



INTER-AMERICAN INSTITUTE FOR GLOBAL CHANGE RESEARCH

### **Call for Proposals**

Co-funded Small Grant Program

*The role of ecosystem services in adaptation to global change for human wellbeing*  
(SGP-HW)

### **Full Proposal Guidelines**

IAI Directorate  
Av. Italia 6201 – Edificio Los Tilos 102  
11500 Montevideo, Uruguay  
Phone: +598 2606 0126  
Email: [iai2018@dir.iai.int](mailto:iai2018@dir.iai.int)  
**Submission deadline: 7 November 2018**

### **Background**

This SGP-HW call was organized in a 2-phase selection process. During phase 1, applicants submitted an initial pre-proposal that presented a transdisciplinary network of researchers and stakeholders and institutions proposing to undertake the project. Pre-proposals outlined the concept, objectives and deliverables of the research, and clearly described the transdisciplinary approach of the project.

The call for pre-proposals opened on 1 March 2018<sup>1</sup> and closed on 27 May 2018. From the pre-proposals received, 10 teams were invited to participate in a week-long proposal writing workshop to ensure transdisciplinary problem framing, co-design and team building, while maintaining high standards of research and scholarship. The workshop brought together researchers with relevant stakeholders to co-design the proposed research and to jointly create results models to link actions to outcomes.

During phase 2, the selected teams will have no less than 6 weeks to develop full proposals, following the workshop. The final selection will be based on the recommendations from peer and expert reviewers, who will assess the scientific merit, the transdisciplinarity of proposals, and the feasibility of the goals and objectives.

The SGP-HW project duration is two years, with continuation of grants pending annual evaluations of satisfactory performance and subject to availability of funds.

---

<sup>1</sup> See notification: *Co-funded Small Grant Program (SGP): the role of ecosystem services in adaptation to global change for human wellbeing*, no. 2018/004 at <http://www.iai.int/wp-content/uploads/nt-2018-004-en.pdf>

## Important dates

- 27-30 August and 10-13 September 2018: Proposal writing workshops. Pre-selected applicants are expected to attend;
- 7 November 2018: Deadline for submission of full proposals;
- 17 December 2018: Announcement of proposals selected for funding;
- 18 December 2018 to end of January 2019: Preparation and signing of grant agreements;
- End of January 2019: Start of funded research activities.

## Proposal review

The scientific merit and the policy relevance of proposals will be assessed by members of the IAI Scientific Advisory Committee (SAC) and the Science-Policy Advisory Committee (SPAC), with the participation of outside experts selected on the basis of their expertise, as necessary. Approval of projects, in alignment with the recommendations of the reviewers, will be the responsibility of the IAI Directorate.

**The main criteria** to be used in evaluating the proposals are:

- (1) Impact: interdisciplinary and transdisciplinary science (including mechanisms and methods) for addressing complex problems, co-design with policy makers/stakeholders, and expected impact;
- (2) Theme and intellectual merit: intellectual merit, consideration of risk factors and opportunities associated to global change, socio-ecological approach, methods and capacities, and data management plan in accordance with the IAI recently adopted Decision XXVI/6: *Open data policy and principles*<sup>2</sup> which aims to establish an IAI Open Data Portal;
- (3) Collaboration and networking: scientific collaboration, institutional partnership, value added by collaborations and partnership, Parties involved;
- (4) Relevance: Reflect the Paris Agreement's goal of "Enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change, with a view to contributing to sustainable development and ensuring adequate adaptation response in the context of temperature goal"; relevance to work programs of multilateral environmental agreements such as the Convention for Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations SDGs, among others. National teams should also respond to their respective national frameworks: National Action Plans, Nationally Determined Contributions, National Strategies on Biodiversity and Climate Change Action Programs, and subnational frameworks, as appropriate, and/or local challenges;
- (5) Team building & capacities: Equity in the roles of natural and social scientists, as appropriate to the research questions and societal problems being addressed, key roles for young researchers, policy makers and stakeholders' involvement and roles;
- (6) Co-funding: level and appropriateness of co-funding offered.

Proposal selection will look for deliverables and milestones associated with possible societal impacts of research results, while noting that science-policy causal relationships and attributions may be difficult to establish in the short timeframe of this program. The IAI expects innovative yet realistic proposals with feasible expected outcomes resulting from scientists and non-academic partners jointly discussing and understanding their different motivations. Work plans, activities, budget, co-funding should be jointly decided and societal impact should be realistically identified.

