



Scientific Capacity Building/Enhancement for Sustainable Development in Developing Countries

2010 CAPaBLE Proposals to be funded from April 2011

Guide for Proponents

CAPaBLE proposals should be in the area of global change and sustainable development with specific emphasis on: **Scientific Capacity Development, Science-Policy Interfacing, Awareness Raising Activities and Dissemination Activities**

The CAPaBLE programme enhances scientific capacity in developing countries to improve decision-making in focus areas of global change and sustainable development. Proposed activities for funding from **April 2011** should be aimed at providing scientists (particularly emerging, developing-country scientists) with opportunities for scientific capacity development in topics of interest under the CAPaBLE Programme.

Special emphasis is placed on targeting developing country scientists in the Asia-Pacific region; targeting specific topics in the area of global change and sustainable development and partnership activities¹, as outlined in the APN's Third Strategic Plan (available for download on the APN website); and dissemination activities for policy- and decision-makers and civil society.

An [evaluation of Phase One of the CAPaBLE \(2003-2006\)](#) was conducted in 2008, the results of which reaffirmed the urgency and need for a programme like CAPaBLE as an integrated pillar of APN activities.

Proposals should be submitted to the **APN Secretariat** by email to CAPaBLE-Proposals@apn-gcr.org

Additional information or queries should be directed to APN's Executive Science Officer, Dr. Linda Stevenson at l Stevenson@apn-gcr.org and Coordinator, Ms. Kristine Garcia at kgarcia@apn-gcr.org. You may also contact the national Focal Point (nFP) or Scientific Planning Group (SPG) member of your country for inquiries. Their contact details can be found in the [Structure](#) section on the APN website.

Proposals must be submitted electronically in **MS WORD FORMAT** to facilitate processing and review. Do not submit proposals in PDF format.

Background

The **CAPaBLE** Programme is a concrete initiative to realize parts *107 to 114* of the Plan of Implementation for the WSSD and has been registered as a WSSD Type II Partnership/Initiative. Of particular relevance in the WSSD Plan of Implementation to the proposed Programme is part *111*:

111. Establish regular channels between policy-makers and the scientific community for requesting and receiving science and technology advice for the implementation of Agenda 21, and create and strengthen networks for science and education for sustainable development, at all levels, with the aim of sharing knowledge, experiences and best practices, and building scientific capacities, particularly in developing countries.

¹ with other networks, programmes, APN member and approved countries

Activities conducted under the CAPaBLE Programme will relate to the [APN's Science Agenda](#) and will be aimed at providing researchers (young and aspiring scientists in particular) and decision-makers with opportunities for capacity development in the area of global change and will include:

- Targeting specific countries in the Asia-Pacific;
- Targeting specific topics in the [APN's Third Strategic Plan](#);
- Partnership activities with other networks, programmes, APN member and approved countries, and other interested stakeholders; and
- Awareness raising and dissemination activities for policy- and decision-makers and civil society.

Expected Results

1. Capacity development of early-career scientists through enhanced sharing of knowledge, experience and scientific information on quality data collection and analysis, impacts, vulnerability, adaptation and mitigation options in the area of global change within the Asia-Pacific region and between regions in the world.
2. Improvement of informed decision-making in developing countries by disseminating the outcomes of the research activities to decision- and policy-makers, and by enhancing collaboration between scientists and policy- and decision-makers.

Procedure for CAPaBLE Proposal Submission

All proponents interested in submitting a proposal to the APN under its CAPaBLE Call for Proposals must submit a **Stage 1 Summary Proposal** with a carbon copy to the nFP and to the SPG member from the proponent's country, following the guidelines and template specified in this guideline by the deadline of **30 July 2010, Friday, midnight (24:00) – 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 2010.

