

GMS PHNOM PENH PLAN FOR DEVELOPMENT MANAGEMENT RESEARCH PROGRAM

RESEARCH GRANT APPLICATION GUIDELINES

The application for PPP research grants for 2009 must be received not later than **30 April 2009**. Applications should be sent to the PPP Secretariat (c/o Mr. Alfredo Pediguero and Ms Carol Guina), Southeast Asia Regional Department, Asian Development Bank. Fax No.: (632) 636 2189. Email: aperdiguero@adb.org and csguina@adb.org

I. THE GMS PHNOM PENH PLAN FOR DEVELOPMENT MANAGEMENT

1. The GMS Phnom Penh Plan for Development Management (PPP) was launched in 2002 to build a critical core of highly-trained development managers in the GMS countries who would play a key role in shaping policy choices towards the vision of a more integrated, prosperous and harmonious subregion. PPP's programs for building capacity include (i) learning programs for GMS civil servants; (ii) short-term high impact programs for top and senior level officials; and (iii) dialogues on development issues. In 2004, the PPP initiated the publication of the Journal of GMS Development Studies --- a multidisciplinary publication that seeks to promote better understanding of development issues in the GMS among planners, policy makers, academics, and researchers. To complement the Journal, the PPP Research Program was recently initiated to help promote a link between knowledge generation and policy-making and to serve as a catalyst for further research on the GMS.

II. THE PPP RESEARCH PROGRAM

2. As GMS countries face more complex challenges of economic development, the importance of harnessing knowledge for better informed policy choices have been increasingly recognized. However, many GMS institutions involved in research and lack the resources for them to undertake studies that could respond effectively to policy issues. The PPP Research Program was thus conceived to help promote a more effective link between knowledge generation and policy formulation by providing resources to GMS institutions involved in research to undertake studies on important development issues, with particular focus on those involving regional/subregional concerns. The means for achieving this will be through research grants that will support relevant policy-oriented research in the GMS. It is envisaged that the PPP Research Program will be able to contribute to knowledge generation, innovation and value-addition to policy-making in the GMS.

III. ELIGIBILITY CRITERIA

3. The following are the eligibility criteria for applying for the PPP research grant:
- GMS think-tanks, research institutions and universities are eligible to apply for PPP research grants.
 - Non-GMS institutions are not eligible to apply for PPP research grants; however, they may participate as a collaborating institution under a PPP grant-funded research project, provided that they are not entitled to receive any amounts under the grant.
 - Individual researchers are not eligible to apply for the grant.

4. In general, collaborating non-GMS institutions will be encouraged to cost-share, in kind or in cash, the PPP-funded research project.

IV. RESEARCH AREAS AND DURATION

A. Research Areas

5. The development issues to be given priority for research are those that are:

- Regional/subregional in orientation or focus; or
- Consistent with the strategic thrusts¹ of the GMS regional cooperation as embodied in the GMS Program Strategic Framework; or
- Involve a strategic policy issue that could be national in scope but with regional or subregional implications.

6. An indicative list of possible research areas is provided in Annex A, but this should not, in any way, limit the research proponent(s) in the choice of a research topic or issue. The research topic could be a response to a need or gap identified by the Government or an emerging issue; it could also be an issue that the research institutions may have identified in the course of their work.

B. Research Duration

7. The research project should be designed in such a manner that the outputs could be completed within one year.

8. It is possible to have a two-phased research project (of one year for each phase) provided that each phase will have a discrete output and that the duration of the multi-year project will not be more than two years.

9. A detailed work plan and timetable will be required after the proposal has been approved.

V. CALL FOR PROPOSALS AND DATE FOR SUBMISSION

10. The PPP Secretariat issues the call for research proposals through letters of invitation to selected GMS research institutions. However, other institutions may also apply for the research grant provided they meet the eligibility criteria (See Section III). Proponents will be given two months to submit their proposals.

11. The research proponents are requested to submit the following in applying for the grant:

- Description of Proponent Institution(s) and Research Proposal (Form A)
- Indicative Budget (Form B1)

¹ The GMS Strategic Framework has five strategic thrusts, namely: (i) strengthen infrastructure linkages; (ii) facilitate cross-border trade, investment & tourism; (iii) enhance private sector participation & competitiveness; (iv) develop human resources & skills competencies; and (v) protect the environment & promote sustainable use of shared natural resources. (For more details on the GMS Program Strategic Framework, visit www.adb.org/GMS)

12. For 2009, the schedule will be as follows:

Call for proposals	:	2 March
Deadline for submission	:	30 April
Review of proposals	:	1-15 May
Letters of awards	:	18 May
Seminar on Inception Report	:	29-30 July
Seminar on Research Findings	:	End March 2010

13. Research proposals should be sent to the PPP Secretariat not later than 30 April 2009. The proposals should be sent to Mr. Alfredo Pediguero and Ms. Carol Guina, Southeast Asia Regional Department, Asian Development Bank. Fax No.: (632) 636 2189. Email: aperdiguero@adb.org and csquina@adb.org

VI. REVIEW PROCESS

14. A PPP Research Review Committee within ADB will review the research proposals. Resource persons or experts on a particular field or topic may be invited to assist the Review Committee.

15. The review process will take place within two weeks after the deadline for submission of research proposals (1-15 May 2009). The award of the grant will be issued at the end of the two-week period (the week of 18 May 2009).