---

<sup>2</sup> <http://www.iai.int/wp-content/uploads/iai-cop-26-20a-e.pdf>

## General grant conditions

The IAI promotes responsible conduct of research in its networks. This includes honesty in all aspects of research, accountability in the conduct of research, professional courtesy and fairness in working with others, and good stewardship of research on behalf of others, particularly IAI Parties.

The *IAI Conflicts of Interest and Standards of Ethical Conduct*<sup>3</sup> policy will be applied during all phases of proposal evaluation, approval and implementation. All project investigators must agree to comply with principles aiming to protect the dignity and privacy of every individual who, in the course of the research work carried out under this project, will be requested to provide personal or commercially valuable information about him/herself or others. The IAI recognizes the importance of standards on human subjects and informed prior consent. Research undertaken under this SGP-HW shall be conducted in accordance with the laws of the Parties in their respective areas of national jurisdiction, and shall not be conducted against the wishes of a Party in its area of national jurisdiction.

All IAI grant agreements require a continuing commitment from the researchers to establish, maintain, preserve, allow the use and distribution of data that are collected during the project life cycle to provide the broadest possible open access to all its information. All meta-data and data will be transferred to the IAI at the conclusion of the project. Human and sensitive information will be addressed on a case-by-case basis. All proposals must comply with the IAI's *Open data policy and principles*<sup>4</sup>. The document *Data Management Plan Guidelines and Template* in Annex 1 to this call contains more detailed information on the Data Management Plan that needs to be included in the proposal.

## Budget and eligible costs

SGP-HW awards will be up to US\$ 200,000 for supporting research, data management, travel, workshops, capacity building, communication, dissemination, and scholarships. IAI funding is normally not available to replace or supplement the salary of investigators. Limited expenditures (up to 10% of the total project budget) for equipment and software are allowed. No overhead is allowed, but accountable administrative expenses may be charged up to 7%. IAI funds can only be managed through institutionally controlled accounts. The IAI will only make awards to the lead institution (grantee) which will be responsible for disbursement to collaborating institutions (sub-grantees). Budget details can be found below.

## Co-funding requirement

This SGP-HW is based on the expectation of co-funding so that the resources necessary to carry out projects will not be fully dependent on the IAI grant. Co-funding is a key factor for projects being considered for these grants. The IAI anticipates greater co-funding in upper and upper middle-income countries with greater science and technology development.

Co-funding encourages the provision of additional resources —funding, knowledge, and expertise—to the program. It increases the ownership of the project by participants and contributes to the establishment of strong partnerships. Co-funding also helps the IAI to focus its funding in supporting the incremental cost of projects, with emphasis in backing IAI Parties that are in more need of support to develop their science and technology capacity.

---

<sup>3</sup> [http://www.iai.int/wp-content/uploads/2014/01/IAI\\_conflict\\_of\\_interests\\_2000\\_en.pdf](http://www.iai.int/wp-content/uploads/2014/01/IAI_conflict_of_interests_2000_en.pdf)

<sup>4</sup> <http://www.iai.int/wp-content/uploads/iai-open-data-policy-e.pdf>

Co-funding refers to the resources additional to the IAI grant that are provided by grantees' institutions, governments (science funding agencies, other government bodies at the national, subnational and local levels), other multilateral agencies, development cooperation agencies, the private sector, private foundations, civil society organizations, and various type of donors. Co-funding could take the form of financial or in-kind contribution. Eligible in-kind contributions include nonmonetary resources such as: researchers' salaries or those from employees of organizations involved in the project; scholarships for students, valued at the regular rate of pay for the time devoted to the project; access to paid databases (incremental costs of access); analytical, professional, technical and other services (printing, editing, publishing, transportation, etc.) at customary rate; provision of or access to equipment and vehicles, and their supplies; space and facilities to be used for office work, field work, meetings and community-based activities, valued at the fair rental rate; other supplies.

Co-funding needs to take into account the specifics of the proposal: partners engaged and their roles, work plan and types of activities, timing. The IAI will recognize only those in-kind contributions that are fully documented and considered essential to carry out the proposed work.

### **Annual technical and financial reports**

The performance of funded projects under SPG-HW will be evaluated based on the annual technical and financial reports to be submitted by the project PI and the Grantee Institution, respectively. IAI Directorate staff may perform monitoring or auditing visits to any participating party throughout the program duration. During or after completion of the projects, evaluations of the financial management of all projects will be performed. Audits will be a contractual obligation.

