

OVPAA Form 3.0  
**For BPhD/EIDR/ECWRG Applications**  
**Full Proposal Guidelines<sup>1</sup>**

Guidelines on completing the full proposal. Most of the information required will be the same as that of the capsule proposal. Shaded sections ask for more detail than the capsule concept proposal or are new sections.

(Please use font size 12, Times New Roman. Submit all required information and in the sequence and format indicated in these guidelines.) The full proposal must reflect the exchange of ideas on the capsule concept proposal between the reviewers and the proponent.

**1. Research proposal title and executive summary.**

- *Descriptive but concise; indicating the significance, general strategy and methods and expected outcomes of the proposal.*

**2. General and Specific aims.**

- *The General aims pertain to the entire program or project and not just to the component projects of a program (or the subprojects of a project), and summarize expected outcome(s) and the impact that the results of the proposed research will exert on the field(s) and on society.*
- *Specific aims pertain to projects of a program (or subprojects of a project), e.g., to test a stated hypothesis, create a novel design, solve a specific problem, address a critical barrier to progress in the field, develop new technology and/or business model, make a product.*

**3. Research strategy.** *For EVERY project in a multi-project proposal, organize the Research Strategy in the order specified below. There is no limit to the length of this section. The interactive relationship of projects should be clear.*

**a. INTRODUCTION**

**(a) Significance and broad impacts**

- *Describe the importance of the problem that the proposed project addresses.*
- *Explain how the proposed project will improve scientific knowledge, technical capability, culture, and practices, or solve a problem in society when the aims are achieved.*
- *Describe how the concepts, methods, or practices that drive this field or market segment will be changed if the proposed aims are achieved.*

**(b) Innovation and intellectual merit**

- *Explain how the application challenges and seeks to shift current paradigms and practices.*

<sup>1</sup> Adapted from the Emerging Interdisciplinary Research Program

- *Describe any novel theoretical concepts, approaches or methodologies, instrumentation or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or interventions.*
- *Explain any refinements, improvements, or new applications of theoretical concepts, approaches or methodologies, instrumentation, or interventions.*

**b. STRATEGY AND METHODOLOGIES**

- *Describe the overall strategy and the methodologies (with references) to be used to accomplish the specific aims of the project. Where applicable, include how data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate.*
- *Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the aims.*
- *Describe any strategy to establish feasibility (to complete the project within the proposed period), and address the management of any high risk aspects of the proposed work, especially if the project is in the early stages of development.*
- *Describe clearly the role and functions of the program operations manager in relation to the Main proponent, co-proponents, and various aspects of the proposal.*
- *Indicate any procedures, situations, or materials that may be hazardous to personnel and precautions to be exercised. Indicate ethics reviews and all permits required to pursue the projects.*
- *Describe how the project's results will be leveraged to obtain financing for the project's continuation beyond the duration of the grant.*

**c. GANTT CHART (1 Organizational Chart for a multi-project program proposal where the output of one project is the input of another should appear clearly in the Chart.)**

- *Include other types of relational diagrams, organizational and process charts, if necessary. Show clearly the activities and responsibilities of project proponents and time-lines.*

4. **Yearly Expected Results/Output of Project/Program.** List down and describe in detail all the expected results/output of the project/program.
- Yearly expected technical results, e.g., prototype, products, processes, protocols, policies, etc.*
  - Plans for yearly public dissemination of results, e.g., academic publications (in high- quality international peer-reviewed journals), patent application, copyright, primers, manuals, popular feature articles, e-learning materials (videos, audios)*
5. **Other funding.**
- List other existing funded projects related to this project: program or project title, proponents and collaborators, funding source, amount of funding, funding period.*
  - Explain clearly how this proposal relates to the above funded projects.*

6. **Bibliography.** List of references used in the preparation of this document (including the Review of Literature). (PubMed format)
7. **Proponent profiles.** Each proponent (main and co-proponents, operations manager) submits a Biosketch (maximum 2 pages) containing the following:
  - a. *Educational background (BS, MS, PhD, postdoctoral training): degree, major or specialization, university, graduation/completion date*
  - b. *One paragraph written by each proponent explaining why he/she is competent to be a proponent of this proposal.*
  - c. *List of at 5-8 publications of the proponent that demonstrate the expertise and competence of the proponent to conduct the research.*
  - d. *State any or no personal or group conflicts of interest in conducting this research.*
  - e. *Suggest local and international experts who can serve as external reviewers of this proposal; indicate those who should not review the proposal.*

