



Office of the Vice Chancellor for
Research and Development
University of the Philippines in Diliman

HANDBOOK *for* Researchers

OVCRD-Administered Grants

September 2008

UNIVERSITY OF THE PHILIPPINES DILIMAN
OFFICE OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT

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THE OFFICE OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT

In line with the University's thrust towards the promotion of a strong research and development (R&D) culture, the Office of the Vice Chancellor for Research and Development (OVCRD) encourages and supports the University of the Philippines Diliman research community by: a) extending funding and technical assistance to research activities; b) exploring other possible sources of funding; c) establishing linkages with other research institutions and individuals; d) facilitating the dissemination of research outputs to the public; e) monitoring the University's research activities; and, f) addressing emerging issues concerning R&D. Mindful of the benefits that the country will derive from research, the OVCRD encourages R&D initiatives in all academic fields.

To effectively carry out its functions, the OVCRD has two principal units, each of which is headed by a Director.

PROJECT MANAGEMENT AND RESOURCE GENERATION OFFICE (PMRGO)

The PMRGO assists in project development, institutional or otherwise; identification of local and foreign support sources of fund and related negotiations; as well as overall project management. The PMRGO has three sub-units: the Research Coordination Section, the Resource Generation Section, and the Data Center Section. OVCRD-funded researches as well as externally funded researches are administered by the Research Coordination Section.

RESEARCH DISSEMINATION AND UTILIZATION OFFICE (RDUO)

The RDUO disseminates research results by publishing books and refereed journals and by assisting UP Diliman faculty and researchers in protecting their intellectual property. The RDUO has two sub-units: the Publication Section, and the Intellectual Property Section.

APPLYING FOR A RESEARCH GRANT

What are the available OVCRD research grants?

The OVCRD offers **Outright Research Grants** for: a) research programs, b) research projects, c) theses, and d) dissertations. It also administers the **UP System Grants**, namely, a) Research and Creative Work Grant, b) Textbook Writing Grant, c) Postdoctoral Research Grant, d) Ph.D. Incentive Grant, e) Sabbatical Research Grant, and f) Emerging S&T Fields Grant (with two components, the Institutional Development Grant and the Emerging S&T Research Grant). The OVCRD administers as well the **Ph.D. Incentive Award** and the **Open Grant**.

Who are qualified to receive grants?

Faculty members and Research, Extension, and Professional Staff (REPS) of UP Diliman (UPD) and UP Extension Program in Pampanga (UPEPP) are qualified to receive grants.

For outright research grants, applicants must meet the following requirements:

Research Program/Project

The proponent must be a regular Faculty Member or REPS in active service in UPD or UPEPP, regardless of the status of employment (excluding Lecturers, Professors Emeriti, and Faculty Members on sabbatical leave). S/He must have knowledge and/or experience in the formulation and implementation of field or laboratory researches and must devote at least 10 hours a week to research and development, and research implementation and administration.

Thesis/Dissertation Grant

The proponent must be a temporary or regular Faculty Member, Teaching Assistant (MA/MS student), Teaching Fellow (Ph.D. student), or REPS in active service in UPD or UPEPP, enrolled in either campus, and whose thesis/dissertation proposal has been approved by his/her College Graduate Committee.

Please see **Annexes 1 to 8** for details of the implementing guidelines of the different grants.

Can I still apply for a grant if I have an ongoing project funded by the OVCRD?

No. Your proposal cannot be considered for evaluation by the office until you have completed your project, submitted your final report and settled all financial/property accountabilities with the OVCRD.

When can I apply?

Below is the schedule of deadlines for proposal-submission:

TYPE OF GRANT	FIRST ROUND		SECOND ROUND	
	CALL FOR PROPOSALS	SUBMISSION DEADLINE	CALL FOR PROPOSALS	SUBMISSION DEADLINE
OVCRD Outright Grants				
Project	3rd wk Jan	Last wk Feb	TBA	TBA
Thesis and Dissertation	2nd wk Mar	Apr. 1st day of Summer Classes	Last wk Aug	Last wk Sep
System Grants				
Research/Creative Work	1st wk Feb	Last wk Feb	1st wk Sep	Last wk Sep
Sabbatical	1st wk Feb	Last wk Feb		
Textbook Writing	TBA	TBA	TBA	TBA
Emerging S&T Fields				
Institutional Dev't	TBA	TBA	TBA	TBA
Emerging S&T Research				
Postdoctoral	Yearround	Yearround	Yearround	Yearround
Ph.D. Incentive Grant	Yearround	Yearround	Yearround	Yearround
OVCRD Ph.D. Incentive Award	Yearround	Yearround	Yearround	Yearround
Open Grant	TBA	TBA	TBA	TBA

Application forms, formats and guidelines may be obtained at the Dean's Office of your college or downloaded from the OVCRD website (www.ovcrd.upd.edu.ph). Please see copies of application forms in Annexes 8 to 15.

How much financial assistance can I avail of?

The funding provided is subject to the recommendation of the evaluation committee based on the projected needs of the proponent in completing the research. Here are specific funding caps for some grants:

TYPE OF GRANT	MAXIMUM FINANCIAL ASSISTANCE
OVCRD Outright Grants	
Project	P 300,000
Thesis	P 30,000
Dissertation	P 60,000
System Grants	
Research/Creative Work	Approximately 58% of annual salary
Textbook Writing	
Post-Doctoral	Airfare (economy class) and grantee's living expenses
Sabbatical	P 30,000
Emerging S&T Fields	
Institutional Dev't	Proponent may propose subject to fund availability
Emerging S&T Research	
OVCRD Ph.D. Incentive Award	P300,000 per year for a maximum of 2 years
Open Grant	Proponent may propose subject to fund availability

How are research funds managed?

All research funds are administered in accordance with government accounting and Commission on Audit (COA) rules as well as UP rules.

For OVCRD outright research grants:

- A. **Thesis/dissertation grants** shall be governed by a contract between the UPD represented by the Chancellor and the grantee stipulating provisions regarding obligations and outputs, among others. The full amount of the grant shall be released to the Grantee after the Chancellor has signed the Implementing Order (IO) and the IO has been notarized.
- B. **Research grants for programs/projects** are governed by a contract between the UPD represented by the Chancellor and the project leader. This contract outlines the provisions for obligations, outputs and intellectual property rights (IPR), among other stipulations.

The project funds shall be released as follows:

- 70% of the total amount** shall be released upon approval of the grant and upon signing the Memorandum of Agreement (MOA);
- 20% of the total amount** shall be released upon submission of the progress report and settlement of the 70% total funds released;
- 10% of the total amount** shall be released upon submission of the final report and publishable article derived from the project, and settlement of the 20% total funds released.

For other grants, these are covered by their respective MOAs or contracts.

What other assistance can I avail of?

The OVCRD maintains a database of completed and/or ongoing UPD research studies that may be of help in the review of related literature. A directory of funding agencies is also available to interested researchers who are looking for research funding outside the University. OVCRD also conducts seminars/workshops on research proposal writing and Intellectual Property Rights (IPR).

Is co-funding allowed?

Yes, co-funding may be allowed. The proponent, however, should inform the OVCRD which components/activities of the project will be funded by the OVCRD and which components/activities are supported by other funding agencies. Furthermore, the proponent should also furnish the OVCRD with a copy of the MOA with the co-funding agency containing IPR agreements, among other stipulations.

EVALUATION OF RESEARCH PROPOSALS

The outright research grant proposal is evaluated by a committee of experts to determine whether the research is suitable for funding by the OVCRD. For other grants, please refer to **Annexes 1 to 8**.

How are proposals evaluated?

Research proposals go through a series of steps:

- A. The PMRGO staff conducts a **preliminary evaluation** of all the submitted proposals to check for the following:
 1. Conformity to the prescribed format;
 2. Endorsement of the department chairperson and dean; and,
 3. Pagination of the proposal
 4. In the case of a thesis /dissertation, the following should be included:
 - a. a copy of the approved thesis/dissertation proposal;
 - b. panel defense sheet which contains the signatures of the panel chairperson and members, action of the panel, comments/ suggestions for revisions; and,
 - c. endorsement of the adviser with information on the current status of the thesis or dissertation

Proponents may be requested by the PMRGO to clarify or explain some details of the proposal (e.g., breakdown of requested budget) whenever necessary.

- B. After the preliminary evaluation, all submitted proposals undergo the **actual evaluation** by the appropriate evaluation committee.

To screen research proposals for possible funding, the OVCRD has two evaluation committees—the Natural Sciences and Engineering Research Evaluation Committee, and the Social Sciences and Humanities Research Evaluation Committee. The Director of PMRGO or the Vice Chancellor for Research and Development (VCRD) serves as chairperson of these evaluation committees.

The committees meet separately to evaluate research proposals within their areas of concern. The number of evaluation meetings may vary depending on the quality and number of the proposals being evaluated.

These committees evaluate the research proposal based on the following criteria:

1. Quality of Proposal - originality/novelty of ideas; scientific or artistic merit and soundness of methodology;
2. Timeliness and Relevance - significance to current issues/scientific or artistic domain;
3. Consonance of proposed budget with the research activities and expected output;
4. Status of proponent with the University;
5. Track record of proponent;
6. Potential of publishing a manuscript; policy and programmatic implications; technology innovation with commercial possibilities.

The evaluation committee submits their recommendation to the PMRGO Director. The PMRGO Director makes the final decision regarding approval of proposals for funding. The number of proposals that will be approved will depend on the technical merit of proposals submitted, as well as the total amount of available research funds.

- C. The proponents will then be informed in writing by the PMRGO Director of the evaluation results. The proponents of approved proposals will also be advised of the implementation date and procedures of the project/grant.

Prior to the grant implementation, the new project leaders/grantees are **required** to attend an orientation on policies and guidelines governing the grant on a date set by the OVCRD.

- D. In some cases, there are other requirements that need to be provided by the proponent before the implementation of the project. These include permits that signify compliance with the following:
1. Statistical Survey and Clearance System - Survey proponents are required to secure clearance from the National Statistical Coordination Board (NSCB) at least 45 days before the scheduled conduct of the survey.
 2. Philippine Biosafety Guidelines - A permit from the National Committee on Biosafety of the Philippines (NCBP) is required for research involving genetic engineering, as well as importation or introduction and/or breeding of plant pests and potentially harmful micro-organisms.
 3. Comprehensive Dangerous Drugs Act of 2002 (RA 9165) - To conduct research involving dangerous or controlled substances, a license from the Philippine Drug Enforcement Agency (PDEA) is required.
 4. Wildlife Resources Conservation and Protection Act (RA 9147) - For purposes of thesis/dissertation of students affiliated with local government institutions, including those government-initiated or -implemented research or scientific projects, a Gratuitous Permit (GP) issued by the DENR (Department of Environment and Natural Resources) Regional Executive Director, who has management jurisdiction over the study sites/areas, is required. If the proposed study will be undertaken in areas covered by two or more regions, the GP shall be issued by the Director of the Protected Areas and Wildlife Bureau (PAWB).

PROJECT IMPLEMENTATION

The PMRGO shall set the official starting date for the Outright Research Grant (for Research Project), Ph.D. Incentive Award, and the Open Grant.

The implementation of the thesis/dissertation grant, which is also under OVCRD's Outright Research Grant, may commence at the date of approval of the thesis/dissertation proposal by the Thesis/Dissertation Panel of the Department where the grantee is enrolled as cited in the approval sheet. If the year of the Panel's approval of the thesis/dissertation proposal is earlier than the year when OVCRD approved the grant, then commencement date for the thesis/dissertation grant will be set in January of the year when OVCRD approved the thesis/dissertation grant so that funding will fall within UP Diliman's fiscal year.

The Office of the Vice President for Academic Affairs (OVPA) sets the commencement date for the System Grants.

Can I defer the implementation of my research grant?

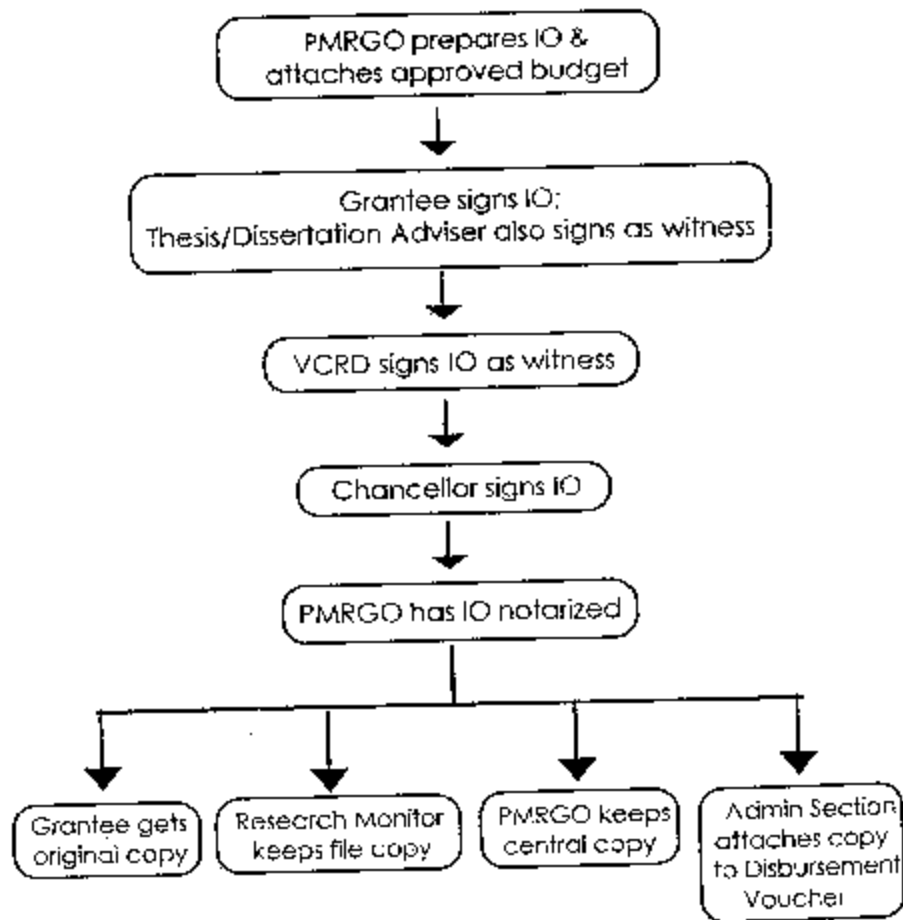
The proponent may request that the project implementation be deferred for a minimum of 1 month to a maximum of 6 months. However, the start of the actual implementation should be in the same calendar year (also the fiscal year) as the original implementation date. If the research is not undertaken within this period, the proponent forfeits his/her right to the grant.

