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May 22, 2012

Linda Bisson
Chair Academic Senate

Dear Linda,

Attached please find a draft of the RFA for the Interdisciplinary Frontiers in the Humanities and Arts (IFHA) program.   Your assistance with a review by the Academic Senate will be greatly appreciated. I have asked Carrie to contact your office to schedule meetings with senate committees that will be reviewing the proposal. I request time to discuss the RFA with the relevant committees at their next regularly scheduled meetings so that the RFA can be released before summer break.

I would like to thank Prof. Jack Chin (Law) for leading an outstanding group of faculty from the humanities, arts and social sciences in drafting the IFHA RFA. The basic principles of the Interdisciplinary Frontiers Program have been preserved, while addressing the concerns and aspirations of our community of humanists and artists.

IFHA RFA Drafting Group

Gabriel J Chin, Chair	Professor	Law School	School of Law
Christina Cogdell	Assoc. Prof	Design Program	L&S: HArCS
Keith Watenpaugh	Assoc. Prof	Religious Studies	L&S: HArCS
Mario Biagioli	Professor	Science & Technology Studies	L&S: Social Sciences
Suad Joseph	Professor	Anthropology	L&S: Social Sciences
		Women & Gender Studies	L&S: HArCS
		Middle East-South Asia Studies Program	L&S: Social Sciences
Ines Hernandez-Avila	Professor	Native American Studies	L&S: HArCS
Jamal Abedi	Professor	Education	School of Education
Carolyn de la Pena	Professor	American Studies	L&S: HArCS
Colin Milburn	Assoc. Prof	English	L&S: HArCS

After all comments from CODVC and the Academic Senate have been received and reviewed, we will incorporate changes and distribute to the faculty. Because of concerns about setting a proposal receipt deadline date during the summer, we will likely ask for submissions at the end of October (or perhaps even later).

Thanking you in advance,

Harris A. Lewin, Ph.D.
Vice Chancellor for Research

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Campus Interdisciplinary Frontiers in the Humanities and Arts (IFHA) Program

Request for Applications Deadline: XXXX XX, 2012

The UC Davis campus IFHA program will facilitate the formation and enhancement of interdisciplinary teams to conduct collaborative research of significant value and relevance to the people of the state of California, the United States, and the world. A critical component of the IFHA program is to further strengthen the ability of UC Davis faculty to compete for major foundational, federal and philanthropic grants and to explore partnerships with civil society and the private sector. Successful proposals will be those that demonstrate the greatest potential for excellence in research and creative production, and impact on society. Funding for the IFHA program will come from indirect costs generated by awards made to UC Davis under the American Recovery and Reinvestment Act (ARRA) of 2009. These research-related revenues were set aside by Chancellor Katehi for campus-wide reinvestment in research, consistent with the Chancellor's Vision of Excellence and the goal of reaching $1 billion in sponsored research activity.

Objectives of the IFHA Program

1. To create internationally competitive interdisciplinary and multidisciplinary Research Clusters from across the UC Davis campus in all the fields of the humanities, humanistic social sciences, and the creative and performing arts. These Clusters will be expected to:
   a. facilitate high quality research in the humanities and arts where the complexity of the research agenda requires collaboration and access to IFHA funding;
   b. support research that asks and pursues transformative questions that impact the intellectual, artistic, and social growth of the campus, while fostering economic development; social justice, or produces significant public good;
   c. enhance opportunities for interdisciplinary undergraduate research and graduate student and postdoctoral training;
   d. include the social sciences, sciences, engineering, law, education, medicine and management as appropriate to the Cluster;
   e. encourage the development of research partnerships with civil society, private foundations, industry, local and national government and non-governmental- and inter-governmental organizations);
   f. achieve, by the end of three years, concrete outcomes and/or new external partnerships that enable the inquiry to continue; and
   g. support the goals of the Chancellor's Vision of Excellence.

2. To develop research facilities and office space to support the mission of the interdisciplinary Clusters.

3. To enhance core research services that support interdisciplinary research.

Award Information

We anticipate awarding up to 10 IFHA grants. Each award will be eligible for up to three years of funding, depending on progress towards concrete outcomes and overall success (see section on Award Criteria below for more information on the annual review process).

