

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HUD URBAN SCHOLARS  
FELLOWSHIP PROGRAM**



## FUNDING AVAILABILITY FOR HUD URBAN SCHOLARS FELLOWSHIP PROGRAM

### Program Overview

*Purpose of the Program.* To provide encouragement to new scholars to undertake research now, and throughout their careers, on research topics of interest to HUD.

*Available Funds.* Approximately \$550,000.

*Eligible Applicants:* Only Ph.D.s who have an academic appointment at an institution of higher education and have received their Ph.D.s no earlier than January 1, 1996.

*Application Deadline.* June 5, 2001.

*Match.* University support in terms of course load reductions, indirect costs waived, space, etc. are required.

### Additional Information

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

*Application Due Date.* Your completed application must be received on or before 5:00 pm Eastern time, on June 5, 2001.

*Address for Submitting Applications.* Your completed application consists of an original signed application, which can be submitted in hard copy or electronically. Submit your completed application to the following address: The Fellowship Office/HUD TJ 2041, National Research Council, 2101 Constitution Avenue, N.W., Washington, DC 20418. Please mark on the envelope for your application that it is the HUD Urban Scholars Fellowship Program.

HUD will accept only one application for an applicant.

*For Application Kits.* An application kit can be obtained by calling or writing the Fellowship Office/HUD, TJ 2041, National Research Council, 2101 Constitution Avenue, N.W., Washington DC 20418, telephone number 202-334-2872 and facsimile number 202-334-3419. The application kit can be downloaded from the Internet at <http://national-academies.org/osep/fo>.

*For Further Information and Technical Assistance.* You may call the above number. You may also write to NAS via e-mail at [infofell@nas.edu](mailto:infofell@nas.edu).

#### II. Amount Allocated

Approximately \$550,000 in FY 2001 funds is being made available under this SuperNOFA for the HUD Urban Scholars Fellowship Program.

The maximum grant period is 15 months. The performance period will commence on the effective date of the grant agreement.

The maximum amount to be requested by and awarded to an applicant is \$55,000. NAS 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 purposes of the HUD Urban Scholars Program are to:

- (1) Fund research relevant to HUD priorities and issues;
- (2) Provide encouragement to new scholars to undertake research now, and for the rest of their careers, on research topics of interest to HUD; and
- (3) Have an impact on the academic context in which these scholars work so that this kind of research becomes highly valued. The research priorities for the HUD Urban Scholars Program are designed to inform Federal problem-solving and policy making relating to HUD's strategic goals for this year.

Listed below are these goals and examples of research topics. Proposals are not limited to these example topics but should, in any case, relate to one of the HUD strategic goals listed below.

#### Goal #1, Improving Community Quality of Life and Economic Vitality

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

(3) 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 or disinvestment; government policies or market interventions that would alleviate these patterns.

(4) 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.

(5) Community development and community building—e.g., impacts and effectiveness; faith-based and higher

education community building efforts; emerging models; challenges and pitfalls.

(6) Understanding the basic processes of urban demographic, social, and/or political change.

#### Goal #2, Promoting Self-sufficiency and Asset Development by Families and Individuals

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

(2) 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.

(3) Strategies to combat homelessness—e.g., effective models, causes; links to welfare-to-work and affordable housing; issues of and responses to youth homelessness.

#### Goal #3, Increasing the Availability of Decent, Safe, and Affordable Housing in American Communities

(1) 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.

(2) 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.

(3) Homeownership—e.g., relative importance of factors in tenure decisions; estimation of private and social benefits and costs of homeownership; role in employment, household savings, and investment decisions; effects of demographics, macro-economic environment, and government policies on homeownership.

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

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

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

(7) 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.

#### Goal #4, Ensuring Equal Opportunity in Housing for All Americans

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

(2) Discrimination in housing and lending—e.g., methods to detect discrimination; systemic patterns and practices.

(3) Concentration of poverty—e.g., impact of housing strategies; effective strategies to promote deconcentration.

(B) *Eligible Applicants*. You must have your Ph.D. and meet the following conditions:

(1) You must have an academic appointment with an institution of higher education. This means that you must either be on a tenure track or be on a term (teaching or research) appointment that will extend beyond the 15-month duration of this fellowship;

(2) You must have received your Ph.D. no earlier than January 1, 1996;

(3) It is realistic to believe that your proposed research project can be completed within the 15-month fellowship period; and

(4) You must have support from your institution as attested to in the letter described below in Section III(E)(1).

In addition, you 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 costs related to completion of your research project. Eligible costs include, but are not limited to, your salary for two summers, graduate assistants to work on the project, up to \$2,500 per course for the cost of employing a replacement for the course(s) your university relieves you from teaching, computer software, survey development and administration, the purchase of data, travel expenses to collect data or to make presentations at meetings on your findings; transcription services, compensation for interviews; and no more than eight (8) percent of the university's indirect costs.

(D) *Ineligible Activities*. Your grant may not be used to pay for tuition, computer hardware, meals, relocation costs, or other costs not directly related to your research project. Fellowship

funding cannot be used to substitute for university funding.

(E) *Other Requirements*. (1) *Support from your university*. Support from your university is required. Institutions will be required to contribute, at a minimum, the following:

(a) Designating a faculty advisor to monitor your progress on your research project;

(b) Office space, computer usage, etc.; and

(c) Waived indirect costs above the eight percent allowed to be covered by this fellowship. In addition, your application will be viewed more favorably if your institution agrees to reduce your course load by at least one course per term or semester, but to continue paying you your full salary.