How are implementation papers processed?

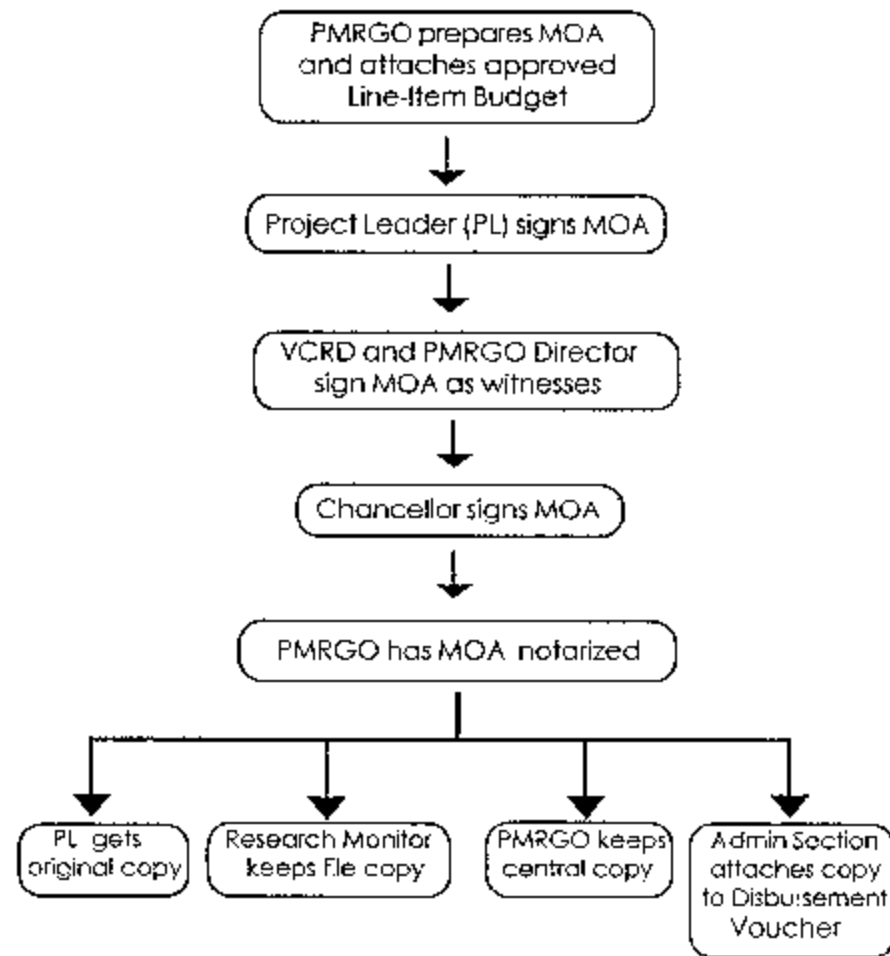
Implementation papers are prepared when research proposals are approved for funding by the committees. For program and project grants, the Memorandum of Agreement (MOA) is required for the official implementation of the research and the disbursement of research funds, while the Implementing Order (IO) is needed for thesis and dissertation grants. The IO and the MOA contain all the provisions for implementation.

IOs and MOAs are processed as follows:

Thesis/Dissertation Grant Implementing Order



Memorandum of Agreement



As a faculty member, can I avail of the Research Load Credit (RLC)/ Creative Work Load Credit (CWLC) once my research/creative work grant is approved?

Yes, faculty members doing research/creative work may apply for Research Load Credit (RLC)/Creative Work Load Credit (CWLC) which may partially satisfy the faculty members' required load of 12 units. Outlined below are procedures on the RLC/CWLC lifted from the University Guidelines*:

1. Load credit for research/creative work shall ordinarily range from 1 to 3 units per semester. All applications for research/creative work load credit [please see Annexes 18 and 19] must be accompanied with a description of the work, timetable/duration of the project and funding information. They must be recommended by the Chair of the Department and approved by the Dean.
2. Whenever load credit is claimed for research/creative work, a report of accomplishment or progress report shall be submitted to the OVCRD at the end of the semester when load credit is claimed and upon renewal of application. It is the responsibility of the Dean to see to it that such reports are submitted on time. There shall be attached to the report an evaluation of the research output/creative work by the College Research Committee or its equivalent, including recommendation by the Dean for the renewal or non-renewal of the load credit. A final report shall be submitted to the OVCRD at the end of the project period indicated in the timetable.
3. A load credit for research/creative work in excess of 3 units per semester but not exceeding a total of 6 units may be requested from the Chancellor in very meritorious cases. Such applications for a load credit shall be evaluated and endorsed by the Dean. All applications for research/creative work load credit in excess of 3 units shall be submitted to the Office of the Chancellor before the beginning of the semester but not later than the first day of registration. All applications for load credit that are submitted to the Office of the Chancellor after the first day of registration shall not be given more than 3 units of credit.
 - a) RLC/CWLC may be given for module/textbook writing.
 - b) RLC/CWLC may not be counted for purposes of overload.
 - c) RLC for projects that are completed in the middle of the semester shall be pro-rated based on the portion of the semester when the project was completed.
 - d) RLC/CWLC is not granted for editing of printed work and for thesis/dissertation work.

Application forms (UP Form 67-C/67C-1) are available at OVCRD and may also be downloaded from OVCRD's website, www.ovcrd.upd.edu.ph.

*Revised University Guidelines on Research and Creative Work Load Credit, UPD Exec. Com. meeting, June 19, 2002; OVCRD memo 29, June 24, 2002; revised UPD Exec. Com. meeting, October 1, 2003

DUTIES AND RESPONSIBILITIES OF PROGRAM/PROJECT/ CO-PROJECT/STUDY LEADER

What are my tasks and responsibilities as Program/Project/Co-Project Leader/Grantee?

Program Leader

1. Provides overall direction of the project in terms of setting up common research objectives for separate research projects under the program;
2. Plans the schedule of activities of the various projects to ensure synchrony and coordination in research efforts and that outputs are achieved;
3. Determines ways and means by which separate projects can complement and supplement individual data collection efforts; and,
4. Ensures that all project leaders comply with the provisions of the MOA such as submission of reports or financial settlement.

Since the Program Leader is concurrently the Project Leader of a component research project, s/he must also accomplish the duties expected of a Project Leader. Furthermore, when planning to go out of the country **for more than 30 days**, the Program Leader must notify the PMRGO and recommend a competent Officer-in-Charge (OIC) from among the project leaders of the program.

Project Leader/Co-Project Leader

1. Plans the research procedures and directs operations necessary to meet the objectives of the research;
2. Hires research personnel and prepares the necessary paperwork for their services;
3. Plans, organizes, and coordinates the duties and tasks of research personnel through the different stages of the research process;
4. Takes charge of the financial settlement and is responsible for property accountability;
5. Writes and edits all written outputs of the project; and
6. Complies with the provisions of the Memorandum of Agreement.

When planning to go out of the country, the Project Leader notifies the PMRGO and recommends a competent OIC. In case s/he has a Co-Project Leader, the Co-Project Leader is automatically appointed as OIC. On the other hand, a Thesis/Dissertation Grantee, because of the nature of his/her research, cannot assign an OIC.

Study Leader

1. Assists the Project Leader in planning and managing research operations;
2. Plans and supervises the work of lower level personnel in the implementation of the research aspects assigned to him/her by the Project Leader;
3. Reviews the findings, analyses, and research interpretations arrived at by the research personnel; and,
4. May initiate and supervise data collection, processing, and report writing.

Am I entitled to receive honorarium as Program/Project/Co-Project Leader?

Yes, Program, Project, Co-Project and Study Leaders are entitled to receive honorarium. The rates are as follows:

Position	Honorarium
Program Leader	P3,500/month
Project Leader	P3,000/month*
Study Leader	P1,500/month

*The honorarium will be equally divided among the Project Leader and his/her Co-Project Leader(s) unless they indicated a different honorarium schedule in their proposal.

Thesis/dissertation grantees are not entitled to honorarium.

RESEARCH PERSONNEL HIRING AND COMPENSATION

Can I hire project personnel?

Yes, the Project Leader may hire technical staff on a full-time, part-time, or straight fee basis. The plantilla of project personnel must conform to the approved research line-item budget. Changes in Personal Services (e.g., status, salary, or hiring of additional personnel) can be effected through the submission of a formal request subject to the approval by the PMRGO Director.

What should be their qualifications?

Criteria for qualifications should conform to the requirements of the Human Resources Development Office (HRDO) of the University. Below are some positions of personnel that may be hired to work for an OVCRD-funded research.

University Research Associate I

The applicant must possess a baccalaureate degree relevant to the field of research.

Duties

Since research activities require advanced knowledge and skills in mid-level research operations, the applicant must possess the ability to carry out the following tasks:

1. Institute laboratory controls and set-ups;
2. Assist in the construction of questionnaires, interview schedules, and observation guides;
3. Supervise data collection activities in field or laboratory settings;
4. Code/tabulate/encode and edit data;
5. Conduct qualitative/quantitative data analyses; and,
6. Write the initial report on research results.

Moreover, the research associate is also expected to carry out other project-related activities assigned to him/her by the project leader.

Statistician

The applicant must have a baccalaureate degree relevant to the nature of work.

Duties

1. Performs computations using relevant statistical software;
2. Prepares statistical reports, tables, charts, and graphs;
3. Provides assistance in statistical analysis.

Translator

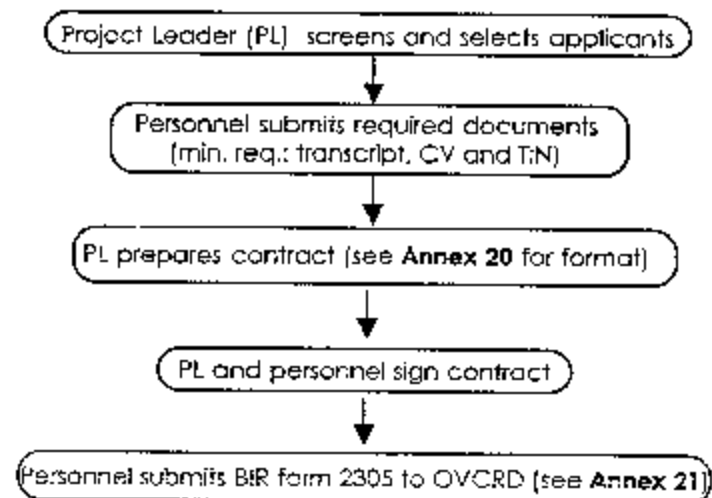
The person to be hired must have the appropriate educational background or professional experience in translation work.

Duty

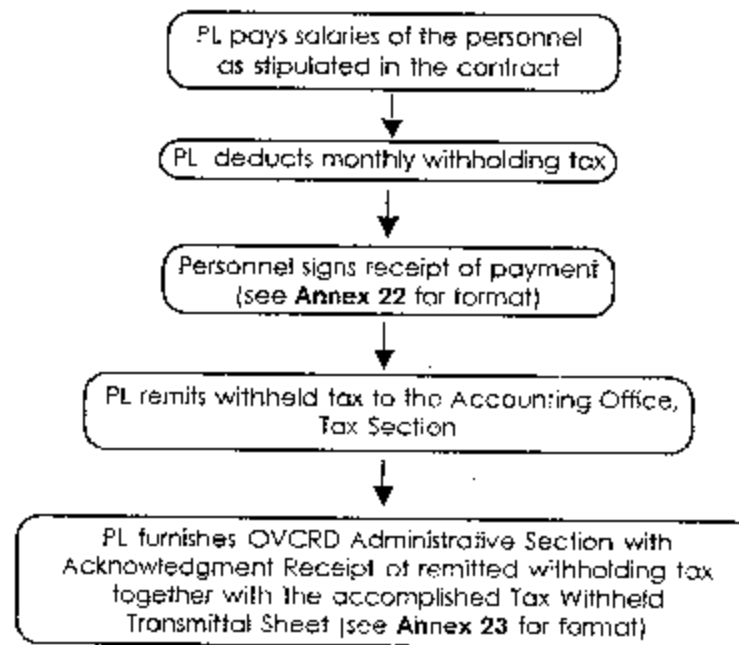
Translate manuscripts, literary work, questionnaires, transcripts of interviews, and other documents.

What are the procedures for hiring project personnel and paying salaries and fees?

Hiring Procedure



Procedure for Payment of Salaries and Fees



How much is to be deducted for withholding tax?

For program/project/co-project/study leader, 20% of the honorarium shall be deducted as withholding tax. Twenty percent (20%) withholding tax will likewise be charged from part-time work salaries or straight fees of UP employees hired for a project. The project leader should remit withheld tax to the Accounting Office, Tax Section furnishing OVCRD Administrative Section with (1) Acknowledgment Receipt of remitted withholding tax, and (2) the accomplished Tax Withheld Transmittal Sheet (see **Annex 23** for format).

A 10% withholding tax will be deducted from the straight fee of research personnel who are not UP employees while for project personnel hired on a full-time basis, it will be computed based on their income bracket.

How much do I have to pay the research personnel?

Recommended Salary Rate for Research Personnel

(UP Revised Salary Scale, National Budget Circular 474, July 2001)

Position	Basic Rate	
Graduate Assistant	5042/hour, max. of 100 hrs./month	120
Student Assistant	3025/hour, max. of 100 hrs./month	100
Univ. Research Associate I	12,284/month	120
	13,512	

DISBURSEMENT OF RESEARCH FUNDS

What should I keep in mind in purchasing materials or spending research funds?

The Project Leader, and Thesis and Dissertation Grantees are accountable and in charge of the proper documentation of fund expenditure. Project Leaders may delegate the compilation of these requirements to project staff, but s/he shall be responsible for their validity.

