



## REQUEST FOR PROPOSALS (RFP)

### RESEARCH ON LAND POLICY AND URBAN DEVELOPMENT IN LATIN AMERICA

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The Lincoln Institute of Land Policy announces its 2018 call for research proposals on land policy and urban development in Latin America. The research proposals will be reviewed competitively based on the weighted evaluation criteria indicated below. These criteria favor empirical studies that use reliable data and rigorous quantitative and qualitative analytical methods, employing original field work and/or secondary data. Research outputs are expected to result in papers appropriate for publication.

The researchers selected through this RFP process will be invited to participate in a seminar to review and discuss draft papers. In addition, the Lincoln Institute will provide other opportunities for researchers to exchange ideas and discuss their methodology and analytical strategies.

**Please Note:** Proposals have to be filed on-line via the web-based application form. Proposals submitted by email or mail will not be accepted.

### RESEARCH THEMES AND PRIORITIES

The FY18 request for research proposals is built upon LAC's key policy themes, the priorities within those themes, and a particular issue that requires attention.

This year the Institute's Latin America and Caribbean Program (LAC) will complement its traditional call for research on the fiscal, legal, social, and environmental dimensions of land policy with requests for proposals on **two new themes**: land policy and urban health outcomes; and planning institutions and practices.

Applicants should consider the following points:

- *Proposals should demonstrate clearly how the research objectives address one or more of the issues articulated in the Theme-Priority-Issue framework presented herewith.*
- *The research issues listed below are formulated to elicit proposals that can generate empirical evidence that refutes, supports, or redirects the research issue statement.*

*An applicant may submit a proposal that addresses an issue that is different than the one listed by LAC. If this is the case, the proposal must explain how that issue will help the LAC program address its priority concern.*

- *In addition to the two new themes, we will also consider a few proposals under “Notable Instruments and Case Studies”, and “Open Topics”*

## RESEARCH THEMES, PROGRAMMATIC PRIORITIES AND ISSUES

### 1. LAND BASED TOOLS TO FINANCE URBAN DEVELOPMENT

**Program Priority:** Demonstrating the effects of the property tax and/or land charges on land and housing values.

**Research Issue:** Charges designed to capture land value increments do (not) transfer to the sale price of housing units in new developments.

### 2. LEGAL DIMENSIONS OF LAND POLICY AND DEVELOPMENT

**Program Priority:** Understanding the limits of property rights and the distribution of burdens and benefits of urbanization.

**Research Issue:** The real estate sector is (not) supportive of legislation and planning tools that separate acquired property rights from development rights.

### 3. PLANNING AND MUNICIPAL FISCAL HEALTH

**Program Priority:** Identifying jurisdictions that integrate land use and fiscal planning.

**Research Issue:** Central-municipal government relations do (not) condition a municipality’s land use and fiscal planning capacity and practices.

### 4. INFORMAL LAND MARKETS AND REGULARIZATION

**Program Priority:** Identifying the scope of regularization approaches to redress informal settlements.

**Research Issue:** Policies and programs that try to regularize informal settlements do (not) mitigate or forestall the causes of informality.

## 5. THE FUNCTIONING OF URBAN LAND MARKETS

**Program Priority:** Understanding the relationship between informal settlements, land markets, and the quality of land use policy.

**Research Issue:** Informal settlements or the informal development of land are more (or less) affected by stricter land use regulations than they are by the supply of land and land prices.

## 6. LARGE SCALE URBAN REDEVELOPMENT PROJECTS

**Program Priority:** Demonstrating how large scale urban projects can be socially progressive.

**Research Issue:** The improvements and land value increases associated with large scale urban projects do (not) engender socio-spatial segregation and gentrification.

## 7. PROPERTY VALUE ASSESSMENT AND TAXATION

**Program Priority:** Understanding the effect(s) different tax bases have on the performance of the property tax in Latin America.

**Research Issue:** Assessments based on the value of buildings should (not) be lower than the market value to avoid penalizing the tax payer for market swings.

