



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

Office of Lead Hazard Control and Healthy Homes

Healthy Homes Technical Studies Grant Program Pre and Full Application

FR-6000-N-15

Application Due Date: 06/01/2016

Healthy Homes Technical Studies Grant Program Pre and Full Application

FR-6000-N-15

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## U.S. Department of Housing and Urban Development

**Program Office:** Office of Lead Hazard Control and Healthy Homes  
**Funding Opportunity Title:** Healthy Homes Technical Studies Grant Program Pre and Full Application  
**Announcement Type:** Initial  
**Funding Opportunity Number:** FR-6000-N-15  
**Primary CFDA Number:** 14.906  
**Due Date for Applications:** **06/01/2016**

**For Further Information Contact:** Please direct questions regarding the specific program requirements of this Program Notice of Funding Availability (NOFA) to the agency contact identified in Section VII. Please direct general questions regarding the FY2016 NOFAs to the Office of Strategic Planning and Management, Grants Management Division, at AskGMO@hud.gov. Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339.

### **Additional Overview Information**

Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains requirements for all applicants to HUD's various competitive grant programs, including this NOFA. Applications must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and potentially receive funding. The full title of the General Section is the General Section to HUD's Fiscal Year 2016 Notice[s] of Funding Availability for Discretionary Programs. Copies are available at [Grants.gov](http://Grants.gov) or HUD's [Funds Available](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail) page, [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

1. Participative Planning and Implementation. HUD encourages all applicants to HUD's competitive programs to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects, by residents of affected areas and especially communities traditionally marginalized from planning processes. In seeking public participation, applicants and grantees must ensure that all communications are provided in a manner that is effective for persons with hearing, visual, and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 and, as applicable, the Americans with Disabilities Act. In addition Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and Executive Order 13166 require that grantees take responsible steps to ensure meaningful access to services, programs, and activities by persons with Limited English Proficiency (LEP persons).

2. OMB Approval Number(s): 2539-0015

To fund technical studies to improve existing methods for detecting and controlling key housing-related health and safety hazards; to develop new methods to detect and control these hazards; and to improve our knowledge of key housing-related health and safety hazards.

This notice of funding availability is requesting preliminary applications only. Following the scoring of preliminary applications applicants that submitted the highest scoring preliminary applications will be invited to submit full applications. Full applications will not be reviewed if they are submitted in response to this NOFA.

## I. Funding Opportunity Description.

### A. Program Description.

#### 1. Purpose.

HUD is funding studies to improve HUD's and the public's knowledge of housing-related health and safety hazards and to improve or develop new hazard assessment and control methods, with a focus on key residential health and safety hazards. HUD is especially interested in applications that will advance our knowledge on key healthy homes issues by addressing important gaps in the science related to the accurate and efficient identification of hazards and the implementation of cost effective hazard mitigation. Key hazards are discussed in Appendix A, Key Residential Health and Safety Hazards, of this NOFA. A list of references that serves as the basis for the information provided in this NOFA is provided as Appendix B, Relevant Publications, Guidelines and Other Resources. Priority research topics of particular interest to HUD are identified in section III.C.3.a.

The Healthy Homes Technical Studies Program is important for the achievement of research goals identified in both HUD's [Healthy Homes Strategic Plan](http://portal.hud.gov/hudportal/documents/huddoc?id=hhstratplan_7_9_09.pdf) (available at: [http://portal.hud.gov/hudportal/documents/huddoc?id=hhstratplan\\_7\\_9\\_09.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=hhstratplan_7_9_09.pdf)) and the federal healthy homes strategic plan, [Advancing Healthy Housing: A Strategy for Action](http://portal.hud.gov/hudportal/ HUD?src=/program_offices/healthy_homes/advhh) (available at: [http://portal.hud.gov/hudportal/ HUD?src=/program\\_offices/healthy\\_homes/advhh](http://portal.hud.gov/hudportal/ HUD?src=/program_offices/healthy_homes/advhh)).

#### a. General Goals

The overall goal of the Healthy Homes Technical Studies Program is to advance the recognition and control of priority residential health and safety hazards and more closely examine the link between housing and health. The overall objectives of the Healthy Homes Technical Studies Program include, but are not limited to:

- (1) Development and evaluation of cost effective test methods and protocols for the identification and assessment of housing-related hazards.
- (2) Development and assessment of cost effective methods for reducing or eliminating housing-related hazards.
- (3) Evaluation of the effectiveness of housing interventions and barriers and incentives affecting future use of the most cost-effective strategies.
- (4) Investigation of the epidemiology of housing-related hazards and illness and injuries associated with these hazards, with an emphasis on low income, vulnerable populations (e.g., children, senior citizens, etc.).
- (5) Analysis of existing data or generation of new data to improve knowledge regarding the prevalence and severity of specific hazards in various classes of housing, with a focus on low-income housing.
- (6) Improved understanding of the relationship between a residential exposure and illness or injury of children or other vulnerable populations. (Note: Applicants that propose this type of study should discuss how the knowledge that is gained from the study could be used in a program to reduce these hazards in target communities).

HUD anticipates that the results of program-supported studies will help to develop evidence-based approaches that are cost-effective and efficient, and will result in the reduction of health threats for the maximum number of residents and, in particular, children and other vulnerable populations in low income households. Study results are also expected to improve our understanding of how specific aspects of the indoor environment can affect the health of residents.

The Healthy Homes Technical Studies Program is a component of HUD's Healthy Homes Program. A description of the Healthy Homes Program is available on the HUD website at <http://www.hud.gov/offices/lead/hhi/index.cfm>.

In addition to deficiencies in basic housing conditions that may impact health (e.g., structural problems, lack of adequate heating and cooling, pest infestation, moisture infiltration), other more subtle health hazards may exist in the residential environment (e.g., asthma triggers, volatile and semi-volatile organic compounds including pesticide residues, injury hazards, etc.). While some hazards will be found disproportionately in

housing that is substandard, housing-related environmental hazards may also exist in housing that is otherwise of acceptable quality. Appendix A of this NOFA briefly describes the key housing-associated health and injury hazards HUD considers targets for intervention. The hazards and conditions identified in Appendix A are not considered exhaustive, applicants may submit applications that focus on topics that are not included in Appendix A. HUD has also developed resource papers on a number of topics of importance under the Healthy Homes Program, including mold, environmental aspects of asthma, carbon monoxide, pesticides, residential assessment and unintentional injuries. These resource papers can be downloaded from <http://www.hud.gov/offices/lead/hhi/index.cfm>.

#### b. Community Participation

HUD believes that it is important for researchers to incorporate meaningful community participation in the development and implementation of studies that are conducted in communities and/or involve significant interaction with community residents. Community participation can improve study effectiveness in various ways, including the development of more appropriate research objectives, improving recruitment and retention of study participants, improving participants' involvement in and understanding of a study, improving ongoing communication between researchers and the affected community, and improving dissemination of study findings. HUD encourages applicants to consider using a community based participatory research (CBPR) approach, where applicable, in study design and implementation. (See, e.g., The National Institute of Environmental Health Sciences report titled Successful Models of Community-Based Participatory Research at [http://www.hud.gov/offices/lead/library/hhts/NIEHS\\_Successful\\_Models.pdf](http://www.hud.gov/offices/lead/library/hhts/NIEHS_Successful_Models.pdf).)

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

## 2. Changes from Previous NOFA.

The following is a summary of the major changes in this NOFA relative to the FY2015 Healthy Homes Technical Studies NOFA. This is not intended to be an exhaustive list, so applicants should be sure to read the entire NOFA.

- a. This announcement combines content relevant to both the pre-application and the full application of the 2016 Healthy Homes Technical Studies NOFA application requirements. **Do not submit a full application in the pre-application round. Materials other than those required for the pre-application will not be reviewed.** Successful pre-applicants will be invited to submit a full application through a separate mechanism.
- b. HUD has modified the list of priority research topics as well as the topics that the Department **will not fund** in FY 2016 (see section III.C.3).
- c. Some relatively minor changes have been made to the pre-application rating factors "(2)", "(3)" and "(4)" (i.e., see section V.A.1.a).

## 3. Definitions.

- a. Eligibility Requirements – Eligibility requirements are those requirements that must be met for an application to be eligible for funding. Deficiencies in meeting an eligibility requirement may be categorized as either curable or non-curable.
- b. Threshold Requirement – Threshold requirements are a category of eligibility requirements. A threshold requirement is a requirement that must be met in order for an application to be reviewed. Threshold requirements are not curable. Threshold requirements are listed in Section III.C.1 of this Program NOFA. Applicants must ensure their application package addresses all threshold requirements. Please check your application carefully!
- c. Deficiency – Deficiencies are not the same as errors. Errors are never curable except as permitted under Section IV.D.4. Deficiencies are items of missing or omitted information within a submitted application.

Deficiencies typically involve missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box, etc.). Depending on specific criteria, deficiencies may be either curable or non-curable.

d. Curable Deficiency – A curable deficiency is a specific type of deficiency that applicants may correct with timely action. To be curable the deficiency must:

- Not be a threshold requirement;
- 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.

e. 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.

## **B. Authority.**

The Healthy Homes Technical Studies program is authorized under sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. §§ 1701z-1 and 1701z-2). Fiscal Year 2016 funds are authorized under the Consolidated Appropriations Act, 2016 (Public Law 114-113), approved on December 18, 2015.

## **II. Award Information.**

### **A. Available Funds.**

HUD is making available approximately **\$2,000,000** through this NOFA for Healthy Homes Technical Studies Grant Program Pre and Full Application.

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused 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 applicable funding restrictions described in the General Section and to those contained in this NOFA.

### **B. Number of Awards.**

HUD expects to make approximately 3 awards from the funds available under this NOFA.

The number of awards may be modified subject to the availability of appropriated funds.

### **C. Minimum/Maximum Award Information.**

1. Awards ranges are approximate and subject to change.

2. Note for New Applicants. If supported by the majority of the Application Review Panel, HUD will make an award of up to \$700,000 for the highest scoring full application from a qualified “new applicant”, on the condition that the application receives a score of at least 85 points. A new applicant is an organization that has not been previously funded by the Office of Lead Hazard Control and Healthy Homes (OLHCHH) under the Healthy Homes Technical Studies Grant Program as the primary grantee. A new applicant may have previously been a sub-grantee under an award to another organization. If there is not a qualified new applicant for funding, any remaining funds will be made available to other applicants based on the final overall ranking.

Estimated Total Funding:	\$2,000,000
Minimum Award Amount:	\$300,000 Per Project Period
Maximum Award Amount:	\$700,000 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 proposed performance period should include adequate time for such project components as the Institutional Review Board process (if required), the hiring of new staff, the recruitment of study participants, and the development of methods (e.g., analytical methods), all of which have been found to delay projects in the past.

Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 2 CFR § 200.308(d)(2), as applicable, and the OLHCHH Program Guide. 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: 10/03/2016  
Estimated Project End Date: 10/02/2019  
Length of Project Periods: 36-month project with three 12-month budget periods  
Length of Project Periods  
Explanation of Other:

### **E. Type of Funding Instrument.**

Funding Instrument Type: Cooperative Agreement

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

1. Review and suggestion of amendments to the study design, including: study objectives; field sampling plan; data collection methods; sample handling and preparation; and sample and data analysis.
2. Review and provision of technical recommendations in response to quarterly progress reports (e.g., amendments to study design based on preliminary results).
3. Review and provision of technical recommendations on the journal article(s) and final study report.

### **III. Eligibility Information.**

#### **A. Eligible Applicants.**

State governments  
County governments  
City or township governments  
Special district governments  
Independent school districts  
Public and State controlled institutions of higher education  
Native American tribal governments (Federally recognized)  
Public housing authorities/Indian housing authorities  
Native American tribal organizations (other than Federally recognized tribal governments)  
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  
For profit organizations other than small businesses  
Small businesses

1. Applications to supplement existing projects are eligible to compete with applications for new awards. Federal agencies are not eligible to submit applications. The 2016 General Section identifies threshold requirements that must be met for an organization to receive an award.
2. If your organization received an award under the FY2014 or FY 2015 Healthy Homes Technical Studies Grant Program cycle, your application must identify a principal investigator that is different from the principal investigator identified in the application that received an award in either of these



fiscal years.

## **Full Application NOFA**

**Based on the scoring of pre-applications, only the pre-applicants that are subsequently invited through direct contact will be eligible to submit a full application.**

HUD does not award grants to individuals. HUD will also not evaluate applications from ineligible applicants.

As required in the Code of Federal Regulations (CFR) at 2 CFR 25.200 and 24 CFR Part 5 Subpart K, all applicants for financial assistance must have an active Data Universal Numbering System (DUNS) number (<http://fedgov.dnb.com/webform>) and have an active registration in the System for Award Management (SAM) ([www.sam.gov](http://www.sam.gov)) before submitting an application. Getting a DUNS number and completing SAM registration can take up to four weeks; therefore, applicants should start this process or check their status early.

See also Section IV.B for necessary form and content information.

### **B. Cost Sharing or Matching.**

This Program does not require an applicant to leverage resources through cost sharing or matching.

**Note:** Under the full application rating factor “(4)”, applicants that provide evidence of significant resource leveraging will receive points (see Leveraging Resources under Section V.A.1.b.(4)).

### **C. Other.**

All applicants must comply with the following requirements, which may determine whether your application is reviewed or make your application ineligible for funding. Eligibility criteria for this competition include:

#### **1. Threshold 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. See also Section I.A.3 Definitions.

a. Timely Submission of Applications – Applications submitted after the deadline stated within this NOFA and that do not meet the requirements of the grace period policy will be marked late. Late applications are deemed ineligible and will not be considered for funding. See also Section IV Application and Submission Information, part D.

b. Civil Rights Matters – Outstanding civil rights matters must be resolved prior to the application deadline.

(1) Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (a) – (e) that have not been resolved to HUD’s satisfaction before or on the application deadline date are ineligible for funding.

(a) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;

(b) Status as a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance pursuant to 42 U.S.C. 3614(a);

(c) Status as a defendant in any other lawsuit filed or joined by the Department of Justice alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, Title II



of the Americans with Disabilities Act, or a claim under the False Claims Act related to fair housing, nondiscrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;

(d) Receipt of a letter of findings identifying systemic noncompliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or Title II of the Americans with Disabilities Act; or

(e) Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

(2) HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date are sufficient to resolve the matter. Examples of actions that may be considered sufficient to resolve the matter include, but are not limited to:

- (a) Current compliance with a voluntary compliance agreement signed by all the parties;
- (b) Current compliance with a HUD-approved conciliation agreement signed by all the parties;
- (c) Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;
- (d) Current compliance with a consent order or consent decree; or
- (e) Current compliance with a final judicial ruling or administrative ruling or decision.

