

REFERENCES

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Appendix A

PUP PHILOSOPHY, MISSION, VISION AND GOALS

The PUP Philosophy

As a state university, the Polytechnic University of the Philippines believes that:

1. education is an instrument for the development of the citizenry and for the enhancement of nation building; and
2. that meaningful growth and transformation of the country are best achieved in an atmosphere of brotherhood, peace, freedom, justice and nationalist-oriented education imbued with the spirit of humanist internationalism.

Mission

On the strength of this guiding philosophy and under the guidance of Divine Providence, the University commits itself to:

1. democratize access to educational opportunities;
2. promote science and technology consciousness and develop relevant expertise and competence among all members of the academe, stressing their importance in building a truly independent and sovereign Philippines;
3. emphasize the unrestrained and unremitting search for truth and its defense, as well as the advancement of moral and spiritual values;
4. promote awareness of our beneficial and relevant cultural heritage;
5. develop in the students and faculty self-discipline, love of country and social consciousness and the need to defend human rights;
6. provide its students and faculty with a liberal arts-based education essential to a broader understanding and

appreciation of life and to the total development of the individual;

7. make the students and faculty aware of technological, social as well as politico-economic problems and encourage them to contribute to the nationalist industrialization and overall economic development of the country; and
8. use and propagate the national language and other Philippine languages and develop proficiency in English and other foreign languages required by the students' fields of specialization.

Vision

Towards a Total University

Goals

Reflective of the emphasis given by the country's leadership to the alleviation of the plight of the poor, the development of the citizens and of a globally competitive national economy, the University shall commit its academic and manpower resources to achieve its goals through:

1. provision of undergraduate and graduate education which meet international standards of quality and excellence;
2. generation and transmission of knowledge in various disciplines that is relevant and responsive to the changing domestic and international environments;
3. provision of more equitable access to higher education to deserving and qualified Filipinos; and
4. optimization of social, institutional, and individual benefits through the efficient and effective utilization of higher education resources.

Source: *PUP General Information* (pamphlet), 1999 Edition.

The Total University Ten-Point Agenda

1. Foster High Quality Campus Environment
2. Strategize and Institutionalize Income Generating Projects
3. Strengthen Research, Publications and Creative Works
4. Model Quality Management and Fiscal Responsibility
5. Improve Sense of Community Involvement and Linkages
6. Institutionalize the Principles of Academic Freedom and Responsibility
7. Promote Academic Excellence in Student and Faculty Performance Nationally and Internationally
8. Nurture and Enrich Our Cultural Heritage
9. Integrate ICT with Instruction, Research, Service and Production
10. Evolve Wholesome Living and Pleasant Working Environment for Faculty, Employees and Students

Appendix B

CHED'S PHILOSOPHY, VISION, MISSION, AND PRIORITY RESEARCH AREAS

Higher Education in the Philippines

Philosophy

In an environment of freedom, excellence and relevance, higher education harnesses, develops, catalyzes the constructive and productive use of the full potentials and capabilities of Filipino men and women into becoming creative, decisive, competitive, critically thinking and acting individuals who contribute to the:

1. realization of the Filipino identity and strong sense of national pride;
2. cultivation and inculcation of moral and spiritual foundation;
3. attainment of political maturity, economic stability and equitable social progress and;
4. preservation and enrichment of the historical and cultural heritage of the Filipino people and nation.

Mission

Higher Education shall be geared towards the pursuit of better quality of life for all Filipinos emphasizing the acquisition of knowledge and formation of those skills necessary to make the individuals productive members of society. It shall accelerate the development of high-level professionals who will seek new knowledge, and provide leadership in the various disciplines required by a dynamic and self-sustaining economy. Higher education shall likewise be used to harness the productive capacity of the country's human resource base towards international competitiveness.

Vision 2005

Higher education would have provided and expanded opportunities for the technologically advanced knowledge and skills acquired by the Filipinos who would have constructively utilized their capabilities to help improve society. It would have produced in them the ability to think critically, be creative, act positively and contribute to the full development of the family, community and the larger society.

Goals

Ensuring the attainment of empowered and globally competitive Filipinos through:

1. **Quality and Excellence.** Provision of undergraduate and graduate education which meet international standards of quality and excellence.
2. **Relevance and Responsiveness.** Generation and diffusion of knowledge in the broad range of disciplines relevant and responsive to the dynamically changing domestic and international environments.
3. **Access and Equity.** Broaden the access of deserving and qualified Filipinos to higher education opportunities.
4. **Efficiency and Effectiveness.** Optimization of social, institutional and individual returns and benefits derived from the utilization of higher education resources.

Priority Research Areas

Assistance is granted to research and development focusing on the critical clusters of disciplines and emphases.

A. Across Higher Education Disciplines (focusing on multidisciplinary researches, policy-oriented breakthroughs, and technological researches in the following clusters of disciplines):

1. Science and Mathematics;
2. Engineering, Maritime Studies, and Architecture;

3. Humanities, Social Sciences, and Communication;
4. Agriculture and Fisheries;
5. Business and Industry;
6. Health and Health-Related Disciplines;
7. Information Technology;
8. Teacher Education; and
9. Industrial Technology

B. Across Higher Education Research Emphases:

1. Program/Curricular Assessment Studies on Higher Education Clusters of Disciplines;
2. Research on Integrative Theories, Models or Philosophy;
3. Policy-Oriented Studies (e.g. Financing of Higher Education; Economics of Higher Education; Governance and Management of Higher Education; Accreditation of HEIs; Rationalizing Higher Education; Model-Building Studies);
4. Institution-Building Studies;
5. Manpower Supply and Demand Studies;
6. Integrative Studies in Linguistics, Sociology, Anthropology, the Social Sciences and Humanities; and
7. Other research topics considered by the Commission in response to emerging needs of the country (e.g. socially oriented and community-based studies).

APPENDIX C

NEDA'S MEDIUM-TERM PHILIPPINE DEVELOPMENT PLAN (2004-2010)

Vision:

To fight poverty by building prosperity

Mission:

1. Enhance Economic Growth and Job Creation

• **Economic Growth**

- Support for micro, small and medium enterprises and agri-business as the most efficient generators of jobs in terms of investment ratio
- Create 3 million micro enterprises and provide credit, technology and marketing support
- Facilitate investments in mining oil and gas exploration
- Re-launching of massive reclamation projects
- Development of the Clark-Subic corridor as logistic center for the Asia-Pacific region
- Generate about 100 billion pesos in terms of additional revenues, savings through austerity and efficiency measures, and more aggressive action against smugglers and tax evaders

• **Job Creation**

- Develop 2 million hectares of new lands for agribusiness to generate 2 million new jobs and enhance the productivity and incomes of poor Filipino farmers

2. Achieve greater energy independence and power sector reforms

- Energy Independence
 - Increased oil and gas exploration
 - Development of renewable energy
 - Expanded natural gas
 - Forging of strategic alliances
 - Energy efficiency and conservation
- Power Sector Reforms
 - Reduce electricity rates
 - Resolve the problem of National Power Corp. losses
 - Encourage private sector participation in power generation
 - Facilitate total barangay electrification by 2008

3. Attain Social Justice and Basic Needs

- Social Justice
 - Implement the anti-poverty program of the government
 - Achieve national harmony through automated elections
 - Instill peace process and heal the wounds of EDSA 1, 2, and 3
- Basic Needs
 - Deliver basic social needs by prioritizing:
 - Health and Nutrition
 - Housing
 - Social Welfare and Security

4. Strengthen and Accelerate Education

- Acceleration of knowledge creation and transfer to promote technology-based entrepreneurship
- Mainstreaming culture into overarching goal of development in education
- Institutionalizing culture and governance in education

5. Sustain Anti-Corruption and Good Governance Campaign

- Promote zero tolerance for corruption and bureaucratic reforms
- Expound on the Philippine Defense Program
- Upgrade the capability of the Armed Forces of the Philippines
- Insure the observance of cease fires
- Enhance the country's ability to fight terrorism

6. Create more effective political institutions through constitutional reform

- Encourage more liberal economic policies that would facilitate the entry of more investments and minimize judicial interference in economic decisions.

