

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**RENTAL ASSISTANCE FOR NON-  
ELDERLY PERSONS WITH  
DISABILITIES IN SUPPORT OF  
DESIGNATED HOUSING PLANS**



## FUNDING AVAILABILITY FOR RENTAL ASSISTANCE FOR NON-ELDERLY PERSONS WITH DISABILITIES IN SUPPORT OF DESIGNATED HOUSING PLANS

### Program Overview

*Purpose of the Program.* The purpose of the voucher funding being made available under the Housing Choice Voucher Program through this announcement is to enable non-elderly families with disabilities to rent affordable private housing. The vouchers will assist public housing agencies (PHAs) in providing sufficient alternative resources to meet the housing needs of those non-elderly disabled families who would have been housed by the PHA if occupancy in a designated public housing project/building (or portion thereof) were not restricted to elderly households, and assist PHAs who wish to continue to designate their buildings as "mixed elderly and disabled buildings" but can demonstrate a need for alternative resources for non-elderly disabled families.

*Available Funds.* Approximately \$20 million in one-year budget authority for approximately 3,500 housing choice vouchers.

*Eligible Applicants.* Public housing agencies (PHAs), Indian Housing Authorities, Indian tribes and their tribally designated housing entities are not eligible to apply because the Native American Housing Assistance and Self-Determination Act of 1996 does not allow HUD to enter into new housing choice voucher (Section 8) annual contributions contracts (ACC) with IHAs after September 30, 1997. Further, IHAs would not otherwise have been eligible to apply under this announcement because the requirements of section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) regarding designated housing plans are not applicable to IHAs.

*Application Deadline.* The application in its entirety must be submitted to HUD's Grants Management Center by July 24, 2001.

Not later than seventy-five (75) days prior to that date; i.e., by May 16, 2001, the designated housing plan portion of the application must be submitted to HUD's Special Application Center.

*Match:* None.

### Additional Information

If you are interested in applying for funding under this program, please review carefully the General Section of this SuperNOFA and the following additional information.

### I. Application Due Dates, Application Kits, Further Information and Technical Assistance

*Application Due Dates.* Submit your original and one copy of your completed application (including the designated housing plan, as appropriate) to HUD on or before 12:00 midnight, Eastern time, on July 24, 2001.

See the General Section of this SuperNOFA for specific procedures concerning the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

*Address for Submitting Applications.* Your completed application consists of an original and two copies. Submit the original application and one copy to Michael Diggs, Director, Grants Management Center, Department of Housing and Urban Development, 501 School Street, SW, Suite 800, Washington, DC 20024. Applications which are hand carried or sent via overnight delivery service should be delivered to this address. The Grants Management Center is the official place of receipt for all applications in response to this announcement of funding availability. Your application will be accepted at this address until 6:00 pm, Eastern time, on the application deadline.

After 6:00 pm on the application deadline date, applications will be accepted in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410, until 12:00 midnight Eastern time.

Submit one copy of the designated housing plan portion of your application to the Office of Public Housing, Special Application Center (SAC), Room 2401, 77 West Jackson Boulevard, Chicago, IL 60604 (312-886-9754), so as to be received by the SAC by not later than May 16, 2001. *Note: The Special Application Center is allowed, by statute, 60 days in which to review a PHA's designated housing plan.*

*A PHA submitting an application for voucher funding under this announcement shall not be eligible for funding if it does not submit its entire application to the GMC, and the designated housing plan portion of its application (as applicable) to the SAC, by the deadline dates specified above.*

A copy of your application is not required to be submitted to the local HUD Field Office. For ease of reference, the term "local HUD Field Office" will be used in this announcement to mean the local HUD Field Office Hub and local HUD Field Office Program Center. A listing of HUD Field Offices is

attached to the General Section of this SuperNOFA.

*For Application Kits.* An application kit is not necessary for submitting an application in response to this announcement. This announcement contains all the information necessary for the submission of your application for voucher funding under this announcement.

*For Further Information and Technical Assistance.* Prior to the application due date, you may contact George C. Hendrickson, Housing Program Specialist, Room 4216, Office of Public and Assisted Housing Delivery, Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410; telephone (202) 708-1872, ext. 4064. Subsequent to application submission, you may contact the Grants Management Center at (202) 358-0338. (These are not toll-free numbers.) Persons with hearing or speech impairments may access these numbers via TTY (text telephone) by calling the Federal Information Relay Service at 1-800-877-8339 (this is a toll-free number).

*Satellite Broadcast.* HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of an application. For more information about the date and time of this broadcast, you should consult the HUD web site at [www.hud.gov](http://www.hud.gov).

### II. Amount Allocated

*(A) Available Funding.* Approximately \$20 million in one-year budget authority is available for housing choice vouchers for non-elderly disabled families in support of designated housing plans to designate public housing for occupancy by elderly families only, or elderly families and disabled families only. This funding is expected to provide assistance to approximately 3,500 non-elderly disabled families.

The FY 2001 HUD Appropriations Act allows the Secretary of HUD to transfer any unobligated funds for support of designated housing plans to assist non-elderly disabled families to the extent they are not needed to fund approvable applications related to designated housing plans during FY 2001. Accordingly, any funds remaining unobligated under this announcement will first be used to fund any approvable applications under HUD's announcement for Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Developments and Section 202, Section 221(d)(3) and Section 236 Developments, for which

there are insufficient funds. Any funds still remaining unobligated under this announcement for funding in support of designated housing plans shall be used to fund any approvable applications under HUD's announcement for Mainstream Housing Opportunities For Persons With Disabilities, for which there are insufficient funds.

(B) *Voucher Funding.*

(1) *Maximum Voucher Request.* A PHA may apply for only the number of units needed to house those non-elderly disabled families that otherwise would have been housed if not for the designation of a project/building (or portion thereof) for occupancy by the elderly only. The size of the units applied for must bear a direct relationship to the size of the units designated. PHAs are limited to applying for no more than a maximum of 200 units (vouchers).

(2) *Determination of Funding Amount for the PHA's Requested Number of Vouchers.* HUD will determine the amount of funding that a PHA will be awarded under this announcement based upon an actual annual per unit cost {except that for Moving to Work (MTW) agencies the per unit cost will be calculated in accordance with the agency's MTW Agreement for MTW units} using the following three step process:

(a) HUD will extract the total expenditures for all the PHA's housing choice (Section 8) programs and the unit months leased information from the most recent approved year end statement (form HUD-52681) that the PHA has filed with HUD. HUD will divide the total expenditures for all of the PHA's housing choice (Section 8) programs by the unit months leased to derive an average monthly per unit cost.

(b) HUD will multiply the monthly per unit cost by 12 (months) to obtain an annual per unit cost.

(c) HUD will multiply the annual per unit cost derived under section (ii) above by the Housing Choice Voucher (Section 8) Housing Assistance Payments Program Contract Rent Annual Adjustment Factor (with the highest cost utility included) to generate an adjusted annual per unit cost. For a PHA whose jurisdiction spans multiple annual adjustment factor areas, HUD will use the highest applicable annual adjustment factor.

**Note:** Applicants who do not currently administer a housing choice certificate or voucher program shall have their voucher funding based upon the actual annual per unit costs of the PHA in their most immediate area administering a housing choice certificate or voucher program, using

the three step process described immediately above.

(3) *Preliminary Fee.* A preliminary fee of up to \$500 per unit for preliminary (start-up) expenses will be paid to PHAs that have not previously administered their own housing choice voucher program and that are selected for funding under this announcement. The preliminary fee will be provided to such PHAs only in their first year administering housing choice vouchers.

(4) *Underfunding Corrections.* If prior to the award of funding under this Designated Housing announcement, HUD determines that any awardees under the FY 2000 Designated Housing announcement have been underfunded due to an error attributable to HUD, funding will be increased to the amount that the awardee should have received.

### III. Program Description, Eligible Applicants, and Eligible Participants

(A) *Program Description.* This program provides housing choice vouchers to assist non-elderly disabled families who would have been housed by a PHA if occupancy in the designated public housing project/building (or portion thereof) were not restricted to elderly households, and assist PHAs that wish to continue to designate their projects/buildings (or portions thereof) as "mixed elderly and disabled buildings" and can demonstrate a need for alternative housing resources for non-elderly disabled families that is consistent with the jurisdiction's Consolidated Plan and the low-income housing needs of the jurisdiction.

(B) *Eligible Applicants.* A PHA established pursuant to State law may apply for funding under this announcement. A regional (multi-county) or State PHA is also eligible to apply for funding. A PHA may submit only one application under this announcement. This one application per PHA limit applies regardless of whether the PHA is a State or regional PHA, except in those instances where such a PHA has more than one PHA code number due to its operating under the jurisdiction of more than one HUD Field Office. In such instance, a separate application under each code shall be considered for funding, with the cumulative total of vouchers applied for under the applications not to exceed the maximum number of vouchers the PHA is eligible to apply for under section II(B)(1) of this announcement; i.e., no more than the number of vouchers the same PHA would be eligible to apply for if it only had one PHA code number.

Two or more divisions within State government comprising separate PHAs shall require the State to determine

which division shall submit an application to HUD under this funding announcement. As with other PHAs, only one application per PHA shall be considered (see sole exception referenced immediately above).

Indian Housing Authorities (IHAs), Indian tribes and their tribally designated housing entities are not eligible to apply because the Native American Housing Assistance and Self-Determination Act of 1996 does not allow HUD to enter into new Housing Choice Voucher Program (Section 8) annual contributions contracts (ACC) with IHAs after September 30, 1997. Further, IHAs would not otherwise have been eligible to apply under this announcement because the requirements of section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) regarding designated housing plans are not applicable to IHAs.

Some PHAs currently administering the housing choice voucher and certificate programs have, at the time of publication of this SuperNOFA, major program management findings from Inspector General audits, HUD management reviews, or independent public accountant (IPA) audits that are open and unresolved or other significant program compliance problems. HUD will not accept applications for additional funding from these PHAs as contract administrators if, on the application due date, the findings are either not closed, or sufficient progress toward closing the findings has not been made to HUD's satisfaction. The PHA must also, to HUD's satisfaction, be making satisfactory progress in addressing any program compliance problems. If the PHA wants to apply for funding under this announcement, the PHA must submit an application that designates another housing agency, nonprofit agency, or contractor, that is acceptable to HUD. The PHA's application must include an agreement by the other housing agency, nonprofit agency, or contractor to administer the new funding increment on behalf of the PHA, and a statement that outlines the steps the PHA is taking to resolve the program findings and program compliance problems. *Immediately after the publication of this SuperNOFA, the local HUD Field Office will notify, in writing, those PHAs that are not eligible to apply without such an agreement. Concurrently, the local HUD Field Office will provide a copy of each such written notification to the Grants Management Center.* The PHA may appeal the decision in writing, if HUD has mistakenly classified the PHA as having outstanding management or compliance problems. Any appeal must

be accompanied by conclusive evidence of HUD's error (i.e., documentation showing that the finding has been cleared or satisfactory progress toward closing the findings or addressing compliance problems has been made) and must be received prior to the application deadline. The appeal should be submitted to the local HUD Field Office where a final determination shall be made. Concurrently, the local HUD Field Office shall provide the Grants Management Center with a copy of its written response to the appeal, along with a copy of the PHA's written appeal. Major program management findings are those that would cast doubt on the capacity of the PHA to effectively administer any new housing choice voucher funding in accordance with applicable HUD regulatory and statutory requirements.

(C) *Eligible Participants.* Only non-elderly disabled families that are income eligible under 24 CFR 982.201(b)(1) and who live in public housing that has been designated for occupancy by the elderly, or non-elderly disabled families who are on the PHA's public housing waiting list, may receive a voucher awarded in conjunction with an approved designated housing plan. Such families need not be listed on the PHA's housing choice voucher waiting list in order to be offered and receive a housing choice voucher. These families may be admitted to the housing choice voucher program as a special admission (24 CFR 982.203).

#### IV. Program Requirements and Definitions

In addition to the civil rights compliance and nondiscrimination requirements listed in the General Section of this SuperNOFA, grantees must meet the following program requirements:

(A) *Affirmatively Furthering Fair Housing.* Each successful applicant will have a duty to affirmatively further fair housing. Applicants will be required to identify the specific steps that they will take to:

(1) Examine the PHA's own programs or proposed programs, including an identification of any impediments to fair housing (identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice in its Consolidated Plan); develop a plan to (a) address those impediments in a reasonable fashion in view of the resources available; and (b) work with the local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing; and maintain records reflecting these analyses and actions;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, applicants have a duty to carry out the specific activities cited in their responses under this announcement to address affirmatively furthering fair housing.

(B) *Certifications and Assurances.* Each applicant is required to submit signed copies of Assurances and Certifications. The standard Assurances and Certifications are on Form HUD-52515, Funding Application, which includes the Equal Opportunity Certification, Certification Regarding Lobbying, and Certification Regarding Drug-Free Workplace Requirements.

