

American Recovery and Reinvestment Act of 2009
Department of Housing and Urban Development
Program-Level Plan
Lead Hazard Reduction Programs



a. FUNDING TABLE:

ACTIVITY	FUNDING LEVEL
The Lead-Based Paint Hazard Control Grant Program assists States, Indian Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately owned housing for rental or owner-occupants.	\$77,949,463.00
The Lead Hazard Reduction Demonstration Grant Program assists areas with the highest lead paint abatement needs in undertaking programs for abatement, inspections, risk assessments, temporary relocations, and interim control of lead-based paint hazards in eligible privately owned, single family housing units, and multifamily buildings that are occupied by low-income families.	\$2,616,843.00
Administrative set-aside for HUD personnel expenses related to administering funding	\$405,000.00
TOTAL	\$80,971,306.00

b. OBJECTIVES:

HUD's Recovery Act funds support three themes that align with the broader goals of the Recovery Act: (1) promoting energy efficiency and creating green jobs, (2) unlocking the credit markets and supporting shovel-ready projects, and (3) mitigating the effects of the economic crisis and preventing community decline. HUD's overriding objective in support of these goals is the creation and preservation of jobs.

HUD's Office of Healthy Homes and Lead Hazard Control (OHHLHC) received approximately \$100 million in Recovery Act appropriated funds. Of this amount, \$78 million were announced as awards to be made under the Lead-Based Paint Hazard Control grant program. In addition \$2.6 million will be used for Demonstration Grant Program. Both programs assist jurisdictions in undertaking programs for the identification and control of lead-based paint hazards in eligible privately owned rental and owner-occupied housing units. The Lead Hazard Reduction Demonstration Grant Program focuses on providing funding to urban jurisdictions with the greatest lead-based paint hazard control needs. Additional core activities include outreach and training.

The expected benefit of this particular program is a reduction / prevention of the number of children under the age of six who have elevated blood lead levels (i.e. lead poisonings). In addition, through lead remediation we will meet HUD's overriding goal of creating and preserving jobs.

c. ACTIVITIES:

Kinds and scope of projects and activities to be performed: Funds will be used to identify and control lead-based paint hazards in eligible privately owned rental or owner-occupied housing.





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Project/Activity: Funds will be used to perform lead dust, soil and paint-chip testing, lead-based paint inspections, risk assessments, clearance examination, and engineering and architectural activities that are required for, and in direct support of, interim control and lead hazard abatement work. This work will be done on eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures.

Description: The Lead-Based Paint Hazard Control Grant Program assists States, Indian Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately owned housing for rental or owner-occupants.

Funding: \$77,949,463.00

Project/Activity: Funds will be used to perform lead dust, soil and paint-chip testing, lead-based paint inspections, risk assessments, clearance examination, and engineering and architectural activities that are required for, and in direct support of, interim control and lead hazard abatement work. This work will be done on eligible housing units constructed prior to 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil through the use of acceptable testing procedures.

Description: The Lead Hazard Reduction Demonstration Grant Program assists areas with the highest lead paint abatement needs in undertaking programs for abatement, inspections, risk assessments, temporary relocations, and interim control of lead-based paint hazards in eligible privately owned, single family housing units, and multifamily buildings that are occupied by low-income families.

Funding: \$2,616,843.00

Project/Activity : HUD will provide training, technical assistance, monitoring, enforcement, and research and evaluation activities.

Description: HUD will hire staff, build IT systems and work with grantees to ensure effective and efficient implementation.

Funding: \$405,000.00

d. CHARACTERISTICS:

Type of Financial Award: B - Project Grants

Funding Amount: \$77,949,463.00

Methodology for Award Selection: Under the Recovery Act of 2009, HUD's Office of Healthy Homes and Lead Hazard Control (OHHLHC) received approximately \$100 million in appropriated funds to award first applicants which had applied under the Lead Hazard Reduction Program Notices of Funding Availability for fiscal year 2008, and were found in the application review to be qualified for award, but were not awarded because of funding limitations, and that any funds which remain after reservation of funds for such grants shall be added to the amount of funds to be awarded under the Lead Hazard Reduction Program Notices of Funding Availability for fiscal year 2009.





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Type(s) of Recipients: Government – Federal, Government – State, Government - Local-County, Government - Local-City or Township, Government - Federal Recognized Indian Tribal Governments

Type(s) of Beneficiaries: Individual/Family, Minority group

Type of Financial Award: B - Project Grants

Funding Amount: \$2,616,843.00

Methodology for Award Selection: Under the Recovery Act of 2009, HUD's Office of Healthy Homes and Lead Hazard Control (OHHLHC) received approximately \$100 million in appropriated funds to award first applicants which had applied under the Lead Hazard Reduction Program Notices of Funding Availability for fiscal year 2008, and were found in the application review to be qualified for award, but were not awarded because of funding limitations, and that any funds which remain after reservation of funds for such grants shall be added to the amount of funds to be awarded under the Lead Hazard Reduction Program Notices of Funding Availability for fiscal year 2009.

