

Lead-Based Paint Hazard Control
Healthy Homes Demonstration and Education
Healthy Homes Research

OMB Approval No. 2539-0008 (exp 1/31/2004)
OMB Approval No. 2539-0008 (exp 1/31/2004)
OMB Approval No. 2539-0008 (exp 1/31/2004)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the three Lead Hazard Control Programs are based on the rating factors listed in the HUD SuperNOFA for 2001.

For the Lead-Based Paint Hazard Control and Healthy Homes Initiative grant programs (Healthy Homes Demonstration and Education and Healthy Homes Research), the public reporting burden for this collection of information is estimated to average 100 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project 2539-0015, Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600.

Do not send this form to the above address.

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to these Notices of Funding Availability for Lead Hazard Control Grant Programs is subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).

This publication contains the Application Kits and Notices of Funding Availability for three grant programs administered by the HUD Office of Healthy Homes and Lead Hazard Control. They are:

Lead-Based Paint Hazard Control. The purpose of the Lead-Based Paint Hazard Control Grant program is to reduce the exposure of young children to lead-based paint hazards in their homes. This program provides funding to States, Indian, and local governments to evaluate and reduce lead-based paint hazards in private housing rented or owned by low-income families.

Healthy Homes Research Program. The purpose of this program is to fund research about health and safety hazards in the home environment that produce serious diseases and to develop accurate, cost-effective methods for assessing and controlling these hazards. This program provides funding to State, local, and Indian tribal governments and not-for-profit and for-profit organizations.

Healthy Homes Demonstration and Education Program. The purpose of the Healthy Homes Demonstration and Education Program is to build upon the Department's existing activities on housing related health and safety issues, including lead hazard control, building structural safety, electrical safety, and fire protection, to address multiple childhood diseases and injuries related to housing in a more coordinated fashion. The demonstration and education program provides funding for projects that demonstrate effective hazard assessment and intervention methods and projects that focus on public education and outreach efforts. These programs provide funding to State, local, and Indian tribal governments, and not-for-profit and for-profit organizations.

A single copy of the General Section of the SuperNOFA is provided at the end of this book. The General Section applies to all three grant programs in this publication. Included with the General Section are a HUD Field Offices list and an Empowerment Zone/Entitlement Community (EZ/EC) Main Contact list.

In addition, forms required by a specific program are provided in the Kits. Forms common to all three Office of Healthy Homes and Lead Hazard Control programs are provided in the Annexes and Common Forms Section of this publication.

**Office of Healthy Homes and Lead Hazard Control
Application Kits Table of Contents**

The Lead-Based Paint Hazard Control Grant Program	<i>Page 1</i>
The Healthy Homes Research Program	<i>Page 77</i>
The Healthy Homes Demonstration and Education Program	<i>Page 115</i>
Annexes and Common Forms	<i>Page 157</i>
Annex A Administrative Costs	<i>Page 159</i>
Annex B Threshold Review Checklist	<i>Page 163</i>
Annex C Other Requirements	<i>Page 167</i>
Common Forms	<i>Page 173</i>
The SuperNOFA General Section	<i>Page 175</i>

This Page Intentionally Left Blank

Lead-Based Paint Hazard Control

Application Kit

Fiscal Year 2001

This Page Intentionally Left Blank



U. S. Department of Housing and Urban Development
Washington, D.C. 20410

Office of Healthy Homes and Lead Hazard Control

APPLICATION KIT FOR THE FY2001 LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM

Dear Applicant:

Thank you for requesting an Application Kit for the Lead-Based Paint Hazard Control Grant Program. This is the ninth year that HUD will be awarding funds to make homes lead-safe for children. Funds will be available to assist State, local, and tribal governments to initiate or expand programs to identify and control lead-based paint hazards in eligible privately-owned housing. HUD continues to be especially interested in cost-effective and safe lead hazard control approaches that can be replicated across the nation.

This year's grant program provides \$59 million for State, tribal, and local governments. Approximately 20 to 25 grants of \$1 million to \$3 million each will be awarded to control lead-based paint hazards in eligible privately-owned housing. Approximately 70 percent of the funds in this Notice of Funding Availability (NOFA) will be available to previously funded Lead-Based Paint Hazard Control grantees, who will be evaluated and scored separately from previously unfunded applicants. Grantees funded under last year's Lead-Based Paint Hazard Control NOFA issued February 24, 2000 (65 FR 9539) are not eligible for this round of funding. State and Tribal applicants must have an EPA authorized State or Tribal Lead-Based Paint Contractor Certification and Accreditation Program in order to be eligible. The applications are due on May 17, 2001.

This year the budget must include a minimum of (2) percent of the total Federal amount requested to promote the creation of a workforce properly trained in lead-safe work practices and which is available to work in HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Regulation (Section 1012 and 1013 of Title X of the Housing and Community Development Act of 1992).

The NOFA includes changes to make the application process simpler and less time consuming. Before you begin preparing your application, please read the entire Application Kit and NOFA to ensure your eligibility and to verify that the activities you select clearly meet the program objectives and are eligible for assistance. This Application Kit includes detailed instructions for each component of the application submission, including the necessary forms and tables. Please follow the instructions to ensure you meet all the requirements for a complete application. The Application Kit, additional resource documents, necessary forms, and answers to frequently asked questions are also available on the Office of Healthy Homes and Lead Hazard Control's home page at: www.hud.gov/offices/lead

In accordance with the HUD Reform Act of 1989, HUD cannot provide any information on the relative standing of any application. However, prior to submission, you may ask questions about the grant program by calling the Office of Healthy Homes and Lead Hazard Control at (202) 755-1785 (this is not a toll-free number). Please note that your proposals submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act. **Please refer to the NOFA for the application deadline.**

We applaud your interest in providing homes free of lead paint hazards for our nation's children. Good luck!

Sincerely,

David E. Jacobs, PhD
Acting Director

This Page Intentionally Left Blank

Lead Hazard Control Grant Program Table of Contents

	Page
Section 1: General Instructions	7
Section 2: Preparing Your Application	15
Transmittal Letter	15
Abstract	15
Required Forms	15
Factors for Award and Scoring	16
Budget	16
Responses to Rating Factors	17
Rating Factors	19
Section 3: Administrative Provisions	34
Section 4: Environmental Review	35
Lead Hazard Control Application Kit Annexes	A-37
Annex 1: Lead Hazard Background	A-39
Annex 2: Definitions	A-40
Annex 3: References	A-43
Annex 4: Section 1011 of Title X	A-45
Annex 5: Eligibility of HUD Assisted Housing	A-46
Annex 6: Elements of a State Certification Program	A-47
Annex 7: Blank and Sample Forms	A-48
Checklist and Submission Table of Contents	A-49
Frequently Asked Questions	73
FY 2001 Lead-Based Paint Hazard Control Grant Program NOFA	75

This Page Intentionally Left Blank

Lead-Based Paint Hazard Control Grant Program

SECTION 1. GENERAL INSTRUCTIONS AND GUIDELINES FOR APPLICANTS

General Instructions : This Application Kit should be used to apply for Lead-Based Paint Hazard Control Grant Program funding.

The Notice of Funding Availability (NOFA) can be found at the back of this application kit and should be read before preparing the application.

- 1. Program Description:** The Lead-Based Paint Hazard Control Grant Program assists States, Tribal, and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately-owned housing units for rental and owner-occupants. These funds will be awarded to:

 - Maximize both the number of children protected from lead poisoning and housing units where lead-hazards are controlled;
 - Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;
 - Stimulate cost-effective approaches that can be replicated;
 - Emphasize lower cost methods of hazard control;
 - Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and
 - Affirmatively further fair housing and environmental justice.
- 2. Objectives:** The objectives of the Lead-Based Paint Hazard Control Grant Program are to:

 - Implement a national strategy to assist States, tribal, and local governments to build the capacity necessary to eliminate lead-based paint hazards in all housing;
 - Encourage effective action to prevent childhood lead poisoning by establishing a workable framework for lead-based paint hazard identification and control;
 - Mobilize public and private resources, involving cooperation among all levels of government, the private sector and community-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards;
 - Develop comprehensive community approaches which result in integration of all community resources (governmental, community-based, and businesses) to address lead hazards in housing
 - Integrate lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs which will continue beyond the life of the grant;
 - Establish a public registry of lead-safe housing; and
 - Promote job training, employment, and other economic opportunities for low-income residents and businesses which are owned by and/or employ low-income and minority residents.
- 3. Legislative Authority:** This NOFA is authorized under Section 1011 of the Residential Lead-Based Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Public Law 102-550).
- 4. Eligibility:** This is a competitive grant program limited to a State, tribal, or unit of local government that has identified housing and community development needs, as well as a long-term strategy for meeting those needs. For this program, the “applicant” is considered to be the State, tribe or local government. Only one application may be submitted from each applicant. In the event an applicant submits multiple applications, no application will be reviewed until the applicant notifies HUD as to which application should be reviewed. The others will be returned unevaluated. If you are a State or Tribal government, you must have an authorized EPA Lead-Based Paint Contractor Certification and Accreditation Program by the application deadline to be eligible. A matching contribution of 10 percent of the requested grant is required of the grantee. Applicants with outstanding findings of civil rights violations are not eligible for funding.

Applicants must also meet a number of Threshold Requirements as specified in the General Section of the SuperNOFA and this NOFA, as well as demonstrate that they have the legal authority to carry out lead hazard control activities associated with this program.

Approximately 70 percent of the funds under this NOFA shall be available to existing (or previous) Lead-Based Paint Hazard Control grantees which meet the additional performance-based threshold criteria set forth in this NOFA. Applications of existing (or previous) grantees shall be evaluated and scored as a separate class and will not be in competition with previously unfunded applicants. This limitation is imposed to build capacity in those areas where no previous grant supported work has been implemented, while still retaining the Department's ability to target some funds to areas already being served. Grantees funded under the FY 2000 Lead-Based Paint Hazard Control NOFA issued February 24, 2000 are not eligible for this round of funding.

Generally, grant funds shall only be available for projects conducted by contractors, risk assessors, inspectors, workers and others engaged in lead-based paint activities who meet the requirements of an authorized State or Tribal Lead-Based Paint Contractor Certification and Accreditation Program under the requirements of section 404 of the Toxic Substances Control Act (TSCA). However, certain low level hazard interventions such as dust control and minor lead-based paint stabilization do not require certified personnel, unless required by State or local laws or regulations.

Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within the six months preceding the housing intervention.

Each grantee must provide a matching contribution of at least 10 percent of the requested grant sum. This may be in the form of a cash and/or in-kind contribution.

5. Eligible Hazard Control Activities: Grant funds to identify and control the hazards of lead-based paint in eligible privately-owned housing units constructed before 1978 can be used for the following direct and support activities. HUD encourages local innovation in performing work under this grant. HUD reserves the right, in negotiating the grant agreement, to disapprove budget items that, in its judgment, are not necessary for the direct support of program purposes, and to request the grantee to reallocate such amounts for other acceptable purposes, or to make a corresponding reduction in the grant award.

ELIGIBLE UNITS

Lead hazard control activities may be conducted only in eligible housing units. The criteria for eligibility are:

- The unit must be privately owned. Housing units owned and operated by public entities will only be eligible if: (1) the unit will transfer to private or non-profit ownership within six (6) months following lead hazard control activities, and (2) the units will comply with the residency, income, and child occupancy requirements published in this NOFA. Units owned by non-profit entities are considered to be privately owned.
- The housing may be owner occupied or rental property. The resident (owner or tenant) must be low or very low income.
- The housing units must have been constructed prior to 1978.

DIRECT ACTIVITIES

- a. Performing dust testing, hazard screens, inspections, and risk assessments of eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures. All test results must be provided to the owner of the unit, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.
- b. Conducting pre-lead hazard control blood lead testing of children under the age of six years residing in units undergoing inspection, risk assessment, or hazard control, unless reimbursable from Medicaid or another source. Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within six months preceding the housing intervention.
- c. Conducting lead hazard control activities which may include any combination of the following:
 - Interim control of lead-based paint hazards in housing (which may include intensive cleaning techniques to address lead dust);
 - Hazard abatement where the approach may be different for each unit, dependent upon condition of the unit and the extent of hazards; and
 - Abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e. dripline or foundation of the unit being treated, and children's play areas. Complete abatement of all lead-based paint or lead-contaminated soil in a unit or structure is not acceptable as a cost effective strategy and may only be performed under exceptional circumstances.
- d. Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for reoccupancy.
- e. Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors and contractors (in accordance with applicable OSHA regulations).
- f. Undertaking minimal housing rehabilitation activities under this program that are specifically required to ensure effective hazard control, and without which, the hazard control could not be carried out. Grant funds from this program may also be used for lead-based paint hazard control work conducted in conjunction with separately-funded housing rehabilitation programs.
- g. Conducting clearance dust-wipe sampling and analysis for lead by a National Lead Laboratory Accreditation Program (NLAPP) recognized laboratory. The EPA risk assessment and clearance standards for dust-lead hazards are 40 $\mu\text{g}/\text{ft}^2$ for floors, 250 $\mu\text{g}/\text{ft}^2$ for interior window sills, and 400 $\mu\text{g}/\text{ft}^2$ for window troughs (clearance only).
- h. Carrying out engineering and architectural activities that are necessary for, and in direct support of, lead hazard control.
- i. Providing training to low-income persons for the purposes of lead-based paint worker or contractor certification and/or licensing.
- j. Providing free training to homeowners, renters, painters, remodelers, and apartment maintenance staff working in low-income housing on lead-safe essential maintenance practices.
- k. Providing cleaning supplies to community/neighborhood-based organizations, homeowners, and renters in low income housing.

- l. Conducting planning, coordination, and training activities to facilitate local implementation of HUD's regulations on Lead-Based Paint Poisoning Prevention in Certain Residential Structures (published at 64 FR 50140, and which became effective on September 15, 2000. These regulations are available from the National Lead Information Center at 1-800-424-LEAD.
- m. Conducting general or targeted community awareness, education, or outreach programs on lead hazard control and lead poisoning prevention. This activity could also include educating owners of rental properties to the provisions of the Fair Housing Act as it applies to marketing lead-safe housing. It would also include making all materials available in appropriate languages or alternative formats for persons with disabilities (e.g.; Braille, audio, large type), upon request.
- n. Purchasing or leasing equipment having a per unit cost under \$5,000.
- o. Purchasing or leasing up to two (2) X-ray fluorescence analyzers for use by the Lead-Based Paint Hazard Control Grant Program.
- p. Procuring liability insurance for lead hazard control activities.
- q. Supporting the data collection, analysis, and evaluation of grant program activities. This activity includes compiling and delivering such data as may be required by HUD. Note that this activity is not included in administrative costs, for which there is a separate 10 percent limit (See Annex A in the Forms Section at the back of this book).
- r. Conducting applied research activities directed at demonstrating cost effective methods for lead hazard control. A maximum of five (5) percent of the total grant request may be utilized for applied research activities.
- s. Conducting lead-safe work practice training activities to promote the creation of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls on HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Regulation. A minimum of two (2) percent of the total Federal amount must be dedicated to these activities.
- t. Preparing a final report at the conclusion of grant activities.

SUPPORT ACTIVITIES

- a. Administrative costs. A maximum of 10 percent may be spent on administrative costs. See Annex A in the Forms Section.
- b. Program planning and management costs of sub-grantees and other sub-recipients.

INELIGIBLE ACTIVITIES

- a. Purchase of real property.
- b. Purchase of equipment having a per unit cost in excess of \$5,000, except for X-ray fluorescence analyzers.
- c. Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-federal funds used to cover these costs may be counted as part of the required matching contribution.
- d. Lead hazard control activities in publicly-owned housing, or Project-Based Section 8 housing. A table listing eligibility for various HUD programs is included in Annex 5 of this application kit.

6. Other Requirements: To be considered eligible for this grant program, applicants must have a current HUD-approved Consolidated Plan or an abbreviated Consolidated Plan. You should submit the Certification of Consistency with the Consolidated Plan form provided in the Forms Section in the back of this book and include, as an appendix to the application, a copy of the lead-based paint element from the currently approved Consolidated Plan. Please include the Certification of Consistency with the Consolidated Plan form and a copy of the Lead-Based Paint portion of the Consolidated Plan in Appendix 6 of your application.

In addition to the requirements concerning the Consolidated Plan discussed above, several additional requirements are discussed in the Forms Section at the end of this book. These include public access to application materials, prohibition of lobbying activities, procurement standards, and others.

7. Maximum Assistance and Local Contributions: Approximately \$59 million is available to fund 20 to 25 grants. Grants will range between \$1 and \$3 million. As a minimum eligibility requirement, each grantee shall provide a cash and/or in-kind match of at least 10 percent of the requested grant amount. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutorily required ten (10) percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement.

The grant amount requested is to be a single overall request for the period of performance. **Approximately 70 percent of the funds of this NOFA shall be available to existing (or previous) Lead-Based Paint Hazard Control grantees.**

8. Completion of Work: Previously unfunded applicants must plan for and complete project activities within 36 months. Previously funded applicants must plan for and complete project activities within 30 months.

9. Final assembly of an Application Package: Section 2 (Preparing Your Application) provides or describes all the pages, forms, certifications, and attachments necessary to apply for a grant under this NOFA. The application should be assembled in the order shown in the Checklist and Table of Contents, number each page, and tab each section sequentially. Show the page numbers on the Checklist and Table of Contents sheet that is to be included with the submission. Since applications may not be corrected or changed after the deadline date, review your application to ensure it is complete and correct. **The narrative response to the Rating Factors cannot exceed a total of 25 pages (this does not include the budget or materials in the appendices). Tabular information must be provided in the appropriate appendix.**

To help verify that the application is complete, the Threshold Review checklist that HUD will use is provided for you in Annex B in the Forms Section in the back of this book. We recommend you use it to assist in the assembly of a complete application.

In addition, relevant supplemental material for these factors may be submitted. Such materials should be supplied in appendices as shown below. These appendices may consist of required threshold documents such as a copy of the lead-based paint element of the Consolidated Plan, tabular scientific data validating rating factor responses, organizational chart(s), resumes, job descriptions, Memoranda of Agreement/Understanding, letters of commitment for participating in project, additional supporting documentation from the Analysis of Impediments and other pertinent Fair Housing and Equal Opportunity planning documents and other letters of support.

Do not include copies of individual training certificates, lead related licenses, licenses for XRF equipment or other similar material. These documents are not required for the review of the application.

To ease assembly and speed the review process, the appendices should be provided in the sequence indicated below:

- Appendix 1 Materials relating to Rating Factor 1 - Capacity of the Applicant and Relevant Organizational Experience
- Appendix 2 Materials relating to Rating Factor 2 - Need/ Extent of Problem
- Appendix 3 Materials relating to Rating Factor 3 - Soundness of Approach
- Appendix 4 Materials relating to Rating Factor 4 - Leveraging/ Partnerships
- Appendix 5 Materials relating to Rating Factor 5 - Comprehensiveness and Coordination
- Appendix 6 Materials relating to the application thresholds or forms. The extract from the Consolidated plan should be provided in this appendix.
- Appendix 7 Other materials related to the application

Attach any miscellaneous items or documents to the application which support or are part of your lead-based paint hazard control program application. These appendices should be limited to maps, data tables, documents and forms that **directly** pertain to your proposed lead-based paint hazard control project and **must be either specifically referenced and/or requested in responding to the factors for award**. Additional narrative explanation for the Rating Factors is not acceptable and will not be reviewed. Information, materials, and documents which do not, in HUD's sole opinion, meet these requirements will not be considered in the application review. It is not necessary to submit copies of individual training certificates or licenses.

Exceeding the 25 page limit for your narrative responses to the rating factors will be deemed a deficiency. If the page limit is exceeded, only the first twenty five pages of your narrative response will be reviewed.

Section 3 (Administrative Provisions) pertains to those applicants who are selected for an award. This section outlines the procedures HUD will follow in providing funds to recipient organizations and in administering the grant. See Annex A in the Forms Section for guidance. Full details will be included in the Grant Agreement.

