

POLICIES AND GUIDELINES FOR EXTERNAL PROJECTS¹

Definition of Terms

Institutionally-based externally-funded projects include the following:

1. institutional researches contracted by an external funding organization to DLSU, specifically through the department and/or college/research center/institute;
2. projects which are officially endorsed by and awarded to the University;
3. those for which the memoranda of agreement are made between DLSU and the funding organization; and
4. those for which funds are directly channeled through DLSU.

Commissioned Research Projects are projects that:

1. are recommended or initiated by any of the following: Office of the President, Office of the Chancellor, and/or the Office of the Vice Chancellor for Academics and Office of the Vice Chancellor for Research.
2. emanate from funding agencies where a center or individual is identified and specifically requested to plan and conduct a predetermined research. In other cases, the center or individual becomes part of a multicountry research network.

Professional Fee represents the amount of honorarium or salary stipulated in a project proposal, which is approved by the funding organization.

Project Leader/Manager/Faculty Researcher refers to a faculty member who prepares and submits a proposal for external funding; and/or a faculty member who implements the same once approved by the funding organization.

Project Staff refers to project personnel with a non-faculty status.

Research Activities are those which:

1. involve a “team” of individuals to undertake the collection, analysis and interpretation of data, aside from producing a written report;

¹ These policies and guidelines have been approved by the University Research Council (*See Appendix I*) on November 25, 2009. These revisions have been made since the approval:

- * The revised policy on the management fees and contribution of University Centers/Institutes were approved by the University Research Council on August 23, 2011.
- * The policies and guidelines are being implemented under the supervision of the office of the Vice Chancellor for Research effective 1TAY2011-2012.
- * Inclusion of the Project Code in the EFP form#1 (October 2012).
- * Inclusion of the Flowchart on Establishing Memorandum of Agreement (from the EVPERI office).

2. have grants for components other than the professional fee for project leaders/manager/faculty researchers (i.e., honoraria/salaries for project staff, data gathering expenses, and other research-related expenses); or
3. involve a working agreement between the funding organization and the University.

Negotiation, Monitoring and Supervision of Externally-Funded Projects include, among others,

1. following up the status of proposals submitted and projects being implemented;
2. handling of contract negotiations;
3. administering all externally-funded projects based in the specific college (e.g., providing administrative support/services in the hiring of personnel, handling of project funds, preparation of budget performance and other financial reports); and
4. the establishment and maintenance of direct linkages with funding agencies.

Research/Project Output refers to the result/product of a research/project undertaking. It may take the form of a written report, a published article, software developed, or a chemical formulation. Research output can also be toolkits, manuals, policy briefs, and fact sheets based on research findings.

Intellectual Property Rights consist of the exclusive right to make use of/have any disposition regarding a research work/output consistent with University policies and applicable Philippine laws.

Center/Institute Director

The Director of Centers and Institutes under the office of the VCR is focused on thematic lines of research that are multi-disciplinary in nature and aligned with the strategic thrusts and priority themes of the University.

Research Center/Institute provides the infrastructure and resources to manage research-related activities in identified areas of research priority. The Research Center/Institute follows University policies and procedures relating to expenditure of funds provided by external agencies for the conduct research projects.

External Funding Agency refers to the entity that provides support for research-related programs and projects awarded to the Research Center/Institute or to the faculty as a result of an application or proposal submitted by the Research Center/Institute to the External Funding Agency on behalf of a full-time faculty member or faculty members.

Basic Requirements/Conditions

Faculty Qualification

1. Project proponents must be full-time academic teaching faculty members; Academic Service Faculty (ASF) may qualify as co-proponents upon the recommendation of their dean and department chair. In very meritorious cases, they can be considered principal proponents. ASF are awarded research unit equivalence in the form of an overload.
2. All faculty members fully deloaded for administrative work are allowed to undertake externally-funded research, provided that their research involvement does not exceed ten (10) hours of the 40-hours per week requirement; inclusive of consultancy.
3. Part-time faculty members may qualify as associate project leaders/managers upon the recommendation of the dean and the department chair.
4. Retired faculty may be involved as a consultant or as a research team member of an externally-funded project upon the recommendation of the dean and the department chair

Minimum Teaching Requirements

As a general rule, a full-time faculty member involved in an externally-funded research project/s must teach for at least two (2) terms and for a minimum of nine (9) units per school year.

General Guidelines & Policies

Project Development

1. The University will have preference for projects which are in line with its (a) Mission Statement or (b) Research Thrusts as embodied in its Strategic Decisions and the research agenda of the University and its various Colleges, Schools, Centers and Institutes.
2. Faculty members may not be compensated by the University or by the Research Center/Institute for the preparation of a research proposal. In some cases, however, the VCR, the dean, the department chair, and/or the college research director, may commission a faculty member to prepare a research proposal, for which an honorarium will be paid or a deloading be given.
3. The honorarium for the preparation of the commissioned research proposal will be built into the project proposal or be taken from the College Research Fund.
4. Identifying Possible Sources of External Funds

- a. The college/research center/institute will be responsible for establishing and maintaining linkages with external agencies, specifically for project development purposes.
 - b. The college will be responsible for the proper selection of funding agencies.
 - c. The office of the Vice Chancellor for Research shall play a key supportive role in the Center's/Institute's marketing and promoting of research activities of the Centers/Institutes, as well as in the sourcing of funds for research.
5. The proposed budget should include the following: professional fees of faculty members involved in research, provision for a withholding tax based on allocated honoraria, other personnel compensation and benefits (i.e., SSS, MEDICARE, PAG-IBIG, 13th month pay, insurance, particularly if the staff are to do fieldwork). The budget may also include accounting fees for projects requiring formats and documents for financial reports.
 6. As a general rule, all projects will include a component for management fee inclusive of overhead/indirect cost of 20% for the administrative services and for the use of University electricity, space and other facilities in the conduct of the external project. For meritorious cases, this fee may be adjusted or be waived upon the approval of the VCRI.²

The 20% management fee will be distributed as follows:

4% will go to the college/s of the researchers involved in the project, distributed in proportion to the number of team members from the respective Colleges. (In the event that the management fee is reduced below the 20% default rate but above 10%, the share of the College/s will be pegged at 4%, while the balance will be evenly divided between the Center/Institute and the University).

