

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**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 this Notice Of Funding Availability (NOFA) is FR4950-N-07. The OMB Approval Numbers for the programs in this NOFA 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 the programs in this NOFA 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 submission deadline shall be on or before May 18, 2005. Please be sure to read the General Section for electronic submission and 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:* In Fiscal Year (FY) 2005, approximately \$550,000 has been made 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 performance 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 performance period is 24 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 \$25,000.

If funding remains after all eligible EDSRG doctoral students are awarded, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students are awarded, the remaining funds will be made available to fund eligible EDSRG doctoral students.

3. *Eligible Applicants.* Eligible applicants are accredited institutions of higher education recognized by the U.S. Department of Education that sponsor doctoral students who meet the following program requirements:

*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;

(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;

(6) Submit a letter of support from the assigned faculty advisor in the doctoral student's department; and

(7) Provide a support letter from the institution. 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 an accredited doctoral program;

(2) Have an approved dissertation proposal;

(3) Provide documentation from the dissertation committee chairperson that states the feasibility 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;

(c) By September 1, 2005, 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. 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 FY 2005 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 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 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 2005 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 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 and Performance Measurement.

#### 6. Promote Participation of Faith-Based and Community Organizations

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

#### D. Modifications

There is one major modification from the Fiscal Year (FY) 2004 program-funding announcement. In FY 2005, applicants are required to submit their application electronically via the following Web site: <http://www.grants.gov/Apply>. Read the General Section for further information regarding submitting your application electronically.

#### E. Authority

HUD's authority for making funding available under this NOFA is the Consolidated Appropriations Act, 2005 (Pub. L. 108-447, approved December 8, 2004). These programs are 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

In Fiscal Year (FY) 2005, approximately \$550,000 is made 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 performance 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 performance period is 24 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 \$25,000.

If funding remains after all eligible EDSRG doctoral students are awarded, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students are awarded, the remaining funds will be made available to fund eligible EDSRG doctoral students.

### III. Eligibility Information

#### A. Eligible Applicants

Eligible applicants are accredited institutions of higher education recognized by the U.S. Department of Education that sponsor doctoral students. The institution must address the following program requirements:

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;
  - b. Have not taken the preliminary/comprehensive examinations;
  - c. Have 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 email address);
  - e. Submit a letter of support from the assigned faculty advisor of the doctoral student that confirms that 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 in an accredited doctoral program;
  - b. Have 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 email address);

(2) By September 1, 2005, 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 under 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. Audit Requirements

Applicants must ensure that their most current A-133 audit is on file at the Federal Audit Clearinghouse. (Applicants are not required to submit a copy of the audit with the application.) Grantees that expend \$500,000 or more in federal financial assistance in a single year (this can be program year or fiscal year) must be audited in accordance with the OMB requirements as established in 24 CFR Part 84. Additional information regarding this requirement can be accessed at the following Web site: <http://harvester.census.gov/sac>.

##### 3. Threshold Requirements Applicable to All Applicants

All applicants and doctoral students must comply with the threshold requirements as defined in the General Section 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;

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;

e. The student has requested no more funding than the grant maximum allocated for the program from which they are requested funding as outlined in Section II, Award Information;

f. Only *one* application package can be submitted per doctoral student. Students who have received funding in the past are not eligible to receive funding under the same program.

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

h. The University (the official applicant on behalf of the student) must have a DUNS number to receive HUD grant funds. (The General Section provides information regarding the DUNS requirement); and

i. Electronic applications must be received by [grants.gov](http://grants.gov) no later than 11:59:59 p.m. eastern time on May 18, 2005. See the General Section for information on application submission and timely receipt requirements.