## **2. Statutory and Regulatory Requirements.**

### **a. Compliance with Nondiscrimination and Related Requirements.**

#### **Compliance with Fair Housing and Civil Rights Laws.**

Applicants and their prospective subrecipients must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a), including, but not limited to, the Fair Housing Act; Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II and Title III of the Americans with Disabilities Act of 1990; and Section 109 of the Housing and Community Development Act of 1974. Applicants, and their prospective subrecipients, who are conducting programs or activities within a state or local jurisdiction that has passed a law prohibiting discrimination in housing based upon sexual orientation or gender identity, or a law prohibiting discrimination in housing based on lawful source of income, must comply with the law(s) of the state or locality in which the program activities are conducted.

#### **Affirmatively Furthering Fair Housing.**

Section 808(e)(5) of the Fair Housing Act requires HUD to affirmatively further the purposes of the Fair Housing Act in its housing and urban development programs. Accordingly, HUD requires recipients of funds that are not specifically exempted to take affirmative steps to further fair housing. An applicant must discuss how it is going to carry out the proposed activities in a manner that affirmatively furthers fair housing in complete compliance with Section 808(e)(5) of the Fair Housing Act.

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

Recipients of assistance must comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 CFR part 135. Section 3 requires recipients to ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns that provide economic opportunities to low-and very low-income persons in the area in which the project is located. Applicants must describe in their applications their plans to train and employ Section 3 residents and contract with Section 3 business concerns in furtherance of the proposed activities. Applicants for funding under this program shall, by signing the application, certify compliance. Recipients of covered funding are required to comply with the requirements of 24 CFR Part 135, particularly subpart B-Economic Opportunities for Section 3 residents and Section 3 Business Concerns, and Subpart E-Reporting and Recordkeeping. HUD encourages recipients to consult the national Section 3 Business Registry. Applicants and grant recipients can search the database to

find local Section 3 businesses that put a priority on hiring public housing or low-income residents. To learn more about HUD's Section 3 Business Registry or to search for a Section 3 business, visit: [www.hud.gov/sec3biz](http://www.hud.gov/sec3biz). Additional information on the requirements of Section 3 can be found at: [www.hud.gov/offices/fheo/section3/section3.cfm](http://www.hud.gov/offices/fheo/section3/section3.cfm). Program NOFAs to which Section 3 applies will have additional information here.

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

Executive Order 13166 seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Applicants obtaining federal financial assistance from HUD shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals. As an aid to recipients, HUD published Final Guidance to Federal Financial Assistance Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance) in the Federal Register on January 22, 2007 (72 FR 2732). For assistance and information regarding LEP obligations, go to [www.lep.gov/guidance/HUD\\_guidance\\_Jan07.pdf](http://www.lep.gov/guidance/HUD_guidance_Jan07.pdf). For more information on LEP, please visit [www.hud.gov/offices/fheo/promotingfh/lep.cfm](http://www.hud.gov/offices/fheo/promotingfh/lep.cfm).

### **b. HUD Agency Wide or Federal Government Wide Requirements.**

(1) Outstanding Delinquent Federal Debts – It is HUD policy, consistent with the purposes and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), that applicants with outstanding delinquent federal debt will not be eligible to receive an award of funds, unless:

- (a) A negotiated repayment schedule is established and the repayment schedule is not delinquent, or
- (b) Other arrangements satisfactory to HUD are made prior to the award of funds by HUD. If satisfactory arrangements cannot be completed within 90 days of notification of selection, HUD will not make an award of funds to the applicant, and instead offer the award to the next eligible applicant. HUD may act earlier than the above stated 90 days to ensure, in HUD's determination, that the funds can be obligated in a timely manner. Applicants selected for funding, or awarded funds, must report any changes in status of current agreements covering federal debt. HUD may withhold funding, terminate an award, or seek other remedies from a grantee if a previously agreed-upon payment schedule has not been followed or a new agreement with the federal agency to which the debt is owed has not been signed.

(2) Pre-Award Accounting System Survey – HUD will not award or disburse funds to applicants that do not have a financial management system that meets federal standards. HUD may arrange for a pre-award survey of any such financial management system for applicants selected for award who have not previously received federal financial assistance, where HUD Program officials have reason to question whether a financial management system meets federal financial management standards, or for applicants considered high risk based upon past performance or financial management findings.

(3) Debarments and/or Suspensions – In accordance with 2 CFR part 2424, no award of federal funds may be made to debarred or suspended applicants, or those proposed to be debarred or suspended from doing business with the Federal Government.

(4) False Statements – A false statement in an application is grounds for denial or termination of an award and possible punishment, as provided in 18 U.S.C. 1001.

(5) Do Not Pay Website Review – As part of the Improper Payments Elimination and Recovery Improvement Act (IPERIA) of 2012, in making funding determinations HUD will look up applicant information on the Federal website <http://www.donotpay.treas.gov/>. The Do Not Pay Portal is intended to prevent improper payments and can be used by HUD to ensure that applicants that receive funding do not owe funds to the federal government; are not on the Excluded Parties List System (EPLS); the List of Excluded Individuals/Entities List (LEIE); the Social Security Administration (SSA) Death Master File

(DMF); or other federal databases that would provide adverse information regarding the applicant. HUD reserves the right to:

- (a) Deny funding, or in the case of a renewal or continuing award, consider suspension or termination of an award immediately for cause,
- (b) Require the removal of any key individual from association with management or implementation of the award, and
- (c) Make appropriate provisions or revisions with respect to the method of payment or financial reporting requirements.

(6) **Conducting Business in Accordance with Ethical Standards/Code of Conduct** – Applicants are required to develop and maintain a written code of conduct in accordance with 2 CFR 200.112 and 200.318. Codes of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions available to remedy violations of such standards.

Pursuant to applicable Federal and HUD regulations, applicants must disclose in writing any potential conflict of interest and all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

Before entering into an agreement with HUD, applicants selected to receive funding under a Program NOFA must submit an up-to-date copy of their code of conduct. Applicants with codes already on file with HUD do not need to resubmit a new code unless the information on file has changed. New or updated submissions must be dated and signed by the Executive Director, or Chair, or equivalent official, of the governing body of the organization. Applicants must also describe the methods to be used to ensure that all officers, employees, and agents are aware of and have agreed to adhere to the code of conduct.

(7) **Conflict of Interest of Consultants or Technical Experts Assisting HUD** – Consultants and technical experts who assist HUD in rating and ranking applications for funding under published FY 2016 Program NOFAs are subject to 18 U.S.C. 208, the federal criminal conflict-of-interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, consultants and technical experts who have assisted or plan to assist applicants with preparing applications for FY 2016 Program NOFAs may not serve on a selection panel and may not serve as a technical advisor to HUD. Anyone involved in rating and ranking FY 2016 Program NOFA applications, including departmental staff, experts and consultants must avoid conflicts of interest or the appearance of such conflicts. These individuals must also disclose to HUD’s Office of General Counsel Ethics Law Division the following information, if applicable:

- (a) How the selection or non-selection of any applicant under a FY 2016 Program NOFA will affect the individual’s financial interests, as provided in 18 U.S.C. 208, or
- (b) How the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502.

The consultant or technical expert assisting HUD must disclose this information before participating in any matter regarding an FY 2016 program NOFA. Applicants with questions regarding these provisions or concerning a conflict of interest, please call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number). The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service’s teletype service at 1-800-877-8339.

(8) **Prohibition Against Lobbying Activities** – Applicants are subject to the provisions of Section 319 of Public Law 101-121, 31 U.S.C. 1352, (the Byrd Amendment) and 24 CFR part 87, which prohibit recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, loan, or cooperative agreement. In addition, applicants must disclose, using Standard Form LLL (SFLLL), “Disclosure of

Lobbying Activities,” any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or contracts. Federally-recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally-recognized Indian tribes as a result of the exercise of the tribe’s sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law shall comply with this requirement. Applicants must submit the SFLLL if they have used or intend to use non-federal funds for lobbying activities.

(9) Consistency with the Consolidated Plan and Analysis of Impediments (AI)/Assessment of Fair Housing – Certain competitive Programs require applications to contain a certification of consistency with a HUD-approved Consolidated Plan. This certification means that the proposed activities 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. The Consolidated Plan also includes the jurisdiction’s certification to affirmatively further fair housing which means, among other requirements, that the jurisdiction has conducted an AI/Assessment of Fair Housing. If a program NOFA requires a certification of consistency with the Consolidated Plan and you fail to provide the certification, and you do not cure the omission as a technical deficiency, HUD will not fund the application.

Under HUD’s regulations at 24 CFR 91.2(d), an applicant’s PHA Plan must include a certification by the appropriate state or local official that the PHA Plan is consistent with the applicable Consolidated Plan for the jurisdiction in which the PHA is located and must describe the manner in which the applicable contents of the PHA Plan are consistent with the Consolidated Plan. To the extent that a proposal funded under this NOFA is addressed or should be addressed in the PHA Plan, it must be certified to be consistent with the Consolidated Plan.

### **3. Program Specific Requirements.**

#### **a. Priority Research Topics.**

HUD is particularly interested in the following research topic areas; however, you are not limited to addressing only topic areas listed below in your application (see section III.C.3.a.(8)). Applications that focus on one of the following topics will receive 1 point under rating factor "(2)" for both pre- and full applications (see sections V.A.1.a.(2) and V.A.1.b.(2)).

(1) Assessing or improving the efficacy of current methods for residential Integrated Pest Management (IPM). (See e.g., Integrated Pest Management, A Guide for Affordable Housing, available at: <http://www.stoppests.org> and the Centers for Disease Control and Prevention’s (CDC) IPM web page, <http://www.cdc.gov/nceh/ehs/eLearn/IPM.htm>. Topics of interest within the IPM topic area include but are not limited to:

- (a) Identification and evaluation of specific practices and processes that help overcome current challenges/obstacles and enhance the adoption of IPM by multi-family housing owners and managers.
- (b) Conducting applied research in identifying mechanisms through which human activities/behaviors influence bed bug infestations and control.
- (c) Identifying new methods or evaluating existing methods for bedbug detection, prevention and control.

(2) Developing easily replicable, cost-effective methods for preventing and controlling mold and excess moisture in various types of residential buildings. Also of interest is research to improve understanding of the amount of mold (i.e., both mold that is visible during a walk-through assessment and mold that is not visible) that poses a hazard to inhabitants.

(3) Improving indoor air quality, such as through cost-effective approaches to upgrading residential ventilation or improving control/management of combustion appliances. This includes studies of practical approaches to mitigate the health impacts from infiltration of ambient air pollution (e.g., respirable particles) due to motor vehicle emissions from roadways and transportation hubs such as bus terminals, etc. Applicants proposing research on methods to reduce indoor concentrations of respirable particles should refer to guidance published by the Lawrence Berkeley National Laboratory (Chan and Singer 2014).

(4) Injury Prevention Measures: HUD is interested in research on the combined efficacy of evidence-based injury intervention packages for preventing injury in high risk populations, particularly children and seniors in low income households. HUD is further interested in demonstrating the feasibility and cost-effectiveness of incorporating evidence-based injury prevention measures into residential programs, including green renovation and rehabilitation programs.

(5) Radon Test Protocols in Multifamily Housing: Current guidance and requirements for radon testing in multifamily housing differ with respect to protocols for the selection and testing of units for radon. For example, one entity may require a minimum of 25% of randomly selected ground level units in covered properties be tested to determine baseline radon levels, while another may require a minimum of 10%. This differs from the American Association of Radon Scientists and Technologists consensus standard, Protocol for Conducting Radon and Radon Decay Product Measurements in Multifamily Buildings, which requires testing of 100% of ground level units in multifamily properties (ANSI-AARST MAMF-2012) available through <http://aarst.org/bookstore.shtml>. State testing requirements also exist which rely on industry standards to varying degrees. The ANSI-AARST testing standard and the various multifamily testing requirements are based on professional judgment. Research is needed to develop a cost effective, evidence-based testing protocol for multifamily housing that is sufficiently protective (i.e., with respect to the ability to identify units with elevated levels) without being overly burdensome to property owners.

(6) HUD is interested in studies and methodologies that evaluate the longer term efficacy of multifaceted home asthma interventions (i.e., for children with poorly controlled asthma) conducted during the implementation of research or by programs that provide these services (e.g., HUD Healthy Homes Technical Studies, other HUD Healthy Homes Program grantees or programs of other HUD Offices or other federal, state and local agencies). Research and program evaluations have demonstrated that these interventions can be effective in reducing exposure to asthma triggers, improving asthma control in children, and improving caregiver quality of life; however, the maximum post-intervention follow-up period is generally 12 months. The objectives of interest to HUD are to determine whether the indoor environmental and health benefits of multifaceted home interventions persist longer than 12 months. The extended follow-up could be conducted in the context of ongoing research or programmatic activities or following the completion of a study or an intervention program. The latter focus could assess the longer term efficacy of interventions (e.g., trigger control and asthma management education, moisture and pest control, improved dust cleaning) following removal of household support by research/program staff. Potential applicants should be aware that proposals to conduct this extended follow-up in a programmatic context must use rigorous methods for the proposals to be competitive.

(7) Improving methods for the control of lead in drinking water within the home: Lead in drinking water can be an important source of lead exposure, especially for infants and young children. HUD is interested in supporting research on cost effective interventions within the home to reduce the risk of exposure to lead in drinking water. (Note: HUD cannot support research on the control of lead in drinking water within the distribution system before the water enters pipes within a residential structure.)

(8) Applications for additional work related to ongoing HUD-funded technical studies (i.e., for work outside of the scope of the original agreement) are eligible to compete with applications for awards on new subjects. These applications will be evaluated in the same manner as applications on new subjects. Brief descriptions of current and recently completed Healthy Homes Technical Studies projects and grantee contact information can be found on the HUD website at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/healthy\\_homes/hhi/hhts](http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes/hhi/hhts).

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

b. **HUD will not fund applications** that involve laboratory testing on living organisms with the exception of laboratory testing on insects or animals that are residential pests (e.g., cockroaches, bed bugs, mice, etc.) that is a component of a more comprehensive study to improve IPM methods.

c. General Information.

You may address one, or more than one, of the above technical studies topic areas within your proposal, or submit separate applications for different topic areas. In proposing to conduct a study on a particular topic, applicants should consider:

- (1). The ability of the study to generate definitive results. Since the size of the awards under this NOFA that will be made upon review of the full application generally limits the ability of applicants to design and implement research on health outcomes using the strongest methodology (i.e., a randomized controlled trial), applicants should consider focusing on important indoor environmental quality (IEQ) measures instead of health outcomes in studies where this is appropriate. A focus on environmental outcomes is generally expected to produce more definitive results as opposed to a health outcomes focus, and the impact of improvements to IEQ on health outcomes can be inferred where the evidence base is sufficient.
- (2). The “fit” of the proposed hazard assessment and/or control methods within the overall goal of addressing “priority” health and safety hazards in a cost-effective manner;
- (3). The expected efficacy and cost-effectiveness of the proposed methods for hazard control and risk reduction. Questions to consider include the degree to which interventions would be accepted by occupants, ease and cost of implementation, the length of time the intervention would stay effective, and the cost effectiveness of the intervention in preventing illness or injury or in improving the health of residents with existing illness;
- (4). Where and how these methods would be applied and tested, and/or perform demonstration activities; and
- (5). The degree to which the study will help develop practical, widely applicable and accepted methods and protocols or improve our understanding of a key residential health hazard.

