

REQUEST FOR PROPOSALS
MCTI/CNPq/MoH/SCTIE/Decit/Bill & Melinda Gates Foundation N ° 05/2013

GRAND CHALLENGES BRAZIL: REDUCING THE BURDEN OF PRETERM BIRTH

I – Request for Selection of Project Proposals

The National Council for Scientific and Technological Development (CNPq), the Ministry of Health (MoH) and the Bill & Melinda Gates Foundation announce to the public this Request for Proposals and invite all interested to present their project proposals, within the established terms and in conformity with the attached **RULES**, which is part of this Request for Proposals.

I.1 – GOAL

The present Request for Proposals has the goal of selecting to receive financial grants projects that intend to contribute significantly to the scientific and technologic development and to innovation on themes related to the prevention and management of premature birth. Proposals must observe specific conditions established on part **II – RULES**, attached to this Request for Proposals, which determines the prerequisites relative to the applicant, the timetable, financial resources to be invested on the approved proposals, source of these resources, items to be financed, deadline for project execution, eligibility criteria, criteria and objective parameters of evaluation, and additional important information.

I.2 – APPLICATION AND PROPOSAL SUBMISSION

I.2.1 – Proposals must be submitted to CNPq exclusively via the Internet, through the Proposals Online Form, available at **Plataforma Carlos Chagas (<http://carloschagas.cnpq.br>)**, starting on the date shown in subitem **II.1.5 - RULES TIMETABLE**.

I.2.2 – Proposals must be sent to CNPq until 23h59 (twenty-three hours and fifty-nine minutes) , Brasília time, on the deadline for proposal submission, described in subitem **II.1.5 - RULES TIMETABLE**. The applicant will receive an electronic receipt protocol of the proposal, which will serve as a proof of submission.

I.2.3 – Proposals must be presented conforming description in subitem **II.2 – ELEGIBILITY CRITERIA** – in **RULES**, rigorously containing all the items expressed in this Request for Proposals. The files attached must be created outside the Online Proposal Form and attached to it in “doc”, “pdf” “rtf” or “post script” formats, and be limited to 1.5 Mb (one and a half megabyte). If pictures, graphics, etc, are needed to clarify the proposal's argument they must not compromise the file's capacity as proposals that exceed the 1.5 Mb limit will not be received by CNPq's electronic ticket.

I.2.4 – Proposals submitted in any other form will not be accepted, as well as proposals received after the deadline established in subitem **I.2.2** above. Thus, it is recommended that proposals be submitted before the deadline, since CNPq is not responsible for proposals not received due to technical problems and (internet) traffic. It should be noted that the technical support of CNPq closes at 18h (eighteen) on weekdays.

I.2.5 – Proposals submitted outside the established period will not be accepted by the electronic system.

I.2.6 – Only one proposal per applicant will be accepted. In case a second proposal is sent by the same applicant, within the deadline for proposals application, the second one will be considered a substitute for the first, and only the last proposal will be considered for analysis.

I.2.7 – If deemed to be identical, all proposals will be disqualified. (In case of similar proposals of different researchers, all proposals will be disqualified)

I.3 – ACCEPTANCE, ANALYSIS AND SELECTION

Selection of proposals submitted to CNPq in response to this Request will be done by way of analysis and comparative evaluation. The stages are as follows:

I.3.1 - Stage I – Analysis of Letter of Inquiry by the Technical Group at CNPq

I.3.1.1 – This stage, performed by the technical group of CNPq, consists of the analysis of the proposals as to the compliance of the requirements in the items of the **RULES**, relative to the subitems **II.2.1-ABOUT THE APPLICANT AND THE SUPPORT TEAM** and **II.2.3- ABOUT THE INSTITUTION (WHICH WILL IMPLEMENT)**, in the **ELEGIBILITY CRITERIA**.

I.3.1.2 – Stage II – Analysis, Evaluation and Ranking of Letters of Inquiry by the Evaluation Committee

I.3.1.2.1 Letters of Inquiry will be evaluated and ranked during this stage considering the analysis in the previous stage and the **ELEGIBILITY CRITERIA**, indicated in subitem **II. 2.2 – ABOUT THE PROPOSAL**, and of **EVALUATION**, as indicated in subitem **II.3.** of **RULES**, which will be scored by the Evaluating Committee, made up by representatives of the Bill & Melinda Gates Foundation, of the Ministry of Health and of the national and international scientific community.

I.3.1.2.2 The final score of each proposal will be assessed conform established in item **II. 3 – EVALUATION CRITERIA** in **RULES**.

I.3.1.2.3 – After analyzing the merit and relevance of each proposal, the Committee will:

- a)** recommend or
- b)** not recommend.

I.3.1.2.4 – The Committee's review on the proposals, within the established criteria, will be registered in a spreadsheet containing the list of the proposals judged, recommended and not recommended, with the respective final scores, ranked from higher to lower, as well as other information and applicable recommendations.

I.3.1.2.5 – It is forbidden for any Member of the Committee to review project proposals:
a) that include a spouse, partner or relative as a participant in the project team, related by blood or not, directly related or not, until third degree (of family relations); or
b) if a Member of the Committee is presently in judicial or administrative litigation with any member of the project team, or their respective spouses or partners.

I.3.2 - Stage II – Analysis of Completed Projects by *ad hoc* Consultants

I.3.2.1 Analysis by *ad hoc* Consultants: This stage will consist in the analysis of the inquiry, in relation to the merit and relevance of the proposals, to be performed by specialists that will express their opinions on topics included in item **II.3 EVALUATION CRITERIA** in **RULES**.

