

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**HEALTHY HOMES AND LEAD
HAZARD CONTROL PROGRAMS**

**HEALTHY HOMES TECHNICAL STUDIES
PROGRAM**

Billing Code 4210-32-C

Healthy Homes Technical Studies Program

Overview Information

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

B. *Funding Opportunity Title.* Healthy Homes Technical Studies

C. *Announcement Type.* Initial announcement.

D. *Funding Opportunity Number.* The Funding Opportunity Number is: FR-4950-N-26. The OMB Paperwork Approval number is: 2539-0015.

E. *Catalog of Federal Domestic Assistance (CFDA) Number(s).* 14.906, Healthy Homes Technical Studies Grant Program.

F. *Dates.* The application submission date is June 8, 2005. 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.*

a. *Purpose:* To fund technical studies to improve existing methods for detecting and controlling housing-related health and safety hazards, to develop new methods, and to improve our knowledge of housing-related health hazards.

b. *Available funding:* The total amount to be awarded is approximately \$2 million.

c. *Anticipated awards:* The anticipated amounts and/or numbers of individual awards will be approximately 2 to approximately 8 awards, ranging from approximately \$200,000 to approximately \$1 million, plus an award to be made to correct a funding error under the fiscal year 2004 Healthy Homes Technical Studies Program NOFA.

d. *Type of awards:* The type of award instruments that will be used are grants or cooperative agreements, with substantial involvement of the government in the case of cooperative agreements (see Section II.C for a description of substantial involvement).

e. *Eligible applicants:* 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.

f. Cost sharing is not required; however, applicant "leveraging" contributions are encouraged (see Section V.A.3.d).

g. There are no limitations on the number of applications that each applicant may submit.

h. The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronic application. You must register at <http://www.grants.gov> to be able to submit your application. The General Section contains information about submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand HUD's new electronic application process.

Full Text of Announcement

I. Funding Opportunity Description

A. Purpose of the Program

The overall goal of the Healthy Homes Technical Studies program is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of multiple housing-related health and safety hazards.

B. Program Description

HUD is funding studies to improve HUD's knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods, with a focus on the key residential health and safety hazards. Key hazards are described in Appendix A of this NOFA (the appendices to this NOFA are available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>).

The Healthy Homes Initiative (HHI), which includes the Healthy Homes Technical Studies Program and the Healthy Homes Demonstration Grant Program (see the separate funding announcement for this program), departs from the more traditional approach of attempting to correct one hazard at a time. In April 1999, HUD submitted to Congress a preliminary plan containing a full description of the HHI. The preliminary plan (Summary and Full Report) and a description of the HHI are available on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/index.cfm>.

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

A description of current and recently completed Healthy Homes Technical Studies projects and grantee contact information can be found on the HUD Web site at <http://www.hud.gov/offices/lead/hhi/hhigranteeinfo.cfm>.

In addition to deficiencies in basic housing facilities that may impact health, changes in the U.S. housing stock and more sophisticated epidemiological methods and biomedical research have led to the identification of new and often more subtle health hazards in the residential environment (e.g., asthma triggers). While such hazards will tend to be found disproportionately in housing that is substandard (e.g., structural problems, lack of adequate heat, etc.), such housing-related environmental hazards may also exist in housing that is otherwise of good quality. Appendix A of this NOFA briefly describes the key housing-associated health and injury hazards HUD considers targets for intervention. Appendix B of this NOFA lists the references that serve as the basis for the information provided in this NOFA (see <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>). HUD has also developed resource papers on a number of topic areas of importance under the Healthy Homes Initiative, including mold, environmental aspects of asthma, carbon monoxide, and unintentional injuries. These papers can be downloaded from the HUD Web site at www.hud.gov/offices/lead/hhi. HUD is interested in promoting approaches that are cost-effective and efficient and that result in the reduction of health threats for the maximum number of residents, and in particular, low-income children.

1. Goals of the Healthy Homes Initiative

The overall goals and objectives of the HHI are to:

a. Mobilize public and private resources, involving cooperation among all levels of government, the private sector, grassroots community-based organizations, including faith-based organizations, and other non-profit organizations, to develop the most promising, cost-effective methods for identifying and controlling housing-based hazards; and

b. Build local capacity to operate sustainable programs that will continue to prevent and minimize and control housing-based hazards in low- and very low-income residences when HUD funding is exhausted.

