

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

TECHNICAL STUDIES NOFA

LEAD TECHNICAL STUDIES and

HEALTHY HOMES TECHNICAL STUDIES

Lead Technical Studies and Healthy Homes Technical Studies Programs

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 and Healthy Homes Technical Studies.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: The Funding Opportunity Number is: FR-5030-N-29. The OMB Paperwork Approval number is: 2539-0015.

E. Catalog of Federal Domestic Assistance (CFDA) Numbers: 14.902, Lead Technical Studies Grant Program, and 14.906, Healthy Homes Technical Studies Grant Program.

F. Dates: The application deadline date is June 6, 2006. Applications submitted through <http://www.grants.gov> must be received and validated by grants.gov no later than 11:59:59 pm eastern time on the application deadline date. See the General Section IV, regarding application submission procedures and timely filing requirements.

G. Additional Overview Content Information: 1. *Purpose:* To fund technical studies to improve existing methods for detecting and controlling lead-based paint and other housing-related health and safety hazards, to develop new methods to detect and control these hazards, and to improve our knowledge of lead-based paint and other housing-related health hazards.

2. *Available funding:* The total amount to be awarded is approximately \$5.75 million, of which approximately \$3.75 million is for Lead Technical Studies and approximately \$2 million is for Healthy Homes Technical Studies.

3. *Anticipated awards:* The anticipated amounts and numbers of individual awards for the Lead Technical Studies Program will be approximately 3 to approximately 10 awards, ranging from approximately \$200,000 to a maximum of \$1 million. The anticipated amounts and number of individual awards for the Healthy Homes Technical Studies Program will be approximately 2 to approximately 5 awards, ranging from approximately \$200,000 to a maximum of \$1 million. In addition, there will be one award in each technical studies program to correct funding errors made in the fiscal year 2004 Technical Studies NOFAs.

4. *Type of awards:* Cooperative agreements, with substantial involvement of the government will be

awarded (see Paragraph II.C for a description of substantial involvement).

5. *Eligible applicants:* Academic, not-for-profit and for-profit institutions located in the U.S., state and units of local general government, and federally recognized Native American tribes are eligible to apply. For-profit firms are not allowed to earn a fee (*i.e.*, make a profit from the project).

6. Cost sharing or "matching" is not required; however, applicant "leveraging" contributions are encouraged (see Section V.A.4.d).

7. There is no limit on the number of applications that each applicant may submit.

8. The applications for this NOFA can be found at <http://www.grants.gov>. The application is an electronic application. You must be registered at <http://www.grants.gov> to submit your application. Registration is a multi-step process, and HUD recommends that you allow at least 10 days to complete the registration process. The General Section contains information on submission requirements and procedures. Please carefully review the General Section before reading the program section so that you understand the Grants.gov electronic application process.

Full Text of Announcement

I. Funding Opportunity Description

A. Purpose of the Programs

The overall goal of both the Lead and the Healthy Homes Technical Studies programs is to gain knowledge to improve the efficacy and cost-effectiveness of methods for evaluation and control of lead-based paint and other housing related health and safety hazards. This also supports HUD's Strategic Goal to Strengthen Communities and the associated policy priority to Improve Our Nation's Communities by improving the environmental health and safety of families living in public and privately owned housing.

B. Program Description

HUD is funding studies to improve HUD's knowledge of lead-based paint hazards and other 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 discussed in Appendix A of this NOFA. A list of references that serves as the basis for the information provided in this NOFA is provided as Appendix B to this NOFA. Both Appendix A and Appendix B of this NOFA can be found on HUD's Web

site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

1. General Goals

a. Lead Technical Studies (LTS). 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 working 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 appropriate, 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).

The results of the 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)*. For supporting references, including where to find the *Guidelines*, see Appendix B on HUD's Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>.

b. Healthy Homes Technical Studies (HHTS). The overall goals and objectives of the Healthy Home Initiative (HHI), which includes the HHTS Program and the Healthy Homes Demonstration Grant Program (see the Healthy Homes Demonstration Grant Program NOFA published in this SuperNOFA), are to:

(1) 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-related hazards; and

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

The HHI departs from the more traditional approach of attempting to correct one hazard at a time. HUD is interested in promoting approaches that are cost-effective and efficient and result in the reduction of health threats for the maximum number of residents, and in particular, low-income children.

In April 1999, HUD submitted a preliminary plan that described the HHI to Congress. The submission (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>.

