

Guidelines on Enhanced Creative Work and Research Grant (ECWRG) (1299th BOR 31 July 2014)

1. Purpose

The grant aims to encourage faculty and REPS to undertake research that will lead to publications or exhibitions or performances of creative work or other significant output such as patents, new software, and advanced technologies. To ensure the quality of output, publication or exhibition will be required prior to the full release of the grant, depending on whether the grant is for research or creative work.

2. Eligibility

2.1. Regular, full-time faculty with the rank of Instructor 4 and higher, and REPS with the rank of University Researcher I and higher, may apply for the grant provided they meet the qualifications stated in Table 1. Faculty on sabbatical leave may apply for the grant.

2.2. The track record of applicants in completing creative work/research projects (whether UP-funded or not) shall be examined by the screening committees of the CU and the System. Faculty and REPS with poor track record of publication shall not qualify for the grant.

2.3. Faculty and REPS across disciplines (e.g. sciences, arts, humanities, social sciences) are encouraged to submit integrated interdisciplinary proposals, or those constituting a value chain for basic and applied research with applications in public service. Each applicant in the group is entitled to the full amount of the grant based on his/her rank. Each Grantee shall have at least one paper submission where he/she is first author. The project leader/director who is understood to be the senior author, may submit a paper where he/she is not the first author but is among the co-authors so long as the same paper is not submitted by another grantee as a final deliverable.

2.4. In highly exceptional cases, instructors and REPS with the rank lower than Instructor 4 and University Researcher 1 may be considered for the grant.

3. Scope of Grant

3.1. The grant shall support research or creative projects in any field (basic and applied), such as literary work, scientific research, textbook writing, preparation of e-materials (published by academic publishers), artistic work, invention, software, and so on, 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.

3.2. The grant shall be for 18 months. Requests for extension must have strong justification, including the submission of work thus far completed. No additional grant funds shall be provided for extensions.

4. Contract Rate

- 4.1. The contract rates are stipulated below, with amounts varying depending on the rank of faculty and REPS. Total grant amounts are subject to withholding taxes ranging from 20-32% depending on the grantee's base salary.

| Faculty rank | REPS rank | Grant amount (PhP) |
|-------------------------|---------------------------|--------------------|
| Instructors 4-7 | University Researcher 1 | 450,000 |
| Assistant Prof 1-7 | University Researcher 2-3 | 500,000 |
| Associate Professor 1-7 | University Researcher 4 | 550,000 |
| Professor 1-6 | | 600,000 |
| Professor 7-12 | | 650,000 |

5. Requirements

- 5.1. Applicants shall complete the CWRG application form and submit a research or creative work proposal (OVPAAs CWRG Forms 5.1 and 5.2 – Proposal Cover and Proposal Form).
- 5.2. Their project must be one that can be completed in eighteen months. In rare cases and with strong justification, projects may be extended with no additional grant funds.
- 5.3. The applicant may use the contract fee for whatever research purpose he/she deems necessary within the scope of the proposal and implementation of the project.
- 5.4. The recommending CU shall ascertain the applicant's track record in completing research and other projects.

6. Procedure

- 6.1. The OVPAAs shall issue a call for proposals in January 15 and July 15 of each year. The deadline for submitting proposals to the Office of the Vice Chancellor for Research or equivalent unit is February 28 and August 30. All applications and proposals should be submitted in electronic form to the Office of the Vice Chancellor for Research or equivalent unit. Endorsements of proposals from the CU to the OVPAAs shall be submitted by email on or before April 30 and October 30. Grantees shall be notified of grant decisions by May 30 and November 30.
- 6.2. Applications shall be sent directly to the Office of the Vice Chancellor for Research or equivalent unit. The Office of the Vice Chancellor shall put the proposal through an external technical review process by an expert in the field to which the proposed work is relevant; the external review shall use the OVPAAs-prescribed evaluation form. Results of reviews for all submitted proposals shall be forwarded to the OVPAAs and referred to the CWRG Monitoring and Evaluation Committee. The Committee shall

consist of at least three faculty from various disciplines who are awarded as Artist, Scientist, or Professor Emeritus of the University.