10. Application Deadline: Please refer to the Notice of Funding Availability (NOFA) published in the Federal Register for the deadline for the receipt of applications. Applications must be submitted complete and on-time as required in the NOFA. Applications received after the deadline established will be ineligible for consideration.

Hand-delivered applications must be received at the Office of Healthy Homes and Lead Hazard Control by the application deadline date and time. Facsimiles and electronically transmitted applications are not authorized and are not acceptable.

Submit an **original** and **four copies** of your application package to:

U.S. Department of Housing and Urban Development
Office of Healthy Homes and Lead Hazard Control
Attn: Mr. Ellis G. Goldman
451 Seventh Street, SW, Room P3206
Washington, D.C. 20410

Applications which are **hand carried or for overnight express delivery** should be delivered during business hours to **Room 3206, 490 L'Enfant Plaza, SW, Washington, D.C. 20024**. The postmark or shipping receipt is evidence that the application was submitted on time. It is not necessary to hand carry applications. Please do not request Saturday or Sunday delivery on overnight shipments. Hand carried applications delivered after office hours should be delivered to the Seventh Street address shown above.

11. Corrections of Minor Deficiencies: HUD will notify an applicant, in writing, shortly after the NOFA response deadline of any minor deficiencies in the application that are not of a substantive nature, such as an omitted certification or illegible signature. The applicant shall submit corrections which must be received at the HUD Office of Healthy Homes and Lead Hazard Control within 14 calendar days from the date of HUD's letter notifying the applicant of any minor deficiencies. Electronic or facsimile (FAX) transmittal is not an acceptable transmittal mode. Corrections to minor deficiencies will be accepted only within the time limit. **Applicants who do not make timely responses to requests for deficiency corrections shall be removed from further consideration for award.**

Applicants will be permitted to correct only those deficiencies determined by HUD to be minor. Deficiencies determined by HUD to be substantive may not be corrected.

12. Late Applications, Modifications of Applications, and Withdrawals of Applications:

- a. Any application received at the office designated in the solicitation after the exact date and time specified for receipt will not be considered.
- b. Any modification of an application is subject to the same deadlines as for the original application.
- c. Applications may be withdrawn by written notice, facsimile or telegram (including mailgram) received at any time prior to award. Applications may be withdrawn in person by an applicant or their authorized representative, provided their identity is made known and they provide written confirmation of their request.

13. Post Award Requirements: Those applicants selected for funding will be required to submit the following materials as part of the grant negotiation process.

- a. Copy of the most recent audit report for the program or unit of government.
- b. Overhead, fringe benefits, and indirect cost rates and documentation of Federal approval.
- c. Documentation of approved pay scales.

It is not necessary to provide these materials as part of the application for funding.

14. Further Information: If you have any questions regarding your application or any other aspect of the grant program, call Ellis G. Goldman at (202) 755-1785, ext. 112. (This is not a toll-free number).

This Page Intentionally Left Blank

SECTION 2. PREPARING YOUR APPLICATION

Transmittal Letter

Prepare a brief letter applying for the grant and signed by the Chief Executive or other authorized official. The transmittal letter should indicate the applicant agency, the amount of the grant requested, the amount of cash or in-kind matching contributions and the number of housing units in which lead hazard control will be conducted. Also include the name and telephone number of the individual to contact for further information pertaining to the application.

Applicant Abstract

Prepare a brief (**two page maximum**) abstract describing your jurisdiction, and the proposed lead-based paint hazard control project. Include the following items, and be specific and concise:

- the amount of the Federal request and the amount of the local match;
- the number of units in which lead hazard control activities will be conducted;
- the organization(s) which will participate, either conducting the lead hazard control or in another role;
- demographic, socio-economic and housing characteristics of neighborhood(s) selected for hazard control activities;
- your prior activities, experience and achievements in residential lead-based paint hazard control work, including testing and treatment methods, and collaboration with other agencies;
- the scope and magnitude of the proposed hazard control project that details the area selected, number of housing units, intended beneficiaries, and the projected impact on the neighborhood/jurisdiction; and
- how the work will be accomplished.

Required Forms

Prepare and submit the following forms (found in the back of this book) as part of your application:

SF-LLL	Disclosure of Lobbying Activities *
SF 424	Application for Federal Assistance *
SF-424A	Budget Information - Non Construction Programs * † complete only page 1 of the SF-424A
SF-424B	Assurances - Non-Construction Programs *
HUD-424 -M	Federal Assistance Funding Matrix
HUD-2880	Applicant/Recipient Disclosure/Update Report *
HUD-2990	Certification of Consistency with the EZ/EC Strategic Plan *
HUD-2991	Certification of Consistency with the Consolidated Plan *
HUD-2992	Certification Regarding Debarment and Suspension *
HUD-2993	Acknowledgment of Application Receipt *
HUD-50070	Certification for a Drug-Free Workplace *
HUD-50071	Certification of Payments to Influence Federal Transactions * Total Budget (Federal Share and Matching) †

* These forms are also available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUDClips website at www.hudclips.org (available from the HUD homepage at www.hud.gov)

† These forms are also available as Excel (XLS) spreadsheet from the HUD Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/lea/leaforms.html

Applicants are encouraged to use the electronic version of the Total Budget (Federal Share and Matching)

Factors for Award and Scoring

The applications will be rated according to the five technical rating factors totaling 100 points. Applications from previously unfunded and existing applicants will be evaluated separately (previously unfunded applicants will not compete against existing or previous grantees). Existing (and previous) Lead Hazard Control grantees will be rated in Factor 1 on additional elements related to their performance in implementing their most recent grant award. Previously unfunded applicants will be rated in Factor 3 on additional elements related to their proposed work plan and budget.

Rating Factor	Previously Unfunded Applicant	Existing Grantee Applicant
1. Capacity of the Applicant and Relevant Organizational Experience	15 points	30 points
2. Need/Extent of the Problem	20 points	20 points
3. Soundness of Approach	45 points	30 points
4. Leveraging/Partnerships	10 points	10 points
5. Comprehensiveness and Coordination	10 points	10 points
Empowerment Zone and Enterprise Community Bonus Points	2 points	2 points
TOTAL	102 points	102 points

Two bonus points will be awarded for eligible activities/projects proposed to be located in **Federally designated** Empowerment Zones (EZ) or Enterprise Communities (EC) that serve the EZ or EC residents.

If you wish to be considered for these bonus points you should submit the Certification of Consistency with the EZ/EC Strategic Plan. A list of EZ/ECs is at HUD's Web site at www.hud.gov and is included with forms in the back of this publication. Identify the aspects of your proposed program which will be located within the boundaries of an EZ or EC. If so, you should have the authorized official sign and date the Certification of Consistency with the EZ/EC Strategic Plan, and include it with your application.

Budget

The proposed budget will be evaluated in terms of whether it is reasonable, clearly justified, and proposes to support eligible activities consistent with the intended use of the grant funds. A maximum of 30 months for existing (or previous) grantees and 36 months for previously unfunded grantees will be budgeted for the planning, implementation, and completion of lead hazard control activities.

The applicant must allocate a minimum of 60% of its requested grant for direct lead hazard control activities. Direct lead hazard control activities consist of inspections, risk assessments, lead hazard control services, and clearance evaluations. Direct lead hazard control activities do not include relocation, blood testing of residents or workers, housing rehabilitation, training, community education, applied research, purchase of supplies or equipment, or administrative costs.

The applicant must include a minimum of two (2) percent of the total Federal amount to promote the creation of a workforce properly trained in lead-safe work practices. This workforce is to be available to conduct interim controls on HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Regulation (Section 1012 and 1013 of Title X of the Housing and Community Development Act of 1992)

HUD reserves the right to not approve or fund all proposed activities. All budget categories and costs (Standard Form 424A Section B and Total Budget (Federal Share and Matching)) and major tasks should be thoroughly documented and justified.

Include pertinent historical data as well as information obtained from various vendors. All direct labor or salaries must be supported with documented pay scales. All fringe and indirect cost rates must be supported by audited data. It is not necessary to provide audit data or pay scales with the application.

Submit a separate estimate for the overall grant management element, "Administrative Costs," which are more fully defined in Annex A. The budget shall include not more than 10 percent for administrative costs and not less than 90 percent for direct project elements.

Please complete the Total Budget (Federal Share and Matching) using the Sample Form as a guide. You are encouraged to use the spreadsheet version which may be downloaded from www.hud.gov/lea/leaforms.html. Cost elements include:

Direct Labor, Fringe Benefits, Travel, Equipment, Materials & Supplies, Consultants, Subcontracts, Other Direct Costs, and Indirect Costs. The narrative justification associated with these budgeted costs should be included as an attachment to the Total Budget (Federal Share and Matching). The budget narrative justification is not counted as part of the 25 page limit for the rating responses.

Matching in-kind and cash contributions are to be reflected on Standard Form 424A Section B. (See Exhibit B for an example on how to complete this form).

The applicant should develop its budget request with the following items or assumptions included:

- Direct labor costs should include all full- and part-time staff required for the 36 month (30 months for existing grantees) planning and implementation phase of grant program activities. These costs should be based on FTE or hours/year (e.g., one FTE equals 2080 hours per year or local equivalent). State or local pay scales should be provided as an appendix to the application.
- Travel expenses should be budgeted to allow for a maximum of 3 trips (of 2 to 3 days in length) to Washington, DC for a maximum of 3 individuals.
- A maximum of two field-portable XRF machines may be purchased.

Any subcontracts, sub-grants, or sub-recipients receiving greater than 10 percent of the total Federal budget request should provide a similar cost proposal breakout.

Responses to Rating Factors

Please respond to each of the five Rating Factor items. This NOFA limits your narrative response to the Rating Factors to **a total of twenty-five (25) pages. Responses must have clearly numbered pages, a complete table of contents, appendices (as described), and be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point font with not less than 3/4" margins on all sides.**

Appendices for the response to the Rating Factors may only consist of required threshold documents such as a copy of the lead-based paint element of the Consolidated Plan, tabular scientific data validating rating factor responses, organizational chart(s), resumes (no more than two pages each), job descriptions, Memorandums of Agreement/Understanding, letters of commitment for participating in project, supporting documentation from the Analysis of Impediments, other pertinent Fair Housing and Equal Opportunity planning documents, and other letters of support.

Within the grant resources available, HUD intends to fund the highest rated applications, but reserves the right to fund other eligible applicants to ensure that available funds are used effectively to promote the purposes of Title X.

This Page Intentionally Left Blank

Rating Factors

Requirement Summary

In this factor, you should detail:

- the skills and experience of staff and applicant agency
- a description of participating organizations and the roles they will play
- specific and time-phased and measurable objectives, including lead hazard control activities
- if an existing (or previous) grantee, the progress and achievement made in implementing its most recent grant award

Remember to Discuss

- Percentage of time each staff person or contractor will devote to project – a staffing roster may be included in Appendix 1 to provide this information
- How existing resources devoted to lead hazard control work will continue to be maintained and used in conjunction with HUD Lead Hazard Control grant funds
- Level of involvement your agency will have in general oversight and the oversight of the participating organizations
- Plans to concurrently implement lead hazard control activities with the most recent grant award, if applicant is an existing grantee

Remember to Discuss

Factor 1:

CAPACITY OF THE APPLICANT AND RELEVANT ORGANIZATIONAL EXPERIENCE

15 points for Previously Unfunded Applicants
30 points for Existing (or Previous) Grantee Applicants

Demonstrate that your organization has the skills, authority and capability to successfully initiate and carry out the lead-based paint hazard control program within the required time frames set forth in the NOFA.

1. ADMINISTRATIVE AND PROGRAM MANAGEMENT CAPACITY

15 points for Previously Unfunded Applicants
10 points for Existing (and Previous) Grantee Applicants

Provide a comprehensive description of your administrative organization (including staff who will be responsible for carrying out the program), the participating organizations, and the roles each will perform in implementing the Work Plan (including other state and local agencies, consortium associates, community-based organizations, sub-grantees, partners, subcontractors, sub-recipients, joint venture participants, and others assisting in implementing the project). Describe the management processes or systems that will allow the effective integration of other governmental and community-based organizations into the planning and service delivery process of this grant. Describe your substantial involvement in the oversight of the participating organizations and general oversight of the grant.

Indicate the key personnel, their position titles, their qualifications, their specific project responsibilities, and percentage of their time to be devoted to the project as well as any salary costs to be paid by the grant. Table 1 in Annex 7 provides the format for this information. Demonstrate that you have sufficient personnel or can quickly access qualified experts or professionals to deliver the proposed activities in a timely and effective fashion. Include a clearly identified organizational chart for the Lead Hazard Control grant program effort as an appendix. Include resumes (limited to no more than two pages each) and salary information for up to three key staff in the appendix. Please note that certifications, licenses, or other documentation for personnel should not be submitted. If the certifications are relevant, they should be indicated on the resume or the staffing roster. If new staff are to be recruited for the lead hazard control project, a copy of the position description that details the skills, experience, proposed duties, responsibilities, and salaries for each new hire should be provided as an appendix. An explanation should be provided denoting whether new hires will be contractual employees or employees of the State, county, tribe, or municipality.

Describe recent experience and the capacity of your jurisdiction to initiate and successfully implement lead hazard control efforts and/or similar environmental, health, or housing projects. Indicate any past experience in providing cost-effective lead-based paint hazard control activities in conjunction with other Federal, State, tribal, or locally funded programs. Describe your jurisdiction's readiness and ability (including governmental and community-based partners) to immediately begin the proposed work program and complete the testing and hazard control program within the period of performance. Describe the prior work history of the agencies and groups that will work together under this grant, other cooperative efforts, and other lead program activities. Detail the efforts to be made to assure that HUD grant funds will not be used to supplant existing resources devoted to lead hazard control work. **Existing grantees must describe their plans to concurrently implement lead hazard control activities under this NOFA with all earlier grant awards.** Table 2 in Annex 7 provides the format for

- The approach used to ensure that “shared” resources (staff of other related programs) will be available

jurisdiction experience and capacity information. The applicant should complete Table 2 or facsimile that describes other related (non-OLHC) lead grant programs.

Describe the demonstrated knowledge and experience of the proposed overall project director and the day-to-day program manager in planning and managing large and complex interdisciplinary programs involving housing rehabilitation, public health, and environmental management. Discuss prior and current experience of the proposed manager and staff in dealing with lead-based paint hazard control or similar projects and how they relate to the lead-based paint hazard control project.

Discuss how the project will be managed on a day-to-day basis. The percentage of time devoted to the project as well as the knowledge and experience of the project director and day-to-day program manager are significant factors to be considered. To be eligible to receive maximum points, your day-to-day program manager must be dedicated to the grant program for a minimum of 75% of his/her time. Provide a discussion of the authority and responsibility of the project director and program manager in ensuring that the program will be carried out according to the proposed work plan and that health and housing program coordination occurs.

Each applicant must carry out its hazard control program under an operational EPA authorized State program that is at least as protective as the training and certification program requirements outlined in Annex 6 of this application kit.

Remember to Discuss

2. PERFORMANCE

20 points for Existing (or Previous) Grantees Only

- Your performance (if an existing or previous grantee) in terms of the number and percentage of units completed

An existing (or previous) grantee applicant must provide a description of the progress and achievements made in implementing its most recent grant award within its period of performance. Existing (or previous) grantees which have demonstrated greater progress in the implementation of their most recent grant award will receive more favorable consideration under this factor for award relative to other existing (or previous) grantee applicants.

For this sub-factor, progress will be measured by the percentage of housing units completed and cleared compared to the number of projected units indicated in the current grant agreement for the most recent grant award (as of the quarter ending March 31, 2001). If an existing grantee elects to participate as a sub-grantee (of another existing grantee), the performance that will be evaluated is that of the applicant. For this aspect of this sub-factor, existing (or previous) grantees will receive no points if their progress is below: 90% for Round 3 grantees; 80% for Round 4 grantees; 60% for Round 5 grantees; 45% for Round 6 grantees; and 30% for Round 7 grantees. Applicants will receive points to the extent their production exceeds the percentages shown above. Your response should address the number of projected units in your grant agreement as well as the number of units that have been completed.

Describe the achievement of specific milestones during the implementation of your program as well as success in overcoming obstacles that confronted your program. Highlight specific instances in which the program has made a positive impact in the community. Describe any decreases noted in the number of children with elevated blood lead levels (EBL), average blood lead levels, and dust lead levels. Describe activities that were instituted which resulted in the training, certification and/or employment of low-income persons in lead hazard control

work and other project activities.

Also describe what activities were undertaken to develop the local infrastructure and its capacity to continue lead-based paint activities after the grant period of performance (e.g., remediation without the use of federal funds, implementation of local lead ordinances or policies, development of a contractor pool, inter-agency collaboration, integration of lead-based paint work with rehabilitation and code enforcement, establishment of a lead-safe registry, etc.). The applicant may refer to information contained in other Rating Factors in its response to this Factor.

Requirement Summary

Factor 2:

NEED/EXTENT OF THE PROBLEM

20 points for All Applicants

In response to this factor, detail the following:

- the number of EBL children, number of children at risk for EBLs, and the sources for this information
- the age and condition of the units to be treated, as well as the sources for this information
- the number of low-income families within the target area
- other socio-economic or environmental factors relating to applicant need
- the relationship of the Consolidated Plan with the request for assistance

Demonstrate the degree of need that exists in the target area where activities are proposed to take place, *as well as* the entire jurisdiction. Describe the scope and magnitude of the current lead-based paint problem that will be addressed with grant program funds.

If you do not have economic, demographic, and housing data for the targeted areas, your responses to the following sub-factors should include a discussion of why those targeted areas were identified and what criteria were used.

Include other information that may document your need for assistance, including information contained in the Consolidated Plan’s Analysis of Impediments (AI) and its lead-based paint element or strategy.

1. SOCIO-ECONOMIC CONDITIONS

8 points for All Applicants

Document the number and percentage of children less than six years of age with elevated blood lead levels in your jurisdiction as well as in the areas targeted in your proposal. Table 3 (in Annex 7) provides a format for this information. In addition, document the number and proportion of children less than six years of age at risk of lead poisoning in the target area. Detail how this information was determined.

Document the number and percentage of families whose incomes do not exceed 50 (very low) and 80 (low) percent of the median income for the target area as determined by HUD, with adjustments for family size. Note: the 50 and 80 percent income levels may be obtained from www.huduser.org

Detail any other socioeconomic or environmental factors that document a need to establish, continue, or expand lead hazard control work in your target area.

Detail any other data relevant to the target area or jurisdiction that may document an unmet need. These data may include the number of lead poisoned children where the identified lead-based paint hazards have not been remediated, the number of lead-based paint health and/or housing code violations, or the number of pre-1978 housing units anticipated to undergo rehabilitation in the next 12 months.

2. HOUSING STOCK

8 points for All Applicants

Document the age and condition of housing in the target area. If possible, please provide housing data in the following categories: pre-1940 construction, pre-1950 construction, pre-1960 construction and pre-1978 construction. Document the number and proportion of pre-1978 housing units with deteriorating interior and exterior lead-based paint, lead-contaminated dust or bare lead-contaminated soil. Detail how this information was determined (surveys, data, etc.). Table 4 (in Annex 7) provides a format for this information.

If data on housing age and condition are available only for the jurisdiction, you should provide a subjective assessment that compares the target areas to the overall jurisdiction.

Remember to Discuss

- Information on both the targeted areas as well as the entire jurisdiction
- The condition and type of the housing stock

Additional maps, tables, charts, or other pertinent data may be included in the appendix.

3. CONSOLIDATED PLAN
4 points for All Applicants

Detail the relationship between the proposed activities, community needs, and the purpose of the program funding. Document the levels of priority that have been placed on addressing the needs as noted in your community's Consolidated Plan. You should also discuss "Need" in terms of fulfilling the requirements of court actions, court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements including those related to the Analysis of Impediments to Fair Housing Choice. HUD will review more favorably applications in which the Consolidated Plan or Analysis of Impediments supports the need for your specific proposed project or documents an impediment to fair housing that your specific project will address. If your community's Consolidated Plan or Analysis of Impediments does not show the need for lead-based paint hazard control or an impediment that lead-based paint hazard control will address, you should address other data that demonstrates the need or impediment.

