

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**  
**[Docket No. FR-5500-N-03]**  
**Notice of Funding Availability for HUD's Fiscal Year 2011**  
**Healthy Homes Production Program**

**AGENCY:** Office of the Secretary-Office of Healthy Homes and Lead Hazard Control, HUD.

**ACTION:** Notice of Funding Availability (NOFA) for HUD's Fiscal Year (FY) 2011 Healthy Homes Production Program.

**SUMMARY:** Today's posting provides information and instructions for the FY2011 Healthy Homes Production (HHP) Grant Program subject to Congress appropriating funding for this programs. This Notice is comprised of both the Notice of HUD's Fiscal Year (FY) 2011 Notice of Funding Availability (NOFA), Policy Requirements and General Section (General Section) to HUD's FY2011 NOFAs for Discretionary Programs, posted on [www.Grants.gov](http://www.Grants.gov) on April 4, 2011, and this program section to the NOFA. Because FY2011 full-year funding has not been appropriated for this program, the availability of any such funding for these programs is contingent upon future Congressional action.

The Healthy Homes Production Program is authorized under Section 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. § 1701z-2). HUD's FY2011 Notice of Funding Availability Policy Requirements and **General Section** posted to [www.Grants.gov](http://www.Grants.gov) on April 4, 2011, establish threshold and other critical application submission requirements for this NOFA. Applications shall be submitted to [Grants.gov](http://Grants.gov) in accordance with the procedures outlined in the **General Section** and this NOFA.

**FOR FURTHER INFORMATION CONTACT:** Questions regarding specific program requirements should be directed to the agency contact identified in this program NOFA. Questions regarding the FY2011 **General Section** should be directed to the Office of Departmental Grants Management and Oversight (ODGMO) at 202-708-0667 (this is not a toll-free number) or the NOFA Information Center at 1-800-HUD-8929 (toll-free). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339. The NOFA Information Center is open between the hours of 10:00 a.m. and 6:30 p.m. eastern time, Monday through Friday, except federal holidays.

### **Overview Information**

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

**B. Funding Opportunity Title:** Healthy Homes Production Program.

**C. Announcement Type:** Initial announcement.

**D. Funding Opportunity Number:** FR-5500-N-03, OMB Paperwork approval number 2539-0015.

**E. Catalog of Federal Domestic Assistance (CFDA) Number(s):** 14.913, Healthy Homes Production Program.

**F. Application Receipt**

The deadline for receipt of the application by [Grants.gov](http://Grants.gov) is 11:59:59 PM eastern time **June 9, 2011**. Only one application will be accepted from any given organization under this NOFA. If more than one application is received from an organization, the application that was received last by [Grants.gov](http://Grants.gov) before the deadline will be considered for funding. HUD may modify the due date for this Notice to the extent a final appropriations bill for FY2011 is enacted. HUD will issue a technical correction to this NOFA if appropriations are enacted that require HUD to modify the funding criteria or application requirements, or if HUD determines that adjustments to estimated award amounts or timelines are necessary. Any such technical correction will provide detailed instructions for applicants to permit them to resubmit the application to address the revised NOFA requirements.

2. Applicants are encouraged to submit their application early to HUD. Applicants should be prepared for unexpected delays when submitting their applications to [Grants.gov](http://Grants.gov).
3. See the FY2011 **General Section** and Section IV of this NOFA for important information regarding timely receipt of the application.

**G. Additional Information**

1. Purpose: The purpose of the Healthy Homes Production Grant Program is to identify and correct significant housing-related health and safety hazards in privately owned, low-income rental or owner occupied housing.
2. Available Funding: The available funding is subject to enactment of the FY2011 HUD appropriations.
3. Anticipated Awards: The exact number of awards to be made would not be known until any final appropriations are enacted. Period of performance is 36 months.
4. Type of Awards: Grants
5. Eligible Applicants:
  - a. States, Native American Tribes, cities, counties/parishes, or other units of local government. Multiple units of a local government (or multiple local governments) may apply as a consortium; however, a principal (lead) applicant must be identified that will be responsible for ensuring compliance with all requirements specified in this NOFA. If you are a housing agency, community development corporation or redevelopment authority, or any other entity that is not the executive office or a department of a Native American Tribe, state, city, county/parish, or other unit of local government, you must identify the government unit of which you are a part, and submit for review with your application the specific statutory authority and other documents

to demonstrate that you are a part of that government, rather than a separate entity. A document publicly posted on the Internet (i.e., without a password or encryption) may be submitted by providing the title and the web address (URL) in place of a scanned version of the document.

b. Non-profits with 501(c)(3) status located in the U.S.

c. Academic institutions located in the U.S.

6. Ineligible Applicants: Those not eligible to apply:

a. If you received an award under the FY2010 NOFA cycle for the Healthy Homes Production program. However, since the City of New London, Connecticut, received a partial award, the same applicant would be eligible to apply under this NOFA.

b. Applicants that have been designated as high risk for any of their existing OHHLHC grants or subgrants at the submission deadline.

c. Applicants that have a “Red” performance designation from the OHHLHC for any of their existing OHHLHC grant(s) for the two previous consecutive quarters ending on or before the submission deadline.

d. Individuals.

e. Non-profits that do not have a current 501(c)(3) status.

f. Public Housing Agencies are not eligible to apply.

7. Match: A minimum match of 10% of the Federal funds requested is required for all applicants. See Match Requirements and Costs Chart in Section III.B, Cost Sharing or Matching.

8. If you are awarded both a grant under this NOFA and a grant under the Lead-Based Paint Hazard Control (LBPHC) Grant Program, the additional funds to assist in the promotion and development of healthy homes programs will not be included as part of the award under the LBPHC Grant Program.

9. Information on Application: Applications for this NOFA can be found at [Grants.gov](http://Grants.gov). The FY2011 **General Section** contains information about [Grants.gov](http://Grants.gov) registration, submission requirements, and submission procedures.

## **FULL TEXT OF ANNOUNCEMENT:**

### **I. Funding Opportunity Description**

#### **A. Purpose of the Program.**

1. The Healthy Homes Production Program (HHP) is part of HUD's overall Healthy Homes Initiative launched in 1999. The program takes a comprehensive approach to addressing multiple childhood diseases and injuries in the home by focusing on housing-related hazards in a coordinated fashion, rather than addressing a single hazard at a time. The program builds upon HUD's successful Lead Hazard Control programs to expand the Department's efforts to address a variety of high-priority environmental health and safety hazards.

On June 9, 2009, HUD announced its "Healthy Homes Strategic Plan" to focus the Department's efforts towards providing healthy homes for all Americans. The announcement was made in conjunction with the Surgeon General's "Call to Action to Promote Healthy Homes". HUD, CDC, and the Surgeon General committed to advance efforts to address housing-related health hazards confronting families. The Plan is available at [http://www.hud.gov/offices/lead/library/hhi/hh\\_strategic\\_plan.pdf](http://www.hud.gov/offices/lead/library/hhi/hh_strategic_plan.pdf); both the Plan and the Call to Action are available at <http://www.hud.gov/offices/healthyhomes>.

In addition to deficiencies in dwellings that may affect health and safety, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new, and often more subtle, health and safety hazards in the residential environment. While health and safety hazards tend to be found disproportionately in housing that is substandard overall, they also exist in housing that is otherwise of good quality. See Appendix A, Key Residential Health and Injury Hazards, for a brief description of the housing-associated environmental health and injury hazards that HUD considers as key targets for remediation. The website <http://www.hud.gov/offices/lead/hhi/index.cfm> lists some of the references that serve as the basis for information provided above.

2. HUD is especially interested in funding projects that integrate healthy homes principles and practices into existing housing rehabilitation, property maintenance, weatherization, energy efficiency improvements, and other housing improvement programs.

3. HUD considers it important for grantees to incorporate meaningful community participation, including from community-based foundations and philanthropic organizations, to the greatest extent possible, in the development and implementation of programs that are conducted in communities and/or involve significant interaction with community residents. Community participation that includes community-based foundations, philanthropic organizations and other community grassroots, nonprofit, and faith-based organizations, can improve project effectiveness in various ways, including the development of more salient program objectives, recruitment and retention of project participants, improving participants' understanding of the program, ensuring ongoing communication of residents and organizations within the community, and more effective dissemination of project findings.

4. The available funding is subject to enactment of the FY2011 HUD appropriations. The Healthy Homes Production Program is authorized under Section 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. § 1701z-2). Funds would be awarded to applicants who will accomplish the following objectives:

- a. Maximize both the number of vulnerable residents (children, elderly) protected from housing-related environmental health and safety hazards and the number of housing units where these hazards are controlled;
- b. Identify and remediate priority (significant) housing-related health and safety hazards in privately owned, low income rental or owner occupied housing, especially in units and/or buildings where children and elderly reside, and where housing-related health and safety hazards may contribute to illness, injury or other adverse health outcomes;
- c. Promote cost-effective and efficient healthy home methods and approaches that can be replicated and sustained;
- d. Support public education and outreach that furthers the goal of protecting children and other vulnerable populations from housing-related health and safety hazards;
- e. Build local capacity to operate sustainable programs that will prevent and control housing-related environmental health and safety hazards in low- and very low-income residences and develop a professional workforce that is trained in healthy homes assessment and remediation principles;
- f. Promote integration of this grant program with housing rehabilitation, property maintenance, weatherization, green and healthy homes initiatives, other lead-based paint hazard control programs, and energy efficiency improvement activities and programs;
- g. Affirmatively further fair housing (please refer to the FY2011 **General Section** and Section V.A.3.d(2) in this NOFA for additional guidance on this requirement);
- h. Mobilize public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based, nonprofit organizations, including faith-based organizations, to develop the most promising, cost-effective methods for identifying and controlling key housing-related environmental health and safety hazards;
- i. Promote collaboration, data sharing, and targeting between health and housing departments;
- j. Establish a system or process that will facilitate remediated units to be affirmatively marketed to families with young children; and,
- k. To the greatest extent feasible, ensure job training, employment, contracting, and other economic opportunities generated by this grant 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. For more information, see 24 CFR Part 135.
- l. Further environmental justice, the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. (See <http://www.hud.gov/offices/cpd/environment/review/justice.cfm> and related pages, including a discussion of Executive Order 12898, "Federal Actions to Address Environmental Justice in

Minority Populations and Low-income Populations”).

