OVPAA-BPhD Form 8.1

For Balik-PhD Applications

**Capsule Proposal Guidelines[[1]](#footnote-1)**

Guidelines on completing the capsule proposal

(Please use font size 11, Arial)

1. **Research proposal title and executive summary**. (maximum of 1 page)

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

1. **General and specific aims**. (maximum of 1 page)

* *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/ product and/or community impact/ economic/ sustainability model*

1. **Research strategy.** Organize the Research Strategy in the order specified below. Maximum of 6 pages even for a multi-project program proposal. Nonetheless, the relationship of a sub-project with another should be clear.
   1. **INTRODUCTION**
2. 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.*

1. Innovation and intellectual merit

* *Explain how the application challenges and seeks to shift current paradigms and practices.*
* *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 how the research work can enhance a process, product, or service and improve people’s economic conditions, attitudes, and behaviors.*
  1. **STRATEGY AND METHODOLOGIES**
* *Describe the overall strategy and the general methodologies 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.*
* *Describe project alignment with Unit’s agenda and programs*
* *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.* 
  1. **GANTT CHART (1 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.*

1. **Yearly Expected Results/Output of Project/Program.**List down and describe in detail all the expected results/output of the project/program.
   1. *Yearly expected technical results, e.g., prototype, products, processes, protocols, policies, etc.*
   2. *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)*
2. **Other project information.** Indicate if there is proprietary information on the project and include facilities, required certification and list of equipment.
3. **Other funding**.
   1. List other existing funded projects related to this project: program or project title, proponents and collaborators, funding source, amount of funding, funding period.
   2. Explain clearly how this proposal relates to the above funded projects.
4. **Proponent profiles.** Each proponent (main and co-proponents, operations manager) submits a Biosketch (maximum 2 pages) containing the following:
   1. *Educational background (BS, MS, PhD, postdoctoral training): degree, major or specialization, university, graduation/completion date*
   2. *One paragraph written by each proponent explaining why he/she is competent to be a proponent of this proposal.*
   3. *List of publications (with DOIs) of the proponent (highlighting the minimum 5/ 8/ 10 publications for aProf/ AProf/ Prof ranks) that demonstrate the expertise and competence to conduct the research.*
   4. *State any or no personal or group conflicts of interest in conducting this research.*
   5. *Suggest local and international experts who can serve as external reviewers of this proposal; indicate those who should not review the proposal.*
5. **Bibliography.** List of references used in the preparation of this document (including the Review of Literature). (PubMed format)
6. **Attachments**
   1. ***Review of Literature (1 Review for a multi-project proposal)***
   2. ***Net Present Value (for business projects).****Include a projection of net present value for the capsule proposal. A detailed business plan and market study will be required for the full proposal.*
   3. ***Facilities and equipment.*** *Include list of available facilities and equipment*
   4. ***Certifications required.*** *Indicate information on required certifications*

OVPAA-BPhD Form 8.2

**For Balik-PhD Applications**

**Capsule Concept Proposal Cover\***

| Title of project: | | | | |
| --- | --- | --- | --- | --- |
| Type of submission  • New proposal • Revised proposal | | | | |
| Date submitted: | | | Date received by OVPAA: | |
| Main Proponent identifier number: | | | OVPAA identifier number: | |
| Main Proponent information: | | | | |
| Last Name: | First name: | | | MI: |
| Position Title: | Highest Degree: | | | Specialization: |
| CU: | College: | | | Dept/Inst: |
| Address:  Phone/Fax: Email: | | | | |
| Proposed length of program: • 1 year • 2 years | | | | |
| Project site location:  Implementing:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Cooperating: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | |
| Endorsements: | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Director/Dept. Chair | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Dean | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Vice Chancellor for Research/  Dev’t/Extension | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Chancellor | | |

