

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**HEALTHY HOMES AND LEAD
HAZARD CONTROL PROGRAMS**

LEAD TECHNICAL STUDIES PROGRAM

Billing Code 4210-32-C

Lead Technical Studies Program Overview Information

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

B. *Funding Opportunity Title*: Lead Technical Studies Program.

C. *Announcement Type*: Initial announcement.

D. *Funding Opportunity Number*: The **Federal Register** number is: FR-4900-N-10. The OMB Paperwork Approval number is: 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number*: 14.902, Lead Technical Studies Grant Program.

F. *Dates*: An original and three copies of your application must be submitted on or before July 13, 2004. See the General Section of the SuperNOFA Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

G. *Additional Overview Content Information*:

1. The funding opportunity is for technical studies to improve methods for detecting and controlling residential lead-based paint health and safety hazards.

2. The total amount to be awarded is approximately \$3 million, of which \$1 million is a set-aside for Historically Black Colleges and Universities (HBCUs).

3. The anticipated amounts and/or numbers of individual awards will be approximately six to ten awards, ranging from approximately \$200,000 to approximately \$750,000.

4. The types of instruments awarded will be grants or cooperative agreements, with substantial involvement of the government for cooperative agreements.

5. Academic, not-for-profit and for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible to apply. For-profit institutions are not allowed to earn a fee. HBCUs are also eligible to apply under the set-aside.

6. Cost sharing is not required, but is encouraged.

7. There are no limitations on the numbers of applications that each applicant may submit, and,

8. One can get application materials from the sources described below.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of the Program. The purpose of the Lead Technical Studies program is to improve methods for detecting and

controlling residential lead-based paint hazards.

A. Program Description

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

Through the Lead Technical Studies Program, HUD is helping "develop the capacity of eligible applicants * * * to carry out activities under" lead hazard control grant programs, by advancing the technology and increasing the effectiveness of workers on lead hazard control (LHC) projects, in fulfillment of the requirements of section 1011(g)(1) of Title X of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4852(g)(1)) and is "conduct[ing] research to develop improved methods for evaluating [and] reducing lead-based paint hazards in housing," and related topics, in fulfillment of the requirements of sections 1051 and 1052 of Title X.

HUD encourages applicants to consider using the "community based participatory research" approach, where applicable, in the design and implementation of lead technical studies (*see e.g.*, <http://www.niehs.nih.gov/translat/cbpr/cbpr.htm>).

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

2. *Background*. HUD has been actively engaged in a number of activities relating to lead-based paint hazard control as a result of the Lead-Based Paint Poisoning Prevention Act of 1971, as amended, 42 U.S.C. 4801-4856. Sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X) (42 U.S.C. 4854 and 4854a) state that the Secretary of HUD, in cooperation with other federal agencies, shall conduct technical studies on specific topics related to the evaluation and mitigation of residential lead hazards. Section 1053 of Title X authorized HUD to spend funds to conduct these studies, under the Lead Hazard Control Grant Program's funding authorization in

section 1011(o). The HUD-sponsored technical studies program also responds to recommendations by the Task Force on Lead-Based Paint Hazard Reduction and Financing, which was established pursuant to section 1015 of Title X. (42 U.S.C. 4852a). The Task Force presented its final report to HUD and the Environmental Protection Agency (EPA) in July 1995. The Task Force Report, entitled "Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing" (*see* Appendix A of this program section of this NOFA), recommended that research be conducted on a number of key topics to address significant gaps in our knowledge of lead exposure and hazard control.

The findings of technical studies will be used in part to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing (Guidelines)*, which were published in June 1995 and partly amended in September 1997 (Chapter 7, Lead-Based Paint Inspection). For availability of the *Guidelines*, *see* Appendix A.

B. Eligible Activities

HUD is especially interested in the following lead technical studies topics:

1. *Use of novel or dry cleaning techniques*. Current methods for cleaning lead-contaminated dust from hard surfaces consist of a combination of HEPA vacuuming and wet cleaning. Research sponsored by both the U.S. Environmental Protection Agency and HUD has shown that trisodium phosphate (TSP) is not more effective than other detergents in cleaning lead contaminated dust (USEPA 1998, Rich *et al.* 2002). Additional HUD-sponsored research showed that use of household vacuums without HEPA filtration for cleaning as an interim control method (*i.e.*, not following lead abatement or other interim control activities) did not produce detectable airborne lead emissions (Public Health Institute/California Dept. of Health Services, unpublished data). The same study also found that wet washing was considerably more effective than vacuuming in removing dust-lead from smooth floors.

There are other cleaning techniques that might be effective in cleaning hard surfaces, but which have not been studied. The other cleaning techniques include the use of disposable cloths or towelettes (either used directly or at the end of a wand) or dry cleaning methods using disposable wipes that collect dust electrostatically. Important considerations include both efficacy in

the removal of lead-contaminated dust and cost.

The use of a disposable wet cleaning medium, a technique that can be referred to as "wet wipe and toss" consists of the use of a disposable rag or non-woven cellulosic material that can be dipped in cleaning solution, used once to clean a surface, and then discarded. Conceptually, this may benefit cleaning since a fresh wipe material is always used and there is no return to the rinse solution (*i.e.*, as with a mopping technique), a practice that may contaminate the cleaning water (a disadvantage is the potential for creating a large amount of solid waste). This technique may be most appropriate for cleaning small surfaces, such as windowsills or troughs, but could also be used for floors if the wipe medium is secured on a holder at the end of a handle. Commercially available products include pre-moistened cleaning pads (resembling large size baby wipes) and integrated spray and wipe assemblies with disposable cleaning pads.

