



U.S. Department of Housing and Urban Development

Lead Hazard Control and Healthy Homes

HUD FY2020 Healthy Homes and Weatherization Cooperation Demonstration

FR-6400-N-62

12/09/2020

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Program Office:

Lead Hazard Control and Healthy Homes

Funding Opportunity Title:

HUD FY2020 Healthy Homes and Weatherization Cooperation Demonstration

Funding Opportunity Number:

FR-6400-N-62

Primary CFDA Number:

14.901

Due Date for Applications:

12/09/2020

Overview

The U.S. Department of Housing and Urban Development (HUD) issues this Notice of Funding Availability (NOFA) to invite applications from eligible applicants for the program and purpose described within this NOFA. Prospective applicants should carefully read all instructions in all sections to avoid sending an incomplete or ineligible application. HUD funding is highly competitive. Failure to respond accurately to any submission requirement could result in an incomplete or noncompetitive proposal.

During the selection process HUD is prohibited from disclosing 1) information regarding any applicant's relative standing, 2) the amount of assistance requested by an applicant, and 3) any information contained in the application. Prior to the application deadline, HUD may not disclose the identity of any applicant or the number of applicants that have applied for assistance.

For Further Information Regarding this NOFA: Please direct questions regarding the specific requirements of this Notice of Funding Availability (NOFA) to the office contact identified in Section VII.

OMB Approval Number(s):

2539-0015

I. FUNDING OPPORTUNITY DESCRIPTION.

A. Program Description.

1. Purpose

HUD is interested in supporting demonstrations in up to 5 communities that provide housing interventions in lower income households that are conducted jointly through the coordination of HUD's Office of Lead Hazard Control and Healthy Homes (OLHCHH)-funded Lead Hazard Control/Healthy Homes programs and programs funded by the U.S. Department of Energy's (DOE) Weatherization Assistance Program (WAP) to determine whether this coordinated delivery of services achieves cost effectiveness and better outcomes in improving the safety and energy efficiency of homes. The coordinated assessments and interventions are expected to provide additional benefits to households through the combined mitigation of health and safety hazards and improvements in energy efficiency and comfort. These grants are intended to facilitate the leveraging of assets from both programs and support the exploration of different models of service delivery (e.g., recruitment strategies, partnerships). HUD-funded programs

identify and mitigate lead-based paint and other key residential health and safety hazards such as mold and moisture, pest infestation, poor indoor air quality, radon, and injury hazards. The DOE-funded programs conduct energy audits and implement energy conservation measures, while also conducting interventions to improve health and safety (e.g., improved ventilation, installing carbon monoxide and smoke detectors).

a. Goals and Objectives

The following are the major goals and objectives of this NOFA:

- (1). Demonstrate effective strategies for coordination between Lead Hazard Control/Healthy Homes (LHC) and Weatherization programs that maximize program efficiencies and benefits to occupants.
- (2). Reduce Weatherization Assistance Program (WAP) deferrals through coordination with LHC programs.
- (3). Demonstrate sustainable models of inter-program cooperation, including data sharing, reporting, and targeting/recruiting clients.
- (4). Demonstrate effective models for the sustainable financing of coordinated healthy homes/weatherization interventions.
- (5). Support the collection of data to evaluate the housing interventions conducted through inter-program coordination (e.g., program cost efficiencies that can be achieved, improvements in indoor environmental quality, improved health outcomes, additional safety benefits to households).

b. Additional Program Information

HUD's OLHCHH is making available grant funds to up to 5 communities that are served by both a HUD-funded LHC program and a DOE-funded WAP to demonstrate the potential advantages of the coordination of home intervention services. The two programs are natural allies in that while having distinctly different missions, they both target low income housing for the purpose of improving both housing quality and the safety and/or comfort of occupants. Leveraging the assets and staff expertise of each program is expected to significantly increase the benefits to the occupants of target homes.

This cooperative program model between LHC and WAP programs is already being implemented by programs in multiple states. For example, the Green and Healthy Homes Initiative promotes the integration of resources from multiple programs, including LHC and WAP programs, to achieve safe and energy efficient homes, with a focus on disadvantaged populations (<https://www.greenandhealthyhomes.org/>). One Touch is another program model that facilitates the creation of healthy and energy efficient homes by improving coordination between home visiting programs through the use of a common home intake tool and an electronic referral system (<https://onetouchhousing.com/>). A number of weatherization providers have also implemented weatherization plus health initiatives, for example Washington State's Weatherization Plus Health program provides state support for joint weatherization- healthy housing interventions (<https://www.commerce.wa.gov/growing-the-economy/energy/weatherization-and-energy-efficiency/matchmaker/weatherization-plus-health-wxh/>).

Energy conservation measures (ECMs) implemented by WAPs improve the comfort and safety of homes by keeping indoor temperatures within a healthy range (helping to achieve the healthy homes principle of “thermal control”) https://www.hud.gov/program_offices/healthy_homes/advhh. Weatherization programs also use grant funds to address some health and safety issues that are related to weatherization work. There is evidence that energy efficiency interventions, in addition to lowering utility consumption, can also improve the health of occupants, likely through better temperature control and improved ventilation. A retrospective evaluation of interventions by local WAP providers was conducted by the Oak Ridge National Laboratory; it found from post-weatherization household surveys that interventions improved the general health of occupants, reduced asthma symptoms, and reduced instances of thermal stress (<https://www.energy.gov/eere/wipo/weatherization-national-evaluation>). A DOE-sponsored literature review of health benefits of energy efficiency upgrades and green construction was published in 2016 and summarized similar findings from published scientific literature (See: Wilson, J. et al. Home Rx: The health benefits of home performance: A review of the current evidence. December 2016. DOE/EE-1505). The concept of the voluntary integration of weatherization and healthy homes interventions through program coordination was promoted by DOE using funding from the Recovery and Reinvestment Act of 2009. Through this effort, program guidance was developed and in-person regional trainings were held throughout the U.S. <https://nchh.org/information-and-evidence/healthy-housing-policy/national/keystone-federal-policy/wx-plus-health/>.

c. HUD Lead Hazard Control Grant Programs:

Since 1993, HUD’s OLHCHH has awarded grants to state and local government agencies to identify and control lead-based paint hazards in eligible privately owned rental or owner-occupied housing. The grants target lower income households living in pre-1978 housing, with a focus on protecting young children (less than age 6) from lead exposure. Starting in 2012, HUD has also made available “Healthy Homes Supplement” funds to Lead Hazard Control Program applicants to identify and mitigate non-lead health and safety hazards (e.g., mold, pests, carbon monoxide, radon, injury and other hazards).

HUD currently offers three categories of lead hazard control grants: Lead Hazard Reduction grants (open to the largest range of applicants); Highest Lead-Based Paint Abatement Needs grants (for jurisdictions with at least 3,500 pre-1940 occupied rental housing units); and High Impact Neighborhoods grants (targets efforts in areas of no more than four contiguous census tracts that contain high concentrations of both pre-1940 housing and low-income families, and for which the prevalence of elevated BLLs are significantly higher than the State average). These LHC grant categories include optional Healthy Homes Supplement funding that can only be used in housing units targeted for lead hazard control interventions.

Income eligibility for housing units under HUD’s Lead Hazard Control Program differs for rental and owner-occupied housing. For rental housing, at least 50% of the units must be occupied by or made available to families with incomes at or below 50% of the area median income (AMI), and the remaining units must be occupied or made available to families with incomes at or below 80% AMI, and in all cases the landlord must give priority in renting assisted units, for not less than 3 years following the completion of lead abatement activities, to families with a child under the age of six years. Multifamily rental properties (properties with 5 or more

units) may have 20% of the units occupied by families with incomes above 80% of AMI. For owner occupied housing, all units must be the principal residence of families with income at or below 80% AMI and not less than 90% of the units assisted must be either occupied by a child under the age of six years or be units in which a child under the age of six years spends a significant amount of time (see: https://www.hud.gov/sites/documents/2014-01_UNIT_ELIGIBILITY.PDF).

d. DOE Weatherization Assistance Program (WAP):

DOE's Weatherization Assistance Program reduces energy costs for low-income households by increasing the energy efficiency of the homes while improving their health and safety, especially for vulnerable populations such as the elderly, disabled, and children. DOE provides core program funding through formula grants to 50 states, the District of Columbia, and five territories and Native American tribes. These grantees usually contract with local agencies (often Community Action Agencies) to provide services; over 700 local organizations provide Weatherization services in every U.S. county <https://www.energy.gov/eere/wipo/weatherization-assistance-program>. WAP programs conduct an analysis of a building's energy use by conducting an energy audit to help identify cost effective ECMs (e.g., air sealing of cracks and holes in the building envelope, insulation of attics, heating or cooling system repairs). ECMs must meet DOE's savings to investment ratio (SIR) requirement for the cost of an ECM to be allowable (i.e., the SIR must be 1.0 or greater).

The WAP can also implement health and safety measures as long as they address conditions that are necessary to effectively perform weatherization work or which are necessary as a result of weatherization work (e.g., repair/install vent systems, install smoke and or CO detectors, install mechanical ventilation) (see: <https://www.energy.gov/eere/wipo/downloads/wpn-17-7-weatherization-health-and-safety-guidance>). A WAP can also make incidental repairs that are necessary for the effective performance of ECMs (e.g., repairing roof leaks, repair of windows and doors) (see: <https://www.energy.gov/eere/wipo/downloads/wpn-19-5-incidental-repair-measure-guidance>). Windows and doors can only be replaced if they meet the SIR requirement as an ECM or as an incidental repair when they meet the definition of an Incidental Repair Measure (IRM) combined with related weatherization measures. WAP programs must sometimes defer work in a dwelling if the condition of the home renders delivering weatherization services either unsafe or ineffective. Examples of such conditions include, but are not limited to, significant problems with the structure (e.g., roof) or mechanical systems (e.g., plumbing, electrical), severe moisture or mold problems, and significant lead-based paint hazards.

e. Considerations with respect to inter-program interventions: Program differences such as income and other eligibility requirements can be challenges to WAP and LHC programs interested in conducting combined interventions. For example, HUD LHC grantees are limited to conducting interventions in homes built before 1978 in which one or more lead-based paint hazards have been identified, and which meet requirements for housing or being frequented by young children. However, despite program differences, both LHC and the WAP programs target many of the same housing units and resident populations for home improvements. Grants awarded through this NOFA will test whether efficiently coordinated LHC/WAP program activities create economies overall, such as reduced costs from efficient scheduling of work conducted by the two programs.

It is important that inter-program coordination is conducted in an efficient manner that is convenient to residents and does not significantly extend the relocation period. Also, if ECMs are implemented following completion of LHC interventions, it may be necessary to conduct a final dust-lead clearance of the home.

We know that a considerable number of the homes targeted by WAP are also good candidates for LHC program interventions. WAP staff are trained to recognize visual cues of lead-based paint hazards, test for lead-based paint, and are required to follow EPA's Lead Renovation, Repair and Painting Program (RRP) when working in pre-1978 homes. WAP staff are also required to refer potential candidates to a LHC program if lead-based paint hazards are identified. Partnering with LHC program grantees has the potential to reduce deferrals for WAP recipients; if a home meets HUD's LHC program eligibility requirements, lead and Healthy Homes supplement funding could potentially be used to mitigate conditions that cause deferrals.

Another opportunity for the inter-program collaboration is through window and door repairs or replacement. Windows and doors coated with lead-based paint can create lead contaminated dust through friction and can also be a source of moisture intrusion into the home. Windows and door repairs or replacement can also be an allowable ECM if program requirements are met. When funds awarded through this NOFA are used for a home intervention, grantees will be allowed greater flexibility for the replacement of windows and/or doors than under the WAP program, as long as the replacement will improve safety and/or energy conservation, even if the SIR is less than 1.0. However, the grantee will be required to justify why the windows and/or doors are being replaced; adequate justification would be improved energy conservation and/or mitigation of a health and safety hazard (e.g., water leaks, presence of lead-based paint). (Note: The use of any WAP or LHC program funds in a unit must meet all of their respective program requirements).

Another opportunity for inter-program collaboration is the identification and mitigation of elevated radon levels. Radon mitigation is not an allowable health and safety cost for a WAP grantee, and clients must sign an informed consent form regarding radon prior to receiving weatherization services. However, HUD Healthy Homes Supplemental funds can be used for radon testing and mitigation, as can funds awarded through this NOFA.

If LHC and WAP grantees use their funding on any home that is recruited for joint interventions, they will have to meet all of the requirements of their HUD and DOE funding. Funds awarded under this Healthy Homes and Weatherization Cooperation Demonstration (HHWCD) NOFA, however, would be granted additional flexibility. For example, assuming sufficient capacity, if no LHC grant funds are being used in a home, a LHC program could use HHWCD funds to cover program costs in homes that don't meet HUD's program requirements such as age of housing or presence of lead-based paint hazards. Similarly, a WAP program could use HHWCD funds in a home that would normally not meet DOE WAP requirements (e.g., the presence of a mold problem that will normally cause the home to be deferred).

In addition to DOE funding for weatherization, the U.S. Department of Health and Human Services (HHS) also awards formula grants to states, territories and tribal governments through the Low-Income Housing Energy Assistance Program (LIHEAP). The purpose of LIHEAP is to assist low-income households in meeting their energy needs. LIHEAP funds used for weatherization are limited to 15% of the available funding (or up to 25% with a waiver from HHS); this was estimated at approximately \$374 million in Fiscal Year 2017 (see: <https://www.acf.hhs.gov/ocs/resource/liheap-fact-sheet-0>). There is greater flexibility in

how LIHEAP funds are spent for energy conservation as compared to DOE WAP funding. Many WAP grantees routinely supplement their DOE WAP funding with LIHEAP funds targeted to support weatherization activities. A recipient under this NOFA and their partners could potentially coordinate the use of HUD, DOE, and LIHEAP funds in a home (i.e., the concept of braiding funding).

