

## AWG-SF Strategic Response Fund Guidelines for Proposal Application

### A. Grant I - Reserved Grants for 10 AMS

#### 1. PROJECT ELIGIBILITY

The proposed project should address problems or issues of strategic importance in the interrelated issues of food insecurity, poverty and climate change in the region. It should be timely and should support in-country initiatives that will enable the ASEAN Member State's (AMS) Leaders and Focal Points on Social Forestry to quickly respond to emerging issues and challenges, and increase its ability to articulate policy recommendations and directions in the Plan of Action of the ASEAN Working Group on Social Forestry (PoA of AWG-SF) 2016-2025. The project, single- or multi-country, could be any of the following:

- **Quick “turn-around” studies** – These are researches usually done to support decision-making through fast methods that generate answers to specific questions. Examples of these methods include focus group discussion and online surveys, among others. Quick “turn-around” research is usually employed when there is a need to make a decision, but some questions still have to be answered first, or there is a need to first clarify the questions that need to be answered, and there is no luxury of time to hold frequent big meetings.
- **Exploratory reviews** – These are researches conducted for an issue or topic that is new or for an emerging problem and thus, has not been clearly defined yet. Exploratory research is often used to formulate formal hypotheses for more definitive investigation/study.
- **Meta-analysis/Analytical studies and think pieces** – These are studies where the researcher examines the results of several previous studies in the hope of identifying patterns among study results or other interesting relationships that may come to light in the context of multiple studies. It involves an integrative review of qualitative studies on a specific topic. (*Greenland and O' Rourke, 2008*)
- **Dialogues/Roundtable discussions/National and Local Consultations** – These are short events, usually lasting between one and two days which bring together experts, practitioners and decision-makers to examine and explore a development concern in a collaborative setting. Attendees are invited to participate in group discussion and come up with policy recommendations and strategies for action in the thematic area under examination. Additionally, these policy roundtable discussions identify options or inputs that could be pursued to address the issues and concerns in aid of policy formulation.
- **Learning Exchange Activities** – These are activities that provide opportunities for learning through travel and interaction with people knowledgeable of the subject

matter with specific learning objectives. This type of activity must be a component of a larger initiative that aims to address specific issue or problem.

**The activities mentioned above must be geared towards the development/enhancement of social forestry (SF) policies and implementation on the following priority areas of the SPA of AWG-SF:**

- Community forest access and use rights and benefits
- Deforestation/Forest Degradation
- Payment for Ecosystem Services
- Conservation, Development or Marketing of Non-timber Forest Products
- Integration of SF approaches/policies with the National Climate Change Mitigation and Adaptation Strategies
- Incentives that stimulate investments in Sustainable Forest Management
- Funding Mechanisms for Sustainable Forest Management; Proposal development towards accessing funding facilities
- Role of the forestry sector in addressing climate change and food security issues; and in contributing to sustainable development and how it can be harmonized with other sectors
- Promoting awareness and legal literacy among local communities whose livelihoods are dependent on the goods and services provided by forests

## **2. PROJECT DURATION & BUDGET**

The project should be completed in a period not exceeding one year and within a maximum budget of **Twenty-Five Thousand US Dollars (US\$25,000)** for each AMS. The country will decide if they want to avail the grant in the lump sum amount of USD 25,000.00 or divide it for two projects with USD 12,500 each.

## **3. PROPONENT QUALIFICATION**

The proponent must be a Leader or Focal Point on Social Forestry from any of the ASEAN Member States or its nominated partner-implementing institutions, organizations, or individuals.

## **4. COST ELIGIBILITY**

Only eligible costs can be taken into account. Costs are eligible when these are incurred and paid during project implementation (except for costs related to final reports and audits), are included in the approved project budget, and are identifiable and verifiable.

### **ELIGIBLE DIRECT COSTS**

- Office supplies and materials
- Communication
- Travel costs and per diem
- Honoraria for experts/personnel involved in the project, the total of which should not exceed 40% of the total budget

- Purchase of equipment and other tangible and intangible assets (e.g., software, intellectual property and copyrights) only when these are essential for successful project implementation and are well justified in the application document.
- Other costs depending on the nature of the project, as long as justified and approved in the project budget

## **5. FUND RELEASE**

Grantees shall sign a contract with SEARCA. The contract shall detail the grant conditions. Fund releases shall be based on a work plan approved by the Evaluation Committee. The schedule of the initial release of 90% of the approved budget will depend on the nature of the project. The remaining 10% of the approved budget would be released upon submission of the final report and a financial report.

