University of California, Office of the President
2016 President's Research Catalyst Awards

REQUEST FOR PROPOSALS (DRAFT)
Draft v: April 1, 2015 (*LOIs and Applications must be submitted in compliance with the <u>Final</u> RFP*)

Overview of Funding Opportunity

UC President Janet Napolitano and UC Research Initiatives are pleased to issue a Request for Proposals for the 2016 President's Research Catalyst Awards. This president's initiative aims to advance innovative research in areas of strategic importance to UC that has the potential to benefit California, the nation and the world, and to stimulate public support for UC research. Awards are made on a competitive basis for highly meritorious research that fulfills the following programmatic goals:

- Catalyze <u>innovative scholarship</u> that makes significant contributions to knowledge and science in areas of strategic importance to UC, and that has the potential to improve human lives, society, the environment, or the economy, enhance culture and community, or provide other public benefit
- Catalyze <u>multicampus and systemwide collaboration</u> that positions UC as a national leader
- Catalyze <u>faculty collaboration across career stages</u> to provide mentorship, support professional advancement, and position UC faculty as leaders in key fields
- Catalyze <u>graduate student training opportunities</u> in cutting-edge interdisciplinary or multi-disciplinary research
- Catalyze <u>public engagement in the UC research mission</u> through opportunities for community collaborative research, citizen science, or other community outreach, education and engagement
- Catalyze <u>undergraduate participation in research</u> through educational, curricular or training/internship components (as appropriate to the fields and disciplines)

Funding for this opportunity is provided through the President's Initiative funds; we anticipate awarding $7 million total over three years in response to this RFP. Within the constraints of this total available funding, there are no minimum or maximum budget limitations. The competition is open to all fields of research and interdisciplinary or thematic collaboration. All proposals must come from academic appointees with Principal Investigator status in the UC research community. The proposed research activities should go beyond individual PI projects to fulfill the research, education and public service mission of UC as outlined in the programmatic goals above. To both take advantage of the distributed excellence and resources available through the UC system, and to benefit the UC research enterprise, a minimum of three (3) UC campuses must participate in the proposal; broader systemwide engagement is encouraged. Systemwide engagement may include, as appropriate to the proposed activities, collaboration with the UC-managed national laboratories, the Division of Agriculture and Natural Resources, or other UC systemwide research entities. The award start date is January 1, 2016, and awards may be for 2 - 3 years in length.

This RFP contains information regarding application requirements, the review process, eligibility and exclusion criteria, due dates, and program contacts. Detailed instructions are provided in the application materials. General program information regarding the President's Research Catalyst Awards may be found at our <u>website</u>: http://ucop.edu/research-initiatives/programs/catalyst-awards/index.html.

Key Dates [tentative—pending final RFP]
Final RFP Release: Monday, April 20, 2015   (tentative)
Applicant Teleconference(s):   May 1 - 8, 2015   (tentative—see final RFP)
Letters of Intent Due: Thursday, June 4, 2015
Notification of LOI Decision: Thursday, July 9, 2015   (tentative—see final RFP)
Invited Full Proposals Due: Wednesday, August 26, 2015 (tentative—see final RFP)
Notification of Review Outcome: by Tuesday, December 1, 2015

NOTE: The Letter of Intent (LOI) is <u>required</u> and will be used to determine who will be invited to submit a full proposal (see below). All submission deadlines are **12:00 noon** Pacific Time. Late submissions of Letters of Intent or full proposals will not be accepted.

Overview of the Application and Selection Process
Applicant teleconferences are tentatively scheduled for May 1-8, 2015. Call-in information will be available on our website at: http://ucop.edu/research-initiatives/programs/catalyst-awards/index.html. Participation in the teleconference is optional, but strongly recommended.