Appendix D

PUP RESEARCH PROPOSAL GUIDE

At the minimum, the research proposal should clearly state and/or discuss the following:

- I. Proposal Summary
 - Complete Title of the Research Project
 - Name/s and Position/s of Project Proponent/s, Co-Proponent/s, Other Researchers
 - Proponent/s' Department/College/Office
 - Research Program Area (based on the University Research Agenda)
 - Cooperating Agency/ies (if any)
 - Brief Description of the Project (include general objectives of the project, its significance, output expected and major activities envisioned under the project)
 - Project Duration
 - Total Project Cost, Amount Applied For, Other Sources of Funds
 - Endorsement Signature of the Proponent/s' Department Chair or College Dean or Head of Office
- II. Technical Description
 - Rationale and Project Objectives (problem area/s to be investigated, specific objectives, purpose of the study)
 - Expected Output at the End of the Project: (technical paper and poster, method, product, etc)
 - Hypothesis (if any)
 - Theoretical or Conceptual Framework (For theory-building researches, this part may constitute a whole chapter.)
 - Definition of Terms
 - Review of Literature
 - Procedures or Methodology (or Methods and Materials for the hard sciences) including plan of analysis

III. Plan of Work

- Schedule of Activities (estimated time to be spent for the study in terms of weeks for the various phases of the study)
- Financial requirements (use the format below)
- Personnel requirements (information on the number of personnel including type for technical and supporting personnel, attach as Annex)

Checklist of Annexes

Annex A - Literature Cited

Annex B - Biodata/Profile of each of the Project Proponent/s and other researchers, emphasizing their qualifications relevant to the project

Budgetary Items	Cost of Item	*PUP Share	*Other Funding Agency/ies Share
I. Honoraria			
A. Project Proponent (Amount X No. of Months)			
B. Co-Proponent (Amount X No. of Months)			
C. Other Researchers (or Research Assistants) (Amount X No. of Months X No. of Research Assistants)			
Subtotal			
II. Salaries and Wages			
A. Research Assistant (Amount X No. of Months)			
B. Student Assistants (Amount X No. of Months X No. of Student Assistants)			
Subtotal			
III. Operating Expenses			
A. Transportation, Communication			
B. Library Use, Photocopying, books			
C. Office Supplies, Other Materials			
Subtotal			
IV. Equipment			
Subtotal			
TOTAL(S)			

*If you cannot determine how much to ask from PUP and other funding agencies, just leave this column blank, but fill in the previous column, "Cost of Item."

APPENDIX E

DOST Capsule Research Proposal

DOST Form No. 1A
CAPSULE RESEARCH & DEVELOPMENT PROPOSAL SUMMARY SHEET
(For the Whole Program)
(To be accomplished by the researcher)

(1) Title/Coordinator/Leader/Gender/Agency/Address/Telephone/Fax/Email Program Title: _____ Coordinator/Gender: _____ Agency/Address: _____ Telephone/Fax/Email: _____ Project Title: _____ 1. _____ 2. _____ 3. _____ n. _____									
(2) Executive Summary (Significance, objectives, expected output and methodology)									
(3) Budget Summary for the Whole Program*									
Duration (in months): _____									
Source of Fund	PS	MOE	CO	Total	PS	MOE	CO	Total	Total
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
Total									

(4)	Submitted by	Endorsed by
Signature		
Name		
Designation/Title		
Date		

Note: To be submitted together with the capsule R & D proposals for the component projects. See guidelines/definition at the back.

DOST form No. 1A CAPSULE R & D PROPOSAL SUMMARY SHEET

General Instruction:

- A. Submit 6 copies of capsule R & D proposal summary sheet for the whole program together with the capsule proposal of the component projects.
- B. Use separate sheets following the appropriate sequence of items.

Operational Definition of Terms

1. **Title** – The identification of the program and the component projects.

Program – Consist of interrelated or complementing R & D projects on a multidisciplinary approach to meet established goals within a specific time frame.

Project – A set of interrelated studies or a component of a program to meet predetermined objectives within a specific time frame.

Coordinator/Leader – The overall R & D coordinator (whether multi-agency or single agency R & D) or the program/project leader. Program leader is the overall coordinator while serving also as project leader.

Agency(ies) – The institution(s) of the coordinator/leader.

2. **Executive Summary** – Overview of the program including the significance, objectives, methodology, major activities and expected output of the program.
3. **Budget Summary** – Personal services (PS), maintenance and other operating expenses (MOE), and capital outlay (CO) requirement of the whole program by source.

Duration – Number of months the program will be implemented.

PS – Requirement for wages, salaries, honoraria, additional hire, and other personnel benefits.

MOE – Requirement for supplies and materials, travel expenses, communication, and other services.

CO – Requirement for facilities and equipment needed by the program.

4. **Endorsed by** – Authorized representative (e.g. agency head, consortium director) who recommends the program.

DOST Form No. 1B
CAPSULE RESEARCH & DEVELOPMENT PROPOSAL
 (For the component project)
 (to be accomplished by the researcher)

(1) Title/Leader/Gender/Agency/Address/Telephone/Fax/Email Program Title: _____ Project Title: _____ Leader/Gender: _____ Agency/Address: _____ Telephone/Fax/Email: _____																																																																
(2) Cooperating Agencies					(3) Research & Development Station																																																											
(4) Classification Research: _____ Development: _____ Basic: _____ Pilot Testing Applied: _____ Tech. Promotion/ Commercialization					(5) Mode of Implementation Single Agency Multi Agency																																																											
(6) Priority Areas/STAND Classification STAND _____ Other Priority Areas: _____ Export Wines Basic Domestic Needs Support Industries Coconut Industry					(7) Sector/Commodity (8) Discipline																																																											
(9) Significance (State the research problem and significance of the project to the current needs of the country. The proposal should justify resource expenditure. A typical justification would include a brief introduction, a general statement concerning the historical basis for R & D, utilization of the expected output and the impact the information generated will have on science, the target area and the country.)																																																																
(10) Objectives (Statement of the specific purpose to address the problem areas of the project)																																																																
(11) Methodology (Brief description of how the projects will be implemented)																																																																
(12) Major Activities (Enumerate in chronological order the tasks to be undertaken. Use GANTT chart.)																																																																
(13) Expected Output (Indicate the specific products, processes, or services which the project is expected to produce and how they can be used, quantify when possible)																																																																
(14) Target Beneficiaries (Who the clients are and what are the expected outcomes/effects of the use of the project outputs)																																																																
(15) Implementing Schedule <table style="width:100%; border: none;"> <tr> <td style="width: 40%;">Duration (in months): _____</td> <td style="width: 20%;">Planned Start Date: _____</td> <td style="width: 20%;">Month _____</td> <td style="width: 20%;">Year _____</td> </tr> <tr> <td></td> <td>Planned Completion Date: _____</td> <td></td> <td></td> </tr> </table>										Duration (in months): _____	Planned Start Date: _____	Month _____	Year _____		Planned Completion Date: _____																																																	
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	Planned Completion Date: _____																																																															
(16) Estimated Budget by Source <table style="width:100%; border: none;"> <tr> <th style="width: 10%;">Source of Fund</th> <th style="width: 10%;">PS</th> <th style="width: 10%;">MOE</th> <th style="width: 10%;">Y1</th> <th style="width: 10%;">CO</th> <th style="width: 10%;">Total</th> <th style="width: 10%;">PS</th> <th style="width: 10%;">MOE</th> <th style="width: 10%;">Y2</th> <th style="width: 10%;">CO</th> <th style="width: 10%;">Total</th> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td>Total</td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </table>										Source of Fund	PS	MOE	Y1	CO	Total	PS	MOE	Y2	CO	Total																																		Total										
Source of Fund	PS	MOE	Y1	CO	Total	PS	MOE	Y2	CO	Total																																																						
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Note: If the project is part of a program, this form should be submitted together with the capsule R & D proposal summary sheet. See guidelines/definitions at the back.

APPENDIX F

CHED Capsule Research

COMMISSION ON HIGHER EDUCATION

5/F DAP Building
 San Miguel Avenue, Pasig City
 P.O. Box 3819, Manila

Research Proposal Application Guide

I. Research Title: (This is the distinctive name given to the research proposal which describes the work scope in specific, clear and concise terms).

II. Name of Proponent/Institution: (The research proponent may be a faculty/researcher or an institution.)

Name and Designation of the Faculty/Researcher: _____

Name of Institution: _____

Name of the Head of the Institution: _____

III. Address: (This refers to the mailing/forwarding address where communication to both proponent/institution can be facilitated).

a. Proponent: _____

b. Institution: _____

IV. Background of the Study: (This refers to the overview of the project discussing the factors that lead to the conceptualization of the problem.)

V. Review/Survey of Related Literature: (This refers to the body of literature related to the study being proposed or a discussion on how the research proposal is related with the obtaining researches in the field.)

VI. Conceptual/Theoretical Framework of the Study (This includes a discussion of the different theories and models that provide the conceptual underpinning of the study or the legitimate bases for defining its parameters.)

VII. Statement of the Problem (This refers to the problems both general and specific which the research proponent hopes to achieve.)

a. General

b. Specific

VIII. Assumptions: (This refers to a proposition of some occurrences or considerations that may be considered in delimiting the area of the study.)