Moreover, researchers and others with a funded SGP-HW project should support the IAI in submitting scientific information requested by the IPBES and the Intergovernmental Panel on Climate Change (IPCC), among others; in supporting Parties regarding their respective national frameworks: National Action Plans, Nationally Determined Contributions, National Strategies on Biodiversity and Climate Change Action Programs, and subnational frameworks, as appropriate.

### **Guidelines for proposal preparation & submission**

To be eligible under SGP-HW, proposals must include all of the following sections and follow the prescribed format:

The **main body** of the proposal is limited to a maximum of 20 pages, 12 font Times New Roman or Arial.

- 1. First page: Proposal Title, names of PI, co-PIs, and partners**, with their institutional and country affiliations and contact details.
- 2. Second page: Executive Summary** of the proposed project (limit 1 page).

The following 18 pages should contain:

- 3. Impact statement for the research.** The expected societal impact, the policy relevance and expected implications for decision making processes; the strategy to help develop and implement policy options; and the significance of the proposed activity for dealing with global

change issues and addressing the international and national frameworks. What outcomes (e.g., policy, conservation, natural resource management or human health and safety) does this project aim to achieve?

**4. Transdisciplinary team building.** Provide a short explanation of the roles and contributions of each Co-PI and partner, and provide a description of the role of different sites and countries in contributing to the project objectives. Explain why the international collaboration and transdisciplinary research model is critical to the project success and the added value it provides; how transdisciplinary integration will be achieved; how and when stakeholders will be involved; and how results will be adopted by decision makers. Describe how and when stakeholder feedback will be used to make adjustments to research actions or products.

**5. Project scope.** Project feasibility within the 2-year timeframe, including outcomes that can be expected in this time. Link to international, national, regional or local policy needs as appropriate.

**6. Goals and objectives.** Project goals as well as adaptation outcome goals. Measurable objectives, and their relevance to the theme and conditions of the call, and to the international, national, and sub-national global change challenges and policy needs, as appropriate.

**7. Intellectual merit.** The intellectual merit of the proposal, the expected scientific contribution -including the contributions related to global change risk factors and opportunities -, and the overall justification of the proposed activity, hypotheses, and expected outcomes.

**8. Work plan and methodology.** A description of the proposed work and its distribution among the partner countries; approaches, activities, methods, deliverables (and associated timelines) and expected outcomes. Teams must include **results chains or theories of change** (in the form of a narrative or a diagram) that link project actions to desired environmental, social, and/or policy outcomes. More information is available on the SGP-HW Proposal Writing Workshop webpage<sup>5</sup>. Outline milestones and deliverables, including expected results and products with their associated timelines.

**9. Monitoring and evaluation plan.** A summary of how the team will monitor the results of their actions and assess whether the actions had the intended outcomes, or if the project goals, objectives or actions need to be modified. This allows for the articulation of project success/impact, communication to funders on the importance of IAI-supported work and contribution to social learning.

**10. Communications plan.** Teams and networks that bring multiple stakeholders and areas of expertise together require that communications should be established from the first day of the project to ensure the project is inclusive and increase chances of implementation. Describe how your team will communicate with different stakeholders and audiences throughout the project, and how you anticipate modifying or revising your products or workplan based on stakeholder needs and input.

**Appendices** (on separate pages) will be excluded from the page count:

---

<sup>5</sup> [www.iai.int/iai-sgp-hw-proposal-writing-workshop-2018/](http://www.iai.int/iai-sgp-hw-proposal-writing-workshop-2018/) - password: iai2018

**Appendix 1. Data management plan.** Please refer to Annex 1 of this document. Include detailed information on how the team will manage data and contribute to the IAI Open Data Portal, and how information will be communicated within and among teams, the broader scientific community, relevant stakeholders, and the public.

**Appendix 2. Capacity building:** Describe how your project will contribute to capacity building in the region through formal and informal education processes. This includes the role of students but also other stakeholders and the institutions involved. If you intend to engage post-doctoral fellows, a specific mentoring plan will be required to show how they will benefit from their participation.

**Appendix 3. Bibliography:** References cited in the proposal.

**Appendix 4: Budget** (use form provided in Annex 2 to this document): Please fill all sheets of the Budget Form. Strictly follow the budget guidelines outlined (below) and add justification pages as necessary. You must provide justifications for each item. The budget is prepared and approved by the grantee institution which will sign the grant agreement, and is therefore that institution's responsibility.

**Appendix 5:** Duly signed **commitment letters** from each Co-PI. The letter from the authorized institutional representative of the Grantee Institution must indicate the institution's approval of the project and explain the PI's relationship to the Grantee Institution. Letters of commitment of the collaborating institutions (sub-grantees).