(C) *Voucher Assistance Requirements.*

(1) *Housing Choice Voucher Program regulations.* PHAs must administer the housing choice vouchers received under this announcement in accordance with HUD regulations and requirements governing the Housing Choice Voucher Program.

(2) *Housing Choice Voucher admission requirements.* Housing choice vouchers must be provided to eligible applicants in conformity with regulations and requirements governing the Housing Choice Voucher Program and the PHA's administrative plan.

(3) *Turnover.* When a voucher under this announcement becomes available for reissue (e.g., the family initially selected for the program drops out of the program or is unsuccessful in the search for a unit), the rental assistance may be used only for another individual or family eligible for assistance under this announcement subject to appropriations for renewal funding, from the date the rental assistance is placed under an annual contributions contract (ACC).

(D) *PHA Responsibilities.* In addition to PHA responsibilities under the Housing Choice Voucher Program and HUD regulations concerning nondiscrimination based on disability (24 CFR 8.28) and to affirmatively further fair housing, PHAs that receive voucher funding shall:

(1) Where requested by an individual, assist program participants to gain access to supportive services available within the community, but not require eligible applicants or participants to accept supportive services as a condition of participation or continued occupancy in the program.

(2) Identify public and private funding sources to assist participants with disabilities in covering the costs of structural alterations and other accessibility features that are needed as accommodations for their disabilities.

(3) Not deny persons who qualify for a housing choice voucher under this program other housing opportunities, or otherwise restrict access to PHA programs to eligible applicants who choose not to participate.

(4) Provide housing choice voucher search assistance.

(5) In accordance with regulatory guidance, provide higher rent to owners necessary for the provision of accessible units and structural modifications for persons with disabilities.

(6) Provide technical assistance to owners for making reasonable accommodations or making units accessible to persons with disabilities.

PHAs are encouraged to coordinate with/involve nonprofit disability organizations in their meeting the requirements of sections 1, 2, 4 and 6 immediately above. PHAs are encouraged to seek out nonprofit disability organizations in this regard due to such organizations' capacity for assisting disabled families, and their in-depth knowledge of the disability community and the available resources to assist disabled persons.

(E) *Definitions.*

(1) *Designated Housing Plan.* A HUD-approved designated housing plan required of PHAs seeking to designate a project/building (or portion thereof) for occupancy by elderly families only, or elderly and disabled families only. See section 10(a) of the Housing Opportunity Extension Act of 1996 (Pub. L. 104-120, approved March 28, 1996) as explained in Notice PIH 97-12 (HA), Requirements for Designation of Public Housing Projects. This Notice was extended by Notice PIH 2000-20 (HA). Section 10(a) amended section 7 of the United States Housing Act of 1937 (42 U.S.C. 1437e).

(2) *Elderly Family.* A family whose head of household, spouse, or sole member is 62 years or older.

(3) *Non-elderly Disabled Family.* A family who is not elderly, and whose head, spouse, or sole member is a person with disabilities. The term "non-elderly disabled family" may include two or more such persons with disabilities living together, and one or more such persons with disabilities living with one or more persons who are determined essential to the care and well-being of the person or persons with disabilities (live-in aides).

(4) *Person with disabilities.* A person who—

(a) Has a disability as defined in section 223 of the Social Security Act (42 U.S.C. 423), or

(b) Is determined to have a physical, mental or emotional impairment that:

(i) Is expected to be of long-continued and indefinite duration;

(ii) Substantially impedes his or her ability to live independently; and

(iii) Is of such a nature that such ability could be improved by more suitable housing conditions, or

(c) Has a developmental disability as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001(5)).

The term "person with disabilities" does not exclude persons who have the disease of acquired immunodeficiency syndrome (AIDS) or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome (HIV).

**Note:** While the above definition of a "person with disabilities" is to be used for purposes of determining a family's eligibility for a housing choice voucher under this announcement, the definition of a person with disabilities contained in section 504 of the Rehabilitation Act of 1973 and its implementing regulations must be used for purposes of meeting the requirements of Fair Housing laws, including providing reasonable accommodations.

No individual shall be considered a person with disabilities for the purpose of determining eligibility solely on the basis of any drug or alcohol dependence.

(5) *Housing Choice Voucher search assistance.* Assistance to increase access by program participants to housing units in a variety of neighborhoods (including areas with low poverty concentrations) and to locate and obtain units suited to their needs.

## V. Application Selection Process

After the Grants Management Center has screened PHA applications and disapproved any applications found unacceptable for further processing, the Grants Management Center will review all acceptable applications (exclusive of the Designated Housing Plan portion of the application—which is reviewed by the Special Application Center) to ensure that they are technically adequate and responsive to the requirements of this announcement of funding availability.

The Special Application Center will send to the Grants Management Center the following information on each designated housing plan submitted in conjunction with this announcement:

(1) A copy of the letter to the PHA approving or disapproving its designated housing plan.

(2) Special Application Center contact person and telephone number.

HUD Headquarters will fund on a first-come, first-serve basis all

approvable applications from PHAs that are recommended for funding by the Grants Management Center and that the Special Application Center advises has an approved designated housing plan, based upon the date and time the application is received in the Grants Management Center. As PHAs are selected, the cost of funding the applications will be subtracted from the funds available. In the event approvable applications are received for more than the approximately \$20 million available under this announcement, funds will be transferred from the approximately \$20 million available under the announcement for non-elderly disabled families not receiving housing assistance in certain Section 8 project-based developments, or certain Section 202, Section 221(d)(3) or Section 236 developments, to the extent funds are not needed for approvable applications under that announcement. Applications will be funded for the total number of units requested by the PHA and approved by the Grants Management Center in accordance with this funding announcement for support of Designated Housing Plans. When remaining budget authority is insufficient to fund the last selected PHA application in full, however, HUD Headquarters will fund that application to the extent of the funding available, unless the PHA's application indicates that the PHA will only accept a higher number of units. In that event, the next selected application shall be one that has indicated a willingness to accept the lesser amount of funding for the units available.

## VI. Application Submission Requirements

(A) *Form HUD-52515.* All PHAs must complete and submit form HUD-52515, Funding Application, for the Housing Choice Voucher Program (Section 8), (dated January 1996). This form includes all necessary certifications for Fair Housing, Drug Free Workplace and Lobbying Activities. PHAs are requested to enter their housing authority code number (for example, CT002), telephone number, facsimile number, and electronic mail address in the same place at the top of the form where they are also to enter the PHA's name and mailing address. The information entered in Section B of the form for bedroom size and number of requested units must bear a direct relationship to the bedroom size and number of units designated in the PHA's designated housing plan that will no longer be available for the future admission of non-elderly disabled families. Section C of the form should be left blank. A copy

of Form HUD-52515 is included in the forms found in Appendix B to the General Section of the SuperNOFA. Copies of the form may also be downloaded from the HUD Home page site on the Internet's world wide web (<http://www.HUD.gov>). (On the HUD website click on "handbooks and forms," then click on "forms," then click on "HUD-5" and click on "HUD-52515." The form must be completed in its entirety, with the exception of Section C, signed and dated.

(B) *Letter of Intent and Narrative.* The PHA must state in its cover letter to the application whether the PHA will accept a reduction in the number of vouchers, and the minimum number of vouchers that the PHA will accept, since the funding is limited and HUD may only have enough funds to approve a smaller amount than the number of vouchers requested. The maximum number of vouchers that a PHA may apply for under this announcement is limited to 200.

(C) *Approvable Designated Housing Plan.* The application must include an approvable plan to designate housing in accordance with section 10(a) of the Housing Opportunities Extension Act of 1996 (Pub. L. 104-120, approved March 28, 1996) as explained in Notice PIH 97-12 (HA), Requirements for Designation of Public Housing Projects. This Notice was extended by Notice PIH 2000-20 (HA), dated May 8, 2000.

PHAs should also bear in mind that the regulations at 24 CFR 903.3(b) require PHAs to submit an Annual Plan which must provide a statement regarding any public housing project (or portion thereof) which the PHA plans to designate as elderly only or mixed elderly and disabled {see 24 CFR 903.7 (h)(2)(i)}. Only those PHAs which are designated by HUD as high performing PHAs, or are small PHAs (less than 250 public housing units) that are not designated as troubled, are excluded from the requirement to address the designation of elderly and disabled public housing units in the Annual Plan. The Special Application Center will not process a designated housing plan if the PHA's intent to designate is not covered in its Annual Plan.

(D) *Designated Housing Plan Previously Approved.* Any PHA wishing to rely on a designated housing plan previously approved by HUD that did not require housing choice vouchers or certificates for non-elderly disabled families or that now requires more vouchers than previously justified, will require the PHA to submit the information required in sections (A) and (B) immediately above, a copy of the previously HUD-approved designated

housing plan, and updated needs data supporting the need now for vouchers not previously deemed necessary as an alternative housing resource. The updated needs data should indicate why the PHA does not have the appropriate resources to carry out the previously approved plan, identify the number of vouchers needed for non-elderly disabled families, and address the housing needs in its Consolidated Plan.

Conversely, any PHA wishing to rely on a designated housing plan previously approved by HUD, contingent upon the PHA's future submission of an application for housing choice vouchers or certificates as an alternative housing resource for non-elderly disabled families, will need to only submit the HUD-approval letter for the designated housing plan in lieu of the plan itself (updated needs data also unnecessary).

(E) *Statement Regarding the Steps the PHA Will Take to Affirmatively Further Fair Housing.* The areas to be addressed in the PHA's statement should include, but not necessarily be limited to:

(1) The examination of the PHA's own programs or proposed programs, including an identification of any impediments to fair housing (identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice in its Consolidated Plan); and a description of a plan to (a) address those impediments in a reasonable fashion in view of the resources available; and (b) work with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing; and the maintenance of records reflecting these analyses and actions;

(2) Remedy discrimination in housing for persons with disabilities regardless of race, color, religion, sex, familial status, national origin, or nature of disability; or (3) Promote fair housing rights and fair housing choice.

(F) *Moving to Work (MTW) PHA Information and Certification.* See section VII(B)(2)(c) regarding the information to be submitted by an MTW PHA required to report under the Section 8 Management Assessment Program (SEMAP) but not meeting the 95 percent lease-up or budget authority utilization requirements, or the lease-up or budget authority utilization certification to be submitted by an MTW PHA not required to report under SEMAP.

(G) *Multifamily Tenant Characteristics System (MTCS) Reporting Certification.* In order to be eligible to submit an application under this announcement, the PHA must have had a minimum reporting rate of not less than 85 percent for housing choice voucher and certificate resident records

to HUD's MTCS (see 24 CFR Part 908 and Notices PIH 98-30, 99-2 and 2000-13) for the period ending December 1999, and must submit a certification with its application certifying to having met this requirement. In the event a PHA received less than an 85 percent rate of reporting under MTCS for this period, the PHA will still be considered to have passed the threshold requirement if: (1) it subsequently achieved a minimum reporting rate of not less than 85 percent for public housing resident records under the MTCS as of the December 2000 reporting period; or (2) the PHA was granted forbearance by HUD under the applicable procedures under PIH Notice 2000-13 for the semi-annual assessment period ending December 2000. In this latter instance, the PHA must submit a certification with its application indicating that it has either achieved such a minimum reporting rate as of the December 2000 reporting period, or that it has obtained a forbearance from HUD for the semi-annual assessment period ending December 2000.

#### VII. Corrections to Deficient Applications

(A) *Acceptable Applications.* The application must include all of the information specified in section VI, Application Submission Requirements. The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

(B) *Unacceptable Applications.*

(1) After the 14-calendar day technical deficiency correction period, the Grants Management Center will disapprove all PHA applications that the Grants Management Center determines are not acceptable for processing. The Grant Management Center's notification of rejection letter must state the basis for the decision.

(2) Applications from PHAs that fall into any of the following categories will not be processed:

(a) Applications that do not meet the fair housing and civil rights compliance threshold requirements of Section II(B) of the General Section of the SuperNOFA.

(b) The PHA has major program management findings in an Inspector General audit, HUD management review, or independent public accountant (IPA) audit for its voucher or certificate programs that are not closed or on which satisfactory progress in resolving the findings is not being made; or program compliance problems for its voucher or certificate programs on which satisfactory progress is not being made. The only exception to this category is if the PHA has been

identified under the policy established in Section III(B) of this announcement and the PHA makes application with a designated contract administrator. Major program management findings are those that would cast doubt on the capacity of the PHA to effectively administer any new housing choice voucher funding in accordance with applicable HUD regulatory and statutory requirements.