2. Objectives of the Healthy Homes Technical Studies Program

With this NOFA, HUD hopes to advance the recognition and control of residential health and safety hazards and more closely examine the link between housing and health. The overall objectives of Healthy Homes Technical studies projects to be funded

through this NOFA include, but are not limited to:

a. Development and assessment of low-cost test methods and protocols for identification and assessment of housing-related hazards;

b. Development and assessment of cost-effective methods for reducing or eliminating housing-related hazards;

c. Evaluation of the effectiveness of housing interventions and public education campaigns, and barriers and incentives affecting future use of the most cost-effective strategies;

d. Investigation of the epidemiology of housing-related hazards and illness and injuries associated with these hazards, with an emphasis on children's health;

e. Evaluation of residential health and safety hazard assessment and control methodologies and approaches (including both existing methods and the evaluation of improved or novel approaches);

f. Analysis of existing data or generation of new data to improve knowledge regarding the prevalence and severity of specific hazards in various classes of housing, with a focus on low-income housing. Specific examples include:

(1) The prevalence of carbon monoxide and other indoor air quality hazards;

(2) The prevalence and patterns of moisture problems and biological contaminants associated with excess moisture (*e.g.*, fungi, bacteria, dust mites);

(3) The prevalence of specific childhood injury hazards in housing; and

(4) Improved understanding of the relationship between a residential exposure and childhood illness or injury;

g. Low-cost analytical techniques and instruments for the rapid, on- and off-site determination of environmental contaminants of concern (*e.g.*, bioaerosols, pesticides, allergens). HUD's primary interest is in the improvement of existing instruments or methods, and not in the development of new technologies or instruments. Applicants seeking to develop new technologies/instruments should discuss why, if funded, their proposed project would be unlikely to experience significant delays in its completion. The OHHLHC has noted that these types of studies pose a high risk of experiencing significant delays.

h. Objectives of particular interest to HUD include:

(1) Improving or assessing the efficacy of current methods for residential Integrated Pest Management (IPM). IPM

approaches focus on the use of economical means for managing pests, which incorporate information on the life cycles of pests and their interaction with the environment, while minimizing hazards to people, property, and the environment. HUD is particularly interested in IPM methods for reducing cockroach and/or rodent populations in multifamily housing;

(2) Controlling excess moisture by reducing migration through the building envelope and condensation of water vapor on interior surfaces, with an emphasis on low cost interventions for low income housing;

(3) Improving indoor air quality, such as through cost-effective approaches to upgrading residential ventilation or improving control/management of combustion appliances. Applicants should discuss how proposed approaches might affect residential energy costs (*e.g.*, increasing air exchange rates resulting in an increase in heating costs);

(4) Dust control measures (*e.g.*, preventing track-in of exterior dust and soil, improved methods for interior dust cleaning) have been identified as key areas in the HHI Preliminary Plan;

(5) Evaluating the effectiveness of education and outreach methods designed to provide at-risk families with the knowledge to adopt self-protective behaviors with respect to housing-related health hazards.

In proposing to conduct a study on a particular topic, applicants should consider:

(1) The "fit" of the proposed hazard assessment and/or control methods within the overall goal of addressing "priority" health and safety hazards in a cost-effective manner;

(2) The efficacy of the proposed methods for hazard control and risk reduction (*e.g.*, how long is effective hazard reduction maintained);

(3) Consider where and how these methods would be applied and tested, and/or perform demonstration activities; and

(4) The degree to which the study will help develop practical, widely applicable methods and protocols or improve our understanding of a residential health hazard.

Although HUD is soliciting proposals for technical studies on these broad topics, HUD will also consider funding applications for technical studies on topics that are relevant under the overall goals and objectives of this program, as described above. In such instances, it is especially important that the applicant indicate why the proposed study is needed and indicate how it is consistent with the overall goals and objectives of

the program. Applications for a study for which the sole or primary focus is on lead-based paint hazards are ineligible for funding under this NOFA. Such studies should be submitted for funding under the "Lead Technical Studies Program" NOFA, which is also administered by the OHHLHC; see www.grants.gov for information on applying under that program.

Applicants should consider the efficiencies that might be gained by working cooperatively with some of the recipients of HUD's Healthy Homes Demonstration and Lead Hazard Control grants, which are widely distributed throughout the U.S. Information on current grantees is available at <http://www.hud.gov/offices/lead>.

You may address one or more of the technical studies topic areas within your proposal, or submit separate applications for different topic areas.

C. Authority

These awards are authorized under sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. 1701z-1 and 1701z-2); and the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2005).

