

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**EARLY DOCTORAL STUDENT  
RESEARCH GRANT PROGRAM AND  
DOCTORAL DISSERTATION  
RESEARCH GRANT PROGRAM**

Billing Code 4210-32-C



## Funding Availability for the Early Doctoral Student Research Grant Program and Doctoral Dissertation Research Grant Program

### Program Overview

*Purpose of the Programs.* The purposes of the university partnership dissertation programs are:

*Early Doctoral Student Research Grant Program (EDSRG).* To help eligible doctoral students cultivate their research skills through the preparation of research manuscripts that focus on housing and urban development issues; and

*Doctoral Dissertation Research Grant Program (DDRG).* To assist Ph.D. candidates to complete their research and dissertations on housing and urban development issues.

*Available Funds.* Approximately \$550,000 in Fiscal Year (FY) 2003 appropriations is available for the Office of University Partnerships dissertation programs as follows.

- Early Doctoral Student Research Program: \$150,000
- Doctoral Dissertation Research Grant Program: \$400,000

*Application Deadline.* May 27, 2003.  
*Match.* None.

### Additional Information

Doctoral students interested in applying for funding under these grant programs should carefully review the General Section of this SuperNOFA and the following additional information. There is no separate Application Kit for this NOFA.

### Additional Information

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

*Application Due Date.* A completed application package is due on or before May 27, 2003.

*Address for Submitting Applications.* A completed application package consists of an original signed application, three copies, and one computer disk (in Word 6.0 or higher) of the application. All applications must be submitted via the United States Postal Service to the following address: University Partnerships Clearinghouse, c/o Danya International, 8737 Colesville Road, Suite 1200, Silver Spring, MD 20910. When submitting an application package, indicate the following information on the outside of the envelope: Name of the program under which funding is being requested and the doctoral student's name and mailing address, including zip code. HUD will accept only one application package per doctoral student.

*For Further Information and Technical Assistance.* Doctoral students may contact Armand Carriere of HUD's Office of University Partnerships at (202) 708-3061, ext. 3181 or Susan Brunson at (202) 708-3061, ext. 3852. Speech- or hearing-impaired individuals may call the Federal Information Relay Service TTY at 1-800-877-8339. Except for the "800" number, these telephone numbers are not toll-free. Students may also reach Mr. Carriere via the Internet at [Armand\\_W\\_Carriere@hud.gov](mailto:Armand_W_Carriere@hud.gov) and Ms. Brunson at [Susan\\_S\\_Brunson@hud.gov](mailto:Susan_S_Brunson@hud.gov).

*Satellite Broadcast.* HUD will hold an information broadcast via satellite for potential doctoral student applicants to learn more about the programs and preparation of applications. For more information about the date and time of this broadcast, consult the HUD Website at [www.hud.gov](http://www.hud.gov).

#### II. Amount Allocated, Grant Size and Term, and Performance Period

The amount allocated, grant size and term, and performance period are listed below for each program in this NOFA. HUD's authority for making funding available under this NOFA is Division K of the Consolidated Appropriations Resolution of 2003 (Pub. L. 108-7, approved February 20, 2003).

*Early Doctoral Student Research Grant Program*—Approximately \$150,000 will be made available for funding under this program.

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

The maximum amount that can be requested by a doctoral student for award is \$15,000.

*Doctoral Dissertation Research Grant Program*—Approximately \$400,000 will be made available for funding under this program.

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

The maximum amount that can be requested by a doctoral student for award is \$25,000.

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

##### (A) Program Description

*Early Doctoral Student Research Grant Program (EDSRG).* The purpose of the EDSRG program is to enable doctoral students enrolled at an accredited institution of higher learning recognized by the U.S. Department of Education to cultivate their research skills through the preparation of

research manuscripts that focus on policy-relevant housing and urban development issues. The program also encourages new scholars to share their research findings through presentation at scholarly conferences and/or publication in refereed journals. The FY 2003 EDSRG program seeks to fund research studies that may impact federal problem solving and policymaking and that are relevant to HUD's policy priorities and annual goals and objectives. (See the General Section of the SuperNOFA for discussion of these priorities and annual goals and objectives).