#### IV. Application and Submission Information

##### A. Addresses To Request Application Package

Applicants may download the instructions to the application found on the [grants.gov](http://www.Grants.gov) Web site at <http://www.Grants.gov/Apply>. The instructions contain the General Section and Program Section of the published NOFA as well as forms that you must complete and attach as a zip file to your

application submission. If you have difficulty accessing the information you may call the Grants.gov Support desk toll free 800-518-GRANTS or e-mail your questions to [Support@Grants.gov](mailto:Support@Grants.gov). The Support Desk staff will assist you in accessing the information. Please remember that you must be registered to submit an application utilizing Grants.gov. Your registration allows you to electronically sign the application and enables Grants.gov to authenticate that the person signing the application has legal authority to submit the application on behalf of the applicant. Please see the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk. Please be aware that the registration process is a separate process from requesting e-mail notification of funding opportunities or downloading the application and should be done as soon as you download the application from the [grants.gov](http://grants.gov) Web site. If you are not sure if you are already registered, the Grants.gov Support Desk can assist in verifying whether you are registered.

##### B. Content and Form of Application Submission

###### 1. Forms.

The following forms are required for submission. Copies of these forms are included in Appendix A of the General Section. All required forms are contained in the electronic application package.

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

b. Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);

c. Grant Application Detailed Budget (HUD-424-CB);

d. Disclosure of Lobbying Activities (SF-LLL);

e. America's Affordable Communities Initiative (HUD-27300), if applicable;

f. Applicant/Recipient Disclosure/Update Report (HUD-2880);

g. Program Logic Model (HUD-96010);

h. Client Comments and Suggestions (HUD-2994). This form is included to solicit information from the most valuable source, the applicant. The changes that we have instituted this year are designed to make things easier for the applicant. If applicants complete and submit this form, it will help us to assess whether the changes have had the intended results. It will also guide us in our continuing efforts to improve the competitive grant process. Applicants are not required to complete this form;

i. Acknowledgement of Applicant Receipt (HUD-2993). Only applicants

that do not submit an electronic application need to include this form with their application. Please complete this form if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form, but it is recommended that they do so; and

j. Facsimile Transmittal Cover Page (HUD 96011). This form must be used as part of the electronic application to transmit third party documents and other information as described in the General Section as part of your electronic application submittal (if applicable). Applicants are advised to download the application package, complete the SF 424 first and it will pre-populate the Transmittal Cover page. The Transmittal Cover page will contain a unique identifier embedded in the page that will help HUD associate your faxed materials to your application. Please download the cover page and then make multiple copies to provide to any of the entities responsible for submitting faxed materials to HUD on your behalf.

## 2. Certifications and Assurances.

Please read the General Section for detailed information on all Certifications and Assurance. All applications submitted through Grants.gov constitute an acknowledgement and agreement to all required certifications and assurances. Please include in your application each item listed below. Applicants submitting paper copy applications should submit the applications in the following order:

a. *SF-424, Application for Federal Assistance*. Please remember the following:

(1) 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 student's information);

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

(3) The total grant amount requested;

(4) The University's Employer Identification/Tax ID;

(5) The DUNS Number;

(6) The Catalog of Federal Domestic Assistance Number for the program from which you are requesting funding;

(a) Early Doctoral Student Research Grant Program is 14.517

(b) Doctoral Dissertation Research Grant Program is 14.516.

(7) The signature of the Authorized Organization Representative (AOR) who

has been authenticated by the credential provider to submit applications via Grants.gov. The AOR must be able to make a binding legal agreement with HUD. See the General Section for instructions and requirements for Registration with Grants.gov.

### b. *Table of Contents*

c. *Application Checklist*. Doctoral students should use the checklist to ensure that they have all the required components of the application. Students submitting an electronic application do not have to submit the checklist.

Students who receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application. The checklist is found in the NOFA (See Attachment A).

c. *Executive Summary* (700 words or less). The Executive Summary should, at a minimum, include a summary of the proposed research project that addresses the following information:

(1) Specific purpose of the manuscript/dissertation;

(2) Methodology being used; and

(3) How the student meets the eligibility criteria for the program from which she/he is requesting funding.

In addition, include the following information:

(1) Student's address, telephone number, facsimile number, and e-mail address at the university;

(2) The faculty/chairperson advisor's name, title, department, address, telephone number, facsimile number, and e-mail address. This person will serve as the Principal Investigator for this grant; and

(3) The designated university contact person, including phone number, facsimile number, and e-mail address.

