

# Funding opportunity template

## Funding opportunity title

Southeast Asia-Europe Joint Funding Scheme for Research and Innovation – 7 <sup>th</sup> Joint Call for Proposals (STI) for Climate Change: Resilience and Adaptation
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## Key information

Type of funding	Grant
Funding Agency	DOST-Philippine Council for Industry, Energy and Emerging Technology (DOST-PCIEERD)
Co-funder(s) <i>External agencies</i>	Southeast Asia- Europe (SEA-EU)
Add link to start the application	DOST Project Management Information System (DPMIS): <a href="http://dpmis.dost.gov.ph">http://dpmis.dost.gov.ph</a>

## Timeline

Event	Date	Time
Opening date	June 15, 2021	8:00 A.M.
Closing date	October 15, 2021	5:00 P.M.
Evaluation Period	October 16, 2021 – March 2022	
Start of projects	May 2022	

## Overview

Climate change has been a vast concern not just locally but globally which post a great threat to different sectors. In line with this, the Department of Science and Technology (DOST) and the DOST-Philippine Council for Industry, Energy and Emerging Technology Research and Development (DOST-PCIEERD) are ready to accept research and development (R&D)/Science and Technology (S&T) proposals aligned with the **Southeast Asia-Europe Joint Funding Scheme for Research and Innovation – 7<sup>th</sup> Joint Call for Proposals** under the thematic area **Climate Change: Resilience and Adaptation**.

## Opportunity summary

This funding opportunity encourages S&T collaboration and applied research among Higher Education Institutes (HEIs), government Research and Development Institutes (RDIs), and non-profit S&T networks and organizations seeking funding for their R&D/S&T initiatives. Climate Change: Resilience and Adaptation shall be the priority area of this call, specifically topics related to: **Mapping, modeling/projections and instrumentation for extreme phenomena such as Heatwaves, Droughts, Frost and Intense Storms/Thunderstorms**.

## Who can apply

Any Filipino, public or private entity with proven competence may apply, provided that projects fall under the specific research areas with overall goal to benefit Filipinos.

## What we're looking for

Proposals to be submitted and or funded under this announcement must demonstrate the advancement of Science and Technology, with respect to the 7<sup>th</sup> SEA-EU JFS Call under the thematic area of Climate Change: Resilience and Adaptation. The overall funding for the runtime of the projects shall be Php 30,000,000 with a maximum funding per project of **Php 15,000,00.00 (maximum of P5,000,000.00 per year)** and a maximum project duration of **three (3) years**.

### Eligible costs

100% of the project cost shall be covered under the Grant while the applicant's organization shall provide at least 15% counterpart funding, in cash/in kind, except for projects involving public good. Only eligible and allowable costs may be used for counterpart fund and/or in-kind contribution (ex. utility costs, office space rental, etc.), as determined by DOST-PCIEERD. The proposal must describe how the applicant will provide the counterpart fund/in-kind contribution and the role that the Grant will play in the overall project.

The requested budget shall be itemized following the DOST Form 4-Project Line-Item

Budget. The grant may cover partial or full cost of the project, both direct and indirect costs which shall include personnel services, maintenance and other operating expenses, and capital outlay that are integral part of the project. All expenditure items shall be in accordance with the Unified Account Code Structure (UACS) and relevant provisions as shown in Section IX, B. Line Item Budget Preparation of AO 011 series of 2020 Revised Guidelines for the [Grants-in-aid Program of the Department of Science and Technology and its Agencies](#).

Capital or infrastructure expenditure is not an eligible cost under the Grant as well as fees and/or stipends associated with Master and PhD studentships.

Budget restrictions may apply in accordance to issuances of the national government such as, but not limited to those pertaining to the existing Health situation prohibiting foreign travel and attendance to trainings

## How to apply

Applications should be submitted through the DOST Project Management Information system (<http://dpmis.dost.gov.ph>) from **8:00 A.M. of June 15, 2021 to 5:00 P.M. of October 15, 2021**.