**Appendix 6: Short CVs** (free format): Provide a short Curriculum vitae (max. 1 page) for the Lead PI, each Co-PI and key partner. Please compile all CVs into one file before submission.

### **Budget conditions**

SGP-HW awards provide support for research, data management, travel, workshops, and capacity building. Limited expenditures (up to 10% of the total project budget) for equipment and software are allowed. No overhead may be charged, but accountable itemized administrative expenses may be charged (up to 7% of the total project budget). IAI funds can only be managed through institutionally controlled accounts.

The IAI will only make awards to the lead institution, which will be responsible for disbursement to collaborating institutions under the terms of sub-grant agreements to be signed among the lead institution (Grantee) and the collaborating institutions (Sub-grantees).

IAI funding is not available to replace or supplement the pay of researchers who already receive salaries. This limitation is especially valid in this SGP-HW program, since it is expected that the salaries of the researchers will form part of the co-financing offered. Under exceptional circumstances, modest support can be provided for investigators salaries. Such requests for investigator salaries must be well justified in the budget. The requested amount of remuneration should be reasonable in consideration of the standards of the country and institutions, and subject to compliance with relevant laws of the country in which the part-time position is located.

**Compensations for students and scholarships:** As a general policy, the IAI encourages the capacity building of participation by graduate and post-graduate students in the sponsored research activities. The cost of the direct participation of students in the research activity is authorized under the following conditions:

a) Students as research assistants:

- the participation of these students is necessary to support the development of the research activity;
- their academic background is according to the needs of the research activity;
- the contracts/scholarships for the students: term, amount, fringe benefits (if any), and tuition, are consistent with the organization's regular policies and practices;
- the time supported by the grant funds is devoted 100% to the project;
- there are administrative systems in place to control the attendance and the time charged to the research activity.

b) Students on scholarships:

- the scholarships must be included in the budget for the approved proposal;
- the graduation theses and dissertations address the themes of the IAI funded research activity, and acknowledge IAI support;
- the scholarships are consistent with the organization's regular policies and practices;
- the support goes to residents of IAI Parties, preferably from Latin America and the Caribbean.

**Travel / workshops:** Local and international travel for work or attendance to meetings relevant to the project objectives are authorized. Discounted / economy fares by the most direct route must be used. Regarding IAI funds, the IAI is required to comply with specific requirements of NSF as the program sponsor; use of co-funding should comply with the rules provided by the funder. Details will be provided in the Grant Agreement.

**Equipment:** Purchase of equipment, tangible nonexpendable personal property having a useful life of more than one year and a cost higher than US\$1,500, will be authorized under the following conditions:

- the amount invested in equipment does not exceed 10% of the total grant;
- items of needed equipment must be listed individually with a short description and an estimated total cost (cost + taxes + transport insurance + shipping);
- an adequate justification for the purchase;
- the equipment is necessary to achieve the proposal objectives;
- the equipment purchased with the support of the IAI must be accessible to a large number of scientists and students, whenever possible, during and after the completion of the project.

The IAI assumes no responsibility in the event of loss or damage to said goods or equipment. Any grantee taking delivery of equipment purchased with IAI funds for the project, whether purchased by the grantee or by a collaborating institution, is responsible for undertaking all formalities and other administrative arrangements necessary for importing the equipment into the country in which the research work will take place. Ownership of any equipment by the PI's or co-PI's institution will be subject to successful completion of the project, documented through the IAI Directorate. The IAI assumes no responsibility in the event of loss or damage to said goods or equipment and does not cover insurance at the final destination of the equipment.

**Research expenses / materials and supplies:** This category includes all the necessary expendable materials directly related to the research activities. Costs related to purchase of equipment, equipment maintenance and office supplies cannot be included under this category. Reasonable costs for computer supplies (ink, toner and paper) and computer maintenance, for equipment directly used in the research activities, can be included. The cost of hiring external computer and/or specific technical services, necessary to the project, can be included under this category. Reasonable amounts for the leasing of computer equipment can be also included. If internal computer services costs are charged to the project, a justification based on established institutional computing processing costs will be necessary.

**Communications:** The IAI will authorize reasonable amounts charged as communications costs. Under this category, call and communication charges will have to be according to the institution's policies. Internet access may be charged only with authorization by the IAI if the institution does not have this access through its local network.

**Publication / documentation / dissemination costs:** This category includes the costs of documenting, preparing, publishing, disseminating and sharing research findings and supporting materials. Page charges for scientific journal publication can be authorized when they report research results from activities supported by the IAI and this support is explicitly acknowledged.