\*should accompany every proposal form

OVPAA-BPhD Form 8.3

**Balik-PhD Applications**

**Capsule Concept Proposal Form**

| *RESEARCH PROJECT TITLE* | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **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)  (*maximum of 6 pages total even for a multi-project program proposal)* | | | | | | | |
| **IV. YEARLY EXPECTED RESULTS/OUTPUT OF PROJECT/PROGRAM**  *(List down and describe in detail all the expected results/output of the project/program.)*  • Publications • Output with societal impact • Patent application/  • Other academic output: • public good/public service Intellectual Property  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ • private good/private enterprise Assets | | | | | | | |
| Year | Technical Results | | | | Public Dissemination of Results | | |
| Year 1 |  | | | |  | | |
| Year 2 |  | | | |  | | |
|  |  | | | |  | | |
| **V. 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.)* | | | | | | | |
| 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:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| **VI. OTHER FUNDING** | | | | | | | |
| **VII. BIBLIOGRAPHY** (*for Introduction and Review of Literature*) | | | | | | | |
| **VIII. PROPONENT PROFILES (Biosketch) & ROLES** | | | | | | | |
| Proponent information 1  • Main Proponent • Programs Operations Manager • Co-Proponent | | | | | | | |
|  | | | | | | | |
| Last Name: | | | First name: | | | MI: | |
| Position Title: | | | Highest Degree: | | | Specialization: | |
| CU: | | | College: | | | Dept/Inst: | |
| Address:  Phone/Fax: Email: | | | | | | | |
| Project Role: | | | | | | | |
| Education | | | | | | | |
| Degree | | Specialization | | University | | | Year of Completion |
| Biosketch  Prepare a paragraph to explain why you are the best person *for the* project*. Young proponents (new PhDs) must provide evidence of appropriate experience and training. Experienced proponents must demonstrate a record of ongoing achievement*. | | | | | | | |
| List of publications (with DOIs) in international peer-reviewed journals, books, etc. (Highlight the minimum 5/ 8/ 10 relevant publications for aProf/ AProf/ Prof ranks) that demonstrate the expertise and competence to conduct the research. | | | | | | | |
| 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. | | | | | | | |
| **IX. ATTACHMENTS**  Annex A. Review of literature (*1 Review of literature for a multi-project proposal.*)  Annex B. Net present value (*For business projects only*)  Annex C. Facilities and other resources  Annex D. Certifications required | | | | | | | |

OVPAA-BPhD Form 8.4

**Balik-PhD Applications**

**Proposed Budget (SAMPLE)**

|  |  |  |  |
| --- | --- | --- | --- |
| Item | Monthly rate | Months in project | Year budget |
| PERSONNEL (project role)[[2]](#footnote-2) |  |  |  |
| Project leader [[3]](#footnote-3) |  |  |  |
| Personnel Sub-total |  |  |  |
| EQUIPMENT description |  |  |  |
|  |  |  |  |
| Equipment Sub-total |  |  |  |
| OPERATING EXPENSES |  |  |  |
| Travel |  |  |  |
| Postdoctoral fellows/  Balik UP Professors |  |  |  |
| MS and PhD stints in foreign laboratories |  |  |  |
| Attendance at international conferences |  |  |  |
|  |  |  |  |
| Other Direct Costs |  |  |  |
| Materials and supplies |  |  |  |
| Publication costs |  |  |  |
| Consultant services |  |  |  |
| Computer services |  |  |  |
| Subawards/Consortium costs/Contractual costs |  |  |  |
| Rental/User/outsourcing fees |  |  |  |
| Alterations and renovations |  |  |  |
| Other item1 |  |  |  |
| Other item2 |  |  |  |
|  |  |  |  |
| Indirect Costs[[4]](#footnote-4) |  |  |  |
| Project staff |  |  |  |
| Operating expenses Sub-total |  |  |  |
| TOTAL |  |  |  |

1. Adapted from the Emerging Interdisciplinary Research Program [↑](#footnote-ref-1)
2. This must be clearly indicated in the Proponent Profiles and Roles (Section VI). [↑](#footnote-ref-2)
3. For *New PhD research project*s, the principal investigator is considered the Project Leader. [↑](#footnote-ref-3)
4. Administrative costs are not considered; this expense should be the unit’s counterpart [↑](#footnote-ref-4)