Requirement Summary

Factor 3:

SOUNDNESS OF APPROACH

45 points for Previously Unfunded Applicants
 30 points for Existing (or Previous) Grantee Applicants

In this factor, you should detail:

- where the target areas are located
- who the program will assist and the selection criteria involved
- how the applicant will organize for and perform the lead hazard control activities
- the schedule for the program actions
- program funding mechanism
- what testing and hazard control methods will be employed
- why the applicant has chosen the hazard control methods selected
- the process used for the development of work specifications
- the number of units to be tested and treated and the estimated costs
- the relocation plan
- awareness, education, and outreach efforts
- program evaluation and data collection efforts
- the proposed budget by program element
- actions to affirmatively further fair housing choice
- provisions for employment and economic development opportunities for low- and very low-income persons

Demonstrate how the proposed Work Plan will result in cost-effective and measurable tasks or activities that will accomplish program objectives. To the extent possible, describe a comprehensive strategy to address the need to protect targeted neighborhoods rather than individual units or homes.

1. LEAD HAZARD CONTROL STRATEGY

37 points for Previously Unfunded Applicants
 22 points for Existing (or Previous) Grantee Applicants

A. Implementing a Lead Hazard Control Program

16 points for Previously Unfunded Applicants
 8 points for Existing (or Previous) Grantee Applicants

Describe how you will implement the strategy for the identification, prioritization, selection, and enrollment of units of eligible privately-owned housing in which risk assessment, paint inspection, and lead hazard control will be undertaken (housing having a risk assessment or inspection before a grant award may be included if performed in accordance with the HUD Guidelines).

Describe how the proposed program will satisfy the needs articulated in the Consolidated Plan and will assist in overcoming the effects of the impediments noted in the Analysis of Impediments. Describe how the proposed program will further and support the policy priorities of the Department, including the provision of lead-safe units that will remain affordable (OLHC recommends that grantees allow landlord to charge no more than the lesser of the fair market rent for existing housing for comparable units in the area or 30 percent of a tenant's adjusted income. For a detailed discussion of affordable rents please refer to the HOME regulation at 24 CFR 92.252(a)); the expansion of fair housing choice; the promotion of healthy homes; and the provision of educational and job training opportunities. Describe how your strategy will provide long-term benefits to families with children under six years of age.

Describe the actions you will take to implement this grant program in your jurisdiction. Describe the efforts to enroll owner-occupants, investor owners, landlords, and tenants.

Document the extent to which the activities to be implemented will provide HUD with measurable results to be achieved with the funds requested. Measurable results should be stated in terms relevant to the purpose of program funds (e.g., estimated number of units to be made free of lead-based paint hazards, estimated number of children living in units made lead-safe, estimated number of persons to be trained to perform lead hazard control activities, estimated number of educational programs to be presented and/or the number of persons to be served by such programs, and the basis for these estimates) as a direct result of the work performed within the performance period of the grant. Each proposed activity must be eligible as described in the NOFA and meet statutory requirements for assistance to low- and very low-income persons.

Remember to Discuss

Describe how this program will relate to other HUD-funded rehabilitation, community-funded rehabilitation, and other federal lead programs (i.e., EPA, CDC).

- Progress and achievements to Describe the degree to which the work plan focuses on housing units with children

date, if applicant is an existing grantee. Existing grantees should explain any modifications of their program strategies between their proposal and their earlier grant

- Existing grantees should describe how the grant activities proposed in this application will be performed concurrently with earlier grants

under 6 years old, including those already with EBL children. Describe the planned approach to control lead hazards before children are poisoned and/or to control lead hazards before children have already been identified with elevated blood lead levels. Describe how your strategy will allow the program to address the needs of EBL children living outside the targeted areas.

Detail which of the following classifications are also selection criteria and describe why those criteria are proposed for use:

- vacant properties to be occupied by families with children under six years of age
- older housing (pre-1978, pre-1960, pre-1950, pre-1940)
- substandard housing
- other factors

Describe the target area and/or subset of the housing stock in which lead hazard control will be performed (maps, tables, and data may be included as an appendix).

- Is the target area of eligible privately-owned housing proposed for lead hazard control a particular area, census tract, community or neighborhood?
- Are units to be included in lead hazard control work chosen on an individual unit-by-unit basis, or does your plan encompass all units in a building, community or neighborhood?
- To what extent will the proposed activities occur in an Empowerment Zone or Enterprise Community? How will the proposed activities benefit the residents of those zones or communities?

Describe the status of units (owner-occupied, rental, or vacant) in which lead hazard control interventions are likely to be undertaken. Table 5 (in Annex 7) provides a format for this information. In addition, provide a description of the physical size (i.e., number of bedrooms) and general physical building characteristics (e.g., predominately detached, single family, wooden structure) of the eligible privately-owned units within your jurisdiction. While a comprehensive assessment provides the greatest amount of information, an abbreviated assessment should be included if more information is unavailable.

Provide a detailed description of your funding mechanism or strategy:

- Denote which organization or agency will administer/monitor the financing program, detail its qualifications, and describe its operating procedures.
- Describe whether the funding mechanism for the lead hazard control will involve the use of grants, deferred loans, forgivable loans, mortgage restrictions or private sector financing.
- Describe any matching requirements proposed for assistance to investor-owned properties. Investor-owner match that is documented as a program requirement should also be reflected in your response to Factor 4.
- Describe the eligibility criteria, terms, conditions, and amounts available for financing lead hazard control work in eligible units.
- State whether tax credits, rebates or other incentives will be used.

Describe the efforts that will be undertaken to obtain contractors to bid on conducting lead hazard control activities in the units selected. Describe the lead-based paint contractor selection process for both the testing and the lead hazard control elements of the project.

B. Lead Hazard Control Outreach and Community Involvement

5 points for All Applicants

Describe the specific plan for general and/or targeted efforts (other than our grant

program) currently underway to address lead exposure in your jurisdiction (e.g., childhood lead poisoning prevention programs, education or public awareness campaigns).

Describe the proposed community awareness, education, training, and outreach activities to be conducted in support of the work plan and objectives. This activity should go beyond testing and hazard control and try to ensure that all families will have adequate, lead-safe housing.

- Who will be responsible for ensuring that these activities are implemented? Name the organization or individual responsible for ensuring that this plan is carried out.
- Will community or neighborhood based organizations perform any of the proposed activities?
- Which groups will be targeted for outreach efforts (parents, landlords, real estate brokers/agents, etc.)?
 - Will the local health care providers, non-profit housing corporations, the public school system or others be involved?
 - How will low-income persons participate in the selection or delivery of education and outreach services?
- Will there be community surveys of rental property owners and managers on marketing, tenant selection practices and knowledge of State lead-based paint removal regulations?
- What will be the content and format of information to be delivered or distributed?
- What media will be used (e.g., TV, radio, feature articles in newspapers)?
- How will your educational outreach and enrollment programs meet the diverse cultural or language needs of the residents? What are the languages of your targeted groups?

Describe how the effectiveness of your outreach program will be assessed.

C. Technical Approach for Conducting Lead Hazard Control Activities

16 points for Previously Unfunded Applicants

9 points for Existing (or Previous) Grantee Applicants

Important Points

Conducting interim control of lead-based paint hazards in housing may include:

- Repairing rotted or defective substrates that could lead to rapid paint deterioration Note: Although repairing defective building systems that cause substrate damage is a prerequisite for effective interim control, lead hazard control grant funds cannot be used for major repairs to building systems. Thus, a roof can be patched but not replaced. For major rehabilitation, other resources must be used.
- Paint film stabilization -- stabilizing all deteriorated lead-based paint surfaces by removing deteriorating paint and repainting.

Your narrative response to this sub-factor will be used to assess how well the program will perform. The discussion should include the essential (who, what, when, duration, and cost) information necessary to understand the activities. This information may be provided as a discussion of a "typical" unit being treated in which you describe the process for selecting, testing, contracting, and completing a unit. This description should include a discussion of the participating organizations, responsibilities, costs, and duration.

Describe the lead-based paint standards that will be used. You may use State statute, local ordinance, or the HUD standards (1.0 mg/cm² or 0.5% by weight). Identify proposed standards that are more restrictive than the HUD's. Standards less stringent than HUD's may not be used.

Clearance dust testing must be conducted according to the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR 745 subparts D and L. . The EPA and HUD clearance and risk assessment standards for lead-contaminated dust are 40 µg/ft² for floors, 250 µg/ft² for interior window sills, and 400 µg/ft² for window troughs (wells).

Describe the testing methods, schedule, and estimated costs for performing risk assessments, inspections, or a combined risk assessment and inspection. Detail who will provide these evaluation services. The laboratory to be used by the program for

- Friction and impact surface treatments -- treating floors and interior window sills and window troughs so that they are smooth and cleanable. Windows, doors, stair treads, and floors should be treated when they are generating lead-based paint chips or excessive levels of leaded dust that cannot be controlled with ordinary cleaning.

analysis of environmental samples must be recognized under EPA's National Lead Laboratory Accreditation Program (NLLAP).

Describe the testing methods, schedule, estimated costs, and performers for the required blood lead testing of children under the age of six years occupying units scheduled for lead hazard control activity within six months prior to the commencement of such work. Discuss the process for the referral of children with elevated blood lead levels for medical case management.

Describe the lead hazard control method(s) or combination of methods that will be used. Describe the number of housing units to be treated for each method selected (e.g., low-level interventions, interim controls, hazard abatement). If complete abatement is proposed, provide the rationale for that decision, highlighting why less intensive approaches were not proposed. Describe how the proposed program will provide lead-safe housing to satisfy critical needs located outside your targeted areas.
- Treating protruding, accessible surfaces, such as interior window sills, where lead-based paint may be present and there is either visual or reported evidence that children are mouthing or chewing on them.

Detail the process that will be used for the development of work specifications for the selected lead hazard control method(s). When will specifications be developed and bids awarded? How will the proposed lead hazard control activities be integrated with rehabilitation activities? Provide an estimate of the unit costs for each method proposed as part of the lead hazard control activity and the time frames projected to initiate, conduct, and complete lead hazard control work in units selected. The proposed cost estimates provided should be reasonable for the work to be performed and appropriate for the geographic area where the activities are occurring. Describe how these cost estimates were developed, comparing them to your previous experience in lead hazard control activities. Table 6 in Annex 7 provides a format for this information.
- Treating bare soil around the perimeter of a home or in children's play areas containing excessive levels of lead.
- Dust removal and control -- cleaning surfaces to reduce leaded dust to acceptable levels.

Discuss your schedules for the overall program as well as a typical unit. For the program, set your planned schedule for completing the planning process (approval of the Work Plan), completing lead hazard control on the first unit, and completing the project. For a typical unit, provide time estimates for enrollment, qualification, evaluation, hazard control, and clearance. Describe the management processes which will be used to ensure the cost-effectiveness of the lead hazard control methods.

Describe proposed plans for the safe and effective conduct of the hazard control work. Certified individuals must be used for all testing and lead hazard control work, except very low level interventions requiring only dust control and minor paint stabilization (unless required by State or local laws or regulations). Non-certified individuals are allowed to perform paint stabilization when the area of paint being disturbed is no greater than 20 square feet on exterior surfaces, 2 square feet in an interior room, or 10% of a building component with a small surface area (such as a painted window frame). Discuss how you will ensure that the lead hazard control performers used in this grant program will be appropriately certified. Describe how your plan will ensure that certified risk assessors and inspectors performing unit testing will be independent of the abatement contractor.

Describe the plan for occupant protection and the temporary relocation of occupants of units selected for lead hazard control work:

- What relocation plans are envisioned for owner-occupants?
- Will the relocation of tenants in target housing involve the use of lead safe houses and/or other housing arrangements, stipends, and incentives?
- What are the estimated costs and will costs for moving and storage of household goods and other appropriate services be budgeted?

Describe proposed post-hazard control maintenance plans for units. Describe how ongoing monitoring and/or testing will be conducted by owners, residents or certified personnel.

For previous grantees, production under your most current grant is a barometer for future performance. Previous grantees must provide a complete description of their progress and accomplishments in implementing their most recent lead hazard control grant award. If the strategy and/or methods proposed in this application differ from your previous grant, the reasons for this modified strategy should be discussed. If the production (as measured by the percent of the units completed and cleared on the quarterly report ending March 31, 2001) of their most recent grant award is below 100% for Rounds Three and Four, 75% for Round Five, 60% for Round Six, or 45% for Round Seven, explain what changes in the strategy and proposed work plan will be made to ensure completion of the units and effective production under this grant. If your production is below the above values and no changes are proposed, explain why the strategy in the earlier grant remains appropriate and how your production will be increased for this round of funding. **Please note that the percentages shown above are not the same as the minimum performance needed to receive points under Factor 1 1.A of this application.**

Existing grantees must describe the actions that will ensure that they will concurrently accomplish multiple grant programs.

2. ECONOMIC OPPORTUNITY

4 points for All Applicants

Provide a discussion of how training, employment, business development, and contract opportunities will be promoted and/or provided while pursuing the goal of lead hazard control. Describe how you will integrate such activities in creating the workforce properly trained in lead-safe work practices and which is available to conduct interim controls on HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Regulation. Include as evidence the names, descriptions and proposed roles, resources, and responsibilities of each participating group or organization, and include memoranda of understanding or agreement, letters of commitment, or other documentation detailing specific information on levels of participation and employment commitments. Specify how these efforts and job training/ employment partnerships will be accomplished. Describe how individuals and contractors in housing related sectors such as painters, remodelers, renovators, maintenance personnel, and rehabilitation specialists will be trained in lead-safe practices. The application will be rated according to the quality and completeness of the information provided on the proposed activities of local participants.

Detail the extent to which opportunities are provided for:

- self-sufficiency, particularly for persons enrolled in welfare to work programs;
- enhanced economic, social and/or living environments in Empowerment Zones or Enterprise Communities; and
- educational and job training opportunities through such initiatives as AmeriCorps and CLEARCorps.

Additionally, Section 3 of the Housing and Community Development Act of 1992 requires that, when employment or contract opportunities are generated, the recipient of HUD funding shall give preference in hiring to low- and very low-income persons, or in contracting to businesses owned by or that employ substantial numbers of low- and very low-income persons. To the greatest extent feasible, the applicant should detail how job training, employment, and other economic opportunities will be promoted for low-income residents and businesses which are owned by and/or employ low- and very low-income residents as defined in 24 CFR 135.5 (See 59 FR

33881, June 30, 1994).

**3. PROGRAM EVALUATION, DATA
COLLECTION, AND RESEARCH**

4 points for All Applicants

Describe how data and other program information will be obtained, documented, and shared among the various participants of the program (e.g., meetings, correspondence, reports) in order to enhance or otherwise improve program performance.

Identify and discuss the specific methods to be used, in addition to HUD reporting requirements, to measure progress, evaluate program effectiveness, and identify program changes to improve performance.

Describe the objectives, methodology, and local impact of any proposed applied research activities to be funded under this program. If the proposed research program cannot be developed to the joint satisfaction of HUD and the grantee, the amount identified may be reprogrammed into other lead hazard control activities or the grant amount reduced.

Existing grantees must be current in their monthly and quarterly HUD reporting requirements to be eligible for the maximum number of points for this sub-factor.

Requirement Summary

Factor 4:

LEVERAGING RESOURCES

10 points for All Applicants

In this factor, you should:

HUD grant funds must not be used to supplant existing resources devoted to lead hazard control work.

- identify the participation of community and neighborhood organizations and the private sector in terms of time, effort, responsibilities, and resources
- include in the appendix copies of memorandums of understanding or agreement, letters of commitment, or other documentation detailing specific commitments
- specify the amount and sources of the minimum 10 percent matching contribution

1. LEVEL OF PARTICIPATION
6 Points for All Applicants

Provide a detailed description of your progress and accomplishments in enlisting the broad participation of specific government entities, community-based organizations, public or private organizations, or other entities partnering with the applicant through specific commitments of time, effort, responsibilities, and resources (including private banks, insurance firms, local housing agencies, community development corporations, other community-based organizations or advocacy groups). Existing grantees should discuss any plans to expand or enhance their partnership efforts under this NOFA. Table 7 in Annex 7 provides the format for this information.

Detail any activities to increase the understanding of lead poisoning prevention activities in your community. This could include partnerships with childhood lead screening programs or collaboration with ongoing health, housing, or environmental research efforts which could result in a greater availability of resources.

Remember to Discuss

- Existing grantees must provide a discussion of their plans to expand or enhance their partnership efforts under this NOFA
- Existing or potential Community Reinvestment Act funding mechanisms

Contractual relationships with community-based organizations are a requirement for State and local government applicants and should be fully described. Applicants which do not have such relationships at the time of application will be required to establish contracts with community-based organizations (CBO) immediately following notification of the grant award. Applicants may also contract with other program funding recipients to coordinate the use of resources in the target area. The requirement to contract with CBOs does not apply to tribal governments.

Detail the informal or formal arrangements between the participating organizations and the applicant. Memoranda of understanding or agreement, letters of commitment, contracts, or other documentation detailing specific information on the type and level of participation should be included. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

The Community Reinvestment Act offers a significant and often overlooked opportunity to secure private sector financing of childhood lead poisoning prevention efforts by means of a wide variety of potential funding mechanisms. In addition, two programs exist that can make public sector funds available for the financing of lead hazard evaluation and control efforts through private sector banks: incentive- and linked-deposit programs. Applicants may refer to the publication, *Innovative Financing Sources for Lead Hazard Control* published by the Alliance to End Childhood Lead Poisoning (as noted in the Appendix) for further details.

2. MATCHING CONTRIBUTION

4 Points for All Applicants

Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. At a minimum, a 10 percent matching contribution of the requested grant sum must be provided. Specify the amount and sources of the minimum 10 percent matching contribution, any additional resources, and how they will be provided (i.e., by cash or by in-kind services or personnel). If in-kind contributions are used, attribute a monetary value, provide the basis for the value of the contribution, and explain how the contributions will be used in the project. Each source of contributions should be made in a letter of commitment from the contributing entity, describing the contributed resources and the monetary value. Resources directly contributed by the applicant are considered to be committed and do not require letters.

Community Development Block Grant (CDBG) funds are the only Federal funds that may be considered part of the 10 percent matching contribution and only to the extent that they are specifically dedicated to and integrated into supporting the lead-based paint hazard control program.

Matching contributions required of investor-owners may be included as part of your match. Documentation and estimates for the amount of the match should be provided in the annex for this factor.

Staff in-kind contributions should be correlated with the discussion above. Absence of letters of commitments, or inclusion of letters without adequate detail, will result in that contribution not being counted.

See sample of Standard Form 424A Section B (Exhibit B) as an example of the arrangement and allocation of line item costs for the required 10% matching contribution and other resources committed to the program.

Points for this factor will be awarded only for the amount of the net contributions that exceed the 10 percent statutory minimum. If you fail to show the statutory match, you will receive no points for this sub-factor and will be required to provide it prior to grant award.

Requirement Summary

Factor 5:

COMPREHENSIVENESS AND COORDINATION

10 points for All Applicants

In this factor, you should detail:

- lead hazard control linkages with other activities, programs and projects, particularly those that will continue after the grant is completed
- involvement in the Consolidated Planning process in your community
- actions to affirm fair housing choice

Detail the present linkages, or the specific steps to develop linkages with other Federal (including HUD), State, or locally funded lead-related housing, health, and environmental activities through meetings, information networks, planning processes, or other mechanisms to coordinate actions. Describe how your proposed activities interface with the activities of other HUD Lead-Based Paint Hazard Control grantees, CDC Childhood Lead Poisoning Prevention grantees, HUD or EPA Lead Outreach and Education grantees, and other programs which are addressing lead poisoning prevention needs in your metropolitan area or region. Detail efforts to encourage the formation of lead poisoning prevention or control efforts outside of your local jurisdiction (within the State, if you are a State applicant). Provide evidence and/or develop a specific plan outlining what actions the applicant has taken or will take to integrate and coordinate lead-based paint hazard control into ongoing housing, health and environmental programs (including any lead-related Superfund or Brownfields efforts) that will continue after the grant is completed.

