DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-5415-N-10]

Notice of Funding Availability (NOFA) for Fiscal Year (FY) 2010
The Doctoral Dissertation Research Grant Program

AGENCY: Office of the Assistant Secretary for Policy Development and Research, HUD.

ACTION: Notice of Funding Availability (NOFA) for HUD's Fiscal Year (FY) 2010 Doctoral Dissertation Research Grant (DDRG) Program.

SUMMARY: This NOFA announces the availability of funding for approximately $400,000 for the Doctoral Dissertation Research Grant Program. This NOFA is governed by the information and instructions found in HUD's Fiscal Year 2010 Notice of Funding Availability (NOFA) Policy Requirements and General Section that HUD published on June 7, 2010 (FR 5415-N-01).

APPLICATION DEADLINE DATE: The application deadline date is **August 16, 2010. Applications must be received by Grants.gov by the deadline date.** Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Please allow time for this process to ensure that you meet the timely receipt requirements. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the APPLICATION and SUBMISSION INFORMATION in the 2010 **General Section,** published June 7, 2010 (FR 5415-N-01) for electronic application submission and receipt requirements. This section contains information on using the most current Adobe Reader timely receipt policies, and other application information.

FOR FURTHER INFORMATION CONTACT: Questions regarding the FY 2010 **General Section**, should be directed to the Office of Departmental Grants Management and Oversight at (202) 708-0667 (this is not a toll-free number) or the NOFA Information Center at (800) HUD-8929 (toll-free). Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Information Relay Service at (800) 877-8339. The NOFA Information Center is open between the hours of 10:00 a.m. and 6:30 p.m. eastern time, Monday through Friday, except federal holidays.

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 Doctoral Dissertation Research Grant (DDRG) program.

C. Announcement Type: Initial announcement.

D. **Funding Opportunity Number:** FR-5415-N-10; OMB Approval Number for the Doctoral Dissertation Research Grant Program is 2528-0213.

E. Catalog of Federal Domestic Assistance (CFDA) Number(s): The CFDA Number for the Doctoral Dissertation Research Grant Program is 14.516

F. **Dates:** The application deadline date is **August 16, 2010. Applications must be received by Grants.gov by the deadline date.** Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Please allow time for the process to ensure that you meet the timely receipt requirements. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected. Applicants should carefully read the APPLICATION and SUBMISSION INFORMATION in the 2010 **General Section,** published June 7, 2010 (FR 5415-N-01).   This section contains information on using the most current Adobe Reader, timely receipt policies, and other application information.

G. **Additional Overview Content Information:**
1. Purpose of the Program.   To enable doctoral candidates enrolled at institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education to complete and improve the quality of their dissertations on policy-relevant housing and urban development issues.

2. Award Information. In Fiscal Year (FY) 2010, approximately $400,000 is made available for the **Doctoral Dissertation Research Grant program.** The maximum grant performance period is 24 months. The maximum amount that can be requested to sponsor a doctoral student is $25,000.

3. Eligible Applicants. Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education that sponsor a doctoral student are the official applicants. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution), conducting the research and must meet the following program requirements:
a. Be currently enrolled as a full-time student in an accredited doctoral program; and either be a U.S. citizen or U.S. national (such as a person born in the Swains Island or American Samoa) within the meaning of 8 U.S.C. § 1408, or be a lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) or other qualified alien (such as an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. § 1651(b);
b. By the application deadline date, the student's dissertation proposal/prospectus has been accepted by the full dissertation committee;
c. The student will have an assigned dissertation advisor; and
d. By September 1, 2010, the student will have satisfactorily completed all other written and oral doctoral degree requirements, including all examinations, except the dissertation.

FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

The purpose of the Doctoral Dissertation Research Grant (DDRG) program is to enable doctoral candidates enrolled at institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education to complete and improve the quality of their dissertations on policy-relevant housing and urban development issues. The FY 2010 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.

A. Topics

All research topics must focus on domestic issues that may impact federal problem solving and policymaking and that are relevant to HUD's 2010-15 Strategic Plan and Goals to Create Strong, Sustainable, Inclusive Communities and Quality Affordable Homes for All. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission to create strong, sustainable, inclusive communities and quality homes for all. To tackle the economic, financial and community development issues facing the nation, HUD has established the following strategic goals listed below to guide the direction of the Department and its programs. However, this list is intended to demonstrate the range of policy-relevant issues that may be the subject of research. Omission of an issue does not indicate that HUD would have no interest in funding that research issue. Examples of topics addressing these issues include but are not limited to:

Goal 1: Strengthen the Nation's Housing Market to Bolster the Economy and Protect Consumers
1A. Stem the foreclosure crisis.
1B. Protect and educate consumers when they buy, refinance or rent a home.
1C. Create financially sustainable homeownership opportunities.
1D. Establish an accountable and sustainable housing finance system.