1. Only expenses detailed in the approved line-item budget (LIB) should be charged to project funds. Any realignment must be requested (supported by a justification of such a change) and approved by the PMRGO director.
2. Only **original, official receipts** dated within the approved project duration, including approved extension periods, shall be acceptable to charge against the project funds.
3. Receipts must have official receipt (OR) numbers and tax identification numbers (TIN), and bear the inscriptions of any of the following: Official Receipt, Cash Invoice, or Cash-Sales Invoice. Taped receipts with the words "This serves as your official receipt" are also acceptable.
4. The date of the receipt and other particulars should be complete and legibly written.
5. Certification or affidavit of loss shall not be considered as appropriate replacement for the required receipts.
6. The OVCRD reserves the right to question the validity of receipts, and may conduct inquiries in order to determine receipt authenticity. The OVCRD may disallow receipts it finds questionable.
7. When purchasing materials, the Project Leader is encouraged to maximize his/her funding by getting the best possible purchasing deal within a reasonable time.

What are the requirements in making purchases/expenses?

Research fund expenditures should be in accordance with the approved line-item budget of the grant and should be within the duration of the grant.

1. Supplies and Materials

These include field, laboratory and office supplies and materials essential to the research.

- Supplies and materials usually include expendable commodities for immediate use in research, or items consumed within a year after being put to use or converted in the process of manufacturing or construction.
- Laboratory animals are also classified as research materials.

Determine the unit costs of supplies and materials and the required quantities for each of the various commodities. Prevailing prices may be used as the basis of computations. The list of supplies and materials with corresponding estimated unit and total cost should be attached to the LIB.

Three quotations are required for supplies and materials costing P10,000 and above. All purchases shall be supported by original, official receipts **payable to the Project Leader**.

Receipts should bear the name of the Project Leader and the date of purchase. The date of purchase should be within the duration of the project.

2. Books

As much as possible, the titles of the books the proponent plans to charge against project funds must be specified in his/her proposal, and these should not be available in the University Libraries. Original, official receipts must bear the name of the Project Leader and the date of purchase.

Books may also be purchased abroad provided these are not locally available.

3. Equipment, Peripherals and Accessories

These include items, which when used, do not suffer any material or substantial change or alteration in size or form, or whose life expectancy is more than one year.

These commodities also include semi-expendable supplies which are not readily consumable but are more or less permanently useful or non-expendable.

The following supporting documents are required:

- a. At least three quotations with the same specifications, or a certification of sole distributorship from the supplier for purchases over P10,000.00
- b. Acknowledgement Receipt for Equipment (ARE) to be accomplished by OVCRD for purchases over P2,000.00 (see **Annex 24**)
- c. Inventory Custodian Slip (ICS) to be accomplished by OVCRD for purchases equal to P2,000.00 or less (see **Annex 25**)
- d. Original, official receipt and sales invoice/delivery receipt. In cases wherein the Project Leader will need to keep the original receipt for warranty purposes, a reproduction of the official receipt may be submitted in the financial report provided the Project Leader presents the original receipt to the OVCRD. The original, official receipt will be submitted during the last financial report.

The following are required for purchases abroad:

- a. Request for authority to purchase abroad from the Vice Chancellor for Research and Development/OVCRD-PMRGO Director
- b. Purchase Order
- c. Statement of Account when credit cards are used to purchase an equipment, peripherals or accessories abroad

4. Reproduction of Materials

The OYCRD allows the reproduction of project-related materials of a reasonable quantity. This must be supported with the following information:

- a. An original, official receipt, bearing the name of the project leader and the date of purchase which is within the approved duration of the grant.
- b. The project leader/grantee must ensure that the number of copies and cost per copy, in addition to the total photocopying cost, are indicated in the receipt.
- c. The title of the photocopied document must be specified on the page where the OR is attached. This page must also bear the signature of the project leader/grantee.
- d. Any corrections to the entries in the OR should bear the initials of the authorized sales clerk.

5. Travel

This includes expenses incurred in the movement of persons, whether employed in the government or not, such as transportation, subsistence, lodging and travel per diems, hiring of guides or patrol, transportation of personal baggage or household effects; railroad, airline and steamship fares, tips, transfers, etc. while traveling; charter of boats, launches, automobiles, etc.; non-commutable transportation allowances, road tolls, parking fees; and all other similar expenses.

Only project-related travel specified in the approved line-item budget is chargeable to project funds.

Within Metro Manila

Project leaders and staff whose permanent official station is within the Metro Manila area shall not be allowed the authorized travel expenses for their travel assignments within Metro Manila. The same restriction shall also apply to those whose official station is outside Metro Manila when assigned to places where their official station is located. Only the cost of transportation may be reimbursed or paid from the MOOE (Maintenance and Other Operating Expenses). The following are required for payment of cost of transportation:

a. Itinerary of travel

An Itinerary of Travel (IT) should be prepared for each trip regardless of the number of days (see **Annex 26** for format). The IT should bear the date of travel, places of origin and destination, the public conveyance used, the cost of transport, and the trip's purpose. The Project Leader or his/her staff that prepared the IT must sign it.

b. Bus tickets, or Reimbursement Expense Receipt (RER) for taxi fare (see **Annex 27**)

Expenses incurred during travel for research purposes include the actual cost of transportation (as supported by tickets or receipts), or unreceipted fares at prevailing rates (e.g., jeepney fares) from the research station to the place of field assignment and back.

c. Official receipts for gasoline (for government vehicles)

d. Trip ticket (for government vehicles)

Outside Metro Manila

The OVCRD complies with the guidelines defined by Executive Order 298 for travel allowances. Thus, a project leader/personnel or grantee shall be entitled to P800 **per diem** rate. This includes travel allowance of P240 (30% of the total) covering the cost of subsistence/meals; P160 (20%) inland transportation and other incidental expenses; and hotel/lodging allowance of P400 (50%).

Actual expenses for lodging shall likewise be allowed provided they are within the established range. Expenses incurred in four-star hotels shall not be allowed except in meritorious cases. Reimbursement shall be supported with cash invoice/official receipt.

In addition, a full per diem is given only for trips covering one whole day (i.e., before 7:00 a.m. and after 12 midnight).

For every trip/travel, only one mode of claiming subsistence shall be allowed, either **actual expense** or **per diem**, but in no case shall it be a mixed claim.

Actual expense shall be supported with cash invoices/official receipts.

Requirements for trips outside Metro Manila:

- A Travel Order (TO) form (see **Annex 28**) must be accomplished for provincial travel.
- One TO must be accomplished per project staff.
- The TO must detail the dates/time of travel, the destination, and purpose. The form should also bear the name, designation and signature of a certifying officer from the place visited, and the signature of the Project Leader certifying for travel completed.

Allowable Travel Expenses

- The grantee may reimburse the actual fare for an authorized mode of transportation, at the prevailing rates. This shall start from the permanent official station up to the destination or place of work, and back.
- Only the ordinary public conveyances or customary modes of transportation shall be used, unless transport of research-related materials is involved, such as using taxicab services in transferring bundles of supplies or heavy equipment to a research locality, or transporting baggage and research materials to and from out-of-town sites. This must be supported by a detailed Reimbursement Expense Receipt or RER (see **Annex 27**) and a justification for the service.
- Using privately owned motor vehicles for official trips must be justified and supported by a contract. In the absence of a contract, only the equivalent costs of the customary mode of transportation are chargeable against the project.
- Gasoline costs are chargeable against project funds when a government vehicle is used for the trip. A copy of the trip ticket and the gas receipt must be submitted to support this.

6. Laboratory Fees

Original official receipts should be presented with details of the services (e.g., no. of samples analyzed, cost per sample).

7. Meetings/FGDs

Food expenses for project-related meetings, focus group discussions, etc. specified in the project's methodology are allowed. These should be supported by Attendance Sheets bearing the date, venue and the purpose of the meeting, and the list of attendees and their signatures.

Official receipts are required for these food expenses.

8. Tokens

These should be given for a purpose related to the approved methodology. Original official receipts and the purpose for which the tokens are given should be indicated on the page where the OR is attached. This page should also bear the project leader's signature.

9. Sundry

This covers maintenance and operating expenses not included in the cost of travel or supplies such as:

- communications which may include the cost of all services for transmitting messages (i.e., telephone/cellular phone, telegrams, cables, postal charges, telegraphy/express messenger services)
- library/museum fees

MONITORING OF GRANTS

How does the OVCRD monitor my progress?

Progress Report

The principal mechanism for monitoring the progress of ongoing researches is called the Progress Report (PR). Two (2) copies of the PR is submitted within 15 days after the end of the first half of project implementation (e.g., sixth month for a one-year project, third month for a six-month project).

The PR should contain the following information:

1. **Activities**
 - a. Actual activities undertaken
 - b. Activities not accomplished, if any, and reasons why these were not done
 - c. Activities done ahead of schedule, if any
 - d. Additional activities, if any
2. Preliminary processing of data: findings
3. Preliminary analysis: discussion of findings and interpretations
4. Samples of output or research materials (i.e., questionnaires, test materials, observation forms used for data gathering)
5. Financial status: settlement of first fund release (see **Annex 29** for format)
6. Summary of problems encountered: including those encountered in research administration and implementation
7. Proposed changes, if any, and rationale for changes: substantial changes particularly in the objectives and methods will be submitted to the appropriate evaluation committee
8. Endorsement of Adviser (for thesis/dissertation)

Proposed changes and problems encountered in the research can be communicated to the OVCRD anytime as deemed necessary to expedite appropriate action on these matters.

In addition to the PR, a research monitor may visit an on-going project at the Project Leader/Grantee's official station and/or research site, after notice is sent to the Project Leader/Grantee.

FINAL OBLIGATIONS

Option A: Submitted/Accepted/Published Article

The OVCRD shall have the right to first publication of any output arising from the project. The Program/Project Leader/ Grantee, however, has the right to select the publisher should OVCRD through Science Diliman, Humanities Diliman or Social Science Diliman fail to publish his/her work within six (6) months from the date of submission of the manuscript, or declines to publish or fails to review the paper within three (3) months. Program/Project Leaders/ Grantees who submit their output to ISI-accredited journals are exempted from this six-month first publication rule.

For articles submitted to/accepted/published by journals/publishers other than OVCRD, the Program/Project Leader/ Grantee shall furnish OVCRD with an article submitted/accepted or published in a peer-reviewed conference or journal derived from the project (two hard copies and one CD copy), within sixty (60) days after the approved termination date of the project.

Option B: Final Program/Project Report

The Project/Program Leader/ Grantee may submit a final report in lieu of an article described in Option A. Two (2) copies of the draft final report should be submitted to the OVCRD within 60 days from the completion of a research project. The format should follow that of a scientific journal outlined as follows:

1. Research abstract, key words (maximum of 5)
2. Introductory chapters: problems, objectives, and significance
3. Review of literature
4. Methodology: sampling design, variables, materials, and procedures
5. Presentation of results, including figures, tables, & photos, as necessary
6. Discussion and interpretations
7. Conclusion and recommendations
8. References/bibliography
9. Appendices
10. Short note about the author

One hard copy (paginated) and one CD copy (in MS Word, PDF or Open Office formats) of the final report shall be submitted after the report has been revised based on the evaluation.

Who will evaluate my final report?

Upon receipt, the final report is referred to an evaluator/referee who reviews the report using the following guidelines:

1. Were the study objectives accomplished?
2. What do you see are actual as well as potential scientific scholarly contributions of the research?
3. Will you recommend it for publication? If yes, what kind of publication (e.g., International, ISI or others)? If no, why not?
4. Do you have any suggestions on content and format if deemed worthy of publication?
5. Do you have any comments on other aspects of the study or report that you think are relevant or will improve the report?

Additional conditions of OVCRD research grants include the following:

1. The University may also require the Program/Project Leader/Grantee to present/exhibit his/her research results in dissemination activities.
2. Final reports and bound copies of theses and dissertations submitted by the Program/Project Leaders and the Grantees, respectively, are considered property of the OVCRD.

The PMRGO Director may submit the report to more than one evaluator if s/he deems it necessary. Experts are expected to complete the evaluation report within six (6) weeks. If found satisfactory, the report is officially accepted by the OVCRD. If, on the other hand, the final report proves to be deficient, it is returned to the Program/Project Leader for revision.

Is there a prescribed format for the final report of a thesis/dissertation?

The OVCRD has no prescribed format for the final report of theses and dissertations since each college/unit has its own format. The OVCRD instead requires that a thesis/dissertation Grantee submit one (1) bound copy of the thesis/dissertation, which has been approved and accepted by the Grantee's college, together with a CD copy of the manuscript in MSWord format within 60 days from the termination of the grant. The Grantee is also required to submit one (1) hard copy of a publishable article based on the thesis/dissertation.

In the Acknowledgments part of the thesis/dissertation, the Grantee should cite the financial support given by the OVCRD.

Are thesis/dissertation reports evaluated?

No, the PMRGO does not evaluate theses/dissertations because these have already been evaluated and approved by thesis/dissertation panels and accepted by the college.

What else do I have to settle before I can be cleared of my accountabilities?

In addition to the published article/final report, you must settle all financial accountabilities with the OVCRD not later than one (1) month after the termination of the project. Likewise, you can request from OVCRD that all semi-/non-expendable items and equipment purchased out of project funds (issued Acknowledgement Receipts for Equipment/Inventory Custodian Slips) be assigned to you even after the duration of the project for as long as you remain with the university. University rules for transfer and disposal of equipment will apply.

If I was not able to finish the project on time, would I be allowed to extend the duration of my research?

There is a grace period of two (2) months granted to a project from the date of its expected completion to allow the Project Leader/Grantee to comply with OVCRD requirement(s), for example, completion of final report. It is important to note that the grace period is not equivalent to an extension of the grant. The Project Leader/Grantee can no longer use the unexpended funds during this time unless the grant has been officially extended.

If more time is needed to complete the project, the Program/Project Leader/Grantee may request an extension of one to six (1-6) months, **without additional funding**. The project leader may also request permission to use unexpended funds during the extension period. The request should be made in writing not later than one month before the termination of the grant. The letter should describe the status of the research, the length of time needed and the activities to be undertaken.

How many times can I request for an extension?

