



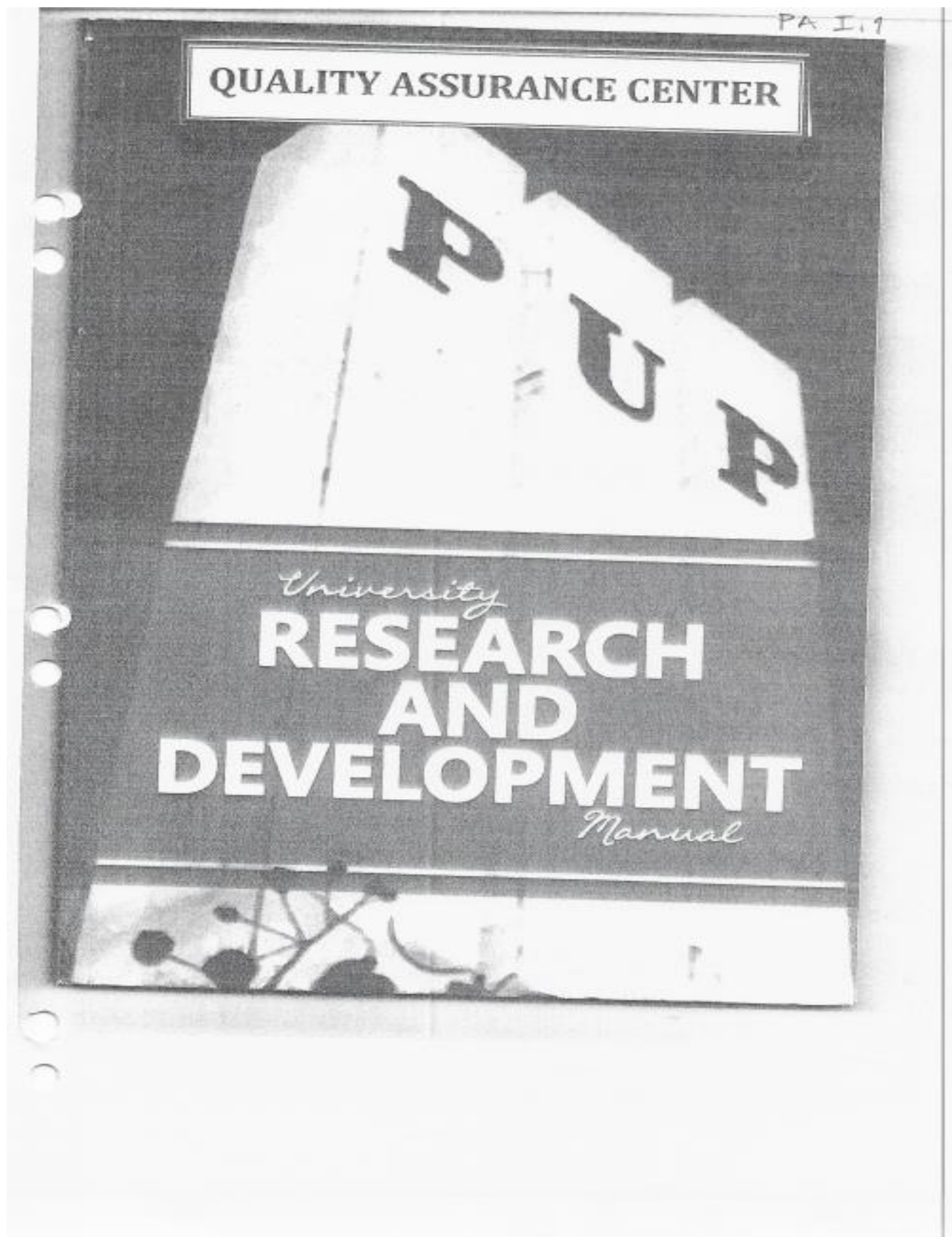
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IMPLEMENTATION

I.1. The approved Research Agenda is implemented.



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Chapter 1

UNIVERSITY RESEARCH AGENDA

As a state university with the largest number of enrollees belonging to the marginalized sector of society, the research program of the Polytechnic University of the Philippines (PUP) is directed at social capital and innovation towards inclusive growth for national development. Research in the university, being the primary source of new knowledge and a laboratory of highly competent and skilled human capital, is an incubator of innovations and technologies with the end goal of economic growth of the country and the community.

The focus of the research program of the University is multi-, inter- and trans-disciplinary and collaborative in nature, with emphasis on sustainable development, answering especially questions such as "what kind of research is done?", "what are the objectives?", and "what impact will the research have?" The University's research program is complimentary to research and development (R&D), technology transfer, innovation and commercialization activities.

Research Policy Statement

Research is one of the major functions of higher education. Thus, the University encourages its faculty members, non-teaching personnel and students to be actively engaged in research undertakings to ensure the continued growth and development of PUP as a higher education institution.

Research Principles

Research undertakings in the University shall be guided by the following general principles set by the Higher Education Research Agenda-2 (NHRA-2) of the Commission on Higher Education (CHED):

1. *Research is the ultimate expression of an individual's innovative and creative powers. PUP shall ensure that the academic environment nurtures and supports research talents.*
2. *Research thrives in an environment characterized by free flow of information, honest and analytical exchange of ideas, and supportive policy and administrative structures. PUP policies shall enhance the institution's and the individual's capacity to conduct independent, collaborative and productive research.*
3. *Research is one of the functions of higher education sector. PUP is expected to lead the conduct of discipline-based, policy-based, technology-directed and innovative/creative researches that are locally responsive and globally competitive.*

'University Research' Defined

Research is defined as a "structured inquiry that utilizes acceptable scientific methodology to solve problems and creates knowledge that is generally applicable" (Grinnell, 1993).

University research must advance the University's Research Agenda of bridging the gaps in the programmed body of knowledge that the University is building up. Researchers can be initiated and conducted by the following:



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- *an individual faculty member;*
- *an individual non-teaching personnel;*
- *a group of faculty members belonging to one department/college/branch;*
- *a group of non-teaching personnel belonging to the same office;*
- *a group of faculty members and/or non-teaching personnel from different departments/colleges/branches/campuses/offices;*
- *an academic department;*
- *a college/branch/campus;*
- *a student or a group of students belonging to one department, college or branch/campus.*

Only those researches that fit the definition of university research and approved by the University Research Evaluation Committee (UREC) can avail of material, technical and/or financial support from the University.

The University Research Vision, Mission and Objectives

Vision

The University envisions itself as a premier center of research in social capital and innovation towards inclusive growth for national development.

Mission

Research and development in PUP shall contribute to the transformation of the University as an epistemic community and a research-intensive polytechnic university, and in advancing knowledge across multidisciplinary areas to address the immediate and long-range needs of society. The R & D in the University shall endeavor to produce research and innovation that promote educational, technological, economic, political, ecological, social, and cultural understanding toward the alleviation of the plight of the poor, the development of the citizenry, and the enhancement of nation-building and global competitiveness.

In particular, the research sector shall play a significant role in the realization of the University's 'envisioned society' of (1) sustainable human development; (2) democratic and good governance; (3) respect for cultural diversity and strengthened national identity; (4) technology with human touch; and (5) ecological harmony.

Objectives

To fulfill this mission, the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) shall endeavor to achieve the following objectives:

1. *To contribute to the country's national development through a focused-university research program;*
2. *To promote synergy and a sound research capability program through collaboration of the research and academic sectors of the University;*
3. *To pursue excellence in production and publication of research and creative works among faculty and students;*
4. *To develop strong research linkages and partnerships with other national and international institutions and organizations;*
5. *To pursue excellence in innovation, technology transfer and commercialization of research outputs with the end goal of economic, environmental and social growth.*



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The University Research Agenda

The University adopts a clear, practical, and realizable University Research Agenda that is meant to (1) be aligned with the strategic plan of the University; (2) unify the direction and framework of the research activities of the University; (3) align the research efforts of the University with the thrust and priorities of national government agencies e.g. Department of Science and Technology (DOST), National Economic and Development Authority (NEDA), Commission on Higher Education (CHED), among others; and (4) generate researches, scientific innovations, speculative and theoretical paradigms which are expected to propel economic, scientific, social, cultural and technological development¹.

The University Research Agenda is categorized into five general themes, to wit: (1) poverty reduction, peace and security; (2) accelerating infrastructure development through science and technology; (3) competitive industry and entrepreneurship; (4) social and cultural development; and (5) conservation, protection and rehabilitation of the environment towards sustainable development.

Agenda 1: Poverty Reduction, Peace and Security

This research theme addresses three important national and global issues that mankind is squarely faced: poverty, peace and security. The University is in the belief that these issues are interrelated—solving one means solving others.

A. Poverty Reduction Studies

The University works with the paradigm that the poverty issue is multi-dimensional and is driven by multifarious causes. Poverty studies therefore should cover the many facets of the causes and effects of poverty as well as the ways of addressing them. They should also be linked with peace and security concerns of localities, regions and countries. The studies should reveal the relationships of poverty to security, human rights, governance, lack of education, and limited access to social services for according to Kofi Annan, "development cannot be enjoyed without security and security cannot be enjoyed without development."

Roles and models on local resource and local actors' mobilization, increasing productivity and creativity, community-driven development, and development partnerships between public and private sector should likewise be included among the focus of poverty studies.

