

**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.

C. *Announcement Type*: Initial announcement.

D. *Funding Opportunity Number*: The Funding Opportunity Number is: FR-4950-N-28. 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*: The application submission date is June 8, 2005. See the General Section IV, Application and Submission Information, regarding application submission procedures and timely filing requirements.

G. *Additional Overview Content Information*:

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

b. 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).

c. The anticipated amounts and/or numbers of individual awards will be approximately 6 to 10 awards, ranging from approximately \$200,000 to approximately \$750,000.

d. The types of instruments awarded will be grants or cooperative agreements, with substantial involvement of the government for cooperative agreements (see Section II.C for a description of substantial involvement).

e. 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. HBCUs are also eligible to apply under the set-aside.

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

g. There are no limitations on the numbers of applications that each applicant may submit, however, HBCUs should not submit the same application under both the set-aside and "open" categories, and,

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 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

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 to fulfill the requirements of sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 ("Title X") (42 U.S.C. 4854 and 4854a) which directs HUD to conduct research on topics which include the development of "improved methods for evaluating [and] reducing lead-based paint hazards in housing," among others.

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 previously completed, in addition to other relevant research (i.e., that contained in government reports and in the published literature).

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>).

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 NOFA, which is available on HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>), 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 "Guidelines" in Appendix A.

B. Eligible Activities

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

1. *Development of alternative or improved cleaning methods*. 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. EPA 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 measure (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), and actually performed better than the HEPA vacuum that was tested in cleaning lead-contaminated dust from smooth surfaces. 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.

Additional ideas would be welcome, along with a clear description of 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 repetitive treatments 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 or newly collected 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 Evaluate 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) and 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. Geographic Information Systems (GIS) have also been successfully used as a tool to help target high risk housing. 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 results before and after laws were enacted while accounting for the overall downward trend in blood lead levels). HUD is interested in studies that assess effective and creative 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 uses of these data that further the goal of improving methods for the identification and control of residential lead-based paint hazards.

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. 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 Act, 2005, (Pub. L. 108–477; approved December 8, 2004).

II. Award Information

A. Funding Available

Approximately \$3 million in Fiscal Year 2005 funds is available for Lead Technical Studies. Of this amount, \$1 million is set-aside for Historically Black Colleges and Universities (HBCUs). Cooperative agreements and/or grants will be awarded on a competitive basis following evaluation of all proposals according to the rating factors described in at Section V.A.3. HUD anticipates that approximately six to ten awards will be made, ranging from approximately \$200,000 to approximately \$750,000 each. In FY 2004, HUD awarded 4 grants averaging approximately \$430,000.

Applications for additional work related to existing HUD-funded technical studies (*i.e.*, for work outside of the scope of the original agreement) are eligible to compete with applications for new awards. These applications will be evaluated in the same manner as new applicants.

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 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 than 36 months; when developing your schedule, however, you should consider the possibility that issues may arise that could cause delays.

C. Type of Award Instrument

Awards in response to this NOFA 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; data collection; 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 identifies threshold requirements that must be met for an organization to receive an award.

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. 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. 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 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 or fails to comply with the terms of the grant agreement.

- b. You must comply with all relevant federal and state 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 NOFA, available at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>);

- 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 60.101;

- 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 must meet the civil rights threshold in the General Section.

- i. *Privacy and Disclosure.* 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 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 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. Applications can be downloaded from the Web at: <http://www.grants.gov>. If you have difficulty accessing the information you may call the Grants.gov helpline toll-free at (800) 518-GRANTS or e-mailing Support@grants.gov. Helpline customer representatives will assist you in accessing the information.

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 listed in the General Section that are applicable to this funding announcement (collectively referred to as the "standard forms"). The required items are:

a. *Application Abstract.* 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. Applicants applying under the HBCU set-aside should indicate this by inserting "(HBCU Set-aside)" under the project title.

