

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

**General Guidelines  
Open Grants**

**1. Purpose**

Open Grants support UP Diliman interdisciplinary, multi-disciplinary or cross-disciplinary researches or creative works of highest standards, which will lead to evidence-based interventions, breakthrough policies, notable creative works, and/or innovative technologies with excellent socio-economic potential.

**2. Eligibility**

The proponent shall be a regular Faculty Member or Research, Extension, and Professional Staff (REPS) in active service in the University of the Philippines Diliman or in the UP Diliman Extension Program in Pampanga, regardless of the status of employment whether permanent or temporary (but excluding Lecturer, Professor Emeritus, and Faculty Member on sabbatical leave).

**3. Contract Rate**

The open grant shall be based on the financial requirements of the study. In no case shall additional funding be subsequently granted beyond the approved project duration.

**4. Scope of Grant**

- 4.1. The grant shall be for a maximum duration of three (3) years but fund releases will be on a yearly basis, subject to submission of requirements and previous outputs. Research or creative work-related activities that will last for more than a year must be programmed in such a way that each year is a self-contained phase with specific outputs. **Approval of the first year does not guarantee funding for the subsequent year(s).**
- 4.2. The grant may be utilized for the following Maintenance and Other Operating Expenses (MOOE) and Capital Outlay (CO):
  - 4.2.1. Other Services under MOOE such as Program Leader and Project Leader honoraria and other project staff salaries; (Honoraria of Program/Project Leader and salaries of project staff shall follow UP rates; these shall be taxable.)
  - 4.2.2. Maintenance and Other Operating Expenses such as supplies and materials, books, travel expenses, laboratory analytical services, conference attendance expenses, equipment rental, sundry (reproduction, communication, internet services);
  - 4.2.3. Capital Outlay such as small laboratory machine, audio-visual equipment, and office machine necessary in the conduct of research or creative work; (The grantee shall accept the responsibility for the equipment; University rules for transfer and disposal of equipment shall apply.)
- 4.3. Co-funding may be allowed. Relevant information shall be cited in the appropriate section in the application form.
- 4.4. The Program Leader shall be entitled to a PhP3,500.00 monthly honorarium; he/she shall be Project Leader for at least one project (without separate honorarium). Each Project Leader shall be entitled to a PhP3,000.00 monthly honorarium. A

maximum of two Project Leaders may be allowed per project; the monthly honorarium shall be divided between them.

## 5. Release of Funds

### For Year 1 or Year 2 (not the final year):

- 5.1. 70 % of the yearly budget upon signing of the Memorandum of Agreement (or renewal as the case may be);
- 5.2. 30 % of the yearly budget upon submission of the midyear financial report, and full liquidation of earlier release with complete supporting documents;

### For Year 2 or Year 3 (the final year):

- 5.3. 70 % of the yearly budget upon signing of the renewal of Memorandum of Agreement;
- 5.1. 20 % of the yearly budget upon submission of the midyear financial report, and full liquidation of earlier release with complete supporting documents;
- 5.2. 10 % balance of yearly budget upon submission of the final output described in the Obligations of Grantee, provided that all the obligations are complied with not later than two (2) months after the end date of the grant; otherwise, the final release is forfeited.

## 6. Obligations of Grantee

- 6.1. The grantee shall submit an annual financial report.
- 6.2. The grantee shall settle all released funds at the end of the grant in accordance with government accounting and auditing rules as well as UP rules.
- 6.3. The grantee shall, before the end of each year of the grant, submit a duly accomplished UPD **Invention Disclosure Form** and/or UPD **Copyright Information Form before prejudicial disclosure of intellectual property**. In addition, he/she shall submit any two (2) of the following proofs of research or creative work output:
  - 6.3.1. Approval/Signature Sheet of BA/BS/MA/MS thesis and/or PhD dissertation of advisee (proof of mentoring activity through the project);
  - 6.3.2. Proof of exhibition or equivalent in visual and/or performing arts;
  - 6.3.3. Conference proceedings with full paper;
  - 6.3.4. Full paper accepted in a refereed journal and letter of acceptance;
  - 6.3.5. Confidential report (and confidential supplementary report) where applicable.
- 6.4. All submitted proofs of output shall be subjected to verification by OVCRD. Among the recognizable proofs of research or creative work output described in Obligations of Grantee, only the confidential report shall be subjected by OVCRD to a blind independent review; the grantee shall consider the comments and/or suggestions of the Reviewers in the confidential supplementary report.

## 7. Intellectual Property Ownership

- 7.1. Research inventions, copyrights, trademarks and other intellectual property rights conceived, discovered and reduced to practice by its employees, agents or students in the course or as a result of the grant will be owned by the University in accordance with the Revised Intellectual Property Rights Policy of the University of the Philippines System (3 June 2011). The said IPR Policy provides that shares in royalty and other payments that may be earned from such IP will be shared among the author/inventor/creator, the University, and the System.
- 7.2. The OVCRD shall have the right to first publication of any output arising from this project. The Grantee, however, has the right to select the publisher should the OVCRD through *Humanities Diliman*, *Social Science Diliman* or *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. Grantees who submit their output within the grant period to ISI-accredited journals or similarly indexed citations and the output is accepted, may be exempted from this six-month first publication rule.

- 7.3. Should the result of the project be published or publicly presented or exhibited, UP Diliman shall be acknowledged as the source of the grant. The grantee shall provide a copy of any publications or program of exhibitions to the OVCRD.

## **8. Sanctions for Failure to Fulfill Obligations of Grantee**

- 8.1. For failure to fulfill all obligations of the grant, the grantee shall be required to return all the released funds. For purposes of this section, removal from his/her employment with the University or resignation from the University shall be considered failure to fulfill all obligations of the grant.
- 8.2. Endorsement of any application for external funding of research shall be withheld until all grant obligations are fulfilled.
- 8.3. The grantee who fails to fulfill his/her obligations shall be ineligible for all UP grants.
- 8.4. The faculty member grantee who fails to fulfill his/her obligations shall be ineligible to apply for Research Load Credit or Creative Work Load Credit.
- 8.5. University clearance of the grantee who fails to fulfill his/her obligations shall be withheld should he/she apply for leave, resign or retire from UP Diliman.

## **9. Application Process**

- 9.1. Within the announced deadline, applications shall be accepted by the OVCRD through the PMRGO and evaluated by the Reviewers according to merit.
- 9.2. The OVCRD shall approve proposals based on the recommendation of the Reviewers and on the availability of funds.
- 9.3. The OVCRD shall inform applicants whose applications for funding could not be granted during the particular round of proposals. The comments, suggestions, and other relevant points raised by the Reviewers shall be relayed to the proponents. They shall be allowed to reapply in the next call for proposals.
- 9.4. The OVCRD shall notify successful applicants and advise them regarding arrangements with the OVCRD for the Memorandum of Agreement and the release of funds.
- 9.5. Each proponent shall keep a complete copy of his/her proposal and other documents submitted to the OVCRD in connection with his/her application for grant. After the evaluation, the OVCRD shall keep one copy only for its file, regardless of whether the application was approved for funding or not.

## **10. Application Requirements**

- 10.1. Applicants shall submit the prescribed application form containing the proposal, with the necessary endorsements, in 3 hard copies.
- 10.2. Applicants shall submit an electronic copy of their full application in PDF in a CD or USB drive, or through email.
- 10.3. **Proposed Program Leader and Project Leaders shall include in their proposal appropriate proofs of outputs of previous researches or creative works.**