(c) The PHA has failed to achieve a lease-up rate of 95 percent for its combined certificate and voucher units under contract for its fiscal year ending in 1999. Category (c) may be passed, however, if the PHA achieved a combined certificate and voucher budget authority utilization rate of 95 percent or greater for its fiscal year ending in 1999. In the event the PHA is unable to meet either of these percentage requirements, the PHA may still pass category (c) if the PHA submits information to the Grants Management Center, as part of its application, demonstrating that the PHA was able to either increase its combined certificate and voucher lease-up rate to 95 percent or greater for its fiscal year ending in 2000, or was able to increase combined certificate and voucher budget authority utilization to 95 percent or more for its fiscal year ending in 2000. PHAs that have been determined by HUD to have passed either the 95 percent lease-up, or 95 percent budget authority utilization requirement for their fiscal year ending in 1999 will be listed on a HUD website: ([www.hud.gov/grants](http://www.hud.gov/grants)), along with this funding announcement. A PHA not listed must either submit information (following the format of Appendix A of this announcement) in its application supportive of its 95 percent lease-up or 95 percent budget authority utilization performance for its fiscal year ending in 2000, or submit information (following the format of Appendix A of this announcement) as part of its application supportive of its contention that it should have been included among those PHAs HUD listed on the HUD website as having achieved either a 95 percent lease-up rate or 95 percent budget authority utilization rate for fiscal years ending in 1999. Appendix A to this program section indicates the methodology and data sources used by HUD to calculate the lease-up and budget authority utilization percentage rates for PHAs with fiscal years ending in 1999. Any PHA wishing to submit information to the Grants Management Center in connection with its 1999 fiscal year or 2000 fiscal year for the purposes described immediately above (so as to be eligible under category (c) to submit an application) will be required to use

the same methodology and data sources indicated in Appendix A.

Moving To Work (MTW) agencies that are required to report under the Section 8 Management Assessment Program (SEMAP) shall be held to the 95 percent lease-up and budget authority utilization requirements referenced above, except where such an MTW agency provides information in its application demonstrating to HUD that a lower percentage is the result of the implementation of specific aspects of its program under its MTW Agreement with HUD. MTW agencies which are not required to report under SEMAP must submit a certification with their application certifying that they are not required to report under SEMAP, and that they meet the 95 percent lease-up or budget authority utilization requirements.

PHAs not currently administering a certificate or voucher program, or who received voucher funding for the first time for FY 2000 will not be subject to the 95 percent lease-up or budget authority utilization requirements of this section (c).

(d) The PHA is involved in litigation and HUD determines that the litigation may seriously impede the ability of the PHA to administer the vouchers.

(e) An application that does not comply with the requirements of 24 CFR 982.102 and this program section after the expiration of the 14-calendar day technical deficiency correction period will be rejected from processing.

(f) The application was submitted after the application due date.

(g) The application was not submitted to the official place of receipt as indicated in the paragraph entitled "Address for Submitting Applications" at the beginning of this announcement.

(h) The applicant has been debarred or otherwise disqualified from providing assistance under the program.

(i) The applicant has failed to achieve a minimum 85 percent submission rate for housing choice voucher and

certificate resident records to HUD's Multifamily Tenant Characteristics System (MTCS), (see 24 CFR Part 908 and Notices PIH 98-30 and 2000-13), for the period ending December 1999, and December 2000, and did not receive HUD forbearance.

**VIII. Environmental Requirements**

In accordance with 24 CFR 50.19(b)(11) of the HUD regulations, tenant-based rental activities under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (NEPA) and are not subject to environmental review under the related laws and authorities.

**IX. Authority**

Authority for this program is found in the Departments of Veteran's Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, FY 2001 (Pub.L. 106-377, approved October 27, 2000). This FY 2001 Appropriations Act authorized appropriations for housing choice vouchers to assist non-elderly disabled families affected by the establishment of preferences in accordance with section 651 of the Housing and Community Development Act of 1992, or the restriction of occupancy to elderly families in accordance with section 658 of the Act. The FY 2000 Appropriations Act also allows the Secretary to transfer any unobligated funds for this purpose to assist non-elderly disabled families to the extent they are not needed under Sections 651 and 658 for such families. Therefore, any funds remaining unobligated under this program section of this SuperNOFA will be used first to fund any approvable applications under the Rental Assistance for Non-Elderly Persons With Disabilities in Support of Designated Housing Plans program for which there are insufficient funds. Thereafter, any funds still remaining unobligated will be used to fund

applications under the Mainstream Program in the SuperNOFA.

**Appendix A—Methodology for Determining Lease-Up and Budget Authority Utilization Percentage Rates**

Using data from the HUDCAPS system, HUD determined which PHAs met the 95% budget authority utilization or 95% lease-up criteria. The data used in the determination was based on PHA fiscal years ending in 1999. The budget authority utilization and lease-up rates were determined based upon the methodology indicated below.

**Budget Authority Utilization**

Percentage of budget authority utilization was determined by comparing the total contributions required to the annual budget authority (ABA) available for the PHA 1999 year combining the certificate and voucher programs.

Total contributions required were determined based on the combined actual costs approved by HUD on the form HUD-52681, Year End Settlement Statement. The components which make up the total contributions required are the total of housing assistance payments, ongoing administrative fees earned, hard to house fees earned, and IPA audit costs. From this total any interest earned on administrative fees is subtracted. The net amount is the total contributions required.

ABA is the prorated portion applicable to the PHA 1999 year for each funding increment which had an active contract term during all or a portion of the PHA year.

*Example*

**PHA ABC FISCAL YEAR 10/1/98 THROUGH 9/30/99**  
[HUD 52681 approved data]

HAP .....	\$2,500,000
Administrative fee .....	250,000
Hard to House fee .....	1,000
Audit .....	2,000
<b>Total .....</b>	<b>2,753,000</b>
Interest earned on administrative fee .....	(2,500)
<b>Total contributions required</b>	<b>2,750,500</b>

**CALCULATION OF ANNUAL BUDGET AUTHORITY**

Increments and contract term	Total BA	ABA
001 11/01/98-10/31/99 .....	\$1,300,000	\$1,191,667
002 01/01/99-12/31/99 .....	1,200,000	900,000
003 04/01/99-03/31/00 .....	950,000	475,000
004 07/01/99-06/30/00 .....	1,500,000	375,000
<b>Totals .....</b>	<b>4,950,000</b>	<b>2,941,667</b>
<b>Budget Authority Utilization:</b>		
Total contributions required .....	2,750,000	
divided by		
Annual budget authority .....	2,941,667	
equals		
Budget Authority Utilization (percent) .....		93.5



*Lease-up Rate*

The lease-up rate was determined by comparing the contract units (funding increments active as of the end of the PHA 1999 year) to the unit months leased (divided by 12) reported on the combined HUD 52681, Year End Settlement Statement(s) for 1999.

Active funding increments awarded by HUD for special purposes such as litigation, relocation/replacement, housing conversions, Welfare to Work, and new units awarded to the PHA during the last twelve months were excluded from the contract units as the Department recognizes that many of these unit allocations have special requirements

which require extended periods of time to achieve lease-up.

*Example*

Increments and contract term		Units
001	11/01/98-10/31/99 .....	242
002	01/01/99-12/31/99 .....	224
003	04/01/99-03/31/00 .....	178
004	07/01/99-06/30/00 .....	280
Totals .....		924
Increment 003 litigation .....		(178)
Adjusted contract units .....		746

Increments and contract term	Units
Unit months leased reported by PHA .....	8,726
divided by 12 .....	727
Units leased .....	727
Lease-up rate:	
Units leased .....	727
divided by adjusted contract units .....	746
equals	
Lease-up rate (percent) .....	97.4

**BILLING CODE 4210-32-P**



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**RENTAL CERTIFICATE/HOUSING  
CHOICE VOUCHER FAMILY SELF-  
SUFFICIENCY (FSS) PROGRAM  
COORDINATORS**



## FUNDING AVAILABILITY FOR RENTAL CERTIFICATE/HOUSING CHOICE VOUCHER FAMILY SELF-SUFFICIENCY (FSS) PROGRAM COORDINATORS

### Program Overview

*Purpose of Program.* The Rental Certificate/Housing Choice Voucher FSS program (referred to in previous NOFAs as the Section 8 FSS program) is intended to promote the development of local strategies to coordinate the use of assistance under the Rental Certificate and Housing Choice Voucher programs with public and private resources to enable participating families to achieve economic independence and self-sufficiency. An FSS program coordinator assures that program participants are linked to the supportive services they need to achieve self-sufficiency. Funding under this NOFA is not available to pay the salary of an FSS coordinator for a public housing FSS program. Operating subsidy may be used to fund the salary of a public housing FSS coordinator.

*Available Funds.* This NOFA announces the availability of up to \$45 million in Fiscal Year (FY) 2001 to fund Rental Certificate/Housing Choice Voucher FSS program coordinators.

*Eligible Applicants.* Public housing agencies (PHAs) eligible to receive funding under this NOFA are: (1) those that received funding under the FY 2000 NOFA or one of the FY 1999 NOFAs for Rental Certificate/Housing Choice Voucher FSS Program Coordinators and that continue to operate an FSS program; (2) PHAs that were not funded under one of the FY 1999 or FY 2000 FSS NOFAs that are authorized through their HUD-approved FSS Action Plan to administer a Rental Certificate/Housing Choice Voucher FSS program of at least 25 slots; or, if they are PHAs with HUD approval to administer Rental Certificate/Housing Choice Voucher FSS programs of fewer than 25 slots, they apply jointly with one or more other PHAs so that between or among them they have HUD approval to administer at least 25 Rental Certificate/Housing Choice Voucher FSS slots.

Under this NOFA, both the voluntary Rental Certificate/Housing Choice Voucher FSS slots and the mandatory Rental Certificate/Housing Choice Voucher FSS slots reflected in the PHA's HUD-approved FSS Action Plan are counted in determining the PHA's Rental Certificate/Housing Choice Voucher FSS program size.

All awards are subject to a cap of \$60,000 per full time coordinator position funded. Evidence of salary comparability to positions in the local

jurisdiction for each position must be kept on file in the PHA office.

There is no maximum Rental Certificate/Housing Choice Voucher program size limit cap for PHAs eligible to apply for funding under this NOFA. *Application Deadline.* April 25, 2001. *Match.* None

### Additional Information

If you are interested in applying for funding for Rental Certificate/Housing Choice Voucher FSS Program Coordinator funding under this NOFA, please review carefully the General Section of this SuperNOFA and the following additional information.

#### I. Application Due Date, Application Kits, and Technical Assistance

*Application Due Date.* Submit your completed application (an original and two copies) to HUD on or before 12 midnight, Eastern time, on April 25, 2001.

See the General Section of this SuperNOFA for specific procedures concerning the form of application submission (i.e., mailed applications, express mail, overnight delivery, or hand carried).

*Address for Submitting Applications.* Your completed application consists of one original and two copies. Submit your original application and one copy with an Acknowledgment of Application Receipt, form HUD-2993, to: Michael E. Diggs, Director, PIH Grants Management Center, U.S. Department of Housing and Urban Development, 501 School Street, Suite 800, Washington, DC 20024. Applications which are hand carried or sent via overnight delivery service should be delivered to this address. The Grants Management Center is the official place of receipt for all applications in response to this announcement of funding availability. Your application will be accepted at this address until 6:00 pm, Eastern time, on the application deadline.

After 6:00 pm on the application deadline date, applications will be accepted in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410, until 12:00 midnight Eastern time.

Submit the second copy of your application to your local HUD Field Office Hub or local HUD Field Office Program Center. A listing of HUD Field Offices is attached to the General Section of this SuperNOFA.

*For Application Kits.* There is no application kit for this NOFA. This announcement contains all the information necessary for the submission of your application for

Rental Certificate/Housing Choice Voucher FSS program coordinator funding.

*For Further Information and Technical Assistance.* For answers to your questions, you may contact the Public and Indian Housing Resource Center at 1-800-955-2232 or the Hub Director of Public Housing or the Program Center Coordinator in the local HUD Field Office or you may contact the Grants Management Center at (202) 358-0221, extension 118. Hearing-or speech-impaired individuals may call HUD's TTY number 1-800-877-8339, the Federal Information Relay Service TTY, (this is a toll free number). Information can be accessed via the Internet at <http://www.hud.gov>.

Prior to the application deadline, staff at the numbers given above will be available to provide general guidance, but not guidance in actually preparing the application. Following selection, but prior to award, HUD staff will be available to assist in clarifying or confirming information that is a prerequisite to the offer of an award by HUD.

Satellite Broadcast. HUD plans to hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of an application. For more information about the date and time of this broadcast, you should consult the HUD web site at [www.hud.gov](http://www.hud.gov).

#### II. Amount Allocated

For FY 2001, up to \$45 million may be made available for PHA administrative fees for Rental Certificate/Housing Choice Voucher FSS program coordinators. This amount is from HUD's Congressional justifications that were submitted in support of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 2001 (Pub.L. 106-377, approved October 27, 2000). This is the eighth fiscal year of funding for Rental Certificate/Housing Choice Voucher FSS program coordinators.