*Doctoral Dissertation Research Grant Program (DDRG).* The purpose of the DDRG program is to enable Ph.D. candidates enrolled at accredited institutions of higher education recognized by the U.S. Department of Education to complete their research and dissertations on policy-relevant housing and urban development issues. The FY 2003 DDRG program seeks to fund dissertations that may impact federal problem solving and policymaking and that are relevant to HUD's policy priorities and annual goals and objectives. (See the General Section of the SuperNOFA for discussion of these priorities and annual goals and objectives). Examples of topics addressing these issues (applicable to both the EDSRG and DDRG programs) include but are not limited to:

- (1) Increase Homeownership Opportunities
  - (a) Increasing Minority Homeownership;
  - (b) Simplifying the Homebuying Process (RESPA reform) and Reducing Settlement Costs;
  - (c) Setting Appropriate Housing Goals for the GSEs;
  - (d) Countering Predatory Lending;
  - (e) Helping Low-Income Homeowners Avoid Default and Foreclosure;
  - (f) Evaluating Housing Counseling.
- (2) Promote Decent Affordable Housing
  - (a) Reducing Regulatory Barriers to the Development of Affordable Housing, as well as All Forms of Multifamily Housing
  - (b) Developing Creative Strategies for Expanding the Availability of Affordable Housing. Strengthening the Delivery of HUD-Funded Rental Assistance and Assistance Provided Through the Low-Income Housing Tax Credit
  - (c) Promoting Self-Sufficiency Among Residents of Public and Assisted Housing
  - (d) Meeting the Housing-Related Needs of the Elderly

(e) Meeting the Housing-Related Needs of Persons with Disabilities  
(f) Improving Housing Quality and Affordability through Technology and Design

(3) Strengthen Communities  
(a) Ending Chronic Homelessness  
(b) Preventing Homelessness  
(c) Strengthening Cities  
(d) Meeting the Housing and Community and Economic Development Needs of Residents of High-Needs Areas, including the Colonias, Appalachia, the Mississippi Delta, and Tribal Areas.

(4) Ensure Equal Opportunity In Housing

(a) Reducing Housing Discrimination  
(b) Improving Housing Accessibility for Persons with Disabilities

(5) Embrace High Standards Of Ethics, Management And Accountability

(a) Reducing Fraud, Waste and Abuse in HUD-Funded Programs

(b) Improving the Effectiveness of HUD Programs Through Program Evaluations

(6) Promote Participation Of Faith-Based And Community Organizations

(a) Strengthening the Capacity of Faith-Based and Community Organizations

#### *(B) Eligible Applicants*

Doctoral students must demonstrate they meet the requirements listed under the grant program in this NOFA which they are requesting funding.

*Early Doctoral Student Research Grant Program (EDSRG).* Doctoral students applying for funding under this program must meet the following requirements:

(a) Be a U.S. citizen or resident alien currently enrolled, as a full-time student at an accredited doctoral program at an accredited institution of higher education (recognized by the U.S. Department of Education);

(b) Have a major or concentration within a field related to housing and urban development;

(c) Have not taken the preliminary/comprehensive examinations;

(d) Completed at least two semesters or three terms of a doctoral studies program (depending on the course structure of the institution);

(e) Have an assigned faculty advisor to supervise the research manuscript (provide the advisor's name, address, phone number, facsimile number, and email address);

(f) Submit support letters/documentation from the chairperson of the doctoral student's department that confirms the student meets *all* of the conditions above and that the proposed research manuscript can be completed within the one-year grant period; and

(g) Provide a support letter from the institution that includes in detail the type of support the university is providing. Such support might include tuition waivers, office space, equipment, computer time, assumption of indirect costs, or similar items the doctoral student might need in order to complete the required product. This support may not replace support or assistance the institution would otherwise provide to the student.

*Doctoral Dissertation Research Grant Program (DDRG).* Doctoral students applying for funding under this program must meet the following requirements:

(a) Be a U.S. citizen or resident alien (student) currently enrolled and matriculated who has been accepted into candidacy in an accredited doctoral program at an accredited institution of higher education recognized by the U.S. Department of Education;

(b) Developed an approved dissertation proposal;

(c) Provide documentation from the dissertation committee chairperson that confirms the following information;

(1) By the application due date, the student's dissertation proposal has been accepted by the full dissertation committee and the student has been assigned a dissertation advisor (provide the advisor's name, address, phone number, facsimile number, and email address);

(2) By September 1, 2003, the student will have satisfactorily completed all other written and oral Ph.D. requirements, including all examinations and defense of the proposal, except the dissertation; and

(3) The proposed dissertation can be completed within the two-year grant period.

(d) Provide a support letter from the institution that includes in detail the type of support the university is providing. Such support might include tuition waivers, office space, equipment, computer time, assumption of indirect costs, or similar items the student might need in order to complete the required product. This support may not replace support or assistance the institution would otherwise provide to the student.