Awards will range from $100,000 to $1.0 million over three years, with additional funds made available for renovation of facilities to support co-location of investigators involved in interdisciplinary collaborations. We recognize that IFHA funding will not be sufficient to solve the high-level challenges we expect to be addressed by each Cluster, but it should lay a solid intellectual foundation for future high-quality research and enhance the capacity for securing extramural funding. IFHA Cluster Leaders will report on thematic activities directly to the Vice Chancellor for Research (VCR). Each IFHA Cluster will be given status as a Special Research Project (SRP) within the Office of Research (OR).

Instructions for Submitting a Proposal for a UC Davis Campus IFHA Cluster

IFHA proposal general content and requirements

- Proposals should be submitted in the form of a narrative. The narrative should present the major objective(s) and outcomes of the Cluster, which must have a major impact. Thematic research problems should be broad in scope — asking big questions — and require an interdisciplinary approach. Details of the required content are provided below.

- A Cluster Leader should be identified. The Cluster Leader will be responsible for all correspondence relating to the proposal as well as other planning activities during the development of the Cluster. All UC Davis faculty (Academic Senate and Federation) with PI status are eligible to serve as Cluster Leaders. An individual can be a Cluster Leader on only one proposal.

- Clusters should include at least three faculty, but more is encouraged if this enables the Cluster to reach its goals. All UC Davis faculty (Academic Senate and Federation) are eligible to participate in the IFHA Program competition as Cluster Faculty.

- Because each IFHA Cluster is interdisciplinary in nature, Cluster Faculty taken as a group must be drawn from more than one academic program or department; preference will be given to Clusters that involve faculty from multiple disciplines and more than one division, school or college.

- An appropriate number of additional UC Davis faculty and staff (all of those who qualify automatically by campus as a Principal Investigator) may be identified as IFHA Affiliates. All UC Davis faculty (Senate and Academic Federation) are eligible to participate in the IFHA Program competition as IFHA Affiliates. Affiliates may also be located at other universities, or the private sector; however, IFHA funding cannot be used to support any investigator who is not an employee of UC Davis.

- UC Davis faculty and staff may be associated with more than one proposal and more than one funded IFHA Cluster as Cluster Faculty or Affiliates.

- Proposals already submitted to the RISE program may not be submitted to the IFHA competition, unless specific permission is given.

- Graduate students, postdoctoral researchers, and artists-in-residence may be supported with IFHA funds, and such positions are strongly encouraged. Students and post-docs hired through these funds should be mentored in interdisciplinary ways and their research must contribute to the interdisciplinary goals of the Cluster. IFHA Postdoctoral Fellows, and artists-in-residence (any position supported with IFHA funding) will also be expected to contribute in relevant and significant ways to the overall success of the Cluster. Appointments for graduate students and postdoctoral researchers will be for no more than three years.

- Major equipment requests will be considered but must be strongly justified in the budget documentation.

IFHA Proposal Instructions

Submissions are due no later than XXXX XX, 2012. Proposals should be submitted via email to *campusIFHA@ucdavis.edu* in a single PDF or Microsoft Word file that includes six required components in the following order:

a. <u>Cover Page</u>: Please use the form provided with this document.

b. <u>Narrative</u>: The narrative should not exceed 12 pages and should address the following points:

i. Overview and Rationale (~2 pages)
- What are the major issues to be addressed by the Research Cluster?
- Why do these questions require an interdisciplinary approach? Describe in sufficient detail the interdisciplinary approach that will be used to address the questions.

ii. Team Membership and Expertise (1-2 pages)
- Briefly describe the expertise and particular roles each IFHA faculty member brings to bear in addressing the main questions of the Cluster.
- Expertise of Affiliates may be discussed.

iii. Resources and Infrastructure (~1 page)

- Is there a need for specialized infrastructure or equipment? Briefly describe the infrastructure and/or equipment and justify the expense.

iv. Organization and Administration (~1 page)

- Briefly outline the proposed Cluster's organization and internal administration.

v. Education and Training (1-2 pages)

