

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**STUDENT RESEARCH AND STUDY
PROGRAMS**

**Early Doctoral Student Research Grant
Program**

**Doctoral Dissertation Research Grant
Program**

The Early Doctoral Student Research Grant Program and Doctoral Dissertation Research Grant Program Overview Information

A. Federal Agency Name: Department of Housing and Urban Development, Office of Policy Development and Research, Office of University Partnerships.

B. Funding Opportunity Title: The Early Doctoral Student Research Grant (EDSRG) Program and the Doctoral Dissertation Research Grant (DDRG) Program.

C. Announcement Type: Initial announcement.

D. Funding Opportunity Number: The Federal Register number for these programs is FR-4900-N-02. The OMB Approval Numbers for these programs are as follows:

1. Early Doctoral Student Research Grant Program is 2528-0216.

2. Doctoral Dissertation Research Grant Program is 2528-0213.

E. Catalog of Federal Domestic Assistance (CFDA) Number(s): The CFDA Numbers for these programs are as follows:

1. Early Doctoral Student Research Grant Program is 14.517

2. Doctoral Dissertation Research Grant Program is 14.516

F. Dates: The application due date shall be on or before June 16, 2004. Please see the General Section of the SuperNOFA for application submission, delivery and timely receipt requirements.

G. Optional, Additional Overview Content Information:

1. *Purpose of the University Partnership Dissertation Programs:*

a. Early Doctoral Student Research Grant (EDSRG) Program. The purpose of the EDSRG program is to enable doctoral students enrolled at accredited institutions of higher education 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.

b. Doctoral Dissertation Research Grant (DDRG) Program. 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.

2. *Award Information:* Approximately \$550,000 in Fiscal Year (FY) 2004 appropriations is available for the following Office of University Partnerships (OUP) dissertation programs.

*a. Early Doctoral Student Research Grant Program—*Approximately \$150,000 is 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.

*b. Doctoral Dissertation Research Grant Program—*Approximately \$400,000 is 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.

3. *Eligible Applicants:*

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

(1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled, as a full-time student in an accredited doctoral program at an accredited institution of higher education recognized by the U.S. Department of Education;

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

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

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

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

(6) Submit support letter from the assigned faculty advisor 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

(7) Provide a support letter from the institution that includes in detail the type of support the university is providing. Such support may include tuition waivers, office space, 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.

b. Doctoral Dissertation Research Grant Program. Doctoral students

applying for funding under this program must meet the following requirements:

(1) Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) 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;

(2) Developed an approved dissertation proposal;

(3) Provide documentation from the dissertation committee chairperson that states the feasibility of the likelihood of the following:

(a) By the application due date, the student's dissertation proposal will be accepted by the full dissertation committee;

(b) The student will have an assigned dissertation advisor (provide the advisor's name, address, phone number, facsimile number, and e-mail address);

(c) By September 1, 2004, 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

(d) The proposed dissertation can be prepared and delivered within the two-year grant period.

(4) 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, 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.

Full Text of Announcement

I. Funding Opportunity Description

A. Early Doctoral Student Research Grant (EDSRG) Program

The purpose of the EDSRG program is to enable doctoral students enrolled at an accredited institution of higher education 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 FY2004 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).

B. Doctoral Dissertation Research Grant (DDRG) Program

The purpose of the DDRG program is to enable Ph.D. candidates enrolled at accredited institution 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 FY2004 DDRG 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).

C. Topics

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. Increase Minority Homeownership.
- b. Simplify the Home Buying Process (RESPA reform) and Reduce Settlement Costs.
- c. Set Appropriate Housing Goals for the GSEs.
- d. Counter Predatory Lending.
- e. Help Low-Income Homeowners Avoid Default and Foreclosure.
- f. Evaluate Housing Counseling.