**Administrative support / office supplies:** In general, the IAI expects that the administration of the grant be performed by the established administrative structure of the grantee. If the complexity of the research network created for the project requires hiring or contracting additional administrative support, this direct charge will be authorized on a case by case basis and should be brought to the attention of the IAI at the time of proposal submission. For consideration, direct charges must meet the following conditions:

- this additional administrative position or service is necessary for the financial and administrative management of the research activity;
- the salary or fees paid are according to accepted scales;
- the salary time supported by the grant funds is devoted 100% to the administration of the grant; and there are administrative systems in place to control the attendance and the time charged to the research activity.

Reasonable direct charges for office supplies, exclusively used for the activities of the grant, are authorized.

**Overheads:** No overheads or indirect costs are permitted. If the grantee charges direct administrative costs, these costs will be limited to a maximum that must not exceed 7% of the total grant.

**Funding for Cuban participants and travel to and from Cuba:** Funding for activities in Cuba, or for travel to and from Cuba, must be supported with financial resources from funding sources external to those provided by the IAI.

**Acceptable formats:** .doc, .odt or .pdf.

**Spacing, paper, font size, and margins:** Single-spaced, A4 size, 12-point font (Times New Roman or Arial), all margins 2.5 cm.

**Language:** Proposals must be in English or Spanish.

Proposals must be received before 24:00 (Montevideo time) of 7 November 2018 at <iai2018@dir.iai.int>. Proposals that have not arrived at the address indicated before the deadline or that do not comply with all instructions in this document will not be evaluated.

**Consultations:** please direct all queries to: [iai2018@dir.iai.int](mailto:iai2018@dir.iai.int). Phone: +598 2606 0126.

### **Acknowledgment**

The IAI acknowledges the generous financial support of the United States National Science Foundation (NSF), which made this Small Grant Program possible.



## Annex 1

### Data Management Plan Guidelines and Template

#### Co-funded Small Grant Program

*The role of ecosystem services in adaptation to global change for human wellbeing (SGP-HW)*

#### Data Management Plan Guidelines and Template

The full and open exchange of scientific information is an explicit element of the IAI's objectives. This involves a number of conditions and processes: the scientific data and information must be of reliably high quality; the information must be accessible across disciplines, institutions and countries; it must be in formats that facilitate access, analysis and meta-analysis; it must be accompanied by tools that facilitate the generation of knowledge, communication and visualization from data and information; and it must be governed by secure and reliable protocols of storage, access, use and distribution. (See: *IAI Institute on Information Management: free and open access to, and use of data and information*<sup>6</sup> for further reference).

Parties to the IAI recently adopted Decision XXV/6: *Open data policy and principles*<sup>7</sup> which aims to establish an IAI Open Data Portal. This portal will archive and make accessible data and information generated by IAI funded projects to decision makers and communities to support the development and implementation of more effective decisions on global change. The IAI Open Data Portal is conceived as a coordinating mechanism for national open data portals and systems in the Americas. It aims to develop tools to store and visualize newly integrated and interoperable data with a view to support community activities related to national obligations under the newly adopted *Regional Agreement on Access to Information*<sup>8</sup>. The development of the IAI Open Data Portal is currently underway.

Data or metadata are an important output of IAI projects. Full proposals to be submitted to the SGP-HW call must include a data management plan that is in line with the IAI *Open data policy and principles*, and that contributes to IAI Open Data Portal. Please note that contributing to the IAI Open Data Portal is a contractual obligation. The IAI requires a continuing commitment from the Grantee and the PI to the establishment, maintenance, validation, description, accessibility, and distribution of high-quality data that result from research supported by the grant. PIs and Grantees shall act to facilitate exchange of data among researchers. International standards shall be used to the greatest extent possible for media and for processing and exchange of data sets. By accepting this grant from the IAI, the PI and the Grantee accept their responsibility to adhere to the IAI *Open data policy and principles* and to contribute to the IAI Open Data Portal.

The Data Management Plan should help researchers manage their data during the full life cycle of a research project. This data management plan should be updated before, during and after the completion of the SGP-HW research project when a need arises.