IX. Significance of the Study. (This refers to the contribution of the study to a) national goals/plans; b) national policies; c) emerging realities; d) regional (local goals/plans; e) community goals/plans.)

X. Definition of terms. (This refers to the contextual and operational meanings of the variables in the study.)

XI. Scope and Limitation. (This refers to the scope or inclusive frame of reference as well as procedural limits of the study.)

XII. Methodology. (This refers to the detailed technical/scientific activities which include: the research design, sampling plan, instrumentation, statistical tool and treatment of data.)

XIII. Working Bibliography. (This refers to list of sources of the survey literature in the Study.)

XIV. Work Plan. (This includes a brief description in chronological order of each activity to be undertaken in the conduct of the study. The starting date and plan completion date are indicated in year and month and it may be presented via Gantt chart or others for clarity.)

XV. Budgetary Outlay. (This includes a detailed/itemized breakdown of the total project costs and the source/s of funds.)

XVI. Manpower Requirement. (This specifies the number of staff needed to rationalize the proposed budget in the conduct of the study.)

XVII. Expected Outputs and Derivable. (This refers to the products of the investigation which would contribute to and increase the stock of knowledge.)

XVIII. Credentials of Key Personnel/Staff Involved. (These documents are required to establish credibility and expertise of staff involved in the study.)

Submitted by:

(Printed Name and Signature of Proponent)

Date:

Received by:

(Printed Name and Signature of the ZRC staff)

Date:

Endorsed by:

(Printed Name and Signature of the President
or Head of University/Institution where the
Proponent is connected)

(Printed Name and Signature
of the RD-OPPRI Staff)

Date:

Appendix G

UNIVERSITY POLICY AND GUIDELINES ON INDIVIDUAL AND TEAM RESEARCH GRANTS

Section 1. Rationale. The Polytechnic University of the Philippines has been in existence for 102 years. Since its inception as the Manila Business School (MBS) in 1904, the PUP has contributed significantly to national development in terms of producing competent graduates for government service and private employment. Despite these accomplishments, however, there is one area that PUP, like many other SUCs in the country, is found wanting – the functional area of RESEARCH. The reorganization of the Department of Research into the Office of the Vice President for Research and Development (OVPRD) in 1999 which was directed at this inadequacy provided the rationalization of the culture of research.

The OVPRD, for the past seven years, has been doing its best to engage faculty members and administrative employees in research. Research policies have been formulated and approved by the Board of Regents, research processes and practices instituted and printed in the University Research Manual, and various research capability-building seminars/workshops conducted. All these efforts were meant to build a "culture of research" among members of the PUP community, particularly those in the academic area. Despite the OVPRD's success in producing and publishing a number of quality researches, research production still appeared sporadic and with a low rate of faculty participation.

On January 29, 2007, PUP Acting President Dante G. Guevarra constituted the Steering and Technical Working Committees to take charge of the revision of the eleven-year-old PUP Research Manual. Among others, these Committees were tasked to investigate the reasons for what was generally perceived as "mediocre" performance of the University in the area of research and, thereby, solicit recommendations towards improvement of the PUP research outputs – both in terms of quantity and quality.

In the series of focus group discussions (FGDs) that were facilitated by the members of the Technical Working Committee (TWC) in the different colleges, campuses, branches and extensions of the University from February 2 to February 23, 2007, the following were identified as major reasons for the irregularity in research production and low participation rate of faculty members in research:

- lack of time due to heavy teaching load;
- absence of funding from the University or from external sources for proposed research projects;
- lack of motivating factors such as rewards, awards and other incentives for scholarly research;
- lack of skills necessary to conduct productive research;
- lack of books, professional journals/publications, research laboratories, facilities and equipment.

Together with the conduct of FGDs, the Committee searched for "best practices" of other local universities in research undertakings. (Please see Annex.) Learning from the experiences of some selected universities, the PUP can offer more attractive, yet reasonable, research incentives and benefits. Thus, the OVPRD and the Technical Working Committee, through the Steering Committee on the Revision of the University Research Manual, propose the following set of research incentives and benefits. **Once approved, these provisions will form part of Chapter 3 (University Research Funding) of the PUP Research Manual.**

Section 2. Purpose. The benefits and incentives stated herein are designed to attract the faculty and administrative employees to seriously engage in research realizing that it is central to their careers as professional educators. It is only through this that the University can boast of a faculty steeped in a "culture of research". Culture, in this case, a second nature; research is a second nature for faculty members, whose involvement in it is part of their functions as academics.

Section 3. Availability of Research Funds. The University shall annually allocate funds for institutional and specialized researches, acquisition of books and project-related equipment, subscription to periodicals, professional journals and other similar publications.

Section 4. Qualified Grantees. Research grants can be availed of by any qualified full-time or part-time faculty member and administrative personnel with permanent appointment.

Section 5. Benefits. The following benefits shall be accorded to grantees who meet the qualifications stated in section 4. Grantees must have followed the prescribed research grant application process contained in this manual. These benefits are as follow:

- 5.1 A reduction of nine (9) units from the 15 unit-teaching load shall be given to regular faculty research grantees. The same faculty members shall be allowed, if they want, to teach 12 overload units after the reduction. However, the teaching schedule of such faculty members must be scheduled to fit in 2 days to give them ample time for the research.
- 5.2 Qualified part-time faculty members who are involved in externally funded research will be paid directly from the project based on the stipulations of the memorandum of agreement with the funding agency. Such faculty members will be allowed to carry a maximum of 6-unit teaching load in case subjects are available.

- 5.3 Non-teaching personnel can only engage in research as consultants and whatever remunerations they will get from the research should not be paid for services done within their official time.
- 5.4 The total cost of the research shall be charged to the University fund including the benefits stated in this section unless the grant is externally funded, in which case the fund sourced outside will be held in trust by the University and shall follow the schedule for access by the proponent/s based on the research as stated in the proposal and following the usual accounting and auditing regulations and procedures of the University.

Section 6. Incentives. To encourage and maintain research productivity, the following incentives may be availed of by grantees:

- 6.1 *Promotion.* Grantees that completed two research projects in a year upon approval of the University Research Evaluation Committee (UREC) shall be eligible for a one-rank promotion. Completion of one research project in a year entitles grantees to a four-step horizontal promotion. In case slots for promotion are not available, qualified grantees will be accumulating points according to the criteria set in this section.

6.1.1 Publication of two essays or articles in a year in a refereed national journal shall merit one rank promotion. One publication in a refereed national journal shall merit a four-step horizontal promotion.

6.1.2 Publication of one essay or article in a refereed international journal shall merit a one-rank promotion.

6.1.3 The CHED list of refereed international and national journals will be used as basis for determining which essays or articles will be considered for the benefits stated in this section.

6.1.4 It is to be understood that the grantee, who is subject for promotion, must have satisfied the minimum requirements set by the Civil Service Commission and as provided for in the National Budget Circular (NBC) 461 for the rank the said grantee will be promoted to.

- 6.2 *Conference funding.* Travel grants covering transport fares and stipends shall be made available for grantees presenting papers in national and international conferences subject to relevant existing government policies.

- 6.3 *Awards system.* The University shall give the awards for exemplary research projects and publications to wit:

6.3.1 A plaque of recognition and a corresponding amount of not more than 10,000 pesos for an essay, article and research report published in a refereed international journal.

6.3.2 A plaque of recognition and a corresponding amount of not more than 5,000 pesos for each essay, article and research report published in a refereed national journal.

6.3.3 The granting of an annual best research award with corresponding plaques and monetary prizes as follows: P25,000—first prize; P15,000—second prize; P5,000—third prize.

- 6.4 *Reward system.* The University shall institute a reward system to give recognition to exemplary research projects and publications.

6.4.1 Establishing a society of research fellows in the University. Criteria for membership to this society shall be set by the OVPD. Each research fellow shall have a workstation in the office for the society. A newly instituted fellow shall be given a minimum of Assistant Professorship.

Section 7. Terms and Conditions

- 7.1 *Grant duration.* Typically, the research period is for a full semester or a full school year. Extension period shall only be for a maximum of one semester for a full semester or school year research period. Exceptional cases of more than a school year of research period may be granted to research projects deserving of such magnitude as approved by the University Research Evaluation Council (UREC). The extension period for such exceptional cases shall be negotiated by the proponents with the UREC and/or funding agency. Terms and conditions for the extension shall also be determined by the UREC.

- 7.2 The researcher shall submit a monthly progress report or as required by the proper University research body.

- 7.3 All grant benefits shall cease at the end of the extension period. No further extension shall be allowed. In this case, the grantee shall be required to complete the research within two semesters after the extension period without any additional support from the University; otherwise, the grantee shall payback the University the full amount of the grant.