II. Award Information

A. Funding Available

Approximately \$2 million in fiscal year 2005 funds is available for grants or cooperative agreements under this Healthy Homes Technical Studies Program NOFA. Of this amount, HUD will award a grant for \$365,736 in fiscal year 2005 funds to Edenspace Systems Corporation, 15100 Enterprise Court, Suite 100, Dulles, VA 20151-1217, to resolve a funding error under the fiscal year 2004 Healthy Homes Technical Studies Program NOFA, in accordance with Sec. VI.A.3 of the fiscal year 2004 General Section. The remaining amount, approximately \$1.6 million, will be awarded on a competitive basis following evaluation of all eligible proposals according to the rating factors described in Section V of this NOFA. HUD anticipates awarding approximately two to approximately eight grants or cooperative agreements, ranging from approximately \$200,000 to approximately \$1 million each.

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, 2005. The

period of performance cannot exceed 36 months from the time of award. The proposed performance period should include adequate time for project components such as the Institutional Review Board process, the recruitment of study participants, and the development of new instrumentation or methods (*e.g.*, analytical methods), all of which have been found to delay projects in the past. Period of performance extensions for delays due to exceptional conditions beyond the grantee's control will be considered for approval by HUD in accordance with 24 CFR 85.25(e)(2) or 24 CFR 85.30(d)(2), as applicable, and the OHHLHC Program Guide. If approved, grantees will be eligible to receive a single extension of up to 12 months in length. 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 could cause delays.

C. Type of Award Instrument

All awards in response to this NOFA will be made as grants or cooperative agreements. Anticipated substantial involvement by HUD on cooperative agreements may include, but will not be limited to:

1. Review and possibly suggest amendments to the study design, including: Study objectives; data collection methods; sample handling and preparation, and, sample and data analysis;
2. Review and provide technical recommendations in response to quarterly progress reports (*e.g.*, possible 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

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). 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 5 if you provide evidence of significant cost leveraging.

C. Other

1. Threshold Requirements Applicable to All Applicants Under the SuperNOFA

To be scored and ranked under the Rating Factors, and thus be eligible to receive funds from HUD, 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.

2. Program Requirements

Applicants must agree to the following:

- a. Comply with all relevant federal and state regulations regarding exposure to and proper disposal of hazardous materials;
- b. Any blood lead testing 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 B of this NOFA at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>);
- c. HUD Healthy Homes Technical Studies funds awarded will not replace existing resources dedicated to any ongoing project;
- d. Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) will be conducted by a laboratory recognized under the program;
- e. Standardized Dust Sampling Protocol and Quality Control Requirements. Grantees collecting samples of settled dust from participant homes for environmental allergen analyses (*e.g.*, cockroach, dust mite) will be required to use a standard dust sampling protocol, unless there is a strong justification to use an alternate protocol (*e.g.*, the study involves the development of an alternative sampling method). The HUD protocol will be posted on the OHHLHC Web site at: <http://www.hud.gov/offices/lead/hhi/hhiresources.cfm>. Grantees conducting

these analyses will also be required to include quality control dust samples, provided by OHHLHC at no cost to the grantee, with the samples that are submitted for laboratory analyses. For the purpose of budgeting laboratory costs, you should assume that five percent of your total allergen dust samples will consist of QC samples.

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

g. The requirements of 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 award will meet the civil rights threshold in the General Section of this NOFA

i. Economic Opportunities for Low- and Very Low-Income Persons (Section 3). This program is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u). Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment, and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons. The regulations may be found at 24 CFR part 135.

j. All test results in pre-1978 housing related to lead-based paint or lead-based paint hazards must be provided to the owner of the unit, together with a statement describing the owner's legal duty to disclose the results to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) if the housing was constructed before 1978 (24 CFR part 35, subpart A). This information provided to owners may only be used for purposes of remediation of lead-based paint and other hazards in the unit. Disclosure of other identified housing-related health or safety hazards to the owner of the unit, for purposes of remediation, is encouraged but not required. Submission of any information on the properties to databases (whether web site, computer, paper, or other format) of addresses of identified, treated or cleared housing units is subject to the protections of the Privacy Act of 1974, and shall not include any

personal information that could identify any child affected.

