CARE-Cornell Innovation for Impact Fund: Seed Grants

Deadline for Letters of Intent to Apply: October 27, 2017
Deadline for Full Proposals: December 7, 2017

Overview: The CARE-Cornell Collaboration is offering seed grants on international food and nutrition security through its Innovation for Impact Fund (IIF) program. We aim to fund collaborative research with a high potential to attract continued funding beyond the grant period, and applications must clearly identify future long-term research and funding goals. We expect to award up to two IIF grants this year. The total award per project (for CARE & Cornell costs combined) will be a maximum of $200,000 to be spent over 12-18 months starting by March 1, 2018.

The CARE-Cornell Collaboration IIF Program
The CARE-Cornell IIF program was created in 2011 to stimulate collaborative research efforts to build and promote food and nutrition security in rural communities around the world to contribute to the United Nation's Sustainable Development Goals (SDGs) for eradicating poverty and hunger by 2030.

The IIF provides an opportunity for CARE development professionals and Cornell faculty to partner to fill critical knowledge gaps to help ensure more productive, equitable, and resilient agricultural production and food systems in developing countries by:
a) designing, implementing, or evaluating new agricultural and food technologies and practices that will improve the well-being and resilience of poor rural individuals, households, and communities, or
b) evaluating policies and institutional capacities for informing national and global debates on approaches needed to ensure long term sustainability of the same, or
c) developing metrics for monitoring progress and evaluating impact in key outcome areas, such as improved resilience to climate change and women's empowerment.

Before submitting an LOI, we encourage you to discuss your ideas with the CARE-Cornell Collaboration leaders (at Cornell: Prof. Rachel Bezner Kerr at rbeznerkerr@cornell.edu; at CARE: Michael Johnson, Director of Research, Food & Nutrition Security Unit, CARE USA at michael.johnson@care.org). This discussion is intended to strengthen proposals by identifying and refining research questions of high relevance to the CARE-Cornell Collaboration. We recommend considering situating your project within an existing CARE program and/or country

office that can help arrange logistics and personal connections, especially if your project will involve international fieldwork. We can help make connections between organizations. Examples of previously funded IIF projects are available on the [CARE-Cornell Collaboration website](#).

Research of Interest

We encourage research focused on either
- A) themes important to CARE's global food and nutrition security work, or
- B) a country/region where CARE International is actively engaged in programming food and nutrition security interventions (e.g., Southern, Eastern and West Africa; South Asia; and Latin America and the Caribbean).

During this funding cycle, we especially welcome proposals related to these CARE-identified priority research questions:

Agriculture, nutrition, health and gender linkages
1. What type of programs and policies in agriculture appear to have the greatest benefits for nutrition and health? What types of community-based programming approaches that focus attention on gender have the greatest effect on incomes, nutrition and health?
2. How are (or can) community-based initiatives be integrated with public extension systems and health services? Where has it worked or not? Are there any policy, institutional or capacity constraints preventing greater integration of national programming approaches in health, nutrition and agriculture?
3. Do integrated programming approaches in agriculture and food systems, especially those focused on gender, reduce the prevalence of stunting among children under five?
4. What are the implications of nutrition sensitive and nutrition specific interventions on women's time, physical and mental health?
5. How and under what conditions does promoting the production of higher value perishables, such as vegetables and fruits, lead to greater own consumption and thus higher nutrition outcomes?

Gender and climate resilience
6. Are there promising climate resilient agriculture practices and approaches being adopted, by whom, and why? What is the role of finance, credit, and other capital assets on resilience and nutritional outcomes?
7. How does women's empowerment contribute to community resilience to climate change and positive nutritional outcomes?
8. Are there gendered differential resilience capacities and responses to the effects of climate change?

9. In risk prone areas (with both development and emergency response activities), does building absorptive capacities enable households to improve their adaptive capacities and vice versa? What are some key factors necessary to building both types of resilience capacities?

10. What are some key factors critical to ensuring the resilience of systems – particularly government service delivery and market systems as social capital? How can these be measured?

11. What are the appropriate measurements of absorptive, adaptive and transformative indicators of resilience capacity within different environments – low to high risk prone areas (perpetually susceptible to shocks)?

12. To what extent can gender disaggregated (sex and age) measurements help contribute to an improved understanding of differentiated resilience capacities across these groups, and hence improved policies and programs?

Adoption of improved technologies, practices and links with markets and employment

13. What underlying conditions and socio-economic factors, including gender, influence adoption of farming practices and technologies that are intended to be ecologically smart and climate-adaptive (e.g. sustainable soil and water management strategies, intercropping and crops rotations, etc.)? What of dis-adoption? What are some of the key tradeoffs between agricultural intensification and agroecology with regard to yields, profits, and sustainability?

