

Form HUD-2990, Certification of Consistency with the RC/EZ/EC-II Strategic Plan (if applicable).

Form HUD-27300, "Questionnaire for HUD's Removal of Regulatory Barriers" (HUD Communities Initiative Form on Grants.gov).

Form HUD-96011, "Third Party Documentation Facsimile Transmittal" (Facsimile Transmittal Form on Grants.gov). This is to be used as the cover page for faxing third party information for electronic applications only. See the General Section.

Resumes of Project Director, Project Manager and up to 3 Key Personnel (limited to 2 pages per resume).

Position Descriptions for Key Personnel to be hired (limited to 2 pages per description).

Organizational Chart.

Letters of Commitment (if applicable).

Form HUD-2994A—You are Our Client! Grant Applicant Survey (Optional).

- Optional material in support of the Rating Factors (20-page limit)

C. Submission Dates and Times.

Electronic applications must be received

and validated by Grants.gov on or before 11:59:59 p.m. eastern time on the application submission date. Refer to the General Section for submission requirements. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date. See sections IV.B and IV.F of the General Section for additional information on the electronic process and how to request a waiver from this requirement, if necessary.

D. Intergovernmental Review. Not required for this submission.

*E. Funding Restrictions*

1. Administrative Costs. There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix B and can be downloaded with this application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

2. Indirect Costs. You must comply with Indirect Cost requirements. Guidelines for indirect cost requirements, presented in Appendix C, may be downloaded as part of your application package at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

3. Purchase of Real Property is not permitted.

4. Purchase or lease of equipment having a per-unit cost in excess of \$5,000 is not permitted, unless prior written approval is obtained from HUD.

5. Medical costs are not permitted (except for medical testing to protect the health of the intervention workers, supervisors, and contractors, unless reimbursable from another source).

6. For-profit organizations cannot receive a fee or profit.

7. Applicants must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

8. You may not use grant funds for hazard control of a building or manufactured home that is located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128) as having special flood hazards unless:

- a. The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

- b. Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

F. Other Submission Requirements. HUD requires applicants to submit applications electronically through <http://www.grants.gov> unless you request and are granted a waiver to the electronic submission requirements. See the General Section. Applicants should submit their waiver requests in writing by e-mail. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to Jonnette Hawkins, Director, Program Management and Assurance Division, Office of Healthy Homes and Lead Hazard Control, [Jonnette\\_G.\\_Hawkins@hud.gov](mailto:Jonnette_G._Hawkins@hud.gov).

**V. Application Review Information**

*A. Criteria*

1. Rating and Ranking. Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.2 of this NOFA. Your application must receive a total score of at least 75 points to be considered for funding.

Each of the five factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 100 points for the narrative responses, and 2 bonus points for activities carried out in a RC/EZ/EC-II. Applicants should be certain that each of these factors is clearly and comprehensively addressed in the project description and accompanying materials.

HUD will not review any applications with a request for federal funding that exceeds the maximum amount specified in this NOFA.

2. Rating Factors. The factors for rating and ranking applicants, and maximum points for each factor, are provided below. Applicants should be certain that these factors are adequately addressed in the narrative relevant to the rating factors and the accompanying materials.

a. Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 Points)

This factor addresses your organizational capacity (including the capacity of your own organization, as

well as partner organizations) necessary to successfully implement your proposed activities in a timely manner. The rating of your program includes any grassroots community-based nonprofit organizations firmly committed to your project, including faith-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia. HUD strongly encourages the formation and development of consortia in implementing your project goals. Applicants are encouraged to partner, fund, or sub-contract with grassroots, community-based nonprofit organizations, including faith-based organizations to carry out program activities. If these partnerships are proposed, applicants will receive higher rating points as specified in the General Section. Applicants should note in their Rating Factor 1 narrative whether they are submitting multiple applications to OHHLHC, and, if so, the percentage commitment of staff for each application.

In rating this factor, HUD will consider the three items listed below.