### d. *Narrative Statement Addressing the Rating Factors*

HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. The narrative 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 in 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. The application narrative, bibliographies, and any supporting references must not exceed 20 pages in length (excluding forms, assurances, budget narrative, Table of Contents, Executive Summary,

agreements, and letters) and must be submitted on 8 1/2 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 and the name of the student and university on each page. The double-spacing requirement applies to the narrative section of the 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 page. This exclusion may result in a lower score or failure to meet a threshold requirement.

*Support Letters*—For doctoral students submitting electronic applications, please refer to Section IV.F of the General Section for further instructions on how third party documents are to be submitted to HUD via the electronic submission process.

(1) *Faculty Advisor/Dissertation Advisor Support Letter*. This letter must provide a statement from the doctoral student's faculty advisor or chairperson of the doctoral student's dissertation committee verifying the doctoral student has met all the eligibility criteria described in Section III.A, Eligible Applicant.

(2) *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.

g. *Budget*. The budget submission must include the following:

(1) *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 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 Form HUD-424-CB so that that all items are included in the total. The budget form must be fully completed. If there is any inconsistency between any required forms, the HUD-424-CB will be used. If this correction puts an application over the grant maximum, the doctoral student will not be able to correct the

amount requested and the application will be disqualified. If an application is selected for award, the applicant may be required to provide greater specificity to the budget during grant agreement negotiations.

(2) *Budget Narrative.* A narrative must be submitted that explains how the doctoral student 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.

h. *Appendix.* Doctoral students receiving a waiver of the electronic submission requirements and submitting a paper copy of the application must place all letters and other required forms in this section. For doctoral students submitting electronic applications, please refer to Section IV.F of the General Section for instructions on how third party documents are to be submitted to HUD using electronic submission process. An applicant SHOULD NOT submit general support letters, resumes, or other back-up materials. If this information is included, it will not be considered during the review process. The additional items will also slow the transmission of your application.

#### C. Submission Dates and Times

A complete application package must be received electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on or before May 18, 2005. Applications may be submitted in advance of the submission date. Electronic faxes using the Facsimile Transmittal (Form HUD 96011) cover sheet contained in the electronic application may be submitted prior to the application submission date and must be received no later than 11:59:59 p.m. Eastern time on the application submission date. Please see Section IV.F of the General Section for electronic application submission instructions and timely receipt requirements.

#### D. Intergovernmental Review

These programs are excluded from an Intergovernmental Review.

#### E. Funding Restrictions

1. Funding may only be provided to doctoral students who meet the standards for eligible applicants outlined in Section III. A.

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

#### 3. 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 their final version.

#### 4. 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.

5. 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.)

#### F. Other Submission Requirements

1. Application Submission and Receipt Procedure. Please read the General Section of the SuperNOFA carefully and completely for the submission and receipt procedures for all applications because failure to comply may disqualify a doctoral student's application.

2. Waiver of Electronic Submission Requirements. Please refer to Section IV.F4 of the General Section for further discussion.

### 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 proposed research manuscript/dissertation will produce policy-relevant information that is directly related to HUD's research priorities and/or annual goals and objectives (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. For a full list and explanation of the research priorities and/or annual goals, please refer to the General Section.

##### 3. Rating Factor 3

*Soundness of Approach (35 Points).* This factor addresses the quality and effectiveness of the proposed research design 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. *HUD Policy Priorities (2 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 General Section for further discussion). HUD encourages doctoral students to undertake research that will assist the Department in implementing its policy priorities and which help the Department achieve its goals and objectives in FY 2006. In addressing this factor, HUD will evaluate the extent to which the research will further and support HUD's priorities. The quality of a student's response to one or more of HUD's priorities will determine the score a doctoral student can receive. Students must describe how each policy priority they selected will be addressed. Students who just list a priority will receive no points.

Each policy priority addressed has a 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 students who address policy priorities is two. It is up to the student 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, a student must submit a completed questionnaire (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. This form is part of the electronic application and is constructed to permit the required documentation to be attached to the electronic form. For the full list and explanation of each policy priority, please refer to the General Section.