8% will go to the Center or Institute; in case no Center or Institute is involved, this share will be evenly divided between the College and the University

8% will go to the University.

If counterpart funding is required by the external funding institution, this can be sourced from the University in the following forms, unless otherwise indicated in the project budget:

- office space (to specify rate per square meter), with fixtures
- logistics, i.e., electricity, water
- communication, i.e., telephone, facsimile, internet
- transportation, i.e., university service vehicles, car hires
- equipment, i.e., laboratory facilities, computers, projectors, etc.
- faculty deloading (through URCO)
- administrative costs

7. Rates for research assistants, per diem, interviewers' or coders' fees, etc., may be provided by URCO based on existing rates, upon request.

² Approved by the University Research Council on September 6, 2013.

8. The URCO may provide sample/pro-forma proposals and contracts/memoranda of agreement, upon request.
9. The URCO may assist the project leader/manager/s in the preparation of project proposals, upon request.
10. Review of preliminary draft of project proposals:
 - a. The college/research center/research institute will see to it that proposals are properly reviewed, prior to their submission to a prospective funding agency.
 - b. The project leader/manager/s may also request the URCO Director to review the preliminary draft of the project proposal prior to its submission to the funding agency concerned.
11. It will be the responsibility of the college concerned, through the proponent, to handle the negotiations for the approval of the project proposal with a prospective funding agency.
12. Upon approval of the project proposal by the funding agency, the necessary contract or memorandum of agreement (MOA) should be prepared. (*See Appendix 2: Flowcharts for Establishing Memoranda of Agreement, Remarks related to flowchart, Tracking form for Memoranda of Agreement c/o the Executive Vice President for External Relations and Internationalization*).

Project Implementation

1. Upon approval of the project proposal by the funding agency and after the necessary contracts have been signed by the parties concerned, the URCO will request for a copy of the MOA and the approved project proposal and budget, in line with its verification function.
2. As much as possible, the project leader/manager who prepared/submitted the proposal for funding will also be the one to implement the approved project.
3. If not stipulated in the contract/MOA, the project leader/manager is advised to determine whether the funding agency will require any specific format/supporting documents for the project's periodic financial reports. Proper arrangements with the Controller should be made for projects requiring specific format for financial reports, other than those periodically generated by the Accounting Office.
4. The project leader/manager should advise the funding agency of his/her approved research project to make checks representing partial/full releases of grants, payable to DE LA SALLE UNIVERSITY
(Attn: Name of Project Leader/Manager).

5. The URCO may assist in the opening of accounts with the Accounting Office for newly-approved institutionally-based externally-funded projects. The project account becomes a sub-account of the Research Center/Institute. (*See Appendix 3: Flowchart for the Creation of Project Account for Externally-funded Projects & EFP Form #1*)
6. The research center/institute monitors and keeps records of the project fund balances. The Research Center/Institute and Accounting Office keeps all the evidences of receipts and disbursements. The project leader/manager may request for a periodic financial report from the Research Center/Institute. The research center/institute requests for a Statement of Receipts and Disbursements or financial report of the project from the Accounting Office.

The dean may also request for periodic financial reports of pertinent external projects under his/her college from the Controller.

7. A memo transferring the 20% management fee to the college/s of the researchers involved (4%), to the Center/Institute (8%) (in case no Center or Institute is involved, this share will be evenly divided between the College and the University); and for University (8%), will be sent to the Controller by the Project leader/manager through the Research Center Director/Institute Director and the Vice Chancellor for Research and Innovation. Upon signing the project contract, the project director/manager shall inform the University Accounting Office of the auditing requirements of the funding agency. The Accounting Office shall ensure compliance to these requirements.
8. Disbursement Procedure (*See Appendix 4: Disbursement of Project Funds*). Corresponding adjustments in deloading incentive as a result of faculty promotion is allowed, provided that the project funds are sufficient.
9. Hiring of Project Personnel (*See Appendix 5: Hiring of Project Personnel*).
10. Monitoring and Supervision of Institutionally-Based Externally-Funded Projects
 - a. The monitoring and supervision of the project personnel as well as the progress of the project will be handled by the project leader/manager.
 - b. In cases where the project leader/manager of an ongoing project resigns from the University, he/she should:
 - i. have already made the necessary arrangements with the research center director/institute director or dean, whichever is applicable, for the turnover of his/her project to a qualified faculty.
 - ii. submit a memo addressed to the office of the VCR noted by the dean or research center director/institute director; stating that the faculty assigned agrees to take over the project. The URCO should be furnished with a copy of the memo.

11. Revision of Preliminary Draft of Research Report

- a. Provided that the funds are sufficient, direct expenses to be incurred as a result of revisions of the preliminary draft of the research report will be charged against the project funds.
- b. The services of project staff (e.g., research assistant) may be employed provided that the project funds are sufficient to cover for their remuneration. (It should be noted that the computation of the 13th month pay and other benefits will be adjusted according to the period for which their employment is extended. Research assistants may be given a 13th month pay in compliance with existing relevant laws.)