VII. CRITERIA

16. The research proposals will be evaluated on three factors:

- A. Capacity of the proponent institution(s) --- 20%
- B. Quality of the research proposal ----- 40%
- C. Qualifications of the researchers ----- 40%

A. Capacity of Research Institutions (Lead and Collaborating Institutions) (20%)

	Criteria	Max Points
a	Track record or experience in (i) the subject of the research proposal; <u>or</u> (ii) research involving the GMS countries; <u>or</u> (iii) research on regional or subregional cooperation.	4
b	Adequate facilities to enable the conduct of the research (i.e., office space, meeting rooms, computers, printing and copying machines, etc.)	4
c	Provision of counterpart resources in cash or in-kind (e.g. administrative support staff services)	4
d	Association or networking with other GMS research institutions, universities or think tanks or similar institutions outside the GMS for the conduct of the research project	4
d	Clear delineation of responsibilities for supervision and management of the research.	4
	Total	20

B. Quality of the Research Proposal (40%)

		Max. Points
a	The research issue has a regional or subregional orientation or focus; <u>or</u> is consistent with the strategic thrusts of the GMS regional cooperation as embodied in the GMS Strategic Framework; <u>or</u> involves a national policy issue with regional or subregional implications.	8
b	The research proposal is in the nature of applied research and has practical relevance to policy, or will provide added value to the process of resolving a current issue or problem.	8
c	The proposed approach or methodology is appropriate and can be implemented within the time frame specified in the research timetable.	8
d	The proposal involves other GMS research institutions, think tanks or universities as collaborators.	8
e	The proposal has well-developed plans for dissemination of research results.	8
	Total	40

C. Qualifications of Researchers and Research Team (40%)
(Please attach curriculum vitae of researchers)

	Criteria	Max Points
a	The researchers have relevant educational qualification in the subject of the research proposal	10
b	The researchers have adequate and relevant experience or track record in the subject of the research proposal, <u>or</u> on the GMS, <u>or</u> on studies involving regional cooperation.	20
c	The leader of the research team (or principal researcher) must have held similar positions in past research projects, or must have administered or managed a research project in the past (in addition to having the relevant education and experience).	10
	Total	40

VIII. AMOUNT OF THE GRANT

17. The PPP research grant will be in the range of **\$15,000–\$20,000** for research projects to be conducted by a single institution.

18. However, to encourage collaboration among GMS research institutions on a given research project, the amount of the grant will be increased for proposals involving more than one institution from different GMS countries as follows:

- For two institutions, the range will be from **\$40,000 to \$50,000**;
- For three or more institutions, the range will be from **\$75,000 to \$100,000**.

19. For projects involving more than one institution, the research grant will be given to the **lead institution** who will be responsible for disbursing the funds to collaborating institutions.

20. Recipient institutions of the research grant must be able to provide counterpart resources (in kind or in cash) to complement the PPP research grant.

IX. PROGRESS REPORTING AND MILESTONES

21. There will be two key milestones for the project, namely:
- A first seminar to present the inception report for the research. The inception report would include the literature review; detailed methodology; dummy tables, statistical tests, survey instruments, sampling methods (as appropriate); and preliminary data/information collected. The seminar will be an opportunity to review the research plan and methodology. The first seminar should be held around the second month of the research project and will be organized by the PPP Secretariat.
 - A second seminar will be held by the end of the 10th month (March 2010) of the project to present the research findings and the draft report. The second seminar will provide the forum for peers to review and comment on the research; as well as for policy makers to be aware of the findings and its application to policy. The inputs from the second seminar should be considered in preparing the final report. The PPP Secretariat will organize this seminar.
22. The seminars will be organized by the PPP Secretariat in close cooperation with the beneficiary research institutions. The seminar will be funded from the PPP Research Program budget and will not be taken from the grant.

X. OWNERSHIP

23. The research project will be the intellectual property of ADB.
24. The beneficiary institutions are encouraged to publish or disseminate the research results with the proper citation of the ADB copyright.

XI. FINANCIAL GUIDELINES

A. Indicative Budget

25. The application for a research grant should be accompanied by an indicative budget using Form B1. A more detailed budget may be required if the application for the grant is approved.

B. Disbursement of the Research Grant

26. The research grant will be released in four tranches which are linked to specific milestones as indicated in the table below:

Tranche	Percent*	Milestone
First	20	Upon signing of the Letter of Agreement (LOA) signifying the approval of the research grant
Second	40	Upon presentation of the inception research report to a seminar organized by PPP Secretariat (first seminar)
Third	30	Upon presentation of the research findings and the draft report to a seminar organized by PPP Secretariat (second

		seminar)
Fourth	10	Upon submission of the final research report that is acceptable to PPP Review Committee
TOTAL	100	

* Percent of approved budget.

C. Ineligible expenditures

27. The following items of expenditures are not eligible to be funded under the grant:
- Desktop or laptop computers, printers, LCD projectors, fax machines, photocopying machines
 - Computer software
 - Salaries of researchers and administrative support staff. (Remuneration should be in the form of honorarium.)

D. Financial Reporting

28. A final financial report shall be submitted to the PPP secretariat within 30 days after the completion of the research project. The report shall be accompanied by a certification that the expenditures incurred and paid for are eligible expenditures, and that the financial statement is an extract of the accounting records of the organization, which has been or could be subject to audit by an independent external auditor(s) as the ADB may require.