- Describe how graduate students, postdoctoral/postgraduate researchers, and artists-in-residence will be effectively engaged to support the activities of the Cluster (rather than the research interests of an individual investigator). State where they will be housed, and what, specifically, they will be expected to accomplish.
- Describe the interdisciplinary research opportunities/programs that the Cluster will create for undergraduate students.
- Describe any externally funded academic activities planned to couple with the Cluster (courses, training grants, etc.) at all levels (undergraduate and graduate).

vi. Dissemination of Research Outcomes and Potential for Promoting Public Good (~1 page)

- Describe how you plan to disseminate the results of the Cluster research (publications, exhibitions, installations, conferences, workshops, websites, summer schools, etc.).
- We strongly encourage quick and free dissemination of scholarly articles produced with IFHA funding, preferably in open access format in accordance to UC's UCOLASC proposal. (That policy makes no recommendations for the intellectual property of faculty-produced fiction, poetry, textbook, visual works, and book monographs, which are left to the individual producers to manage).
- If the Cluster has successfully procured a commitment of matching funds from an external entity (philanthropic foundation, etc.), describe in detail if this arrangement has any bearing on the public and free dissemination of the Cluster's research outcomes.
- Describe how this research promotes the public good and brings value to society.

vii. Intellectual property

- In those cases in which the Cluster's research might develop patentable inventions, briefly address how technology transfer is envisioned.
- If possible patentable inventions are pursued by the Cluster in concert with an external partner, describe in detail the nature of the partnership and the arrangements being considered for the sharing of the intellectual property in the inventions that might emerge from the collaboration.

viii. Sustainability (~2 pages)

- Identify potential funding sources for the Cluster's activities and provide specific examples, if relevant or possible.

- Describe in detail the strategies to be used by the Cluster to obtain large-scale funding and plan for sustainability beyond the three-year funding period, if this is a goal beyond full completion of the proposal in three years.

    ix. Measurements of Success (~1 page)

- What are the critical factors that will determine the success of the Cluster?
- Present a timeline for Cluster development, activities and concrete outcomes.

c. <u>References Cited</u>: No page limit. (not included in 12 page limit)

d. <u>Budget</u>: (not included in 12 page limit) Please use the form provided with this package. Use additional copies for each year requested and provide one summary budget for all years.

    i. Do not include any indirect costs in the budget.

    ii. Cluster Faculty may request the equivalent of one course buyout per year. The total request may not exceed 25% of the total budget.

    iii. Salary for Cluster Faculty and Affiliates (see definitions under IFHA Proposals General Content and Requirements) who are not ladder faculty will be allowed for up to 25% effort. Salaries must be justified.

    iv. Salaries may be escalated up to 3% during the grant period. If non-budgeted salary increases are authorized by the campus during the grant period, those increases will be honored by the IFHA program.

    v. Total salary costs should be grouped by personnel category as indicated on the budget forms provided, and itemized in the budget justification.

    vi. IFHA funds may only be used to support personnel and activities at UC Davis.

    vii. Although both resident and non-resident graduate students will be supported, for IFHA proposals graduate students should be budgeted for resident tuition only. Use current tuition rate and escalate appropriately each year.

e. <u>Budget Justification</u>: Provide a brief explanation of the budget elements specified in the budget form.

f. <u>CVs for Cluster Leader, all Cluster Faculty and key Affiliates</u>: Four pages maximum each. This document should include positions held, educational experience, relevant honors and awards, recent and/or relevant publications, and a list of currently funded (or recently expired) extramural projects.

Review Process

An ad hoc External Advisory Committee (EAC) appointed by the VCR will assess the proposals. The committee will be chaired by a distinguished UC Davis faculty member or Emeritus/Emerita, with administrative support provided by the Associate Vice Chancellor for Interdisciplinary Research and

Strategic Initiatives (AVCR). The EAC will be comprised of distinguished humanists, humanistic social scientists, and artists from academia and other private organizations. The EAC members will be free of conflicts (i.e., they are not, and have not, been engaged in collaborative research with any of the IFHA faculty and will be asked to indicate any possible conflicts of interest). The EAC will advise the VCR on the merits of the thematic proposals and rank them for funding. The VCR, in consultation with the Provost and Chair of the UC Davis Academic Senate, will be responsible for final decisions and implementing the recommendations of the EAC. Nominations for the EAC will be sought from the Deans, members of the IFHA drafting committee, and the Committee on Research of the Academic Senate.