It will not be possible to submit an application to the call after the time mentioned above. Proposals submitted after the deadline will not be considered. Applicants are encouraged to leave enough time for proposal inputting in the DPMIS before this date.

When submitting your application, please follow these steps:

1. Register and create an account in the DPMIS
2. Log in to your DPMIS account
2. Select Type of Proposal: Southeast Asia-Europe Joint Funding Scheme for Research and Innovation – 7<sup>th</sup> Call Joint Call for Proposals (STI)
3. Select Classification: New Proposal

**The following will automatically be disapproved:**

- 1) Proposals from organizations that are not qualified to submit during this Call;**
- 2) Proposals outside the priority areas of the Council; and**
- 3) Proposals submitted to any other call route/Council/s.**
- 4) Proposals not submitted through DPMIS.**

### Documents Required

As a summary, your application should include the following documents.

- 1) DOST Proposal Form
- 2) Supplementary Files  
Workplan  
Endorsement of Head of Agency  
Gender and Development (GAD) Score Sheet  
Letter of Intent/Letter of Cooperation

**No additional attachments are permitted.**

## Document Summaries

### **1) DOST Proposal Format**

Applicants shall follow the DOST GIA Proposal Format (R&D or non-R&D, whichever is applicable) which will be accomplished in the e-Proposal portal at [dpmis.dost.gov.ph](http://dpmis.dost.gov.ph). Instructions for submission are also available in this site.

Example of a DOST Proposal Format: R&D

**I. Title** - the identification of the Program and the component projects.

- a. **Project**- refers to the basic unit in the investigation of specific S&T problem/s with predetermined objective/s to be accomplished within a specific time frame.
- b. **Project Leader**- refers to a project's principal researcher/implementer.
- c. **Project Duration**- refers to the grant period or timeframe that covers the approved start and completion dates of the project, and the number of months the project will be implemented.
- d. **Implementing Agency**- the primary organization involved in the execution of a program/project which can be a public or private entity

### **II. Cooperating Agency/ies**

Refers to the agency/ies that support/s the project by participating in its implementation as collaborator, co-grantor, committed adopter of resulting technology, or potential investor in technology development or through other similar means.

### **III. Site/s of Implementation**

Location/s where the project will be conducted. Indicate municipality, district, province, region, and country.

### **IV. Type of Research**

Indicates whether the project is basic or applied.

- a. **Basic research**- is an experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular or specific application or use in view.
- b. **Applied research**- is an investigation undertaken in order to utilize data/information gathered from fundamental/basic researches or to acquire new knowledge directed primarily towards a specific practical aim or objective with direct benefit to society.

### **V. R&D Priority Area and Program**

Based on the Harmonized National R&D Agenda 2017-2022, indicate in which R&D agenda the project can be categorized: **Industry, Energy, and Emerging Technology; Disaster Risk Reduction and Climate Change Adaptation (DRR-CCA)**. Indicate also the specific Sector which is any of the following:

- a. **Energy**
- b. **Utilities**
- c. **Food**
- d. **Process**
- e. **Mining and minerals**
- f. **Metals and engineering**
- g. **Advanced materials and nanotechnology**
- h. **Optics and photonics**
- i. **Information and communications technology**

- j. **Artificial intelligence**
- k. **Convergence of emerging technologies (industry 4.0 and smarter cities and communities)**
- l. **Special sectoral concerns: Environment, DRR-CCA, Creative:** functional and aesthetic creations, **Creative:** animation, game, and film
- m. **Human resource and institution development**
- n. **Science communication**

**Sustainable Development Goal (SDG) Addressed-** indicates which among the 17 SDGs adopted by the United Nations Members States are addressed by the project

VI. **Executive Summary-** briefly discusses what the whole proposal is about

VII. **Introduction-** a formally written declaration of the project and its idea and context to explain the goals and objectives to be reached and other relevant information that explains the need for the project and aims to describe the amount of work planned for implementation; refers to a simple explanation or depiction of the project that can be used as communication material.