The following research topics are herein identified for poverty reduction according to different dimensions:

(1) Economic Dimension

- a. Agrarian reform and industrialization,
- b. Agri-business,
- c. Corporate social responsibility,
- d. Employment and industrial relations,
- e. Growth and equity,

¹Each of these themes could be dealt with independently from the others. Each could likewise be tackled by a particular or a specific research or academic unit/center. However, the possibility of these themes to overlap and interlock with each other is not only likely but necessary and at times encouraged. Thus, various research units/centers and academic units can collaboratively work on a single theme and, conversely, several themes could be worked on by a single research or academic unit.



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- f. *Local/community and distributive economics,*
- g. *Micro-finance/micro lending strategies,*
- h. *National and local economic policies,*
- i. *SMEs, cooperatives and social enterprise,*
- j. *Supply chain management, and*
- k. *Other related topics.*

(2) Educational Dimension

- a. *Academe-Industry linkages,*
- b. *Alternative learning system,*
- c. *Curriculum development,*
- d. *Distance education/learning,*
- e. *Educational policies and legislation,*
- f. *Educational technology and innovation,*
- g. *Graduate tracer studies,*
- h. *Home-School-Community collaboration,*
- i. *Institutional development,*
- j. *Outcome-based education,*
- k. *Professional development and faculty support,*
- l. *Quality assurance,*
- m. *Student support services,*
- n. *Teacher and student achievements,*
- o. *Transformative education,*
- p. *Transnational education (ASEAN integration), and*
- q. *Other related topics.*

(3) Social, Political and Cultural Dimension

- a. *Good governance,*
- b. *Human development and social protection,*
- c. *Informal settlers,*
- d. *Knowledge and belief systems,*
- e. *Local government studies,*
- f. *Public personnel management and development,*
- g. *Public-private partnership,*
- h. *Quality of life,*
- i. *Social welfare, and*
- j. *Other related topics.*

(4) Public Health Dimension

- a. *Food sufficiency,*
- b. *Food productivity,*
- c. *Nutrition and dietetics,*
- d. *Food sciences, and*
- e. *Other related topics.*

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B. Peace and Security Studies

Peace and security studies and researches are expected (1) to understand the causes of armed conflicts, religious disagreements, cultural clashes, war, terrorism, genocide, human rights violations and others; (2) to develop ways and devices to prevent and resolve identified peace and security problems; and ultimately (3) to build peaceful and just communities, systems, and societies.

Obviously, these types of studies require interdisciplinary approaches and expertise. Henceforth, researches with the following topics could meet the above expectations:

- (1) Understand the causes of armed conflicts, religious disagreements, cultural clashes, war, terrorism, genocide, human rights violations and others with focus or emphasis on:**
 - a. *Democratization,*
 - b. *Ethnographic and ethnicity studies,*
 - c. *Human growth and development,*
 - d. *International relations and trans-border issues,*
 - e. *Internationalization,*
 - f. *Knowledge and belief systems,*
 - g. *Macroeconomics and globalization issues,*
 - h. *Migration,*
 - i. *National and human security,*
 - j. *Policy studies,*
 - k. *Political dynamics,*
 - l. *Religion and philosophy,*
 - m. *Social issues,*
 - n. *Social movements,*
 - o. *World politics, and*
 - p. *Other related topics.*
- (2) Develop ways to prevent and address identified peace and security problems, through conduct of studies on:**
 - a. *Behavioral and psychosocial researches,*
 - b. *Cross-cultural communication,*
 - c. *Ethno-linguistics,*
 - d. *Organizational and development communication,*
 - e. *Peace and conflict resolution,*
 - f. *Psycho-trauma and crisis intervention,*
 - g. *Translation studies, and*
 - h. *Other related topics.*
- (3) Build peaceful and just communities, systems and societies, exploring:**
 - a. *Access, equity and ethics,*
 - b. *Community empowerment,*
 - c. *Differently-abled (PWDs),*
 - d. *Gender and development studies,*
 - e. *Globalization of education and cross cultural aspects,*
 - f. *Institutional development,*
 - g. *Lesbian, Gay and Bisexual, Transsexual and Queer (LGBTQ) issues,*
 - h. *Marriage and family.*



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- i. *Senior citizens' issues,*
- j. *Women and children, and*
- k. *Other related topics.*

Agenda 2: Accelerating Infrastructure Development through Science and Technology

Consistent with the National Government's thrust, the University is determined to effect significant economic growth, human development and social protection through acceleration of infrastructure development.

Undoubtedly, infrastructure development is one of the major priorities of the national government as it is clearly and concretely outlined in the recent National Economic and Development Authority agenda. The University, in support to the government's efforts, provides the country with research-based studies and scientific and engineering innovations that will enable both the government and private sectors to hasten infrastructure development which can be both hard and soft infrastructures.

The "hard" infrastructure refers to the large physical networks necessary for the functioning of a modern industrial nation; these are meant to support the drivers of economic growth such as tourism, agriculture and industry. On the other hand, "soft" infrastructure refers to all the institutions or systems which are required to maintain the economic, cultural and social standards of a country; these are meant to provide the necessary services for human development and social protection such as education, health, among others.

The University identified the following areas and topics to concentrate on:

A. Hard Infrastructures

- a. *Energy-related infrastructure and facilities (e.g. power sources, upgrade of existing power plants, etc.),*
- b. *Flood control and management,*
- c. *Irrigation systems,*
- d. *Mechatronics,*
- e. *Resettlement frameworks,*
- f. *Structural engineering,*
- g. *Transportation technology,*
- h. *Urban and rural housing,*
- i. *Urban gardening,*
- j. *Water supply and treatment facilities, and*
- k. *Other related topics.*

B. Soft Infrastructures

- a. *Bioinformatics,*
- b. *Computational and theoretical science,*
- c. *Data engineering and ubiquitous computing,*
- d. *E-governance,*
- e. *Instrumentation research,*
- f. *Internet and Web applications development,*
- g. *Knowledge management,*
- h. *Management information systems/reporting systems,*



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- i. *Material science research,*
- j. *Mathematical and statistical modelling,*
- k. *Mobile computing systems,*
- l. *Natural products,*
- m. *Network security and issues,*
- n. *Pure and applied mathematics research,*
- o. *Software development and applications, and*
- p. *Other related topics.*

Agenda 3: Competitive Industry and Entrepreneurship

The University recognizes the country's need to strengthen the competitiveness of its industries particularly those which are driving the nation forward in terms of economic growth such as tourism, agriculture, skilled manpower in ICT and language proficiency, retail, exports, investments, banking and entrepreneurship.

Furthermore, PUP is one with the National Government in its objective of assuring rapid and sustained growth for the country. In view of this, the University, with its various academic and research arms, identifies important research topics and areas which can be explored (1) to reveal important trends, issues and challenges confronting these industries and (2) to discover devices and ways to address these challenges. The following research topics are hereunder identified:

- a. *Business processing and outsourcing,*
- b. *Cooperative management,*
- c. *E-commerce,*
- d. *Human resource management practices and issues,*
- e. *Incubation and commercialization,*
- f. *Industry needs analysis,*
- g. *Investments and banking systems and operations,*
- h. *Livelihood and business development,*
- i. *Management and organization,*
- j. *Market for agriculture industry,*
- k. *Micro and macroeconomics,*
- l. *National and local economic policy research (NEDA, LGU projects, DTI),*
- m. *Product development and innovation,*
- n. *Quality management,*
- o. *Resource management,*
- p. *Small and medium enterprises (SMEs),*
- q. *Work values, and*
- r. *Other related topics.*

Agenda 4: Social and Cultural Development

Culture and society are linked to each other. Generally, culture is an important element of social development. The University, with its strong academic/research centers and institutes pertaining to cultural and social studies, is bent to support the National Government in the (1) creation of intellectual potential; (2) building of human capital; (3) popularization of culture, arts and heritage; (4) forging social integration; (5) promotion of national identity through local and national historiography; (6) prevention of social pathologies; (7) initiation and establishment of cooperation; (8) advancement and promotion of national solidarity and patrimony; and (9) reduction of disproportions of personal development of citizens as a form of social advancement.



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The following research topics are identified in order to direct the University research activities along the line of cultural and social development:

- a. *Communication and society,*
- b. *Filipino worldview,*
- c. *Filipino culture,*
- d. *Heritage studies/ intangible cultural heritage/heritage preservation,*
- e. *Historiography,*
- f. *Human growth and development studies,*
- g. *Information campaign and evaluation, advertising/public relations principles and case studies,*
- h. *Literature, performing arts, visual arts, folk arts,*
- i. *Media laws and ethics,*
- j. *Media literacy,*
- k. *Organizational behavior, multiple intelligences, giftedness and learning disabilities,*
- l. *Philosophical studies,*
- m. *Popular culture,*
- n. *Psychology and society,*
- o. *Sociological studies, and*
- p. *Other related topics.*

**Agenda 5: Environmental Conservation, Protection and Rehabilitation
towards Sustainable Development**

Conservation, protection and rehabilitation of the environment is a significant factor in the maintenance of community's sustainability. It includes the sustainable use and management of the natural resources such as water, natural energy, air, wildlife and minerals. The University recognizes this as a very important element of national development.

