

**INTER-AMERICAN INSTITUTE FOR
GLOBAL CHANGE RESEARCH
(IAI)**

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November 8, 2001.

Dear Colleague

On behalf of the IAI, we are pleased to announce the IAI Small Grant Program (IAI-SGP). This new program was approved by the 8th IAI Conference of the Parties (CoP), the policy making body of the institute at the meeting held in Panama City, (Panama) in July 2001.

This program is intended to support small research/capacity building/planning activities that in the future will facilitate the development of larger Science Programs and Research Networks. It also provides the opportunity of assembling scientists and decision makers into activities aiming at the integration of scientific knowledge to be applied in the decision making processes of global environmental problems of regional relevance.

We are convinced that despite being a program modestly funded, it will be (as it was the case of the IAI-Start-up Grant Program) a catalytic mechanism promoting the development of new collaborative activities among institutions of the Americas, as well as providing ways to disseminate useful knowledge for our societies.

Please find attached a detailed description of the announcement.

We look forward to your participation in this new IAI activity. If you have any questions regarding the IAI SGP, please feel free to contact Dr. Gerhard Breulmann – IAI Scientific Officer – at the IAI Directorate. He might be reached by phone (55-12-3945.6865), fax (55-12-3941.4410) or e-mail (gerhard@dir.iai.int).

Sincerely

Armando Rabuffetti
Director

Gerhard Breulmann
Scientific Officer

**InterAmerican Institute for Global
Change Research
IAI**

**“IAI Small Grant Program”
General Guidelines**

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1. Introduction

The IAI Small Grant Program (IAI-SGP) is a new opportunity for collaborative activities in global change research among scientists and institutions of IAI member countries. The first phase of IAI programmatic development envisaged a sequence of events starting with the Start-up Grants (SG) to allow review of global change issues and planning of future research, followed by the Initial Science Programs (ISP) and ending with the Collaborative Research Networks (CRN). The first phase of this cycle of programs started in 1995 and resulted in the funding of the first set of Collaborative Research Networks in 1999. The second phase, starting with the Small Grant Program (SGP) encourages further development of research within the IAI Science Agenda or considers building on recent programs and focusing on issues not fully explored in earlier grants.

2. IAIMission

“The mission of IAI is to develop the capacity of understanding the integrated impacts of present and future global environmental change on regional and continental environments in the Americas and to promote collaborative research and informed action at all levels”.

Implicit in the mission statement are the main IAI objectives

- Scientific excellence;
- Multinational and multidisciplinary collaboration;
- Contribution to capacity building;
- Promotion of regularized data and information exchange;
- Policy relevance and usefulness to decision and policy makers.

3. Past and Present IAI Activities

An important aspect to the mission of IAI is the development of networks of scientists and scientific institutions that work collaboratively on global change issues of regional importance. Effectively addressing these regional global change issues requires the development of an active scientific network that crosses international boundaries.

IAI Start-up Grant Program (SG): In 1995, IAI began the initial stages of its scientific network development through the United States’ National Science Foundation IAI Start-up Grant Program.

This program of US\$ 2.0 million provided support for 37 teams of scientists across the Americas. The objective was to facilitate the development of networks among institutions in IAI member countries, and to foster the development of formal proposals to the IAI for longer-term programs and activities related to global change themes and the further development and establishment of collaborative research networks.

IAI Initial Science Program (ISP): This program was designed to support multi-national teams conducting focused global change research or education. The IAI has allocated approximately US\$ 3.8 million for this activity and has supported 39 research projects under this program for the period 1996-2001. The Initial Science Program has also contributed to foster the development of research networks.