I.3.2.2 Analysis of Full Proposals by the Technical Group at CNPq: This stage, to be performed by the technical group of CNPq, consists of the analysis of proposals presented in relation to the compliance with the provisions established in items of the **RULES**, relative to subitem **II.1.4 – ALLOWABLE COSTS**

I.3.2.3 Analysis, Evaluation and Ranking of Full Proposals by the Evaluation Committee

I.3.2.3.1 – Proposals will be evaluated and ranked in this stage considering analysis in previous stages and the **ELIGIBILITY CRITERIA**, indicated in subitem **II. 2.2 – ABOUT THE PROPOSAL**, and of **EVALUATION**, indicated in subitem **II.3. of RULES**, which will be scored by the Evaluating Committee, made up by representatives of the Bill & Melinda Gates Foundation, of the Ministry of Health and of the national and international scientific community.

I.3.2.3.2 – The final score for each project will be determined as established in item **II. 3 – EVALUATION CRITERIA** in **RULES**.

I.3.2.3.3 – After the analysis on merit and relevance of each proposal and the assessment of its budget, the Committee will be able to recommend:

- a) approval, with or without budget cuts, or
- b) not approval.

I.3.2.3.4 - The Committee's review on the proposals, within the established criteria, will be registered in a Spreadsheet containing the list of the proposals judged, recommended and not recommended, with the respective final scores, ranked from higher to lower, as well as other information and applicable recommendations. For recommended proposals, the amount to be funded by the CNPq, Decit/SCTIE/MoH and the Bill & Melinda Gates Foundation will be suggested. For proposals not recommended, a decision with justification for the non recommendation will be produced. The Spreadsheet will be signed by members of the Committee.

I.3.2.3.5 – A consultant that has produced a proposal for this Request for Proposals or is participating in a project team cannot take part of the Evaluating Committee.

I.3.2.3.6 - It is forbidden for any Member of the Committee to judge project proposals:

- a) that include a spouse, partner or relative as a participant in the project team, related by blood or not, directly related or not, until third degree (of family relations); or
- b) if a Member of the Committee is presently in judicial or administrative litigation with any member of the project team or its respective spouses or partners.

I.3.3 – Stage III – Meeting for Project Adjustments

I.3.3.1 – Project leaders whose projects have been recommended by the Evaluation Committee will have to participate, with another member of the team, in a meeting where possible adjustments for the project will have to be agreed upon. For example, the adjustments, may be methodological (to allow results to be comparable or expanded), budget related, or needed in order to avoid a juxtaposition of objectives in different proposals.

I.3.4 – Stage IV - Analysis and Decision by CNPq's Executive Board of Directors (DEX)

I.3.4.1 – After the incorporation of the adjustments agreed on Stage III, all the proposals recommended by the Committees and analyzed by the technical group will be submitted for appraisal to CNPq's Executive Board of Directors, who will emit a final decision on its approval, after hearing from the Decit/SCTIE/MoH and the Bill & Melinda Gates Foundation, taking in consideration the budget limitations of this Request for Proposals.

I.4 – EVALUATION RESULTS

I.4.1 – The roster of approved Letters of Inquiry in the first stage of this Request for Proposals will be published on CNPq's website (www.cnpq.br), on Decit/SCTIE/MoH website (www.saude.gov.br/sctie/decit) and published in the **Diário Oficial da União**.

I.4.2 – The roster of full proposals approved with financial grants for the present Request for Proposals will be published on CNPq's website (www.cnpq.br), on Decit/SCTIE/MoH website (www.saude.gov.br/sctie/decit) and published in the **Diário Oficial da União**.

I.4.3 – All applicants for this Request for Proposals will have access to the review on their proposal, but the identity of the reviewer will be kept undisclosed.

I.5 - ADMINISTRATIVE APPEAL

I.5.1 – If the applicant has reasons to contest the result of the proposals' evaluation, he/she can appeal using a specific electronic form, available at the Plataforma Carlos Chagas (<http://carloschagas.cnpq.br>), within 10 (ten) days, beginning on the date the results are published on the Diário Oficial da União (and on CNPq's website), as long as the decision on the applicants proposal is available at the Plataforma Carlos Chagas.

I.5.2 – The appeal must be directed to the Permanent Commission of Appeals Analysis – COPAR, who will follow-up the results for final deliberation by CNPQ's Executive Board of Directors.

I.5.3 – The time period is counted by excluding the first day and including the deadline, and is considered as consecutive days. The time period will only start and end on CNPq's business days.

I.5.4 - The procedures for appeals are available on CNPq's website, in the electronic address: <http://www.cnpq.br/web/guest/prestacao-de-contas1>.

I.6 – IMPLEMENTATION OF APPROVED PROPOSALS

I.6.1 – Approved proposals will receive funding by means of a financial grant with the Bill & Melinda Gates Foundation and/or via CNPq in the modality of Individual Aid, in the name of the Leader /Applicant, after signature of the Term of Acceptance of Financial Support for Scientific/Technological Research Project, conform established in RN 17/2011. (http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/25480). The Bill & Melinda Gates Foundation will sign funding agreements with the researcher's institution. Private For-profit institutions with approved proposals will be funded exclusively by the Bill & Melinda Gates Foundation. All funding agreements with the Bill & Melinda Gates Foundation will be subject to the rules and procedures of the Foundation, which are described in the guidelines for proposals that can be accessed at: http://www.gatesfoundation.org/grantseeker/Documents/Proposal_Instructions.doc

I.6.2 – The signing of the Term of Acceptance will be subordinated to the previous existence of a Technical Cooperation Protocol, agreed between the institution that implements the project and CNPq, conform established in item 6.2. of the Anexo II da Resolução Normativa nº 18/2011. (http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/25465).