Project Completion

1. The project leader/manager formally informs the Research Center/Institute of the completion of a project. The research center director/institute director will certify the completion of a project and will convey the completion and financial status of the project to the Vice Chancellor for Research. Upon project completion as certified by the University Accounting Office, the URCO will facilitate the transfer of the University share in the project savings to the appropriate accounts of the University. *(See Appendix 6: Flowchart for the submission of Research Center/Institute Annual Report and Research Outputs to the VCR and format and Content for Annual Report)*
Any request for reconsideration, exemption, etc. should be addressed to the Vice Chancellor for Research.
2. Allocation of Professional Fee, Project Savings for Completed Projects
 - a. Savings or unspent money, if not to be returned to the funding agency from an institutionally-based externally-funded project that has been completed, will be distributed as follows:
90% will go to the college
10% will go to the Office of the VCR

The 90% college share will be redistributed as follows:
30% will go to the college research fund
70% will go to the Research Center/Institute
 - b. The project leader/manager should provide the Dean and the College Research Director with a complete financial statement of the project.
3. Turn Over of Project Property to the Department/College/Research Center/Institute
 - a. The department/research center/institute implementing the project will have priority over non-cash savings (i.e., equipment from external projects).

- b. Within one year after the certified completion date of the project, the project leader/manager through the Center/Institute Director will officially turn over the non-cash project savings to the department, College Research Center/Institute concerned. A copy of the memo should be sent to the Office of the Vice Chancellor for Research, the URCO Director, and the Associate Vice Chancellor for Academic Services for inventory purposes.
4. Publication of Research Output (*See Appendix 7: Publication Policies*)

Individual/Personal External Funded Project

1. Faculty members with personal newly-approved Externally-funded project are required to submit a copy of the project memorandum of agreement to URCO through the VCR for the University file copy.
2. Upon completion of the project, faculty proponent submits a copy of the abstract and final report to URCO through the VCR
3. Reported project will be included in the URCO Master list of Externally- Funded projects of the current year and Annual Research Report.
4. Faculty members with completed project will be recognized in the Annual Faculty Research Recognition Program.

Structure of Compensation

Deloading Scheme (*See Appendix 8: Sample Computation: Deloading Scheme*)

1. The payment for the faculty researcher's deloading will be drawn from the project funds and computed based on his/her rank, the amount of which will be equivalent to the proportion of the number of deloaded units to the total 12-unit load. For example, a 3-unit deloading will be equivalent to 1/4 or 25% of the faculty researcher's monthly salary.
2. Deloading for External Projects Without or With Inadequate Professional Fees:
 - a. A department/college may be allowed to deload a faculty researcher provided that the project funds can shoulder the expenses for the faculty's deloading and such deloading will not interfere with the teaching efficiency in his/her college.

- b. For projects where there is no provision for professional fee or such fee is inadequate to shoulder the deloading pay of a faculty researcher, and a donation in the form of equipment is being extended to the University, the Project leader/manager through the VCR may request for a deloading from the VCA following this procedure guided by the deloading policies of the University:
- i. the project leader/manager will write to the Center/Institute Director through the department chair to request for a deloading, indicating the reason/s for the request;
 - ii. the Center/Institute Director may convene the College Research Council (CRC) or form a committee which will include the Department Chair and the dean to deliberate on the request based on a standard set of criteria set by the CRC;
 - iii. if the request is granted at the CRC/committee level, the Center/Institute Director will write a letter of recommendation to the Vice Chancellor for Academics through the dean and the VCR for the final approval of the deloading; a copy of the letter will be sent to the project proponent, the CRC/committee members, and the URCO Director;
 - iv. the VCR will act on the recommendation and send a memo/reply to the Center/Institute Director; a copy of the memo/reply will be sent to the project leader/manager the CRC/committee members, the VCR and the URCO director. Approved deloading will be charged to the department teaching budget.
- c. A faculty member or an entire research team can avail of deloading through the conduct of an URCO-funded research that corresponds to a well-defined phase, a component of, or a study from, the larger externally-funded project. The proposed component, phase or study should be completed within a maximum period of one academic year.

Appendix 1
University Research Council

Composition

The University Research Council is composed of the following:

1. The Vice Chancellor for Research who automatically chairs the University Research Council.
2. The Deans of the Colleges and School, namely:
 - a. School of Economics
 - b. RVR College of Business
 - c. College of Computer Studies
 - d. College of Education
 - e. Gokongwei College of Engineering
 - f. College of Liberal Arts
 - g. College of Science
 - h. College of Law
3. The College Research and Advanced Studies Director (RASD) of:
 - a. School of Economics
 - b. RVR College of Business
 - c. College of Computer Studies
 - d. College of Education
 - e. Gokongwei College of Engineering
 - f. College of Liberal Arts
 - g. College of Science
 - h. College of Law
4. The University Research Coordination Office Director.

Functions

The University Research Council

1. Initiates the formulation, review and amendment of policies governing Internally-funded Research Projects as well as University Research Coordination Office-Administered Externally-funded Research Projects;
2. Reviews the annual allocation of Internally-funded Research Projects funds in each of the colleges;
3. Encourages the conduct of research activities in the University; and
4. Acts as advisory/recommendatory body to the Academics Council and President's Council in setting research thrusts and directions for the University.

The University Research Council Chair

1. Convenes and presides over the meetings of the Council; and
2. Ensures that University policies and standards governing Internally-funded Research Projects and University Research Coordination Office-Administered Externally-funded Research Projects are implemented uniformly across colleges.

