



Third Strategic Phase (2010-2015)

## 2011 Annual Regional Call for Proposals (ARCP) for funding from April 2012

### ARCP Proposals - Guide for Proponents

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- Example of a budget estimate
- Example of a timeline
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### SECTION I

#### 1. Background & Third Strategic Phase

**Vision:** Enable countries in the Asia-Pacific region to successfully address global change challenges through scientific-based response strategies and measures, effective science and policy linkages, and scientific capacity development.

**Mission:** The mission of the Asia-Pacific Network for Global Change Research (APN) is to enable investigations of changes in the Earth's life support systems and their implications for sustainable development in the Asia-Pacific region. The APN, therefore, support investigations that will:

1. Identify, explain and predict changes in the context of both natural and anthropogenic forcing;
2. Assess potential regional and global vulnerability of natural and human systems; and
3. Contribute, from the science perspective, to the development of policy options for appropriate responses to global change that will also contribute to sustainable development.

**Core Strategies:** The core strategies of the APN are to:

1. Promote and encourage research that can improve understanding of global change and its implications for the region, and contribute to sound scientific basis for policy formulation and decision making;

2. Promote and encourage activities that will develop scientific capacity and improve the level of awareness on global change issues specific to the region; and
3. Identify and help address, in consultation with policy-makers and other end-users, present and future needs and emerging issues.

### **The APN's Definition of Global Change Research**

The APN defines **Global Change Research** as "research regarding global change (the set of natural and human-induced processes in the Earth's physical, biological, and social systems that, when aggregated, are significant at a global scale) and its implications for sustainable development in the Asia-Pacific region."

### **The APN's Science Agenda**

The APN fosters the understanding of global environmental change by conducting regional research through collaboration and capacity development. APN's activities promote research that improves understanding of the physical, biological and human dimensions of change in Earth system and science that informs adaptation and mitigation decision-making in the following specific areas:

1. Climate Change and Climate Variability;
2. Ecosystems, Biodiversity and Land Use;
3. Changes in the Atmospheric, Terrestrial and Marine Domains; and
4. Resources Utilisation and Pathways

The above themes are interrelated and involve the interface of natural, social and political sciences. Thus, the APN will also support research on crosscutting issues, science-policy linkages and the human dimensions of global change.

## **2. The 2011 Annual Regional Call for Proposals (ARCP)**

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As part of its programme of activities, the APN issues an Annual Regional Call for Proposals (ARCP).

The present Guide for Proponents details:

1. Procedure for proposal submission;
2. Format and deadline for [Stage 1 Summary Proposals](#) (compulsory);
3. Format and deadline for [Stage 2 Full Proposals](#) (compulsory and by invitation only from successful Stage 1 proponents);
4. Types of proposals which are of interest to the APN;
5. Method and format for writing and submitting Summary and Full Proposals; and
6. Decision-making process by which proposals will be judged.

Further information about the activities of the APN is available on the APN Website or from the Secretariat at [info@apn-gcr.org](mailto:info@apn-gcr.org).

## **3. Proposal Submission**

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### **1. Developing Regional Cooperation on Global Change Research**

The primary goal of the APN is to develop regional cooperation in global change research particularly relevant to the Asia and Pacific region. Accordingly, projects submitted to the APN must involve **significant** regional cooperation. **The APN does not fund one-country projects under the ARCP Programme.**

**In the 2011 ARCP call for research proposals, proposals must involve at least three (3) APN Member and/or Approved Countries, two (2) of which must be developing countries.**

## 2. Basic Eligibility (Fundamental Criteria) for Proposal Submission

To be eligible for consideration under the 2011 ARCP Programme a proposal **must** meet the following basic criteria:

1. Related to an area of interest within the [APN Science Agenda](#);
2. Be an approved activity of interest to the APN;
3. Involve action or contributions from at least three APN Member or Approved Countries, **at least two of which must be developing countries**;
4. Provide a clear indication of how the results of the project activities might be mainstreamed into national and regional level policy-making processes;
5. Proponent's institution must be based in an APN Member or Approved Country (see the list of [frequently asked questions](#) provided separately);
6. Be written in the format of the template(s) provided;
7. The Stage 1 Summary Proposal must arrive at the APN Secretariat by email in **MS Word format** no later than **Midnight (24:00), Japanese Standard Time (JST) on 29<sup>th</sup> July 2011**; and
8. If the proponent submits a proposal to APN, the proposal must also be carbon copied to his/her national Focal Point (nFP) and Scientific Planning Group (SPG) member (where one exists). Contact details can be found in the [Structure section](#) of the APN website.