(2) *Progress reporting*. You will be required to submit a report, halfway through your fellowship, on the progress you have made towards completion of the research project and the likelihood that you will complete it on time.

(3) *Mentors*. You will be required to work with a mentor on your research project. The mentor, who can be someone in your institution or elsewhere, should be a well-respected scholar in the area of your research topic. The mentor will be expected to provide you with advice and direction on substantive research issues. The mentor and the faculty monitor described above can be, but do not have to be, the same person.

#### IV. Application Selection Process

The competition and selection process for this program will be run by the National Academy of Sciences (NAS). NAS 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 eligible to apply for this program, as defined in Section III(B) above and have provided a letter from department chair confirming this;

(2) You have obtained a mentor and have included a letter from this person confirming this and describing his/her role in your research;

(3) Your institution has agreed to provide some support to you, above that provided by this funding, 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: Appropriateness of Your Methodology and Approach to the Topic (25 points)

In reviewing this factor, NAS 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. NAS 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 2: Ability of Your Research Project To Add to the Knowledge Base of the Topic To Be Studied (20 points)

In reviewing this factor, NAS will determine the extent to which your proposed project undertakes research on an area not covered by previous research or proposes to look at a previously studied research topic in a new and different way. Reviewers will look the clarity and compellingness of the case the applicant makes for this project in the context of the existing literature and knowledge base for that topic.

#### Rating Factor 3: Relevance of Your Research to HUD's Strategic Goals (15 points)

In reviewing this factor, NAS will determine the extent to which your proposed research project will produce policy-relevant information that is directly related to one of the strategic goals listed above (i.e., the research could have an effect on one of the goals and on HUD's programs and policies to achieve these goals). More information can be found about these goals by going to the HUD web site at <http://www.hud.gov/reform/strpln.html>. The less directly related to one of these goals your research project 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 4: Your Skills and Preparation (15 points)**

In reviewing this factor, NAS will determine the extent to which your training, past employment, and past written work, such as your dissertation, teaching, coursework, and previously completed research papers that were accepted for presentation or publication, lay a foundation for this proposed work.

**Rating Factor 5: Commitment of the University (10 points)**

In reviewing this factor, NAS will determine the extent of the commitment of your university, beyond that required in Section III(E)(1). The quality of your institution's commitment, in terms of its furthering your research project will also be evaluated under this factor. For example, your university could propose to cover the cost of a graduate assistant to work on your research project in order to demonstrate its commitment beyond what is required of it. The larger the commitment, translated into dollar terms, the higher the points. Full points can only be received if your institution agrees to reduce your course load by one course a semester or term but to continue paying you your full salary.

**Rating Factor 6: Timely Completion of Your Research Project (10 points)**

In reviewing this factor, NAS will determine the extent to which your research design and methodology and plan for completion of your research project can feasibly be completed within the fifteen-month fellowship 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 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 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 research project can be completed within the grant period.

**Rating Factor 7: Quality of the Mentoring Plan (5 points)**

In reviewing this factor, NAS will determine the appropriateness of the person chosen to be your mentor (in terms of his/her previous work (e.g., research, publications, presentations,

standing in the research community) and availability) and the role the mentor has agreed to play in your project. The higher the time commitment the mentor makes to you, the higher points you will receive.

(C) *Selections.* NAS will fund applications in rank order, until it has awarded all available funds. However, as noted in Section II, NAS reserves the right to make awards for less than the amount requested in your application. After all application selections have been made, NAS may require that you participate in negotiations to determine the specific terms of the fellowship and the grant budget. In cases where NAS cannot successfully complete negotiations, or you fail to provide NAS with requested information, an award will not be made. In such instances, NAS 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 or electronic copy of your application. Please note the page limits for some of the items listed below and do not exceed them.

The application kit made available by NAS will include, but may not be limited to, the following items:

- (A) Applicant information including:
  - (1) Title of your research project;
  - (2) Your name, university and home addresses, university and home telephone and facsimile numbers, and e-mail address;
  - (3) Your university's name, department, mailing address, telephone and facsimile numbers.
  - (4) Your advisor's name, address, telephone and facsimile number, and e-mail address;
  - (5) Your mentor's name, address, telephone and facsimile number, and e-mail address;
  - (6) Evidence of being eligible to apply because you received your Ph.D. no earlier than January 1, 1996;
  - (7) Your graduate and post-graduate educational background.
- (B) A letter from the chair of your department that you have met all the eligibility criteria described in Section III(B).

(C) A letter from the appropriate official that describes your university's support, as described in Section III(E).

(D) A letter from your mentor stating his/her qualifications to be your mentor, his/her proposed role in your research project, and his/her availability to be your mentor.

(E) A one-page abstract of your research project.

(F) A narrative of the proposed research, not to exceed 10 double-spaced typed pages. 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) How the research will add to the current knowledge base.

(G) A working bibliography of your proposed project.

(H) An annotated bibliography, e.g., a two- or three-sentence annotation for ten to twelve key sources in your working bibliography.

(I) List of your publications: books, refereed journal articles, chapters contributed to books, articles in published proceedings, and any other articles.

(J) List of text and poster presentations made during the last five years.

(K) A one-page abstract of your dissertation.

(L) Grants and awards received during the last five years.

(M) Teaching load during the last five years.

(N) Two letters of reference.

(O) A proposed budget.

(P) Certifications. These forms must be signed by the applicant 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.*

**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 under related environmental authorities under 24 CFR 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 (Pub.L. 91-609).

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