



# UNIVERSITY OF NOTRE DAME

## **Call for Strategic Academic Proposals**

**SAPC II: 2008-2009**

### **Phase II: Call for Proposals**

#### **Due Dates:**

**May 1, 2009** (External Reviewer materials)

**September 30, 2009** (Full Proposals)

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## INTRODUCTION

Father Edward Sorin, Notre Dame's founder, called on the University to serve as "a powerful force for good in the world." Notre Dame aspires to achieve this vision as a preeminent research university with a distinctive Catholic character and an unsurpassed commitment to undergraduate and post-baccalaureate education. In the 21<sup>st</sup> century, our ability to fulfill Sorin's vision will increasingly depend on the impact of our research and scholarship. Today's great universities are being asked to help understand and solve the most difficult questions and challenges facing our world. The stature of universities will be based on the depth of their engagement with these grand challenges and the quality of their contributions to solutions. As a Catholic university, Notre Dame has the opportunity to offer a distinctive perspective on these important issues.

The past sixty years have seen an evolution in the approach to major research challenges at universities. The 1950's represented a dependent model, in which the agenda was defined by extramural funding agencies that to a large extent dictated the research areas to be funded and then supported them primarily through grants to individual university faculty. Through the last quarter of the 20<sup>th</sup> century, research agendas migrated to a model dominated by individual investigator-initiated research. The beginning of the 21<sup>st</sup> century is witnessing another shift, in which researchers are being recognized for their capability to quickly and effectively assemble multidisciplinary teams of scholars capable of resolving complex questions with significant interdependencies. These teams increasingly span multiple institutions and diverse disciplines of the academy and seriously engage the expertise of scholars in an integrated fashion.

Notre Dame is well positioned to take advantage of this interdependent future of scholarship in terms of both our distinctive mission and our size. We are large enough to have

critical mass and significant breadth in research, but small enough to be able to connect the necessary components together to address these important world questions with minimal complication and maximum effectiveness.

The Strategic Academic Planning Committee (SAPC) was first formed in 2007 to help Notre Dame increase our ability to contribute meaningfully to this new age of research, scholarship, and creative expression. An initial set of grants was awarded in April 2008. The second process of funding was launched in November 2008 with the Phase 1 Call for Proposals. SAPC II is again designed to assist the University in advancing the excellence and visibility of its research programs, with a focus on contributing meaningfully to crucial world challenges. Like the initial process, the investments funded through SAPC II will not constitute the total of Notre Dame's contributions to these challenges and issues. These investments will be distinct from, and additive to, those efforts already in place, including those outlined by individual colleges and departments as part of the University's current strategic plan, *Fulfilling the Promise*, and those funded in the first round of the SAPC. The ultimate aim of the SAPC II program is to advance strategically our research enterprise by facilitating research programs of the highest scholarly quality that will enhance Notre Dame's ability to address questions of importance to the academy, the nation, and the world.

The purpose of this communication is to solicit Phase 2 proposals from a select group of investigators based on their SAPC II Phase 1 Concept Papers. This Call for Proposals outlines how the proposals should be prepared and provides further information on how they will be evaluated. The contents of this document apply to both full grants and seed grants.

## **PROCESS OF EVALUATION**

The SAPC will review and evaluate all proposals, with consultation and assistance from external reviewers and appropriate deans. The committee will make a recommendation for investment to Notre Dame's Executive Team (President Jenkins, Provost Burish, and Executive Vice President Affleck-Graves). The Executive Team will make a final decision regarding funding and notify the faculty by January 12, 2010.

The SAPC will use the criteria attached to the end of this document to evaluate all proposals, whether they are full grants or seed grants (p.17). Six of the criteria are required and three are preferred attributes. Assuming that a proposal is consistent with the University's mission, Criterion I.A. ("Excellence") is the most important element by which all proposals will be measured.

External reviewers will also participate in evaluating the proposals. The external reviewers for each proposal will be selected by the SAPC from a pool that includes suggestions from the principal investigator involved in the proposal. Principal investigators should submit suggestions for external reviewers as soon as possible, but no later than May 1, 2009, using the form attached to this proposal (p.15). A minimum of three external reviewers will be invited to read and evaluate each proposal and provide advice to the SAPC and Executive Team.