Goal 2: Meet the Needs for Quality Affordable Rental Homes.
2A. End homelessness and substantially reduce the number of families and individuals with severe housing needs.
2B. Expand the supply of affordable rental homes where most needed.
2C. Preserve the affordability and improve the quality of federally-assisted and private unassisted affordable rental homes.
2D. Expand families' choices of affordable rental homes located in a broad range of communities.

Goal 3:   Utilize Housing as a Platform for Improving Quality of Life.
3A. Utilize HUD assistance to improve educational outcomes and early learning and development.
3B. Utilize HUD assistance to improve health outcomes.
3C. Utilize HUD assistance to increase economic security and self-sufficiency.

3D. Utilize HUD assistance to improve housing stability through supportive services for vulnerable populations including the elderly, people with disabilities, homeless people and those individuals and families at risk of becoming homeless.

3E. Utilize HUD assistance to improve public safety.

Goal 4: Build Inclusive and Sustainable Communities Free from Discrimination.
4A. Catalyze economic development and job creation, while enhancing and preserving community assets.
4B. Promote energy efficient buildings and location efficient communities that are healthy, affordable and diverse.
4C. Ensure open, diverse, and equitable communities.
4D. Facilitate disaster preparedness, recovery and resiliency.
4E. Build the capacity of local, state and regional public and private organizations.
A copy of HUD's Strategic Plan for FY 2010 -2015 can be found at HUD's website at
http://portal.hud.gov/portal/page/portal/HUD/program_offices/cfo/stratplan.

B. Authority
HUD's authority for making funding available under this NOFA is the Department of Housing and Urban Development Consolidated Appropriations Act, 2010 (Pub. L. 111-117 approved December 16, 2009). This program is undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970. It is being implemented through this NOFA, which, among other things, establishes the policies governing its operation.

C. Modifications
1. No funds will be awarded this year under the Early Doctoral Research Grant program.
2. As outlined this year in the **General Section,** each program NOFA must specify which Policy Priorities an applicant can address in order to receive points. Under this program NOFA, to be considered to receive points under **Factor 3, Soundness of Approach**, subfactor d., "HUD Policy Priorities" an applicant can only respond to one of the following two (2) policy priorities: Capacity Building and Knowledge Sharing or Expand Cross-Cutting Policy Knowledge. No points will be awarded to applicants that respond to any of the other priorities listed in the **General Section.**

II. Award Information
In FY 2010, approximately $400,000 has been made available for the Office of University Partnerships (OUP) DDRG program. The maximum grant performance period is 24 months. The maximum amount that can be requested to sponsor a doctoral student is $25,000.

III. Eligibility Information
A. Eligible Applicants. Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education that sponsor doctoral students are eligible to apply. An institution can sponsor more than one doctoral student. Each student is responsible for the completion of his/her own application (with the assistance of the institution), conducting the research and must meet the following program requirements:
a. Be currently enrolled as a full-time student in an accredited doctoral program and either be a U.S. citizen or U.S. national (such as a person born in the Swains Island or American Samoa) within the meaning of 8 U.S.C. § 1408, or be a lawful permanent resident (recipient of an Alien

Registration Recipient Card-Form I-551, commonly referred to as a Green Card) or other qualified alien (such as an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. § 1651(b);
b. By the application deadline date, the student's dissertation proposal/prospectus has been accepted by the full dissertation committee;
c. The student will have an assigned dissertation advisor; and
d. By September 1, 2010, the student will have satisfactorily completed all other written and oral doctoral degree requirements, including all examinations, except the dissertation.

B. Cost Sharing or Matching. None Required.

C. Other

1. **Eligible Activities.** Grant funds awarded 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. 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. **Applications that do not meet these requirements will be considered ineligible for funding and will not be eligible to receive an award.**
a. The doctoral student must meet the eligibility requirement as defined in Section III. A.;
b. The university shall enter into a Grant Agreement with HUD that provides for payment of the grant by HUD to the university, 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 will supervise the student's work under the Grant Agreement;
c. The student's institution must provide a letter agreeing to provide the student with support that is additional to what is provided to all Ph.D. students;
d. The applicant may not request more funding than the grant maximum allocated as outlined in Section II;
e. Only **one** application package per doctoral student will be reviewed. Students who have received funding under this program in the past are not eligible to receive funding;
f. Applications must receive **a minimum score of 75 points** to be considered for funding;
g. The University (the official applicant on behalf of the student) must have a DUNS number and an active registration at the Central Contractor Registration (CCR) to receive HUD grant funds (See the **General Section**); and
h. For timely receipt, electronic applications must be **received** by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date**.**

IV. Application Instructions and Submission Information

A. Instructions to Download Application Package
Grants.gov Customer Support. Grants.gov provides customer support information on its website at http://www.grants.gov/contactus/contactus.jsp. Applicants having difficulty accessing the application and instructions or having technical problems can receive customer support from Grants.gov by calling (800) 518-GRANTS (this is a toll-free number) or by sending an email to support@grants.gov. The Grants.gov Help Desk can be reached 24 hours per day, 7 days per week, except federal holidays. HUD recommends calling the Help Desk rather than emailing, because determining the basis for the problem may take some conversation with the Grants.gov Support Customer Service Representative. See the **General Section** for information regarding the registration process or ask for registration information from the Grants.gov Support Desk.

