

# **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-5200-N-22; 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 **June 12, 2008**. **Applications must be received and validated by Grants.gov by the deadline date.** Please be sure to read the **General Section**, published March 19, 2008 (73 FR 14882), for electronic submission and receipt requirements.

### **G. Additional Overview Content Information:**

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

**a. Early Doctoral Student Research Grant (EDSRG) Program.** To enable pre-candidacy 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) 2008, approximately \$400,000 has been made available for the following Office of University Partnerships (OUP) dissertation programs.

**a. Early Doctoral Student Research Grant Program.** Approximately \$100,000 is available for funding. The maximum grant performance period is 12 months. The maximum amount that can be requested to sponsor 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 to sponsor a doctoral student is \$25,000.

If funding allotted for the EDSRG program remains after all eligible EDSRG doctoral students have been selected for award, those 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.** 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 is the official applicant. However, the sponsored doctoral student is

responsible for the completion of the application (with the assistance of the institution) and must meet the following program requirements:

a. **Early Doctoral Student Research Grant Program.** Pre-candidacy 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 in an accredited doctoral program;
- (2) By the application deadline date, the student's dissertation proposal/prospectus will be accepted by the full dissertation committee;
- (3) The student will have an assigned dissertation advisor; and

(4) By September 1, 2008, 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**

#### **A. Early Doctoral Student Research Grant (EDSRG) Program**

The purpose of the EDSRG program is to enable pre-candidacy 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 FY2008 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 FY2008 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**

All research topics must focus on domestic issues that may impact federal problem solving and policymaking and that are relevant to HUD's policy priorities and annual goals and objectives. Examples of topics addressing these issues (applicable to both the EDSRG and DDRG programs) include but are not limited to:

### **1. Increase Homeownership Opportunities**

- a. 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, and 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 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 Consolidated Appropriations Act, 2008 (Pub. L. 110-161). 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 which, among other things, establishes the policies governing their operation.

**E. Modifications**

Listed below are major modifications from the Fiscal Year (FY) 2007 program-funding announcement:

1. A support letter from the doctoral student's institution will now be scored under **Factor 3, Institutional Support**. Applicants are now required to submit the letter with the application. This letter must provide details on what type of assistance the institution will give to the student to support the student's research.
2. Indirect cost rates cannot be charged against this grant.

## **II. Award Information**

In FY 2008, approximately \$400,000 has been made available for the Office of University Partnerships (OUP) dissertation programs as follows:

**A. Early Doctoral Student Research Grant Program.** Approximately \$100,000 will be made available for funding under this program. The maximum grant performance period is 12 months. The maximum amount that can be requested to sponsor 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 to sponsor doctoral student is \$25,000.

HUD intends to fund the highest scoring EDSRG and DDRG doctoral applications until all available funds are awarded under each program. Once all eligible applicants are selected for award under the EDSRG, if funding is left from the original funding allotted for the EDSRG program due to an insufficient number of eligible EDSRG applicants, the remaining funds will be made available to fund eligible DDRG doctoral students that could not be funded because all funds allotted under the DDRG program has been utilized. Similarly, once all eligible DDRG applicants are selected for

award, if any funding allotted for the DDRG program remains due to an insufficient number of eligible DDRG applicants, the remaining funds will be made available to fund eligible EDSRG doctoral students that could not be funded because all EDSRG funds will be utilized.

### **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 or her own application (with the assistance of the institution) and must meet the following program requirements:

**1. Early Doctoral Student Research Grant Program.** Pre-candidacy 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. 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, 2008, 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, and 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;
  - d. The applicant may not request 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 Section**); 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 Instructions and Submission Information**

##### **A. Instructions to Download 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](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](mailto: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. Application Content and Forms for Submission**

**1. Application Content.** Applications must consist of the following elements: table of content, executive summary, narrative for the rating factors, budget, budget narrative, and forms. Applicants that received a waiver of the electronic application submission requirement must submit their application in the order below. Copies of the instructions and all forms are available online at

[http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.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 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 pertinent information from HUD regarding this grant; 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; and

(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. 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;

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.

d. Narrative statement addressing the rating factors. 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 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. Do not include any individual's Social Security Numbers in this 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 electronically 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. **All applicants submitting electronic applications must attach their narrative response to Rating Factors 1-3 as one attachment. Please do not attach your response to each factor separately. Please follow the instructions on use of zip files, file extension, and file names in the General Section. File names should not contain spaces or special characters.**

e. 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, 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 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.

(3) Indirect cost. **Indirect cost rates cannot be charged under these programs.**

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 include the applicant’s name and be numbered. **An applicant SHOULD NOT submit resumes/curriculum vitas, 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. **The additional items will also slow the transmission of your application.**

**2. Forms.** The following forms are required for submission. All required forms are contained in the electronic application package. However, doctoral students receiving a waiver of the electronic submission requirements that are submitting a paper copy of the application must place all required forms in this section.