(1) Capacity and Qualifications of Principal Investigator and Key Personnel. (6 points). Describe your recent, relevant, and successful demonstrated experience in undertaking eligible program activities. Describe the knowledge and experience of the proposed overall project director and day-to-day project manager in planning and managing large and complex interdisciplinary programs, especially those involving housing, public health, or environmental programs. Include information on your project staff, their experience with housing and health programs, percentage commitment to the project, and position titles. Project directors should commit at least 20 percent and the project manager's time commitment should be at least 50 percent. Resumes of up to 2 pages each for up to three key personnel, in addition to the project director and project manager, and a clearly delineated organizational chart for the Healthy Homes project (including all partner organizations), must be included in your application submission. Position descriptions or job announcements (including salary range, percent of time commitment, percentage of time covered by cooperative agreement funds) for unfilled positions should be included for any key positions that are currently vacant or contingent upon an award.

Document that you have sufficient personnel, or will be able to quickly retain qualified personnel to begin your project immediately, and to perform

activities in a timely and effective fashion. Successful applicants must hire all key staff positions identified in the proposal as vacant or required in the award agreement within 120 days of award. Describe how principal components of your organization will participate in, or support, your project.

(2) Qualifications of Applicant and Partner Organizations (4 points). Include names, descriptions of the experience and qualifications of subcontractors. Document how you propose to coordinate with and monitor sub-contractors, including frequency of meetings, on-site inspections and submission of formal monthly or quarterly reports. Discuss your communication and coordination with partners, including partner responsibilities, meeting frequency, etc. If partners are community-based grassroots, non-profit organizations, including faith-based organizations, include documentation demonstrating their community-based grassroots status, such as organizational profile, 501(c)(3) status or Social Services budget. (Lengthy documents are not required; face pages or extracted relevant text is adequate.)

(3) Past Performance of the Organization (5 points). This section refers to applicants who have any prior experience in another Healthy Homes or Lead Hazard Control grant, another grant related to environmental health and safety issues, or other experience in a similar program. Provide details about the nature of the project, the funding agency, and your performance, relative to performance measures and the achievement of desired housing- and health-related outcomes. If your organization is an existing Healthy Homes grantee, provide a description of the progress and outcomes achieved in that grant. Current grantees that are on, or ahead of their benchmarks, may earn one point based on their demonstrated ability to date. If you received previous Healthy Homes Demonstration Program funding, you will be evaluated in terms of your performance and timeliness under the previous grant.

You must complete and submit the Factor 1, Table 1, Form HUD-96012, which can be downloaded with your application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) to support narrative information.

b. Rating Factor 2: Need/Extent of the Problem (15 Points)

This factor addresses the extent for your proposed activities to document housing-related environmental health and safety hazards (including, but not limited to, mold, allergens, lead-based

paint hazards, carbon monoxide, pesticides, home safety hazards) in your target area(s) that impact your targeted group(s).

(1) Target Area for Proposed Activities (5 points). Specifically identify a target area for your proposed activities. Document the critical level of need for your proposed activities in this target area by providing data documenting targeted groups that are traditionally underserved or have special needs. For a maximum score, data provided should represent the target area, rather than general statistics or information pertinent to a larger geographic area. If specific statistics are not available, discuss why this is the case.

(2) Link to Housing-related Health and Safety Hazards (10 points). Your documentation should summarize available data linking housing-based environmental health and safety hazards to disease or injuries to children, especially in low- and very low-income families, in your target area. Examples of data that might be used to demonstrate need include:

(a) Economic and demographic data (3 points), including poverty and unemployment rates and the number and percentage of low- and very-low-income families with incomes less than 50 percent and 80 percent of the median income, respectively, as determined by HUD, for the area. Statistics that describe low- and very-low-income families are available at [http://factfinder.census.gov/home/saff/main.html?\\_lang=en](http://factfinder.census.gov/home/saff/main.html?_lang=en). Applicants should also consult local data sources, such as city government Web sites, for target area data.

(b) Statistics for your target area that present rates of childhood illnesses (4 points) (including asthma, elevated blood lead levels) or injuries (falls, burns) among children residing in your target areas that could be caused or exacerbated by exposure to conditions in the home environment; and

(c) The age and condition of housing (3 points). In responding, provide data available in your jurisdiction's currently approved Consolidated Plan and the Analysis of Impediments to Fair Housing Choice (AI) or Indian Housing Plan or derived from current census data or from other sources of comparable quality.