- 6.3. The Monitoring and Evaluation committee shall rank the CU proposals according to their content and contribution to knowledge, taking into account the applicant's credentials and publications. The OVPAA shall review the recommendations of the System committee and send them to the President for appropriate action.
- 6.4. Approval of the recommendations shall come from the President, the total number of grants approved will depend on the availability of funds. Proposals endorsed to the OVPAA that are not approved for funding because of lack of funds will be ranked in the next round of funding. A proposal can be considered for funding only twice. No additional technical review will be conducted for proposals that have already been reviewed for a prior round. Proponents will be given the option to withdraw proposals should they desire to pursue different funding mechanisms.
- 6.5. The OVPAA shall notify successful applicants and advise them to coordinate with the OVPAA for the signing of the contract and release of funds (OVPAA Form 2). The official start date of a grantee project is 3 months after receipt of notification of approval; those who cannot start the project within the allotted time will forfeit the grant. In exceptional cases and with strong justification, an extension of the start date can be obtained upon formal application to the OVPAA and monitoring and evaluation committee (see 6.7).
- 6.6. The OVPAA shall likewise inform proponents whose proposals were not accepted.
- 6.7. The OVPAA shall appoint a committee composed of UP Scientists and UP Artists to conduct monitoring and evaluation of all active grants. Its responsibilities include monitoring timely compliance of grantees with reporting and deliverable requirements enumerated in Section 8, evaluating sufficiency of reporting documents submitted by grantees, and reviewing requests for project extensions. The committee shall specify the acceptable format and content of progress reports (OVPAA Form 3).

7. Release of Funds

- 7.1. The grant shall be awarded in the form of contract indicating the purpose, expected output, including intellectual property rights of the parties involved (OVPAA Form 2).
- 7.2. Fifty percent of the grant shall be paid upon signing the contract, thirty percent upon submission of the 9-month progress report. The remaining twenty percent shall be released upon submission of proof of unconditional acceptance for publication in an ISI/SCOPUS-listed journal, ISI/SCOPUS-listed conference proceedings that are reviewed and published as full papers, acceptance for publication by an academic press for books or

book chapters following the International Publication Award list of accepted publishers, patent or patent applications, or documentation for exhibition of creative works.

In exceptional cases and with strong justification, the publication of research papers in non-ISI/SCOPUS journals may be accepted provided that the publication is a peer-reviewed journal with an international advisory/editorial board and is officially published online by the journal website.

The final deliverable for artistic works is a copy of the creative output when appropriate, proof of acceptance for publication in the case of books, or proof of exhibition in the case of films, artwork and other non-written output.

Literary work must be published by an international or national commercial or academic publisher. Authors may submit proof of acceptance of manuscript for publication along with a copy of the manuscript as approved by the publisher to fulfill the final deliverable.

Non-written creative works (e.g. sculpture, painting, music, performances) that are not juried or competitively selected for exhibition shall be subject to review by two external referees in the same field. Reviewers shall be selected by the System Committee. If the reviewers find the output acceptable, the OVPAA shall release the balance of the grant.

- 7.3. Grant proponents are allowed to complete their obligations before the 18th month deadline. Once the final deliverable has been approved by the OVPAA and monitoring and evaluation committee, the faculty or REP can submit a new application for the CWRG.

8. Obligations of Grantees

- 8.1. The grantee shall continue to perform his/her regular functions as faculty or REPS during the grant period. In no case shall the faculty or REPS be given overload pay for the research. Should the recipient resign before completing the project, he/she shall automatically lose the grant and return the full amount. Should the recipient be terminated, or appointment not be renewed before completing the project, he/she shall automatically lose the grant and return the unused amount.
- 8.2. The Grantee shall submit a progress report to the monitoring and evaluation committee of the OVPAA 9 months after the first tranche grant payment is released (using OVPAA Form 3). The final deliverable for research projects is a copy of the full manuscript with notice of acceptance for publication, or other forms of acceptable output as specified in Section 7.2 on the 18th month.