A summary of the major requirements and allowances that are applicable to the use of funds awarded under this NOFA is provided in **Appendix A**. This summary is not exhaustive; the intent is to highlight the requirements that are unique to this NOFA. Applicants should read the entire NOFA to become cognizant of all program requirements.

f. Community Partnerships:

HUD encourages applicants to this NOFA to form partnerships with medical care providers and insurers and other public health entities in the community to leverage funding awarded through this NOFA. Partnering with organizations in the medical sector (e.g., hospitals, federally qualified health centers, Medicaid managed care organizations) can be particularly helpful for identifying clients who could benefit the most from interventions to improve indoor environmental quality (IEQ). For example, the health of children and adults with poorly controlled asthma or adults with COPD can potentially benefit quickly from home interventions that mitigate asthma triggers and respiratory irritants and improve ventilation. Such partnerships may offer an opportunity to identify sources of sustainable funding for future interventions to improve IEQ in housing for low income families that meet certain conditions.

g. Program Evaluation:

HUD will contract with an organization to perform an evaluation of the efficacy and cost effectiveness of the demonstration programs funded through this NOFA. The evaluation will assess outcomes such as improvements in indoor environmental quality (e.g., reductions in the presence of hazards/unhealthy conditions), improvements in energy efficiency, cost savings from the program model, and improved health outcomes. To evaluate the potential benefits of inter-program coordination under normal conditions, grantees will be required to conduct coordinated interventions in 15 units without using funds from this NOFA except for costs related to program evaluation activities. To assess the potential health benefits of the interventions, grantees will also be required to conduct coordinated LHC/WAP interventions in at least 20 units that house an occupant with asthma that is not well controlled. HUD will facilitate post-award discussions with the contractor and grantees to help standardize the collection of data needed for the evaluation. Grantees will be asked to participate in structured interviews with the contractor and to respond to survey questions.

h. Addressing Multiple Hazards:

Applicants should also expect to address other significant housing and indoor environmental quality issues identified following a thorough home assessment (e.g., cockroach or rodent infestation, sources of respirable particles and gases such as poor venting of cooking or heating appliances, injury hazards, lead-based paint hazards, etc.). The U.S. Centers for Disease Control and Prevention (CDC) provides links to multiple home assessment tools (see: https://www.cdc.gov/nceh/lead/tools/assessment_tools.htm); the CDC has recently led the development of a home assessment tool specifically for asthma triggers which is based on the

best available scientific evidence (see: www.cdc.gov/asthma/public_health.html, www.cdc.gov/asthma/pdfs/home_assess_checklist_P.pdf).

2. Changes from Previous NOFA.

Technical Corrections of October 2020:

a. Page 15, paragraph III.F.b: Due to COVID-19 impact on production, HUD's LHC Program grantees have not received progress reviews for 2020 calendar quarters. Because of this, the requirement for satisfactory performance were changed and reduced to two quarters to be consistent with the requirements in HUD's Fiscal Year 2020 Lead Hazard Reduction Program NOFA.

(1). Revised text (new text is underlined and deleted text is ~~struck out~~):

To be an applicant or a partner in an application under this NOFA, a LHC program must have a HUD grant that is active until October 1, 2022 or longer. The program must also have at least two years of experience conducting lead hazard control and healthy homes interventions with HUD grant support and must have maintained a minimum of YELLOW designation for the last ~~three~~ two Quarterly Reports of 2019 (i.e., covering the following calendar quarters: July – September and October – December of 2019).

b. Page 22, paragraph III. F.2.cc: Text was revised to improve clarity and consistency with similar NOFA text.

(1). Revised text

Construction Activities. The maximum amount of HHWCD grant funds that can be used ~~to fund remediation activities~~ for all hazard control and energy conservation activities in a single housing unit is limited to \$30,000 unless written permission is provided by the HUD Government Technical Representative (GTR) assigned to the grant.

c. Page 32, paragraph IV.F.8(1): Text was revised to make it consistent with text in Appendix A (see revision at: I.A.2.f) and to increase grantee flexibility.

(1). Revised text

Identification and remediation of housing-related health and safety hazards such as lead-based paint hazards, radon, pest infestation, mold and moisture, and injury hazards that are identified during the home assessment. (Note: Total costs related to the assessment and control of lead-based paint and/or other housing-related hazards are limited to \$15,000 \$20,000 per home. for lead hazard reduction and \$5,000 for healthy home hazard reduction; the combined limit is \$20,000 per home. If no lead-based paint hazards are identified in a home this total can be applied to the mitigation of other residential health and safety hazards).

d. Page 39, paragraph V.A.c.1(b): As the paragraph numbering indicates, the second sentence in paragraph V.A.c.1(b) was meant to be included in V.A.c.1(c), this is corrected below.

(1). Revised format

(c) Describe what procedures will be followed to prevent inter-program coordination from significantly increasing the relocation period for occupants.

e. Page 39, paragraph V.A.c.(1)(h): A subfactor was inserted to provide more points to applications that include programs that have not already established a working relationship.

(1) New text

(h). Applicants that include a LHC program and WAP that serve the same community and have not yet established a routine and consistent approach to inter-program coordination in service delivery will receive 3 points under this rating factor. Letters of commitment from the programs must be provided in the application. The letter should describe any previous efforts at coordination between the programs (if any).

f. Page 49, Appendix A (4): The text is revised to address an error and make it consistent with text in the body of the NOFA (see revision at: I.A.2.c).

(1). Revised text

Cost limits: The costs of the assessment and control of lead-based paint and other housing-related hazards are limited to \$20,000 per home. The cost of conducting energy audits and implementing energy conservation measures is limited to \$10,000 per home. ~~The cost of mitigating healthy homes hazards (i.e., other than lead hazard control and energy conservation measures) is limited to \$30,000 per home (Note: total intervention costs cannot exceed \$30,000 per home).~~ The maximum amount of grant funds that can be used for all hazard control and energy conservation activities in a single housing unit is limited to \$30,000 unless written permission is provided by HUD GTR assigned to the grant.

3. Definitions.

a. Standard Definitions

Affirmatively Furthering Fair Housing (AFFH). The obligation to affirmatively further the purposes and policies of the Fair Housing Act.

Assistance Listings (formerly CFDA) is a directory of the various Federal listings, projects, services and activities offering financial and non-financial assistance and benefits to the American public. An Assistance Listing (CFDA) Number is the unique number assigned to each program, project, service or activity listed in the Catalog of Federal Domestic Assistance (CFDA).

Authorized Organization Representative (AOR) is the person authorized to submit applications on behalf of the organization via Grants.gov. The AOR is authorized by the E-Biz point of contact in the System for Award Management. The AOR is listed in item 21 on the SF-424.

Award, as used in this NOFA means a federal grant OR cooperative agreement as specified in Section II.E (Type of Funding Instrument).

Consolidated Plan is a document developed by states and local jurisdictions. This plan is completed by engaging in a participatory process to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based investment decisions with funding from formula grant programs. (See 24 CFR part 91 for more information about the Consolidated Plan and related Action Plan).

Contract means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this NOFA does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward (See 2

CFR 200.22.)

Contractor means an entity receiving a contract.

Deficiency is information missing or omitted within a submitted application. Examples of deficiencies include missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box.). Depending on specific criteria, deficiencies may be either curable or non-curable.

- Curable Deficiency – Applicants may correct a curable deficiency with timely action.

To be curable the deficiency must:

- Not be a threshold requirement, except for documentation of applicant eligibility;
- not influence how an applicant is ranked or scored versus other applicants; and
- be remedied within the time frame specified in the notice of deficiency.
- Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency after the submission deadline.

Non-curable deficiencies are deficiencies that, if corrected, would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination.

DUNS Number is the nine-digit identification number assigned to a business or organization by Dun & Bradstreet and provides a means of identifying business entities on a location-specific basis. Requests for a DUNS number can be made by visiting the Online DUNS Request Portal.

Eligibility requirements are mandatory requirements for an application to be eligible for funding.

Grants.gov is the website serving as the Federal government's central portal for searching and applying for federal financial assistance throughout the Federal government. Registration on Grants.gov is required for submission of applications to prospective agencies unless otherwise specified in this NOFA.

Non-Federal Entity is a state, local government, Indian tribe, institution of higher education (IHE), or non-profit organization carrying out a Federal award as a recipient or sub recipient. If eligible applicants under the NOFA include for profit entities, this definition of non-federal entity includes for profit entities.

Opportunity Zone (OZs) are defined in 26 U.S.C. 1400Z-1. In general, OZs are census tracts located in low-income communities where new investments, under certain conditions, may be eligible for preferential tax treatment.

Point of Contact (POC) is the person who may be contacted with questions about the application submitted by the AOR. The POC is listed in item 8F on the SF-424.

Promise Zones (PZs) are high poverty communities where the federal government partners with local leaders to increase economic activity, improve educational opportunities, leverage private investment, reduce violent crime, enhance public health and address other priorities identified by the community.

Recipient means a non-Federal entity receiving an award directly from HUD to carry out an activity under a HUD program.

Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the recipient. It does not include payments to a contractor or payments to an individual beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. The legal agreement must contain the subrecipient's assurance of compliance with program requirements, including but not limited to nondiscrimination and equal opportunity requirements.

Subrecipient is a non-Federal entity receiving a subaward from a pass-through entity to carry out part of a HUD program; but does not include an individual beneficiary of such program. A subrecipient may also receive other Federal awards directly from a Federal awarding agency (including HUD).

System for Award Management (SAM), is a U.S. Government system that consolidated the capabilities of Central Contractor Registry (CCR), Excluded Parties List System (EPLS) and the Online Representations and Certifications Application (ORCA). Registration with SAM is required for submission of applications via Grants.gov. You can access the website at <https://www.sam.gov/SAM/>. There is no cost to use SAM.

Threshold Requirements are an eligibility requirement that must be met for an application to be reviewed. Threshold requirements are not curable, except for documentation of applicant eligibility and are listed in Section III.D Threshold Eligibility Requirements. Similarly, there are eligibility requirements under Section III.E, Statutory and Regulatory Requirements Affecting Eligibility.

Unique Entity Identifier is a number used to identify a specific commercial, nonprofit, or government entity. SAM states that currently Dun & Bradstreet (D&B) is the designated entity to establish and maintain the DUNS Number as the unique entity identifier required for registration in SAM and further used throughout federal procurement, financial assistance, and financial management systems. Beginning December 2020, the DUNS number will no longer be the official identifier for entities doing business with the government.

4. Program Definitions

Asthma is a disease that affects the lungs. It causes repeated episodes of wheezing, breathlessness, chest tightness, and nighttime or early morning coughing. These symptoms increase during asthma attacks. Asthma can be controlled by taking medications and avoiding the triggers that can cause an attack. The National Institute of Health has established guidelines for classifying individual cases of asthma as well controlled, not well controlled, or poorly controlled based on factors such as symptom frequency, lung function, and the degree of interference with normal activities.

Deferral in the context of Weatherization Assistance Program operations, weatherization services are deferred when the condition of a home renders delivery of the services either unsafe

or ineffective (e.g., structural problems such as roof leaks, electrical or plumbing system problems, extensive mold growth, etc.). Weatherization services can be provided if the problems can be resolved and the home can be made “Weatherization Ready”.

Energy burden is the share or percentage of annual household income that is used pay annual heating and cooling costs. Data have shown that low income households have on average an energy burden that is higher than that of other households. This NOFA uses the following DOE definition of “high energy burden” for the Weatherization Assistance Program: a low-income household whose residential energy burden exceeds the median level of energy burden for all low-income households in the state.

Energy Conservation Measure (ECM) –Installation procedure performed by Weatherization Assistance Programs for its anticipated energy savings. Based on DOE’s definition, ECM costs must include all material, labor, and ancillary items and must meet a Savings to Investment Ratio (SIR) of 1.0 or greater to be installed with WAP funds.

Insurance means securing liability insurance for housing-related environmental health and safety hazard evaluation and control activities, if the scope of the insurance is restricted to work under this grant.

Lead-Based Paint Inspections/Testing means performing lead dust and, soil/paint-chip testing, X-ray fluorescence (XRF) testing, lead-based paint inspections, risk assessments, clearance examination, and engineering and architectural activities that are required and in direct support of interim lead hazard control and lead hazard abatement work. Inspections and testing assess 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 the mentioned testing procedures.

Lead-Based Paint Hazard Control means the control or elimination of all lead-based paint hazards identified in housing units and in common areas of multi-family housing through either interim controls or lead-based paint abatement, or a combination of both. For a complete description of interim controls and abatement, see HUD’s 2012 Guidelines

Savings to Investment Ratio (SIR) – As defined by the DOE, this is the result of dividing the present worth of the lifetime energy cost savings by the total present worth cost of the installed measure, including the discounted rate of the savings and fuel escalation rates. Each ECM must yield a SIR ratio of 1.0 or greater to be included in the *package of weatherization measures*, and the total package of weatherization measures must yield a cumulative SIR of 1.0 or greater to be allowable expenditures of WAP funds.

B. Authority.

This NOFA 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). Funding is provided by the Further Consolidated Appropriations Act, 2020, approved December 20, 2019 (Public Law 116-94). This program is administered under HUD’s Office of Lead Hazard Control and Healthy Homes (OLHCHH).

II. Award Information.

A. Available Funds

Funding of approximately **\$ 5,000,000** is available through this NOFA. Additional funds may become available for award under this NOFA, because of HUD's efforts to recapture funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds is subject to statutory constraints. All awards are subject to the funding restrictions contained in this NOFA.

B. Number of Awards.

HUD expects to make approximately 5 awards from the funds available under this NOFA.

For information on the methodology used to make award determinations under this NOFA, please see Section V.B Review and Selection Process below.

C. Minimum/Maximum Award Information

Awards will be for \$1,000,000 under this Healthy Homes and Weatherization Cooperation Demonstration Grant Program NOFA.

Estimated Total Funding:
\$ 5,000,000

Minimum Award Amount:
\$ 1,000,000

Per Project Period

Maximum Award Amount:
\$ 1,000,000

Per Project Period

D. Period of Performance

The start date will be determined during the period of negotiations with successful applicants. The period of performance cannot exceed 36 months from the time of award. The time of award is the Federal award date which is defined in 2 CFR 200.39 as the date when the Federal award is signed by the authorized official at HUD. The proposed performance period should include adequate time for such project components as the hiring of new staff, the recruitment of project participants and the development of project protocols 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 2 CFR § 200.308(d)(2), as applicable, and the OLHCHH Program Guide (see: www.hud.gov/sites/documents/PGI_2013-03.PDF).