**VII.1. Rationale-** brief analysis of the problems identified related to the project

**Significance-** refers to the alignment to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development.

**VII.2. Scientific Basis-** other scientific findings, conclusions or assumptions used as justification for the research

**Theoretical Framework-** the structure that summarizes concepts and theories that serve as basis for the data analysis and interpretation of the research data.

**VII.3. Objectives-** statements of the general and specific purposes to address the problem areas of the project.

#### VIII. **Review of Literature**

Refers to the following: (a) related researches that have been conducted, state-of-the-art or current technologies from which the project will take off; (b) scientific/technical merit; (c) results of related research conducted by the same Project Leader, if any; (d) Prior Art Search, and; (e) other relevant materials.

#### IX. **Methodology**

Discuss here the following: (a) variables or parameters to be measured and evaluated or analyzed; (b) treatments to be used and their layout; (c) experimental procedures and design; (d) statistical analysis; (e) evaluation method and observations to be made, strategies for implementation (Conceptual/Analytical framework).

#### X. **Technology Roadmap** (if applicable)

A visual document that communicates the plan for technology. It is a flexible planning technique to support strategic and long-range planning by matching short- and long-term goals to specific technology solutions.

#### XI. **Expected Outputs (6Ps)**

Deliverables of the project based on the 6Ps metrics (Publication, Patent/Intellectual Property, Product, People Service, Place and Partnership, and Policy).

- a. *Publication*- published aspect of the research, or the whole of it, in a scientific journal or conference proceeding for peer review, or in a popular form.
- b. *Patent/Intellectual Property*- proprietary invention or scientific process for potential future profit.
- c. *Product*- invention with a potential for commercialization.
- d. *People Service*- people or groups of people, who receive technical knowledge and training.
- e. *Place and Partnership*- linkage forged because of the study.
- f. *Policy*- science-based policy crafted and adopted by the government or academe as a result of the study.

#### **XII. Potential Outcome**

Refers to the result that the proponent hopes to deliver three (3) years after the successful completion of the project.

#### **XIII. Potential Impacts**

- a. *Social Impact*- refers to the effect or influence of the project to the reinforcement of social ties and building of local communities.
- b. *Economic Impact*- refers to the effect or influence of the project to the commercialization of its products and services, improvement of the competitiveness of the private sector, and local, regional, and national economic development.

#### **XIV. Target Beneficiaries**

Refers to groups/persons who will be positively affected by the conduct of the project.

#### **XV. Sustainability plan**

Refers to the continuity of the project or how it shall be operated amidst financial, social, and environmental risks.

#### **XVI. Gender and Development (GAD) Score**

Refers to the result of accomplishing GAD checklists for project monitoring and evaluation/project management and implementation to highlight the contribution of the project in the achievement of the objectives of Republic Act 7192, "Women in Development and Nation Building Act," interpreted as gender-responsive, gender-sensitive, has promising GAD concepts, or GAD is invisible.

#### **XVII. Limitations of the Project**

Refer to restrictions or constraints in the conduct of the project.

XVIII. **Risk**- refers to an uncertain event or condition that its occurrence has a negative effect on the project.

**Assumption**- refers to an event or circumstance that its occurrence will lead to the success of the project.

#### **XIX. Literature Cited**

An alphabetical list of reference materials (books, journals and others) reviewed. Use standard system for citation.

## **XX. Personnel Requirement**

Details on the position of personnel to be involved in the project, percent time devoted to the project, and responsibilities.

## **XXI. Budget By Implementing Agency**

Personnel services (PS), maintenance and other operating expenses (MOOE), and equipment outlay (EO) requirement of the project by implementing agency for Year 1 and for the whole duration of the project. Please refer to the DOST-GIA Guidelines for the details (Section IX.B of DOST Administrative Order (A.O.) 011, s. 2020).

- a. **PS**- total requirement for wages, salaries, honoraria, additional hire and other personnel benefits.
- b. **MOOE**- total requirement for supplies and materials, travel expenses, communication, and other services.
- c. **EO**- total requirement for facilities and equipment needed by the Program.