Voting Powers

Each college has two (2) votes on any deliberation. The URCO Director also votes. The Vice Chancellor for Research, who presides over the Council meetings, votes only to break a tie.

Meetings

Regular University Research Council meetings are held once a term. Special meetings may be called as the need arises.

Appendix 2

ESTABLISHING MEMORANDA OF AGREEMENT

	Center/Institute	College	VCLMER	VC Admin	VC Research	VC Academics	President	Support
1. PROPOSE	Researcher	Faculty member						ER
	Center/Unit Head	Dept Chair						
	Dean	Dean	VCLMER	VC Admin.	VC Research	VC Academics	President	
2. PROCESS	ER	ER	ER	ER	ER	ER	ER	IPR Lawyer Legal
3. ENDORSE	VC Research	VC Academics	VCLMER	VC Admin.	VC Research	VC Academics	President	
4. EVALUATE	COD	COD	COD / PC	COD / PC	COD / PC	COD / PC	COD / PC	
5. APPROVE	Dean/VCR/Pres	Dean/VCAc/Pres	VCLMER/Pres	VCAc/Pres	VCR/Pres	VCAc/Pres	President	
6. SIGN	Dean/VCR/Pres	Dean/VCAc/Pres	VCLMER/Pres	VCAc/Pres	VCR/Pres	VCAc/Pres	President	ER
7. DOCUMENT	ER	ER	ER	ER	ER	ER	ER	Notary Archives MCO

Remarks related to flowchart on Establishing Memoranda of Agreement

1. PROPOSE

Any possible linkage, grant or partnership with an external institution should initially be discussed by the faculty member and the department chair, or by the researcher and the unit head in the case of research centers or institutes.

Sample drafts of related MOAs can be obtained from the Executive Vice President for External Relations and Internationalization (EVPERI) (ext 163 or telefax 523-3911). Once the idea of the partnership/linkage is clear, the matter may be raised to the level of the Dean for approval at the College level, and the file draft MOA is endorsed to the EVPERI. When the proposal emanates from any of the Vice-Chancellors or the *President*, the EVPERI takes care of preparing the draft MOA. It is recommended that at least one specific unit in the university, whether a department, a college, a research center, or an institute is brought in to eventually become the focal point of the proposed linkage/grant/partnership.

2. PROCESS

The EVPERI reviews the draft MOA and liaises with the Legal Counsel and the De La Salle Intellectual Property Office (DIPO) for legal opinion. Based on recommendations from the Legal Counsel and the DIPO, the EVPERI coordinates with the unit from where the draft MOA emanated in order to make necessary revisions.

3. ENDORSE

The EVPERI coordinates with the corresponding office (VC or President) for endorsement of the proposed MOA.

4. EVALUATE

The endorsed MOA is sent either to the Academics Council or the Presidents Council (PC) for evaluation, and at the same time, for information dissemination. In general, all linkages, grants and partnerships that are purely academic in nature, and especially those that only involve one or two colleges, such as faculty grants, industry-academe linkage, student exchange, and joint research collaboration, are to be evaluated by the Academics Council. Linkages and partnerships that involve a significant counterpart funding from DLSU as well as those that involve three or more colleges may need to be elevated to the PC. The decision of sending the endorsed MOA to either the Academics Council or the PC rests with the EVPERI.

5. APPROVE, SIGN and DOCUMENT

The EVPERI coordinates with the various offices and administrators of the university for the final approval, signing ceremony and various documentation functions such as notarization, archiving of documents, coordination with the University Registrar, and press release (thru the STRATCOM). In general, the College Dean is the final signatory for regular linkages, grants and partnerships involving a single College, provided they do not involve any counter-part funding or resources from DLSU. Those linkages, grants, and partnerships that involve two or more Colleges or those that require up to PhP500,000 worth of counterpart funding would have a Vice-Chancellor as final signatory. Those that require more significant counterpart funding from DLSU, or those that involve grants and donations to DLSU of more than PhP3Million, or any other MOA of such high stature as requiring the signature of the CEO, would have the President as final signatory. The EVPERI, in consultation with the President's Office, determines the appropriate final signatory for DLSU.

Flowchart on Establishing Memoranda of Agreement

Flowchart (AVCER-a2)	Narration
	<p>Non-standard means that the pre-approved standard format of drafting a MOA was not used.</p> <p>AVCER-a2.1 Negotiation</p> <p>The university through its faculty, department and college either receives or proposes possible linkage, grant or partnership with an external institution including government agencies. The corresponding faculty, department or college agrees specific terms with the counterparty. Agreed terms and conditions are documented in the draft MOA and submitted to Office of the AVCER for processing.</p> <p>AVCER-a2.2 Initiation</p> <p>AVCER receives the draft MOA from the respective department or faculty (requestor). AVCER reviews the draft and clarifies provisions with the requestor, if any. A MOA tracking form is prepared to monitor status of the draft MOA. The tracking form as well as the draft MOA are sent to Intellectual Property Office (IPO) for review and comments.</p>
	<p>AVCER-a2.3 IPO review</p> <p>Upon receipt of the draft MOA and tracking form from AVCER, the IPO director will review the draft MOA to ensure there are proper IP provisions. Receipt date and comments of IP director will be documented on a cover letter. After the review, the IPO director will sign the MOA tracking form as cleared. A copy of the draft and comments are kept for IPO files. The draft MOA and form are sent back to AVCER which forwards it to the Legal Counsel for the latter's review and comments.</p> <p>AVCER-a2.4 Legal review</p> <p>Upon receipt of the draft MOA and tracking form, the legal counsel will review the draft MOA to ensure that there is no violation of internal policies and external laws and that it is not one sided or disadvantageous to the university. After the review, legal opinions and comments are documented either on the remarks column of the tracking form or on an attached paper. The tracking form is then signed as cleared. The draft and form are sent back to AVCER which will then be forwarded to other reviewers, if any.</p> <p>AVCER-a2.5 Other review</p> <p>Other reviewers pertain to appropriate officers for DLSU contribution such as funding, space and personnel requirements. After approval, the signed tracking form and draft MOA are sent back to AVCER.</p>