If requested, determined to be appropriate, and subsequently approved by OLHCHH, grantees will be eligible to receive a single extension of up to 12 months in length.

Estimated Project Start Date:
04/01/2021

Estimated Project End Date:
03/29/2024

Length of Project Periods:
36-month project period with three 12-month budget periods
Length of Periods Explanation of Other:

E. Type of Funding Instrument.

Funding Instrument Type:
CA (Cooperative Agreement)

F. Supplementation.

For this NOFA, sub-section "F. Supplementation" is Not Applicable

III. Eligibility Information.

A. Eligible Applicants.

County governments
State governments
City or township governments
Special district governments
Public and State controlled institutions of higher education
Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education
Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
Private institutions of higher education

Information on Eligible Applicants

If the applicant has a current HUD Lead Hazard Control grant and/or DOE Weatherization Assistance Program funding (i.e., a grant or subgrant) it must demonstrate the commitment from the other organization to collaborate in the execution of this grant. (see section III.F.1 for additional details). Similarly, if the applicant is not currently administering either of these programs, commitments from both programs to work in each of the target communities must be demonstrated (see section III.F.1 for additional details).

B. Ineligible Applicants.

1. Individuals
2. Federal Agencies
3. Native American tribal organizations (other than Federally recognized tribal governments)
4. Public housing authorities/Indian housing authorities
5. Native American tribal governments (Federally recognized)

C. Cost Sharing or Matching.

This Program does not require cost sharing or matching.

D. Threshold Eligibility Requirements.

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated.

1. Outstanding civil rights matters must be resolved to HUD's satisfaction prior to grant award, provided that all applicable legal processes have been satisfied.

2. Timely Submission of Applications. Applications submitted after the deadline stated within this NOFA that do not meet the requirements of the grace period policy will be marked late. Late applications are ineligible and will not be considered for funding. See Section IV. D. Application Submission Dates and Times.

E. Statutory and Regulatory Requirements Affecting Eligibility.

Eligibility Requirements for Applicants of HUD's Grants Programs

The following requirements affect applicant eligibility. Detailed information on each requirement is posted on [HUD's Funding Opportunities Page](#).

- Outstanding Delinquent Federal Debts
- Debarments and/or Suspensions
- Pre-selection Review of Performance
- Sufficiency of Financial Management System
- False Statements
- Mandatory Disclosure Requirement
- Prohibition Against Lobbying Activities
- Equal Participation of Faith-Based Organizations in HUD Programs and Activities

F. Program-Specific Requirements Affecting Eligibility.

a. Applicants must plan on implementing their demonstration programs in communities served by both a HUD Lead Hazard Control Grant funded program with Healthy Homes Supplemental funding and a weatherization program that receives funding originating from the DOE's Weatherization Assistance Program. If an applicant is not a current HUD LHC or DOE WAP grantee, these grantees (or subgrantees in the case of WAPs) must be partners in your application (i.e., these grantees must be partners for each community targeted in your application).

b. To be an applicant or a partner in an application under this NOFA, a LHC program must have a HUD grant that is active until October 1, 2022 or longer. The program must also have at least two years of experience conducting lead hazard control and healthy homes interventions with HUD grant support and must have maintained a minimum of YELLOW designation for the last two Quarterly Reports in 2019 (i.e., covering the following calendar quarters: July – September and October – December of 2019). Performance ratings for these quarters are being considered because LHC grantees have not received performance ratings in 2020 due to the impact of the COVID-19 pandemic (Quarterly Reports provide HUD with an update on the LHC grantees).

c. To be a partner in an application under this NOFA, a weatherization program must be a current DOE Weatherization Assistance Program grantee or subgrantee and be able to demonstrate that it is highly likely that the program will receive annual DOE WAP funds through June 30, 2021.

d. If HUD-funded LHC programs and DOE-funded WAPs use their programs' grant funding on any home that is recruited for joint interventions under this NOFA, they must meet all the requirements pertaining to their HUD and DOE funding.

e. Grantees must be able to demonstrate substantive involvement of LHC and WAP partners in any unit receiving assistance under this NOFA.

f. Funds awarded through this NOFA can only be used under this grant program to provide assistance for housing that meets the following criteria:

(1). For single family rental housing.

Applicant and partners must comply with their LHC and/or WAP requirements if program funds are used.

(a). All units assisted under this grant program must be occupied by households with incomes that are either 80% or less of the Area Median Income, or 200% or less of the federal poverty threshold (whichever is greater).

(b). Members of households living in units assisted under this grant program must include either a young child (age 6 or under), an elderly person (age 62 or over), a pregnant woman, or a person with a disability or illness that could benefit from home modification (e.g., poorly controlled asthma, Chronic Obstructive Pulmonary Disease (COPD), or the household has a high energy burden.

(2). For owner-occupied single-family housing.

Applicant and partners must comply with their LHC and/or WAP requirements

(a). All units assisted under this grant program must be the principal residence of the family and be occupied by households with incomes that are either 80% or less of the Area Median Income, or 200% or less of the federal poverty threshold (whichever is greater).

(b). Members of households living in units assisted under this grant program must include either a young child (age 6 or under), an elderly person (age 62 or over), a pregnant woman or a person with a disability or illness that could benefit from home modification (e.g., poorly controlled asthma, Chronic Obstructive Pulmonary Disease (COPD)), or the household has a high energy burden.

(3). Eligibility for units in a multifamily property.

(a). Single rental or owner-occupied units in a multifamily building (defined by HUD as having more than five housing units) are eligible for services under this grant program. The property may have 20% of the units occupied by families with incomes above 80% of AMI and the remaining units must meet renter income as described for single family rental housing.

(b). If energy conservation measures or healthy homes interventions are implemented in a multifamily building with the expectation that these interventions will benefit at least 50% of the units (e.g., improvements to a central HVAC system, improving building insulation, implementing integrated pest management), at least 66% of the units in the building must meet income eligibility requirements.

(c). Members of households living in a unit assisted under this grant program that is within a multifamily property must include either a young child (age 6 or under), an elderly person (age 62 or over), a pregnant woman or a person with a disability or illness that could benefit from home modification (e.g., poorly controlled asthma, Chronic Obstructive Pulmonary Disease (COPD)), or the household has a high energy burden.

2. Other Program Requirements.

- 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 grant 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 grant agreement.

- b. **Demonstrating a Sustainable Model of Coordination:** To assess the long-term sustainability of the partnership, grantees will be required to cooperate in conducting joint LHC and WAP work on a minimum of 15 homes during the period of performance of the cooperative agreement with funding from this NOFA only used to cover the costs of any staff time needed to evaluate this cooperative effort (e.g., evaluating the process, various outcomes). HUD anticipates that the intervention work will be conducted using the existing HUD and DOE grant funding, requiring the units to be eligible under the requirements of both programs.
- c. **Demonstrating Health Benefits of Coordinated Interventions:** To assess the potential health benefits of coordinated LHC/WAP interventions, HHWCD NOFA grantees will be required to conduct interventions in a minimum of 20 units that house a resident with asthma that is not well controlled. The flexibilities that this NOFA allows for units mitigated solely with HHWCD funds will facilitate the grantee meeting this requirement.
- d. **Trained and Certified Professionals.** If Lead-based paint hazard control activities are performed with healthy homes activities, they must be conducted by persons qualified according to 24 CFR Part 35, subparts B-R (possessing certification/license as abatement contractors, risk assessors, inspectors, abatement supervisors, abatement workers, or sampling technicians; or others having been trained in a HUD-approved course in lead-safe work practices), and all firms and persons (both workers and supervisors) conducting lead-based paint hazard control activities must be certified in accordance with the EPA's Renovation, Repair, and Painting (RRP) Rule (see 40 CFR Part 745 and <https://www.epa.gov/lead/renovation-repair-and-painting-program>). All other investigations and activities must be conducted by licensed or certified professionals as required by the jurisdiction's requirements. If State or local mold regulations apply, they must be strictly followed. If weatherization assistance is provided, staff should have a Quality Control Inspector (QCI) certification.
- e. **Radon** testing must be conducted in all units and must be conducted by a professional who is licensed in the state in which the work is being conducted or who is currently credentialed by the National Radon Proficiency Program or the National Radon Safety Board. Radon testing and mitigation must be conducted according to the current AARST/ANSI consensus standards for the specific housing type <https://standards.aarst.org/>. Exceptions to this requirement include units with an active radon mitigation system or units that have had a valid radon test within the past 12 months.
- f. **Compliance with HUD Regulations and Guidelines.** Lead-based paint hazard assessment and control work that is performed in part with the LHC or with WAP funds shall be conducted in compliance with HUD's Lead Safe Housing Rule, 24 CFR Part 35, subparts B-R, the current HUD Guidelines, the EPA's Renovation, Repair and Painting Rule, found within 40 CFR Part 745 and applicable federal, state and local regulations and guidance.
- g. **Replacement of Windows and Doors.** Windows and/or doors can be replaced under this NOFA if the replacement will improve safety and/or energy conservation, even if the SIR is less than 1.0.

- h. **Compliance with Weatherization Regulations and Guidelines.** The use of funds awarded through this NOFA for weatherization activities must follow all DOE Weatherization Program requirements identified in “WPN 20-1: Program Year 2020 Weatherization Grant Application” except as otherwise noted in this NOFA <https://www.energy.gov/eere/wipo/downloads/wpn-20-1-program-year-2020-weatherization-grant-application>. Note: HUD may exempt other DOE Weatherization Program requirements following award of cooperative agreements under this NOFA.
- i. **Counting units Under Program Goals:** Grantees cannot count units completed solely with HHWCD grant funding in meeting unit completion goals identified under existing agreements for HUD LHC or DOE WAP-funded programs unless the agreements are formally modified. In order to count these units under program-specific goals, all requirements of the respective programs must be met.
- j. **Income Eligibility.** All units assisted solely through funds awarded under the HHWCD NOFA must be the residence of families with income at or below 80% of the Area Median Income level or at or below 200% of the U.S. Department of Health and Human Services (HHS) 2020 poverty guidelines, whichever is the higher income level.
- k. **Lead-Based Paint and Lead-Based Paint Hazard Identification.** Any lead hazard control interventions conducted in a unit must be preceded by a complete lead-based paint inspection and risk assessment following the procedures as defined in the current HUD 2012 Guidelines for the Evaluation and Control of Lead Based Paint Hazards in Housing and as defined by the policies of the OLHCHH Lead-Based Paint Hazard Control Program. In identifying a dust-lead hazard, the action levels identified in OLHCHH Policy Guidance 2017-01 must be followed. If a lead-based paint inspection is not conducted, the grantee must presume that any paint that is disturbed during interventions in a dwelling built before 1978 is lead-based paint and must take precautions as specified in EPA’s RRP Rule (see 40 CFR Part 745 and <https://www.epa.gov/lead/renovation-repair-and-painting-program>).
- l. **Clearance Testing.** If lead-based paint hazards are identified and remediated as part of healthy homes assessment and remediation, clearance must be conducted either after the lead hazard control work is completed, and again after any healthy homes remediation or weatherization work is completed, or after all of the lead hazard control and/or healthy homes remediation work is completed. In either case, clearance must be successfully completed before re-occupancy. The dust-lead action levels identified in OLHCHH Policy Guidance 2017-01 must be followed when clearing a unit. If paint in a unit built before 1978 is disturbed during interventions, clearance testing must be conducted according to the HUD Guidelines (exceptions include de minimis areas of disturbed paint or paint that has been tested and is not lead-based paint. HUD’s de minimis amounts are: 2 square feet of interior lead-based paint, 20 square feet of exterior lead-based paint or 10% of the total surface area on an interior or exterior type of component with a small surface area that contains lead-based paint. 24 CFR Part 35.).
- m. **Integrated Pest Management (IPM).** All activities to reduce or control pest infestations shall be conducted in accordance with IPM practices and principles. IPM uses current, comprehensive information on the life cycles of pests and their interaction with the environment. This information, in combination with available pest control methods, is used to manage pest damage by the most economical means, and with the least possible hazard to people, property and the environment (see www.stoppests.org/what-is-ipm/).