## **B. Changes in the FY2011 NOFA.**

1. If you received an award under the FY2010 NOFA cycle for the Healthy Homes Production program, you are not eligible to apply. However, since the City of New London, Connecticut, received a partial award, the same applicant would be eligible to apply under this NOFA.
2. A minimum match of 10% of the Federal funds requested is required. See Match Requirements and Costs Chart in Section III.B, Cost Sharing or Matching. Points will only be awarded for match resources above the required 10%.
3. Existing Grantees with Performance Deficiencies. Applicants that have been designated as high risk for any of their existing OHHLHC grants or subgrants at the submission deadline are ineligible for a grant. Applicants that have a “Red” performance designation from the OHHLHC for any existing grant(s) for the two previous consecutive quarters ending on or before the submission deadline are ineligible to apply under this grant program.
4. Funds are primarily to be used to identify and remediate priority (significant) housing-related health and safety hazards in privately owned, low income rental or owner occupied housing, especially in those where children and elderly reside, and where housing-related health and safety hazards may contribute to illness, injury or other adverse health outcomes.
5. Additional reporting requirements per the FY2011 General Section.

## **II. Award Information**

### **A. Funding Available.**

1. The available funding is subject to enactment of the FY2011 HUD appropriations. Period of performance is 36 months.
2. Grant Amounts. The chart below describes the maximum amount of each grant award would be and period of performance for the programs in this NOFA. This dollar amount may be modified subject to the availability of appropriations, but HUD is offering an estimated amount so that applicants can work on their applications in advance, so that to the extent that final appropriations are enacted, applicants will be prepared to make any adjustments and retain existing submissions or resubmit their applications, as appropriate. The exact number of awards to be made would not be known until any final appropriations are enacted.

| <b>Maximum Grant Award Amounts and Period of Performance</b> |  |                             |                              |
|--|--|-----------------------------|------------------------------|
| <b>Program</b>   | <b>Applicant Type</b>  | <b>Maximum Award Amount</b> | <b>Period of Performance</b> |
| Healthy Homes Production (CFDA 14.913)                       | States, Native American Tribes, cities, counties/parishes, or other units of local government. | \$2,000,000                 | 36 months                    |
|  | Non-Profits with 501(c)3 status and Academic institutions located in the U.S.                  | \$1,000,000                 | 36 months                    |

3. Application requests for amounts larger than the applicable maximum amount or for a longer period of performance would be automatically reduced to the maximums allowed in this NOFA.

4. The start date for new grants is expected to be no later than October 1, 2011.

5. Period of performance extensions will be considered by HUD in accordance with 24 CFR 85.30(d)(2) or 84.25(e)(2), as applicable, and published policy guidance and the OHHLHC Grantee Program Guide.

6. If you are awarded both a grant under this NOFA and a grant under the Lead-Based Paint Hazard Control (LBPHC) Grant Program, the additional funds to assist in the promotion and development of healthy homes programs would not be included as part of the award under the LBPHC Grant Program.

#### **B. Collaboration with Other Partners.**

All applicants, with the exception of Native American Tribes, are encouraged to enter into formal arrangements with partners, such as community-based non-profit organizations, and faith-based or other community-based organizations. These formal arrangements could be a contract, a Memorandum of Understanding (MOU), a Memorandum of Agreement (MOA), or a letter of commitment. Such relationships must be established prior to the actual execution of an award or be contingent upon award, becoming effective within 60 days after award.

### **III. Eligibility Information**

#### **A. Eligible and Ineligible Applicants.**

1. To be eligible to apply for funding under this NOFA, you must be a State, Native American Tribe, city, county/parish, or other unit of local government. Multiple units of a local government (or multiple local governments) may apply as a consortium; however, a principal (lead) applicant must be identified that will be responsible for ensuring compliance with all requirements specified in this NOFA. Non-profits with 501(c)(3) status located in the U.S. and academic institutions may apply.
2. If you are a housing agency, community development corporation or redevelopment authority, or any other entity that is not the executive office or a department of a Native American Tribe, state, city, county/parish, or other unit of local government, you must identify the government unit of which you are a part, and submit for review with your application the specific statutory authority and other documents to demonstrate that you are a part of that government, rather than a separate entity. A document publicly posted on the Internet (i.e., without a password or encryption) may be identified in your application by providing the title and the web address (URL) in place of a scanned version of the document.
3. Consortia. If you are a state with an EPA-authorized lead-based paint training and certification program, you may apply on behalf of one or more of the eligible local jurisdictions. Multiple units of a local government (or multiple local governments) may apply as a consortium; however, a principal (lead) applicant that will be primarily responsible for ensuring compliance with all requirements specified in the NOFA must be identified. Note that all entities within a consortium are responsible for compliance with the requirements specified in this NOFA, including compliance with non-discrimination requirements. In the case of an applicant included as part of a consortium that is also an individual applicant, if both the consortium and the applicant are awarded grants under this NOFA, the consortium will be required to modify their workplan to identify which other consortium member will fulfil the separately funded applicant's responsibilities under the consortium. Further, consortium applicants must ensure that there is no double-counting of units to meet the unit threshold where there is jurisdictional overlap.
4. Ineligible Applicants: Those not eligible to apply:
  - a. If you received an award under the FY2010 NOFA cycle for the Healthy Homes Production program. However, since the City of New London, CT received a partial award, the same applicant would be eligible to apply under this NOFA.
  - b. Applicants that have been designated as high risk for any of their existing OHHLHC grants or subgrants at the submission deadline.
  - c. Applicants that have a "Red" performance designation from the OHHLHC for any of their existing OHHLHC grant(s) for the two previous consecutive quarters ending on or before the submission deadline.
  - d. Individuals.
  - e. Non-profits that do not have a current 501(c)(3) status.



f. Public Housing Agencies are not eligible to apply.

## B. Cost Sharing or Matching.

1. Matching Funds Requirement. The program under this NOFA includes a requirement for 10 percent matching funds. The chart below shows the minimum match requirement, the minimum percentage of Federal funds for Direct Healthy Home Remediation Costs, and the maximum administrative cost allowed.

| <b>Match Requirements and Costs</b>            |                               |  |                             |
|--|-------------------------------|--|-----------------------------|
| <b>Program</b>                                 | <b>Required Minimum Match</b> | <b>Direct Healthy Home Remediation Costs</b> | <b>Administrative Costs</b> |
| Healthy Homes Production Program (CFDA 14.913) | 10 percent                    | Minimum 65 percent                           | Maximum 10 percent          |

**Note that** Community Development Block Grant funds are considered local funds, and may be used as match. Applicants must document each match resource in their narrative response to Rating Factor 4. While applicants are not required to submit evidence of a firm commitment for each match resource from any organization, 1 point will be awarded for evidence of commitment of all the match indicated on the SF424 by letters of firm commitment, Memoranda of Understanding, or other signed agreements from those entities identified as partners in the application. Matching contributions must be shown to be used specifically for allowable program costs. The signature of the authorized official on the SF424 commits matching resources of your organization and from other sources. All match resources shall be tracked and verifiable according to Office of Management and Budget (OMB) and program requirements. Examples of activities that can be counted as matching contributions may include:

- a. Documentation of Contributions from Property Owners. For the share of the cost of hazard remediation contributed by a homeowner or landlord, detailed documentation of the cost incurred by the homeowner or landlord will be necessary after award during the period of performance of the grant. Owner contributions are limited to what can be supported and verified by a third party, such as materials paid for and provided by the owner or labor that the owner paid and can document with receipts/records. Labor contributed by the owner must be verified by a third party and valued at market rates. Please note that the applicant will be responsible for providing the total amount of the match dollars of proposed contributions from property owners if these contributions are not received during the period of performance of the grant. Such funds may not come from other OHHLHC funds and must conform to the limitations on use of Federal funds for matching fund purposes.
- b. Donations. The value of items, such as paint and other materials or equipment that are used for hazard remediation, must be established at market rates.

c. Discounts. For services or products provided at a discounted rate, the discounted part of the fee or price is the eligible match. For example: If a financial institution provides a below-market discount on the interest rate for loans (e.g., mortgages, home equity loans, lines of credit, etc.) used to fund the homeowner or landlord contribution to the hazard remediation work, the net present value of the interest discount is eligible match; neither the total interest nor the loan principal is eligible match. The same net present value calculation would be done for a firm commitment to forgive all or a portion of the principal. If a loan is used for more than the hazard remediation work covered by the grant, only the same fraction of the discount as the fraction of the loan used for hazard evaluation and control may be accounted as match.

d. Third Party In-Kind Contributions. See 24 CFR 85.24 for additional information on third party in-kind contributions.

e. Other. Applicants may include expenditures on housing rehabilitation, property maintenance, weatherization, green and healthy homes initiatives, and energy efficiency measures as match resources for these activities conducted in conjunction with the hazard remediation work in the housing units or common areas where work is being conducted. All match resources shall be tracked and verifiable according to Office of Management and Budget (OMB) and program requirements.

### C. Other.

1. Threshold Requirements. Please see the FY2011 **General Section**, Section III.C.2, for threshold requirements, as well as threshold requirements listed in this subsection. Applications will not be reviewed or funded if they do not satisfy all threshold requirements. Only eligible applications as defined in Section III, Eligibility Information, above, will be reviewed for compliance with threshold requirements. An application must receive a total score of at least 75 points to be considered for funding. Submission of the required application documents as indicated in Section IV.B.1.b. below. The SF424 is the official application document and the only form used to determine eligibility for application review and rating.

2. Allowable Costs and Activities. For each kind of organization, a set of Federal principles determines allowable costs. Allowable costs shall be in accordance with the cost principles applicable to the organization incurring the costs. Specifically, see [2 CFR 220](#) - Cost Principles for Educational Institutions, [2 CFR 225](#) - Cost Principles for State, Local, and Indian Tribal Governments, or [2 CFR 230](#) - Cost Principles for Nonprofit Organizations. (OMB relocated its cost principles Circulars A-21, regarding educational institutions, A-87, regarding governments, and A-122, regarding nonprofits, to title 2 of the Code of Federal Regulations; the regulations supersede the circulars (70 *Federal Register* 51880, 51910, and 51927, respectively, August 31, 2005).) Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. Organizations that do not have a federally negotiated rate schedule must obtain a rate from their appropriate agency; otherwise the organization will be required to obtain a negotiated rate through HUD. Please see <http://www.hud.gov/offices/adm/grants/fundsavail.cfm> for reference to the Indirect Cost requirements. Applicants should submit a copy of the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets. This documentation will be verified during award negotiations.

