

**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**DOCTORAL DISSERTATION  
RESEARCH GRANT PROGRAM**

Billing Code 4210-32-C



**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 \$400,000 in FY 2002 funds.

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

*Application Deadline.* June 20, 2002.  
*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 June 20, 2002. 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. All applications must be submitted via the United States Postal Service to the following address: University Partnerships Clearinghouse, Aspen Systems Corporation, Mail Stop 6P, 2277 Research Blvd., Rockville, MD 20850. 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 Armand Carriere of HUD's Office of University Partnerships at 202-708-3061, extension 3181. 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 Mr. Carriere via e-mail at [Armand\\_W\\_Carrier@hud.gov](mailto:Armand_W_Carrier@hud.gov).

**II. Amount Allocated**

Approximately \$400,000 in FY 2002 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 \$25,000. 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 2002 DDRG program seeks to fund dissertations that will inform Federal problem-solving and policy making relating to policy-relevant issues. Examples of such topics include but are not limited to:

• *Homeownership*

1. Homeownership
  - (a) Relative importance of factors in tenure decisions
  - (b) Estimation of private and social benefits and costs of homeownership
  - (c) Role in employment, household savings, and investment decisions
  - (d) Effects of demographics, macro-economic environment and government policies on homeownership
  - (e) Effects of homeownership on low- and moderate-income households
2. Housing finance
  - (a) Institutional barriers to efficiency in the housing finance system
  - (b) Enabling the housing finance system to better serve low-income and minority borrowers
3. Home Equity Conversion Mortgages

• *Housing Market Conditions*

1. Housing Markets
  - (a) Factors affecting rents, home values, tenure, vacancy rates
  - (b) Market absorption of new units
  - (c) Construction activity
2. Housing Stock
  - (a) Durability of stock
  - (b) Energy efficiency
  - (c) Factors determining rehabilitation and remodeling
  - (a) Comparisons with stock in other developed countries
3. Availability of Affordable Housing
  - (a) Policy and program options in tight or "soft" markets
  - (b) Preservation of existing stock

• *Equal Opportunity and Access to Housing*

1. Effectiveness of different models (including local initiatives) for promoting Fair Housing Objectives
2. Discrimination in housing and lending
  - (a) Methods to detect discrimination
  - (b) Systemic patterns and practices

• *Homelessness*

1. Strategies to combat homelessness
  - (a) Addressing chronic homelessness
  - (b) Preventing homelessness
  - (c) Helping families move from transitional to permanent housing
  - (d) Causes of homelessness
  - (e) Issues and responses to youth homelessness

• *Community and Economic Development*

1. Create or expand business
  - (a) Meet the needs of underserved inner city, older suburb, or rural areas
  - (b) Expansion of access to capital
  - (c) Joint ventures with faith-based or other community-based grassroots organizations
2. Development of inner cities
  - (a) Studies of reinvestment pressures
  - (b) Theories of capital/land/market failure that help to explain depopulation or disinvestment
  - (c) Government policies or market interventions that would alleviate these patterns
3. Regionalism and growth management
  - (a) The economic interdependence of cities and suburbs
  - (b) Rehabilitation and infill development
  - (c) Regional problem solving and coalition building
  - (d) Reinvestment in the urban core
  - (e) Impact of community economic development policies, programs, and initiatives

• *Faith-Based and Other Community-Based Partnerships*

1. Community development and community building
  - (a) Role of faith-based groups in low-income housing and community development efforts
  - (b) Faith-based and higher education community building efforts
2. Evaluation of college/community partnerships and institutionalizing these partnerships at colleges and universities

• *Assisted Housing Programs*

1. Affordability of rental housing
  - (a) Innovative partnerships or finance tools
  - (b) Cost-benefit analyses of alternative

- methods for providing housing assistance
- (c) Effectiveness of voucher programs
- (d) Evaluations of existing programs
- 2. Housing needs of the elderly and persons with disabilities
  - (a) Availability
  - (b) Design and Quality, including Accessibility
  - (c) Affordability
  - (d) Linked Services
- 3. Strategies for helping families in public and assisted housing make progress toward self-sufficiency and become homeowners.

- *Colonias*

1. How current housing policies determine the kinds of housing available
2. The perception of "community" in colonias
3. Evaluation of existing housing programs in colonias

(B) *Eligible Applicants.* You must be a currently enrolled and matriculated 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, 2002, 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.

**Note:** Institutions which have had previously awarded Doctoral Dissertation Research Grants terminated for non-performance and have outstanding funds owed to HUD resulting from this determination will be excluded from competition for the Doctoral Dissertation Research Grant program until the outstanding funds are repaid.

(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 you, 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 your work 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 \$25,000 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: Capacity To Do the Research (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 2: Need for Your Research (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/about/budget/fy02/cjs/fy2002app.pdf> for a discussion of these goals). The less directly related to one of these topics your dissertation is, the fewer 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 3: Soundness of Approach (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.

HUD will also 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 zero points.

#### **Rating Factor 4: Dissemination of Your Dissertation (10 Points)**

An important purpose of the DDRG Program is to fund research that will inform Federal problem-solving and policy making relating to housing and urban development. In reviewing this factor, HUD will evaluate the likelihood that your research will be ready and suitable for publication or presentation at policy conference by the end of the grant period. HUD will also evaluate your plans to disseminate your research through other means, e.g., seminars, your university's publications, or relevant internet list services.

(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.

(D) *Applicant Debriefing*. Beginning not less than 30 days after the awards for assistance are announced in the **Federal Register**, and for not less than 120 days after awards for assistance are announced, HUD will provide a debriefing to any applicant requesting a debriefing on their application. All requests for debriefings must be made in

writing and submitted to Armand Carriere of HUD's Office of University Partnerships Robert C. Weaver Building, 451 7th St. SW., Room 8106, Washington DC 20410. You may also write to Mr. Carriere via e-mail at *Armand\_W\_Carriere@hud.gov*.

#### **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. The Catalog of Federal Domestic Assistance number for this program is 14.516 and is listed in the program chart in the **General 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 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) Your capacity to do the research. (Include your resume, showing educational background, research experience, background in statistics and empirical research, computer experience, and background in housing and/or urban studies.)
- (3) Need for the research;
- (4) Approach (research design and methodology);
- (5) Your plan for disseminating your research.

(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.

**BILLING CODE 4210-32-P**

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**Appendix A**

**SAMPLE STATEMENT FROM ADVISOR**

March 10, 2002

To Whom It May Concern:

John Jones, a Ph.D. candidate in urban studies at Northern State University, will have defended his dissertation proposal as of the date of this letter. The dissertation committee has formally approved of his dissertation proposal. 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, 2002. 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, 2002

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 Elm City." 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.

John Jones  
621 Elm Street  
Academia, USA 12345  
March 10, 2002

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

## Services:

## Applicant (J. Jones):

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

## 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 @ \$ \_\_\_\_\_/trip = \$ x,xxx

Computer Usage = \$ xxx

Reproduction Costs = \$ xxx

Phone, Mailing, Misc. Materials = \$ xxx

**Subtotal, Other**

= \$ x,xxx

**Total Estimated Cost**

\$xx,xxx