I.6.3 – The existence of any type of default by the applicant with the Federal Public Administration, directly or indirectly, constitutes an impediment for the implementation of the project.

I.6.4 – The applicant will have 90 (ninety) days to implement the (financial) aid, starting from the day the evaluation by the CNPq was sent as an electronic notice, and provided the Term of Acceptance is signed. Once this time period is expired the grant will be cancelled.

I.7 – GRANT CANCELATION

I.7.1 – The granting of financial support can be cancelled by CNPq's Executive Board of Directors, if during its implementation a serious occurrence justifies the cancelation, without impact to other appropriate measures by means of a reasoned decision.

I.8 – PUBLICATIONS

I.8.1 – Scientific publications and all other media disseminating the research done with support of the present Request for Proposals must cite the support of the funding institutions and agencies.

I.8.2 – Advertising campaigns concerning projects and works funded by the Union (the Federal Government) must rigorously observe the guidelines that regulate this type of activity.

I.9 – CONTESTING THE REQUEST FOR PROPOSALS

I.9.1 – The applicant who does not contest until the second to the last business day before the deadline for submitting the proposals will lose the right of contesting the terms of this Request for Proposals. Moreover, the applicant who has accepted this Request for Proposals without objections will not have the recourse to appeal in the future, after the evaluation, for possible faults or imperfections.

I.9.2 – The appeal/contest must be directed to CNPq's Executive Board of Directors, by e-mail, to the e-mail address: **presidencia@cnpq.br**

I.10 – REVOCATION OR CANCELATION OF THIS REQUEST FOR PROPOSALS

I.10.1 – At any time, the present Request for Proposals can be revoked or annulled, totally or partially, by unilateral decision from CNPq's Executive Board of Directors, or for reasons of public interest, or for legal reasons, by means of a reasoned decision, and this event does not imply any rights for indemnity/compensation or complaints of any sort.

I.11 – SPECIAL PERMITS AND AUTHORIZATIONS

I.11.1 – It is the exclusive responsibility of each applicant to take care of all the necessary special authorizations and permits, of legal or ethical nature, for the execution of the project. Authorizations and permits must be obtained by and maintained under the care of the proposal's leader .

I.12 – GENERAL PROVISIONS

I.12.1 – During the stage of project execution, all and every communication with CNPq must be done via e-mail to the General Coordination of the Health Research Program (chamada052013@cnpq.br).

I.12.2 – Any alterations relative to the execution of the project, except those noted in item 3.2. of [RN 012/2012](#), must be requested by the project lead to CNPq, with a relevant justification, and must be authorized to be considered in effect.

I.12.3 – At the end of the period for the project execution, the applicant must present an expense and a technical report, according to what has been established in the Terms of Acceptance and other CNPq norms, and in the funding agreement with the Gates Foundation, respectively.

I.12.4 – During the execution, the project will be monitored and evaluated, in all its phases, according to the established in the Terms of Acceptance.

I.12.5 – The funding agencies, reserve the right to organize on-site seminars, during the project execution or at the end of it, for partial or final evaluation, and to promote technical visits or request additional information with the intent to improve the Evaluation and Monitoring system.

I.12.6 – The information generated with the implementation of the selected proposals and made available at CNPq's data base will be public domain.

I.12.7 – In case the project or the report *per se* may come to acquire commercial value or may lead to the development of a product or method involving the creation of a patent, the exchange of information and the rights reserved, in each case, will follow

according to the established in the Innovation Law number 10,973, from December 2nd, 2004 and regulated by the Decree number 5,563, from October 11th, 2005, and the RN-013/2008 (Lei de Inovação, nº 10.973, de 2 de dezembro de 2004, regulamentada pelo Decreto nº 5.563, de 11 de outubro de 2005 e pela [RN-013/2008](http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/24829)) (http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/24829).

I.12.8 – The present Request for Proposals is regulated by the precepts of public law inserted in the *caput* of article 37 of the Federal Constitution and, in special, by the internal norms of CNPq.

I.13 – ON CLARIFICATION AND ADDITIONAL INFORMATION OF THE CONTENT OF THIS “REQUEST FOR PROPOSALS” AND ON FILLING THE PROPOSAL FORM ONLINE:

More details and additional information on the content of this Request for Proposals and on filling the Proposal Form Online can be obtained at the e-mail address and phone numbers indicated in item II.5 of RULES.

I.14 – RESERVATION CLAUSE

CNPq's Executive Board of Directors reserves the right to resolve cases not covered and unseen circumstances in this Request for Proposals.

Brasília, February, 26, 2013

REQUEST FOR PROPOSALS MCTI/CNPq/MoH/SCTIE/Decit/Bill & Melinda Gates Foundation N ° 05/2013

GRAND CHALLENGES BRAZIL: REDUCING THE BURDEN OF PRETERM BIRTH

II - RULES

The present RULES intend to define the activities that will receive financial grant and the conditions to implement the financial support, by means of a selection process through this Request for Proposals for project execution.

