

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**DOCTORAL DISSERTATION  
RESEARCH GRANT PROGRAM**



## FUNDING AVAILABILITY FOR DOCTORAL DISSERTATION RESEARCH GRANT PROGRAM

### Program Overview

*Purpose of the Program.* To assist Ph.D. candidates complete their research and dissertations on housing and urban development issues.

*Available Funds.* Approximately \$600,000.

*Eligible Applicants.* Only Ph.D. candidates who have completed all of their doctoral program requirements except the preparation of the dissertation.

*Application Deadline.* April 26, 2001.

*Match.* None.

### Additional Information

#### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

*Application Due Date.* Your completed application is due on or before 12:00 midnight, Eastern Time on April 26, 2001. You should read the general section of the SuperNOFA because it contains more detailed information about the application due date.

*Address for Submitting Applications.* Your completed application consists of an original signed application and an electronic copy of the application. If you are submitting your application by mail, you should send it to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 5B, 2277 Research Blvd., Rockville, MD 20850. If you are hand-delivering your application on or before the due date, you should deliver it to Room 8110 during normal business hours or to the South Lobby after these hours and before midnight. You should read the General Section of the SuperNOFA because it contains more detailed information on submission deadlines. Please mark on the envelope for your application that it is the Doctoral Dissertation Research Grant Program.

HUD will accept only one application per Ph.D. candidate.

*For Application Kits.* The application requirements are contained in this program NOFA. There is no separate application kit for the program.

*For Further Information and Technical Assistance.* You may contact Jane Karadbil of HUD's Office of University Partnerships at 202-708-1537, extension 5918. If you have a hearing or speech impairment, you may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. You may

also write to Ms. Karadbil via email at Jane\_R\_Karadbil@hud.gov.

#### II. Amount Allocated

Approximately \$600,000 in FY 2001 funds is being made available under this SuperNOFA for the Doctoral Dissertation Research Grant Program (DDRG).

The maximum grant period is 24 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to a Ph.D. candidate is \$30,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

#### III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* The purpose of DDRG is to enable Ph.D. candidates enrolled at accredited institutions of higher education to complete their research and dissertations on HUD-related housing and urban development issues. The FY 2001 DDRG program seeks to fund dissertations that will inform Federal problem-solving and policy making relating to HUD's policy priorities for this year. These priorities are:

(1) Economic development in "untapped" markets—e.g., efforts to create or expand businesses while meeting the needs of under-served inner-city, older suburb, or rural areas; expansion of access to capital; joint ventures with community-based organizations;

(2) Development of inner cities—e.g., studies of reinvestment pressures; theories of capital/land/market failure that explain why vast areas of many cities have essentially lain dormant or suffered depopulation and/or disinvestment patterns; government policies or market interventions that would alleviate these patterns;

(3) Issues in housing finance—e.g., institutional barriers to efficiency in the housing finance system; enabling the housing finance system to better serve low-income and minority borrowers more effectively; the present and future role of FHA in housing finance;

(4) Affordability of rental housing—e.g., policy and program options in tight or "hot" markets; innovative partnerships or finance; impacts on very-low-income families; preservation of existing housing stock;

(5) Homeownership—e.g., relative importance of factors in tenure decisions; estimation of private and social benefits and costs of homeownership; role in household

savings and investment decisions; effects of demographics, macro-economic environment, and government policies on homeownership;

(6) Regionalism and "Smart Growth"—e.g., the economic interdependence of cities and suburbs; connecting the disadvantaged to metropolitan resources; sustainable growth attentive to the economy, the environment, and social equity; rehabilitation and infill development; fiscal disparity issues; and regional problem-solving and coalition building;

(7) Housing markets—e.g., factors affecting rents, home values, tenure, vacancy rates, market absorption of new units, construction activity;

(8) Housing stock—e.g., durability of stock; factors determining rehabilitation and remodeling; comparisons with stock in other developed countries;

(9) Workforce development through the roles of place-based initiatives, community-based organizations, educational institutions, and housing providers—e.g., roles; impacts and effectiveness; links to welfare-to-work; emerging models;

(10) Fair housing—e.g., effectiveness of local initiatives; emerging models; links to schooling or other services; zoning and land use; political management and coalition building; NIMBY-ism; effect on low-income families; gentrification; housing choice; environmental justice;

(11) Housing needs of the elderly and persons with disabilities—e.g., availability; design and quality; affordability; accessibility; linked services; aging in place;

(12) Community development and community building—e.g., impacts and effectiveness; faith-based and higher education community building efforts; emerging models; challenges and pitfalls;

(13) Home equity conversion mortgages (HECMs)—e.g., impact of HECMS on social welfare, availability of housing for younger families, effect on optimal aggregate debt to housing equity ratio as the population ages;

(14) Evaluation of existing housing programs—e.g., opting out of Section 8 project-based contracts, cost-benefit analyses of alternative methods for providing housing assistance; and

(15) Evaluation of college/community partnerships focused on community and economic development and methods for institutionalizing these partnerships at colleges and universities.