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, poor maintenance, 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. HUD has also developed resource papers on a number of topics of importance under the HHI, including mold, environmental aspects of asthma, carbon monoxide, and unintentional injuries. These resource papers can be downloaded at <http://www.hud.gov/offices/lead/hhi>.

Brief descriptions 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>.

2. Community Participation

HUD believes that it is important for researchers to incorporate some aspect of meaningful community participation in the development and implementation of studies that are conducted in communities and/or involve significant interaction with community residents. Community participation can improve study effectiveness in various ways, including the development of more appropriate research objectives, improving recruitment and retention of study participants, improving participants' involvement in and understanding of the study, improving ongoing communication between researchers and the affected community, and more effectively disseminating

study findings. HUD encourages applicants to consider using a "community based participatory research (CBPR)" approach, where applicable, in study design and implementation. (See e.g., the report published by the National Institute of Environmental Health Sciences titled "Successful Models of Community-Based Participatory Research" at: <http://www.niehs.nih.gov/translat/pubs.htm>). CBPR is characterized by substantial community input in all phases of a study (i.e., design, implementation, data interpretation, conclusions, and communication of results).

C. Authority

The lead technical studies program is authorized under sections 1011(g)(1), 1011(o), and 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.*). The Healthy Homes technical studies program is authorized under sections 501 and 502 of the Housing and Urban Development Act of 1970 (12 U.S.C. 1701z–1 and 1701z–2). Fiscal Year 2006 funds for both programs are authorized under Public Law 109–115, 119 Stat. 2396, approved November 30, 2005.

II. Award Information

A. Funding Available

Approximately \$3.75 million in fiscal year 2006 funds is available for Lead Technical Studies. In addition, HUD will award a grant for \$745,471 in fiscal year 2005 funds to the Regents of the University of California, Irvine, 300 University Towers, Irvine, CA 92697–7600, to resolve a funding error under the fiscal year 2004 Lead Technical Studies Program NOFA, in accordance with Sec. VI.A.3 of the fiscal year 2004 General Section. Approximately \$2 million is available for Healthy Homes Technical Studies, of which HUD will award \$829,880 to Advanced Energy, 909 Capability Drive, Suite 2100, Raleigh, NC 27606, 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. Cooperative agreements will be awarded on a competitive basis following evaluation of all eligible proposals according to the rating factors described in Section V.A.4 of this NOFA. HUD anticipates that approximately three to ten awards will be made for the Lead Technical Studies Program, and that 2 to 5 awards will be made for the Healthy Homes Technical Studies Program with

awards ranging from approximately \$200,000 to no more than \$1 million for each program. 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, 2006. 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, if required, the recruitment of new staff and/or 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(d)(2) or 85.30(e)(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 than 36 months; however, when developing your schedule, you should consider the possibility that issues may arise that could cause delays.

C. Type of Award Instrument

Awards will be made as cooperative agreements. Anticipated substantial involvement by HUD staff for cooperative agreements may include, but will not be limited to:

1. Review and suggestion of amendments to the study design, including: Study objectives; field sampling plan; data collection methods; sample handling and preparation; and sample and data analysis.

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

3. Review and provision of technical recommendations on the journal article(s) and final study report (including electronic format for submission of research data).

4. Requirements for peer review of scientific data in accord with the Office of Management and Budget Information Quality Guidelines. All HUD-sponsored research is subject to the OMB Final

Information Quality Bulletin for Peer Review (70 FR 2664–2677, January 14, 2005) prior to its public dissemination. In accordance with paragraph II.2 of the Bulletin, HUD will not need further peer review conducted on information that has already been subjected to adequate peer review. Therefore grantees must provide enough information on their peer review process for HUD to determine whether additional review is needed.

III. Eligibility Information

A. Eligible Applicants

Academic and not-for-profit institutions located in the U.S., state and units of local general government, 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 profit from the project. Applications to supplement existing projects are eligible to compete with applications for new awards. Federal agencies 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 leveraging.