3. Direct Healthy Home Remediation Cost Allocation. Awardees **must** expend at least 65 percent of grant funds on direct healthy homes remediation and related activities in the home. The following kinds of activities can be included in the 65 percent direct healthy home remediation cost allocation:

- a. Assessing and remediating housing-related health and safety hazards to identify and correct hazardous conditions that pose a likelihood of harm to occupant health if not addressed.
- b. Conducting sampling and analysis for lead, allergens, carbon monoxide and/or other housing-related health and safety hazards as appropriate, following established protocols and procedures when possible. Residential paint, soil or dust samples to be analyzed for lead must be analyzed by a laboratory recognized by the U.S. Environmental Protection Agency's (EPA's) National Lead Laboratory Accreditation Program (NLLAP) (<http://www.epa.gov/lead/pubs/nllap.htm>) with the recognition under NLLAP applicable to the medium analyzed. Samples to be analyzed for mold must be submitted to a laboratory accredited in the Environmental Microbiological Laboratory Accreditation Program (EMLAP), administered by the American Industrial Hygiene Association (AIHA) Laboratory Accreditation Programs, LLC.
- c. Carrying out temporary relocation for temporarily displaced families and individuals while the remediation is conducted and until the time the affected unit is properly cleared (receives clearance) for re-occupancy. When persons with disabilities are temporarily relocated, they must be placed in housing that provides, at a minimum, the same accessibility features as the housing in which they currently reside. HUD expects that most temporary relocation for hazard control work will last 10 days or less.
- d. Healthy Home Remediation soft project costs. Soft project costs are those activities that directly support the undertaking of healthy homes activities, without which, such activities could not be conducted. These project costs may include: staff costs for intake, review and approval of applications and preparation of documents to be signed by applicants for remediation work; staff costs for arranging for temporary relocation, staff costs associated with reimbursement, and providing assistance to residents in relation to remediation; travel for staff that perform the remediation; and, development of necessary architectural, engineering and work specification write-ups and other construction management services in support of the healthy home intervention activities.

4. Other Allowable Direct Costs. Costs for the activities below are allowable Direct Costs, but should not be counted as "Direct Healthy Home Remediation Cost Allocation." (see Section III.C.3, above):

- a. Purchasing or leasing equipment having a per-unit cost under \$5,000.
- b. Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such data, as may be required by HUD.
- c. Providing resources to build capacity for healthy homes interventions, including delivery of HUD-approved training courses for housing rehabilitation contractors, rehabilitation workers, renovators, remodelers, homeowners, renters, painters, maintenance staff, health practitioners, and others conducting renovation, rehabilitation, maintenance, hazard control, or other work in

private housing; subsidies for licensing or certification fees to low-income persons seeking credentials as healthy housing practitioners, lead sampling technicians or certified renovators; and, completion of other HUD-approved courses that further the effectiveness of hazard control interventions or promote the integration of this grant program with housing rehabilitation, property maintenance, weatherization, and housing-related health hazard interventions, such as the Healthy Homes Practitioners Training Course or the Healthy Homes for Code Inspectors Course. Applicants should allocate no more than 1 percent of their budget to training activities.

d. Conducting targeted outreach, affirmative marketing, education or outreach programs that help promote participation in the program and further the goal of protecting children and other vulnerable populations from housing-related health hazards, including providing access to these program benefits and information to Limited English Proficient (LEP) individuals through language assistance services, in accordance with the *Final Guidance to Federal Financial Assistance Recipients Regarding Title VI, Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons* published on January 22, 2007 in the *Federal Register* (72 FR 2732) (for more information, see Section III.C.5.c of the **General Section**). Upon request, information and communications related to all training, education, marketing, and outreach activities conducted pursuant to this NOFA must be provided in a manner that is effective for persons with hearing, visual, and other communication-related disabilities (e.g., Braille, audio, and large type) consistent with Section 504 of the Rehabilitation Act of 1973 and 24 CFR § 8.6. HUD encourages its funding recipients to adopt the goals and objectives of Section 508 of the Rehabilitation Act by ensuring, whenever electronic information technology (EIT) is used, procured, or developed, that persons with disabilities have access to and use the information and data made available through the EIT on a comparable basis as is made available to and used by persons without disabilities. See section III.C.5.f of the FY2011 General Section for more information.

e. Evaluating the effectiveness of hazard remediation conducted under this grant to assess how healthy homes interventions affect the health of the population being served relative to the population at large.

f. Securing liability insurance for housing-related environmental health and safety hazard evaluation and control activities. This is considered either an indirect cost or an administrative cost, depending on the relationship of the insurance applicable for this grant to the applicant's overall insurance policy portfolio.

g. Purchasing resident supplies, to include environmentally safe or low-toxicity cleaning supplies, integrated pest management kits, or household safety items.

5. Limitation on use of funds. You may not use grant funds for any of the following activities:

a. Purchase of real property.

b. Purchase or lease of equipment having a per-unit cost in excess of \$5,000.

c. Chelation or other medical treatment costs related to children with elevated blood lead levels (EBLs).

d. Funds under this program used to address lead-based paint hazards may be used only to reduce lead-based paint hazards using interim controls (see Chapter 11 of the HUD Guidelines to Identify and Control Lead-Based Paint Hazards in Housing). Lead hazard evaluation and/or control activities must not be a principal focus of the housing-related health hazard evaluation or remediation. State or local governmental applicants interested in primarily conducting residential lead hazard evaluation and/or control activities should consider applying under HUD's FY2011 Lead-Based Paint Hazard Control Grant Program and/or Lead Hazard Reduction Demonstration Grant Program, being published separately from this NOFA.

e. Funds may not be used solely for behavioral change activities, resident education and outreach, or home health and safety "drop-off" kits; when such activities are conducted, they must be combined with remediating existing residential health and safety hazards;

f. Funds must not be used for hazard evaluation and remediation in housing covered by a pending or final HUD, EPA, and/or Department of Justice settlement agreement, consent decree, court order or other similar action regarding violation of the Lead Disclosure Rule (24 CFR part 35, Subpart A, or the equivalent 40 CFR part 745, subpart F), or by HUD regarding the Lead Safe Housing Rule (24 CFR part 35, subparts B-R).

g. Activities that do not comply with the Coastal Barrier Resources Act (16 U.S.C. § 3501).

h. Funds may not be used for hazard evaluation and remediation in properties located in an area identified by the Federal Emergency Management Agency (FEMA) under the Flood Disaster Protection Act of 1973 (42 U.S.C. §§ 4001–4128) as having special flood hazards unless:

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

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

i. Demolition of housing units or detached buildings as a means of healthy home intervention and/or the replacement of such structures.

j. Duct cleaning, except if recommended by a qualified professional for the special circumstances described in EPA's guidance at <http://www.epa.gov/iaq/pubs/airduct.html>.

## 6. Additional Program Requirements.

a. The requirements below are in addition to all other applicable requirements, including non-discrimination requirements specified in section III.C of the **General Section**. However, please note that Federally recognized Indian tribes and their instrumentalities are not required to comply with the requirement to affirmately further fair housing.

b. Cooperation with Related Research and Evaluation. You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or another government agency associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in the original proposal. Participant data shall be subject to the Privacy Rule of the Health Insurance Portability and Accountability Act of 1996 (HIPAA). HIPAA and the Privacy Rule can be found at <http://www.hhs.gov/ocr/hipaa/>. For the programs in this NOFA, HUD does not expect research to be conducted that could affect human subjects. See paragraph g, below.

c. Data Collection. You shall collect, maintain, and provide to HUD the data necessary to document and evaluate grant program outputs and outcomes.

d. Economic Opportunities for Low- and Very Low-Income Persons (Section 3). Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. § 1701u) applies directly to the grantee (see 24 CFR 135.3(a)(2)(i)). The purpose of Section 3 is to ensure that new training, employment or contracting opportunities created during the grant will, to the greatest extent feasible, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons in the area in which the project is located. Any contractor, subcontractor or sub-grantee receiving contracts under the grant totaling \$100,000 or more must comply with the Section 3 requirements for any new training, hiring or contracting opportunities under those contracts. Please refer to 24 CFR Part 135, subparts B and E, and to Section III.C.5.d of the FY2011 **General Section**, for additional information.

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

f. Code of Conduct. Prior to entering into a grant agreement with HUD, successful applicants will be required to submit a copy of their organization's Code of Conduct and describe the methods they will use to ensure that all officers, employees, and agents of their organization are aware of their Code of Conduct. An applicant who submitted an application during Fiscal Years 2009 or 2010 will not be required to submit another copy provided that Code of Conduct is current, and the applicant is listed on HUD's Code of Conduct website: <http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>.

g. Institutional Review Board (IRB). For the programs in this NOFA, HUD does not expect research to be conducted that could affect human subjects. Nonetheless, applicants should indicate whether their program includes conducting research involving human subjects in a manner that requires IRB approval and periodic monitoring under the Department of Health and Human Services regulations at 45 CFR Part 46. If your program includes conducting research involving human subjects in a manner that requires IRB approval and periodic monitoring, you must describe the plan for obtaining IRB approval, and indicate that no activities covered by IRB approval will be conducted until such approval is obtained. For additional information on what

constitutes human subjects' research or how to obtain an institutional assurance, see the Department of Health and Human Services, Office of Human Research Protection (OHRP) website at: <http://www.hhs.gov/ohrp/>.

h. Waste Disposal. Applicants must handle waste disposal according to the requirements of the appropriate local, state, and federal regulatory agencies. Applicants must handle disposal of wastes from hazard control activities that contain lead-based paint, but are not classified as hazardous in accordance with state or local law or the HUD Guidelines. The Guidelines are available from the HUD website at <http://www.hud.gov/offices/lead/lbp/hudguidelines/index.cfm>.

i. Worker Protection Procedures. Applicants must observe the procedures for worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Health and Safety Administration (OSHA) (29 CFR 1910.1025, Lead, or 1926.62, Lead Exposure in Construction), or the state or local occupational safety and health regulations, whichever are most protective. If other applicable requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

j. Temporary Relocation. HUD expects that most temporary displacement (relocation) for hazard control work would be for 10 days or less. Assisting temporary relocation of families forced to vacate housing while hazard reduction measures are being conducted is an eligible activity of the programs described in this NOFA. Tenant-occupants forced to vacate housing while hazard reduction measures are being conducted pursuant to a program described in this NOFA must be treated fairly and equitably. Such tenant-occupants entitled to receive temporary relocation assistance pursuant to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), 42 U.S.C. §§ 4601-4655, as described in regulations at 49 CFR 24.2(a)(9)(ii)(D) and the corresponding Appendix A. Owner-occupants temporarily relocating while hazard reduction measures are conducted pursuant to a program described in this NOFA are not entitled to URA relocation assistance. You can access these regulations from the Government Printing Office website at <http://www.gpoaccess.gov/cfr/index.html>. When persons with disabilities are temporarily relocated, they must be placed in housing that provides, at a minimum, the same accessibility features as the housing in which they currently reside. For additional information on relocation requirements, see section III.C.5.h of the FY2011 General Section and HUD Handbook 1378 ("Real Estate Acquisition and Relocation Policy and Guidance").

