

**Notre Dame-IBM Technology Ethics Lab  
2023 Call for Proposals  
Application Packet**

**Overview**

Artificial intelligence increasingly undergirds, digitizes, and automates important processes in our society and economy, such as processing loan applications, making medical diagnoses, informing hiring decisions, surfacing information, and piloting autonomous vehicles. Recent headlines reveal that with such important outcomes on the line for individuals, organizations, and the broader society, it is critical that AI can be trusted to make fair and accurate decisions.

Globally, legislation has been both proposed and passed to regulate AI; yet there is not yet broad consensus on the most effective ways to assess the implications of a given system prior to and during deployment. While the objectives that inform financial audits may translate to artificial intelligence in that a financial auditor gathers and inspects evidence to determine whether a company's practices are free from material misstatement or fraud, an AI auditor may examine design documents, code, and training data to determine whether a company's algorithms are free from material bias, inaccuracy, or other potentially consequential impact. Financial audits are just one example; other kinds of audits, such as IT, privacy, security, and operational audits, may provide models for examining the impact of decisions made by AI systems.

The predicament remains daunting, however. As AI becomes more sophisticated, auditing it will only involve increasingly complicated ethical, social, and regulatory challenges. Dimensions that require auditing must be identified, agreed upon, and measured. AI auditors must be trained. Policies must be developed to govern the operations, credentialing, and impact of audits.

We invite proposals for projects that grapple with these challenges and suggest innovative solutions. Potential areas for research and scholarship include, but are not limited to, the following:

- Scope of AI audits
- Regulatory frameworks for AI audits
- Methodologies for AI audits
- Skills for future AI auditors
- Teaching methodologies for AI audits
- How AI audits may impact various sectors and industries
- Suggested best practices for AI audits
- Adoption and deployment of AI audits

Successful applications will propose a defined deliverable (such as, but not limited to, research papers, draft policy, model legislation, teaching materials, and impact assessments) that address the above challenges to be completed between January 1, 2023 and December 31, 2023.

**Key words:** AI Ethics, Privacy, Controls, Risk assessment, Risk mitigation, Governance, Policy, Compliance, Evidence, Opinion, Security, Availability, Confidentiality, Integrity, Fairness, Bias, Accuracy, Trust, Impact assessment, Transparency

**Projected Timeline**

**2022**

- **August 15** - Application period opens
- ~~**September 18**~~ - Application period closes **Deadline extended to September 25**
- **November 18** - Recipients notified

## 2023

- **January 1** - Projects kick off
- **April** - Virtual recipient workshop
- **June** - Recipient workshop at the University of Notre Dame in Indiana, USA
- **October** - Virtual recipient workshop
- **December 31** - Projects close

## Project Awards

Recipients may apply for up to \$60,000 USD in award funding and will have from January 1, 2023 through December 31, 2023 to complete their project, including preparation, research, execution, and deliverables. A detailed budget and timeline should be submitted as part of the application.

Invoices from recipients will be paid by the Tech Ethics Lab on a quarterly basis.

Overhead/facilities and administration (indirect costs) are not allowed.

## Expectations for Recipients

Recipients will be expected to do the following:

- Provide quarterly status reports to the Tech Ethics Lab.
- Provide quarterly invoices to the Tech Ethics Lab for reimbursement
- Participate in quarterly workshops to share progress with the Tech Ethics Lab staff and other recipients. Three workshops will be conducted virtually, and one will be conducted in-person on the campus of the University of Notre Dame (late spring or early summer 2023).
- Recipients will retain ownership of all deliverables.
- Recipients will distribute the CFP deliverables under an open source/open access/creative commons/equivalent licenses for the applicable medium. In the event that a CFP deliverable is patented, IBM and Notre Dame shall receive an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform for non-commercial purposes only.

## Eligibility

Applications will be accepted between **Monday, August 15, 2022 at 8:00 AM ET** (UTC 12:00 PM) and ~~**Sunday, September 18 at 5:00 PM ET**~~ **Sunday, September 25 at 5:00 PM ET** (UTC 9:00 PM). For information on how to submit an application, please refer to the "Proposal Preparation" section below.

Eligible applicants include:

- Faculty, staff, and students from institutions of higher education;
- Individuals representing nonprofits other than institutions of higher education;
- Individuals representing for-profit organizations;
- Individuals representing local governments; and
- Independent researchers

To expedite the disbursement of award funding, it is recommended that applicants affiliated with institutions of higher education collaborate with the institution's research organization to develop the proposal and ensure that the appropriate compliance structures and approvals are in place.

It is recommended that applicants affiliated with institutions of higher education, nonprofits other than institutions of higher education, for-profit organizations, local governments, or other institutions have their institution receive the award on their behalf unless doing so would create an undue burden.

Previous recipients are eligible to apply; however, preference will be given to applicants who have not previously received awards.

Applicants affiliated with the University of Notre Dame and IBM are not eligible.

## Proposal Preparation

- Please submit an application form [here](#). Applications submitted through other channels will not be accepted for consideration. Only one application per team is requested.
- Please note that a project proposal should be attached to the application. The proposal should be a concise description of the proposed project's focus, research question(s), likely scholarly significance, probable research design, analytical approach, and relevance to the topic of the Call for Proposals. It should include a brief abstract (no more than 150 words) summarizing the proposed work. Below are formatting guidelines for the proposal:
  - Pages: 5-6, inclusive of abstract, exclusive of references
  - Margins: 1 inch
  - Spacing: Double-spaced
  - Font: Times New Roman or Arial
  - Font size: 10-12 points for text, 10-14 points for headers
  - File format: Portable Document Format (PDF)
  - Note: No hyperlinks please
- Please note that a résumé or curriculum vitae (CV) for each team member should be attached to the application. Below are formatting guidelines for the résumé or curriculum vitae (CV):
  - Pages: No more than 5
  - Margins: between 0.5 and 1 inch
  - Font: Times New Roman or Arial
  - Font size: 10-12 points for text, 10-14 points for headers
  - File format: Portable Document Format (PDF)
  - Note: No hyperlinks please
- Please note that a budget proposal should be attached to the application. Please use the budget proposal template [here](#). An example budget proposal is included for your reference in the "Budget Example" tab.
- Please note that a timeline proposal should be attached to the application. Please use the timeline proposal template [here](#). An example timeline proposal is included for your reference in the "Timeline Example" tab.
- Please note that if the proposed project involves research on human subjects, an approval or notification of exempt status from an Institutional Review Board (IRB) or equivalent research ethics body is required and should be provided by Friday, February 10, 2023. If IRB approval or exemption has not been obtained at the time of application, the IRB protocol should be attached to the application. Please find more information about the University of Notre Dame's human research policy [here](#).
- Applications should be submitted in English. Please email [techlab@nd.edu](mailto:techlab@nd.edu) if you require assistance completing the application in English.
- Applications cannot be revised after submission.
- Please note that the Tech Ethics Lab may reach out after submission to the email address provided by the primary applicant with additional questions or clarifications.

## Selection Criteria

Proposals will be evaluated based on the following criteria:

- Novelty of contribution

- Engagement with ethical issues
- Strength of methodology
- Quality of writing
- Use of resources

**Contact Information**

Please direct questions or concerns to [techlab@nd.edu](mailto:techlab@nd.edu).