OVPAA-BPhD Form 8.5

**For Balik-PhD Applications**

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

Guidelines on completing the full proposal. Most of the information required will be the same as that of the capsule proposal (OVPAA-BPhD Form 8.3). 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.*

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

1. **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.
   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, from the perspective of the target beneficiaries*
* *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 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.*
* *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 the expected community impact and 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 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.*

1. **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 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.*
3. **Bibliography.** List of references used in the preparation of this document (including the Review of Literature). (PubMed format)
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. **Budget.** This should not exceed the maximum amount indicated in the BPhD Implementing Guidelines. The budget must be well planned and refined.
   1. *Realistic estimates and justifications for personnel compensation (based on expertise and % effort/time contribution to the projects), equipment and operating expenses must be presented.*
   2. *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 and certified by the Director/Department Chair/Supervisor of the facility.*
   3. *Budget must include expenses for publication, public dissemination and IP protection.*
   4. *Administrative costs are not considered and must be borne by the proponent’s unit as counterpart funding.*
6. ***Other project information.*** Indicate if there is proprietary information on the project, foreign activities and collaborators and a sustainability plan.
7. **Attachments**
   1. ***Thorough Review of Literature (Review for a multi-project proposal organized in sections)***
   2. ***Net Present Value/ Market Study (for business projects).*** *A community impact plan/ economic/ sustainability plan and market study is required for the full proposal.*
   3. ***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.*
   4. ***Facilities and equipment.*** *Indicate information on required certifications and list of available facilities and equipment.*

OVPAA-BPhD Form 8.6

Balik-PhD Applications

**Full Proposal Cover\***

| Title of project: | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Type of submission:  First/New proposal • Revised proposal • Renewal | | | | | | Date (capsule concept proposal) selected for development into a full 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: |
| Residential Address:  Phone/Fax: Mobile No.: Email: | | | | | | | |
| Proposed length of program: | | | | | | | |
| Project site location:  Implementing: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Cooperating: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| Suggested External Peer Reviewers: | | | | | | | |
| Name  1.  2.  3. | | | Affiliation | | | Contact information | |
| Endorsements: | | | | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Director/Dept. Chair | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Dean | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Vice Chancellor  for Research/Devt/Extension | | | | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Chancellor | | | |
| Action by VPAA:  □ Approved □ For Revision  Notes: | | | | | | | |

\*should accompany every proposal form

OVPAA-BhD Form 8.7

For Balik-PhD Applications

**Full 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)  *(There is no limit to the length of this section.)* | | | | | | | | | | | | |
| **IV. EXPECTED RESULTS/OUTPUT OF PROJECT/PROGRAM *(****List down and describe in detail all the expected results/output of the project/program.)*     2 full research articles/papers in Web of Science-indexed/ Scopus-listed journals (indexed/listed at time of publication) co-authored with mentored students   Book or book chapter published by an academic press or reputable publisher, co-authored with mentored students   Invention disclosure/Patent or patent application/Intellectual property assets   Output with societal impact (public good/public service, private good/private enterprise)   Other academic outputs: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (including mentoring of undergraduate/graduate students) | | | | | | | | | | | | |
| Year | Technical Results | | | | | | Public Dissemination of Results | | | | | |
| Year 1 |  | | | | | |  | | | | | |
| Year 2 |  | | | | | |  | | | | | |
| V. OTHER FUNDING | | | | | | | | | | | | |
| VI. BIBLIOGRAPHY (*for Introduction and Review of Literature*) | | | | | | | | | | | | |
| **VII. 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: | | | |
| Residential Address: | | | | | | | | | | | | |
| Phone/Fax: | | | | Mobile No.: | | | | | | Email: | | |
| Project Role: | | | | | | | | | | | | |
| Education | | | | | | | | | | | | |
| Degree | | Specialization | | | | University | | | | | Year of Completion | |
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| 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*. | | | | | | | | | | | | |
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| 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. | | | | | | | | | | | | |

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| **VIII. BUDGET** | **LINE-ITEM BUDGET** | | | | |
| **Title of the project:** |  | | | | |
| **Project Duration:** |  | | | | |
| **Main Proponent:** |  | | | | |
| **I. PERSONAL SERVICES** | | **Counterpart Funding[[2]](#footnote-2)** | **UP System Funding** | | |
| **Monthly Rate** | **Year 1** | **Year 2** |
| PERSONNEL (project role)1 | |  |  |  |  |
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| **TOTAL FOR PS** | |  |  |  |  |
| **II. MAINTENANCE AND OPERATING EXPENSES** | |  |  |  |  |
| **DIRECT COST** | |  |  |  |  |
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| **INDIRECT COST** | |  |  |  |  |
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| **TOTAL FOR MOE** | |  |  |  |  |
| **III. EQUIPMENT OUTLAY[[3]](#footnote-3)** | |  |  |  |  |
| (Specify equipment) | |  |  |  |  |
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| **TOTAL FOR EO** | |  |  |  |  |
|  | | **PhP** |  | **PhP** | **PhP** |
| **GRAND TOTAL** | | **PhP** |  | **PhP** | |

\*note:

- Maximum P12,000 honorarium for project leader

- If the items is less than 15,000.00 it will considered MOOE

- For the salary of the Project staff, use the DOST rate

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| **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.)* |
| 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:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

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| **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: | | | | | | | | | | | |
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| Total Duration (in months): \_\_\_\_\_\_\_\_\_\_\_\_ | | | Planned Start: Month\_\_\_\_\_\_\_\_\_\_ Year\_\_\_\_\_\_\_\_\_ | | | | Planned End: Month\_\_\_\_\_\_\_\_\_\_ Year\_\_\_\_\_\_\_\_\_ | | | | |
| **Objectives** | **Expected Output** | **Activities or Work Plan** | **Year 1** | | | | **Year 2** | | | | |
| **Q1** | **Q2** | **Q3** | **Q4** | | **Q1** | **Q2** | **Q3** | **Q4** |
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\* Quantify if possible, e.g. Improved yield (quantify/volume/ unit/area). Compare with existing technologies.

OVPAA-BPhD 8.8

Balik-PhD Applications

**Equipment Form**

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| --- |
| **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 is 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 Name of Unit/Facility Date  Supervisor of Facility |

OVPAA-BPhD Form 8.9

**Balik-PhD Applications**

**Full Proposal Checklist\***

|  |  |
| --- | --- |
| **Title of the project:** | **OVPAA-BPhD Code:** |
| **Documents submitted:**  □ OVPAA-BPhD Form 8.6 Full Proposal Cover fully endorsed by the Constituent University    □ OVPAA-BPhD Form 8.7 Full Proposal Form  □ Executive Summary  □ General and Specific Aims  □ Research Strategy and Methodologies  □ Gantt /Organizational Chart  □ Yearly expected results  □ Budget  □ Line-item Budget  □ Other project information    □ Attachments  □ Thorough Review of Literature  □ Net Present Value/Market study for business projects only)  □ Preliminary studies  □ List of facilities, equipment, and certificates    □ OVPAA-BPhD Form 8.8 Equipment Form | |
| **Certification:**  I certify the completeness of the submitted Balik-PhD Full Proposal.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name/ Signature of Main Proponent Date | |

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

1. Adapted from the Emerging Interdisciplinary Research Program [↑](#footnote-ref-1)
2. 1 This must be clearly indicated in the Proponent Profiles and Roles (Section VI).

   from Implementing Unit or other fund sources [↑](#footnote-ref-2)
3. indicate also equipment available for use of the project [↑](#footnote-ref-3)