(B) *Eligible Applicants.* You must be a currently enrolled and matriculating student who has been accepted into candidacy in an accredited doctoral program at an accredited institution of

higher education and have a fully developed and approved dissertation proposal. You must provide documentation from your dissertation committee chair that:

(1) By the application due date, your dissertation proposal has been accepted by your full dissertation committee and you have been assigned a dissertation advisor;

(2) By September 1, 2001, you will have satisfactorily completed all other written and oral Ph.D. requirements, including all your examinations and defense of your proposal, except the dissertation; and

(3) It is realistic to believe that the dissertation can be completed within the two-year grant period.

In addition, you and your institution must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA.

(C) *Eligible Activities.* Your grant must support direct costs incurred in the timely completion of a dissertation. Eligible costs include stipends, computer software, the purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Six thousand dollars of the grant will be held back until you have completed your dissertation, had it approved by your committee, and submitted it to HUD.

(D) *Ineligible Activities.* Your grant may not be used to pay for tuition, computer hardware, or meals.

(E) *Other Requirements.* (1) *Support from your university.* Support from your university is required. Such support might include tuition waivers, office space, equipment, computer time, or similar items you might need in order to complete your dissertation. This support may not replace support or assistance that your institution would otherwise provide you.

(2) *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 applicant, and that further provides all required certifications and assurances. The university shall agree to provide as the Principal Investigator under the Grant Agreement a dissertation advisor or chair of the applicant's dissertation committee who shall supervise the work of the applicant under the Grant Agreement.

(3) *Progress reporting.* You will be required to submit a report, at the end of the first year of your grant, on the progress you have made towards completion of the dissertation and the

likelihood that you will complete it on time.

#### IV. Application Selection Process

HUD will conduct two types of review: a threshold review to determine your eligibility to apply; and a technical review to rate your application based on the rating factors in this section.

(A) *Threshold Factors for Funding Consideration.* Under this threshold review, your application can only be rated if the following standards are met:

(1) You are an eligible Ph.D. candidate, as defined in Section III(B) above and have provided a letter from your dissertation committee chair, in the format in Appendix A, confirming this;

(2) You have requested no more than the \$30,000 grant maximum; and

(3) Your institution has agreed to provide some support to you as part of this grant.

(B) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points for this program is 100.

##### Rating Factor 1: Relevance of Your Dissertation to the Department's Mission and Research Priorities (35 points)

In reviewing this factor, HUD will determine the extent to which your dissertation will produce policy-relevant information that is directly related to one of the research priorities listed above (i.e., the research that will be produced could have an effect on HUD's strategic goals and HUD's programs and policies to achieve these goals—see the HUD web site at <http://www.hud.gov/reform/strpln.html> for a discussion of these goals). The less directly related to one of these topics your dissertation is, the less points you will receive. For example, a study of minorities' housing choice decisions would have high relevance to HUD's strategic goals; a study of transportation inequities would have medium relevance; and a study of the effects of global warming on urban development would have low relevance.

##### Rating Factor 2: Quality of Your Research Design (35 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology are likely to produce data and information that will successfully answer your research hypotheses. HUD will also evaluate the extent to which the methodology you propose to use is sound and generally accepted by the

relevant research community. Reviewers will be looking at the extent to which you use standard methodological practices in line with research already completed or existing publications in the field related to your research questions.

##### Rating Factor 3: Your Skills and Preparation (20 points)

In reviewing this factor, HUD will determine the extent to which your skills and experience are relevant to your proposed dissertation (e.g., course work, teaching, research projects, presentations). HUD will determine the extent to which you have undertaken appropriate preparation (e.g., selecting sites for data collection, identifying potential interviewees and categories of interviewees, pre-clearance on interviews) to undertake the dissertation. HUD will also determine the extent to which your previous research experience (e.g., graduate-level research projects, presentations at conferences, publications, etc.) is relevant to and supportive of your proposed dissertation.

##### Rating Factor 4: Timely Completion of Your Dissertation (10 points)

In reviewing this factor, HUD will determine the extent to which your research design and methodology and plan for completion of the dissertation can be completed within the two-year grant period. Applications that propose extremely complex and time-consuming data collection efforts (e.g., major longitudinal studies or a very large number of sites visits within the two year grant period) will be determined to be less feasible of completion within the allowed time frame. For example, if you propose a methodology based on information that may not be publicly available until after the end of the two-year grant period (e.g., Census information), or a data collection plan that will take longer than the time you have allowed for it, you will get a lower score than if you have presented a time line and methodology that show evidence that the dissertation can be completed within the grant period.

(C) *Selections.* In order to be funded, you must receive a minimum score of 70 points. HUD will fund applications in rank order, until it has awarded all available funds. If two or more applications have the same number of points, the application with the most points for Factor 1, Relevance to HUD's Mission, shall be selected. If there is still a tie, the application with the most points for Factor 2, Quality of the Research Design, shall be selected.

After all application selections have been made, HUD may require that you participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. In cases where HUD cannot successfully complete negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with that applicant.