Interested applicants must complete a formal Letter of Intent (LOI) using the online proposalCENTRAL application system. Instructions are provided below. LOIs will be reviewed for compliance with the instructions and eligibility criteria, and will be prioritized based on adherence to the program goals and funding priorities as determined by the UC Office of the President. Invitations to submit full proposals will be limited to no more than 30 proposed collaborations, or $25 million total funding. <u>No feedback or comments will be provided on the LOI, nor the reasons for selection or non-selection.</u>

Only collaborations that are invited to advance beyond the LOI stage will be given access to the full application on proposalCENTRAL. All proposals must be submitted online and in accordance with the instructions, templates and guidelines provided, and must conform to the requirements of the final version of the RFP. It is the applicants' responsibility to check the program website for any updates or clarifications prior to submitting the full proposal.

Full proposals will undergo a competitive peer review and ranking process based on the merit and scoring criteria outlined in this RFP. Final selection from among the highest ranked proposals will be at the discretion of the Office of the President. Awards are contingent on availability of funding. Final decisions may not be appealed, but declined proposals may be submitted to future competitions and opportunities without prejudice.

Eligibility, Proposal Requirements and Exclusion Criteria
Eligibility criteria and adherence to program requirements will be evaluated at the LOI stage, as well as during the full proposal review for invited applications.

1. <u>Eligible Principal Investigators</u>: Proposals must identify a Lead Principal Investigator (PI) for the award who holds PI status at a UC campus [Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, or Santa Cruz]. For guidelines on PI status, contact your campus Office of Research, or refer to Section 1-530 of the UC Contracts and Grants Manual.

Proposals must also identify one collaborating PI (Co-PI or site lead) for each collaborating UC campus, UC-managed national lab or other UC research entity. All collaborating PIs must have PI status at their home institution. Additional co-investigators (Co-Is) may be identified if they contribute substantively to

the proposed research activities. Academic Personnel whose primary role is in university-wide, campus or school administration above the level of Dean may not serve as PIs, Co-PIs, or grant Key Personnel.

2. Eligible Institutions: One of the ten UC campuses [Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, or Santa Cruz] must serve as the host institution for the research collaboration, and submit the proposal on behalf of the collaborative team. The host campus should be the home campus of the Lead Principal Investigator. If a host campus is proposed that is not the home campus of the Lead PI, an explanation must be provided, along with a description of how the research oversight and compliance will be administered. See "UC multicampus/systemwide collaboration" (#3 below) for requirements regarding the collaborating partner institutions.

Full proposals must include a letter from the Vice Chancellor for Research that indicates the willingness of campus administration to host and administer the multicampus award (if funded) and provide appropriate campus space and infrastructure to the endeavor.

3. UC Multicampus/systemwide collaboration: To take advantage of the distributed excellence and resources available through the UC system, and to benefit the UC research enterprise, proposals must include the participation of a minimum of three (3) UC campuses; broader systemwide engagement is encouraged. Where appropriate, systemwide engagement may also include collaboration with the UC-managed national laboratories, the Division of Agriculture and Natural Resources, the 5 UC medical centers, or other UC research entities if advantageous to the research effort and outcomes. Funding may not support activities at the UC Office of the President.

If invited to submit a full proposal, collaborations that intend to utilize the infrastructure of existing institutes, programs or specialized facilities/labs must clearly articulate the relationship of this collaboration and project to those existing resources and infrastructure, indicating both the potential to leverage those resources and the unique contribution of this new effort.

4. Faculty Collaboration and Mentorship: In order to catalyze collaboration and mentorship among faculty across career stages, project leadership should include faculty at the Assistant, Associate, and full Professor levels as appropriate to the proposed project and disciplines. The LOI needs to identify the Lead PI, Co-PIs and Co-Is (if any) at each collaborating site only. Full proposals must articulate how the collaboration and mentorship will be integrated into the proposed project and activities to achieve the programmatic goals.

5. Graduate Student Support and Training: Proposals must clearly articulate the opportunities for graduate students to engage meaningfully in the research endeavor, gain professional experience, and make progress towards degree. Post-doctoral training opportunities are also encouraged but not required.

6. Public Engagement: Proposals must include components of public engagement through community collaborative research, citizen science, community participation and educational outreach, or other activities that demonstrate the value of UC research to the California public. These components should be appropriate and tailored to the fields of research proposed. Patient treatment and medical care at the UC medical centers does not qualify as community/public engagement and may not be included in the proposal budgets. However, education and outreach to populations or communities not already benefitting from healthcare delivery in the proposed research area may be considered. Agricultural extension activities may be considered if they create new education and outreach services to communities as a function of the proposed research.