B. Application Content and Forms for Submission
1. Application Content. Applications must consist of the following elements: table of contents, executive summary, narrative for the rating factors, budget, budget narrative, and other program specific forms. The general process for downloading, completing, submitting, and tracking grant application packages is described at http://www07.grants.gov/applicants/apply_for_grants.jsp.
a. SF_424_Application_for_Federal_Assistance. Please remember the following:
    (1) The name of the applicant for this program is the University. Please make sure that the name of the applicant in box 8a is the University's legal name and that the University's DUNS number and address are 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 contact at the University **who will receive all pertinent information from HUD regarding this application**; **therefore, please ensure the accuracy of the information; this person must have knowledge of the content of the application submitted under this program;**
    (3) The total grant amount requested for the total performance period of the grant;
    (4) The University's Employer Identification/Tax ID;
    (5) The DUNS Number associated to the applicant's legal name identified in Box 8a of the SF_424 form;
    (6) The Catalog of Federal Domestic Assistance Number for the program is 14.516; and
    (7) The signature of the Authorized Organization Representative (AOR) who by virtue of submitting an application via Grants.gov has been authenticated by the credential provider and approved by the University's eBusiness Point of Contact to submit applications on behalf of the institution. If the AOR has not been granted approval to submit the application, the application will be rejected by the Grants.gov system. The AOR must be able to make a legally binding agreement with HUD. See the **General Section** for further information.
b. Table of Contents.
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) Brief overview of the proposed research (including title);
    (2) Specific purpose of the dissertation;
    (3) Methodology being used;
    (4) Intellectual merit of conducting the research;
    (5) The broader impact of conducting the research; and
    (6) How the student meets the eligibility criteria for the program.
    In addition, include the following information:

(a) Student's address, telephone number, facsimile number, and e-mail address; and

(b) The faculty 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.

d. <u>Narrative statement addressing the rating factors</u>. HUD will use the narrative response to the "Rating Factors" to evaluate, rate, and rank applications. This NOFA has four rating factors that need to be addressed. 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. The narrative should be numbered in accordance with each factor and subfactor. **All applicants submitting electronic applications must attach their narrative responses to Rating Factors 1-3 as one attachment. Remember, Factor 4 is addressed by using the HUD_96010_Program_Outcome_Logic_Model form. Please do not repeat material in response to factors 1-3; 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. Do not include any Social Security Numbers in the application. The application narrative, bibliographies, and any supporting references must not exceed 15 pages in length (excluding forms, assurances, budget narrative, table of contents, executive summary, and letter of support) and must be submitted and formatted to fit an 8 ½ by 11-inch paper, double-spaced, with one-inch margins (for the top, bottom, left, and right sides of the document) and in standard Times New Roman 12-point font. Each page must be numbered and the name of the student and university must be on each page. The double-spacing requirement applies to the narrative section of the application (excluding references and bibliographies). 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. **Please do not attach your response to each factor separately. Please follow the instructions on use of zipped files, file extensions, and file names in the General Section. File names should not contain spaces, dashes or special characters**. **Failure to follow the file name requirements can result in your application being rejected by the Grants.gov system.**

e. <u>Budget.</u> 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, HUD_424_CB, and budget narrative are consistent and the budget totals are correct. Remember to check addition in totaling the categories on the HUD_424_CB form so that all items are included in the total. The budget form must be fully completed. If there is any inconsistency between any required forms and/or budget narrative, 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/doctoral student 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 estimate for each line item. The proposed cost 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. The doctoral student must pay close attention to accurately estimating costs, determining the necessity for and reasonableness of costs proposed, and correctly computing all budget items and totals.

(3) Indirect cost. **Indirect cost rates cannot be charged under this program.**

f. Appendix. The appendix section of an application must not exceed five (5) pages in length (excluding forms, budget narrative, and assurances). Each page must be numbered and include the student's name and university name. **Students SHOULD NOT submit a resume/curriculum vitae, or other back-up materials to supplement the application's narrative.** If this information is included, it will not be considered during the review process.