Remember to Discuss

- The relationships you have established with private sector and community-based organizations to develop capacity and a sustainable infrastructure
- The extent of lead hazard control integration efforts

Applicants should review the Lead-Based Paint Hazard Reduction and Financing Task Force report: *Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing* (see Annex 3). The Task Force report notes lead hazard control integration may include:

- incorporating lead-based paint maintenance and hazard control standards into housing codes and health regulations;
- incorporating lead-based paint hazard control with other housing rehabilitation or code violation activities;
- using public subsidies or other resources;
- developing public-private partnerships to finance lead hazard control as part of acquisition and rehabilitation financing; and
- using revolving loan funds for future lead hazard control activities.

Describe specific plans and objectives to implement and maintain a registry of publicly available information on lead-safe units so families with children, particularly those under age 6, can make informed decisions regarding their housing options. Existing grantee applicants must describe their registry of lead-safe housing and specifically discuss its availability, the amount of information contained in it, and its use by members of the community.

Detail should be provided on your planned or actual efforts -- as well as private sector and/or neighborhood-based efforts -- to develop lead hazard control capacity and build a sustainable infrastructure. You should provide information on how these organizations will be involved in the process to develop community plans and priorities to address lead hazards. Discuss how the proposed lead hazard control efforts will be integrated with other community rehabilitation efforts.

Describe how the lead hazard control efforts which are focused in the Empowerment Zone/ Enterprise Community will directly benefit the residents or community in that EC/EZ.

Identify the facilitating agency that organizes and administers the Consolidated Plan process in your jurisdiction. Detail the Consolidated Plan issue areas in which your organization participates and your active involvement in any Consolidated Plan committees. If your organization is not currently active in the

Consolidated Plan process, detail the specific steps that it will take to become involved and identify and address needs/ problems related in whole or in part to lead hazard control activities.

The application should demonstrate a knowledge of the community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and propose activities to substantially further fair housing choice. Demonstrate how funding would be used in conjunction with the State or local government's Fair Housing Planning strategy to overcome any identified impediment to fair housing choice, which pertains to lead-based paint, and how experience with this program will be used to update these documents. Specific impediments, plans for correcting the identified impediments, and planned updates to the Analysis of Impediments should be described.

SECTION 3. ADMINISTRATIVE PROVISIONS

Obligation of funds

- Provision of funds. Funding shall be provided on a cost-reimbursable basis not to exceed the amount of the grant.

Availability of funds.

- All payments will be made on a cost-reimbursable basis, except that a one (1) percent final payment shall be withheld and made upon completion of all tasks and the delivery and acceptance of the final report by the Government Technical Representative.
- HUD will release funds for the inspection of units and for conducting the lead hazard control phase (interim controls, hazard abatement, or complete abatement) of the program after the grantee has submitted and secured HUD approval of HUD Form 7015.15 (Request for Release of Funds and Certification) which certifies that the grantee has fulfilled the environmental review requirements of the grant.

Increases of awards

- After executing the grant agreement and initial obligation of funds, HUD will not increase the grant sum or the total amount to be obligated based upon the original scope of work.

Deobligation

- Reasons for deobligation. HUD may deobligate amounts for the grant if proposed activities are not initiated or completed within the required time after the effective award date. The grant agreement will set forth in detail other circumstances under which funds may be deobligated and other sanctions imposed.
- Treatment of deobligated funds. HUD may undertake either or both of the following actions:
 - Readvertise the availability of funds that have been deobligated under this section in a new NOFA; or
 - Choose additional applications or increase funding for applications that were submitted in response to this NOFA in accordance with the selection process described in this NOFA.

Reports

- The grantee shall submit the following types of reports:
 - Monthly updates on progress.
 - Progress Reports. The grantee shall submit quarterly progress reports in accordance with the HUD Office of Healthy Homes and Lead Hazard Control policies. These progress reports shall include expenditure reports and a narrative describing important events, milestones, work plan progress, and problems encountered during the period covered. Grantees will be provided the applicable forms and reporting instructions.
 - Final Report. The grantee shall submit a final report in accordance with the procedures of the HUD Office of Healthy Homes and Lead Hazard Control policies. The report shall summarize the applicant's plans, execution of the plans, achievements noted, and lessons learned. The report need not be lengthy, but should be of a quality and detail to provide a free-standing description to any outside reader of all of the applicant's work and achievements under the grant. Grantees will be provided the applicable forms and reporting instructions.

SECTION 4. ENVIRONMENTAL REVIEW

In accordance with the Multifamily Housing Property Disposition Reform Act of 1994, HUD regulations in 24 CFR Part 58 provide that recipients of lead-based paint hazard control grants will assume Federal environmental review responsibilities. Recipients of a grant under this NOFA will be given guidance in carrying out these responsibilities.

A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations in 24 CFR Part 50, which implements Section 102(2)(C) of the National Environmental Policy Act of 1969, 42 U.S.C. 4332. The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Rules Docket Clerk, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 10276, Washington, D.C. 20410.

This Section Intentionally Left Blank

Application Kit Annexes

This Page Intentionally Left Blank

Annex 1 - Lead Hazard Background

Lead is a powerful toxicant that attacks the central nervous system. It is particularly damaging to the neurological development of young children. Pregnant women can transfer lead through the placenta to the fetus. Lead-based paint is one of the major sources of lead in the environment. In addition to paint, lead may be found in dust, soil, drinking water, food, combustion of leaded gasoline, and industrial emissions. Human exposure to lead is usually found by testing blood samples for the presence of lead.

The national housing survey conducted for the HUD Report on the National Survey of Lead-Based Paint in Housing in 1989-1990 showed that approximately 83 percent (or 64 million) of all pre-1978, occupied housing units had lead-based paint somewhere on the exterior or interior of the building. Approximately 90 percent of the dwellings built prior to 1960 had lead-based paint. More recent preliminary data from the National Survey of Lead and Allergens in Housing indicate that approximately 40 percent (or 38 million) of U.S. homes (other than vacant homes, group homes, hotels, motels, and housing where children were not permitted to live) had lead-based paint somewhere on the building in 1998-1999. Older dwellings are more likely to have higher concentrations of lead on painted surfaces and greater surface area coverage. Although intact lead-based paint poses little immediate risk to occupants, non-intact paint that is chipping, peeling, or otherwise deteriorating may present an immediate risk to occupants. Of particular concern are the approximately 25 million homes (26%) that have significant lead-based paint hazards (deteriorated lead-based paint, dust-lead levels, and/or soil-lead levels above the standards and the de minimis amounts of the HUD Lead-Safe Housing Rule at 24 CFR 35), the approximately 4.4 million units with significant lead-based paint hazards that are occupied by children under age 6 (which are approximately 27% of all homes occupied by children under age 6), and the approximately 1.4 million of these homes with young children for which the household income is under \$30,000 per year (which are approximately 29% of homes occupied by children under age 6 for which the household income is under \$30,000 per year). Children with elevated blood lead levels are disproportionately located in older and poorer neighborhoods in the nation's central cities. More than one-third of African-American children living in large central cities have elevated blood lead levels.

In July 1995, the Task Force on Lead-Based Paint Hazard Reduction and Financing recommended actions to develop comprehensive, health-protective, cost-effective, and feasible approaches to addressing the health hazard of lead-based paint. In October 1992, Title X of the Housing and Community Development Act of 1992 was enacted. This law amended the Lead-Based Paint Poisoning Prevention Act (LBPAPA) of 1971 as well as provided for a number of additional initiatives to address lead-based paint in housing. This law moved the focus from the mere presence of lead-based paint to a focus on conditions that can expose a child to lead hazards - deteriorating lead-based paint, lead-contaminated dust and bare lead-contaminated soil. The Task Force recommendations were aimed towards the 19 million housing units estimated to contain lead hazards, and preventing new lead hazards in the balance of the housing stock. This NOFA incorporates many of the recommendations in the Task Force Report.

In 1995, HUD published *Guidelines for the Evaluation and Control of Lead-Based Paint in Housing* (HUD *Guidelines*). The HUD *Guidelines* provide detailed, comprehensive, technical information on the identification and control of lead-based paint hazards in housing. The HUD *Guidelines* replace the Interim *Guidelines* published in 1990. The *Guidelines* include a revised Chapter 7 on lead-based paint inspections, dated September 1997.

In August 1996, the EPA published regulations implementing Sections 402 and 404 of the Toxic Substances Control Act (TSCA) that addressed training and certification requirements for lead-based paint professionals and requirements for state programs. The training and certification programs took effect in 1999 and the state program requirements were effective in March 2000. Additional discussion is provided in Annex 6 of this NOFA. State Lead-Based Paint Contractor Certification and Accreditation Programs meeting the Annex 6 requirements are considered acceptable for purposes of the grant program in this NOFA.

Since the start of the Lead-Based Paint Hazard Control Grant program in 1993, approximately \$610 million (including this NOFA) will have been provided to States and local governments to address lead-based paint hazards in privately owned housing.

Annex 2 - Definitions

Abatement - Any set of measures designed to permanently eliminate lead-based paint or lead-based paint hazards. For the purposes of this definition, permanent means at least 20 years effective life. Abatement includes:

- (1) The removal of paint and dust, the permanent enclosure or encapsulation of lead-based paint, or the removal or permanent covering of lead-contaminated soil; when lead-based paint hazards are present in such paint, dust or soil; and
- (2) All preparation, cleanup, disposal, and post-abatement clearance testing activities associated with such measures.

Accredited Laboratory - A laboratory that is accredited by an EPA-approved lead laboratory accrediting organization and recognized by the National Lead Laboratory Accreditation Program (NLLAP), as being capable of performing lead analyses of samples of paint, dust-wipes, and/or soil. A list of recognized laboratories and EPA-approved lead laboratory accrediting organizations is available from the National Lead Information Center at 800-424-LEAD (5323).

Certified Contractor, Certified Inspector and Certified Risk Assessor - A contractor, inspector, risk assessor, supervisor or other who has successfully completed a lead training program approved by the Environmental Protection Agency and who meets any other requirements for certification or licensure established by such agency or who is certified by any State through a program which has been found by such Federal agency to be at least as rigorous as the training and certification standards and requirements found in Annex 6 of this NOFA. All lead hazard identification or control work shall be performed by workers and supervisors who have passed a Federal training program or a State training program found by such Federal agency to be at least as rigorous as the Federal program.

Clearance Testing and Examination - A HUD-required visual examination and collection of environmental samples by a certified inspector or certified risk assessor, and laboratory analysis by an accredited laboratory upon completion of lead-hazard control work. The unit must undergo wipe sampling and show it has lead dust levels below existing standards. See Annex 3 for the Clearance Standards for Lead Contaminated Dust.

Community Based Organization (CBO) - A non-profit organization located in the targeted neighborhood that performs functions designed to improve the community. There is substantial involvement and/or participation of residents associated with the community-based organization. In addition, the CBO must possess the capacity to receive and manage federal funds.

Dust-Lead Hazard - Surface dust on a residential property or child-occupied facility as defined in 40 CFR 745.65(b).

Dust-Wipe Sampling - See Wipe Sampling for Settled Lead-Contaminated Dust

Eligible Housing - Target housing that qualifies as eligible housing under section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992, as amended by section 217 of the Omnibus Consolidated Rescissions and Appropriations Act of 1996 (Pub. L. 104-134; 110 Stat. 1321, approved April 26, 1996). The term does not include any public housing (whether Federal or locally supported) or any federally owned housing. Privately-owned, Section 8 Certificates and Vouchers, Tenant Based housing is eligible for assistance under this grant program.

Encapsulation - The application of any covering or coating that acts as a permanent barrier between the lead-based paint and the environment and that relies, for its durability, on adhesion between the encapsulant and the painted surface, and on the integrity of the existing bonds between paint layers, and between the paint and the substrate.

Enclosure - The use of rigid, durable construction materials that are mechanically fastened to the substrate in order to act as a barrier between the lead-based paint and the environment.

Federally Assisted Housing - Residential dwellings receiving project-based assistance under programs including:

- (1) Section 221(d)(3) or section 236 of the National Housing Act;
- (2) Section 1 of the Housing and Urban Development Act of 1965;
- (3) Section 8 of the United States Housing Act of 1937; or
- (4) Sections 502(a), 504, 514, 515, 516, and 533 of the Housing Act of 1949.

Other than the programs noted in Annex 5, "Federally Assisted Housing" is not eligible for assistance under the HUD Lead-Based Paint Hazard Control Grant Program. (See Annex 5 of this NOFA.)

Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (June 1995 with Revised Chapter 7 published in September 1997) - HUD's manual of lead hazard control practices (commonly referred to as the HUD Guidelines) which provide detailed, comprehensive, technical information on how to identify lead-based paint hazards in housing and how to control such hazards safely and efficiently. (The HUD Guidelines replace the HUD Lead-Based Paint: Interim Guidelines for Hazard Identification and Abatement in Public and Indian Housing published in 1990.)

Hazardous Waste - As defined in EPA regulations (40 CFR 261.3). Solid waste, or a combination of solid wastes, that because of its quantity; concentration; or physical, chemical, or infectious characteristics may:

- (1) Cause, or significantly contribute to increases in mortality, serious and irreversible, or incapacitating but reversible illness; or
- (2) Pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, or disposed.

HEPA Vacuum - (High Efficiency Particulate Air) - A vacuum cleaner fitted with a filter capable of removing particles of 0.3 microns or larger at 99.97 percent or greater efficiency from the exhaust air stream.

Interim Controls - A set of measures designed to temporarily reduce human exposure or likely exposure to lead-based paint hazards. Interim controls include, but are not limited to specialized cleaning, repairs, occasional and ongoing maintenance, painting, temporary containment, and management and resident education programs. Interim controls include dust removal; paint film stabilization; treatment of friction and impact surfaces; installation of soil coverings, such as grass or sod; and land-use controls.

Laboratory Analysis - As used for paint, dust-wipes or soil, analysis for lead by an accredited laboratory in accordance with the requirements and limitations of its accreditation.

Lead-Based Paint - Any paint, varnish, shellac, or other coating that contains lead equal to or greater than 1.0 mg/cm² as measured by XRF or laboratory analysis, or 0.5 percent by weight (5,000 µg/g, 5,000 ppm, or 5,000 mg/kg) as measured by laboratory analysis. Local legislation or regulations may have established a more restrictive level.

Lead-Based Paint Hazard Paint-lead hazard, dust-lead hazard or soil-lead hazard, as identified in 40 CFR 745.65.

Lead-Based Paint Hazard Control - Activities to control and eliminate lead-based hazards, including interim controls, abatement and complete abatement.

mg - milligram; 1/1,000 of a gram; about 35/1,000,000 of an ounce.

Prohibited Practices - Practices that are not allowed because of the risks to health. Prohibited practices include open flame burning or torching; machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control; uncontained hydroblasting or high pressure wash; abrasive blasting or sandblasting without HEPA exhaust control; heat guns operating above 1100 degrees Fahrenheit; chemical paint strippers containing methylene chloride; and dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two (2) square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

Replacement - A strategy of abatement that entails the removal of building components that have surfaces coated with lead-based paint such as windows, doors, and trim and the installation of new components free of lead-based paint.

Residential Dwelling - This term means either:

- (1) A single-family dwelling, including attached structures, such as porches and stoops; or
- (2) A single-family dwelling unit in a structure that contains more than one separate residential dwelling unit and in which each unit is, or is intended to be used or occupied, in whole or in part, as the home or residence of one or more persons.

Risk Assessment - An on-site investigation of a residential dwelling to discover any lead-based paint hazards. Risk assessments include an investigation of the age, history, management, maintenance of the dwelling, and the number of children under age six (6) and women of child-bearing age who are residents; a visual assessment; limited environmental

sampling (i.e., collection of dust-wipe samples, soil samples, and deteriorated paint samples); and preparation of a report identifying acceptable abatement and interim control strategies based on specific conditions.

Soil-Lead Hazard – Bare soil on residential property or on the property of a child-occupied facility as defined in 40 CFR 745.65(b).

State Certification Program - (see Annex 6 of this NOFA - Elements of a State Certification Program)

Substrate - A surface on which paint, varnish, or other coating has been applied or may be applied. Examples of substrates include wood, plaster, metal, and drywall.

Target Housing - Any residential unit constructed before 1978, except dwellings for the elderly, persons with disabilities (unless any child who is less than 6 years of age resides or is expected to reside in such housing for the elderly or persons with disabilities), or any 0-bedroom dwelling.

Testing - The measurement of lead in painted surfaces by Federal- or State-certified personnel using a portable X-ray fluorescence analyzer (XRF) operated in accordance with its manufacturer's operating instructions and its Performance Characteristics Sheet (PCS), laboratory analysis by an accredited laboratory of paint samples, or other method(s) approved by HUD.

Title X - The Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, Pub. L. 102-550, approved October 28, 1992).

Trained Worker - For lead hazard control work, a worker who has successfully met all the requirements of a Federal or State-accredited lead-based paint training course in a particular discipline which meets, at a minimum, the requirements found in Annex 6 of this NOFA.

µg (or ug) - Micrograms.

Wipe Sampling for Settled Dust-Lead Hazards - The collection of settled dust samples from surfaces to measure for the presence of lead. Samples must be analyzed by an accredited laboratory. For clearance purposes, settled dust sampling shall be performed in accordance with the EPA protocol at 40 CFR 745.227, subparts L and Q. (Note that clearance of non-abatement lead hazard control work is not required by Federal regulation to be performed by certified inspectors or risk assessors; state regulations may apply). Surfaces sampled must meet the EPA standards for clearance (provided in Annex 3). All surfaces shall have no more than the maximum allowable standards. See "Clearance Testing and Examination."

XRF Analyzer - An instrument that determines lead area concentration in painted surfaces in units of milligrams per square centimeter (mg/cm²) using the principle of x-ray fluorescence (XRF). For purposes of the grant program, and as used in the HUD Guidelines, the term XRF analyzer only refers to portable instruments manufactured to analyze paint, and does not refer to laboratory-grade units or portable instruments designed to analyze soil or dust. XRF analyzers are to be operated in accordance with their manufacturer's operating instructions and their Performance Characteristics Sheet (PCS).

Annex 3 - References

The Environmental Protection Agency (EPA), with assistance from HUD and the Centers for Disease Control and Prevention (CDC), operates the National Lead Information Center Hotline and Clearinghouse for lead-based paint resources and assistance at 1-800-424-LEAD (1-800-424-5323).

HUD, EPA, CDC, and OSHA operate sites on the World Wide Web which provide alternate sources for many of the documents referenced in this NOFA. The addresses for these organizations are:

Agency	Agency Home Page	Lead Home Page
HUD	www.hud.gov	www.hud.gov/offices/lead
EPA	www.epa.gov	www.epa.gov/lead
CDC	www.cdc.gov	www.cdc.gov/nceh/lead
OSHA	www.osha.gov	www.osha-slc.gov/sltc/lead

To secure any of the documents listed, call the listed telephone number (generally not toll-free).

REGULATIONS:

Worker Protection: OSHA publication -- Telephone: 202-219-4667
 OSHA Regulations (available for a charge) - Government Printing Office -- Telephone: 202-512-1800
 General Industry Lead Standard, 29 CFR 1910.1025
 Lead Exposure in Construction, 29 CFR 1926.62, and appendices A, B, C, and D

Waste Disposal: 40 CFR 260-268 (EPA RCRA regulations) -- Telephone 1-800-424-9346.

Lead; Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities; Final Rule: 40 CFR 745 (EPA State Certification and Accreditation Program for those engaged in lead-based paint activities) (Please note new hazards identification rule at 66 FR 1206, January 5, 2001)-- Telephone: 202-554-1404 (Toxic Substances Control Administration)

Lead-Based Paint Poisoning Prevention in Certain Residential Structures, Final Rule, 24 CFR 35 (HUD). Available from the National Lead Information Center at 1-800-424-LEAD.

