



DOST Form 3  
NON-R&D PROJECT PROPOSAL  
(Technology Transfer, S&T Promotion and Linkages, Policy Advocacy,  
Provision of S&T Services, Human Resource Development and Capacity-Building)

I. PROJECT PROFILE

(1) Program Title:  
Project Title:

(2) Project Leader/Sex:  
Agency (smallest unit):  
Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region):

(3) Cooperating Agency/ies (Name/s and Address/es):

(4) Implementing Agency (Municipality / District / Province / Region)  
Base Station: \_\_\_\_\_  
Other Implementation Site (s): \_\_\_\_\_

(5) Project Duration (number of months): \_\_\_\_\_  
Project Start Date:  
Project End Date:

(6) Total Project Cost: \_\_\_\_\_ (indicate Counterpart Funds; use Form 4 for the Line-Item Budget)

Implementing Agency/ies	PS	MOOE	EO	Total
A. Requested Fund				
B. Counterpart Fund 1				
C. Counterpart Fund 2				
TOTAL				

II. PROJECT SUMMARY

(7) Executive Summary (not to exceed 200 words)

(8) Introduction (Not to exceed 15 pages)

Rationale/Significance (Not to exceed 300 words)  
  
Objectives (General and Specific):  
  
For startups:  
a. Product Demand (Benchmarks and Baselines)  
b. Market Analysis  
c. Company Description  
d. Business Model  
e. Other products/services that are offered and will be offered by the start-up (Product line)  
  
Methodology:  
a. Technology Description  
b. Value Proposition  
c. Marketing and Sales strategies including target customer segments and marketing channels  
d. Organizational Structure of the Start-Up  
e. Cost and Return Analysis/Financial Projections/Revenue Streams  
f. Risks Analysis  
  
Expected Outputs (6Ps):  
  
Potential Outcomes:

Potential Impacts (2Is):

Discussion on the results of related project handled by the same proponent (if any):

Target Beneficiaries:

Sustainability Plan (if applicable):

Gender and Development (GAD) Score (refer to the attached GAD checklist):

(9) Workplan (See Form 5)

(10) Project Management (not to exceed one page)

III. OTHER SUPPORTING DOCUMENTS REQUIRED (Please refer to page 2 for the additional necessary documents.)

**DOST Form 3**  
**NON-R&D PROJECT PROPOSAL**

**I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the non-R&D proposal and other applicable supporting documents required under item III below. Also, submit four (4) copies of the proposal together with its supporting documents. Use Arial font, 11 font size.

**II. Operational Definition of Terms:**

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

**Program-** refers to a group of interrelated or complementing S&T projects that require an interdisciplinary or multidisciplinary approach to meet established goal(s) within a specific time frame.

**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.

**2. Project Leader-** refers to a project's principal researcher/implementer.

**Agency-** the institution of the Project Leader.

**Smallest Unit of an Agency-** refers to a Section, Division, Department or College provided that the Project Leader directly reports to the Head of said Section, Division, Department or College.

**3. Cooperating Agency/ies-** refers to the agency 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.

**4. Implementing Agency-** the primary organization involved in the execution of a program/project which can be a public or private entity

**Site/s of Implementation-** location/s where the project will be conducted. Indicate the barangay, municipality, district, province, region, and country.

**5. 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.

**6. Project Cost-** refers to the amount or budget requested by the Implementing/Monitoring Agency and/or approved by the Funding Agency.

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

**8. 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.

**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.

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

**Methodology-** discusses 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).

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

*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.

*Patent/Intellectual Property-* proprietary invention or scientific process for potential future profit.

*Product-* invention with a potential for commercialization.

*People Service-* people or groups of people, who receive technical knowledge and training.

*Place and Partnership-* linkage forged because of the study.

*Policy-* science-based policy crafted and adopted by the government or academe as a result of the study.

**Potential Outcomes-** refer to the result that the proponent hopes to deliver three (3) years after the successful completion of the project.