The following research areas and topics have been identified to generate knowledge to supplement the existing body of works regarding the management, care, use and exploitation of the natural resources:

- a. *Biodiversity,*
- b. *Climate change mitigation and adaptation,*
- c. *Disaster management, preparedness and monitoring,*
- d. *Energy conservation,*
- e. *Environmental conservation, preservation, protection and stewardship,*
- f. *Global warming,*
- g. *Urban ecology, and*
- h. *Other related topics.*

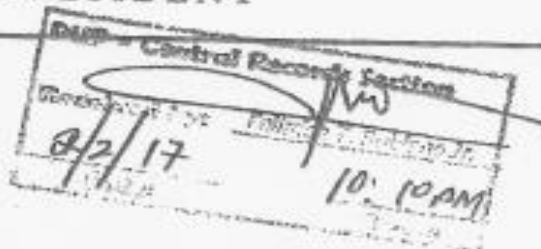


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Republic of the Philippines
POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 007, Series of 2017



TO : ALL CONCERNED

SUBJECT: GUIDELINES IN PROVIDING UNIVERSITY FUNDING
SUPPORT TO STUDENT PARTICIPATION IN LOCAL AND
INTERNATIONAL CONFERENCES, SEMINARS, STUDY
PROGRAMS, TRAINING-WORKSHOPS AND OTHER
ACADEMIC-RELATED DEVELOPMENT ACTIVITIES

DATE : February 1, 2017

1. Rationale and Objectives

This set of guidelines is established to promote local and international engagements and presence of PUP students as part of their holistic development through actual exposure to diverse learning and work environment, cultures, and knowledge creation events.

The emphasis on providing support especially to international activities is based on the following:

CMO No. 21, Series of 2016 of the Commission on Higher Education (CHED) provides that -

The Commission on Higher Education (CHED) recognizes that international exposure and worldwide access to education create opportunities for our students to be globally competitive and have the ability to cope with the rapid demands of the changing world. With the continuing increase in students' participation in cross border education, international conferences and/or seminars have become instruments in our students' learning process...

...International conferences and/or seminars allow students to socialize with students from institutions in other countries and provide them with the opportunity to exchange ideas, share resources, participate in debates, develop friendships, and increase their awareness of new trends happening in their areas of interest.

Furthermore, the Department of Budget Management and CHED Joint Circular No. 1, series FY 2016 on Levelling Instrument for State Universities and Colleges and Guidelines for the Implementation Thereof includes under KRA 1 (Quality and Relevance of Instruction) indicators the student involvement in inter-country mobility programs through internships and related training programs in recognized institutions abroad. Likewise, the instrument's KRA 2 (Research Capability and Output) includes research paper presentations in international fora and conferences among its indicators.

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In line with the recognition of the important role of out-of-classroom local and international learning and research avenues to our students, the University's fund allotment for student development includes providing financial support to student participation in both local international conferences, seminars, study programs, training-workshops, paper presentations and other academic-related activities.

Specifically, this set of guidelines intends to:

- 1.1 Define the entitlement to funding support of students and their advisers, coaches, coordinators, if any, in local and international student engagements and development activities;
- 1.2 Set parameters that will be used as basis in the request for and approval of funding support; and
- 1.3 Provide a set of rules and procedures to be followed in complying with the accounting and auditing rules and regulations before, during and after the conduct of the approved participation in the event.

2. Scope and Coverage

The guidelines shall cover the utilization of Student Development Fund (SDF) intended for student participation in local and international exchanges, conferences, seminars, study programs, training-workshops, paper presentations, and other academic-related engagements. Students and their qualified advisers, coaches, and/or coordinators, if any, who have obtained endorsement and/or official approval for their participation as official delegates, participants, contenders, and paper presenters may avail of the SDF.

3. Definition of Terms

- 3.1. **Conferences, Seminars, Training-Workshops, local or international**, are formal, structured learning events or fora aimed at enriching knowledge, skills, attitudes and values of students. A local learning event/fora referred to in this guidelines is one with participants from different schools and held outside PUP campus but within the Philippines. An international event/fora is one with participants from more than two countries and may be held within or outside the country.
- 3.2. **Other Academic-related Activity** refers to any competition and/or award-giving event that promotes discovery, innovation and creativity in line with student's program or specialization.
- 3.3. **Daily Subsistence Allowance** refers to the participant's food and accommodation expenses during the event.
- 3.4. **Transportation Allowance** refers to the expenses incurred from the participant's origin to the venue of the event and back via an aircraft, boat/ship, bus, taxi, tricycle or jeepney.



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4. **General Provisions**

- 4.1. The University shall allocate funds for student development which includes student participation in both local and international conferences, seminars, training-workshops, paper presentations, study programs, student exchanges and other activities which are relevant to the specialization of the student but not a requirement to earn units in any subject in the curriculum like practicum, internship, OJT and similar requirements.
- 4.2. The event which may be considered for University funding support should be sponsored or organized by reputable or established educational, research, or development organization and expected to have constructive impact not just on the participant but also on the University and the academic unit where the participating student/s belong.
- 4.3. Priority shall be given to events that have University-wide representation, are part of an active and long-term agreement of the University with the sponsoring organization/s, or those officially initiated by the College as part of its development targets.
- 4.4. Research paper for presentation in a regional, national or international forum should pass the evaluation and have the endorsement of the Research and Extension Management Office.
- 4.5. The participation in the activity should be recommended by the College Dean, Campus or Branch Director, endorsed by the concerned sector's vice president/s and should have the final approval of the University President.
- 4.6. The University may fund up to two (2) accompanying coaches/coordinators/mentors for a given event/activity as deemed necessary. Requests to allow more than two accompanying coaches/coordinators/mentors shall be evaluated for funding on a case to case basis and subject to availability of funds.
- 4.7. All the herein-cited provisions for funding support shall be subject to availability of funds and to government accounting and auditing rules and regulations. Any amount in excess of the prescribed ceilings shall be borne by the participant/s or by other external sources willing to provide sponsorships.
- 4.8. The university funding shall be based on EO. Nos. 248 and 248-A, s. 1995 as amended by EO 298, s.2004 and COA Circular 2013-003 inclusive of participant/s' registration or joining fees.

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5. Funding Support for participation in Local Student Development Activities

- 5.1. For individual participation, the funding support shall not exceed Php15,000.00 per participant per event
- 5.2. For group or team participation (including the coach or adviser as approved), the funding support shall not exceed Php70,000.00 for the entire delegation.
- 5.3. Essential events-related materials such as for the construction of prototype models in case of scientific competitions, innovations, new knowledge creation, shall be based on actual expenses but not to exceed Php30,000.00 per approved project or event.

6. Funding Support for Participation in International Student Development Activities

- 6.1 For individual participation in international student development activities as defined in this set of guidelines, the university funding shall not exceed Php30,000.00 per participant.
- 6.2 For group or team participation (including the coach or adviser as approved), the amount shall be based on actual expenses but shall not exceed Php100,000.00 for the entire delegation.
- 6.3 Essential events-related materials such as for the construction of prototype models in case of scientific competitions, innovations, new knowledge creation, shall be based on actual expenses but not to exceed Php30,000.00 per approved project or event.

7. Procedures for Availment of Funding Support

The head of office/department shall prepare request for the participation in the international event addressed to the University President thru the Executive Vice President and Vice President for Finance and endorsed by the concerned sector's vice president/s.

7.1 The request for funding assistance should have the following details:

- 7.1.1 Title of activity;
- 7.1.2 Venue and accommodation details;
- 7.1.3 Duration;
- 7.1.4 Description/rationale of the event
- 7.1.5 Objectives of PUP/College/Branch/Campus participation or involvement in the event
- 7.1.6 Participating organizations/countries represented by the target delegates in the event
- 7.1.7 Assistance provided by the sponsoring agency and other donors, if any,
- 7.1.8 In case of funding request for paper presentation, the OVPREPD-REMO endorsement of the paper, and
- 7.1.9 Expense Items and Amount Requested from the University

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- 7.2 The request, including documentary requirements as listed in item 9 of this set of guidelines, shall be submitted to the Office of the Sector Vice President at least one (1) month prior to the conduct of the activity for his/her recommending approval;
- 7.3 Upon recommendation of the College Dean or Campus/Branch Director and the Sector Vice President, the request including documentary requirements shall be forwarded to the Vice President for Finance for financial evaluation and the Vice President for Student Affairs and Services for endorsement;
- 7.4 The Vice President for Finance and the Vice President for Student Affairs and Services shall recommend the evaluated requests including documentary requirements to the Executive Vice President for appropriate action;
- 7.5 The Executive Vice President shall recommend the evaluated requests to the President for final approval;
- 7.6 The President shall forward the approved request to the Human Resource Management Department (HRMD) for the preparation of Special Order.