II.1. ON SPECIFIC PROVISIONS (PROGRAM STRUCTURE)

The CNPq/MCTI, the Decit/SCTIE/Brazilian Ministry of Health and the Bill & Melinda Gates Foundation have formed a strategic alliance around shared priorities, including vaccines, innovative research on maternal and child health, and infectious disease control. As part of this alliance, the partners have launched Grand Challenges Brazil to support health research and innovation. Here we announce the first grant program in this initiative: *Reducing the Burden of Preterm Birth*. This program seeks to develop a research agenda aligned with the “Stork Network” program, a nationwide effort to reduce infant and maternal mortality. The research agenda will support a comprehensive set of approaches encompassing innovation to prevent preterm birth

and to care for preterm infants. Solutions developed through the Grand Challenges Brazil: Reducing the Burden of Preterm Birth program could have broad impact both within Brazil and beyond its borders.

This program joins others within the Grand Challenges family of grant programs supported by the Gates Foundation and its partners that target healthy birth, growth, and development. Thus, it will expand a global network of scientists working on similar issues, increasing opportunities for exchanging ideas and lessons learned. Two other initiatives related to Grand Challenges programs are in the final stage of selection for research project: *Preventing Preterm Birth*, which seeks to explore the underlying mechanisms leading to preterm birth or stillbirth, considering the role of infection, inflammation, and poor nutrition; and *Discovering New Ways to Achieve Healthy Growth*, which seeks to explore molecular pathways that will directly inform the development of interventions for the prevention of stunting and wasting of newborns and infants in the developing world. One related Grand Challenge program is ongoing: [Saving Lives at Birth – A Grand Challenge for Development](#), which seeks to address obstacles to healthy pregnancies and births by fostering innovation in medical technology, in delivery of quality health services, and in stimulating demand for these services. The search for innovation in diverse fields of knowledge is also a goal shared by the Grand Challenges Brazil preterm birth program.

II.1.1 – GOALS OF THE REQUEST FOR PROPOSALS FOR GRAND CHALLENGES BRAZIL: REDUCING THE BURDEN OF PRETERM BIRTH

The goals of this program are to 1) acquire a better understanding of the biological and behavioral causes of preterm birth; 2) develop new strategies to prevent preterm birth; 3) develop new interventions to improve the survival, health, and development of preterm infants; and 4) determine how to scale-up known, effective prevention and treatment strategies. This program is designed as a research arm of the “Stork Network” and its primary measure of success will be an improvement in Brazil in the rate of preterm births and in the survival and subsequent quality of life of preterm infants. To achieve the desired impact, we seek innovative approaches in multiple areas, including biological research, health technology and product development, service delivery mechanisms, and behavior changes. Grants will go to Brazilian researchers, but we encourage partnerships with researchers in other countries, especially where the opportunity exists to build on existing collaborations and show that new interventions are applicable to diverse settings, thereby increasing the likelihood of its achieving broad and sustained impact.

II.1.2 - BACKGROUND

Among the many transformations that Brazil has undergone in the last 30 years is the change to an integrated and unified health system, one in which there has been striking progress in providing maternal and child health services. The number of women without access to any prenatal care has fallen from 10.7 % in 1995 to 2% in 2009, for instance, and over 90% of births occur in the hospital setting. Nevertheless, there remains variability in access to preventive interventions and in the quality of health services provided.

The problems associated with preterm birth in particular provide a window into women’s health in Brazil. Preterm birth is more than 10% of births in the country and contributes significantly to total neonatal mortality: 9.5 per 1,000 births in 2009. Paradoxically, a significant fraction of these preterm births are iatrogenic and

associated with the rising number of C-sections, which in 2009 for the first time outnumbered vaginal deliveries in Brazil. This trend highlights the need to stimulate behavioral changes of patients and healthcare providers to remove one of the roadblocks to preventing preterm birth. Another distinct roadblock to progress in the treatment of preterm infants is the incomplete uptake of established treatments, such as corticosteroids.

These and other roadblocks are the target of this request for proposals Grand Challenges Brazil: Reducing the Burden of Preterm Birth, which seeks innovative research to develop new prevention and treatment strategies and reduce the burden of preterm birth. As a research component of the “Stork Network,” this program would contribute to the goal of universal access and uptake of evidence-based healthcare policies and services.

II.1.3 - PROGRAM SCOPE

II.1.3.1 – Fields of Innovation

There are numerous key questions whose answers could help shape new prevention and treatment strategies for preterm birth. What are the causes of preterm birth and which are most relevant to designing preventative measures? What are the short and long term consequences of preterm birth, and which are most relevant in terms of designing and validating treatments? Which prevention or treatment interventions are the most effective for any particular population or setting? Who should be targeted for new or existing interventions? For any particular intervention, is there a window of opportunity during which it has the best chance of success? What are the best ways to generate demand for new interventions and services among women, families, and healthcare providers? What can be done to ensure the broad uptake of interventions proven to be effective? What are the best ways to reach the most vulnerable, distant, or socially neglected populations?

To provide data to help answer these and other key questions, this program is calling for proposals from diverse researchers, including those outside of the traditional reproductive, maternal, newborn, and child health fields. In addition, we encourage partnerships that bring together researchers from diverse organizations, including for-profit institutions, non-governmental organizations, academic and health research institutions, foundations, and civil society groups. Specifically, we seek to establish a portfolio of projects that encompasses innovation in four fields:

- **Biological research** to understand the biological mechanisms contributing to preterm birth and its negative consequences on women’s health, infant survival, and optimal child development, and the biological mechanisms by which treatments could alleviate these consequences.
- **Health technology and product development** to prevent, detect, or predict preterm birth, and to appropriately care for the special needs of preterm infants in the home, community, or health facility.
- **Service delivery mechanisms** to ensure that new solutions are available to all mothers and children in need, including organizational systems that provide adequate numbers of trained, motivated, equipped, and properly-located caregivers operating with evidence-based guidelines to effectively and efficiently implement preterm birth prevention and treatment strategies and business models to make these strategies sustainable.