Flowchart (AVCER-a2)	Narration
	<p>AVCER-a2.6 Complete clearance</p> <p>AVCER reviews the MOA tracking form for completeness of necessary clearances, after which, the draft memo and tracking form including the comments from IPO, Legal and other departments are forwarded to the requestor to integrate the recommendations in the draft MOA.</p>
	<p>AVCER-a2.7 Integrating recommendations</p> <p>Requestor will get clearance from counterparty to add/ delete provisions as recommended by our legal counsel, IPO director and other reviewers. Once requestor receives clearance of counterparty, the draft MOA will be revised to integrate the comments received from IPO, Legal and other departments.</p>
	<p>AVCER-a2.8 Final Review and endorsement</p> <p>The revised MOA draft will be sent to the AVCER director to check whether the recommendations were properly integrated. The AVCER director then endorses the proposed MOA to either the Vice Chancellor for Academic Council (VCAC) or President's Council (PC).</p>

Flowchart (AVCER-a2)	Narration
	<p>AVCER-a2.9 Council Evaluation and approval</p> <p>The proposed MOA is presented to the council for evaluation and approval. In general, all linkages, grants and partnerships that are purely academic in nature are evaluated by the VCAC. Linkages and partnerships that involve a significant counterpart funding from DLSU as well as those that involve 3 or more colleges need to be elevated to the PC.</p>
	<p>AVCER-a2.10 Finalization and signing</p> <p>After the council's evaluation and approval, the tracking form and proposed MOA are sent back to AVCER for the finalization of the MOA. AVCER then sends the MOA to the Requestor to prepare the final MOA in duplicate. AVCER then in consultation with the President's Office, determines the appropriate final signatory for DLSU. AVCER then coordinates with the appropriate signatory for the signing of the final MOA.</p>

Flowchart (AVCER-a2)	Narration
	<p>AVCER-a2.10 Finalization and signing (continued)</p> <p>AVCER then sends both copies of the signed final MOA to counterparty for their signature.</p>
	<p>AVCER-a2.11 Filing</p> <p>When MOA is signed by both parties, AVCER executes various documentation functions such as notarization, archiving of documents, coordination with the university registrar, and press release. AVCER then sends a photocopy of the final MOA to the department, college, research center or institute assigned as project leader of the MOA. The original MOA (DLSU copy) and the tracking form are kept by AVCER for filing.</p>

**MEMORANDUM OF AGREEMENT
Tracking Form**

Working Title : <input style="width:95%;" type="text"/>	MOA Number <input style="width:95%;" type="text"/>
Prospective Partner : <input style="width:95%;" type="text"/>	
Project Description : 	
Projected starting date : <input style="width:200px;" type="text"/>	MOA duration : <input style="width:150px;" type="text"/>
DLSU Sponsor (dept/college/center/institute) : <input style="width:95%;" type="text"/>	
Contact person : <input style="width:250px;" type="text"/>	email : <input style="width:200px;" type="text"/>

DLSU counterpart contribution	
Funding :	No <input type="checkbox"/> Yes <input type="checkbox"/> If yes, provide details
Space :	No <input type="checkbox"/> Yes <input type="checkbox"/> If yes, provide details
Personnel :	No <input type="checkbox"/> Yes <input type="checkbox"/> If yes, provide details
Others :	No <input type="checkbox"/> Yes <input type="checkbox"/> If yes, provide details

Evaluation c/o External Relations Office	Date filed with ERO <input style="width:95%;" type="text"/>
Legal : Cleared <input type="checkbox"/>	<small>Remarks</small>
IPR : Cleared <input type="checkbox"/>	<small>Remarks</small>
Others : Cleared <input type="checkbox"/>	<small>Remarks</small>

Endorsement		
Council of Deans <input type="checkbox"/>	President's Council <input type="checkbox"/>	Endorsed by <input style="width:95%;" type="text"/> <small>(date)</small>

Evaluation (Council of Deans or President's Council)	Date evaluated: <input style="width:95%;" type="text"/>
<small>Remarks</small>	
Designation of Final signatory: <input style="width:150px;" type="text"/>	

Approved <input type="checkbox"/> Disapproved <input type="checkbox"/>	Date signed <input style="width:95%;" type="text"/>
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Appendix 3

Flowchart for the Creation of Project Account for Externally-Funded Projects (EFP)