2. Forms. The following forms are needed for submission. All forms listed below must be placed in the appendix section of the application.

a. SF_424_Supplement Survey_on_-Ensuring_Equal_Opportunities_for_Applicants (Faith-Based EEO_Survey (SF424 SUPP);

b. SF_LLL_Disclosure_of_Lobbying_Activities, if applicable;

c. HUD_2880_Applicant/Recipient_Disclosure/Update_Report (HUD Applicant_Recipient_ Disclosure_Report), if applicable;

d. HUD_2993_Acknowledgement_of_Applicant_Receipt. Applicants/doctoral students are not required to include this form, but if you want a receipt, please include in your application with the name and address completed;

e. HUD_96010_Program_Outcome_Logic_Model and

f. HUD_96011_Third_Party_Documentation_Facsimile_Transmittal (Facsimile_ Transmittal_Form" on Grants.gov). This form must be used as the cover page to transmit third party documents and other information. Applicants are advised to download the application package and complete the SF_424, which 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 do not use your own fax sheet. HUD will not read any faxes that are sent without the HUD_96011 fax transmittal cover page. **Note: In order for your application to be transmitted you must complete this form even if you are not faxing any documents. In the section of the form titled "Name of Document Transmitting," enter the words "Nothing Faxed with this Application." Complete the remaining highlighted fields and enter the number "0" in the section of the form titled "How many pages (including cover) are being faxed?" It is important that you read the General Section for other specifics.**

3. Certifications and Assurances. Please read the **General Section** for detailed information on all Certifications and Assurances.

When submitting attachment files, please pay close attention to the requirements for naming the attachment files. Attachment file names cannot have spaces, special characters or be longer than 50 characters in length. Failure to follow these directions will result in a "VIRUSDETECT" error message and your application being rejected by the Grants.gov system.

C. **Receipt Date and Time**.

A completed application must be received by Grants.gov no later than 11:59:59 p.m. eastern time on the application deadline date of August 16, 2010. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Please allow time for this process to ensure that you meet the timely receipt requirements. Please see the 2010 **General Section** for instructions for timely receipt, including actions to take if the application is rejected   Applicants should carefully read the section APPLICATION INSTRUCTIONS and SUBMISSION INFORMATION in the **General Section**. This section contains information on using the most current Adobe Reader, timely receipt policies, and other application required information.

D. **Intergovernmental Review**
    This program is excluded from the Intergovernmental Review process.

E. **Funding Restrictions**

1. Funding will only be provided to doctoral students who meet the standards for eligible applicants outlined in Section III. A.
2. Grant funds awarded under this NOFA may not be used to pay for tuition, computer hardware, or meals.
3. Indirect cost rates and honorariums cannot be charged against grants under this program.
4. Institutions that have had previously awarded grants under this program 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**).
5. Six thousand dollars of the grant funds will be held until the doctoral student's dissertation has been completed, approved by committee, and two final copies, an approval letter from the committee, and a CD-ROM containing an electronic copy of the final dissertation are submitted to HUD.

F. **Other Submission Requirements**

1. Application Submission and Timely Receipt Instructions
Applications under this NOFA must be received electronically through the Federal website Grants.gov, unless a waiver of this requirement is granted in accordance with the instructions below. The procedures for electronic submission of applications are published in HUD's **General Section.** Applicants must follow the instructions included in the **General Section**, unless a waiver for cause in accordance with HUD's waiver policy of 24 CFR 5.1005, to the electronic application requirements is approved by HUD. Applicants requesting a waiver must submit their requests in writing no later than 15 days prior to the application deadline date. The letter must be addressed to Dr. Raphael W. Bostic, the Assistant Secretary for Policy Development and Research and be submitted via e-mail or fax to:
        Susan Brunson
        Office of University Partnerships
        E-mail: Susan.S.Brunson@hud.gov
        FAX: (202) 708-0309
Paper applications will not be accepted from applicants that have not been granted a waiver. If an applicant is granted a waiver, the approval notice will provide instructions for application submission and receipt requirements. **All applications in paper format must have received a waiver to the electronic application requirement and must be received no later than 4:59:59 p.m. close of business on the application deadline date.**
        The application deadline for receipt of HUD applications via Grants.gov is 11:59:59 p.m. eastern time on the application deadline date. Applications must be received by Grants.gov by the deadline in order to meet the program deadline. Received means that the application has been successfully uploaded to the Grants.gov server and the applicant has received confirmation of successful submission to Grants.gov. Applicants should be aware that hitting the "sign and submit" button to transmit the application does not mean the application has been successfully

uploaded to Grants.gov. Only when the upload is complete is the application date and time stamped by the Grants.gov system. An application that has been rejected by Grants.gov is not deemed to have been received by Grants.gov. Please see the **General Section** for a detailed explanation of Timely Receipt Requirements and Proof of Timely Receipt. As in the past, HUD encourages applicants to submit their applications early and with sufficient time to address any issues that might affect the applicant's ability to have an application successfully uploaded and received by Grants.gov.