Applicants should consider the efficiencies that might be gained by working cooperatively with one or more recipients of HUD’s Lead-Based Paint Hazard Control or Lead Hazard Reduction Demonstration grants, which are widely distributed throughout the United States. Information on current grantees is available at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/healthy\\_homes/lbp/lhc](http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes/lbp/lhc).

NOTE: A limited amount of hazard control activities, which involve construction rather than research, may be conducted as part of a Healthy Homes Technical Study (see Section IV.E.7).

d. Program Requirements

- (1). Program Performance. Grantees shall take all reasonable steps to accomplish all activities within the approved period of performance. HUD reserves the right to terminate the cooperative agreement prior to the expiration of the period of performance if the grantee fails to make reasonable progress in implementing the approved program of activities or fails to comply with the terms of the cooperative agreement.
- (2). Regulatory Compliance. Grantees must comply with all relevant federal, state, and local regulations regarding exposure to and proper disposal of hazardous materials.
- (3). Blood Lead Testing. Any blood lead testing, blood lead level test results, medical referral, or follow-up for children under 6 years of age must be conducted according to the recommendations of the CDC, Preventing Lead Poisoning in Young Children (see Appendix B of this NOFA).
- (4). Restricted Use of Funds. HUD Healthy Homes Technical Studies grant funds will not replace existing resources dedicated to any ongoing project.
- (5). Laboratory Analysis for Lead. Laboratory analysis covered by the EPA’s National Lead Laboratory Accreditation Program (NLLAP) must be conducted by a laboratory recognized under the program, unless approved by HUD.



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

(7). Human Research. Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, required by HUD at 24 CFR 60.101, which incorporates the Department of Health and Human Services (DHHS) Protection of Human Subjects regulation at 45 CFR part 46. (See Section V.A.1.b.(3).(b) below regarding the Institutional Review Board process, which is required for some technical studies).

(8). OSHA Compliance. 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, will be met.

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

(10). 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 is 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 regulations.

(11). Community Involvement. Applicants must incorporate meaningful community involvement into any study that requires a significant level of interaction with a community during implementation (e.g., projects being conducted within occupied dwellings or which involve surveys of community residents). The term community refers to a variety of populations comprised of persons who have commonalities that can be identified (e.g., based on geographic location, ethnicity, health condition, common interests, age, disability, LEP, etc.). Applicants should identify the community that is most relevant to their particular project. Meaningful community involvement also requires that recipients ensure that information provided to the community during these activities is provided in a manner that is effective for persons with disabilities (See 24 CFR § 8.6) and gives meaningful access to persons with limited English proficiency (LEP). There are many different approaches to involving the community in the conception, design, and implementation of a study and the subsequent dissemination of findings. Examples include but are not limited to: establishing a structured approach to obtain community input and feedback (e.g., through a community advisory board); including one or more community-based organizations as study partners; employing community residents to recruit study participants and collect data; and enlisting the community in the dissemination of findings and translation of results into improved policies and/or practices. A discussion of community involvement in research involving housing-related health hazards can be found in Chapter 5 of the Institute of Medicine publication titled "Ethical Considerations for Research on Housing-Related Health Hazards Involving Children" (see Appendix B for more information on this report).

(12). Standardized Dust Sampling Protocol and Quality Control Requirements. Grantees collecting samples of settled dust from participant homes for environmental allergen analyses (e.g., cockroach, dust mite) will be required to use a standard dust sampling protocol, unless the grantee provides compelling justification to use an alternate protocol (e.g., the study involves the development of an alternative sampling method). The HUD protocol can be found on the OLHCHH website at: [http://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_12539.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_12539.pdf). Grantees conducting these analyses may also be required to include quality control dust samples, provided by OLHCHH at no cost to the grantee, with the samples that are submitted for laboratory analyses.

(13). Requirements for peer review of scientific data in accordance with the Office of Management and



Budget Information Quality Guidelines. All HUD-sponsored research is subject to the OMB Final Information Quality Bulletin for Peer Review (70 FR 2664-2677, January 14, 2005) prior to its public dissemination. In accordance with paragraph II.2 of the Bulletin, HUD will not require further peer review conducted on information that has already been subjected to adequate peer review.

(14). Principal Investigator (PI) The PI for the proposed study must directly represent and be directly employed by the applicant's organization for the proposed role in the grant application. If the proposal includes co-PIs, the lead co-PI must represent and be directly employed by the applicant's organization.

#### 4. Criteria for Beneficiaries.

### IV. Application and Submission Information.

#### A. Obtaining an Application Package

An electronic copy of the Application Package and Application Instructions for this NOFA can be downloaded from Grants.gov at <http://www.grants.gov/applicants/apply-for-grants.html>. Except for Continuum of Care applications, or unless an applicant received a waiver for good cause, all applications must be submitted electronically via Grants.gov. The Continuum of Care application is submitted through HUD's e-snaps system.

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 the applicant's business offices are located. Applicants that cannot submit their applications electronically and must seek a waiver of the electronic grant submission requirements must submit a waiver request so that the request is received at least 15 days before the application deadline. If HUD waives the requirement, HUD must receive your paper application before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Dr. J. Kofi Berko Jr

Phone: (202) 402-7696

Email: [j.kofi.berko@hud.gov](mailto:j.kofi.berko@hud.gov)

Office of Lead Hazard Control & Healthy Homes

US Department of Housing & Urban Development

451 7th Street, S.W. Rm 8236

Washington, DC 20410

Applicants should submit their requests for a waiver of electronic submission of their application in writing using email. See Section IV.A of the General Section for requirements for requesting and submitting a waiver. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to: [j.kofi.berko@hud.gov](mailto:j.kofi.berko@hud.gov).

Grants.gov provides customer support information on its website at <http://www.grants.gov/contactus/contactus.jsp>. If you have difficulty accessing the application and instructions or have technical problems, you can receive customer support from Grants.gov by calling (800) 518-GRANTS (this is a toll-free number) or by sending an email to [support@grants.gov](mailto: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 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 Support Customer Service Representative.

## B. Content and Form of Application Submission.

To ensure that the correct Application Package and Application Instructions are used, applicants must verify that the CFDA Number and CFDA Description on the first page of the Application Package downloaded from Grants.gov, as well as the Funding Opportunity Title, and the Funding Opportunity Number match the Program and NOFA to which they are applying. Applications will only be considered for the competition indicated in box 11, 12, and 13 on the SF-424 submitted in the application.

### 1. Content

Forms for your package include the forms outlined below:

Forms / Assurances / Certifications	Submission Requirement	Notes / Description
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 will provide instructions to grantees on how the form is to be submitted.
Disclosure of Lobbying Activities (SFLLL), if applicable	HUD will provide instructions to grantees on how the form is to be submitted.	HUD will provide instructions to grantees on how the form is to be submitted.
Grant Application Detailed Budget Worksheet HUD424-CBW	HUD will provide instructions to grantees on how the form is to be submitted.	HUD will provide instructions to grantees on how the form is to be submitted.
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.

**Pre-Applications:** submit only the SF-424 form downloaded from Grants.gov.

The preliminary application must be submitted and formatted to fit on 8 1/2 by 11-inch paper, single line spacing with one-inch margins (for the top, bottom, left, and right sides of the document) and in standard Times New Roman 12-point font. **Number all pages.** The preliminary application shall consist of:

- a cover sheet with the name and contact information for the applicant
- an abstract of 200 words or less. The abstract should list the study objectives, identify partner organizations, identify the target population/community, and clearly identify the knowledge gap that the study will address.

- a narrative addressing the rating factors which must not exceed 5 pages in length (excluding the cover sheet). Note that although submitting pages in excess of the page limit will not disqualify the pre-application, HUD will not consider the information on any page beyond the 5-page limit.
- biographical sketches (maximum length of one page per person) for a maximum of three key personnel
- a list of references that are cited in the responses to the rating factors
- the estimated total funding that would be requested in a full application, and
- Form SF424\_Application\_for\_Federal\_Assistance (be sure to correctly identify the NOFA title, Funding Opportunity Number and CFDA number). Applicants must also include the nine digit zip code (zip code plus four digits) associated with the applicant address in box 8d of Form SF-424. If you don't know the +4 suffix enter 0000.

HUD will use the response to the factors at V.A.1.a below to rate, rank, and invite a subset of eligible pre-applicants to submit a full application. The responses provided to the factors in your preliminary application are the only source of information that will be evaluated in determining whether you are invited to submit a full application.

**Full Applications:** see section below for forms that are required as part of a full application submission.

Your full application must contain the items listed in this section. These items include the standard forms contained in the FY 2016 General Section that are applicable to this funding announcement (collectively referred to as the "standard forms"). Copies of these forms are available on line at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. The required items are:

- a. Application Abstract (two page maximum, see par. 3, below for the page layout requirements). An abstract with the project title, the names and affiliations of all investigators; identification of partner organizations; a summary of the objectives, study design, and 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 25 page maximum. Any information you wish to be considered in scoring of the application must be provided under the appropriate rating factor response.
- b. All forms as required by the FY 2016 General Section. Form HUD2991\_Certification\_of\_Consistency\_with\_the\_Consolidated\_Plan is not required with the application for this program.
- c. 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 factor for award (Rating Factors (1) through (5)).

Number the pages of your narrative statement. The project description or narrative must be included in the responses to the rating factors. The response to the rating factors should not exceed a total of 25 8 1/2 x 11 inch pages, with a minimum 12-point Times New Roman font, a minimum of single line spacing and a minimum margin width of 1.0 inch on all sides. Any pages in excess of this limit will not be read. The points you receive for each rating factor will be based on the portion of your narrative statement that you submit in response to that particular factor, supplemented by any appendices that are referenced in your narrative response to the rating factor. Supporting materials that are not referenced or discussed in your responses to the individual rating factors will not be considered. Additional materials (e.g., appendices) must be submitted with your application according to the directions in the FY 2016 General Section. The footer on the pages of these materials should identify the rating factor that they are supporting.

- d. 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 25-page limit:
  - the resumes of the principal investigator 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.
  - organizational chart

- letters of commitment
- a list of references cited in your responses to the rating factors.

e. Additional Information. Submit other optional information provided in support of your application following the directions in the FY 2016 General Section. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read. Do not include additional narrative information that is an extension of or expands upon any of your rating factor responses. Such narrative will not be considered.

f. Budget. Include a total budget using form HUD424CBW (<https://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 25-page limit. Use the budget format discussed in Rating Factor (3), Section V.A.1.b 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.
- (5). Budget submission must also include Form HUD-96015 (Leveraging Resources).

## 2. Format and Form.

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

### a. Preliminary Application:

Five (5) pages limit for 8 1/2 x 11 inch pages.

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

### b. Full Application:

Twenty five (25) page limit for 8 1/2 x 11 inch pages.

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 & Bradstreet Universal Numbering System (DUNS) Number.

### 1. SAM Registration Requirement.

Applicants must be registered with SAM before submitting their application. In addition, applicants must continue to maintain an active SAM registration with current information at all times during which 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 in their application. DUNS numbers may be obtained for free at <http://fedgov.dnb.com/webform>.

#### **D. Application Submission Dates and Times.**

The application deadline is 11:59:59 p.m. Eastern time on **06/01/2016**. Applications must be received no later than the deadline.

Submit your application to Grants.gov unless a waiver has been issued allowing you to submit your application in paper form or you are applying for the Continuum of Care program. The Continuum of Care application is submitted through HUD's e-snaps system. Instructions for submitting your application to Grants.gov are contained within the Application Package you downloaded from Grants.gov. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Your application must be both **received and validated** by Grants.gov. Your application is "received" when Grants.gov provides you a confirmation of receipt and an application tracking number. **If you do not see this confirmation and tracking number, your application has not been received.**

After your application has been received, your application still must be validated by Grants.gov. During this process, your application may be "validated" or "rejected with errors." To know whether your application was rejected with errors and the reason(s) why, you must log into Grants.gov, select "Applicants" from the top navigation, and select "Track my application" from the drop-down list. If the status is "rejected with errors," you have the option to correct the error(s) and resubmit your application before the Grace Period ends. **If your application was "rejected with errors" and you do not correct these errors, Grants.gov will not send your application to HUD, and HUD will not review your application.** If your status is "validated" your application will be forwarded to HUD by Grants.gov.

##### **1. Amending or Resubmitting an Application.**

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov may resubmit a revised application containing the new or changed material. The resubmitted application must be received by the applicable deadline.

##### **2. Grace Period for Grants.gov Submissions.**

If an application is received by Grants.gov before the deadline, but is rejected with errors, applicants have a grace period of 24 hours beyond the application deadline to submit a corrected application that is received and validated by Grants.gov. Any application submitted during the grace period that does not meet the criteria above will not be considered for funding. There is no grace period for paper applications.

##### **3. Late Applications.**

An application received after the Program NOFA deadline date that does not meet the requirements of the grace period policy will be marked late, and will not be considered for funding.

##### **4. Corrections to Deficient Applications.**

Except as provided by the electronic submission grace period described in this notice, HUD may not consider any unsolicited information that applicants may want to provide after the application deadline. (Refer to 24 CFR part 4, subpart B.) In addition, HUD may not seek clarification of items or responses that improve the substantive quality of an applicant's response to any rating factors or which correct deficiencies which are in whole or part of a rating factor, including items that impact bonus points. HUD may contact the applicant to clarify other items in its application. In order not to unreasonably exclude applications from being rated and ranked in situations where there are curable deficiencies, HUD will notify applicants of each technical deficiency and will do so on a uniform basis.

If HUD finds a curable deficiency in an application, HUD will notify the applicant by email describing the clarification or technical deficiency. HUD will send an email to the person designated in item 8F of the SF424 and to the person listed as the authorized representative in item 21 of the SF424. Both email notifications will be sent from HUD with confirmation of delivery receipt requested. The email notifications will be the official notification of the need to cure a technical deficiency. It is the responsibility of applicants to provide accurate email addresses for receipt of these notifications and to monitor their email accounts to determine whether a cure letter has been received. The applicant must carefully review the request for cure of a technical deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Clarifications or corrections of technical deficiencies must be received by HUD within the time limits specified in the notification. In no case shall the time allowed to correct deficiencies exceed 14 calendar days or be less than 48 hours from the date of the email notification. The start of the cure period will be the date stamp on the email HUD sends to the applicant. If the deficiency cure deadline date falls on a Saturday, Sunday, federal holiday, or other day when HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must be received on the next day that is not a Saturday, Sunday, or federal holiday, or other day when the HUD's Headquarters offices in Washington, DC, are closed.