8. **Budget.** This should not exceed the maximum amount indicated in the BPhD Implementing Guidelines. The budget must be well planned and refined.
  - a. *Realistic estimates and justifications for personnel compensation (based on expertise and % effort/time contribution to the projects), equipment and operating expenses must be presented.*
  - b. *Prepare a list of existing equipment and facilities (in the home unit, other UP units or outside UP) accessible to the research group, allocate rental or user fees, if necessary. This form must be signed certified by the Director/Department Chair/Supervisor of the facility.*
  - c. *Budget must include expenses for publication, public dissemination and IP protection.*
  - d. *Administrative costs are not considered and must be borne by the proponent's unit as counterpart funding.*

9. **Other project information.** Indicate if there is proprietary information on the project, foreign activities and collaborators and a sustainability plan.

## 10. Attachments

- a. **Thorough Review of Literature (Review for a multi-project proposal organized in sections)**
- b. **Net Present Value/Market Study (for business projects).** A business plan and market study is required for the full proposal.
- c. **Preliminary Studies as basis for New Applications:** If possible, provide a copy of each of 1 to 3 model papers, articles, or product descriptions made by others that are closest to the proposed idea. Discuss preliminary studies or experiences of the proponent(s) pertinent to this application. Present preliminary data, product diagrams, product designs, software algorithms, etc.
- d. **Facilities and equipment.** Indicate information on required certifications and list of available facilities and equipment.



CONFIDENTIAL

Title of project:

\*should accompany every proposal form

OVPAA-BhD Form 3.2  
For Balik-PhD Applications  
**Full Proposal Form**

Title of Project:

**I. EXECUTIVE SUMMARY** (*concise description of the proposed research, not more than 1 page*)

**II. GENERAL AND SPECIFIC AIMS** (*Not more than 1 page*)

**III. RESEARCH STRATEGY AND METHODOLOGIES** (Gantt Charts & Other Schemes)  
*(There is no limit to the length of this section.)*

**IV. YEARLY EXPECTED RESULTS/OUTPUT OF PROJECT/PROGRAM** (*List down and describe in detail all the expected results/output of the project/program.*)

- |   |  |                                 |
|---|--|---------------------------------|
| <input type="checkbox"/> Publications application/    | <input type="checkbox"/> Output with societal impact     | <input type="checkbox"/> Patent |
| <input type="checkbox"/> Other academic output: _____ | <input type="checkbox"/> public good/public service      | Intellectual                    |
|   | <input type="checkbox"/> private good/private enterprise | Assets                          |

Year	Technical Results	Public Dissemination of Results
Year 1		
Year 2		

**V. OTHER FUNDING**

**VI. BIBLIOGRAPHY** (*for Introduction and Review of Literature*)

Title of Project:			
<b>VII. PROPONENT PROFILES (Biosketch) &amp; ROLES</b>			
Proponent information 1			
<input type="checkbox"/> Main Proponent <input type="checkbox"/> Programs Operations Manager <input type="checkbox"/> Co-Proponent			
Last Name:	First name:	MI:	
Position Title:	Highest Degree:	Specialization:	
CU:	College:	Dept/Inst:	
Residential Address:			
Phone/Fax:	Mobile No.:	Email:	
Project Role:			
Education			
Degree	Specialization	University	Year of Completion
Biosketch			
Prepare a paragraph to explain why you are the best person <i>for the</i> project. <i>Young proponents (new PhDs) must provide evidence of appropriate experience and training. Experienced proponents must demonstrate a record of ongoing achievement.</i>			
List of 5-8 most relevant publications, patents, or other work.			
List activities and responsibilities in the program/project. Include % time/effort in the program/project including time management in relation to current activities/commitments in UP.			