You must complete and submit the Factor 2 Table, Form HUD-96016, posted at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

c. Rating Factor 3: Soundness of Approach (50 Points)

(1) Approach for Implementing the Project (36 points). HUD is interested in



comparability among the Healthy Homes Demonstration Programs, in order to further standardize outcomes and performance measures. Therefore, applicants are encouraged to be explicit in describing proposed project activities and provide details about designing and implementing their work plan.

(a) Project Approach (5 points) Describe your approach to implement your proposed project. In particular describe the methods, schedule and milestones that will be used to identify and control housing-related environmental health and safety hazards and to achieve the desired improvements in the health of the families you serve. Include summary information about the estimated numbers of clients to be contacted, clients enrolled, units to be assessed, units to receive remediations, individuals to be trained, and individuals or groups that will be reached through education or outreach activities. You are expected to document environmental outputs (reduction in allergen levels) and health outcome measures, such as reduction in asthmatic episodes, pediatric asthma hospitalizations, emergency room visits for asthma, falls, burns, etc. These outputs and outcomes are critical to achieving the Healthy Homes Initiative Departmental Goal of reducing allergen levels in 5,000 units, and correspondingly reducing asthmatic episodes for 3,000 children living in these units by 2011. The use of tables to describe schedule, milestones and summary data is encouraged.

(b) Start up (3 Points)

(i) Institutional Review Boards. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR 60.101, which incorporates the DHHS regulation at 45 CFR part 46), if your research involves human subjects, your organization must provide proof (e.g., a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before initiating such activities you must also provide the number for your organization's assurance (i.e., an "institutional assurance") that has been approved by the Department of Health and Human Service's Office for Human Research Protections (OHRP).

Although you do not have to provide proof of IRB approval with your application, you should address how you will obtain such approval. Describe how you will obtain informed consent

(e.g., from the subjects, their parents or their guardians, as applicable) and discuss the steps you will take to help ensure participants' understanding of the elements of informed consent, such as the purposes, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with limited English proficiency or primary languages other than English, and with families including persons with disabilities. For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP Web site at <http://www.hhs.gov/ohrp/>.

(ii) Staff and Partner Training and Capacity Building. Provide detailed information regarding how program staff and, where applicable, partnering organizations will be trained in the disciplines needed to successfully implement your project (e.g., resident education, assessments and remediations). Include an outline of training curricula, a description of qualifications of trainers, and describe how individuals or groups to be trained will be selected.

(iii) Quality Assurance (QA) Activities. Successful Healthy Homes Demonstration Program applicants that are collecting housing, demographic, medical or environmental data must ensure the quality and integrity of the data. Describe the elements of your project that will integrate QA activities into the project design and applicable activities such as visual assessments, environmental assessments and questionnaires. Elements you may want to describe include the use of quality control samples, validated questionnaires and assessment tools, data collection, data management, statistical analysis, staff training and monitoring. Your description will be evaluated relative to its thoroughness, level of detail, and appropriateness for ensuring the validity and quality of the data. If awarded, you will be asked to develop a Quality Assurance Plan that describes these elements.

(iv) If you are proposing to conduct a project that includes a significant level of community interaction (e.g., resident recruitment, home-based remediations, data collection, environmental sampling in residences) describe your plan for meaningful involvement of the affected community in your proposed project. You should define the community of interest with respect to your proposed project and discuss why your proposed approach to community involvement

will make a meaningful contribution to your project and to the community.

(v) Describe any proposed involvement of grassroots community-based, nonprofit organizations, including faith-based organizations, in the proposed activities including the development of consortia. These activities may include outreach, community education, marketing, inspection, and housing evaluations and remediations.

(c) Recruitment and Enrollment (6 Points)

(i) Describe how you will identify, select, prioritize, and enroll units of housing in which you will undertake housing-based health hazard and safety remediations, targeting low- and very low-income families with young children under the age of six (72 months) to the extent feasible.

(ii) Discuss possible recruitment problems, and the probability of dropouts, and describe measures you will perform to sustain recruitment and enrollment, including over-recruitment and incentives for sustainability of participants throughout the period of performance of the cooperative agreement.

(iii) Describe how you will monitor enrollment and recruitment status and implement measures identified to sustain enrollment and recruitment.

(iv) Discuss how you will comply with the Health Insurance Portability and Accountability Act (HIPAA). See Section III.C.3 for more information about HIPAA requirements.