8. Documentary Requirements

- 8.1 Request Letter with recommendation of the College Dean or Campus/Branch Director and proper endorsements of concerned authorities
- 8.2 Letter of Acceptance or Approval of Participation in the Activity from the Sponsoring Organization/Agency
- 8.3 Program of Activities, Brochures (if any) and Itinerary;
- 8.4 Compliance with the requirements for off-campus activities
- 8.5 Photocopy of the paper to be presented (if applicable)
- 8.6 Budgetary estimates to cover the registration, transportation and daily subsistence allowance

9. Post-Activity Requirements

The participant/delegation, upon return from the activity, should:

- a. Submit a post activity report to the Internal Audit Office for evaluation and to the OVPSAS-Student Services Office for documentation and reference. Non-submission of the post activity report shall be a ground for disapproval of or non-action on current/future request for student development assistance or activity of the College Dean or Campus/Branch Director or organization to which the student/s belong.
- b. Submit post-activity report to REMO (in case of paper presentation)



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- c. Submit the following documents to the Accounting Office for cash advance liquidation:
- original copies of tickets and boarding passes, if applicable
 - certificate of participation
 - itinerary of travel (using the prescribed form)
 - certificate of travel completed (using the prescribed form)
 - Official Receipt (in case of refund of excess cash advance)
 - Proceedings and preferably with other evidences of the activity

10. Violations and Sanctions

Any violation of the above-mentioned policies and guidelines shall be subject of the following penalties depending on the nature and seriousness of the violation/s committed:

- a. Written warning
- b. Forfeiture of the right of the individual or unit to avail of new or further funding
- c. Administrative sanction

Violations shall include but are not limited to the following:

- a. Submission of fabricated document/s
- b. Endorsing student participant in invalid or inappropriate event
- c. Failure to submit the required post activity reports and documents
- d. Non-completion or non-attendance in the event without valid reason
- e. Failure to return within the authorized itinerary without prior approval
- f. Gross violation of the rules, regulations and/or law of the host country
- g. Failure to comply with liquidation requirements

11. Effectivity

This set of guidelines shall take effect **January 3, 2017**.


EMANUEL C. DE GUZMAN, PhD
President



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Republic of the Philippines
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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 031, Series of 2013

TO : ALL CONCERNED

**SUBJECT: POLICY ON COPYRIGHT REGISTRATION OF UNDERGRADUATE
AND GRADUATE ACADEMIC WORKS**

DATE : JULY 18, 2013

As approved in the 141st Regular Meeting of the Board of Regents held last July 1, 2013, you are hereby informed about and directed to observe the guidelines on copyrighting all academic works (theses, dissertations, feasibility studies, design prototypes, computer programs and softwares, audiovisual and cinematographic works, literary and creative works, etc.) submitted in partial fulfillment of undergraduate and graduate courses in the University.

This new university policy is in compliance with the Inter-Agency Task Force (IATF) Memorandum Circular No. 2012-01 and the CHED Memorandum Order No. 35 Series of 2012 pertaining to the Supplemental Implementing Guidelines on Cascading Performance Targets of State Universities and Colleges in line with Executive Order No. 80 Series of 2012, which stipulate the quantity of patented and copyrighted research outputs as one of the SUCs performance indicators.

To be credited as part of PUP's performance, these works must be submitted to the National Library of the Philippines (NLP) or the Intellectual Property Office of the Philippines (IPOPHL) with the Polytechnic University of the Philippines as copyright co-owner. This policy shall also ensure that the intellectual property rights of the students, faculty and other members of the academic community are duly protected especially for works that have potential for patents and commercialization.

For monitoring and recording purposes, the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) shall facilitate the said application for copyright registration. Please coordinate with the following officials for the details of the application requirements and procedures:

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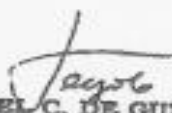


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1. Innovation and Technology Support Office (ITSO) Chief Ofelia Villamor, room S-423, for engineering, sciences, and information technology paper works;
2. Intellectual Property and Commercialization Office (IPCO) Chief Elmer G. De Jose, room S-424, for written works in the fields of business, education, arts, languages, humanities, social sciences, and others.

Attached is the Procedure for Copyright Application through ITSO and/or IPCO for your guidance.

For strict compliance,


EMANUEL C. DE GUZMAN, PhD
President

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PROCEDURE FOR COPYRIGHT APPLICATION THROUGH ITSO/IPCO

1. Secure the Application Form from ITSO (S-423) or IPCO (S-424). Note that application for copyright of engineering, science and technology works shall be handled by ITSO. All the rest shall be coursed through the IPCO.
2. Accomplish the Application Form and the Agreement on Copyright Ownership with PUP, in typewritten and duplicate copies.
3. Have the accomplished forms duly notarized.
4. Pay the amount of three hundred fifty pesos (Php350.00) at the PUP Cashier's Office.
5. Submit to ITSO/IPCO the following documents, in duplicate copies:
 - 5.1 Duly notarized typewritten Copyright Application Form;
 - 5.2 Duly notarized Agreement of Copyright Co-Ownership executed by the author/s and the representative of the Polytechnic University of the Philippines;
 - 5.3 Printed copy of the Work which shows authorship and/or ownership of the copyright as deposit to the National Library of the Philippines (NLP);
 - 5.4 Electronic copy of the work (in CD)
 - 5.5 Technical description of the design, if the work applied for registration is an original ornamental design (classification H);
 - 5.6 Official receipt of filing fee from the PUP Cashier's Office.
6. Return to ITSO/IPCO at the specified date to get the Certificate of Copyright Registration.



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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 008, Series of 2017

PUP - Central Records Section	
Received by:	Roberto S. Palillo
02/17/17	15:20
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TO : ALL CONCERNED

**SUBJECT: IMPLEMENTING GUIDELINES FOR GAWAD TUKLAS:
OUTSTANDING RESEARCHER AWARD**

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for Gawad Tuklas: Outstanding Research Award is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to Gawad Tuklas: Outstanding Researcher Award is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Eligibility

- 2.1 The nominee must be working in the University for at least three years at the time of nomination and must be a regular faculty member of the University regardless of rank or a permanent administrative employee.

Section 3.0 Disqualification

- 3.1 No member of the Award Committee, Secretariat and Executive Committee of the University shall be eligible for nomination.
- 3.2 The acceptance of appointment as member of the Award Committee shall be tantamount to an abstention from nomination. If a faculty member or department nominates the member later or after the said acceptance, the same shall be *motu proprio* rejected.
- 3.3 Should any member of the Award Committee decide to resign from the Committee on the basis of the subsequent nomination; he/she remains disqualified notwithstanding his/her resignation.



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Section 4.0 Mechanism

- 4.1 *Call.* The Vice President for Research, Extension, Planning and Development through the Research Management Office (RMO) will send out an announcement calling for nominations every January each year. The deadline for nomination is every second Friday of March each year.
- 4.2 *Origin of Nominations.* Nominations shall come from the academic/non-academic departments of the University. Signed nominations shall be submitted by any member of the faculty to the Research Management Office. Self-nomination is not allowed. The immediate supervisor (i.e. department chair, college dean, branch/campus director, chief/director of office) shall endorse the nomination form.
- 4.3 *Documentary Requirements.* The following documentary requirements must accompany the nomination:
- 4.3.1 Duly accomplished nomination form;
 - 4.3.2 Letter of acceptance of nomination;
 - 4.3.3 Curriculum Vitae ;
 - 4.3.4 Employment Certificate with Service Record issued by the Human Resource Management Department;
 - 4.3.5 Tabular List of Research Works/Publications/Presentations within the preceding three (3) years and Patents/Citations within the preceding five (5) years. The Tabular List should have supporting documents attached and arranged accordingly. A sample form is attached.
 - 4.3.6 Tabular List of Awards. The list should have supporting documents attached.
 - 4.3.7 Other miscellaneous documents such as certificates, contracts, etc.
- 4.4 The nominee must have contributed a meaningful amount of his/her work in the last three years (for researches and publications) or in the last five years (for citations and patents) as the case may be. Furthermore, the works must indicate his/her affiliation with PUP.

Section 5.0 Categories

There will be two categories for the Award: (1) the *Social Science, Education, Business and Humanities Category*, and (2) the *Science, Technology and Engineering Category*.

Section 6.0 Criteria

- 6.1 A finalist or an awardee may or may not have an entry in each of the criterion but the nominee who earned the highest total points shall be declared the winner.
- 6.2 Nominees who have Patent Cooperation Treaty (PCT) application shall receive a special award regardless of total points obtained.

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Production		
Externally-Funded	7	20
Internally-Funded	5	
Self-Funded	1	
Presentation		
International	5	10
National	3	
Regional	1	
Publication		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Citation		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Awards		
International	5	20
National	3	
Regional	1	
Additional Criterion: Patent		
Issuance of Patent Certificate	15	20
Publication of Patent in IPO Gazette	10	
Utility Model/Industrial Design Certificate	5	

6.3 The point system is applicable to each category.

6.4 The Patent is an additional criterion for each category. The highest recognition of patent will be scored per project.

Section 7.0 Computation of Points

7.1 For each evaluation factor, the credit points shall not exceed the maximum allowable points.

7.2 For sole attribution, full credit of points shall be accordingly applied.

7.3 For collaborative attribution, the points shall be divided accordingly to the number of authors/researchers/inventors.

7.4 In terms of Awards Criterion, the scheme mentioned below shall be followed:

International	5	5	4	3
National	3	3	2	1
Regional	1	1	Cannot be considered	Cannot be considered

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Section 8.0 Qualifying Score

To ensure the integrity and quality of the award, a floor score shall be strictly implemented. Only those who obtained a total score of 70 points shall qualify as winners and only those who obtained a total score of 60 points shall qualify as finalists. There will be instances where no winners/finalists will be declared for a specific year because of this qualification.