7. <u>Undergraduate Research and Education</u>: The research activities should inform or expand curricula, provide opportunities for undergraduate engagement in research, or provide internship opportunities related to the proposed research. If summer training programs or internships for UC undergraduates are already in place, funding may be used only to expand the activities in areas consistent with the proposed research (and not to fund the ongoing/existing program).

8. <u>Existing Support and New Activities</u>: The intent of this opportunity is to fund <u>*new*</u> research projects and collaborations that will position UC as a leader in cutting-edge and emerging fields, attract extramural funding, help recruit and retain outstanding faculty, enhance education and training, and positively impact human lives and society in California, the nation and the world. Funding may <u>not</u> be requested to fund ongoing research activities, provide core institutional support, or extend funding for existing projects already supported by other systemwide funding from UCOP. Nor should proposers expect Catalyst funding to be renewed or extended beyond the 3-year award period.

Existing collaborations that propose to initiate <u>new research directions</u> may apply, but must provide a compelling justification regarding the unique contribution of the proposed new activities beyond the existing work and support. To help ensure that funds target novel research efforts, all applicants must <u>disclose all current and concurrent UCOP and systemwide research funding</u> in both the LOI and full proposal. In addition, the full proposal will require disclosure of all other sources of support. Existing support will be considered as part of the decision-making process.

9. <u>Budget Request</u>: The total available funding for this 2016 Catalyst Award competition is $7 million, and the maximum award term is 3 years. There is no minimum or maximum budget requirement within these budgetary constraints. It is expected that the average annual request will be between $200,000 - $500,000 in direct costs, however larger (or smaller) requests that are well justified in terms of their impact and innovation will receive full consideration. For the Letter of Intent, it is necessary to identify only the total estimated request (all years) and the number of years requested (2 or 3).

10. <u>Allowable Costs</u>: A budget itemization and justification will be required for the full proposal only. The template and application materials will outline allowable and non-allowable costs. While not fully detailed in this RFP, for general guidance, only direct costs that support approved research activities will be covered by this award. Funds provided by this opportunity may not be used to pay patient care costs, clinical trials, patent execution costs, fundraising costs, faculty salary stipends, subawards to non-UC-affiliated entities (except as may be required to support community engagement or participation), or indirect costs.

11. <u>Exclusion Criteria</u>: [Recipients of the 2015 Catalyst Awards](#) are not eligible to apply. Recipients of other systemwide or UCOP funding may not apply for funding to extend or expand activities already supported by the Multicampus Research Programs and Initiatives (MRPI), the UC Lab Fees Research Program (LFRP), or other systemwide funding from the UC Office of the President. Requests to fund research activities and collaborations that leverage the infrastructure of existing collaborations, facilities or institutes will be required to clearly articulate the distinct and unique contribution, specific aims, and expected outcomes of the proposed novel activities. Without a compelling justification, such proposals will receive low priority for funding.

Letters of Intent: Content, Review and Selection
All interested applicants must submit an LOI using the online forms provided on proposalCentral. LOIs must adhere to the instructions and template requirements. LOI instructions are available [online in pC](#)

and attached in Appendix 1 of this document. LOIs must be submitted by **Thursday, June 4, 2015 at 12:00 noon PDT (3:00 PM EDT)**. (tentative)

The LOI must include the following required information:
1. Lead PI name, title, and departmental and campus affiliation (*Biosketch/CV not required at LOI stage*)
2. Host campus (usually it is the campus affiliation of the Lead PI);
3. Identification of the collaborating UC campuses that will have a significant role in the proposed research and the name of the collaborating PI for each participating site, as well as identification of other collaborating sites and Co-PIs (national labs or other UC research entities), if any;
4. Identification of primary research field(s) (one required) and interdisciplinary or thematic area(s);
5. Abstract (350 words/2200 characters) providing a brief description of the proposed scope of research and activities, expected impact on UC research/scholarship, and a brief description of any specialized facilities or resources at each participating site relevant to the proposed activities;
6. Brief text responses addressing the required structural components and eligibility criteria for the Catalyst Award; *and*
7. Disclosure of current/concurrent systemwide research funding.