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 **12 October 2010, Tuesday, midnight (24:00) – Japanese Standard Time**. *Full proposals from successful Stage 1 proponents submitted after the deadline will not be considered.*

GUIDELINES FOR SUBMITTING A PROPOSAL

1) Basic Eligibility

To be eligible for consideration, a proposal ***must*** meet the **basic criteria below**:

1. Proponent's institution must be based in an APN Member or Approved Country (see the list of [frequently asked questions](#) provided separately).
2. The main activity in the proposal must be relevant to global change and sustainable development, with emphasis on a topic or topics from the APN's Science Agenda with **(a)**, **(b)** and/or **(c)** below as the main activity:
 - (a) Scientific capacity development for sustainable development in at least one developing country of the Asia-Pacific.
 - (b) Science-policy interfacing
 - (c) Awareness raising and/or dissemination activities in at least one developing country of the Asia-Pacific.
3. The **Stage 1 Summary Proposal** must be submitted to the APN Secretariat by email to the following address: CAPaBLE-Proposals@apn-gcr.org with a carbon copy to the proponent's nFP and SPG member of his/her country by the deadline of **Friday, 30 July 2010, midnight (24:00)**,

Japan Standard Time (JST).

4. The proposal should strictly follow the template provided separately in the “templates for download” section of the APN website.
5. The proposed activities must not duplicate any previous or currently implemented APN activities. It is expected that the proponent will carry out an extensive literature review that will include a detailed review of the projects conducted under the APN (refer to APN website www.apn-gcr.org).
6. The proposal must clearly outline policy-relevant questions to be addressed and answered, organisational arrangements of the proposed activity and a publication and dissemination plan.
7. The proposals must have high potential to provide excellent outcomes for developing countries that could be appreciated by the international community.

Any proposal that fails to meet the basic criteria set out above will not be considered for funding by the APN under the CAPaBLE Programme.

2) Project Duration and Funding

While there is no fixed duration for any project, note that funding available is MINIMAL and all eligible proposals will be subject to a rigorous budget review. While it is expected that capacity-building projects will have one-year duration, each proposal will be considered on a case-by-case basis. Note too that the **average** amount awarded for 2010 projects was **US\$ 30,000**.

3) Evaluation

Proposals received under the CAPaBLE Programme will be reviewed and evaluated by the [APN's Capacity Development Committee \(CDC\)](#) and [Scientific Planning Group \(SPG\)](#) and other external experts, as appropriate. The evaluation criteria are outlined under “Basic Eligibility” (above) and page 5 of this Guide.

4) Proposal Format

CAPaBLE Proposals **must** follow the format outlined on page 7 using the template(s) provided separately by download (in Word Format) from the “[templates for download](#)” section on the APN website.

5) Timetable for the Proposals Process

There are three (3) stages in the 2010 CAPaBLE 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
Advisory Service (Voluntary)	Potential proponents can consult with the APN Secretariat with cc to nFP and SPG member by sending a Letter of Intent	Deadline: Friday, 11 June 2010
Stage 1: Submission & Review of Summary Proposal	Submission of summary proposals to the APN Secretariat. Preliminary screening process to shortlist proposals for funding and notification of successful proponents.	Deadline: Friday, 30 July 2010 August/September 2010

Stages	Action	Date
Stage 2: Submission & 2-Step Review of Full Proposal	Submission of full proposals to the APN Secretariat by the successful Stage 1 proponents.	Deadline: Tuesday, 12 October 2010
	Step 1 Review by the SPG members and External Reviewers.	October/December 2010
	Proponents are sent questions and comments from the SPG members. COMPULSORY: Proponents respond in writing to SPG reviewers' questions and comments.	December 2010 December 2010/January 2011
	Step 2 Review. SPG members submit revised ratings based on responses of the proponents at Stage 3.	January/February 2011
Stage 3	The APN's 16 th Inter-governmental Meeting (IGM) approves which proposals to fund, following the recommendations made from the SPG. The APN Secretariat then communicates the final decisions to proponents.	March 2011

6) APN Support

Where APN funding support is to be provided for a proposal, the Secretariat and Project Leaders will sign a contract outlining payments, activities, timeframes and reporting requirements, etc. Reports will cover a common set of issues, including financial accountability and outcomes of the project activities.