Disposable dry cleaning media for dust control was introduced into the commercial market relatively recently. This cleaning technique makes use of a disposable dust collector, made of cloth or paper with an electrostatic charge. Some unpublished reports indicate that they can be effective in dust removal, including cleanup of lead-contaminated dust. Without focusing on any specific commercial product, it would be of interest to establish the usefulness of some of these products to clean a variety of surfaces prior to clearance, or to remove lead-contaminated dust on specific surface types as an interim control procedure.

Additional ideas would be welcome, along with novel approaches to evaluate the effectiveness of the cleaning techniques.

2. *Reducing exterior soil and dust-lead hazards.* Studies have shown that lead in exterior dust and soil can be an important source of lead exposure to young children, both through direct contact and indirectly when tracked or blown into the home. HUD has funded several studies that have assessed approaches to reducing the risk posed by this large environmental lead reservoir. Examples of these studies have focused on the following topics: reducing the bioavailability (as determined using *in vitro* testing) of lead in soil through the addition of composted biosolids; reducing soil hazards in urban yards through targeted landscaping (*e.g.*, raised beds, improving ground cover); reducing exterior dust-lead levels through

exterior building treatments and street and sidewalk cleaning; and, reducing surface soil-lead hazards by overlaying clean soil with grass cover.

Additional study is needed to assess the long-term effectiveness of interim controls to reduce soil and exterior dust-lead hazards. Research is also needed to develop interim controls and strategies for exterior dust and soil that are reasonable in cost, feasible to implement, and which do not require frequent maintenance to maintain their effectiveness.

3. *Potential exposure and contamination from floor sanding of lead-containing floor varnish.* A HUD-funded pilot study by the Wisconsin Division of Public Health, "Potential Lead Exposures from Sanding Floors Containing Leaded Varnish," found that although no floor varnish was identified as lead-based paint using X-ray fluorescence (XRF), 52% of varnish samples exceeded the definition of lead-based paint based on laboratory analysis. Also, more than 70% of the settled dust samples (not dust wipe samples) exceeded the floor dust clearance level of 40 $\mu\text{g}/\text{ft}^2$ after floor sanding. Use of low-cost dust controls significantly reduced the amount of lead-contaminated dust on the floors. Hand-scraping of varnished stairs was also shown to be a high risk operation for occupational (personal) lead exposure.

HUD is interested in expanding this study to include a larger number of homes and floor refinishing contractors, and to include additional regions of the country. HUD is also interested in the ease of achieving clearance (using dust wipes) after floor sanding of varnishes that contain lead followed by cleaning, and in the development of procedures for minimizing the spread of lead-contaminated dust during sanding (*i.e.*, considering the large amount of dust produced during sanding).

4. *Approaches to streamlining performance of interim controls, abatement, and clearance in multi-family housing where repeat operations occur.* The performance of abatement or interim control of lead-based paint hazards in multi-family housing may result in repetitive operations (for example in common areas such as hallways and stairwells) that hinder the movement, access, and exit of residents. For some of these areas, such as a hallway on each floor, or a stairwell or entranceways to buildings, repetitive operations such as interim controls may require relocation of residents until work can be completed, clean-up accomplished, and clearance attained.

There may be ways to show, with statistical significance, and through the use of existing, previous, or historical data that repeat operations may be defined with sufficient specificity to allow accelerated clean-up and clearance. HUD is interested in studies to determine whether repeat operations in multi-family housing can be sufficiently safe to allow return of residents to their units based on considered professional judgment and data collected from similar operations. This approach may be analogous to the approach taken to prove a negative exposure assessment for OSHA exposure determinations.

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

6. *Use of Available Databases to Improve the Efficacy of Lead Hazard Control Activities.* Public databases can be used to help target and assess the effectiveness of lead hazard control activities. Examples of this include the use of census data to identify neighborhoods that are at high risk for lead poisoning (*e.g.*, age and value of housing used in combination with indicators of socioeconomic status); the use of blood-lead screening data to target dwellings that have been associated with repeated identification of resident children with elevated blood-lead levels. At a broader level, serial blood-lead screening data could be used to assess the effectiveness of lead hazard control activities or laws that require lead hazard control treatments in high risk housing (*e.g.*, by

comparing community screening levels before and laws were enacted while accounting for the overall downward trend in blood lead levels). HUD is interested in studies that assess novel uses of public databases to improve the efficacy of lead hazard control programs (e.g., targeting neighborhoods), assess the effectiveness of enforcement and lead hazard control activities and regulations, and other, novel uses of these data.

7. *Other Focus Areas that are Consistent with the Overall Goals of HUD's Lead Technical Studies Program.* Additional ideas will be considered with an open mind if proposed with novel techniques and applications. HUD will also consider funding applications for technical studies on topics which are relevant under the overall goals and objectives of the lead technical studies program, as described above. In such instances, the applicant should describe how the proposed activity addresses these overall goals and objectives.

C. Ineligible Activities

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

2. Medical treatment costs.

D. Authority

These grants are authorized under sections 1011(g)(1), 1011(o), 1051–1053 of the Residential Lead Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992, 42 U.S.C. 4851 *et seq.*); and the Consolidated Appropriations Resolution of 2004, Pub. L. 108–199.

II. Award Information

A. Funding Available

Approximately \$3 million in Fiscal Year 2004 for Lead Technical Studies. Of this amount, \$1 million is set-aside for Historically Black Colleges and Universities (HBCUs). Cooperative agreements will be awarded on a competitive basis following evaluation of all proposals according to the rating factors described in this program NOFA. HUD anticipates that approximately six to ten grants will be awarded, ranging from approximately \$200,000 to approximately \$750,000 each. In FY2003, HUD awarded six grants averaging \$272,000.