2. Promote Decent Affordable Housing

- a. Reduce Regulatory Barriers to the Development of Affordable Housing, as well as All Forms of Multifamily Housing.
- b. Develop Creative Strategies for Expanding the Availability of Affordable Housing.
- c. Strengthen the Delivery of HUD-Funded Rental Assistance and Assistance Provided Through the Low-Income Housing Tax Credit.
- d. Promote Self-Sufficiency Among Residents of Public and Assisted Housing.
- e. Meet the Housing-Related Needs of the Elderly.
- f. Meet the Housing-Related Needs of Persons with Disabilities.
- g. Improve Housing Quality and Affordability through Technology and Design.

3. Strengthen Communities

- a. End Chronic Homelessness.
- b. Prevent Homelessness.
- c. Strengthen Cities.
- d. Meet the Housing and Community and Economic Development Needs of Residents of High-Needs Areas, including the Colonias, Appalachia, the Mississippi Delta, and Indian Country.

4. Ensure Equal Opportunity In Housing

- a. Reduce Housing Discrimination.
- b. Improve Housing Accessibility for Persons with Disabilities.

5. Embrace High Standards Of Ethics, Management, And Accountability

- a. Reduce Fraud, Waste, and Abuse in HUD-Funded Programs.
- b. Improve the Effectiveness of HUD Programs Through Program Evaluations.

6. Promote Participation Of Faith-Based And Community Organizations

- a. Strengthen the Capacity of Faith-Based and Community Organizations.

D. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2004 (Pub. L. 108-199, January 23, 2004, Stat. 3). These programs are being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970. They are being implemented through this NOFA and the policies governing their operation are contained herein.

II. Award Information

Approximately \$550,000 in FY2004 appropriations is available for the Office of University Partnerships (OUP) dissertation programs as follows:

A. 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.

B. 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. Eligibility Information

A. Eligible Applicants

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

- a. Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green

Card) currently enrolled, as a full-time student in an accredited doctoral program at an accredited institution of higher education recognized by the U.S. Department of Education;

- b. Have not taken the preliminary/comprehensive examinations;
- c. Completed at least two semesters or three terms of a doctoral studies program (depending on the course structure of the institution);
- d. Have an assigned faculty advisor to supervise the research manuscript (provide the advisor's name, address, phone number, facsimile number, and e-mail address);
- e. Submit support letter from the assigned faculty advisor of the doctoral student 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

- f. 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, 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.

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

- a. Be a U.S. citizen or lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) currently enrolled and matriculated and 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 letter from the dissertation committee chairperson that confirms the following:

(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 e-mail address);

(2) By September 1, 2004, 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 prepared and delivered 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, 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.

B. Cost Sharing or Matching

None Required

C. Other

1. 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.

2. Threshold Requirements Applicable to All Applicants

All applicants must comply with the applicable threshold requirements as defined in 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.

a. The doctoral student must meet the eligibility requirement for the program for which they are requesting funding as defined in section III.A, Eligible Applicants;

b. 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 faculty advisor or chairperson of the doctoral student's dissertation committee who shall supervise the student's work under the Grant Agreement;

c. The student has provided a letter from the faculty advisor or chairperson of the doctoral student's dissertation committee confirming the applicant is eligible as outlined in section III A, Eligible Applicants above;

d. 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 A, Eligible Applicants above;

e. The student has requested no more funding than the grant maximum allocated as outlined in section II, Award Information;

f. Only *one* application package can be submitted per doctoral student.

g. Applicants must receive a minimum score of 75 points to be considered for funding; and

h. An applicant must have a DUNS number to receive HUD grant funds. (The General Section of the SuperNOFA provides information regarding the DUNS requirement).

IV. Application and Submission Information

A. Addresses to Request Application Package

Applicants may request general information, copies of the General Section and Program Sections of the SuperNOFA from the NOFA Information Center (800-HUD-8929 or 800-HUD-2209 (TTY) between the hours of 9 a.m. and 8 p.m. (eastern time) Monday through Friday, except on Federal holidays. When requesting information, please refer to the OUP Doctoral Programs. Be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare an application, requests for copies of the NOFA can be made immediately following publication of the SuperNOFA. The NOFA Information Center opens for business simultaneously with the publication of HUD's 2004 NOFA. Applicants can also obtain information on the SuperNOFA and download applications through the HUD Web site, <http://www.hud.gov> or OUP's Web site at <http://www.oup.org>.