The questions listed below are given as guidelines to researchers who are preparing a data

---

<sup>6</sup> <http://www.iai.int/iai-institute-on-information-management-free-and-open-access-to-and-use-of-data-and-information>

<sup>7</sup> <http://www.iai.int/wp-content/uploads/iai-cop-26-20a-e.pdf>

<sup>8</sup> Regional Agreement on Access to Information, Participation and Justice in Environmental Matters in Latin America and the Caribbean. Escazú, Costa Rica. LC/CNP/10.9/5. 4 March 2018. See: [https://repositorio.cepal.org/bitstream/handle/11362/43585/1/S1800312\\_en.pdf](https://repositorio.cepal.org/bitstream/handle/11362/43585/1/S1800312_en.pdf)

management plan for SGP-HW funded projects. Should there be questions missing from the list, relevant to an individual research project, the final content of the data management plan should be complemented by addressing those questions.

Row	Description
<i>Samples, data and data processing</i>	
1.	<p>What kind of physical samples will be collected, if any? Where will these samples be stored and how many are there expected to be? Please indicate the origin of the samples (country and place) and the person responsible for taking said samples.</p> <p><i>Data collection activities of IAI grantees are the responsibility of grantees, and IAI support of a project does not constitute IAI approval of the survey design, questionnaire content or data collection procedures. Note that the collection, management, and storage of data of your project must comply with the regulations in force in the corresponding countries, in addition to the IAI policy.</i></p>
2.	<p>What type(s) of data will be collected (e.g. text data, image data)? What are the expected data formats (e.g. .txt, .jpg)? Is any of the data formats proprietary?</p>
3.	<p>How much data do you expect to collect in the course of the project? How often will these data change or be updated? How will changes be managed?</p>
4.	<p>What folder and file naming conventions will be used for storing the research files?</p>
5.	<p>Are you expecting to use third-party data in your research? If yes, what steps have been taken to use these data?</p>
6.	<p>What kind of software will be needed to process the data? Are these software packages open or commercial? Do you hold licenses for commercial software being used? (see Notes below).</p>
7.	<p>Where do you plan to store the data? Will the data be regularly backed up? How will the privacy and security of the data be guarded?</p>
8.	<p>Who can access (insert, update and delete) the data once it is stored?</p>
9.	<p>How will you document the data to make it understandable to other researchers?</p>
10.	<p>What quality checks/assurances will you adopt (e.g. data entry validation, calibration)?</p>
11.	<p>Who is responsible for managing specific categories of data?</p>
<i>Privacy, ethics and confidentiality</i>	
12.	<p>Do you expect to have data that contains confidential aspects? If yes, describe if parts or all of the data cannot be openly shared with other researchers and/or if steps need to be taken to treat the data in such ways for it to be shared (e.g. anonymize the data).</p> <p><i>Note that the collection, management, and storage of data of your project must comply with the regulations in force in the corresponding countries, in addition to the IAI standard. Also, should the IAI be provided with research data that has confidential aspects and these data need to be desensitized by the IAI e.g. for third-party auditing, these expenses will be charged from the research group that initially provided the data.</i></p>
13.	<p>If you have confidential data, how will it be stored and who can access it?</p> <p><i>Grantees are to ensure that project outcomes for the general public do not contain</i></p>

Row	Description
	<i>any confidential, proprietary business information; or invention disclosures that might adversely affect the patent rights or those of the organization, in a subject invention under the award. Project outcomes accessible to general public are not to contain any personally identifiable information such as home contact information, individual demographic data or individually identifiable information collected from human research participants.</i>
14.	For how long will confidential data be stored?
<i>Sharing and archiving data</i>	
15.	Who holds the intellectual property rights to your research data? <i>By default, the researchers hold intellectual property rights to their own research data. However, by signing the SGP-HW grant agreement, the researchers agree to give the IAI full and transferable rights to reproduce, publish and distribute their data.</i>
16.	Will the data to be developed within the SGP-HW use information inputs developed outside of IAI grants? In such a case, how will you ensure that the data resulting from the SGP-HW complies with the IAI <i>Open data policy and principles</i> , and that it will contribute to IAI Open Data Portal?
17.	Will you use copyrighted or licensed material? If yes, do you have a permission to disseminate such data?
18.	Are there patent or licensing -related restrictions to sharing the data? <i>Please identify any potential limitations on the data requestor's ability to re-use or re-distribute the data or materials produced under the SGP-HW grant (i.e., because the source of some of the data collected for the project has placed limitations on the re-distribution of those data and materials). Be sure to review any applicable agreements with such parties to determine the extent of re-use and re-distribution you are allowed to guarantee in your Data Management Plan.</i>
19.	In addition to the Open Data Portal of the IAI, do you expect to share your data with other data repositories? If yes, what are these repositories expected to be?
20.	In addition to the Open Data Portal of the IAI do you expect to share your data via publications, institutional agreements or other means? <i>Please note that the IAI encourages investigators to sign agreements on sharing of and access to data, and on mutually agreed publication and dissemination policies for the project teams at the beginning of the grant period. Such agreements shall reflect IAI policies of open access and full attribution. Investigators are expected to share with other researchers, at no more than incremental cost and within a reasonable time, the primary data, samples, physical collections and other supporting materials created or gathered in the course of work under NSF grants. Grantees are expected to encourage and facilitate such sharing. Privileged or confidential information should be released only in a form that protects the privacy of individuals and subjects involved. General adjustments and, where essential, exceptions to this sharing expectation may be specified by the funding NSF Program or Division/Office for a particular field or discipline to safeguard the rights of individuals and subjects, the validity of results, or the integrity of collections or to accommodate the legitimate interest of investigators.</i>
21.	Does the project require an initial period of exclusive data use, for instance, until a paper is published, or a thesis defended? <i>Only under special circumstances Principal Investigators may request initial periods</i>