C. Eligible Activities

1. Lead Technical Studies

HUD is interested in the following lead technical studies topics:

a. *Development of alternative or improved clearance methods.* The clearance of a dwelling following lead hazard control activities is achieved by collecting dust-wipe samples following a standard protocol, with subsequent analysis of the samples by a laboratory recognized under the National Lead Laboratory Accreditation Program (NLLAP). Lead hazard control costs could be reduced if immediate clearance results could be obtained in the field. Existing techniques that can be used to analyze dust samples in the field include the use of portable X-ray fluorescence (XRF) analyzers and anodic stripping voltammetry (ASV) instruments. It is theoretically possible to also employ colorimetric methods to analyze clearance samples. These techniques can be used in a screening context in which a “failure” would indicate the need for additional cleaning before definitive clearance wipe samples are collected for analysis by an

appropriate laboratory. It is possible for an organization using a field-based technology to achieve recognition as a portable laboratory under NLLAP; however, it is HUD’s understanding that, to date, this has not been done. HUD is interested in funding research that improves the performance of portable analytical technologies for lead dust-wipe analysis with the ultimate goal of improving the feasibility for such technologies to be used to conduct definitive analyses in the field.

HUD has funded research for the on-site use of X-ray Fluorescence (XRF) for dust wipe lead analysis and does not intend to fund additional work on this topic through this NOFA.

b. *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 or other additives; 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 (see, e.g.: Binns *et al.*, 2004 and Farfel *et al.*, 2005 in Appendix B).

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 retain their effectiveness. Also, the relationship between control of soil lead hazards and interior dust lead levels has not been adequately described.

c. *Effectiveness of Ongoing Maintenance Program Activities 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.

d. *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. Applicants proposing projects under this topic area should focus primarily on the use of existing data as opposed to the collection of new data through field activities. An applicant must demonstrate why the collection of any new data is important in the context of a proposed study (e.g., to validate a model developed using publicly available data) and that there is a limited amount of new data being collected.

e. *Other Focus Areas that are Consistent with the Overall Goals of HUD’s Lead Technical Studies Program.*

HUD will consider funding applications for technical studies on other topics that are consistent with the overall goals and objectives of the LTS program, as described above. In such instances, for an applicant to receive an award, it is necessary that the applicant describe in sufficient detail how the proposed study is consistent with the overall lead technical studies program goals and objectives.

Note: A limited amount of lead hazard control activities, which are construction as opposed to research, may be conducted as part of a project (see Section IV.E.8 of this NOFA).

2. Healthy Homes Technical Studies

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 the HHTS studies projects to be funded through this NOFA include, but are not limited to:

a. Development and evaluation 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 justified generation of limited 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, mold, 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.

Applicants that propose this type of study should discuss how the knowledge that is gained from the study could be used in a program to reduce these hazards in target communities.

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. The OHHLHC has noted that these types of studies pose a high risk of experiencing significant delays. 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.

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, with an emphasis on low-income 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.

(6) *Other Focus Areas that are Consistent with the Overall Goals of HUD's Healthy Homes Technical Studies Program.* HUD will consider funding applications for technical studies on other topics that are consistent with the overall goals and objectives of the HHTS program, as described above. In such instances, for an applicant to receive an award, it is necessary that the applicant describe in sufficient detail how the proposed study is consistent with the overall healthy homes technical studies program goals and objectives.

i. General Information. 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) 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.

Applications for a study for which the sole or primary focus is on lead-based paint hazards are ineligible for funding under the HHTS program. Such studies should be submitted for funding under the Lead Technical Studies Program.

Applicants should consider the efficiencies that might be gained by working cooperatively with one or more recipients of HUD's Healthy Homes Demonstration and/or 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.

Note: A limited amount of hazard control activities, which are construction as opposed to research, may be conducted as part of an HHTS project (see Section IV.E.8 of this NOFA).

D. Other

1. Threshold Requirements Applicable to all Applicants.

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. 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.

2. Program Requirements.

The following requirements are applicable to both Healthy Homes Technical Studies and Lead Technical Studies Programs:

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. Regulatory Compliance. Grantees must comply with all relevant federal, state, and local regulations regarding exposure to and proper disposal of hazardous materials.

c. Blood Lead Testing. Any blood lead testing, blood lead level test results, medical referral, or 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).

d. Restricted Use of Funds. HUD technical studies grant funds will not replace existing resources dedicated to any ongoing project.

e. Laboratory Analysis for Lead. Laboratory analysis covered by the NLLAP will be conducted by a laboratory recognized under the program.

f. Human Research. 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, which incorporates the Department of Health and Human Services (DHHS) Protection of Human Subjects regulation at 45 CFR part 46.

g. OSHA Compliance. 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. Civil Rights. The institution administering the grant must meet the civil rights threshold set forth in the General Section.