Collaborative Research Network (CRN): This program is designed to encourage the development of research networks composed of scientific teams from across the Americas that focus on global change problems of regional importance. Starting in 1999, this latest IAI initiative has established the global change research networks in the Americas. The networks are multinational and multidisciplinary in nature each involving the participation of scientists from institutions of at least 4 IAI member countries and, in most cases, participation of both natural and social scientists. These networks involve the participation of 150 scientists and nearly 100 institutions in 16 IAI member countries. The overall investment for the 5-year duration is approximately US\$ 11 million. The groundwork for this unique program were the Start-up Grants (SG).

This IAI Small Grant Program (IAI-SGP), in turn, is intended to be the foundation of the second phase of IAI programmatic development leading to the establishment of new research networks in the near-term.

4. IAI Science Agenda

The IAI Science Agenda is organized into a framework of 4 main themes which integrate both the physical and the human dimensions of global environmental change.

I. UNDERSTANDING CLIMATE VARIABILITY IN THE AMERICAS

- ENSO and Inter-annual Climate Variability;
- Ocean-Land-Atmosphere Interactions;
- Hydrology (Water Resources).

The focus of this theme is on the documentation of climate variability in the Americas and its links to changes in natural systems and societal impacts. The goals are first to understand the ocean-land-atmosphere interactions and the key processes that cause climatic variability on timescales of seasons to decades (e.g. ENSO, land falling hurricanes, and drought frequency); secondly, to assess the impacts of these climatic factors on key socioeconomic sectors (e.g. water management, energy availability, agricultural production, fisheries, public health, etc.).

II. COMPARATIVE STUDIES OF ECOSYSTEMS, BIODIVERSITY, LAND USE AND WATER RESOURCES IN THE AMERICAS

- Tropical Ecosystems and Biogeochemical Cycles;
- Biodiversity;
- Comparative Studies of Oceanic, Coastal and Estuarine Processes;
- Comparative Studies of Terrestrial Ecosystems;
- Changes in Land Use, Land Cover, and in Hydrology and Water Resources.

Climate and land-use changes are inter-related processes that affect the functioning of natural ecosystems and the quality of resources available for human use. The IAI encourages comparative analyses of natural and anthropogenic systems, from the tropics to temperate and cold latitudes, including terrestrial, coastal and oceanic environments, in order to investigate relationships and interactions at regional and global levels, as well as understanding the consequences of global change on these systems.

III. CHANGES IN THE COMPOSITION OF THE ATMOSPHERE, OCEANS AND FRESH WATERS

- High Latitude Processes (Ozone);
- Biogeochemical Cycles;
- Comparative Studies of Regional Air and Water Pollution.

The focus of this theme is on documenting and understanding processes that modify the chemical composition of the atmosphere, inland waters and oceans in a manner that affects productivity and human welfare. Under this theme topics related to the following would be appropriate: (1) changes in ozone and UV radiation, (2) enhancements of forcings due to radiation through emissions of greenhouse gases and aerosols, and (3) air and water pollution.

IV. INTEGRATED ASSESSMENT, HUMAN DIMENSIONS AND APPLICATIONS

This IAI theme focuses on projects, which integrate across the natural science themes and include a human dimension component and/or focus on the application of research to policy. The intent is (1) to advance our understanding related to the human causes and consequences of global change in the Americas (e.g. anthropogenic land-use change and climate impacts); (2) to stimulate the development of applications that enable decision makers to effectively use scientific results. (e.g. ENSO forecast applications, land-use, water management, biodiversity conservation and health effects), and (3) to develop integrated models of interactions between environmental change and social systems that can be used to evaluate the state of knowledge or to assist in setting policies and/or decision making processes to promote equilibrium between societal development and environment.

5. Program Description

This new opportunity, announced as “IAI Small Grant Program” is an open call; one-time awards will be made on a competitive basis according to the evaluation criteria described in this document. High priority will be given to the participation of new/young scientists of IAI member countries.