(v) Along with HIPAA compliance, describe how you will provide appropriate program information and gain informed consent from the subjects, their parents and guardians, as applicable. Describe how you will ensure that participants understand and consent to the elements of the program such as the purposes, benefits and risks of the research activities.

(vi) Describe your proposed methods to reach high-risk groups and communities, vulnerable populations and traditionally underserved populations.

(vii) Describe how you will affirmatively further fair housing, which would include, but not be limited to: (1) Affirmative marketing of the program to those least likely to apply based on race, color, sex, familial status, national origin, religion, or disability (especially when persons in these demographic groups are generally not served by the grassroots community-based, nonprofit organizations, including faith-based organizations or other partner organizations); (2) providing materials

in alternative formats for persons with disabilities; providing materials in languages other than English for individuals with limited English proficiency and their families; (3) assuring long-term residency by families currently living in the community; and (4) assuring that priority for treated units go to those who need the features (treatment) of the unit.

(d) Unit Assessments, Occupant Surveys and Medical Referrals (3 Points)

(i) Describe the assessment tools your project will employ to establish baseline data for unit condition, knowledge of program participant and/or the health of the occupant(s). These tools include questionnaires, visual assessment protocols and environmental sampling and analysis.

(ii) Describe your process for evaluating units of housing in which you will undertake housing-related environmental health and safety hazard remediations. Provide an estimate of the total number of owner-occupied and/or rental units in which you will perform assessments and conduct remediations.

(iii) Describe the process to be followed for referring children for medical case management, if applicable. Describe the organizations that will be involved in this process and their prior experience providing case management to the target population(s).

(e) Remediations (7 Points)

(i) Describe your process for the development of work specifications for the selected physical remediations and identify individuals (or organizations) who will develop the work specifications. Include specifics about the individual's position or the organizational role in your project.

(ii) Discuss your process to select and obtain contractors for conducting remediations in selected units and provide details about the competitive bidding process.

(iii) Discuss efforts to incorporate cost-effective methods to address multiple housing-related environmental health and safety hazards, and describe the specific remediations you will employ to control these hazards before children are affected; and/or to control these hazards in units where children have already been treated for illnesses or injuries associated with these hazards (e.g., burns, lead poisoning, asthma). Although program partners have shown that low-cost housing remediations can be effective in reducing illness and hazardous conditions, HUD is interested in data that evaluate the cost-effectiveness over time of carrying out assessments and remediations for

multiple hazards compared to the conventional approach of identifying and remediating one hazard at a time. The data should be stratified by the type, size and other housing characteristics, and the type and extent of assessment and remediation, in order to provide meaningful and comparable unit costs. Therefore, in your budget submission, provide an estimate of the cost of each remediation (material costs and labor costs associated with installation) and an estimate of costs projected per unit. Describe how you will track the costs of remediations and provide information about the efficiency of these remediations. For example, provide information about the cost-effectiveness, technical effectiveness and sustainability of the remediations. Include any remediation plans to achieve the Healthy Homes Initiative's Departmental Strategic Goal of reducing allergen levels in 5,000 units by 2011, and correspondingly, reducing asthmatic episodes in 3,000 children.

(iv) Discuss how you will assure that the contractor will comply with all applicable Federal, state and local regulations.

(v) Describe the financing strategy, including eligibility requirements, terms, conditions, and amounts available, to be employed for conducting housing remediations. You must discuss the way funds will be administered (e.g., use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.) as well as the agency that will administer the process.

(vi) Describe your plan for the relocation of occupants of units selected for remediation, if temporary relocation is necessary (see Section VI B.4, below). If temporary relocation is necessary, address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc., and the source of funding for relocation.

(vii) If relocation is necessary for occupants of rental units, describe your plan for ensuring right of return and/or first referral for occupants of units selected for remediation who have had to move for the remediations to be performed. (see Section VI B.4, below).

(f) Community Education, Outreach and Capacity Building/Training (3 Points)

(i) Describe your proposed methods for community and/or targeted education and training. These should include community awareness, education, training, and outreach programs that support your work plan and are culturally sensitive and targeted appropriately. Provide information

about specific educational/outreach activities with quantitative data (number of individuals to be reached, etc.) and a description of the intended audience (include plans for both program participants and the community at large).