The criteria used to evaluate IFHA proposals will focus on the following major factors. A maximum of 100 points may be assigned to the proposal based on these factors: At least three reviewers will independently review each proposal. In case of major inconsistencies between the three initial reviewers, a fourth reviewer will be asked to score the proposal and the average ratings of the four reviewers will be used for evaluating the proposal. A verbal summary should be produced to highlight the main strength and weaknesses of all fundable applications. The evaluation categories include:

1. Potential for positive impact of the project on the multi-faceted mission of the University of California and future contribution to the field.

2. Interdisciplinary and multidisciplinary: Diversity of the Cluster Faculty taken as a group.

3. Clarity and quality of the major research questions to be addressed by the Research Cluster.

4. The degree to which the Cluster's research program impacts the intellectual, artistic, and social growth of the campus or promotes social justice or produces significant public good.

5. The qualifications and productivity of the Cluster Leaders, and additional personnel, and the relevance of their background and expertise to the project goals and objectives.

6. The proposal's commitment to and integration of student research and learning – both undergraduate and graduate – into the proposed research activity.

7. Project Evaluation: Measurements of Success

8. Budget Justifications

The review committee may solicit revisions or additional information if necessary to achieve a final ranking of submissions. In addition, the committee may recommend that the proposal author(s) make an oral presentation in order to clarify organizational and other aspects of the proposal. The EAC may suggest that some teams coalesce around a single thematic area where significant overlap or potential synergy of effort is evident.

A multi-question scoring system will be used by the EAC to rank the proposals. The VCR will communicate award decisions directly to Cluster Leaders, with a written summary of reasons given for the decision. An objective of the review process is to identify Clusters that are outstanding and appropriate to the mission of IFHA; therefore not all Research Clusters will be selected for funding. Should programmatic funding remain after the first round of proposals, there will be another opportunity to submit proposals in Fall 2012.

Award Criteria

A. <u>Administrative Support</u>. Research Clusters will receive administrative support from the OR for the preparation of multi-investigator grant proposals and other materials that may be required for the full development of the Cluster.

B. <u>Annual Review</u>. Progress toward meeting the objectives of each IFHA Cluster will be reviewed annually by the OR, with input solicited from the Committee on Research of the Academic Senate. A reporting document specific to the IFHA program will be used.

C. <u>Funding Period and Termination</u>. Awarded IFHA Clusters will receive funding for up to three years. After that period, the IFHA Clusters will be expected to be completely self-sustaining. Funding may be discontinued before the end of the third year if adequate progress is not made toward reaching the Cluster's goals.

D. <u>IFHA Clusters</u>. It is recognized that co-location of IFHA Cluster members and their teams is a key factor in achieving success. Successful Clusters (i.e., those that are funded) will be encouraged to work with Department Chairs and Deans to identify adequate space where all, or part, of the Cluster's activities can be housed. The OR may make investments in certain cases to ensure that IFHA Clusters have adequate and appropriate space to achieve their missions.

E. <u>Faculty Turnover</u>. It is essential to the long-term success of IFHA that Clusters can respond to new opportunities. This necessitates a natural turnover of IFHA faculty and affiliates within Clusters. Each Cluster may establish its own procedures for adding or removing faculty. Changes in participating faculty should be communicated directly to the VCR. Clusters should keep faculty and affiliates to a small, optimal number that allows the Cluster to reach its goals.

F. <u>Indirect Costs</u>. The Office of the Provost and Office of the VCR will develop policies for indirect costs accrued by IFHA faculty on externally funded projects resulting from and awarded to the SRP. The intent is to treat all units fairly, recognizing the importance of maintaining healthy linkages between IFHA faculty and their home colleges/schools and departments. The distribution of indirect cost recovery for multi-investigator grants arising from an IFHA Cluster will follow a new campus policy based on budget reform; all single investigator awards will be treated according to standard policy, with indirect cost recovery accruing to the faculty member's home academic units.