**V. Application Submission Requirements**

You should include an original and one computer disk (in Word 6.0 or higher) of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

Your application must contain the items listed in this section and they must be included in the order shown here. There is no separate application kit for this program. These items include the standard forms, certifications, and assurances listed in the General Section of the SuperNOFA that are applicable to this funding (collectively referred to as the "standard forms"). The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application, referred to as the "non-standard forms," can be found as Appendix A to this program section of the SuperNOFA. Sample documents are also included in this appendix. The items are as follows:

(A) *SF-424, Application for Federal Assistance*. Include the name and address of the person authorized to execute the grant agreement in Block 5. Include the institution's tax ID number in Block 6. The Catalogue of Federal Domestic Assistance number for the program is 14.516. The form should be signed by the appropriate university official.

(B) *Table of contents of the application*.

(C) *Transmittal Letter*, from you, containing the following information:

- (1) Title of your dissertation;
- (2) Your name, university and home addresses, university and home telephone and facsimile numbers, and email address;

(3) Your university's name, department, mailing address, telephone and facsimile numbers.

(4) Your dissertation advisor's name, address, telephone and facsimile numbers—this person will serve as the Principal Investigator for the grant.

(D) A statement from your dissertation advisor or chair of the dissertation committee that you have met all the eligibility criteria described in Section III(B) (see Appendix A for a sample).

(E) A statement from the appropriate official that describes your university's support, as described in Section III(E) (see Appendix B for a sample).

(F) An abstract of 500 words or less that addresses the following topics:

- (1) Specific purpose of the dissertation;
- (2) Methodology being used; and
- (3) How you meet the eligibility criteria.

(G) A narrative of the proposed research, not to exceed 10 double-spaced typed pages. Do not submit your dissertation proposal itself. This narrative must include the following in the following order:

- (1) Statement of the problem;
- (2) Research design and methodology;
- (3) Policy relevance of the research;
- (4) Your resume including educational background, research experience, publications, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.

(H) A proposed budget (See Appendix C for a sample).

(I) *Certifications*. These forms must be signed by the doctoral candidate and can be downloaded from the HUD web site at [www.hud.gov](http://www.hud.gov).

(1) HUD-2992, Certification regarding debarment and suspension pursuant to 24 CFR part 24.

(2) HUD-50071, Disclosure of lobbying pursuant to 24 CFR part 87.

(3) HUD-50070, Certification of Drug-Free Workplace, pursuant to 24 CFR 24.600 *et seq*.

(J) *Acknowledgment of Receipt of Applications (HUD-2993)*. If you wish to confirm that HUD received your application, please complete this form. This form is optional.

**VI. Environmental Requirements**

The provision of assistance under this program is categorically excluded from environmental review under the National Environmental Policy Act of

1969 (42 U.S.C. 4321) and not subject to compliance actions for related environmental authorities under § 50.19(b)(1) and (b)(9).

**VII. Authority**

This program is being undertaken under HUD's research authority under Title V of the Housing and Urban Development Act of 1970.

**Appendices A, B and C**

The non-standard sample forms and letters, which follow are required for your Doctoral Dissertation Research Grant application.

**Appendix A—Sample Statement From Advisor**

March 10, 2001

To Whom It May Concern: John Jones, Ph.D. candidate in urban studies at Northern State University, as of the date of this letter, he will have defended his dissertation proposal, it has been formally approved by the dissertation committee, and a dissertation advisor has been assigned to him. In addition, he will have completed all written and oral Ph.D. examination requirements by September 1, 2001. It is realistic to believe that Mr. Jones' dissertation can be completed within a two-year period.

Sincerely,

Dr. Peter Paul, Professor of Urban Studies and Chairman of John Jones' Dissertation Committee

**Appendix B—Sample Description of University Support**

March 9, 2001

To Whom It May Concern: Sarah Grey is a Ph.D. student in the Geography Department of Eastern University, working on a dissertation titled "Redevelopment Practices in Lower Manhattan." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Ms. Grey without charge to the grant for which she is applying.

Sincerely,

Prof. Bradley Street, Department of Geography, Dissertation Committee Chair

**Appendix C—Budget Instructions**

A sample budget for an application is shown below. The categories of expenses shown do not necessarily apply to all applications, and some applications may have expense categories not shown. The sample is representative, not binding.

"A Study of Faith-Based Organizations's Effectiveness in Local Community Development Projects"

John Jones, 621 Elm Street, Academia, USA  
12345, March 10, 2000

Services:

Applicant (J. Jones):

\_\_\_\_\_ days @ \$ \_\_\_\_\_ /day ..... = \$ \_\_\_\_\_ x,xxx

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Other Professionals:		
A. Smith, _____ days @ \$ _____ /day .....	= \$	xx,xxx
B. Brown, _____ days @ \$ _____ /day .....	= \$	xxx
Clerical:		
C. Johnson, _____ days @ \$ _____ /day .....	= \$	xxx
Subtotal, service .....	= \$	xx,xxx
Other:		
Travel: _____ trips @ \$ _____ /day .....	= \$	x,xxx
Computer usage .....	= \$	xxx
Reproduction costs .....	= \$	xxx
Phone, mailing, misc. materials .....	= \$	xxx
Subtotal, Other .....	= \$	x,xxx
Total Estimated Cost .....	= \$	xx,xxx

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