B. Content and Form of Application Submission

A complete 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. (The computer disk must include the narrative portion of the application, and all required forms. Forms can be downloaded from the following Web site, <http://www.hud.gov>). In order to recycle paper, doctoral students must not submit applications in bound form; binder clips or loose-leaf binders are acceptable. Please do not use colored paper. The application narrative, bibliographies, and any supporting references must not exceed 20 pages in length (excluding forms, assurances,

Table of Contents, Executive Summary, agreements, and letters) and must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, with one inch margins (from the top, bottom, left, and right side of the document) and printed in standard Times New Roman 12-point font. Each page must 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, excluding references, bibliographies, agreements, and letters. 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 pages. Except where a particular form may direct otherwise, all forms included in an application must be signed by the Chief Executive Officer (this is generally the President or Provost) or an official authorized legally to make a binding commitment on behalf of the institution. This may result in a lower score or failure to meet a threshold requirement.

Please include in your application each item in the order listed below:

1. SF-424, Application for Federal Assistance. Instructions for completing this form are found on the back of the first page of the form and/or refer to the General Section of the SuperNOFA. Please remember the following:

a. The name of the applicant for these programs is the University. Please make sure that the University's address is listed on this form (not the students information);

b. Include the name, title, address, telephone number, facsimile number, and e-mail address of the designated contact person. This is the University contact that will receive all information pertinent to this grant;

c. The total grant amount requested;

d. The University's Employer Identification/Tax ID;

e. The DUNS Number;

f. The Catalog of Federal Domestic Assistance Number for the program from which you are requesting funding; and

(1) Early Doctoral Student Research Grant Program is 14.517

(2) Doctoral Dissertation Research Grant Program is 14.516.

Please remember that this form should reflect the University as the applicant and should be signed by an authorized official (an individual who has the authority to make a binding commitment on behalf of the institution).

2. *Transmittal Letter*. This letter is from the student and must contain the following information:

a. Student's home address, telephone number, and e-mail address;

b. Student's address, telephone number, facsimile number, and e-mail address at the university;

c. University's department, mailing address, telephone and facsimile numbers; and

d. The faculty/chairperson advisor's name, title, department, address, telephone number, facsimile number, and e-mail address. This must be the person who will serve as the Principal Investigator for the grant.

3. Table of Contents.

4. *Application Checklist.* Students must include the completed checklist in their application. On the checklist, indicate the page number where each of the items listed can be found in the application (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 information:

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.* HUD will use the narrative response to the "Factors for Award" to evaluate, rate, and rank applications. This statement is the main source of information. Therefore, it is very important that the student becomes fully familiar with the rating factors for the program from which he/she is requesting funding. The narrative should be numbered in accordance with each factor and subfactor. Please do not repeat material response to the four factors; instead focus on how well the proposal responds to each of the factors. Make sure to address each factor and subfactor and provide sufficient information about every element.

7. *Faculty Advisor/Dissertation Advisor 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.A, Eligible Applicant.

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.A, Eligible Applicant. Please remember that this support may not replace support or assistance that the institution would otherwise provide the student.

9. *Budget.* The budget submission must be placed behind the narrative

statement addressing the "Factors for Award" and include the following form:

a. *HUD-424-CB, "Grant Application Detailed Budget."* This budget form shows the total budget by year and by line item for the program activities to be carried out with the proposed HUD grant. Each year of the program should be presented separately.

Make sure that the amount shown on the SF-424, the HUD-424-CB form and on all other required program forms is consistent and the budget totals are correct. Remember to check addition in totaling the categories on the forms and that that all items are included in the total. If this correction puts an application over the grant maximum, the applicant will not be able to correct the amount requested and the application will be disqualified. The budget form must be completed in full. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

b. *Budget Narrative.* A narrative must be submitted that explains how the applicant arrived at the cost estimates. The proposed cost estimates should be reasonable for the work to be performed and consistent with rates established for the level of expertise required to perform the work proposed.