**Any proposal that fails to meet the above basic criteria will not be considered for funding by the APN under this Call for Proposals.**

## 3. Procedure for Proposal Submission

All proponents interested to submit a proposal to the APN must submit a **Stage 1 Summary Proposal** with a carbon copy to the nFP and to the SPG member (where one exists) from the proponent's country, following the guidelines and template specified in this guideline by the deadline of **Friday 29<sup>th</sup> July 2011, Friday, midnight – Japanese Standard Time**. Screening will commence following the deadline, and all proponents will be notified of the results of the Stage 1 Review in August/September 2011.

Successful proponents will proceed to **Stage 2** and will be invited to submit a **Full Proposal** for further consideration for APN funding. The full proposal must follow the instructions and format specified in this guideline; and must be received by the APN Secretariat no later than **7<sup>th</sup> October 2011, Friday, midnight – Japanese Standard Time**. *Full proposals from successful Stage 1 proponents submitted after the deadline will not be considered.*

ARCP Summary and Full Proposals should be submitted in WORD FORMAT by email to:  
[ARCP-Proposals@apn-gcr.org](mailto:ARCP-Proposals@apn-gcr.org)

## 4. Funding Limit

The APN is able to provide **limited** financial support for ARCP activities that fall within its areas of interest (see page 7 of the present guidelines). The average grant awarded for 2011/12 (April 2011 – March 2012) projects was approximately **US\$ 45,000**.

## 5. Multi-Year Funding

Proponents should be aware that, while APN may consider multi-year projects (maximum of 3 years), only a limited number of multi-year projects may be funded due to budgetary limitations. Proposals submitted for **multi-year funding** will be considered provided that a **clear budget estimate breakdown of the year-by-year funding requirements is given**, together with the expected outcomes at each stage of the project. If a multi-year proposal is approved, continued funding after year one is not guaranteed and the project will be subject to rigorous review after year one.

## 6. Evaluation of Proposals

Eligible proposals will be evaluated against the **eleven (11) criteria** highlighted in the box below (and which are detailed in full on pages 7-10 of the present guide).

<b>Criteria for Evaluation</b>	
1.	Extent and quality of regional collaboration
2.	Technical soundness
3.	Building regional and national capacity for global change research
4.	Policy-relevancy, mainstreaming results into policy-processes, developing/strengthening links with government policy and programmes, and contributing to sustainable development
5.	Adequate administrative and salary support
6.	Consideration of funding options
7.	Increasing synthesis and analysis work at national and regional levels
8.	Developing and strengthening relations with regional and international global change programmes and inter-governmental bodies and mechanisms
9.	Raising awareness of global change issues with the general public
10.	Meeting standardised data collection and user needs, and open access to data and research sites according to the APN's new policy on " <a href="#">Data Sharing and Data Management</a> " provided separately.
11.	Increasing communications through networking and publications

## 7. Timetable for the Proposals Process

There are three (3) stages in the ARCP Process and a Voluntary Advisory Service prior to the submission of proposals for funding consideration, as outlined in the table below. Please follow this closely.

Stages	Action	Date
<b>Advisory Service (Voluntary)</b>	Potential proponents can consult with the APN Secretariat with cc to nFP and SPG member by sending a <b>Letter of Intent</b>	<b>Deadline: Friday, 24 June 2011</b>
<b>Stage 1: Submission &amp; Review of Summary Proposal</b>	Submission of <b>Summary Proposals</b> to the APN Secretariat.  Preliminary screening process to shortlist proposals for funding and notification of successful proponents.	<b>Deadline: Friday 29 July 2011</b>  August/September 2011
<b>Stage 2: Submission &amp; 2- Step Review of Full Proposal</b>	Submission of <b>Full Proposals</b> to the APN Secretariat by the successful Stage 1 proponents.	<b>Deadline: Friday 07 October 2011</b>
	<b>Step 1 Review</b> by the SPG members and External Reviewers.  Proponents are sent questions and comments from the SPG members.	October-December 2011  December 2011
	<b>COMPULSORY:</b> Proponents <b>respond in writing</b> to SPG reviewers' questions and	<b>December 2011/January 2012</b>