#### HUD Corrections to Funding Provided Under the FY 2000 NOFA

If prior to award of funding under the FY 2001 Rental Certificate/Housing Choice Voucher FSS NOFA, HUD determines that any PHAs have been underfunded in amounts awarded under the FY 2000 FSS Program Coordinator NOFA, before funding any applications under the FY 2001 NOFA, the Department will increase funding of the FY 2000 awards to the amount that the PHAs should have received under the

FY 2000 NOFA with funding available under the FY 2001 FSS NOFA.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* Through annual NOFAs, HUD has provided funding to PHAs that are operating a Rental Certificate/Housing Choice Voucher FSS program to enable those PHAs to hire a Rental Certificate/Housing Choice Voucher FSS program coordinator.

In this FY 2001 FSS Program Coordinator NOFA, HUD is making sufficient funding available to fund all applicants that received funding under either the FY 1999 or FY 2000 FSS program coordinator NOFAs to allow those PHAs to continue to pay a Rental Certificate/Housing Choice Voucher FSS program coordinator for another year.

Because of the importance of the FSS program in helping families increase earned income and develop assets, HUD is also making a sufficient amount available under this FY 2001 FSS NOFA to enable "new" PHAs that were not funded in FY 1999 or FY 2000 to apply. Each of these "new" PHAs may apply for funding to hire at least one Rental Certificate/Housing Choice Voucher FSS program coordinator for one year at a reasonable cost, as determined by the PHA based on salaries for similar positions in the locality. Under this NOFA, for the first time both new and renewal state and regional PHAs that administer Rental Certificate/Housing Choice Voucher FSS programs in different parts of their jurisdiction may apply for up to one full time Rental Certificate/Housing Choice Voucher FSS program coordinator in each area where they have HUD approval to administer a separate Rental Certificate/Housing Choice Voucher FSS program of at least 25 slots.

Because the workload of a large FSS program is too heavy for a single FSS program coordinator, this NOFA invites each eligible new and renewal PHA with HUD-approval to operate a Rental Certificate/Housing Choice Voucher FSS program of 100 slots in a single jurisdiction to apply for up to one full time coordinator for each 50 HUD-approved slots above their initial 50 Rental Certificate/Housing Choice Voucher FSS program slots. A state or regional agency with HUD approval to operate a Rental Certificate/Housing Choice Voucher FSS program of 100 or more slots in more than one part of its jurisdiction may apply for one or more full time Rental Certificate/Housing Choice Voucher FSS program coordinator for each additional 50

Rental Certificate/Housing Choice Voucher slot level in that area.

(B) *Eligible Applicants.* Subject to the availability of sufficient funding, all PHAs in the following categories are eligible applicants under this NOFA:

(1) PHAs that received funding under one of the FY 1999 NOFAs or the FY 2000 NOFAs for Rental Certificate/Housing Choice Voucher FSS program coordinators that are still operating FSS programs will be funded in FY 2001, except those PHAs submitting applications that are ineligible under Section VII.(B) of this NOFA, provided the PHA continues to operate an FSS program, has hired an FSS program coordinator with funding awarded for that purpose under one of the FY 1999 FSS or FY 2000 FSS program coordinator NOFAs, and has made progress in implementing the FSS program demonstrated by having completed activities in each of the categories in section 2 of the required Attachment A certification of this NOFA. Subject to the availability of funds, the eligible PHAs funded in FY 1999 or FY 2000 will receive 103 percent of the latest of its FY 1999 or FY 2000 funding (not to exceed \$60,000) unless the PHA requests a higher or lower amount. All awards are subject to the cap of \$60,000 per full time FSS program coordinator position. HUD will not provide FY 2001 funding to any PHA that received Rental Certificate/Housing Choice Voucher FSS Program Coordinator funding in FY 1999 or FY 2000 that does not comply with all of the above requirements.

(2) PHAs, including state and regional PHAs, that did not receive Rental Certificate/Housing Choice Voucher FSS program coordinator funding in either FY 1999 or FY 2000, are eligible to apply under this NOFA if the PHA has a HUD-approved FSS Action Plan authorizing the PHA to administer a Rental Certificate/Housing Choice Voucher FSS program of at least 25 FSS slots. PHAs with HUD approval to administer Rental Certificate/Housing Choice Voucher FSS programs of fewer than 25 slots may also apply if they apply jointly with one or more other PHAs so that between or among the PHAs they have HUD approval to administer at least 25 Rental Certificate/Housing Choice Voucher FSS slots. If PHAs apply jointly, the \$60,000 maximum amount that may be requested applies to each full time coordinator position in the application as a whole, not to each PHA separately. Joint applicants must specify a lead co-applicant which will receive and administer the FSS program coordinator funding.

(3) State and regional PHAs that are eligible under (1) or (2) of this section may also apply for up to one additional Rental Certificate/Housing Choice Voucher FSS program coordinator for each portion of their jurisdiction where they have HUD approval to operate a Rental Certificate/Housing Choice Voucher FSS program of at least 25 slots.

(4) PHAs that are eligible applicants under (1), (2) or (3) of this section, with HUD approval to operate a Rental Certificate/Housing Choice Voucher FSS program of 100 or more slots may apply for one Rental Certificate/Housing Choice Voucher FSS program coordinator for each 50 HUD approved Rental Certificate/Housing Choice Voucher FSS slots above the first 50 approved slots in the PHA's Rental Certificate/Housing Choice Voucher FSS program. A state or regional PHA that has applied under this NOFA for FSS coordinators in different parts of its jurisdiction may apply for additional coordinators in any area where it is authorized to operate a Rental Certificate/Housing Choice Voucher program of 100 or more slots. In each of these areas, the PHA may apply for up to one additional coordinator for each 50 HUD approved Rental Certificate/Housing Choice Voucher Program FSS slots above the first 50 slots in the PHA's Rental Certificate/Housing Choice Voucher FSS program.

(C) *Eligible Activities.* Funds are available to PHAs under this NOFA to employ or otherwise retain the services of Rental Certificate/Housing Choice Voucher FSS program coordinators for one year. A part-time Rental Certificate/Housing Choice Voucher FSS program coordinator may be retained where appropriate. In the Rental Certificate/Housing Choice Voucher FSS program, PHAs are required to use rental assistance under the Rental Certificate and Housing Choice Voucher programs together with public and private resources to provide supportive services to enable participating families to achieve economic independence and self-sufficiency. Effective delivery of supportive services is a critical element in a successful FSS program. The FSS program supports the Department's objective of helping poor and disadvantaged families and individuals become self-sufficient and develop assets. The program provides critical tools that can be used by communities to support welfare reform and help families develop new skills that will lead to increased wages and self sufficiency.

#### IV. Program Requirements

(A) *Program Coordinator Role.* PHAs administering the FSS program use program coordinating committees (PCCs) to assist them to secure resources and implement the FSS program. The PCC is made up of representatives of local government, job training and employment agencies, local welfare agencies, educational institutions, child care providers, nonprofit service providers, and businesses.

An FSS program coordinator works with the PCC and with local service providers to assure that program participants are linked to the supportive services they need to achieve self-sufficiency. The FSS program coordinator may ensure, through case management, that the services included in participants' contracts of participation are provided on a regular, ongoing and satisfactory basis, and that participants are fulfilling their responsibilities under the contracts.

(B) *Staffing Guidelines.* Under normal circumstances, a full-time FSS program coordinator should be able to serve approximately 50 FSS participants, depending on the coordinator's case management functions.

(C) *Other Requirements.* In addition to the civil rights compliance and nondiscrimination requirements listed in the General Section of this SuperNOFA, PHAs must meet the following program requirements:

(1) *Affirmatively Furthering Fair Housing.* Each successful applicant will have a duty to affirmatively further fair housing. After the application is approved, applicants will be required to identify the specific steps that they will take to (a) address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice; (b) remedy discrimination in housing; or (c) promote fair housing rights and fair housing choice. Further, applicants have a duty to carry out the specific activities cited in their responses in a manner which will affirmatively further fair housing.

#### V. Application Selection Process

The funds available under this NOFA are not being awarded on a competitive basis. The Department anticipates that there will be sufficient funds available under the NOFA to fund all applications that meet the NOFA requirements. Applications will be reviewed by the Grants Management Center (GMC) to determine whether or not they are technically adequate based on the NOFA requirements. Categories of applications that will not be funded are stated in section VII(B) of this NOFA.

All technically adequate applications will be funded to the extent funds are available. If HUD receives applications for funding greater than the amount made available under this NOFA, HUD will fund eligible applicants as follows: Applications will be divided into three categories of funding priority:

Priority 1—Applications from PHAs, including state and regional PHAs, for continuation of the position most recently funded under either the FY 1999 for FY 2000 FSS NOFA.

Priority 2—Priority 2 will consist of: (a) Applications for up to one initial FSS coordinator position from PHAs that were not funded under the FY 1999 and FY 2000 FSS NOFAs including, for state and regional PHAs with HUD approval to operate FSS programs in different parts of their jurisdictions, up to one FSS coordinator position per area where they are authorized to operate a Rental Certificate/Housing Choice Voucher FSS program of at least 25 FSS slots.

(b) Applications from Priority 1 state and regional PHAs for up to one full time FSS program coordinator position in any area where they are authorized to operate a Rental Certificate/Housing Choice Voucher FSS program of at least 25 FSS slots, but have not received funding under this NOFA for a full time FSS program coordinator position for the area.

Priority 3—Applications for one or more additional FSS coordinators submitted by PHAs eligible for funding in Priority 1 and 2 categories above with HUD approval to operate a Rental Certificate/Housing Choice Voucher FSS program of 100 or more slots.

HUD will first fund all eligible Priority 1 applications to continue funding for up to one full time Rental Certificate/Housing Choice Voucher FSS program coordinator. If funding remains, HUD will then provide funding to eligible Priority 2 applicants for up to one Rental Certificate/Housing Choice Voucher FSS program coordinator position per PHA, or in the case of state and regional PHAs up to one full time coordinator for each area where they are authorized to operate a Rental Certificate/Housing Choice Voucher program of at least 25 slots. If there is insufficient funding for all Priority 2 applicants, funding will be awarded to applicants in Rental Certificate/Housing Choice Voucher program size order starting from the PHAs with the smallest total combined Rental Certificate/Housing Choice Voucher programs first. Rental Certificate/Housing Choice Voucher program size will be determined by HUD using baseline data developed by the Department. If there

are not sufficient monies to fund all applications from Priority 2 PHAs with the same combined Rental Certificate/Housing Choice Voucher program size, funding will be provided based on the size of the PHA's Rental Certificate/Housing Choice Voucher FSS program, reflected in the PHA's HUD-approved Rental Certificate/Housing Choice Voucher FSS Action Plan, starting with the largest approved Rental Certificate/Housing Choice Voucher FSS program first.

If monies remain after funding all eligible Priority 2 applications, Priority 3 applications will be funded for up to the full number of additional FSS coordinator slots for which the PHA is eligible and which it has requested in its application. If there are not sufficient monies to fund all eligible Priority 3 applicants, applications will be funded in two stages. In stage 1, PHAs will first be sorted into three categories by HUD-approved FSS program size as follows: (a) PHAs with HUD approval to operate Rental Certificate/Housing Choice Voucher FSS programs of 1,000 or more slots; (b) PHAs with HUD approval to operate Rental Certificate/Housing Choice Voucher FSS programs of 500 to 999 slots; and (c) PHAs with approval to operate Rental Certificate/Housing Choice Voucher FSS programs of 100 to 499 slots. In determining the FSS program size of a state or regional PHA that operates FSS programs in more than one area of their jurisdiction, the total number of approved slots for the entire PHA FSS program will be used to determine the appropriate size category for Priority 3 funding. HUD will then determine if there is sufficient funding to provide each eligible PHA with 1,000 or more slots with up to 5 additional coordinators, PHAs with 500 to 999 slots with three additional coordinators and PHAs with 100 to 499 slots with 1 additional coordinator. If not, HUD will begin awarding funding requests from the PHAs with the largest HUD-approved FSS programs first.

If after funding all eligible positions requested in stage 1 funding remains, HUD will begin funding remaining applications in a second stage for up to the full number of positions each PHA is eligible to receive and has requested starting with the PHAs with the largest size HUD-approved FSS program first. In stage 2, state and regional PHAs approved to operate FSS programs may receive the full amount of eligible positions requested in each part of their jurisdiction where they are approved to operate a program of 100 or more FSS slots. If insufficient funding is available to fund for each separate area where the state or regional PHA operates the FSS

program, the PHA may decide how the total funding available in stage 2 will be divided among the areas where it operates its FSS program.

If there is insufficient money remaining to fully fund the last application funded in any of the above priority categories, HUD will provide residual funding to that application in an amount less than the amount requested by the PHA, unless the PHA is unwilling to accept the lower amount.