- 7.4 For research projects funded by the University, should the result of the project be published or publicly presented or exhibited, the University shall be acknowledged as the source of the grant. The provisions on intellectual property rights shall likewise be implemented (Article 178.3 of R.A. 8293 Intellectual Property Code).

- 7.5 The research output shall be presented before a research community in the discipline/s involved.

7.6 The terminal research report of the project shall be submitted by the proponent to the University and/or the funding agency no later than one month after the termination of the project.

7.7 All other undertakings that do not go through the process described herein shall not be considered a University commissioned research.

7.8 One semester of completed research grant shall be equal to a year of required service which the grantee/s shall render to the University.

Section 8. *Sanctions.*

8.1 Any research grant may be terminated for cause by the approving authority.

8.2 The approving authority has the right to withhold benefits and incentives in case of failure of the grantee to submit progress reports without due cause.

8.3 Grantees who fail to comply with the terms of the grant and those whose grants are terminated for cause during the project period shall reimburse the University the full amount received. Furthermore, they shall be disqualified from all University grants.

Section 9. *Externally funded research grants.* For this type of grant,

9.1.1 PUP as the host institution shall be given 10% of the MOOE as administrative cost for the use of the workstations, facilities, and services in the University. Such cost should be expressly provided in the approved budget of the research project.

9.1.2 Equipment purchased for the research shall also be turned over to the University as part of this institutional goodwill fee. The University shall be one of the parties to forge a contract with the proponents and the funding institution.

9.1.3 All existing laws, policies, rules and regulations on contracting research through a university institution shall be complied with in the forging of the contract.

Section 10. *Repealing Clause.* This Circular repeals all provisions, circulars and memoranda that are inconsistent herewith.

Section 11. *Effectivity.* This Circular shall take effect upon approval by the Board of Regents.

The Policy and Guidelines on Individual and Team Research Grants was approved as amended on April 19, 2007 per Board Resolution No. 520 Series of 2007.

Prepared by:

THE TECHNICAL WORKING COMMITTEE

Members:

DEAN JOSEPH MERCADO

DIR. EMANUEL C. DE GUZMAN

DIR. CECILE S. AUSTERO

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DEAN MANUEL M. MUHI

DEAN MARIETTA P. DEMELINO

DEAN JUAN C. BIRION

DIR. MELV R. LUYA

TAP EDWIN C. MONARES

DIR. ALBERTO C. GUILLO
Chairman

Recommending Approval:

THE STEERING COMMITTEE

VPP MARISSA LEGASPI

VPA SAMUEL M. SALVADOR

VPRD PASTOR B. MALABORBOR

EVP VICTORIA C. NAVAL
Chair

Annex. "Best Practices" in Research Undertaking of Selected Universities in the Philippines

1. **The University of the Philippines (UP):** The premier university in the country provides the following incentives/benefits to promote a strong research and development (R&D) culture in the university:
 - Faculty members doing research/creative work may be granted Research Load Credit (RLC)/Creative Work Load Credit (CWLC) which may partially satisfy the faculty members' required load of 12 units. [Implementing Guidelines of Grants for Research & Creative Work, UP Diliman.]
 - Program, project, co-project and study leaders are entitled to receive honorarium. The rates are as follow:

<u>Position</u>	<u>Honorarium</u>
Program Leader	P3,500/month
Project Leader	P3,000/month
Study Leader	P1,500/month

- For approved Open Grant, honoraria for personnel, equipment purchase, and infrastructure development, may be included in the budget in addition to the MOOE. Budget may be allocated for patent application, publication or dissemination of research output, provided that such allocation shall not exceed 5% of the total amount of the grant. [Implementing Guidelines for Open Grant, UP Diliman.]
- For UP System Grants, approved research fund expenditures include supplies and materials essential to the research, books, equipment, peripherals and accessories, reproduction of materials, project-related travel (i.e., transportation, subsistence, lodging and travel per diems, railroad, airline and steamship fares, tips, transfers, etc.), laboratory fees, meetings, tokens and sundry.

[Source: OVCRD Brochure on Research Grants, UP Diliman]

2. **The Philippine Normal University (PNU):** The following are some of the approaches/strategies adopted to enhance the University's research culture:
 - The designation of a Research Coordinator per college to supervise and coordinate its research activities;
 - The approval of the research incentives for faculty under BOR Res. U-846, s. 2003 as to (a) funding for professors who will present a research paper in international fora, conferences, congresses, seminar-workshops or such similar gathering of scholars, researchers,

academicians and professors; (b) awarding of a plaque of recognition and a corresponding amount of no more than P30,000.00 for research reports published in international refereed journal; (c) granting of the title of Professor Scientist and an award of P30,000 for professors who have finished four research studies in two consecutive years; (d) awarding of the amount of P20,000 for professors, whose research or measurement on evaluation paradigm/model/theory is adopted, used or referred to as main framework by a research agency/body or utilized by at least 10 practitioners.

- The granting of an annual "Best Research Award" with the following prizes: P100,000, first prize; P75,000.00, second prize; and P50,000.00, third prize.

[Source: Rosas, N. L., "Strengthening Research Culture in Higher Education", 2006]

3. **The De la Salle University (DLSU):** The focus is the institution's evolution from a teaching institution to a research-oriented institution – meant to enhance the research standards of the University. The following are some of the considered good practices in DLSU adopted toward research culture enhancement:

- Maintaining productivity through promotions not only for good teaching but engagement in research, and publications in refereed journals;
- Providing incentives such as (a) monetary – for publication during the year and publication in international refereed journal; (b) travel grants for attendance in conferences abroad; (c) deloading; (d) outside-grant stipends;
- Providing "psychic" reward system – congratulatory letters, notices published in university newsletters, annual collection of publications, special prizes for outstanding publications, yearly recognition day, membership in "society of fellows"

[Source: Rosas, N. L., "Strengthening Research Culture in Higher Education", 2006]

4. **University of the East (UE):** Aiming to enrich the research culture in the university through a wide participation in research by qualified faculty members and management personnel, UE offers the following benefits to its researchers:

4.1 Type E: Individual Research Grant

- 4.1.1. Regular faculty members on full-time appointment – reduced teaching load of 12 units and paid for the equivalent of 30

units based on his or her hourly rate at the time of the grant approval;

- 4.1.2. Regular faculty members on part-time appointment – reduced teaching load of 6 units and paid for 15 units based on his or her hourly rate at the time of the grant approval. Faculty members who carry less than 12 units per semester are not qualified to apply;
- 4.1.3. Academic/non-academic management personnel – 50% reduced work load and paid full monthly salary;
- 4.1.4. Honorarium of 20% of the hourly rate X 24 hours/week shall be given to each full time faculty grantee and 10% for each part-time grantee and charged to the Office of Research Coordination (ORC) through the Office of the Comptroller.

4.2 Type II: Team Research Grant. In addition to the benefits cited in 4.1.

- 4.2.1. The team may receive a specified amount of funds to defray the cost of research and as additional research compensation, upon approval.

[Source: Policy on Faculty Academic/Non-Academic Management Personnel Research in the University, UE, Academic Circular #1, s. 2004 as amended August 8, 2006.]

Appendix B

PUP GUIDE FOR THE QUALITATIVE EVALUATION OF RESEARCH PROPOSALS

Project Title: _____

Project Proponent/s, Other Researchers: _____

Research Program Area (Based on the University Research Agenda)

(To the evaluator: Please write your impressions regarding the research proposal in its specific parts. Your comments must give substantial weight, but are not limited to, the considerations listed in each item.)

Title *(Important considerations: The title must be a short summary of the research being proposed. It should not go beyond nor speak too little of the proposed study.)*

Research Problem *(Important considerations: (1) Choice of Topic: Is the problem part of any of the priority areas listed in the University Research Agenda? Is it relevant and/or significant to institutional, sectoral, national, or global concerns? Will it generate useful information or lead to theory-building? (2) Formulation, Presentation: Is the scope of the problem clear? Are the variables under consideration clearly stated? Are the assumptions strongly anchored? Are the objectives reasonable?)*

Methodology *(Important considerations: Does the design have internal validity? If the methodology is quantitative, is it repeatable? Are the chosen methods appropriate to the problem stated?)*

Review of Related Literature *(Important Considerations: Is the review of literature comprehensive? Has it identified the gaps in literature which the proposed study can fill up?)*

Working Bibliography (*Important Considerations:* Is the bibliography comprehensive enough? Does it provide a wide selection of viewpoints, time periods – historical and contemporary, and varied geographical sources?)

Project Timetable (*Important Considerations:* Is the phasing of the project reasonable and achievable?)

Budgetary Requirements (*Important Considerations:* Are the expenditures necessary and the amounts reasonable? Is the amount requested within the capacity of the University to provide? Has the proponent exerted effort to access other sources of funds?)