k. Notification Requirements. All lead-based paint testing results, summaries of lead-based paint hazard control treatments, and clearances must be provided to the owner of the unit, in accordance with the EPA's Renovation, Repair, and Painting (RRP) Rule (see 40 CFR 745 and <http://www.epa.gov/lead/pubs/renovation.htm>), together with a notice describing the owner's legal duty to disclose the results to tenants and buyers (see 24 CFR 35.88 of the Lead Disclosure Rule). Grantee files must contain verifiable evidence of providing lead hazard evaluation and control reports to owners and tenants, such as a signed and dated receipt. Applicants should also describe how they will provide owners with lead hazard evaluation and control information generated by activities under this grant, so that the owner can comply with the Lead Disclosure Rule (24 CFR Part 35, subpart A, or the equivalent 40 CFR Part 745, subpart F) and the Lead Safe Housing Rule (24 CFR Part 35, subparts B–R).

l. Trained and Certified Professionals. Lead hazard control activities must be conducted by persons qualified according to 24 CFR Part 35, subparts B-R (possessing certification as abatement contractors, risk assessors, inspectors, abatement workers, or sampling technicians; or others having been trained in a HUD-approved course in lead-safe work practices), and firms and persons certified in accordance with the EPA's Renovation, Repair, and Painting (RRP) Rule (see 40 CFR 745 and <http://www.epa.gov/lead/pubs/renovation.htm>).

m. Lead hazard evaluation and control work shall be conducted in compliance with HUD's Lead Safe Housing Rule, 24 CFR part 35, subparts B-R, the HUD Guidelines, the EPA's Renovation, Repair and Painting Rule, found within 40 CFR 745 (see <http://www.epa.gov/lead/pubs/renovation.htm>), and applicable federal, state and local regulations and guidance.

n. Written Policies and Procedures. Applicants must describe in the work plan policies and procedures for procurements (contracting), unit eligibility, unit selection and prioritization, all phases of healthy homes interventions, including assessments and testing, development of specifications for contractor bids, financing, and temporary relocation. Grantees, sub-contractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

o. Integrated Pest Management (IPM). All activities to reduce or control pest infestations shall be conducted in accordance with IPM practices and principles. IPM uses current, comprehensive information on the life cycles of pests and their interaction with the environment. This information, in combination with available pest control methods, is used to manage pest damage by the most economical means, and with the least possible hazard to people, property and the environment (see <http://www.epa.gov/opp00001/factsheets/ipm.htm#what>).

p. Dust Sampling Protocol. Collection of settled dust samples for environmental allergen analysis (e.g., cockroach, dust mite) must follow HUD's standard dust sampling protocol, which is posted on the OHHLHC website under "Grantee Resources" at <http://www.hud.gov/offices/lead/hhi/hhd.cfm>. If you choose to use a different protocol, you must provide a strong technical justification to HUD.

q. Evaluation. Evaluation of the environmental and/or health outcomes of your program is encouraged but not required. If you conduct an evaluation, it should include a formalized structure to address the effectiveness of your project's approach and its implementation with respect to the outcomes being assessed. A pertinent example of an outline of an evaluation plan is provided on the CDC asthma website, in the CDC's "Learning & Growing through Evaluation: State Asthma Program Evaluation Guide", Appendix F, "Individual Evaluation Plan Outline" ([http://www.cdc.gov/asthma/program\\_eval/AppendixF\\_Evaluation\\_Plan\\_Outline.doc](http://www.cdc.gov/asthma/program_eval/AppendixF_Evaluation_Plan_Outline.doc)); the outline is not asthma-specific.

r. Coordination among Critical Agencies. HUD encourages applicants to enter into collaborative arrangements with childhood lead poisoning prevention programs, health agencies, housing



agencies, community development agencies, community-based language assistance organizations, fair housing organizations and code enforcement agencies (or equivalent) for your target area(s). Also, HUD encourages grantees to work with State Medicaid agencies to identify children with elevated blood lead levels and collaborate to conduct environmental investigations in the home.

#### s. Environmental Requirements.

(1) A FY2011 Healthy Homes Production grant 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 Production 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 Indian tribes must carry out environmental review responsibilities as a responsible entity under Part 58. Recipients who are not-for-profit firms or for-profit institutions, must contact and partner with a 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 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 Indian tribe, if a responsible entity objects to performing the environmental review, or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. When HUD performs the review itself, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed. See paragraph (2) below for additional assistance.

(2) For all grants awarded under this NOFA, recipients and other participants in the project are prohibited from undertaking, committing or expending HUD or non-HUD 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 HUD7015.15) or, in the case where the recipient is not a State, unit of general local government or Indian tribe and HUD has determined to perform the environmental review under part 50, HUD has completed the review and notified the grantee of its approval. The results of the environmental review 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-West, the Office of Healthy Homes and Lead Hazard Control Program Environmental Clearance Officer at (213) 534-2458 (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 1-800-877-8339. Recipients of a grant under this program will be provided additional guidance in these environmental responsibilities.

(3) All other activities not related to construction and 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.t. Other. Facilities that may be used where participants may come for assistance (i.e. intake and enrolment proceedings), pursuant to funding from this NOFA, must be held in facilities that are accessible to persons with disabilities in accordance with Section 504 of the Rehabilitation Act and its implementing regulations at 24 CFR Part 8. Also, all trainings and educational courses conducted pursuant to funding from this NOFA must be held in facilities that are accessible to persons with disabilities. Where physical accessibility is not achievable, recipients and subrecipients must give priority to alternative methods of product delivery that offer such activities to qualified individuals with handicaps in the most integrated setting appropriate in accordance with Section 504 of the Rehabilitation Act (29 U.S.C. § 794) and its implementing regulations at 24 CFR Part 8.

#### **IV. Application and Submission Information**

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

##### **A. Web Address to Access an Application Package.**

See the FY2011 **General Section** for specific procedures concerning the electronic application submission requirements. The application and instructions are available at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If applicants have difficulty accessing the information, applicants may call the help desk help line at (800) 518-GRANTS or e-mail [support@grants.gov](mailto:support@grants.gov). Hearing- or speech-challenged individuals may access this telephone number through TTY by calling the toll-free Federal Relay Service at 800-877-8339.

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

The following section provides instructions on the items to be submitted as part of the application. See the FY2011 **General Section** for instructions for submitting third party documents and electronic files. Applicants may submit only one application under this NOFA and must follow the submission requirements described below:

###### **1. Applicant Information**

###### **a. Application Format**

(1) The application narrative response to the Rating Factors is limited to a maximum of 20 pages (excluding appendices, budget forms/narrative, and worksheets) of size 8-1/2" x 11" using a 12-point (minimum) font with margins not less than 1" on all sides. While the 20-page rating factor response does not include attachments, tables, appendices, and other required forms, you should not rely on excessive appendices to address the rating factors – this information should be clearly described in the rating factor narrative. Applicants should be aware that any narrative information submitted in response to the Rating Factors that exceeds the 20 page limit will not be reviewed.

(2) Budget Narrative. This section should also include a brief budget narrative, providing details on administrative costs (maximum 10% of grant), 10 percent match requirement, staffing costs and details on which costs are included and not included in the 65% direct lead hazard control minimum cost requirement.

(3) Materials provided in the appendices should directly refer to the specific rating factor narrative. Applicants are strongly urged to not submit information that is not required and/or requested in the NOFA or relevant to a specific narrative response. All attachments must identify the related Rating Factor in the footer by providing the Rating Factor and the page number (e.g., Factor 1 Attachment, page 1).

b. Complete Application. Your application must contain all the information required in this NOFA and the FY2011 **General Section**. The checklist below includes the list of items for a complete application eligible for review and rating (except as noted below). Items 1-5 are considered requirements for threshold review.

(1) SF424\_Application\_for\_Federal\_Assistance (Applicants must also include the nine digit zip code (zip code plus four digits) associated with the applicant address in box 8d of the Standard Form 424 (SF-424)). Applicants must report their match contribution in lines 18b-f.

(2) Application Abstract (limited to 2 pages)

(3) Narrative Responses to Rating Factors 1 through 5 (limited to a maximum of 20 narrative pages)

(4) Form\_HUD2991\_Certification\_of\_Consistency\_with\_the\_Consolidated\_Plan (and references to need for lead-based paint treatment in the Analysis of Impediments to Fair Housing Choice (AI))

(5) Copy of Consolidated Plan's Lead-Based Paint Element (or link to website identifying where the Lead-Based Paint Element can be found)

(6) Other Application Materials:

(a) Form HUD\_424\_CBW: HUD Detailed Budget Worksheet including Total Budget (Federal Share and Match Commitment) and budget justification narrative

(b) Form HUD\_2990 Certification of Consistency with the RC\_EZ\_EC\_II Strategic Plan (if applicable)

(c) Certification of Consistency with Sustainable Communities Planning and Implementation, (HUD2995) (if applicable)

(d) Form\_HUD2880\_Applicant-Recipient\_Disclosure-Update\_Report

(e) SFLLL\_Disclosure\_of\_Lobbying\_Activities applicable only if your organization has been involved in lobbying)

### C. Receipt Dates and Times

1. **Deadline Date.** The application submission deadline to [Grants.gov](http://Grants.gov) is 11:59:59 PM eastern time **June 9, 2011**. Applications must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date. HUD may modify the due date for this Notice to the extent a final appropriations bill for FY2011 is enacted. HUD will issue a technical correction to this NOFA if appropriations are enacted and require HUD to modify the funding criteria or application requirements or if HUD determines that adjustments to estimated award amounts or timelines are necessary. HUD's issuance of any such technical correction will provide detailed instructions for applicants to permit them to resubmit the application to address the NOFA requirements.

2. Only one application will be accepted from any given organization under this NOFA. If more than one application is received from an organization, the application that was received last by [Grants.gov](http://Grants.gov) in compliance with the timely receipt requirements (see the General Section) will be considered for funding.

**D. Intergovernmental Review.** Not required

### E. Funding Restrictions.

1. **Administrative Costs.** Administrative costs may not exceed 10 percent of the grant award.
2. **Awardees must expend at least 65 percent of grant funds on Direct Healthy Home Remediation.** See Section III.C.3, Direct Healthy Home Remediation Costs.
3. **Ineligible Activities.** See Section III.C.5, Limitation on use of funds.
4. **Ineligible Applicants.** See Section III.A.4.

### F. Other Submission Requirements.

1. Applications must be submitted via the Grants.gov website at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) by the deadline date and time. See the FY2011 **General Section** for further information on timely receipt requirements. Applicants interested in applying for funding under this NOFA must submit their applications electronically or request a waiver from the electronic submission requirement. Applicants must submit their written waiver requests by email on official letterhead as an attachment. Waiver requests must be submitted no later than 15 days prior to the application deadline date and must be submitted to [Michelle.M.Miller@HUD.gov](mailto:Michelle.M.Miller@HUD.gov). If granted a waiver, the notification will provide instructions on where to submit the application and how many copies are required. Paper copy applications must be received by 3:59:59 PM eastern time on the deadline date; HUD will not receive applications that arrive when the OHHLHC office or HUD's Weaver Building is closed for any reason, anticipated or not. HUD will not accept a paper application without a waiver being granted. See the FY2011 **General Section** for detailed submission and timely receipt instructions.