Applications for supplementation of existing projects are eligible to compete with applications for new awards (*i.e.*, for work outside of the scope of the original agreement).

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

The start date for new awards is expected to be October 1, 2004. The period of performance cannot exceed 36 months from the time of award. Applicants are encouraged to plan studies with shorter performance periods, however when developing your schedule you should also consider the possibility that issues may arise that would delay project completion. For example, it is HUD's experience that projects requiring Institutional Review Board approval and oversight (*i.e.*, in conformance with HUD's regulation (24 CFR 60) incorporating the Department of Health and Human Services' regulation of studies involving human subjects) or which involve the development of new instrumentation, are prone to delays. HUD reserves the right to approve no cost time extensions for a total period not to exceed 12 months.

C. Type of Award Instrument

Awards in response to this solicitation will be made as grants or cooperative agreements. Anticipated substantial involvement for cooperative agreements may include, but will not be limited to:

1. Review and possibly suggest amendments to the study design, including: study objectives; field sampling plan; sample handling and preparation; and sample and data analysis.

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

3. Review and provide technical recommendations on the final study report.

III. Eligibility Information

A. Eligible Applicants

Academic and not-for-profit institutions located in the U.S., state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a fee (*i.e.*, no profit can be made from the project). HBCUs, that is, educational institutions that satisfy the requirements of 34 CFR 608.2, are also eligible to apply under the set-aside. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA

provides additional eligibility requirements.

B. Cost Sharing or Matching

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

C. Other

1. *Threshold Requirements Applicable to All Applicants Under the SuperNOFA.* As an applicant, you must meet all of the threshold requirements described in the General Section of the SuperNOFA. Threshold requirements include Eligibility, Compliance with Fair Housing and Civil Rights Laws, Conducting Business in Accordance with Core Values and Ethical Standards, Delinquent Federal Debts and Pre-Award Accounting System Surveys. Information about threshold requirements is provided in the General Section of the SuperNOFA. Applicants that meet all of the threshold requirements will be eligible to receive funds from HUD.

2. Program Requirements.

a. *Program Performance.* Grantees shall take all reasonable steps to accomplish all grant-funded activities within the approved period of performance. HUD reserves the right to terminate the grant prior to the expiration of the period of performance if the grantee fails to make reasonable progress in implementing the approved program of activities.

b. Compliance with all relevant state and federal regulations regarding exposure to and proper disposal of hazardous materials;

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

d. HUD technical studies grant funds will not replace existing resources dedicated to any ongoing project;

e. Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) will be conducted by a laboratory recognized under the program;

f. Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, required by HUD at 24 CFR part 60;

g. The requirements of the Occupational Safety and Health Administration (OSHA) (*e.g.*, 29 CFR

part 1910 and/or 1926, as applicable) or the state or local occupational safety and health regulations, whichever are most stringent, will be met;

h. If an individual researcher or a research team submits the application, the institution administering the grant will meet the civil rights threshold in the General Section of this NOFA.

3. *DUNS Requirement.* Refer to the General Section of the SuperNOFA for information regarding the DUNS requirement. A DUNS number must be provided for the institution that is submitting an application.

IV. Application and Submission Information

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

A. Addresses to Request Application Package

There is no Application Kit. All the information required to submit an application is contained in the program section of this NOFA and the General Section of the SuperNOFA. Forms can be downloaded from the web at: <http://www.grants.gov>.

B. Content and Form of Application Submission

1. *Applicant Data.* Your application must contain the items listed in this section. These items include the standard forms, 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 the General Section of the SuperNOFA. The remaining application item that is recommended for inclusion with your application is a non-standard form (*i.e.*, excluding such items as narratives) that can be found as Appendix B to this program NOFA. The required items are:

a. A transmittal letter, signed by the chief executive or other authorized official, that provides the title of your proposed project, the dollar amount requested, and identifies the applicant(s) submitting the application. If you are applying under the HBCU set-aside, indicate this in the letter. Include the name, mailing address, telephone number, and principal contact person of the prime applicant. If two or more organizations are working together on the project, a primary applicant must be designated.

b. Application Abstract Summary. An abstract with the project title, the names and affiliations of all investigators, and

a summary of the objectives, expected results, and study design (two-page maximum) must be included in the proposal.

c. Checklist and Submission Table of Contents (*see* Appendix B of this program NOFA; inclusion of this checklist is voluntary).

d. All forms as required by the General Section of this SuperNOFA. A Certification of Consistency with the Consolidated Plan is not required for this application.

e. A project description/narrative statement addressing the rating factors for award of funding under this program section of the NOFA. The narrative statement must be numbered in accordance with each factor for award (Rating Factors 1 through 5). The project description can either be included in the responses to the rating factors or provided separately. The response to the rating factors should not exceed a total of 25 pages (10- to 12-point font with at least $\frac{3}{4}$ inch margins on $8\frac{1}{2}$ by 11 inch pages) for each technical study topic area. Any pages in excess of this limit will not be read.

f. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60), if your research involves human subjects, your organization must provide an assurance (*e.g.*, a letter signed by an appropriate official) that the research has been reviewed and approved by an Institutional Review Board (IRB) before you can initiate activities that require IRB approval. Before initiating such activities you must also provide the number for your organization's assurance (*i.e.*, an "institutional assurance") that has been approved by the Department of Health and Human Service's Office of Human Research Protections (OHRP). For additional information on what constitutes human subject research or how to obtain an institutional assurance see the OHRP web site at: <http://ohrp.osophs.dhhs.gov/>.