(ii) Discuss whether Healthy Homes training programs will be expanded to include non sub-grantee organizations, such as public housing agencies, Tribally Designated Housing Entities, grassroots community-based or nonprofit organizations, including faith-based organizations. If so, describe your plan for doing this.

(g) HUD's Departmental Policy Priorities (6 Points). Indicate if, and describe how, you will address any of HUD's Departmental policy priorities (see General Section). You will receive points for each of the applicable FY 2007 policy priorities that are adequately addressed in your application and incorporated into work plan activities showing outputs and outcomes to a maximum of six points. Policy priorities that are applicable to the Healthy Homes Demonstration NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grassroots Community-based, Nonprofit Organizations, including Faith-based Organizations in HUD Program Implementation; (3) Participation of Minority-Serving Institutions in HUD Programs; (4) Removal of Regulatory Barriers to Affordable Housing; and (5) Promoting Energy Efficiency and Energy Star. HUD expects the applicant to implement Energy Star building techniques and utilize Energy Star appliances whenever activities of the grant afford the opportunity. For information on Energy Star programs and appliances, see <http://www.energystar.gov>.

Each policy priority is worth one point, except for policy priority (4), Removal of Regulatory Barriers to Affordable Housing, which is worth up to 2 points, provided the applicant includes an appropriate narrative response demonstrating what they have accomplished to date and submits the required documentation as described in Form HUD 27300. Applicants may instead provide a Web site address where the documentation can be readily found.

(h) *Economic Opportunity* (3 points). To the greatest extent feasible, your project should promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by, and/or employ, low-income and minority residents as

defined in 24 CFR 135.5. Describe how you or your partners will comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and HUD's implementing rules at 24 CFR part 135 by:

- Providing training and employment opportunities for low- and very low-income persons living within the awardee's jurisdiction;
- Purchasing goods and supplies, or contracting for services from businesses that are owned by, and/or employ, low- and very low-income persons living within the targeted jurisdiction; information about Section 3 requirements is available at: <http://www.hud.gov/offices/fheo/section3/section3.cfm>; and
- Describing how your proposed project will provide opportunities for self-sufficiency, particularly for persons enrolled in welfare-to-work programs, or provide educational and job training opportunities.

(2) Approach for Managing the Project (9 points). Considering your project goals and objectives, describe how you will manage the project. Provide information on the general management approach including a management plan that:

(a) Incorporates appropriate project objectives, major tasks/activities, responsible entities, performance goals, and the process that you will utilize to assign, track and monitor the performance of major tasks and activities. All specific activities necessary to complete the proposed project, such as recruitment, enrollment, training, education and outreach, unit identification, assessment and remediation, must be included.

(b) Provides a schedule of milestones and deliverables for the completion of major tasks and activities, and the delivery of interim and final products.

(c) Discusses coordination with sub-recipients, partners and staff.

(d) Describes quality assurance activities, including the collection of data (questionnaires and environmental sampling and analysis), case management, data entry and report preparation, and associated corrective actions.

(3) Budget Justification (5 points). Your proposed budget will be evaluated for the extent to which it is reasonable, clearly justified, and consistent with the project management plan and intended use of program funds. HUD is not required to approve or fund all proposed activities. Your detailed budget should be submitted using Form HUD-424-CBW. An electronic copy is available at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). You

must thoroughly document and justify all budget categories and costs and all major tasks for yourself, sub-recipients, partners, major subcontractors, joint venture participants, or others contributing resources to the project. Include a 4-page (maximum) narrative that describes clearly and in detail your budgeted costs for each required program element (major task) included in your overall plan (at least 65 percent of the budget must be expended for direct remediation). Include a separate, detailed budget for any sub-grantee proposed to receive more than 10 percent of the total federal budget request.

#### d. Rating Factor 4: Leveraging Resources (5 Points)

This factor addresses your ability to secure other community resources (*e.g.*, financing, supplies, and/or services) that can be combined with HUD's resources to achieve project purposes. These community resources may be contributions from organizations such as the applicant, partners, or other organizations not directly involved in the project. Resources may also be provided by state and local governmental entities. While cost sharing or matching is not required, HUD will award a higher score under this rating factor if you provide documentation of commitments for significant leveraging. HUD's Matching and Leveraging Contribution Guidance, Appendix D, may be downloaded with your application at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Applicants should note that, if they are submitting multiple proposals to OHHLHC and are selected for multiple awards, they may not use the same resources for match and/or leveraging. During cooperative agreement negotiations, awardees will be required to provide alternative match and/or leveraged resources than were proposed in the original applications. In other words, awardees may not commit duplicate matching and/or leveraged resources to multiple OHHLHC programs.