The SAPC will also consult with the deans whose colleges or schools would be involved in or affected by each proposal. Faculty members are encouraged to work collaboratively with their dean(s), departmental chairs, and pertinent supporting units (such as OIT, the Hesburgh Libraries, research core directors, directors of existing collaborative centers and institutes, etc.) as they develop their proposals. Proposal teams are encouraged to be as specific about details of

the proposal as possible in order that the SAPC be well informed as it makes its recommendations for funding.

**Current SAPC II Process Timeline**

Date	Activity
Friday, April 3, 2009	Phase 2 Call for Proposals issued to selected proposal teams
Friday, May 1, 2009	Nominations due for external reviewers
Wednesday, September 30, 2009	Phase 2 Proposals due
Tuesday, January 12, 2010	SAPC II grant recipients announced

**PROPOSAL REQUIREMENTS**

- I. Substantive Sections.** Include an explicit response to each section listed below in the proposal. Additional sections may be included if necessary.
  - A. Abstract.** Begin the proposal with a summary of no more than one page that is suitable for sharing publicly. Note that the Abstract may be shared with internal and external groups in order to develop external support for the effort. Budget information should not be included in this section.
  - B. Objective.** Describe the purpose of the proposed research and the objective it is designed to achieve.
  - C. Approach.** Outline the specific activities that are envisioned as part of the effort and the methodology that will be used. Indicate how the initiative will be organized and coordinated. This section will be used to help evaluate Criteria I.B. (“Leadership and Program Integration”) and I.C. (“Involvement”).

- D. Excellence.** Explain how the proposed initiative will contribute to the preeminence of the University. This section should be written particularly for readers outside the field(s) of the proposal team. Among other elements, this section should address Criterion I.A. (“Excellence”).
- E. Environmental Scan.** Describe current efforts undertaken at other institutions related to the proposal topic. Indicate how Notre Dame’s effort would complement, or be distinct from, those efforts. This section will be especially important to evaluate Criterion I.A. (“Excellence”) and ensure that Notre Dame’s funded proposals will be uniquely and distinctively positioned in important areas. It will also be used to evaluate Criterion I.B. (“Leadership and Program Integration”).
- F. Participation.** Indicate which faculty member will play the role of the principal investigator, and describe the specific responsibilities that the principal investigator will undertake. The proposal should also specify the role that each additional participant will play. Each named participant will be asked to sign the proposal signature form. Teams are encouraged to be inclusive and to bring potential participants into discussions early in the proposal preparation process in order that the proposals will be as innovative and inclusive as possible. This section will be used to help evaluate Criterion I.C. (“Involvement”).
- G. Consistency with Mission and Capabilities.** Note whether the effort is consistent with, or enhances, Notre Dame’s distinctive Catholic mission. Further explain how Notre Dame’s current academic expertise, educational capabilities, or unique mission make the University particularly well suited to undertake this initiative. This section will be used to help evaluate Criterion I.D. (“Mission Fit”).

**H. Educational Impact.** Explain the educational impacts of this initiative beyond its research agenda. For example, proposals might describe how the effort will contribute to the learning environment for undergraduate, graduate, and/or professional students at Notre Dame. This section will be used to help evaluate Criterion I.E. (“Educational Impact”).

**I. SAPC Budget Request.** Provide a budget using the following elements and format. Teams are encouraged to consult with relevant administrators in colleges, schools, departments, or central administrative units who may be able to assist with estimates.

1. **Budget Template for Duration of SAPC Grant.** Please complete the template included on page 16. An electronic copy of the budget template is available at <http://sapc.nd.edu>.
2. **Recurring Costs Beyond the SAPC Grant.** Please detail which of the costs would recur after the three year duration of the SAPC Grant. Indicate whether each of the recurring costs would be permanent, decrease over time (e.g., due to grant acquisition), or limited in duration (e.g., 1-2 years after the conclusion of the grant).
3. **Budget Justification.** As a separate appendix, provide further detail and rationale for the SAPC budget request included in the proposal. For example, detail what equipment would need to be purchased, what space would need to be acquired or renovated (including square feet, if applicable).