## **6. MONITORING AND EVALUATION**

The AWG-SF Strategic Response Fund PMO in coordination with SEARCA Research and Development Department will monitor and coordinate the implementation of the project. The grantee will be required to present the results of his/her project in a sharing workshop to be organized by the PMO.

## **7. PROPOSAL PREPARATION**

The ASRF-PMO will inform the AMS about the grant allocation and the profiling/assessment on the status of SF that will identify the gaps in achieving their SF goals and strategic interventions that can be funded by ASRF. The AMS has to signify their interest in accessing the grant by writing to the ASRF-PMO. The AMS may conduct workshops aided by a toolkit that will help the AMS in preparing the proposal. SEARCA-ASRF will provide the technical assistance to countries, if necessary.

### **7.1 CONTENTS OF THE PROPOSAL**

The proponent must submit a detailed proposal that includes the following items:

1. Introduction
  - Is the issue/concern that needs to be addressed clearly described? Why is this considered strategic/emerging/critical?
  - Is there a strong rationale or need for the proposed project?
  - Is the purpose and importance of the research/study/activity clearly stated? Are project objectives specific, measurable, and achievable within the proposed timeframe?
  - Are the expected output/s and outcome/s clear and measurable?
2. The Project
  - 2.1 Research/Study (if applicable)
    - Study area
    - The structure of the research/study
    - Methods of implementation
  - 2.2 Dialogue/Consultation (if applicable)
    - Project area/venue

- Program
  - Target audience
3. Requested budget and timeline for completion (See format below)
- Identify all projected expenses to complete the activity.
  - The budget is divided in two sections, as follows:
    - Personnel Services (honorarium, etc.)
      - This should not exceed 40% of the total project budget. (unless justified)
    - Maintenance and Operating Expenses
      - supplies and materials
      - travel expenses
      - communication cost
      - contracted support personnel (i.e. enumerators, training facilitators, resource persons, etc.)
  - Clearly specify and justify the cost of expensive or specialized items (e.g., camera; software); other items can be listed in general categories (e.g., office supplies)
  - Administrative cost and contingency fund should not be included.

Budget and Timeline Sample Format

Objectives	Expected Output	Activity	Budget Requirement	Budget Details	Duration	Counterpart (in cash or in kind)
<b>A. Maintenance &amp; Operating Expenses</b>						
To increase cooperation between the communities covered by the social forestry program and government through a regular consultation once every quarter	Four regular consultations between communities covered by the social forestry program and the government	Four consultations with 50 households from the communities covered by the social forestry program	USD 5720	Food: USD25x50x4; Venue: 120; Transportation: USD 150x4	April 2 <sup>nd</sup> week – 3 <sup>rd</sup> week	Supplies & Logistics: USD 300
<b>B. Personnel Services</b>						
			USD 200	Honorarium: USD50x4		

4. Sustainability Plan – The Proponent must indicate how the proposed project will be sustained after the project duration (i.e. how the project outputs can be applied in the long term?). The link of the proposed project to government’s management plan or policies must also be clearly explained by the proponent.
5. Appendices
- Bibliography relevant to the proposed subject

- Endorsement letter
- Organizational Profile of Proposed Implementing Organization/Partner

## 7.2 COVER PAGE

One-page summary of information as presented below.

<b>Project Title</b>	
<b>Country</b>	
<b>Major Proponent</b>	Name of institution
<b>Proposed Implementing Institution/Individual</b>	Name of unit/individual
<b>Project Objectives</b>	Summary of project objectives
<b>Methods and Design</b>	Summary of methodology <i>(for research only)</i>
<b>Activity/ies</b>	<i>(for non-research projects)</i>
<b>Project Area</b>	Project site in the country of research/study or venue/site/s of activity/ies
<b>Project Duration</b>	Number of months
<b>Project Schedule</b>	(i.e., 1 September 2017 to 31 August 2018)
<b>Budgetary Requirement</b>	State in US dollars (maximum of \$25,000)
<b>Contact Information:</b>	
Institutional	Name of unit
Institution Mailing Address	Unit address with postal code
Contact Numbers	(i.e., office, facsimile and mobile phone numbers)
Email Address	

### **7.3 PROCESS OF PROPOSAL SUBMISSION**

The proposal will emanate from or be endorsed by the AMS Leader or Focal Point on Social Forestry. Supporting documentation for the application such as the endorsement letter from the AMS Leader or Focal Point on Social Forestry and the curriculum vitae or organizational profile of the proposed implementer/partner, must accompany this application.