2. Address for Submitting Applications. See the FY2011 **General Section** for specific procedures concerning the electronic application submission requirements. The application and instructions are available at [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). If applicants have difficulty accessing the information, applicants may call the help desk help line at (800) 518-GRANTS or e-mail [support@grants.gov](mailto:support@grants.gov). Hearing- or speech-challenged individuals may access this telephone number through TTY by calling the toll-free Federal Relay Service at 800-877-8339.

## **V. Application Review Information**

### **A. Criteria.**

Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.2 of this NOFA. Your application must receive a total score of at least 75 points to be considered for funding. Each of the five rating factors is weighted as indicated by the number of points that are assigned to it. HUD will not review any application with a request for Federal funding that exceeds the maximum amount per grant specified in this NOFA.

The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum score that can be obtained is 104 points, which includes 4 possible bonus points for activities carried out in RC/EZ/EC-II's, and a possible 2 points for applicants who are working with Preferred Sustainable Community Status recipients (see Section V.A.6. below for information on obtaining bonus points). Applicants should be certain that these factors are adequately addressed in the narrative responses to the rating factors, required forms, and in the accompanying materials. 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 the reviewer can easily locate it.

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

This factor addresses your organizational capacity, as well as that of your partner organizations, sub-grantees, sub-contractors, etc., to successfully implement your proposed activities in a timely manner. HUD strongly encourages the formation and development of consortia with health, environmental, and housing programs to increase the effectiveness of your program. Applicants are encouraged to partner with community-based organizations, including faith-based organizations, to carry out program activities.

a. Capacity of the Applicant (8 points). The applicant must demonstrate that its organization has sufficient qualified personnel or will actively retain qualified experts or professionals and is prepared to perform eligible program activities within 60 days of the grant award to successfully implement and complete the project.

(1) Key personnel must include, at a minimum, a Project Director (PD) and a Program Manager (PM). Unless financial management of the grant falls under the responsibility of the PD or PM, the applicant must also identify the person responsible for the financial management

of the grant. The applicant must provide resumes, no longer than 3 pages, of the key personnel and job descriptions for planned key personnel, including the person responsible for the financial management of the grant. Please do not include the Social Security Numbers (SSN) of any person. You must describe the roles and responsibilities of each key personnel for the project. The day-to-day Program Manager must be experienced in housing rehabilitation, residential hazard control or other experience relevant to the project. The Program Manager should have demonstrated project management experience and must dedicate at least 75 percent of his/her time for the proposed project. The applicant is required to submit quarterly timesheets documenting the Program Manager's time commitment for each OHHLHC grant. The applicant must: a) list and describe sub-grantees, sub-contractor organizations, sub-recipients and consultants that will provide services and carry out critical activities for the proposed grant program, b) detail each sub-entity's experience in initiating and implementing related environmental, health, or housing projects, c) list the key personnel from each sub-entity organization and their respective roles and responsibilities, and d) provide the percent of time commitment to the proposed program for all key personnel identified. Position descriptions or job announcements (including salary range, percent of time commitment, percentage of time covered by grant funds) for unfilled positions, must be included for any key positions that are currently vacant or contingent upon an award. Successful applicants must hire all key staff positions identified in the proposal as vacant or required in the award agreement within 60 days of award.

(2) Describe how the program will be administered. Include details on how oversight and financial management will be conducted. Provide details on contract administration and how funding will flow from the grantee to those who will perform work under the proposed program. Also describe how routine monitoring of all sub-grantees and vendors (contractors) will ensure conformity to the terms, conditions and specifications of contracts or other formal agreements and requirements.

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

b. Relevant Organization Experience (6 points). Describe your recent, relevant, and successfully demonstrated experience in undertaking eligible program activities. Describe the knowledge and experience of the proposed overall project director and day-to-day project manager in planning and managing large and complex interdisciplinary programs, especially those involving housing, public health, or environmental activities. Include information on your project support staff, their experience with housing and/or health programs, percentage commitment to the project, and position titles. Describe how other principal components of your organization will participate in, or support, your project.

c. Past Performance of the Organization (6 points). Applicants will be rated on documenting previous experience in successfully operating similar grant programs. Applicants must summarize capacity and relevant organization experience. The applicant must provide a description of the organization's progress and performance implementing similar housing-intervention grant programs, including the total number of housing units enrolled, assessed, and

completed as a result of program efforts. The applicant must also describe outcomes, capacity building efforts and impediments experienced during previous program(s). The applicant must also describe specific instances where the program has contributed positive impacts in the community, and indicate what activities were undertaken to develop, enhance or expand the local infrastructure through collaboration. HUD's evaluation process will consider an applicant's past performance record as reported to HUD in effectively organizing and managing their grant operations, in meeting performance and work plan benchmarks and goals, and in managing funds, including the ability to account for funds appropriately, the timely use of funds received either from HUD or other Federal, State or local programs, and meeting performance milestones. If your organization is an existing HUD Healthy Homes or Lead Hazard Control Program grantee, or if you received previous Healthy Homes or Lead Hazard Control Program funding, provide your grant number(s) and HUD will review the information it has regarding your current and/or prior performance. Recent poor performance, as documented during quarterly assessments, will adversely affect your score under this section.

## **2. Rating Factor 2: Need/Extent of the Problem. (15 points for all applicants)**

Applicants will be scored in this rating factor based on documented need as evidenced by the submission of thorough, credible, and appropriate data and information. There must be a direct and substantial relationship between the proposed lead hazard control activities, the Consolidated Plan's lead-based paint element, and documented community needs. The data submitted in response to this rating factor will be verified using data available from the Census, HUDuser, and other data available to HUD and CDC. Applicants should ensure that the current residents of the target area, whose demographic characteristics constitute the data for this rating factor, are the individuals and families who should receive priority for the benefits of the funded programs and this should be addressed in the remainder of the application.

Points will be awarded in this rating factor based on the applicant's response to the information requested below: (NOTE: Data should be provided that is within the jurisdiction/target area – do not provide data that overlaps into another jurisdiction).

### a. Demographic data. (5 points maximum).

- (a) Total population of the Target Area,
- (b) Total population under the age of six (6),
- (c) Number of and percentage of population under the age of 6 with an elevated blood lead level,
- (d) Area Median Income, percentage of population at 80 percent of the area median income level, and percentage of population at 50 percent of the area median income level.

### b. Housing data. (5 points maximum).

- (a) Number of housing units that were built before 1978,

- (b) Number of housing units that were built before 1940,
- (c) Number and percentage of housing units that are rental and owner occupied.

c. Other Factors Contributing to Need. (5 points maximum).

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

- (a) Unemployment rate of the target area or the metropolitan area that encompasses the target area,
- (b) Number and percentage of children/families receiving Medicaid benefits in the target area,
- (c) Number and percentage of families receiving assistance through the Women, Infants, and Children (WIC) program, Head Start, or the Supplemental Nutrition Assistance Program,
- (d) Data in the Consolidated Plan and Lead Based Paint Element,
- (e) Number of emergency room visits for asthma related issues,
- (f) Number of children under the age of 18 with blood lead levels greater or equal to 10 micrograms per deciliter,
- (g) Number of emergency room visits for preventable injuries (fall, burns),
- (h) Number of housing units with pest control issues.

**3. Rating Factor 3: Soundness of Approach (45 Points Maximum)**

This factor addresses the quality and cost-effectiveness of your proposed work plan. In general, there are four key stages in the life of a grant: application, start-up, implementation, and close-out. You need to describe your work plan to address start-up and implementation phases of the grant that includes specific, measurable and time-phased objectives for each major program activity. Your response to this factor must include the elements described below in the program description. Applicants will be rated on: (a) the documented ability to implement the work plan; and (b) the quality of their work plan, including identifying specific, measurable, and time-phased objectives for each major program activity that reflect benchmark goals for unit evaluation, unit enrollment, unit production, LOCCS draw down, community outreach and education, skills training, and other activities.

**a. Work Plan Strategy (35 points).**

Applicants will be evaluated based on your overall strategy for assessing and minimizing (in a cost effective manner) housing related health and safety hazards using the OHHLHC healthy homes rating tool. Your application should include specific work plan goals and a time-phased



strategy to complete work within the 36-month period of performance. Applicants must describe the methods, including schedule and milestones that will be used to identify and control housing-related health hazards and how the desired project benchmarks will be achieved. The work plan should include information about the estimated numbers of families to be contacted, units enrolled, units to receive hazard evaluations, units to receive hazard control work, and individuals/groups to be reached through education and/or outreach activities and the number of individuals trained. Applicants must provide estimates for the number of units to receive hazard control work that are obtainable based on your capacity and expected accomplishments. Unit completion estimates should consider potential impediments and unforeseen delays, remembering that, if awarded a grant, grantees are held to production commitments. Applicants should describe the start-up and implementation phases of the proposed program. Applicants should describe program start-up activities during the first 60 days of the grant (hiring/training staff, establishing qualified contractor pool, written policies and procedures, environmental review procedures, and plans for implementing outreach/education and unit enrolment activities). Applicants should provide information about internal and external capacity-building steps necessary to ensure a smooth and timely start-up phase and completion of the award activities and production commitments within the performance period.

(1) Sequencing Key Program Activities.

(a) Applicants must provide a realistic schedule for completing key program activities and outputs by calendar quarter, so that all activities and outputs can be completed before or within the grant period of performance. Applicants must describe the production process from intake to unit completion and follow-up testing (if applicable), including identifying the agency/person responsible for each phase, the timeline to complete each phase and how monitoring will be performed to both prevent and resolve production impediments. Explain how the program will accommodate emergency referrals (e.g., units occupied by a child under six years of age with an EBL, response to acute asthmatic episodes). Include summary information about the estimated numbers of clients to be contacted, clients to be enrolled, units to be assessed, housing units to receive remediation, and individuals or groups that will be reached through education or outreach activities.

(2) Intake, Enrollment, Unit/Income Eligibility.

(a) Applicants must describe the criteria proposed to determine which units will be targeted for enrollment, prioritization scheduling of hazard evaluation and assessment, and the process for enrolling units in the program. Specifically describe your strategy for targeting low- and very low-income families with young children and other sensitive subgroups to the extent feasible. Describe measures the program will take to sustain recruitment and identify the staff responsible for both monitoring recruitment activities and implementing the measures identified to sustain recruitment. Describe the process to determine unit and income eligibility, prioritization scheduling and enrolling units in the program. Applicants should discuss how they will verify income eligibility and what measures will be taken to secure this data.