- **Behavior change mechanisms**, such as communication tools, financial mechanisms, community mobilization, and social network analysis, that reduce barriers to adopting healthy behaviors and eliminating unhealthy behaviors in reproductive-age women and their families, communities, and healthcare providers.

II.1.3.2 - Characteristics of a successful proposal

We seek research that will lead to new solutions to prevent preterm birth and to treat preterm infants. Successful proposals should explain how they will lead to solutions that are:

- Daring and clearly differentiated from standard practice.
- Practical, affordable, and scalable.
- Accessible to the populations most in need.
- Likely to have substantial and sustained impact.
- Able to be monitored, measured, and evaluated.

II.1.3.3 – Examples of what we are looking for

Successful proposals may include one or more of the following components, among others:

- Evaluation of potential causal mechanisms linking maternal or fetal infection (such as malaria, helminth infection, or acute microbial infection) and inflammation during pregnancy to preterm birth and stillbirth. We will also consider conditions such as preeclampsia / eclampsia that contribute to premature birth and neonatal mortality through several mechanisms including inflammation;
- Identification of mechanisms by which nutrition could influence fetal and maternal physiology in ways that promote preterm birth and stillbirth.
- Evaluation of how the duration and degree of maternal exposure to adverse environmental conditions (such as household air pollution or exposure to environmental toxins) could increase the risk of preterm birth and stillbirth.
- Ways to broaden the use of existing treatments for the care of preterm newborns and to validate the mechanisms by which they are effective or establish the optimal ways for them to be used, including studies of topical emollients, skin-to-skin (kangaroo) care, ventilation technologies, lung surfactant, and antenatal corticosteroids.
- Understanding the contribution of elective C-section to preterm birth rates and how to minimize this iatrogenic factor.
- Ways that information and communication technology can be used to improve delivery, monitoring, and evaluation of evidence-based healthcare for reproductive-age women and for preterm infants and their mothers.
- Behavior change mechanisms for engaging, informing, and motivating reproductive-age women and their families, communities, and healthcare providers to limit preterm birth risk and to promote optimal care of preterm infants.
- Partnership with researchers from other countries, especially where the opportunity exists to build on existing collaborations and show that new interventions are applicable to diverse settings.

II.1.3.4 – Examples of what we are NOT looking for

Examples of the types of projects we will not fund, among others, are listed below:

- Basic research that does not provide a direct path to development and evidence of preterm birth prevention and treatment strategies.
- Studies lacking analytic methods to substantiate causal links between proposed factors of interest and preterm birth risk.
- Studies that lead to solutions applicable to only a small fraction of women at risk of preterm birth or a small fraction of preterm infants.
- Projects that are not scalable either by their nature or because they apply to small subsets of the population.
- Studies that propose interventions that detract from favorable family practices, such as those that would lead to inappropriate early cessation of breast feeding, deter skin-to-skin care, or disrupt routine immunizations.
- Projects without appropriate metrics to determine success or failure that would allow decisions about the appropriateness of follow-on funding.
- Solutions that are only slight improvements over existing approaches, such as approaches using mobile communication devices (mHealth) that do not greatly expand use compared with current practices or do not integrate multiple information systems into one solution.
- Replication of an approach in a new geography in the absence of added innovation.

II.1.4 - Collaboration

With this program we seek to create a consortium of individually funded projects that will benefit from sharing information between projects. We expect that such sharing will help to ensure that the goals of the innovative approaches in individual projects are ultimately integrated with each other, thereby increasing the chances that the program will be greater than the sum of its parts. Furthermore we expect that sharing experimental methods, data, and resources will ultimately improve the ability to compare and validate local research findings and to develop interventions and products that can have impact at a greater scale. The specific terms of the collaborative activities will be negotiated prior to the grant award. Collaborative efforts include:

- **Cohort Harmonization:** When collaborating with projects with existing cohorts or establishing new cohorts, investigators will be expected to participate, whenever possible, in cohort harmonization. Study sites will be expected to:
 - Develop and follow standard operating procedures and quality control protocols for specimen collections;
 - Participate in the establishment of a minimum common set of data and specimens to be collected across the program.
- **Data Sharing:** Data is expected to be shared with the broader scientific community in accordance with the Bill & Melinda Gates Foundation's Global Health Data Access Principles (<http://www.gatesfoundation.org/global-health/Documents/data-access-principles.pdf>). A data sharing plan will be developed that is equitable, ethical, and efficient, and will include:
 - A data sharing and publication policy,
 - A data use agreement,
 - A protocol for citing the program in published manuscripts, and for acknowledging the core program investigators.

II.1.5 – TIMETABLE

Events	Date
Launching of Request for Proposals in the Diário Oficial da União and on CNPq website	02/26/2013
First day to submit Letters of Inquiry	02/26/2013
Application deadline for Letters of Inquiry	05/07/2013
Results on the selection of Letters of Inquiry will be published in the Diário Oficial da União and on CNPq website	07/02/2013
First day to submit Full Proposals	07/02/2013
Application deadline for Full Proposals	08/13/2013
Results on the selection of Full Proposals will be published in the Diário Oficial da União and on CNPq website	10/10/2013
Tentative date for the meeting to Adjust Projects	10/24/2013
Deadline to submit Final Proposal with agreed adjustments	11/04/2013
Announcement of results on the final selection of Full Proposals	11/11/2013
Start of implementation of approved Proposals	From 11/11/2013

II.1.6. FINANCIAL RESOURCES

II.1.6.1 – Levels of Funding

There are two categories of grants:

- **Seed or basic grants:** Funded at up to R\$ 500 thousand per project. This type of grant does not require preliminary data and is meant to provide an opportunity to test particularly bold ideas. Such ideas could include applying approaches from outside the field of maternal and child health to the problem of preterm birth.
- **Full grants:** Funded at up to R\$ 2 million per project. This type of award does require preliminary data and is meant to provide an opportunity to develop, refine, and rigorously test approaches that have previously shown promise in controlled or limited settings.