g. Within Appendix 1 of your application, include the resumes of the principal investigator and other key personnel and other materials that are needed in your response to the rating factors (*e.g.*, organizational chart, letters of commitment). Resumes shall not exceed three pages each, and are limited to information that is relevant in assessing the qualifications of key personnel to conduct and/or manage the proposed technical studies. This information will not be counted towards the page limit. Also include Form HUD-96010 Logic Model in Appendix 1 (needed for response to rating factor 5).

h. Within Appendix 2 of your application, include attachments, appendices, or other relevant information may accompany the project description, but must not exceed 20 pages for the entire application, although mandatory materials (organizational chart, resumes, job descriptions, letters of commitment and memoranda of agreement from participating organizations) are not included in this page limit. Any pages in excess of this limit will not be read.

i. Within Appendix 3 of your application, include the required forms and a detailed total budget with supporting cost justification for all budget categories of the federal grant request. Use the budget format discussed in Rating Factor 3, Section V.(A.)c. below. In completing the budget forms and justification, you should address the following elements:

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

(2) You should budget for three trips to HUD Headquarters in Washington, DC, planning each trip for two people, with the first trip occurring shortly after grant award for a stay of two or three days, depending on your location, and the remaining trips having a stay of one or two days, depending on your location;

(3) A separate budget proposal should be provided for any subrecipients receiving more than 10 percent of the total federal budget request;

(4) You should be prepared to provide supporting documentation for salaries and prices of materials and equipment upon request;

(5) Organizations that have a federally negotiated indirect rate should use that rate and the appropriate base. Other organizations, not having a federally negotiated rate schedule, must obtain a rate from their cognizant federal agency, otherwise the organization will be required to obtain a negotiated rate through HUD; and

(6) You should submit the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

C. Submission Dates and Times

You must submit an original and three copies of your application on or before July 13, 2004. Refer to the General Section of the SuperNOFA for additional requirements such as delivery times, acceptable submission

methods, acceptable proof of delivery, the timing of hand-delivered submissions and postmarks, and other information regarding application submission.

D. Intergovernmental Review

Funding received through this NOFA is not subject to Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs."

E. Funding Restrictions

1. **Administrative Costs.** There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix C of this NOFA.

2. **Purchase of Real Property** is not an allowable cost under this program.

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

4. **Medical treatment costs** are not allowable under this program.

F. Other Submission Requirements

1. **Address for Submitting Applications.** Submit an original and three copies of your application to: U.S. Department of Housing and Urban Development; Office of Healthy Homes and Lead Hazard Control; ATTN: Lead Technical Studies Program; 451 Seventh Street, SW, Room P3206; Washington, DC 20410-3000.

2. **Application Submission.** See the General Section of the SuperNOFA for specific procedures concerning the form of application submission (*e.g.*, mailed applications, express mail, or overnight delivery).

V. Application Review Information

A. Criteria

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

2. **Rating and Ranking.** Applications will be reviewed by an Application Review Panel (ARP) which will assign each application a score based on the rating factors presented below. The ARP chairperson selects and provides at least one application to panel members to score during a calibration round to ensure that all panel members are consistent in their application of the rating factors. When the calibration round is completed, each application is

reviewed and scored by at least two panel members. If significant scoring discrepancies are identified among the reviewers of an application, the reviewers discuss their differences and are then given an opportunity to rescore the application among themselves and, if needed, with the full ARP. An average score is then computed for each application. The ARP chair may call upon an advisor (generally a scientist with another federal agency) to the ARP to review and comment on a proposal; however, the advisor does not score the application. At a final meeting, the ARP identifies the top-ranking applications to be recommended for funding.

3. **Award Factors.** The factors for rating and ranking applicants, and maximum points for each factor, are provided below. Each factor is weighted as indicated by the number of points that are attainable for it. The maximum score that can be assigned to an application is 102 points. Applicants should be certain that these factors are adequately addressed in the project description and accompanying materials. The five rating factors are listed below (a more detailed description follows):

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (22 points);

Rating Factor 2: Need/Extent of the Problem (15 points);

Rating Factor 3: Soundness of Approach (45 points);

Rating Factor 4: Leveraging Resources (8 points);

Rating Factor 5: Achieving Results and Program Evaluation (10 points);
RC/EZ/EC Bonus Points (2 points);
TOTAL: 102 points

Applicants are eligible to receive two bonus points for projects located within federally designated Renewable Communities (RC)/Employment Zones (EZ)/Enterprise Communities (EC) (RC/EZ/ECs) and which will serve the residents of these communities (*see* the General Section of the SuperNOFA).

You will receive one point under Rating Factor 3.c(2) for each of the applicable FY 2004 policy priorities that are adequately addressed in your application with the exception of "Removal of Barriers to Affordable Housing," for which you can receive up to two points (*see* the General Section of the SuperNOFA). Policy priorities that are applicable to the Lead Technical Studies Program NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grass-Roots Faith-based and other Community-based Organizations in HUD Program Implementation; (3)

Participation of Minority-Serving Institutions in HUD Programs, and (4) Removal of Barriers to Affordable Housing.

Within the program areas, you may address more than one of the technical study topic areas within your proposal or submit separate applications for different topic areas. You are encouraged to plan projects that can be completed over a short time period (*e.g.*, 18 to 24 months from the date of award, so useful information generated from the technical studies can be available for policy or program decisions and disseminated to the public as quickly as possible.