If funding remains after all eligible applications submitted in response to this NOFA are funded, the Grants Management Center will use any funding still available through the end of FY 2001 to fund applications submitted after the due date of this NOFA that meet all other requirements of this NOFA. These applications will be funded on a first-come, first-serve basis through September 30, 2001 as long as funds are available.

#### VI. Application Submission Requirements

(A) *Application Requirement for PHAs that Received FY 1999 or FY 2000 FSS Program Coordinator Funding.* Each PHA that received funding for a Rental Certificate/Housing Choice Voucher FSS program coordinator under one of the FY 1999 NOFAs or under the FY 2000 FSS NOFA that wishes to receive funding under this NOFA must complete a certification in the format shown as "Attachment A" of this NOFA, and must include all information required in "Attachment A" of this FSS NOFA. The completed Attachment A certification along with the Fair Housing Certification (Attachment C of this NOFA) and the Certification Regarding Lobbying (Attachment D of this NOFA) constitute the entire PHA application for funding under this section. These certifications must be submitted to the GMC by the due date to be eligible for the initial round of funding under this NOFA.

(B) *Request for FSS Program Coordinator Funds by Eligible PHAs that were not Funded in FY 1999 or FY 2000.* PHAs that did not receive funding under the FY 1999 or FY 2000 FSS Program Coordinator NOFAs must complete a certification in the format shown as "Attachment B" of this FSS NOFA and must include all information required in Attachment B. The completed Attachment B certification along with the Fair Housing Certification (Attachment C of this NOFA) and the Certification Regarding Lobbying (Attachment D of the NOFA) constitute the entire PHA application for funding under this section. These certifications must be submitted to the

GMC by the due date to be considered for funding for the initial round of funding under this NOFA.

(C) *Fair Housing Certification and Certification Regarding Lobbying.* All PHAs applying for funding under this NOFA must submit the Certification Regarding Fair Housing and Equal Opportunity which is included as Attachment C of this NOFA and the Certification Regarding Lobbying which is Attachment D of this NOFA.

#### VII. Corrections to Deficient Applications

(A) *Acceptable Applications.* The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

(B) *Unacceptable Applications*

(1) After the 14-calendar day technical deficiency correction period (as provided in the General Section), the GMC will disapprove PHA applications that it determines are not acceptable for processing under the initial round of funding. The HUD notification of rejection letter must state the basis for the decision.

(2) Applications from PHAs that fall into any of the following categories are ineligible for funding under this NOFA and will not be processed:

(a) An application from a PHA that is not an eligible PHA under III.(B) of this NOFA or an application that does not comply with the requirements of VI. of this NOFA.

(b) An application from a PHA that does not meet the requirements of fair housing and civil rights compliance requirements of Section II(B) of the SuperNOFA.

(c) An application from a PHA that at the end of the 14-calendar day technical correction period has not made progress satisfactory to HUD in resolving serious outstanding Inspector General audit findings, or serious outstanding HUD management review or independent public accountant (IPA) audit findings for one or more of the following programs: Housing Choice Voucher, Rental Certificate or Moderate Rehabilitation. Serious program management findings are those that would cast doubt on the capacity of the PHA to administer its Rental Certificate/Housing Choice Voucher programs in accordance with applicable HUD regulatory and statutory requirements.

(d) The application was not submitted to the official place of receipt as indicated in the paragraph entitled "Address for Submitting Applications" at the beginning of this announcement.

(e) The applicant has been debarred or otherwise disqualified from providing assistance under the program.

(3) Otherwise eligible applications that are not received by the due date of this NOFA will not be funded unless funds remain available after all eligible applications received by the due date have been funded. If at that time all the funding under this NOFA has not been awarded, then otherwise eligible applications received after the due date will be funded on a first come, first serve basis through the end of FY 2001, as long as funding remains available. If more than one such application is received at the same date and time, the application from the PHA with the smallest combined Rental Certificate/Housing Choice Voucher program will be funded first.

#### VIII. Environmental Requirements

No environmental review is required in connection with the award of assistance under this NOFA, because the NOFA only provides funds for employing a coordinator that provides public and supportive services, which are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under 24 CFR 50.19(b)(4) and (12).

#### IX. Authority

The Departments of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2001 (Pub.L. 106-377, approved October 27, 2000) allows funding for program coordinators under the Rental Certificate/Housing Choice Voucher FSS program. As a result, the Department determined to make a sufficient amount available under this NOFA, under Part 984, in accordance with section 984.302(b), to enable PHAs to employ one or more Rental Certificate/Housing Choice Voucher FSS program coordinator for one year at a reasonable cost as determined by the PHA and HUD, based on salaries for similar positions in the locality.

#### Attachment A—Required Certification Format for FY 2001 Rental Certificate/Housing Choice Voucher FSS Program Coordinator Funding for PHAs That Received Funding Under a FY 1999 or FY 2000 Rental Certificate/Housing Choice Voucher FSS Program Coordinator NOFA

Mr. Michael E. Diggs, Director, Grants Management Center, 501 School Street, Suite 800, Washington, DC 20024

Dear Mr. Diggs: In connection with the FY 2001 NOFA for Rental Certificate/Housing Choice Voucher FSS program coordinators, I hereby certify for the \_\_\_\_\_ (enter PHA name. For joint applications, please indicate the names of all co-applicants and identify



the lead PHA that received and administered funds received under the FY 1999 or FY 2000 NOFA.) that:

(1) The PHA received funding under the FY \_\_\_\_\_ FSS program coordinator NOFA (enter either FY 1999 or FY 2000 as appropriate), continues to operate an FSS program and has hired (Enter name of coordinator) as its FSS program coordinator at a salary of (Enter salary amount) using HUD funds provided for that purpose on \_\_\_\_\_ (enter the most recent ACC effective date for funding received by the PHA under the Rental Certificate/Housing Choice Voucher FY 1999 or FY 2000 FSS program coordinator funding increment), and

(2) The PHA has (check all that apply):  
 \_\_\_\_\_ (a) Formed and convened an FSS program coordinating committee,

\_\_\_\_\_ (b) Obtained HUD approval of its FSS action plan,

\_\_\_\_\_ (c) Executed contracts of participation with FSS participants.

(3) The PHA is/is not (indicate appropriate choice) a state or regional PHA operating separate Rental Certificate/Housing Choice Voucher FSS programs in more than one part of its jurisdiction.

(4) Total number of Rental Certificate/Housing Choice Voucher FSS program slots based on the number of FSS slots (both voluntary and mandatory) identified in the PHA's HUD-approved Action Plan OR, when PHAs are applying jointly, the combined total of Rental Certificate/Housing Choice Voucher FSS program slots in the HUD-approved Action Plans of the PHAs: \_\_\_\_\_. (A State or regional PHA applying for coordinator positions for programs operated in different parts of its jurisdiction must identify below in (7) each area where it is authorized to operate a program and the number of slots approved for each area.)

(5) Total Number of Rental Certificate/Housing Choice Voucher program coordinator positions requested under the FY 2001 Rental Certificate/Housing Choice Voucher FSS NOFA: \_\_\_\_\_.

(6) Rental Certificate/Housing Choice Voucher FSS Program Coordinator Salary level requested under this NOFA to continue the FSS program coordinator position that was funded under the FY 1999 or FY 2000 FSS NOFA based on salaries for comparable jobs: \_\_\_\_\_.

(7) (If applicable) Rental Certificate/Housing Choice Voucher FSS program coordinator salary level for each position requested, based on comparables, for any Rental Certificate/Housing Choice Voucher FSS program coordinator positions other than the position described in (6) above. (State/regional agencies applying for one or more positions in more than one location in their jurisdiction, must provide information in the format below for each location where positions are requested. If positions for the location are at different Salary levels, indicate the number of positions at each Salary level. Location: \_\_\_\_\_ # of approved slots: \_\_\_\_\_ # of positions requested: \_\_\_\_\_ Salary: \_\_\_\_\_)

(8) Evidence demonstrating salary comparability to similar positions in the local jurisdiction for each of the above positions is on file at the PHA.

If there are any questions, please contact \_\_\_\_\_ at \_\_\_\_\_  
 Sincerely,  
 Executive Director

**Attachment B—Required Format for Certification from PHAs that Did Not Receive Rental Certificate/Housing Choice Voucher FSS Program Coordinator Funding under FY 1999 or FY 2000 NOFAs**

Mr. Michael E. Diggs, Director, Grants Management Center, 501 School Street, Suite 800, Washington, DC 20024

Dear Mr. Diggs: In connection with the FY 2001 NOFA for FSS program coordinators, this is a request for funds to pay the salary of \_\_\_\_\_ (Enter number of positions) Rental Certificate/Housing Choice Voucher FSS program coordinators for one year. I hereby certify for the \_\_\_\_\_ (Enter PHA name. For joint applications, indicate the names of all co-applicants and identify the lead PHA that will receive and administer the funding requested under this NOFA.) that:

1. The total number of HUD-approved Rental Certificate/Housing Choice Voucher FSS program slots (both voluntary and mandatory) identified in the PHAs HUD-Approved FSS Action Plan OR when PHAs are applying jointly, the combined total of Rental Certificate/Housing Choice Voucher FSS program slots in the HUD-approved Action plans of the PHAs: \_\_\_\_\_

2. The PHA is/is not (indicate appropriate choice) a State or regional PHA operating separate Rental Certificate/Housing Choice Voucher FSS programs in more than one part of its jurisdiction.

3. Rental Certificate/Housing Choice Voucher FSS Program Coordinator salary level for each position requested based on salaries for comparable jobs. (If funding is being requested by a state or regional PHA for one or more positions in more than one location in their jurisdiction, the PHA must provide information in the format below for each location where positions are requested. If positions for the location are at different Salary levels, indicate the number of positions at each Salary level. Location: \_\_\_\_\_ # of approved FSS slots: \_\_\_\_\_ # of positions requested: \_\_\_\_\_ Salary: \_\_\_\_\_)

4. Evidence demonstrating salary comparability to similar position in the local jurisdiction is on file in the PHA office.

If there are any questions, please contact \_\_\_\_\_ at \_\_\_\_\_  
 Sincerely,  
 Executive Director

**Attachment C—Fair Housing and Equal Opportunity Certifications**

The housing agency (PHA) certifies that in administering the funding for the Rental Certificate/Housing Choice Voucher Family Self-Sufficiency program coordinators it will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act

of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients also must certify to compliance with section 109 of the Housing and Community Development Act.

\_\_\_\_\_  
 Name of PHA  
 Signature and Title of PHA Representative

\_\_\_\_\_  
 Date

**Attachment D—Certification Regarding Lobbying**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1342, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
 Signature of PHA Representative

\_\_\_\_\_  
 Name of PHA

\_\_\_\_\_  
 Name of Signatory (Print or Type)

\_\_\_\_\_  
 Date signed

BILLING CODE 4210-32-P



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**EARLY DOCTORAL STUDENT  
RESEARCH GRANT PROGRAM**



## FUNDING AVAILABILITY FOR EARLY DOCTORAL STUDENT RESEARCH GRANT PROGRAM

### Program Overview

*Purpose of the Program.* To help eligible doctoral students cultivate their research skills through the preparation of research manuscripts that focus on housing and urban development issues.

*Available Funds.* Approximately \$150,000.

*Eligible Applicants:* Only pre-dissertation Ph.D. students whose studies include urban economics as a major or concentration within another field related to housing and urban development.

*Application Deadline.* April 26, 2001.  
*Match.* None.

### Additional Information

#### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Your completed application is due on or before 12:00 midnight, Eastern Time on April 26, 2001. You should read the General Section of the SuperNOFA because it contains more detailed information about the application due date.

*Address for Submitting Applications.* Your completed application consists of an original signed application and an electronic copy of the application. If you are submitting your application by mail, you should send it to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 5B, 2277 Research Blvd., Rockville, MD 20850. If you are hand-delivering your application on or before the due date, you should deliver it to Room 8110 during normal business hours or to the South Lobby after these hours and before midnight. You should read the General Section of the SuperNOFA because it contains more detailed information on submission deadlines. Please mark on the envelope for your application that it is for the Early Doctoral Student Research Grant Program.

HUD will accept only one application per doctoral student.

*For Application Kits.* The application requirements are contained in this program NOFA. There is no separate application kit for the program.

*For Further Information and Technical Assistance.* You may contact Jane Karadbil of HUD's Office of University Partnerships at 202-708-1537, extension 5918. If you have a hearing or speech impairment, you may access this number via TTY by calling

the Federal Information Relay Service toll-free at 1-800-877-8339. You may also write to Ms. Karadbil via email at Jane\_R\_Karadbil@hud.gov.

#### II. Amount Allocated

Approximately \$150,000 in FY 2001 funds is being made available under this SuperNOFA for Early Doctoral Student Research Grant Program (EDSRG).