Based on present funds availability, the program is intended to support the following activities:

- 1) 6 to 8 small research projects (with grants of up to 30,000 USD each) falling within IAI Science Agenda. Thematically, priority will be given to applications within the theme IV of the IAI Science Agenda, which have not been the subject of earlier IAI SG, IAI ISP, or IAI CRN grants and which have the potential of creating research thrusts that focus on global change issues of regional importance:
 - Theme IV has received less attention than themes I, II and III, and there is an increasing pressure in order to develop capabilities of regional assessments and understanding how changing social systems and human migrations effect the management of urban and coastal zones, water resources (water basins), and land-cover.

- There is also increased need to advance on the generation of sound environmental knowledge upon which the design of policies to reduce, mitigate or sequester greenhouse gases can be built.

(Applicants should consult the IAI website (<http://www.iai.int>) to obtain details on earlier and current research activities.)

- 2) 8 to 10 workshops (with grants of up to 10,000 USD/each) than can either be:
 - a) Scientific meetings to facilitate the planning of future collaborative research activities falling within IAI thematic priorities, or
 - b) Interdisciplinary workshops to bring together scientists and decision makers from different countries, disciplines and sectors with the purpose of integrating existing scientific knowledge and its application to problems of resource management
- 3) 2-3 technical reports (with grants of up to 15,000 USD/each) on the subject of applying scientific information to reduce vulnerability and enhance resilience in Latin America and the Caribbean. It is expected that these reports will be generated by experts in the fields of climate, international collaboration and natural resources management. The reports will be distributed by IAI to selected decision and policy makers throughout the Americas.

6. Fundable Activities

The IAI SG will provide support for research and capacity building activities including mainly graduate/post doctoral students, travels and meeting costs, communications, publications and dissemination costs, computers and softwares, and very modest support for salaries of investigators.

7. Observations regarding participating institutions investigators and countries

- a) Institutions eligible for IAI Science awards are colleges, universities, professional societies, not for-profit and non-academic institutions located in an IAI ratified country. These institutions must have formal research programs in at least one of the four scientific themes of the IAI.
- b) All funded proposals will be collaborative efforts with Principal Investigators (PIs) or Co-Principal Investigators (Co-PIs) representing institutions from at least three of the IAI ratifying countries. The following countries have ratified the IAI agreement as of October 2001: Argentina, Brazil, Canada, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, Guatemala, Jamaica, Mexico, Panama, Paraguay, Peru, the United States, Uruguay and Venezuela. Institutions from signatory countries that are not yet ratified are welcome to participate as Co-PIs, but they will not count toward the required three ratified countries.
- b) Country participation will be considered based on the location of the institution headquarters that PIs and Co-PIs represent, and not on the investigator's nationality. Similarly, visiting professors, visiting scientists, and international graduate students will be considered representing institutions with which they have formal work

affiliation (affiliation to institution in home country and commitment to returning to home country). Letters of commitment to indicate formal affiliation must accompany the proposals.

- c) A rigorous evaluation will be made on the role of each participating PI, Co-PIs, and graduate students. Therefore the program proposals must include a brief and clear description of the role of each participant in the program.
- d) Original letter of commitment from **all participating investigators** and their **institutional representatives** must accompany proposals. In the letter of commitment, make sure to include: PI, Co-PI or institutional representative's name, title, affiliation, complete mailing address and contact numbers, and signature. Other necessary information will be project title, name of the project PI and a statement declaring that both the investigator and institutional representatives are committed to the project and in-kind contributions from the institution, whenever applicable.
- e) The IAI will not accept the change of Principal Investigator (PI) and leading institution, except for reasons of death or serious illness. Any changes proposed to the composition of the original project team must have the written agreement of all participating investigators and institutions. PIs will be responsible for keeping the IAI informed on the inclusion and or changes of new participating investigators, institutions and their role in the research project
- f) Support to graduate students should go most preferably to Latin American nationals from ratifying member countries.
- g) **IAI SGP funds may only be managed through institutionally controlled accounts and may not be deposited in individual bank accounts**. In addition, IAI will only make awards to lead, which will then be responsible for the transfer and accountability of funds for Co-PIs working in other institutions.