GUIDELINES:

Lead-Based Paint: Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995 (revised Chapter 7 published in September 1997) (available for a charge) -- Telephone: 800-245-2691

HUD Handbook 1378, Tenant Assistance, Relocation and Real Property Acquisition; Telephone: 202-708-1367.

Preventing Lead Poisoning In Young Children; Centers for Disease Control, October 1991; Telephone: 404-639-2510.

Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, Centers for Disease Control Prevention, November 1997, Telephone 404-639-2510.

REPORTS:

Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing (Summary and Full Report), HUD, July 1995, copies are available for a charge -- Telephone 800-245-2691:

Comprehensive and Workable Plan for the Abatement of Lead-Based Paint in Privately Owned Housing: Report to Congress, HUD, December 7, 1990, copies are available for a charge -- Telephone 800-245-2691.

Innovative Financing Sources for Lead Hazard Control, Alliance to End Childhood Lead Poisoning, September 1996, copies are available at \$25 per copy from the Alliance at 227 Massachusetts Avenue, NE, Suite 200, Washington, DC 20002.

CDC Classes of Blood Lead Levels in Children:

Class	Concentration $\mu\text{g/dL}$	Comment
I	<9	Child is not considered to be lead-poisoned.
IIA	10-14	Large number or proportion of children with blood lead levels in this range should trigger community-wide childhood lead poisoning prevention activities. Children in this range may need to be screened more frequently.
IIB	15-19	Child should receive nutritional and educational interventions and more frequent screening. If the blood lead level persists, environmental investigation and intervention should be done.
III	20-44	Child should receive environmental evaluation and remediation and a medical evaluation; may need pharmacologic treatment of lead poisoning.
IV	45-69	Child will need both medical and environmental interventions, including chelation therapy.
V	>70	Child is a medical emergency. Medical and environmental management must begin immediately.

Clearance Standards for Lead Contaminated Dust

Note: The clearance standards shown below were published as part of the EPA’s Final Regulation, Identification of Dangerous Levels of Lead, its lead hazards standards rule at 40 CFR 745 subparts D and L. The standards are found at 40 CFR 745.227(e)(8)(viii).

Dust Lead Standards for Risk Assessments and Clearance	
Surface	Dust Lead Level $\mu\text{g}/\text{ft}^2$
Floors	40
Interior Window Sills	250
Window Troughs (clearance only)	400

Annex 4 - Section 1011 of Title X

Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) amended Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) to read as follows:

Sec. 1011 GRANTS FOR LEAD-BASED PAINT HAZARD REDUCTION IN TARGET HOUSING.

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

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

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

(3) notwithstanding paragraphs (1) and (2), Round II grantees who receive assistance under this section may use such assistance for priority housing.

Annex 5 - Eligibility of HUD Assisted Housing

Eligibility of HUD-associated "eligible" housing units to participate under HUD's lead-based paint hazard control grant program

Program	Eligible?	Program	Eligible?
Housing Components of Community Planning & Development Programs		Housing in Military Impacted Areas (Section 238)	Yes
Community Development Block Grants (Entitlement)	Yes	Single Family Home Mortgage Coinsurance (Section 244)	Yes
Community Development Block Grants (Non-Entitlement) for States and Small Cities	Yes	Graduated Payment Mortgages (Section 245)	Yes
Community Development Block Grants (Section 108 Loan Guarantee)	Yes	Adjustable Rate Mortgages (ARMs) (Section 251)	Yes
Special Purpose Grants	Yes	Manufactured Homes (Title I)	Yes
The Home Program: HOME Investment Partnerships	Yes	Housing - Multifamily Programs	
HOPE for Homeownership of Single Family Homes	Yes	Rent Supplements (Section 101)	No
Shelter Plus Care - Sponsor-based Rental Assistance	No	Multifamily Rental Housing (Section 207)	Yes
Shelter Plus Care - Tenant-based Rental Assistance	Yes	Cooperative Housing (Section 213)	Yes
Shelter Plus Care - Project-based Rental Assistance	No	Mortgage and Major Home Improvement Loan Insurance for Urban Renewal Areas (Section 220)	Yes
Shelter Plus Care - SRO Rental Assistance	No	Multifamily Rental Housing for Moderate-Income Families - Section 221(d)(3)	No
Single Family Property Disposition Homeless Initiative	No	Multifamily Rental Housing for Moderate-Income Families - Section 221(d)(4)	Yes
Emergency Shelter Grants	Yes	Existing Multifamily Rental Housing (Section 223(f))	Yes
Housing Opportunities for Persons With AIDS (HOPWA)	Yes	Supplemental Loans for Multifamily Projects (Section 241)	Yes
Surplus Properties (Title V)	No	Supportive Housing for Persons with Disabilities (Section 811)	No
Supportive Housing Demonstration Program Transitional Housing Component	Yes	HOPE 2: Homeownership of Multifamily Units (Title IV)	No
Supportive Housing Demonstration Program Permanent Housing Component	Yes	Low-Income Housing Preservation and Resident Homeownership (Title VI)	No
Supplemental Assistance for Facilities to Assist the Homeless (SAFAH)	Yes	Emergency Low-Income Housing Preservation (Title II)	No
Supportive Housing Program	Yes	Flexible Subsidy (Section 201)	No
Section 8 SRO Mod Rehab for Homeless Individuals	No	Public and Indian Housing	
Innovative Demonstration Program	Yes	Section 8 Project-Based Certificate Program	No
Housing - Single Family Programs		Section 8 Tenant Based Certificate and Voucher Program	Yes
One- to Four-Family Home Mortgage Insurance (Section 203(b) and (i))	Yes	Section 8 Moderate Rehabilitation Program	No
Rehabilitation Mortgage Insurance (Section 203(k))	Yes	Public Housing Development	No
Homeownership Assistance for Low- and Moderate-Income Families (Section 221(d)(2))	No	Public Housing Operating Subsidy	No
Homes for Service Member (Section 222)	Yes	Public Housing Modernization (Comprehensive Grant Program)	No
Housing in Declining Neighborhoods (Section 223(e))	Yes	Public Housing Modernization (Comprehensive Improvement Assistance Program)	No
Condominium Housing (Section 234)	Yes		

Annex 6 - Elements of a State Certification Program

To be eligible to receive a Lead-Based Paint Hazard Control grant, an applicant must be a State, tribal or local (city or county) government. State government and Native American tribal applicants must have an EPA approved State program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745.

Background

In October 1992, Congress passed the Residential Lead-Based Paint Hazard Reduction Act (Title X of the Housing and Community Development Act of 1992). Congress assigned Federal responsibility to the Environmental Protection Agency (EPA) for the definition, implementation, and oversight of State and Tribal Certification Programs for workers, contractors, and inspectors engaged in the detection and reduction of lead-based paint hazards. This legislation required EPA to develop regulations on accreditation of training programs, the certification of contractors and the training of workers engaged in lead-based paint activities. In addition, EPA was directed to issue work practice standards. Under the statute, lead-based paint activities are defined as:

- In the case of target housing: risk assessment, inspection, and abatement; and
- In the case of any public building constructed before 1978, commercial building, bridge, or other structure or superstructure: identification of lead-based paint and materials containing lead-based paint, deleading, removal of lead from bridges, and demolition.

On August 29, 1996, EPA promulgated a final regulation that established requirements for lead-based paint activities in Target Housing and Child Occupied Facilities.

- 40 CFR 745 Subpart L addressed the requirements for the certification of individuals and the accreditation of training programs as well as work practice standards.
- 40 CFR 745 Subpart Q addresses the procedures and requirements for the approval of State programs that would be administered and enforced in lieu of the Federal Program in that State.
- 40 CFR 745.325 and 745.327 establishes the minimum programmatic and enforcement elements that a program must have in order to be authorized. States had until August 30, 1998 to receive authorization from the Agency. After that date, EPA will administer the Federal program in that State.

Any State or Tribe applying for a HUD Lead-Based Paint Hazard Control Grant must have implemented legislation and programs that fulfill the requirements of 40 CFR 745.325 and 327 and received EPA authorization for such a program. States and Tribes should be aware that HUD will not award grants for lead-based paint hazard evaluation or reduction to States without an EPA authorized program under section 404 of the Toxic Substances Control Act. An EPA administered, training and certification program established in the place of an approved state program does not satisfy the requirement for a State applicant to have a Federally-authorized State program. **State or Tribal applicants must have received EPA authorization for their program as of the date the Lead-Based Paint Hazard Control Grant program applications are due at HUD.** State and Tribal applicants should coordinate with the appropriate EPA Region to ensure their application for an authorized program is approved by the due date for the grant applications. All local government applicants will be required to use performers certified by their state or the EPA to perform lead hazard control work in their state.

Questions regarding the EPA authorization process should be directed to your EPA Regional Lead Coordinator.

Annex 7 - Blank and Sample Forms

APPLICATION FORMS

- Checklist and Submission Table of Contents
- Table 1. Key Personnel †
- Table 2. Other Related Lead Grant Programs †
- Table 3. Blood Lead Level Information †
- Table 4. Housing Age and Condition †
- Table 5. Housing Occupancy Projections †
- Table 6. Anticipated Lead Hazard Control Activities †
- Table 7 - Match Funding †
- Table 8. Grant Partners †
- SAMPLE FORM: Total Budget (Federal Share and Matching)
- SAMPLE FORM: SF-424A Section B
- SAMPLE FORM: HUD-424-M (Federal Assistance Funding Matrix)

The following forms are provided in the Forms Section in the back of this publication:

- SF-LLL Disclosure of Lobbying Activities *
- SF 424 Application for Federal Assistance *
- SF-424A Budget Information - Non Construction Programs * †
complete only page 1 of the SF-424A
- SF-424B Assurances - Non-Construction Programs *
- HUD-424-M Matrix on Federal Assistance*
- HUD-2880 Applicant/Recipient Disclosure/Update Report *
- HUD-2990 Certification of Consistency with the EZ/EC Strategic Plan *
- HUD-2991 Certification of Consistency with the Consolidated Plan *
- HUD-2992 Certification Regarding Debarment and Suspension *
- HUD-2993 Acknowledgment of Application Receipt *
- HUD-50070 Certification for a Drug-Free Workplace *
- HUD-50071 Certification of Payments to Influence Federal Transactions *
- Total Budget (Federal Share and Matching) †

* These forms are also available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUDClips website at www.hudclips.org (available from the HUD homepage at www.hud.gov)

† These forms are also available as Excel (XLS) spreadsheet from the HUD Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/lea/leaforms.html

CHECKLIST AND SUBMISSION TABLE OF CONTENTS LEAD HAZARD CONTROL GRANT PROGRAM

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. You must assemble the application in the order shown below and note the corresponding page number where the responses are located. **You must include this checklist and submission table of contents with the proposal.**

<input type="checkbox"/>	Transmittal Letter	Cover page
<input type="checkbox"/>	Applicant Abstract Summary (limited to a maximum of 2 pages)	_____
<input type="checkbox"/>	Application Forms	_____
<input type="checkbox"/>	Standard Form 424 and SF 424A Section B	_____
<input type="checkbox"/>	Form HUD-424-M (Matrix on Federal Assistance) - if information is not shown on SF 424	_____
<input type="checkbox"/>	Total Budget (Federal Share and Matching) and Budget Narrative	_____
<input type="checkbox"/>	HUD 2880 Disclosure and Update Report	_____
<input type="checkbox"/>	HUD 50070 Certification for a Drug-Free Workplace	_____
<input type="checkbox"/>	HUD 50071 Certifications of Payments to Influence Federal Transactions	_____
<input type="checkbox"/>	Form SF-LLL Disclosure of Lobbying Activities Required	_____
	<input type="checkbox"/> Form SF-LLL Not Required	_____
<input type="checkbox"/>	HUD 2990 Certification of Consistency with the EZ/EC Strategic Plan	_____
<input type="checkbox"/>	HUD 2991 Certification of Consistency with the Consolidated Plan	_____
<input type="checkbox"/>	HUD 2992 Certification regarding Debarment and Suspension	_____
<input type="checkbox"/>	Standard Form 424B (Assurances/Non-Construction Programs)	_____
Threshold Requirements		
<input type="checkbox"/>	Copy of Lead-Based Paint Element in Consolidated Plan	_____
Rating Factor Response (The narrative response to the Rating Factors cannot exceed a total of 25 pages.)		
<input type="checkbox"/>	1. Capacity of the Applicant and Relevant Organizational Experience	_____
<input type="checkbox"/>	2. Needs/Extent of the Problem	_____
<input type="checkbox"/>	3. Soundness of Approach	_____
<input type="checkbox"/>	4. Leveraging/Partnerships	_____
<input type="checkbox"/>	5. Comprehensiveness and Coordination	_____
Appendices		
<input type="checkbox"/>	Appendix 1 - Material in support of Rating Factor 1	_____
<input type="checkbox"/>	Appendix 2 - Material in support of Rating Factor 2	_____
<input type="checkbox"/>	Appendix 3 - Material in support of Rating Factor 3	_____
<input type="checkbox"/>	Appendix 4 - Material in support of Rating Factor 4	_____
<input type="checkbox"/>	Appendix 5 - Material in support of Rating Factor 5	_____
<input type="checkbox"/>	Appendix 6 - Materials relating to the application thresholds or forms. The extract from the Consolidated plan should be provided in this appendix.	_____
<input type="checkbox"/>	Appendix 7 - Other materials related to the application (as required)	_____
<input type="checkbox"/>	HUD 2993 Acknowledgment of Application Receipt	_____
<input type="checkbox"/>	HUD 2994 Client Comments and Suggestions (completion of this form is optional)	_____

This Page Intentionally Left Blank

Table 1 - Key Personnel			
Name and Position Title (please include the organization position titles in addition to those shown)	Percent of Time Proposed for this Grant	Percent of Time to be spent on other HUD grants	Percent of time to be spent on other activities
	Note: These three columns should total 100%		
Overall Project Director			
Day-to-Day Program Manager			

This Page Intentionally Left Blank

Table 2 - Other Related Lead Grant Programs	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	
Granting Agency and Grant Number	
Year Issued and Original Project Completion Date	
Current Projected Completion Date	
Grant Amount	
Major Performance Goals	
Status of Progress	

Please use this to describe other related lead grant programs operating in your community. If you are an existing lead hazard control grantee, please indicate the number of units in your most recent grant agreement.

This Page Intentionally Left Blank

Table 3a - Blood Lead Level Information		
Blood Lead Level for TARGET AREAS		
Name of TARGET AREA(S): _____		
Blood Lead Level	Number of Children Under Six Years (72 mo) of Age	% of Total
< 10 µg/dL		
> 10 µg/dL and < 15 µg/dL		
> 15 µg/dL and < 20 µg/dL		
> 20 µg/dL		
Total Tested		
Source and Date of Estimate		

Table 3b - Blood Lead Level Information		
Blood Lead Level for JURISDICTION WIDE		
Name of JURISDICTION: _____		
Blood Lead Level	Number of Children Under Six Years (72 mo) of Age	% of Total
< 10 µg/dL		
> 10 µg/dL and < 15 µg/dL		
> 15 µg/dL and < 20 µg/dL		
> 20 µg/dL		
Total Tested		
Source and Date of Estimate		

This Page Intentionally Left Blank

Table 4a - Housing Age and Condition			
Housing data for		TARGET AREAS	
Name of TARGET AREA(S): _____			
Year Built	Number	% of Total	Condition of Housing Stock
Pre-1940			
1940-1949			
1950-1959			
1960-1969			
1970-1977			
1978 or newer			
Total			
Source and Date of Estimate			

Table 4b - Housing Age and Condition			
Housing data for		JURISDICTION WIDE	
Name of JURISDICTION: _____			
Year Built	Number	% of Total	Condition of Housing Stock
Pre-1940			
1940-1949			
1950-1959			
1960-1969			
1970-1977			
1978 or newer			
Total			
Source and Date of Estimate			

This Page Intentionally Left Blank

Table 5 - Housing Occupancy Projections		
Type of Unit	Number of Units Proposed	% of Total
Owner-Occupied		
Rental		
Vacant		
Unknown/Other		
Total		

Please use this to project the number of units proposed for lead hazard control under the grant effort

Table 6 - Anticipated Lead Hazard Control Activities				
Activity	Who Will Perform This Activity? (In-house, contractor, etc.)	Number of Units	Expected Duration of Lead Hazard Control Work, days	Estimated Unit Cost
Lead-Based Paint Inspections				
Lead-Based Paint Risk Assessments				
Low Level Interventions				
Interim Controls				
Full Lead Abatement				
Clearance Inspections				
Total	N/A		N/A	N/A

This Page Intentionally Left Blank

Table 7 - Match Funding		
Source of Match	Work which will be accomplished with the match	Amount of Funds
	Total	

This Page Intentionally Left Blank

Table 8 - Grant Partners

Note: Please complete this form for each of the grant partners proposed in the application

Partner Name:

Mission or focus of this partner:

Description of Commitment (Memorandum of Understanding, Memorandum of Agreement, etc.). **Please provide a copy of the commitment document in Appendix 4 of your application.**

Activities proposed for this partner:

Resource Commitment by Partner

This Page Intentionally Left Blank

Budget Summary

Total Budget (Federal Share and Matching)

Name and Address of Applicant _____

Detailed Description of Budget (for full grant period)

Category					
1. Personnel (Direct Labor)	Estimated Hours	Rate per Hour	Estimated Cost	Federal Share	Match
Position or Individual					
Project Coordinator	6,240	\$24.73	\$154,315	\$154,315	\$0
Inspector/Risk Assessor	14,560	\$17.35	\$252,616	\$252,616	\$0
Account Clerk	3,120	\$16.09	\$50,201	\$50,201	\$0
Data Manager	1,248	\$15.56	\$19,419	\$19,419	\$0
Office Assistant	3,120	\$12.15	\$37,908	\$37,908	\$0
Outreach Workers	4,160	\$11.66	\$48,506	\$48,506	\$0
Chemist	624	\$20.83	\$12,998	\$0	\$12,998
Lab Tech	1,248	\$10.66	\$13,304	\$0	\$13,304
Nursing Supervisor	208	\$28.34	\$5,894	\$0	\$5,894
Director of Community Development	624	\$39.00	\$24,336	\$0	\$24,336
Translator	1,040	\$13.42	\$13,957	\$0	\$13,957
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
	0	\$0.00	\$0	\$0	\$0
Total Direct Labor Cost			\$633,454	\$562,965	\$70,489
2. Fringe Benefits	Rate	Base	Estimated Cost	Federal Share	Match
Health Insurance	10.00%	\$633,454	\$63,345	\$0	\$63,345
Retirement	9.00%	\$633,454	\$57,011	\$0	\$57,011
Vacation	6.00%	\$633,454	\$38,007	\$0	\$38,007
FICA	8.00%	\$633,454	\$50,676	\$0	\$50,676
	0.00%	\$633,454	\$0	\$0	\$0
	0.00%	\$633,454	\$0	\$0	\$0
		\$633,454	\$0	\$0	\$0
		\$633,454	\$0	\$0	\$0
Total Fringe Benefits Cost			\$209,039	\$0	\$209,039
3. Travel					
3a. Transportation - Local Private Vehicle	Mileage	Rate per Mile	Estimated Cost	Federal Share	Match
Project Coordinator	7938	\$0.315	\$2,500	\$2,500	\$0
Inspector/RA	33075	\$0.315	\$10,419	\$10,419	\$0
Outreach Workers	9450	\$0.315	\$2,977	\$2,977	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Trans - Local Private Vehicle			\$15,896	\$15,896	\$0
3b. Transportation - Airfare (show destination)	Trips	Fare	Estimated Cost	Federal Share	Match
Travel to Washington	2	\$685.00	\$1,370	\$1,370	\$0
Travel for training	3	\$390.00	\$1,170	\$1,170	\$0
Travel to conferences	2	\$550.00	\$1,100	\$1,100	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Airfare			\$3,640	\$3,640	\$0