Curable deficiency items must be submitted via email addressed to [ApplicationSupport@hud.gov](mailto:ApplicationSupport@hud.gov). When submitting technical deficiency cure items you must enter "Technical Cure" plus the Grants.gov application tracking number in the subject line of the email (e.g., Subject: Technical Cure - GRANT123456). If this information is not included, HUD will not be able to match the response to the application under review and the application may therefore be rejected due to the deficiency.

Corrections to a paper application should 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 that contains the wrong DUNS number as having a technical 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.

## **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 this program.
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-based paint or healthy home hazard control activities or related work that constitutes construction, reconstruction, repair or improvement (as referenced in Section 3(a)(4) of the Flood Disaster Protection Act of 1973 (42 U.S.C. §§ 4001-4128)) of a building or mobile home which is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:
  - a. The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA



notification regarding these hazards; and

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

7. Construction Activities. The amount of HUD Healthy Homes Technical Studies grant funds used for construction activities, i.e., to support or supplement a new housing construction or substantial rehabilitation project, may not exceed 20% of the total HUD funds awarded. Furthermore, the majority of any funds dedicated to construction activities supported by a Healthy Homes Technical Studies grant shall be spent for interventions not intended for lead hazard control.

8. Costs related to insects or animal testing are not allowable under this program except when necessary in the context of a broader study focusing on improving integrated pest management methods.

### **Indirect Cost Rate**

Indirect Cost Rate: No restrictions, applicants may use their negotiated rate or the *de Minimis* rate (10% of Modified Total Direct Costs).

## **G. Other Submission Requirements.**

### **1. Discrepancies between the NOFA on Grants.gov and Other Documents.**

The Program NOFA posted at the Grants.gov website is the official document HUD uses to solicit applications. Applicants are advised to review their application submission against the requirements in the posted Program NOFA. If there is a discrepancy between the Program NOFA posted on Grants.gov and other information provided in any other copy or version or supporting documentation, the posted Program NOFA located at [www.Grants.gov](http://www.Grants.gov) prevails. If discrepancies are found, please notify HUD immediately by calling the program contact listed in the Program NOFA. HUD will post any corrections or changes to a Program NOFA on the Grants.gov website. Applicants who enroll an email address at the application download page will receive an e-mail alert from Grants.gov in the event the opportunity is changed.

### **2. Application Certifications and Assurances.**

Applicants signing the SF424 cover page either through electronic submission or in paper copy submission (for those granted a waiver) affirm that the certifications and assurances associated with the application are material representations of the facts upon which HUD will rely when making an award to the applicant. If it is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, the applicant may be subject to criminal prosecution, and 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.

### **3. 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)).



When providing education or counseling on buying or renting housing that may include pre-1978 housing, when required by regulation or policy, inform clients of their rights under the Lead Disclosure Rule (24 CFR part 35, subpart A), and, if the focus of the education or counseling is on rental or purchase of HUD-assisted pre-1978 housing, the Lead Safe Housing Rule (subparts B, R, and, as applicable, F - M).

#### **4. Indirect Cost Rate (ICR)**

If you are a governmental organization or agency that receives more than \$35 million in federal funding, you are required to request an Indirect Cost Rate from your cognizant agency (2 CFR 200 Appendix VII). If you have not requested an indirect cost rate or have not received a negotiated indirect cost rate, you may not claim indirect costs until you receive a negotiated rate.

Non-governmental organizations: If your organization has never had an indirect cost rate and wishes to use the *de minimis* rate, your application's budget narrative must clearly state you intend to use the *de minimis* 10% of Modified Total Direct Costs (MTDC). If you are using a negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and include a letter or other documentation from the cognizant agency showing the approved rate.

Governmental organizations: If your organization has a negotiated indirect cost rate, your application's budget narrative must include the rate and a letter or other documentation from the cognizant agency showing the negotiated rate. If your organization has prepared and maintains documentation supporting an indirect rate proposal but has not negotiated approval of the rate, your application's budget narrative must include the rate and applicable distribution base. State and local government departments that have never negotiated indirect cost rates with the Federal government and receive less than \$35 million in direct Federal funding per year may use the 10% *de minimis* indirect cost rate, and must keep the documentation of this decision on file. Federally recognized Indian tribes that have never negotiated an indirect cost rate with the Federal government may also use the 10% *de minimis* rate and must keep the documentation of this decision on file.

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

### **A. Review Criteria.**

#### **1. Rating Factors**

##### **a. Rating Factors for Preliminary Applications**

Threshold Requirements. Pre-applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described below in this section. The FY 2016 General Section identifies threshold requirements that must be met for an application to be eligible for review.

Each of the four factors is weighted as indicated by the number of points that are assigned to it. Subfactors that are not applicable to a specific application (e.g., community involvement) will be scored as "NA" (Not Applicable) and the points for the subfactor will be redistributed to other subfactors under that rating factor. The maximum score that can be attained is 100. Applicants should be certain that each of these factors is adequately addressed within the 5-page narrative and accompanying materials in response to the rating factors. To the extent feasible, 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. Your response to the rating factors should be submitted on consecutively numbered pages.

#### **(1). Capacity of the Applicant and Relevant Organizational Experience: Maximum Points = 20**

(a) Brief description of the academic qualifications and professional experience of key study personnel that is relevant to the proposed study. For the evaluation of this subfactor, HUD will use the information provided

in this section as well as that provided in the biographical sketches of the key study personnel (15 points).

(b) Concise description of the qualifications and relevant professional experience of any partner organizations included in your proposal (note: these points will be redistributed to subfactor V.A.1.a.(1).(a) if no partner organizations are included in your application) (5 points).

**(2). Need for the research: Maximum Points = 35**

(a) Key Research Gap Addressed and Importance of Study Focus Area (20 points).

Clearly and succinctly discuss the need for the proposed research based on the extent that it addresses a key research gap on a priority healthy homes issue as discussed in section III.C.3.a, citing published literature where possible. Explain why the knowledge gap that your proposed study will address is considered key (based on identified gaps in the literature and/or well documented knowledge from professional practice). The importance of the specific topic that your proposed study addresses can be demonstrated by factors such as (but not limited to): the severity of the illness/injury that is addressed; the prevalence of the housing condition or exposure; the economic impact of the issue that is addressed; the impact of the illness/injury on vulnerable populations; etc. If you are proposing research on a topic identified in Section III.C.3.a of this NOFA, you will be awarded one point under this rating factor.

(b) Strategic Value in Informing Policy or Practice (15 points).

Describe the strategic value of your proposed research with respect to its potential impact in informing policy or practice within the focus area of your proposed healthy homes study. Describe the potential application of your expected study findings in advancing the field of healthy homes.

**(3). Soundness of Approach: Maximum Points = 35**

(a) Study Objectives and Design (25 points).

Identify the major objectives of your proposed study and any hypotheses to be tested (if testable hypotheses are appropriate for the proposed research). Clearly and succinctly describe the design of your proposed technical study, identifying major study milestones. Include sufficient detail to demonstrate feasibility and the likelihood that you will achieve the stated objectives. If appropriate, describe your plans for community involvement and for obtaining Institutional Review Board approval.

(b) Data Collection and Analysis (10 points).

Describe your plans for ensuring the accuracy and validity of the data that will be collected. Briefly describe the type of statistical analysis that will be conducted and your plans for the publication of study findings.

**(4). Achieving Results and Project Management: Maximum Points = 10**

(a) Submit a timeline for the completion of major research activities and tasks and a description of actions that will be taken to ensure timely completion of the study. It is expected that the study, including drafting and submission of at least one article to a peer-reviewed journal, will be completed within three years of award, which is the maximum period of the cooperative agreement (5 points).

(b) Provide a brief description of your plan for managing and coordinating study activities (5 points).

**b. Rating Factors for Full Applications**

**Note: You should respond to the following only if you received a notification inviting you to submit a full application.**

Each of the five factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 100. Applicants should be certain that each of these factors is adequately addressed in the project description and accompanying materials. To the extent feasible, 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.

**(1). Capacity of the Applicant and Relevant Organizational Experience: Maximum Points = 20**

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

(a) The capability and qualifications of key and supporting personnel (13 points).

HUD will assess the qualifications of key personnel to carry out the proposed study as evidenced by academic and professional background, publications, and recent (within the past 5 years) research experience. The proposed Principal Investigator must directly represent and be compensated directly by the applicant for his or her role in the proposed study. Publications and/or research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed under this NOFA. HUD will also evaluate the qualifications of supporting personnel such as statisticians and research assistants. In responding to this rating factor, you must complete and submit Form HUD-96012 (Capacity of the Applicant and Relevant Organizational Experience). Partner organizations will also be evaluated with respect to their qualifications and capabilities to successfully implement their proposed project roles. Please do not include the Social Security Numbers (SSN) of any staff members. You must also submit an organizational chart that shows the key players in the project, their reporting relationships, and their responsibilities. The chart may be submitted as an attachment and will not count towards the 25 page maximum.

(b) Past performance of the study team in managing similar projects (7 points).

HUD will evaluate your demonstrated ability to successfully manage various aspects (e.g., personnel management, data management and analysis, quality control, reporting) of a complex technical study, as well as your overall success in completing projects on time and within budget. If applicable, provide the number and title of any past OLHCHH grants and describe the outcomes of those grants and your organization's performance in their implementation (e.g., whether they were completed on time without the request for an extension of the original period of performance). Also, describe the past performance of the organization (applicant and/or partners) on other projects related to residential environmental health and safety research, or other relevant experience. Provide details about the nature of the project, the funding organization, and your performance (e.g., timely completion, achievement of desired outcomes). You should also discuss the degree to which the results from past research have been used to develop new or improved methods or tools for residential hazard assessment or control.

If your organization has an active OLHCHH grant or cooperative agreement, provide a description of the progress and outcomes achieved under that award. If you completed one or more HUD-funded Technical Studies grants, your performance will be evaluated in terms of achievements made under the previous grant(s). If you were a PI or a co-PI of a previous HUD technical studies grant from OLHCHH in a fiscal year in which the NOFA required that grantees provide HUD with a draft manuscript for publication as a final work product (i.e., NOFAs starting in Fiscal Year 2006) and you have not demonstrated a credible attempt to publish the results in a scientific or professional journal, 5 points will be deducted under this sub-factor.

**(2). Need for the research: Maximum Points = 20**

This factor addresses the extent to which there is a need for the proposed technical study based on the extent to which it is expected to advance scientific knowledge on a key healthy homes hazard control issue by addressing an important information gap. In responding to this factor, you should document in detail how your project will make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described under section III.C.3.a. For example, you should

demonstrate how your proposed study addresses a need with respect to the development of improved methods for the assessment and control of residential hazards or addresses a need associated with an important housing-related environmental health hazard keeping in mind that HUD is particularly interested in protecting the health of children and other sensitive populations such as seniors. This is especially important if you are proposing to study a topic that is not highlighted as a priority area by HUD in Section III.C.3.a. Specific issues to be addressed for this factor include:

(a) A concise review of the research need that is addressed by your proposed study and why it is consistent with the goals and objectives of the NOFA; identify which NOFA goals and objectives are addressed by the proposed study. Explain why the knowledge gap that your proposed study will address is considered key (e.g. based on identified gaps in the literature or well documented knowledge from professional practice) for advancing our understanding of an important healthy homes issue. The importance of the issue that the proposed study addresses can be demonstrated by factors such as: the severity of the illness/injury that is addressed; the prevalence of the condition; the economic impact of the issue, and the impact of the illness/injury on vulnerable populations. If you are proposing research on a topic identified in Section III.C.3.a of this NOFA, you will be awarded one point under this rating factor (10 points).

(b) A discussion of how your proposed study would significantly advance the current state of scientific knowledge by summarizing its relationship to past research that is published in the peer-reviewed literature and/or which builds upon pilot research that has not been published (a summary of the later data should be provided in the application, if applicable). HUD will award the most points under this sub-factor for proposals that are expected to have the greatest impact in advancing the evidence base on key healthy homes topics, with the ultimate goal of applying the research findings to the creation of a larger supply of healthy housing in the U.S. (6 points).

(c) A discussion on how you anticipate your study findings will be used to improve current methods for assessing or mitigating the hazards under study, particularly for affordable housing. If applicable, indicate why the method/protocol that would be improved through your study would lead to improved practice and be widely adopted (e.g., low cost, easily replicated, lack of other options) or how the knowledge gained through your proposed study will provide an important contribution to the advancement of the “healthy homes” paradigm or improvement of residential health hazard control practices (4 points).

### **(3). Soundness of Approach: Maximum Points = 42**

This factor addresses the quality of your proposed technical study plan. Specific components include the following:

(a) Soundness of the study design (30 points).

(i) Clearly and thoroughly describe your proposed study and its design, and identify the major objectives. If you are proposing a community-based research of home interventions to reduce the risk of an illness, provide evidence for the need for the interventions in the target community (e.g., the prevalence of the targeted hazard and/or the related health outcome) in the community. If possible, your study should be designed to address testable hypotheses that you should state clearly and specifically (12 points).

(ii) The study should be presented as a logical sequence of steps or phases with individual tasks described for each phase and all important milestones identified, as well as any important "decision points" (3 points).

(iii) Your narrative should reflect the relevant scientific literature, which should be thoroughly cited in your application. Your proposed study will be judged in part on the soundness of the underlying body of research upon which it is based (e.g., the degree to which it is based upon well-understood or poorly-understood associations from previous studies) and the clarity and soundness of your summary and interpretation of this research base. If your application also incorporates the results of unpublished research, you should clearly summarize the results of that research in your response to this rating factor (7 points).

(iv) Describe the statistical basis for your study design and demonstrate that you would have adequate statistical power (showing the power calculations) to test your stated hypotheses and achieve your study

objectives (3 points).

(v) Discuss your plans for data management, analysis, and archiving (3 points).

(vi) If you are proposing to conduct a study that includes a significant level of community interaction (e.g., studies involving participant recruitment, survey research, environmental sampling on private property), describe your plan for meaningful involvement of the affected community in your proposed study, including the manner in which you will provide effective communication for persons with disabilities and persons with Limited English Proficiency (LEP). You should define the community of interest with respect to your proposed study and discuss why and how your proposed approach to community involvement will make a meaningful contribution to your study and to the community. For studies in which community participants must visit a facility operated by the applicant pursuant to activities conducted under this NOFA, applicants are advised that such activities must be held in facilities that are accessible to persons with disabilities as required by Section 504 of the Rehabilitation Act and its implementing regulations at 24 CFR Part 8 (2 points or NA).

(b) Quality assurance mechanisms (6 points).

You must describe the quality assurance mechanisms that will be integrated into your project design to ensure the validity and quality of the results. Applicants that receive awards will be required to submit a quality assurance plan to HUD. You should plan for this and include quality assurance activities in your study work plan.