- 8.3. In no case shall a new grant application for the CWRG be reviewed when the faculty or REPS has an outstanding submission for an active CWRG from the OVPAA.
- 8.4. Grantees who fail to comply with the terms of the grant, who fail to undertake the project and produce the expected output, and those whose grants are terminated for cause during the project period shall return the full amount received. Grantees shall also be subject to other sanctions prescribed by pertinent University rules. Furthermore, they shall be disqualified from all University grants.

Within 9 months from the start of the grant, with strong justification, a grantee may request for a revision of the topic and coverage of the grant. The grantees' schedule of report submissions will remain the same. The System Committee will act on the merits of the request.

9. Intellectual Property Rights

- 9.1. In all publications and exhibitions, the University shall be acknowledged as the source of the grant. University provisions on intellectual property rights shall likewise be implemented.
- 9.2. Grantees should seek advice regarding intellectual property protection policies of the University through the appropriate offices of their CUs.

Enhanced Creative Work and Research Grant

Table1. Minimum Qualifications of Applicants for Grants for Research, Creative Work, and Textbook Writing

| Status | Natural and Social Sciences | | Arts and Humanities | | |
|---|--|---|--|---|--|
| | With PhD | With MA/MS | With PhD | With MA/MS | With PhD |
| <u>Junior</u> (Instructor 4 and higher and University Researcher I and higher) | Author or co-author of at least one article in a refereed journal or equivalent chapter or monograph in the last five years | Author or co-author of at least two articles in a refereed journal or the equivalent in book or monograph form, the latest of which was published in the last five years | Author or co-author of at least one article in a refereed journal or its equivalent in an anthology or book in the last five years | Author or co-author of at least two articles in a refereed journal or the equivalent in anthology or book form, the latest of which was published in the last five years | Artistic contribution or outstanding achievement (solo exhibition or equivalent in performing arts) in the last five years |
| <u>Senior</u> (Higher ranks) | Author or co-author of at least two articles in a refereed journal or their equivalent in book or monograph form, the latest of which was published in the last five years | Author or co-author of at least four articles in a refereed journal or their equivalent in book or monograph form, the latest of which was published in the last five years | Author or co-author of at least two articles in a refereed journal or the equivalent in an anthology or book, the latest of which was published in the last five years | Author or co-author of at least four articles in a refereed journal or their equivalent in anthology or book form, the latest of which was published in the last five years | Artistic contribution or outstanding achievement (solo exhibition or equivalent in performing arts) in the last five years |

OVPA-ECWRG Form 5.1
ENHANCED CREATIVE WORK AND RESEARCH GRANT (ECWRG)
Proposal Cover*

| | |
|---|------------------------------|
| Date submitted: _____ | Date received by OVPA: _____ |
| OVPA identifier number (to be assigned by OVPA): ECWRG-2017-_____ | |

I. Proponent information:

Last name: _____ First name: _____ MI: _____
 Department: _____ College: _____
 Constituent University: Baguio Cebu Diliman Los Baños
 Manila Mindanao Open University Visayas
 Highest degree: _____ Specialization: _____
 Date of birth: _____
 Address: _____

 Phone/Fax: _____ Email: _____

II. Employment information:

Rank: e.g. Assistant Professor 6, Professor 8 Status: Permanent Temporary
 Salary grade: e.g. SG 20 TIN: _____
 Name of bank/branch: _____ Account no.: _____

III. List of publications/creative work in the last five years.

For publications, list only papers in Web of Science-indexed (formerly ISI) or Scopus-listed journals. For books/book chapters, include the publisher's ranking in the SENSE list.