## **XXII. Other Ongoing Projects Being Handled By the Project Leader**

List of ongoing projects being handled by the Project Leader funded by the DOST-GIA Program and other sources, and the accompanying responsibilities relevant to the project.

### **2) Supplementary Files**

These include related information on the proposed program/project like, resumes or curriculum vitae, support letters from relevant agencies/organizations, market supply/demand projections, etc. Below are explanations of required information, which should be attached in the proposal. These will also be submitted through the e-Proposals portal.

- i. **Workplan**  
Describe specific activities and/or methods to be undertaken and estimated timeline for each task.
- ii. **Endorsement of the Head of Agency**
- iii. **Gender and Development (GAD) GAD Score Sheet**
- iv. **Letter of Intent/Letter of Cooperation** from interested adopters of the project results (specifying role/s and monetary/in-kind contribution in the project)

## How we will assess your application

### **A. Review and Selection Process**

The Proposals shall be subject to the evaluation of SEA-EU and DOST-PCIEERD.

#### **For Consortium Proposals:**

Southeast Asia - Europe Joint Call Project consortia must comprise of at least 3 partners from 3 different countries fulfilling the 2+1 rule: Either 2 partners from 2 different Southeast Asian countries and 1 European partner or 2 partners from 2 different European countries and 1 Southeast Asian partner. At least 1 partner from each region must be eligible for JFS funding. Further, the coordinator must be selected from among the partners eligible for funding. The required third partner can be funded by a funding

organization from a country participating in the JFS or bring his own funding. The proposals have to cover the thematic areas of “Sustainable Food Production” or “Climate Change: Resilience and Adaptation” to enhance bi-regional cooperation and develop new partnerships as well as strengthen existing ones. Please read the National Regulations from the funding organization (DOST-PCIEERD) that you are requesting funding from carefully since the National Regulations may include additional requirements, e.g. certain Technology Readiness Levels (see DOST-PCIEERD evaluation process below).

### SEA-EU EVALUATION PROCESS

1. Eligibility Check – the Joint Call Secretariat shall verify all the proposals to ensure that they comply with the general eligibility criteria of the call. After which, the Call secretariat shall forward it to the National Contact Points to perform compliance checking based on its respective national guidelines
2. Peer review – independent experts shall perform anonymous peer review for eligible project proposals based on the evaluation criteria established by the funding parties. The proposals shall be evaluated by at least two (2) online evaluators. Criteria are as follows:

Criteria	Score	Weight
Scientific / Technological excellence and innovativeness of the project idea or product / service to be developed	0-10	40%
Potential impact and expected outcomes of the project / marketability	0-10	40%
Management, Transnationality and Cooperation	0-10	20%
Total	0-10	100%

3. The proponents shall be contacted and will be informed of the results of the peer review. The proponents shall be given opportunity to defend their application
4. after the peer review process, it is then elevated to the Scientific Council (SC) members in charge of the final ranking based on the peer review results.
5. Final ranking and written observations of the SC shall be submitted to the Programme Steering Committee (PSC) for the funding decision meeting.

For further details of the SEA-EU evaluation process, kindly visit this link: <https://www.sea-eu-jfs.eu/calls>

### **For Individual Proposals for DOST-PCIEERD funding:**

### **DOST-PCIEERD EVALUATION PROCESS**

Proposals shall be evaluated according to a set of criteria for each level of evaluation: Division Level, PCIEERD Management Team (PMT) level, Technical Panel (TP) level, and Governing Council (GC) level. Applicants should directly and explicitly address these criteria as part of their proposal submission.

### **Criteria for PCIEERD-GIA Program funding:**

### **1. Scientific Merit**

Contribution to the advancement of knowledge and understanding in the field of Science & Technology.

The research is at par with the existing studies; cutting edge; world class research.

Sound scientific basis to generate new knowledge/innovative technology.

Will contribute to the enhancement/development of skills and expertise in the field/discipline.

### **2. Methodology**

The procedures are clear, well-organized, well-described and based on a sound rationale.

The proposed methods and results are valid, replicable and reliable.

The proposed activities are reasonable to attain its expected outputs.