C. Submission Dates and Times

A complete application package is due on or before June 16, 2004. Please see the General Section of the SuperNOFA for application submission, delivery and timely receipt requirements.

D. Intergovernmental Review

This program is excluded from an Intergovernmental Review.

E. Funding Restrictions

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

2. *Early Doctoral Student Research Grant (EDSRG) Program*—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.

3. *Doctoral Dissertation Research Grant (DDRG) Program*—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.

4. 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 the General Section of the SuperNOFA.)

F. Other Submission Requirements

1. Complete Application Package

This package must be submitted 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:

- Office of University Partnerships;
- Name of the program under which funding is being requested; and
- Applicant's name and mailing address (including zip code).

Applicants must refer to the General Section of the SuperNOFA for application submission, delivery, and timely receipt requirements.

2. Forms, Certifications, and Assurances

The following certifications and assurances must be included in all application packages. These forms must be signed by the Chief Executive Officer (or official designee, not the student) of the institution and can be downloaded from the HUD Web site at <http://www.hud.gov>.

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

b. Grant Application Detailed Budget (HUD-424-CB).

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

d. Disclosure of Lobbying Activities (SF-LLL) (if applicable).

e. Acknowledgment of Receipt of Applications (HUD-2993). To confirm that HUD received the student's application, please complete this form. Applicants are not required to include this form, but it is recommended that an applicant do so.

f. 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.

V. Application Review Information

A. Criteria

1. *Rating Factor 1: Capacity to do the Research (20 Points)*. In reviewing this factor, HUD will determine the extent to which:

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

b. 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

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

d. For Doctoral Dissertation Research Applicants only; 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.

2. *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.

3. *Rating Factor 3: Soundness of Approach (35 Points)*. This factor addresses the quality and effectiveness of the proposed research and methodology and the actions regarding HUD's policy priorities. This factor will be evaluated based on the extent to which the proposed work plan will demonstrate the following:

a. *Quality of Research (33 Points)*. (1) The research design and methodology proposed is likely to produce data and information that will successfully answer the research hypothesis; and

(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.

b. (2 Points) HUD Policy Priorities. 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* General Section of the SuperNOFA for further discussion.) HUD encourages applicants to undertake research that will assist the Department in implementing its policy priorities and which help the Department achieve its goals and objectives in FY2005. In addressing this factor, HUD will evaluate the extent to which the research will further and support HUD's priorities. The quality of an applicant's response to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority selected will be addressed. Applicants that just list a priority will receive no points. Each policy priority addressed has a point value of one point with the exception of the policy priority to remove regulatory barriers to affordable housing, which has a point value of up to 2 points. The total number of points available to applicants that address policy priorities is 2. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available 2 points. To receive points for efforts to remove regulatory barriers to affordable housing, an applicant must submit the completed questionnaire found in the General Section (Form HUD-27300). For the full list and explanation of each policy priority, please refer to the General Section of this SuperNOFA.

4. *Rating Factor 4: Issuance of the Research Product (10 Points)*. In reviewing this factor, HUD will determine the following:

a. For Early Doctoral Program Applicants only. The extent to which

the proposed research manuscript will be completed within the grant performance period and be suitable for presentation at a conference or publication in a refereed journal.

b. For Doctoral Dissertation Program Applicant only. The extent to which the proposed research can feasibly be prepared and delivered to HUD by the end of the grant period.

c. Applicants must demonstrate the feasibility of completing their research within the grant performance period by providing the following information:

(1) Major tasks involved in completing the proposed research;

(2) Indicate the sequence in which these tasks will be performed; and

(3) Identify any key individuals responsible for carrying out any proposed activities.

The sequence and duration of this effort should be presented in quarterly (3 month) intervals for the entire life of the grant (use of a milestone chart to present this information is recommended).

(4) 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.

(5) HUD will also evaluate the student's plan to disseminate the research through other means (*e.g.*, seminars, university publications, or relevant Internet listserves).