(1) HUD will consider the extent to which you have developed partnerships or consortia to secure additional resources to increase the effectiveness of your proposed project. Describe how other organizations will participate in or support your project. Resources may include funding or in-kind contributions (*e.g.*, labor, fringe benefits, services, supplies, or equipment) budgeted for your proposed project. Include in the narrative the details of the commitment, the amount being leveraged, or if the commitment is in-kind, the specific names, percent of

time, supplies and other resources, and value of each commitment.

(2) The signature of the authorized official on the Form SF-424 commits matching or other contributed resources of the applicant organization. The applicant must obtain a letter of commitment from each organization (other than itself) that is providing a match, whether cash or in-kind. The letter must describe the contributed resource(s) that will be used in your project and the dollar value of each contribution. Staff and in-kind contributions should be given a market-based monetary value. Each letter of commitment, memorandum of understanding, or agreement to participate shall include the organization's name and the proposed level of commitment and roles and responsibilities as they relate to the proposed project. The commitment must be on official letterhead and signed by an official legally able to make commitments on behalf of the organization and dated. Letters must be submitted with your application.

(3) Include information to address the following elements.

(i) The extent to which you have coordinated your activities with other known organizations that are not directly participating in your proposed work activities (organizations other than sub-grantees and program partners), but with which you share common goals and objectives.

(A) Describe your plan for integrating and coordinating housing-related environmental health and safety hazard remediations with other housing-related activities (*e.g.*, rehabilitation, weatherization, correction of code violations, and other similar work).

(B) Describe your plans to generate and use public subsidies or other resources, such as loan funds, to finance future remediations to prevent and control housing-related environmental health and safety hazards, particularly in low- or very low-income families with children under the age of six years.

(ii) The extent to which your project exhibits the potential to be financially self-sustaining by decreasing dependence on federal funding and relying more on state, local and private funding to continue healthy homes activities after the funding period is completed.

Applicants are to complete the Factor 4 table, Form HUD-96015, Leveraging Resources that is posted at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp).

e. Rating Factor 5: Achieving Results and Program Evaluation (15 points)

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. HUD is committed to ensuring that applicants keep promises made in their applications and assess their performance to ensure that performance goals are met. In your response to this rating factor, you are to discuss the performance goals for your project and specific outcome measure results. Discuss the specific methods you will use to measure progress towards your goals, track and report results of assessments and remediations, and evaluate the effectiveness and cost-effectiveness of remediations [see requirements discussed in V.A.2.c(1)(e)(iii)]; identify important project milestones (e.g., the end of specific phases in a multi-phased project) and deliverables specific to your project timeline; identify milestones that are critical to achieving project objectives (e.g., developing questionnaires or protocols, hiring staff, recruitment of participants, and IRB approval and/or HIPAA Authorization, if applicable); and identify benchmarks such as number of units that received intervention, percent of remediations that occurred in high-risk communities, etc., that you will use to track the progress of your project.

Identify how your project will be held accountable for meeting project goals, objectives, and the actions undertaken in implementing the program. Provide assurances that work plans and performance measures developed for your project will be achieved in a timely and cost-effective manner.

Your project should focus particular attention on identifying specific resident, or program participant, health outcomes and describe how these outcomes will be measured. Resident health outcomes do not necessarily require medical testing, such as spirometry or documenting blood lead levels, and may be assessed using questionnaires or other tools. Careful attention should be given to the relationship between the program's remediations (e.g., physical changes in the environment, changes to cleaning protocols, in-home training or provision of educational materials) and the effect on resident health, particularly the reduction in asthmatic episodes for children. As part of your health outcomes, include a discussion of how your program will support the Healthy Homes Initiative's Departmental Strategic Goal of reducing allergen levels in 5,000 units by 2011, and correspondingly, reducing asthmatic episodes in 3,000 children living in these units.