**J. Leverage and Sustainability.** In this section, which will be used to help evaluate Criterion I.F. (“Financial Viability”), address the following three issues:



1. **Internal leverage and support.** Outline any internal resources that will be used to support the effort beyond the requested SAPC funding. Proposals that leverage SAPC funding with funding from colleges, schools, departments, or other University units are encouraged. For example, it is viewed positively if colleges, schools, or departments are willing to contribute some faculty positions, space, or equipment.
  2. **External resources during the three-year SAPC grant.** Describe any external resources that are expected to be sought or obtained to support the effort, including endowments, gifts, federal funding priorities, and foundation priorities.
  3. **Sustainability beyond the SAPC grant.** Indicate the level and types of support that would be required beyond the initial SAPC grant. Provide an indication of how the initiative will be sustained beyond the SAPC funding, including endowments, internal resources, and/or external sources.
- K. Preferred Attributes.** If applicable, describe how the proposed effort addresses the preferred attributes (p.18).
- L. Timeline.** Provide some indication of when the activities related to the proposal will occur. For example, some activities may not be undertaken until new faculty or staff members are hired. The proposed projects are expected to start no later than fall 2010.
- M. Measures of Success.** Describe the indicators that should be used to evaluate the impact of the investment. Indicate some qualitative or quantitative indicators that can be evaluated annually, some that can be measured at the conclusion of the initial three-year grant, and some that can be used five or ten years after the initial grant

concludes. Teams that are awarded SAPC funding will also be expected to complete an annual report for the Office of the Vice President for Research.

## **II. Technical Specifications for Submissions**

**A. Date Due.** Complete proposals are due electronically to Erin Hoffmann Harding at [eharding@nd.edu](mailto:eharding@nd.edu) by close of business (5:00 p.m. Eastern) on September 30, 2009.

All participants and appropriate deans and department chairs should be copied on the submission. Two additional items are due separately to Erin Hoffmann Harding at [eharding@nd.edu](mailto:eharding@nd.edu) on May 1, 2009:

- **Nomination form for external reviewers.** Please complete the attached template on page 15 to nominate six potential external reviewers. Proposal teams are encouraged to offer comments about the expertise of each suggested reviewer. An electronic copy of the external reviewer template is available at <http://sapc.nd.edu>.
- **Summary of proposal topic.** Please submit a short summary of the proposal that is no longer than one page and is suitable for sharing publicly. This summary will be used primarily to share a description of the proposal with prospective external reviewers. Proposal teams may utilize their draft abstract from their Phase 2 proposals, an excerpt from the Phase 1 proposal (assuming that the content is still applicable), or a document drafted specifically for this purpose.

**B. Length and Font.** Proposals may not exceed 15 pages in length, using single spacing and 1 inch margins. The cover page, signature page, budget justification, and

abbreviated CVs are the only items that will not be counted toward the 15 page limit. Completed budget templates do count toward the 15 page limit. All proposals should utilize Times New Roman, 12 point font. In an effort to be fair to all participants, proposals that fail to meet these requirements will not be evaluated.

**C. Cover Page.** Complete and include a copy of the attached cover page on page 13 as the first page of the proposal submission. An electronic copy of the cover page is available at <http://sapc.nd.edu>.

**D. Signatures.** Complete and include a copy of the attached signature page on page 14 with the name and signature of all participants named in the proposal using the template provided. An electronic copy of the signature page is available at <http://sapc.nd.edu>.

**E. Curriculum Vitae.** An abbreviated CV must be included for each investigator. The CV of each individual cannot exceed two pages in length. The CV of the principal investigator should be listed first, followed by the CVs of all other investigators in alphabetical order.

**F. Additional Appendices.** Only three types of appendix materials will be accepted: budget justification, CV's, and letters of commitment. Letters of commitment are permitted when the proposal includes partnerships with external institutions, agencies, or peer universities. In that case, a letter verifying the described commitment is encouraged. In contrast, letters of support that simply endorse the contents of the proposal will not be accepted.