14. Does adopting a community-based approach make any difference on the rate of adoption of improved technologies and practices? To what extent may this be different for intensified, resilient, and nutrition sensitive agricultural practices? Does improving women's empowerment through community-based approaches result in differentiated effects on adoption of either practices?

15. To what extent do farmer business school models promoted by international NGOs like CARE and FAO play a key role in influence the adoption of improved farming practices and technologies? How viable and cost effective is the model in promoting their adoption by national extension systems?

16. What economic opportunities can be transformative for rural youth and women along commodity values chains (e.g. labor, production, agro-processing, marketing and trading, transportation)? What interventions and policies are needed to promote agribusiness growth and inclusive value chains?

17. Testing new and promising innovative tools and approaches that can have a positive impact on: a) productivity, especially among women, for improved food systems and nutrition at the household and community level; or b) integrating smallholder farmers, especially women farmers, with input and service providers, value chains, and markets.

The collaboration will also consider other projects of interest to both CARE and Cornell University's Atkinson Center for a Sustainable Future.

2017-18 Grant Timeline
- 10/27/17: LOIs due. CARE-Cornell Collaboration leadership will evaluate all LOIs and assess the ability of proposed projects to complement the goals of the CARE-Cornell Collaboration and lead to future external funding. The review committee will provide feedback by 11/10/17.
- 12/7/17: Full applications due.
- 12/20/17: Funding decisions announced.
- 3/1/17 or earlier: project start date.

Guidelines for Letters of Intent to Submit a Proposal

Please email your LOI to Nina Chaopricha at ntc24@cornell.edu as a single MS Word or PDF document. Your LOI should be no more than two pages and should include:

1. Title, 1-paragraph summary of project focus, key hypotheses/research questions, and overall research design—noting CARE priority research question(s) to be addressed if applicable;
2. Identification of CARE and Cornell PIs with short statements from each as to how the research builds on and fits into their own or their organization's priorities and work;
3. Explanation of how the seed money will contribute to a longer-term research agenda and fundraising strategy, including your plans to pursue significant external funding based on the proposed research;
4. Proposed deliverables, including a final research report;
5. Project timeline, including estimated project begin and end dates, with adequate time for joint research design, data collection, data analysis, final report writing, and journal article submission; and
6. Anticipated expenses.

Guidelines for Full Proposals

Submit proposals to Nina Chaopricha ([ntc24@cornell.edu)](mailto:ntc24@cornell.edu) with these three components: (A) a cover sheet, (B) a narrative with supporting information, and (C) a budget.

A. A cover sheet with the list of project members specifying a primary contact from both CARE and Cornell. Provide an abstract of the proposed activity to be used in IIF announcements and publicity material (strict 100-word abstract maximum).

B. The proposal narrative with supporting information must be a single pdf file with text in 12-point font, single-spaced, and at least one-inch margins. Begin each section listed below on a new page. The narrative with supporting information must include the following sections:

1. A proposal summary that explains the problem the research seeks to address, the target population and geographic focus for the research, the motivation for and risks associated with the project, what is novel about the proposed research, what research methods will be used, how this project will have impact that advances sustainability and

gender equality, and how the project is related to CARE programming. This section must articulate a clear set of research questions/objectives, research design and methods, a compelling vision of what the project might achieve, and clarity on why this opportunity is unique (3-page maximum for narrative + up to 1 page for references).

2. Milestones: A specific timeline of well-defined activities and measurable outcomes from the project (half-page maximum).

3. Metrics of success: Specific, measurable indicators that are appropriate and can be used to evaluate the performance of the project. Metrics should include achievements in at least four areas: advancing sustainability and gender equality, benefits for small-scale food producers, contributions to development practice, and contributions to academic knowledge (1-page maximum).

4. A follow-on funding plan that explains how the research or activity launched by the IIF award will be continued if successful. Include information on potential source(s) of funding and the level and timing of follow-on funding necessary to continue the research or activity launched by the IIF grant (half-page maximum).

5. A brief summary of key staff at CARE and Cornell to be engaged, including PIs and the field implementation team, their respective roles in the project (half-page maximum) and CVs for both the Cornell and CARE PIs (strict 2-page maximum per investigator; any excess CV pages will be truncated from final review package).