II.1.6.1.1 – The number of seed grants and full grants to be allocated will depend on the response to this Request for Proposals. We anticipate funding approximately 8 (eight) seed grants and 2 (two) full grants. In all cases, individual project budgets should be representative of the scope and magnitude of the proposed studies and carefully designed to get the best possible value out of the award.

II.1.6.1.2 – We anticipate a second wave of funding, possibly of the same value of this Request for Proposals, timed so that investigators funded in the first wave could use their project results to apply for a second two-year award.

II.1.6.2 – Proposals approved in this Request for Proposals will be granted a total estimated value up to R\$ 8,200,000.00 (eight million two hundred thousand reais) coming from CNPq's budget (R\$ 2 million), from Decit/SCTIE/MoH (R\$ 2.2 million) and the Bill & Melinda Gates Foundation (R\$ 4 million), to be released in installments to be determined at a later stage.

II.1.6.2.1 – Approved proposals will be financed, jointly, with resources from the Brazilian counterparts as described above, through CNPq, and by means of a Funding Agreement with the Bill & Melinda Gates Foundation. In special cases, funding may occur through one or the other way, exclusively.

II.1.6.2.2 – Funding from the Bill & Melinda Gates Foundation will be disbursed directly by the foundation to the approved projects.

II.1.6.2.3 – Funding from CNPq is directed exclusively for the payment of scholarships.

II.1.6.3 – The applicant can submit only one project, and apply to only one category of funding described above in item **II.1.6.1**

II.1.7. ALLOWABLE COSTS

II.1.7.1 – The financial resources of this Request for Proposals will be directed to funding items like expenses, capital and scholarship, which encompass:

II.1.7.1.1 - EXPENSES

- a) consumer goods, components and/or spare parts of equipment, software, and equipment installation, maintenance and repair;
- b) third party services – occasional payment, in full or in part, of maintenance contracts and third party services, for an individual or legal entity. Any payments to an individual have to fall within the legislation as to not constitute an employment relationship. Therefore, a person working in the project will not have an employment relationship with CNPq and cannot claim any payments, remaining under the exclusive responsibility of the project lead /institution executing the project.
- c) ancillary expenses, especially those related to imports and the necessary installations for the adequate work of equipments (see subitem **II.1.7.4**);
- d) tickets and daily expenses, according to the table “[Diárias para Auxílios](#)”. Tickets and daily expenses for the project lead to participate in monitoring and evaluation seminars (A&A) promoted by CNPq/Decit/Bill & Melinda Gates Foundation need to be taken in consideration (for budget purposes).

II.1.7.1.2 – CAPITAL GOODS

- a) bibliographic material
- b) permanent equipment and materials

Capital goods will be allocated in the institution executing the project and will stay under the responsibility, maintenance and care of the project lead /institution executing the project.

II.1.7.1.3 - SCHOLARSHIPS

II.1.7.1.3.1. Scholarships will be granted in the categories ATP, ITI, DTI and EV. Resources related to scholarships will be included, automatically, through the Online Proposal Form, in the project budget.

II.1.7.1.3.2. Scholarships must be used within the deadline and criteria indicated for each category, as seen at <http://www.cnpq.br/web/guest/bolsas-e-auxilios>. Scholarships last for the duration of the project only, and can't continue beyond its execution deadline.

II.1.7.1.3.3. Scholarships can't be used as payment for services rendered as this goes against the purpose of CNPq's scholarship program.

II.1.7.1.3.4. It is the project lead 's responsibility to indicate the scholarship recipients once the Term of Acceptance for Financial Support to the Scientific and/or Technological Research Project is signed.

II.1.7.2 – Funds from CNPq or Decit/SCTIE/MoH are not allowed to be spent on:

- a) civil engineering works (except installation and necessary adaptations for the adequate work of equipments, which should be justified in the detailed budget of the proposal – subitem II.2.2), these expenses are to be covered by the institution executing the project;

- b)** payment of salaries or complement of salaries to technical and administrative personnel, or any other benefits, for public institutions personnel (federal, state or municipal);
- c)** with IDs, briefcases and similar goods, certificates, ornaments, cocktail drinks, dinners, shows, or entertainments of any kind;
- d)** routine expenses such as electricity, water and telephone bills, which are considered expenses to be covered by the institution executing the project;
- e)** payment of any kind for consulting services or technical assistance to a public servant, or an employee of a public or semi-public company, according to the Federal Budget Guidelines Law (Lei de Diretrizes Orçamentárias da União);
- f)** payment of administration taxes, managing taxes, of any kind;
- g)** the purchase of any kind of automotive vehicles.

II.1.7.2.1 – Funding from the Bill & Melinda Gates Foundation can be used for some of these expenses provided they are justified in the project and are in accordance with the Brazilian laws.

II.1.7.2.2 – Additional expenses are considered the responsibility of the applicant and /or the institution executing the project.

II.1.7.3 – Legal and constitutional principles, as well as CNPq's norms of Accountability, must be observed for contract or purchase of goods and services, and they are available at: <http://www.cnpq.br/web/quest/prestacao-de-contas1>.

