

**General Guidelines**

## **Source of Solutions Grants (Special Grants)**

### **1. Purpose**

This grant provides funding to support commissioned research or creative work on results-oriented projects or programs, open innovation solutions, or front-end ideation to R&D addressing immediate challenges and pressing concerns of/in UP Diliman. It aims to promote the strategic value of UP Diliman as a microcosm of Philippine society and therefore a great source of solutions (SOS) to many of our most difficult national problems (in education, risk and disaster management, land use, transportation, community safety, etc).

### **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 SOS grant shall be Php300,000.00 total for five (5) to twelve (12) months; this financial requirement of the study may be negotiable for highly meritorious cases. 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 one year. Successful projects shall be given top priority for additional funding in succeeding year(s) through other grants.
- 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 Project Leader honoraria and other project staff salaries; (Honoraria of 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 Project Leader shall be entitled to a Php3,000.00 monthly honorarium. A maximum of two Project Leaders may be allowed; the monthly honorarium shall be divided between them.

## 5. Release of Funds

- 5.1. 70 % upon signing of the Memorandum of Agreement;
- 5.2. 20 % upon submission of the midterm financial report, and full liquidation of earlier release with complete supporting documents;
- 5.3. 10 % balance 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 a midterm 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 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 the following outputs with the first four being optional, the last being required:
  - 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, the grantee shall secure prior written consent by the Office of the Chancellor through the Office of the Vice Chancellor for Research and Development and shall acknowledge the support and contribution of the University. 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 refer to the request for proposals for commissioned research or creative work on specific problems of/in UP Diliman as disseminated by the OVCRD. Please refer to Annex – **List of Dimensions of UP Diliman Problem Areas for Potential SOS Grants**. Every proposal shall include **TWO (2) OR MORE DIMENSIONS of the UP Diliman problem area that is being addressed**.
- 10.2. Applicants shall submit a three (3)-page executive summary of the technical proposal using the prescribed response template and address the following:
  - 10.2.1. **Clear description of methodology to attain objectives**
  - 10.2.2. **Level of conceptual maturity**
  - 10.2.3. **Availability of data**
  - 10.2.4. **Realism of proposed plan, deliverables, budget and timeline**
  - 10.2.5. **Potential for proprietary position**
  - 10.2.6. **Potential socio-economic impact**
  - 10.2.7. **Proponent/team capabilities and related experience**
- 10.3. The submitted technical proposal shall not and will not be deemed to contain any confidential information of any kind whatsoever.
- 10.4. Applicants shall submit the prescribed application form containing the proposal, with the necessary endorsements, in 3 hard copies.
- 10.5. Applicants shall submit an electronic copy of their full application in PDF in a CD or USB drive, or through email.

## Annex

### \*List of DIMENSIONS of UP Diliman Problem Areas for Potential SOS Grants as compiled by OVCRD from ExeCom suggestions

Note: The dimensions of UPD problem areas are NOT mutually exclusive; NEITHER are they listed below in any order of priority or urgency.

Each proposal for SOS Grant shall be required to address TWO OR MORE dimensions of a UP Diliman Problem (e.g. A.2 and B.7; B.8 and D.5; or B.5, C.8 and E.6)

A	Administration and Governance	B	Benefits and Welfare	C	Resources	D	Peace, Harmony and Security	E	Environment
A.1	Administrative procedures	B.1	Admission policies	C.1	Scientific culture/ Evidence-based thinking	D.1	National roads at campus	E.1	Disaster risk management
A.2	Processing of documents and/or proposals	B.2	STFAP	C.2	Creativity	D.2	Vehicular noise	E.2	Occupational safety
A.3	Accounting	B.3	Fraternities/Sororities	C.3	Communication skills	D.3	Parking	E.3	Waste management
A.4	Procurement	B.4	Student organizations	C.4	Personal financial management skills	D.4	Police and security guards	E.4	Greening of campus
A.5	Records/ files management	B.5	Student dormitories	C.5	Value of UPD real assets	D.5	Informal settlers	E.5	Food and sanitation
A.6	Management information system	B.6	Student health	C.6	Land use plan	D.6	Sense of community	E.6	Building maintenance
A.7	Information dissemination	B.7	Employee benefits e.g. GSIS, Medical plan	C.7	Flora and fauna	D.7	Gender		
A.8	Faculty hiring and retention	B.8	Employee housing	C.8	Solar energy				
A.9	Faculty tenure	B.9	Health and wellness	C.9	Electricity from Meralco				
A.10	Measures of research or creative work productivity	B.10	University Health Service	C.10	Business concessions/ commercial establishments				
A.11	Organizational structure review								
A.12	Staff rotation every 3 years								
A.13	Cheating and/or plagiarism								
A.14	Character formation								
A.15	Career development program								
A.16	Best practices by the Units								
A.17	Concept of UP leadership								

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