Section 9.0 Evaluation Process

- 9.1 An Award Committee will be constituted by the President through the Vice President for Research, Extension, Planning and Development to evaluate the nominees for each category. The Committee shall be composed of a Chair [Research Management Office (RMO)], Co-Chair (Faculty Regent) and three members.
- 9.2 The Research Support Center of RMO shall serve as the Secretariat of Gawad Tuklas.
- 9.3 All nominations with complete documentary requirements that passed the general test of eligibility shall be organized and forwarded by the Secretariat to the Award Committee.
- 9.4 The Award Committee will evaluate the accumulated points corresponding the nominee's awards and research productions, presentations and publications within the last three (3) years, and citations and patents within the last five (5) years.
- 9.5 The Award Committee is expected to conclude its evaluation within one month upon receipt of the documents.
- 9.6 The Award Committee shall decide as a collegial body. A summary of scores duly signed by all the members of the Committee must be submitted to the Secretariat.
- 9.7 The decision of the Award Committee is final and irreversible.
- 9.8 The decision of the Award Committee will be forwarded to the Executive Committee for endorsement to and confirmation by the Board of Regents.

Section 10.0 Prize

There will be finalists for each category from which one (1) awardee per category will be selected. A Gawad Tuklas Awardee shall receive One Hundred Thousand Pesos (Php 100,000) and a plaque. Each finalist shall receive Ten Thousand Pesos (Php 10,000) and a certificate of recognition.

Finalists can reapply for the award in the succeeding year and thereafter.



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Section 11.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith.

Section 12.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


EMANUEL C. DE GUZMAN, PhD
President

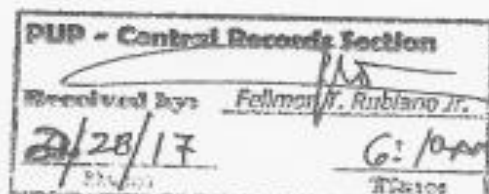


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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 013, Series of 2017



TO : ALL CONCERNED

SUBJECT: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION
FINANCIAL ASSISTANCE

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for on paper presentation financial assistance is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to paper presentation financial assistance is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Definitions

For the purposes of this set of guidelines, the following terms are hereby clarified and defined:

- Paper Presentation** refers to the presentation of research outputs or results in either international or national conferences. The term shall exclusively be confined to oral presentation and shall preclude poster presentation.
- Ad Hoc Committee** refers to a body established by the Research Management Office by the authority of the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) for the sole purpose of evaluating a specific paper/title as to its quality, scholarship, and appropriateness for international or national presentation. It is also the body that would either recommend or refuse to recommend the award of financial assistance as hereby contemplated.
- Double-Blind Review** refers to the process of evaluation of papers where the evaluators' identity is not known to the applicant and vice versa.

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Section 3.0 Eligibility

- 3.1 Only permanent administrative employees and faculty members with permanent or temporary status are eligible to receive financial assistance for paper presentations in international conferences and national conferences, and international conferences conducted in the Philippines.
- 3.2 Only paper presenters are qualified to receive financial assistance. Participants and organizers shall not be granted assistance in accordance with the University Policy on Research and Development Funding, Support and Financial Assistance.
- 3.3 Regular bona fide students enrolled with at least nine (9) units in any graduate program and full load in any undergraduate program are qualified to receive financial assistance that shall be taken from the Student Development Fund (SDF) and shall be subject to existing rules and regulations of the Office of the Vice President for Student Affairs and Services.
- 3.4 In no case shall the financial assistance be transferred, directly or indirectly, by a qualified person to anybody not otherwise eligible.
- 3.5 No financial assistance shall be granted to papers which have been previously presented or published.
- 3.6 Only conferences with provision for paper publication in an ISSN peer-reviewed journal or conference proceedings shall be considered for funding.
- 3.7 This financial assistance shall not be granted in conjunction with another financial assistance awarded or given to the researcher by any government funding institution. A paper that has been granted or is being applied for any government travel financial assistance shall no longer be qualified for conference funding by the University.
- 3.8 Papers that did not pass the assessment of the *Ad Hoc Committee* convened by the OVREPD shall not qualify for financial assistance, notwithstanding the acceptance of the conference organizer.

Section 4.0 Limitations

- 4.1 The University shall only provide financial assistance to five paper presenters in the same international conference held inside and outside the country and ten paper presenters in the same regional/national conference unless the University is the organizer or co-organizer.
- 4.2 Since there are limited slots per conference, priority shall be given to first time applicants and/or to applicants who made the necessary revisions ahead of required schedule.

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- 4.3 It is the applicant's sole responsibility to make his/her travel arrangements, i.e., visa, foreign exchange permit, ticket, etc. A copy of the travel documents must be submitted to Research Management Office (RMO).

Section 5.0 Basic Documentary Requirements

- 5.1 Letter of application for conference financial assistance addressed to the President through the Vice President for Finance (VPF), Vice President for Research, Extension, Planning and Development (VPREPD) and sector vice president concerned duly noted/recommended by the dean/director/head of office must be submitted to the President at least two (2) months before the date of the conference.
- 5.2 Copy of full paper in publishable format for conference presentation.
- 5.3 Copy of the Letter of Invitation and/or Acceptance Letter from the conference organizer.
- 5.4 Copy of the conference brochure and other relevant information materials including the provision for publication from the conference official website and/or any of the conference portals.
- 5.5 Copy of procedure or schedule of payments of registration fees.
- 5.6 Details of financial assistance, to be attached in the application letter.
- 5.7 Applicant's curriculum vitae.
- 5.8 For collaborative work, consent letter and co-authorship agreement among researchers must be submitted stipulating that the applicant is permitted by the team to apply for Paper Presentation Financial Assistance.

Section 6.0 Application Process

- 6.1 Only applicants with complete documentary requirements may be submitted to the OVREPD. Incomplete documentary requirements will not be processed.
- 6.2 Upon receipt of the application, the OVPREPD shall endorse all the documents to the Research Management Office for Technical Evaluation. Technical Evaluation involves the determination of whether or not there is compliance with the existing policies and regulations of the University as to eligibility, technical standards and structures.

The OVPREPD shall also delegate RMO to constitute an *Ad Hoc Committee* which will be tasked to evaluate the paper according to nature, quality, substance, and value. The *Ad Hoc Committee* shall be constituted by experts in the area or field under which the topic

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of the research paper is aligned. The members of the committee should not have, explicit or otherwise, any interest in the research/study/paper or eventual results thereof. Any official such as Dean, Director or Chairperson, who initially endorsed the application for approval, shall not be allowed to sit in the *Ad Hoc Committee*.

Primarily, the members of the *Ad Hoc Committee* shall be from within the University. In exceptional circumstances, however, experts from other institutions may be invited to sit in the *Ad Hoc Committee*. Exceptional circumstances include, but not limited to, the following: where no available experts can be found within the University; where though there are available experts within the University, they are otherwise disqualified because of conflict of interest; and such other situations as may be determined on a case to case basis.

6.3 Once the *Ad Hoc Committee* convenes, the RMO shall endorse the research paper/study to the Committee. To ensure that the policy on double – blind review is sternly complied with, RMO shall prepare the research paper/study devoid of any indication of identity of the researcher or applicant. The applicant, likewise, is prevented to know the identity of the members of the *Ad Hoc Committee*. In this stage of the process, all deliberations about the paper/study shall be confidential. Once the Committee's evaluation is completed and an appropriate evaluation report is made, the confidentiality rule is deemed terminated.

6.4 If the evaluation of the *Ad Hoc Committee* favors the applicant, the packet of application documents together with the Evaluation Report signed by all the members of the Committee shall be endorsed back to the OVPREPD. The OVPREPD shall make an endorsement to the Office of the Vice President for Finance (OVPF) to ascertain availability of funds. Once the OVPF certifies the availability of funds, the application shall be forwarded to the Office of the President for final approval. The applicant shall receive a formal update indicating the status of the request.

The OVPREPD shall veto the decision of the *Ad Hoc Committee* in any case of disagreement among evaluators.

6.5 Upon approval of the application for conference funding, the applicant shall enter into a contract/ memorandum of agreement with the University stipulating therein the terms and conditions of the financial assistance.

6.6 All applications which did not qualify may still re-apply as long as all the qualifications and none of the disqualifications remain present.

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Section 7.0 Criteria for Assessment

- 7.1 *The quality of the conference program.* High quality conferences are usually well-established and well-known in the area, with program content that is largely devoted for scientific presentations, and are sponsored and/or endorsed by reputable scientific organizations and/or institutions.
- 7.2 *The quality of the full paper for presentation.* The quality of the paper shall be evaluated through a double blind peer-review process.
- 7.3 Alignment of the research topic with the applicant's field of specialization.
- 7.4 The importance/relevance of the conference with regard to the research strategy of the college/branch/institute/center/office in particular, and the University in general.
- 7.5 The research paper will be evaluated through an approved point system.

Section 8.0 Policy on Multiple Authorships

- 8.1 In the case of collaborative research or multiple authorships, the project lead proponent or the author shall have the right to apply for the conference financial assistance. However, if the lead proponent/author will not avail of the financial assistance, his co-author or any one among his co-authors may apply for the financial assistance. This arrangement must be agreed upon in writing among the authors (See Section 5:5.8).
- 8.2 Co-authorship agreement between and among the authors must be submitted along with the other basic documentary requirements. The agreement must be subscribed and sworn in the presence of a notary public.