Budget Summary

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
3c. Transportation - Other					
Vehicle usage (\$175/mo)	36	\$175.00	\$6,300	\$0	\$6,300
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Transportation - Other			\$6,300	\$0	\$6,300
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Travel to Washington	6	\$180.00	\$1,080	\$1,080	\$0
Travel for training - Destination	12	\$135.00	\$1,620	\$1,620	\$0
Travel to conferences - Destination	9	\$155.00	\$1,395	\$1,395	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Per Diem or Subsistence			\$4,095	\$4,095	\$0
Total Travel Cost			\$29,931	\$23,631	\$6,300
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
XRF Analyzer	1	\$16,000.00	\$16,000	\$16,000	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Equipment Cost			\$16,000	\$16,000	\$0
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Blood test supplies	2200	\$1.10	\$2,420	\$2,420	\$0
Dust test supplies	33600	\$0.80	\$26,880	\$26,880	\$0
Office supplies (\$200/mo)	36	\$200.00	\$7,200	\$7,200	\$0
Educational Materials	1	\$2,000.00	\$2,000	\$2,000	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Consumable Supplies			\$38,500	\$38,500	\$0
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Computers	3	\$2,000.00	\$6,000	\$6,000	\$0
XRF Sources	7	\$2,500.00	\$17,500	\$17,500	\$0
Office Furniture	2	\$600.00	\$1,200	\$1,200	\$0
Software	3	\$350.00	\$1,050	\$1,050	\$0
Laser Printer	1	\$650.00	\$650	\$650	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Subtotal - Non-Consumable Materials			\$26,400	\$26,400	\$0
Total Supplies and Materials Cost			\$64,900	\$64,900	\$0

Budget Summary

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
6. Consultants (Type)	Days	Rate per Day	Estimated Cost	Federal Share	Match
City Attorney for contract review	36	\$1,200.00	\$43,200	\$0	\$43,200
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Consultants Cost			\$43,200	\$0	\$43,200
7. Contracts and Sub-Grantees (List individually)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Lead Hazard Control (275 @ \$4,400)	275	\$4,400.00	\$1,210,000	\$1,210,000	\$0
Rehabilitation in conjunction with LHC	225	\$6,850.00	\$1,541,250	\$0	\$1,541,250
Save our City (CBO)	1	\$120,000.00	\$120,000	\$120,000	\$0
Jobs for the City (CBO)	1	\$75,000.00	\$75,000	\$75,000	\$0
Training for contractors and workers	50	\$600.00	\$30,000	\$30,000	\$0
Lead liability insurance	12	\$2,200.00	\$26,400	\$26,400	\$0
Testing and inspection services	375	\$325.00	\$121,875	\$121,875	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Subcontracts Cost			\$3,124,525	\$1,583,275	\$1,541,250
8. Other Direct Costs	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Item					
Uniforms	9	\$75.00	\$675	\$675	\$0
Lab Accreditation (once per year)	3	\$2,300.00	\$6,900	\$6,900	\$0
Computer Maintenance (\$300/yr)	9	\$300.00	\$2,700	\$2,700	\$0
Cellular Phones (2 phones for 3 yrs)	6	\$600.00	\$3,600	\$3,600	\$0
Printing	1	\$8,000.00	\$8,000	\$8,000	\$0
Relocation (125 units @ \$1,600 per unit)	125	\$1,600.00	\$200,000	\$200,000	\$0
Training for LHC Staff	8	\$400.00	\$3,200	\$3,200	\$0
Postage	2500	\$0.50	\$1,250	\$1,250	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Other Direct Costs			\$226,325	\$226,325	\$0
9. Indirect	Rate	Base	Estimated Cost	Federal Share	Match
Type					
Facilities charge	9.50%	\$842,493.00	\$80,037	\$0	\$80,037
Accounting and payroll services	1.00%	\$842,493.00	\$8,425	\$0	\$8,425
City administrative charge	6.00%	\$842,493.00	\$50,550	\$0	\$50,550
			\$0	\$0	\$0
			\$0	\$0	\$0
			\$0	\$0	\$0
Total Indirect Costs			\$139,012	\$0	\$139,012
Total Estimated Costs			\$4,486,386	\$2,477,096	\$2,009,290
Total of Federal Share and Match				\$4,486,386	

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)	\$633,454	14.1%	
2 Fringe Benefits	\$209,039	4.7%	33.0%
3 Travel	\$29,931	0.7%	
4 Equipment	\$16,000	0.4%	
5 Supplies and Materials	\$64,900	1.4%	
6 Consultants	\$43,200	1.0%	
7 Contracts and Sub-Grantees	\$3,124,525	69.6%	
8 Other Direct Costs	\$226,325	5.0%	
9 Indirect Costs	\$139,012	3.1%	
Total	\$4,486,386	100.0%	
Federal Share	\$2,477,096	55.21%	
Match	\$2,009,290	81.11%	Expressed as a percentage of the Federal Share

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.

Budget Information - Non-Construction Programs

Exhibit B

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.	Do	Not	Complete	This	Section	
4.						
5. Totals						

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity			(5) Grand Total
	(1) HUD Request	(2) Match		
a. Personnel (Direct Labor)	\$562,965	\$70,489		\$633,454
b. Fringe Benefits	\$0	\$209,039	Do	\$209,039
c. Travel	\$23,631	\$6,300	Not	\$29,931
d. Equipment	\$16,000	\$0	Use	\$16,000
e. Supplies and Materials	\$64,900	\$0	This	\$64,900
f. Consultants	\$0	\$43,200	Column	\$43,200
g. Contracts and Sub-Grantees	\$1,583,275	\$1,541,250		\$3,124,525
h. Other Direct Costs	\$226,325	\$0		\$226,325
i. Total Direct Charges (sum of 6a-6h)	\$2,477,096	\$1,870,278		\$4,347,374
j. Indirect Costs	\$0	\$139,012		\$139,012
k. Totals (sum of 6i and 6j)	\$2,477,096	\$2,009,290		\$4,486,386
7. Program Income				

This Page Intentionally Left Blank

Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested, and complete the certifications.

Program*	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Lead Hazard Control Grant Program	\$2,009,290	\$2,477,096	\$	\$	\$	\$	\$4,486,386
Grand Totals	\$2,009,290	\$2,477,096					\$4,486,386

* For FHIPs, show both initiative and component

Instructions for the HUD-424-M

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance. Enter the following information:

Program: The HUD funding program you are applying under.

Applicant Share: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Federal Share: Enter the amount of HUD funds you are requesting with your application.

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

Local Share: Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

Total: Please total all columns and fill in the amounts.

This Page Intentionally Left Blank

Frequently Asked Questions

The following are frequently asked questions. Additional questions submitted will be addressed on the Office of Healthy Home Lead Hazard Control website at www.hud.gov/lead/fafaq.html

Q: How can I find out what the 50% and 80% income levels are in my community to determine eligibility of households for assistance?

A: The HUD User website has the median income levels for communities. This is a web accessible version of HUD Policy Development and Research notice 99-2. The web address is www.huduser.org/data/asthse/fmr/fmr99/

Q: For a rental unit, who does the income limit apply to?

A: The income limits apply to the tenants of the rental property. Please see Annex 4 of the Application Kit for the specific legislative language.

Q: Can a vacant unit be enrolled in this program?

A: Yes. A vacant rental unit which meets the criteria of target housing can be enrolled if the owner agrees to rent it to low or low income tenants with children under six years of age after hazard control work is completed.

Q: What pre-hazard control testing method or methods is preferred?

A: Because the applicant has the greatest understanding of the housing conditions in the community, decisions regarding the type of testing can be best made at a local level in consultation with the lead-based paint inspectors and risk assessors. In general because the purpose of the grant is to address lead hazards, a combined inspection and risk assessment is typically appropriate. This approach will provide a detailed understanding of both the lead-based paint as well as lead-based paint hazards.

Q: When should blood lead testing be done in conjunction with lead hazard control work?

Before lead hazard control work begins, each occupant who is a child under six years old should be tested for lead poisoning within 30 days of housing treatment. Any child with an elevated blood lead level should be referred for appropriate medical follow-up.

Q: Must a child have an elevated blood level before the unit the child is residing in is eligible under this grant program?

A: No. One of the goals of the Lead-Based Paint Hazard Control program is to provide housing which does not harm current or future residents. This primary prevention approach reflects the understanding that preventing lead poisoning is the best approach. However, for obvious reasons, within the priority system for enrollment, communities typically afford priority to families with an EBL child.

Q: What exactly do you mean by the term “lead hazard control”? How does that compare to abatement?

A: Lead hazard control is defined as “Activities to control and eliminate lead-based hazards, including interim controls, abate and complete abatement.” Because grant applicants are expected to focus on cost-effective approaches, full abatement is not recommended. Whereas “full abatement” permanently treats or removes all lead-based paint, Lead hazard control only addresses identified lead hazards. Some people refer to lead hazard control as abatement of lead hazards. The goal is to make homes lead safe, not necessarily lead free.

Q: Does HUD recommend one lead hazard control approach over another? What is the best approach for controlling lead hazards?

A: No. Again, the selection of a specific intervention is a local decision. Because the focus of this grant program is the control of lead hazards, successful grantees have employed the full range of lead-based paint interventions. These forms of intervention range from low level (intensive cleaning and spot paint repairs) to more intense (component replacement, spot abatement, and larger repairs). The condition of the units to be treated often determines the approach to be employed.

Q: What procedures should a grantee follow for clearance dust testing?

Clearance dust testing must be conducted according to the EPA work practice standards rule at 40 CFR 745.227, and the HUD

Guidelines. (Note that clearance of non-abatement lead hazard control work is not required by Federal regulation to be performed by certified inspectors or risk assessors; State regulations may apply). Grantees are required to meet the post-hazard control dust-wipe clearance thresholds contained in the EPA rule (these are provided in Annex 3 of the Application Kit). Wipe tests shall be conducted by a certified inspector who is independent of the lead hazard control contractor. Dust-wipe and soil samples, and any paint samples to be analyzed by a laboratory for lead, must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP) for that analysis. Units or areas shall not be reoccupied until clearance is achieved.

Q: How can I find the certified contractors in my area?

A: You can look at the Lead Listing www.leadlisting.org or by calling 1-888-LEADLIST.

Q: What lead hazard control work can be done without using certified contractors?

A: There may be situations in which abatement/ hazard control activities are taking place in conjunction with work which is essentially rehabilitation rather than abatement in nature. To ensure the integrity of the abatement process, it is HUD policy that when non-certified contractors are working on a project supported by the LBP grant (HUD LBP funds or local grant match), they must be supervised by a certified contractor or supervisor who shall be responsible for the satisfactory and safe completion of all work by non-certified as well as certified contractors. The grantee should also consider an additional final clearance of the unit, especially when extensive work by non-certified contractors has taken place after the unit has already been cleared.

Minor paint stabilization of deteriorated paint of less than 20 square feet on exterior surfaces; or 2 square feet in an interior room; or 10% of a building component with a small surface area (such as a painted window frame) can be done by a non-certified worker.

In the case of work being carried out concurrently or sequentially in LBP grant-assisted structures by non-certified contractors who are not being assisted with LBP grant funds (i.e. neither HUD LBP funds or local grant match), it is strongly recommended that this work also be overseen by a certified party.

Q: Does a large community have an advantage over a smaller community because they have (presumably) more children at risk and housing units with lead-based paint hazards?

A: No. The information regarding need that is contained in the application is not compared with other applicants. The relative need of a community is assessed solely on the need within the applicant's jurisdiction.

Q: You mention production as a performance measure for existing grantees. How is that determined?

A: We will look at the number of housing units in which lead-hazard control work has been completed (including the final clearance inspection) compared to the number of units projected to be completed on the most recent grant.

Q: Will the application remain intact during the review process or will it be divided into separate parts for separate reviews?

A: The review process has reviewers evaluating the entire application as submitted. Because your application will be reviewed as a single document, you do not need to duplicate materials you desire to discuss in several locations in your narrative response. It is sufficient to reference such materials by page number.

Lead-Based Paint Hazard Control In Privately-Owned Housing Grant Program

Fiscal Year 2001

Notice Of Funding Availability (NOFA) Federal Register Notice

This is a copy of the text published in the Federal Register. Please see the General Section on NOFA in the back of this book.

This Page Intentionally Left Blank

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**LEAD-BASED PAINT HAZARD
CONTROL GRANT PROGRAM**

FUNDING AVAILABILITY FOR THE LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM

Program Overview

Purpose of the Program. The purpose of the Lead-Based Paint Hazard Control Grant Program is to assist States, Indian Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately-owned housing for rental or owner-occupants in partnership with community-based organizations.

Available Funds. Approximately \$59 million.

Eligible Applicants. States, Indian Tribes or local governments. If you are a State or Tribal applicant, you must have a Lead-Based Paint Contractor Certification and Accreditation Program authorized by EPA.

Application Deadline. May 17, 2001.

Match. A minimum of 10% match in local funds.

Additional Information

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date. Submit your completed application (an original and four copies) to HUD on or before 12:00 midnight, Eastern time, on May 17, 2001, at the address shown below.

See the General Section of the SuperNOFA for specific procedures concerning the form of application submission (e.g., mailed applications, express mail, overnight deliver, or hand carried).

Address for Submitting Applications. For Mailed Applications. The address for mailed applications is: Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, DC 20410.

For Overnight/Express Mail or Hand Carried Applications. The address for applications that are hand carried or sent via overnight delivery is: HUD Office of Healthy Homes and Lead Hazard Control, Suite 3206, 490 East L'Enfant Plaza, SW, Washington, DC 20024. Hand carried applications will be accepted at this address (490 East L'Enfant) up until 5:00 pm on the application due date.

After 5:00 pm on the application due date, hand carried applications will be accepted until 12:00 midnight, in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410.

For Application Kits. You may obtain an application kit from the SuperNOFA Information Center at 1-800-HUD-

8929. Persons with speech or hearing impairments, may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the Lead-Based Paint Hazard Control Grant Program. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. You may contact Ellis G. Goldman, Director, Program Management Division, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 112 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

II. Amount Allocated

(A) *Available Funding.* Approximately \$59 million will be available for the Lead-Based Paint Hazard Control Grant Program.

(B) *Allocation of Funds/Grant Awards.* Both existing grantees or previously unfunded applicants are eligible to apply for grants of \$1 million to \$3 million. Approximately 20 to 25 grants will be awarded. Approximately 70% of the funds shall be available to existing Lead-Based Paint Hazard Control grantees. Applications from existing (or previous) grantees will be evaluated and scored as a separate group and will not be in direct competition with applications from previously unfunded applicants.

III. Program Description, Eligible Applicants; Eligible Activities

(A) *Program Description.* The Lead-Based Paint Hazard Control Grant Program assists States, Indian Tribes and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately-owned housing units for rental and owner-occupants. The application kit for this program section of the SuperNOFA lists HUD-associated housing programs which also meet the definition of eligible housing.

(1) Because lead-based paint is a national problem, these funds will be awarded to:

(a) Maximize both the number of children protected from lead poisoning and housing units where lead-hazards are controlled;

(b) Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;

(c) Stimulate cost-effective approaches that can be replicated;

(d) Emphasize lower cost methods of hazard control;

(e) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and

(f) Affirmatively further fair housing, Partnership for Advancing Technology in Housing (PATH), and environmental justice.

(2) The objectives of this program include:

(a) Implementation of a national strategy, as defined in Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et. seq.*) (Title X), to build the community's capacity necessary to eliminate lead-based paint hazards in all housing, as widely and quickly as possible by establishing a workable framework for lead-based paint hazard identification and control;

(b) Mobilization of public and private resources, involving cooperation among all levels of government, the private sector, and community-based organizations to develop cost-effective methods for identifying and controlling lead-based paint hazards;

(c) Development of comprehensive community approaches which result in integration of all community resources (governmental, community-based, and private businesses) to address lead hazards in housing;

(d) Integration of lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs which will continue beyond your grant period;

(e) Establishment of a public registry (listing) of lead-safe housing; and

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

(B) *Eligible Applicants.* (1) To be eligible to apply for funding under this program, you must be a State, Indian Tribe, or unit of local government. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a single lead primary

government or agency as "the applicant." You may submit only one application. In the event you submit multiple applications, this will be considered a curable (minor) defect and the application review process delayed until you notify HUD in writing which application should be reviewed. Your other applications will be returned unevaluated.

(2) **Threshold Requirements.** As an applicant, you must meet all of the threshold requirements of Section II(B) of the General Section of the SuperNOFA.

(3) **Consolidated Plans.**

(a) If your jurisdiction has a current HUD approved Consolidated Plan, you must submit, as an appendix, a copy of the lead-based paint element included in the approved Consolidated Plan.

(b) If your jurisdiction does not have a currently approved Consolidated Plan, but it is otherwise eligible for this grant program, you must include your jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235.

(4) **Contracts or other formal arrangements with Community-Based Organizations.** If selected for funding, local and State applicants must enter into contractual relationships or other formal arrangements with community-based organizations. Such relationships must be established prior to actual execution of the grant agreement. This requirement does not apply to Indian Tribes.

(5) **EPA Authorization.** If you are a State government or an Indian Tribal government, you must have an EPA authorized Lead-Based Paint Contractor Certification and Accreditation Program on the application deadline to be eligible. Your program approval date in the **Federal Register** notice published by the EPA will be used.

(6) If you were funded under the FY 2000 Lead-Based Paint Hazard Control Funding competition in the FY 2000 SuperNOFA issued February 24, 2000 (65 FR 9539), you are not eligible for funding under this program section of the SuperNOFA.

(7) The eligibility factors discussed in paragraphs (1) through (6) above are threshold requirements. If you do not satisfy the appropriate eligibility requirements stated in these paragraphs, HUD will not review your application.

(C) **Eligible Activities.** HUD is interested in promoting lead hazard control approaches that result in the reduction of this health threat for the maximum number of low-income families with children under six, for the longest period of time, and that

demonstrate techniques which are cost-effective, efficient, and can be used elsewhere. HUD will allow flexibility within the parameters established below. Funds will be available only for projects conducted by contractors, risk assessors, inspectors, workers and others engaged in lead-based paint activities who meet the requirements of an EPA authorized State or Tribal Lead-Based Paint Contractor Certification and Accreditation Program under the requirements of section 404 of the Toxic Substances Control Act (TSCA). However, low level hazard interventions (e.g., dust control and minor paint stabilization) do not require certified personnel unless required by state or local laws or regulations. All applicants must use personnel certified under the state, tribal, or EPA administered program for their state or tribe.

(1) **Direct Project Elements** that you may undertake directly or through subrecipients, include:

(a) Performing dust testing, hazard screens, inspections, and risk assessments of eligible housing constructed before 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil.

(b) Conducting the required pre-hazard control blood lead testing of children under the age of six years (72 months) residing in units undergoing inspection, risk assessment, or hazard control, unless reimbursable from Medicaid or another source.

(c) Conducting lead hazard control, which may include any combination of the following: interim control of lead-based paint hazards in housing (which may include specialized cleaning techniques to address lead dust); abatement of lead-based paint hazards using different methods for each unit (based on the condition of the unit and the extent of hazards); and abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods. Complete abatement of all lead-based paint or lead-contaminated soil is not acceptable as a cost effective strategy unless justification is provided and approved by HUD. Abatement of lead contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e., dripline or foundation of the structure being treated, and children's play areas.

(d) Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for reoccupancy.

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

(f) Undertaking minimal housing rehabilitation activities that are specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. Hazard Control grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD strongly encourages integration of this grant program with housing rehabilitation and PATH technologies.

(g) Conducting clearance dust-wipe testing and laboratory analysis.

(h) Engineering and architectural activities that are required for, and in direct support of, lead hazard control.

(i) Providing lead-based paint worker or contractor certification training and/or licensing to low-income persons.

(j) Providing free training on lead-safe, essential maintenance practices to homeowners, renters, painters, remodelers, and apartment maintenance staff working in low-income private housing.

(k) Providing cleaning supplies for lead-hazard control to community/neighborhood-based organizations, homeowners, and renters in low-income private housing.