The following is a description of the five award factors and their associated subfactors.

a. **Rating Factor 1. Capacity of the Applicant and Relevant Organizational Experience (22 Points).** This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of you, the "applicant," will include any subgrantees, consultants, subrecipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor, HUD will consider the extent to which your application demonstrates:

(1) The capability and qualifications of the principal investigator and key personnel (14 points). Qualifications to carry out the proposed study as evidenced by academic background, relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the technical study that is proposed under this NOFA; and

(2) Past performance of the study team in managing similar projects (8 points). Demonstrated ability to successfully manage various aspects of a complex technical study in such areas as logistics, study personnel management, data management, quality control, community study involvement (if applicable), and report writing, as well as overall success in project completion (*i.e.*, projects completed on time and within budget). You should also demonstrate that your project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.

If applicable, provide the past performance of the organization (applicant or partners) in another

Healthy Homes or Lead Hazard Control grant, another grant related to environmental health and safety issues, or other experience in a similar program. Provide details about the nature of the project, the funding agency, and your performance.

If your organization is an existing Lead Technical Studies grantee, provide a description of the progress and outcomes achieved in that grant. If you received previous Lead Technical Studies funding, this experience will be evaluated in terms of cumulative progress and achievements under the previous grant.

b. Rating Factor 2. Need/Extent of the Problem (15 Points). This factor addresses the extent to which there is a need for your proposed technical study. In responding to this factor, you should document in detail how your project would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in Section I.B. You should demonstrate how your proposed study addresses a need with respect to the development of improved methods for the assessment and control of residential lead-based paint hazards. Specific topics to be addressed for this factor include:

(1) Provide a concise review of the research need that is addressed in your study and why it is high priority with respect to improving methods for lead hazard detection and control;

(2) Discuss how your proposed project would significantly advance the current state of knowledge for your focus area, especially with respect to the development of practical solutions; and,

(3) Discuss how you anticipate your study findings will be used to improve current methods for assessing or mitigating the lead hazard that your study addresses. Indicate why the method/protocol that would be improved through your study would likely be widely adopted (e.g., low cost, easily replicated, lack of other options).

c. Rating Factor 3. Soundness of Approach (45 Points). This factor addresses the quality of your proposed technical study plan. Specific components include:

(1) Soundness of the study design (20 points). The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should clearly describe how your study builds upon the current state of knowledge for your focus area. If possible, your study should be designed to address testable hypotheses, which are clearly stated. Your study design should be statistically based, with adequate power

to test your stated hypotheses. The study design should be presented as a logical sequence of steps or phases, with individual tasks described for each phase. You should identify any important "decision points" in your study plan and you should discuss plans for data management, analysis and archiving.

(2) Policy Priorities (5 points). Indicate if your proposed study will address any of the FY2004 policy priorities that are applicable to this program as identified in Section V.A.3 (see the General Section of the SuperNOFA for additional details regarding these policy priorities). You will receive one point for each of the applicable policy priorities that are addressed in your application, with the exception of "Removal Of Barriers to Affordable Housing," for which you can receive a maximum of 2 points.

(3) Quality assurance mechanisms (8 points). You must describe the quality assurance mechanisms that will be integrated into your project design to ensure the validity and quality of the results.

(a) Areas to be addressed include acceptance criteria for data quality, procedures for selection of samples/sample sites, sample handling, measurement and analysis, pre-testing and validation of questionnaires or surveys, measures to ensure accuracy during data management, and any standard/nonstandard quality assurance/control procedures to be followed. Documents (e.g., government reports, peer-reviewed academic literature) that provide the basis for your quality assurance mechanisms should be cited.

(b) If your project involves human subjects in a manner which requires Institutional Review Board (IRB) approval and periodic monitoring, address how you will obtain such approval. Before you can receive funds from HUD for activities that require IRB approval, you must provide an assurance that your study has been reviewed and approved by an IRB and evidence of your organization's "institutional assurance." Describe how you will provide informed consent (e.g., from the subjects, their parents or their guardians, as applicable) to help ensure their understanding of, and consent to, the elements of informed consent, such as the purposes, benefits and risks of the research. Describe how this information will be provided and how the consent will be collected. For example, describe your use of "plain language" forms, flyers and verbal scripts, and how you plan to work with families with limited English proficiency or primary

languages other than English, and with families including persons with disabilities.

(4) Project management plan (8 points). The proposal should include a management plan that provides a schedule for the completion of major activities, tasks and deliverables, with an indication that there will be adequate resources (e.g., personnel, financial) to successfully meet the proposed schedule. You are encouraged to plan a project with a duration of 24 months or less (36 months maximum). You should include preparation of one or more articles for peer-reviewed academic journals and submission of the draft(s) to the journal(s) after HUD acceptance during the period of performance of your grant.

(5) Budget Proposal (4 points).

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

(b) Your narrative justification associated with these budgeted costs should be included as an attachment to the Total Budget (Federal Share and Matching), but does not count in the 25-page limit for this submission.

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

d. Rating Factor 4. Leveraging Resources (8 Points). Your proposal should demonstrate that the effectiveness of HUD's Lead Technical Studies grant funds is being increased by securing other public and/or private resources or by structuring the project in a cost-effective manner, such as integrating the project into an existing study. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of your project. Staff and in-kind contributions should be assigned a monetary value.

You should provide evidence of leveraging/partnerships by attaching to your application the following: letters of firm commitment; memoranda of understanding; or agreements to participate from those entities identified as partners in the project efforts. Each letter of commitment, memorandum of understanding, or agreement to participate must include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

e. Rating Factor 5. Achieving Results and Program Evaluation (10 Points). This factor emphasizes HUD's commitment to ensuring that applicants keep promises made in their applications and assess their performance to ensure performance goals are met. Achieving results means you, the applicant, have clearly identified the benefits or outcomes of your program. Outcomes are ultimate goals. Benchmarks or outputs are interim activities or products that lead to the ultimate achievement of your goals.