Section 9.0 Return of Cash or Check, Reimbursement

- 9.1 Should the recipient fail to attend and/or present his/her approved paper in the intended conference, for whatever reason, he/she is obliged to return the amount of cash assistance provided within three (3) working days.
- 9.2 The return of cash assistance mentioned in 9.1 shall be accompanied by a letter detailing the reasons of the recipient's inability to attend/present.
- 9.3 In cases of postponement of the scheduled conference, the OVPREPD shall be notified through a formal communication. If the postponement is indefinite and/or the schedule is moved to dates no longer within the fiscal year, the recipient shall return the amount of assistance within 3 working days.

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9.4 In any case of return of cash assistance, the recipient is deemed not to have applied for and granted the financial assistance. Hence, reapplication is allowed.

9.5 In cases where the assistance was released after the dates of the conference, the amount shall be reimbursed to the recipient subject to the existing accounting rules and regulations on reimbursement.

Section 10.0 Availability of Funds

Since financial assistance is made from finite funds duly appropriated for this purpose, the maximum number of recipients for a given fiscal year shall be subject to availability of funds.

Section 11.0 Amount of Conference Funding Support

11.1 For international conferences, the University shall provide for the actual expenses which only include registration fee, lowest round-trip airfare cost, and daily subsistence allowance (DSA) in reference with United Nations Development Programme (UNDP) rates. Provided that the amount of financial assistance for conferences held within ASEAN, Hong Kong and Taiwan shall not exceed Seventy Five Thousand pesos (Php 75,000) and One Hundred Thousand pesos (Php 100,000) for conferences held outside ASEAN, Hong Kong and Taiwan. Provided further that the detailed projected expenses are well-justified and with documentary evidence provided.

11.2 For national conferences, the usual financial assistance allowed by circulars/guidelines issued by the Department of Budget and Management (DBM) and the Commission on Audit (COA) shall apply.

Section 12.0 Conference-proper Requirements

During the presentation, the paper must explicitly state the "Polytechnic University of the Philippines" as the author's institutional affiliation. The presenter may also use the University Logo in all his/her presentation materials.

Section 13.0 Post-Conference Requirements

13.1 The recipient shall submit to the Office of the President (OP) through the OVPREPD two copies each of the report of proceedings and liquidation report within one month upon returning from the conference, containing the following documents:

- a. Certification or proof from the conference organizer that the recipient has presented the approved paper during the conference;
- b. A travel report indicating the highlights of the conference, observations, insights and recommendations; and

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- c. Photocopy of the electronic ticket and original copies of the receipts of airfare, accommodation and conference fee, and original copies of the boarding passes used during the travel.

13.2 After the conference, the recipient shall present the paper in a University-sponsored forum within the year.

Section 14.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith

Section 15.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


EMANUEL C. DE GUZMAN, PhD
President



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Republic of the Philippines
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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 025, Series of 2017

PUP - Central Records Section	
Received by: <u>Roberto S. Paillo</u>	
<u>06-06-17</u>	<u>7:20pm</u>
Date:	Time:

TO : ALL CONCERNED

SUBJECT: AMENDMENT TO MEMORANDUM ORDER NO. 013, SERIES OF 2017 RE: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION FINANCIAL ASSISTANCE

DATE : June 7, 2017

- 1.0 This Memorandum is being issued to amend Memorandum Order No. 013, Series of 2017, the "Implementing Guidelines on Paper Presentation Financial Assistance", dated February 09, 2017.
- 2.0 Section 3.6 is hereby amended to read as follows:
 - "3.6. Only conferences with provision for paper publication in an ISI/Scopus indexed or CHED-recognized journals or conference proceedings shall be considered for funding."
- 3.0 This took effect upon the approval of the PUP Board of Regents in its 155th Regular Meeting.


EMANUEL C. DE GUZMAN, PhD
President

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(Toll-free Line) 8333-777/787 local 201/202/203/204 ; website: www.pup.edu.ph e-mail: president@pup.edu.ph



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MEMORANDUM ORDER
No. 029, Series of 2017

TO : ALL CONCERNED

SUBJECT: ATTENDANCE OF PUP OFFICIALS, FACULTY MEMBERS AND ADMINISTRATIVE EMPLOYEES IN SEMINARS, CONFERENCES, CONVENTIONS, TRAINING SESSIONS OR COURSES AND OTHER SIMILAR ACTIVITIES

DATE : July 7, 2017


Consistent with Memorandum Order No. 040, s. 2016 (*Revised Guidelines on Participation of PUP Officials, Faculty Members, and Administrative Employees in Staff Development, Seminar and Training Activities*), the University recognizes the need of its personnel to undergo activities that will enhance their job-related skills and competencies. Thus, it is the policy of the University to support with financial assistance the initiatives of our employees to attend seminars, conferences, training sessions or courses and other similar activities, consistent with their commitments and targets as indicated in their approved Individual Performance Commitment and Review (IPCR) Form. This University support should be balanced with the responsibility of the PUP officials and rank-and-file employees to ensure judicious use of public funds, which includes the requirement that attendance of employees in capability building or enhancement activities must be directly related to their core function/s in the office where they are assigned so that, in the end, the office and the whole institution will benefit from the participation of PUP employees in these activities.

In the light of the above-stated policy, all university officials, faculty members and administrative employees who will be recommended to participate in seminars, conferences, conventions, training sessions or courses and other similar activities, and their supervisors, are required to accomplish the prescribed Application and Recommendation Letter template, as attached (Annex A), which may be downloaded from the PUP website with the link, <https://www.pup.edu.ph/downloads/employees/>.

The template will be used by the Sector Head in recommending approval of the employee's application to attend a training or staff development activity. Moreover, the number of recommended employees in an office per activity should be such that the delivery of quality and prompt service of these offices, especially those providing frontline services, will not be compromised.

The Vice President or Sector Head concerned, by recommending approval of the office head recommendation, is responsible for ensuring that due diligence was applied in the evaluation of the recommendation.

For compliance.


EMANUEL C. DE GUZMAN, PhD
President

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OFFICE OF THE _____
Sta. Mesa, Manila

Annex A:
Application and
Recommendation Letter
Template

<date>

Dr. EMANUEL C. DE GUZMAN
President
This University

THRU : Dr. HERMINIA E. MANINTIM
Executive Vice President

Ms. MARISSA J. LEGASPI
Vice President for Finance

[Note: Include VPF if financial assistance
is requested]

Dr. JOSEPH MERCADO
Vice President for Research, Extension and Development

[Note: Include VPRED if the activity is
research or extension in nature]

Dear Sir:

In connection with the conduct of <Title of Seminar/Conference/Convention/Training/Course>, organized by <Name of Company/Organizer> and to be held on <Date/s> at <Venue> in <City/Province>, may we request for the issuance of a special order for the participation on official time of the following administrative employee/s in the said activity:

Name of University Official/Faculty Member/Administrative Employee	Position/Designation	Core Function/s (as reflected in the employee's IPCR or office's OPCR) that is/are related to the activity	In what specific way/s will the participation of the employee/s in the activity help improve the performance of the identified core functions?*
1.			
2.			
3.			

(use other sheet if space is not enough)

[Justification may also be in connection with the succession plan of the office]

<Note: Include this portion if financial assistance is requested: Also, may we seek approval that the registration fee amounting to <Amount> per head, including actual traveling expense and/or per diem of each participant be borne by the University.>

For your approval, sir. Thank you very much.

Very truly yours,

<Signature over Printed Name of Head of the Office>
<Position/Designation>

I have diligently reviewed and evaluated the above-stated recommendation and found it necessary and consistent with existing University rules and regulations. I, therefore, recommend approval of the same.

<Signature over Printed Name of VP/Head of the Sector>
<Position/Designation>

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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 40, Series of 2016

Received by: <i>[Signature]</i>	
9-09-17	1:15
Dr. [Signature]	Witness

TO : ALL CONCERNED OFFICIALS, FACULTY MEMBERS AND ADMINISTRATIVE EMPLOYEES

SUBJECT : REVISED GUIDELINES ON PARTICIPATION OF PUP OFFICIALS, FACULTY MEMBERS, AND ADMINISTRATIVE EMPLOYEES IN STAFF DEVELOPMENT, SEMINAR AND TRAINING ACTIVITIES

DATE : December 29, 2016

1.0 Rationale and Objectives

This set of guidelines is established to provide support in the professional growth of officials and personnel of the Polytechnic University of the Philippines (PUP) as well as guidance in the grant of this support, including the submission of post activity report requirements. This is in line with Polytechnic University of the Philippines' (PUP) established Strategic Performance Management System (SPMS), which aims to empower and enhance the employees' performance towards the attainment of the University goals, motivate them to further development, enhance the culture of performance and ensure accountability.

The PUP SPMS is in compliance with Memorandum Circular No. 6, Series of 2012 of the Civil Service Commission (CSC) otherwise known as the "Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System (SPMS)".

Specifically, this set of guidelines is intended to:

- 1.1 Define the entitlement to privileges of officials and academic and administrative personnel to Polytechnic University of the Philippines (PUP) staff development and training activities;
- 1.2 Set parameters that will be used as basis in the approval of the request for the conduct of and participation in staff development and training activities;

Provide a set of rules and procedures to be followed in complying with government accounting and auditing rules and regulations before, during and after the conduct of or participation in the staff development or training activity.

2.0 Scope and Coverage

The guidelines shall cover all University officials, permanent and temporary faculty members, and permanent and casual administrative employees.