(i) Discuss the major quality assurance mechanisms that are relevant for your proposed study. Examples of quality assurance mechanisms include, but are not limited to: procedures for selection of samples/sample sites, sample handling, use of quality control samples, validating the accuracy of instrumentation, standardization of interventions, measures to ensure accuracy during data management, staff training, and final validation of your dataset. If applicable, documents (e.g., government reports, peer-reviewed academic literature) that provide the basis for your quality assurance mechanisms should be cited. Identify who will have primary responsibility for drafting and ensuring compliance with the Quality Assurance Plan (QAP) and describe how the QAP will be used during the implementation of your study. (A sample QAP template is available at [https://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_15123.doc\\_hud\\_qap](https://portal.hud.gov/hudportal/documents/huddoc?id=DOC_15123.doc_hud_qap)). Your application will be rated on the thoroughness, clarity, and validity of your proposed quality assurance activities, and their appropriateness for ensuring the validity and quality of the data (3 points).

(ii) For the collection of data using survey or other observational tools, describe the procedures that you will follow to ensure accurate data capture and transfer (e.g., transfer of data from the field to a database). Also, describe any research done (or planned) to validate the instrument (2 points or NA).

(iii) Institutional Review Boards. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR 60.101, which incorporates the DHHS regulation at 45 CFR part 46, subpart A), if your research involves human subjects, your organization must provide proof (e.g., a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before initiating such activities you must also provide the number for your organization's assurance (i.e., an "institutional assurance") that has been approved by the DHHS's Office for Human Research Protections (OHRP). You must also provide proof that the IRB that approves your study is registered with the OHRP (1 point or NA).

You do not have to provide proof of IRB approval with your application. If you do not have IRB approval yet, you should address how you will obtain such approval. Describe how you will obtain informed consent (e.g., from the subjects, their parents or their guardians, as applicable) and discuss the steps you will take to help ensure participants' understanding of the elements of informed consent, such as the purpose, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with LEP or primary languages other than English, and with families including persons with disabilities. For assistance in ensuring that persons with limited English proficiency have meaningful access to your research activities, see Section III.C.3.d of the FY 2016 General Section. For

additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP website at <http://www.hhs.gov/ohrp/>.

(c) Affirmatively Furthering Fair Housing (AFFH) and Section 3 Requirements (1 point or NA).

(i) AFFH (0.5 points or NA).

If your proposed project will confer a benefit to members of the public in which the work is to be done, through hazard intervention that involves construction or rehabilitation of housing (not including routine housing maintenance or minor repair) and/or education or training, then your application must discuss in very specific ways, and in a separate narrative how your proposed plans affirmatively further fair housing, in order to receive funding consideration and points. If, on the other hand, your proposed project entails research without human subjects, such as laboratory research, conducting surveys, analyzing existing data sets, or other narrowly focused activities, your research may still provide results that may affirmatively further fair housing and should be discussed. If that is the case, you need only include an explicit statement (in your narrative response to this sub-factor) to that effect in regard to affirmatively furthering fair housing. If applicable, this narrative must describe how your proposed activities further at least one of the following objectives: {i} help overcome any impediments to fair housing choice related to the assisted program or activity itself; {ii} promote racially, ethnically, and socio-economically diverse communities; or {iii} promote housing-related opportunities that overcome the effects of past discrimination because of race, color, national origin, religion, sex, disability, and family status (i.e. presence of children). The narrative must also show how your proposed plans are designed to help overcome the effect of impediments to fair housing choice that are identified in the Analysis of Impediments to Fair Housing Choice (“AI”) of the jurisdiction(s) in which the planning occurs, as described in Section III.C.3.b of the FY 2016 General Section. Federally recognized Indian tribes and their instrumentalities are not required to comply with the requirement to affirmatively further fair housing, but may discuss it, if applicable. For projects involving construction or rehabilitation, examples of activities that affirmatively further fair housing include those that ensure that existing residents relocated (or temporarily relocated) to facilitate rehabilitation are afforded preference or right of first refusal for new units in the same location. For projects which involve community-based research and/or which include enrollment outreach, education and/or training, examples of activities that affirmatively further fair housing include:

(A) where appropriate, designing and implementing the research study so as to maximize communication and participation with, or dissemination of information to, persons unlikely to have access to the study, including persons of different ethnic and racial backgrounds, and persons with disabilities;

(B) to the maximum extent practicable, affirmatively marketing the existence of the study or affirmatively disseminating the results of such studies broadly to persons affected, including persons of different races or ethnicities, persons of different socioeconomic status, or persons with disabilities who are not likely to be aware of the study;

(C) conducting such activities in a manner that provides meaningful access to persons with LEP; and

(D) targeting the benefits of the research, outreach, or educational activities to vulnerable populations, including, but not limited to, women with children and racial and ethnic minorities.

(ii) Section 3 Requirements (0.5 points or NA).

If your proposed project will conduct housing construction or rehabilitation, explain in a separate narrative how you will provide appropriate opportunities to Section 3 residents and Section 3 businesses of the target area, in compliance with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. § 1701u) and HUD’s implementing rules at 24 CFR Part 135 (see Section III.C.3.c of the FY 2016 General Section for further information). If, on the other hand, your proposed project will not conduct housing construction or rehabilitation, your application need only include an explicit statement (in your narrative response to this sub-factor) to that effect in regard to Section 3.

(d) Budget Proposal (5 points).

(i) Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the FY 2016 General Section. HUD is not required to approve or fund all proposed activities. You must thoroughly document and justify all budget categories and costs (Form HUD424CBW) and all major tasks, for yourself, sub-recipients, major subcontractors, joint venture participants, or others contributing resources to the project (2 points).

(ii) A separate budget must be provided for partners who are proposed to receive more than 10 percent of the federal budget request. Your application will be evaluated on the extent to which your resources are appropriate for the scope of your proposed study (1 point or NA).

(iii) 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 25-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 (2 points).

**(4). Leveraging Resources: Maximum Points = 6**

This factor addresses your ability to obtain other resources that can be combined with HUD’s funding to increase the effectiveness of the proposed study. To receive points, your proposal should demonstrate that the effectiveness of HUD’s Technical Studies grant funds is being increased by securing other resources or by structuring the study in a cost-effective manner, such as integrating the work into an existing study that will be concurrent with your proposed study. Applicants that choose to use a lower indirect rate than their federally negotiated indirect rate can calculate and claim the difference as part of their total leverage. The chart below identifies the points to be provided for monetary leveraging under this rating factor.

Leverage	Points
Less than 1%	0
1% or more but less than 5%	2
5% or more but less than 10%	4
10% or more	6

(a) Contributed resources must be shown to be specifically dedicated to and integrated into supporting study activities. Resources may include funding or in-kind contributions (such as direct labor, use of specialized facilities) allocated to the purpose(s) of your project. Staff and in-kind contributions should be assigned a market-rate monetary value. You should be aware that federal sources are generally not allowed to be used for monetary leverage unless otherwise permitted by that specific federal program’s authorizing statute. However, HUD will award up to three points to applicants that can demonstrate that the potential impact of the proposed research would be magnified through (non-monetized) integration with existing research.

(b) In assigning points for monetized leveraging under this factor, HUD will consider the significance of the leveraging in the context of the amount of federal funds that you are requesting. As noted in the chart above, you must propose to contribute resources valued at 1% or more of the federal funds requested to receive points. Applicants can receive the maximum points under this factor through monetized leveraging alone or through a combination of monetized leveraging and non-monetized leveraging as described above.

(c) To receive points for leveraging from a partner or a source outside your organization, it must be documented with a letter of firm commitment, memorandum of understanding, and/or agreement to participate, including the monetary value of the contribution. Each document must include the organization's name, proposed level of commitment (with estimated monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment letter must also be signed by an official of the organization legally able to make commitments on behalf of the organization. Simple letters that only indicate support of the proposed study are not sufficient and will not be considered in the awarding



of points under this factor.

(d) In responding to this rating factor, you must complete and submit Form HUD-96015 (Leveraging Resources). No points will be awarded to applicants that identify leveraged resources for which adequate documentation is not provided (e.g., a letter of commitment is needed but not provided).

(e) Newly contributed resources, devoted to supporting proposed study activities will be fully credited. Resources included from previous work, previous data bases, or other concurrent work that is not federally funded and which would be completed regardless of this proposed study, will be valued at no more than 25 percent of their documented cost.

(f) You should make sure that your submittal regarding monetary leveraging is identified and is internally consistent in all the required places, i.e., forms SF424, HUD424CBW (budget), HUD96015, and the signed documentation. If for some reason you are not able to include your monetary leveraging in the budget forms, please provide an explanation as part of your response to this rating factor.

#### **(5). Achieving Results and Project Management: Maximum Points =12**

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 study completion as well as final study outcomes. Applicants must also provide a management plan that indicates how they will ensure timely and successful completion of the study. The application should include the following;

(a) A management plan that provides a schedule for the clear and expeditious completion of all major tasks, with associated benchmarks and major study milestones and deliverables. Benchmarks and important milestones (e.g., completing the recruitment of study participants) should be identified on a quarterly basis in a study timeline. Any interim products should be identified. You should demonstrate that it is clearly feasible to complete the study within the proposed period of performance and successfully achieve your objectives. HUD has observed that studies can miss targeted performance timelines because of delays in the IRB approval process, unexpected difficulties with recruiting study participants, or delays in developing new laboratory methods or instruments. Successful applicants will be required to enter project benchmarks and milestones into a spreadsheet, which will be used by HUD to track study progress (6 points).

(b) Identify the organization/person that will have primary responsibility for completion of each of the major study tasks and indicate plans for ensuring effective communication among members of the study team as well as the community, if applicable, about goals, methods, progress and timeliness (3 points).

(c) In your response you should identify potential obstacles and delays in maintaining your proposed schedule and achieving your study objectives (e.g. recruitment and/or retention), and discuss steps and adjustments you would take to respond to these potential obstacles and delays to ensure timely completion of the study (2 points).

(d) Include plans and schedules for preparation and submission of a minimum of one manuscript for publication in a peer-reviewed academic journal following HUD acceptance. Depending on the study's focus, HUD may also accept submission of a manuscript for publication of study findings in one or more high quality professional journals (i.e., if this is considered more appropriate for the focus area than publication in a scientific/academic journal). Where possible, include the name of the journal in which you plan to publish. The final deliverable can be submitted to HUD during the agreed upon period of performance or during the 90-day closeout period following award expiration (1 point).

## **2. NOFA Priorities.**

HUD encourages applicants for funding to undertake programs and projects that contribute to HUD's NOFA Priorities. Applicants that undertake activities that result in achievement of specific NOFA Priorities listed below are eligible to receive priority points in the rating of their application. These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.

**Priority points are not available for this program.**

## **3. Bonus Points.**

In support of certain inter-agency initiatives, HUD awards bonus points to projects where the preponderance of work will occur in a designated zone, community or region. **These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.**

Bonus points are not available for this program.

## **B. Reviews and Selection Process.**

### **1. Past Performance**

In evaluating applications for funding HUD will take into account an applicant's past performance in managing funds, including, but not limited to: the ability to account for funds appropriately; the timely use of funds received from HUD or other federal, state, or local programs; the timely submission and quality of reports submitted to HUD; meeting program requirements; meeting performance targets as established in Logic Models or other performance evaluation tools approved as part of the grant agreement; the timelines for completion of activities and receipt of promised matching or leveraged funds; and the number of persons to be served or targeted for assistance. Before making a Federal award, HUD is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 note to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit. In evaluating past performance, HUD may deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the Program NOFAs. Each Program NOFA will specify how past performance will be rated.

### **2. Integrity**

HUD evaluates the integrity of the applicant as reflected in government-wide websites, information in HUD's files, the federal Do Not Pay portal, public information and information received during HUD's Name Check Review process. If this integrity evaluation results in an adverse finding, HUD reserves the right to take any of the remedies provided in Section III.C.4.a.5, Do Not Pay website Review.

#### **a. Preliminary Applications.**

Invitations to submit a full application will be made in rank order. Full applications will be solicited from up to 20 Healthy Homes Technical Study Program pre-applicants whose pre-applications scored at least 75 points. If more than 20 pre-applications receive scores of 75 or greater, the 20 highest scoring Healthy Homes Technical Studies pre-applicants will be invited to submit full applications; however, for the highest ranked applications that differ in score by one point or less, the Application Review Panel will make the final recommendation based on which application(s) it believes addresses the most critical research needs. HUD may increase the number of full applications solicited following the scoring of pre-applications if additional funds become available or if an unexpectedly large number of highly qualified pre-applicants

are received.

#### **b. Full Applications.**

An award will be made to the highest scoring “new applicant” that is eligible for an award if the decision is supported by the majority of the Application Review Panel and the applicants' score is 85 or higher. Awards will then be made in rank order within the limits of funding availability; however, for the highest ranked applications that differ in score by one point or less, the Application Review Panel will make the final funding recommendation based on which application(s) it believes addresses the most critical research needs.

#### **c. Partial Funding.**

In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of 14 calendar days to accept such a reduced award. If you fail to respond within the 14-day limit, you shall be considered to have declined the award.

#### **d. Remaining Funds.**

See the FY 2016 General Section for HUD's procedures if funds remain after all selections have been made within the Healthy Homes Technical Studies Program.

### **C. Anticipated Announcement and Award Dates.**

1. Preliminary Applications. Anticipated announcement date of successful pre-applicants is 49 days from the pre-application submission deadline date.
2. Full Application. Anticipated announcement date of successful applicants is 60 days from the full application submission deadline date.

## **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 all other applicants, whose applications were received by the deadline, that have not been chosen for award. Notifications will be sent by email, delivery receipt requested, to the person designated in item 8F of the SF424 and to the person listed as authorized representative in item 21 of the SF424.

1. Applicants who have been selected for award will be notified by letter from the OLHCHH Grant Officer. The letter will state the amount the applicant is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the award. An executed cooperative agreement is the authorizing document.
2. HUD may require that the selected applicants participate in negotiations to determine the specific terms of the cooperative agreement and budget. If you accept the terms and conditions of the cooperative agreement, you must return your signed cooperative agreement by the date specified during negotiation. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award, and proceed with negotiations with the next highest-ranking applicant. You should note that, if you are selected for multiple OLHCHH awards, you must ensure that you have sufficient resources to provide the promised leveraging for the multiple awards. During negotiations, if you are selected for multiple awards you will be required to provide alternative leveraged resources, if necessary, before any of the cooperative agreements can be awarded. This is required in order to avoid committing duplicate leveraged resources to more than one OLHCHH cooperative agreement.
3. If you are awarded a cooperative agreement, 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.

4. In accordance with 2 CFR 200 (Audits of States, Local Governments and Non-Profit Organizations), grantees expending \$500,000 in Federal funds within a program or fiscal year must submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, the address can be obtained from their website. The SF-SAC can be downloaded at <http://harvester.census.gov/sac/>.