6. A detailed timeline/workplan: List the activities to be pursued and the month(s) in which they will be completed. The project timeline should include securing any needed IRB approvals from Cornell and/or studied counties, hiring any new project staff, the writing and publication of all deliverables—including final reports, journal articles, etc. Allow for potential unexpected delays in implementation (1.5-page maximum).

7. A communication plan for how—and how often—the PIs and other team members plan to communicate to complete the project goals (1 paragraph maximum).

8. A budget justification that provides sufficient information for reviewers to understand the funding request. IIF funds may be used to fund salary time for CARE staff, Cornell graduate students/postdocs, and non-tenure-track Cornell staff, and other legitimate research expenses. The funds will not support tenure-track faculty salaries (summer or academic year). Note that expenses must be assigned to Cornell, CARE, or either based on where the budgeted expenditure is most likely to be incurred (no page limit).

9. Information on related current and pending support from other sources. Only provide this information if the support is relevant to the activity proposed for IIF funding. Use any format that includes the following: project/proposal title, funding source, award amount, award period, relationship to IIF project (e.g., co-financing of materials or personnel, overlapping objectives, use of data or equipment, similar partnerships, etc.) (no page limit).

C. Project budget: Fill in the Excel budget template provided.

IIF Award Selection Criteria

Full proposals will be awarded according to the following criteria:
1. The project's research results show direct implications for informing CARE's programmatic areas and/or influencing policies and interventions in food and nutrition security through a gender lens. See priority research areas in above box.
2. The project focuses on themes important to CARE's global work or themes important to CARE's global work or on a country/region where CARE International is actively engaged in programming food and nutrition security interventions (e.g., Southern, Eastern and West Africa; South Asia; and Latin America and the Caribbean).
3. The PIs demonstrate a strategic plan to use this seed grant to secure significant external resources to ensure a sizable, sustained research agenda. Competitive applications will indicate 1+ specific funding opportunities that the PIs plan to pursue.
4. The project will add value to and enhance capacity within each organization, such as through collaborative research arrangements between individuals from both organizations, capacity-building efforts among CARE's local partners in the field, and/or the generation of measurements/tools for monitoring progress and evaluating impact.
5. The project has two Principal Investigators: one full-time Cornell faculty member (or researcher with PI status) and one full-time CARE staff member. The two PIs must clearly layout their responsibilities as collaborators, whether in undertaking the research jointly or in providing other types of input and/or logistics support. CARE and Cornell must bear joint responsibility for determining the overall research objectives, questions, and goals in order to ensure relevance. In other words, both CARE and Cornell staff on the project must be equally invested and see high value in its completion.
6. Demonstrate high levels of commitment and prior planning between team members.
7. Demonstrate substantial scholarly quality.
8. Finally, the project must clearly demonstrate how it will advance a shared CARE and Cornell vision of ensuring more productive, equitable, and resilient food systems with a particular emphasis on the role and participation of rural communities and small-scale women producers.

Responsibilities: Proposers awarded IIF funds will be requested to:
1. Meet twice a year via Skype with Atkinson Center and/or CARE Food & Nutrition Security Team staff to discuss the progress of their efforts in research, intended application(s), desired impacts, follow-on funding, and milestones met or missed.
2. Report progress at occasional CARE-Cornell events, in either a poster or panel discussion session, to be coordinated by Cornell or CARE.
3. Submit internal grant reports every 6 months and at the end of the project using a template provided by the collaboration.
4. Submit a final, externally-oriented research report summarizing research questions and objectives, methodology, findings, conclusions, and recommendations.
5. Submit a 1-page human interest story and three (3) photos annually.
6. Prepare an end-of-project press release on results. Atkinson Center communications staff are available to help.

CARE-Cornell Collaboration Project Team Roles and Responsibilities
[Please complete this form and submit it with your full grant application.]

Project Name:
Location:
Project Timeline:
Cornell Principle Investigator:
CARE Principle Investigator:

The following is a team agreement regarding roles, responsibilities, and expectations for the CARE-Cornell collaboration [Impact for Innovation Fund/Project Development Grant] project titled [TITLE].

Organization responsibilities: *[Roles and responsibilities, and those tasks on which Cornell or CARE will lead or support, should be clearly delineated before a project commences. Project teams are encouraged to explore all tasks that must be undertaken to see a project to completion and to discuss the different roles of co-principle investigators from CARE and Cornell based on differing capacities and expertise. Sample language follows.]*

CARE and Cornell will bear joint responsibility for determining the overall research objectives, questions, and goals for any collaborative project. It is understood by CARE and Cornell that this project is a shared project, and responsibilities including research design, data collection, data analysis, report writing, article writing, and logistics management should be shared. Once the primary outline of the project has been mutually established, staff within the two organizations will likely have different roles as follows.