- n. **Laboratory Analysis for Mold.** Although mold sampling is generally discouraged in guidance published by federal agencies, 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), unless approved by HUD based on its prior consideration of the justification by the grantee.
- o. **Cooperation with Related Research and Evaluation.** You must cooperate fully with any research or evaluation sponsored by HUD 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 the 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/hipaa/index.html. For the programs in this NOFA, HUD does not expect research to be conducted that could affect human subjects. See paragraph x, below.
- p. **Economic Opportunities for Low- and Very Low-Income Persons (Section 3).** Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. § 1701u) applies directly to the grantee (see 24 CFR Part 135.3(a)(2)(i)). The purpose of Section 3 is to ensure that new training, employment or contracting opportunities created during the grant will, to the greatest extent feasible, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons in the area in which the project is located. Any contractor, subcontractor or subgrantee receiving contracts under the grant totaling \$100,000 or more, and any grantee receiving an award exceeding \$200,000, must comply with the Section 3 requirements for any new training, hiring or contracting opportunities under those contracts. Please refer to 24 CFR Part 135, subparts B and E.
- q. **Code of Conduct.** If you are awarded a grant, you must be prepared to submit a copy of your Organization's Code of Conduct and describe the methods you will use to ensure that all officers, employees, and agents of the organization are aware of your Code of Conduct, prior to entering into a grant agreement with HUD.
- r. **Coordination among Critical Agencies.** HUD encourages grantees to work with State or other governmental agencies and non-governmental organizations (e.g., clinics' local hospitals, school nurses) to identify low income individuals who could benefit from the home assessments and interventions. Applicants are also encouraged to enter into collaborative arrangements with childhood lead poisoning prevention programs, health agencies, housing agencies, community development agencies, community-based language assistance organizations, fair housing organizations and code enforcement agencies (or equivalent) for your target area(s).
- s. **Waste Disposal.** Applicants must handle waste disposal according to the requirements of the appropriate local, state, and federal regulatory agencies. Applicants 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 current HUD Guidelines. The Guidelines are available from the HUD website at https://www.hud.gov/sites/documents/LEAD-BASED_PAINTH-12.PDF

- t. **Worker Protection Procedures.** The requirements of the Occupational Safety and Health Administration (OSHA) (e.g., 29 CFR parts 1910 and/or 1926, as applicable) or the state or local occupational safety and health regulations, whichever are most stringent, must be met.
- u. **Temporary Relocation.** HUD expects that most temporary relocation for hazard control work would be for 10 days or less. Assisting temporary relocation of families forced to vacate housing while hazard reduction measures are being conducted is an eligible activity of the programs described in this NOFA. Tenant-occupants forced to vacate housing while hazard reduction measures are being conducted pursuant to a program described in this NOFA must be treated fairly and equitably. Depending upon the type of activities undertaken, the temporary relocation of such tenant-occupants may be subject to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) , 42 U.S.C. §§ 4601-4655, and implementing regulations at 49 CFR part 24 and the corresponding Appendix A to Part 24. This includes reimbursement for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation of a tenant-occupant. Owner-occupants temporarily relocating while hazard reduction measures are conducted pursuant to a program described in this NOFA are not entitled to URA relocation assistance. You can access the URA regulations through www.ecfr.gov or <https://bookstore.gpo.gov/CFR>. When persons with disabilities are temporarily relocated, they must be offered housing that contains appropriate accessibility features to meet their disability-related needs (see 24 CFR 8.4 and 8.20). For additional information on URA relocation requirements, see HUD Handbook 1378 (Real Estate Acquisition and Relocation Policy and Guidance) and other resources available through HUD's Real Estate Acquisition and Relocation website at www.hud.gov/relocation.
- v. **Notification Requirements.** All lead-based paint inspection and risk assessment results, summaries of lead-based paint hazard control treatments, and clearance examination results 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 (see 24 CFR 35.88 of the Lead Disclosure Rule). Grantee files must contain verifiable evidence of providing lead hazard evaluation and control reports to owners and tenants, such as a signed and dated receipt. Applicants should also describe how they will provide owners with lead hazard evaluation and control information generated by activities under this grant, so that the owner can comply with the Lead Disclosure Rule (24 CFR Part 35, subpart A, and the equivalent 40 CFR Part 745, subpart F) and the Lead Safe Housing Rule (24 CFR Part 35, subparts B and R).
- w. **Written Policies and Procedures.** Applicants must describe in the work plan policies and procedures for procurements (contracting), unit eligibility, unit selection and prioritization, and all phases of healthy homes interventions, including assessments and testing, development of specifications for contractor bids, financing, and temporary relocation. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.
- x. **Control/Elimination Strategies.** 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 methods below within 10 days or less:

(1). Interim Controls. Interim controls of lead-based paint hazards including paint-lead hazards, dust-lead hazards, and soil-lead hazards, as defined by EPA at 40 CFR §§ 745.65 and 745.227, shall be conducted in accordance with the current HUD Guidelines, and shall be completed by conducting and passing clearance, including visual inspection and, on applicable interior and patio surfaces, dust-lead sampling and analysis demonstrating residual dust lead below the lower of EPA's or HUD's dust lead hazard standards or clearance levels.

(2). Abatement means any set of measures designed to permanently eliminate lead-based paint hazards in accordance with standards established by the EPA. Abatement includes the removal of lead-based paint and lead contaminated dust, the permanent containment or encapsulation of lead-based paint, the replacement of lead painted surfaces or fixtures, and the removal or covering of lead contaminated soil; and all preparation, cleanup, disposal, and post-abatement clearance testing activities associated with such measures; however, for clearances under this NOFA on applicable interior and patio surfaces, dust-lead sampling and analysis shall demonstrate residual dust lead below the lower of EPA's or HUD's dust lead hazard standards or clearance levels (40 CFR 745.227, or 24 CFR 35.1320 and 35.1340).

- y. **Compliance with Section 504 of the Rehabilitation Act and Titles II and III of the American with Disabilities Act.** Facilities where program participants come for assistance (e.g., for intake and enrollment in the program), training or education, must be held in facilities that are accessible to persons with disabilities in accordance with Section 504 of the Rehabilitation Act and its implementing regulations at 24 CFR Part 8, and with Titles II and III of the Americans with Disabilities Act, as applicable, in accordance with 28 CFR Parts 35 and 36.
- z. **Privacy.** Submission of any information to databases (whether website, computer, paper, or other format) of addresses of housing units identified, treated or cleared under these studies may be subject to the protections of the Privacy Act of 1974, and shall not include any personal information that could identify any household member. You should also check to ensure you meet state and local privacy laws and regulations as well as other federal privacy laws and regulations.
- aa. **Prohibited Practices.** Applicants are not permitted to engage in practices prohibited under HUD's Lead Safe Housing Rule at 24 CFR 35.140, EPA's RRP Rule at 40 CFR 745.83(a)(3), or EPA's lead abatement rule at 40 CFR 745.227(e)(6). Applicants are not permitted to use funds from the WAP program to conduct weatherization activities under the following conditions unless the condition(s) can be adequately mitigated through the use of HUD LHC grant funds, funds from this NOFA, or funds from other sources:
 - (1). Excessive mold or moisture.
 - (2). Excessive carbon monoxide (CO) levels exceeding the scope of weatherization.
 - (3). Sewage or sanitary issues.
 - (4). Situations where performing work would endanger the residents.
 - (5). Building structures, electrical systems, plumbing systems, or mechanical systems that prohibit effective and durable weatherization work from being completed.
 - (6). Residences where activities are taking place that are health and safety violations.
 - (7). Residences where the extent and condition of lead-based paint in the home would potentially increase health and safety issues.

- (8). Residences where the client is threatening, abusive, or uncooperative to the crew, contractors, auditors, or program management who must work on or visit the home.
- (9). Roof leaks, structural damage, and other house shell damage.

bb. Procurement Requirements. All goods and services must be procured through a competitive process. Recipients must follow federal procurement requirements as defined in 2 CFR 200.317- 326, as applicable. The designation of an entity as a “sub recipient: or “contractor” must follow program policies and 2 CFR 200.330. According to 2 CFR 200.330, a recipient acting as a pass-through entity must make a case-by-case determination whether each agreement it makes for the disbursement of Federal program funds cast the party receiving the funds in the role of a sub recipient or contractor (see: <https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-330>).

cc. Construction Activities. The maximum amount of HHWCD grant funds that can be used for all hazard control and energy conservation activities in a single housing unit is limited to \$30,000 unless written permission is provided by the HUD Government Technical Representative (GTR) assigned to the grant.

This program requires a certification of Consistency with the Consolidated Plan under 24 CFR 91.2. This certification means the proposed activities in the application are consistent with the jurisdiction's strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan.

G. Criteria for Beneficiaries.

This program has eligibility criteria for beneficiaries.

If funds under this grant program are used to identify and address residential health and safety hazards, the following criteria must be met:

1. All units assisted under this grant program must be occupied by households with incomes that are either 80% or less of the Area Median Income, or 200% or less of the federal poverty threshold (whichever is greater).
2. Members of households living in units assisted under this grant program must include either a young child (age 6 or under), an elderly person (age 62 or over), a pregnant woman, or a person with a disability or illness that could benefit from home modification (e.g., poorly controlled asthma, Chronic Obstructive Pulmonary Disease (COPD)) or the household has a high energy burden.

IV. Application and Submission Information.

A. Obtaining an Application Package.

Instructions for Applicants.

You must download both the Application Instructions and the Application Package from Grants.gov. You must verify that the CFDA Number and CFDA Description on the first page of the Application Package, and the Funding Opportunity Title and the Funding Opportunity Number match the Program and NOFA to which you are applying.

The Application Package contains the portable document forms (PDFs) available on Grants.gov, such as the SF-424 Family. The Instruction Download contains official copies of the NOFA and forms necessary for a complete application. The Instruction Download may include Microsoft

Word, Microsoft Excel and additional documents.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. For example, a lack of available Internet access in the geographic area in which your business offices are located. Lack of SAM registration or valid DUNS is not good cause. If you cannot submit your application electronically, you must ask in writing for a waiver of the electronic grant submission requirements. HUD will not grant a waiver if HUD does not receive your written request at least 15 days before the application deadline and if you do not demonstrate good cause. An email request for a waiver received by HUD 15 days before the application is due will also be considered. If HUD waives the requirement, HUD must receive your paper application before the deadline of this NOFA. To request a waiver you must contact:

Name:

Brenda M. Reyes, MD

Email:

Brenda.m.reyes@hud.gov

HUD Organization:

OLHCHH

Street:

451 7th Street SW (Room 8236)

City:

Washington

State:

DC DISTRICT OF COLUMBIA

Zip:

20410

Applicants should submit their requests for a waiver of electronic submission of their application in writing or using email.

Grants.gov- <https://www.grants.gov/>, provides customer support information on its website at www.grants.gov/web/grants/support.html. If you have difficulty accessing the application and instructions or have technical problems, you can receive customer support from [Grants.gov](https://www.grants.gov) by calling (800) 518-GRANTS (this is a toll-free number) or by sending an email to support@grants.gov (Hearing- or speech-challenged individuals may access this number through TTY by calling the toll-free Federal Relay Service at 800-877-8339.) The [Grants.gov](https://www.grants.gov) Help Desk can be reached twenty-four hours per day, seven days per week, except federal holidays. HUD recommends calling the Help Desk rather than emailing, because determining the basis for the problem may take some conversation with the [Grants.gov](https://www.grants.gov) Support Customer Service Representative.

B. Content and Form of Application Submission.

You must verify that boxes 11, 12, and 13 on the SF-424 match the NOFA for which you are applying. If they do not match, you have downloaded the wrong Application Instruction and Application Package.

Submission of an application that is otherwise sufficient, under the wrong CFDA and Funding Opportunity Number is a curable deficiency.

1. Content.

Forms/Assurances/Certifications	Submission Requirement	Notes/Description
Application for Federal Assistance (SF424) application form) including the required assurance in SF424B or D, as applicable.		
Form HUD 424 CBW HUD Detailed Budget Worksheet	Must be submitted with your application	Amounts on HUD_424_CBW must be consistent with requested and matched amounts on lines 18b-f of the SF424, Application for Federal Assistance.
Disclosure of Lobbying Activities (SF-LLL) Certification of Lobbying (SFLLLa)	Must be submitted with your application	You must submit these forms if you are a state-recognized Indian tribe or tribally designated health or housing entity established only under state law.
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	HUD will provide instructions to grantees on how the form is to be submitted.	HUD instructions to grantees are provided by webcast, To view the webcast, click here .
Acknowledgment of Application Receipt (HUD2993), if applicable	This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission.	This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.

Additionally, your complete application must include the following narratives and non-form attachments.

- i. **Application.** Applications must contain the items listed in this section. These items include the standard forms that are applicable to this funding announcement (collectively referred to as the "standard forms"). Copies of these forms are available on line at www.grants.gov/web/grants/applicants/apply-for-grants.html.
- ii. **Application Abstract.** (one page maximum, see "2. Form and Format" below for the page layout requirements). An abstract with the project title, the names and affiliations of all key personnel, identification of partner organizations, a summary of the objectives, project design, expected results and the total funds requested, must be included in the proposal. Information contained in the abstract will not be considered in the evaluation and scoring of your application and will not be counted towards the 15-page maximum. Any information you wish to be considered in scoring of the application must be provided under the appropriate rating factor response.
- iii. **Response to Rating Factors.** A project description/narrative statement addressing the rating factors for award, which are identified in section V.A.1. The narrative statement must be identified in accordance with each rating factor (see V.A.1). The application must be formatted as per section IV.B.2. The project description or narrative must be included in the responses to the rating factors. Any description or narrative in excess of the 15-page 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.
- iv. **Supporting materials** Include, as appendices the following materials that are needed to support your responses to the rating factors. These will not be counted towards the Rating Factors narrative 15-page limit:
 - o The resumes of the project manager and other key personnel. 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 study.
 - o Organizational chart
 - o Letters of commitment
 - o List of references cited in your responses to the rating factors.
- v. **Additional Information.** Any 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. This additional information may, for example, support statements made in your narrative response, such as a summary of an evaluation of housing interventions previously conducted by your organization.
- vi. **Budget.** Include a total budget using form **HUD424CBW** (www.hudexchange.info/resource/304/hud-form-424cbw/) included in the instructions download at Grants.gov, with supporting cost justification of 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 15-page limit. Use the budget format discussed in Rating Factor 1.c of Section V.A.1 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 two trips to HUD Headquarters in Washington, DC, during the period of performance of your grant, planning each trip for 1-2 people, as needed. In planning your trips, you should assume one or two overnight stays depending on your location;
- (3) A separate budget form and justification for each sub-recipient receiving more than 10 percent of the total federal budget request;
- (4) Supporting documentation for salaries and prices of materials and equipment, upon request.

2. Format and Form.

Narratives and other attachments to your application must follow the following format guidelines.

Fifteen (15) 8-1/2 x 11-inch page limit.

Number the pages of the narrative.

Minimum 12-point Times New Roman font.

Minimum margin width of 1-inch on all sides

Minimum of single line spacing

C. System for Award Management (SAM) and Dun and Bradstreet Universal Numbering System (DUNS) Number.

1. SAM Registration Requirement.

Applicants must be registered with <https://www.sam.gov/SAM> before submitting their application. In addition, Applicants must maintain an active SAM registration with current information while they have an active Federal award or an application or plan under consideration by HUD.

2. DUNS Number Requirement.

Applicants must provide a valid DUNS number, registered and active at <https://www.sam.gov/SAM>, in the application. DUNS numbers may be obtained for free from Dun & Bradstreet.

3. Requirement to Register with Grants.gov.

Anyone planning to submit applications on behalf of an organization must register at [grants.gov](https://www.grants.gov) and be approved by the EBiz POC in SAM to submit applications for the organization. Registration for SAM and [grants.gov](https://www.grants.gov) is a multi-step process and can take four (4) weeks or longer to complete if data issues arise. Applicants without a valid registration cannot apply through [grants.gov](https://www.grants.gov). Complete registration instructions and guidance are provided on [grants.gov](https://www.grants.gov).

D. Application Submission Dates and Times.

Application Due Date Explanation

The application deadline is 11:59:59 pm Eastern Standard time on

12/09/2020

Applications must be received no later than the deadline.