- a. SF-424 Supplement, Survey on Ensuring Equal Opportunities for Applicants ("Faith Based EEO Survey (SF-424 SUPP)" on Grants.gov);
- b. SF-LLL, Disclosure of Lobbying Activities, if applicable;
- c. HUD-27300, Questionnaire for HUD's Removal of Regulatory Barriers ("HUD Communities Initiative Form" on Grants.gov), if applicable;
- d. HUD-2880, Applicant/Recipient Disclosure/Update Report ("HUD Applicant Recipient Disclosure Report" on Grants.gov), if applicable;
- e. HUD-2993, Acknowledgement of Applicant Receipt. Complete this form only if you have received a waiver to the electronic application submission requirement. Applicants are not required to include this form;
- f. HUD-2994-A, You Are Our Client! Grant Applicant Survey. Applicants are not required to complete this form;
- g. HUD-96010, Program Outcome Logic Model; and
- h. 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 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.

**3. 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.

#### **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 **June 12, 2008**, 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 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. 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. Indirect cost rates and honorariums cannot be charged against grants under this program.

4. Institutions that have had previously awarded grants under these programs terminated for non-performance and have outstanding funds owed to HUD resulting from the termination, will be excluded from competition until the outstanding funds are repaid.

(Applicants must comply with the Delinquent Federal Debt Requirement as defined in the **General Section**).

5. **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 academic conferences or journals, and two copies of the research product and a CD-ROM are submitted to HUD in its final version.

6. **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 and a CD-Rom are submitted to HUD in its final version.

## **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

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 Office of University Partnerships (OUP) 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.** All paper applications must be submitted on 8 ½ by 11-inch paper, double-spaced on one side of the paper, with one inch margins (for the top, bottom, left, and right sides of the document) and printed in standard Times New Roman 12-point font.

## **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 and a demand 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 FY2008. 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 manuscript/dissertation (i.e., based on questions derived from identified gaps in the literature, and/or knowledge from professional practice).
- b. Discuss the results or findings the proposed research manuscript/dissertation is expected to produce and explain why the information will be generally accepted by researchers and practitioners in your field and other related disciplines.
- c. Explain the direct relationship between the 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 relationship between the need proposed in Factor 2, 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. **(22 Points) Quality of Research.**

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

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

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

(4) Discuss why you think the research design and methodology proposed is 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 your research 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 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 recommended);

(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 present on the HUD-96010, Program Outcome Logic Model.

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 FY 2009. 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) submit either Part A or Part B (not both) of completed questionnaire, HUD-27300, "HUD's Initiative on Removal of Regulatory Barriers," found in the **General Section**; (2) include appropriate documentation; (3) identify a point of contact; and (4)

indicate how this priority will be addressed. It is up to the applicant to determine which of the policy priorities they will address in order 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. Common dissemination strategies include proposing to present 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, use of websites, e-mail, list-serves, and other efforts intended to target findings to a relevant audience of researchers, policy makers and practitioners.

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.**

**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 Program Outcome 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 applicant demonstrates how results of the project will be measured as outlined in the proposed work plan. To meet this factor requirement, applicants must submit a completed HUD-96010, "HUD Program Outcome Logic Model." Applicants 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. Applicants 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 grantees to ensure that performance measures are being met and they are establishing achievable realistic goals.

a. Program Outcome Logic Model instructions (using a Microsoft Excel<sup>TM</sup> form) are provided in the forms appended to the Instruction Download from [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Applicants that do not have access to Microsoft Excel<sup>TM</sup> 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 and/or The Center for Applied Management Practices at (717) 730-3705 (this is not a toll-free number).

**NOTE: A narrative response is not required for this factor as all applicants 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. Applicants should also review the Program Outcome 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 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 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; and
- (2) Indicate the sequence in which tasks will be performed.

Students must also reference policy priorities, as stated in your response to Factor 3, and relate them to the project’s goals, as appropriate.

HUD will evaluate the Program Outcome 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 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 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, 2008.

**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 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 8106, Washington, DC 20410-6000. Applicants may also write to Ms. Brunson via e-mail at [Susan.S.Brunson@hud.gov](mailto: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), 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 report and Program Outcome Logic Model 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 to HUD two copies and a CD-Rom of the approved manuscript/dissertation in its final version and a final complete Program Outcome Logic Model.** 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) 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](mailto:Susan.S.Brunson@hud.gov) and/or Sherone Ivey at [Sherone.Ivey@hud.gov](mailto:Sherone.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.