In-Charge	Process / Document	Description
Project Leader/Manager Research Center Director/Institute Director Dean	<p>Start</p> <p>Submission of signed Memorandum of Agreement (MOA) & EFP Form #1</p> <p>Chancellor's Office</p> <p>Signed MOA → DIPO</p> <p>Signed MOA → URCO</p> <p>EFP Form #1 → VCR</p>	<p>Project Leader/Manager through the Research Center Director/Institute Director and the Dean submits to the Vice Chancellor for Research (VCR) the following:</p> <ul style="list-style-type: none"> signed Memorandum of Agreement, MOA (the VCR sends copies of MOA to Chancellor's Office and De La Salle Intellectual Property Office) accomplished Externally-Funded Project (EFP) Form # 1. <p><i>(In cases where the MOA is still in process/not yet available, the Research Center/Institute Director through the Dean writes a letter requesting for the creation of project account. Requirements in the creation of project account shall be forwarded to the VCR as soon as the Center receives the MOA)</i></p>
Vice Chancellor for Research (VCR) URCO	<p>Signed MOA</p> <p>EFP Form #1</p> <p>Accounting Office</p>	<ul style="list-style-type: none"> VCR receives copies of the signed MOA and the EFP Form # 1 then endorses the request. VCR forwards the MOA & EFP form to URCO URCO submits the MOA & EFP form #1 to Accounting Office for the creation of project account.
Assistant Controller for Financial Accounting (ACFA) Controller	<p>Creation of Project Account</p> <p>EFP Form #1</p> <p>Project Leader/Manager/Research Center Director/Institute Director</p> <p>VCR</p>	<p>Accounting Office receives the copies of the signed MOA and the EFP Form # 1.</p> <p>Assistant Controller for Financial Accounting (ACFA) assigns an individual account number for the externally-funded project, indicates the project account number and date of creation on the EFP Form # 1, signs the EFP Form #1.</p>
URCO	<p>Documentation/Creation of Database</p> <p>End</p>	<p>URCO obtains the copy of the EFP form #1 from the Accounting Office. Sends copies to the VCR, Project Leader/Manager, Research Center Director/Institute Director</p> <p>URCO documents and creates the database for all externally-funded projects.</p>

URCO
University Research Coordination Office

REQUEST FOR CREATION OF PROJECT ACCOUNT FOR EXTERNALLY-FUNDED PROJECTS
Term _____ AY _____

An academic unit (e.g. department, research center, institute) should use this form to request for a project account. Please accomplish the form accordingly.

UNIT/RESEARCH CENTER: _____

PROJECT TITLE: _____

PROJECT LEADER/MANAGER: _____

PROJECT TEAM MEMBERS: _____

FUNDING AGENCY: _____

PROJECT DURATION: Start Date: _____
End Date: _____

PROJECT COST: In Foreign Currency: _____
In Pesos (as of _____): _____

SHORT DESCRIPTION OF PROJECT: (please use separate sheet if necessary)

Project Leader/Manager Printed Name and Signature Date

Endorsed by:

Research Center Director/Institute Director Dean Vice Chancellor for Research
Printed Name and Signature Printed Name and Signature Printed Name and Signature

Date Date Date

Noted by: _____
URCO Director Date
Printed Name and Signature

For URCO:

Project Code no.: _____

Copies of the EFP form #1 for VCR, Project Leader/Manager, Research Center Director/Institute Director

For Accounting Office:

Account no.: _____ Date created: _____

Assistant Controller for Financial Accounting Date
Printed Name and Signature

Appendix 4

Disbursement of Project Funds

1. All requests for disbursements of funds should be made through a Payment Requisition Slip (PRS). PRS booklets may be obtained from the Accounting Office free of charge.
2. The PRS should always be completely filled out and supported by computations/documents/explanations whenever appropriate.
3. The signatories to the Payment Requisition Slips (PRS) should be the
 - a. project leader/manager
 - b. CRC chair or research center director/institute director (if project is under a center/institute)
 - c. dean
 - d. URCO Director
 - e. Vice Chancellor for Research (the final approving officer for PRS amounts P5001 to less than P250,000)
 - f. Chancellor (the final approving officer for PRS over P250,000 but less than P500,000), and
 - g. President (the final approving officer for PRS over 500,000)
4. Requests for Cash Advances

Cash advances (e.g., for fieldwork expenses, seminars) should indicate the duration of project or activity.

 - a. Requests for cash advances or reimbursements for the direct purchase of equipment, materials and supplies, chemicals, gadgets and similar items will not be processed unless prior approval has been obtained from the VCR through URCO.
 - b. Cash advances for accommodations should preferably be payable to the institution or entity concerned and should indicate the duration, specific venue of activity and names of all the people/participants involved.
 - c. Project personnel are enjoined to avail of the services of the University's duly authorized travel agencies.

Travel Order (TO) forms may be issued by the URCO following receipt of a TO Request Form duly signed by the project leader/manager TO Request Forms are available at URCO.
 - d. Cash advances to pay for resource persons/facilitators are discouraged. The PRS should be payable directly to the resource persons/facilitators.
 - e. As a general rule, all cash advances should be liquidated within five (5) calendar days after the completion of the activity for which it was obtained.

However, on certain cases, the cash advance may remain outstanding for the duration of the project, but not exceeding six (6) months. In this case, the cash advance must be liquidated before the expiration of the six-month period; and if necessary, a new cash advance may be obtained for the uncompleted portion of the project.

Anyone who avails of a cash advance does so with the understanding that he/she must liquidate the amount advanced in accordance with the rules stipulated in these guidelines.

- 1) The University is implicitly given the authority to deduct unliquidated cash advances from the salary of anyone who avails of the same, after sufficient notice has been served.
 - 2) No one may obtain a cash advance while he/she has an unliquidated cash advance.
- f. Liquidation of cash advances should (a) show a summary of expenses per item (e.g., breakdown of transportation expenses and total, breakdown of supplies expenses and total); (b) have all supporting documents arranged in the order that they appear in the summary; and (c) be accomplished in duplicate copies, signed by the person who prepared them, noted by the person to whom the cash advance was paid.

The dates of the supporting documents/official receipts (ORs) should be within the activity period and should be signed by the person submitting them over his/her printed name.

The cash advance should be used only for the purpose it was obtained.

