

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**UNIVERSITY AND COLLEGE
PROGRAMS**

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

Billing Code 4210-01-C

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: FR-5100-N-27; OMB Approval Numbers are:

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 deadline date is May 2, 2007. Applications must be received and validated by Grants.gov by the deadline date. 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. To enable doctoral students enrolled at institutions of higher education accredited by a national or regional accrediting agency 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. 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 their research and dissertations on policy-relevant housing and urban development issues.

2. Award Information. In Fiscal Year (FY) 2007, approximately \$405,000 has been made available for the following Office of University Partnerships (OUP) dissertation programs.

a. Early Doctoral Student Research Grant Program. Approximately \$105,000 is available for funding. The maximum grant performance period is 12 months. The maximum amount that can be requested by a doctoral student is \$15,000.

b. Doctoral Dissertation Research Grant Program. Approximately \$300,000 is available for funding. The maximum grant performance period is 24 months. The maximum amount that can be requested by a doctoral student is \$25,000.

If funding remains after all eligible EDSRG doctoral students have been selected for award, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students have been selected for award, the remaining funds will be made available to fund eligible EDSRG doctoral students.

3. Eligible Applicants. Eligible applicants are institutions of higher education accredited by a national or regional accrediting agency 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 sponsored 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); and

(5) Have an assigned faculty advisor to supervise the research manuscript.

b. Doctoral Dissertation Research Grant Program. Doctoral students sponsored 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) By the application deadline date, the student's dissertation proposal will

be accepted by the full dissertation committee;

(4) The student will have an assigned dissertation advisor; and

(5) By September 1, 2007, the student will have satisfactorily completed all other written and oral doctoral degree requirements, including all examinations and defense of the proposal, except the dissertation.

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 institution of higher education accredited by a national or regional accrediting agency 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 FY2007 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 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 their research and dissertations on policy-relevant housing and urban development issues. The FY2007 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 areas affected by Hurricane Katrina, 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. Authority

HUD's authority for making funding available under this NOFA is the Revised Continuing Appropriations Resolution, 2007 (Pub. L. 110-5; approved February 15, 2007). 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.

E. Modifications

Listed below are major modifications from the Fiscal Year (FY) 2005 program-funding announcement:

1. A support letter from the doctoral student's assigned faculty advisor is no longer required.

2. A support letter from the doctoral student's institution is no longer required to be submitted with the application, but must be on file at the time of application submission. This is a threshold requirement. HUD will require students chosen to proceed to the next step in the selection process to submit the support letter from the institution seven (7) calendar days after initial contact from the OUP. OUP will provide specific instructions on how the letter must be submitted at that time. OUP must receive the support letter within the allotted timeframe or the application will not be funded.

3. All applicants submitting electronic applications must attach their narrative response to Rating Factors 1-4 as one attachment.

4. The appendix section of an application must not exceed five (5) pages in length (excluding forms, budget narrative, and assurances). An applicant SHOULD NOT submit resumes, commitment letters, memoranda of understanding and/or agreements, or other back-up material. Each page must include the applicant's name and be numbered. HUD will not consider the information on any excess page.

II. Award Information

In Fiscal Year (FY) 2007, approximately \$405,000 has been made available for the Office of University Partnerships (OUP) dissertation programs as follows:

A. Early Doctoral Student Research Grant Program. Approximately \$105,000 will be made available for funding under this program. The maximum grant performance period is 12 months. The maximum amount that can be requested by a doctoral student is \$15,000.

B. Doctoral Dissertation Research Grant Program. Approximately \$300,000 will be made available for funding under this program. The maximum grant performance period is 24 months. The maximum amount that can be requested by a doctoral student is \$25,000. If funding remains after all eligible EDSRG doctoral students have been selected for award, the remaining funds will be made available to fund eligible DDRG doctoral students. If funding remains after all eligible DDRG doctoral students have been selected for award, the remaining funds will be

made available to fund eligible EDSRG doctoral students.

III. Eligibility Information

A. Eligible Applicants. Eligible applicants are institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education that sponsor doctoral students who meet 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.

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. By the application deadline date, the student's dissertation proposal has been accepted by the full dissertation committee and the student has been assigned a dissertation advisor; and

d. By September 1, 2007, the student will have satisfactorily completed all other written and oral doctoral degree requirements, including all examinations and defense of the proposal, 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 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;

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's institution must provide a letter agreeing to support the student. The letter must outline the specific type of support the institution will provide as part of this grant. This support may not replace support or assistance the institution would otherwise provide to students. A support letter from the doctoral student's institution is no longer required at the time of application submission, but must be on file at the time of application submission. Students chosen to proceed to the next step in the selection process will be required to submit the support letter from the institution seven (7) calendar days after initial contact from the OUP office. OUP will provide specific instructions on how the letter must be submitted at that time. If OUP does not receive the support letter within the allotted timeframe, the application will not be funded and the funding will be made available to the next eligible applicant.

d. The applicant has requested no more funding than the grant maximum allocated for the program for which they are requesting funding as outlined in Section II;

e. 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;

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 to receive HUD grant funds (See the General); and

h. Electronic applications must be received and validated by Grants.gov no later than 11:59:59 p.m. eastern time on the application dateline date.