7) Proposal Enquiries ([Please also refer to FAQs](#))

Proposal enquiries and correspondence should be directed to:

Dr. Linda Anne Stevenson
Executive Science Officer
APN Secretariat, East Building, 4F
1-5-2 Wakinojima Kaigan Dori
Chuo-ku, Kobe 673-0073, JAPAN
Tel: +81-78-230-8017
Fax: +81-78-230-8018
Email: l Stevenson@apn-gcr.org
Website: <http://www.apn-gcr.org>

Please also carbon copy (c.c.) APN's Coordinator, Kristine Garcia kgarcia@apn-gcr.org on all correspondence.

Similarly, you may contact the nFP and SPG member of your country for inquiries. Their contact information is available in the [Structure section](#) on the APN website.

8) Submission Procedure

Stage 1 Summary Proposals must reach the APN Secretariat by **Friday 30 July 2010, midnight (24:00) – Japanese Standard Time (JST)**. The APN **strongly prefers electronic submission**; however, proposals may also be submitted by mail in soft-copy format, i.e. CD-ROM. Submissions by facsimile only are **not** acceptable.

Successful Stage 1 proponents will be notified by the APN Secretariat in August/September 2010 and will be requested to submit a **Full Proposal** no later than **Tuesday, 12 October 2010, midnight (24:00) – Japanese Standard Time**.

Summary Proposals and Full Proposals should be submitted by email to
CAPaBLE-Proposals@apn-gcr.org

EVALUATION

Proposals received that clearly meet the basic criteria for eligibility will be reviewed against the following criteria:

Criterion 1. Extent and quality of collaboration

Proposals **must** involve action or contributions by **one or more APN member and/or approved developing countries** (see list below). 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, research/training activities).

APN Member & 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, Singapore (approved), Sri Lanka, Thailand, United States of America and Viet Nam.

(Countries underlined are considered by APN as developed)

Criterion 2. Enhancing national and regional capacity for global change research and sustainable development, and problem solving in developing countries

It is expected that the proposed activity will contribute to one of the important goals of APN of enhancing national and regional scientific capacity. The results should be a long-term gain, for example, by increasing local skills and knowledge, improving decision-making processes, increasing or improving contributions from the region to the IPCC and/or other 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.

Criterion 3. Raising awareness of global change issues among policy-makers and civil society of the developing countries and improving communications, publications and dissemination

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 research could lead to better and improved knowledge of policy-makers and civil society. Any proposed consultation processes should be indicated, and information provided about how results will be disseminated. The best proposals will contribute to lasting improvement in networking within the Asia-Pacific region, including both the enhancement and use of communications networks.

Criterion 4. Policy-relevancy, developing, and strengthening links with government policy and programmes

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 indicate its relevancy to policy- and decision-making processes and include an indication of how activities are brought to policy- or

decision-makers, how the proposed activity will contribute to national government and business decision-making processes, or support national, regional or global scale programmes aimed at dealing with global change problems. Harmonisation with the work of other bodies active in the region (for example, APEC, ASEAN, UNEP, ESCAP, SPREP) is desirable. The APN emphasizes the need to contribute to solving ecological, social and economic problems associated with global change such as those identified in the IPCC and other relevant processes.

Criterion 5. Support from APN Scientific Planning Group Member and/or national Focal Point

The proponent must carbon copy his/her proposal to the APN Scientific Planning Group Member and/or national Focal Point from his/her country. Contact details are available on the [APN website](#) under the “**Structure**” section.

Criterion 6. Adequate consideration of funding options

Any proposal submitted to APN should consider co-funding mechanisms. APN strongly encourages co-funding and this will be considered during the review process on a case-by-case basis. Relevant criteria will be discussed between parties, as appropriate.