i. Disclosure. All test results and other information 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 knowledge of lead-based paint and its hazards to tenants (before initial leasing, or before lease renewal with changes) and buyers (before sale) (24 CFR Part 35, subpart A). 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.

j. Privacy. 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. You should also check to ensure you meet state privacy regulations.

k. Applicants must incorporate meaningful community involvement into any study that requires a significant level of interaction with a community during implementation (e.g., projects being conducted within occupied dwellings or which involve surveys of community residents). The term community refers to a variety of populations comprised of persons who have commonalities that can be identified (e.g., based on geographic location, ethnicity, health condition, common interests). Applicants should identify the community that is most relevant to their particular project.

There are many different approaches to involving the community in the conception, design, and implementation of a study and the subsequent dissemination of findings. Examples include but are not limited to: establishing a structured approach to obtain community input and feedback (e.g., through a community advisory board); including one or more community-based organizations as study partners; employing community residents to recruit study participants and collect data; and enlisting the community in the dissemination of findings and translation of results into improved policies and/or practices. A discussion of community involvement in research involving housing-related health hazards can be found in Chapter 5 of the Institute of Medicine publication titled "Ethical Considerations for Research on Housing-Related Health Hazards Involving Children" (see Appendix B for more information on this report).

l. 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 businesses which provide economic opportunities to low- and very low-income persons. The regulations may be found at 24 CFR part 135.

m. 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 can be found on the OHHLHC website 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 would consist of QC samples.

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. Your DUNS number must be included in your electronic application submission. Be sure to use the DUNS number that you have registered as an Authorized Organization Representative (AOR) with Grants.gov and that your eBusiness Point of Contact has authorized you to submit an application on behalf of the applicant organization (see the General Section for details about the Grants.gov registration process).

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

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: https://apply.grants.gov/forms_apps_idx.html <http://www.grants.gov/APPLY>. If you have difficulty accessing the information you may call the Grants.gov helpline toll-free at (800) 518-GRANTS (4726) from Monday to Friday from 7 a.m. to 9 p.m. eastern time, or send an e-mail to Support@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 contained in the General Section that are applicable to this funding announcement (collectively referred to as the "standard forms"). Copies of these forms are available on line at <http://www.hud.gov/offices/adm/grants/nofa06/nofaforms.cfm>. 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.

b. All forms as required by the General Section. However, forms HUD-2991 (Certification of Consistency with the Consolidated Plan) and HUD-27061 (Race and Ethnicity Data) are not required with the application for these programs.

c. *Materials Submitted.* A project description/narrative statement addressing the rating factors for award under the program (LTS or HHTS) for which you are applying. 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 or narrative 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, with a minimum 12-point font. Any pages in excess of this limit will not be read. The points you receive 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 and discussed in that portion of your narrative statement. Supporting materials that are not referenced or discussed in your responses to the individual rating factors will not be considered. Additional materials (e.g., appendices) must be submitted with your application according to the directions in the General Section. The footer on the pages of these materials should accurately describe the Factor that they are supporting.

d. *Evidence of leveraging/partnerships.* You should provide evidence of leveraging/partnerships by submitting the following with your application: Letters of firm commitment; memoranda of understanding; and/or agreements to participate by those entities identified as partners in the project efforts. Each document of commitment 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. *Institutional Review Boards.* In conformance with the Common Rule (Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60.101, which incorporates the DHHS regulation at 45 CFR part 46), 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. To be eligible for these funds, 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 Services' 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. *Supporting Materials.* 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, a list of references cited in your responses to the rating factors). Each resume shall not exceed three pages, and is limited to information that is relevant in assessing the qualifications and experience of key

personnel to conduct and/or manage the proposed technical studies. This information will not be counted towards the Rating Factors narrative 25-page limit.

g. *Additional Information.* Submit other optional 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. h. *Budget.* Include a 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.4.c, below. In completing the budget forms and justification, you should address the following elements:

(1) Direct Labor costs, including 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) Allowance for one trip to HUD Headquarters in Washington, DC, for each year of your grant, planning each trip for two people. The first trip will occur shortly after grant award for a stay of two or three days, depending on the location, and the remaining trips will have a stay of one or two days, depending on the location;

(3) A separate budget proposal for each subrecipient receiving more than 10 percent of the total federal budget request;

(4) Supporting documentation for salaries and prices of materials and equipment, upon request; and

(5) Indirect Cost Rates. Organizations that have a federally negotiated indirect cost rate should use that rate and the appropriate base. The documentation will be verified during award negotiations. Organizations that do not have 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.