## 8. CLIMATE CHANGE AND THE ENVIRONMENT

**Program Priority:** Identifying the potential for land use policy and value capture mechanisms to address climate change.

**Research Issue:** Value capture tools can (not) help redress the impacts of climate change.

## 9. NEW THEME: LAND POLICY AND URBAN HEALTH OUTCOMES

**Program Priority:** Understanding the relationship between land use policies, planning and population health.

**Research Issue:** Land use plans and related land policies can (not) improve the health of urban residents.

## 10. NEW THEME: PLANNING INSTITUTIONS AND PRACTICES

**Program Priority:** Identifying the conditions under which jurisdictions embark in land policy experiments and planning reforms.

**Research Issue:** Communities that adopt participatory visioning or scenario planning techniques are (not) prone to reforming planning and land use policies and practices.

## 11. OPEN TOPIC ON LAND POLICY AND URBANIZATION IN LATIN AMERICA

In addition to the targeted themes and issues described above, the Latin America and Caribbean Program invites proposals for research on emerging debates and issues on land, land policy and urbanization in Latin America. We are particularly interested in proposals that identify and analyze the unintended consequences or second and third generation issues that have emerged from land-based policies implemented in Latin American cities, as well as emerging topics on climate change and land policy.

Proposals submitted under the “Open Topic” category must effectively argue why the topic should be of interest to the Lincoln Institute and the Latin America and Caribbean Program. The proposal should also demonstrate how the topic builds off of or expands the existing Latin America and Caribbean Program’s research portfolio.

## 12. NOTEWORTHY INSTRUMENTS FOR URBAN INTERVENTION / CASE STUDIES

The Institute also welcomes proposals for additions to its Noteworthy Instruments initiative and case studies that illustrate anyone of the themes and priorities listed in this request for proposals. We are particularly interested in case studies that demonstrate how value capture and other land based financial tools have effectively been used to address one or more urban development challenges.

The dissemination of information on successful (noteworthy and innovative) urban policy instruments that contribute to improvements in urban land management is a regional priority. The Lincoln Institute of Land Policy seeks to expand its portfolio of cases that inspire policy makers in the region.

The commissioned case study will consist of a succinct description of the policy or instrument, its context, how it has been applied, and what has been its outcome, based on existing public data and relevant literature. Additional field work should not be necessary. Proposals should identify and use an existing and relevant set of data and material on the proposed case study.

To select the case studies, researchers must ascertain that it meets the following criteria:

- Has been effectively implemented in a given jurisdiction with sufficient time to have had an observable impact.

- Addresses an important urban development issue, for example raising municipal revenue or preventing informality.
- Uses either an innovative instrument (e.g. CEPAC, as introduced in São Paulo) or a novel implementation strategy (e.g. negotiations with informal developers), or introduces the means to overcome a recurrent land management obstacle (e.g. a reliable method to estimate the value added to real estate property due to public sector interventions).
- Is potentially replicable in other cities in the country or elsewhere.
- Has already been somewhat evaluated and information on its design and implementation is available to the public.

### **THE RESEARCH SEMINAR**

Authors of selected research proposals will be invited to participate in a research seminar that is tentatively scheduled for the Fall of 2018 at a Latin American venue to be chosen by the Lincoln Institute. By that time, participants will have completed their data collection and most of the analysis, and will be expected to present a **full** draft of their papers for peer review and discussion. The seminar provides a unique opportunity for researchers to receive feedback on their projects and network with their peers who are interested in similar research topics. It also promotes interdisciplinary debate. Peer review helps authors improve their analytical approach and methodology.

### **LEVEL OF FUNDING**

The Lincoln Institute will pay for the research project based on the scope of work and the justification of the proposed budget. In addition, the Institute will cover expenses for travel and accommodations during the research seminar for the lead researcher of each selected project. Recent project funding has ranged from \$6,400 to \$75,000, with most projects not exceeding \$30,000. Funding for case studies and noteworthy instruments for urban intervention will be \$3,000 per case.