Row	Description
	<i>of exclusive data use. For such exceptional cases, the IAI shall negotiate the duration of the exclusive use period. Rules on the temporary protection of data and information contained in student thesis pertaining to the period prior to a thesis defense shall be honored. Students should also be aware of the source of their support, and they abide by the requirements regarding acknowledgments and the open exchange of data and information.</i>
22.	Who will manage the data after the completion of the project?
23.	How will you select the data for sharing and archiving?

#### Notes

- If funds are needed for acquiring, processing (incl. steps to desensitize the data) or storing data, list these needs in the budget section of the funding scheme.
- If internal computer service costs are charged to the project, a justification based on established institutional data processing costs will be necessary.

#### Technical guidelines

In line with the *Open Data Policy and Principles* of the IAI, investigators funded by the SGP-HW are required to share their results within a reasonable time that is justified by the PI. Here, research data are defined as algorithms and raw or processed data files.

The list below will help you comply with the requirements of the IAI regarding data sharing:

- The IAI will provide an IAI Open Data Portal where relevant outcomes of IAI funded projects (data and metadata) should be submitted. Here, relevant is defined as data that are comprehensive enough for another researcher to be able to reproduce the study.
- The data should be submitted using data formats that are non-proprietary, well documented and widely used in the corresponding field. Only if using such data formats would lead to loss of information, can other data types be considered. We encourage the use of data formats that promote the preservation and long-term access to data. A list of such data types is provided e.g. by the US Library of Congress: <http://www.loc.gov/preservation/resources/rfs/data.html>.
- Only such research outputs should be shared in the IAI Open Data Portal that are not liable to confidentiality or third-party restrictions, or do not comprise large datasets. Otherwise, please provide an explanation in the Data Management Plan and submit the research data to the IAI by other means than the IAI Open Data Portal. In all cases, metadata on the relevant research data need to be uploaded into the IAI Open Data Portal.
- If the research data are already submitted to another, certified and/or established repository, a link can be provided to these data in the IAI Open Data Portal. Nevertheless, SGP-HW funded researchers are expected to submit their complete and relevant research data and metadata to the IAI at the end of the funding period.
- SGP-HW funded researchers are expected to share their data as soon as possible and at the end of the funding period at the latest. Only under special circumstances Principal Investigators may request initial periods of exclusive data use (“embargo period”) longer than 6 months. Should exclusive data use be deemed necessary by the researchers, the IAI should be contacted at the earliest opportunities.

The IAI will provide a link, and instructions thereof, to the technical platform of the Open Data Portal to teams obtaining SGP-HW grants.

**Annex 2: Budget Forms**

<b>SGP-HW PROPOSED BUDGET AND TIMETABLE</b>						
Project Title:						
Duration of research project (in months):			PLEASE, SEND THIS PAGE <b>DULY SIGNED</b> TOGETHER WITH THE COMMITMENT LETTER IN PDF FORMAT.			
<b>BUDGET SUMMARY</b> (based on the attached detailed budget forms completed in US dollars)						
Budget category	Year 1		Year 2		Total	
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered
1	Salaries for Investigators	-----		-----		-----
2	Salaries for Students / Scholarships					
3	Travel / Workshops					
4	Equipment					
5	Research Expenses / Materials & Supplies					
6	Communications					
7	Publication / Documentation / Dissemination					
8	Administrative Support / Office Supplies					
	Total in US dollars					
<b>OFFICIAL REQUEST</b>						
We hereby certify that this budget proposal, and all its accompanying detailed budget submission forms, correctly and fairly reflect the financial plan of the proposed activity, and more specifically the portion proposed for IAI support.						
Name of Principal Investigator:			Job title:		Signature:	
Name of Authorized Institutional Representative:			Job title:		Signature:	
Date:						