The paragraphs below describe HUD's Grace Period Policy for FY 2010.

a. Applicants that have successfully uploaded their application to Grants.gov prior to the deadline, and subsequently receive a rejection notice from Grants.gov after the deadline date and time will have a one-day grace period from the date stamp on the first Grants.gov rejection notice after the deadline to cure the basis for the rejection and upload an application that corrects the problems cited in the rejection notice. Applicants can upload the application as many times as needed to cure noted deficiencies within the one-day grace period. The Grants.gov rejection notice identifies the reasons why the application was rejected. Applicants that do not understand the error messages received in the rejection notice should immediately contact the Grants.gov Help Desk so they can get assistance in clearing the problem. Generally, Grants.gov will reject an application because it contains an incorrect DUNS number or a DUNS number that does not match the AOR's registration, the application was submitted by an individual without proper authorization as the AOR, and/or the application contains file names that trigger a "VirusDetect" message. The grace period ends one-day after the date stamp on the first rejection notice received after the deadline date. WARNING: Applications that contain file names which are longer than 50 characters (HUD recommends using file names with 32 characters or less), or contain spaces, dashes or special characters, will result in the file being detected as a virus by the Grants.gov system and the application will be rejected with a "VirusDetect" message. In FY 2009, the use of spaces and special characters in file names, and the use of file names which were longer than fifty characters, resulted in the most instances of an applicant receiving a "VirusDetect" rejection. Applicants should also scan files for viruses because the Grants.gov system will also reject files with viruses.

Applications received by Grants.gov, including those received during the grace period, must be validated by Grants.gov to be rated or ranked or receive funding consideration by HUD. HUD will use the date and time stamp on the Grants.gov system to determine dates when the grace period begins and ends.

b. Applications uploaded to Grants.gov after the deadline date under the following circumstances do not qualify for the grace period and will not be considered for funding:

(1) Applications uploaded and received by Grants.gov after the deadline date and time for which there is no prior rejection notice in the Grants.gov system logs will be considered late and will not be rated and ranked or receive funding consideration. Failure to successfully upload the application to Grants.gov by the deadline date and time does not qualify for the grace period as described above.

(2) Applications receiving a rejection notice due to the funding opportunity being closed will not be provided the one-day grace period to correct the "opportunity closed" deficiency or any other basis for rejection because the applicant missed the deadline date and time and therefore does not qualify for the grace period as described above.

(3) If an application is uploaded during the grace period and is subsequently rejected after the grace period ends, the applicant will not be afforded additional time to correct the deficiency (ies) noted in the rejection notice.

c. The grace period ends at 11:59:59 p.m. eastern time one-day from the date stamp on the first rejection notice issued by the Grants.gov system to the email address provided in the Grants.gov registration. Applicants must ensure that their email notification address contained in the Grants.gov registration is up-to-date. Neither HUD nor Grants.gov will be responsible if email messages are not received at the address listed in the registration process. Applicants must also ensure that their email systems will accept messages from Grants.gov. Applicants are responsible for monitoring their email messages. Messages from Grants.gov come from Support@grants.gov.
d. The only exceptions to HUD's grace period policy are:

(1) The Grants.gov system is down and not available to applicants for at least 24 hours prior to the deadline date, or the system is down for 24 hours or longer, impacting the ability of applicants to cure a submission deficiency within the grace period; and/or

(2) There is a presidentially declared disaster in the applicant's area. In the event of either or both of these events, HUD will publish a notice extending the deadline or cure period, for applicants affected, as appropriate.
e. Busy servers or slow processing are not the basis for HUD to extend the deadline dates or the grace period.

Applicants are advised to monitor the Grants.gov system using the Grants.gov blog at http://grants-gov.blogspot.com. The Grants.gov blog provides information on server capacity, traffic on the Grants.gov site, and other federal grant closings each day.   Applicants should monitor the site and take into account the amount of traffic on the site when applying.

Applicants should also be aware that they can track the status of their application by going to Grants.gov and clicking on "Track My Application". On that page, you can enter up to five Grant Tracking numbers for your submitted applications. Applicants can see the progress without having to look for the email notifications.
2. An applicant will not be provided additional opportunities to correct rejection errors if an application is rejected after the one-day grace period has expired.
As with any electronic system, applicants may experience issues when attempting to submit their application which does not permit the uploading of the application to Grants.gov. Such issues can be due to firewall and virus protection software that the applicant has placed on their system or network; proxy and cache settings; Internet traffic; limitation on the size of the files attempting to be transmitted established at the applicant's site or by the applicant's Internet provider; Grants.gov servers experiencing busy traffic; or any number of issues. Therefore, HUD strongly advises applicants to submit their applications at least 48 hours prior to the deadline and when the Grants.gov Help Desk is open so that assistance can be provided. Assistance may require diagnosing an applicant's particular issues. An applicant that does not follow HUD's advice increases the applicant's risk of not being able to meet the timely receipt requirements. A submission attempt less than the recommended 48 hours before the deadline does not allow the time needed to research the reason for the problem or to work with the applicant in overcoming the uploading difficulty. Similarly, attempting to submit within 24 hours of the deadline or on days when the Grants.gov Help Desk is closed does not allow the time needed for Grants.gov or HUD to provide the needed assistance. In addition, HUD staff cannot provide assistance or contact Grants.gov on your behalf on days when the Help Desk is closed. HUD strongly encourages applicants to carefully read the **General Section** for additional information regarding the Grants.gov registration process, submitting an application through Grants.gov, and timely receipt instructions. HUD also encourages applicants to submit their applications early with sufficient time to address issues that might prevent their applications from being received by Grants.gov.