| Publication | ISI, Scopus or SENSE ranking |
|--|------------------------------|
| 1. Author 1, Author 2, Author 3 and Author 4. 2016. Title of paper. Journal title, volume, page numbers. | WoS |
| 2. Author 1, Author 2, Author 3, Author 4 and Author 5. 2014. Title of book chapter. In Editor 1 and Editor 2. Title of book. Publisher. | SENSE rank B |
| 3. Author 1, Author 2, Author 3, Author 4, Author 5 and Author 6. 2012. Title of paper. Journal title, volume, page numbers. | Scopus |

| Creative Work | |
|---|--------------|
| 1. Author 1, Author 2, Author 3, Author 4 and Author 5. 2014. Title of book. Publisher. | SENSE rank A |

IV. List of previous research/creative grants funded by UP System, if any:

| Project | Grant | Duration | Grant Amount |
|--------------------|-------------------------------|-----------|--------------|
| Title of project 1 | ECWRG | 2014-2015 | P450,000.00 |
| Title of project 2 | OVCRD Outright Research Grant | 2013-2014 | P300,000.00 |

V. List of externally-funded research/creative grants, if any:

| Project | Funding Agency | Duration | Grant Amount |
|--------------------|----------------|--------------|---------------|
| Title of project 1 | USAID STRIDE | 2016-present | P3,000,000.00 |
| Title of project 2 | NHCP | 2012-2014 | P450,000.00 |

OVPAA-ECWRG Form 5.2
ENHANCED CREATIVE WORK AND RESEARCH GRANT (ECWRG)
Proposal Form

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|--|
| I. TITLE OF PROPOSED RESEARCH/CREATIVE WORK: <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> |
| II. SIGNIFICANCE OF PROPOSED WORK (explain how topic/subject fits into unit/CU's thrusts and focus; how it relates to your other current and previous work; why work should be supported; if work is part of a larger project or program; maximum of 500 words) |
| III. DURATION OF PROJECT: _____ (maximum of 18 months) |
| IV. RESEARCH PROPOSAL |
| A. Abstract (maximum of 200 words) |
| B. Significance |
| C. Background |
| D. Objectives |
| E. Theoretical Framework and Methodology |
| F. Work Plan and Gantt Chart |
| G. Expected Output/s (please check as appropriate): <ul style="list-style-type: none"> <input type="checkbox"/> Full paper in a Web of Science-indexed journal <input type="checkbox"/> Full paper in a Scopus-listed journal <input type="checkbox"/> Book or book chapter published by an academic press or publisher (refer to latest SENSE list of publishers) <input type="checkbox"/> Patent or patent application <input type="checkbox"/> Non-written creative work (specify e.g. staged performance, film, artwork, video composition etc) |
| H. Bibliography or References |

ENDORSEMENTS:

 DIRECTOR/DEPARTMENT CHAIR

 DEAN

 VICE-CHANCELLOR FOR RESEARCH*

 CHANCELLOR
NOTES (please read carefully):

* All proposals will be subjected to technical and administrative review by the Constituent Unit's Office of the Vice-Chancellor for Research and Development/Extension (or its equivalent) prior to submission to the Office of the Vice President for Academic Affairs. The VCR&D (or its equivalent) must check if there is duplication of the proposed work against ongoing or completed projects, validate and record the information on this proposal, and indicate if other grants/funding sources are available for the proposed work. In signing this document, the signatories attest that the proponent has no pending accountabilities from other or previous projects/grants (e.g. terminal and/or financial reports or outputs have been completed/submitted). The technical review will be done by external reviewers (i.e. from a different CU) to be selected by the respective OVCR/OVCRD/OVCRE.

** All reviewed/revised proposals will be submitted to the OVPAA before the deadline. An electronic copy of the proposal must be emailed by the OVCRD/OVCRE to research.ovpaa@gmail.com before the deadline set by the OVPAA.

*** Proposals submitted by the CUs will not automatically be endorsed for funding since these will still be evaluated by the System ECWRG Monitoring and Evaluation Committee. The number of proposals which will be endorsed for funding is subject to available funds.

**** The OVCR/OVCRD/OVCRE will inform the ECWRG applicant whether their proposal was submitted to the OVPAA.