II.1.7.4 – Whenever applicable, the proposal must include ancillary expenses due to equipment imports, capital goods and consumer goods, at a ratio of up to 18% (eighteen percent) of the total anticipated for these expenses. CNPq will not supplement funds to cover expenses due to external factors beyond its control such as currency fluctuations.

II.1.8. PROJECT EXECUTION TIMELINE

Proposals funded by this Request for Proposals have a maximum completion period of up to 24 (twenty four) months. Exceptionally, if dully justified, the deadline for the project execution can be extended.

II.2. ELIGIBILITY CRITERIA

The eligibility criteria noted below are mandatory. The compliance to those is a must in order for the proposal to be reviewed, analyzed, evaluated and accepted. Lack or insufficient information on any of these criteria can result in the proposal being disqualified.

II.2.1. ON THE APPLICANT AND THE SUPPORTING TEAM:

II.2.1.1 – The applicant, responsible for the proposal's presentation, must mandatorily meet the criteria below:

- a)** have an up-to-date curriculum on file in the Plataforma Lattes, **until the deadline for proposal's submission, according to item II.1.5. of the RULES.**
- b)** must be the project lead ;
- c)** must have a formal connection with the institution executing the project. A formal connection is understood to be any and all type of existent link between the applicant, as an individual, and the institution executing the project. If there is no employment or a functional link, the connection must be characterized by means of an official document

proving the agreement between the applicant and the institution executing the project to develop the research and/or teaching activity. The document must be issued by an officer of the institution and must be kept with the applicant, there is no need to send it to CNPq. Examples of the types of link, besides employment/functional: visiting researchers, with or without scholarship, and young researchers with special scholarships for recent doctorate degrees, post-doctorate degrees and others, funded by federal or state agencies that foment research in science and technology.

c1) A retired researcher can submit a proposal for this Request for Proposals as long as he/she has an up-to-date curriculum on file in the Plataforma Lattes, until the deadline for proposal's submission, according to item **II.1.5. of the RULES**, has evidence of present scientific-academic activity and **shows** a document from the research or research/education institution agreeing to the project's execution. **The retired researcher must attach the referred document to the Online Proposal Form. The lack of the above document will disqualify the proposal.**

II.2.1.2 – By submitting the proposal the applicant commits, throughout the execution of the project, to maintain all the qualifying, competence and trustworthiness conditions for the perfect accomplishment of his/her objectives, and to keep his/her personal records up-to-date with the proper registry offices.

II.2.1.3 – The technical team can be made up by researchers, students, and technicians. Other professionals can be part of the team as collaborators.

II.2.1.4 – Only those who have given formal written consent should be included in the project team. The written consent must be kept by the project lead .

II.2.1.5 – Members of the technical team, nominated as researchers, must have their curricula on file at Plataforma Lattes. This requirement does not apply to foreign researchers.

II.2.2. ON THE PROPOSAL:

II.2.2.1. GUIDELINES FOR THE LETTERS OF INQUIRY

The letter of inquiry should not exceed 5 pages (for each language - English and Portuguese), including a project summary. The abstract of up to 250 words must include one or two sentences in bold that capture the core of your idea. The abstract should indicate the specific problem that the project seeks to solve, what is the proposed approach for solving the problem, why the project is innovative and what is the expected impact of the project - if successful – at the end of the funding period.

II.2.2.1.a. Context and Reason

Describe the project goal and how it relates to the objectives and scope of this program. Note the specific problem the project intends to challenge, why the solution proposed is innovative, and why it represents an improvement in relation to the best alternatives available. If applicable to the project, show any relevant preliminary data in the proposal.

II.2.2.1.b. Objectives and Approach

Identify the general and the specific objectives of the project and how they contribute to the goal described in section I. Write a summary of the research activity for each objective and specify any hypothesis that will be tested. Indicate how each of the research activities related to the objectives will be considered successful, highlighting important milestones that can be used to monitor the project's progress.

II.2.2.1.c. Expected Results and Opportunities

Indicate the expected results for the project, in case it's successful and, in short, what would be the next steps and how the results can lead to later advancement and innovation.

II.2.2.1.d. Competence of the Investigator and the Institution

Show how the experience and expertise of the researcher and his/her institution can contribute to reach the goals of the project. If the project includes collaboration with other individuals and organizations, note their role in the project.

II.2.2.1.e. Resources and Facilities

Describe the available resources and facilities to conduct the proposed research project, including contributions by collaborators.

II.2.2.1.f. Estimated Budget

Briefly describe how the work will be conducted within the proposed budget, detailing values to be allocated for each research objective, per year of project.

II.2.2.1.g. Language

Letters of Inquiry must be presented in two languages, Portuguese and English.

II.2.2.2. FULL PROJECT

II.2.2.1 – The project must be clearly defined as a scientific, technologic or innovation research;

II.2.2.2 – The research project to be attached to the electronic form of proposals should follow the model shown in Appendix I of this request for proposals.

II.2.2.3. Projects must be submitted in two languages, Portuguese and English.

II.2.3 ON THE INSTITUTION EXECUTING THE PROJECT:

II.2.3.1. The institution executing the project will be the one where the research project will be developed and with which the applicant has to show a connection, and will be from now on named "Institution Executing the Project", and can be:

- a)** higher education institutions, public or private ;
- b)** institutes and research and development centers, public or private ;
- c)** companies that perform science, technology or innovation research activities.

II.2.3.1.1. The institution executing the project must be found under Brazilian laws and must have its headquarters and administration in the country.