Applicants should also note that Adobe has put out a new version of Adobe Reader compatible with Grants.gov. Applicants must use the latest versions of the Adobe Reader compatible with Grants.gov. To check which version of Adobe Acrobat you are using, go to the Help menu in Adobe Acrobat and then select "About Acrobat." A text box will appear containing an Adobe logo with a number. Under that information, you will see another number; this is the version number of your software (e.g., 8.1.1, 8.1.2, or 8.1.3, 9.0, etc.).

V. Application Review Information:

A. Criteria

1. Rating Factor 1: Capacity to do the Research (25 Points). In reviewing this factor, HUD will determine the extent to which the doctoral student clearly addresses the following:
a. Describe the research skills and expertise possessed to conduct research. Research skills and expertise will be judged in terms of how recent they are. Research skills and expertise developed within the last two (2) years will be considered recent.
b. Describe the knowledge and experience possessed to undertake the proposed research hypothesis. Knowledge and experience will be judged in terms of how relevant it is to the research proposed (e.g., course work, teaching, research projects, and presentations). Knowledge and experience developed within the last five (5) years in the area of the proposed research will be considered relevant.
c. Provide a detailed list that outlines the preliminary steps that were taken (e.g., literature review, research hypothesis, questions to be answered) to identify the proposed dissertation topic/hypothesis.

2. Rating Factor 2: Need for the Research (15 Points). This factor addresses the extent to which there is a need and a demand for funding the proposed research. HUD encourages doctoral students to undertake research that will assist the Department in implementing its 2010-2015 Strategic Plan and Goals to Create Strong, Sustainable, Inclusive Communities and Quality Affordable Homes for All. HUD is committed to ensuring that programs result in the achievement of HUD's strategic mission to create strong, sustainable, inclusive communities and quality homes for all. In reviewing this factor, HUD will determine the extent to which the doctoral student clearly addresses the following:
a. Describe the need for funding the proposed research dissertation (i.e., based on questions derived from identified gaps in the literature, and/or knowledge from professional practice).
b. Describe the significance of the work, including its relationship to current research.
c. Discuss the results or findings the proposed research dissertation is expected to produce, broader impact expected, and explain why the information will be generally accepted by researchers and practitioners in your field and other related disciplines.
d. If an applicant proposes a topic not covered by HUD's Strategic Goals, the applicant must explain the relevance of that topic to HUD's Strategic Plan for FY 2010-2015, and how the proposed research will assist HUD in meeting its strategic goals and success measures contained in the HUD Strategic Plan.

3. Rating Factor 3: Soundness of Approach (50 Points). This factor addresses the relationship between the need proposed in Factor 2, the quality and effectiveness of the proposed research,

methodology and 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. **(22 Points) Quality of Research**.

　　　(1) State the proposed research question/hypothesis and how it relates to the need described in Factor 2;

　　　(2) Describe in detail the proposed research design as it relates to the question/hypothesis stated above;

　　　(3) Explain how the proposed methodology will be used to complete the proposed dissertation;

　　　(4) Explain why the research design and methodology proposed are most appropriate and will produce data and information that will successfully answer the research hypothesis;

　　　(5) Identify potential obstacles in completing the research and discuss how they will be handled. If completing the proposed dissertation is dependent on any data sources that are not readily attainable and require obtaining permission to access them, please outline the alternatives that will be utilized to complete the research should access to the data sources not be obtained; and

　　　(6) Describe the quality assurance mechanisms that will be integrated into the proposed research design to ensure the validity and quality of the results.

b. **(20 Points) Specific Activities.** The work plan/research schedule must identify all the major tasks/benchmarks involved in completing the proposed research. The tasks/benchmarks must be presented in a logical sequence of steps and phases, with individual tasks described for each, as well as plans for data management and analysis.

　　　(1) Indicate the sequence in which these tasks/benchmarks will be performed;

　　　(2) 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 preferred);

　　　(3) Describe the plan that will be used to manage and analyze the data; and

　　　(4) Identify any key individuals assisting in the proposed activities.

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, zero points will be awarded for this factor.