## **B. Administrative, National and Department Policy Requirements.**

For this NOFA, the following requirements apply:

### **Procurement of Recovered Materials.**

State agencies and agencies of a political subdivision of a state that are using assistance under a Program NOFA for procurement, and any person contracting with such an agency with respect to work performed under an assisted contract, must comply with the requirements of Section 6002 of the Solid Waste Disposal Act. In accordance with Section 6002, these agencies and persons must procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired in the preceding fiscal year exceeded \$10,000; must procure solid waste management services in a manner that maximizes energy and resource recovery; and must have established an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines. Please refer to [www.epa.gov/osw/consERVE/tools/cpg/pdf/rcra-6002.pdf](http://www.epa.gov/osw/consERVE/tools/cpg/pdf/rcra-6002.pdf) for complete text and requirements of Section 6002.

### **Environmental Requirements.**

(1). Eligible Construction and Rehabilitation Activities. A FY 2016 Healthy Homes Technical Studies award 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 Healthy Homes Technical Studies funds. Therefore, recipients conducting eligible construction and rehabilitation activities must comply with 24 CFR part 58. Recipients that are States, units of general local government or Native American tribes 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 or Native American tribe, 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, unit of general local government or Native American tribe, if a responsible entity objects to performing the environmental review, or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. When HUD performs the review itself, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed.

(2). For all cooperative agreements 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, unit of general local government or Native American tribe 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 reviews may require that proposed activities be modified or proposed sites rejected. For Part 58 procedures, see <http://www.hud.gov/offices/cpd/environment/index.cfm>. For assistance, contact 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 1-800-877-8339. Recipients of a grant under this program will be given additional guidance in these environmental responsibilities.

(3). All other activities not related to construction or rehabilitation activities are categorically excluded under 24 CFR 50.19 (b)(1), (3), (5) 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.

### **Participation in a HUD-Sponsored Program Evaluation.**

As a condition of the receipt of financial assistance under a Program NOFA, all successful applicants will be required to cooperate with all HUD staff, contractors, or designated grantees performing research or evaluation studies funded by HUD.

### **OMB Administrative Requirements and Cost Principles.**

Unless excepted under 24 CFR chapters I through IX, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, set forth in 2 CFR part 200, shall apply to Federal Awards made by the Department of Housing and Urban Development to non-Federal entities.

### **Drug-Free Workplace.**

Applicants awarded funds from HUD are subject to 2 CFR part 2429, which implements the Drug-Free Workplace Act of 1988 (41 U.S.C. 701, et seq.), as amended, and required to provide a drug-free workplace. Compliance with this requirement means that the applicant will:

- a. Publish a statement notifying employees that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance in the applicant's workplace and such activities are prohibited. The statement must specify the actions that will be taken against employees for violation of this prohibition. The statement must also notify employees that, as a condition of employment under the federal award, they are required to abide by the terms of the statement and that each employee must agree to notify the employer in writing if the employee is convicted for a violation of a criminal drug statute occurring in the workplace, no later than 5 calendar days after such conviction.
- b. Establish an ongoing drug-free awareness program to inform employees about:
  - (1) The dangers of drug abuse in the workplace;
  - (2) The applicant's policy of maintaining a drug-free workplace;
  - (3) Available drug counseling, rehabilitation, or employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- c. Notify HUD and other federal agencies providing funding in writing within 10 calendar days after receiving notice from an employee of a drug abuse conviction or otherwise receiving actual notice of a drug abuse conviction. The notification must be provided in writing to HUD's Office of Strategic Planning and Management, Grants Management Division, Department of Housing and Urban Development, 451 7th Street, SW, Room 3156, Washington DC 20410-3000, along with the following information:
  - (1) The program title and award number for each HUD award covered;
  - (2) The HUD staff contact name, telephone and fax numbers;
  - (3) A grantee contact name, telephone and fax numbers; and
  - (4) The convicted employee's position and title.
- d. Require that each employee engaged in the performance of the federally funded award be given a copy of

the drug-free workplace statement required in item (a) above and notify the employee that one of the following actions will be taken against the employee within 30 calendar days of receiving notice of any drug abuse conviction:

- (1) Institution of a personnel action against the employee, up to and including termination consistent with requirements of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended; or
- (2) Imposition of a requirement that the employee participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

e. Identify to the agency making the award all known workplaces under the award. The workplace identification must include the actual address of buildings or other sites where work under the award will take place. The applicant must also inform the agency of any workplace changes during the performance of the award. The identification of the workplaces must occur either:

- (1) At the time of application or upon award; or
- (2) In documents the applicant keeps on file in its offices during performance of the award, in which case the applicant must make the information available for inspection upon request by the agency.

### **Safeguarding Resident/Client Files.**

In maintaining resident and client files, funding recipients shall comply with the Privacy Act of 1974 (Privacy Act), the agency rules and regulations issued under the Privacy Act, and observe state and local laws concerning the disclosure of records that pertain to individuals. Further, recipients are required to comply with the Privacy Act in the design, development, or operation of any system of records on individuals and take reasonable measures to ensure that resident and client files are safeguarded, including when reviewing, printing, or copying client files.

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

Prime Grant Awardee Reporting. Prime recipients of HUD's financial assistance are required to report certain subawards in the Federal Funding Accountability and Transparency Act Subaward System (FSRS) website located at [www.fsr.gov](http://www.fsr.gov) or its successor system for all prime awards listed on the FSRS website. Prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subaward recipients, including awards made as pass-through awards or awards to vendors. For reportable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information. The reporting of award and subaward information is in accordance with the requirements of the Transparency Act, as amended by section 6202 of Public Law 110-252, and by section 3 of Public Law 113-101.

## **C. Reporting.**

**1. Race and Ethnicity Data Reporting Form.** HUD requires grantees that provide HUD-funded program benefits to individuals or families to report data on the race and ethnicity of those individuals receiving such benefits. Grantees that provide benefits to individuals during the period of performance, whether directly or through subrecipients or contractors, must report the data using the Race and Ethnic Data Reporting Form found on Grants.gov. The form is a data collection based on the standards published by OMB on August 13, 2002.

2. Final budget and work plans are due 60 days after the start date.

3. 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 full application rating factor (5) (see section V.A.1.b.(5)).

4. 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 (see [https://www.whitehouse.gov/omb/grants\\_forms](https://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.

5. 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. See Section III.C.3.c of the FY 2016 General Section.

6. Transparency Act Reporting. Recipient Reporting to Meet the Requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 as amended should see Section VI.B.11 of the FY 2016 General Section.

7. 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 General Section may be issued when such regulations are promulgated. HUD anticipates that the terms and conditions to its FY 2016 awards will contain requirements related to meeting FFATA and Section 872 requirements.

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

9. Final Report: The cooperative agreement will specify the requirements for final reporting (e.g., final technical report and final project benchmarks and milestones achieved against the proposed benchmarks and milestones which were approved and incorporated into your cooperative agreement).

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

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

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII below.

#### **D. Debriefing.**

For a period of at least 120 days, beginning 30 days after the awards for a Program NOFA are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A request for debriefing must be made in writing or by email by the authorized official whose signature appears on the SF424 or by his or her successor in office, and be submitted to the person, organization, or email address identified as the contact under the section entitled Agency Contact(s) in the Program NOFA. 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 assistance was provided or denied.

#### **VII. Agency Contact(s).**

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications.

Questions regarding specific program requirements for this NOFA should be directed to the point of contact listed below.

Dr. J. Kofi Berko, Jr.

(202) 402-7696

[j.kofi.berko@hud.gov](mailto:j.kofi.berko@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.

## VIII. Other Information.

**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 Program NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

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 Funds Available web page at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

For programmatic questions on the Healthy Homes Technical Studies program, you may contact Dr. Peter Ashley, Office of Lead Hazard Control & Healthy Homes, at 202-402-7595 or via email at [Peter.J.Ashley@hud.gov](mailto:Peter.J.Ashley@hud.gov). For grants administrative questions, you may contact Ms. Nadine Heath, Office of Lead Hazard Control & Healthy Homes, at telephone 202- 402-7680 or via email at [Nadine.L.Heath@hud.gov](mailto:Nadine.L.Heath@hud.gov). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by calling the toll-free Federal Relay Service at 1-800-877-8339.

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 <http://www.hud.gov/offices/lead/>.

Appendices: Appendices A and B to this NOFA are available for downloading with the application at <http://www.Grants.gov>.

Applicants may use the checklist below as a guide when preparing your application package.

- (1) Applicant Abstract (limited to 2 pages)
- (2) Rating Factor Responses (Total narrative response limited to 25 pages.)
  - (a) Capacity of the Applicant and Relevant Organizational Experience (20 points)
  - (b) Need for the Research (20 points)
  - (c) Soundness of Approach (42 points)
  - (d) Leveraging Resources (6 points)
  - (e) Achieving Results and Project Management (12 points)
- (3) Required materials in response to rating factors (does not count towards 25-page limit)
  - (a) Resumes of Key Personnel (limited to 3 pages per resume; please do not include Social Security Numbers on resumes)
  - (b) Organizational Chart

(c) Letters of Commitment (if applicable) – Letters of commitment should include language defining the activities to be performed, the contributions to be made, and the monetary value of each. NOTE: HUD recommends against including letters of support that do not commit services, materials, or funds; they will not be considered in the evaluation of your application.

(d) Affirmatively Furthering Fair Housing Requirements (if applicable) – If the Affirmatively Furthering Fair Housing requirements apply to your proposed project as described in Section V.A.1, you must include the applicable narrative discussed in that section in your application; failure to comply will result in the loss of points.

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

## Appendix.

### APPENDIX A: Key Residential Health and Safety Hazards

The following briefly describes the residential health and injury hazards HUD considers key targets for intervention:

**1. Allergens and Asthma:** In 2007, the CDC estimated that over 25 million Americans have asthma with an associated annual cost of more than \$56 billion. Asthma is now recognized as the leading cause of school and work absences, emergency room visits, and hospitalizations. For sensitized children, exposure to allergens from dust mites, cats, mold, and cockroaches have been confirmed to cause exacerbation of asthma, with suggestive evidence that dust mite and cockroach allergen can also exacerbate asthma in children that are not sensitized to them. There is sufficient evidence that exposure to tobacco smoke and damp conditions can exacerbate asthma in children. A causal relationship has also been identified for exposure to some of these agents (e.g., cockroaches, cats) and exacerbation of asthma in adults (Kanchongkittiphon et al., 2015). A study of children with atopic (allergic) asthma from seven major U.S. cities reported that over half of the children were allergic to cockroach and dust mite allergens (approximately 70% and 63%, respectively), with approximately 50% of the children allergic to mold (Morgan et al. 2004). Significant fractions of children also tested positive for allergy to cat, rodent and dog allergens. This is consistent with other studies that have found that cockroach allergens tends to be the dominant allergen among asthmatic children living in the inner-city, whereas dust mite allergens appears to dominate among asthmatic children living in most suburban environments. While children are the population most at risk for developing asthma, there is a growing need to address the onset of new cases in older adults, and to examine how their risk factors might differ from those of children (Selgrade et al. 2006).

HUD-funded researchers reported a significant association between higher values of the Environmental Relative Moldiness Index (ERMI), a measure of mold exposure derived using DNA-based measurements of specific fungi in house dust samples, during the first year of life and the diagnosis of asthma at age seven (Reponen et al., 2011). In a follow-up paper, the researchers identified three specific mold species that were significantly associated with asthma development among the study cohort (Reponen et al., 2102).

Interventions known to have beneficial effects include the installation of impervious mattress and pillow covers, which can reduce dust mite allergen exposure by 90 percent. Other dust mite control measures include dehumidification, laundering bedding in hot water, specialized cleaning (dry steam or use of a HEPA vacuum), and removal of carpets and other materials that accumulate dust and are difficult to clean (e.g., dust sinks). Providing residents with education and instruction on cleaning with repeat visits by outreach workers has been shown to result in significant reduction in levels of dust mite and cockroach allergens in floor dust and significant reductions in asthma symptoms among children living in the intervention group when compared to the control group (Takaro et al. 2004; Morgan et al. 2004). Numerous studies employing community health workers to conduct home interventions have demonstrated improvements in children's asthma control (Breysse et al. 2013; Campbell et al. 2015;; Kapheim et al. 2015; Turcotte et al. 2014). CDC

health scientists in coordination with the Task Force on Community Preventive Services reviewed 20 studies in which multi-trigger, multicomponent, interventions were conducted in the homes of children and they reported reductions in symptoms, missed school days, and asthma acute care visits (Crocker et al., 2011). A separate analysis reported a positive return on investment for the interventions in these studies (Nurmagambetov et al., 2011).

Interventions emphasizing the mitigation of mold and moisture problems in the homes of asthmatic children have also been shown to be effective. In one HUD-supported study, asthmatic children living in homes in which nontrivial mold growth was identified, were randomized into two groups, with one group receiving interventions to address the residential mold/moisture problems. The remediation group showed statistically significant reductions in symptom days, symptom score, and the need for acute care (Kercsmar et al. 2006). The mean cost of home interventions was \$3,458 per home, including the cost of addressing lead-based paint hazards.

Moving families with an asthmatic child into new housing designed to reduce exposure to asthma triggers has also been shown to be effective. HUD-supported research conducted by Takaro et al. (2011) demonstrated improvements in asthma symptoms and other indicators for subjects who lived in asthma-friendly Breathe-Easy Homes in addition to receiving traditional in-home asthma education and outreach. Breathe-Easy Homes addressed multiple asthma triggers by incorporating comprehensive enhancements into the physical structure, including moisture-reduction features, low dust-generating and chemical-emitting finishes, and advanced fresh-air ventilation systems. The authors reported significant improvements in primary (e.g., symptom-free days, FEV1) and secondary (days rescue medicine used, nights with symptoms) outcomes among BEH occupants. Another HUD-funded study conducted in Boston public housing that was newly constructed or rehabbed using green construction methods (and incorporated green management approaches) also demonstrated improvements in children's asthma and in adult sick-building type symptoms (Colton et al. 2015).

**2. Asbestos:** Asbestos is a mineral fiber that has been used commonly in a variety of building construction materials and household products for insulation and as a fire-retardant. The Environmental Protection Agency (EPA) and the Consumer Product Safety Commission (CPSC) have banned most asbestos products. Manufacturers have also voluntarily limited uses of asbestos. Today, asbestos is most commonly found in older homes in pipe and furnace insulation materials, asbestos shingles, millboard, textured paints and other coating materials, and floor tiles. Elevated concentrations of airborne asbestos can occur when asbestos-containing materials (ACMs) are disturbed by cutting, sanding or other remodeling activities. Improper attempts to remove these materials can release asbestos fibers into the air in homes, increasing asbestos levels and endangering the people living in those homes. The most dangerous asbestos fibers are too small to be visible. After they are inhaled, they can remain and accumulate in the lungs. Asbestos can cause lung cancer, mesothelioma (a cancer of the chest and abdominal linings), and asbestosis (irreversible lung scarring that can be fatal). Most people with asbestos-related diseases were exposed to elevated concentrations on the job; some developed disease from exposure to clothing and equipment brought home from job sites. As with radon, dose-response extrapolations suggest that lower level exposures, as may occur when asbestos-containing building materials deteriorate or are disturbed, may also cause cancer. Intact asbestos-containing materials are not a hazard; they should be monitored for damage or deterioration and isolated if possible. Repair of damaged or deteriorating ACMs usually involves either sealing (encapsulation) or covering it (enclosure). Repair is usually cheaper than removal, but it may make later removal of asbestos more difficult and costly. Repairs should only be done by a trained professional certified to handle asbestos safely and can cost from a few hundred to a few thousand dollars; removal can be more expensive.