The maximum grant period is 12 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to a doctoral student is \$15,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

#### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The purpose of the EDSRG is to enable doctoral students to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues. The program will also provide a forum for new scholars to share their research findings through presentation of this research to a scholarly conference and/or publication in a refereed journal. The FY 2001 EDSRG Program seeks to fund research studies that will inform Federal problem-solving and policy making relating to HUD's policy priorities for this year. These priorities are:

(1) Economic development in "untapped" markets—e.g., studies of reinvestment pressures; efforts to create or expand businesses while meeting the needs of under-served inner-city, older suburb, or rural areas; expansion of access to capital; joint ventures with community-based organizations;

(2) Development of inner cities—e.g., studies of reinvestment pressures; theories of capital/land/market failure that explain why vast areas of many cities have essentially lain dormant or suffered depopulation and/or disinvestment; government policies or market interventions that would alleviate these patterns;

(3) Issues in housing finance—e.g., institutional barriers to efficiency in the housing finance system; enabling the housing finance system to better serve low-income and minority borrowers more effectively; the present and future role of FHA in housing finance;

(4) Affordability of rental housing—e.g., policy and program options in tight or "hot" markets; innovative partnerships or finance; impacts on

very-low-income families; preservation of existing housing stock;

(5) Homeownership—e.g., relative importance of factors in tenure decisions; estimation of private and social benefits and costs of homeownership; role in household savings and investment decisions; effects of demographics, macro-economic environment, and government policies on homeownership;

(6) Regionalism and "Smart Growth"—e.g., the economic interdependence of cities and suburbs; connecting the disadvantaged to metropolitan resources; sustainable growth attentive to the economy, the environment, and social equity; rehabilitation and infill development; fiscal disparity issues; and regional problem-solving and coalition building;

(7) Housing markets—e.g., factors affecting rents, home values, tenure, vacancy rates, market absorption of new units, construction activity;

(8) Housing stock—e.g., durability of stock; factors determining rehabilitation and remodeling; comparisons with stock in other developed countries;

(9) Workforce development through the roles of place-based initiatives, community-based organizations, educational institutions, and housing providers—e.g., roles; impacts and effectiveness; links to welfare-to-work; emerging models;

(10) Fair housing—e.g., effectiveness of local initiatives; emerging models; links to schooling or other services; zoning and land use; political management and coalition building; NIMBY-ism; effect on low-income families; gentrification; housing choice; environmental justice;

(11) Housing needs of the elderly and persons with disabilities—e.g., availability; design and quality; affordability; accessibility; linked services; aging in place;

(12) Community development and community building—e.g., impacts and effectiveness; faith-based and higher education community building efforts; emerging models; challenges and pitfalls;

(13) Home equity conversion mortgages (HECMs)—e.g., impact of HECMS on social welfare, availability of housing for younger families, effect on optimal aggregate debt to housing equity ratio as the population ages;

(14) Evaluation of existing housing programs—e.g., opting out of Section 8 project-based contracts, cost-benefit analyses of alternative methods for providing housing assistance; and

(15) Evaluation of college/community partnerships focused on community and economic development and methods for

institutionalizing these partnerships at colleges and universities.

(B) *Eligible Applicants.* You must meet the following requirements:

(1) You must be a currently enrolled and full-time student in an accredited doctoral program at an accredited institution of higher education;

(2) You must have urban economics as your major field or as a concentration within a major in another field related to housing and urban development;

(3) You must not have taken your preliminary/comprehensive examinations;

(4) You must have completed at least two semesters or three terms of your doctoral studies program (depending on the course structure of the institution); and

(5) You must have been assigned a faculty advisor to supervise your research manuscript.

You must provide documentation from the chair of your department that you meet all of these conditions and that in his/her opinion it is realistic to believe that the research manuscript can be completed within the one-year grant period. In addition, you and your institution must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA.

(C) *Eligible Activities.* Your grant must support direct costs incurred in the timely completion of a research manuscript. Eligible costs include stipends, computer software, the purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Three thousand dollars of the grant will be held back until you have completed your research manuscript and either it has been accepted for presentation at a conference or for publication in a refereed journal by September 30, 2002, or a committee of three faculty members (including your faculty sponsor, as the principal investigator of the grant) has determined and certified to HUD that the manuscript is of high quality and worthy of submission to conferences or journals.

(D) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, or meals.

(E) *Other Requirements.* (1) *Support from your university.* Support from your university is required. Such support might include tuition waivers, office space, equipment, computer time, or similar items you might need in order to complete your dissertation. This support may not replace support or assistance that your institution would otherwise provide you.

(2) *University sponsorship.* The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university and from the university to the approved applicant, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a dissertation advisor or chair of the applicant's dissertation committee who shall supervise the work of the applicant under the Grant Agreement.

(3) *Progress reporting.* You will be required to submit a report, half way through your grant, on the progress you have made towards completion of the research manuscript and the likelihood that you will complete it on time.

#### IV. Application Selection Process

*HUD will conduct two types of review:* a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

(A) *Threshold Factors for Funding Consideration.* Under this threshold review, your application can only be rated if the following standards are met:

(1) You are an eligible doctoral student, as defined in Section III(B) above and have provided a letter from your department chair, in the format in Appendix A, confirming this;

(2) You have requested no more than the grant maximum of \$15,000; and

(3) Your institution has agreed to provide some support to you as part of this grant.

(B) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points for this program is 100.

#### Rating Factor 1: Relevance of Your Research Manuscript to the Department's Mission and Research Priorities (35 points)

In reviewing this factor, HUD will determine the extent to which your research manuscript will produce policy-relevant information that is directly related to one of the research priorities listed above (i.e., the research that will be produced could have an effect on HUD's strategic goals and HUD's programs and policies to achieve these goals—see the HUD web site at <http://www.hud.gov/reform/strpln.html> for a discussion of these goals. The less directly related to one of these topics your research is, the less points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's

strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

#### Rating Factor 2: Quality of Your Research Design (35 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. HUD will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions.

#### Rating Factor 3: Your Skills and Preparation and the Furtherance of Them (20 points)

In reviewing this factor, HUD will determine the extent to which:

(1) Your skills and experience are relevant to your proposed research manuscript (e.g., course work, teaching, research projects, presentations);

(2) You have undertaken appropriate preparation (e.g., preliminary design of the survey collection instruments, pre-clearance on interviews) to undertake the dissertation; and

(3) Your proposed research will help to further your research skills (i.e., it is relevant to the kinds of projects you will continue to work on as you earn your Ph.D.).

#### Rating Factor 4: Timely Completion and Issuance of Your Research Manuscript (10 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology and plan for completion of your research manuscript can feasibly be completed within the one-year grant period and the likelihood that, either by September 30, 2002, the manuscript will be presented at a conference or for publication in a refereed journal by September 30, 2002, or a small committee of three faculty members can certify that the manuscript is high quality and worthy of submission to conferences or refereed journals. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the grant period) will be determined to be less feasible of completion within the

allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get a lower score than if you have presented a time line and methodology that show evidence that the research project can be completed within the grant period.

(C) *Selections*. In order to be funded, you must receive a minimum score of 70 points. HUD will fund applications in rank order, until it has awarded all available funds. If two or more applications have the same number of points, the application with the most points for Factor 1, Relevance to HUD's Mission, shall be selected. If there is still a tie, the application with the most points for Factor 2, Quality of the Research Design, shall be selected.

After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with that applicant.

#### V. Application Submission Requirements

You should include an original and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

Your application must contain the items listed in this section and they must be included in the order shown here. There is no separate application kit for this program. These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application, referred to as the "non-standard forms," can be found as Appendix A to this program section of the SuperNOFA. Sample documents are also included in this appendix. The items are as follows:

(A) *SF-424, Application for Federal Assistance*. Include the name and address of the person authorized to execute the grant agreement in Block 5. Include the institution's tax ID number in Block 6. The Catalogue of Federal Domestic Assistance number for the program is 14.517. The form should be signed by the appropriate university official.

(B) *Table of contents of the application*.

(C) *Transmittal Letter*, from you, containing the following information:

(1) Title of your research project;  
(2) Your name, university and home addresses, university and home telephone numbers, facsimile numbers, and email address;

(3) Your university's name, department, mailing address, telephone and facsimile numbers.

(4) Your faculty advisor's name, address, telephone and facsimile numbers—this person will serve as the Principal Investigator for the grant.

(D) A statement from your department chair that you have met all the eligibility criteria described in Section III(B) (see Appendix A for a sample).

(E) A statement from the appropriate official that describes your university's support, as described in Section III(E) (see Appendix B for a sample).

(F) An abstract of 500 words or less that addresses the following topics:

(1) Specific purpose of the dissertation;  
(2) Methodology being used; and  
(3) How you meet the eligibility criteria.

(G) A narrative of the proposed research, not to exceed 5 double-spaced typed pages. This narrative must include the following items in the following order:

(1) Statement of the problem;  
(2) Research design and methodology;  
(3) Policy relevance of the research;  
(4) Your resume including

educational background, research experience, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.

(H) A proposed budget (See Appendix C for a sample).

(I) *Certifications*. These forms must be signed by the doctoral candidate and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq.*

(J) *Acknowledgment of Receipt of Applications (HUD-2993)*. If you wish to confirm that HUD received your application, please complete this form. This form is optional.

#### VI. Environmental Requirements

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under § 50.19(b)(1) and (b)(9).

#### VII. Authority

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970.

#### Appendices A, B and C

The non-standard sample forms and letters, which follow, are required for your Early Doctoral Student Research Grant application.

#### Appendix A—Sample Statement From Advisor

March 10, 2001

To Whom It May Concern: Jane Jones is a doctoral student at Northern State University. As of the date of this letter her major field of study is (e.g., planning, public policy, urban studies) with a concentration in urban economics. She has completed three terms of her doctoral coursework and has not yet taken her comprehensive examinations. An advisor has been assigned to her for the work she would do under this grant. It is realistic to expect that the proposed research manuscript will be completed within the one-year grant period and either accepted for presentation at a scholarly conference and/or publication in a refereed journal by September 30, 2002, or certified by a faculty committee that it is worthy of being submitted for presentation or publication.

Sincerely,  
Dr. Peter Paul, Professor and Chair,  
Department of City Planning

#### Appendix B—Sample Description of University Support

March 9, 2001

To Whom It May Concern: John Grey is a doctoral student in the Planning Department at Eastern University, working on a research manuscript titled "The Economics of Smart Growth." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Mr. Grey without charge to the grant for which he is applying.

Prof. Bradley Street, Department of  
Geography, Dissertation Committee Chair

#### Appendix C—Budget Instructions

A sample budget for an application is shown below. The categories of expenses shown do not necessarily apply to all

applications, and some applications may have expense categories not shown. The sample is representative, not binding.

“The Economics of Smart Growth”  
 John Jones, 621 Elm Street, Academia, USA  
 12345, March 10, 2000

Services:

Applicant (J. Jones):			
__ days @ \$ __/day .....	=	\$	x,xxx
Other professionals:			
A. Smith, __ days @ \$ __/day .....	=	\$	xx,xxx
B. Brown, __ days @ \$ __/day .....	=	\$	xxx
Clerical:			
C. Johnson, __ days @ \$ __/day .....	=	\$	xxx
Subtotal, service .....	=	\$	xx,xxx
Other:			
Travel: __ trips @ \$ __/trip .....	=	\$	x,xxx
Computer usage .....	=	\$	xxx
Reproduction costs .....	=	\$	xxx
Phone, mailing, misc. materials .....	=	\$	xxx
Subtotal, other .....	=	\$	x,xxx
Total estimated cost .....	=	\$	xx,xxx

BILLING CODE 4210-32-P



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**DOCTORAL DISSERTATION  
RESEARCH GRANT PROGRAM**



## FUNDING AVAILABILITY FOR DOCTORAL DISSERTATION RESEARCH GRANT PROGRAM

### Program Overview

*Purpose of the Program.* To assist Ph.D. candidates complete their research and dissertations on housing and urban development issues.

*Available Funds.* Approximately \$600,000.

*Eligible Applicants.* Only Ph.D. candidates who have completed all of their doctoral program requirements except the preparation of the dissertation.

*Application Deadline.* April 26, 2001.

*Match.* None.

### Additional Information

#### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Your completed application is due on or before 12:00 midnight, Eastern Time on April 26, 2001. You should read the general section of the SuperNOFA because it contains more detailed information about the application due date.

*Address for Submitting Applications.* Your completed application consists of an original signed application and an electronic copy of the application. If you are submitting your application by mail, you should send it to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 5B, 2277 Research Blvd., Rockville, MD 20850. If you are hand-delivering your application on or before the due date, you should deliver it to Room 8110 during normal business hours or to the South Lobby after these hours and before midnight. You should read the General Section of the SuperNOFA because it contains more detailed information on submission deadlines. Please mark on the envelope for your application that it is the Doctoral Dissertation Research Grant Program.