Submit your application to [Grants.gov](https://www.grants.gov) unless a waiver has been issued allowing you to submit

your application in paper form. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

"Received by Grants.gov" means the applicant received a confirmation of receipt and an application tracking number from Grants.gov. Grants.gov then assigns an application tracking number and date-and timestamps each application upon successful receipt by the Grants.gov system. A submission attempt not resulting in confirmation of receipt and an application tracking number is not considered received by Grants.gov.

Applications received by Grants.gov must be validated by Grants.gov to be received by HUD.

"Validated by Grants.gov" means the application has been accepted and was not rejected with errors. You can track the status of your application by logging into Grants.gov, selecting "Applicants" from the top navigation, and selecting "Track my application" from the dropdown list. If the application status is "rejected with errors," you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications in "rejected with errors" status after the 24-hour grace period expires will not be received by HUD. Visit Grants.gov for a complete description of processing steps after applying.

HUD strongly recommends applications be submitted at least **48 hours before the deadline** and during regular business hours to allow enough time to correct errors or overcome other problems.

You can verify the contents of your submitted application to confirm Grants.gov received everything you intended to submit. To verify the contents of your submitted application:

- Log in to Grants.gov.
- Click the Check Application Status link, which appears under the Grant Applications heading in the Applicant Center page. This will take you to the Check Application Status page.
- Enter search criteria and a date range to narrow your search results.
- Click the Search button. To review your search results in Microsoft Excel, click the Export Data button.
- Review the Status column, to view more detailed submission information, click the Details link in the Actions column.
- To download the submitted application, click the Download link in the Actions column.

Please make note of the Grants.gov tracking number as it will be needed by the Grants.gov Help Desk if you seek their assistance.

HUD may extend the application deadline for any program if Grants.gov is offline or not available to applicants for at least 24 hours immediately prior to the deadline date, or the system is down for 24 hours or longer and impacts the ability of applicants to cure a submission deficiency within the grace period.

HUD may also extend the application deadline upon request if there is a presidentially declared disaster in the applicant's area.

If these events occur, HUD will post a notice on its website establishing the new, extended deadline for the affected applicants. HUD will also include the fact of the extension in the program's Notice of Funding Awards required to be published in the Federal Register.

In determining whether to grant a request for an extension based on a presidentially-declared disaster, HUD will consider the totality of the circumstances including the date of an applicant's extension request (how closely it followed the basis for the extension), whether other applicants in the geographic area are similarly affected by the disaster, and how quickly power or services are restored to enable the applicant to submit its application.

PLEASE NOTE: Busy servers, slow processing, large file sizes, improper registration or password issues are not valid circumstances to extend the deadline dates or the grace period.

1. Amending or Resubmitting an Application.

Before the submission deadline, you may amend a validated application through Grants.gov by resubmitting a revised application containing the new or changed material. The resubmitted application must be received and validated by Grants.gov by the applicable deadline.

If HUD receives an original and a revised application for a single proposal, HUD will evaluate only the last submission received by Grants.gov before the deadline.

2. Grace Period for Grants.gov Submissions.

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected, received, and validated application through Grants.gov. The date and time stamp on the

Grants.gov system determines the application receipt time. Any application submitted during the grace period not received and validated by Grants.gov will not be considered for funding. There is no grace period for paper applications.

3. Late Applications.

An application received after the NOFA deadline date that does not meet the Grace Period requirements will be marked late and will not be received by HUD for funding consideration. Improper or expired registration and password issues are not causes that allow HUD to accept applications after the deadline.

4. Corrections to Deficient Applications.

HUD will not consider information from applicants after the application deadline. Before the deadline, HUD may contact the applicant to clarify information submitted.

HUD will uniformly notify applicants of each curable deficiency. A curable deficiency is an error or oversight that, if corrected, would not alter, in a positive or negative fashion, the review and rating of the application. See curable deficiency in the definitions section (Section I.A.3.). Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized representative by

email. This email is the official notification of a curable deficiency. Each applicant must provide accurate email addresses for receipt of these notifications and must monitor their email accounts to determine whether a deficiency notification has been received. The applicant must carefully review the request to cure a deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Applicants must email corrections of curable deficiencies to applicationsupport@hud.gov within the time limits specified in the notification. The time allowed to correct deficiencies will be no less than 48 hours and no more than 14 calendar days from the date of the email notification. The start of the cure period will be the date stamp on the email sent from HUD. If the deficiency cure deadline date falls on a Saturday, Sunday, Federal holiday, or on a day when HUD's Headquarters are closed, then the applicant's correction must be received on the next business day HUD Headquarters offices in Washington, DC are open.

The subject line of the email sent to applicationsupport@hud.gov must state: Technical Cure and include the Grants.gov application tracking number or the GrantSolutions application number (e.g., Subject: Technical Cure - GRANT123456 or Technical Cure - XXXXXXXXXXXX). If this information is not included, HUD cannot match the response with the application under review and the application may be rejected due to the deficiency.

Corrections to a paper application must be sent in accordance with and to the address indicated in the notification of deficiency. HUD will treat a paper application submitted in accordance with a waiver of electronic application containing the wrong DUNS number as having a curable deficiency. Failure to correct the deficiency and meet the requirement to have a DUNS number and active registration in SAM will render the application ineligible for funding.

5. Authoritative Versions of HUD NOFAs. The version of these NOFAs as posted on Grants.gov are the official documents HUD uses to solicit applications.

6. Exemptions. Parties that believe the requirements of the NOFA would impose a substantial burden on the exercise of their religion should seek an exemption under the Religious Freedom Restoration Act (RFRA).

E. Intergovernmental Review.

This program is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

F. Funding Restrictions.

- 1. Purchase of Real Property.** The purchase of real property is not an allowable cost under these programs.
- 2. 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.
- 3. Medical Treatment.** Medical treatment costs are not allowable under this program.
- 4. Profit.** For profit entities are not allowed to earn a profit under this grant program.
- 5.** You must comply with the Coastal Barrier Resources Act (16 U.S.C. § 3501 et seq.).
- 6.** You may not conduct lead 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.

7. Cost Requirements - Allowable Costs and Activities.

This section applies to allowable costs and activities funded under this NOFA. Allowable costs are determined in accordance with the cost principles in 2 CFR part 200, subpart E - Cost Principles.

a. Administrative Costs. Applicants are strongly urged to keep administrative costs as low as feasible, but in no case should they exceed a maximum of 20%. Administrative costs must be reflected under each appropriate line items (e.g., salaries, fringe, supplies), on the Form HUD_424_CBW and a detailed cost element breakdown in the budget narrative must be provided. Administrative costs for this program include any indirect cost placed in HUD share budget columns, as well as the sum of the budget line items that have inherent administrative costs, plus any administrative costs of sub recipient organizations (also detailed by budget line item and budget narrative).

There are two categories of administrative costs: direct administrative costs and indirect costs. For the purposes of this grant, all direct administrative costs and all indirect costs count towards “total” administrative cost.

Direct Administrative Costs. Direct administrative costs are the reasonable, necessary, allocable, and otherwise allowable costs of general management, oversight, and coordination of the grant (i.e., program administration). Such costs include, but are not necessarily limited to, expenditures for salaries, wages, fringe benefits, and related costs of the recipient's staff engaged in program administration that can be specifically identified with this grant. In charging costs to this category, the recipient may either include the entire salary, wages, and related costs allocable to the program of each person whose primary responsibilities with regard to the program involve program administration assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any program administration activities. The recipient may use only one of these methods during the grant period. Program administration includes, but is not limited to, the following types of activities:

- (1). Managing or supervising persons whose primary responsibilities within the program include such assignments as those described in section III.F.2 above.
- (2). Travel costs incurred for official business in general program administration that can be specifically identified with this grant program.
- (3). Transportation costs incurred for general program administration that can be specifically identified with this grant program.
- (4). Equipment, supplies (especially office supplies), and materials used for program administration that can be specifically identified with this grant program.

- (5). HUD-required or HUD-approved trainings or conferences; and
- (6). Certification and licensing costs required for program administration responsibilities.

Indirect Costs, if applicable. Indirect facilities and administrative (F&A) costs are, by nature, administrative and represent the expenses of doing business that are not readily identified exclusively with a specific grant, contract, project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs. 2 CFR 200, subpart E Cost Principles, establishes the federal requirements for the determination of allowable and unallowable direct and indirect (F&A) costs, and is available at Code of Federal Regulations-<https://www.govinfo.gov/app/collection/cfr>. Indirect (F&A) costs may only be charged to an OLHCHH grant program under a cost allocation plan or an indirect cost rate agreement or in accordance with the requirements of 2 CFR 200.414(f), on the de minimis rate.

b. Eligible Project Costs.

Applicants are strongly encouraged to focus expenditures on the performance of lead and healthy homes and weatherization assessment and remediation activities. General guidance on costs that are eligible for reimbursement with HHWCD grant funds include the following:

(1). For HUD Lead Hazard Control grant programs:

- (a). Additional staff costs related to coordinating with the WAP partner and evaluating the unit under this program.
- (b). Mitigating conditions that would interfere or prevent the unit from being weatherized.
- (c). Reimbursing the WAP partner for conducting an energy audit and implementing standard energy conservation measures (unless this work is being conducted with the program's WAP funding and is counted as a weatherized unit per the program's funding agreement).
- (d). Conducting healthy homes interventions beyond what can be covered by the LHC grant funding.
- (e). Conducting healthy homes assessments and interventions in "flexible units" that do not meet all of HUD's LHC program requirements (as described elsewhere in this NOFA).

(2). For DOE-funded Weatherization Assistance Programs:

- (a). Additional staff costs related to coordinating with the LHC partner and evaluating the unit under this program.
- (b). Conducting interventions in units to prevent the unit from being deferred if it is a home built before 1978 that also received a lead risk assessment from the LHC partner.
- (c). Reimbursing the LHC partner or a contractor for conducting a lead-based paint inspection and risk assessment, a healthy homes inspection, conducting lead hazard control interventions, and mitigating health and safety hazards (unless this work is being conducted with the program's LHC funding and is counted as a lead safe unit per the program's funding agreement).
- (d). Conducting energy audits and implementing energy conservation measures in

“flexible units” that do not meet all of DOE’s WAP program requirements (as described elsewhere in this NOFA).

- (3). For other organizations receiving a grant through this NOFA:
 - (a). Costs related to coordinating activities with the LHC and WAP partners and evaluating program outcomes.
 - (b). Supplementing LHC and WAPs for additional interventions as described in sections b. (1) and b. (2) above.
 - (c). Costs associated with assessments and interventions in units that do not meet LHC and Weatherization program requirements (i.e., flexible units) (Note: These interventions must be conducted by the LHC and WAP partners).

8. Specific guidance on eligible project costs include the following:

- (1). Identification and remediation of housing-related health and safety hazards such as lead-based paint hazards, radon, pest infestation, mold and moisture, and injury hazards that are identified during the home assessment. (Note: Total costs related to the assessment and control of lead-based paint and/or other housing-related hazards are limited to \$20,000 per home. If no lead-based paint hazards are identified in a home this total can be applied to the mitigation of other residential health and safety hazards).
- (2). Conducting energy audits and the implementation of energy conservation measures and the remediation of weatherization-related health and safety hazards. (**Note:** Costs related to these activities are limited to a maximum of \$10,000 per home).
- (3). The maximum amount of grant funds that can be used for all hazard control and energy conservation activities in a single housing unit is limited to \$30,000 unless written permission is provided by HUD GTR assigned to the grant.
- (4). Conducting sampling and analysis for lead, carbon monoxide and/or other housing-related health and safety hazards as appropriate, following established protocols and procedures when possible. Residential paint, soil or dust samples to be analyzed for lead must be analyzed by a laboratory recognized by the U.S. Environmental Protection Agency’s (EPA’s) National Lead Laboratory Accreditation Program (NLLAP) (epa.gov/lead/pubs/nllap.htm) with the recognition under NLLAP applicable to the medium analyzed. Samples to be analyzed for mold must be submitted to a laboratory accredited by the Environmental Microbiological Laboratory Accreditation Program (EMLAP), administered by the American Industrial Hygiene Association (AIHA) Laboratory Accreditation Programs, LLC.
- (5) Re-evaluation or clearance of the remediation activities being completed.
- (6). Conducting evaluation of the project through data collection, analysis, and reporting. This includes compiling and delivering such data as may be required by HUD.
- (7). Providing HUD-approved training of applicant’s staff and partners on key healthy homes activities, such as conducting integrated homes assessments and evidence-based interventions to address identified healthy homes hazards.
- (8). Providing DOE-approved training for weatherization-related activities such as conducting energy audits and implementing energy conservation measures. Providing the training for Quality Control Inspector (QCI) certifications for staff and partners.
- (9). Conducting targeted outreach, affirmative marketing, or education that help promote participation in the demonstration and further the goal of protecting children and adults from

exposure to residential health and safety hazards and improving energy efficiency. This includes taking reasonable steps to provide meaningful access to these potential benefits and information to persons with limited English proficiency (LEP), in accordance with HUD's *Final Guidance to Federal Financial Assistance Recipients Regarding Title VI, Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons* published on January 22, 2007 in the *Federal Register*, at 72 *Fed. Reg.* 2732 and Executive Order 13166 "Improving Access to Services for Persons with Limited English Proficiency (LEP)". The recipient must adopt and implement procedures to ensure that interested persons (including persons with impaired vision or hearing) can obtain information concerning the existence and location of accessible services, activities, and facilities. See 24 CFR 8.6(b). Recipients must take appropriate steps to ensure that information and communications related to all training, education, marketing, and outreach activities conducted pursuant to this NOFA are provided in a manner that is effective for persons with hearing, visual, and other communication-related disabilities or provide other means of accommodation for persons with disabilities consistent with Section 504 of the Rehabilitation Act of 1973 and HUD's Section 504 regulations, and Titles II or III of the ADA and implementing regulations. Recipients must provide appropriate auxiliary aids and services necessary to ensure effective communication. See 24 CFR 8.6; 28 CFR 35.160, 36.303. These may include effective methods that make aurally delivered information available to individuals who are deaf or hard of hearing, and visually delivered materials available to individuals who are blind or have low vision. The type of auxiliary aid or service necessary to ensure effective communication will vary in accordance with the method of communication used by the individual. In determining what types of auxiliary aids and services are necessary, successful applicants shall give primary consideration to the requests of individuals with disabilities. Meetings must be held, and services provided in facilities that are physically accessible to persons with disabilities. Where physical accessibility is not achievable, successful applicants must give priority to alternative methods of product or information delivery that offer programs and activities to qualified individuals with disabilities in the most integrated setting appropriate under HUD's implementing regulations for Section 504 of the Rehabilitation Act of 1973 (See 24 CFR 8, subpart C).