The proponent may request for a second extension provided this does not exceed the total six (6) months maximum extension allowed. Thus, if the proponent realized that the two-month extension s/he requested earlier is not enough, s/he may request for another four-month extension, at most.

What happens to the unclaimed unexpended funds?

Fund balances that are not claimed within two (2) months after the termination date will revert to the OVCRD research funds. Failure to meet the deadline for submission of project-related expenses will mean waiver of the Program/Project Leader/Grantee's right to charge the expenses against project funds.

When is a grant withdrawn or suspended?

The project shall be suspended and fund release shall cease when the Program/Project Leader or Grantee:

1. Leaves the country without properly informing the PMRGO;
2. Is suspended from UPD for any offense; and,
3. Fails to produce promised outputs midway through the project without justifiable cause.

After the suspension is lifted, the continuation of the existing project will be subject to the review of the Executive Committee of the OVCRD. In case of indefinite suspension, the project will be automatically terminated.

What happens if I'm not able to submit the expected output?

In case a proponent fails to submit the expected output within one year from the original termination date, s/he shall reimburse the OVCRD all fund releases, unless such failure is due to meritorious reasons beyond his/her control.

INTELLECTUAL PROPERTY RIGHTS

All OVCRD-funded researches are subject to the Governing Principles and Policies in Intellectual Property Rights approved by the Board of Regents in its 1171st meeting held on May 30, 2003 (System Guidelines).

All grantees and their staff are encouraged to seek the assistance of RDUO for any copyrightable or patentable material arising from their work. Please fill out and submit either a Copyright Information Form (see **Annex 30**) or an Invention Disclosure Form (see **Annex 31**) to facilitate the process.

OVCRD JOURNALS

The Office of the Vice Chancellor for Research and Development (OVCRD) publishes three (3) journals, namely, **Humanities Diliman**, **Science Diliman**, and **Social Science Diliman**. These are all refereed.

Manuscripts must have a high degree of scholarship. Manuscripts are selected for publication according to editorial assessment of their suitability and reviews of independent referees. They will be sent to two or three reviewers, chosen for their expertise. Contributors may suggest reviewers.

Humanities Diliman (ISSN 1655-1532) is a journal for the humanities. It is multilingual and both disciplinal and multi-disciplinary. Articles on any aspect of creative and cultural work may be submitted. Book reviews may also be submitted.

Science Diliman (ISSN 0115-7809) is a journal of pure and applied sciences. Considered for publication are primary and original papers. Results of interdisciplinary research projects may be submitted for publication. Review articles may occasionally be accepted. Except for review articles, papers should present new and previously unpublished material.

Social Science Diliman (ISSN 1655-1524) is a journal for the social sciences. It is bilingual (English and Filipino) and both disciplinal and multi-disciplinary. Articles may be on any aspect of the social sciences and their applications. Book reviews may also be submitted.

What is a refereed journal?

A refereed journal contains articles that have been reviewed by persons considered experts in their field of study prior to publication.

Persons requested to referee articles for the journals are independent of the editorial board of each journal. Articles are reviewed both by national and international referees.

The Review Process

Humanities Diliman, **Science Diliman**, and **Social Science Diliman** follow the double blind review process. This means that the identity of the author of the manuscript is not known by the reviewers during the review process. The identity of the reviewers is not known by the authors as well. OVCRD ensures that the names of the authors are removed from the manuscript before sending the manuscript for review.

All authors of articles submitted to **Humanities Diliman**, **Science Diliman**, and **Social Science Diliman** should comply with the requirements for his/her manuscript to be considered for publication. Authors/contributors may visit the OVCRD website, www.ovcrd.upd.edu.ph, for the list of the requirements. All the necessary forms and guidelines in preparing the manuscript for each journal can also be downloaded from the OVCRD website.

ADMINISTRATION OF EXTERNALLY-FUNDED RESEARCHES

Can I have my externally-supported project administered by the OVCRD?

Yes. The OVCRD administers funds of projects supported by non-UP funds, government or private. A MOA (Memorandum of Agreement) is required between the funding agency and UP.

How are external funds administered?

Administration of external funds is the same as OVCRD funds except when specified otherwise by the funding agency.

Does UP charge Administrative Overhead Cost?

Yes. In accordance with UP Policy and Guidelines, a percentage of all project funds shall be allocated for University administrative overhead cost in accordance with the following schedule:*

Amount of Funding	Administrative Cost
Less than P100,000	minimum of 5%
P100,001-200,000	minimum of 7%
P200,001 and above	minimum of 10%

How does UP allocate Administrative Overhead Cost?

The administrative fund shall be used for the following purposes:

- To help shoulder the utilities and maintenance bills.
- To provide assistance to academic programs, such as the acquisition of equipment and supplies and materials in support of such programs.
- To help upgrade the library collection of the University.
- To grant salaries/honoraria/incentive pay to deserving personnel and/or offices providing service to the project/program.

The amount to be allocated as salaries/honoraria/incentive pay to deserving personnel shall in no case exceed fifty percent (50%) of the share of the administration per project/program and in no case shall any part or portion of that honoraria be paid to any personnel of the University who is not involved in providing administrative support to the projects as approved by the appropriate University official. *

*Policy and Guidelines on the Use of University Administrative Overhead Funds as amended by the Board of Regents at its 1037th meeting, Jan. 31, 1991

DEFINITION OF TERMS

EXTERNAL FUNDING AGENCY – refers to institution, both local or foreign, which provides financial assistance to the University for the conduct of research, training, or other projects/programs.

FINAL REPORT – the last report submitted for a research project. This is submitted within 60 days after the termination of the project.

GRANTEE – faculty or REPS of UPD and UP Extension Program in Pampanga and is a graduate student enrolled in UPD whose thesis or dissertation was approved for funding.

HONORARIUM – a form of remuneration for the services of the program/project/ study leader whose broad and superior knowledge, expertise, or professional standing in specific fields contribute significantly to scientific and technological research and development.

IMPLEMENTING ORDER – a document that states the date of effectivity of the research, the total amount of grant, and the conditions for implementation. This is prepared upon approval of a thesis/dissertation for funding. The Chancellor and the grantee sign the document. The thesis/dissertation adviser and the VCRD sign as witnesses.

MEMORANDUM OF AGREEMENT – a document that states the date of effectivity of the research, the total amount of the grant, and the conditions for implementation. This is prepared upon approval of the project for funding. The approved line-item budget form part of the Memorandum of Agreement. The Chancellor and the Project Leader sign the document. The VCRD and the PMRGO Director sign as witnesses.

NATURAL SCIENCES AND ENGINEERING RESEARCH EVALUATION COMMITTEE (NSEREC) – composed of 4-6 faculty members coming from different fields of the natural sciences and engineering who are appointed by the Chancellor. The VCRD or the PMRGO Director serves as Chairperson. The NSEREC evaluates research proposals submitted for funding, help in the formulation of policies for OVCRD-funded research projects and serve as resource persons in research-related seminars/fora sponsored by the OVCRD.

PROJECT PROGRESS REPORT – a report on the progress of the project submitted within 15 days after the end of the first half of implementation.

PROJECT LEADER – faculty or REPS of UPD and UP Extension Program in Pampanga whose research projects were approved for funding.

RESEARCH – involves a series of planned activities undertaken to obtain valid and reliable answers to verifiable research problems, using the methods of observation, documentation, and inquiry or other less direct approaches which are acceptable in the scientific tradition.

RESEARCH PERSONNEL – those engaged in basic, applied, or development researches.

RESEARCH PROGRAM – a comprehensive interdisciplinary and multi-disciplinary research activity that seeks answers to multidimensional problems through the conduct of two (2) or more interrelated research projects. This is headed by a Program Leader.

RESEARCH PROJECT – a planned investigation headed by a Project Leader usually involving no more than two (2) disciplines, to obtain valid and reliable information pertinent to a set of interrelated research objectives. A research project may be a component of a program.

RESEARCH STUDY – a planned investigation of a specific problem identified under a project undertaken by a Study Leader, within a single discipline or area of study identified under a project, to obtain valid and reliable information concerning simple research objectives.

SOCIAL SCIENCES AND HUMANITIES RESEARCH EVALUATION COMMITTEE (SSHREC) – composed of 4-6 faculty members from different fields of the social sciences and humanities appointed by the Chancellor. The VCRD or the PMRGO Director serves as Chairperson of the committee. The SSHREC has the same functions as those of the NSEREC.

UNIVERSITY ADMINISTRATIVE OVERHEAD COST – refers to expenses incurred by the University for accounting and bookkeeping, personnel support services, maintenance of facilities, utilities, etc., which are not provided for in the itemized budget of a project/program. These are indirect costs of a project/program borne by external funding agencies.



ANNEXES

ANNEX 1

IMPLEMENTING GUIDELINES OF GRANT FOR RESEARCH AND CREATIVE WORK*

1. The grant shall support research or creative projects in any field (basic and applied) provided the proposed project is within the discipline/field of the applicant. (For example, an application to write poetry shall not be entertained if proposed by faculty outside this field.)
2. Regular, full-time faculty and REPS, except faculty on sabbatical and those on secondment to other agencies, may apply for the grant provided they meet the qualifications stated in Annex I.
3. The grant shall not support research relating to the General Education program for which a separate GE Fund shall be established.
4. Applicants may apply individually or as a group. In the case of a group, the total amount of the grant shall be pro-rated according to the rank of the applicants and the proportion of work to be done by each.
5. The schedule of contract rates for faculty shall proceed from the assumption that UP faculty (a) work 10.5 months a year (minus semester and summer break), 22 working days per month, and 8 hours per working day; and (b) will spend about 400 hours per semester (4.5 months) on the project. For REPS, the hourly fee shall be reckoned from the assumption that they work 12 months a year, at 22 working days per month, and 8 hours per working day. The hourly and annual contract fees shall then be set according to rank.
6. The track record of applicants in completing creative/research projects (whether UP-funded or not) shall be examined by the screening committees of the constituent university (CU) and the System. Faculty and REPS with poor track record shall not qualify for the grant.
7. The grant shall be for one year and, in exceptional cases, may be extended up to six months at most, which extension must be justified. Proof of work thus far completed must also be presented.

AFRICAN STATUS		ACADEMIC FIELD		
		Natural and Social Sciences	Arts and Humanities	
UNIQ Higher (Asst. Prof. and below) (Univ. Researcher - lower - 1st level)	P.D. Author or co-author of at least one article in a refereed journal or its equivalent chapter or monograph in the last five years from the date of application.	Visual/Performing Arts: Artistic contribution or outstanding exhibition or equivalent in performing arts in the last five years from the date of application.	Visual/Performing Arts: Artistic contribution or outstanding exhibition or equivalent in performing arts in the last five years from the date of application.	
	M.A./MS. Author or co-author of at least 3 articles in a refereed journal or its equivalent in book or monograph form, the latest of which was published in the last five years from the date of application.	Literature/Culture Studies: (a) Ph.D. Author or co-author of at least 3 articles in a refereed journal or its equivalent in an anthology or book in the last 5 years. (b) M.A. Author or co-author of at least 3 articles in a refereed journal or its equivalent in an anthology or book form, the latest of which was published in the last five years from the date of application.	Visual/Performing Arts: Consistent artistic contribution (solo, exhibition or equivalent in performing arts) in the last three years from the date of application.	Visual/Performing Arts: Consistent artistic contribution (solo, exhibition or equivalent in performing arts) in the last three years from the date of application.
SENIOR (Professor)	Ph.D. Author or co-author of at least 3 articles in a refereed journal or its equivalent in book or monograph form, the latest of which was published in the last three years from the date of application.	Literature/Culture Studies: (a) Ph.D. Author or co-author of at least 3 articles in a refereed journal or its equivalent in an anthology or book in the last 3 years from the date of application. (b) M.A. Journal or their equivalent in anthology or book form, the latest of which was published in the last three years from the date of application.	Visual/Performing Arts: Consistent artistic contribution (solo, exhibition or equivalent in performing arts) in the last three years from the date of application.	Visual/Performing Arts: Consistent artistic contribution (solo, exhibition or equivalent in performing arts) in the last three years from the date of application.

8. Applications shall be sent to the CU screening committee for research grants and creative work. Said committee shall forward its recommendations to the System Committee, ranking them according to the strength of the proposal and the value and contribution of the proposed project.
9. The System Committee on Research Grants and Creative Work shall evaluate the recommendations of the CUs and rank the best according to merit. The President shall approve the recommendations, the total number of grants depending on the availability of funds.
10. The grant shall be awarded in the form of a research contract indicating the purpose, expected output and intellectual property rights of the parties involved. Fifty percent (50%) of the grant shall be paid upon signing the contract.
11. Grantees shall continue to perform the functions of faculty/REPS during the grant period. In no case shall the faculty be given overload pay for the research. Should the recipient resign before completing the project, s/he shall automatically lose the grant and return the amount unused.
12. Grantees shall submit a mid-term report to the Chancellor six months after the award commences and the final output (manuscript, invention, artistic work) in acceptable form within two months after the grant ends. The Chancellor shall regularly provide the VPAA with a brief status report on each grantee.
13. The final installment of the grant shall be released after the result of the project has passed a blind review by two referees. In no case shall the grant be renewed or an application from the same grantee be entertained for any other grant under the Creative and Research Scholarship Fund until the final result is submitted to the Chancellor.
14. 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.
15. Grantees who fail to comply with the terms of the grant and those whose grants are terminated for cause during the project period shall return the full amount received. Furthermore, they shall be disqualified from all University grants.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: U.P. System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 2

IMPLEMENTING GUIDELINES OF TEXTBOOK WRITING GRANT*

1. Regular, full-time faculty, except those on sabbatical and on secondment to other agencies, may apply for this grant. REPS who engage or assist in teaching functions may also apply.
2. The grant shall support the writing of textbooks of core courses of under graduate degree programs, including reference books, workbooks and laboratory manuals, in print or other media, in whatever language the course is taught.
3. Applicants shall state the number of years they have taught the course for which they plan to write a textbook and their publications in that particular area, if any.
4. The grant shall not cover proposals for: (a) GE courses, for which a separate GE Fund shall be established; (b) Open University courses, for which a separate budget exists; and (c) non-degree (informal) and graduate programs.
5. Neither shall the grant provide for publication costs.
6. Current recipients of a textbook writing grant (including grants to translate textbooks) from any center, institute or unit of UP may not apply for this grant.
7. Priority shall be given to difficult courses and/or courses with high student enrolment, and courses for which no good (foreign or local) textbooks are available.
8. Applicants may apply individually or as a group. In the case of a group, the total amount of the grant shall be pro-rated according to the rank of the applicants and the proportion of work to be done by each.
9. The schedule of contract rates for faculty shall proceed from the assumption that UP faculty (a) work 10.5 months a year (minus semester and summer break), 22 working days per month, and 8 hours per working day; and (b) will spend about 400 hours per semester (4.5 months) on the project. For REPS, the hourly fee shall be reckoned from the assumption that they work 12 months a year, at 22 working days per month, and 8 hours per working day. The hourly and annual contract fees shall then be set according to rank.
10. The grant shall be for one year and, in exceptional cases, may be extended up to six months at most, which extension must be justified. Proof of work

thus far completed must also be presented.