HUD will accept only one application per Ph.D. candidate.

*For Application Kits.* The application requirements are contained in this program NOFA. There is no separate application kit for the program.

*For Further Information and Technical Assistance.* You may contact Jane Karadbil of HUD's Office of University Partnerships at 202-708-1537, extension 5918. If you have a hearing or speech impairment, you may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. You may

also write to Ms. Karadbil via email at [Jane\\_R\\_Karadbil@hud.gov](mailto:Jane_R_Karadbil@hud.gov).

#### II. Amount Allocated

Approximately \$600,000 in FY 2001 funds is being made available under this SuperNOFA for the Doctoral Dissertation Research Grant Program (DDRG).

The maximum grant period is 24 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to a Ph.D. candidate is \$30,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

#### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The purpose of DDRG is to enable Ph.D. candidates enrolled at accredited institutions of higher education to complete their research and dissertations on HUD-related housing and urban development issues. The FY 2001 DDRG program seeks to fund dissertations that will inform Federal problem-solving and policy making relating to HUD's policy priorities for this year. These priorities are:

(1) Economic development in "untapped" markets—e.g., efforts to create or expand businesses while meeting the needs of under-served inner-city, older suburb, or rural areas; expansion of access to capital; joint ventures with community-based organizations;

(2) Development of inner cities—e.g., studies of reinvestment pressures; theories of capital/land/market failure that explain why vast areas of many cities have essentially lain dormant or suffered depopulation and/or disinvestment patterns; government policies or market interventions that would alleviate these patterns;

(3) Issues in housing finance—e.g., institutional barriers to efficiency in the housing finance system; enabling the housing finance system to better serve low-income and minority borrowers more effectively; the present and future role of FHA in housing finance;

(4) Affordability of rental housing—e.g., policy and program options in tight or "hot" markets; innovative partnerships or finance; impacts on very-low-income families; preservation of existing housing stock;

(5) Homeownership—e.g., relative importance of factors in tenure decisions; estimation of private and social benefits and costs of homeownership; role in household

savings and investment decisions; effects of demographics, macro-economic environment, and government policies on homeownership;

(6) Regionalism and "Smart Growth"—e.g., the economic interdependence of cities and suburbs; connecting the disadvantaged to metropolitan resources; sustainable growth attentive to the economy, the environment, and social equity; rehabilitation and infill development; fiscal disparity issues; and regional problem-solving and coalition building;

(7) Housing markets—e.g., factors affecting rents, home values, tenure, vacancy rates, market absorption of new units, construction activity;

(8) Housing stock—e.g., durability of stock; factors determining rehabilitation and remodeling; comparisons with stock in other developed countries;

(9) Workforce development through the roles of place-based initiatives, community-based organizations, educational institutions, and housing providers—e.g., roles; impacts and effectiveness; links to welfare-to-work; emerging models;

(10) Fair housing—e.g., effectiveness of local initiatives; emerging models; links to schooling or other services; zoning and land use; political management and coalition building; NIMBY-ism; effect on low-income families; gentrification; housing choice; environmental justice;

(11) Housing needs of the elderly and persons with disabilities—e.g., availability; design and quality; affordability; accessibility; linked services; aging in place;

(12) Community development and community building—e.g., impacts and effectiveness; faith-based and higher education community building efforts; emerging models; challenges and pitfalls;

(13) Home equity conversion mortgages (HECMs)—e.g., impact of HECMS on social welfare, availability of housing for younger families, effect on optimal aggregate debt to housing equity ratio as the population ages;

(14) Evaluation of existing housing programs—e.g., opting out of Section 8 project-based contracts, cost-benefit analyses of alternative methods for providing housing assistance; and

(15) Evaluation of college/community partnerships focused on community and economic development and methods for institutionalizing these partnerships at colleges and universities.

(B) *Eligible Applicants.* You must be a currently enrolled and matriculating student who has been accepted into candidacy in an accredited doctoral program at an accredited institution of

higher education and have a fully developed and approved dissertation proposal. You must provide documentation from your dissertation committee chair that:

(1) By the application due date, your dissertation proposal has been accepted by your full dissertation committee and you have been assigned a dissertation advisor;

(2) By September 1, 2001, you will have satisfactorily completed all other written and oral Ph.D. requirements, including all your examinations and defense of your proposal, except the dissertation; and

(3) It is realistic to believe that the dissertation can be completed within the two-year grant period.

In addition, you and your institution must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA.

(C) *Eligible Activities.* Your grant must support direct costs incurred in the timely completion of a dissertation. Eligible costs include stipends, computer software, the purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Six thousand dollars of the grant will be held back until you have completed your dissertation, had it approved by your committee, and submitted it to HUD.

(D) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, or meals.

(E) *Other Requirements.* (1) *Support from your university.* Support from your university is required. Such support might include tuition waivers, office space, equipment, computer time, or similar items you might need in order to complete your dissertation. This support may not replace support or assistance that your institution would otherwise provide you.

(2) *University sponsorship.* The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university and from the university to the approved applicant, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a dissertation advisor or chair of the applicant's dissertation committee who shall supervise the work of the applicant under the Grant Agreement.

(3) *Progress reporting.* You will be required to submit a report, at the end of the first year of your grant, on the progress you have made towards completion of the dissertation and the

likelihood that you will complete it on time.

#### IV. Application Selection Process

HUD will conduct two types of review: a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

(A) *Threshold Factors for Funding Consideration.* Under this threshold review, your application can only be rated if the following standards are met:

(1) You are an eligible Ph.D. candidate, as defined in Section III(B) above and have provided a letter from your dissertation committee chair, in the format in Appendix A, confirming this;

(2) You have requested no more than the \$30,000 grant maximum; and

(3) Your institution has agreed to provide some support to you as part of this grant.

(B) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points for this program is 100.

##### Rating Factor 1: Relevance of Your Dissertation to the Department's Mission and Research Priorities (35 points)

In reviewing this factor, HUD will determine the extent to which your dissertation will produce policy-relevant information that is directly related to one of the research priorities listed above (i.e., the research that will be produced could have an effect on HUD's strategic goals and HUD's programs and policies to achieve these goals—see the HUD web site at <http://www.hud.gov/reform/strpln.html> for a discussion of these goals). The less directly related to one of these topics your dissertation is, the less points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

##### Rating Factor 2: Quality of Your Research Design (35 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. HUD will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the

relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions.

##### Rating Factor 3: Your Skills and Preparation (20 points)

In reviewing this factor, HUD will determine the extent to which your skills and experience are relevant to your proposed dissertation (e.g., course work, teaching, research projects, presentations). HUD will determine the extent to which you have undertaken appropriate preparation (e.g., selecting sites for data collection, identifying potential interviewees and categories of interviewees, pre-clearance on interviews) to undertake the dissertation. HUD will also determine the extent to which your previous research experience (e.g., graduate-level research projects, presentations at conferences, publications, etc.) is relevant to and supportive of your proposed dissertation.

##### Rating Factor 4: Timely Completion of Your Dissertation (10 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology and plan for completion of the dissertation can be completed within the two-year grant period. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the two year grant period) will be determined to be less feasible of completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the two-year grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get a lower score than if you have presented a time line and methodology that show evidence that the dissertation can be completed within the grant period.

(C) *Selections.* In order to be funded, you must receive a minimum score of 70 points. HUD will fund applications in rank order, until it has awarded all available funds. If two or more applications have the same number of points, the application with the most points for Factor 1, Relevance to HUD's Mission, shall be selected. If there is still a tie, the application with the most points for Factor 2, Quality of the Research Design, shall be selected.

After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with that applicant.

**V. Application Submission Requirements**

You should include an original and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

Your application must contain the items listed in this section and they must be included in the order shown here. There is no separate application kit for this program. These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application, referred to as the "non-standard forms," can be found as Appendix A to this program section of the SuperNOFA. Sample documents are also included in this appendix. The items are as follows:

(A) *SF-424, Application for Federal Assistance*. Include the name and address of the person authorized to execute the grant agreement in Block 5. Include the institution's tax ID number in Block 6. The Catalogue of Federal Domestic Assistance number for the program is 14.516. The form should be signed by the appropriate university official.

(B) *Table of contents of the application*.

(C) *Transmittal Letter*, from you, containing the following information:

- (1) Title of your dissertation;
- (2) Your name, university and home addresses, university and home telephone and facsimile numbers, and email address;

(3) Your university's name, department, mailing address, telephone and facsimile numbers.

(4) Your dissertation advisor's name, address, telephone and facsimile numbers—this person will serve as the Principal Investigator for the grant.

(D) A statement from your dissertation advisor or chair of the dissertation committee that you have met all the eligibility criteria described in Section III(B) (see Appendix A for a sample).

(E) A statement from the appropriate official that describes your university's support, as described in Section III(E) (see Appendix B for a sample).

(F) An abstract of 500 words or less that addresses the following topics:

- (1) Specific purpose of the dissertation;
- (2) Methodology being used; and
- (3) How you meet the eligibility criteria.

(G) A narrative of the proposed research, not to exceed 10 double-spaced typed pages. Do not submit your dissertation proposal itself. This narrative must include the following in the following order:

- (1) Statement of the problem;
- (2) Research design and methodology;
- (3) Policy relevance of the research;
- (4) Your resume including educational background, research experience, publications, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.

(H) A proposed budget (See Appendix C for a sample).

(I) *Certifications*. These forms must be signed by the doctoral candidate and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq.*

(J) *Acknowledgment of Receipt of Applications (HUD-2993)*. If you wish to confirm that HUD received your application, please complete this form. This form is optional.

**VI. Environmental Requirements**

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of

1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under § 50.19(b)(1) and (b)(9).

**VII. Authority**

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970.

**Appendices A, B and C**

The non-standard sample forms and letters, which follow are required for your Doctoral Dissertation Research Grant application.

**Appendix A—Sample Statement From Advisor**

March 10, 2001

To Whom It May Concern: John Jones, Ph.D. candidate in urban studies at Northern State University, as of the date of this letter, he will have defended his dissertation proposal, it has been formally approved by the dissertation committee, and a dissertation advisor has been assigned to him. In addition, he will have completed all written and oral Ph.D. examination requirements by September 1, 2001. It is realistic to believe that Mr. Jones' dissertation can be completed within a two-year period.

Sincerely,

Dr. Peter Paul, Professor of Urban Studies and Chairman of John Jones' Dissertation Committee

**Appendix B—Sample Description of University Support**

March 9, 2001

To Whom It May Concern: Sarah Grey is a Ph.D. student in the Geography Department of Eastern University, working on a dissertation titled "Redevelopment Practices in Lower Manhattan." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Ms. Grey without charge to the grant for which she is applying.

Sincerely,

Prof. Bradley Street, Department of Geography, Dissertation Committee Chair

**Appendix C—Budget Instructions**

A sample budget for an application is shown below. The categories of expenses shown do not necessarily apply to all applications, and some applications may have expense categories not shown. The sample is representative, not binding.

"A Study of Faith-Based Organizations's Effectiveness in Local Community Development Projects"

John Jones, 621 Elm Street, Academia, USA  
12345, March 10, 2000

Services:

Applicant (J. Jones):

\_\_\_\_\_ days @ \$ \_\_\_\_\_ /day ..... = \$ \_\_\_\_\_ x,xxx

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Other Professionals:		
A. Smith, _____ days @ \$ _____ /day .....	= \$	xx,xxx
B. Brown, _____ days @ \$ _____ /day .....	= \$	xxx
Clerical:		
C. Johnson, _____ days @ \$ _____ /day .....	= \$	xxx
Subtotal, service .....	= \$	xx,xxx
Other:		
Travel: _____ trips @ \$ _____ /day .....	= \$	x,xxx
Computer usage .....	= \$	xxx
Reproduction costs .....	= \$	xxx
Phone, mailing, misc. materials .....	= \$	xxx
Subtotal, Other .....	= \$	x,xxx
Total Estimated Cost .....	= \$	xx,xxx

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BILLING CODE 4210-32-P

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HUD URBAN SCHOLARS  
FELLOWSHIP PROGRAM**





## FUNDING AVAILABILITY FOR HUD URBAN SCHOLARS FELLOWSHIP PROGRAM

### Program Overview

*Purpose of the Program.* To provide encouragement to new scholars to undertake research now, and throughout their careers, on research topics of interest to HUD.

*Available Funds.* Approximately \$550,000.

*Eligible Applicants:* Only Ph.D.s who have an academic appointment at an institution of higher education and have received their Ph.D.s no earlier than January 1, 1996.

*Application Deadline.* June 5, 2001.

*Match.* University support in terms of course load reductions, indirect costs waived, space, etc. are required.

### Additional Information

#### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Your completed application must be received on or before 5:00 pm Eastern time, on June 5, 2001.