(10). Securing liability insurance for housing-related environmental health and safety hazard evaluation and control activities.

(11). Purchasing resident supplies, to include "respiratory friendly" cleaning supplies, integrated pest management kits, or household safety items as required with the identified housing related health hazards and direct intervention activities.

Indirect Cost Rate.

Normal indirect cost rules under 2 CFR part 200, subpart E apply. If you intend to charge indirect costs to your award, your application must clearly state the rate and distribution base you intend to use. If you have a Federally negotiated indirect cost rate, your application must also include a letter or other documentation from the cognizant agency showing the approved rate. Successful applicants whose rate changes after the application deadline must submit new rate and documentation.

State, county and local governments. If your department or agency unit has a Federally negotiated indirect cost rate, your application must include that rate, the applicable distribution base, and a letter or other documentation from the cognizant agency showing the negotiated rate. If your department or agency unit receives more than \$35 million in direct federal funding per

year, you may not claim indirect costs until you receive a negotiated rate from your cognizant agency for indirect costs as provided in Appendix VII to 2 CFR Part 200.

If your department or agency unit receives no more than \$35 million in direct federal funding per year and your department or agency unit has developed and maintains an indirect cost rate proposal and supporting documentation for audit in accordance with 2 CFR Part 200, Appendix VII, you may use the rate and distribution base specified in that indirect cost rate proposal. Alternatively, if your department or agency unit receives no more than \$35 million in direct Federal funding per year and has never received a negotiated indirect cost rate, you may elect to use the de minimis rate of 10% of MTDC. As described in 2 CFR 200.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until you choose to negotiate for a rate, which you may apply to do at any time. Documentation of the decision to use the de minimis rate must be retained on file for audit. Applicants other than state, county and local governments. If you have a Federally negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and must include a letter or other documentation from the cognizant agency showing the approved rate. If you have never received a negotiated indirect cost rate and elect to use the de minimis rate, your application must clearly state you intend to use the de minimis rate of 10% of Modified Total Direct Costs (MTDC). As described in 2 CFR 200.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. Once elected, the de minimis rate must be applied consistently for all Federal awards until you choose to negotiate for a rate, which you may apply to do at any time. Documentation of the decision to use the de minimis rate must be retained on file for audit.

G. Other Submission Requirements.

1. Application, Assurances and Certifications.

Standard Form 424 (SF-424) Application for Federal Assistance Programs is the government-wide form required to apply for Application for Federal Assistance Programs, discretionary Federal grants and other forms of financial assistance programs. Applicants for this Federal assistance program must submit all required forms in the SF-424 Family of forms, including SF-424B (Assurances of Non construction Programs) or SF424D (Assurances for Construction Programs). Applications receiving funds for both non construction programs and construction programs must submit both the SF-424B and SF-424D.

By signing the forms in the SF-424 either through electronic submission or in paper copy submission (for those granted a waiver), the applicant and the signing authorized representative affirm that they have reviewed the certifications and assurances associated with the application for federal assistance and (1) are aware the submission of the SF424 is an assertion that the relevant certifications and assurances are established and (2) acknowledge that the truthfulness of the certifications and assurances are material representations upon which HUD will rely when making an award to the applicant. If it is later determined the signing authorized representative to the application made a false certification or assurance, caused the submission of a false certification or assurance, or did not have the authority to make a legally binding commitment for the applicant, the applicant and the individual who signed the application may be subject to administrative, civil, or criminal action. Additionally, HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for

including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally recognized Indian tribes, and those applicable to applicants other than federally recognized Indian tribes. All program specific certifications and assurances are included in the program Instructions Download on Grants.gov.

Assurances. By submitting your application, you provide assurances that, if selected to receive an award, you will comply with U.S. statutory and public policy requirements, including, but not limited to civil rights requirements.

2. Lead Based Paint Requirements.

When providing housing assistance funding for purchase, lease, support services, operation, or work that may disturb painted surfaces, of pre-1978 housing, you must comply with the lead-based paint evaluation and hazard reduction requirements of HUD's lead-based paint rules (Lead Disclosure; and Lead Safe Housing (24 CFR part 35)), and EPA's lead-based paint rules (e.g., Repair, Renovation and Painting; Pre-Renovation Education; and Lead Training and Certification (40 CFR part 745)).

V. Application Review Information.

A. Review Criteria.

1. Rating Factors.

Each of the four factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 102 points. Applicants should be certain that each of these factors (and sub-factors) is adequately addressed in the project description and accompanying materials. Include all of the needed information within your response to each rating factor.

If your response to a particular rating factor cites information provided in your response to another rating factor, clearly indicate where the information is located so that the reviewer can easily locate it.

a. Rating Factor 1 - Applicant and Partner Organizational Capacity and Experience (24 points)

This factor addresses the extent to which you have the ability, capacity and organizational resources necessary to successfully coordinate activities between LHC and weatherization programs and implement your proposed activities in a timely manner. The rating of your application will include any sub-grantees, consultants, contractors, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). You must demonstrate that your organization has sufficient qualified personnel or will actively retain qualified experts or professionals to effectively coordinate the activities of both LHC and WAP programs with a focus on achieving HUD's goals and objectives for this NOFA. You should further demonstrate your ability to initiate identification and remediation of target housing within 60 days of the grant award. If any of the key personnel titles/roles you identify are not currently filled when you submit your application, describe your plan to fill the vacancies in a timely manner.

In rating this factor, HUD will consider the extent to which your application demonstrates:

(1). The capability and qualifications of key personnel. (10 points)

Key personnel must include, at a minimum, a Project Director (PD) and a Project Manager (PM). Unless financial management of the grant falls under the responsibility of the PD or PM, you must also identify the person responsible for the financial management of the grant. You must provide resumes, no longer than 3 pages, of the key personnel and job descriptions for key personnel that will be hired, including the person responsible for the financial management of the grant. You must describe the roles and responsibilities of each of the key personnel for the project, and the percentage of time they will dedicate to this grant. Please do not include the Social Security Numbers (SSN) of any person.

* FTE = Full time equivalent; if labor hours are used, convert to FTE on the basis of 1 FTE = 2,080 hours per year.

The day-to-day Project Manager must be experienced in housing code, housing rehabilitation, residential environmental hazard control, weatherization or other work related to the project and must have demonstrated project management experience. If you have not yet hired a Project Manager, you must include the job announcement for this position in the Appendix to your application. Applications that propose key personnel that do not meet the minimum qualifications described above will not receive full points under this subfactor.

(2). Past performance of the project team in managing similar projects. (6 points)

- (1). Describe projects completed by your organization that demonstrate experience in implementing programs of relevance to this NOFA (e.g., “similar programs” such as public health, environmental health, weatherization, housing rehab programs) in the last five years before the submission date for this NOFA.
- (2). Describe past experience in successfully coordinating and delivering weatherization and lead/healthy homes interventions. Discuss whether and how you achieved performance benchmarks and objectives, addressed program oversight, and evaluate program impact.

(3). Partner Capacity (8 points)

The Applicant must demonstrate the commitment from the HUD-funded LHC and the DOE-funded Weatherization programs in partnering to execute grants funded under this program. This can be demonstrated through letters of commitment from the authorized officials from the organization that is not the primary applicant (or from both organizations if neither program is the applicant). To implement a successful grant program, HUD recognizes the importance of partners and partnerships. The interdisciplinary nature of this NOFA requires strong partnerships for the projects to be successful. Applicants are strongly encouraged to also create formal partnerships with government agencies and other organizations to leverage existing programs in public health, housing and community development, and healthcare, as appropriate. For example, partnering with local clinics can identify households that would benefit from home interventions and partnering with health insurers could demonstrate potential healthcare savings from this cooperative model.

Partnerships are encouraged with programs that focus on improving housing conditions among vulnerable and disadvantaged populations. In describing formal partnerships, include details on the partners’ roles in project implementation and describe any formal agreements that have been created. Also address the following related to partner organizations that will receive federal

funds from your program and that will provide critical services and/or carry out critical activities for the proposed grant program:

- (a). Detail each of these critical partner entities' qualifications and experience in initiating and implementing related public health, environmental health, or housing projects. Points will be awarded based on (the partner organization's) relevant experience and the extent to which the application details their contribution to this project.
- (b). In the context of their role on the proposed project, list the key collaborators from each of these critical partner entities, their respective roles and responsibilities, their qualifications and experience, and the percentages of time committed to the project funded through this NOFA.
- (c). Include the DUNS number and Legal Business Name of all partner organizations. For any partner that has no DUNS number, include the date of incorporation. If a partner organization will be a co-recipient or subrecipient, it needs to acquire a DUNS number.

b. Rating Factor 2 - Need and Extent of the Problem (20 points)

Applicants will be scored in this rating factor based on documented need as evidenced by the submission of the most current, thorough, credible, and appropriate data and information. There must be a direct and substantial relationship between the proposed activities and your community's documented needs. In responding to this rating factor, you should describe how your program would make a significant impact in addressing the identified needs. The source of the data submitted in response to this rating factor must be clearly identified and should be publicly available if possible. Applicants must ensure that the current residents of the target area, whose demographic characteristics constitute the data for this rating factor, are the individuals and families that receive priority for the benefits of the funding received through this NOFA.

Provide data responses in simple table format. (NOTE: Data should be provided that is within the jurisdiction/target area of the applicant – do not provide data from outside the applicant's jurisdiction without adequately detailing the reasons for this inclusion).

(1). Demographic and Other Data for Target Area. (6 points)

- (a). Total population aged 6 and under and/or aged 62 or over.
- (b). Area Median Income (AMI), percentage of population at or below 80 percent of the area median income level, percentage of population at or below 50 percent of the area median income level and/or the percentage of households at or below 200% of the poverty level and at or below the poverty level, as established using the U.S. Department of Health and Human Services 2019 guidelines.
- (c). Any other relevant demographic information and data that demonstrates need for this funding.

(2). Housing Data. (9 points)

- (a). Total number of pre-1978 and pre-1950 housing units in target area.
- (b). Average number and percentage of assessed units that are deferred annually by the partnering weatherization program due to health and safety issues or structural issues (please provide a separate estimate for each area).
- (c). The average number of LHC interventions conducted annually by the partnering LHC

program over the last three years (or over a two-year period if three years of data are not available).

- (i). The number of households currently on the waiting list of the WAP included in this application.
- (ii). Number of annual weatherization applications processed compared to units weatherized in the last two years.

(3). Health and Other Factors Demonstrating Need. (5 points)

Applicants should describe other factors that clearly demonstrate a need for this funding, such as:

- (a). Data on asthma prevalence for children and adults in target communities and data on emergency department use and hospital admissions for asthma in hospitals serving the target communities.
- (b). Number and percentage of children/families receiving Medicaid/Medicare benefits in the target area.
- (c). Data on the energy burden for households in the target community (e.g., average percentage of income used to cover home energy costs). (see: LIHEAP Performance Data Form, pages 10-17: https://www.acf.hhs.gov/sites/default/files/ocs/revised_liheap_performance_data_form_instructions_2015.pdf) and the LIHEAP Performance Management web tool (see: <https://liheappm.acf.hhs.gov/faq>).
- (d). Number and percentage of families receiving assistance through the Women, Infants, and Children (WIC) program, Head Start, or the Supplemental Nutrition Assistance Program.

c. Rating Factor 3 - Soundness of Approach (46 Points)

Your response to this rating factor should describe your approach to implementing your proposed demonstration project. Your project plan should be presented as a logical sequence of steps or phases with individual tasks described for each phase. You should address the following subfactors in your description:

(1). Project Plan (20 points): Provide a succinct description of your overall strategy for implementing your project. Clearly describe your planned approach for coordinating the activities of both the LHC programs and WAPs in implementing activities supported through this NOFA. Describe how you will structure your project to allow the identification of the program model that results in the greatest program cost efficiencies (e.g., by comparing different implementation approaches) while maximizing improvements in indoor environmental quality (IEQ) and safety. HUD anticipates that efficiencies in inter-program coordination can be achieved through approaches such as thoughtful phasing of home assessments and interventions, the cross-training of program staff to conduct lead and healthy homes assessments and energy audits, and the use of contractors that can conduct both lead hazard control/healthy homes interventions and energy conservation improvements. Documenting improvements in IEQ will require careful and thorough record keeping of pre/post-intervention improvements in key IEQ measures (e.g., reduction in lead-based paint hazards, reduction in safety hazards, improved thermal comfort and ventilation). (Note: a HUD contractor will work with grantees to collect data in a standardized format to assess program impact and outcomes). HUD acknowledges that demonstrating improvements in occupant health outcomes can be challenging for multiple reasons, including the follow-up period and sample size needed to assess outcomes such as

injury prevention. Health outcomes that are more feasible to assess include improvements in asthma control among children and adults and possibly in respiratory symptoms associated with chronic obstructive pulmonary disease (COPD). While some households recruited by LHC and WAP programs will by chance likely include some members with poorly controlled asthma, applicants should consider the value of using NOFA funding for targeting these households for interventions and outcome assessment. This can be facilitated by partnering with healthcare organizations that serve your target population.