	<p>comments.</p> <p><b>Step 2 Review.</b> SPG members submit revised ratings based on responses of the proponents at Stage 3.</p>	<p>January/February 2012</p>
<p><b>Stage 3</b></p>	<p>The APN's 17<sup>th</sup> Inter-governmental Meeting (IGM) approves which proposals to fund, following the recommendations made from the SPG. The APN Secretariat then communicates the <b>final decisions</b> to proponents.</p>	<p>March/April 2012</p>

### 8. APN Support

Where APN funding is provided for a proposal, the Secretariat and the Project Leader will sign a Contract with an attached Terms of Agreement (TOA) outlining payment, activities, Project Leader responsibilities, timelines and reporting requirements, etc. Reports will cover a common set of issues, including financial accountability and outcomes of the funded activity. The [2011 Financial Regulations](#) are available separately on the APN website.

### 9. Funding From Other Sources

Where additional funding from other sources is stated in the proposal, the proponent may be required to show evidence that this funding has been secured.

### 10. Enquiries (Refer to FAQs)

The APN strongly prefers any enquiries or correspondence regarding the ARCP 2011 Process to be sent by email to Dr. Linda Stevenson [l Stevenson@apn-gcr.org](mailto:l Stevenson@apn-gcr.org) with a carbon copy to Ms Ratisya Radzi [arradzi@apn-gcr.org](mailto:arradzi@apn-gcr.org) at the APN Secretariat. Similarly, you may also contact the nFP or the SPG member of your country for inquiries. Their contact information is available in the Structure section of the APN website, or you may click on the following link: <http://www.apn-gcr.org/newAPN/aboutAPN/structure.htm>.

#### Enquiries may be received by post and should be addressed to:

Dr. Linda Anne Stevenson  
 Executive Science Officer  
 APN Secretariat, East Building, 4F  
 1-5-2 Wakinohama Kaigan Dori  
 Chuo-ku, Kobe 651-0073  
 JAPAN

#### Other correspondence and information:

Tel: +81-78-230-8017  
 Fax: +81-78-230-8018  
 Website: [www.apn-gcr.org](http://www.apn-gcr.org)

## SECTION II

### 1. The APN Science Agenda

Proposals must fall within the APN Science Agenda, which sets out the broad research interests of the APN. The APN supports a wide range of research programmes and other activities that help it achieve its objectives<sup>1</sup>.

**a) In order to understand the physical, biological and human dimensions of global environmental change, the APN has four (4) main themes under its Science Agenda as indicated below:**

1. *Climate Change and Climate Variability*
2. *Ecosystems, Biodiversity and Land Use*
3. *Changes in the Atmospheric, Terrestrial and Marine Domains*
4. *Resource Utilisation and Pathways for Sustainable Development*

#### **b) Activities of Interest to the APN**

The APN is prepared to support activities in the field of global change research relating to:

1. Promoting and strengthening *interdisciplinary regional global change research*, particularly addressing novel research, and/or identifying key gaps via synthesis and assessment work.
2. Identifying and developing existing and/or new methodologies for capacity development, particularly in *effective transfer of scientific know-how and technology* to user communities, both science and non-science.
3. *Strengthening interfaces between science and policy* communities and society in general for effective pathways to sustainable development.
4. *Encouraging initiatives from developing nations* for place-based, integrative research activities.
5. *Aligning with other programmes of the global change community.*

**c) Successful Stage 1 proponents who have previously received APN support MUST also provide the following list of information:**

1. Relevant APN project title(s) and reference number(s)
2. An electronic copy of the APN final project report(s)
3. A list of all outputs following completion of the APN project, including proceedings, reports, peer-reviewed papers, etc.
4. A summary of how the activity(s) has evolved since receiving APN funding

**d) In cases that a proposed project will generate new data or datasets and/or collect existing data or datasets, the proponent must make the said data available to APN within 12-24 months of project completion in order that APN can freely disseminate the data on the APN website.**