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

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability. In evaluating this factor, HUD will consider how you have described outcome measures and benefits of your program.

In your response to this Rating Factor you are to discuss the performance goals for your project and identify specific outcome measures. You are also to describe how the outcome information will be obtained, documented, and reported. You must complete and return the Logic Model Form included in Appendix A of the General Section of the SuperNOFA showing your proposed project long-term, mid-term, short-term and final results. Information about

developing a Logic Model is available at: <http://www.hud.gov>.

Also, in responding to this factor, you should:

- (1) Identify benchmarks that you will use to track the progress of your study;
- (2) Identify important study milestones (e.g., the end of specific phases in a multiphase study which should also be clearly indicated in your study timeline);
- (3) Identify milestones that are critical for achieving study objectives (e.g., recruitment of study participants, developing a new analytical protocol), potential obstacles in meeting these objectives, and how you would respond to these obstacles;
- (4) Identify how your program will be held accountable for meeting program goals, objectives, and the actions undertaken in implementing the grant program.

B. Review and Selection Process

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

2. *Rating and Ranking.* Awards will be made separately in rank order for Lead Technical Studies applications, within the limits of funding availability for the program.

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

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

C. Anticipated Announcement and Award Dates

The anticipated date for the announcement of awards under the Lead technical Studies Program is September 30, 2004.

VI. Award Administration Information

A. Award Notices

1. *Notice of Award.* Applicants who have been selected for award will be notified by letter from the Grant Officer. The letter will state the program for which the application has been selected, the amount the applicant is eligible to receive, and the name of the Government Technical Representative (GTR).

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

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

In accordance with OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations), grantees will have to submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, the address can be obtained from their Web site. The SF-SAC can be downloaded at: <http://harvester.census.gov/sac/>.

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

B. Administrative and National Policy Requirements

1. *Environmental Requirements.* In accordance with 24 CFR 50.19(b)(1) and (b)(5), activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

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

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

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

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

C. Reporting

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

2. *Quality Assurance Plan (QAP).* Successful applicants will be required to submit a Quality Assurance Plan to HUD prior to initiating work under the grant. This is a streamlined version of the format used by some other federal agencies, and is intended to help ensure the accuracy and validity of the data that you will collect under the grant. You should plan for this and include it in your study work plan. (See the HUD Office of Healthy Homes and Lead Hazard Control's Internet site at: <http://www.hud.gov/offices/lead/>)

3. *Progress Reporting.* Progress reporting is required on a quarterly basis.

4. *Racial and Ethnic Beneficiary Data.* HUD does not require grantees to collect racial and ethnic beneficiary data for this program. If, however, racial and ethnic data are collected and reported as part of a study funded under this program NOFA, you must use the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data as presented on Form HUD-27061, Racial and Ethnic Data Reporting Form (and instructions for its use), found at: <http://www.grants.gov>.

5. *Final Report.* The grant agreement will specify the requirements for final reporting (e.g., scientific manuscript, report).

VII. Agency Contacts

For technical or programmatic questions, you may contact Dr. Peter Ashley, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 115 (this is not a toll-free number) or via e-mail at Peter_J._Ashley@hud.gov. For grants administrative questions, you may contact Ms. Curtissa L. Coleman, Office of Healthy Homes and Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 119 (this is not a toll-free number) or via e-mail at Curtissa_L._Coleman@hud.gov. If you are a hearing- or speech-impaired person, you may reach the above telephone numbers through TTY by

calling the toll-free Federal Information Relay Service at 800-877-8339.

VIII. Other Information

A. Paperwork Reduction Act

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

Appendix A—Relevant Publications and Guidelines

To secure any of the documents listed, call the telephone number provided. If you are a hearing- or speech-impaired person, you may reach the telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. A number of these references are provided on HUD's CD, "Residential Lead Desktop Reference, 3rd Edition." This CD can be obtained at no charge by calling the National Lead Information Clearinghouse's (NLIC's) toll free number, 800-424-LEAD. Several of these references can be downloaded from the Internet without charge from the HUD Office of Healthy Homes and Lead Hazard Control's Internet site at: <http://www.hud.gov/offices/lead/>

1. Regulations:

a. *Worker Protection:* The two Occupational and Safety Administration (OSHA) publications listed below can be purchased by calling either OSHA Regulations at 202-693-1888 (OSHA Regulations) (this is not a toll free number) or the Government Printing Office (GPO) at 202-512-1800 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach these telephone numbers through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

(1) General Industry Lead Standard, 29 CFR 1910.1025 (Document Number 869022001124). This document can be downloaded without charge from the OSHA Web site at: http://www.osha-slc.gov/OshStd_data/1910_1025.html;

(2) Lead in Construction, 29 CFR 1926.62, and appendices A, B, C, and D (Document Number 869022001141). This document can

be downloaded without charge from the OSHA Web site at: http://www.osha-slc.gov/OshStd_data/1926_0062.html.

b. *Waste Disposal.* A copy of the EPA regulations at 40 CFR parts 260-268 can be purchased by calling 800-424-9346, or, from the Washington, DC, metropolitan area, by calling 703-412-9810 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach this telephone number through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. The regulations can also be downloaded without charge from the EPA Web site at: <http://www.epa.gov/docs/epacfr40/chapt-1.info/subch-1/htm>.

c. Lead.