*Address for Submitting Applications.* Your completed application consists of an original signed application, which can be submitted in hard copy or electronically. Submit your completed application to the following address: The Fellowship Office/HUD TJ 2041, National Research Council, 2101 Constitution Avenue, N.W., Washington, DC 20418. Please mark on the envelope for your application that it is the HUD Urban Scholars Fellowship Program.

HUD will accept only one application for an applicant.

*For Application Kits.* An application kit can be obtained by calling or writing the Fellowship Office/HUD, TJ 2041, National Research Council, 2101 Constitution Avenue, N.W., Washington DC 20418, telephone number 202-334-2872 and facsimile number 202-334-3419. The application kit can be downloaded from the Internet at <http://national-academies.org/osep/fo>.

*For Further Information and Technical Assistance.* You may call the above number. You may also write to NAS via e-mail at [infofell@nas.edu](mailto:infofell@nas.edu).

#### II. Amount Allocated

Approximately \$550,000 in FY 2001 funds is being made available under this SuperNOFA for the HUD Urban Scholars Fellowship Program.

The maximum grant period is 15 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to an applicant is \$55,000. NAS reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The purposes of the HUD Urban Scholars Program are to:

- (1) Fund research relevant to HUD priorities and issues;
- (2) Provide encouragement to new scholars to undertake research now, and for the rest of their careers, on research topics of interest to HUD; and
- (3) Have an impact on the academic context in which these scholars work so that this kind of research becomes highly valued. The research priorities for the HUD Urban Scholars Program are designed to inform Federal problem-solving and policy making relating to HUD's strategic goals for this year.

Listed below are these goals and examples of research topics. Proposals are not limited to these example topics but should, in any case, relate to one of the HUD strategic goals listed below.

#### Goal #1, Improving Community Quality of Life and Economic Vitality

(1) Economic development in "untapped" markets—e.g., efforts to create or expand businesses while meeting the needs of under-served inner-city, older suburb, or rural areas; expansion of access to capital; joint ventures with community-based organizations.

(2) Evaluation of college/community partnerships focused on community and economic development and methods for institutionalizing these partnerships at colleges and universities.

(3) Development of inner cities—e.g., studies of reinvestment pressures; theories of capital/land/market failure that explain why vast areas of many cities have essentially lain dormant or suffered depopulation or disinvestment; government policies or market interventions that would alleviate these patterns.

(4) Regionalism and "Smart Growth"—e.g., the economic interdependence of cities and suburbs; connecting the disadvantaged to metropolitan resources; sustainable growth attentive to the economy, the environment, and social equity; rehabilitation and infill development; fiscal disparity issues; and regional problem-solving and coalition building.

(5) Community development and community building—e.g., impacts and effectiveness; faith-based and higher

education community building efforts; emerging models; challenges and pitfalls.

(6) Understanding the basic processes of urban demographic, social, and/or political change.

#### Goal #2, Promoting Self-sufficiency and Asset Development by Families and Individuals

(1) Workforce development through the roles of placed-based initiatives, education providers, community-based organizations, educational institutions, and housing providers—e.g., roles; impacts and effectiveness; links to welfare-to-work; one-stop shops; emerging models.

(2) Home equity conversion mortgages (HECMs)—e.g., impact of HECMS on social welfare, availability of housing for younger families, effect on optimal aggregate debt to housing equity ratio as the population ages.

(3) Strategies to combat homelessness—e.g., effective models, causes; links to welfare-to-work and affordable housing; issues of and responses to youth homelessness.

#### Goal #3, Increasing the Availability of Decent, Safe, and Affordable Housing in American Communities

(1) Housing finance—e.g., institutional barriers to efficiency in the housing finance system; enabling the housing finance system to better serve low-income and minority borrowers more effectively; the present and future role of FHA in housing finance.

(2) Affordability of rental housing—e.g., policy and program options in tight or "hot" markets; innovative partnerships or finance; impacts on very-low-income families; preservation of existing housing stock.

(3) Homeownership—e.g., relative importance of factors in tenure decisions; estimation of private and social benefits and costs of homeownership; role in employment, household savings, and investment decisions; effects of demographics, macro-economic environment, and government policies on homeownership.

(4) Housing markets—e.g., factors affecting rents, home values, tenure, vacancy rates, market absorption of new units, construction activity.

(5) Housing stock—e.g., durability of stock; factors determining rehabilitation and remodeling; comparisons with stock in other developed countries.

(6) Housing needs of the elderly and persons with disabilities—e.g., availability; design and quality; affordability; accessibility; linked services; aging in place.

(7) Evaluation of existing housing programs—e.g., opting out of Section 8 project-based contracts, cost-benefit analyses of alternative methods for providing housing assistance.

#### **Goal #4, Ensuring Equal Opportunity in Housing for All Americans**

(1) Fair housing—e.g., effectiveness of local initiatives; emerging models; links to schooling or other services; gentrification; housing choice; environmental justice; zoning and land use; political management and coalition building; NIMBY-ism; effect on low-income families.

(2) Discrimination in housing and lending—e.g., methods to detect discrimination; systemic patterns and practices.

(3) Concentration of poverty—e.g., impact of housing strategies; effective strategies to promote deconcentration.

(B) *Eligible Applicants*. You must have your Ph.D. and meet the following conditions:

(1) You must have an academic appointment with an institution of higher education. This means that you must either be on a tenure track or be on a term (teaching or research) appointment that will extend beyond the 15-month duration of this fellowship;

(2) You must have received your Ph.D. no earlier than January 1, 1996;

(3) It is realistic to believe that your proposed research project can be completed within the 15-month fellowship period; and

(4) You must have support from your institution as attested to in the letter described below in Section III(E)(1).

In addition, you must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA.

(C) *Eligible Activities*. Your grant must support costs related to completion of your research project. Eligible costs include, but are not limited to, your salary for two summers, graduate assistants to work on the project, up to \$2,500 per course for the cost of employing a replacement for the course(s) your university relieves you from teaching, computer software, survey development and administration, the purchase of data, travel expenses to collect data or to make presentations at meetings on your findings; transcription services, compensation for interviews; and no more than eight (8) percent of the university's indirect costs.

(D) *Ineligible Activities*. Your grant may not be used to pay for tuition, computer hardware, meals, relocation costs, or other costs not directly related to your research project. Fellowship

funding cannot be used to substitute for university funding.

(E) *Other Requirements*. (1) *Support from your university*. Support from your university is required. Institutions will be required to contribute, at a minimum, the following:

(a) Designating a faculty advisor to monitor your progress on your research project;

(b) Office space, computer usage, etc.; and

(c) Waived indirect costs above the eight percent allowed to be covered by this fellowship. In addition, your application will be viewed more favorably if your institution agrees to reduce your course load by at least one course per term or semester, but to continue paying you your full salary.

(2) *Progress reporting*. You will be required to submit a report, halfway through your fellowship, on the progress you have made towards completion of the research project and the likelihood that you will complete it on time.

(3) *Mentors*. You will be required to work with a mentor on your research project. The mentor, who can be someone in your institution or elsewhere, should be a well-respected scholar in the area of your research topic. The mentor will be expected to provide you with advice and direction on substantive research issues. The mentor and the faculty monitor described above can be, but do not have to be, the same person.

#### **IV. Application Selection Process**

The competition and selection process for this program will be run by the National Academy of Sciences (NAS). NAS will conduct two types of review: a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

(A) *Threshold Factors for Funding Consideration*. Under this threshold review, your application can only be rated if the following standards are met:

(1) You are eligible to apply for this program, as defined in Section III(B) above and have provided a letter from department chair confirming this;

(2) You have obtained a mentor and have included a letter from this person confirming this and describing his/her role in your research;

(3) Your institution has agreed to provide some support to you, above that provided by this funding, as part of this grant.

(B) *Factors for Award Used to Evaluate and Rate Applications*. The factors for rating and ranking applicants, and maximum points for each factor, are

provided below. The maximum number of points for this program is 100.

#### **Rating Factor 1: Appropriateness of Your Methodology and Approach to the Topic (25 points)**

In reviewing this factor, NAS will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. NAS will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions.

#### **Rating Factor 2: Ability of Your Research Project To Add to the Knowledge Base of the Topic To Be Studied (20 points)**

In reviewing this factor, NAS will determine the extent to which your proposed project undertakes research on an area not covered by previous research or proposes to look at a previously studied research topic in a new and different way. Reviewers will look the clarity and compellingness of the case the applicant makes for this project in the context of the existing literature and knowledge base for that topic.

#### **Rating Factor 3: Relevance of Your Research to HUD's Strategic Goals (15 points)**

In reviewing this factor, NAS will determine the extent to which your proposed research project will produce policy-relevant information that is directly related to one of the strategic goals listed above (i.e., the research could have an effect on one of the goals and on HUD's programs and policies to achieve these goals). More information can be found about these goals by going to the HUD web site at <http://www.hud.gov/reform/strpln.html>. The less directly related to one of these goals your research project is, the less points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

**Rating Factor 4: Your Skills and Preparation (15 points)**

In reviewing this factor, NAS will determine the extent to which your training, past employment, and past written work, such as your dissertation, teaching, coursework, and previously completed research papers that were accepted for presentation or publication, lay a foundation for this proposed work.

**Rating Factor 5: Commitment of the University (10 points)**

In reviewing this factor, NAS will determine the extent of the commitment of your university, beyond that required in Section III(E)(1). The quality of your institution's commitment, in terms of its furthering your research project will also be evaluated under this factor. For example, your university could propose to cover the cost of a graduate assistant to work on your research project in order to demonstrate its commitment beyond what is required of it. The larger the commitment, translated into dollar terms, the higher the points. Full points can only be received if your institution agrees to reduce your course load by one course a semester or term but to continue paying you your full salary.

**Rating Factor 6: Timely Completion of Your Research Project (10 points)**

In reviewing this factor, NAS will determine the extent to which your research design and methodology and plan for completion of your research project can feasibly be completed within the fifteen-month fellowship period. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the grant period) will be determined to be less feasible of completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get a lower score than if you have presented a time line and methodology that show evidence that the research project can be completed within the grant period.

**Rating Factor 7: Quality of the Mentoring Plan (5 points)**

In reviewing this factor, NAS will determine the appropriateness of the person chosen to be your mentor (in terms of his/her previous work (e.g., research, publications, presentations,

standing in the research community) and availability) and the role the mentor has agreed to play in your project. The higher the time commitment the mentor makes to you, the higher points you will receive.

(C) *Selections.* NAS will fund applications in rank order, until it has awarded all available funds. However, as noted in Section II, NAS reserves the right to make awards for less than the amount requested in your application. After all application selections have been made, NAS may require that you participate in negotiations to determine the specific terms of the fellowship and the grant budget. In cases where NAS cannot successfully complete negotiations, or you fail to provide NAS with requested information, an award will not be made. In such instances, NAS may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with that applicant.

**V. Application Submission Requirements**

You should include an original or electronic copy of your application. Please note the page limits for some of the items listed below and do not exceed them.

The application kit made available by NAS will include, but may not be limited to, the following items:

- (A) Applicant information including:
  - (1) Title of your research project;
  - (2) Your name, university and home addresses, university and home telephone and facsimile numbers, and e-mail address;
  - (3) Your university's name, department, mailing address, telephone and facsimile numbers.
  - (4) Your advisor's name, address, telephone and facsimile number, and e-mail address;
  - (5) Your mentor's name, address, telephone and facsimile number, and e-mail address;
  - (6) Evidence of being eligible to apply because you received your Ph.D. no earlier than January 1, 1996;
  - (7) Your graduate and post-graduate educational background.
- (B) A letter from the chair of your department that you have met all the eligibility criteria described in Section III(B).

(C) A letter from the appropriate official that describes your university's support, as described in Section III(E).

(D) A letter from your mentor stating his/her qualifications to be your mentor, his/her proposed role in your research project, and his/her availability to be your mentor.

(E) A one-page abstract of your research project.

(F) A narrative of the proposed research, not to exceed 10 double-spaced typed pages. This narrative must include the following in the following order:

- (1) Statement of the problem;
- (2) Research design and methodology;
- (3) Policy relevance of the research;
- (4) How the research will add to the current knowledge base.

(G) A working bibliography of your proposed project.

(H) An annotated bibliography, e.g., a two- or three-sentence annotation for ten to twelve key sources in your working bibliography.

(I) List of your publications: books, refereed journal articles, chapters contributed to books, articles in published proceedings, and any other articles.

(J) List of text and poster presentations made during the last five years.

(K) A one-page abstract of your dissertation.

(L) Grants and awards received during the last five years.

(M) Teaching load during the last five years.

(N) Two letters of reference.

(O) A proposed budget.

(P) Certifications. These forms must be signed by the applicant and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq.*

**VI. Environmental Requirements**

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance under related environmental authorities under 24 CFR 50.19(b)(1) and (b)(9).

**VII. Authority**

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970 (Pub.L. 91-609).

[FR Doc. 01-4310 Filed 2-23-01; 8:45 am]

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