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 this program 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 announcement (collectively referred to as the "standard forms"). The standard forms can be found in the General Section of the SuperNOFA. The required items are:

a. Application Abstract. An abstract describing 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.

b. All forms as required by the General Section of the SuperNOFA. A Certification of Consistency with the Consolidated Plan is not required for this application. Also, HUD Form-27061 (Race and Ethnicity Data) is not required with the application for this program.

c. A project description/narrative statement addressing the rating factors for award of funding under this program. The narrative statement must be identified in accordance with each factor for award (*i.e.*, Rating Factors 1 through 5). The project description must be included in the responses to the rating factors. The response to the rating factors should not exceed a total of 25 pages, single-sided (12-point font with at least 3/4 inch margins on 8 1/2" by 11" pages). Any pages in excess of this limit

will not be read. The rating for each Rating Factor will be based on the Rating Factor's numbered portion of your narrative statement, supplemented by appendices referenced and discussed in that portion of your narrative statement; material located outside the Rating Factor's numbered portion of your narrative statement and its referenced and discussed appendices will not be rated. Additional materials (*e.g.*, appendices) must be submitted with your application according to the directions in the General Section of the SuperNOFA.

d. Evidence of leveraging/partnerships. Submit the following with your application: 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. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects) (required by HUD at 24 CFR part 60), if your research is subject to these regulations, 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 receiving such funds, 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 for 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://www.hhs.gov/ohrp>.

f. Submit materials that are required in support of your application (*e.g.*, resumes of the principal investigator and other key personnel, 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.)

g. Submit any optional materials (*e.g.*, figures, data, letters of support) in

support of your application, following the directions in the General Section of the SuperNOFA. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read.

h. Submit the required forms and a detailed total budget with supporting cost justification for all budget categories of the federal funding request. Use the budget format discussed in Section V(A), Rating Factor 3(c)(5), below. *In completing the budget forms and justification, address the following elements:*

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

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

(3) Subrecipients. Provide a separate budget proposal 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) Indirect Cost Rates. Organizations that have a federally negotiated indirect cost 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) Rate Agreements. Submit the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

i. Applicants are encouraged to use the following checklist to ensure that all required materials have been prepared and submitted. You are not required to submit this checklist with your application.

Checklist for Healthy Homes Technical Studies Program Applicants

Item

Applicant Abstract (Limited to 2-pages)
Rating Factor Responses (Total Narrative Response Limited to 25 Pages)

1. Capacity of the Applicant and Relevant Organizational Experience

2. Need/Extent of the Problem
3. Soundness of Approach
4. Leveraging Resources
5. Achieving Results and Program Evaluation

Required Materials in Response to Rating Factors (Does Not Count Towards 25-Page Limit)

- Resumes of Key Personnel (limited to 3 pages per resume)
- Organizational Chart
- Letters of Commitment (if applicable)
- Form HUD-96010 Logic Model Form

Optional Material in Support of the Rating Factors (20 Page Limit)

Required Forms and Budget Material

- Form SF 424 (Application for Federal Assistance)
- Form HUD-424-CB Grant Application Detailed Budget
- Form HUD-CBW (Budget Worksheet)
- Form SF 424 Supplement (Survey on Ensuring Equal Opportunity for Applicants) (to be completed by private nonprofit organizations only)
- Form SF LLL (Disclosure of Lobbying Activities)
- Form HUD 2880 (Applicant/Recipient Disclosure/Update Report)
- Form 2990 Certification of Consistency with the RC/EZ/EC-II Strategic Plan (required only for applicants who are seeking these bonus points)
- Form HUD 2994 Client Comments and Suggestions (Optional)
- Facsimile Transmittal (for electronic applications)—Form HUD-96011

C. Submission Dates and Times

Electronic applications must be submitted to and received by www.grants.gov or before 11:59:59 p.m. eastern time on June 8, 2005. All narrative files and any scanned documents must be submitted as a zip file, single attachment to the electronic application. Refer to the General Section for additional submission requirements including acceptable submission methods, acceptable proof of submission and receipt procedures and other information regarding application submission. Materials associated to your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application submission date. Make sure you see the General Section for how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal.

Applicants receiving a waiver to the electronic application submission requirement, must submit an original and the required number of copies of

your application by the application submission date to the identified address in Appendix C of the General Section.

D. Intergovernmental Review

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

E. Funding Restrictions

The following restrictions apply to the use of funds awarded under this program:

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 that is available on HUD's Web site at: www.hud.gov/offices/adm/grants/fundsavail.cfm.
2. The purchase of real property is prohibited.
3. The purchase or lease of equipment having a per unit cost in excess of \$5,000, unless prior written approval is obtained from HUD.
4. The use of grant funds for medical treatment costs is prohibited.
5. For-profit entities are not allowed to earn a fee.
6. You must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).
7. You may not conduct construction, reconstruction or lead based paint hazard control activities that fall below the threshold of building repair or improvement, as defined in Section 3(a)(4) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), of a building or mobile home which is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(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. Other Submission Requirements

If you have received a waiver to the electronic application submission

requirement, please see Appendix C of the General Section of the SuperNOFA for specific procedures concerning the form of application submission.