(l) Conducting planning, coordination, and training activities to facilitate local implementation of HUD's regulations on Lead-Based Paint Poisoning Prevention in Certain Residential Structures, published on September 15, 1999 (64 FR 50140), and which became effective on September 15, 2000. These activities are intended to allow the creation of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls on HUD assisted housing covered by these regulations. These regulations are available from the National Lead Information Center at 1-800-424-LEAD.

(m) Conducting general or targeted community awareness, education or outreach programs on lead hazard control and lead poisoning prevention. This includes educating owners of rental properties on the Fair Housing Act and training on lead-safe maintenance and renovation practices and management. Upon request, this also would include making all materials available in alternative formats to persons with disabilities (e.g.; Braille, audio, large type).

(n) Procuring liability insurance for lead-hazard control activities.

(o) Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such information and data as may be required by HUD. This activity is separate from administrative costs.

(p) Conducting applied research activities directed at demonstration of cost effective methods for lead hazard control.

(q) Purchasing or leasing equipment having a per unit cost under \$5,000.

(r) Purchasing or leasing up to two (2) X-ray fluorescence analyzers for use by the Lead-Based Paint Hazard Control Grant Program, if not already available.

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

(2) Support Elements.

(a) Administrative costs. There is a 10% maximum for administrative costs. Specific information on administrative costs is included in this Lead-Based Paint Hazard Control Grant Program section of this SuperNOFA.

(b) Program planning and management costs of sub-grantees and other sub-recipients.

(D) *Ineligible Activities*. You may not use grant funds for any of the following:

(1) Purchase of real property.

(2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, except for X-ray fluorescence analyzers.

(3) Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-Federal funds used to cover these costs may be counted as part of the required matching contribution.

(4) Lead hazard control activities in publicly owned housing, or project-based Section 8 housing.

IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, you, the applicant, must comply with the following requirements:

(A) *Budgeting*. (1) *Matching Contribution*. You must provide a matching contribution of at least 10% of the requested grant sum. This may be in the form of a cash or in-kind (non-cash) contribution or a combination of both. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutorily required ten (10) percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement. If you do not show a minimum 10% match in your application, you will be rated lower during the evaluation process, and, if

selected, you will be required to provide the matching contribution before being given the grant.

(2) *Direct Lead Hazard Control Activities*. The budget proposed must show a minimum of 60 percent of the total Federal amount requested identified for direct lead hazard control activities. Direct lead hazard control activities consist of inspections, risk assessments, contracts for lead hazard control services, and clearance evaluations. Direct hazard control activities do not include relocation, blood testing of residents or workers, housing rehabilitation, training, community education, applied research, purchase of supplies or equipment, or administrative costs.

(3) *Lead-Safe Work Practice Training Activities*. The budget proposed must include a minimum of two (2) percent of the total Federal amount to promote the creation of a workforce properly trained in lead-safe work practices and which is available to conduct interim controls on HUD assisted housing units being treated under the provisions of the HUD Lead Safe Housing Regulation (Sections 1012 and 1013 of Title X of the Housing and Community Development Act of 1992), 24 CFR Part 35 (in particular, paragraphs 35.1330 (a) (4) (iii)–(v), published September 15, 1999 (64 FR 50201 et eq.).

(4) *Applied Research Activities*. You may identify a maximum of five (5%) percent of the total grant request for applied research activities.

(5) *Administrative Costs*. There is a 10% maximum for administrative costs.

(B) *Period of Performance*. The period of performance is 36 months for previously unfunded applicants. Existing grantee applicants will be allowed 30 months.

(C) *Certified Performers*. You may use grant funds only for projects conducted by certified contractors, risk assessors, inspectors, workers and others engaged in lead-based paint activities. The individuals and firms (if applicable) must be certified under an EPA authorized State or Tribal program or a program operated by the EPA in the absence of a State or Tribal program.

(D) *Coastal Barrier Resources Act*. Pursuant to the Coastal Barrier Resources Act (16 U.S.C. 3501), you may not use grant funds for properties located in the Coastal Barrier Resources System.

(E) *Flood Disaster Protection Act*. Under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001–4128), you may not use grant funds for lead-based paint hazard control of a building or mobile home that is located in an area identified by the Federal Emergency

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

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

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

(F) *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-based paint hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State Historic Preservation Officers in carrying out activities under this program. This may be obtained from the SuperNOFA Clearinghouse.

(G) *Waste Disposal*. You must handle waste disposal according to the requirements of the appropriate local, State and Federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint but are not classified as hazardous in accordance with the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines may be purchased from HUD User (1–800–245–2691) or downloaded from the HUD website (www.hud.gov/offices/lead).

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

(I) *Prohibited Practices*. You must not engage in practices that are not allowed because of health and safety risks. Methods that generate high levels of lead dust shall be undertaken only with requisite worker protection,

containment of dust and debris, suitable clean-up, and clearance. Prohibited practices include:

- (1) Open flame burning or torching;
- (2) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- (3) Uncontained hydroblasting or high pressure wash;
- (4) Abrasive blasting or sandblasting without HEPA exhaust control;
- (5) Heat guns operating above 1100 degrees Fahrenheit;
- (6) Chemical paint strippers containing methylene chloride or other volatile hazardous chemicals in a poorly ventilated space; and
- (7) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two (2) square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

(J) *Proposed Modifications From Current Procedures.* Proposed methods that differ from currently approved standards or procedures will be considered on their merits through a separate HUD review and approval process after the grant award is made and a specific justification has been presented. HUD may consult with experts from both the public and private sector as part of its final determinations and will document its findings in an environmental assessment. HUD will not approve proposed modifications that, in HUD's opinion, involve a lowering of standards with potential to adversely affect the health of residents, contractors or workers, or the quality of the environment.

(K) *Written Policies and Procedures.* You must have clearly established, written policies and procedures for all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, relocation and clearance testing. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

(L) *Continued Availability of Lead Safe Housing to Low-Income Families.* Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income residents as required by Title X. You must maintain a registry (listing) of units in which lead hazards have been controlled for distribution and marketing to agencies and families as suitable housing for families with children under six.

(M) *Testing.* In developing your application budget, include costs for

inspection, risk assessment, and clearance testing for each dwelling that will receive lead hazard control, as follows:

(1) *Testing.* (a) *General.* All testing and sampling shall conform to the current HUD Guidelines and Federal, state or tribal regulations developed as part of the appropriate contractor certification program. It is particularly important to provide this full cycle of testing for lead hazard control, including interim controls. Testing must be conducted according to the HUD Guidelines and the EPA lead hazard standards rule at 40 CFR part 745, subparts D and L. All test results must be provided to the owner, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.

(b) *Pre-Hazard Control.* A combined inspection and risk assessment is recommended. You should ensure that the results of the pre-hazard control investigation are sufficient to support hazard control decisions. When appropriate, you may elect to perform a lead hazard screen in lieu of an inspection or risk assessment.

(c) *Non-Identification of Lead Hazards from Paint, Dust, Soil.* In the event you propose to conduct lead hazard control work without identification of lead hazards from paint, dust, and soil, you must fully justify the technical and other rationale for such a proposal. HUD must approve such proposals. Approval is subject to HUD environmental review under 24 CFR part 50.

(d) *Clearance Testing.* Clearance dust testing must be conducted according to the HUD Guidelines and the EPA lead hazards standards rule at 40 CFR part 745, subparts D and L. You are required to meet the post-hazard control dust-wipe test clearance thresholds at 40 CFR 745.227(e)(8)(viii). Wipe tests shall be conducted by an appropriately certified individual who is independent of the lead hazard control contractor. Dust-wipe and soil samples, and any paint samples to be analyzed by a laboratory, must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP). Units treated shall not be reoccupied until clearance is achieved.

(2) *Blood lead testing.* Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within the six months preceding the housing intervention. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease

Control and Prevention publications *Preventing Lead Poisoning in Young Children* (1991), and *Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials* (1997).

(N) *Cooperation With Related Research and Evaluation.* You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or other government agency and associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal. Participant data shall be subject to Privacy Act protection.

(O) *Data collection.* You will be required to collect and maintain the data necessary to document the various lead hazard control methods used and the relative cost of these methods.

(P) *Section 3 Employment Opportunities.* Please see Section II(E) of the General Section of the SuperNOFA. The requirements of Section 3 of the Housing and Urban Development Act of 1968 are applicable to the Lead-Based Paint Hazard Control Program.

(Q) *Replacing Existing Resources.* Funds received under this grant program should not be used to replace existing community resources dedicated to any ongoing project.

(R) *Certifications and Assurances.* You must include the certifications and assurances listed in the General Section of the SuperNOFA with your application.

(S) *Davis-Bacon Act.* The Davis-Bacon Act does not apply to this program. However, if you use grant funds in conjunction with other Federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

V. Application Selection Process

(A) *Rating and Ranking.* HUD intends to fund the highest ranked applications within the limits of funding, but reserves the right to advance other eligible applicants in funding rank. A decision to advance an applicant will be based on programs that: foster innovative local approaches or lead hazard control methods.

(B) *Award Offers.* In the selection process, once available funds have been allocated to meet the requested or negotiated amounts of the top eligible applicants, HUD reserves the right to

offer any residual amount as partial funding to the next eligible applicant, provided HUD is satisfied that the residual amount is sufficient to support a viable, though reduced effort, by such applicant(s). If you are an applicant offered a reduced grant amount you will have a maximum of seven (7) calendar days to accept such a reduced award. If you fail to respond within the seven day limit, you shall be considered to have declined the award.

(C) *Budget.* HUD will evaluate your proposed budget (for a 36 month period for previously unfunded applicants and a 30 month period for existing grantee applicants) to determine if it is reasonable, clearly justified, and consistent with the intended use of grant funds. HUD is not required to approve or fund all proposed activities. You may devote up to 36 months (30 months for existing grantee applicants) for the planning, implementation, and completion of lead hazard control activities. You must thoroughly document and justify all budget categories and costs (Part B of Standard Form 424A).

(D) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are stated below. The maximum number of points to be awarded is 102. This maximum includes two EZ/EC bonus points as described in the General Section of the SuperNOFA. Also, Section III(C)(2) of the General Section, which addresses a court-ordered consideration, is applicable to this program.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 points for previously unfunded applicants; 30 points for existing grantees)

This factor addresses your organizational capacity necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's staff" for technical merit or threshold compliance, unless otherwise specified, includes any community-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to your project. In rating this factor, HUD will consider:

(1) Your recent, relevant and successful demonstrated experience (including governmental and community-based partners) to undertake eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day program manager in

planning and managing large and complex interdisciplinary programs, especially involving housing rehabilitation, public health, or environmental programs. You must demonstrate that you have sufficient personnel or will be able to quickly retain qualified experts or professionals, to immediately begin your proposed work program and to perform your proposed activities in a timely and effective fashion. In the narrative response for this factor, you should include information on your program staff, their experience, commitment to the program, salary information, and position titles. Resumes (for up to three key personnel), position descriptions, and a clearly identified organizational chart for the lead hazard control grant program effort must be included in an appendix. Indicate the percentage of time that key personnel will devote to your project. To receive maximum points, your day-to-day program manager must be dedicated for a minimum of 75% of the time. Describe how other principal components of your agency or other organizations will participate in or otherwise support the grant program. You may demonstrate capacity by thoroughly describing your prior experience in initiating and implementing lead hazard control efforts and/or related environmental, health, or housing projects. You should indicate how this prior experience will be used in carrying out your proposed comprehensive Lead-Based Paint Hazard Control Grant Program.

(2) If you have received previous HUD Lead-Based Paint Hazard Control Grant funding, your past experience will be evaluated in terms of progress under the most recent previous grant. You must provide a description of your progress in implementing your most recent grant award within the period of performance, including the total number of housing units completed as of the most recent calendar quarter.

Rating Factor 2: Needs/Extent of the Problem (20 points)

This factor addresses the extent to which there is a need for the proposed program activities to address a documented problem in the target area.

(1) Document a critical level of need for your proposed activities in the area where activities will be carried out. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting such need as it applies to the targeted areas, rather than the entire locality or state. If the target area is an entire locality or state, then documenting need at this level is

appropriate. So the threat to your jurisdiction's children can be thoroughly assessed, you should describe the need in both the target areas as well as the entire jurisdiction.

(2) Document the following:

(a) Numbers and percentages of children with elevated blood lead levels, particularly in the areas targeted in your proposal;

(b) Economic and demographic data relevant to the target area, including poverty and unemployment rates;

(c) Housing market data available from HUD, or other data sources, including the Consolidated Plan/Analysis of Impediments, Public Housing Authority's Five Year Comprehensive Plan, State or local Welfare Department's Welfare Reform Plan;

(d) Other data relevant to the target area or jurisdiction that may document an unmet need. These data may include the number of lead poisoned children where the identified lead-based paint hazards have not been remediated, the number of lead-based paint health and/or housing code violations, or the number of pre-1978 housing units anticipated to undergo rehabilitation in the next 12 months; or

(3) To the extent that statistics and other data contained in your community's Consolidated Plan or Analysis of Impediments to Fair Housing Choice (AI) support the extent of the problem, you should include references to the Consolidated Plan and the AI in your response.

(4) Provide information on your jurisdiction, and, the areas targeted for the lead hazard control activities (data may be available in your currently approved Consolidated Plan, derived from 1990 Census Data, or special local studies):

(a) The age and condition of housing;

(b) The number and percentage of very-low (income less than 50% of the area median) and low (income less than 80% of the area median) income families, as determined by HUD, with adjustments for smaller and larger families;

(c) The number and proportion of children under six years (72 months) of age at risk of lead poisoning;

(d) The extent of the lead poisoning problem in children under six years of age in target areas and the overall jurisdiction; and

(e) Other socioeconomic or environmental factors that demonstrate a need to establish or continue lead hazard control work in your jurisdiction.

(5) You also must provide documentation of the priority that the

community's Consolidated Plan and Analysis of Impediments has placed on addressing the needs you described.

(6) If your application addresses needs that are in the Consolidated Plan, Analysis of Impediments to Fair Housing Choice, court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements, you will receive more points than applicants that do not relate their program to identified needs.

(7) For you to receive maximum points for this factor, there must be a direct relationship between your proposed activities, community needs, and the purpose of the program funding. If the data presented in your response does not specifically represent your target area, you should discuss why the target areas were proposed.

Rating Factor 3: Soundness of Approach (45 points for previously unfunded applicants and 30 points for existing grantees)

This factor addresses the quality and cost-effectiveness of your proposed work plan. You should present information on your proposed lead-based paint hazard control program and describe how it will satisfy the identified needs. To the extent possible, describe a comprehensive strategy to address the need to protect targeted neighborhoods rather than individual units or homes. Your response to this factor must include the following elements:

(1) *Lead Hazard Control Strategy* (37 points for previously unfunded applicants; 22 points for existing grantees). Describe your strategy to plan and execute your lead hazard control grant program. You should provide information on:

(a) *Implementing a Lead Hazard Control Program* (16 points for previously unfunded applicants; 8 points for existing grantees). Describe how you will implement the strategy for your proposed lead hazard control program. The description must include information on:

(i) How your previous experience in reducing or eliminating lead-based paint hazards in conjunction with other Federal, State or locally funded programs will facilitate such implementation.

(ii) Your overall strategy for the identification, selection, prioritization, and enrollment of units of eligible privately-owned housing for lead hazard control. Describe the proposed activities that will occur in an EZ/EC and how they will benefit the residents of those zones or communities. Provide estimates of the total number of owner

occupied and/or rental units which will receive lead hazard control. You should describe how you will respond to the needs of EBL children located outside the targeted areas.

(iii) The degree to which the work plan focuses on eligible privately-owned housing units with children under six years (72 months) old. Describe your planned approach to control lead hazards before children are poisoned and/or to control lead hazards in units where children have already been identified with an elevated blood lead level. Describe your process for referring and tracking children with elevated blood lead levels for medical case management. Provide estimates of the number of children you will assist through this program.

(iv) The financing strategy, including eligibility requirements, terms, conditions, and amounts available, you will use in carrying out lead hazard control activities. You must discuss the way these funds will be administered (e.g. use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.), as well as the agency that will administer the financing process. Describe any matching requirements proposed for assistance to investor-owned properties. Investor-owner match that is a program requirement should also be reflected in your response to Factor 4.

(v) You should describe how your proposed program will satisfy the stated needs or will assist in addressing the impediments in the AI. Describe how your proposed program will further and support the policy priorities of the Department, including promoting healthy homes; providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs; or providing educational and job training opportunities. Describe how your strategy will provide long-term benefits to families with children under six years of age.

(b) *Lead Hazard Control Outreach and Community Involvement* (5 points for all applicants). Your application must describe:

(i) Proposed methods of community education. These may include community awareness, education, training, and outreach programs in support of the work plan and objectives. This description should include general and/or targeted efforts undertaken to assist your program in reducing lead exposure. Programs should be culturally sensitive, targeted, and linguistically appropriate. Upon request, this would include making materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large

type), and in other languages common to the community to the extent possible.

(ii) How you intend to involve neighborhood or community-based organizations in your proposed activities. Your activities may include training, outreach, community education, marketing, inspection (including dust lead testing), and the conduct of lead hazard control activities. HUD will evaluate the level of substantive involvement during the review process.

(iii) Outreach strategies and methodologies to affirmatively further fair housing and provide lead-safe housing to all segments of the population: homeowners, owners of rental properties, and tenants. Once the population to which outreach will be "targeted" is identified, outreach strategies directed specifically to them should be multifaceted. This criterion goes beyond testing and hazard control; it concerns what happens to the units after lead hazard control activities are completed and tries to ensure, for the long term, that all families will have adequate, lead-safe housing choices.

(c) *Technical Approach for Conducting Lead Hazard Control Activities* (16 points for previously unfunded applicants; 9 points for existing grantees).

(i) Describe your process for the conduct of risk assessments and/or inspections in units of eligible privately-owned housing in which you will undertake lead hazard control. You may include housing which has a valid risk assessment or inspection which had been previously performed by certified inspectors or risk assessors, in accordance with the HUD Guidelines and identified with lead-based paint hazards.

(ii) Describe your testing methods, schedule, and costs for performing blood lead testing, risk assessments and/or inspections to be used. If you propose to use a more restrictive standard than the HUD thresholds (e.g., 0.5% or 1.0 mg/cm²), identify the lead-based paint threshold for undertaking lead hazard control which will be used. All testing shall be performed in accordance with the HUD Guidelines.

(iii) Describe the lead hazard control methods you will undertake and the number of units you will treat for each method selected (interim controls, hazard abatement, and complete abatement). Provide an estimate of the per unit costs (and a basis for those estimates) for each lead hazard control method proposed and a schedule for initiating and completing lead hazard control work in the selected units. Discuss efforts to incorporate cost-

effective lead hazard control methods (if you propose complete abatement, provide HUD with a detailed rationale for that decision). Explain your cost estimates, providing detail on how the estimates were developed, with particular references to cost effectiveness.

(iv) Schedule. Describe your expected schedule for the overall project. Discuss when you plan to complete planning and receive approval of your workplan; perform lead hazard control on your first unit; and complete lead hazard control on all units in your workplan and grant agreement.

Describe the schedule for a typical unit which will receive lead hazard control. Discuss the duration for enrollment and qualification; evaluation; hazard control; and clearance.

(v) Describe how you will integrate proposed lead hazard control activities with rehabilitation activities, including the training needed to create a workforce properly trained in lead-safe work practices for units being treated under other HUD programs.

(vi) Describe your contracting process, including development of specifications for selected lead hazard control methods. Describe the management processes you will use to ensure the cost-effectiveness of your lead hazard control methods. Your application must include a discussion of the contracting process for the conduct of lead hazard control activities in the selected units.

(vii) Describe your plan for occupant protection or the temporary relocation of occupants of units selected for lead hazard control work. You should address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc.

(viii) If you are an existing grantee, you must describe the actions you will take to ensure that your proposed lead hazard control work will occur concurrently with other ongoing HUD lead hazard control grant work. Your application must provide the detail necessary to assure HUD that you will implement the proposed work immediately and perform it concurrently with existing lead hazard control grant work.