(b) Describe the process to be followed for referring home occupants for medical case management, if necessary. Describe the organizations that will be involved in this process, their knowledge of related health issues, and their prior experience providing case management to the

target population(s). Applicants must explain how the program will accommodate emergency referrals (e.g., units occupied by a child under six years of age with severe asthma, emergency repairs that threaten health and safety, etc.).

(c) Blood Lead Testing. Applicants must describe the methods, measures and cost for performing blood testing of children less than six years of age and efforts to perform blood testing of children within the target area(s) and other screening efforts. Describe how all children less than six years of age who occupy units to be assisted with hazard control work will receive blood lead testing within six months before commencement of hazard control work on the unit, except when a parent or guardian chooses to decline such testing of the child. Identify the individual responsible to ensure that children identified with an elevated blood-lead levels or other health related blood issues are referred to appropriate medical care and how patient confidentiality will be maintained and the security of medical information will be protected in accordance with HIPAA.

(d) Applicants must discuss financing strategies (i.e., the type of assistance - grants, deferred/forgivable loans, etc), including terms, conditions, dollar limits, amounts available for hazard control work in the various categories of housing (e.g., single-family, multi-family, vacant, owner or tenant-occupied), who is responsible for establishing, administering and overseeing this aspect of the program and the role of other resources such as private sector financing and leveraging, if any, from rental property owners. Applicants must describe how the recapture of grant or loan funds to owners of assisted units will occur if recipients fail to comply with any terms and conditions of the financing arrangement.

(3) Hazard Evaluation and Assessment. Applicants must identify housing-related health and safety hazards using HUD's Healthy Home Rating Tool (HHRT), which will be provided to successful applicants. (A complete list of the hazards to be assessed is provided in Appendix C.) All interventions must be tied to identified housing related health hazards from the HHRT tool. Information about the risk-assessment approach of the HHRT is provided in Appendix C. The HHRT is available for Palm and Windows Mobile handheld devices and will be available in paper version as well.

Applicants must describe the methods, including schedule and milestones that will be used to identify and control housing-related health and safety hazards using the HHRT and how the desired project benchmarks will be achieved. Your work plan must include information about the estimated numbers of families to be contacted, units enrolled, units to receive risk assessments, units to receive intervention work, and individuals/groups to be reached through education and/or outreach activities and the number of individuals trained. Applicants must provide estimates for the number of units to receive healthy homes interventions that are obtainable based on your capacity and expected accomplishments. Unit completion estimates should consider potential impediments and unforeseen delays, remembering that, if awarded a grant, grantees are held to production commitments.

(4) Hazard Control Work Specification Development Process. Applicants must describe the process for developing the work specifications, and the hazard control contractor bid and selection process on properties enrolled for hazard control work and indicate the individual or entity responsible for this ensuring the integrity of this process.

(5) Hazard Control Interventions. Applicants must describe the methods and expected costs anticipated to control housing-related environmental health and safety hazards to achieve the desired improvements in the health of the families you serve. If you are performing varying levels or types of remediation, provide an estimate of the number of units that will receive each level or type of intervention and the expected costs associated with the type of intervention. An example of typical housing repairs and associated costs is provided in Appendix B, Approximate Costs for Sample Healthy Homes Interventions. Appendix B is not exhaustive or indicative of healthy homes interventions, but is provided as a reference for intervention costs you may experience in your locale. HUD will not fund implementation projects where the primary focus of the program is to change resident behavior through education and/or outreach. Further, applicants may not propose a level or type of remediation that includes providing residents healthy homes and safety supplies without performing an actual home remediation and/or installing the safety items. (Simply providing supplies, even with training residents in their use, is not considered a home remediation.) In addition, applicants must describe the estimated timeframe for treating a typical unit from referral and intake to hazard control and clearance, and describe the coordination of relevant lead hazard control activities with rehabilitation, weatherization, green and healthy homes initiatives, and other housing improvement activities.

(6) Temporary Displacement (Relocation). HUD expects that most temporary relocation for lead hazard control work would be for 10 days or less. Assisting temporary relocation of families forced to vacate while lead hazard reduction measures are being conducted is an eligible activity for which funding under the programs described in this NOFA may be used. (See section III.C.2.n, Temporary Relocation). Applicants should describe plans for the relocation of occupants of units selected for remediation if temporary relocation is necessary. If temporary relocation is necessary, applicants should describe the process (e.g., the uses of lead-safe houses and other lead-safe housing arrangements, storage of household goods, incentives, etc.), and the source of funding for relocation. Applicants should describe plans for ensuring the right of return and/or first referral of occupants who have had to be temporarily relocated for the lead hazard control work to be performed. If temporary relocation is not necessary, applicants should describe measures to protect the occupants during remediation.

(7) Occupant Protection Measures. If temporary relocation is not necessary, applicants should describe measures to protect the occupants during remediation.

(8) Post Hazard Control Maintenance. Applicants must describe how the unit will be monitored and evaluated to ensure that units comply with the terms and conditions of the financing of the work and that the unit remains healthy and safe for the occupants.

**b. Program Administration and Financial Management (2 points).** Applicants must describe in detail how the program will be administered, including addressing oversight and financial management. Applicants must describe the organizational structure, staffing requirements and procedures to ensure proper project oversight/monitoring, how funding will flow from the grantee to those who will perform work under the proposed program, and who will be responsible for payment processing and reimbursement requests from HUD. Applicants must describe how the program will perform routine monitoring of all sub-grantees and contractors to ensure conformity to the terms, conditions and specifications of contracts or other formal agreements,

**c. Economic Opportunity (1 point).** Applicants must describe how newly created employment, training, and contracting opportunities will be provided to Section 3 residents and Section 3 businesses within 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. Applicants must describe how Section 3 requirements will be accomplished by identifying the number of new jobs, contracts, and training opportunities that your project will generate; strategies for targeting Section 3 residents and businesses for such economic opportunities, the schedule for delivering said training for low and very low-income persons living within your jurisdiction, and how trained individuals will be linked to new employment opportunities with covered contractors, and how efforts will be made to ensure that 10 percent of the total dollar amount of construction contracts will be awarded to businesses owned by and/or employing low and very-low-income persons living within your jurisdiction. Note that, while contractors, subcontractors or sub-grantees receiving contracts under the grant totaling less than \$100,000 need not meet the Section 3 requirements as a regulatory mandate (see Section III.C.6.c of this NOFA), all grantees that receive awards exceeding \$200,000 are required to comply with Section 3. Additional information regarding all Section 3 requirements can be found in Section III.C.5.d of the **General Section**.

**d. Outreach (2 points).**

(1) Applicants must describe involvement in collaborative agreements or arrangements with state or local health, housing, and code enforcement agencies, and community and/or faith based organizations for the target area(s) for performing outreach activities including affirmative marketing to groups least likely to know of, or apply for the program. If this information is detailed in letters of commitments, MOAs, or MOUs that are included in the application, it can be briefly summarized in this section. If these collaborative agreements or arrangements are not yet made, address plans to develop these agreements if applicable. Applicants must discuss proposed outreach activities and expected outcomes, as it relates to unit enrollment or reducing childhood lead poisoning in the target area. Applicants must outline the groups or populations that it will target for outreach and describe how the intended education program(s) will be culturally sensitive, targeted, and linguistically appropriate and identify the means available to supply the educational materials in other languages (identify all that apply) common to the community. For more information on obligations with respect to outreach activities involving Limited English Proficient (LEP) persons, see section III.C.5.c of the **General Section**. The applicant should describe how it will evaluate the effectiveness of its affirmative marketing activities and how it will determine whether it needs to make adjustments to these activities. Applicants should include the estimated number of individuals to receive the intended education and the estimated number of events to be delivered.

(2) Affirmatively Furthering Fair Housing. Applicants must describe strategies and methodologies to affirmatively further fair housing (see section III.C.5.b of the FY2011 **General Section**) and to increase access to healthy and safe housing for all segments of the population: homeowners, owners of rental properties, and tenants. Your narrative must describe how your proposed activities further at least one of the following objectives: (1) help overcome impediments to fair housing choice related to the assisted program or activity itself; (2) promote racially, ethnically, and socioeconomically diverse communities; or (3) promote housing-related

opportunities that overcome the effects of past discrimination because of race, color, national origin, sex, disability, and familial status. Strategies for achieving these objectives include, but are not limited to: expanded fair housing choice by affording greater opportunities for families in obtaining affordable, healthy, safe and sustainable housing in a revitalized area, creation of healthy and safe housing for individuals least likely to know of, or apply for, housing opportunities in the revitalized area, and that healthy and safe housing will be available to families with young children for the greatest possible length of time. Applicants must identify how to ensure that the program will continue to affirmatively market and match treated units with low-income families with children less than six years of age in the future. Applicants will not receive full points for this subfactor if the applicant does not include a narrative response to the affirmatively further fair housing (AFFH) requirements in the **General Section**, section III.C.5.b. Applicants failing to include a narrative response that addresses both the AFFH requirements in the **General Section**, section III.C.5.b, and the AFFH activities discussed above, will not receive consideration for funding. Federally recognized Indian tribes and their instrumentalities are not required to comply with the requirement to affirmatively further fair housing.

**e. Data Collection and other Program Support Activities (1 point).** Applicants must identify and discuss the methods that will be used to document activities, progress, and program effectiveness. Applicants must explain necessary changes will be made to improve program performance.

**f. Budget Proposal (2 points).** Applicants must thoroughly estimate all applicable costs (direct, indirect, and administrative), and present it in a clear and coherent format in accordance with the requirements listed in the FY2011 **General Section**. HUD is not required to approve or fund all proposed activities. Applicants must thoroughly document and justify all budget categories and costs (Form HUD424CBW) and all major tasks, the applicant organization, sub-recipients, major sub-contractors, joint venture participants, or others contributing resources to the project. A separate budget must be provided for each partner who is proposed to receive more than 10 percent of the federal budget request. Applicants will be evaluated on the extent to which resources are appropriate for the scope of the proposed project. Applicants must submit the budget narrative justification associated with these budgeted costs as part of the Total Budget (Federal Share, Matching) and identify all major tasks the applicant organization, sub-recipients, major sub-contractors, joint venture participants, or others contributing resources to the project. Separate narrative justifications should be submitted for partners that are submitting separate budgets. Applicants should clearly identify the funding or cash equivalent amounts being provided as match resources. These funds should reflect the numbers and contributions provided in response to Rating Factor 4, Matching Resources. Applicants should allocate no more than 1 percent of their budget to training activities.