- (a). Weatherization programs should describe how funds will be used to prevent the deferral of units and address additional health and safety hazards and conditions that are not normally addressed during weatherization treatments.
 - (b). LHC programs should describe how the addition of weatherization measures can be efficiently conducted to supplement standard interventions.
 - (c). Describe what procedures will be followed to prevent inter-program coordination from significantly increasing the relocation period for occupants.
 - (d). Describe how you plan to complete the 15 units to demonstrate inter-program coordination in which HHWCD NOFA funds are only used to support evaluation activities.
 - (e). Describe how you plan to complete the 20 units required to assess the potential health benefits of coordinated interventions in the homes of a resident with asthma that is not well controlled (see: III.F.2.c)
 - (f). Describe if you will use NOFA funds in units that do not meet all LHC and WAP program requirements (i.e., using the flexibility described in this NOFA). If this is planned, provide an estimate of the number of units in this category that will receive interventions.
 - (g). Provide an estimate of the number of LHC and WAP units that will receive coordinated assessments and interventions through your HHWCD program grant.
 - (h). Applicants that include a LHC program and WAP that serve the same community and have not yet established a routine and consistent approach to inter-program coordination in service delivery will receive 3 points under this rating factor. Letters of commitment from the programs must be provided in the application. The letter should describe any previous efforts at coordination between the programs (if any).
- (2). Recruiting households (2 points):** For interventions conducted solely with funds awarded through this NOFA, describe your plans for identifying households with individuals in your target area who could most benefit from the home interventions and how you would recruit the household into the program. For renters you should discuss your approach for recruiting both the household and the property owner.
- (3). Assessing homes and developing scopes of work (3 points):** Describe your process for assessing homes recruited by the LHC program as being potential candidates for weatherization and vice versa for WAP recruitments. Describe your approach for conducting “healthy homes” assessments of homes to identify health and safety hazards/conditions (e.g., mold, excess moisture, conditions that make the home vulnerable to moisture intrusion, pests, dust reservoirs, poor indoor air quality, injury hazards, etc.). Explain how you will develop your intervention work plan based on the results of the home assessment. LHC programs should describe how energy audits will be incorporated into the assessment process. Rehab activities should incorporate low emission materials (e.g., low VOC paints and adhesives, flooring materials, etc.).

Moisture-resistant construction materials should also be used where possible.

(4). Describe your plan for contracting for structural interventions (3 points):

Indicate how you will oversee the work and ensure that it is completed according to scope and timeline and is of acceptable quality.

(5). Referrals (2 points): Describe your plans to identify partners in the community to provide the families access to needed services that are not covered by the primary program partners.

(6). Evaluating the impact of home interventions (4 points): Grantees will be required to cooperate with the HUD OLHCHH in conducting an evaluation of your demonstration program with respect to the efficiency of cooperative models and additional improvements in indoor environmental quality and occupant benefits gained through the cooperative approach (e.g., reduction in energy costs, improved quality of life). If you will be evaluating additional aspects of your program, describe your plans for this. HUD's evaluation of your program will likely require the capture of data on items such as intervention costs, housing hazards, and post-intervention energy use. Describe your project team's capacity to accurately capture data and store these data in a secure manner (i.e., both paper and electronic records). If your project team has experience evaluating program activities, please provide a succinct description of these activities and their outcomes.

(7). Building sustainable elements into your program design (4 points): HUD is interested in applicants including aspects of the demonstration that could be sustained following completion of the grant funding. Please identify elements of your collaborative model that can be sustained and describe how lessons learned from implementing the demonstration will be used to inform and help sustain future inter-program collaboration.

(8). Budget and Budget Justification (6 points): Utilize the HUD_424_CBW: HUD Detailed Budget Worksheet to estimate the cost for your program. You will be evaluated on the extent to which resources seem reasonable and appropriate for this type of project. A separate budget must be provided for partners who are proposed to receive more than 10 percent of the federal budget request. Your narrative justification associated with these budgeted costs should be submitted as part of the Total Budget (Federal Share and Leveraging) but is not included in the 15-page limit for this submission. The narrative should provide an explanation of the basis for the major budget items. Separate narrative justifications should be submitted for partners that are submitting separate budgets.

(9). Section 3 Strategy (2 points): Describe your strategy for hiring local low-income residents, providing training opportunities, and awarding contracts to local Section 3 businesses. Applicants should:

(a) outline your plan to notify residents and contractors about jobs and contracts that may become available.

(b) notify potential contractors about the requirements of Section 3.

(c) hire community residents and award contracts to local businesses; and

(d) assist in obtaining compliance among contractors and subcontractors

d. Rating Factor 4 - Achieving Results and Project Management: (10 Points)

This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their applications. The performance of successful applicants will be assessed quarterly to ensure that performance goals are met. This factor requires applicants to clearly identify

benchmarks and milestones that demonstrate progress in project completion as well as final project outcomes. Applicants must also provide a brief management plan that indicates how they will ensure timely and successful completion of the project. The application should include the following:

(1). Project Schedule (3 points). Provide a schedule for the completion of all major tasks, with associated benchmarks and major milestones and deliverables. Benchmarks and important milestones (e.g., completing the recruitment of participants) should be identified on a quarterly basis in the timeline. Identify the organization/person that will have primary responsibility for completion of each of the major project milestones. You should plan on providing a final project report to HUD based on a template that you will be provided. The final report should include a concise description of the project design and implementation (discussing reasons for deviating from the original demonstration design) with an emphasis on key lessons learned. Successful applicants will be required to enter project benchmarks and milestones into a spreadsheet, which will be used by HUD to track progress.

(2). Project Administration and Oversight (5 points). Describe how you will administer this cooperation demonstration project, including how you will address oversight and financial management. Describe how funding will flow from you to those who will perform work under you on this program and how you will ensure that work is conducted, and acceptable services are provided before you pay invoices and before you submit invoices to HUD. Describe the staff, procedures, and project management system you will use to ensure proper project oversight/monitoring, contract administration, routine monitoring and, if you will conduct it, targeted monitoring, of all sub-grantees and contractors to ensure conformity to the terms, conditions and specifications of contracts or other formal agreements.

(a) Describe how you will separately track the funding streams that are used to conduct work in project units, including this NOFA funding. Include a description of your plan for ensuring that personnel work hours are charged to the appropriate funding source.

(b) Submit an organizational chart that shows the key players in the project, their roles and their reporting relationships. The chart may be submitted as an attachment and will not count towards the 15-page maximum.

(3). Identify potential obstacles and delays (2 points) in maintaining your proposed schedule and achieving your project objectives (e.g. recruitment and/or retention, contracting difficulties) and discuss steps and adjustments you would take to respond to these potential obstacles and delays to ensure timely completion of the project.

2. Other Factors.

Preference Points.

HUD encourages activities in support of the Secretary's FY20 Initiatives. HUD may award up to two (2) points for any of the 3 preferences (OZ, PZ or HBCU).

Opportunity Zones.

Opportunity Zone (OZ) Certification and Supporting Documentation: Applicants proposing projects in an Opportunity Zone community must identify the state, county and census tract(s) of the opportunity zone(s) in which the activity will be carried out and provide certification to HUD

in order to receive preference points. The certification must affirm that the investment is in a qualified Opportunity Zone, and be submitted as a supporting attachment on the applicant's letterhead with the application package. Applicants must also provide supporting documentation showing that the investment is in an Opportunity Zone. To view the list of designated Opportunity Zones, please see the following link on the U.S. Department of the Treasury website: <https://www.cdfifund.gov/Pages/Opportunity-Zones.aspx>. HUD encourages activities in Opportunity Zones. This form will be included as part of the grant application package on [grants.gov](https://www.grants.gov) for all HUD grants that offer Opportunity Zone preference points. For Fiscal Year 2020, applicants will be required to complete and submit this form along with the SF-424 in order to be eligible for Opportunity Zone preference. Applicants who do not complete this form and submit it along with the rest of their application package will not be eligible to receive the points. Additionally, applicants who do complete and submit this form, but indicate they intend to use less than 50% of the award within Opportunity Zone tracts, will also be ineligible to receive preference points, unless: a.) the applicant can show why they are unable to expend at least 50% of the grant award within Opportunity Zone designated tracts, or b.) the applicant is able to make a compelling case for why the amount that will be expended will have a significant impact within Opportunity Zone designated tracts.

HBCU.

This program does not offer HBCU preference points.

Promise Zones

HUD encourages activities in Promise Zones (PZ). To receive Promise Zones Preference Points, applicants must submit form HUD 50153, "Certification of Consistency with Promise Zone Goals and Implementation," signed by the Promise Zone Official authorized to certify the project meets the criteria to receive preference points. To view the list of designated Promise Zones and persons authorized to certify, please see the [Promise Zone](#) pages on HUD's website.

B. Review and Selection Process.

1. Past Performance

In evaluating applications for funding, HUD will consider an applicant's past performance in managing funds. Items HUD will consider include, but are not limited to:

The ability to account for funds in compliance with applicable reporting and recordkeeping requirements;

Timely use of funds received from HUD;

Timely submission and quality of reports submitted to HUD;

Meeting program requirements;

Meeting performance targets as established in the grant agreement;

The applicant's organizational capacity, including staffing structures and capabilities;

Timely completion of activities and receipt and expenditure of promised matching or leveraged funds;

The number of persons served or targeted for assistance;

HUD may reduce scores as specified under V. A. Review Criteria. Whenever possible, HUD will obtain past performance information. If this review results in an adverse finding related to integrity or performance, HUD reserves the right to take any of the remedies provided in Section III. E Statutory and Regulatory Requirements Affecting Eligibility, "Pre-selection Review of Performance" document link above.

2. Assessing Applicant Risk.

In evaluating risks posed by applicants, HUD may use a risk-based approach and may consider any items such as the following:

- Financial stability;
- Quality of management systems and ability to meet the management standards prescribed in this part;
- History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits; and
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

3. Rating and Ranking of Applications. Applications that meet all the threshold requirements will be eligible to be reviewed and scored. Applications scoring 75 points or more will be eligible to receive an award. Awards will then be made in rank order within the limits of funding availability.

VI. Award Administration Information.

A. Award Notices.

Following the evaluation process, HUD will notify successful applicants of their selection for funding. HUD will also notify other applicants, whose applications were received by the deadline, but have not been chosen for award. Notifications will be sent by email to the person listed as the AOR in item 21 of the SF424.

Negotiation. After HUD has made selections, HUD will negotiate specific terms of the funding agreement and budget with selected applicants. If HUD and a selected applicant do not successfully conclude negotiations in a timely manner, or a selected applicant fails to provide requested information, an award will not be made to that applicant. In this case, HUD may select another eligible applicant. HUD may impose special conditions on an award as provided under 2 CFR 200.207:

- Based on HUD's review of the applicant's risk under 2 CFR 200.205;
- When the applicant or recipient has a history of failure to comply with the general or specific terms and conditions of a Federal award;
- When the applicant or recipient fails to meet expected performance goals contained in a Federal award; or
- When the applicant or recipient is not otherwise responsible.

Adjustments to Funding. To ensure the fair distribution of funds and enable the purposes or requirements of a specific program to be met, HUD reserves the right to fund less than the amount requested in an application.

a. HUD will fund no portion of an application that:

- (1) Is not eligible for funding under applicable statutory or regulatory requirements;
- (2) Does not meet the requirements of this notice; or
- (3) Duplicates other funded programs or activities from prior year awards or other selected

applicants.

b. If funds are available after funding the highest-ranking application, HUD may fund all or part of another eligible fundable application. If an applicant turns down an award offer, or if HUD and an applicant do not successfully complete grant negotiations, HUD may make an offer of funding to another eligible application.

c. If funds remain after all selections have been made, remaining funds may be made available within the current FY for other competitions within the program area, or be held for future competitions, or be used as otherwise provided by authorizing statute or appropriation.

d. If, after announcement of awards made under the current NOFA, additional funds become available either through the current appropriations, a supplemental appropriation, other appropriations or recapture of funds, HUD may use the additional funds to provide additional funding to an applicant awarded less than the requested amount of funds to make the full award, and/or to fund additional applicants that were eligible to receive an award but for which there were no funds available.

Funding Errors. If HUD commits an error that when corrected would cause selection of an applicant during the funding round of a Program NOFA, HUD may select that applicant for funding, subject to the availability of funds.

e. Partial Funding. 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.

f. Applicants who have been selected for grant award will be notified by email from the OLHCHH Grant Officer. The email will state the amount the applicant is eligible to receive, and the name of the Government Technical Representative (GTR). This email is not an authorization to begin work or incur costs under the award. An executed grant award is the authorizing document.

g. HUD may require that the selected applicants participate in negotiations to determine the specific terms of the grant agreement and budget. If you accept the terms and conditions of the grant award, you must return your signed grant award 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 the grant award, and proceed with negotiations with the next highest-ranking applicant.

h. If you are awarded a grant, you will receive additional instructions on how to have the grant account entered into HUD's Line of Credit Control System (eLOCCS) payment system or its successor will be provided. Other forms and program requirements will also be provided.

i. In accordance with 2 CFR 200, Subpart F - Audits Requirements, grantees expending \$750,000 in Federal funds within a program or fiscal year must have a single or program-specific audit conducted for that year in accordance with the provisions of that subpart.

B. Administrative, National and Department Policy Requirements for HUD recipients

For this NOFA, the following [Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards](#) apply. (Please select the linked text to read the detailed description of each applicable requirement).

1. Compliance with Non-discrimination and Related Requirements.

Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to all NOFAs. Please read the following requirements carefully as the

requirements are different among HUD's programs.

- Compliance with Fair Housing and Civil Rights Laws, Which Encompass the Fair Housing Act and Related Authorities (cf. 24 CFR 5.105(a)).

- Affirmatively Furthering Fair Housing.

- Economic Opportunities for Low-and Very Low-income Persons (Section 3).

- Improving Access to Services for Persons with Limited English Proficiency (LEP).

- Accessible Technology.

2. Equal Access Requirements.

3. Uniform Relocation Act – Real Property Acquisition and Relocation Requirements.

4. Participation in HUD-Sponsored Program Evaluation.

5. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

6. Drug-Free Workplace.

7. Safeguarding Resident/Client Files.

8. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended.

9. Accessibility for Persons with Disabilities.

10. Conducting Business in Accordance with Ethical Standards/Code of Conduct.

11. Environmental Requirements.

i. Eligible Construction and Rehabilitation Activities. An award under this NOFA does not constitute approval of specific sites where activities that are subject to environmental review may be carried out. 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 the Healthy Homes and Weatherization Program Cooperative Demonstration. Therefore, recipients conducting eligible construction and rehabilitation activities must comply with 24 CFR part 58. Recipients that are States or units of general local government must carry out environmental review responsibilities as a responsible entity under part 58. Recipients that are academic, not-for-profit, for-profit institutions or specialized units of local government must contact and partner with a non-recipient responsible entity, usually the unit of general local government, to assume the environmental review responsibilities for construction or rehabilitation activities funded (in whole or in part) under this NOFA.