#### *(C) Eligible Activities*

Grant funds awarded for programs in this NOFA must be used to support direct costs incurred in the timely completion of the research product. Eligible costs include stipends, computer software, purchase of data, travel expenses to collect data, transcription services, and compensation for interviews.

#### *(D) Ineligible Activities*

Grant funds awarded for programs under this NOFA *may not* be used to pay for tuition, computer hardware, or meals.

### **IV. Program Requirements**

#### *(A) Threshold Requirements*

All applicants requesting funding from programs under this NOFA must be in compliance with the applicable threshold requirements found in Section V of the General Section of the SuperNOFA and the requirements listed below to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified.

(1) The doctoral student is eligible to apply (as defined in Section III (B) above) for the program for which they are requesting funding;

(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 doctoral student, 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 chairperson of the doctoral student's dissertation committee who shall supervise the student's work under the Grant Agreement.

(3) The student has provided a letter from the department chairperson confirming the applicant is eligible as outlined in Section III (B).

(4) The student's institution has provided a letter agreeing to provide support and outlines the specific type of support they will provide as part of this grant as defined in Section III (B).

(5) The student has requested no more funding than the grant maximum allocated as defined in Section II Amount Allocated, Grant Size and Term, and Performance Period.

#### *(B) Program Specific Requirements*

*Early Doctoral Student Research Grant Program (EDSRG).* Three thousand dollars of the grant funds will be held until the doctoral student's research manuscript has been completed and accepted for presentation at a conference or publication in a refereed journal by the end of the grant period, or a committee of three faculty members (including the 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 and two copies of the research product are submitted to HUD in its final version.

*Doctoral Dissertation Research Grant Program (DDRG).* Six thousand dollars of the grant funds will be held until the doctoral student's dissertation has been completed, approved by the committee, and two final copies are submitted to HUD in its final version.

**Note:** Institutions that have had previously awarded grants under these programs terminated for non-performance and have outstanding funds owed to HUD resulting from the termination will be excluded from competition until the outstanding funds are repaid (Applicants must comply with the Delinquent Federal Debt Requirement as defined in Section V (B)(4) of the General Section of the SuperNOFA).

*(C) Other Requirements (applicable to both grant programs)*

(1) Progress reporting. All recipients of grant funds for programs in this NOFA are required to submit a report, halfway through the grant period, on the progress to date that has been made towards completion of the research product and the likelihood that it will be completed on time.

**V. Application Selection Process**

*(A) Two Types of Reviews Will Be Conducted*

(1) A threshold review to determine a student's eligibility to apply; and

(2) A technical review to rate the student's application based on the rating factors in this section.

*(B) Threshold Criteria for Funding Consideration*

Doctoral students must meet all of the threshold requirements listed above and the General Section of the SuperNOFA to be evaluated, rated, and ranked. Applications that do not meet these requirements will be considered ineligible for funding and will be disqualified.

*(C) Final Selection*

In order to be funded, an application must receive a minimum score of 75 points. HUD will fund applications under each program in rank order, until all available program funds are awarded. If two or more applications have the same number of points, the application with the higher points for Factor 1, Capacity to do the Research, shall be selected. If there is still a tie, the application with the higher points for Factor 2, Need for the Research, shall be selected.

*(D) Factors for Award Used to Evaluate and Rate Applications*

The factors for rating and ranking an application and the maximum points available for award for each factor are provided below. Doctoral students applying for either program must address these factors. Applications must receive a minimum of 75 points out of the total 100 maximum points available for each program. The RC/EZ/EC bonus points described in the General Section of the SuperNOFA do not apply to these research programs.

**Rating Factor 1: Capacity to do the Research (20 points)**

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

(1) The student's skills and experience are relevant to the proposed research manuscript/dissertation (e.g., course work, teaching, research projects, and presentations);

(2) The student provides a research outline that identifies the preliminary steps that have been undertaken (e.g., literature review, research hypotheses, questions to be answered) to produce the proposed manuscript/dissertation; and

*For Early Doctoral Program Applicants only.* (3) The proposed research will help to further the student's research skills (i.e., it is relevant to the kinds of projects the student will continue to work on as she/he earns his/her Ph.D.).

*For Doctoral Dissertation Research Applicants only.* (3) The doctoral student's previous research experience (e.g., graduate-level research projects, presentations at conferences, publications, etc.) is relevant to and supportive of the proposed dissertation.