**g. Implementing HUD's Strategic Framework and Demonstrating Results (2 points maximum).** In FY2011, HUD's Policy Priorities reflect the emphasis on sustainability, using housing as a platform for improving other outcomes which improve the health, safety and economic well-being of community residents, promote energy-efficient, environmentally friendly construction and rehabilitation in our communities, and increase capacity and knowledge sharing to improve outcomes and track improvements made in the areas of housing, health, safety, self-sufficiency, transportation and the living environment. For further

information on HUD's FY2010-2015 Strategic Plan and FY2011 Policy Priorities see sections I.A and B. of the **General Section**. To receive points for these policy priorities applicants must address the policy priorities described in items in paragraphs (1) and (2) below.

(1) Sustainability (up to 1 point). *Improve residents' health and safety, particularly that of children and other vulnerable populations, by promoting green and healthy design, construction, rehabilitation, and maintenance of housing and communities (HUD Strategic Plan Subgoal 4B).* To receive the point available under this policy priority, applicants must identify in their application specific projects and activities that will improve the health and safety of children and vulnerable populations in the community. Examples of approaches for such work are included in paragraphs (a) and (b) below.

Specific measures of success or performance for this policy priority include the number of housing units rehabilitated to meet recognized green building standards, and the number of children living in such housing units.

(a) Incorporation of green and healthy design features that meet or exceed the mandatory requirements identified in a green building standard such as the Enterprise Green Communities "Healthy Living Environment" criteria (Category 7) or similar requirements under national or locally recognized green rating programs. For more information on Enterprise's criteria, applicants should visit <http://www.greencommunitiesonline.org>. For more information on mitigating housing-related health hazards, applicants should review HUD's Healthy Homes Strategic Plan, ([http://www.hud.gov/offices/lead/library/hhi/hh\\_strategic\\_plan.pdf](http://www.hud.gov/offices/lead/library/hhi/hh_strategic_plan.pdf)), and the Healthy Homes Reference Manual (<http://www.hud.gov/offices/lead/library/hhi/HealthyHousingReferenceManual.pdf>).

(b) Partnering with State or local programs, non profit organizations, or community-based or faith-based organizations, to rehab units that will meet the green building standard criteria above upon completion of the grant.

(2) Utilize Housing as a Platform for Improving Quality of Life (up to 1 point). *Promote housing management practices that protect the health of residents (for example, smoking cessation, pest management, and green cleaning) (HUD's Strategic Plan Subgoal 3B).* To receive the point available under this policy priority, applicants must identify in their application specific projects and activities that will ensure that housing-related health hazards in addition to lead-based paint hazards, such as allergen triggers, pests, poor indoor air quality, and harmful chemicals, are mitigated.

Specific activities are:

1. Working with social service institutions, health care facilities, or schools to create referral mechanisms for children and other sensitive populations suffering from health problems that may have been triggered by hazards in the home environment - asthma, allergies, injuries, other respiratory issues - of the opportunity for a healthy homes intervention;

2. Working with local school officials to expand awareness of educators, school administrators and caregivers of potential environmental and safety risks to children in learning environments and actions they can take to reduce those risks.
3. Working with local school officials to create learning sessions in the local schools that raise awareness of children regarding housing-related health hazards - allergen triggers, impact of smoking, pest control practices, green cleaning methods and products, and on the seven principles of a healthy home (dry, safe, well-ventilated, pest-free, contaminant-free, clean, well-maintained).

Specific measures of success or performance for this policy priority include:

- a. The number of referrals made by social service institutions, health care facilities, or schools for a healthy homes intervention.
- b. The number of local school officials that have contacted the program for information on the potential environmental and safety risks to children in learning environments and actions they can take to reduce those risks.
- c. The number of local elementary, intermediate and high schools that have created learning sessions that raise awareness of children regarding housing-related health hazards.
- d. The number of families that participate in school sponsored learning sessions on healthy homes.
- e. The number of learning sessions provided to students.

#### **4. Rating Factor 4: Matching Resources (10 points maximum)**

**NOTE:** Under this rating factor, the awarding of points has changed for this program from the previous year's NOFAs. For this NOFA, we are no longer awarding points for resources other than match. Match sources may include any state or local government sources, CDBG funds (which are statutorily considered state funds), any private contributions, the value of any donated materials, the value of the time and services contributed by volunteers, and the value of any other in-kind services provided. Federal sources are generally not allowed unless otherwise permitted. **MATCH FUNDS MUST BE USED ONLY FOR CARRYING OUT ELIGIBLE ACTIVITIES IN THIS NOFA.**

- a. Matching Resources. Applicants will be given points based on the amount of total match resources in accordance with the table below (9 points). In awarding points, fractional percentages will be rounded down to whole number percentages, and will not be rounded up (e.g., providing 14.99% match resources will be treated as 14% and receive 4 points).

| <b>Match Resources Point Table</b>                            |                       |
|---|-----------------------|
| <b>Match Resources as Percent of Requested Federal Amount</b> | <b>Points Awarded</b> |
| 11 percent  | 1                     |
| 12 percent  | 2                     |
| 13 percent  | 3                     |
| 14 percent  | 4                     |
| 15 percent  | 5                     |
| 16 - 18 percent   | 6                     |
| 19 - 21 percent   | 7                     |
| 22 - 24 percent   | 8                     |
| 25 percent or greater   | 9                     |

b. Evidence of commitment for match (up to 1 point). While applicants are not required to submit evidence of a firm commitment for each matching resource from any organization other than their own, an additional 1 point will be awarded for evidence of commitment of all the match indicated on the SF424 by letters of firm commitment, Memoranda of Understanding, or other signed agreements from those entities identified as partners in the application, and 0.5 points if only some of the match is supported by evidence of commitment. Matching contributions must be shown to be used specifically for allowable program costs. The signature of the authorized official on the SF424 commits matching resources of your organization and from other sources. If all match is committed to come from your organization (i.e., none from other sources), 1 point will be awarded for the documentary evidence provided by the signature of the authorized official on the SF424. All match resources shall be tracked and verifiable according to OMB and program requirements. Contributions required of rental property owners may be included as part of your match resources (See Section III.B, Cost Sharing or Matching).

c. Application Consistency. Applicants should ensure that:

(1) the same total match amount is shown in the SF424 Application for Federal Assistance, Form HUD-424CBW: HUD: Detailed Budget Worksheet, and the narrative response to Rating Factor 4; and

(2) the total match amount shown is the sum of the individual components of the total match.

**5. Rating Factor 5: Achieving Results and Program Evaluation (10 points maximum).**

Completion of the e-logic model is not required for this NOFA. This rating factor reflects HUD's commitment to embrace high standards of ethics, management, and HUD's focus on performance management and outcome accountability. This factor emphasizes HUD's commitment to ensuring that applicants achieve the goals outlined in their work plan and other benchmark standards and assess their performance to ensure performance goals are met. The applicant is required to clearly identify the benefits or



outcomes of their proposed program.

a. Applicants should describe program activities, outputs and yearly outcomes for the entire period of performance. (8 points)

(1) Applicants should state clearly the project goals and activities (e.g., outreach, training, enrollment, housing evaluations, housing unit production, etc.) to achieve these goals. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated achievements. The activities and associated minimum completion percentages per quarter in the table below represent the mandatory minimum benchmarks for which the applicant will be held accountable to report on each quarter. Applicants should complete this table in your narrative based on the project goals established. This data will be incorporated into the Benchmark Performance Standards Worksheet that has been established for this program during award negotiations for inclusion into the grant agreement.

| ACTIVITY                                 | Q1 | Q2 | Q3  | Q4  | Q5  | Q6  | Q7  | Q8  | Q9  | Q10  | Q11  | Q12  | Q13  |
|--|----|----|-----|-----|-----|-----|-----|-----|-----|------|------|------|------|
| Units Enrolled                           |    | 5% | 15% | 30% | 45% | 55% | 65% | 85% | 95% | 100% |      |      |      |
| Assessments Completed                    |    | 5% | 10% | 20% | 30% | 45% | 55% | 65% | 85% | 95%  | 100% |      |      |
| Units Completed                          |    |    | 2%  | 5%  | 15% | 30% | 45% | 55% | 65% | 85%  | 95%  | 100% |      |
| LOCCS Drawdowns                          |    | 1% | 3%  | 5%  | 10% | 15% | 20% | 30% | 45% | 60%  | 80%  | 95%  | 100% |
| Community Outreach / Education- Training |    |    |     |     |     |     |     |     |     |      |      |      |      |

(2) Applicants should identify the procedures that will be followed to monitor and make adjustments to improve performance if benchmarks are not met within established timeframes.

In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program including:

(a) The degree to which hazard control work will be done in conjunction with other housing-improvement activities (*i.e.*, rehabilitation, weatherization, correction of code violations, green and healthy home initiatives, and other similar work), or your plan for the integration and coordination of hazard control activities into those activities in the future.

(b) Plans to develop public/private lending partnerships to finance hazard control or related work.

(c) The resulting impact of plans to adopt or amend statutes, regulations, or policies that will more fully integrate hazard control into community policies and priorities.

(d) The resulting impact of hazard control activities on AFFH and Section 3 objectives (see objectives I.A.2.f and j, respectively, in this program NOFA).

b. Applicants should describe what you are going to measure, how you are going measure it, how you will record/document it, and the steps you have in place to make adjustments to your work plan if performance targets are not met within established timeframes. (2 points)

(1) The applicant is to describe how your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program.

(2) Applicants should provide a description of the mechanism to assess progress and track performance in meeting the goals and objectives outlined in the work plan. Applicants should provide assurances that work plans and performance measures developed for the program will assist intended beneficiaries, and that work will be conducted in a timely and cost-effective manner. This evaluation should explore how well the technical strategy meets the conditions and needs found in the grantee's jurisdiction.

In evaluating this factor, HUD will consider how you have described your measures and benefits of your program including:

(a) The feasibility of the measures to assure accountability

(b) The appropriateness of the work plan to accomplish stated goals

## **6. Bonus Points (4 points maximum)**

a. RC/EZ/EC-II. Applicants are eligible for two bonus points if the application includes a valid Form HUD2990 certifying that the proposed activities/projects in the application are consistent with the strategic plan for an Empowerment Zone (EZ) designated by HUD or the U.S. Department of Agriculture (USDA), the tax incentive utilization plan for an urban or rural Renewal Community designated by HUD (RC), or the strategic plan for an Enterprise Community designated in round II by USDA (EZ-II), and that the proposed activities/projects will be located within the RC/EZ/EC-II identified above and are intended to serve the residents. HUD will verify whether the certification is consistent with data on <http://www.hud.gov/cr> and/or [http://egis.hud.gov/egis/cpd/rcezec/ezec\\_open.htm](http://egis.hud.gov/egis/cpd/rcezec/ezec_open.htm) for the awarding of the bonus points.

b. Preferred Sustainable Communities Status Bonus Points. In FY2011, HUD will award 2 bonus points to applicants that are working with the Preferred Sustainability Status recipients of the HUD FY2010 Sustainable Communities Regional Planning Grant Program and the FY2010 HUD funded Challenge Grant Program grantees. Please refer to the 2011 General Section for information on how to obtain these bonus points.