Title of Project:

**VIII. BUDGET**

**SAMPLE**

**LINE-ITEM BUDGET**

**Project Leader:**

**Project Title:**

**Project Duration:**

Start Date:

End date:

Item	Monthly rate	Months in project	UP System Funding (Balik-PhD Budget)		CU counterpart	
			Year 1	Year 2	Year 1	Year 2
<b>DIRECT COST</b>						
<b>PERSONAL SERVICES</b>						
Honoraria						
Project Leader (Max of 12,000/Month)	12,000.00	24	144,000.00	144,000.00		
<b>TOTAL PS</b>			<b>144,000.00</b>	<b>144,000.00</b>		
<b>EQUIPMENT OUTLAY<sup>1</sup></b>						
Desktop PC (i7, 2GB memory, 6 USB ports, 1TB hard drive, 21.5 LED monitor, with Windows 8 pro, MS Office), laserjet printer			70,000.00			
HydroMet Station Set-up: water level, soil moisture sensors, adaptation to current available equipment of PAGASA and NIA (SIAP + MICROS DA15K Data logger (1 station)			824,864.00			
Solar Panel Back-up power source (at least 1; Php 120,000/station) (1 station in the PAGASA San Fernando station office)			547,136.00			
<b>TOTAL EO</b>			<b>1,442,000.00</b>			



Title of Project:						
Item	Monthly rate	Months in project	UP System Funding (Balik-PhD Budget)		CU counterpart	
			Year 1	Year 2	Year 1	Year 2
<b>MAINTENANCE AND OTHER OPERATING EXPENSES</b>						
Salaries of Project Research Assistant <sup>2</sup>	23,928.00	24	287,136.00			
Contractual services <sup>2</sup> (e.g. Project support staff, graduate/student assistants, laboratory aide etc.)						
Traveling Expenses – Foreign <sup>3</sup> (e.g. RT airfare for participation and presentation in international conferences or visit to collaborators abroad, daily subsistence economy allowance, terminal fee; visit of foreign collaborators to UP – RT airfare and living allowance, etc) Example: -Presentation in International Conference AGU -Presentation in Asian Conference (Japan)			100,000.00	100,000.00		
Traveling Expenses – Local (e.g. airfare/inland expenses for travel to project site or visits to collaborators, per diem, etc.)			50,000.00	50,000.00		
Training and Seminar Expenses (e.g. registration fees for training, conference, seminar, abstract submission fee etc.)			20,000.00	20,000.00		
Office supplies (e.g. A4 paper, ink cartridges, folders, etc.)			20,000.00	20,000.00		
Laboratory supplies (e.g. software, hard drives, 3G signal subscription (Php500/month), etc.)			50,000.00	50,000.00		

Title of Project:						
Item	Monthly rate	Months in project	UP System Funding (Balik-PhD Budget)		CU counterpart	
			Year 1	Year 2	Year 1	Year 2
Repair and Maintenance (e.g. service contracts for repairs/maintenance of laboratory equipment, computer hardware, office equipment, etc.)			10,000.00	10,000.00		
Analytical services (e.g. for use of other equipment in another laboratory/facility, fees for laboratory analyses etc. mostly water quality)			100,000.00	100,000.00		
Printing and Binding Expenses (e.g. for reproducing, printing, and binding materials such as reports, catalogues, documents and other reading materials)			5,000.00	5,000.00		
Expert services, professional or outsourcing fees (Honorarium for expert) (e.g. for the services of individual/private companies, or other government agencies hired to undertake a specific work or job requiring special or technical skills not available in the concerned agency)			20,000.00	20,000.00		
Representation Expenses (e.g. for meetings etc.)			10,000.00	10,000.00		
<b>TOTAL MOOE</b>			<b>385,000.00</b>	<b>385,000.00</b>		
<b>INDIRECT COST</b>						
Utilities (electricity, water)					50,000.00	50,000.00
Facilities and laboratory space					50,000.00	50,000.00
Administrative staff					30,000.00	30,000.00
<b>Sub-total</b>			<b>1,971,000.00</b>	<b>529,000.00</b>	<b>130,000.00</b>	<b>130,000.00</b>
<b>Total Indirect Cost</b>					<b>260,000.00</b>	
<b>TOTAL BUDGET</b>			<b>2,500,000.00</b>			

<sup>1</sup>Indicate specifications or technical details of each equipment

<sup>1</sup>If the item is >₱15,000.00 per unit, it will be considered EO.

<sup>2</sup>Use the latest DOST salary rates

<sup>3</sup>Maximum of 2-3 trips/conferences per year; maximum allotment foreign travel is ₱150,000.00 per year

Title of Project:

**IX. OTHER PROJECT INFORMATION** (*ensure completeness of this section*)

Is proprietary information/privileged information included in the application?