Overall Impression: (*Please state your impressions on the intent and capability of the researcher/s to conduct and manage the research as may be gleaned from their proposal and attached profiles.*)

Categorical Assessment (*Please check one.*)

- () The proposal is feasible for University support without need for any revision.
 () The proposal can be feasible after some reworking, taking into account the comments of the evaluators.
 () The proposal is not feasible as it is.

Evaluator:

 (Signature over printed name)

 (Date)

Appendix I

PUP GUIDE FOR PREPARING PROGRESS REPORTS

Progress reports should contain information on the following:

I. Project Identifying Data:

- Project Title
- Project Proponent/s, Other Researchers
- Proponent/s' Department/College/Office
- Cooperating Agency/ies
- Research Program Area (According to the University Research Agenda)
- Project Duration
- Total Project Cost
- Source/s of Funds

II. Progress of the Research

- A brief description of the problem, objectives, and methodology
- What has been accomplished: At what stage is the research at present
- New significant findings (if any) and their implications
- Problems encountered
- Ways of coping with the problems encountered

III. Planned Activities for the Following Months

Appendix J

PUP GUIDE FOR THE QUALITATIVE EVALUATION OF TERMINAL RESEARCH REPORTS

Project Title _____

Project Proponent/s, Other Researchers _____

Research Program Area (Based on the University Research Agenda) _____

(To the evaluator, Please write your impressions on the following parts of the research report. Your comments must give substantial weight, but are not limited to, the considerations listed for each item.)

Title (*Important considerations:* The title must be a short summary of the research being proposed. It should not go beyond nor speak too little of the proposed study.)

Abstract (*Important Considerations:* Does it conform to the one-page stipulation? Are the main points, findings and conclusions of the study clearly and succinctly presented?)

Research Problem (*Important considerations:* (1) Choice of Topic: Does the problem conform to any part of the priority areas listed in the University Research Agenda? Is it relevant and/or significant to institutional, sectoral, national, or global concerns? Will it generate useful information or lead to theory-building? (2) Formulation and Presentation: Is the scope of the problem clear? Are the variables under consideration clearly stated. Are the assumptions strongly anchored? Are the objectives reasonable?)

Methodology (*Important considerations:* Does the design have internal validity? If the methodology is quantitative, is it repeatable? Are the chosen methods appropriate to the problem stated?)

Review of Related Literature (*Important Considerations:* Is the review of literature comprehensive? Has it identified the gaps in literature which the proposed study can fill up?)

Presentation of Results, Findings, and Discussion (*Important Considerations:* (1) Content: Do the data lead to the answers of the problem? Are the data substantial enough? Are the findings significant? (2) Presentation: Are the data properly collated, processed/tabulated, and analyzed?)

Summary, Conclusions, Recommendations (*Important Considerations:* Do the conclusions skillfully bring together the framework (theory) and data of the study? Is the new knowledge/theory clearly brought out? Are the recommendations fair and justified?)

Bibliography (*Important Considerations:* Is the bibliography comprehensive enough? Does it provide a wide selection of viewpoints, time periods – historical and contemporary, and varied geographical sources? Does it conform to the currently accepted way of writing the bibliography?)

Research Report Writing (*Important Considerations:* Is the report coherently organized and presented? Does the style conform to the technically accepted way of writing research reports? Is it free from grammatical errors? Can the writer effectively communicate his or her ideas to the reader?)

Financial Report (*Important Considerations:* Are all the items clearly explained/justified? Are all advances properly liquidated? Are the figures balanced?)

Overall Impression: (*Please state your impressions on the whole research report, as to its compactness, relatedness of parts, overall significance and use, and presentation.*)

Categorical Assessment (*Please check one.*)

- ☐ The report is acceptable as it is, without need for any further refinements.
- ☐ The report is acceptable after some minor refinements are done.
- ☐ The report is acceptable after some editing.
- ☐ There are parts of the report that need elaboration, and reworking/rewriting.
- ☐ There seem to be some missing data e.g., _____
Some more field work/experimentation is needed before the report can be reworked/rewritten.

Evaluator:

(Signature over printed name)

(Date)

Appendix K

CONTRACT FOR GRANTS-IN AID (Sample)

KNOW ALL MEN BY THESE PRESENTS:

This Contract for Grants in Aid entitled: "Globalization and Lifelong Learning: Implications on the Infrastructures and Human Resources of the Philippine Higher Education Institutions Offering Distance Education" entered into this 15th of November 2006 at Pasig City, Philippines by and among:

The **Commission on Higher Education (CHED)**, a government agency created pursuant to Republic Act No. 7722 with principal address at S/F DAP Building, San Miguel Avenue, Ortigas Center, Pasig City, represented herein by its Chairperson **Carlito S. Puno**, hereinafter referred to as "GRANTOR";

-and-

POLYTECHNIC UNIVERSITY OF THE PHILIPPINES, represented herein by its President, **DANTE G. GUEVARRA**, with present address at Mabini Campus, Sta. Mesa, Metro Manila, herein referred to as the "IMPLEMENTING INSTITUTION".

WITNESSETH, THAT

WHEREAS, Section 8 Republic Act (R.A.) No. 7722, mandates the Commission on Higher Education (CHED) to enhance the research function of Higher Education Institutions (HEIs) in the Philippines by providing funding support to HEIs with potential for research on priority disciplines or topics with significant value/contribution to the development thrusts of the region;

WHEREAS, in line with the National Research Agenda (NHRA), the Commission through Higher Education Development Fund (HEDF) under this project, appropriated funds for research grant/aid as a support to promote further higher education research;

WHEREAS, pursuant to this mandate, CHED created through Commission en banc (CEB) No. 128-2003 nine (9) Zonal Research Centers to assist the Commission in the planning and management of research activities of Higher Education Institutions (HEIs);

WHEREAS, on the 15th day of December 2003 during the 110th Commission en Banc meeting, the Commission approved the Zonal Research Programs (ZRPs) submitted by DLSU CHED-ZRC NCR 1. Attached hereto as Annex "A" is a copy of the CEB Resolution No. 489-2003 dated December 15, 2004 on the approval of ZRPs and the approved ZRP;

NOW, THEREFORE, for and in consideration of the foregoing and the stipulations herein set forth, the parties hereby agree on the following:

I. OBJECT AND DURATION OF THE PROJECT

The IMPLEMENTING INSTITUTION through its Project Team, the composition of which is indicated in Article VII, Section 1 hereof, shall conduct a study entitled: _____ (the "Project") which the IMPLEMENTING INSTITUTION shall satisfactorily complete for a period of _____ months commencing on _____.

Notwithstanding the project duration stated herein, any renewal or continuation of the project beyond one year must be approved by the Commission en Banc on the basis of IMPLEMENTING INSTITUTION's satisfactory and prompt accomplishment of its research activities in accordance with the project's Work and Financial Plan (WFP).

II. RATIONALE AND OBJECTIVES OF THE STUDY

As stated in the Terms of Reference of the project, a copy of which is attached hereto as Annex B, the rationale and objectives of the study are as follows:

Objectives:

1. XXXXXXXXX
2. XXXXXXXXX
3. XXXXXXXXX

III. OBLIGATION OF THE GRANTOR

1. The GRANTOR shall provide the Implementing Institution as grant-in-aid in the amount of _____ the releases of which shall be based on the schedule of expected deliverables and fund releases indicated in the Work and Financial Plan (WFP) or Terms of Reference (TOR), a copy which is hereto attached and made an integral part of this Agreement, as Annex "C"
2. To facilitate and provide avenue where the research results could effectively and adequately be disseminated.
3. To own and utilize the results of the study which is possibly related to policy decisions or action of the Commission subject to relevant sections of the law on Intellectual Property Ownership.

The IMPLEMENTING INSTITUTION hereby understands that the GRANTOR is not liable for any amount in excess of the approved grant. Thus, any

and all expenses in excess of the Grant for furtherance of the project shall be shouldered by the IMPLEMENTING INSTITUTION.

IV. OBLIGATION OF THE ZONAL RESEARCH CENTER

1. Ensure that the Project is being implemented strictly in accordance with the project's Term's of Reference and WFP.
2. Report to CHED any possible slippage of work or delay in the implementation of the work and financial plan by the implementing Institution with one (1) week of the noted slippage.
3. Coordinate with CHED in monitoring the Grantee's research accomplishment vis-à-vis the approved work and financial plan.
4. Verification of the technical/financial reports submitted shall be done through field visits and spot check/audit (if needed) by a monitoring team composed of OPPRI-RD, and ZRC staff, and technical expert (if needed) anytime within the duration of the project. The results of the monitoring/evaluation and the recommendation of the ZRC shall be the basis for the second and subsequent releases of fund.
5. Submit to CHED a bi-annual monitoring report on the progress of the project in accordance with the approved terms of reference and work and financial plan.
6. Process, certify to the correctness of and make appropriate recommendations as to the progress billings of the IMPLEMENTING INSTITUTION and the work accomplishment for the work phase being billed within 15 days from receipt thereof, provided that the duly accomplished liquidation reports are attached thereto.