**3. Combustion Products of Heating and Cooking Appliances:** Burning of oil, natural gas, kerosene, and wood for heating or cooking purposes can release a variety of combustion products of health concern. Depending upon the fuel, these may include carbon monoxide (a chemical asphyxiant), oxides of nitrogen (respiratory irritants), polycyclic aromatic hydrocarbons (e.g., the carcinogen benzo[a]pyrene) and inhalable particulate matter (PM). Exposure to carbon monoxide, an odorless gas, can be fatal. Nitrogen dioxide can

irritate or damage the respiratory tract, and sulfur dioxide can irritate the eyes, nose and respiratory tract. Improper venting and poor maintenance of heating systems and cooking appliances can dramatically increase exposure to combustion products. As green construction and rehabilitation become more popular, and homes become increasingly airtight to improve energy efficiency, there are concerns about potential trade-offs in indoor air quality and resident health (Selgrade et al. 2006, Wilson et al. 2014). Experts recommend having combustion heating systems inspected by a trained professional every year to identify blocked openings to flues and chimneys, cracked or disconnected flue pipes, dirty filters, rust or cracks in the heat exchanger, soot or creosote build-up, and exhaust or gas odors. Also installing a carbon monoxide detector is recommended; however, such a detector will not detect other combustion by-products.

Replacing unvented gas stoves with electric stoves or placement of air purifiers with HEPA and carbon filters can decrease indoor NO<sub>2</sub> concentrations in urban homes. In a HUD-funded study, Paulin et al. (2013) conducted a randomized trial to evaluate the efficacy of interventions aimed at reducing indoor NO<sub>2</sub> concentrations in homes with unvented gas stoves by replacing existing gas stoves with electric stoves, installing ventilation hoods over existing gas stoves and placing air purifiers with High-Efficiency Particulate Air (HEPA) and carbon filters in homes in low income communities in Baltimore, MD and monitored over a three month period. Stove replacement resulted in a 51% and 42% decrease in median NO<sub>2</sub> concentration in the kitchen and bedroom respectively (p=0.01, p=0.01); air purifier placement resulted in an immediate decrease in median NO<sub>2</sub> concentration in the kitchen (27%, p<0.01) and bedroom (22%, p=0.02), but a significant reduction was seen after three months only in the kitchen (20%, p=0.05). Ventilation hood installation did not significantly change median NO<sub>2</sub> concentrations in either the kitchen or bedroom. Colton et. al. (2014) reported significant reductions in NO<sub>2</sub> in public housing apartments that were rehabbed using green methods, including replacing gas with electric stoves, compared with conventional units.

**4. Environmental Tobacco Smoke (ETS):** ETS (also known as secondhand smoke) results from the combustion of tobacco products and exhalation of inhaled tobacco smoke by active smokers. Tobacco smoke contains as many as 7000 individual compounds, including formaldehyde, carbon monoxide, nicotine, nitrosamines and polyaromatic hydrocarbons, with nearly 70 compounds identified as carcinogens (US DHHS, 2010; IARC, 2004). Exposure to ETS has been associated with numerous adverse health effects, including multiple types of cancer, coronary heart disease, asthma, respiratory tract infections and others. Additionally, exposure to ETS has been estimated to cause approximately 50,000 excess deaths annually in the U.S., including sudden infant death syndrome (Cal EPA, 2005). Children are particularly vulnerable to the effects of ETS. The U.S. Surgeon Generals' office reported that approximately 22 million children may be exposed to ETS in the U.S. (US DHHS, 2006). Exposure to ETS can be a problem even in rooms or units where smoking does not occur. Van Deusen et al. (2009) reported that levels of particulate matter (an indicator of tobacco smoke) were elevated in rooms within a home that were distant from the primary room where smoking occurred. In addition, ETS also migrates between units in multi-unit buildings. Kraev et al. (2009), measured nicotine in air and air exchange rates in individual units of a lower-income multi-unit building in the Boston area and found measurable levels of nicotine in units where no smoking occurred; King et al. (2010) reported similar results in nonsmoking units and hallways as part of a study in Buffalo. Wilson et al. (2011) analyzed measurements of cotinine exposure in children (an indicator of ETS exposure) and found that those living in multifamily housing had higher levels than children in detached housing, indicating the contribution from ETS migrating between units of multifamily housing.

**5. Green Construction and Energy Upgrades:** Green building and design standards are being incorporated into housing construction and rehab specifications with increasing frequency. The use of green standards has been primarily driven by the efficiency gains and the resulting reductions in cost of energy and water usage. The potential impact of green standards on indoor environmental quality and health has mainly been based on the expectation that green features and management practices would reduce exposure to allergens and toxic substances within the home (e.g., improved indoor air quality, use of integrated pest management). Some recent studies have shown a positive correlation between green construction/weatherization and improved health of residents. A HUD-funded study demonstrated benefits to indoor air quality and resident health in green vs. conventional low-income housing. The researchers reported 57%, 65%, and 93% lower

concentrations of PM<sub>2.5</sub>, NO<sub>2</sub>, and nicotine, respectively, in green vs control homes, as well as fewer reports of mold, pests, inadequate ventilation, and stuffiness (Colton et al. 2014). They further reported that asthmatic children living in green homes experienced fewer asthma symptoms, asthma attacks and asthma-related school absences when compared to those in conventional housing (Colton et al., 2015). In another HUD-funded study, Breyse et al. 2013 reported decreases in the overall number of children with poorly controlled asthma when combining weatherization and healthy homes interventions.

**6. Infiltration of Ambient Pollutants:** Personal exposure to airborne contaminants is a function of indoor and outdoor exposures. For people living in areas that are near roadways or a point source generating hazardous pollutants, for example, the infiltration of ambient pollutants has the potential to dominate personal exposures. Logue et al. (2010, 2011) identified a number of pollutants that present significant health risks in indoor environments; however, many of those pollutants are found also in the ambient environment suggesting infiltration of ambient air pollution may be of concern when identifying exposure risks to occupants of a home. Meng et al. (2005) reported in the Relationships of Indoor, Outdoor, and Personal Air (RIOPA) study across three U.S. cities that approximately 60% of indoor PM<sub>2.5</sub> originated from the outdoors. Allen et al. (2012) identified the frequency of air conditioner use and the opening of windows as predictors of ambient pollution infiltration during the summer months, while temperature and the use of forced air heat were predictors during winter months. Studies on practical control technologies and to reduce the infiltration of outdoor air pollutants into homes are needed.

**7. Insect and Rodent Pests:** The observed association between exposure to cockroach allergen and asthma severity has already been noted above. In addition, cockroaches may act as vehicles to contaminate environmental surfaces with certain pathogenic organisms. Rodents can transmit a number of communicable diseases to humans, either through bites, arthropod vectors, or exposure to aerosolized excreta. Humans can become sensitized to proteins in rodent urine, dander and saliva. Such sensitization may contribute to asthma severity among sensitized individuals. Insect and rodent infestations are frequently associated with substandard housing that makes them difficult to eliminate. Even though studies have shown that bedbugs do not transmit any human diseases, CDC, EPA and USDA have declared bedbugs as pest of significant public health importance. Research indicates that the presence of bedbugs and their bites can result in adverse physical and mental health effects (e.g., infections, anxiety, and insomnia) as well as economic consequences. These include allergic reactions to their bites, secondary infections and expensive control measures and therefore have to be treated. However, the treatment of rodent and insect infestations often includes the use of toxic pesticides that may present hazards to occupants (see below). A HUD-funded study demonstrated that the use of an integrated pest management (IPM) approach resulted in significant reduction in cockroaches in heavily infested public housing (Wang et al. 2009). The use of IPM for pest control is recommended by federal agencies, including the U.S. EPA, HUD, and the CDC because it minimizes the use of toxic pesticides and instead emphasizes environmental controls such as elimination of harborages and removing access to food and water. This recommendation was recently confirmed by an expert panel that systematically reviewed the literature on this topic (Sandel et al., 2010). According to the expert panel, sufficient evidence was available to support the implementation of an IPM approach as a way of reducing pesticide residues in the home.

**8. Lead Hazards:** Exposure to lead, especially from deteriorating lead-based paint, remains one of the most important and best-studied of the household environmental hazards to children. Although blood lead levels (BLLs) have fallen nationally, a large reservoir of lead remains in housing. Recent results from CDC's Fourth National Health and Nutrition Examination Survey (NHANES 2002) demonstrate that the national geometric mean blood lead concentration of children aged 1-5 years has decreased from 2.3 g/dL in 1991 to 1.6 g/dL in the period 1999-2002 (CDC 2005). During the 1999-2002 survey period, children aged 1-5 years had the highest prevalence of elevated BLLs (1.6%), so that approximately 310,000 children aged 1-5 years remained at risk for exposure to harmful lead levels. Overall, by race/ethnicity, non-Hispanic blacks and Mexican Americans had higher percentages of elevated BLLs (1.4% and 1.5%, respectively) than non-Hispanic whites (0.5%). Among subpopulations, non-Hispanic blacks aged 1-5 years and aged >60 years had the highest prevalence of elevated BLLs (3.1% and 3.4%, respectively). As BLLs have dropped



over the years, recent analyses have examined the relationship between relatively low blood lead concentrations (<10g/dL) and cognitive functioning in representative samples of U.S. children and adolescents, and have found evidence that suggests that deficits in cognitive and academic skills associated with lead exposure have no threshold (Lanphear et al., 2000; Canfield et al., 2003). These findings clearly support the importance of primary prevention with respect to childhood lead exposure. Despite dramatic reductions in blood lead levels over the past 15 years, lead poisoning continues to be a significant health risk for young children.

Based on results from the HUD funded American Healthy Homes Survey (Dewalt, 2015), it is estimated that approximately 35 percent of housing units (37 million) in the United States contain lead-based paint. It is further estimated that 23 percent of the nation's housing stock (22 million housing units) have one or more significant lead-based paint hazards (i.e., deteriorated lead-based paint, lead-contaminated dust, or lead-contaminated soil). 1.1 million housing units were found to pose the highest risk of lead poisoning because they housed low-income families with children less than six years of age. Among HUD grantees, lead hazard control (LHC) costs tend to range from \$500 to \$15,000 per unit, with a median cost of \$5,960. Corrective measures include paint stabilization, enclosure and removal of certain building components coated with lead paint, cleanup and 'clearance testing,' which ensures the unit is safe for young children. In addition, acute injuries to children have been well documented, most notably in instances involving sanding or stripping of lead-based paint or visible deterioration of lead-based painted residential building components combined with children who exhibit pica tendencies.

Evaluation of lead hazard control interventions conducted by recipients of HUD's lead hazard control grants found that interventions were effective in significantly reducing pre-intervention dust-lead levels on floors and window surfaces up to six years following intervention (Wilson et al. 2006). More intensive treatments were found to significantly reduce dust lead loadings on window sills and troughs compared to lower level treatments, however, no significant differences in dust-lead loadings on floors were reported. Sandel et al. (2010) confirmed these general findings, citing that lead hazard control interventions were effective in reducing exposures to lead exposures. The authors concluded that the evidence was sufficient to promote lead hazard control interventions as a means of reducing lead exposure and associated health effects, particularly in children. In a HUD-funded follow-up study of residential window replacement and lead hazard control after homes were enrolled in an evaluation of the HUD Lead Hazard Control Grant Program, Dixon, et al. 2012, reported that 12 years after intervention, homes with all replacement windows had significantly lower interior floor dust-lead and sill-lead levels compared to homes with partial window replacement. Wilson, et al. 2015 reported on the importance of including porches in the evaluation and control of lead-based paint hazards. The study demonstrated significant reductions in porch dust-lead levels following floor replacement or paint stabilization.

Drinking water can also be an important source of lead exposure. Lead can leach from brass fixtures into water as well as from lead solder used in interior plumbing. Also, some older homes in the U.S. have lead supply lines connecting the home to the larger public water supply line. Lead leaching from supply lines can be mitigated through treatment of the water using chemical agents at water treatment plants. Lead exposure from inadequate water treatment was documented among children living in Flint, Michigan in 2015 (Hanna-Attisha et al., 2016).

**9. Mold and Moisture:** An analysis of several pulmonary disease studies estimates that 25 percent of airways disease, and 60 percent of interstitial lung disease may be associated with moisture in the home or work environment. Moisture is a precursor to the growth of mold and other biological agents, which is also associated with respiratory symptoms. An investigation of a cluster of pulmonary hemosiderosis (PH) cases in infants showed PH was associated with a history of recent water damage to homes and with levels of the mold *Stachybotrys atra* (SA) in air and cultured surface samples, although this association could not be considered a causal relationship. Associations between exposure to SA and 'sick building' symptoms in adults have also been observed. Other related toxigenic fungi have been found in association with SA-associated illness and could play a role. For sensitive individuals, exposure to a wide variety of common molds may

also aggravate asthma. A review by an expert committee convened by the Institute of Medicine found sufficient evidence for an association between exposure to mold and other agents in damp indoor environments and asthma symptoms in sensitized persons, upper respiratory tract symptoms, cough, and wheeze (IOM 2004). The committee also found limited or suggestive evidence for an association between damp indoor environments and the development of asthma. A HUD-funded study reported three mold species common to water damaged buildings, *Aspergillus ochraceus*, *Aspergillus unguis*, and *Penicillium variable*, when measured in house dust during the first year of life, were significantly associated with the development of asthma in children at age 7 (Reponen et al. 2012; Reponen et al. 2013).

Addressing mold problems in housing requires coordination among the medical, public health, microbiological, housing, and building science communities. Krieger et al. (2010) report that an expert panel review of relevant literature on this topic found that a combined approach of eliminating active leaks and moisture intrusion into the home while also removing moldy items already in place was an effective intervention strategy for reducing exposure to mold and associated respiratory health effects. The panel concluded that there was sufficient evidence to support implementation of a coordinated intervention strategy for mold and moisture problems. The cost of mold/moisture-related intervention work (e.g., IPM, clean and tune furnace, remove debris, vent clothes dryer, cover dirt floor with impermeable vapor barrier) is a few hundred dollars, unless major modification of the ventilation system or structural repairs is needed. For example, in Cleveland, mold interventions, including repairs to ventilation systems and basement flooring, in the most heavily contaminated homes range from \$500 to \$5,000, with some costs also being dedicated to LHC simultaneously through its lead and asthma program.