- Yes                       No

*(Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project. If the application includes such information, check yes and clearly mark each line or paragraph on the pages containing the proprietary/privileged information with a legend similar to: "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.)*

Does this project involve activities outside the Philippines or foreign collaborators?

- Yes: From where? \_\_\_\_\_  
 No

Sustainability plan. Describe how the project will be sustained beyond the duration of the grant.

Information on the organization, communications, and operations management plans, and documents pertaining to technology transfer, intellectual property and business development may be required in the full proposal. The precise requirements will be determined on a case-to-case basis.

Facilities and other resources (Attach as Annex D)

*(This information is used to assess the capability of the organizational resources available to perform the effort proposed. Identify the facilities to be used: Laboratory, Animal, Computer, Office, Clinical and Other. If appropriate, indicate their capacities, pertinent capabilities, relative proximity and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the Other Resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project.)*

Title of Project:

Certifications required (Attach as Annex E)

- Ethics review for use of human samples, animal testing, etc.
- Permits for bioprospecting activities and sample collection
- Institutional biosafety certificates, PNRI certificates, etc.
- Others: \_\_\_\_\_

**IX. ATTACHMENTS**

- Annex A. Thorough Review of Literature (Review of literature for a multi-project proposal)
- Annex B. Net Present Value/Market study (For business projects only)
- Annex C. Preliminary studies (for new applications, see guidelines)
- Annex D. List of facilities and available equipment for the project
- Annex E. Required certifications

**GANTT CHART**

Project Title: _____										
Total Duration (in months): _____				Planned Start: Month _____ Year _____				Planned End: Month _____ Year _____		
Objectives	Expected Output	Activities or Workplan	Year 1				Year 2			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

\* Quantify if possible, e.g. Improved yield (quantify/volume/ unit/area). Compare with existing technologies.

OVPAA-BPhD 3.3  
Balik-PhD Applications  
**Equipment Form**

**EQUIPMENT**

*(List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities.)*

Equipment	Capability	Location/Facility
1.		
2.		
3.		
4.		

**CERTIFICATION**

This is to certify that the above equipment are available in our unit for use of the (Proponent) for the project (Title). It is understood that rental/user fees may be collected from the researchers.

_____	_____	_____
Name & Signature Supervisor of Facility	Name of Unit/Facility	Date

**OVPAA-BPhD Form 3.4  
Balik-PhD Applications  
Full Proposal Checklist\***

<b>Title of the project:</b>	<b>OVPAA-BPhD Code:</b>
<p><b>Documents submitted:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> OVPAA-BPhD Form 3.1 Full Proposal Cover fully endorsed by the Constituent University</li> <li><input type="checkbox"/> OVPAA-BPhD Form 3.2 Full Proposal Form             <ul style="list-style-type: none"> <li><input type="checkbox"/> Executive Summary</li> <li><input type="checkbox"/> General and Specific Aims</li> <li><input type="checkbox"/> Research Strategy and Methodologies</li> <li><input type="checkbox"/> Gantt /Organizational Chart</li> <li><input type="checkbox"/> Yearly expected results</li> <li><input type="checkbox"/> Budget</li> <li><input type="checkbox"/> Line-item Budget</li> <li><input type="checkbox"/> Other project information</li> </ul> </li> <li><input type="checkbox"/> Attachments             <ul style="list-style-type: none"> <li><input type="checkbox"/> Thorough Review of Literature</li> <li><input type="checkbox"/> Net Present Value/Market study for business projects only)</li> <li><input type="checkbox"/> Preliminary studies</li> <li><input type="checkbox"/> List of facilities, equipment and certificates</li> </ul> </li> <li><input type="checkbox"/> OVPAA-BPhD Form 3.3 Equipment Form</li> </ul>	
<p><b>Certification:</b></p> <p style="text-align: center;">I certify to the completeness of the submitted Balik-PhD Full Proposal.</p> <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;"> <hr style="width: 30%; margin: 0 auto;"/> <p>Name/ Signature of Main Proponent</p> </div> <div style="text-align: center;"> <hr style="width: 30%; margin: 0 auto;"/> <p>Date</p> </div> </div>	

**NOTE:** Please check the items/documents submitted for the Full Proposal. Please ensure completeness of proposal as this will be evaluated as submitted.