Type(s) of Recipients: Government – Federal, Government – State, Government - Local-County, Government - Local-City or Township, Government - Federal Recognized Indian Tribal Governments

Type(s) of Beneficiaries: Individual/Family, Minority group

Estimated dollar amount of Federal in-house activity: \$405,000.00

e. DELIVERY SCHEDULE:

Milestone Description: Quarterly benchmarks have been established for units tested for lead-based paint hazards and units made lead safe.

Milestone: HUD announces funding awards

Expected Completion Date: 5/1/2009

Milestone: Grantees obligate 100% of funds

Expected Completion Date: 8/1/2009

Milestone: Grantees expend 100% of funds

Expected Completion Date: 5/1/2012



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f. ENVIRONMENTAL REVIEW COMPLIANCE:

AREA OF COMPLIANCE	Identify and control lead-based paint hazards
Compliance with National Environmental Policy Act (NEPA)	Grantees will be required to complete a Tier 1 Environmental Review and receive a "Release of Environmental Conditions" prior to expending any HUD or Non-HUD funds on projects or activities that have a physical impact on a property or an impact on the human environment. Furthermore, grantees are responsible for performing the Tier 2 or Site-Specific Environmental Review on each housing unit in which they perform a physical intervention and maintain the relevant documents in their Environmental Review Record. OHHLHC monitors grantees routinely for compliance with these Environmental Review requirements.
Compliance with National Historic Preservation Act and related statutes	Grantees will be required to comply with the National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 which apply to the lead-hazard control or rehabilitation activities that are undertaken by HUD's Lead Hazard Reduction grant programs.
Milestones dependent on environmental review process	Approval of Release of Funds to grantees is dependent on environmental reviews outlined above.
Potential impact of environmental reviews on project implementation	If grantees are slow to get this approval from HUD, this will directly affect whether they meet program milestones set for this program.

g. MEASURES:

All targets for job creation and retention and units developed and rehabilitated do not take into consideration the fact that additional funds may be leveraged, which may understate our projections. HUD is continuing to identify and evaluate the impact of leveraged funds on its targets.

Measure: Funds obligated by grantees

Measure Type: Efficiency

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Dollars

Explanation of Measure: Quantifies efficiency and timeliness by measuring the dollar amount of funds obligated by grantees on a quarterly basis.

Actual: TBD

Goal Lead: Matthew Ammon

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.



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How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
\$117,000,000	197,566,306	\$80,566,306	\$140,000,000	\$140,000,000	\$0

Measure: Funds expended by grantees

Measure Type: Efficiency

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Dollars

Explanation of Measure: Quantifies efficiency and timeliness by measuring the dollar amount of funds expended by grantees on a quarterly basis.

Actual: TBD

Goal Lead: Matthew Ammon

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
\$130,000,000	\$134,029,750	\$4,029,750	\$130,000,000	\$150,148,750	\$20,148,750

Measure: Number of Units Tested for Lead-Based Paint Hazards

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Housing Units

Explanation of Measure: Measures Program success in increasing quality of the housing stock by tracking the total number of housing units tested for lead-based hazards quarterly.



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Actual: TBD

Goal Lead: Matthew Ammon

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
14,160	14,294	134	14,520	16,201	1,681

Measure: Number of Units Made Lead-Safe

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Housing Units

Explanation of Measure: Measures Program success in increasing quality of the housing stock by tracking the total number of housing units made Lead-Safe quarterly.

Actual: TBD

Goal Lead: Matthew Ammon

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
11,800	11,912	112	12,100	13,501	1401

Measure: Number of Jobs Created or Retained

Measure Type: Output

Measure Frequency: Quarterly



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Direction of Measure: Increasing

Unit of Measure: FTEs

Explanation of Measure: Tracks the number of jobs created or retained each quarter through Program activity.

Actual: TBD

Goal Lead: Matthew Ammon

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
N/A	N/A	20	N/A	N/A	97

h. MONITORING AND EVALUATION:

(1) Data Collection and Reporting

- a. **Work Plan Submissions:** These identify the plan for the use of funds for each grantee. During grant negotiations, a final budget is established and issued within the grant award form (SF-1044). After award, the grantee must submit a work plan that describes the work they will complete with the use of grant funds.
- b. **Financial Reports:** HUD has two financial reports that will be generated and analyzed on a weekly basis. These include a Summary Financial Report that indicates the amount of funds for each program, and a Funding Notification Report, which shows the amount of funding by program for every jurisdiction, including local governments and some states.
- c. **Quarterly Recipient Reports:** The cornerstone of HUD’s monitoring and evaluation system is the project and contract data collected from grantees. The Recovery Act specifically requires data collection fields for grantees and contractors. In addition, grantees will report lead safe units completed, outreach/training events, funds draw downs and other progress indicators by using Quarterly Performance Reporting System (QPRS) a system developed by the Office of Healthy Homes and Lead Hazard Control (OHHLHC).