Letters of Intent will be evaluated for responsiveness to Catalyst Award priorities in three areas:

1) Eligibility: Is the LOI complete and fully adherent to the instructions and guidelines? Are all the eligibility criteria and structural requirements included? *Submission of extraneous supplemental information or attachments may result in non-selection of the LOI.*

2) Research Scope/Topic: Is the proposed topic/scope of the research compelling, innovative and likely to create new knowledge or outcomes that benefit California, the nation and the world in areas of strategic importance to UC?

3) Required Components: How well are the required components of faculty collaboration/mentorship, graduate student training, community engagement and undergraduate/curricular components integrated into the research effort?

NOTE: *LOIs will not undergo a merit review.* Assessment of the proposed research topic will be based on how well the significance and value of the project is communicated to a panel of well-educated non-experts who share a commitment to advancing the UC research mission to advance knowledge, benefit California and the world, and address significant challenges.

No more than 30 Letters of Intent, or $25 million in total funding requests (based on the proposed budget provided in the LOI), *will be invited to submit a full proposal*. This invitation is required to advance to the next stage. The decisions of the LOI review panel may not be appealed and no feedback will be provided to applicants regarding the LOI review. Declined LOIs may apply in future competitions without prejudice.

Full Proposal: Content, Review and Selection
Only project teams that receive an invitation to submit a full proposal will have access to the full application materials on proposalCentral. Proposals must adhere to all of the requirements to be forwarded to peer review.

Comments on this Draft RFP may be submitted until **Monday, April 13, 2015** at **UCRI@ucop.edu**

Scope and Content of the Full Proposals

The proposal narrative is limited to eleven (11) single spaced pages (not including the abstract, budget justification, and attachments), and must include the following components (<u>maximum</u> page length for each section provided):

1. <u>Abstract/Project Summary</u>: The abstract should be appropriate for a general scholarly audience. Avoid disciplinary jargon or technical language specific to a single field. (The abstract not counted in the 11-page limit.)

2. <u>Proposed Research Activities</u> (6 pages): Identify the specific aims, research activities and scholarly contributions of the proposed research, including the innovative, interdisciplinary components that will advance scholarship in emerging fields or areas of strategic importance to UC.

3. <u>Collaboration, Mentorship and Training Opportunities</u> (2 pages): Describe the collaborative research and training aspects of the proposal in relation to: 1) Project leadership and mentorship across the Professorial ranks, and opportunities for professional development; 2) Faculty, post-doctoral and researcher engagement and participation across the campuses and collaborating partner institutions; 3) Graduate student engagement and opportunities for professional development and progress towards degree; and 4) Opportunities for undergraduate research, internships, and/or educational enhancement.

4. <u>Systemwide Engagement and Benefits</u> (1 page): Describe the mechanisms and collaborative approaches that will ensure genuine multicampus engagement and/or UC systemwide benefit of the proposed collaboration. Identify any existing infrastructure, resources or expertise that may be leveraged to enhance outcomes or impact of this novel endeavor. Identify <u>specific</u> benefits to UC resulting from this collaboration.

5. <u>Public Engagement and Research Benefit</u> (1 page): Describe the components for community participation or engagement with the research, as well as the anticipated public benefits of the research outcomes themselves. As appropriate to the research activities or disciplines, public engagement includes community collaborative research, citizen science, community participation and educational outreach, or activities that demonstrate the value of UC research to the California public. Benefits of the research beyond California may also be noted.

6. <u>Timeframe, Milestones and Evaluation Metrics</u> (1 page): Identify the research timeline, benchmarks, and milestones, including a description of the methods that will be used to evaluate and assess effectiveness of the initiative, including specific outcome metrics, and other evaluation methods. *Applicants must justify how the proposed time period and requested budget will accomplish the milestones to make a significant impact in the field.* Include a description of how the program will either end, or transition to non-UCOP funds at the completion of the funding period, as appropriate. Catalyst funding will not be renewed or extended beyond the 3-year award period.