**Rating Factor 2: Need for the Research (35 points)**

In reviewing this factor, HUD will determine the extent to which the research manuscript/dissertation will produce policy-relevant information that is directly related to HUD's research priorities and/or annual goals and objectives as defined in the General Section of the SuperNOFA (i.e., the research that will be produced could have an effect on HUD's strategic goals and programs and policies to achieve these goals). The more direct the relationship is between the doctoral student's manuscript/dissertation and one of these topics, the higher number of points awarded. 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 3: Soundness of Approach (35 points)**

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

(1) The research design and methodology proposed is likely to produce data and information that will successfully answer the research hypothesis;

(2) The methodology proposed is sound and generally accepted by the relevant research community and is in line with research already completed or existing publications in the field as they relate to the scholarly standard for the research questions; and

(3) The research and production of the research manuscript/dissertation can feasibly be completed within the grant performance period. Efforts on the part of the doctoral student who proposes extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of site visits within the grant period) will be determined less feasible for completion within the allotted grant period. For example, if the proposed methodology is 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 allotted grant period, zero points will be awarded for this factor.

**Rating Factor 4: Issuance of the Research Product (10 points)**

An important purpose of these programs is to fund research that may impact federal problem solving and policymaking and is relevant to HUD's policy priorities and annual goals and objectives (See the General Section of the SuperNOFA for discussion). In reviewing this factor, HUD will evaluate the likelihood that the research will be completed and suitable for presentation at a conference or publication in a refereed journal by the end of the grant period. HUD will also evaluate the student's plan to disseminate the research through other means, e.g., seminars, university publications, or relevant Internet listserves.

**VI. Application Submission Requirements**

(A) Content of Application. The application package must include an original signed application, three copies, and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, doctoral students should not submit

applications in bound form; binder clips or loose-leaf binders are acceptable. Please do not use colored paper. The application narrative must not exceed 15 pages in length (excluding forms and assurances) and must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, and printed in a standard Times Roman 12-point font. Each page should be numbered, section tabbed, and the name of the student and university on each page. The double-spacing requirement applies to all parts of an application including agreements. Please note that although submitting pages in excess of the page limit will not disqualify the application, HUD will not consider the information on any excess page. This may result in a lower score or failure to meet a threshold

Applications must contain the items listed in this section in the order shown below. There is no separate Application Kit for these programs.

(1) Transmittal Letter. This letter is from the student and must contain the following information: (a) Student's home address, telephone number, and email address; (b) Student's address, telephone number, facsimile number and email address at the university; (c) University's name, department, mailing address, telephone and facsimile number; and (d) The faculty advisor's name, title, department, address, telephone number, facsimile numbers, and email address—This must be the person who will serve as the Principal Investigator for the grant.

(2) HUD-424 ("Application for Federal Assistance") Instructions for completing this form are found on the back of the first page of the form. Please remember the following: (a) The full grant amount should be entered in block 15, not the amount for one year, (b) Include the name, title, address, telephone number, facsimile number, and email address of the person authorized to execute the grant agreement in Block 5, (c) Include the institution's tax ID number in Block 6. The form should be signed by the appropriate university official, and (d) Block 10, the Catalog of Federal Domestic Assistance Number for the program funding is being requested. The Catalog of Federal Domestic Assistance (CFA) number (block 10) for each program is as follows:

Early Doctoral Student Research Grant Program is 14.517

Doctoral Dissertation Research Grant Program is 14.516

(3) Table of Contents.

(4) Application Checklist (See Appendix A)

(5) Executive Summary (500 words or less). The Executive Summary should, at a minimum, include a summary of the proposed research project that addresses the following topics: (a) Specific purpose of the manuscript/dissertation; (b) Methodology being used; and (c) How the student meets the eligibility criteria for the program from which she/he is requesting funding.

(6) Narrative statement responding to the Factors for Award in Section V. The narrative of application must not exceed 15 pages, double-spaced, typed in standard Times Roman 12-point font, and be submitted on one side of 8½-by 11-inch paper. HUD will use the narrative response to the Factors for Award to rate and rank an application. This statement is the main source of information; therefore, it is very important that the student becomes fully familiar with the rating factors above for the program from which he/she is requesting funding. The narrative should be numbered in accordance with each factor and subfactor.

(7) Department Chairperson Support Letter. This letter must provide a statement from the doctoral student's department chairperson verifying the doctoral student has met all the eligibility criteria described in Section III (B).

(8) University Support Letter. This letter must provide a statement from the appropriate official at the university that describes in detail the type of support the university will be providing, as described in Section III (B). Please remember that this support may not replace support nor assistance that the institution would otherwise provide the student.

(9) Budget. The budget presentation should be consistent with the Statement of Work. (See Appendix B for a sample.)

(10) Additional Required Assurances and Certifications. These forms can be downloaded from the HUD website at [www.hud.gov](http://www.hud.gov).