(ix) If you are an existing grantee, you must describe your progress in implementing your most recent lead hazard control grant award. If the production achieved is below the performance values (percentages of units completed) provided in the application kit, and no changes are proposed, you should explain why the strategy in the earlier grant remains

appropriate. Failure to provide this discussion will result in reduced points for this subfactor.

(2) *Economic Opportunity* (4 points for all applicants). Describe the ways you will train individuals and contractors in housing related trades, such as painters, remodelers, renovators, maintenance personnel, and rehabilitation specialists, and others in lead-safe practices. Describe how you will integrate such practices into lead hazard control activities including interim control work conducted on HUD assisted housing units being treated under the provisions of the HUD Lead-Safe Housing Regulation.

Describe the methods to be used to provide economic opportunities for residents and businesses in the community. This discussion should include information on how you will promote training, employment, business development, and contract opportunities as part of your lead hazard control program. Describe how you will accomplish the requirements of section 3 of the Housing and Urban Development Act of 1968 to give preference to hiring of low- and very low-income persons or contracting with businesses owned by or employing low- and very low-income persons.

(3) *Program Evaluation, Data Collection, and Research* (4 points for all applicants).

(a) Identify and discuss the specific methods and measures you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document and report the information.

(b) Provide a detailed description of any proposed applied research activities. Describe the objectives, methodology and impact at the local level of the proposed research activities.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to obtain other community resources (financing is a community resource) and private resources that can be combined with HUD's program resources to achieve program objectives.

(1) In evaluating this factor, HUD will consider the extent to which you have established working partnerships with other entities to get additional resources or commitments to increase the effectiveness of the proposed program activities. Resources may include cash or in-kind contributions (such as services or equipment) allocated to the proposed program. Resources may be

provided by governmental entities, public or private organizations, or other entities partnering with you. Leveraging arrangements with investor-owners may have the benefits of increasing the efficiency of public lead hazard expenditures and creating a financial stake for investor owners in the quality of lead hazard control work. In advance of the actual agreements with investor-owners, however, it may be difficult to predict the precise amount of contributions they will generate. Contractual or other formal relationships with community-based organizations are a requirement for State and local government applicants. Applicants which do not have such partnerships at the time of application will be required to establish partnership relationships with community-based organizations immediately following notification of grant award (this requirement does not apply to you if you are an Indian Tribe applicant). You also may partner with other program funding recipients to coordinate the use of resources in your target area.

(2) You should detail any activities to increase the understanding of lead poisoning prevention activities in your community. This could include partnerships with childhood lead screening programs or collaboration with ongoing health, housing or environmental research efforts which could result in a greater availability of resources.

(3) Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. You may not include funding from any Federally funded program (except the CDBG program) as part of your required 10% match. Other resources committed to the program that exceed the required 10% match will provide points for this rating factor and may include funds from other Federally funded programs. You must support each source of contributions, cash or in-kind, both for the required minimum and additional amounts, by a letter of commitment from the contributing entity, whether a public or private source. This letter must describe the contributed resources that you will use in the program. Staff in-kind contributions should be given a monetary value. If you do not provide letters specifying details and the amount of the actual contributions, those contributions will not be counted. Matching contributions required of investor-owners may be included as part of your match. Documentation and estimates for the amount of the match should be provided in the annex for this factor.

(4) For meeting the required match, you must provide evidence of leveraging or partnerships by including letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level of commitment and responsibilities as they relate to your proposed program. The commitment must be signed by an official of the organization legally able to make commitments on behalf of the organization. Describe the role of community-based organizations in specific program activities, such as hazard evaluation and control; monitoring; and awareness, education, and outreach within the community.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address current and future needs by using available HUD and other community resources. In evaluating this factor, HUD will consider how you have:

(1) Coordinated your proposed activities with those of other groups or organizations to best support and coordinate all known activities and the specific steps you will take to share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place or proposed should be described. You should, at a minimum, describe the activities, in your metropolitan area or region, of other HUD Lead-Based Paint Hazard Control grantees, Centers for Disease Control and Prevention (CDC) Childhood Lead Poisoning Prevention grantees, HUD or EPA Lead Outreach and Education grantees, and other programs which are addressing lead poisoning prevention needs. Coordination also includes providing technical assistance and training to neighboring or regional jurisdictions to facilitate the implementation of lead-based paint hazard control activities in those jurisdictions.

(2) Become actively involved (or if not currently active, the specific steps it will take to become active) in your community's Consolidated Planning and Analysis of Impediments process established to identify and address a need/problem that is related in whole, or part, directly, or indirectly to the activities you propose.

(3) Developed linkages, or the specific steps you will take to develop linkages with other activities, programs or projects through meetings, information networks, task forces, planning processes or other mechanisms to coordinate your activities so solutions are comprehensive, including linkages with:

(a) Other HUD funded projects/ activities outside the scope of those covered by the Consolidated Plan; and

(b) Other HUD, Federal, State or locally funded activities, including those proposed or on-going in the community(s) served.

(4) Coordinated and integrated lead hazard control work with housing rehabilitation, housing and health codes, other related housing programs, or including work of community development corporations and childhood lead poisoning prevention programs.

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

(b) Describe plans to incorporate lead-based paint maintenance, essential maintenance practices, and hazard control standards with the applicable housing codes and health regulations, including training of workers to conduct such activities.

(c) Describe plans to generate and use public subsidies or other resources (such as revolving loan funds) to finance future lead hazard control activities.

(d) Describe plans to develop public-private lending partnerships to finance lead hazard control as part of acquisition and rehabilitation financing including the use of Community Reinvestment Act "credits" by lending institutions.

(e) Evidence firm commitments from participating organizations by describing:

(i) The name of each organization;
 (ii) The capabilities or focus of each organization;
 (iii) The proposed level of effort of each organization; and
 (iv) The resources and responsibilities of each organization, including the applicant's clearly proposed plans for the training and employment of low-income residents.

(f) Described specific plans and objectives to implement a registry of lead-safe housing into your community's planning. Such plans

could include strategies on how the information would be managed and made available to the public so that families (particularly low income families with children under age six) can make informed decisions regarding their housing options. Existing grantee applicants must address any registry of lead-safe housing and specifically discuss the availability, amount of information contained, and the use by members of the community. Describe your plans to develop and maintain a registry of publicly available information on lead-safe units.

(g) Detail the extent to which the policy of affirmatively furthering fair housing for all segments of the population is advanced by the proposed activities. Detail how your proposed work plan will support the community's efforts to further housing choices for all segments of the population. If you have an existing grant, you should discuss activities which have contributed to enhanced lead safe housing opportunities to all segments of the population.

(h) Describe plans to adopt or amend statutes, regulations, or policies which will more fully integrate lead hazard control into community policies and priorities.

(5) Describe how the lead hazard control efforts which are focused in the Empowerment Zone/Enterprise Community will directly benefit the residents or community in that EC/EZ.

(6) Describe efforts to coordinate and cooperate with other organizations which will lead to a reduction in lead risks to community residents. This could include such activities as free training to create a workforce properly trained in lead safe work practices, lead-safe repainting and remodeling; promotion of essential maintenance practices; and provision of lead dust testing to low-income, privately-owned homes which may not receive lead hazard control assistance under this grant program.

VI. Application Submission Requirements

(A) *Applicant Information.* (1) *Application Format.* The application narrative response to the Rating Factors is limited to a maximum of 25 pages. Your response must be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point (minimum) font with not less than 3/4" margins on all sides. Appendices should be referenced and discussed in the narrative response. Materials provided in the appendices should directly apply to the rating factor narrative.

(2) *Application Checklist.* Your application must contain the items listed in this Section VI(A)(B). These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding (collectively, referred to as the "standard forms"). The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application items that are forms (i.e., excluding such items as narratives, letters), referred to as the "non-standard forms" can be found as Appendix A to this program section of the SuperNOFA. The application items are as follows:

(a) Transmittal Letter that identifies "the applicant" (or applicants) submitting the application, the dollar amount requested, what the program funds are requested for, and the nature of involvement with community-based organizations.

(b) The name, mailing address, telephone number, and principal contact person of "the applicant." If you have consortium associates, sub-grantees, partners, major subcontractors, joint venture participants, or others contributing resources to your project, you must provide similar information for each of these partners.

(c) Checklist and Submission Table of Contents.

(d) Applicant Abstract. An abstract describing the goals and objectives of your proposed program (2 page maximum).

(e) Standard Form 424, Application for Federal Assistance.

(f) HUD 424M, Federal Assistance Funding Matrix.

(g) A detailed budget (total budget is the federal share and matching contribution) with supporting cost

justifications for all budget categories of your grant request. You must provide a separate estimate for the overall grant management element (Administrative Costs), which is more fully defined in the application kit for this program section of the SuperNOFA. The budget shall include not more than 10% for administrative costs and not less than 90% for direct project elements. A minimum of 60% of the total Federal amount requested must be dedicated to direct lead hazard control activities. A minimum of 2% of the total Federal amount must be dedicated to activities to create a workforce properly trained in lead-safe work practices. In the event of a discrepancy between grant amounts requested in various sections of the application, the amount you indicate on the SF-424 will govern as the correct value.

(h) An itemized breakout (using the SF-424A) of your required matching contribution, including:

- Values placed on donated in-kind services;
- Letters or other evidence of commitment from donors; and
- The amounts and sources of contributed resources.

(i) Standard Forms SF-LLL and SF-424B, and HUD Forms 2880, 2990, 2991, 2992, 2993, 2994, 50070 and 50071.

(j) Contracts, Memoranda of Understanding or Agreement, letters of commitment or other documentation describing the proposed roles of agencies, local broad-based task forces, participating community or neighborhood-based groups or organizations, local businesses, and others working with the program.

(k) A copy of the lead hazard control element included in your current program year's Consolidated Plan. You should include the discussion of any

lead-based paint issues in your jurisdiction's Analysis of Impediments, particularly as it addresses your target areas.

(l) Narrative responses to the five rating factors.

(B) *Proposed Activities.* All applications must, at a minimum, describe the proposed activities in the narrative responses to the rating factors. Your narrative statement must be numbered in accordance with each factor for award (Rating Factors 1 through 5).

VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

In accordance with HUD regulations in 24 CFR part 58, recipients of lead-based paint hazard control grants will assume Federal environmental review responsibilities. Recipients of a grant under this funded program will be given guidance in these responsibilities.

IX. Authority

The Lead-Based Paint Hazard Control Program is authorized by section 1011 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992).

Appendix A

The non-standard forms, which follow, are required for your Lead-Based Paint Hazard Control Program application. They are the Checklist and Submission Table of Contents and the Total Budget (Federal Share and Matching Contribution, including instructions).

BILLING CODE 4210-32-P

**CHECKLIST AND SUBMISSION TABLE OF CONTENTS
LEAD HAZARD CONTROL GRANT PROGRAM**

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. You must assemble the application in the order shown below and note the corresponding page number where the response is located. You must include this checklist and submission table of contents with the proposal.

<input type="checkbox"/>	Transmittal Letter	Cover page
<input type="checkbox"/>	Applicant Abstract Summary (limited to a maximum of 2 pages)	_____
<input type="checkbox"/>	Application Forms	_____
<input type="checkbox"/>	Standard Form 424 and SF 424A Section B	_____
<input type="checkbox"/>	HUD-424-M	_____
<input type="checkbox"/>	Total Budget (Federal Share and Matching)	_____
<input type="checkbox"/>	HUD 2880 Disclosure and Update Report	_____
<input type="checkbox"/>	HUD 50070 Certification for a Drug-Free Workplace	_____
<input type="checkbox"/>	HUD 50071 Certifications of Payments to Influence Federal Transactions	_____
<input type="checkbox"/>	Form SF-LLL Disclosure of Lobbying Activities Required	_____
<input type="checkbox"/>	<input type="checkbox"/> Form SF-LLL Not Required	_____
<input type="checkbox"/>	HUD 2990 Certification of Consistency with the EZ/EC Strategic Plan	_____
<input type="checkbox"/>	HUD 2991 Certification of Consistency with the Consolidated Plan	_____
<input type="checkbox"/>	HUD 2992 Certification regarding Debarment and Suspension	_____
<input type="checkbox"/>	Standard Form 424B (Assurances/Non-Construction Programs)	_____
<input type="checkbox"/>	Threshold Requirements	
<input type="checkbox"/>	Copy of Lead-Based Paint Element in Consolidated Plan	_____
	Rating Factor Response (The narrative response to the Rating Factors cannot exceed a total of 25 pages.)	
<input type="checkbox"/>	1. Capacity of the Applicant and Relevant Organizational Experience	_____
<input type="checkbox"/>	2. Needs/Extent of the Problem	_____
<input type="checkbox"/>	3. Soundness of Approach	_____
<input type="checkbox"/>	4. Leveraging/Partnerships	_____
<input type="checkbox"/>	5. Comprehensiveness and Coordination	_____
	Appendices	
<input type="checkbox"/>	Appendix 1 - Material in support of Rating Factor 1	_____
<input type="checkbox"/>	Appendix 2 - Material in support of Rating Factor 2	_____
<input type="checkbox"/>	Appendix 3 - Material in support of Rating Factor 3	_____
<input type="checkbox"/>	Appendix 4 - Material in support of Rating Factor 4	_____
<input type="checkbox"/>	Appendix 5 - Material in support of Rating Factor 5	_____
<input type="checkbox"/>	Appendix 6 - Materials relating to the application thresholds or forms. The extract from the Consolidated plan should be provided in this appendix.	_____
<input type="checkbox"/>	Appendix 7 - Other materials related to the application (as required)	_____
<input type="checkbox"/>	HUD 2993 Acknowledgment of Application Receipt	_____

Spreadsheet version available from www.hud.gov/lea/leafoms.html

Budget Summary

Total Budget (Federal Share and Matching)

Detailed Description of Budget					
3c. Transportation - Other	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Transportation - Other					
3d. Per Diem or Subsistence (indicate location)	Days	Rate per Day	Estimated Cost	Federal Share	Match
Subtotal - Per Diem or Subsistence					
Total Travel Cost					
4. Equipment (Only items over \$5,000 each)	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Total Equipment Cost					
5. Supplies and Materials (Items under \$5,000)					
5a. Consumable Supplies	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Consumable Supplies					
5b. Non-Consumable Materials	Quantity	Unit Cost	Estimated Cost	Federal Share	Match
Subtotal - Non-Consumable Materials					
Total Supplies and Materials Cost					

Spreadsheet version available from www.hud.gov/lea/leaforms.html

Analysis of Total Estimated Costs	Estimated Cost	Percent of Total	Percent of Labor
1 Personnel (Direct Labor)			
2 Fringe Benefits			
3 Travel			
4 Equipment			
5 Supplies and Materials			
6 Consultants			
7 Contracts and Sub-Grantees			
8 Other Direct Costs			
9 Indirect Costs			
Total			

Federal Share
Match

Expressed as a percentage of the Federal Share

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.

Instructions for Completing the Budget Summary Spreadsheet

Note: an electronic version of this spreadsheet may be obtained from the
HUD Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/lea/leaforms.html

Item	Discussion
1 - Personnel (Direct Labor)	<p>This section should show the labor costs for all individuals supporting the grant effort (regardless of the source of their salaries). The hours and costs are for the full life of the grant. If an individual is employed by a contractor or sub-grantee, their labor costs should not be shown here.</p> <p>Please include all labor costs which are associated with the proposed grant program, including those costs which will be paid for with in-kind or matching funds.</p> <p>Do not show fringe or other indirect costs in this section.</p> <p>Please use the hourly labor cost for salaried employees (use 2080 hours per year or the value your organization uses to perform this calculation). An employee working less than full time on the grant should show the numbers of hours they will work on the grant.</p>
2 - Fringe Benefits	<p>Use the standard fringe rates used by your organization. You may use a single fringe rate (a percentage of the total direct labor) or list each of the individual fringe charges. The spreadsheet is set up to use the Total Direct Labor Cost as the base for the fringe calculation. If your organization calculates fringe benefits differently, please use a different base and discuss how you calculate fringe as a comment.</p>
3 - Travel	
3a - Transportation - Local Private Vehicle	<p>If you plan on reimbursing staff for the use of privately owned vehicles or if you are required to reimburse your organization for mileage charges, show your mileage and cost estimates in this section.</p>
3b - Transportation - Airfare	<p>Show the estimated cost of airfare required to support the grant program effort. Show the destination and the purpose of the travel as well as the estimated cost of the tickets.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>
3c - Transportation - Other	<p>If you or are charged monthly by your organization for a vehicle for use by the grant program, indicate those costs in this section.</p> <p>Provide estimates for other transportation costs which may be incurred (metro, etc.).</p>

3d - Per Diem or Subsistence	<p>For travel which will require the payment of subsistence or per diem in accordance with your organization's policies. Indicate the location of the travel.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p>
4 - Equipment	<p>Equipment is defined by HUD regulations as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.</p> <p>Each lead program NOFA describes what equipment may be purchased using grant funding.</p>
5 - Supplies and Materials	<p>Supplies and materials are consumable and non-consumable items which have a unit value of less than \$5,000. Please list the proposed supplies and materials as either Consumable Supplies or as Non-Consumable Materials.</p>
5a - Consumable Supplies	<p>List the consumable supplies you propose to purchase. General office or other common supplies may be estimated using an anticipated consumption rate.</p>
5b - Non-consumable materials	<p>List furniture, computers, printers, and other items which will not be consumed in use. Please list the quantity and unit cost.</p>
6 - Consultants	<p>Please indicate the consultants you will use. Indicate the type of consultant (skills), the number of days you expect to use them, and their daily rate.</p>
7 - Contracts and Sub-Grantees	<p>List the contractors and sub-grantees which will help accomplish the grant effort. Other contracts which should be shown here include inspections, risk assessments, and clearance inspections; contracts with Community Based Organizations; liability insurance; contracts with laboratories; and training and certification for contractors and workers.</p> <p>If any contractor, sub-contractor, or sub-grantee is expected to receive over 10% of the total Federal amount requested, a separate Budget Summary spreadsheet should be developed for that contractor or sub-grantee and the total amount of their proposed effort should be shown as a single entry in this section.</p> <p>Unless your proposed program will perform the primary grant effort (lead hazard control, research, or healthy homes) with in-house employees (which should be listed in section 1), the costs of performing the primary grant activities (research, hazard control, etc.) should be shown in this section.</p> <p>Types of activities which should be shown in this section:</p> <ul style="list-style-type: none"> • Contracts for all services • Training for individuals not on staff • Contracts with Community Based Organizations or Other Governmental Organizations (note the 10% requirement)

	<p>discussed above)</p> <ul style="list-style-type: none"> • Insurance if your program will procure it separately <p>Please provide a short description of the activity the contractor or subgrantee will perform, if not evident.</p>
8 - Other Direct Costs	<p>Other Direct Costs include a number of items that are not appropriate for other sections.</p> <p>Other Direct Costs may include:</p> <ul style="list-style-type: none"> • Staff training • Telecommunications • Printing and postage • Relocation, if costs are paid directly by your organization (if relocation costs are paid by a subgrantee, it should be reflected in Section 7)
9 - Indirect Costs	<p>OMB Circular A87 defines indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. Indirect costs include (a) the indirect costs originating in each department or agency of the governmental unit carrying out Federal awards and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.</p> <p>The spreadsheet is set up to use the Total Direct Labor plus the Fringe Benefits costs as the base for the indirect cost calculation. If your organization calculates indirect costs differently, please use a different base and discuss how you calculate fringe as a comment.</p>

The three rightmost columns allow you to identify how the costs will be spread between the Federal Share and the Match. This information will help the reviewers better understand your program and priorities. The far right column is an "error checking" function to confirm that the estimated cost is equal to the sum of the Federal Share and the Match. If there is a discrepancy, the word "Error" will appear.

Note: The formats and many of the cells for the spreadsheet (which can be downloaded from the HUD Office of Healthy Homes and Lead Hazard Control website at www.hud.gov/lea/fedshare.xls) are protected. There is no password for the protection.