The APN **will not** support:

1. The running costs of institutions
2. The salaries of administration staffs or researchers who receive or are to receive **full-time salary support**
3. The establishment or maintenance of long-term observation and monitoring systems
4. The salaries of consultants

<sup>1</sup> Although the Science Agenda is expected to stay in effect until March 2015, the APN recognises the need for flexibility. The Scientific Planning Group (SPG) reviews the themes of this Science Agenda each year to reconfirm or modify it according to any changing research priorities of the APN, its members, and the global change science and policy-making communities. SPG recommendations are then presented to the Inter-Governmental Meeting (IGM) for approval. *Topics discussed at recent APN meetings can be found in the "Frequently Asked Questions" document, provided separately.*

More information is provided in the financial guidelines.

## 2. Full Criteria for Proposal Review

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Proposals will be judged primarily against criteria #1 to #4 reflecting the highest priorities of the APN. Criteria #5 and #6 will be used to assess the proper administrative and financial arrangements required for conducting the project. The remaining criteria will be used to judge how thoroughly a proposal meets the wider aims of the APN.

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### **Criterion #1. Extent and quality of regional collaboration**

Proposals **must** involve action or contributions by **three or more APN Member and/or Approved Countries, at least two of which are developing countries**, or promote the basis for initiating such collaboration, for example, through a workshop or similar activity. Due regard should be given to proposals from or involving less developed countries. The overall goal should be the generation of long-term sustained regional collaboration, not just a one-time event or project. In addition, the scientific contribution of **each** participating country should be explained in detail (for example this may include the extent of participation in the writing of the proposal, the scientific contribution and activities to be undertaken, data-collection, report writing, etc.).

#### **The APN Member and Approved Countries are:**

Australia, Bangladesh, Bhutan, Cambodia, China, Fiji, India, Indonesia, Japan, Lao People's Democratic Republic, Malaysia, Mongolia, Nepal, New Zealand, Pacific Island Countries (approved), Pakistan, Philippines, Republic of Korea, Russian Federation, Sri Lanka, Singapore (approved), Thailand, United States of America and Viet Nam.

(Countries underlined are considered by APN as developed)

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### **Criterion #2. Technical soundness and degree of consistency and sustainability**

Proposals should generate confidence about research excellence, data quality, capacity for programme management, and willingness and ability to pursue activities from a multidisciplinary perspective, as appropriate.

It should be made clear in the proposal the extent to which it is based on, or part of, a planning and scoping activity in or about the region, as activities based on adequate planning and scoping processes are more likely to lead to successful long-term outcomes.

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### **Criterion #3. Building regional and national scientific capacity for global change research and problem solving**

It is expected that proposals will contribute to the fundamental APN goal of building regional and national capacity (technical expertise) for researching global change issues. The result should be a long-term gain, for example, by increasing local skills and knowledge, improving decision making processes or increasing or improving national involvement in international processes.

Proposals should also show how existing resources (buildings, laboratories, research sites, equipment, libraries, data sets, communication facilities, travel budgets, etc.) can be used more efficiently or how their potential value can be better realized as a result of the proposed activity.

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**Criterion #4. Policy-relevancy, mainstreaming results into policy-processes, developing/strengthening links with government policy and programmes, and contributing to sustainable development**

The APN is committed to improving science-policy links and fostering harmony between its activities and policy issues, which concern most governments in the region. Proposals should demonstrate relevancy to decision and policy-making processes and include an indication of how the activities are brought to policy- or decision-makers, how the activity might assist with national government and business decision-making processes, or support national, regional or global scale programmes aimed at dealing with global change problems that will also contribute to sustainable development. Harmonisation with the work of other bodies active in the region (for example, APEC, ASEAN, UNEP, ESCAP, SPREP) is desirable.

The APN emphasises the need to contribute to solving ecological, social and economic problems associated with global change impacts, such as those identified by processes such as the IPCC and the UNFCCC.

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**Criterion #5. Adequate administrative and salary support**

Proponents should indicate how necessary administrative support will be provided for the proposed activity. Ideally, administrative support would be provided by one of the parties involved in the project, freeing any APN funding for the proposed core activity.