IV. Application and Submission Information

A. Addresses to Request Application Package

Applicants may download the instructions to the application found on the Grants.gov Web site at http://www.grants.gov/applicants/apply_for_grants.jsp. 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. Applicants must be registered to submit an application via Grants.gov. See the General Section for information regarding the registration process or ask for registration information from the Grants.gov Support Desk.

B. Content and Form of Application Submission

1. Forms. The following forms are required for submission, except where otherwise noted.

a. SF-424, Application for Federal Assistance;

b. SF-424 Supplement, Survey on Ensuring Equal Opportunities for Applicants ("Faith Based EEO Survey (SF-424 SUPP)" on Grants.gov);

c. HUD-424-CB, Grant Application Detailed Budget ("HUD Detailed Budget Form" on Grants.gov);

d. SF-LLL, Disclosure of Lobbying Activities;

e. HUD-27300, Questionnaire for HUD's Removal of Regulatory Barriers ("HUD Communities Initiative Form" on Grants.gov), if applicable;

f. HUD-2880, Applicant/Recipient Disclosure/Update Report ("HUD Applicant Recipient Disclosure Report" on Grants.gov);

g. HUD-96010, Program Outcome Logic Model;

h. HUD-2994-A, You Are Our Client! Grant Applicant Survey (Optional)

i. HUD-2993, Acknowledgement of Applicant Receipt. Complete this form only if you have received a waiver to the electronic application submission requirement. Applicants submitting electronically are not required to include this form; and

j. 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, 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. Please do not use your own fax cover sheet. HUD will not read any faxes that are sent without the HUD-96011 fax transmittal cover page.

2. Certifications and Assurances. Please read the General Section for detailed information on all Certifications and Assurances. 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 that will receive all information pertinent to this grant including notification for the support letter from the University if required; therefore please ensure the accuracy of the information;

(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;

(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 by virtue of submitting an application via Grants.gov has been authenticated by the credential provider to submit applications on behalf of the Institution and approved by the eBusiness Point of Contact to submit an application via Grants.gov. 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. 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 can be located in Appendix A.

d. 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; and

(2) 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.

e. 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 15 pages in length (excluding forms, assurances, budget narrative, Table of Contents, and Executive Summary) and must be submitted on 8½ by 11-inch paper, double-spaced on one side of the paper, with one inch margins (from the top, bottom, left, and right side of the document) and printed in standard Times New Roman 12-point font. Each page must be numbered 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. All applicants submitting electronic applications must attach their narrative response to Rating Factors 1–4 as one attachment. Please do not attach your response to each factor separately. Please follow the instructions on file extension and file names in the General Section.

f. 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. Please remember that this support may not replace support or assistance that the institution would otherwise provide the student. Doctoral students are not required to submit this letter with their application but it must be on file at the time of application submission. Students chosen to proceed to the next step in the selection process will be required to submit the support letter from the institution seven calendar days after initial contact from the OUP. OUP will provide specific instructions on how the letter must be submitted at that time. If OUP does not receive the support letter within the allotted timeframe, the application will not be funded and the funding will be made available to the next eligible applicant.

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 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 required forms in this section. The appendix section of an application must not exceed five (5) pages in length (excluding forms, budget narrative and assurances). Each page must include the applicant's name and be numbered. An applicant SHOULD NOT submit 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 and validated electronically by the Grants.gov portal no later than 11:59:59 p.m. eastern time on or before the application deadline date. In an effort to address any issues with transmission of your application, applicants are strongly encouraged to submit their applications at least 48 to 72 hours prior to the application deadline. This will allow an applicant enough time to make the necessary adjustments to meet the deadline in the event Grants.gov rejects the application. Please see the General Section for further instructions. Electronic faxes using the Facsimile Transmittal Cover Sheet (Form HUD-96011) contained in the electronic application must be received no later than 11:59:59 p.m. eastern time on the application deadline date.

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. under the program for which they are requesting funding.

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 its 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 in its final version.

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 carefully and completely for the electronic submission and receipt procedures for all applications because failure to comply may disqualify a doctoral student's application.

2. Waiver of Electronic Submission Requirements. Applicants should submit their waiver requests in writing using e-mail or fax. Waiver requests must be submitted no later than 15 days prior to the application deadline date and should be submitted to: Susan Brunson, Office of University Partnerships, Email: 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 Office of University Partnerships will provide instructions for submission. All applicants submitting applications in paper format must have received a waiver to the electronic application submission requirement and the application must be received by HUD on or before the application deadline date.

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 skills and expertise you possess 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 you possess to undertake the proposed research hypotheses. 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 hypotheses, questions to be answered) to identify the proposed manuscript/dissertation topic/hypotheses.

2. Rating Factor 2. Need for the Research (15 Points). This factor addresses the extent to which there is a need for funding the proposed research. 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 2007. In reviewing this factor, HUD will determine the extent to which the doctoral student clearly addresses the following:

a. Describe the need for funding your proposed research manuscript/dissertation.

b. Express the impact your proposed research manuscript/dissertation may have in producing information that will be generally accepted in the relevant research community.

c. Explain the direct relationship between your proposed manuscript/dissertation and at least one of HUD's 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). For a full list and explanation of the annual goal and objectives, please refer to the General Section.