## B. Reviews and Selection Process

1. Rating and Ranking. Please refer to the FY2011 **General Section**.

a. Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the total number of points allocated for each of the rating factors described in Section V.A.

b. Remaining Funds. Refer to the FY2011 **General Section** for HUD's procedures if funds remain after all selections have been made within a category.

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

a. The maximum number of points to be awarded is 104. This maximum includes four bonus points related to EZ/ECs and the required certification and two bonus points related to Preferred Sustainable Status Community and the required certification as described in the FY2011 **General Section**.

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

| Rating Factors  | Maximum Points |
|---|----------------|
| 1. Capacity of the Applicant and Relevant Organizational Experience | 20             |
| 2. Need/Extent of the Problem                                       | 15             |
| 3. Soundness of Approach  | 45             |
| 4. Matching Resources   | 10             |
| 5 Achieving Results and Program Evaluation                          | 10             |
| Empowerment Zone, Renewal Zones and Enterprise Community (II)       | 2              |
| Preferred Sustainable Communities Status Bonus Points               | 2              |
| Total   | 104            |

## VI. Award Administration Information

### A. Award Notices.

1. Applicants Selected for Award

a. Successful applicants will receive a letter from the Office of Healthy Homes and Lead Hazard Control providing details regarding the effective start date of the grant agreement and any conditions, additional data and information to be submitted to execute the grant. This letter is not an authorization to begin work or incur costs under the grant. Costs will be authorized for successful applicants for attendance of up to three key staff (e.g., Program Manager, Project Director, fiscal staff, or other key day-to-day staff) at HUD's required New Grantee Orientation, which will be held within two months of award announcement. If your grant agreement is not signed by the New Grantee Orientation, costs incurred to attend the New Grantee Orientation are allowable in accordance with OMB's regulation on cost principles for State, local, and Indian tribal governments (2 CFR 225, especially Appendix B to part 225, Selected Items of Cost, sections 31, Pre-award costs, and 43, Travel costs) and selected applicants will be reimbursed for costs related to the new Grantee Orientation after the award agreement is signed. HUD reserves the right to disallow costs that are not reasonable, allowable and allocable in accordance with OMB Cost Principles.

b. HUD requires applicants to participate in negotiations to determine the specific terms of the grant agreement, budget, work plan, Benchmarks, or other requirements. Should HUD not be able to successfully conclude negotiations with a selected applicant within a period determined by HUD, an award will not be made. If you accept the terms and conditions of the grant agreement, you must return a signed grant agreement by the date specified. Instructions on how to have the grant agreement account entered into HUD's Line of Credit Control System (LOCCS) payment system will be provided. Other forms and program requirements will be provided. In accordance with OMB Circular A-133 (Audits of States, Local Governments and Nonprofit Organizations), if you expend \$500,000 in federal funds in a single year, you must follow the requirements of the Single Audit Act and must submit your 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/>.

2. Debriefing. Refer to the FY2011 **General Section** for additional details.

3. Negotiation. Refer to the FY2011 **General Section** for additional details.

4. Adjustments to Funding. Refer to the FY2011 **General Section** for additional details.

**B. Administrative and National Policy Requirements.** Refer to the FY2011 **General Section** for additional details regarding the Administrative and National Policy Requirements applicable to HUD Programs.

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

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

3. Procurement of Recovered Materials. See the FY2011 **General Section** for information concerning this requirement.

### **C. Reporting.**

Reports shall comply with the FY2011 **General Section** and specific program reporting requirements as described below.

1. Successful applicants will be required to submit certain quarterly, annual, and final program and financial reports according to the requirements of the OHHLHC, including new Transparency Act Reporting requirements (see item 4. below). Specific guidance and additional details will be provided to successful applicants in the grant agreement. OHHLHC will include these reporting requirements in its terms and conditions as part of the grant agreement in its 2011 awards.

2. All grant recipients must comply with reporting requirements of subpart E (Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. § 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects)) and the HUD regulations at 24 CFR Part 135 (See Section III.C.6.c).

3. Transparency Act Reporting.

a. Recipient Reporting to Meet the Requirements the Federal Financial Assistance Accountability and Transparency Act of 2006 as amended.

(1) Prime Awardee Reporting. Prime recipients of HUD financial assistance are required to report subawards made either as pass-through awards, subrecipient awards, or vendor awards in the federal governmentwide website [www.fsr.gov](http://www.fsr.gov) or its successor system.

Starting with awards made October 1, 2010 prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subawards, including awards made as pass-through awards or awards to vendors, where both the initial award is \$25,000 or greater or the cumulative award will be \$25,000 or greater if funding incrementally as directed by HUD in accordance with OMB guidance. The reporting of award and subaward information is in accordance with the requirements of Federal Financial Assistance Accountability and Transparency Act of 2006, as amended by section 6202 of Public Law 110-252, hereafter referred to as the "Transparency Act" and OMB Guidance issued to the Federal agencies on September 14, 2010 (75 FR 55669) and in OMB Policy guidance. The prime awardee will have until the end of the month plus one additional month after a subaward or pass-through award is obligated to fulfill the reporting requirement. The Transparency Act requires the creation of a public governmentwide website in which the following subaward data will be displayed:

- (a) Name of entity receiving award;
- (b) Amount of award
- (c) Funding agency;

- (d) North American Industry Classification System (NAICS) code for contracts/CFDA program for financial assistance awards;
- (e) Program source;
- (f) Award title descriptive of the purpose of the funding action;
- (g) Location of the entity (including Congressional district);
- (h) Place of Performance (including Congressional district);
- (i) Unique identifier of the entity and its parent; and
- (j) Total compensation and names of top five executives.

For the purposes of reporting into the FFATA Sub-award Reporting System (FSRS) reporting site, the unique identifier is the DUN and Bradstreet Universal Numbering System (DUNS) number the entity has obtained from Dun and Bradstreet, and for Prime awardees the DUNS number registered in the Central Contractor Registration as required by HUD regulation 24 CFR 5.1004.

(2) Prime Awardee Executive Compensation Reporting. Prime awardees must also report in the governmentwide website the total compensation and names of the top five executives in the prime awardee organization if:

(a) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

**(3) Subaward Executive Compensation Reporting.** Prime awardees must also report in the governmentwide website the total compensation and names of the top five executives in the subawardees, pass-through or vendor organization if:

(a) More than 80% of the annual gross revenues are from the Federal government, and those revenues are greater than \$25 million annually; and

(b) Compensation information is not readily available through reporting to the Securities Exchange Commission (SEC.)

(4) Transparency Act Reporting Exemptions. The Transparency Act exempts any sub-awards less than \$25,000 made to individuals and any sub-awards less than \$25,000 made to an entity whose annual expenditures are less than \$300,000. Subawards with a cumulative total of \$25,000 or greater are subject to subaward reporting beginning the date the subaward total award amount reaches \$25,000. Any other exemptions to the requirements must be approved by the Office of Management and Budget.

4. Compliance with Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Pub. L. 110-417), hereafter referred to as “Section 872.” Section 872 requires the establishment of a governmentwide data system 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. It is anticipated that the federal data system will be known as the Federal Awardee Performance and Integrity Information System (FAPIIS). Only federal officials and the entity will be able to view the information in the FAPIIS system.

Further, each recipient of federal funds with a cumulative value greater than \$10 million and their direct (i.e., first-tier) subrecipients would be required to report to the FAPIIS system. The data collection requirements include information about certain civil judgments, criminal convictions, and outcomes of administrative proceedings that reached final disposition within the most recent 5-year period and were connected with the award or performance of a federal or state award. Recipients and first-tier subrecipients must report information at least semi annually to maintain the currency of the information. Section 872 also requires that an entity be allowed to submit comments to the data system about any information that system contains about the entity. Use of the FAPIIS system requires a DUNS number and current valid registration in the CCR for HUD awardees and first-tier subrecipients.

Prior to making a funding decision, the federal official authorized to make the award is required to determine whether the entity is qualified to receive an award, taking into consideration any information about the entity that is in the data system. OMB is in the process of issuing regulations regarding federal agency implementation of Section 872 requirements. A proposed rule was published in the Federal Register on February 18, 2010, by OMB seeking public comments no later than April 19, 2010.

HUD's terms and conditions to its FY2011 awards will contain requirements related to meeting Section FFATA and Section 872 requirements.

5. Grant recipients who purchase X-ray fluorescence (XRF) analyzers or other equipment in excess of \$5,000 apiece must complete the General Services Administration'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, 2010). 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 [http://www.whitehouse.gov/omb/grants\\_standard\\_report\\_forms/](http://www.whitehouse.gov/omb/grants_standard_report_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.

## **VII. Agency Contacts**

For programmatic questions, you may contact Michelle M. Miller, Director, Programs Division, Office of Healthy Homes and Lead Hazard Control: Department of Housing and Urban Development; 451 Seventh Street, SW, Room 8236, Washington, DC 20410-3000; telephone 202-402-5769 (this is not a toll-free number); facsimile 202-755-1000; e-mail:

[Michelle.M.Miller@HUD.gov](mailto:Michelle.M.Miller@HUD.gov). For administrative questions, you may contact Nadine L. Heath, Acting Director of Grants Services Division, at the address above or by telephone at: 202-402-7580 (this is not a toll-free number); facsimile 202-755-1000; email:

[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 via TTY by calling the toll-free Federal Relay Service at 1-800-877-8339.

## VIII. Other Information

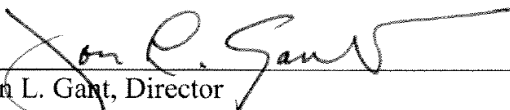
**A. General.** For additional general, technical, and grant program information pertaining to the Office of Healthy Homes and Lead Hazard Control, visit <http://www.hud.gov/offices/lead/>.

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

**C. Environmental.** 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 public inspection between 8 a.m. and 5 p.m. weekdays in the Regulations Division, Office of General Counsel, Department of Housing and Urban Development, 451 Seventh Street SW, Room 10276, Washington, DC 20410-0500. Due to security measures at the HUD Headquarters building, an advance appointment to review the FONSI must be scheduled by calling the Regulations Division at (202) 708-3055 (this is not a toll-free number).

**D. Appendices.** Appendices A, B, and C to this NOFA are available for downloading with the application at [www.Grants.gov](http://www.Grants.gov).

Dated: 6 APR 11

  
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Jon L. Gant, Director  
Office of Healthy Homes and Lead Hazard Control