In addition, you should describe how you will evaluate the benefits of your proposed remediations relative to their costs or alternative approaches to achieving these same outcomes. For example, you could compare the costs and benefits of the healthy homes approach in which multiple housing-related environmental health and safety hazards are assessed and remediated by a comprehensive method, to costs and benefits associated with adopting a "single hazard" model in which separate assessments and remediations are carried out by several different programs. You could also estimate the monetary benefits of remediations that prevent illness (e.g., reducing asthma symptoms) or reducing injuries.

In evaluating Rating Factor 5, HUD will consider how you have described the benefits and outcome measures of your program. HUD will also consider the proposed objectives and performance measures relative to cost and achieving the purpose of the program, as well as the evaluation plan, to ensure the project is on schedule and within budget.

You must submit Form HUD-96010. HUD is using an electronic Logic Model with drop down menus from which you can select needs, activities, and outcomes appropriate to your program. See the General Section for detailed information on use of the Logic Model. HUD is requiring grantees to use program-specific questions to self-evaluate the management and performance of their program. For FY 2007, HUD is considering a new concept for the Logic Model. The new concept is a Return on Investment statement. HUD will be publishing a separate notice on the ROI concept. Training on HUD's logic model will be provided via satellite broadcast.

f. Bonus Points: RC/EZ/EC-II (2 points)

Applicants are eligible to receive 2 bonus points for projects located within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), and which will serve the residents of these communities (see the General Section). In order to be eligible for the bonus points, applicants must submit a completed Form HUD-2990 signed by the appropriate official of the RC/EZ/EC-II.

B. Reviews and Selection Process. The review and selection process is provided in the General Section. The General Section also provides the procedures for correcting deficient applications.

## VI. Award Administration Information

### A. Award Notices

#### 1. Applicants Selected for Award.

(a) Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control Grant Officer providing details regarding the effective start date of the cooperative agreement and any additional data and information to be submitted to execute a cooperative agreement. This letter is not an authorization to begin work or incur costs under the cooperative agreement or grant.

(b) HUD may require that a selected applicant participate in negotiations to determine the specific terms of the cooperative agreement and budget. Should HUD not be able to successfully conclude negotiations with a selected applicant, an award will not be made. If the applicant accepts the terms and conditions of the cooperative agreement, a signed cooperative agreement must be returned by the date specified.

Instructions on how to have the cooperative agreement account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will be provided. In accordance with OMB Circular A-133 (Audits of States, Local Governments and Nonprofit Organizations), awardees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse. The address can be obtained from their Web site. The SF-SAC can be downloaded at: <http://harvester.census.gov/sac/>.

2. *Debriefing.* The General Section provides the procedures for applicants to request a debriefing.

3. *Negotiation.* Refer to the General Section for additional details.

4. *Adjustments to Funding.* Refer to the General Section for additional details.

### B. Administrative and National Policy Requirements

1. *Environmental Requirements.* Under the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110-5, approved February 15, 2007), the provisions of section 305(c) of the Multifamily Housing Property Disposition Reform Act of 1994, implemented by HUD regulations at 24 CFR part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities," are applicable to properties assisted with Healthy Homes Demonstration funds. In accordance with part 58, applicants under this NOFA that are States, units of general local government or Indian

Tribes must act as the responsible entity and assume the environmental review responsibilities for activities funded under this NOFA. Other applicants must arrange for the unit of general local government or Indian Tribe to act as the responsible entity. Under 24 CFR 58.11, if a non-recipient responsible entity objects to performing the environmental review, or if a recipient that is not a responsible entity objects to the local or tribal government performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. Healthy Homes Demonstration Program applicants and other participants in activities under this NOFA may not undertake, or commit or expend federal or non-federal funds (including HUD-leveraged or match funds) for housing interventions, related rehabilitation or other physical activities until the responsible entity completes an environmental review and the applicant submits and obtains HUD approval of a request for release of funds and the responsible entity's environmental certification in accordance with part 58 (or until HUD has completed an environmental review under part 50). The results of environmental reviews on individual projects may require that proposed activities be modified or proposed sites rejected. For assistance, contact Edward Thomas, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (215) 861-7670 (this is not a toll-free number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing-or speech-impaired person, you may reach the telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Recipients of a cooperative agreement under this NOFA will be given guidance in these responsibilities.

**2. Executive Order 13202.**

"Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects." See General Section for information concerning this requirement. <http://www.hud.gov/>.