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 Section V.A.3 of 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. Advisory comments that potentially affect the rating of an applicant are retained as part of the documentation of the review process. At a final meeting, the ARP identifies the top-ranking applications to be recommended for funding.

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 of the factors 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-II Bonus Points (2 points).

Total: 102 points.

Applicants are eligible to receive two bonus points for projects located within federally designated Renewable Communities (RCs), Empowerment Zones (EZs), or Enterprise Communities (ECs) designated by USDA in round II (EC-IIIs) (collectively referred to as RC/EZ/EC-IIIs), 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 FY2005 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 found in the General Section and applicable to the Healthy Homes Technical Studies NOFA are: (1) Improving our Nation's Communities (focus on distressed communities); (2) Providing Full and Equal Access to Grassroots 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.

You may address more than one of the technical study topic area within your proposal or submit separate applications for technical studies in different topic areas.

3. Rating Factors

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 your application will include any sub-grantees, consultants, sub-recipients, and members of a consortium 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 program 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, describe the past performance of your organization in implementing a previously awarded Healthy Homes or Lead Hazard Control grant, or grants that your organization received from other sources to support research on relevant, related topics. Provide details about the nature of the project, the funding agency, and your performance (*e.g.*, timely completion, achievement of desired outcomes). If your organization has an active OHHLHC grant or cooperative agreement, provide a description of the progress and outcomes achieved under that award.

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 the Healthy Homes Technical Studies Program, as described in Section V.A.2 above. You should demonstrate how your proposed study addresses a need associated with an important housing-related health hazard, with an emphasis on children's health. Specific topics to be addressed for this factor include:

(1) Provide a concise review of the health hazard that is addressed in your study and why you consider it a "high priority" hazard. If available, include documented rates of illness or injury associated with the hazard, including local, regional, and national data;

(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 hazard that your study addresses. Indicate why the method/protocol that would be improved through your study would 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 that 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. It is HUD's experience that studies can be subjected to considerable delay because of delays in the IRB approval process or because of unexpected difficulties with recruiting study participants. If applicable, describe actions that you will take to minimize the possibility that your study would experience delays in these areas (*e.g.*, understanding likely IRB requirements in advance, planning on additional avenues for recruitment).

(2) *Policy Priorities* (5 points).

Indicate if your proposed study will address any of the FY2005 policy priorities that are applicable to this program that were described previously in Section V.A.2 of this program NOFA (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 accuracy and reliability of the results. Applicants that receive awards will be required to submit a Quality Assurance Plan to HUD.

(a) Areas to be addressed include, but are not limited to: acceptance criteria for data quality; procedures for selection of samples/sample sites; sample handling; measurement and analysis; 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) For the collection of data using instruments, such as surveys and visual assessment tools, describe the procedures that you will follow to ensure accurate data capture and transfer. Also, indicate whether research was done (or is planned) to validate the instrument.

(c) If your project involves human subjects in a manner which requires IRB approval and periodic monitoring, address how you will obtain such approval and your monitoring plan. Before you can initiate 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" (see Section IV.B.1.f). 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 tasks, with associated benchmarks and major study milestones, and major deliverables, with an indication that there will be appropriate resources (e.g., personnel, financial) to successfully meet the proposed schedule. The major tasks and benchmarks/deliverables identified in the management plan should be consistent with those identified in the Logic Model (see description under Rating Factor 5). The management plan should clearly

identify the specific responsibilities for each member of the project team. You should also include preparation of a final deliverable in your management plan. HUD encourages grantees to draft one or more articles for peer-reviewed academic journals as the major component of a final report. The final deliverable can be submitted to HUD during the period of performance of your grant or cooperative agreement or during the 90-day closeout period (i.e., the 90-day period following award expiration).

(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. Your detailed budget should be submitted using Form HUD-424-CBW. You must thoroughly document and justify all budget categories and costs (see Form HUD-424-CB for the major budget categories) and all major tasks, for yourself, sub-recipients, partners, major subcontractors, joint venture participants, or others contributing resources to the project. A separate detailed budget (i.e., Form HUD-424-CBW) is required for subrecipients who will 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 Healthy Homes Technical Studies award is being increased by securing additional 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 given 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 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 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.