3.0 Definition of Terms

- 3.1 *Staff Development Activities* refer to seminars, performance assessment, planning and team building activities, benchmarking and exposure trips;
- 3.2 *Seminars* refer to seminars, conventions, conferences, symposia and similar non-training gatherings;
- 3.3 *Trainings* refer to those personnel interventions that are conducted for the purpose of gaining or strengthening the skills and technical expertise or management expertise of the participant in his/her area of endeavor;

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- 3.4 *Planning* refers to the activity conducted by an office/department to determine the programs, activities and projects to achieve the performance targets for the succeeding year/s. The planning activities may be strategic planning, annual action planning, mid-year and year-end assessment;
- 3.5 *Training Fund* refers to the amount allocated to the office/department to fund the cost that shall be incurred for the participation/attendance in and/or conduct of trainings, conventions and seminars/workshops. This shall cover training fees, honoraria for lecturers (in accordance with Budget Circular 2007-1), cost of handouts, supplies, materials, meals, snacks and all other training related expenses, which does not include travelling and transportation expenses and per diem;
- 3.6 *Staff Development Fund* refers to the lump sum amount allocated to the office/department to fund the cost that shall be incurred in the conduct of and participation in staff development activities. This shall cover travelling and transportation expenses, per diem and other staff development related activities.

4.0 General Provisions

- 4.1 The University shall allocate annually per office/department funds for staff development and training activities of its personnel. All expenses as cited in items 3.5 and 3.6, incidental to the participation in and conduct of said activities may be charged to these funds;
- 4.2 University officials and employees may be authorized to participate in conventions, seminars, conferences, symposia, and such other activities conducted by non-government organizations or private institutions for a fee, as part of the human resource development program of the University, in accordance with the rules and regulations prescribed by the Civil Service Commission (CSC) and the Department of Budget and Management (DBM), chargeable against University funds;
- 4.3 Staff Development Activities Sponsored by Private Organizations (POs) and Non-Government Organizations (NGOs)
- 4.3.1 The registration fee or charge for the participation in the conventions, seminars, conferences, symposia, and other similar non-training gatherings sponsored by non-government organizations or private institutions shall not exceed Two Thousand Pesos (P2,000.00) per day for each participant as prescribed in NBC 563. Any amount in excess of the prescribed rate shall be at the expense of the participant.
- 4.3.2 In case where the convention/conference/seminar is held out-of-town, authorized participants may be entitled to per diems, travelling and transportation and other expenses as authorized under existing budgeting and accounting rules and regulations. The travelling and transportation allowance shall be based on the actual expenses or as prescribed in Executive Order 248 as amended by Executive Order 298, whichever is lower;
- 4.3.3 Membership and similar fees paid for personal or individual membership in private organization shall be for the account of the member concerned and shall not be charged against University funds. However, institutional membership, that is PUP membership, may be charged to University funds;
- 4.3.4 As far as practicable, University officials and employees should avail of the early registration rates to avail of reduced costs of participation in conventions, seminars, conferences and other similar activities;
- 4.3.5 All expenditures for the purpose shall not exceed the appropriation for training and seminar expenses of offices/departments concerned and shall be subject to the usual accounting and auditing rules and regulations;



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4.4 Staff Development Activities Sponsored by Government Organizations (GOs) and Training Activities Sponsored by Government Organizations (GOs), Private Organizations (POs) and Non-Government Organizations (NGOs);

4.4.1 Seminars, conferences and the like that are conducted or organized by government institutions and trainings either conducted by government institutions or NGOs/POs are not covered by NBC 563, and, thus, payment for actual registration fees in these functions may be fully shouldered by the University, provided, such amount does not exceed a total amount of P15,000.00 per activity/function.

4.4.2 The approval of funding request shall be subject to the availability of funds allocated for the office/department of the requesting individual. The head of office/department shall coordinate with the Budget Services Office (BSO) in monitoring the balance of said funds;

4.5 Planning Activities

4.5.1 The conduct of planning activity (Strategic Planning/Annual Action Planning) shall be ONCE for each year with or without University funding support. It shall be limited to three (3) days, inclusive of travel time which shall not exceed one (1) day. University funding support for the planning activity shall be limited to the allocated budget for each employee of the office/department based on the actual attendance and subject to the availability of funds.

4.5.2 A transportation allowance shall be provided to each participant in the amount of One Thousand Pesos (P1,000.00) or based on actual transportation fare, whichever is lower. In case of rented vehicle, the cost shall be based on the equivalent mode of transportation to the venue;

4.5.3 The office/department may request for the use of the University vehicle, subject to the availability of the said vehicle. In this case, no transportation allowance will be provided but the University will cover gasoline expenses, per diem of the University driver, and toll fees;

4.5.4 Mid-year assessment planning shall be conducted by the office/department which shall not exceed two (2) days. For Branches and Campuses located within Metro Manila, the assessment planning activity shall be conducted within National Capital Region (NCR). In the case of Branches and Campuses outside of Metro Manila, the assessment planning activity shall be conducted within the city or municipality where the branch or campus is located.

4.5.5 For mid-year assessment planning, the University shall provide meal allowance of One Hundred Fifty Pesos (P150.00) per day per participant chargeable against the office/department Staff Development Fund based on actual attendance and shall cover gasoline expense and toll fees, when the University vehicle will be utilized;

4.5.6 Under the normal performance cycle of the University, the year-end assessment shall be undertaken by an office within the same period as that of the annual action/development planning;

4.5.7 Post Planning/Assessment report shall be submitted within fifteen (15) working days from the last day of the activity. This shall include the narrative report, photo documentation and copy of the outputs of the planning activity.



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4.6 Other Provisions

- 4.6.1 University Officials, faculty members and administrative employees may be allowed to attend national and international conferences with funding support every year, subject to the availability of office/department funds. On the other hand, if the allocated funds of the office/department are fully utilized, the participation of concerned University official, faculty member and administrative employee, if approved, may be issued Special Order on official time only;
- 4.6.2 For activities organized by institutions other than PUP, casual employees who have rendered at least six (6) months of continuous service in PUP shall be entitled to staff development privileges while one (1) year of continuous service shall entitle the same employees to training privileges. Employees retiring within one (1) year or with application for optional retirement shall not be entitled to financial support for participation in staff development and training activities held outside the University campus as provided herein. However, they may be allowed to attend/participate in these activities on official time only;
- 4.6.3 A Post-Staff Development Activity Report shall be submitted to the HRMD-Training and Development Section including photos and certificate of completion/participation within thirty (30) calendar days upon completion of the staff development activity. The report shall provide the details on the proceedings of the attended staff development activity and action plan of the personnel involved, the same report shall be posted at the PUP website within thirty (30) calendar days after the seminar.
- 4.6.4 The conduct of echo seminar/sharing (structure or unstructured) shall be limited to training/s attended/participated. Proof of echo seminar/sharing conducted shall be submitted to HRMD-Training Section within fifteen (15) working days upon conduct of the echo seminar/sharing;
- 4.6.5 All requests for the participation/attendance in and conduct of trainings, conventions and seminars/workshops, and the conduct of staff development activities shall be subject to the approval of the President thru the Executive Vice President and the Vice President for Finance, upon recommending approval of the concerned Vice President;
- 4.6.6 In case the staff development and training funds of the office/department are fully utilized or not sufficient to cover the participation of a faculty-designee in the staff development and training activities, he or she may request that the funds may be sourced from his/her mother academic unit, provided the College Dean endorses the request.

5.0 Procedures

- 5.1 The head of office/department shall prepare request for the participation/attendance in and conduct of trainings, conventions and seminars/workshops, and the conduct of staff development activities addressed to the University President thru the Executive Vice President and the Vice President for Finance. The request for the conduct of staff development and trainings activities shall be supported with a project proposal with the following details:

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- 5.1.1 Title of Activity;
- 5.1.2 Venue;
- 5.1.3 Duration;
- 5.1.4 Description and Rationale;
- 5.1.5 Objectives;
- 5.1.6 Target Participants;
- 5.1.7 Budgetary Requirements;

- 5.2 The request, including documentary requirements as listed in item 6.0 of this set of guidelines, shall be submitted to the Office of the Sector Vice President at least one (1) month prior to the conduct of the activity for his/her recommending approval;
- 5.3 Upon recommendation of the Sector Vice President, the request including documentary requirements shall be forwarded to the Vice President for Finance for financial evaluation;
- 5.4 The Vice President for Finance shall recommend the evaluated requests including documentary requirements to the Executive Vice President for appropriate action;
- 5.5 The Executive Vice President shall recommend the evaluated requests to the President for final approval;
- 5.6 The President shall forward the approved request to the Human Resource Management Department (HRMD) for the preparation of Special Order.

6.0 Documentary Requirements

- 6.1 Request Letter;
- 6.2 Project Proposal;
- 6.3 Program of Activities and Itinerary;
- 6.4 Certificate of Compliance from the HRMD on the Submission of Previous Post Seminar Report or No Pending Submission of Post Seminar Report;
- 6.5 Certificate of Compliance from the Internal Audit Office (IAO) on the submission of Post-Planning Activity Report;
- 6.6 Canvass of at least three (3) venues within the area *(For conduct of out-of-campus staff development or training activity)*.

7.0 Sanction

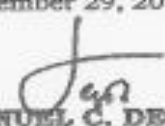
The non-submission of post activity report/s on the participated/attended and conducted trainings, conventions and seminars/workshops and conducted staff development activities shall be a ground for the disapproval of or non-action on current request for staff development or training activity until such time the submission of post activity report/s is complied with accordingly.