### **MENTORSHIP**

The Lincoln Institute promotes the identification and training of young scholars working on land policy and urban development issues. The Institute also recognizes the important role senior academics and researchers play in mentoring young scholars. Applicants are encouraged to formally involve one or more junior scholars (PhD students, Post-Doctorates, Assistant Professors) in their research proposals. Proposals should identify the mentee(s) and the proposed mentorship plan within the research project. *Proposals with a clear mentorship component will be prioritized.*

## **PUBLICATION OF REPORTS**

The final papers will be considered for inclusion in the Lincoln Institute of Land Policy Working Papers series, and may be posted on the Institute's Web site.

## **WORK-FOR-HIRE**

The funds awarded under this Request for Proposals are contracted as work-for-hire, and are not permitted to be sub-contracted by recipients to third parties.

## **OWNERSHIP AND THIRD PARTY COPYRIGHTS**

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## EVALUATION OF PROPOSALS

The Lincoln Institute will evaluate the research proposals based on the following criteria:

	Weight
Relevance of the project to the Latin America and Caribbean Program's core themes, priorities and research issues.	30
Quality of the proposed methodology and sources of data	45
General academic qualifications of the members of the research team and relevant analytical experience as indicated by prior work.	25
	<b>100</b>
Mentorship component (integration of future/junior scholar and mentoring plan). Proposals need to explain the promise of the future/junior scholar and demonstrate a clear mentorship plan and a commitment to use project funds to support him/her.  Proposals that include a clear and viable mentorship component will receive up to an additional 3 points on top of their base score from the categories listed above.	+3

## SCHEDULE

Proposals due:	June 2, 2017
Awards announced:	July 7, 2017
<b>Full</b> draft paper due:	September 2018
Research seminar:	Fall 2018
Final paper due:	January 2019

## **ABOUT THE LINCOLN INSTITUTE OF LAND POLICY**

The Lincoln Institute of Land Policy is an independent, nonpartisan organization whose mission is to help solve global economic, social, and environmental challenges to improve the quality of life through creative approaches to the use, taxation, and stewardship of land.

As a private operating foundation whose origins date to 1946, the Lincoln Institute seeks to inform public dialogue and decisions about land policy through research, training, and effective communication.

By bringing together scholars, practitioners, public officials, policy makers, journalists, and involved citizens, the Lincoln Institute integrates theory and practice and provides a forum for multidisciplinary perspectives on public policy concerning land, both in the United States and internationally.

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*The Lincoln Institute is an equal opportunity institution.*

## RESEARCH PROPOSAL GUIDELINES

**Language:** All sections of the proposal must be submitted in one of the following languages: English, Spanish, or Portuguese. The project abstract must be submitted in English in all cases. Proposals on climate change must be submitted in English.

### Proposal Abstracts:

The LAC program cannot stress enough the importance of the research proposal abstract in the assessment of proposals. We encourage all applicants to submit proposals with well written, clear and compelling abstracts that convey the core topic and proposed contribution of the research for which funding is sought. Proposals with poorly written or vague abstracts may not pass the first stage of review.

[Apply Online](#)

**Remittance of proposals:** Proposals must be filed electronically by June 2, 2017

**Incomplete proposals, proposals received after the due date, or proposals that do not respect the format defined in these Guidelines will not be registered and received by the on-line proposal management system.**

Please review the Frequently Asked Questions (FAQ) section for answers to common questions about the application and review processes.

**Proposal Sections:** The on-line application form will ask you to fill in the following sections:

- 1. Contact Information and Biographical Sketches.** Contact information for the lead researcher and all other research participants. All correspondence will be made with the lead researcher.
- 2. Project Abstract.** The project abstract should not exceed 1,000 characters and it should clearly convey the context, purpose, relevance and methods of the proposed research topic. **Please see note about the importance of Abstracts in the selection process.**
- 3. Budget.** Projects that have or will need co-financing have to state the expected amount and sources of co-financing.
- 4. Project Description.** The project description should not exceed 15,000 characters (roughly 3-4 pages of text). The description should cover the following:

- Clearly state the purpose and objectives of the research, highlighting the main question to be addressed. Proposals without an identifiable and coherent research question will not be considered. Specify the relevance of the research topic and question to the LAC key themes, priorities and key issue(s) listed in this RFP. Highlight and document the contribution your proposal is likely to make to the literature and policy debates on your topic.
- Give the conceptual framework that informs the research. List and discuss a maximum of 3 key works that help situate the proposal clearly and easily within the relevant academic and policy literature.
- Present clearly the analytical methods to be used and their relationship to the conceptual framework adopted for the research. Specify sources of empirical data, assurance of access to the data, data collection strategy when warranted, and proposed uses of data to generate and support desired results.
- Indicate your own prior research experience in analyzing the proposed topic.
- Identify and explain the expected outcome(s) of the research and its relevance for policy and knowledge production. What results are expected, why would they be relevant and how would they be disseminated and used?
- Specify the role of each participant in the research team: responsibilities and tasks assigned to the lead researcher and to each research collaborator.
- If your proposal includes the mentorship or training of a future or junior scholar, you will need to discuss his/her promise in the field and provide a plan that describes the ways in which the future/junior scholar will be mentored and supervised. Explain how the future/junior scholar will be integrated into the research project and what outputs are expected from him/her.
- Describe partnership arrangements, if any. For example, collaboration with academic institutions, government agencies, private firms, civil society organizations, and/or community groups. If the research involves other sources of financing besides the Lincoln Institute of Land Policy, specify the source(s) and any conditions attached to such financing.

## LINCOLN INSTITUTE OF LAND POLICY

### FREQUENTLY ASKED QUESTIONS

#### Proposal Format

- How detailed should the three-page project description be? *Whatever best conveys the objective of your proposal in clear language.*
- Should the three-page project description include a budget? *No. There is a separate form for the budget in the on-line application program.*
- How flexible is the character count for each section? *Not at all. You must adhere to the specified character count or your proposal will not be accepted.*
- Must all submissions be electronic? *Yes.*
- Do I need to send a hard copy of the proposal? *No.*
- What is the format for the Lincoln Institute of Land Policy Working Paper? *This format will be sent to authors of selected proposals at a later date.*

#### Budget

- Can the budget be changed in the course of the research? *No, except in case of reallocation of funds in consultation with the Lincoln Institute.*
- Does the Lincoln Institute of Land Policy cover institutional overhead? *No.*
- What does the award amount cover? *The award covers all direct research expenditures including personnel, research assistance, data, books, research-related travel and software or other items deemed indispensable for the development of the project. Separately, the Lincoln Institute will pay directly for travel and lodging expenses for the lead researcher to attend the research seminar.*
- Does the Lincoln Institute of Land Policy finance acquisition of equipment? *No.*
- Is there a maximum budget amount? *No. Total funding from the Lincoln Institute will be determined based on the scope of the project and the justification of the proposed budget.*

#### Evaluation Criteria

- Is it necessary to be a U.S. citizen to apply? *No.*
- Do you fund only academics? What about practitioners and researchers who do not hold a Ph.D.? *The RFP targets but is not restricted to academics and researchers holding a Ph.D. We are also prioritizing the mentorship of junior scholars.*
- Can the paper be co-authored? *Yes. Contact details for all authors must be mentioned in the proposal and a lead researcher must be designated as the person responsible for the project. However, we only cover travel expenses for the lead researcher to attend the seminar.*
- How many proposals do you expect to receive? *The average number of responses to the Lincoln Institute RFP is within a range of 175 to 200.*
- Can I get feedback on the substance of my proposal? *No. This is a competitive process, so all participants must have access to the same information. Thus we*

*will not respond to individual consultations either during the evaluation period or prior to the proposals due date.*

- Can I make changes to a section of my proposal after having sent it in? *Only if you do so before the final date for submission of proposals and only if you submit a complete revised version that will replace the original one.*
- Can I present more than one research proposal. *Yes.*

**If you have further questions regarding the Guidelines for Research Proposals, please send e-mail to [lac@lincolnst.edu](mailto:lac@lincolnst.edu).**