**10. Pesticide Residues:** According to the EPA, 75 percent of U.S. households used at least one pesticide product indoors during the past year. Products used most often are insecticides and disinfectants. Another study suggests that 80 percent of most people's exposure to pesticides occurs indoors and that measurable levels of up to a dozen pesticides have been found in the air inside homes. The amount of pesticides found in homes appears to be greater than can be explained by recent pesticide use in those households; other possible sources include contaminated soil or dust that migrates in from outside, stored pesticide containers, and household surfaces that collect and then release the pesticides. Pesticides used in and around the home include products to control insects (insecticides), termites (termiteicides), rodents (rodenticides), molds and fungi (fungicides), and microbes (disinfectants). In 2005, the American Association of Poison Control Centers reported that some 1.6 million children were involved in common household pesticide poisonings or exposures (AAPCC 2005). In households with children less than five years of age, almost half stored at least one pesticide product within the reach of children. Exposure to high levels of cyclodiene pesticides, commonly associated with misapplication, has produced various symptoms, including headaches, dizziness, muscle twitching, weakness, tingling sensations, and nausea. In addition, the EPA is concerned that cyclodienes might cause long-term damage to the liver and the central nervous system, as well as an increased risk of cancer. A recent expert panel review (Sandel et al., 2010) found that implementation of an integrated pest management approach was an effective intervention for reducing pesticide residues in the home and should be implemented in lieu of pesticide application for reducing pests. Furthermore there is evidence to suggest that the usage of insecticides for combating bed bugs is becoming increasingly ineffective due to the development of resistance to pyrethroids, the active ingredient (Adelman et al, 2011).

**11. Radon:** The National Academy of Sciences estimates that approximately 15,000 cases of lung cancer per year are related to radon exposure. Epidemiologic studies of miners exposed to high levels of radon in inhaled air have defined the dose response relation for radon-induced lung cancer at high exposure levels. Extrapolation of these data has been used to estimate the excess risk of lung cancer attributable to exposure to radon gas at the lower levels found in homes. These estimates indicate that radon gas is an important cause of lung cancer deaths in the U.S. Excessive exposures are typically related to home ventilation, structural integrity and location. Radon measurement and remediation methods are well developed, and the EPA recommends that every home be measured for radon. Sandel et al. (2010) conducted a review of the literature and concluded that active soil depressurization beneath the foundation of the structure was an effective method for reducing radon exposures in the home. EPA estimates that materials and labor costs for

radon reduction in an existing home are \$800-\$2,500. Including radon resistant techniques in new home construction costs \$350-\$500, and can save up to \$65 annually in energy costs, according to the EPA. In 2013 The American Association of Radon Scientist (AARST) published standard protocols for the testing and mitigation of radon hazards in single and multifamily housing (ANSI/AARST RMS-13, MAH 2014).

**12. Semi-Volatile Organic Compounds (SVOCs):** Several SVOCs are emerging as potential health risks in the home due to their ubiquitous nature in consumer and building products that are produced in high volume and used worldwide. SVOCs exist partially in the gas-phase and emit their respective chemical gradually over time, particularly in the presence of increased temperatures. Two compounds of increasing concern are phthalates and polybrominated diphenyl ethers (PBDE). During recent years, phthalate and PBDE compounds have received increased scrutiny due to their potential cumulative health risks and increased use in consumer products. PBDE are found in flame retardants, plasticizers, and flexible foams, and may also be found in children's products. Phthalates are used as plasticizers and are most notable for their use in children's products, such as teething rings, food contact items and other flexible polyvinyl chloride (PVC)-based products. The health effect most widely associated with phthalates exposures are reproductive effects, while PBDE have shown toxicity potential in liver, thyroid and neurodevelopment systems. Exposure to phthalates may occur via many different routes; inhalation, ingestion, water and soil. It may occur in various environments from the home to the workplace. Children are reported to have the highest exposures to phthalates among all age groups (CDC, 2005), along with lower socioeconomic status households (Zota et al., 2008). Both phthalates and PBDE have been found in house dust; exposure to dust has been reported as the primary route of exposure for PBDE (Wilford et al., 2005; Zota et al., 2008). The presence of both phthalates and PBDE in house dust presents potential risks particularly to young children. Several house characteristics, including older age of house, water leakage and use of PVC in flooring materials, have been identified as significant indicators for potential phthalates exposures (Bornehag et al., 2005). The increased concern over phthalates and PBDE has led to increased regulatory scrutiny. In 2008, the U.S. Consumer Product Safety Commission issued a prohibition on the use of several phthalate compounds above threshold levels in children's toys and items used for childcare. Furthermore, PBDE have been banned at the state level, including in California and Washington.

**13. Third Hand Smoke (THS):** Adverse health effects from exposure to active smoking and passive smoking (ETS or Second-Hand Smoke (SHS)) are well documented. Tobacco smoke contains as many as 7000 individual compounds, including formaldehyde, carbon monoxide, nicotine, nitrosamines and polyaromatic hydrocarbons, with nearly 70 compounds identified as carcinogens (US DHHS, 2010; IARC, 2004). THS refers to residual pollutants originating from tobacco smoke that persist in dust and adsorb onto surfaces, ultimately re-emitting pollutants into the gaseous phase over time after the smoke has dissipated (Hoh et al., 2012). Pollutants that are re-emitted also have the potential to interact with the local atmosphere resulting in physical and chemical transformation of original contaminants into secondary pollutants, some of which may be more hazardous than the original pollutant (Matt et al., 2011). HUD-funded research also found that the presence of smokers in a home was a significant predictor of both children's blood-lead levels and surface dust-lead loading (Dixon et al., 2009; Gaitens et al., 2009). Exposure to THS occurs most often by inhalation, but may also occur through ingestion of contaminated dust, or through dermal contact with surfaces that have residual contamination. While this is an emerging area of research with relatively sparse information to date, there is initial evidence to suggest that THS may be a concern, particularly for children who have a higher frequency of hand-to-mouth activity that might increase their exposure by ingestion and dermal routes, in addition to inhalation. Matt et al. (2010) reported that THS residue persisted in homes even after they had been cleaned and prepared for the next tenant.

**14. Unintentional Injuries/Fire:** In 1997, nearly 7 million persons in the U.S. were disabled for at least one full day by unintentional injuries received at home; for children younger than 15 years of age, unintentional injury is now the leading cause of death and disability. A HUD-supported study of deaths among US children and adolescents from 1985 to 1997 found that an average of 2,822 unintentional deaths occurred annually from residential injuries (Nagaraja et al., 2005). The highest death rates were attributable to fires, submersion or suffocation, and poisoning. Black children were two times more likely to die from residential

injuries than white children. The elderly are also at an elevated risk for residential injuries. Home visitation protocols have been shown to be effective in reducing exposure to injury hazards. The 'add-on' cost of injury prevention measures, when combined with other housing interventions are estimated at about \$100 per unit. This includes the cost of some injury prevention devices (e.g., smoke alarms, electrical socket covers, etc.). DiGuseppi et al. (2010) reported on an expert panel review of seventeen interventions intended to reduce injuries due to residential deficiencies. Installed and properly working smoke detectors were determined to be an effective intervention that should be implemented for reducing fire-related injuries. This panel deemed four-sided pool enclosures efficacious and pre-set safe hot waters heaters sufficient for reducing residential-based injuries.

## **APPENDIX B: Relevant Publications, Guidelines and Other Resources**

The sources below are provided for informational purposes only. By inclusion in this Appendix, HUD is not necessarily endorsing any of the research, findings, or policies. To secure any of the documents listed, call the telephone number provided. If you are a hearing-or speech-impaired person, you may reach the telephone numbers through TTY by calling the toll-free Federal Relay Service at 800-877-8339. A number of these references are provided on HUD's CD, Residential Lead Desktop Reference, 3rd Edition. Several of these references can be downloaded from the Internet without charge from the HUD Office of Lead Hazard Control and Healthy Homes Internet site, [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead).

### **1. REGULATIONS:**

**a. Worker Protection:** Occupational Safety and Health Administration (OSHA) publications listed below can be purchased by calling either OSHA Regulations at 202-693-1888 (OSHA Regulations) (this is not a toll-free number) or the Government Printing Office (GPO) at 202-512-1800 (this is not a toll-free number). OSHA standards and other publications can be downloaded or purchased (as applicable) from OSHA's publication web page, <http://www.osha.gov/pls/publications/pubindex.list>. A broad range of information on construction and other worker protection requirements and guidelines is available from OSHA's home page, <http://www.osha.gov/> and from <http://www.osha.gov/SLTC/lead/>.

**b. Waste Disposal:** A copy of the EPA regulations at 40 CFR parts 260-268 can be purchased by calling 800-424-9346, or, from the Washington, DC, metropolitan area, 703-412-9810 (this is not a toll-free number). The regulations can also be downloaded without charge from the EPA website at <http://www.epa.gov/lead/pubs/fslbp.htm>.

#### **c. Lead:**

i. Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities; Final Rule: 40 CFR part 745 (EPA) (Lead Hazard Standards, Work Practice Standards, EPA and State Certification and Accreditation Programs for those engaged in lead-based paint activities) can be purchased by calling the Toxic Substances Control Act (TSCA) Assistance Service at 202-554-1404 (this is not a toll-free number). The rule and guidance can be downloaded from the Internet without charge at <http://www.epa.gov/lead/pubs/leadcert.htm>.

ii. Requirements for Notification, Evaluation and Reduction of Lead-Based Paint Hazards in Federally Owned Residential Property and Housing Receiving Federal Assistance; Final Rule: 24 CFR part 35, subparts B through R, published September 15, 1999 (64 FR 50201) (HUD) can be purchased by calling the NLIC's toll-free number (800-424-LEAD) or downloaded without charge from the HUD website at <http://www.hud.gov/offices/lead/library/enforcement/LSHRFinal21June04.pdf>.

iii. Requirements for Disclosure of Information Concerning Lead-Based Paint in Housing, 24 CFR Part 35, Subpart A (HUD, Lead-Based Paint Disclosure Rule) by calling the NLIC's toll-free number (800-424-LEAD). The rule, guidance, pamphlet and disclosure formats can be downloaded from the HUD website at [http://www.hud.gov/offices/lead/library/enforcement/24CFR35\\_Subpart](http://www.hud.gov/offices/lead/library/enforcement/24CFR35_Subpart)

[A.pdf](#).

iv. U.S. Environmental Protection Agency. Lead; Identification of Dangerous Levels of Lead; Final Rule at 66 FR 1205-1240 (January 5, 2001). This rule and guidance can be obtained without charge by calling the NLICs toll-free number (800-424-LEAD) or by calling the TSCA Assistance Service at: 202-554-1404 (this is not a toll-free number). The rule and guidance can be downloaded from the EPA website at <http://www.epa.gov/lead/pubs/leadhaz.htm>.

v. U.S. Environmental Protection Agency. Lead; Renovation, Repair, and Painting Program; Final Rule at 73 FR 21692- 21769 (April 22, 2008). As of April 22, 2011, the rule was fully implemented. This rule and guidance can be obtained without charge by calling the NLIC's toll-free number (800-424-LEAD) or by calling the TSCA Assistance Service at: 202- 554-1404 (this is not a toll-free number). The rule and guidance can be downloaded from the EPA website at <http://www.epa.gov/lead/pubs/renovation.htm>.

## 2. GUIDELINES AND OTHER RESOURCES:

### a. Lead

Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD. The Guidelines can be downloaded from the HUD website without charge at <http://www.hud.gov/offices/lead/lbp/hudguidelines/index.cfm>.

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 <http://www.cdc.gov/nceh/lead/publications/PrevLeadPoisoning.pdf>.

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 <http://www.cdc.gov/nceh/lead/publications/screening.htm>.

### b. Green Building

American Lung Association of the Upper Midwest. Health House Builder Guidelines. Available: <http://www.healthhouse.org/build/2008HHbuilderguidelines.pdf>.

U.S. Department of Energy. Builders Challenge: Requirements for Builders. Available: <http://www1.eere.energy.gov/buildings/challenge/requirements.html>.

Enterprise Community Partners. Green Communities Criteria. Available at: <http://www.greencommunitiesonline.org/>.

National Association of Home Builders. Green Building Program. Available: <http://www.nahbgreen.org/>.

U.S. Environmental Protection Agency. Indoor air PLUS Program. Available: <http://www.epa.gov/indoorairplus/>.

U.S. Green Building Council. LEED for Homes. Available: <http://www.usgbc.org/DisplayPage.aspx?CMSPageID=147>.

### c. IPM

IPM: A Guide for Affordable Housing: <http://www.stoppests.org/what-is-ipm/guide/>

### d. Bed Bugs

Draft Federal Bed Bug Strategy developed by the Federal Bed Bug Work Group: <http://www.regulations>

### 3. REPORTS:

#### a. Lead

Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing, (Summary and Full Report); HUD, July 1995. A copy of this summary and report can be purchased by calling 800-245-2691 toll free or downloaded from <http://archives.hud.gov/funding/2005/appendices/appendixc-hhd.doc>.

President's Task Force on Environmental Health Risks and Safety Risks to Children. Asthma and The Environment: An Action Plan to Protect Children. Washington, DC 1999.

Preventing Lead Poisoning in Young Children, A Statement by the Centers for Disease Control and Prevention, Atlanta, GA, August, 2005. This can be downloaded from the Internet without charge at <http://www.cdc.gov/nceh/lead/publications/prevleadpoisoning.pdf>.

#### b. Healthy Homes

Healthy Housing Reference Manual; HUD/CDC, 2006. A copy of this manual can be downloaded from the CDC website without charge at <http://www.cdc.gov/nceh/publications/books/housing/housing.htm>.

The Healthy Homes Initiative: A Preliminary Plan (Summary and Full Report); HUD, July 1995. A copy of this summary and report can be downloaded from the HUD website without charge at [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead).

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U.S. Environmental Protection Agency. 2009. Phthalates Action Plan. [http://www.epa.gov/oppt/existingchemicals/pubs/actionplans/phthalates\\_ap\\_2009\\_1230\\_final.pdf](http://www.epa.gov/oppt/existingchemicals/pubs/actionplans/phthalates_ap_2009_1230_final.pdf). Accessed August 4, 2011.

California Environmental Protection Agency. 2005. Proposed Identification of Environmental Tobacco Smoke as a Toxic Air Contaminant. Part B: Health Effects. Sacramento

(CA): California Environmental Protection Agency, Office of Environmental Health Hazard Assessment.

CDC. 2005. Centers for Disease Control and Prevention. Third National Report on Human Exposure to Environmental Chemicals. <http://www.cdc.gov/exposurereport> July 2005.

International Agency for Research on Cancer. IARC Monographs on the Evaluation of Carcinogenic Risks to Humans: Tobacco Smoke and Involuntary Smoking. Vol. 83. Lyon (France): International Agency for Research on Cancer, 2004.

#### 4. PAPERS

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