- (2) **Ongoing Grantee Management :** Government Technical Representatives (GTRs) are responsible for monitoring grantee performance, program implementation, and the processes by which OHHLHC management use to assess grantee risk. The OHHLHC Grants “Desk Guide” (available on our website) establishes standards and provides guidance for monitoring OHHLHC Programs. OHHLHC staff





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view monitoring not as a once a year or periodic exercise, but as an ongoing process involving continuous communication and evaluation, including frequent telephone/email contacts, written communications, analysis of reports and audits, and periodic meetings. It is also an OHHLHC policy that all grantees receive an on-site monitoring visit at the end of the first year of the grant. There are several processes used to identifying program risks and to set monitoring priorities, including conducting an annual risk analysis and reviewing quarterly submissions. The GTRs use a core set of risk criteria in their analyses, including the status of performance indicators as set forth in the grantee work plans (e.g., the LHC program uses five factors: Number of inspections proposed / completed; Number of units proposed / completed; Expenditures proposed / completed; Number of trainings proposed / completed; Number of outreach actions proposed / completed). Additional information about the OHHLHC's Risk Analysis process, including the development of a Monitoring Plan, is discussed in the OHHLHC's Desk Guide.

i. and j. TRANSPARENCY AND ACCOUNTABILITY:

With respect to reporting, OMB has issued detailed guidance on the requirements for recipients of the Recovery Act funds. Specifically, each prime and first tier recipient is required to report specified information to HUD 10 days after the end of each calendar quarter. This includes but is not limited to a detailed list of all projects and activities for which Recovery Act funds were obligated or expended, an evaluation of the completion status of the project or activity, and an estimate of the number of jobs created or retained. In addition to the overarching requirements of the Recovery Act, HUD has also identified a number of program-specific measures that will be collected through this reporting process.

HUD expects that the transparency requirements of the Recovery Act, specifically the requirement to publish both spending and recipient performance reports, will create accountability amongst its managers and grantees. That said, HUD will establish additional internal management controls to create a greater level of accountability for performance. The HUD Recovery Act program management team will work with the leads of the program and cross-cutting teams to prepare a bi-weekly program snapshot report for the steering committee to review with the Deputy Secretary and Secretary. Drawing from the program and risk management plans, the reports will include summary-level quantitative financial and programmatic performance measures and targets, key milestones, and issues or risks. Interim spending and performance targets will be set to ensure that annual objectives from the program plans are met. Performance data will be summarized by grantee risk category, as defined in the agency's risk management plan. Performance measure targets and milestones that are missed, or that are in jeopardy of being missed, will be accompanied by an explanation of the reasons why, including any issues affecting progress and the specific plan for their resolution or mitigation. The report will also identify specific grantees with performance issues, and summarize the actions being taken to address them. In addition to the bi-weekly reporting, each program team will meet with the Secretary, Deputy Secretary and Steering Committee on a monthly basis to review a more detailed set of Recovery Act performance measures. On a quarterly basis, these monthly meetings will include updated grant recipient data described above.



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k. BARRIERS TO EFFECTIVE IMPLEMENTATION:

Phase	Barrier/Concern	Proposed Solution	Targeted Resolution Date
Post-Implementation	LHC has no high risk Front End Risk Assessment (FERA) elements. They have compensating controls for medium risk elements.	Redeployment of staff resources and manual collection of data if new hires and system upgrades are not done in time.	Ongoing

I. FEDERAL INFRASTRUCTURE INVESTMENTS:

This program does not invest in Federal infrastructure. However, for HUD's programs that include construction or rehabilitation or are Federal investments in privately owned housing: New buildings and major renovations financed through formula grants are required to meet local energy codes. New construction and major renovations financed through some competitive grant programs will, in the case of single family homes, be built to the standard for Energy Star for New Homes (15 percent more efficient than the 2004 International Residential Code); or in the case of multifamily buildings to exceed ASHRAE (American Society of Heating, Refrigeration, and Air-conditioning Engineers) Code 90.1 2007, Appendix G, by 20 percent. HUD's competitive program requirements also ensure that new construction and major renovations follow sustainable design and green construction principles to (1) optimize energy efficiency and performance; (2) employ integrated design principles (and controls); (3) protect and conserve water; (4) enhance indoor air quality; and (5) reduce environmental impact of materials used.