#### 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 Applicants only.* The extent to which the proposed research can feasibly be prepared and delivered to HUD by the end of the grant performance period.

c. Students 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 performance 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 performance period is proposed, 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 electronic means).

#### 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 "Rating Factors" 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 out of a possible 100 for Factors 1 through 5. The RC/EZ/EC-II communities, two bonus points described in the General Section, do not apply to this NOFA. 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.

#### 4. Correction to Deficient Applications

The General Section provides the procedures for correction to deficient applications.

#### C. Anticipated Announcement and Award Dates

Announcements of awards are anticipated on or before September 30, 2005.

### 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.

#### B. Administrative and National Policy Requirements

For additional information regarding these requirements, please refer to the General Section.

1. *Debriefing.* The General Section 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](mailto:Armand_W_Carriere@hud.gov).

2. *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).

3. *Administrative.* Grants awarded under this NOFA will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of

Higher Education, Hospitals and Other Non-Profit Organizations), A-21 (Cost Principles for Educational Institutions) and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).

### 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.

HUD requires that funded recipients collect racial and ethnic beneficiary data. HUD has adopted the Office of Management and Budget's Standards for the Collection of Racial and Ethnic Data. In view of these requirements, applicants should use form HUD-27061, Racial and Ethnic Data Reporting Form

or a comparable form, or a comparable electronic data system for this purpose.

### 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](mailto:Armand_W._Carriere@hud.gov) and/or Ms. Brunson at [Susan\\_S.\\_Brunson@hud.gov](mailto:Susan_S._Brunson@hud.gov).

### VIII. Other Information

#### *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**



**Attachment A--Application Checklist  
EDSRG and DDRGP**

This checklist identifies application submission requirements. Doctoral students are requested to use this checklist when preparing an application to ensure submission of all required elements. Students submitting an electronic application do not have to submit the checklist. Students that receive a waiver of the electronic application submission requirement must include a copy of the checklist in their application.

**Check off to ensure these items have been included in the application:**

\_\_\_\_\_ SF-424 "Application for Federal Assistance"

\_\_\_\_\_ Table of Contents

\_\_\_\_\_ Application Checklist (if applicable)

\_\_\_\_\_ Executive Summary (700 words or less)

**Indicate the page number where each of the Rating Factors are located:**

Narrative Statement Addressing the Rating Factors.

The application narrative must not exceed 20 pages in length (excluding required forms, assurances, table of contents, executive summary, budget narrative, commitment letters, memorandum of understanding, and agreements) double-spaced on one side of the paper, with one-inch margins (from top, bottom, left and right) printed in standard Times New Roman 12 point font).

\_\_\_\_\_ Factor I

\_\_\_\_\_ Factor II

\_\_\_\_\_ Factor III

\_\_\_\_\_ Factor IV

\_\_\_\_\_ Factor V

**Check off to ensure these items have been included in the application:**

Appendix

\_\_\_\_\_ Budget

\_\_\_\_\_ HUD 424-CB, Grant Application Detailed Budget

\_\_\_\_\_ Budget Narrative (No form provided and must be submitted for the total three-year grant period) \_\_\_\_\_ Support Letters

\_\_\_\_\_ Faculty Advisor/Dissertation Advisor

\_\_\_\_\_ University

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**Attachment B (All Required Forms)**

The following forms are required for submission. Copies of these forms are included in Appendix A of the **General Section**. All required forms are contained in the electronic application package.

- \_\_\_\_\_ Application for Federal Assistance (SF-424).
- \_\_\_\_\_ Survey on Ensuring Equal Opportunity for Applicants (SF-424 Supplement);
- \_\_\_\_\_ Grant Application Detailed Budget (HUD-424-CB);
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL);
- \_\_\_\_\_ America's Affordable Communities Initiative (HUD-27300), if applicable;
- \_\_\_\_\_ Applicant/Recipient Disclosure/Update Report (HUD-2880);
- \_\_\_\_\_ Program Logic Model (HUD-96010); and
- \_\_\_\_\_ Client Comments and Suggestions (HUD-2994), if applicable.