　　　The major tasks and benchmarks/deliverables identified must be consistent with those presented on the HUD_96010, Program_Outcome_Logic_Model.

c. **(3 Points) Dissemination Strategies.** In reviewing this subfactor, HUD will assess the doctoral student's ability to disseminate results of the research. Describe specific activities you plan to undertake to disseminate the research. Examples of common dissemination strategies include, but are not limited to the following: presenting the research at academic and professional conferences, publishing research in peer-reviewed academic journals or research briefs and editorials in trade publications, issuing press releases, targeted mailings, utilizing the Web sites, e-mail, listservs, and other efforts intended to target findings to a relevant audience of researchers, policymakers, and practitioners.

d. (2 Points) HUD Policy Priorities. As described in the **General Section**, HUD is encouraging applicants to undertake programs and projects consistent with the HUD Strategic Plan for FY 2010-2015. HUD's Policy Priorities are also established to encourage applicant to take additional actions to help achieve HUD's strategic goal. As outlined in the **General Section,** this year each NOFA will specify which Policy Priorities are applicable to receive points under the specific program, as well as the total number of possible points that may be awarded. Under this program NOFA applicants can only receive two (2) points and respond to one of the following two policy priorities: 1) Capacity Building and Knowledge Sharing, or 2) Expand Cross-Cutting Policy Knowledge. Each policy priority listed has a value of up to two (2) points associated with the priority. It is up to the applicant to determine which of the policy priorities outlined below (and only the priorities listed below) they will address in order to receive the available two (2) points.

(1) Capacity Building and Knowledge Sharing- Applicants requesting the policy priority points must demonstrate the proposed direct impact their research can have in their field. To receive the full two (2) points under this policy priority an applicant must respond to at least one or more of the activities listed below and explain how success will be measured during the grant performance period:

a. Activities

- Implementation of a research dissemination plan.
- Integration of the research findings with other researchers and/or practitioners in the related field of study.
- Presentation of research findings at an academic and/or professional conference.

b. Measures of success:

- Development of at least one (1) new activity by partner organizations as a result of the outcomes of the research to enhance current program. Examples may include needs assessments, data analysis utilization of technology, performance management and evaluation specific to the programmatic purpose of the grant.
- Presentation of research finding at two (2) or more academic and/or professional conferences in the related field of study.

(2) Expand Cross-Cutting Policy Knowledge- To receive the full two (2) points under this policy priority an applicant must respond to at least one or more of the activities listed below and explain how success will be measured during the grant performance period:

a. Activities:

- Identify partnerships/relationships that will be established with other entities to capture and track the data collected as a result of the research conducted.
- Meet with representatives from State and local government to share research findings.
- Conduct presentations of research to policymakers and/or decision makers to enhance knowledge of housing issues.

b. Measure of Success:

- Development of at least two (2) partnerships/relationships to capture and track data collected as a result of the research conducted.
- Development of a publishable document that will serve as a guide to implement a reliable cross cutting program as related to housing issues and possible modifications to existing policies.
- Presentation of research findings at one (1) or more conferences/gathering to State and local government representatives.

Applicants that just list a priority, select priorities other than those listed above, and/or do not address the minimum required items outlined will receive no points under this subfactor. Please refer to the General Section for additional information about HUD's policy priorities.

e. **(3 Points) Institutional Support.** This subfactor addresses the student's ability to secure support from their institution. The student must provide a support letter from the institution that details and outlines the specific types of support/resources the institution will provide to support the student's research (i.e., labor cost to transcribe interviews, assistance with cost associated with data collection, student workspace, etc.). This support must be in addition to what is provided to all Ph.D. students. The letter must also describe the dollar value of the in-kind goods and/or service committed. **This letter must be included with the application at the time of submission and be signed by the appropriate executive officer/official authorized at the University and be submitted on the University's letterhead addressed to Sherone Ivey, Deputy Assistant Secretary for the Office of University Partnerships.**   If the support letter cannot be attached to the application, the letter can be faxed using the HUD_96011_Third_Party_ Documentation_Facsimile_Transmittal (Facsimile_Transmittal_Form on Grants.gov). This form must be used as the cover page to transmit this letter. Please do not use your own fax sheet. HUD will not read any faxes that are sent without the HUD_96011 fax transmittal form as the cover page to the faxed document(s).

4. Rating Factor 4: Achieving Results and Program Evaluation (10 Points). This factor reflects HUD's goal to embrace high standards of management and accountability. It measures the student's commitment to assess their performance to complete their proposed research within the grant performance period. Students are required to develop an effective, quantifiable, outcome oriented evaluation plan for measuring performance and determining the outputs to achieve their proposed outcome(s). The Logic Model is a summary of the narrative statements presented in Factors 1 through 3. Therefore, it should be consistent with the information contained in the narrative statements.