**Potential Impacts**

*Social Impact*- refers to the effect or influence of the project to the reinforcement of social ties and building of local communities.

*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.

**Target Beneficiaries**- refers to groups/persons who will be positively affected by the conduct of the project.

**Sustainability plan**- refers to the continuity of the project or how it shall be operated amidst financial, social, and environmental risks.

**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.

**9. Workplan**- refers to the plan of completing the project within a given time and in compliance to the set budget.

**10. Project Management**- includes discussion on the organizational set-up by which the project shall be implemented, and also on the monitoring scheme to be done by the Project Leader to ensure objectives are attained. Not to exceed one (1) page.

### III. Other supporting documents required (as stated in Section VII of DOST A.O. No. 011, Series of 2020 – Revised Guidelines for the Grants-in-Aid Program):

1. Detailed breakdown of the required fund assistance to indicate the counterpart of the proponent and other fund sources including letter/s of commitment from the implementing, collaborating and coordinating agency/entity/ies;<sup>1</sup>
2. A counterpart fund, in kind and/or in cash, shall be required from the implementing agency/entity as one of the application requirements. All projects must have a minimum of 15% counterpart contribution except for projects involving public good;<sup>1</sup>
3. Curriculum Vitae or Personal Data Sheet (PDS) of Project Leader and other co-researchers/implementers. The service record may be requested if needed;<sup>1</sup>
4. Clearance from the DOST or the Funding Agency (e.g., DOST Councils) on previously funded completed projects handled by the Project Leader;<sup>1</sup>
5. Approval from the institution's ethics review board for research involving human subjects or in the case of animal subjects, approval from the Bureau of Animal Industry (BAI) (for PCAARRD- and PCHRD-monitored projects);
6. Clearance from the DOST Biosafety Committee (DOST-BC) shall be required for research proposals involving the use of GMOs under contained use (i.e., experiments done in laboratories, screen house, green house). For projects other than contained use, they shall be referred to the appropriate agency. The DOST Sectoral Councils, after determination as to whether or not the proposal has biosafety implications, shall endorse the same to the DOST-BC in accordance with the prescribed format under Annex 3 of the Philippine Biosafety Guidelines for Contained Use of Genetically Modified Organisms (series of 2014) (if applicable); and
7. For the private non-profit/non-government/people's organizations and startups:
  - a. Up-to-date Securities and Exchange Commission (SEC) registration, or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents;
  - b. Co-signers Statement (if applicable);
  - c. Copy of latest Income Tax Return;
  - d. Mayor's permit where the business is located;
  - e. Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with operation of less than 3 years, for the years in operation and proof of previous implementation of similar projects (or in the case of startups, at least for one (1) year);
  - f. Document showing that NGO/PO has equity to 20 percent of the total project cost, which shall be in the form of labor, land for the project site, facilities, equipment and the like, to be used in the project;
  - g. Disclosure of other related business, if any;
  - h. List and/or photographs of similar projects previously completed, if any, indicating the source of funds for implementation;
  - i. Sworn affidavit of secretary of the NGO/PO that none of its incorporators, organizers, directors or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
8. For CSOs, compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations (CSOs); and
9. For foundations, DOST certification as accredited by the Science and Technology Foundation Unit

<sup>1</sup> required of all proposals

### IV. Criteria for Evaluation:

#### A. Criteria for Evaluating Proposals

Criterion	Definition
Relevance or Significance	Aligned to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development
Technical / Scientific Merit	Sound scientific basis to generate new knowledge or apply existing knowledge in an innovative manner
Budget Appropriateness	The proposed budget is commensurate to the proposed work plan and deliverables.
Competence of Proponent	Proponent's expertise is relevant to the proposal and with proven competence to implement, manage and complete R&D programs/projects within the approved duration and budget.

B. Governing Council / Board and EXECOM's Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5
	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5

C. Additional Criteria on Gender and Development (GAD)