(1) Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities; Final Rule: 40 CFR part 745 (EPA) (Lead Hazard Standards, Work Practice Standards, EPA and State Certification and Accreditation Programs for those engaged in lead-based paint activities) can be purchased by calling the Toxic Substances Control Act (TSCA) Hotline at 202-554-1404 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach this telephone number through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. The rule and guidance can be downloaded from the Internet without charge at: <http://www.epa.gov/lead/>.

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

(3) Requirements for Disclosure of Information Concerning Lead-Based Paint in Housing, 24 CFR part 35, Subpart A (HUD, Lead-Based Paint Disclosure Rule) by calling the NLIC's toll free number (800-424-LEAD). If you are a hearing- or speech-impaired person, you may reach this telephone number through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. The rule, guidance, pamphlet and disclosure formats can be downloaded from the HUD Web site at: <http://www.hud.gov/offices/lead/>.

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

2. Guidelines:

a. Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995, and amended September 1997. These guidelines can be purchased by calling 800-245-2691 toll-free. If you are a hearing- or speech-impaired

person, you may reach this telephone number through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. The Guidelines can be downloaded from the HUD Web site without charge at: <http://www.hud.gov/offices/lead>.

b. Preventing Lead Poisoning in Young Children; Centers for Disease Control, October 1991. These guidelines can be obtained without charge by calling the CDC toll free number at 888-232-6789. If you are a hearing- or speech-impaired person, you may reach this telephone number through TTY by calling the toll-free Federal Information Relay Service at 800-877-8339. The guidelines can also be downloaded from the HUD Web site without charge at: <http://www.hud.gov/offices/lead>.

c. Screening Young Children for Lead Poisoning: Guidance for State and Local

Public Health Officials, November 1997; Centers for Disease Control and Prevention (CDC). These guidelines can be obtained without charge by calling the CDC toll-free number at 888-232-6789 or they can be downloaded from the HUD Web site at: <http://www.hud.gov/offices/lead>.

3. Reports and Articles:

a. Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing, (Summary and Full Report); HUD, July 1995. A copy of this summary and report can be purchased by calling 800-245-2691 toll-free or downloaded from the HUD Web site without charge at: <http://www.hud.gov/offices/lead>.

b. The Healthy Homes Initiative: A Preliminary Plan (Summary and Full Report); HUD, July 1995. A copy of this summary and report can be downloaded from the HUD

Web site without charge at: <http://www.hud.gov/offices/lead>.

c. Rom W.N., Ed. Environmental and Occupational Medicine. Little, Brown and Co., Boston. 1992.

d. Morbidity and Mortality Weekly Report (MMWR). Update: Blood Lead Level-United States, 1991-1994. U.S. Department of Health and Human Services, Centers for Disease Control and Prevention. February 21, 1997. Vol. 46, No 7.

e. Jacobs, D.E., R.P. Clickner, J.Y. Zhou, *et al.*, 2002. Prevalence of Lead-Based Paint in U.S. Housing. *Env. Health Persp.* 110(10): A599-A606.

f. Galke, W., S. Clark, J. Wilson, *et al.*, 2001. Evaluation of the HUD lead hazard control grant program: Early overall findings. *Env. Res.* 86, 149-156.

BILLING CODE 4210-32-P

APPENDIX B
Checklist and Submission Table of Contents
Lead Technical Studies Program

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. Assemble the application in the order shown below and number your pages consecutively. **Inclusion of this Checklist and Submission Table of Contents with your proposal is recommended but not required.**

	Page
<input type="checkbox"/> Transmittal Letter (one page limit)	Cover page
<input type="checkbox"/> Applicant Abstract (limited to a maximum of 2 pages)	
<input type="checkbox"/> Checklist and Submission Table of Contents (this form)	
<input type="checkbox"/> Application Forms (to be included in Appendix 3)	
<input type="checkbox"/> SF Form-424	
<input type="checkbox"/> SF-424 Supplement (Survey on Equal Opportunity for Applicants)	
<input type="checkbox"/> Form HUD-424-B (Assurances/Non-Construction Programs)	
<input type="checkbox"/> Form HUD-424-CB (Grant Application Detailed Budget)	
<input type="checkbox"/> Form HUD-424-CBW, Total Budget Summary (Federal Share and Matching) with Supporting Narrative and Cost Justification	
<input type="checkbox"/> Form HUD-2880 Disclosure and Update Report	
<input type="checkbox"/> Form HUD-2990 Certification of Consistency with the EZ/EC Strategic Plan	
<input type="checkbox"/> Form HUD-96010 Logic Model Form	
<input type="checkbox"/> Form SF-LLL Disclosure of Lobbying Activities Required <input type="checkbox"/> Form SF-LLL Not Required	
<input type="checkbox"/> Rating Factor Response (limited to a maximum 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 Resources	
<input type="checkbox"/> 5. Achieving Results and Program Evaluation	
<input type="checkbox"/> Appendix 1 – Required materials in support of the Rating Factors (e.g., resumes of key personnel, organizational chart, letters of commitment) arranged in order by Rating Factor. Include HUD-96010 Logic Model Form in this Appendix.	
<input type="checkbox"/> Appendix 2 – Optional materials in support of the Rating Factors, arranged in order by Rating Factor (e.g., maps, letters of support, etc.) 20 page limit.	
<input type="checkbox"/> Appendix 3 – Other forms and budget materials (see Application Forms, above)	
<input type="checkbox"/> Form HUD-2993 Acknowledgment of Application Receipt	
<input type="checkbox"/> Form HUD-2994 Client Comments and Suggestions (optional)	

*The forms included in the Checklist and Submission Table of Contents are found in the **General Section** of this SuperNOFA or this Program NOFA and are available as fillable Adobe Reader (PDF) or Word (DOC) formats from the HUD website at: www.grants.gov Applicants are encouraged to use the electronic version of Form HUD-424-CBW.