II.2.3.1.2. Proposals by private for-profit institutions will be funded **exclusively** by the Bill & Melinda Gates Foundation. Other proposals will be funded jointly by the three funding agencies (Decit/SCTIE/MoH, CNPq and the Bill & Melinda Gates Foundation).

II.3 – EVALUATION CRITERIA

II.3.1 – The following are the criteria used for ranking the proposals according to their technologic-scientific merits, health relevance and budgetary adequacy:

Criteria for analysis and decision making		Weight	Score
A	Innovation , including creativity of the project's approach and clear differentiation from existing approaches	2	1 to 5
B	Scientific and technical excellence , including a clear and rigorous conceptual framework for research activities	2	1 to 5
C	Potential to lead to prevention and treatment solutions for preterm birth with substantial impact	2	1 to 5
D	(Technical and human) resources , including investigator and organization capabilities, interdepartmental collaboration, and international partnerships	2	1 to 5
E	Value in terms of appropriateness of the budget and timeline relative to project complexity, risk, and potential impact	2	1 to 5

II.3.2. Up to two decimals may be used for the scores.

II.3.3. The final scoring of each project will be assessed by the weighted average of the score attributed to each item.

II.3.4. In case of a tie, wins the project with the higher score on items A through E, in this order.

II.4 MONITORING/FINAL EVALUATION/ACCOUNTABILITY

II.4.1. The project lead must send the final technical-scientific report, as per the model showed in Annex II, and the closing of financial accounts in a specific Online Form, within 60 (sixty) days of the deadline for project execution, according to the Term of Acceptance and other CNPq norms.

II.4.1.1. The financial accountability, with expense reports in conformity with the norms of Accountability available at: <http://www.cnpq.br/prestacaocontas/index.htm> ;

II.4.1.2. The final technical report, with all detailed activity developed during the project's execution and the record of occurrences that affected its development;

II.4.1.3. The performance evaluation and the individual technical report of activities developed by each scholarship recipient, including the ones that have been substituted.

II.4.1.4. Accountability for the Bill & Melinda Gates Foundation must meet the criteria of the Foundation in accordance with the funding agreement signed at the time of project approval. .

II.4.1.5. Additional information or clarification on the reports may be requested by the financial agents.

II.4.2. When required, the Lead of the project will participate in partial and final evaluation seminars promoted by Decit / SCTIE / MoH.

II.5 – ON CLARIFICATION AND ADDITIONAL INFORMATION ON THE CONTENT OF THIS “REQUEST FOR PROPOSALS”, ON FILLING THE PROPOSAL FORM ONLINE

II. 5.1 – Clarification and additional information on the content of this Request for Proposals can be obtained by sending an e-mail to: chamada052013@cnpq.br

II. 5.2 – Questions and help with filling the Online Proposals Form will be answered by calling the phone number: 0800.61.9697, Monday to Friday, from 8:30am to 6:30pm,

II.6 – ON THE LEGISLATION MENTIONED:

TERM	PROVISIONS and LEGISLATION
ADVERTISING CAMPAIGNS	<p>Caput and paragraph 1º of art. 37 of the Federal Constitution http://www.planalto.gov.br/ccivil_03/constituicao/ConstituicaoCompilado.htm</p> <p>IN/SECOM-PR n° 02 of 16 December, 2009 http://www.secom.gov.br/sobre-a-secom/institucional/legislacao/instrucoes-normativas</p>
INDIVIDUAL SUPPORT	<p>RN 017/2011 http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/25480</p>
Specific norms for scholarships	<p>RN 015/2010 http://www.cnpq.br/view/-/journal_content/56_INSTANCE_0oED/10157/25314</p>
FNDCT (National Fund for Scientific-Technological Development)	<p>Law n° 11.540/2007 http://www.planalto.gov.br/ccivil_03/Ato2007-2010/2007/Lei/L11540.htm</p>
INNOVATION	<p>Innovation Law n° 10.973, of 02 December, 2004 http://www.planalto.gov.br/ccivil_03/Ato2004-2006/2004/Lei/L10.973.htm</p>
LDO (Budget Legislation)	<p>Law n° 12.465, of 12 August, 2011 http://www.planalto.gov.br/ccivil_03/Ato2011-2014/2011/Lei/L12465.htm</p>
INTELECTUAL PROPERTY	<p>RN-013/2008 http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/24829</p>
APPEAL NORMS	<p>RN n° 006/2009 http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/25041</p>
CONSTITUTIONAL PRINCIPLES	<p>Caput and paragraph 1º of art. 37 of the Federal Constitution http://www.planalto.gov.br/ccivil_03/constituicao/ConstituicaoCompilado.htm</p>
LEGAL PRINCIPLES	<p>LAW N° 9.784, of 29 January, 1999, Art. 2º http://www.planalto.gov.br/ccivil_03/Leis/L9784.htm</p>
TERMS OF ACCEPTANCE	<p>RN 018/2011 which revokes RN 024/2006 http://www.cnpq.br/web/guest/view/-/journal_content/56_INSTANCE_0oED/10157/25465</p>
MANUAL OF EFFICIENT USE OF RESOURCES AND ACCOUNTABILITY	<p>http://www.cnpq.br/documents/10157/d6b5ae87-42ab-4b4c-85f6-838fedda953d</p>

II.7 – ON COORDINATION RESPONSIBLE FOR THE REQUEST FOR PROPOSALS

The coordination responsible for the monitoring of this Request for Proposals is the Coordination of the Research Program on Biosciences - COBIO.