Broadly, Cornell University will be the primary party responsible for research design and ongoing technical assistance for research, including conducting the necessary literature reviews, designing the research protocols and accompanying tools, training CARE staff on research methodologies (e.g., conducting interviews and focus group discussions), and leading data analysis and interpretation. Cornell will seek robust input from CARE into the research design, data analysis, and interpretation of results. Cornell will share responsibility for the writing of the research report, including research findings and recommendations based on research findings. CARE and Cornell will agree and coordinate on a plan for dissemination of research results, with Cornell leading on the scientific dissemination of results.

Broadly, CARE will be the primary responsible party for in-country study logistics and partnerships, including coordinating local logistics such as vehicles and drivers, translators/interpreters, and accommodation; translation and transcription of recorded interviews; relationships and contracts with in-country partners, including any local government officials; and facilitation of any project-specific implementation at a local level. CARE will be responsible for providing robust input into the design of research questions, protocols and methodologies, and supporting field-level data collection. CARE will provide input into data analysis and interpretation of results. CARE will share responsibility for the writing of

the research report, including research findings and recommendations based on research findings. CARE and Cornell will agree and coordinate on a plan for dissemination of research results, CARE leading on dissemination of lessons learned to appropriate audiences.

Primary staff: [NAME] will serve as the co-principle investigator for CARE, and [NAME] will serve as the co-principle investigator for Cornell University. For the purposes of this project, the roles of principle investigator are understood to encompass the responsibilities listed in the following table, recognizing that different capacities and expertise of the co-principle investigators means that the term "co-principle investigator" will have slightly different meanings for CARE and Cornell co-PIs.

Ownership of Work: Cornell University and CARE agree that all work created under this Agreement shall be original work and that no third party shall hold any rights in or to such work. "Work" shall include any and all services and/or deliverables to be provided by any of the two parties under this Agreement, as well as all data, materials, documents, files, notes, summaries, and any copies, in whole or in part. All parties further agree that: (a) all research collected from this joint study shall be owned by the two parties and (b) both parties will have access to the information in full. Cornell will share written files with data collected.

(Co-)Authorship: [Agreement on coauthorship of any writing done within the project timeline and after project completion should be agreed in advance in order to protect both parties and ensure clear expectations of staff contribution to drafting efforts. Sample language follows.] All parties agree that all publications, internal and external, should acknowledge the collaborative effort. With regard to coauthorship, all parties agree that all documents, internal and external, drafted within the project timeline should indicate coauthorship. For documentation, such as peer-reviewed articles, drafted after the project completion, authorship decisions will depend on actual contribution to the writing.

Below is an example of how CARE and Cornell collaborators might split project responsibilities in a joint fieldwork project.

CARE	Cornell
Co-PI	**Co-PI**
Co-lead and agree upon research design, including primary research questions.	Co-lead and agree upon research design, including primary research questions.
Actively support design of research protocol and methodology, timely input to Cornell co-PI.	Lead design of research protocol and methodology.
Review and approve research protocol and methodology on behalf of CARE.	Seek active input on design of research protocol and methodology from CARE Co-PI.
Oversee implementation of study.	Oversee implementation of study.
Supervise CARE project staff.	Supervise Cornell graduate students / staff.
Provide quality control on behalf of CARE.	Provide quality control on behalf of Cornell.
Actively support data analysis and interpretation.	Lead data analysis and interpretation of results.
Co-draft and approve reports, including final research report regarding research findings and recommendations based on findings.	Seek active input on data analysis and interpretation of results from CARE co-PI.
Agree on a plan for dissemination of research findings.	Co-draft and approve reports, including final research report regarding research findings and recommendations based on findings.
Oversee dissemination of research findings and lessons learned to appropriate audiences.	Agree on a plan for dissemination of research findings.
Manage relationships with in-country partners, including signing contracts.	Oversee dissemination of research findings lessons learned to appropriate audiences.
Additional CARE project staff	**Graduate Student(s) / Cornell project staff**
Assist in study design.	Assist in study design.
Coordinate study logistics, including for field research and data collection, participant recruitment, and stakeholder meetings.	Train CARE staff on research methods and quality control.
Support field research, data collection, and project logistics under Cornell leadership.	Lead field research and data collection.
Translate and transcribe interviews and focus group discussions.	Assist in data analysis and interpretation of results.
Assist in report writing.	Assist in research report writing.
Support dissemination of lessons learned.	Support dissemination of lessons learned.