(a) Applicant Assurances and Certification (HUD-424B) (if applicable)

(b) Disclosure of Lobbying Activities (SF LLL) (if applicable)

(c) Acknowledgment of Receipt of Applications (HUD-2993). To confirm that HUD received the student's application, please complete this form. This form is optional.

(d) Client Comments and Suggestions (HUD 2994). This form is included so that we can solicit information from the most valuable source—the student, or customers. If the student completes and submits this form, it will help HUD to assess whether the changes made to this document have had the intended results. It will also guide us in our

continuing efforts to improve the competitive grant process. This form is optional and can be completed by the student.

### VII. Correction to Deficient Applications

After all application selections have been made, HUD may require the student to 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 the student fails to provide HUD with requested information, an award will not be made. Students must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. (If the due date falls on a Saturday, Sunday or federal holiday, the correction must be received by HUD on the next day that is not a Saturday, Sunday or federal holiday.) If the deficiency is not corrected within this time period, HUD will reject the application as incomplete, and it will not be considered for funding. In such instances, HUD may elect to offer an award to the next highest-ranking application, and proceed with negotiations with that student.

### VIII. Environmental Requirements

The provision of assistance under these programs 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 24 CFR 50.19(b)(1) and (b)(9).

### IX. Other Matters

(1) Applicants must comply with the requirements for funding competitions established by the HUD Reform Act of 1989 (42 U.S.C. 3531 *et seq.*) as defined in the General Section of the SuperNOFA.

(2) Debriefing. The General Section of the SuperNOFA provides the procedures for requesting a debriefing. All requests for debriefings must be made in writing and submitted to Armand Carriere of HUD's Office of University Partnerships, Robert C. Weaver Building, 451 7th ST. SW., Room 8106, Washington DC 20410. Doctoral students may also write to Mr. Carriere via the Internet at [Armand\\_W\\_Carriere@hud.gov](mailto:Armand_W_Carriere@hud.gov).

### X. Authority

These programs are being undertaken under HUD's research authority under

Title V of the Housing and Urban  
Development Act of 1970.

Appendices A and B

The application checklist and sample  
budget are included in Appendices A  
and B.

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**APPENDIX A****EARLY DOCTORAL STUDENT RESEARCH GRANT PROGRAM AND DOCTORAL  
DISSERTATION RESEARCH GRANT PROGRAM****APPLICATION CHECKLIST**

This checklist identifies application submission requirements. You are requested to use this checklist when preparing your application to ensure submission of all required elements. Please present the information in your application in the order outline below and include the completed checklist.

**I. PART A**

- \_\_\_\_\_ Transmittal Letter
- \_\_\_\_\_ HUD Form 424, Application for Federal Assistance
- \_\_\_\_\_ Table of Contents
- \_\_\_\_\_ Executive Summary (500 words or less)
- \_\_\_\_\_ Narrative statement addressing selection factors for award (Must not exceed 15 pages in length excluding required forms and assurances)
  - \_\_\_\_\_ Support Letter (From the applicant's department chairperson)
  - \_\_\_\_\_ Support Letter (From the university)

**II. PART B**

- \_\_\_\_\_ Budget Form (Sample Appendix B)
- \_\_\_\_\_ HUD Form 424B, Applicant Assurances and Certifications (if applicable)
- \_\_\_\_\_ HUD Form 2993, Acknowledgement of Application Receipt
- \_\_\_\_\_ HUD Form 2994, Client Comments and Suggestions



**APPENDIX B****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.

**Name and Address of Student:** Bernice Barnes  
471 Robins Road  
Stansbury, MD 12345

**Name of the Research Product:** "A Study of Equal Opportunity and Self-Sufficiency  
In Households run by Single Parent Females"

**Services:**

Applicant (Bernice Barnes)

\_\_\_\_\_ days @ \_\_\_\_\_/day = \$ xxx

## Other Professionals

R. Nelson \_\_\_\_\_ days @ \_\_\_\_\_/day = \$ xxx

K. Crawley \_\_\_\_\_ days @ \_\_\_\_\_/day = \$ xxx

## Clerical

J. Brown \_\_\_\_\_ days @ \_\_\_\_\_/day = \$ xxx

**Subtotal, Services****Other:**

Travel: \_\_\_\_\_ trips @ \_\_\_\_\_/trip = \$ xxx

Computer Usage = \$ xxx

Reproduction Costs = \$ xxx

Phone, Mailing, Misc. Materials = \$ xxx

**Subtotal Other**

**Total Estimated Cost** **\$XXXXXXX**