The endorsement letter must provide a brief summary of the proposed project.

Applications should be submitted via Electronic Mail to <asrf@searca.org>. Relevant documents such as maps, management plans, pictures, and endorsements must be digitally scanned and sent through email.

### **B. Grant II – Paper Presentation Grants**

#### **OBJECTIVES OF THE GRANT**

1. To provide opportunities to AMS Leaders and Focal Points on Social Forestry to participate and present papers in conferences and fora, locally or internationally.
2. To promote the dissemination of scientific knowledge/information vital to social forestry and interrelated issues of climate change and food security.
3. To provide the Grantee a venue to discuss with other scientists, researchers, university faculty and scholars, developments in their respective disciplines.
4. To facilitate linking, partnerships and active collaboration between SEARCA, or the applicant's home institution, with other development organizations and donors.
5. To produce articles or any publication out of the Grantee's presented paper, whenever appropriate and feasible.

#### **ELIGIBILITY**

The proponent must justify the relevance of their participation and presentation to a particular conference or forum. On a case to case basis, paper presentations may not be required if attendance to a conference is expected to result in establishing formal linkages, partnerships, collaborations and strong development impacts to their home institutions.

#### **BUDGET**

The maximum budget is USD 1,200. There will be 6 slots under this type of grant.

#### **PROPONENT QUALIFICATION**

The AMS Leaders or Focal Points on Social Forestry are the priorities for this grant but individuals who are involved in social forestry work can also apply as long as they are endorsed by the AMS Leader or Focal Point for Social Forestry of their home country.

#### **PROPOSAL PREPARATION**

Application to the ASRF will be by means of a dedicated application form that will be developed by SEARCA and available at the SEARCA website.

## **SELECTION CRITERIA**

The focus of the paper should be aligned with following priority areas under the Plan of Action of the ASEAN Working Group on Social Forestry (PoA of the AWG-SF).

- Community forest access and use rights and benefits
- Deforestation/Forest Degradation
- Payment for Ecosystem Services
- Conservation, Development or Marketing of Non-timber Forest Products
- Integration of SF approaches/policies with the National Climate Change Mitigation and Adaptation Strategies
- Incentives that stimulate investments in Sustainable Forest Management
- Funding Mechanisms for Sustainable Forest Management; Proposal development towards accessing funding facilities
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## **CONFERENCE VENUE**

Priority will be given to travel within the region. Grants for travel outside the region may be considered on a case to case basis depending on how well the paper satisfies the selection criteria and the objectives of the Paper Presentation Grants.

## **PROCESS OF PROPOSAL SUBMISSION**

The proposal will emanate from or will be endorsed by the AMS Leader or Focal Point on Social Forestry. Supporting documentation for the application such as the endorsement letter from the AMS Leader or Focal Point on Social Forestry and the curriculum vitae of the proponent must accompany this application. Applications should be submitted via Electronic Mail to [asrf@searca.org](mailto:asrf@searca.org).

## **APPLICATION REQUIREMENTS**

1. A letter expressing interest to avail of the grant, addressed to:

The Regional Program Coordinator  
SEARCA  
College, Los Baños, Laguna 4031  
PHILIPPINES

2. A recommendation letter from the immediate head/supervisor/major professor of the applicant, if applicable;
3. A two-page summary (single-spaced; 8.5x11 sheet) of the paper for presentation to the conference;
4. A copy of the conference organizer's letter of acceptance of the paper for presentation;
5. A copy of the conference program;

6. The estimated budget for participation;
7. A Proof/Copy of award of funding support from other organization(s) if travel is beyond Southeast Asia; and
8. The applicant's curriculum vitae.

The grantee must submit a Travel Report highlighting the observations, learning, and recommendations from the conference or forum. In addition to the Travel Report, the grantee should be able to provide a version of the presentation/research that can be published as a journal article, monograph, or other format deemed appropriate by SEARCA.