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 the General Section of the SuperNOFA showing your proposed project long-term, mid-term, short-term and final results, and how they support HUD's departmental goals and objectives. 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 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. These milestones should be clearly indicated in your study timeline.

This rating factor reflects HUD's goal to embrace high standards of ethics, management and accountability.

B. Review and Selection Process

1. Corrections To Deficient Applications

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

2. Rating and Ranking

Awards will be made separately in rank order for Healthy Homes 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 award 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 the Healthy Homes Technical Studies Program.

C. Anticipated Announcement and Award Dates

The anticipated date for the announcement of awards under the Healthy Homes Technical Studies Program is September 30, 2005.

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 or Cooperative Agreement Officer. The letter will state the program for which the application has been selected, the amount the grantee is eligible to receive, and the name of the Government Technical Representative (GTR). This letter is not an authorization to begin work or incur costs under the award. An executed grant or cooperative agreement is the authorizing document.

HUD may require that all the selected applicants participate in negotiations to determine the specific terms of the award 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 award, you must return your signed agreement by the date specified during negotiation.

After receiving the letter, additional instructions on how to have the grant or cooperative agreement 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 for requesting a debriefing.

B. Administrative and National Policy Requirements

1. Program Performance

Awardees shall take all reasonable steps to accomplish all HUD-funded activities within the approved period of performance. HUD reserves the right to terminate the grant or cooperative agreement prior to the expiration of the period of performance if the awardee fails to make reasonable progress in implementing the approved program of activities.

2. Conducting Business in Accordance With HUD Core Values and Ethical Standards

If awarded assistance under this NOFA, prior to entering into an 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

As a condition of the receipt of financial assistance under this NOFA, you will be required to cooperate with all HUD staff or contractors performing

HUD-funded research and evaluation studies pertaining to the subject of the grant or cooperative agreement.

4. Environmental Requirements

In accordance with 24 CFR 50.19(b)(1), (b)(3) 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.

5. Removal of Barriers to Affordable Housing

See the General Section of the SuperNOFA.

6. 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.

7. Audit Requirements

Any funding recipient that expends \$500,000 or more in federal financial assistance in a single year must meet the audit requirements established in 24 CFR parts 84 and 85 in accordance with OMB Circular A-133.

8. Executive Order 13202

Compliance with HUD regulations at 24 CFR 5.108 that implement Executive Order 13202, "Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally-Funded Construction Projects", is a condition of receipt of assistance under this NOFA.

9. Procurement of Recovered Materials

See the General Section for information concerning this requirement.

C. Reporting

Post award reporting requirements include the following:

1. Final Budget and Work Plan

Final budget and work plans are due 60 days after the start date of the funding award.

2. Quality Assurance Plan (QAP)

Successful applicants will be required to submit a Quality Assurance Plan to HUD prior to initiating work under the award. 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 agreement. 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, <http://www.hud.gov/offices/lead>, for the QAP template).

3. Progress Reporting

Progress reporting is done on a quarterly basis. Project benchmarks and milestones will be tracked using a benchmark spreadsheet that uses the benchmarks and milestones identified in the Logic Model form (HUD-96010) approved and incorporated into your award agreement. For specific reporting requirements, see policy guidance: www.hud.gov/offices/lead.

4. Racial and Ethnic Beneficiary Data

Successful applicants that conduct residential intervention studies (*i.e.*, physical or behavioral interventions) or other research that involves the occupants of homes (*e.g.*, survey research) must submit Form-27061, Racial and Ethnic Data Reporting Form, to HUD on an annual basis. Grantees conducting studies that do not involve people, such as those confined to the laboratory or certain types of

environmental sampling, will not be required to submit Form-27061 to HUD. Form HUD-27061 and instructions for its use are found on www.grants.gov.

5. Final Report

The award agreement will specify the requirements for final reporting (*e.g.*, scientific manuscript, final technical report, and final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model (HUD-96010) approved and incorporated into your award agreement.

VII. Agency Contact(s)

For technical help in downloading an application from Grants.gov or submitting via Grants.gov, call the Grants.gov help desk at 800-518-GRANTS. For 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 administrative questions on grants or

cooperative agreements, 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 by TTY by calling the toll-free Federal Information Relay Service at 800-877-8339.

VIII. Other Information

A. Other Office of Healthy Homes and Lead Hazard Control Information

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

B. Appendices

Appendices A through C to this NOFA are available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.