Checklist for Technical Studies Program Applicants

Item

(1) Applicant Abstract (limited to a 2-pages).

(2) Rating Factor Responses (Total narrative response limited to 25 pages).

(a) Capacity of the Applicant and Relevant Organizational Experience (22 points).

(b) Need/Extent of the Problem (15 points).

(c) Soundness of Approach (45 points).

(d) Leveraging Resources (8 points).
(e) Achieving Results and Program Evaluation (10 points).

(3) Required materials in response to rating factors (does not count towards 25-page limit).

(a) Resumes of Key Personnel (limited to 3 pages per resume).

(b) Organizational Chart.

(c) Letters of Commitment (if applicable)—Letters of commitment should include language defining the activities to be performed, the contributions to be made, and the monetary value of each.

Note: HUD recommends against including letters of support that do not commit services, materials, or funds; they will not add to the consideration of your application.

(4) Optional material in support of the Rating Factors (20 page limit).

(5) Required Forms and Budget Material.

(a) Form SF 424 (Application for Federal Assistance).

(b) Form HUD-424-CBW (Budget Worksheet).

(c) Form HUD-96010 (Logic Model Form).

(d) Form SF 424 Supplement (Survey on Ensuring Equal Opportunity for Applicants) (to be completed by private nonprofit organizations only).

(e) Form SF LLL (Disclosure of Lobbying Activities, if applicable).

(f) Form HUD-2880 (Applicant/Recipient Disclosure/Update Report)

(g) Form HUD-2990 (Certification of Consistency with the RC/EZ/EC-II Strategic Plan, required only for applicants who are seeking these bonus points).

(h) Form HUD 2994-A (You Are Our Client Grant Applicant Survey, Optional).

(i) Form HUD-96011 (Facsimile Transmittal, for electronic applications) (Used as the cover page to transmit third party documents and other information designed for each specific application for tracking purposes. HUD will not read faxes that do not use the HUD-96011 as the cover page to the fax).

C. Submission Dates and Times

Electronic applications must be received and validated by Grants.gov on or before 11:59:59 p.m. eastern time on June 6, 2006. All narrative files and any scanned documents must be submitted as a single zip file 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 with your electronic application submitted by facsimile transmission must also be received by 11:59:59 p.m. eastern time on the application deadline date. See the General Section for information on how to submit third party letters and other documents as part of your electronic submission utilizing form HUD-96011, Facsimile Transmittal.

D. Intergovernmental Review

This NOFA is excluded from the requirement of an Intergovernmental Review.

E. Funding Restrictions

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

2. Purchase of Real Property. The purchase of real property is not an allowable cost under this program.

3. Purchase or Lease of Equipment. The 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. Medical treatment costs are not allowable under this program.

5. Profit. For profit institutions are not allowed to earn a profit.

6. You must comply with the Coastal Barrier Resources Act (16 U.S.C. 3501).

7. You may not conduct lead-based paint or healthy home hazard control activities or related work that constitutes construction, reconstruction, repair or improvement (as referenced 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:

a. 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

b. 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.

8. Construction activities. The amount of HUD technical studies grant funds used for lead-based paint hazard control activities may not exceed 10% of the total HUD funds awarded under the LTS application. The amount of HUD technical studies grant funds used for construction activities may not exceed 50% of the of the total HUD funds awarded under the HHTS application.

F. Other Submission Requirements

1. Application Submission and Receipt Procedure. Please read the General Section carefully and completely for the electronic submission and receipt procedures for all applications because failure to comply may disqualify your application.

2. Waiver of Electronic Submission Requirements. Applicants must submit their request to waive the electronic application requirement at least 30 days before the submission deadline date by e-mail to OHHLHC_2006_NOFA@hud.gov or by fax to (202) 755-1000. The submission must address all items identified in the General Section. HUD will provide its decision regarding the request. If you are granted a waiver of the electronic application submission, the program office will provide instructions for submission. HUD will only accept alternate submissions from applicants whose waiver request was granted that are received no later than 11:59:59 pm eastern time on the application deadline date. The applicant must retain documentation to prove its waiver request was actually received by HUD (e.g., FAX transmittal report showing telephone number dialed and number of pages successfully transmitted).