Appendix C—Administrative Costs

I. Purpose

The intent of this HUD grant program is to allow the Grantee to be reimbursed for the reasonable direct and indirect costs, subject to a top limit, for overall management of the grant. In most instances the grantee, whether a state or a local government, principally serves as a conduit to pass funding to sub-grantees, which are to be responsible for the conducting lead-hazard reduction work. Congress set a top limit of 10 percent of the total grant sum for the grantee to perform the function of overall management of the grant program, including passing on funding to sub-grantees. The cost of that function, for the purpose of this grant, is defined as the "administrative cost" of the grant, and is limited to 10 percent of the total grant amount. The balance of 90 percent or more of the total grant sum is reserved for project implementation activities.

II. Administrative Costs: What They Are Not

For the purposes of this HUD grant program, "administrative costs" should not be confused with the terms "general and administrative cost," "indirect costs," "overhead," and "burden rate." These are accounting terms usually represented by a government-accepted standard percentage rate. The percentage rate allocates a fair share of an organization's costs that cannot be attributed to a particular project or department (such as the chief executive's salary or the costs of the organization's headquarters building) to all projects and operating departments (such as the Fire Department, the Police Department, the Community Development Department, the Health Department or this program). Such allocated costs are added to those projects' or departments' direct costs to determine their total costs to the organization.

III. Administrative Costs: What They Are

For the purposes of this HUD grant program, "Administrative Costs" are the grantee's allowable direct costs for the overall management of the grant program plus the allocable indirect costs. The allowable limit of such costs that can be reimbursed under this program is 10 percent of the total grant sum. Should the grantee's actual costs for overall management of the grant program exceed 10 percent of the total grant sum, those excess costs shall be paid for by the grantee. However, excess costs paid for by the grantee may be shown as part of the requirement for cost-sharing funds to support the grant.

IV. Administrative Costs: Definition

A. General

Administrative costs are the allowable, reasonable, and allocable direct and indirect costs related to the overall management of the project activities that are supported by the HUD grant. Those costs shall be segregated in a separate cost center within the grantee's accounting system, and they are eligible costs for reimbursement as part of the grant, subject to the 10 percent limit. Such administrative costs do not include any of the staff and overhead costs directly arising from specific sub-grantee program activities eligible under this NOFA, because those costs are eligible for reimbursement under a separate cost center as a direct part of project activities.

The grantee may elect to serve solely as a conduit to sub-grantees, who will in turn perform the direct program activities eligible under this NOFA, or the grantee may elect to perform all or a part of the direct program activities in other parts of its own organization, which shall have their own segregated, cost centers for those direct program activities. In either case, not more than 10 percent of the total HUD grant sum may be devoted to administrative costs, and not less than 90 percent of the total grant sum shall be devoted to direct program activities. The grantee shall take care not to mix or attribute administrative costs to the direct project cost centers.

B. Specific

Reasonable costs for the grantee's overall grant management, coordination, monitoring, and evaluation are eligible administrative costs. Subject to the 10 percent limit, such costs include, but are not limited to, necessary expenditures for the following goods, activities and services:

(1) Salaries, wages, and related costs of the grantee's staff, the staff of affiliated public agencies, or other staff engaged in grantee's overall grant management activities. In charging costs to this category the recipient may either include the entire salary, wages, and related costs allocable to the program for each person whose primary responsibilities (more than 65 percent of their time) with regard to the grant program involve direct overall grant management assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any overall grant management assignments. The grantee may use only one of these two methods during this program. Overall grant management includes the following types of activities:

(a) Preparing grantee program budgets and schedules, and amendments thereto;

(b) Developing systems for the selection and award of funding to sub-grantees and other subrecipients;

(c) Developing suitable agreements for use with sub-grantees and other subrecipients to carry out grant activities;

(d) Evaluating systems for assuring compliance with program requirements;

(e) Monitoring sub-grantee and subrecipient activities for progress and compliance with program requirements;

(f) Preparing presentations, reports, and other documents related to the program for submission to HUD;

(g) Evaluating program results against stated objectives;

(h) Providing local officials and citizens with information about the overall grant program; however, a more general education program, helping the public understand the nature of lead hazards, lead hazard reduction, blood-lead screening, and the health consequences of lead poisoning is a direct project support activity);

(i) Coordinating the resolution of overall grant audit and monitoring findings; and

(j) Managing or supervising persons whose responsibilities with regard to the program include such assignments as those described in paragraphs (a) through (i).

(2) Travel costs incurred for official business in carrying out the overall grant management;

(3) Administrative services performed under third party contracts or agreements, for services directly allocable to grant management such as: legal services, accounting services, and audit services;

(4) Other costs for goods and services required for and directly related to the overall management of the grant program; and including such goods and services as telephone, postage, rental of equipment, renter's insurance for the program management space, utilities, office supplies, and rental and maintenance (but not purchase) of office space for the program.

(5) The fair and allocable share of grantee's general costs that are not directly attributable to specific projects or operating departments such as salaries, office expenses and other related costs for local officials (e.g., mayor and city council members, etc.), and expenses for a city's legal or accounting department which are not charged back to particular projects or other operating departments. If a grantee has an established burden rate, it should be used; if not, the grantee shall be assigned a negotiated provisional burden rate, subject to final audit.

BILLING CODE 4210-32-P