**G. Format and Assembly.** Proposals should be submitted electronically in PDF format as one combined document in the following order:

1. Cover page
2. Signature page
3. Proposal (which should include the budget template)
4. Budget justification
5. CV of principal investigator
6. CVs of additional investigators (in alphabetical order)
7. Letters of commitment (if applicable)

### **QUESTIONS AND CLARIFICATION**

Faculty members are encouraged to contact Bob Bernhard ([rbernar@nd.edu](mailto:rbernar@nd.edu)) for questions or consultation during the proposal development process. The objective of the SAPC effort is to help make each proposal as strong as possible and, through these investments, to make significant progress toward the vision of the University as a preeminent research university. The University is committed to working both with the teams selected for awards and with faculty who presented proposals with meritorious elements that are not selected in this round for funding to ensure that such advancement is achieved.

# University of Notre Dame Strategic Academic Planning Committee September 2009

## PROPOSAL COVER SHEET

**Proposal Type:** Full Grant \_\_\_\_\_ Seed Grant \_\_\_\_\_

**Proposal Title:** <Please complete>

**Principal Investigator:** <Please complete>

**Date Submitted:** <Please complete>

**Participants:** <Please complete with as many rows as needed>

Last Name	First Name	Department

**Deans and Department Chairs Copied on Proposal:** <Please complete with as many rows as needed>

Last Name	First Name	College, School or Department

**Total SAPC Funds Requested (from budget template):**

Year 1	Year 2	Year 3

**University of Notre Dame  
Strategic Academic Planning Committee  
September 2009**

**PROPOSAL SIGNATURE FORM**

*I have participated in the development of this proposal. By my signature, I both endorse the proposal's contents and the role that I will play in the effort if it is funded.*

**Principal Investigator:**

Name	Signature

**Participants:** <Please complete with as many rows as needed>

Name	Signature

**University of Notre Dame  
Strategic Academic Planning Committee  
May 2009**

**NOMINATION FORM FOR EXTERNAL REVIEWERS**

*Please complete this form by nominating up to six external reviewers for your proposal. Submit the form electronically to Erin Hoffmann Harding ([eharding@nd.edu](mailto:eharding@nd.edu)) by the close of business on **Monday, May 1, 2009**.*

*Please do not nominate individuals with whom you would have a real or perceived conflict of interest, such as co-authors, dissertation committee members, post-doctoral mentors, and post-doctoral colleagues.*

**Proposal Title:** <Please complete>

**Principal Investigator:** <Please complete>

**External Reviewer Nominations:**

Last Name	First Name	Title	University or Organization	Contact Information	
				Phone	Email

**Please add any comments about the qualifications or relevance of the external reviewers:**

<Please complete>

**University of Notre Dame**  
**Strategic Academic Planning Committee**  
**April 2009**

**BUDGET TEMPLATE**

Budget Item (use \$ as units)	Year 1	Year 2	Year 3
<i>Senior Personnel:</i>			
<b>T&amp;R Faculty</b>			
<b>Non T&amp;R Faculty</b>			
<i>Other Personnel:</i>			
<b>Postdoc</b>			
<b>Graduate Research Assistants</b>			
<b>Undergraduate Research Assistants</b>			
<b>Staff</b>			
<b>Other</b>			
<b>Total Salaries and Wages</b>	-	-	-
<b>Fringe Benefits</b> (add 28% above salary cost for benefits, 18% for summer salary, use 3% for annual salary increase)			
<b>Total Salaries, Wages, Fringes</b>	-	-	-
<i>Non Personnel Costs:</i>			
<b>Equipment</b>			
<b>Space Costs (acquisition, renovation)</b>			
<b>Supplies</b>			
<b>Travel</b>			
<b>Consultants, Participants, other Program Costs</b>			
<b>Publication Costs</b>			
<b>Computer Costs</b>			
<b>Subcontract/Subgrant</b>			
<b>Other Costs</b>			
<b>Total Non-Personnel Costs</b>	-	-	-
<b>Total SAPC Request (include this total on the cover page)</b>	-	-	-



**University of Notre Dame**  
**Strategic Academic Planning Committee**  
**April 2009**

**CRITERIA FOR PROPOSALS**

Proposals will be evaluated according to the following dimensions.