**APN funding is not available for administrative staff payments, or to supplement the pay of researchers who receive or are to receive full-time salary support (see the [APN Financial Guidelines](#) for more information).**

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**Criterion #6. Adequate consideration of funding options**

The APN strongly encourages co-financing arrangements. In addition, it is the APN's concern that funding from other sources should be secured. The APN also encourages in-kind contributions from proponents. Where additional funding is secured from sources other than the APN, evidence of the funding may be required.

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**Criterion #7. Increasing synthesis and analysis work at national and regional levels**

The APN believes that more attention needs to be paid to synthesis and analysis work derived from the many research outcomes already available. This will require the development and use of appropriate integrative techniques, and will often involve research teams drawn from several disciplines and from policy- and decision-making interests.

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**Criterion #8. Developing and strengthening relations with regional and international global change programmes and inter-governmental bodies and mechanisms**

A key goal of the APN is to strengthen cooperative relations amongst the [global change research community](#). Accordingly, proposals should specify how the activity will incorporate cooperation with the global change programmes of ESSP, DIVERSITAS, IGBP, IHDP, WCRP, and other environmental research networks, such as START, with global change components.

The existing or proposed extent of the project's involvement with START and the global change research programmes, if any, should be clearly stated. Other proposals related to regional networks such as the Inter-American Institute for Global Change Research (IAI) can be considered within APN procedures provided that they comply with the APN requirements. The APN encourages regional initiatives to be seen as part of a global effort.

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**Criterion #9. Raising awareness of global change issues with civil society**

APN members consistently stress the importance of good public knowledge of global change issues, to help ensure the successful development and implementation of response strategies to these issues. Proposals should indicate how the proposed activity could lead to better public knowledge. Any proposed consultation processes should be indicated, and information provided about how results will be disseminated.

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**Criterion #10. Meeting standardised data collection and user needs, and open access to data and research sites according to the APN's new policy on "[Data Sharing and Data Management – Version 1](#)" provided separately.**

As the APN becomes increasingly involved in the funding of projects that develop and deploy new observing systems that collect increasing amounts of data providing needed input to research, the APN aims to ensure that all data that is generated using APN funds is shared with the scientific and policy-making communities in a timely manner. The APN believes that significant results of the research it sponsors should be submitted promptly for publication to assure that the widest possible scientific community is able to benefit from this research. As a corollary to this policy, the APN considers that it is essential for scientists everywhere to be able to consider these results in the light of the data that has served as the basis for these results.

The present data policy (version 1) aims to encourage open access to and/or sharing of data and to strengthen data distribution (hubs, portals, etc.) and overcome, as far as possible, existing limitations on the availability of and access to data.

The APN Secretariat will implement the policies contained in the Data Sharing and Data Management Policy for dissemination and sharing of **APN-Funded Data** (for definition, refer to Section 1: 1-A of the policy) through the proposal review process, through award negotiations and conditions; and through appropriate support and incentives for data cleanup, documentation dissemination, documentation storage, etc.

All Projects funded by the APN MUST comply with the policy.

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**Criterion #11. Increasing communications through networking and publications**

The proponent should provide a communications and networking plan, including both the enhancement and use of communications and networks and open access to data, to disseminate the results of project activities to the stakeholder community at scientific, policy and public levels. The best proposals will also contribute to lasting improvement in communications among APN members. The APN also strongly encourages the publication of peer-reviewed scientific research.

### 3. Format and Contents of Summary Proposal (Stage 1)

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#### 1. Summary Proposals (*compulsory*)

Summary proposals must follow the template, which is available for download on the APN Website. Deadline is Friday 29<sup>th</sup> July 2011

#### 2. Format for Summary Proposals

- a. Part One: Project Summary Sheet (2 pages/14 columns)
- b. Part Two: Proposed budget, timeline and support leveraged (1 page / 3 columns)
- c. Part Three: Proponent CV/Resume (1 page; please follow template format)

### 4. Format and Contents of Full Proposal (Stage 2)

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#### 1. Full Proposals (*for successful Stage 1 proponents*)

Full Proposals must follow the template, which is available for download on the APN Website. Deadline is Friday 7<sup>th</sup> October 2011.