11. The track record of applicants in completing creative/research projects (whether UP-funded or not) shall be examined by the screening committees of the constituent university (CU) and the System. Faculty and REPS with poor track record shall not qualify for the grant.
12. Applications shall be sent to the CU screening committee for textbook grants. Said committee shall forward its recommendations to the System Committee, ranking them according to the content and contribution of the proposal and other relevant criteria.
13. The System Committee on Textbook Writing Grants shall evaluate the recommendations of the CUs and rank the best according to merit. The President shall approve the recommendations, the total number of grants depending on the availability of funds.
14. The grant shall be awarded in the form of a research contract indicating the purpose, expected output and intellectual property rights of the parties involved. Fifty percent (50%) of the grant shall be paid upon signing the contract.
15. Grantees shall continue to perform the functions of faculty/REPS during the grant period. In no case shall the faculty be given overload pay for the research. Should the recipient resign before completing the project, s/he shall automatically lose the grant and return the amount unused.
16. Grantees shall submit a mid-term report to the Chancellor six months after the awards commences and an acceptable manuscript within two months after the grant ends. The Chancellor shall regularly provide the VPAA with a brief status report on each grantee.
17. The final installment of the grant shall be released after the manuscript has passed a blind review by two referees. In no case shall the grant be renewed or an application from the same grantee be entertained for any other grant under the Creative and Research Scholarship Fund until the final manuscript in print or multimedia is submitted to the Chancellor.
18. Should the manuscript be published or produced, the University shall be acknowledged as the source of the grant. The provisions on intellectual property rights shall likewise be implemented.
19. Grantees who fail to comply with the terms of the grant and those whose grants are terminated for cause during the project period shall return the full amount received. Furthermore, they shall be disqualified from all University grants.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004

ANNEX 3

IMPLEMENTING GUIDELINES OF POSTDOCTORAL GRANT*

1. Regular, full-time faculty and REPS who obtained their Ph.D. in the last 3 years preceding the grant may apply.
2. Priority shall be given to those who obtained their Ph.D. in UP or a Philippine university in order to expose them to another academic environment.
3. The grant shall cover a minimum of six months and at most twelve.
4. Applicants shall present proof of acceptance by the foreign institution (university, research institute, laboratory, teaching hospital, art institute or museum) where they intend to carry out their research. Such institution must be well-recognized in the applicant's field.
5. Applicants who have published in reputable journals or have been published by recognized publishers shall rate higher than those who have not.
6. Applicants shall submit two sealed references from senior colleagues familiar with their work, who shall assess the applicants' potential to contribute to the growth of their discipline and generate new knowledge.
7. The grant shall cover airfare (economy class) and living expenses (excluding the applicant's family). For this purpose, applicants shall submit a budget along with their application.
8. Those who receive funding elsewhere may not apply for the grant, unless their funds are clearly insufficient, proof of which shall be required. In such a case, and upon the recommendation of the CU (constituent university) and System screening committees, the grant shall cover only the balance needed.
9. Applications shall be sent to the CU screening body created for this purpose, which shall select the best applications and prioritize them according to merit.

10. The CU committee shall forward its recommendations to the System Committee on Postdoctoral Grant, which shall select the best applications from among all the CUs and rank them accordingly.
11. The VPAA (Vice President for Academic Affairs) and the VPPF (Vice President for Planning and Finance) shall finalize the individual budgets of applications, recommended by the System Committee and shall make adjustments, if necessary, so as to ensure that the costs are justified and the rates (for travel, accommodation) are reasonable.
12. Once approved, grantees may apply for pre-travel and clothing allowances from their respective CUs.
13. Grantees shall sign a contract with the University upon acceptance of the award and shall be bound by University laws on reneging fellows.
14. Grantees shall commence their research within a year from the notice of the award.
15. Grantees shall submit a mid-term report to the Chancellor through the VCRD (Vice Chancellor for Research and Development) and turn in the final report within a month after the grant ends. Any publication resulting from the postdoctoral research shall be attached to the report and acknowledge the support of UP. Comments of the supervisor at the collaborating university, institution or laboratory shall likewise be attached. The Chancellor shall regularly provide the VPAA with a brief status report on each grantee.
16. Grant recipients who do not leave for study shall return the entire sum received, or return the balance if they shorten their stay abroad.
17. Those whose grants are terminated for cause during the period of study shall return the full amount received.
18. Payments to the University shall be made directly in case of resignation or retirement, or through salary deductions in other cases.
19. Failure to comply with the terms of the grant shall disqualify the recipient from all UP grants and open them to such sanctions as may apply to reneging fellows and violations of pertinent University regulations.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1." Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 4

IMPLEMENTING GUIDELINES OF PH.D. INCENTIVE GRANT*

1. The PhD Incentive Grant is designed for UP faculty on the PhD pipeline, that is, faculty about to finish their degree in a foreign university who need financial support. Rather than lose the time, effort, and resources already spent on graduate study, the grant aims to enable the faculty member to complete the PhD program.
2. Faculty members in the final year of their PhD program abroad (proof of which must be submitted), who do not enjoy any other grant or support except for their salary, may apply for the grant. In meritorious cases where a master's degree or its equivalent is the highest degree offered in a particular field (because the field is a pioneering one or is highly technical), a faculty member enrolled in such a program abroad may apply for the grant, provided he/she meets the conditions above. Full justification must be supplied.
3. The grant shall cover full-time PhD study or dissertation research and writing for a period of up to twelve months.
4. The grant shall cover airfare (economy class) and living expenses (excluding the applicant's family). For this purpose, applicants shall submit an itemized budget along with their application.
5. Applications shall be sent to the constituent university (CU) screening body c/o the Office of the Vice Chancellor for Research and Development (OVCRD) created for this purpose, which shall select the best applications and prioritize them according to merit.
6. The CU shall submit the applicant's track record: (1) performance in graduate school and likelihood of completing the degree; (2) papers read in conferences, completed research projects and publications or creative work and other intellectual outputs; and (3) if the applicant previously enjoyed a grant, why it was stopped.
7. The CU shall also describe the applicant's potential contribution to his/her unit and indicate if the applicant is tenured or on tenure track.
8. The applicant must state his/her commitment to complete the program within one year at most and indicate the expected date of completion.
9. The CU shall prioritize the eligible faculty according to the needs of the campus: which type of expertise is most needed at the moment and/or fits its thrust.
10. The following documents shall be attached to the priority list of the CU: (1) itemized budget of each applicant and basis for proposed amounts; and (2) proof of applicant's program status (must indicate what remains to be done—e.g., how many chapters, if any, have been written up, etc.) certified by adviser, copy of grades, letter of recommendation from adviser.

11. The CU committee shall forward its recommendations to the System Committee on PhD Incentive Grant c/o the Office of the Vice President for Academic Affairs (OVPA), which shall select the best applications from among all the CUs and rank them accordingly.
12. The VPAA (Vice President for Academic Affairs) and the VPPF (Vice President for Planning and Finance) shall finalize the individual budgets of applications recommended by the System Committee, and shall make adjustments, if necessary, so as to ensure that the costs are justified and the rates (for travel, accommodation) are reasonable.
13. Once approved, grantees may apply for pre-travel and clothing allowances from their respective CUs.
14. Grantees shall sign a contract with the University upon acceptance of the award and shall be bound by University laws on renegeing fellows.
15. Grantees shall commence their research within a year from the notice of the award.
16. Grantees shall submit a mid-term report to the Chancellor through the VCRD (Vice Chancellor for Research and Development) and turn in the final report within a month after the grant ends. The UP Press shall have first option on the manuscript should the author wish to publish it. Publications and other outputs produced in the course of or as a result of the PhD study or dissertation research and writing shall be bound by the University policy on Intellectual Property Rights.
17. Any publication resulting from the PhD study or dissertation research and writing shall be attached to the report and acknowledge the support of UP. Comments of the supervisor at the collaborating university/institution shall likewise be attached.
18. Faculty supported by the Fund shall be bound by University rules on study leave with pay.
19. At the end of the grant period, grantees shall submit to the VPAA proof of completion of their degree program.
20. Grant recipients who do not leave for study shall return the entire sum received, or return the balance if they shorten their stay abroad.
21. Those whose grants are terminated for cause during the period of study shall return the full amount received.
22. Payments to the University shall be made directly in case of resignation or retirement, or through salary deductions in other cases.
23. Failure to comply with the terms of the grant shall disqualify the recipient from all UP grants and open them to such sanctions as may apply to renegeing fellows and violations of pertinent University regulations.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 5

IMPLEMENTING GUIDELINES OF GRANT FOR SABBATICAL RESEARCH*

1. The grant is intended for faculty members on sabbatical who will undertake research or creative work during their period of leave from teaching and other duties.
2. Regular, full-time faculty members applying for sabbatical for the purpose of research or creative work (including the writing of textbooks/chapters of textbooks) in their discipline may apply for the grant.
3. Applicants applying for sabbatical for the first time whose projects are not funded from other sources shall be given priority.
4. The grant shall be in the form of a research/creative work contract in the amount of P30,000 net of tax (equivalent in monetary value to a Professorial Chair award). The grant shall be released upon signing of contract, provided the application for sabbatical has been approved.
5. A total of three awards shall be available annually.
6. Applicants should submit to the Chancellor through the VCRD (Vice Chancellor for Research and Development) a description of the proposed work and intended output. The scope of the project is expected to be commensurate to the grant amount.
7. The CUs (Constituent Universities) shall prioritize all applications.
8. The System Committee on Research Grants and Creative Work shall evaluate the recommendations of the CUs and rank the best three based on merit. The President shall have final approval.
9. The OVPAA deadline for all endorsed applications shall be April 30 of the sabbatical year (regardless of the period of sabbatical).
10. A grantee shall submit the final output to the OVPAA through channels (i.e., the Chancellor and VCRD) upon report to duty after the sabbatical.
11. Grantees who fail to comply with the terms of the grant shall return the full amount received. Furthermore, they shall be disqualified from all University grants.
12. The UP Press shall have first option on the manuscript should the author wish to publish it.
13. Should the result of the project be published or publicly presented or exhibited, the University shall be acknowledged as the source of the grant. University provisions on intellectual property rights shall likewise be implemented.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards" UP System Manual Series 1.1, Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 6

IMPLEMENTING GUIDELINES OF EMERGING S&T FIELDS GRANT*

1. This Grant shall support inter-/multi-disciplinary research programs/projects related to the BOR-approved list of emerging fields in S&T.
2. The components of the "Emerging S&T Grant" are the following:
 - a. **Institutional Development Grant** – for the acquisition of equipment and for maintenance and operating costs to be used by existing as well as proposed R&D programs
 - b. **Emerging S&T Research Grant** – for undertaking research projects in support of the emerging S&T fields research programs. The guidelines shall be patterned generally on the existing UP System Research and Creative Work Grant.
3. Regular faculty with the rank of Assistant Professor and higher, and RFPs with the rank of University Researcher I and higher, may apply for the Grant, individually or as a group.
4. The following application process shall be followed:
 - a. Proponent(s) shall submit 6 copies of research proposals using OVPAA Emerging S&T Form - 01 and/or 02.
 - b. Preliminary screening shall be done at the CU level. The proposals shall be endorsed through channels to the System Committee on Emerging S&T Fields, c/o OVPAA.
 - c. After a preliminary evaluation by the System Committee, the proponents, together with the Vice Chancellor(s) for Research (or the equivalent) of all CUs involved in case of research programs shall be invited for interview and requested to present (PowerPoint presentation) their proposals before the System Committee. The latter shall assist the proponents improve on the proposals, if necessary.
 - d. The proponents shall revise the proposals as agreed upon during the presentation/interview.
5. The System Committee shall recommend to the President the research programs/projects to be funded.
6. The number of grants to be awarded shall be subject to availability

of funds. Research programs which require big amounts of funding may be submitted as a UP proposal to other funding agencies like DOST, with substantial UP counterpart.

7. The CU Offices of the Vice Chancellor for Research (or the equivalent) shall be responsible for monitoring the progress of the research programs/projects. An annual report shall be submitted to the OVPAA.
8. Should results of the research programs/projects be published or publicly presented, the funding support from the University shall be acknowledged. The provisions of the University's intellectual property rights shall be followed.
9. The provisions of the contract particularly the terms of reference and the contractual obligations shall be discussed with the grantee(s) prior to execution of the contract.
10. Additional guidelines shall be set as need arises.

LIST OF EMERGING FIELDS IN S&T TO BE DEVELOPED IN U.P.