The original copy of the liquidation should be submitted to the staff in charge at the Accounting Office who should acknowledge the receipt of the original documents on the duplicate copy. The project leader/manager or his/her assistant should keep the duplicate on file to serve as reference for reconciling fund balances in the future.

5. Requests for Reimbursements
 - a. The PRS should also be accompanied by supporting documents (e.g., BIR registered receipts).
 - b. Whenever applicable, requests for reimbursement should follow the procedure for liquidation of cash advances (see item 4.c, this section).
6. Payment for Research-Related Services
 - a. Payment for research-related services (e.g., honorarium/deloading incentive, honorarium/salary for research assistant, consultant's fee, fee for technical services, illustrator's fee) should be made via Payment Requisition Slip payable to the person concerned. It should not be

advanced by the project leader/manager from his/her personal money nor from the proceeds of a previous cash advance not drawn for the purpose.

- b. If the payee is not from DLSU, the PRS should always indicate his/her Tax Identification Number and office/home address.
 - c. The PRS should reflect the gross honoraria/payment due to the payee.
7. Purchase/acquisition of equipment/chemicals

If the request for fund involves the purchase or acquisition of materials (e.g., computer, camera, recorder), a Materials Requisition Form (MRF) should be filled out. The signatories to the MRF should follow the order specified in item 3, this section.

After the Procurement Office has canvassed the materials being requested, it will send back the MRF to the requesting office. Requesting office will prepare and attach a PRS. The post-canvass portion of the MRF should likewise be signed by the parties concerned. The PRS and MRF should then be forwarded to the Accounting Office for budget verification.

Appendix 5

Hiring of Project Personnel

1. The monitoring and supervision of the project personnel as well as the progress of the project will be handled by the project leader/manager, the research unit concerned and the dean in that order.
2. The scope of responsibility, the working conditions/terms, the remuneration, and the employment duration should be clearly stipulated in the Contractual Work Agreement which can be obtained from URCO upon submission of the Form for Appointment of Research Assistant.
3. In certain cases, a project staff who is hired to do research may be invited to teach in the department. In such instances, the guiding rule will be:
 - a. if the researcher teaches within office hours, he/she will not receive extra pay. However, he/she will be given a teaching equivalent for the research load.
 - b. if the researcher's teaching involvement is outside of his/her working hours as researcher, then he/she will be paid accordingly.
4. Hiring of project personnel will follow University policies and procedures.
 - a. Hiring of Academic Personnel
 - 1) Hiring is done in consultation with the department chair/vice chair/dean, particularly when a faculty is to be hired on a deloaded arrangement.
 - 2) The project leader/manager or the dean determines, at the outset, the deloading arrangements. The VCR approves the remuneration arrangement.
 - b. Hiring Full-Time Non-Teaching Personnel
 - 1) through the Human Resources Development Office (HRDMO)
 - a. Two copies of the Personnel Requisition Form (PRF) which can be obtained from HRDMO are filled out.
 - b. The PRF should be signed by the project leader/manager, the department chair, the dean, and the Vice Chancellor for Research.
 - c. After the VCR has signed the forms, his/her staff will forward the same to the HRDMO Director for signature and appropriate action.
 - d. Assuming that everything is in order, HRDMO will send an applicant to the unit/project leader/manager or department chair for interview and assessment.

If applicant meets the requirements of the unit/project leader/manager, the latter informs the applicant of the effectivity of his/her employment. The project leader/manager should also inform the

HRDMO of the details of the hiring for proper billing by the agency that has facilitated the application, and for the issuance of an identification card.

- 2) through the research unit/project of the college
 - a) Two copies of the Form for Appointment of Research Assistant (RA form) should be obtained from URCO. These should be filled out and signed by the project leader/manager. These forms should be submitted to URCO at least three days before the personnel is to begin reporting for work.
 - b) Upon receipt of the RA form, URCO prepares five copies of the Contractual Work Agreement. The hiree is then notified to sign the contract.

Once signed by the HRDMO Director, copies will be distributed to: HRDMO Director, project leader/manager, and the newly-hired personnel. The fourth copy is kept at URCO while the fifth copy is attached to the PRS requesting for the initial salary of the newly-hired personnel. The Accounting Office will not prepare any payment for project staff honoraria/salaries unless it is provided with a copy of the contract.

- c) When necessary (e.g., when personnel is not a DLSU student), the staff should provide URCO with two (2) ID pictures--one to be attached to the contract, the other to the identification card which will be issued to him/her.
 - d) If staff is to be rehired, the project leader/manager should fill out a new RA form following the procedure outlined above.
- 3) on a Part-time Basis (piece rate, hourly rate, overtime rate, or packaged scheme)
 - a) The project leader/manager will be responsible for identifying and coordinating with the staff concerned for the work to be done.

Using Hourly Rate. This rate is generally used as basis for computing honoraria paid for researchers. Computation of hourly rate will be as follows:

$(\text{Gross Monthly Rate} \times 12 \text{ months} / 314 \text{ days} = \text{Daily Rate})$

For DLSU regular personnel:

$\text{Daily Rate} / 7.5 \text{ Hours} = \text{Hourly Rate}$

$\text{No. of Hours rendered} \times \text{hourly rate} = \text{Honorarium}$

For Contracted/Agency Personnel:
Daily Rate/8 Hours = Hourly Rate
No. of Hours rendered x hourly rate = Honorarium

Using Overtime Rate. Computation of overtime rate will still be based on the staff's hourly rate factored by the percentages used by HRDMO.

Overtime work should always be authorized by the project leader/manager concerned. Unauthorized overtime work will not be compensated.