B. Review and Selection Process

1. Application Selection Process

Two types of reviews will be conducted:

a. A threshold review to determine an applicant's basic eligibility; and

b. A technical review for all applications that pass the threshold review to rate and rank the application based on the "Factors for Award" listed in Section V.A above. Only those applications that pass the threshold review will receive a technical review and be rated and ranked.

2. Rating Panels

To review and rate applications, HUD may establish panels which may include experts or consultants not

currently employed by HUD. These individuals may be included to obtain certain expertise.

3. Ranking

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. HUD reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make the same determination for the next highest-ranking application. The RC/EZ/EC bonus points described in the General Section of the SuperNOFA do not apply to this NOFA.

C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2004.

VI. Award Administration Information

A. Award Notices

After all selections have been made, HUD will notify all winning applicants in writing. HUD may require winning applicants to participate in additional negotiations before receiving an official award. For further discussion on this matter, please refer to the General Section of the SuperNOFA.

B. Administrative and National Policy Requirements

The provisions of the HUD Reform Act of 1989 that apply to this NOFA are explained in the General Section of the SuperNOFA.

1. *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).

2. *Administrative.* 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.

3. *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, Office of University Partnerships, Robert C. Weaver Federal Building, 451 Seventh Street, SW., Room 8106, Washington, DC 20410. Applicants may also write to Mr. Carriere via e-mail at Armand_W_Carriere@hud.gov.

C. Reporting Requirements

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 toward completion of the research product and the likelihood that it will be completed on time.

For each reporting period, as part of the required report to HUD, a grant recipient must include a completed Logic Model (Form HUD-96010), which identifies output and outcome achievements.

VII. Agency Contacts

Doctoral students may contact Armand Carriere, Office of University Partnerships at (202) 708-3061, extension 3181 or Susan Brunson at (202) 708-3061, extension 3852. Persons with speech or hearing impairments may call the Federal Information Relay Service TTY at 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 and/or Ms. Brunson at Susan_S_Brunson@hud.gov.

VIII. Other Paperwork Reduction Act

The information collection requirements contained in this document have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB control number 2528-0216 (for the Early Doctoral Student Research Grant Program) and 2528-0213 (for the Doctoral Dissertation Research Grant Program). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for the collection of information is estimated to average 44 hours per annum per respondent for the application and grant administration. This includes the time for collecting, reviewing, and reporting the data for the application, semi-annual reports, and final report. The information will be used for grantee selection and monitoring the administration of funds. Response to this request for information is required in order to receive the benefits to be derived.

BILLING CODE 4210-32-P

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

This checklist identifies application submission requirements. Applicants are requested to use this checklist when preparing an application to ensure submission of all required elements. Please present the information in the application in the order outline below and indicate on each line the page number where each of the items can be found in the application. Standard Forms and required certifications are found in the **General Section** of this SuperNOFA and can be downloaded from HUD's website, www.hud.gov.

I. PART A

_____ SF-424, "Application for Federal Assistance"

_____ Transmittal Letter

_____ Table of Contents

_____ Application Checklist

_____ Executive Summary (500 words or less)

_____ Narrative statement addressing selection factors for award including bibliographies and any supporting reference must not exceed 20 pages in length (excluding required forms, assurances, budget narrative, table of content, executive summary, agreements and letters), double-spaced on one side, with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12-point font.

_____ Support Letter (From the Applicant's Faculty Advisor/Dissertation Advisor)

_____ Support Letter (From the University)

_____ Budget

_____ HUD 424-CB" Grant Application Detailed Budget"

_____ Budget Narrative (No form provided and must be submitted for the total three-year grant period)

_____ Computer disk

II. PART B (All Required Forms)

The following required certifications and assurance can be downloaded from www.hud.gov.

_____ HUD-424-CB, Grant Application Detailed Budget

_____ HUD Form 424B, Applicant Assurances and Certifications (if applicable)

_____ Disclosure of Lobbying Activities (SF LLL)

_____ HUD Form 2993, Acknowledgement of Application Receipt

_____ HUD Form 2994, Client Comments and Suggestions