MATERIALS

bio-materials; bio-fuels; pharmaceuticals/nutraceuticals; nano materials; molecular medicines

BIOTECHNOLOGY

nanotechnology; food sufficiency (robust crops, yield enhancement); bio-informatics; disease characterization and DNA sequencing (diagnosis, vaccine development); drug discovery and drug delivery; bio-materials; biodiversity; bio-monitoring

PERVASIVE COMPUTING

advanced microelectronics and computational algorithmics ("systems on a chip"; reconfigurable, cognitive and software-defined radio; machine vision and new user interfaces); environmental monitoring and habitat protection (disaster mitigation and early warning systems; energy efficient sensors and instrumentation); precision agriculture and aquaculture; next generation networks and Internet (network algorithms and quality of service; distributed computing; optical communications in wired networks; cost-effective rural connectivity and distance learning); pervasive healthcare (telemedicine)

MEASUREMENT AND INSTRUMENTATION

(in support of Materials, Biotechnology and Pervasive Computing)
nanometer (10^{-9} meter) scale; nanosecond (10^{-9} second) events; photonics; separation Science; mechatronics (micro/nano scale)

ANNEX 7

IMPLEMENTING GUIDELINES OF PH.D. INCENTIVE AWARD

Rationale

The PhD Incentive Grant aims to provide the necessary incentive and support to faculty members of UP Diliman who recently obtained their PhD to start their research/creative work in UP Diliman. It also aims to serve as an incentive for new PhDs to publish their dissertation work in a reputable, refereed journal. In this way, the grantee can begin establishing a publication record that will strengthen the faculty's chances of obtaining future grants for further academic work.

Implementing Guidelines

1. Regular faculty members who obtained their PhD from 2005 onwards may apply. Applicants must have received their PhD within twelve (12) months of application. (Note: For the first year of implementation, all regular faculty members who received their PhD in 2005 may apply.)
2. The grant may be used to support any research/creative work related activity such as but not limited to the following: initial set up of a research laboratory; purchase of equipment, books, materials needed for future research endeavors; conducting preliminary research activity; a research project, artistic work, etc.
3. Proponents can avail of funding support for a maximum of two years but fund release will be on a yearly basis subject to submission of reports.
4. Research/creative work related activities that will last for more than a year should be programmed in such a way that each year is a self-contained phase with specific outputs. After the requirements and outputs of the previous year have been completed, the proponent may submit a proposal for renewal for possible funding. Approval of the first year does not guarantee funding for subsequent years.
5. The maximum financial assistance per year is P300,000.

6. Grantees shall sign a contract with the University indicating the purpose, expected output and intellectual property rights of the parties involved upon acceptance of the award.

The project funds shall be released as follows:

50% of the total amount shall be released upon approval of the grant and upon signing of the Memorandum of Agreement

25% of the total amount shall be released upon submission of the mid project progress report and **settlement of the 50% total funds released**

25% of the total amount upon submission of the final report and **settlement of the 25% total funds released**

7. Grantees shall submit a mid-term report to the Chancellor six months after the start or renewal of the grant. A final report shall be submitted within three (3) months of the end of the grant. The mid-term and final report shall be submitted to the Chancellor through OVCRD. A manuscript must also be submitted within nine (9) months of the start of the grant. *(Grantees should submit within nine (9) months of the start of their grant, a manuscript based on their PhD dissertation along with proof that such manuscript was submitted to a reputable, refereed journal for publication therein. Grantees who have published their work in refereed journals even prior to graduation may submit copies of such articles in fulfillment of this obligation. Non-fulfillment of this obligation may be a ground for non-renewal.)*
8. Grantees shall continue to perform the functions of faculty during the grant period.
9. Grantee will no longer be considered for other OVCRD grants for the same year. S/he may still apply for other System grants.
10. Grantees who fail to comply with the terms of the grant for no meritorious reason and those whose grants are terminated for cause during the project period, shall return the full amount received. Furthermore, they will be disqualified from all University grants for a period of two (2) years. Should the recipient resign or be terminated from UP before completing the project, s/he shall automatically lose the Grant and should return the amount unused. In either case, s/he shall be disqualified from all other University grants.

ANNEX 8

IMPLEMENTING GUIDELINES OF OPEN GRANT

Rationale

The Open Grant Research Scheme is in line with the University's thrust towards the promotion of a strong research and development culture. The Open Grant supports well-defined research programs of highest quality and standards that will lead to significant advances in the research thrusts of UP Diliman. The Open Grant shall be awarded to ground-breaking, innovative collaborative researches such as cutting edge basic research; projects that promote advanced study in the social sciences or humanities; applied research with policy and programmatic implications; and technology innovation with commercial possibilities.

Implementing Guidelines

1. Projects involving multidisciplinary/interdisciplinary collaborations will be given clear preference. The collaboration between all team members must be clearly established and necessary to achieve the aims of the project. The number of collaborators should normally be 2-4 and no more than 4 unless an increase in the number of members is clearly critical for the multidisciplinary/interdisciplinary nature of the project.
2. All proponents must be regular faculty members or REPS in active service in UP Diliman or in UP Extension Program in Pampanga. The Program Leader must have an excellent track record in the completion of research projects and significant experience in administering a research program. The publication and research record of all the proponents will be considered. In lieu of publications, approved patent applications and other similar research outputs may be considered, when relevant to the proposed program.
3. A Research Program proposal should be submitted in the format prescribed by the OVCRD. The proposal shall consist of separate chapters for the individual projects/studies comprising the program, but must include comprehensive introductory chapters.
4. Research collaboration with other institutions here and abroad should also be clearly explained in the proposal. Existing infrastructure and equipment that can be used to successfully implement the proposal should also be indicated.

PROPOSAL FORMAT

PART I PROPOSAL SUMMARY

- I. Title of the study
- II. Keywords to describe the subject area of the study (maximum of 5)
- III. Duration of the study (in months)
- IV. Budget requested (for 12 months)
- V. Executive Summary
 - This is a brief summary that succinctly describes the contents of the proposal. It weighs in at approximately 1,000 characters.

PART II DETAILS OF THE PROPOSAL

I. Significance of the Study

- Highlight in layman's terms to the reader, the importance, contribution or significance of the research to contemporary concerns and to the scientific/artistic domain of the field of study.
- The following criteria may be used by the reviewer to determine the significance of the proposed research:
 - Contribution to the development of theory, knowledge or practice
 - Contribution to the advancement of methodology
 - Importance to a wide or important societal population
 - Timeliness or relevance to current issues
 - Relevance to a specific practice
 - Fills a research gap
 - Originality of the research
 - Contribution to existing knowledge

II. Background of the Study

- This is a description of the circumstances or conditions that resulted in the conceptualization of the proposed research. This states the reasons why the particular research problem is deserving of investigation.

III. Statement of the Research Problem

- This is a statement of the research problem to be addressed, addressed as stated by the proposed research.

IV. Objectives

- This includes the general and specific objectives addressed by the proposed research. The objectives should describe the goals or expected results of the proposed research.

V. Discussion of Literature Related to the Field

- This discussion of literature related to the proposed research may include relevant literature in local and international publications, the case papers, journal articles, and other materials (e.g., films and dissertations), and other similarly verifiable sources.
- The review should discuss the following:
 - Status of the problem/topic under study
 - Relevance to the general and specific objectives of the research to the field of study
 - Analytical/theoretical approaches to the problem (e.g., data collection, data analysis, data goals, and other knowledge or procedures)
 - Thinkers in other researches in the field
- Source bibliography (other than IV)

VI. Theoretical Framework

- The variables and interrelationships of interest, the causal relationships between them, and the expected relationships, graphically or verbally. Research variables to be investigated include independent, intervening and dependent variables. Parallel or competing hypotheses should be presented as warranted. Operational definitions and indicators should be provided with those cited in the review of literature and may be somewhat different from measures of the same or related variables of the study.

VII. Methodology

- Research design describes the research plan to obtain the research information to answer the following:
 1. Sampling method (Data collection procedure) and user's justification for the choice of the sampling method, sampling size and justification of choice. Data collection procedure should describe the procedures to follow by the research objectives, inclusion or exclusion criteria, the expected data outputs, non-response collection methods to be used, e.g., telephone calls, door-to-door visits, etc.
 2. Description of the respondents
 3. Planned analysis: Statistical methods to be used in the data gathered which will be analyzed and justified in relation to the research objectives. Justify the chosen measures, statistical tests and data collection methods.
 4. Ethical review (if applicable) should be obtained in cases where research would involve human subjects of research (e.g., genetic engineering, etc.). Specify the purpose and nature of the research and the necessary permits/consent to be obtained.

• The researcher should be prepared to justify the choice of statistical methods or "software" to be used.

VIII. Additional Information

- Has the researcher conducted a literature search? If yes, when and how? What are the results? Have you read the literature?
- Is the researcher employed?
- Are there any publications or a peer review journal articles that you have written or are you planning to write and all other proposals of the university based research?
- What is your interest in the proposed research? Is it for a project or a thesis?

IX. Workplan and Schedule of Activities

- Enumerate the critical activities to be undertaken in chronological order for every major research phase: preliminary, data collection, data analysis & report writing.
- Estimated outputs should be specified for each activity.

Research Phase	Activities	Timetable (in months)	Expected Output

X. Proposed Budget (for 12 months)

- Prepare the budget in accordance with the guidelines & other special provisions (OVCRO) - Submit the budget to the OVCRO for approval.
- Specify the items to be purchased (e.g., computer, printer, telephone, etc.) with their respective costs. Guide the reviewer through the budget items.
- OVCRO will provide supplies & materials (e.g., computer, printer, telephone, etc.)
- Equipment/Outfit: This can be submitted to the reviewer in the form of a receipt.

Item (Material & MOOD)	Unit Cost	Quantity
TOTAL		

XI. List of all Participating Personnel (Exclude Postmen/Co-Reviewer)

- List their names, positions and specific tasks in the conduct of the study.

XI.1 Associate Investigators

Name	Organization	Highest qualification/Date conferred/Conferring Institution	Involvement in the study/ Role

XI.2 Undergraduate students working in the study

Name	College/Institute worked	Highest qualification/Date obtained	Involvement in the study/ Role

XII. Patent / Copyright Application / Approval in connection with the proposed study

- Are you aware of application / approval / Copyright application submitted?
- Do you intend to seek assistance from the OVCRD?

XIII. Cooperating Agencies

- Are you seeking to request for the study from any other source? If yes, indicate the names of funding sources that you have already applied to or plan to apply to in the future.
- Indicate the name of cooperating agency about data ownership.

Funding Organization	Field Station/Charity/Other	Account approved, if funds applied for	Part of study funded	Other forms of assistance	Period of funding

Form OVCRD RG-01 (2014), 1 page, 2014

XIV. Research Track Record

XIV.1 List all research projects undertaken in the last 5 years

Title of Research Project	Location	Funding Agency	Amount of Funding

XIV.2 Give complete citation for publications in the last 5 years

- XV. We certify that all information/data in this proposal are true to the best of my/our knowledge (We understand and I/we agree that the OVCRD will keep all the documents I/we submitted in connection with my/our application for a research grant regardless of whether the application was approved for funding or not)**

Signature of Proposer & Date

Signature of Co-Proposer & Date

PART II ENDORSEMENTS

For Program/Projects

I certify that I have reviewed this research proposal and I am recommending it for funding. The proposal has the required capability/experience to undertake and complete the proposed research. When completed, the research will be a significant contribution to _____

Signature of Department Chair/Director where applicant (proposer) belongs

Signature of Dean of College where applicant (proposer) belongs

For Thesis and Dissertation

I certify that this thesis/dissertation proposal has been reviewed and approved/accepted by the Department of _____ College of _____. The comment of the panel has been incorporated in this proposal - our recommending it for funding.

Signature of Thesis/ Dissertation Adviser

Signature of Department Chair/Director where applicant is enrolled

Signature of Dean of College where applicant is enrolled

NOTE: ATTACH CERTIFICATION FROM THE COLLEGE GRADUATE COMMITTEE INDICATING LIST OF MEMBERS & ACTION OF THE THESIS/ DISSERTATION PANEL.

ANNEX 10

SG-01

UNIVERSITY OF THE PHILIPPINES SYSTEM GRANT RESEARCH AND CREATIVE WORK GRANT

*Note: To be submitted to the:
UP Diliman Screening Committee
upsgnw.owrd@up.edu.ph, upsgnw.owrd@gmail.com
(for natural sciences and engineering)
upsgsh.owrd@up.edu.ph, upsgsh.owrd@gmail.com
(for social sciences and humanities)
c/o Office of the Vice-Chancellor for Research and Development
Lower Ground Floor Physics Bldg., C.P. Garcia Ave., UP Diliman
Tel 927-2309, Telefax 927-2568*

Application for Research and Creative Work Grant under the Creative and Research Scholarship Fund*

Name _____ Faculty [] REPS []
Position _____ Rank _____
Nature of Appointment [] Permanent [] Temporary
Department/Institute _____
College _____

I hereby certify that I am not currently engaged in any research project or creative work funded by the University.

Signature _____

Date _____

Please attach a copy of your updated curriculum vitae and a detailed proposal following:

- I Title
- II Duration
- III Abstract (A brief summary/description, intelligible to the lay reader)
- IV Significance
- V Background
- VI Conceptual Framework
- VII Objectives
- VIII Methodology
- IX Work Plan

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 11

SG-02

UNIVERSITY OF THE PHILIPPINES SYSTEM GRANT TEXTBOOK WRITING GRANT

*Note: To be submitted to the:
UP Diliman Screening Committee
upsgnw.owrd@up.edu.ph, upsgnw.owrd@gmail.com
(for natural sciences and engineering)
upsgsh.owrd@up.edu.ph, upsgsh.owrd@gmail.com
(for social sciences and humanities)
c/o Office of the Vice-Chancellor for Research and Development
Lower Ground Floor Physics Bldg., C.P. Garcia Ave., UP Diliman
Tel 927-2309, Telefax 927-2568*

Application for Textbook Writing Grant under the Creative and Research Scholarship Fund*

Name _____ Faculty [] REPS []
Position _____ Rank _____
Nature of Appointment [] Permanent [] Temporary
Department/Institute _____
College _____
Course where proposed textbook will be used _____
Average number of students in the course _____
Other courses which could use the textbook (if any) _____
Textbook currently being used for the course (if any) _____
Years of teaching the course _____

I hereby certify that I am not currently holding a textbook writing grant from any type of the University.

Signature _____

Date _____

Please attach a copy of your updated curriculum vitae that includes a list of your publications related to the topic you propose to write on, a detailed outline of the proposed textbook and a brief description of the chapters contained therein.