Reasonable expenses incurred for compliance with these environmental requirements are eligible expenses under this NOFA. Under 24 CFR 58.11, where the recipient is not a State or unit of general local government, 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. When HUD performs the review itself, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed.

ii. 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 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 instances where the recipient is not a State or unit of general local government and HUD performs the environmental review under part 50, HUD has completed the review and notified the grantee of its approval. The results of the environmental review may require that proposed activities be modified, or proposed sites rejected. For Part 58 procedures, see www.hudexchange.info/programs/environmental-review/. For assistance, contact Karen Griego, the Office of Lead Hazard Control and Healthy Homes Program Environmental Clearance Officer at (505) 346-6462 (this is not a toll-free number) or the HUD Environmental Clearance 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 Relay Service at 1-800877-8339. Recipients of a grant under this program will be given additional guidance in these environmental responsibilities.

iii. All other activities not related to construction or rehabilitation activities are categorically excluded under 24 CFR 50.19 (b)(1), (3), (4), (5), (6), and (9), and under 24 CFR 58.34 (a)(1), (3), (4), (5), (6), 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 environmental laws and authorities at 24 CFR 50.4 or 58.5.

C. Reporting.

HUD requires recipients to submit performance and financial reports under OMB guidance and program instructions.

1. Recipient Integrity and Performance Matters. Applicants should be aware that if the total Federal share of your Federal award includes more than \$ 500,000 over the period of performance, you may be subject to post award reporting requirements reflected in Appendix XII to Part 200-Award Term and Condition for Recipient Integrity and Performance Matters. Final budget and work plans are due 60 days after the start date.

1.a. **Performance Reporting.** All HUD-funded programs, including this program, require recipients to submit, not less than annually, a report documenting achievement of outcomes under the purpose of the program and the work plan in the award agreement. (1). Final budget and work plans are due 60 days after the start date.

(2). Progress reporting is required on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that incorporates the benchmarks and milestones identified in the response to the rating factor (4) (see section V.A.1.iv).

(3). Tangible Personal Property Report: Grant recipients who purchase equipment in excess of \$5,000 a piece must complete the OMB's annual Tangible Personal Property Report, if and after that report receives OMB approval under the Paperwork Reduction Act of 1995 (see 75 Federal Register 14441-14442; March 25, 2011). This report has four components: the Annual Report, the Final (Award Closeout) Report, and the Disposition Report/Request, and, if needed, the Supplemental Sheet www.whitehouse.gov/omb/grants_forms. Generally, the average estimated time to complete each of these components is 0.5 hours; it is likely to be less for this grant program.

(4). Section 3: Grant recipients covered by Section 3 (see Section III.C.4 of this NOFA) must comply with reporting and record-keeping requirements for 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). Those requirements can be found at 24 CFR part 135, subpart E.

(5). Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), (Section 872). Section 872 requires the establishment of a government-wide data system - the Federal Awardee Performance and Integrity Information System (FAPIIS) - to contain information related to the integrity and performance of entities awarded federal financial assistance and making use of the information by federal officials in making awards. OMB is in the process of issuing regulations regarding federal agency implementation of section 872 requirements. A technical correction to this NOFA may be issued when such regulations are promulgated. HUD anticipates that the terms and conditions to its FY 2020 awards will contain requirements related to meeting FFATA and Section 872 requirements.

(6). Annual submission of Form HUD27061, if applicable, for reporting on racial and ethnic data on human subjects.

(7). Final Report: The grant agreement will specify the requirements for final reporting (e.g., final project report including the results of all formal evaluations and final project benchmarks and milestones achieved against the proposed benchmarks and milestones which were approved and incorporated into your grant).

Questions regarding specific program requirements should be directed to the point of contact listed in Section VII below.

2. Race, Ethnicity and Other Data Reporting. HUD requires recipients that provide HUD-funded program benefits to individuals or families to report data on the race, color, religion, sex, national origin, age, disability, and family characteristics of persons and households who are applicants for, participants in, or beneficiaries or potential beneficiaries of HUD programs in order to carry out the Department's responsibilities under the Fair Housing Act, Executive Order 11063, Title VI of the Civil Rights Act of 1964, and Section 562 of the Housing and Community Development Act of 1987.

3. Program-Specific Reporting Requirements

D. Debriefing.

For a period of at least 120 days, beginning 30 days after the public announcement of awards under this NOFA, HUD will provide a debriefing related to their application to requesting applicants. A request for debriefing must be made in writing or by email by the authorized official whose signature appears on the SF-424 or by his or her successor in office and be submitted to the POC in Section VII Agency Contact(s), below. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which funding was approved or denied.

An organization that submits an application will receive a verbal debriefing during the debriefing period after a request is made by the authorized official or his/her successor in office.

VII. Agency Contact(s).

HUD staff will be available to provide clarification on the content of this NOFA.

Questions regarding specific program requirements for this NOFA should be directed to the POC listed below. Name:

Brenda M. Reyes, MD, MPH

Phone:

202-402-6745

Email:

Brenda.m.reyes@hud.gov

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339. Please note that HUD staff cannot assist applicants in preparing their applications.

VIII. Other Information.

1. National Environmental Policy Act.

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)).

The FONSI is available for inspection at [HUD's Funding Opportunities](#) web page.

For programmatic questions on this NOFA, you may contact Dr. Peter J. Ashley, Office of Lead Hazard Control & Healthy Homes, at 202-402-7595 or via email at Peter.J.Ashley@hud.gov. For grants administrative questions, you may contact Ms. Deborah Roane, Office of Lead Hazard Control & Healthy Homes, via email at Deborah.v.roane@hud.gov or at telephone 202- 402-7592.

If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by calling the toll-free Federal Relay Service at 1-800-8778339.

Other Office of Lead Hazard Control & Healthy Homes Information: For additional general, technical, and grant program information pertaining to the Office of Lead Hazard Control and Healthy Homes, visit www.hud.gov/healthyhomes.

2. Paperwork Reduction Act Statement. The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). 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 valid OMB control number. Each NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

3. Web Resources.

- [Affirmatively Furthering Fair Housing](#)
- [Code of Conduct list](#)
- [CFDA](#)
- [Dun & Bradstreet](#)
- [Equal Participation of Faith-Based Organizations](#)
- [Federal Awardee Performance and Integrity Information System](#)

- [FFATA Subaward Reporting System](#)
- [Grants.gov](#)
- [HBCUs](#)
- [Healthy Homes Strategic Plan](#)
- [Healthy Housing Reference Manual](#)
- [HUD's Strategic Plan](#)
- [HUD Grants](#)
- [Limited English Proficiency](#)
- [NOFA Webcasts](#)
- [Opportunity Zone](#)
- [Procurement of Recovered Materials](#)
- [Promise Zones](#)
- [Section 3 Business Registry](#)
- [State Point of Contact List](#)
- [System for Award Management \(SAM\)](#)
- [Uniform Relocation Act – Real Property Acquisition and Relocation Requirements](#)
- [USA Spending](#)

APPENDIX

APPENDIX A:

Summary of Major Healthy Homes and Weatherization Cooperation Demonstration (HHWCD) Program Requirements and Allowances

Please Note: This Appendix lists major requirements and allowances that are applicable to the use of funds awarded under this NOFA. This list is not exhaustive, the intent is to summarize requirements that are unique to this NOFA. Applicants should read the entire NOFA to become cognizant of all program requirements.

(1) Involvement of HUD Lead Hazard Control (LHC) and DOE-funded Weatherization Assistance Programs (WAP): Grantees must be able to demonstrate substantive involvement of LHC and WAP partners in any unit receiving assistance under this NOFA.

(2) Adherence to LHC and WAP requirements: When LHC and WAP program funds are used in conjunction with HHWCD program funds, all applicable LHC and/or WAP program requirements must be followed with the exception of the allowances provided for the use of the HHWCD funds. See section I.A.1.e for a discussion of the allowances.

(3) Eligibility:

(a) Units assisted solely with funds awarded under this NOFA must be the residence of families with income at or below 80% of the Area Median Income level or at or below 200% of the U.S. Department of Health and Human Services (HHS) 2020 poverty guidelines, whichever is higher. If energy conservation measures or healthy homes interventions are implemented in a multifamily building with the expectation that they will benefit at least 50% of the units (e.g.,

improvements to a central HVAC system, improving building insulation, implementing IPM), at least 66% of the units in the building must meet income eligibility requirements, and (b) Members of households living in units assisted under this grant program must include either a young child (age 6 or under), an elderly person (age 62 or over), a pregnant woman, or a person with a disability or illness that could benefit from home modification (e.g., poorly controlled asthma, Chronic Obstructive Pulmonary Disease (COPD)), or the household has a high energy burden.

(4) Cost limits: The costs of the assessment and control of lead-based paint and/or other housing-related hazards are limited to \$20,000 per home. The cost of conducting energy audits and implementing energy conservation measures is limited to \$10,000 per home. The maximum amount of grant funds that can be used for all hazard control and energy conservation activities in a single housing unit is limited to \$30,000 unless written permission is provided by HUD GTR assigned to the grant.

(5) Units in which only HHWCD funds are used in a home: 1) it is permissible to conduct work in a home built in or after 1978; 2) it is not necessary for a lead-based paint hazard to be present in the home; and 3) the savings-to-investment ratio for energy conservation measures does not need to exceed 1.0. Note: the grantee must be able to justify the need for all work performed with respect to health and safety or energy conservation.

(6) Required unit completion: In addition to the other units that receive coordinated WAP and LHC program interventions under this NOFA, grantees must complete the following: a) to demonstrate inter-program coordination under standard conditions, grantees must complete a minimum of 15 units in which HHWCD funds can only be used for program evaluation costs, and b) to demonstrate potential health benefits, interventions must be completed in at least 20 units in which an occupant has asthma that is not well controlled based on a standard definition (to be determined in discussions with the program evaluator).

APPENDIX B: Key Guidance Documents.

I. Lead Hazard Control

1. 2012 Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD. The 2012 Guidelines can be downloaded from the HUD website without charge at --- www.hud.gov/program_offices/healthy_homes/lead-based_paint/hudguidelines.
2. Preventing Lead Poisoning in Young Children; Centers for Disease Control, August 2005. These guidelines can be obtained without charge by calling the CDC toll free number at 888-232-6789. The guidelines can also be downloaded from www.cdc.gov/nceh/lead/publications/PrevLeadPoisoning.pdf.
3. Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, November 1997; Centers for Disease Control and Prevention (CDC). These guidelines can be obtained without charge by calling the CDC toll free number at 888-232-6789 or they can be downloaded from www.cdc.gov/nceh/lead/publications/screening.htm.

II. Weatherization

1. Annual Instruction package (2020)

<https://www.energy.gov/eere/wipo/downloads/wpn-20-1-program-year-2020-weatherization-grant-application>

2. Weatherization +Health. - National Center for Healthy Housing (NCHH).

NCHH webpage is a compilation of articles, organizations links and internet sites and resources dedicated to the Weatherization +Health Initiative. The Weatherization + Health initiative was designed in 1976 to promote cooperation and partnerships between local providers of low-income housing repair, energy, health, and safety services to help them collaborate more efficiently and effectively. <https://nchh.org/information-and-evidence/healthy-housing-policy/national/keystone-federal-policy/wx-plus-health/>

3. Weatherization Works - Summary of Findings from the Retrospective Evaluation of the U.S. Department of Energy's Weatherization Assistance Program.

https://www.hud.gov/program_offices/healthy_homes/lbp/hudguidelines.

This report describes the findings by the Oak Ridge National Laboratory from the evaluation of the Weatherization Assistance Programs (WAP) as tasked by the US Department of Energy in 2009. The results of the evaluation of WAPs focused in PY 2008, before ("the Retrospective Evaluation") and PY 2009, during the Recovery Act Period.

III. Guidelines for Home Energy Professionals

<https://www.energy.gov/eere/wipo/guidelines-home-energy-professionals>

This DOE site provides access to work specifications for weatherization and home energy upgrades: <https://www.energy.gov/eere/wipo/guidelines-home-energy-professionals-standard-work-specifications>. See listings of certifications for workers and accredited training programs here: <https://www.energy.gov/eere/wipo/guidelines-home-energy-professionals-accredited-training>. It is a collaboration between the U.S. Department of Energy (DOE) and the home energy performance industry. The Guidelines for Home Energy Professionals Project fact sheet provides information about the components of the program

https://www.energy.gov/sites/prod/files/2014/01/f7/hep_certifications.pdf.

IV. Healthy Indoor Environment Protocols for Home Energy Upgrades. U.S. Environmental Protection Agency. 2011. EPA 402/K-11/003. https://www.epa.gov/sites/production/files/2014-/documents/epa_retrofit_protocols.pdf

V. Asthma

Asthma Management and Home Intervention Programs

[Exhale A Technical Package to Control Asthma -](#)

CDC and https://www.cdc.gov/asthma/pdfs/Asthma_In_Homes_508.pdf.

Guidelines for the Diagnosis and Management of Asthma (E)PR-3 www.nhlbi.nih.gov/health-pro/resources/lung/naci/asthma-info/naepp.htm

HUD's Asthma Guidance: *About Asthma*.

https://www.hud.gov/program_offices/healthy_homes/healthyhomes/asthma.

Learning as We Grow: Evaluation Highlights from CDC's National Asthma Control Program Grantees, 2018. This evaluation guide can be downloaded

from <https://www.cdc.gov/asthma/pdfs/asthmastories.pdf>

Strategies for Addressing Asthma in Homes:

https://www.tn.gov/content/dam/tn/health/documents/healthy-places/healthy-homes/asthma/NCEH_Strategies_Asthma_Homes_2017.pdf

VI. Home Assessment

Home Characteristics and Asthma Triggers – Checklist for Home Visitors:

https://www.cdc.gov/asthma/pdfs/home_assess_checklist_P.pdf

and <https://www.epa.gov/asthma/asthma-home-environment-checklist>.

Vacuum Dust Sample Collection Protocol for Allergens:

https://www.hud.gov/sites/documents/DOC_12539.PDF