V. OBLIGATION OF THE IMPLEMENTING INSTITUTION

1. Undertake the Project strictly in accordance with the TOR and WFP
2. Provide, at its own expense, the counterpart support to fulfill the requirement of the project including but not limited to project staff, their salaries/fees/wages or such other remunerations, office space, laboratory, research facilities/equipment and other support facilities and requirements during the conduct of the research project.
3. Designate a Project Leader and team to undertake the implementation of the Project and ensure that the Project Team will implement the project strictly in accordance with the TOR and WFP

4. In case several HEIs will undertake the Project the Lead Implementing Institution, together with the ZRC, will continue to be held accountable for the successful implementation and completion of the Project.
5. Ensure that the Project shall be fully completed to the satisfaction of CHED in accordance with the TOR and WFP.
6. Present the project results in accordance to CHED implementing rules and guidelines on Project Presentation.
7. Submit a quarterly progress report to the ZRC and CHED and to allow CHED to inspect the progress of the project at any time with prior notice.
8. Submit a final report in manuscript and digitized format and to surrender to the CHED after the termination of the Project all raw data, observations and findings in electronic file or such other form required by CHED.
9. All taxes, including Value-Added Tax, duties and fees of whatever nature connected with or related to this Contract and which may be due and payable, or for withholding, on services or materials necessary for the performance and accomplishment of the Project, shall be the responsibility of the IMPLEMENTING INSTITUTION.

VI. PROJECT COST AND SCHEDULE OF RELEASE AND LIQUIDATION OF FUNDS

The allocation of _____ under this contract will be given directly to the Implementing Institution by CHED based on the schedule of expected deliverables and fund releases indicated in the Work and Financial Plan (WFP). The amount is chargeable against the Higher Educational Development Fund.

Subject to the bonding requirements, accounting and auditing regulations, pertinent government policies and procedures, availability and defrayal of counterpart funding and submission by the project personnel of the required progress and financial reports, fund releases under an approved grant from CHED shall be in accordance with the approved WFP and Line Item Budget (LIB).

The Funds shall be released in accordance to the payment schedule indicated WFP. The Implementing Institution shall not be responsible for the delay of the project implementation if such delay is directly caused by the late release of the funds.

VII. RESEARCH PERSONNEL

1. The Project Leader and staff shall be composed of the following:
 - Dr. XXXXXXXX - Project Leader
 - Dr. XXXXXXXX - Asst. Project Leader
 - Dr. XXXXXXXX - Team Member
 - Dr. XXXXXXXX - Team Member
 - Ms. XXXXXXXX - Team Member
2. The Project Leader and the project staff are prohibited from accepting any research project, fellowship, scholarship or training grant, or leave his station for any trip abroad for more than one (1) month during the course of the project without securing prior approval and authorization of the Director of OPPRI-CHED as recommended by the concerned ZRC Director. *In such case, the implementing institution should assign an Officer-in-Charge to run the project. If the period of absence is more than three (3) months a replacement should be made.*
3. The CHED is in no way under obligation to grant pension or gratuity to research staff retiring or laid-off in the course of or after completion/termination of the project.
4. The service of the project officers and research staff shall be discontinued upon termination of the project or the specific work for which they were hired.
5. Research staff authorized under project Line Item Budget who shall be employed with items chargeable against the CHED-HEDF grant shall be engaged in by the Project Leader on contract/appointment basis, submitting to the CHED in each case, a copy of the hiring paper together with the job description and qualification requirements.
6. Subcontracting of any part of the research subject this Contract shall require prior written approval from the Director of OPPRI-CHED. However, in the event such sub-contracting is allowed, the grantee (institution) shall be liable or responsible for the outputs of the party subcontracted.

VII. OPTION TO TERMINATE

If the IMPLEMENTING INSTITUTION is unable, unwilling or otherwise impeded to perform his obligations and meet its responsibilities under this Contract, which inability, unwillingness or other impediment would

seriously prejudice or jeopardize the achievement of the study objectives, the IMPLEMENTING INSTITUTION hereby agrees and consents to the termination by the GRANTOR of this grant in prompt and orderly manner so as to minimize further expenditures on the part of the GRANTOR.

Should the IMPLEMENTING INSTITUTION opt to terminate the Project or a portion of the work as stated in the WFP within the project period or any extension granted thereof without meeting the project WFP, the IMPLEMENTING INSTITUTION agrees to reduce a portion of the Contract Price up to fifteen percent (15%) corresponding to the particular incomplete work due per the work schedule.

VIII. FAILURE TO COMPLETE THE PROJECT

Failure by the IMPLEMENTING INSTITUTION to satisfactorily complete the study within the period stated herein or any extension granted shall mean forfeiture or discontinuance of the Grant (GIA). The remaining balance of the study shall revert automatically to CHED-Higher Education Development Fund.

In case, it becomes evident to the IMPLEMENTING INSTITUTION during the implementation of the study that an extension beyond the termination date set out is necessary to achieve the objectives of this study, the IMPLEMENTING INSTITUTION shall immediately inform the Director of the Policy, Planning Research and Information (OPPRI) of the Grantor in writing regarding the possible extension of this study through the ZRC. The OPPRI Director shall immediately determine whether an extension is necessary under the conditions and shall make the necessary recommendations of the Commission en Banc. Provided, however, that in the event that an extension shall be granted, no additional financial grants in excess of the study grant stated above shall be awarded to the IMPLEMENTING INSTITUTION due to the extension of time allowed.

Should the IMPLEMENTING INSTITUTION fail to complete the Project or a portion of the work as stated in the WFP within the project period or any extension granted thereof, the IMPLEMENTING INSTITUTION agrees to reduce a portion of the Contract Price up to fifteen percent (15%) corresponding to the particular incomplete work due per the work schedule.

IX. OWNERSHIP OF RESEARCH OUTPUTS

The IMPLEMENTING INSTITUTION AND GRANTEE hereby agrees and understands that intellectual property rights, ownership and enjoyment thereof arising from this study shall be governed by existing and future policies of the GRANTOR on intellectual property rights of 1998 such as but not limited to the following:

- 1.1 The RESEARCH outputs developed from the study shall be jointly owned by the Parties. Any publication arising from the activities undertaken by virtue of and pursuant to this Contract shall clearly establish and identify the Parties as the source of the output.
- 1.2 All reports arising from activities undertaken by virtue of and pursuant to this Contract shall be made in the name of the Parties. The names of the principal authors, researchers and/or PROJECT leaders shall be identified, recognized and included in the report.
- 1.3 The Grantor shall have the right to freely use all data and findings by virtue of and pursuant to this Contract for any of the purposes within its legal mandate. However, the Grantee shall notify the GRANTOR on the intent to use any of the data or information contained in the report and the purposes thereof.
- 1.4 Copyright, royalties and other economic rights arising from work produced or developed from the Project shall be owned by the GRANTOR and the IMPLEMENTING INSTITUTION in accordance to the following proportion:

GRANTOR (CHED)	60%
IMPLEMENTING INSTITUTION	40%

It is the obligation of the IMPLEMENTING INSTITUTION to obtain or cause the assignment of the copyright and such other economic rights over the work under this Project in favor of the Commission, which documents shall form part of the Terminal Report of the said Institution and without which no acceptance of the said Project output shall be issued by the Commission.

X. ASSIGNMENT OF RIGHTS

The IMPLEMENTING INSTITUTION (K-6) assign, sub-let or sub-contract any portion of the Project covered by this contract except upon prior written approval of the Commission. Any such assignment, sub-lease or sub-contracting shall be governed by Section VII, paragraph 6. Violation of this condition shall be a ground for the immediate termination of this contract by the Commission.

XI. AMENDMENTS

The parties to this Contract, may by mutual consent and for as long as the same is within the purview of law, accordingly reverse, modify, amend, delete any words(s), phrase(s), sentences(s) or article in this Contract.

XII. EFFECTIVITY

This Contract shall take effect upon the signing hereof by both parties and shall remain in force until the completion of the work required of the partner as indicated in the WFP or TOR. The parties hereto, may upon mutual consent, amend or modify this Contract by or through an Addendum or Supplementary Contract signed by all parties which shall form as integral part hereof.

IN WITNESS WHEREOF, the parties hereto have signed this Contract this 15th day of November 2006 at Pasig City.