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 12

SG-03

UNIVERSITY OF THE PHILIPPINES SYSTEM GRANT POSTDOCTORAL RESEARCH GRANT

Notes: To be submitted to the:
UP Division Screening Committee
upagres.owcd@up.edu.ph, upsg.research@gmail.com
(for natural sciences and engineering)
upagsh.owcd@up.edu.ph, upsg.scholarship@gmail.com
(for social sciences and humanities)
c/o Office of the Vice Chancellor for Research and Development
Lower Ground Floor Physics Bldg., C.P. Garcia Ave., UP Diliman
Tel 927-2309, Telefax 927-2568

Application for Postdoctoral Research Grant under the Creative and Research Scholarship Fund*

Name _____ Faculty REPS

Position _____ Rank _____

Nature of Appointment Permanent Temporary

Department/Institute _____

College _____

Length of Service in UP _____ years Tenured: Yes No

Ph.D. degree in (discipline/field) _____

Where obtained _____

When _____

Title of Dissertation _____

Name of Adviser _____

Name and Address of university/institution where postdoctoral study will be undertaken (attach letter of acceptance) _____

Proposed period of Study (Month, Year) _____ 200__ to _____ 200__

Name of Adviser _____

SG-03

I hereby certify that:

- I have not applied for a grant from any other agency in the Philippines or abroad.
(Attach budget proposal.)
- I have applied for a partial grant from _____
_____ in the amount of PHP _____
to cover the cost of _____
I estimate I will need PHP _____
(Attach budget of both grant applications.)

Signature _____

Date _____

Please attach the following in your application:

- I Proof of Acceptance by the University/Institution Where Postdoctoral Study will be Undertaken
- II Budget Proposal/s
- III Two Sealed References from Senior Colleagues (Refer to Item #6 of the Implementing Guidelines)
- IV Copy of Updated Curriculum Vitae that Includes a List of the Applicant's Publications
- V Endorsement from the Department Chair/Institute Director and the College Dean

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series 1," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 13

SG-04

UNIVERSITY OF THE PHILIPPINES SYSTEM GRANT PH.D. INCENTIVE GRANT

*Note: To be submitted to the:
UP Diliman Screening Committee
upsgsc.csr@up.edu.ph, upsg.nse.ayud@gmail.com
(for natural sciences and engineering)
upsgssh.dvrd@up.edu.ph, upsg.ssh.ayud@gmail.com
(for social sciences and Humanities)
c/o Office of the Vice Chancellor for Research and Development
Lower Ground Floor Physics Bldg., C.P. Garcia Ave., UP Diliman
Tel 927-2309, Telefax 927-2568*

Application for Ph.D. Incentive Grant under the System Faculty Development Program*

Name _____ Faculty REPS

Position _____ Rank _____

Nature of Appointment: Permanent Temporary

Department/Institute _____

College _____

Length of Service in UP _____ years Tenured: Yes No

Name and address of foreign university/institution where final year of doctoral studies (or masteral studies because field is pioneering or is highly technical) will be undertaken (attach proof of acceptance) _____

Proposed period of Study (Month, Year) _____, 200__ to _____, 200__

(period covered should be up to twelve months at the most)

Name of Adviser _____

SG-04

Provide the following:

- Brief description of current doctoral program and research topic.
- Detailed status of graduate studies.
- Description of work still to be completed and expected date of graduation, and
- Previous and/or current funding sources, if any, and reasons why grant was pre-terminated or is insufficient.

State here why your application should be supported:

Signature

Date

Please attach the following to your application:

- Proof of acceptance by the foreign university/institution where final year of doctoral studies will be undertaken
- Recommendation letter from current PhD supervisor indicating work that needs to be completed
- Itemized budget
- Copy of updated curriculum vitae that includes a list of the applicant's papers read in conferences, completed research projects and publications or creative work and other intellectual outputs
- True copy of grades/transcript of undergraduate and graduate records, including current doctoral program
- Endorsement from the Department Chair/Institute Director and the College Dean

*Adapted from "In Support of a Culture of Scholarship and Excellence: Faculty Development, Grants, and Awards: UP System Manual Series L," Office of the Vice President for Academic Affairs, University of the Philippines, 2004.

ANNEX 14

CVFPA Emerging S&T Funds - 01
August 2006

APPLICATION FORM FOR EMERGING S & T GRANT

INSTITUTIONAL DEVELOPMENT GRANT (Equipment and/or Maintenance and Operating Expenses)

I. RESEARCH PROGRAM

II. PROPOSER'S INSTITUTIONAL AFFILIATIONS

NAME/PRESENT TITLE RANK	HIGHEST EDUCATIONAL DEGREE/ YEAR OBTAINED	INSTITUTIONAL AFFILIATION (Department, College, CU)	SIGNATURE

III. BRIEF DESCRIPTION RESEARCH PROGRAM (not more than 300 words)

- describe of research program
- indicate the emerging S&T field
- general/specific objectives
- describe inter-/multi-disciplinary nature (indicate role of each member of team)
- duration

IV. Rationale: include the II (not more than 300 words)

- originality
- novelty
- scientific merit
- potential socio-economic impact
- target beneficiaries

V. LIST OF EQUIPMENT REQUESTED

Equipment	Estimated Cost	Use for equipment	Where equipment will be based	Faculty-in- charge

VI. MAINTENANCE AND OPERATING EXPENSES REQUESTED, if any

PURPOSES	ESTIMATED COST

VII. R & D PROGRAMS/R & D ACTIVITIES/RESEARCH PROJECTS LINED UP

- List existing and proposed research programs/projects that will use the equipment

VIII. EXPECTED OUTPUTS/DELIVERABLES: include the following, as applicable

- Process(es)/product(s)
- Patent and/or copyright/publications
- Degree programs supported
- Potential # of undergraduate and graduate students to benefit per year per discipline

IX. TIMETABLE (use Gantt chart)

X. ENDORSEMENTS (of co/colaborating units)

DIRECTOR(S)/DEPARTMENT CHAIR(S)

DEAN(S)

VICE CHANCELLOR(S) FOR RESEARCH
AND DEVELOPMENT (or equivalent)

CHANCELLOR(S)

ANNEX 15

OV/AA Emerging S&T Form - 02
August 2000

APPLICATION FORM FOR EMERGING S & T GRANT EMERGING S&T RESEARCH GRANT

I. RESEARCH PROJECT TITLE (concise and descriptive of the proposed research)

II. PROPONENT/INSTITUTIONAL AFFILIATION

- Name
- Highest educational degree, university, year obtained
- Institutional affiliation (Department, Institute, College, UP Constituent University)

III. BRIEF DESCRIPTION (not more than 300 words)

- Description of research project
- Indicate the research program in which proposed research project is part of
- general specific objectives
- duration

IV. RATIONALE (include the ff. (not more than 300 words))

- originality
- novelty
- scientific merit
- how proposed project supports the corresponding research programs indicated above
- potential socio-economic impact
- target beneficiaries

V. RELATED RESEARCH PROJECTS UNDERTAKEN/ON-GOING SINCE YEAR 2000

TITLE	FUNDING AGENCY	AMOUNT OF GRANT	PERIOD	PUBLICATION/PATENT
I. Finished researches				
II. On-going researches				

VI. MAINTENANCE AND OPERATING EXPENSES REQUESTED, if any

VII. EXPECTED OUTPUTS/DELIVERABLES: include the following, as applicable

- Process(es)/product(s)
- Patent and/or copyright/publication(s)
- Degree program(s) supported and potential # of undergraduate and graduate students involved per year

VIII. TIMETABLE (use Gantt chart)

IX. ENDORSEMENTS:

DIRECTOR/DEPARTMENT CHIEF

DEAN

VICE CHANCELLOR FOR RESEARCH
AND DEVELOPMENT (or equivalent)

CHANCELLOR

ANNEX 16

PHD-01

Office of the Vice Chancellor for Research and Development
University of the Philippines
Diliman

PHD INCENTIVE AWARD Application Form

I. ABOUT THE PROPONENT

Last Name _____
First Name _____
Middle Name _____
Residence Address _____
Contact No. _____
Email address _____
Position _____ Rank _____
Department/Institute _____
College _____
PhD degree in (subject & field) _____
where obtained _____
When obtained _____

II. DESCRIPTION OF PROPOSED RESEARCH/CREATIVE WORK RELATED ACTIVITY

- Title of the proposed research/creative work
- Brief description of the work. Please describe how the proposed work will help establish the proponent's research/creative endeavors in the University.
- Duration of project and expected output other than required publication, if any
- Workplan and schedule of activities
- Proposed budget
- Possible journal(s) where dissertation may be submitted for publication

III. CERTIFICATION

I certify that all information/data in this proposal are true to the best of my knowledge. I understand that I agree that the OVRD will keep all the documents I submitted in connection with my application for a PhD Incentive grant, regardless of whether I am an incumbent was approved for funding or not.

Signature of Proponent and Date

PHD-01

IV. ENDORSEMENTS

I certify that I have reviewed the proposal and I am recommending it for funding. The proponent has the required capability/expertise to undertake and complete the proposed research/creative work-related activity.

Signature of Director of Unit/Chair of
Department where proponent belongs

Signature of Dean of College
where proponent belongs

V. SUPPORTING DOCUMENTS

Please attach the following to your application.

- Transcript of graduate records
- Updated Curriculum Vitae

ANNEX 17

OG-01

**OFFICE OF THE VICE CHANCELLOR FOR
RESEARCH AND DEVELOPMENT**
University of the Philippines
Diliman, Quezon City

APPLICATION FOR OPEN GRANT

**IMPORTANT: PLEASE TYPE YOUR PROPOSAL AND CURRICULUM VITAE.
HANDWRITTEN PROPOSALS AND CURRICULUM VITAE WILL NOT BE ACCEPTED.**

Research Title _____

Duration of Research (in months) _____

Budget Requested (P=) _____

ABOUT THE PROGRAM LEADER

Last Name: _____

First Name: _____

Middle Name: _____

Contact No.: _____

Email Address: _____

Faculty/REPS/Admin Position: _____

Rank: _____

Nature of Appointment: Permanent Temporary

College/Unit: _____

Dept.: _____

PROJECT LEADER/S *

Last Name: _____

First Name: _____

Middle Name: _____

Contact No.: _____

Email Address: _____

Faculty/REPS/Admin Position: _____

Rank: _____

Nature of Appointment: Permanent Temporary

College/Unit: _____

Dept.: _____

* Note: Use another sheet if the research program has several project leaders.

FOR RMA USE ONLY

DATE RECEIVED	BY

PROPOSAL SUMMARY

For PRGDO use only.
ABOUT THE PROPOSAL

Curriculum Vitae of

Proposer

Curriculum Vitae of Co-

Proposer

PROPOSAL SUMMARY

Title

Keywords

Duration

Budget

Abstract

DETAILS OF THE PROPOSAL

Significance

Objectives

Statement of the

Problem

Objectives

Review of Related

Literature

Methodology

Present Status

Geographic

Working

Proposed Budget

List of Personnel

Power Application

Co-proposer Agencies

Signature of

Proposer/Co-

Proposer & Date of

Submission

ENDORSEMENTS

For Program/Project Approval

Chairperson / Director

Dean

For Thesis/Dissertation Proposal

Adviser (RMA)

Dept. Chair/Director

where applicable &

endorsed

If Dean/Chair/Director is

enrolled

If Chair/Director (RMA)

Checked by: _____ Date: _____

Approved by: _____ Date: _____

Signature: _____ Date: _____

Office: _____

OG-01

PROPOSAL FORMAT

PART I PROPOSAL SUMMARY

- I. Title of the study
- II. Keywords to describe the subject area of the study (maximum of 5)
- III. Duration of the study (in months)
- IV. Budget requested (for the entire duration of the study with very brief account)
- V. Executive Summary
 - This is a brief summary that reflects the contents of the proposal, suitable for the keywords, and not more than 1700 characters.

PART II DETAILS OF THE PROPOSAL

The proposal should include separate chapters for the individual projects/studies comprising the program but must include comprehensive introductory chapters:

- I. Significance of the Study
 - Explain, in terms intelligible to the lay reader, the importance, both theoretical and practical utility of the research in contemporary contexts and also the scientific/scholarly domain of the leader of study.
 - The following information may be used by the program to determine the significance of the proposed research:
 - Substantial impact on current knowledge and paradigm
 - Development of novel techniques or methodology
 - Contribution to the advancement of theory, knowledge or practice
 - Policy and programmatic implications
 - Technology transfer with commercial possibilities
 - Multidisciplinary or interdisciplinary nature of the research.
- II. Background of the Study
 - This is a discussion of the circumstances and conditions, etc. related to the conceptualization of the proposed research. This states the reasons why the particular research problem is worthy for investigation.
- III. Statement of the Research Problem
 - This is a discussion of the research problem to be addressed, analyzed or solved by the proposed research.
- IV. Objectives
 - This includes the general and specific objectives motivated by the proposed research. The objectives should describe the goals or expected results of the proposed research.
- V. Discussion of Literature Related to the Field
 - This discusses the literature related to the proposed research. It may include formal literature in local and international publications, relevant personal communications, unpublished material (e.g. theses and dissertations), and other similarly verifiable sources.
 - The review should derive the following:
 - Status of the problem/topic under study
 - Position to the general and specific objectives and relevance to the study/address
 - Relation to research approaches with a problem and primary/secondary theoretical framework, main goals and methodological considerations
 - Reference to other researchers in the field
 - Includes a bibliography (other than VI)

ANNEX 19

Form 501 (Revised June 2008)

Report on Research / Creative Work / Textbook Writing

Date Accomplished: _____
 School Year (YYYY-MM): _____
 Semester: _____

Note: Allowance should be per project.