**3. Procurement of Recovered Materials.** See the General Section for information concerning this requirement.

**4. Relocation.** The relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), as amended, and the implementing

government wide regulation at 49 CFR part 24, that cover any person (including individuals, businesses, and farms) displaced as a direct result of the acquisition, rehabilitation, or demolition of real property apply to this grant program. If such persons are required to temporarily relocate for a project, the requirements of the URA regulations at 49 CFR 24.2(a)(9) must be met. HUD recommends you review these regulations when preparing your proposal. (They can be downloaded from the Government Printing Office website at <http://www.gpoaccess.gov/cfr/index.html> by entering the regulatory citation in quotes without any spaces (e.g., "49CFR24.2") in the Quick Search box.). See Section III.C.4.e of the General Section for additional information about relocation.

**5. Davis-Bacon Wage Rates.** The Davis-Bacon wage rates are not applicable to this program. However, if you use grant funds in conjunction with other federal programs, Davis-Bacon requirements will apply to the extent required under the other federal programs.

**6. Audit Requirements.** Any grant recipient that spends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR part 84 or 85, as applicable, in accordance with OMB Circular A-133.

**C. Reporting**

Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Healthy Homes and Lead Hazard Control. Specific guidance and additional details will be provided to successful applicants. The following items are a part of OHHLHC reporting requirements.

**1. Final Work Plan and Budget** are due prior to the effective start of the cooperative agreement.

**2. Progress reports** are due on a quarterly basis. In quarterly reports, grantees provide information about accomplishments in the areas of program management and capacity building; assessment and intervention activities; community education, outreach, training and capacity building; data collection and analysis; as well as a listing of completed units and financial report. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting

requirements, see policy guidance at <http://www.hud.gov/offices/lead>.

**3.** A final report is due at the end of the project period, which includes final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement. The final report shall also respond to the management questions found in the Logic Model and approved for your program. Specific information on all reporting requirements will be provided to successful applicants.

**4. Racial and Ethnic Beneficiary Data.** HUD does not require Healthy Homes Demonstration Program awardees to report ethnic and racial beneficiary data as part of their initial application package. However, such data must be reported on an annual basis, at a minimum, during the implementation of your cooperative agreement. You must use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data to report these data, using Form HUD-27061, "Race and Ethnic Data Reporting Form," if applicable (HUD Race Ethnic Form on Grants.gov) found on [http://www.hudclips.org/sub\\_nonhud/html/forms.htm](http://www.hudclips.org/sub_nonhud/html/forms.htm), along with instructions for its use.

**VII. Agency Contacts**

For questions related to the application download submission process, you may contact the Grants.gov helpline at 800-518-GRANTS. For programmatic questions, you may contact by writing: Emily E. Williams, Director; Healthy Homes Division; Department of Housing and Urban Development; Office of Healthy Homes and Lead Hazard Control; 451 Seventh Street, SW., Room 8236; Washington, DC 20410-3000; or by telephone at (336) 547-4002, extension 2067 (this is not a toll-free number); or via e-mail at: [Emily\\_E\\_Williams@hud.gov](mailto:Emily_E_Williams@hud.gov). For administrative questions, you may contact Curtissa L. Coleman, Grants Officer, at the address above or by telephone at: (202) 402-7580 (this is not a toll-free number) or via e-mail at: [Curtissa\\_L\\_Coleman@hud.gov](mailto:Curtissa_L_Coleman@hud.gov). If you are hearing- or speech-impaired, you may reach the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

**VIII. Other Information**

**A. General.** For additional general, technical, and program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit: <http://www.hud.gov/offices/lead>.

B. Paperwork Reduction Act. The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520) and assigned OMB control number 2539–0015. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is

not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 80 hours to prepare the application and 16 hours to finalize the cooperative agreement. This includes the time for collecting, reviewing, and reporting the data for the application.

This information will be used for grantee selection. The reporting burden for completion of the Quality Assurance Plan by applicants who are awarded a grant is estimated at 24 hours per grantee (OMB approval is pending). Response to this request for information is required in order to receive the benefits to be derived.

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**ECONOMIC DEVELOPMENT AND  
SELF-SUFFICIENCY PROGRAMS**

**HOUSING CHOICE VOUCHER FAMILY  
SELF SUFFICIENCY (FSS) PROGRAM  
COORDINATORS**