**COMMISSION ON
HIGHER EDUCATION**

By:

CARLITO S. PUNO
Chairperson

**POLYTECHNIC UNIVERSITY
OF THE PHILIPPINES**

By:

DANTE G. GUEVARRA
President

DLSU-CHED Zonal Research Center National Capital Region 1

By:

ARMIN A. LUISTRO, FSC
President, De La Salle University - Manila

Signed in the presence of:

XXXXXXXXXX
Director, DLSU-CHED ZRC NCR1

XXXXXXXXXX
Director IV, OPPRI

XXXXXXXXXXXX

Project Leader, "Title of the Project"

Certificate of Fund Availability

ACKNOWLEDGEMENT

Republic of the Philippines)
City of Pasig) S.S.

Before me, a Notary Public for and in _____ on this
_____ day of _____ personally appeared
before me,

Name	Comm. Res. Cert. No.	Place/Date Issued
CARLITO S. PUNO	_____	_____
DANTE G. GUEVARRA	_____	_____
ARMIN A. LUISTRO, FSC	_____	_____

Known to me and to be known the same persons who executed the foregoing instrument consisting of _____ pages including this page and acknowledged to me that the same is their free and voluntary act and deed.

WITNESS IN HAND AND SEAL ON THE DATE PLACE FIRST
ABOVE WRITTEN.

Notary Public

Doc. No. _____
Page No. _____
Book No. _____
Series No. _____

Appendix L

PUP INTELLECTUAL PROPERTY POLICY

ARTICLE 1

COVERAGE

- (1) **Personnel Covered** -- This policy shall apply to all faculty, researchers, students, research and administrative staff, visiting professors and consultants participating in any program, project, contract or research activity in the University.
- (2) **Matters covered** -- These guidelines shall cover all researches, research contracts, tangible research properties or outputs with or without patent or copyright protection, whether for commercial and non-commercial purpose, undertaken using any university resource and including all technology transfer arrangements.
- (3) **Rights Covered** -- These guidelines shall cover all types of intellectual property rights enumerated under the Intellectual Property Code as follows: copyright and related rights, trademarks and service marks, geographic indications, industrial designs, patents, layout designs (topographies) of integrated circuits, protection of undisclosed information.
- (4) **Other staff** -- The intellectual property rights to all works created and inventions conceived or reduced to practice of all non-academic and non-research staff during office hours or with university resources regardless of amount shall be owned by the University.

ARTICLE 2

GENERAL PRINCIPLES

- (1) The University subscribes to a policy of recognizing the time-honored academic practice of treating faculty members as copyright owners of works they create independently and at their own initiative for academic purposes which include teaching, research and extension work.
- (2) The University adheres to the freedom enjoyed by the faculty in doing research and in publishing its results in accordance with guidelines and provisions stipulated in this manual and other related institutional policies.
- (3) The University believes that the recognition of intellectual property rights of authors and inventors is an effective way to ensure accountability and accessibility of knowledge and technologies.

ARTICLE 3

RULES OF CONSTRUCTION

Nothing in these rules shall be construed--

- (1) To prevent University administration from the enforcement of academic standards governing plagiarism and dishonesty;
- (2) To alter existing University policy on conflict of interest including, but not limited to, guidelines for outside teaching activities or practice of profession;
- (3) To limit the University's power to negotiate and to meet obligation for deliverables under any contract, grant, or other arrangements with third parties, including sponsored research agreements, collaboration agreements, license agreements and the like if these terms are more suitable to meet the purposes and principles of these guidelines.
- (4) To interfere with the discretion of editorial boards, textbook committees and the like to publish works.

ARTICLE 4

COPYRIGHT

- (1) **Works Covered** -- all literary, artistic and derivative works collectively referred to in these guidelines as "works" as defined in sections 172 and 173 of the Intellectual Property Code of the Philippines including course materials for e-learning and distance education, regardless of format in which it is created or produced, shall be covered by these rules on copyright.
- (2) **Ownership of Copyright** --
 - (a) **General Rule** -- Copyright of all works shall remain with the creator except as may be otherwise provided in these rules.
 - (b) **When University Owns Copyright** -- The University shall have exclusive ownership over institutional works, which include:
 - (i) works that are supported by a specific allocation of University funds or other resources other than the usual salary and resources made available to every faculty, student or staff;
 - (ii) works created at the direction and control of the University through its officials or designates for the purpose of a specific project or purpose;
 - (iii) works whose authorship cannot be attributed to one or a discreet number of authors despite the application of processes prescribed under these rules;
 - (iv) works whose authorship cannot be attributed to one or a discreet number of authors because it is the result of simultaneous or sequential contributions over time by multiple authors.

- (v) works created through substantial use of University resources such as libraries, research facilities, buildings, utilities, equipment, tools and apparatus, including services of its employees working within the scope of their activities not for University purposes but for the personal gain or advantage of the faculty, research staff or student involved. There is a presumption of substantial use of University resources if the work has in any way been done during official work hours or within the premises of the University and is related to unauthorized outside teaching or the practice of profession without the requisite permission.
- (3) **Disclosure and Assignment** – In cases of institutional works, creators shall disclose their existence and assign copyright over the work to the University in accordance with these rules and the implementing rules that may be promulgated by the President and confirmed by the Board of Regents.
- (4) **Waiver of Copyright Ownership by the University** –
 - (a) In case of institutional works and works in joint ownership with the University, the University through its designated officials, may waive copyright in favor of the creator if all the following conditions are met:
 - (i) the work enhances technology transfer or access by the general public;
 - (ii) the waiver does not violate any existing contractual obligation to third parties; and
 - (iii) the participation of the University in the work is acknowledged by the creator in all publications of the work, whether local or international.
 - (b) If the University is unable or has not decided to publish or exhibit the works within six (6) months from its disclosure, its copyright is automatically waived in favor of the creator. The six (6)-month period may also be waived by the University at the request of the creator if the work is to be published in a reputable international or local journal relevant to the academic discipline to which the work belongs. The contribution of the University shall be duly acknowledged in all publications or exhibitions of the work.
- (5) **Collaborative Works among Institutions** – In the absence of any contractual stipulation to the contrary, if the work is the result of collaborative efforts of the University, an outside entity and the creator/s, the copyright shall be jointly owned by the University, the creators and the outside entity.
- (6) **Determination of Authorship in Cases of Contributed Efforts** –
 - (a) In the case of works resulting from the efforts of different persons, authorship, whether sole or collaborative, shall be determined as follows:
 - (i) by stipulation in the research contract;
 - (ii) by application of the rules for joint, primary and sole authorship as determined by a publication for which the work is intended;

- (iii) through alternative modes of dispute processing including mediation and arbitration to be determined by the Office of the University President.
- (b) Only in the event of failure of any of these modes of dispute resolution may a conflict pertaining to the authorship or copyright of a work be referred for legal action.

ARTICLE 5

PATENTS

- (1) **Inventions covered** – all inventions which may be or may relate to a product, process, or an improvement of any of the foregoing, that is new, involves an inventive step, is industrially applicable and potentially patentable, including utility models and industrial designs referred to in these guidelines as inventions shall be covered by these rules on patent.
- (2) **Right to Patent** – except as otherwise provided in these rules, rights to patents shall belong to the inventors.
- (3) **University Ownership of Patent** – The University shall own all patents to commissioned invention. Commissioned inventions are:
 - (a) inventions that are supported by a specific allocation of University funds or use of other University resources;
 - (b) inventions produced at the direction and control of the University in pursuit of a specific project or purpose regardless of the source of funding;
 - (c) works whose inventorship could not be attributed to one or a discreet number of inventors despite the application of processes provided in these rules;
 - (d) those that may be stipulated by contract as commissioned inventions.
- (4) **Disclosure and Assignment** – Creators of commissioned inventions should disclose and assign the patent to these works to the University in accordance with these rules and the implementing guidelines which may be promulgated by the President and confirmed by the Board of Regents.
- (5) **Inventions Funded by Outside Entities**
 - (a) In the event that the funding for the research and creation of the invention is sourced by the University, wholly or partially, from outside entities, the University shall negotiate and execute a written agreement with the funding entity with respect to the ownership of the invention, patent rights and royalty sharing subject to confirmation by the Board of Regents. The agreement shall bind all parties including the inventors.

(b) In default of a negotiated agreement, all patents to inventions including the research funds that were sourced from or by the University shall be owned by the University.

(6) **Required Assignment of Patent to the University.**—Regardless of the source of funding, patents to the following inventions shall be assigned to the University:

- (a) those conceived or first reduced to practice by employees, faculty or students in the University in the course of the performance of their duties;
- (b) those created through substantial use of University resources such as libraries, research facilities, buildings, utilities, equipment, tools and apparatus, including services of its employees working within the scope of their employment;
- (c) those resulting from theses and dissertations, prototypes, proofs of concept or similar work submitted to the University in compliance with academic requirements by students. Expenses which the students may have incurred in connection with these shall be reimbursed to the students concerned in the event the said dissertations, prototypes, etc. are commercialized.