7. <u>Itemized Budget Template and Justification</u>: Provide a detailed budget, by project year, using the Excel template provided in proposalCentral. In addition, a budget justification, not to exceed two (2) pages, is required, to describe significant project expenditures. The total budget requested in the budget template must match the total budget requested in the proposal cover sheet. If these figures do not match, the lower figure will be used to determine the maximum award. The budget may include *direct costs only*. The award start date is January 1, 2016. Funding may be requested for 2 or 3 years.

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NOTE: For proposals that include collaboration with the 3 UC-managed national labs, or subcontracts to a community partner, the non-UC entities must waive their indirect cost recovery on any funds paid by UCOP from this funding opportunity. Indirect costs for the labs may be covered by matching funds from non-UC sources, or through cost-sharing by the labs. (This restriction on indirect cost recovery does not apply to UC Lab Fees Research Program awards, or other systemwide programs or opportunities using other fund sources. Refer to specific funding programs for their indirect cost recovery rules.)

8. Attachments: a) Literature cited (2-page limit); b) Curriculum Vitae for principal investigator(s), co-Principal Investigators (site leads), and Co-investigators only; c) Disclosure (required) of all current or anticipated concurrent sources of systemwide (UCOP) research funds (template provided); and d) Letter(s) of commitment (optional) identifying campus resources (if any), as appropriate to the proposal.

Full proposals should be submitted through the host campus Office of Research (C&G or SPO). It is the PI's responsibility to follow local rules and procedures for submitting a proposal and to confirm that all collaborators have obtained local approval, if required by their campus or lab, in advance of submission.

Proposal Review Process:
The review process is competitive and interdisciplinary panels will evaluate proposals based on the scoring criteria and program priorities. Reviewers will be selected for their subject matter expertise, and the panels will be composed of faculty and researchers drawn from both inside and outside of the University of California system. Review assignments will be made to ensure a fair and balanced review and to address conflicts of interest. Because panels are interdisciplinary, applicants should avoid jargon, and use language understandable to scholars in other fields or disciplines.

Each panel will rank proposals based on overall merit, responsiveness to the RFP as reflected by the scoring criteria, feasibility, and adherence to the proposal requirements. The rank-ordered list of proposals from each panel will be forwarded to the President for a final determination of the funded applications. The President will make the final selection from among the highest ranked proposals consistent with Presidential priorities, portfolio balance, or other considerations. Funding decisions are not subject to appeal.

Scoring Criteria
The review and selection criteria for success in this competition include:

1. Research Excellence and Innovation: Highest quality research in compelling and important topics that create or strengthen UC's research capabilities to advance scholarship and knowledge in areas of strategic importance. Catalyst Awards clearly demonstrate the potential of the scholarship to position UC and its faculty as innovative leaders addressing topics and problems that impact not only California, but the nation and the world. Excellence includes likelihood of scholarly impact in the fields or thematic areas identified in the proposal, and feasibility for achieving proposed goals and outcomes in the award period. Innovation may be demonstrated by interdisciplinary or multidisciplinary scholarship at the cutting edge of two or more fields, or proposed theoretical or applied breakthroughs in important areas of scholarship. Translational and applied research efforts concerned with the ultimate practical application of basic research findings and innovative technologies are encouraged in applicable fields.

2. Strength of the Multicampus Collaboration and Systemwide Impact and Benefit: The impact and benefits to the UC system of the proposed collaboration may be demonstrated by:
• Genuine engagement and interaction of faculty, researchers, and graduate students from three or more UC campuses, and if advantageous to the research activities or outcomes, collaboration with the UC-

managed national laboratories the Division of Agriculture and Natural Resources, or other UC research entities.

