

# American Recovery and Reinvestment Act of 2009

Department of Housing and Urban Development

Program-Level Plan

Healthy Homes Program

## a. FUNDING TABLE:

ACTIVITY	FUNDING LEVEL
Funds will be provided to develop, demonstrate and promote cost effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children. Through this grant program housing units are remediated of significant health and safety hazards.	\$17,167,142.00
Funds will be provided to conduct research on the potential indoor environmental and occupant health benefits of new green- built public housing and low income housing that has received weatherization upgrades.	\$1,766,552.00
Administrative set-aside for personnel expenses related to administering funding	\$95,000.00
<b>TOTAL</b>	<b>\$19,028,694.00</b>

## 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, \$17 million were announced as awards to be made under the Healthy Homes Demonstration grant program. This program assists not-for-profit institutions

and for-profit firms (provided no fees are charged for services), state and local governments, housing authorities, federally-recognized Indian Tribes, and colleges and universities located in the US develop, demonstrate, and evaluate cost-effective, preventive measures to correct multiple residential safety and health hazards that produce diseases and injuries in children and other sensitive subgroups such as the elderly, with a particular focus on low income households.

In addition, \$1.8 million will be used for Healthy Homes Technical Studies Grants. The grants will assist academic institutions, non-profit and for-profit organizations, states, Native American Tribes and local governments to conduct research to gain knowledge on improving the efficacy and cost-effectiveness of methods for evaluation and control of residential lead-based paint hazards.

The expected benefit of this particular program is an increase in quality and longevity of housing stock through the creation of healthy housing through key research (reduction of significant health and safety hazards in the home). In addition, we will meet HUD's overriding goal of creating and preserving jobs.





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### c. ACTIVITIES:

Kinds and scope of projects and activities to be performed: The primary activity includes the remediation of housing units with significant health and safety hazards. The technical studies grantees will conduct research on the potential indoor environmental and occupant health benefits of new green-built public housing and low income housing that has received weatherization upgrades.

Project/Activity: Grantees will develop, demonstrate and promote cost effective, preventive measures to correct multiple safety and health hazards in the home environment that produce serious diseases and injuries in children. Through this grant program housing units are remediated of significant health and safety hazards.

Description: The major objectives of the Healthy Homes Demonstration Program include the following: (1) Identify and remediate priority health hazards in high risk target housing where environmental conditions may contribute to a child's illness or risk of injury; (2) Support public education and outreach that furthers the goal of protecting children and other vulnerable populations from environmentally induced illnesses; (3) Develop a professional workforce that is trained in healthy homes principles; (4) Evaluate the efficacy of healthy homes program activities and facilitate the dissemination of findings, with a focus on evidence-based best practices; (5) Increase public awareness of housing related environmental health and safety hazards that threaten the health of children and other vulnerable populations; (6) Further the principles of environmental justice and fair housing by increasing the availability of safe, low income housing.

Funding: \$17,167,142.00

Project/Activity: The grantees will conduct research on the potential indoor environmental and occupant health benefits of new green- built public housing and low income housing that has received weatherization upgrades.

Description: In the first study, researchers will recruit households from 300 new Chicago public housing units that were built using green practices and assess indoor environmental quality and health status of residents compared to residents in 100 new public housing units built using conventional methods. In the second study, researchers will assess the health status of low income residents living in 400 units of low income multifamily housing in Chicago and 150 units in Boston before and after the units receive weatherization upgrades. A subset of these units will also be assessed for indoor environmental quality.

Funding: \$1,766,552.00

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: \$95,000.00





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### d. CHARACTERISTICS:

Type of Financial Award: B - Project Grants

Funding Amount: \$17,167,142.00

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 – State, Government - Local-County, Government - Local-City or Township, Non-Government - Private Nonprofit Institution/Organization, Non-Government - Profit Organization, Non-Government - Quasi-Public Nonprofit Institution/Organization, Government - Federal Recognized Indian Tribal Governments

Type(s) of Beneficiaries: Individual/Family, Minority group, Indian/Native American Tribal Government (Federally Recognized)

Type of Financial Award: B - Project Grants

Funding Amount: \$1,766,552.00

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 – State, Government - Local-County, Government - Local-City or Township, Government - Federal Recognized Indian Tribal Governments, Government - US Territories and Possessions, Non-Government - Profit Organization

Type(s) of Beneficiaries: Non-Government - Private Nonprofit Institution/Organization, State, Local – County, Local - City or Township, Federally Recognized Indian Tribal Governments, US Territories, Indian/Native American Tribal Government (Federally Recognized), Health Professional, Scientist/Researchers, Land/Property Owner, Public/Indian Housing Authority

Estimated dollar amount of Federal in-house activity: \$95,000.00



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## e. DELIVERY SCHEDULE:

**Milestone Description:** The key milestones for the competitive grants include the funding awards, the obligation of funds by grantees and the expenditure of funds by grantees.

**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

## f. ENVIRONMENTAL REVIEW COMPLIANCE:

AREA OF COMPLIANCE	IDENTIFY AND REMEDIATE PRIORITY HEALTH HAZARDS	RESEARCH
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.	N/A
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 may be undertaken by the Healthy Homes Demonstration grant program.	N/A
Milestones dependent on environmental review process	Approval of Release of Funds to grantees is dependent on environmental reviews outlined above.	N/A
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.	N/A





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## 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.

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>
\$17,500,000	\$36,433,694	\$18,933,694	\$20,000,000	\$20,000,000	\$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.



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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>
\$10,000,000	\$10,945,250	\$945,250	\$13,000,000	\$17,726,250	\$4,726,250

Measure: Number of Jobs Created or Retained

Measure Type: Output

Measure Frequency: Quarterly

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	5	N/A	N/A	23

Measure: Number of Units Assessed for Health and Safety Hazards

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Housing Units



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**Explanation of Measure:** Measures Program success in increasing quality of the housing stock by tracking the total number of housing units assessed for health and safety hazards.

**Actual:** TBD

**Goal Lead:** Matthew Ammon

**Measurement Methodology:** HUD will collect Quarterly Recipient Reports from grantees and conduct on-site and remote compliance monitoring.

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

2009 Projections			2010 Projections		
Original Program Target	Revised Program Target	Target (incremental change in performance)	Original Program Target	Revised Program Target	Target (incremental change in performance)
1,056	1,145	89	1,188	2,305	1,117

**Measure:** Number of Units Remediated for Health and Safety 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 remediated for health and safety hazards.

**Actual:** TBD

**Goal Lead:** Matthew Ammon

**Measurement Methodology:** HUD will collect Quarterly Recipient Reports from grantees and conduct on-site and remote compliance monitoring.

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

2009 Projections			2010 Projections		
Original Program Target	Revised Program Target	Target (incremental change in performance)	Original Program Target	Revised Program Target	Target (incremental change in performance)
880	954	74	990	1,921	931





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### 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 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.

(3) **Longer Term Evaluation and Research:** The data from these programs will be used to achieve the Healthy Homes Initiative's Departmental Strategic Goal objective of reducing allergen levels in 5,000 units by 2011, and correspondingly, reducing asthmatic episodes for 3,000 children living in those units. In addition, grantees must collect, maintain, and provide to HUD the data necessary to document the various approaches used to evaluate and control housing-related environmental health and safety hazards, including assessment and remediation methods, building conditions, medical







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and familial information (with confidentiality of individually-identifiable information ensured) in order to determine the long-term effectiveness and relative cost of these methods.

### **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.

### **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





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### 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.