The students shall retain all moral and legal rights to these works, which remain notwithstanding the assignment of the right to patent to the University, and shall be duly acknowledged as inventor/creator.

(7) **Waiver by University of Rights to Patent**

- (a) in the absence of existing contractual obligations to third parties, the University may release patent rights to inventor if all the following conditions are met:
 - (i) the University elects not to file a patent application and the inventor is prepared to do so. It shall be presumed that the University elects not to file a patent application if no application is filed two years after the disclosure of the invention or from the time the University is reasonably presumed to have known of its existence;
 - (ii) the waiver would facilitate the transfer of technology or its access to the general public; and
 - (iii) the equity of the situation clearly indicates that such release should be given.
- (b) No waiver shall be given unless there is a written commitment that no further development of the invention shall be made involving the financial support or resources of the University. Nor shall any waiver be made in violation of any contractual obligation against or contrary to the interest of the University.

(8) **Collaborative Efforts between Institutions** — If the work is the result of collaborative efforts of the University, an outside entity and the creator/s, the patent shall be held in joint ownership among the University, the creator/s and the outside entity.

(9) **Inventions as a Result of Collaborative Efforts**

- (a) The identification of inventorship, whether sole, primary or joint, shall be determined as follows:
 - (i) by contractual stipulation;
 - (ii) by application of the rules and standards of a publication primarily intended by the collaborative effort;
 - (iii) by alternative modes of dispute processing including mediation and arbitration to be determined by the Office of the President.
- (b) Only in the event of failure of any of these modes of dispute resolution may a conflict pertaining to the inventorship or patent rights to an invention be referred for legal action.

ARTICLE 6

OTHER INTELLECTUAL PROPERTY RIGHTS

- (1) **Trade and Service Marks** — Trade and service marks are distinctive words or graphic symbols identifying the sources, product, producer, or distributor of goods or services. The University shall own trade or service marks relating to goods or services distributed by the University. These include names and symbols used by the University relative to or in conjunction with its computer programs or University activities and events.
- (2) **Proprietary Information** — Proprietary information which includes information arising from work within the University. These also include processes which may fall under the concept of "trade secrets".
 - (a) Proprietary information such as proposed terms of research agreements including their financial agreements shall be covered by existing policies, rules and regulations relating to the constitutional duty of a state university to public disclosure;
 - (b) Research information and processes used for academic purposes shall be presumptively considered part of the public domain and shall not be considered as "trade secrets", except when any one of the following is present:
 - (i) The protection is necessary in order to pursue an academic research project to its completion;
 - (ii) The information being protected is necessary in order to protect intellectual property rights of the University to an invention;

- (ii) Upon the determination of the President, circumstances are such that well defined interests of the general public will be better protected by temporarily claiming legal protection of research processes as "trade secrets".

- (A) **Tangible Research Property (TRP) or research results** which are in a tangible form (i.e. integrated circuit chips, computer software, biological organisms, engineering prototypes) which can not be the subject of any other kind of intellectual property protection are presumptively owned by the University. In no case shall biological material in any form be the subject of patents or any form of acquisition.

ARTICLE 7

COMMON PROVISIONS

(1) Waivers and Authorities

- (a) Except in cases of failure to publish or failure to file an application for a patent, all waivers of ownership of intellectual property rights shall be confirmed by the Board of Regents upon recommendation of the President of the University. The President of the University is authorized to delegate his/her responsibilities to any of his/her Vice Presidents.

- (b) The President shall periodically report to the Board of Regents intellectual property rights owned by the University, which are impliedly or expressly waived immediately upon their discovery.

(2) Royalties--

- (a) In the absence of contractual stipulations to the contrary, royalties derived from copyrights, patents and other intellectual property rights of the University shall be shared as follows:

- (i) **Thirty percent (30%) net income shall be retained by the University.** In the disposition of any royalty income accruing to the University from copyrights or patents, fifty percent (50%) thereof shall be allocated to the Office of the Vice President for Research and Development to fund University research and development activities.
- (ii) **Thirty percent (30%) of the net income shall be given to the office of the University that initiated the project to be utilized in funding its instructional and research and development programs.**
- (iii) **Forty percent (40%) of the net income shall be given to the author/s or inventor/s.** Joint authors or inventors shall share equally from this portion. Collaborating authors or inventors shall share in

accordance with the determination of their participation in the authorship or invention as prescribed under these rules.

- (b) Net income shall mean gross income less applicable taxes, administrative costs, filing fees, costs relating to the production, distribution, advertising, maintenance and similar expenses of the work or invention.
- (3) **Use of copyright, patents and other intellectual property rights of the University** -- Pursuant to its public function, the University shall not enter into exclusive licensing arrangements. Nor shall the University enter into any kind of contractual arrangement that would deter the public in general from having reasonable access to the works or inventions.

ARTICLE 8

IP COORDINATING UNIT (OP)/TECHNOLOGY LICENSING OFFICE

- (1) **Creation of an IP and Commercialization Office (IPCO)** -- To implement these rules, the Intellectual Property and Commercialization Office shall be set up under the Office of the President to spearhead the technology licensing activities of the University.

The IP Coordinating Unit shall be set up as precursor of a full-fledged Technology Licensing Office. The Unit shall undertake the following functions:

- (2) **Functions of the IP and Commercialization Office** -- The IPCO shall have the following functions:
- (a) Supervise the disclosure of works created and inventions conceived or first reduced to practice by all University personnel;
 - (b) Facilitate the execution of agreements, affidavits, applications, complaints and other documents relating to works and inventions necessary to facilitate and enforce the University's intellectual property rights;
 - (c) Coordinate with the legal office of the University or any of its campuses, branches and extensions with respect to requests for the filing of cases to ensure the protection and enforcement of the University's intellectual property rights;
 - (d) Monitor the progress of royalty payments;
 - (e) Certify to concerned offices of the University royalty distribution or sharing in accordance with the provisions of these guidelines;

- (f) Undertake activities such as workshops and symposia to familiarize personnel with these guidelines as well as to continually solicit feedback on its directions and implementation.
- (3) **Composition of the IPCO** - The IPCO shall be composed of a director, a licensing assistant, and a filing coordinator.

Other tasks, such as marketing, production, distribution, filing patent application, evaluation of disclosures, needed may be outsourced by the IPCO upon approval by the President.

- (4) **Relation to University Campuses, Branches & Extensions**- The IPCO serves as an assisting and coordinating office for the University's campuses, branches and extensions on matters relating to intellectual property protection.

ARTICLE 9

PRACTICE OF PROFESSION PENALTIES

Aside from penalties which may arise from the violation of any other law or University policy or guideline, any person found to have violated any of the provisions of these guidelines shall be subjected to the following penalties -

- (1) ineligibility for research grants from the University or any of its affiliated foundations for a period not to exceed three years;
- (2) automatic removal of research load credits and ineligibility to receive these benefits for a period not to exceed three years;
- (3) removal from any University administrative position and disqualification for any administrative position for a period not to exceed three years;
- (4) loss of privilege to teach outside and to render consultancy work for a period not to exceed three years.

ARTICLE 10

Other Provisions

1. **Employee Incentives**- Upon the effectivity of these guidelines, the President shall create a committee for the purpose of formulating incentives for faculty, students and administrative personnel involved in technology commercialization activities under this policy. Said incentives shall be separate from royalty income of faculty, students and other personnel relative to their participation in the creation/invention of University technology. They may include flexibility in the University's current policy on academic and research loading, grant of sabbaticals for faculty engaged in the commercialization of the University's technology, and similar incentives.

The incentives formulated herein shall be without prejudice to other incentives the University currently grants.

The incentive program shall be prepared, approved and ready for implementation within six (6) months from the effectivity of these guidelines/policy.

2. **Implementing Rules and Regulations** - The President is hereby authorized to create a committee for the preparation of such rules and regulations which may be necessary for the implementation of the herein policy on intellectual property.
3. **Creation of Committee for Amendments, etc.** - The President is likewise authorized to constitute a committee which will study the implementation of the policy for a period of two (2) years, and recommend to the University's Board of Regents through the President any amendments, modifications or supplemental provisions of any portion or part thereof, or for the revision of the entire policy as may be found proper and necessary.

ARTICLE 11

REPEALING CLAUSE

All other University policies inconsistent with these guidelines are hereby repealed accordingly.

ARTICLE 12

EFFECTIVITY

This Intellectual Property Policy shall take effect immediately upon approval of the Board of Regents.

The IUP Intellectual Property Policy was approved as amended on April 19, 2007 per Board Resolution No. 560, Series of 2007.

Appendix M

PARTICIPANTS IN THE COLLEGE/BRANCH FOCUS GROUP
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