In evaluating this factor, HUD will assess the extent to which the doctoral student demonstrates how results of completing the dissertation will be measured as outlined in the proposed work plan. To meet this factor requirement, doctoral students must submit a completed HUD_96010_HUD_Program_Outcome_Logic_Model. Doctoral students must select from the list of activities and outcomes to determine their specific methods and measures that will be used to assess progress and evaluate program effectiveness. If an item is not found on the list of activities or outcomes, applicants can select "other" and then insert the activity and/or outcome and unit of measurement. Doctoral students can use the "other" option for up to three activities and three outcomes. See the instructions tab in the Logic Model for further details. HUD will not accept activities or outcomes selected as "other" that do not contain an identified statement of the activities/outcomes or units of measurement. Utilizing this form will help doctoral students to ensure that performance measures are being met and achievable realistic goals are being established.

a. Logic Model instructions (using a Microsoft Excel® form) are provided on the Logic model form that can be downloaded from http://www07.grants.gov/applicants/apply_for_grants.jsp. Doctoral students who do not have access to Microsoft Excel® 2003 or 2007, should contact the

NOFA Information Center at (800) HUD-8929. Individuals with hearing or speech impairments may access this number via the toll-free Federal Information Relay Service at (800) 877-8339. **NOTE: A narrative response is not required for this factor as all doctoral students must use the Logic Model form to respond to this factor.** However, if a narrative is included, these pages will be included in the page count. HUD has developed a new approach to completing this form. Doctoral students should also review the Logic Model training, which can be found online at http://www.hud.gov/webcasts/index.cfm.

b. HUD will review the outputs and outcomes in relation to the needs identified. "**Outcomes**" are ultimate goals. A student must clearly identify the outcomes to be measured and achieved. Examples of outcomes are the completion of the research dissertation, the cultivation of research skills by the student, the plan to disseminate the research, and the benefits of the research study to HUD's policy priorities and annual goals and objectives.

In addition, a student must establish outputs that lead to the ultimate achievement of the outcomes. **"Outputs"** are the direct benchmarks and indicators that will allow a student to measure their performance. Performance indicators should be objectively quantifiable and measure actual achievements. At a minimum, the doctoral student must address the following activities in the evaluation plan:

(1) Identify benchmarks that will be used to track the progress of the research study; and
(2) Indicate the sequence in which tasks will be performed.

Students must also reference policy priorities, as stated in their response to Factor 3, and relate them to the completion of the dissertation.

HUD will evaluate the Logic Model in accordance with the matrix provided in Attachment 1 of the **General Section.**

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.
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 that 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 4. The **RC_EZ_EC-II** communities' two bonus points described in the **General Section** do not apply to this NOFA. HUD will fund applications 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 3, shall be selected. If there is still a tie, the application with the higher points for Factor 2, 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 a doctoral student turns down the award offer, HUD will make an offer to the next highest-ranking application.

4. **Correction to Deficient Applications.** See the **General Section.**

C. **Anticipated Announcement and Award Dates**

Announcements of awards are anticipated on or before September 30, 2010.

VI. Award Administration Information

A. Award Notices

After all selections have been made, HUD will notify all winning applicants (not students) in writing. HUD may require winning applicants and doctoral students 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.** 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 within 30 days of receipt of comments to Susan Brunson, Office of University Partnerships, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 8226, Washington, DC 20410-6000. Applicants may also write to Ms. Brunson via e-mail at Susan.S.Brunson@hud.gov.

2. Environmental Requirements. The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under 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), OMB Circular A-21 (Cost Principles for Educational Institutions) and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). Applicants can access the OMB circulars at the White House Web site at: http://www.whitehouse.gov/omb/circulars/index.html.

C. **Reporting Requirements**

All doctoral students that receive grant funds under this program NOFA are required to submit a progress report and Program Outcome Logic Model annually through the grant period, outlining the progress made to date toward completion of the research dissertation and the likelihood that it will be completed on time.

At the end of the grant performance period, doctoral students must submit to HUD two copies and a CD-ROM containing an electronic copy of the approved dissertation in its final version and a final complete Program Outcome Logic Model, a final financial report, as well as a

signed letter of approval from the dissertation committee. **Titles of the dissertation must not be changed from the title awarded unless prior approval has been received from HUD.**

VII. Agency Contacts

Doctoral students may contact Susan Brunson, Office of University Partnerships at (202) 402-3852 or Sherone Ivey at (202) 402-4200. 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 Ms. Brunson via e-mail at Susan.S.Brunson@hud.gov and/or Sherone Ivey at Sherone.Ivey@hud.gov.
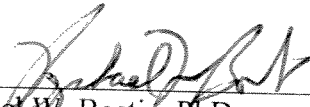
VIII. Other Information:

A. 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 2528-0213 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.

B. Environmental. This NOFA does not direct, provide for assistance, or loan and mortgage insurance for, or otherwise govern or regulate, real property acquisition, disposition, leasing, rehabilitation, alteration, demolition, or new construction, or establish, revise, or provide for standards for construction or construction materials, manufactured housing, or occupancy. Accordingly, under 24 CFR 50.19(c) (1), this NOFA is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).

Dated: JUL 1 5 2010
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Raphael W. Bostic, PhD
Assistant Secretary for
Policy Development and Research

[FR 5415-N-10]