8. Overhead Charges

Up to eight percent of the total proposed budget may be charged as overhead. However, the IAI strongly encourages lower overhead rates. Proposing institutions are encouraged to document their normal overhead charges in proposals submitted to the IAI. Any reduction in normal overhead practices will not be used by the IAI as a criteria for evaluating proposals, but will be considered as a national contribution to the IAI's scientific programs and activities.

9. Evaluation Criteria

The following criteria will be applied (where appropriate to the proposed activity) during the review process:

- Scientific Excellence and Technical Soundness
- Multinational and multidisciplinary collaboration
- Contribution to capacity building
- Policy relevance of the proposed activity

- Appropriateness of budget request for the proposed activity
- In-kind contributions

10. Review Process

The peer-review process that IAI has been employing since its establishment will be followed in the IAI SG review process. First it will involve **mail and panel** reviews. Second the **IAI Scientific Advisory Committee** (SAC), using the recommendations of the panel as well as programmatic criteria will forward recommendations to the **IAI Directorate**, which will then make a final recommendation to **the IAI Executive Council** for its approval.

11. Guidelines for Proposal Preparation

Proposal Cover Sheet: Please include all the information requested in the cover page.

Table of Contents: Please include a list of major sections and subsections of the proposal.

Executive Summary: It should be on a separate page and limited to one page. Include title, Project PI, and Co-PI(s), and a list of the major institution(s) to be involved. The Executive Summary is very important, as it will be the primary mean by which panel members who are not primary or secondary reviewers will form a judgment of the proposal.

Introduction/Objectives: In this section, clearly outline the objectives of the project and, briefly describe the relevance of the project in furthering IAI programmatic development in the Americas.

Approach: In this section provide if appropriate information on the following items: (1) an overview of the project, (2) proposed meeting or activity objectives, schedules and locations, (3) proposed participants, including their nationalities and affiliations and relevant previous experience, (4) capacity building activity, (5) policy relevance, (6) details of in-kind contributions and their significance to the development of the project, (7) details of recent meetings (if any) on this subject.

Summary Statement: Outline the expected results of the project and clearly state the significance of the work for dealing with global change issues in the Americas.

References

Plan and Timetable: In a separate page, state how the activities will be organized and conducted and associated expenditures using a timeline and indicating when each proposed activity will take place.

Budget Sheet: See budget sheet attached

Appendices: (a) include no more than a 1 page curriculum vitae for each participating PI and Co-PI; (b) letters of commitment with proper signatures from all participating PIs, Co-

PIs and authorized institutional representative (IR) from the PIs institution and institutions offering in-kind contributions. The IR may not be the PI and should be the dean, rector of the faculty/school, grants administrator, or equivalent or superior authority, who can commit institutional in-kind contributions and investigator's time to the project. The letters of commitment should include a description and reasonable estimate of all in-kind contributions: nature (e.g. payment, use of laboratories, etc.): and an estimate in US\$ by each donating institution; (c) a list of 5 potential reviewers including institution, areas of scientific expertise and contact information (mailing address, telephone, fax numbers and e-mail address).

12. Guidelines for Proposal Submission

Proposals that do not meet all of the following requirements will not be evaluated.

Length: The proposal length including the first cover page (page with PI and IR), text and references, budget pages and explanations, annual plan and time-table may be no more than 12 pages. The appendices (curriculum vitae, letters of commitment) may be excluded from the page count.

Spacing and font Size: 12-point font, single-spaced.

Number of copies: Please include 12 copies. The IAI require that at least 1 set include original letters of commitment with proper signatures. The remaining 11 may be copies. Proposals, which do not include all 12 copies, will not be evaluated.

Language: Proposals in English or Spanish will be accepted.