5. Official Work Hours

a. Academic Personnel

The working hours of the faculty researchers will be determined by the arrangement made between the faculty concerned and the project leader/manager.

b. Project Staff

Project personnel who occupy a plantilla position must render 41.5 hours of work per week; project contractuels, on the other hand, must render 44 hours a week (Based on the July 14, 1992 Memo of SRO (now HRDMO) re: Work Hours of Employees).

Appendix 6

Flowchart for the Submission of Final Reports and Financial Reports of Externally-Funded Projects to the Funding Agency

In-Charge	Process / Document	Description
Research Center/Institute		The Research Center/Institute prepares the financial report.
Research Center/Institute Accounting Office (c/o Asst. Controller for Financial Accounting (ACFA)/Controller)		<p>The Research Center/Institute's financial report will be reconciled/verified with the Accounting Office through the Assistant Controller for Financial Accounting (ACFA)/Controller.</p> <p>If there are discrepancies, ACFA discusses the matter w/ the Research Center/Institute.</p> <p>If the financial report is verified correct, Accounting Office forwards the document to the Research Center/Institute.</p>
Dean/Research Center Director/ Controller		The dean and the research center/institute director affix their signatures on the financial report The research center/institute forwards financial documents to the accounting office for signature of the Controller.
		The Accounting Office forwards the financial report to the Research Center/Institute.
Dean/Research Center Director/ Institute Director		<p>The Research Center director/Institute director through the dean submits the financial report together with the final report to the funding agency.</p> <p>Copies of the financial report & final report will be forwarded to the office of the Vice Chancellor for Research (VCR).</p>
Vice Chancellor for Research (VCR)		VCR receives the financial report and final report for documentation and report purposes.

Format and Content of a Research Center Annual Report

- I. Table of Contents
- II. Introduction and Executive Summary
 - A. Programmatic Areas of the *Center* and Faculty Experts
 - B. Major Accomplishments
 - C. Significant Changes since Previous Academic Year
- III. Research Program Reports
 - Research Program/Project:
 - A. Program Title:
 - B. Program Director:
 - C. Program Description
 - D. Program Activities and Accomplishments
 - E. Program Products
 - F. Future Plans

APPENDIX A

Publications

- Peer-Reviewed Abstracts in Published Refereed Journals
- Books or Edited Journal Volumes
- Book Chapters and Electronic Media
- Editorials, Special Columns, Book Reviews, and Other Publications

Presentations

- Faculty and Graduate Student Presentations

Refereed Manuscripts in Press

APPENDIX B

- Grants Submitted
- Submission Date
- Status Grant/Project
- Investigator
- Funding Source

APPENDIX C

- Annual Financial Report

ATTACHMENTS

- Completed Research/Project Reports
- Policy Briefs

Appendix 7

Publication Policies

Externally-Funded or Sponsored work

If the work arose or was related to an understanding covered by distinct agreement of the author and a third party using funds not administered by or through the University, the terms of the agreement will prevail over these policies. In the absence of any contrary provision in the agreement, these policies shall apply to externally-funded or sponsored research. In the absence of an agreement, the ownership shall be governed by the rules in paragraph 6.1 and 6.2.

6.1. Owned by Author

Rights to copyright shall belong to the author for as long as the work was not funded by the University, whether or not it is part of the regular duties of the author, subject to exceptions stated in section 6.2 of these policies.

6.2 Owned by the University

Rights to Copyright shall belong to the University if any one of the following circumstances exist:

- a. the work was done using funds provided by or through the University
- b. the work was done making substantial use of the facilities or resources of the university;
- c. work commissioned by the University;
- d. the work is a computer program;
- e. the work was assigned by the author to the university; and
- f. In case of students, the work was developed or created when he/she received financial support from the University in the form of tuition waiver, scholarship, stipend or allowance regardless of the amount.

Appendix 8

Sample Computation: Deloading Scheme

Case #1 Computed deloading incentive (net of tax) is greater than the faculty researcher's monthly salary.

Given:

$$\begin{aligned} \text{Monthly Professional Fee} &= \text{P}70,000 \\ \text{Gross Monthly Salary} &= 52,410 \\ \text{No. of Units Deloaded} &= 3 \text{ units (or 25\% of the 12-unit load)} \\ \text{Computed Gross Deloading Incentive} &= (\text{Professional Fee} - \text{deloading pay}) \\ &= [\text{P}70,000 - (25\% \times \text{P}52,410)] \\ &= (\text{P}70,000 - 13,102.50) \\ &= \text{P}56,897.50 \\ &===== \end{aligned}$$

Since Computed Gross Deloading Incentive is greater than the faculty researcher's Gross Monthly Salary, he/she will only receive P52,410. The P4,487.50 difference between the Computed Gross Deloading Incentive and the Gross Monthly Salary will form part of the project's savings.

Case #2 Computed Gross Deloading Incentive is less than the faculty researcher's Monthly Salary.

Given:

$$\begin{aligned} \text{Monthly Professional Fee} &= \text{P}60,000 \\ \text{Gross Monthly Salary} &= \text{P}52,410 \\ \text{No. of Units Deloaded} &= 3 \text{ units (or 25\% of the 12-unit} \\ &\text{teaching load)} \\ \text{Computed Gross Deloading Incentive} &= (\text{Professional Fee} - \text{deloading pay}) \\ &= [\text{P}60,000 - (25\% \times \text{P}52,410)] \\ &= (\text{P}60,000 - 13,102.50) \\ &= \text{P}46,897.50 \\ &===== \end{aligned}$$

Since the Computed Gross Deloading Incentive is less than the faculty researcher's Gross Monthly Salary, he/she will receive P46,897.50.