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [1] SALARIES FOR INVESTIGATORS (in US dollars)</b>							
IAI funding is not available to replace or supplement the pay of existing researchers who receive full time salary support. Under exceptional circumstances, modest support can be provided for investigators salaries. Requests for investigator salaries must be well justified in the budget. <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b> (See General Guidelines)							
[1]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1	-----		-----		-----		Reference to page:
Institution 2	-----		-----		-----		Reference to page:
Institution 3	-----		-----		-----		Reference to page:
Institution 4	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
Institution ...	-----		-----		-----		Reference to page:
<b>Totals for Salaries for Investigators</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [2] SALARIES FOR STUDENTS / SCHOLARSHIPS (in US dollars)</b>							
As a general policy, IAI encourages the capacity building activities in terms of participation of graduate and post-graduate students in the sponsored research activities. The cost of the direct participation of students in the research activity is authorized under the conditions explained in the General Guidelines. <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b>							
[2]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Salaries for Students</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [3] TRAVEL / WORKSHOPS (in US dollars)</b>							
Local and international travel costs related to the proposed research activities will be authorized under the following conditions:							
<ul style="list-style-type: none"> <li>▪ travel funds are requested for field work, attendance to meetings and conferences, and other travel associated with the research activity;</li> <li>▪ discounted / economy fares and by the most direct route are used; and</li> <li>▪ the participation in meetings and conferences must be relevant to the project objectives. <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b></li> </ul>							
[3]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Travel / Workshops</b>							



**Annex 2: Budget Forms**

Project Title:

**DETAILS OF BUDGET SUBMISSION: [4] EQUIPMENT (in US dollars)**

Includes equipment that has a useful life of more than 1 year and costs more than US\$1,500 per item according to the General Guidelines. **ATTACH BUDGET NOTES AND EXPLANATIONS**

[4]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Equipment</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [5] RESEARCH EXPENSES / MATERIALS AND SUPPLIES (in US dollars)</b>							
This category includes all the necessary expendable materials directly related to the research activities. Costs related to purchase of equipment, equipment maintenance and office supplies cannot be included under this category (see General Guidelines). <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b>							
[5]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Research Expenses</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [6] COMMUNICATIONS (in US dollars)</b>							
The IAI will authorize reasonable amounts charged as communications costs. Under this category, the following items will be recognized:							
<ul style="list-style-type: none"> <li>▪ international phone calls; and</li> <li>▪ internet access (if the institution does not have this access through its local network).</li> </ul> (see General Guidelines) <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b>							
[6]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Communications</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [7] PUBLICATION / DOCUMENTATION / DISSEMINATION COSTS (in US dollars)</b>							
This category includes the costs of documenting, preparing, publishing, disseminating and sharing research findings and supporting materials. Page charges for scientific journal publication can be authorized when they report research results from activities supported by the IAI and this support is explicitly acknowledged. <b>ATTACH BUDGET NOTES AND EXPLANATIONS</b>							
[7]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Publications</b>							

**Annex 2: Budget Forms**

Project Title:							
<b>DETAILS OF BUDGET SUBMISSION: [8] ADMINISTRATIVE SUPPORT / OFFICE SUPPLIES (in US dollars)</b>							
See General Guidelines. ATTACH BUDGET NOTES AND EXPLANATIONS							
[8]	Year 1		Year 2		Total		Reference to justification page
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	
Institution 1							Reference to page:
Institution 2							Reference to page:
Institution 3							Reference to page:
Institution 4							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
Institution ...							Reference to page:
<b>Totals for Administrative Support</b>							

**Annex 2: Budget Forms**

Project Title:

**CONSOLIDATED BUDGET SUMMARY (Breakdown by Institution) (in US dollars)**

This form summarizes the budget requested and co-funding offered by each institution over the life of the project.

Name of institution →	Institution 1		Institution 2		Institution 3		Institution ...		Institution ...		Total	
	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered	Requested to the IAI	Co-funding offered
Salaries for Investigators	-----		-----		-----		-----		-----		-----	
Salaries for Students / Scholarships												
Travel / Workshops												
Equipment												
Research Expenses / Materials and Supplies												
Communications												
Publication / Documentation / Dissemination												
Administrative Support / Office Supplies												
<b>Total in US dollars of institution</b>												