G. <u>Annual Conference</u>. IFHA awardees will be expected to participate in an annual conference showcasing the accomplishments of the IFHA Research Clusters.

H. <u>Decisions</u>. Funding decisions will be made no later than November 13, 2012. Notifications will be made by the Office of the VCR to Cluster Leaders.

I. <u>Continuation</u>. At the end of the three-year period, Clusters may be continued as OR SRPs if they are self-sustaining. All efforts will be made to facilitate the stability and longevity of funded IFHA Clusters.

To promote large-scale interdisciplinary research at UC Davis, including the continuation of IFHA Clusters when appropriate beyond the initial three-year period of funding, the VCR, in conjunction with the Provost, Vice Chancellor of Administrative and Resource Management, and the Deans, are identifying underutilized space on campus that can be used to house interdisciplinary teams. This concept will be more fully explained in a future communication. The intent is to build two to four interdisciplinary pods (iPODs) on campus during the next three years. IFHA Clusters that have been successful in obtaining large-scale funding will be eligible to compete for this space when renovations are completed.

Contact Information

For further information please contact:

Harris Lewin
Vice Chancellor for Research

campusIFHA@ucdavis.edu (for IFHA proposal submission and specific questions relating to the IFHA subprogram)

IFP@ucdavis.edu (for general questions about the Interdisciplinary Frontiers Program)

Attachments

In the following pages, please find templates for the following:

- IFHA Cover Page
- IFHA Budget Form

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Interdisciplinary Frontiers in the Humanities and Arts (IFHA)

COVER SHEET FOR PROPOSAL SUBMISSION TO OFFICE OF RESEARCH

CLUSTER LEADER NAME & CONTACT INFORMATION (Department Affiliation, Telephone Number)	PRINCIPAL RESEARCH AREA(S) (number by relevance)
	[ ] Humanities [ ] Social Sciences [ ] Creative Arts [ ] Humanistic Social Sciences [ ] Information Technology [ ] Life Sciences [ ] Engineering [ ] Other

TITLE OF PROPOSAL (up to 30 words)

PROPOSED DURATION (months 1-36) REQUESTED STARTING DATE (mm/dd/yy) (no earlier than July 15, 2012)	TOTAL REQUESTED BUDGET (36 months maximum) Total: Year One: Year Two: Year Three: External Match (If applicable):

CLUSTER LEADER SIGNATURE

Signed:

Date:

Email:

OTHER UC DAVIS CLUSTER FACULTY SIGNATURE(S)

A. email: Name:	Department	Signature:
B. email: Name:	Department	Signature:
C. email: Name:	Department	Signature:
D. email: Name:	Department	Signature:
E. email: Name:	Department	Signature:
F. email: Name:	Department	Signature:

Add additional Lines/Pages as needed

Signatures above confirm that the named investigators have agreed to participate in this IFHA Cluster and that information provided in the proposal is correct to the best of their knowledge.

UC DAVIS
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Interdisciplinary Frontiers in the Humanities and Arts (IFHA)

Total Budget for [ ] Entire Funding Period [ ] Year 1 [ ] Year 2 [ ] Year 3 FROM _____ THROUGH _____

Personnel (UC Davis only)	Number Requested	Total Salary requested	Fringe benefits	Totals
Graduate Students				
Postdoctoral Researchers or Artists-in-Residence				
Undergraduate assistants/researchers				
Non-faculty academic appointments[1]				
Non-academic professional staff[2]				
Other				
Sub-total personnel				
EQUIPMENT *(Itemize)*				
SUPPLIES *(Itemize by category)*				
TRAVEL				
OTHER EXPENSES *(Itemize by category)* Optional subcategories include (a) tuition and fees, (b) alterations and renovations, (c) computational/IT support (non-staff costs), (d) fees for service or recharge, etc.				
TOTAL DIRECT COSTS FOR BUDGET PERIOD				$

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[1] Non-faculty academic appointments include professional researcher series, junior specialist, etc.
[2] Non-academic professional staff include programmers, staff research associates, technicians, engineers, etc.