I. FACULTY INFORMATION

a. Name: _____
 b. College: _____ Dept.: _____
 c. Designation: a. Director b. Asst. Dir. c. Assoc. Dir. d. Ext. Prof. e. Other: _____ Rank: (1, 2, 3, 4, 5) _____
 d. Nature of Involvement: a. Project Leader b. Project Teacher c. Co-Project Leader
 d. Other: _____

II. RESEARCH / CREATIVE WORK / TEXTBOOK WRITING

a. Project type: a. Academic Program b. Research Project c. Creative Work d. Textbook/Book/Textbook Writing
 b. Project Status: a. Ongoing b. New
 c. Project Title: _____
 d. Original title (if other than above): _____
 e. Date started (MM/DD/YYYY): _____
 f. Date of Completion (MM/DD/YYYY): _____
 g. Percent of Work Accomplished (percentage): _____
 (Indicate date description of accomplishment for the above semester)
 h. Will have to apply for research grant award for this project? a) Yes b) No c) Yes, attach cover sheet

III. FUNDING INFORMATION

a. Funding Institution's Full Name: _____
 b. Funding Institution's Designation: a. Office b. Department c. School d. Other: _____
 Amount: _____ Indicate currency if not in pesos
 c. Receiving Honoraria? a) Yes b) No
 d. Detail equipment purchased from project funds (specify item and the LGU ID):
 1. _____
 2. _____

Name and signature

ANNEX 20

University of the Philippines OFFICE OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT Quezon City

Date: _____

Dear Mr./Ms./Mrs. _____:

In accordance with the University rules and regulations, your services as _____ shall be availed of by Project/Grant No. _____ entitled _____

financed by the OVCRD Research Fund, effective _____ until _____ subject to the following conditions:

1. Your compensation shall be _____ (P. _____) per month/ per day/ per hour/ per annum/ straight fee;
2. You are not entitled to leave privilege;
3. That notwithstanding the fixed duration of your employment mentioned above, your services may be terminated earlier than the termination date due to unsatisfactory service or unavailability of funds; and
4. That there is no employer-employee relationship between the Office of the Vice Chancellor for Research and Development, University of the Philippines and the appointee.

Please indicate your conformity by signing below and return the contract to the Office of the Vice Chancellor for Research and Development. The original copy will be sent to you.


Very truly yours,

Project Leader/Grantee

CONFIRME

Signature of Appointee

ANNEX 21

 Republic of the Philippines Department of Education Komisyonang Pang-alipmang Larangan		Certificate of Update of Exemption and of Employer's and Employee's Information		MR Form No. 2305 July 1991 (REV.)
I. EMPLOYER'S INFORMATION (Mark all appropriate boxes with "X")				
1. Name of Employer: _____				
2. Address: _____				
3. Telephone No.: _____				
4. Nature of Business: _____				
5. Type of Employer: <input type="checkbox"/> Private <input type="checkbox"/> Public				
6. Name of Employer: _____				
7. Name of Agent: _____				
8. Address: _____				
9. Telephone No.: _____				
10. City: _____				
11. State: _____				
12. Zip Code: _____				
13. Date of Certificate: _____				
14. Signature of Employer/Agent: _____				
15. Signature of Employee: _____				
16. Date of Receipt: _____				
17. Signature of Receiving Officer: _____				
18. Date of Receipt: _____				

ANNEX 22

**University of the Philippines Diliman
 Quezon City**

Project Title: _____ Project No.: _____

RECEIPT OF PAYMENT

Received from (Project Leader) the amount of _____ (P_____) for the services rendered as (position) for the month of _____.

_____ Staff _____ Date

ANNEX 25

INVENTORY CUSTODIAN SLIP
University of the Philippines - Diliman
Agency _____

IS No: _____
Date: _____

Office/College: _____

QTY.	UNIT	ARTICLE DESCRIPTION	DATE ACQUIRED	PROPERTY NUMBER	UNIT COST	ESTIMATED RESIDUAL VALUE

Serial No: _____ Location: _____

Remarks: _____

<p>Received by:</p> <p>Signature over printed name: _____</p> <p>Name: _____</p> <p>Date: _____</p>	<p>Received from:</p> <p>Signature over printed name: _____</p> <p>Position/Office: _____</p> <p>Title: _____</p>
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ANNEX 26

OFFICE OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT
ITINERARY OF TRAVEL

Date: _____

Project Title: _____ Position: _____

Project No.: _____ Official Station: _____

Purpose of Travel: _____

Date	Place to visit	Time		Means of transportation	Amount
		Departure	Arrival		

Total transportation expenses: P _____

Certified by: _____

Corrected by: _____

ANNEX 29

Project Leader: _____ Project Number: _____

SUMMARY OF EXPENSES

Date	Particulars	Receipt No.	Establishment	Amount
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Other Services

TOTAL

Supplies and Materials

TOTAL

Sundry (e.g., photocopying, communication expenses, etc.)

TOTAL

Equipment

TOTAL

Date	IT/TO/REB No.	Destination	Means of Transportation	Amount
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Travel

TOTAL

ANNEX 30

Instructions for the Office of the Vice Chancellor for Research and Development Copyright Information Form

The author/s is/are requested to fill in the Copyright Information Form so that the University offices concerned will be able to give a sound assessment on matters relating to ownership, rights and obligations of the author/s. It specifically covers the following copyright issues and concerns:

- **Appointment of Rights based on authorship**
Rights over the work are important to establish especially if it is the product of the joint efforts of several authors. By filling in this form, the author/s agree that the same constitutes their agreement regarding the appointment of authorship and related rights such as copyright and royalties. This is intended to prevent future disputes between the parties. However, such agreement between the author/s is not necessarily binding on the University, as the proper offices will have to determine whether such agreement is valid based on existing policies, rules, contractual stipulations, etc.
- **Source of funds and Use of Facilities and Equipment**
The source of funds and the substantial use of University facilities as well as those of other government and private entities that led to the creation of the work, are basic information that needs to be established. This will help OVCRD ascertain whether the author/s has/have the duty to assign intellectual property.
- **Disclosure**
The author/s who received funding or any other support from the University of the Philippines System, University of the Philippines Diliman or any other Constituent University needs to submit a copy of document evidencing completion and submission of work to the University. In case of research grants, a copy of the cover letter indicating the date when the work was submitted to the OVCRD (in the case of OVCRD funded grants), HRDD (for faculty grants), etc.
- **Publication**
Details must be included and all other relevant documents attached to this form. If the author/s plan to submit the work for publication, the following must be attached:
 1. Publication by an international journal – attach the background information, and editorial policies (e.g., review procedure, policies on ownership of copyright, etc.)
 2. Publication by a private entity – attach the proposed contract between the author/s and publisher.

In case the University funded the work, it should be indicated if the work that will be published is the very same work for which funding was provided. It is possible in some instances that only a portion of the funded work forms part of the manuscript that is sought to be published.

The author/s should be reminded that in the event the above filed work is published and the publication substantially discloses a product or process that may be the subject of a patent application, the inventor has only a period of twelve (12) months from such disclosure under Philippine law to file a patent application. In other jurisdictions, such publication may be deemed a disclosure that would bar the filing of a patent application.

If you have questions or if you would like assistance in filling out the form, please call the OVCRD at Tel. Nos.: 627-2309; 981-8800; loc 4047; 927-2587 or e-mail edu.overs@up.edu.ph.

Kindly return the original Copyright Information Form together with any supporting documents to:

Research Dissemination and Liaison Office
Office of the Vice Chancellor for Research and Development
Lower Ground Floor Phivolta Bldg., C.P. Garcia Ave.
UP Diliman, Quezon City

COPYRIGHT INFORMATION FORM

1. Title of Work

2. Authorship

Name(s) of Author(s)

Office

3. Apportionment of Rights Based on Authorship

Name(s) of Author(s)

Author's Share/Contribution
to the Work and Percentage of Work

4. Source of Funds

Please check source(s) of funds availed of by the author(s):

- University of the Philippines System
- University of the Philippines Diliman
- Other Component University of the University of the Philippines System (e.g. Manila, Los Baños) Please specify: _____
- DOST
- Other. Please specify: _____

Note: Kindly attach a copy of the contract or agreement stating the terms and conditions for all the sources of funding received by the author(s) e.g. Memorandum of Agreement between the University and the author(s), notice of award of professional fee or grant from HRDO etc.

5. Facilities or Equipment for the production of the research that led directly to the creation of the above mentioned work.

Name of Agency	Facilities/Equipment (office equipment, library, art studio etc.)	Location

Note: Kindly attach agreement regarding use of facilities or equipment, if any.

6. Disclosure

Date when work was completed: _____

Date when work was submitted to the funding agency: _____

Note: Kindly attach acknowledgment or copy of receipt of the work submitted

7. Publication

If the work has been published, please attach a photocopy of the portion of the published work indicating the publisher, date of publication, copyright information etc.

If the work has not been published, has a publication been planned? If yes, please specify proposed publication date: _____

8. Certification

I/we certify that the information given above is true, based on my/our knowledge, the available documents that I/we have attached, copies of which I/we verify are true and exact reproductions of the originals:

NAME	SIGNATURE	DATE

ANNEX 31

Instructions for the Office of the Vice Chancellor for Research and Development Invention Disclosure Form

The Invention Disclosure Form is the initial step in the process of determining the commercial viability of your invention. Completion of the form will assist OVCRD in having a record of the date of conception of the invention and provide relevant information that would help in the evaluation, subsequent protection and commercialization of the intellectual property created out of the creation.

If you have questions or if you would like assistance in filling out the form, please call the OVCRD at Tel. Nos.: 927-2309; 981-8500 loc 4047; 927-2567, or e-mail rduo.ovcrd@up.edu.ph.

Kindly return the original Invention Disclosure Form together with any supporting documents to:

Research Dissemination and Utilization Office
Office of the Vice Chancellor for Research and Development
Lower Ground Floor Physics Bldg., C.P. Garcia Ave.,
UP Diliman, Quezon City

Upon receipt of the form, the OVCRD will assess the commercial viability of your invention and arrange a meeting with you to discuss further your invention and to enlighten you on the policies and procedures of the university on intellectual property rights.



OFFICE OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT
RESEARCH DISSEMINATION & UTILIZATION OFFICE

1. TITLE OF INVENTION

The title should describe what the invention does, but not how it is made or how it works.

2. SEARCH TERMS (up to 10)

The OVCRD uses the Internet as a research tool when searching database and journals. To make our research efficient, please provide a short list of words, common industry phrases, and/or categories directly related to your invention.

3. BRIEF OVERVIEW OF THE INVENTION (2-4 paragraphs)

1. Provide a short, general layman's description of the invention and how it works.
2. What is the purpose of the invention? For example, "What problem does it solve?"
3. Is it a new product, process, or composition of matter? Or is it a new method for improvement of an existing product, process or composition of matter?
4. What benefits can the invention give?

4. TECHNICAL DESCRIPTION, DETAILS AND SUPPORTING DATA

Provide results, data or other evidence demonstrating how the invention works. You may attach papers, plots, photos or used material, published or unpublished, in response to this question.

5. PRIOR METHODS, APPARATUS, AND DEVELOPMENTS

1. Methods or apparatus in use should describe your invention and the problems of each for the present invention, if any.
 2. Cite any of your own publications and patents, and those of anyone else followed by you in doing what is most closely related to the invention.
- Please attach all relevant publications, patents, advertisements, etc., available. Please e-mail with RDUO-OVCRD on how to do Prior Art Search.

6. STAGE OF DEVELOPMENT (2-3 paragraphs)

Describe the development stage (concept only, laboratory tested, prototype, etc.) and briefly indicate what further developments may be necessary to commercialize it.

7. POTENTIAL LICENSEES

Identify companies or market sectors that you think could benefit from your invention.



DEPT. OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT
RESEARCH DISSEMINATION & UTILIZATION OFFICE

8. PUBLICATIONS, PRESENTATIONS AND OTHER FORMS OF PUBLIC COMMUNICATIONS (BREVET/OSI/PI)

Please identify all past and future seminars, talks, abstracts, publications, web postings, and other venues used to describe the invention. These may affect the scope of patent protection and the timing of filing. Disclosure is the oral, written, or electronic dissemination of the invention to a person outside the University of the Philippines. Disclose that would enable someone working in the field to practice the invention or repeat development. Note any communication with colleagues and students within the University of the Philippines. Disclose externally does not count as disclosure.

Type of disclosure (i.e., publications, seminars, etc.) _____ Date(s) _____

9. DATES OF CONCEPTION AND REDUCTION TO PRACTICE

These dates may be important to respond to any challenges to the patent that may arise. **Conception** is the formulation in the mind of the inventor of the ultimate working invention. **Reduction to practice** can be accomplished either "actually" or "constructively." **Actual reduction to practice** is the physical creation of the invention. **Constructive reduction to practice** is a detailed written description that demonstrates the invention will work as intended. Describe the circumstances and facts surrounding the development of your invention. (You may attach copies, sheets, if needed.)

_____ Details _____ Date _____

Conception of invention. Is this date documented in writing? If so, where?

First reduction to practice:

10. SPONSORSHIP

Identify all grants, contracts, and other sources of funds contributing to the research related to the invention. Also include list of agencies that you would acknowledge in a publication. The DOST RD will check out the contractual reporting obligations associated with your funding.

Agency or Sponsor _____ Grant/Contract/Other Number _____

11. OTHER AGREEMENTS AND INTERACTIONS

Identify any agreements or interactions that you have entered into that are related to the invention and that grant rights to a company or other party outside of the University. Commercial transfer agreements, commercially sponsored research agreements, consulting agreements, co-invention agreements, etc.



DEPT. OF THE VICE CHANCELLOR FOR RESEARCH AND DEVELOPMENT
RESEARCH DISSEMINATION & UTILIZATION OFFICE

Did this invention use any materials which were obtained from a company or another institution? NO YES
(Please provide details, and indicate if there is a Materials Transfer Agreement.)

Did you transfer to an outside institution of your invention or any hardware, know-how, or other resources, or any other information to the inventor? YES (Please provide details)

Is any other group, lab, or researcher or campus using your invention in their research program? NO YES
(Please provide details)

12. INVENTORS

List all those who helped contribute to the conception of the ultimate working invention. The people you include should only be those who are legal inventors. Please check an asterisk (*) next to the name of the inventor to whom correspondence should be sent. If any person holds a job or job appointment with a non-university, company, or governmental agency, please note that fact.

INVENTOR: _____ Dept./Affiliation _____

INVENTOR: _____ Dept./Affiliation _____

If none, please list:

The **CONTRIBUTING INVESTOR** should sign and date along with higher Department Head and College Dean. (Note: If your inventor is not the head of the laboratory, the signature of a higher faculty advisor or administrator is required.)

Contributing Inventor Printed Name _____ Signature _____ Date _____

Department Head/College Dean _____ Signature _____ Date _____

Please check appropriate boxes to indicate if inventor, being inventor, is owner of interest in: Patent Copyright Trademark Other None of the above