#### 2. Format for Full Proposals

Successful Stage 1 proponents are required to complete **four parts**:

- a. Part One: Project Summary Sheet (2 pages/14 columns)
- b. Part Two: Proposed budget, timeline and support leveraged (1 page / 3 columns)
- c. Part Three: Proponent CV/Resume (1 page; please follow template format)
- d. Part Four: As outlined below

##### ***Part Four: The Main Body of the Full Proposal***

The main body of the proposal (parts 1 to 10) should be **a maximum of five (5) pages** (together with the additional specified appendices) in the format below.

##### 1. *Project Title*

Full title of the proposed project.

##### 2. *Fully Detailed Proposal*

By expanding on the information provided in the summary proposal submitted to the APN, your full proposal needs additional information on the following points:

- a. Description of the entire proposed project
- b. Detailed work plan
- c. Relationship to the APN's Third Strategic Plan (2010-2015) ([available for download](#))  
Having read the Third Strategic Plan (3SP), describe how your proposed project can give valuable input to APN's three Agendas of:
  - Science Agenda (p9 3SP)
  - Institutional Agenda (p12 3SP)

##### 3. *Scientific Contribution of each Participating Country*

Provide an explanation of the scientific contribution of each participating country, for example, in writing the proposal, in the activities to be conducted, report writing and other relevant information.

##### 4. *Capacity Building for Global Change Research*

Provide an explanation of how the proposed project will help build national/regional capacity to conduct Global Change Research.

##### 5. *Relevance to Policy Processes and Sustainable Development*

Provide an explanation of how your proposed project is policy-relevant and what mechanisms you propose for mainstreaming the results of your proposed project into policy

processes. Describe how your proposed project tackles the issue of sustainable development and how these are integrated into your proposed project.

6. *Administrative support, in-kind contributions and co-funding consideration*

As the APN **does not** support the running costs of institutions or the salaries of administration staff or researchers who receive or are to receive full time salary support, provide details on the support that will be provided by the lead and/or collaborating institutions. As the APN **strongly encourages** co-financing arrangements, please provide details of co-funding and/or in-kind contributions.

7. *Relationship between Global Change Research Programmes and Networks*

Describe any interactions with the core and joint projects of DIVERSITAS, ESSP, IGBP, IHDP, START and WCRP; as well as any other global change research programmes and networks. The information should include previous relationships and specific collaboration, if any, in the proposed project.

8. *Related Research Work*

Gap-filling studies are very important in global change research given its vast expansion and lack of data. Details of existing research work on the proposed topic in your proposal must not duplicate the work of others. As such, a fully detailed background literature review is required to verify that the proposed project is new and relevant; and that it relates to, but not duplicates, ongoing research in your region.

9. *Data Management and Data Sharing Plan*

In the interests of the greatest benefit in the shortest time for the greatest number of countries in the region, the best proposals will promote better data collection, generation, analysis and dissemination; and open access to **APN-Funded DATA** (as defined in SECTION 1-A of the [data policy](#) provided separately) and access to research materials and sites.

This section of the proposal should **set forth a plan** for preservation, documentation and sharing of data, samples, physical collections, curriculum materials and other related research, capacity building, training and education materials. This plan should identify the responsibilities in this respect of the Project Leader and of each Project Scientist (collaborator) who is expected to be involved in the collection of Project data. Plans outlined in this Section (9) for handling what will become **APN-Funded DATA** (as defined in SECTION 1-A), as well as other materials mentioned in the present paragraph, will be considered during the review process.

10. *Communications and Publications*

The proponent should provide a communications and networking plan to disseminate the results to the stakeholder community at scientific, policy and public levels. The APN also strongly encourages proponents to publish peer-reviewed papers and provide open access to data.

*Appendix 1: Timeline and Budget*

A full month-by-month timeline and detailed budget estimate for the project in US dollars, including a year-by-year breakdown of the costs and a clear indication of any co funding, in-kind and other contributions. Proponents should refer to the APN Financial Regulations. Templates are provided to guide you in formulating your project [timeline](#) and [budget](#).

*Appendix 2: Proponent & Major Collaborators*

List of the proponent and major collaborators (*names, organisations, contact details*). This should also include the contribution, if any, of developed country expertise.

*Appendix 3: CVs of Proponent & Major Collaborators*

CVs of the proponent and major collaborators (**Maximum two pages each**).