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.4 of this NOFA. Your application must receive a total score of at least 75 points to remain in consideration for funding.

2. *Award Factors.* Each of the five factors is weighted as indicated by the number of points that are assigned to it. The maximum score that can be attained is 102 points. Applicants should be certain that each of these factors is adequately addressed in the project

description and accompanying materials.

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 meet the requirements of the General Section and submit a completed form HUD-2990, with descriptive language in the budget discussion describing the actual work that is to be done in these communities.

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 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 the qualifications of these people 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)*. HUD will evaluate your 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 number and title of current and past OHHLHC grants as well as past performance of the organization (applicant or partners) on other grant(s) or project(s) 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 (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. (This may include an updated logic model.)

If you completed one or more HUD-funded Technical Studies grants, your performance will be evaluated in terms of achievements made under the previous grant(s).

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.1.a (LTS) or I.B.1.b (HHTS), as appropriate for the program to which you are applying. For example, 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 or addresses a need associated with an important housing-related health hazard, with an emphasis on children's health. This is especially important for applicants that are proposing to study a lead or healthy homes topic that is not highlighted as a priority area by HUD in section I.C of this NOFA; such applicants that do not provide supporting language to demonstrate this will not receive points under this rating factor. Specific topics to be addressed for this factor include (five points for each item):

(1) A concise review of the research need that is addressed in your study and why it is high priority with respect to the program. For HHTS applicants, include available documented rates of illness or injury associated with the hazard or hazards that you are addressing, including local, regional, and national data, as applicable.

(2) A discussion of 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.

(3) A discussion on how you anticipate your study findings will be used to improve current methods for assessing or mitigating the hazards under study. 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 (22 points)*. The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature, which should be thoroughly cited in your application. 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. HUD has observed that studies can miss targeted performance timelines because of delays in the IRB approval process or 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).

If you are proposing to conduct a study that includes a significant level of community interaction (e.g., studies involving participant recruitment, survey research, environmental sampling on private property), describe your plan for meaningful involvement of the affected community in your proposed study. You should define the community of interest with respect to your proposed study and discuss why your proposed approach to community involvement will make a meaningful contribution to your study and to the community.

(2) *Policy Priorities (5 points)*. Indicate if your proposed study will address any of the FY 2006 policy priorities that are applicable to this NOFA (see the General Section for additional details

regarding these policy priorities). You will receive one point under Rating Factor 3(2) for each of the applicable FY 2006 policy priorities that are found in the General Section and applicable to the 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.

(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. Applicants that receive awards will be required to submit a Quality Assurance Plan to HUD (see paragraph VI.C.2).

(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, 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 that 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.

(c) 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, describe any research done (or planned) to validate the instrument.

(4) *Project management plan (6 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 agreed upon performance period of your grant. The final deliverable can be submitted to HUD during the agreed upon period of performance or during the 90-day closeout 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. 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 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 (either funded by HUD or another source) that will be concurrent with your proposed 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: Letters of firm commitment, memoranda of understanding, and/or agreements to participate from those entities identified as partners in the project efforts. Each document 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. Simple letters that only indicate support of the proposed study are not sufficient.

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 indicators that will allow you to measure your performance. Performance indicators should be objectively quantifiable and measure actual achievements against anticipated goals. 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 the procedures you will follow to have reliable outcome measures and performance, so that the project will be recognized as being of high quality that provides benefits to the community.

In your response to this Rating Factor, discuss the performance goals for your project and identify specific outcome measures. Describe how the outcome information will be obtained, documented, and reported. You must complete and return the eLogic Model™ Form HUD-96010 included in the download instructions found as part of the application at <http://www.Grants.gov/Apply>. You must show your proposed project short-term, intermediate, long-term and final results. Instructions on the Logic model is contained in the General Section and instructions that are contained in Tab 1 of the electronic form. The form features drop down menus from which to select and construct the Logic Model response relevant to your proposal. The Master Logic Model is on the HUD Web site at <http://www.hud.gov/offices/adm/grants/fundsavail.cfm> and the electronic version is in the instruction download at <http://www.Grants.gov/APPLY> under the program NOFA.

Also, in responding to this factor, you should:

(1) Identify benchmarks that you will use to track the progress of your study;

(2) Identify important study milestones (e.g., the end of specific phases in a multiphase study, recruitment of study participants, developing a new analytical protocol), which should also be clearly indicated in your study timeline. Also identify potential obstacles in meeting these objectives, and discuss how you would respond to these obstacles;

(3) For FY2006, HUD is considering a new concept for the Logic Model. The new concept is a Return on Investment statement. HUD will be publishing a separate notice on the ROI concept.