Criterion 7. Developing and strengthening partnerships with regional and international global change programmes, institutions, and other 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 may lead to cooperation with global change programmes such as IGBP, IHDP, WCRP, DIVERSITAS as well as the ESSP and START, and other environmental research programmes with global change components. The existing or proposed extent of the project's involvement in global change research programmes, if any, should be clearly stated. Proposals should explain how the proposed activity will aim to interpret the outstanding policy-relevant questions identified, for instance, in the IPCC AR4 to developing countries within the Asia-Pacific, and how, as a result of the outcomes of the project, the developing countries might be able to contribute to future international assessments such as the IPCC and other processes such as the UNFCCC, etc.

Criterion 8. 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. Proposals should clearly state how the priority issues and concerns related to the Asia-Pacific region will be addressed in the activities.

Criterion 9. Adequate administrative and salary support

APN does not allow administrative overheads. As such, 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 all 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](#)).

PROPOSAL FORMAT

Stage 1: Format and Contents of Summary Proposal (Compulsory)

Deadline – Friday, 30 July 2010, midnight (24:00) – Japanese Standard Time (JST)

Summary proposals must follow the template, **which is available for download on the APN website.**

Stage 2: Format and Contents of Full Proposal (For Successful Stage 1 Proponents)

Deadline – Tuesday, 12 October 2010, midnight (24:00) – Japanese Standard Time (JST)

All successful Stage 1 proponents will be invited to complete and submit their proposals in the template that is provided separately for [download](#). Successful Stage 1 proponents are required to complete **four parts**:

- a. Part One: Project Summary Sheet (2 pages/13 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: The main body of the proposal, which should be up to five pages maximum (not including the three specified appendices), and written in the format outlined below.

Part Four: Main Body	Information Required
Project Title	Title of the proposed project.
Detailed Proposal	Description of the entire project, work plan, timeline, etc. expanding fully on the information contained in the cover sheet.
Relationship to Research under CAPaBLE	Detailed description of how this proposal is relevant to CAPaBLE as well as the specific policy-relevant questions that this proposal aims to answer.
Capacity Development and Awareness Raising	An explanation of how the project will build local, national and/or regional capacity and raise awareness of policy-makers and civil society with respect to the specific activity of this proposal. Details of all proposed capacity building and awareness raising activities incorporated into the project should be detailed in full.
Contribution of Each Participating Country and Organisational Arrangements	A detailed explanation of the scientific contribution of each participating country, for example, in writing the proposal, activities to be conducted, report writing and other relevant information, as well as of the organisational arrangements of the research team including the role and responsibility of each participating country.
Links to Sustainable Development	An explanation of how the project will relate to the World Summit on Sustainable Development (WSSD) Johannesburg Plan of Implementation (parts 107 to 114) and other sustainable development undertakings.
Policy-relevancy & Links to Policy & International Assessments/Conventions on Global Change	Looking carefully at the research gaps and outstanding questions identified, for instance, in past IPCC reports, an explanation of how the project is relevant to the needs of policy-makers and international processes such as the IPCC and UNFCCC (See Criteria 4 and 7).
Publication and Dissemination	A detailed publication and dissemination plan.

Part Four: Main Body	Information Required
Relationship to Global Change Research Programmes and Other Bodies	Details on any relationship between the project and the work of DIVERSITAS, IGBP, IHDP, WCRP and other regional or international global change research programmes and other mechanisms and networks (See Criterion 7).
Related Work	Full details of past and existing work related to the activity, including any major publications in peer-reviewed journals, previous contributions to international assessments, etc.
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 (<i>names, organisations, contact details</i>). This should also include the contribution, if any, of developed country expertise.
Appendix 3 CV of Proponent & Major Collaborators	CVs of the proponent and major collaborators (<i>Maximum two pages each</i>).