

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**EARLY DOCTORAL STUDENT
RESEARCH GRANT PROGRAM**

Billing Code 4210-32-C

FUNDING AVAILABILITY FOR EARLY DOCTORAL STUDENT RESEARCH GRANT PROGRAM PROGRAM OVERVIEW

Purpose of the Program. To help eligible doctoral students cultivate their research skills through the preparation of research manuscripts that focus on housing and urban development issues.

Available Funds. Approximately \$150,000 in FY 2002 funds.

Eligible Applicants: Only pre-dissertation Ph.D. students whose studies include urban economics as a major or concentration within another field related to housing and urban development.

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 for the Early Doctoral Student Research Grant Program.

HUD will accept only one application per doctoral student.

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 Carrier of HUD's Office of University Partnerships at 202-708-3061 ext 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. Carrier via e-mail at Armand_W_Carriere@hud.gov.

II. Amount Allocated

Approximately \$150,000 in FY 2002 funds is being made available under this SuperNOFA for Early Doctoral Student Research Grant Program (EDSRG).

The maximum grant period is 12 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 doctoral student is \$15,000. HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in your application.

Program Description; Eligible Applicants; Eligible Activities

(A) Program Description. The purpose of the EDSRG is to enable doctoral students to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues. The program will also provide a forum for new scholars to share their research findings through presentation of this research to a scholarly conference and/or publication in a refereed journal. The FY 2002 EDSRG Program seeks to fund research studies that will inform Federal problem solving and policymaking relating to HUD's policy priorities for this year. Examples of topics addressing these priorities 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
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
1. Housing Stock
 - (a) Durability of stock
 - (b) Energy efficiency

- (c) Factors determining rehabilitation and remodeling
- (d) 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) Issues and responses to youth homelessness
 - (e) Causes of 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 of 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 meet the following requirements:

- (1) You must be a currently enrolled and full-time student in an accredited doctoral program at an accredited institution of higher education;
- (2) You must have urban economics as your major field or as a concentration within a major in another field related to housing and urban development;
- (3) You must not have taken your preliminary/comprehensive examinations;
- (4) You must have completed at least two semesters or three terms of your doctoral studies program (depending on the course structure of the institution); and
- (5) You must have been assigned a faculty advisor to supervise your research manuscript.

You must provide documentation from the chair of your department that you meet all of these conditions and that in his/her opinion it is realistic to believe that the research manuscript can be completed within the one-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 research manuscript. Eligible costs include stipends, computer software, the

purchase of data, travel expenses to collect data; transcription services, and compensation for interviews. Three thousand dollars of the grant will be held back until you have completed your research manuscript and either it has been accepted for presentation at a conference or for publication in a refereed journal by September 30, 2003, or a committee of three faculty members (including your faculty sponsor, as the principal investigator of the grant) has determined and certified to HUD that the manuscript is of high quality and worthy of submission to conferences or journals.

(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, halfway through your grant, on the progress you have made towards completion of the research manuscript 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 doctoral student, as defined in Section III(B) above and have provided a letter from your department chair, in the format in Appendix A, confirming this;
- (2) You have requested no more than the grant maximum of \$15,000; 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:

- (1) Your skills and experience are relevant to your proposed research manuscript (e.g., course work, teaching, research projects, presentations);
- (2) You have undertaken appropriate preparation (e.g., preliminary design of the survey collection instruments, pre-clearance on interviews) to undertake the dissertation; and

(3) Your proposed research will help to further your research skills (i.e., it is relevant to the kinds of projects you will continue to work on as you earn your Ph.D.).

Rating Factor 2: Need for the Research (35 Points)

In reviewing this factor, HUD will determine the extent to which your research manuscript 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 research 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.

In reviewing this factor, HUD will also determine the extent to which your research design and methodology and plan for completion of your research manuscript can feasibly be completed within the one-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 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 zero points for this factor.

Rating Factor 4: Issuance of Your Research Manuscript (10 Points)

One purpose of the EDSRG Program is to fund research studies that will inform Federal problem solving and policymaking relating to HUD's policy priorities for this year. HUD, therefore, will evaluate the likelihood that the manuscript will be ready to present at a conference or be ready for publication in a refereed journal by September 30, 2003. HUD will also evaluate your plans to disseminate your research through other means, e.g., seminars, your university's publications, or relevant internet listserves.

(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 Carrier 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. Carrier via e-mail at Armand_W_Carrie@hud.gov.

Information provided to you during your debriefing will include the final scores you received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

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 14.517 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 research project;

(2) Your name, university and home addresses, university and home telephone numbers, facsimile numbers, and email address;

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

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

(D) A statement from your department chair 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 5 double-spaced typed pages. This narrative must include the following items 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.

(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 Early Doctoral Student Research Grant application.

BILLING CODE 4210-32-P

Appendix A**SAMPLE STATEMENT FROM ADVISOR**

March 10, 2002

To Whom It May Concern:

Jane Jones is a doctoral student at Northern State University. As of the date of this letter her major field of study is (e.g., planning, public policy, urban studies) with a concentration in urban economics. She has completed three terms of her doctoral coursework and has not yet taken her comprehensive examinations. An advisor has been assigned to her for the work she would do under this grant. It is realistic to expect that the proposed research manuscript will be completed within the one-year grant period and either accepted for presentation at a scholarly conference and/or publication in a refereed journal by September 30, 2003, or certified by a faculty committee that it is worthy of being submitted for presentation or publication.

Sincerely,

Dr. Peter Paul
Professor and Chair
Department of City Planning

Appendix B**SAMPLE DESCRIPTION OF UNIVERSITY SUPPORT**

March 9, 2002

To Whom It May Concern:

John Grey is a doctoral student in the Planning Department at Eastern University, working on a research manuscript titled "The Economics of Smart Growth." Office space, computer hardware, software for preparing statistical summaries, a research library, and several bibliographic databases will be available to Mr. Grey without charge to the grant for which he is applying.

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

"The Economics of Smart Growth"

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