**I. Required Criteria**

- A. Excellence.** Creates or expands a program of research, scholarship, or creative expression that is of top quality in an important area that will have an impact on the academy, nation, or world. Results in a program that will be a leader in its field and contribute to the overall preeminence of the University. Note that seed grants are expected to achieve this criterion on a longer time horizon than full grants.
- B. Leadership and Program Integration.** Is led by investigators who can contribute outstanding scholarship to the effort and also possess the attributes to serve as effective leaders of a team. The proposed program is effectively organized and integrated to achieve its objectives.
- C. Involvement.** Creates productive internal or external collaborations. This could be done by bringing together existing institutional strengths in a new and distinctive way, by proposing a creative new program, or by forming external partnerships. External partners could include other academic institutions, the Church, nonprofits, industry, and so forth.
- D. Mission Fit.** Is consistent with or strengthens the University's Catholic character.

**E. Educational Impact.** Enhances the learning environment or research opportunities for undergraduate, graduate and professional education.

**F. Financial Viability.** Shows promise for sustaining itself after the initial period of support through new University endowments, college or departmental resources, or sponsored research funds. The effort must demonstrate the ability to adapt as the nature of our collective understanding of intellectual problems evolves. Applications for seed grants will not be required to demonstrate ongoing funding at the end of their initial grant, though those programs would eventually need to achieve sustainability at their fruition.

## **II. Preferred Attributes**

**A. Thematic Emphasis.** The SAPC is committed to funding only excellent proposals. While proposals related to one of the identified thematic areas are encouraged, the final selection will be based on the quality of the proposal.

**B. Interdisciplinary.** Proposals of a genuinely interdisciplinary nature will be preferred over discipline-specific proposals and proposals where disciplinary scholarship happens in parallel, even if the latter submissions are equally excellent in quality.

**C. Broader Impact.** Proposals that support the service mission of the University and/or contribute to the economic development of the region and the nation are encouraged.

**University of Notre Dame**  
**Strategic Academic Planning Committee**  
**April 2009**

**INVITED THEMES FOR PROPOSALS**

- 1. Environmental Sustainability.** The relationship between environmental protection, energy production, and sustainable cities and communities is of great interest to the University, as evinced by the discussion at the recent Notre Dame Forum. It is also a topic critical to the future of our nation and the world, as we confront global warming and an ever scarcer supply of natural resources. Proposals that address the many aspects of environmental sustainability of cities and communities, including public policy, law, public adoption of technologies, the interplay of technology and economics, and the environmental consequences of energy development are encouraged.
- 2. Poverty and Human Development.** Numerous countries and regions around the world still experience an unacceptably slow or arrested level of development along multiple dimensions of human welfare. Despite tremendous advances in human knowledge, technology, and culture, industrialized nations also struggle with sectors of significantly disadvantaged populations. Proposals are welcomed that address issues such as the political systems, public health and education policies, immigration, and infrastructure development that cause, exacerbate, and/or alleviate poverty.
- 3. Religion and culture; religion and science.** Notre Dame's distinctive mission presents an opportunity to explore issues of religion in ways that peer institutions cannot. Religion

continues to be a relevant factor in conflict among people and countries, the development of society and culture, and the application of technology. Examples of the numerous proposal topics that might be pursued within this bipartite theme include religion and secularization, religious dialogue, modernity and religion, the “clash of civilizations”, theological topics such as faith and reason, neuroscience and religion/religious experience/religious discourse, theories of the origin of the cosmos, or bioethics.

- 4. Water.** With a rapidly growing world population, ongoing climate change, and continued technological advancements, water is becoming an increasingly critical resource for the world that must be wisely managed. Proposals might explore approaches to the safety and reliability of water supplies – including environmental management, water treatment efficiency, water system designs, watershed-wide mechanisms for governance, policy analysis and coordination among governments and local institutions, ecohydrology and collaboration with intergovernmental water programs, such as those sponsored by the United Nations.