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 each type of Technical Studies Program applications (Lead or Healthy Homes), 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 either type of Technical Studies Program.

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). 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 grant agreement and budget. If you accept the terms and conditions of the grant, you must return your signed grant agreement by the date specified during negotiation. 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. 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 or its successor 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 applicants should follow for requesting a debriefing.

B. Administrative and National Policy Requirements

1. Environmental Requirements

a. Eligible Construction and Rehabilitation Activities.

(1) A Technical Studies award does not constitute approval of specific sites where activities that are subject to environmental review may be carried out. Recipients conducting eligible construction and rehabilitation activities must comply with 24 CFR part 58, "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities". Recipients that are States, units of general local government or Indian tribes must carry out environmental review responsibilities as a responsible entity under part 58. Where the recipient is not a State, unit of general local government or Indian tribe, a responsible entity, usually the unit of general local government or Indian tribe, must assume the environmental review responsibilities for construction or rehabilitation activities funded under this NOFA. Under 24 CFR 58.11, where the recipient is not a State, unit of general local government or Indian tribe, if a responsible entity or the recipient objects to the responsible entity performing the environmental review, HUD may designate another responsible entity to perform the review or may perform the environmental review itself under the provisions of 24 CFR part 50. In such cases, following grant award execution, HUD will be responsible for ensuring that any necessary environmental reviews are completed. See paragraph (2) below for additional assistance.

(2) For all grants under this NOFA, recipients and other participants in the project are prohibited from undertaking, or committing or expending HUD or non-HUD funds (including HUD leveraged or match funds) on, a project or activities under this NOFA (other than activities listed in 24 CFR 58.34, 58.35(b) or 58.22(f)) until the responsible entity completes an environmental review and the applicant submits and HUD approves a Request for the Release of Funds and the responsible entity's environmental certification (both on form HUD 7015.15) or, in the case where the recipient is not a State, unit of general local government or Indian tribe and HUD has determined to perform the environmental review under part 50, HUD has completed the review and notified the grantee of its approval. The results of the environmental reviews may require that proposed activities be modified or proposed sites rejected. For

part 58 procedures, see <http://www.hud.gov/offices/cpd/energyenviron/environment/index.cfm>. For assistance, contact Karen Choi, the Office of Healthy Homes and Lead Hazard Control Environmental Officer at (213) 534-2458 (this is not a toll free-number) or the HUD Environmental Review Officer in the HUD Field Office serving your area. If you are a hearing- or speech-impaired person, you may reach the telephone number via TTY by calling 1-800-HUD-2209. Recipients of a grant under these funded programs will be given additional guidance in these environmental responsibilities.

b. All other activities not related to construction and rehabilitation activities 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. *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 an awardee fails to make reasonable progress in implementing the approved program of activities.

3. *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.

4. *Participation in HUD-Sponsored Program Evaluation.* See the General Section.

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

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.

7. *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.

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.

Note: This Order only applies to construction work.

9. *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 <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) approved and incorporated into your award agreement. 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. 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. 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., final technical report and final project benchmarks and milestones achieved against the proposed benchmarks and milestones in the Logic Model which was approved and

incorporated into your award agreement).

6. *Draft Scientific Manuscript(s).* Copies of materials to be submitted for publication, at least one of which should be peer-reviewed.

VII. Agency Contact(s)

For technical help in downloading an application from Grants.gov or submitting an application via Grants.gov, call the Grants.gov help desk at 800-518-GRANTS. For programmatic questions on the Lead Technical Studies program, you may contact Dr. Robert Weisberg, Office of Healthy Homes and Lead Hazard Control, at (202) 755-1785, extension 7687 (this is not a toll-free number) or via e-mail at Robert_F._Weisberg@hud.gov. For programmatic questions on the Healthy Homes Technical Studies program, you may contact Dr. Peter Ashley, Office of Healthy Homes and Lead Hazard Control, at (202) 755-1785, extension 7595 (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 telephone (202) 755-1785, extension 7580 (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. Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2539-0015. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 80 hours per respondent for the application and 16 hours per

respondent hours per annum per respondent for grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, quarterly and final report. The information will be used for grantee

selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

C. Appendices

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

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