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

c. Applications that are submitted for funding under the HBCU set-aside

should indicate this in box #11 (Descriptive Title of Applicant's Project) of form SF-424 (Application for Federal Assistance) by inserting "HBCU Set-aside" in parentheses under the project title.

d. A project description/narrative statement addressing the rating factors for award for this NOFA. The narrative statement must be identified in accordance with each factor for award (Rating Factors 1 through 5). Number the pages of your narrative statement and include a header and a footer that provides the name of the applicant and the name of the HUD program to which you are applying. 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, (10- to 12-point font with at least $\frac{3}{4}$ inch margins on 8 $\frac{1}{2}$ " by 11" pages) for each technical study topic area. Any pages in excess of this limit will not be read. The rating for each rating factor will be based on the portion of your narrative statement that you submit in response to that particular factor, supplemented by any appendices that are referenced in your response. Supporting materials that are not referenced or discussed in your responses to the individual rating factors will not be rated. Additional materials (e.g., appendices) must be submitted with your application according to the directions in the General Section.

e. You should provide evidence of leveraging/partnerships by submitting the following with your application: letters of firm commitment; memoranda of understanding; or agreements to participate by 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.

f. In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60.101), 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. With your application submission, 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.

h. Submit other relevant information provided in support of your application following the directions in the General Section. These additional optional materials must not exceed 20 pages. Any pages in excess of this limit will not be read.

i. Include 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.3.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 full time equivalent (FTE) 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 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) You should submit the negotiated rate agreements for fringe benefits and indirect costs, if applicable, as an attachment to the budget sheets.

j. 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 Lead Technical Studies Program Applicants

Item

Applicant Abstract (limited to a 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 and received by Grants.gov

on or before 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 specific application submission instructions including acceptable submission dates, times, methods, acceptable proof of application 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 submission process must submit the required number of copies of the 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

1. *Administrative Costs.* There is a 10 percent maximum allowance for administrative costs. Additional information about allowable administrative costs is provided in Appendix B of this NOFA, which is available at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

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.

5. *For profit institutions* 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

See the General Section 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. 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-II Bonus Points (2 points).
 Total: 102 points.

Applicants are eligible to receive up to 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). In order to be eligible for these bonus points, applicants must submit a completed HUD form 2990.

You will receive one point under Rating Factor 3(2) for each of the applicable FY 2005 policy priorities that are found in the General Section and applicable to the Lead Technical Studies NOFA 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). 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.

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

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 sub-grantees, consultants, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor, HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of the principal investigator and key personnel* (14 points). HUD will assess your 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 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 FY 2005 policy priorities that are applicable to this program as identified in Section V.A.3 (see the General Section 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 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 tasks, with associated benchmarks and major study milestones, and major deliverables, with an indication that there will be adequate 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). 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. 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, 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 submitted as part of the Total Budget (Federal Share and Matching), but is not included 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 submitting 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 the General Section 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 multiphased 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 provides the procedures for correcting deficient applications.

2. *Rating and Ranking.* Awards will be made 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 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, 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 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 expending \$500,000 in Federal funds within a program or fiscal year must submit their completed audit-reporting package along with the Data Collection Form (SF-SAC) to the Single Audit Clearinghouse, the address can be obtained from their web site. The SF-SAC can be downloaded at <http://harvester.census.gov/sac/>.

2. Debriefing

The General Section 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), (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.

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 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.

4. Removal of Barriers to Affordable Housing

See the General Section.

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.

6. Audit Requirements

Any grant 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.

7. Procurement of Recovered Materials

See the General Section for information concerning this requirement.

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, <http://http://www.hud.gov/offices/lead/>, for the QAP template for this program.)

3. Progress Reporting

Progress reporting is required 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). For specific reporting requirements, see policy guidance at: <http://www.hud.gov/offices/lead/>.

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 on <http://www.grants.gov>.

5. Final Report

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

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 (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 1-800-877-8339.

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 and B to this NOFA are available from HUD's Web site at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.