- Interdisciplinary or multidisciplinary collaborations that stimulate systemwide creative processes, access to the best available resources (i.e., national laboratories, medical centers, museums and collections, databases, natural reserves and more).
- Contributions that help position <u>the UC system</u> for strategic excellence, leverage the complementary strengths among the campuses and labs and increase utilization of shared resources.
- A structure or approach that ensures systemwide impact and a balanced opportunity for participation. Additional benefits of the collaboration might be demonstrated through increased efficiency as a result of common facilities or administrative support.

3. <u>Strength and Benefits of Faculty Collaboration and Mentorship</u>: Meaningful collaborative engagement among faculty across career stages, and opportunities for mentorship and professional advancement that position UC faculty as leaders in their fields. This may be demonstrated by: leadership roles across the professorial ranks; activities that help attract and retain outstanding and diverse faculty, or foster novel research directions; or collaborative activities that enhance UC's competitiveness in awards, prizes, honors, and extramural funding.

4. <u>Quality of Graduate Student Training</u>: Opportunities for meaningful engagement by graduate or professional students in innovative research and cutting-edge scholarship, as demonstrated by graduate student support, participation in key research activities, as well as opportunities that advance them towards degree and successful professional careers.

5. <u>Community Engagement and Benefit</u>: Successful proposals will catalyze public engagement in the UC research mission in ways that are meaningful to the research endeavor and provide community benefit. These may include, but are not limited to: community-based participatory research, citizen science, K-12 education and outreach, or other public engagement appropriate to the research scope and activities. Generally speaking, the creation of a community advisory board alone is not sufficient evidence of meaningful community engagement for the purposes of this award. Examples of community engagement, not meant to be an exhaustive list, are included in the separate program FAQ.

6. <u>Contributions to Undergraduate Education or Curriculum</u>: Proposal should incorporate research activities that inform or transform curriculum, provide opportunities for undergraduate participation in research, internships, or fieldwork appropriate to the fields and disciplines of the proposal. Strong proposals will demonstrate the impact on education and training of a future generation of scholars and engaged citizens.

7. <u>Other Considerations</u>: In addition to the criteria outlined above, five additional factors will be considered in evaluating proposals:
- Appropriateness of the proposed budget to achieve the proposed aims in the award period;
- Plans to secure extramural support, and likelihood that Catalyst Award funding will lead to enhanced competitiveness for extramural funding. Proposals that rely on ongoing UC systemwide funds beyond the award period to achieve the proposed outcomes will receive a low priority for funding.
- Other sources of support. Existing collaborations that leverage existing UC resources or infrastructure to propose innovative new research activities must provide a compelling justification indicating that the proposed research activities are distinct and unique contributions to scholarship.
- Sufficient campus commitment and administrative capacity to support the proposed activities.
- Proposals that involve human subjects, animals, or toxic substances must outline how they will address the regulatory and compliance requirements for research approval.

Comments on this Draft RFP may be submitted until **Monday, April 13, 2015** at **UCRI@ucop.edu**

Research Program Oversight
The President's Research Catalyst Awards are made on a one-time basis, and the funding opportunity is administered under the auspices of UC Research Initiatives (UCRI) in the Research Grants Program Office (RGPO) at the UC Office of the President. Funded proposals are required to report annual progress and fiscal expenditures. Funded proposals will be assigned to at least one UCRI staff member who will serve as the primary program contact.

Awards are contingent on availability of funding, and compliance with research and reporting requirements.

For questions on program scope and priorities, please contact: UCRI@ucop.edu

Administrative questions regarding the application process may be directed to: RGPOGrants@ucop.edu

Technical Questions related to use of proposalCENTRAL: Please email pcsupport@altum.com or call 800-875-2562 (Toll-free U.S. and Canada) Technical support for online submission is available through proposalCENTRAL (Monday – Friday 8:00 AM – 5:00 PM Eastern Time. Please note that from California you must call between 5:00 AM and 2:00 PM).

Updated Program Announcements, FAQs and RFP clarifications (if any), and Applicant Information teleconference information will be posted on the UCRI website. To ensure proposals meet all program requirements, PIs and their collaborators are strongly encouraged to check the website for any program updates prior to full proposal submission*:*
http://ucop.edu/research-initiatives/programs/catalyst-awards/index.html

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