### **3. Financial Soundness**

The proposed budget is reasonable in the conduct of the research. Expense items sought are appropriate and necessary.

There are adequate counterpart resources available (e.g. expertise, facilities) to carry out the research.

### **4. Timeframe**

The duration of the project and its activities are reasonable.

The workplan is doable in a given timeframe.

The risk management plan was established to avoid delays in the project implementation.

### **5. Environmental Impact**

The project will not pose a significant adverse effect on the environment and/or public health.

Will improve environmental conditions using environment-friendly /clean process.

### **6. Other Issues**

Compliance to regulatory requirements necessary in the conduct of research.

Ethical issues (i.e. do not harm, informed consent, voluntary participation, privacy, anonymity, confidentiality) are properly addressed.

### **7. Sustainability**

The likelihood that institutional, financial, and other resources are sufficient to sustain the project's outcome in a sustainable way. Also, there are potential partners and techno-takers to be involved in the project.

- Research utilization plan under methodology
- Sustainability or business plan particularly those with market potential
- Letter of undertaking / commitment specifying roles/responsibilities and counterpart funding from potential partners, target users or techno-takers

### **8. Socio-economic Impact**

Potential of project to create/provide/generate employment.

Potential to increase income and productivity

Ability to address any current/pressing national problem, among others, are specified and quantified

### **9. Marketability**

Determine current and potential market demand  
Has identified specific/potential end-users  
Explore/Create new markets for the resulting product/process/service are specified  
Advantage over existing products/services in the market  
Potential adoption/use of the industry (manufacturer) and other partners

### **10. Plans for Research/Project Results Utilization**

Plans on how R&D results will be used by the potential end user/s or adopters are defined  
Addresses strategic needs/value  
Sustainability plan for the resources generated and capacity built from the project

### **B. Other Factors**

The Approving Authorities, the GC, based on the rankings and preliminary recommendation of the PMT, will make final funding decisions. The Approving Authorities may also consider programmatic priorities and geographic diversity of grants.

## Contact

DOST-PCIEERD Project Managers are available to provide appropriate assistance to potential applicants interested in competing for this Call for Proposals. This may include assistance to potential applicants in determining eligibility of the applicant or the applicant's proposed project for funding, questions about administrative issues relating to the submission of a proposal, and clarifications on the announcement.

Contacts:

#### **Energy and Utilities Systems Sectors:**

Engr. Nonilo A. Peña, [napena@pcieerd.dost.gov.ph](mailto:napena@pcieerd.dost.gov.ph)

For **general or inquiries related to the Call Guidelines**, the applicant may contact:

**Ms. Carlota P. Sancho** at 837-2071 to 82 ext. 2107 or email at [cpsancho@pcieerd.dost.gov.ph](mailto:cpsancho@pcieerd.dost.gov.ph) or **Ms. Hannah Marie T. Mejia** at [hannah.mejia@pcieerd.dost.gov.ph](mailto:hannah.mejia@pcieerd.dost.gov.ph)

## Additional information

[PCIEERD Eligibility Criteria Checklist](#)  
[PCIEERD Technical Panel \(TP\) Evaluation Criteria/Score sheet](#)  
[PCIEERD Management Team \(PMT\) Evaluation Criteria/Score sheet](#)  
[PCIEERD Governing Council \(GC\) Criteria/Score sheet](#)

## List any supporting documents you will provide

References for PCIEERD-supported projects:

<http://projects.pcieerd.dost.gov.ph/>

<https://pcieerd.dost.gov.ph/library/annual-reports>

<https://pcieerd.dost.gov.ph/supported-programs-projects/supported-programs-and-projects/on-going-projects>

<https://pcieerd.dost.gov.ph/supported-programs-projects/supported-programs-and-projects/completed-projects>

## List any related content links

AO 011 series of 2020 Revised Guidelines for the [Grants-in-aid Program of the Department of Science and Technology and its Agencies](#)

PCIEERD Sectoral Roadmaps: <https://pcieerd.dost.gov.ph/library/road-maps>