Deadline: Proposals must reach the IAI Directorate by no later than February 25, 2002. The entire proposal package, including letters of commitment, curriculum vitae, etc must arrive together. Proposals sent by fax or e-mail will not be accepted. The IAI will not accept faxed or e-mail letters of commitment from investigators nor from institutional representatives.

Proposals should be sent to:

Instituto Inter-Americano para Pesquisa em Mudanças Globais (IAI)

Ref.: IAI-SGP

C/o INPE – Av. dos Astronautas, 1758

CEP 12227-010 – São José dos Campos – SP – Brazil

The IAI Directorate will acknowledge receipt of those proposals received by March 5, 2002.

(We recommend that proposals be sent by express mail service to ensure arrival at the Directorate by February 25, 2002)

13. Award Announcement

Decisions will be announced individually through written notices to the institution and to the Principal Investigator. It is expected that awards will be made by mid 2002. The final number of awards will depend on the quality of the proposals received and the availability of funds for this program.

14. Final Project Report

Within 90 days after the expiration of the grant, the Principal Investigator is required to submit a Final Project Report to the IAI Scientific Officer. The Final Project Report form will be available at the IAI web page by March 2002. Investigators failing to submit the Final Project Report in due time will not be eligible for further IAI support.

15. Inquiries

For further information contact:

Dr. Gerhard Breulmann
IAI Scientific Officer
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Phone: (55-12) 3945.6865
Fax: (55-12) 3941.4410
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COVER SHEET FOR THE IAI SG PROPOSAL

Name of leading institution (PI's Institution) and complete mailing address:

Title of Proposed Project:

Please specify theme:

- Understanding Climate Variability in the Americas.
- Comparative Studies of Ecosystems, Biodiversity, Land Use and Water Resources in the Americas.
- Changes in the Composition of the Atmosphere, Oceans and Fresh Waters.
- Integrated Assessment, Human Dimensions and Applications

Participating Countries :

Name and Institution (Please type or print)	E-mail; Telephone; Fax (include country and area code)	Country
<i>PI (name and title):</i>	Tel.: (-) _____ Fax: (-) _____ E-mail:	
<i>PI's Institutional Representative (name and title):</i>	Tel.: (-) _____ Fax: (-) _____ E-mail:	
<i>Co-PI (name and institution):</i>	Tel.: (-) _____ Fax: (-) _____ E-mail:	
<i>Co-PI (name and institution):</i>	Tel.: (-) _____ Fax: (-) _____ E-mail:	
<i>Co-PI (name and institution):</i>	Tel.: (-) _____ Fax: (-) _____ E-mail:	

BUDGET PAGE FOR PROPOSAL TO IAI SMALL GRANT PROGRAM¹

Principal Investigator (name and institution)

Co-Principal Investigators incorporated (names and institutions)

Proposed duration (1-12 months): _____

Request starting date: _____

Proposed request budget (US\$): _____

Total in-kind contribution (US\$) _____

Request budget breakdown

Nature	Value in US\$	Receiving Institution(s)
- Salaries for Investigators	\$	
- Salaries for Students	\$	
- Travel	\$	
- Communications	\$	
- Materials and Supplies	\$	
- Publication / Documentation / Dissemination Costs	\$	
- Other (specify)	\$	
- Other (specify)	\$	
- Other (specify)	\$	

Total = \$

In-kind contribution breakdown

Nature (specify)	Reasonable estimate in US\$	Donating Institution
	\$	
	\$	
	\$	
	\$	
	\$	
	\$	
	\$	

Total = \$

Timetable

Proposed Project Activities (specify)	Estimated Expenditure in US\$
	\$
	\$
	\$
	\$
	\$
	\$
	\$
	\$
	\$
	\$
	\$

Total = \$

PI's Signature: _____ Date: _____

Co-PI's Signature: _____ Date: _____

Authorized Institutional Representative's Signature: _____ Date: _____

¹ If necessary, please attach 1-2 additional pages to include budget detail and justification or to expand information on any of the budget items