3. Rating Factor 3. Soundness of Approach (50 Points). This factor addresses the quality and effectiveness of the proposed research and methodology and the actions regarding

HUD's policy priorities. This factor will be evaluated based on the extent to which the proposed work plan will demonstrate the following:

a. (25 Points) Quality of Research.

(1) Describe in detail the proposed research design and methodology that will be used to complete the proposed manuscript/dissertation. (2). Describe how the research design and methodology proposed will produce data and information that will successfully answer the research hypothesis.

b. (20 Points) Specific Activities. The work plan must identify all the major tasks involved in completing the proposed research;

(1) Indicate the sequence in which these tasks 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 recommended); and

(3) 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.

c. (2 Points) HUD Policy Priorities. As described in the General Section, to earn points under this subfactor, HUD requires applicants to undertake specific activities that will assist the Department in implementing its policy priorities and that help the Department achieve its goals and objectives in FY2008, when the majority of grant recipients will be reporting programmatic results and achievement. In addressing this subfactor, HUD will evaluate the extent to which a program will further and support HUD priorities. The quality of the responses provided to one or more of HUD's priorities will determine the score an applicant can receive. Applicants must describe how each policy priority is addressed. Applicants that just list a priority will receive no points.

The total number of points an applicant can receive under this subfactor is two (2). Each policy priority

addressed has a point value of one (1) point, with the exception of the policy priority related to removal of regulatory barriers to affordable housing, which has a value of up to two (2) points. To receive these two (2) points, an applicant must: (1) Complete either Part A or Part B (not both), (2) include appropriate documentation, (3) identify a point of contact, (4) indicate how this priority will be addressed and (5) submit the completed questionnaire, (HUD-27300) "HUD's Initiative on Removal of Regulatory Barriers" found in the General Section along with required documentation. It is up to the applicant to determine which of the policy priorities they elect to address to receive the available two (2) points.

d. (3 Points) Dissemination Strategies. In reviewing this subfactor, HUD will assess the doctoral student's ability to disseminate results of the research. Describe your plan to disseminate the research.

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 1-3. Therefore, the information submitted on the logic model should be consistent with the information contained in the narrative statements.

"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 manuscript/dissertation, the cultivation of research skills to 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 interim benchmarks and 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, an applicant must address the following activities in the evaluation plan:

(1) Identify benchmarks that will be used to track the progress of your study;

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

(3) Identify potential obstacles in meeting the objectives, and discuss how the obstacles will be handled;

This information must be included under this section on a HUD-96010, Program Logic Model form. HUD has developed a new approach to completing this form. Please carefully read the General Section for instructions, training is available. (Form HUD-96010 will be excluded from the page count.) If an applicant utilizes "other" from the Logic Model categories, then the applicant should describe briefly this "other" category within the Rating Factor 4 narrative. If a narrative is provided, those pages will be included in the page count.

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 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 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 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 an applicant turns down the award offer, HUD will make the same determination for 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, 2008.

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.

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 8106, 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 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.

C. Reporting Requirements

All doctoral students that receive grant funds under this program 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.

At the end of the grant performance period doctoral students must submit two copies of the approved manuscript/dissertation to HUD in its final version.

Titles of the manuscript/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) 708-3061, extension 3852 or Sherone Ivey at (202) 708-3061, extension 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_E._Ivey@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.

Appendix A—Application Checklist

EDSRG and DDRG

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 15 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). Applicants that submit applications via Grants.gov should review the General Section for information about file names and extensions. File names should not contain spaces or special characters.

- Factor I
- Factor II

- Factor III
- Factor IV

Check off to ensure these items have been included in the application: Appendix. The appendix section of an application must not exceed five (5) pages in length (excluding forms, budget narrative, and assurances).

- Budget
- Grant Application Detailed Budget, (HUD-CB) ("HUD Detailed Budget Form" on Grants.gov)
- Budget Narrative (No form provided and must be submitted for the total grant period)

Appendix B—All Required Forms

The following forms are required for submission. 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) ("Faith Based EEO Survey (SF-424 SUPP)" on Grants.gov)
- Grant Application Detailed Budget (HUD-424-CB) ("HUD Detailed Budget Form" on Grants.gov)
- Disclosure of Lobbying Activities (SF-LLL); if applicable
- Questionnaire for HUD's Removal of Regulatory Barriers (HUD-27300) ("HUD Communities Initiative Form" on Grants.gov), if applicable
- Applicant/Recipient Disclosure/Update Report (HUD-2880) ("HUD Applicant Recipient Disclosure Report" on Grants.gov)
- Client Comments and Suggestions (HUD-2994), if applicable
- You Are Our Client! Grant Applicant Survey (HUD-2994-A)
- Program Outcome Logic Model (HUD-96010)
- HUD-96011, Third Party Documentation Facsimile Transmittal ("Facsimile Transmittal Form" on Grants.gov)