8.0 Repealing Clause

Any other guidelines, administrative order, rule or regulation and/or parts thereof contrary to or inconsistent with the provisions of this set of guidelines is hereby repealed, modified or amended accordingly.

9.0 Effectivity

This set of guidelines shall take effect on December 29, 2016.


EMANUEL C. DE GUZMAN, PhD
President

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Lifted from the University Research & Development Manual pp. 3-8....

The University Research Agenda

The University adopts a clear, practical, and realizable University Research Agenda that is meant to (1) be aligned with the strategic plan of the University; (2) unify the direction and framework of the research activities of the University; (3) align the research efforts of the University with the thrust and priorities of national government agencies e.g. Department of Science and Technology (DOST), National Economic and Development Authority (NEDA), Commission on Higher Education (CHED), among others; and (4) generate researches, scientific innovations, speculative and theoretical paradigms which are expected to propel economic, scientific, social, cultural and technological development.

The University Research Agenda is categorized into five general themes, to wit: (1) poverty reduction, peace and security; (2) accelerating infrastructure development through science and technology; (3) competitive industry and entrepreneurship; (4) social and cultural development; and (5) conservation, protection and rehabilitation of the environment towards sustainable development.

Agenda 1: Poverty Reduction, Peace and Security

This research theme addresses three important national and global issues that mankind is squarely-faced: poverty, peace and security. The University is in the belief that these issues are interrelated-solving one means solving others.

A. Poverty Reduction Studies

The University works with the paradigm that the poverty issue is multi-dimensional and is driven by multifarious causes. Poverty studies therefore should cover the many facets of the causes and effects of poverty as well as the ways of addressing them. They should also be linked with peace and security concerns of localities, regions and countries. The studies should reveal the relationships of poverty to security, human rights, governance, lack of education, and limited access to social services for according to Kofi Annan, "development cannot be enjoyed without security and security cannot be enjoyed without development."

Roles and models on local resource and local actors' mobilization, increasing productivity and creativity, community-driven development, and development partnerships between public and private sector should likewise be included among the focus of poverty studies.

The following research topics are herein identified for poverty reduction according to different dimensions:

(1) Economic Dimension

- a. Agrarian reform and industrialization,
- b. Agri-business,
- c. Corporate social responsibility,
- d. Employment and industrial relations,
- e. Growth and equity,
- f. Local/community and distributive economics,
- g. Micro-finance/micro lending strategies,
- h. National and local economic policies
- i. SMEs, cooperatives and social enterprise,
- j. Supply chain management, and
- k. Other related topics

Each of these themes could be dealt with independently from the others. Each could likewise be tackled by particular or a specific research or academic unit/center. However, the possibility of these themes to overlap and interlock with each other is not only likely but necessary and at times encouraged. Thus, various research units/centers and academic units can collaboratively work on a single theme and, conversely, several themes could be worked on by a single research or academic unit.



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(2) Educational Dimension

- a. *Academe-industry linkages,*
- b. *Alternative learning system,*
- c. *Curriculum development,*
- d. *Distance education/learning,*
- e. *Educational policies and legislation,*
- f. *Educational technology and innovation,*
- g. *Graduate tracer studies,*
- h. *Home-School-Community collaboration,*
- i. *Institutional development,*
- j. *Outcome-based evaluation,*
- k. *Professional development and faculty support,*
- l. *Quality assurance,*
- m. *Student support services,*
- n. *Teacher and student achievements,*
- o. *Transformative education,*
- p. *Transnational education (ASEAN integration), and*
- q. *Other related topics.*

(3) Social, Political and Cultural Dimension

- a. *Good governance,*
- b. *Human development and social protection,*
- c. *Informal settlers,*
- d. *Knowledge and belief systems,*
- e. *Local government studies,*
- f. *Public personnel management and development,*
- g. *Public-private partnership,*
- h. *Quality of life,*
- i. *Social welfare, and*
- j. *Other related topics.*

(4) Public Health Dimension

- a. *Food sufficiency,*
- b. *Food productivity,*
- c. *Nutrition and dietetics,*
- d. *Food sciences, and*
- e. *Other related topics.*

B. Peace and Security Studies

Peace and security studies and researches are expected (1) to understand the causes of armed conflicts, religious disagreements, cultural clashes, war, terrorism, genocide, human rights violations and others; (2) to develop ways and devices to prevent and resolve identified peace and security problems; and ultimately (3) to build peaceful and just communities, systems, and societies.

Obviously, these types of studies require interdisciplinary approaches and expertise. Henceforth, researches with the following topics could meet the above expectation:

(1) Understand the causes of armed conflicts, religious disagreements, cultural clashes, war, terrorism, genocide, human rights violations and others with focus or emphasis on:

- a. *Democratization,*
- b. *Ethnographic and ethnicity studies,*
- c. *Human growth and development,*
- d. *International relations and trans-border issues,*
- e. *Internationalization,*



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- f. Knowledge and belief systems,*
- g. Macroeconomics and globalization issues,*
- h. Migration,*
- i. National and human security,*
- j. Policy studies,*
- k. Political dynamics,*
- l. Religion and philosophy,*
- m. Social issues,*
- n. Social movements,*
- o. World politics, and*
- p. Other related topics.*

(2) Develop ways to prevent and address identified peace and security problems, through conduct of studies on:

- a. Behavioral and psychosocial researches,*
- b. Cross-cultural communication,*
- c. Ethno-linguistics,*
- d. Organizational and development communication,*
- e. Peace and conflict resolution,*
- f. Psycho-trauma and crisis intervention,*
- g. Translation studies, and*
- h. Other related topics.*

(3) Build peaceful and just communities, systems and societies, exploring:

- a. Access, equity and ethics,*
- b. Community empowerment,*
- c. Differently-abled (PWDs),*
- d. Gender and development studies,*
- e. Globalization of education and across cultural aspects,*
- f. Institutional development,*
- g. Lesbian, Gay and Bisexual, Transsexual and Queer (LGBT) issues,*
- h. Marriage and family,*
- i. Senior citizens' issues,*
- j. Women and children, and*
- k. Other related topics.*

**Agenda 2: Accelerating Infrastructure Development through
Science and Technology**

Consistent with the National Government's thrust, the University is determined to effect significant economic growth, human development and social protection through acceleration of infrastructure development.

Undoubtedly, infrastructure development is one of the major priorities of the national government as it clearly and concretely outlined in the recent National Economic and Development Authority agenda. The University, in support, to the government's efforts, provides, the country with research-based studies and scientific and engineering innovations that will enable both the government and private sectors to hasten infrastructure development which can be both hard and soft infrastructures.

The "hard" infrastructure refers to the large physical networks necessary for the functioning of a modern industrial nation; these are meant to support the drivers of economic growth such tourism, agriculture and industry. On the other hand, "soft" infrastructure refers to all the institutions or systems which are required to maintain the economic, cultural and social standards of a country; these are meant to provide the necessary services for human development and social protection such as education, health, among others:

The University identified the following areas and topics to concentrate on:



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A. Hard Infrastructures

- a. *Energy-related infrastructure and facilities (e.g. power sources, upgrade of existing power plants, etc.),*
- b. *Flood control and management,*
- c. *Irrigation systems,*
- d. *Mechatronics,*
- e. *Resettlement frameworks,*
- f. *Structural engineering,*
- g. *Transportation technology,*
- h. *Urban and rural housing,*
- i. *Urban gardening,*
- j. *Water supply and treatment facilities, and*
- k. *Other related topics.*

B. Soft Infrastructures

- a. *Bioinformatics,*
- b. *Computational and theoretical sciences,*
- c. *Data engineering and ubiquitous computing,*
- d. *E-governance,*
- e. *Instrumentation research,*
- f. *Internet and Web applications development,*
- g. *Knowledge management,*
- h. *Management information systems/reporting systems,*
- i. *Material science research,*
- j. *Mathematical and statistical modeling,*
- k. *Mobile computing systems,*
- l. *Natural products,*
- m. *Network security and issues,*
- n. *Pure and applied mathematics research,*
- o. *Software development and applications, and*
- p. *Other related topics.*

Agenda 3: Competitive Industry and Entrepreneurship

The University recognizes the country's need to strengthen the competitiveness of its industries particularly those which are driving the nation forward in terms of economic growth such as tourism, agriculture, skilled manpower in ICT and language proficiency, retail, exports, investments, banking and entrepreneurship.

Furthermore, PUP is one with the National Government in its objective of assuring rapid and sustained growth for the country. In view of this, the University, with its various academic and research arms, identifies important research topics and areas which can be explore (1) to reveal important trends, issues and challenges confronting these industries and (2) to discover devices and ways to address these challenges. The following research topics are hereunder identified:

- a. *Business processing and outsourcing,*
- b. *Cooperative management,*
- c. *E-commerce,*
- d. *Human resource management practices and issues,*
- e. *Incubation and commercialization,*
- f. *Industry needs analysis,*
- g. *Investments and banking systems and operations,*
- h. *Livelihood and business development,*
- i. *Management and organization*
- j. *Market for agriculture industry,*
- k. *Micro and macroeconomics,*
- l. *National and local economic policy research (NEDA, LGU projects, DTI),*
- m. *Products development and innovation,*



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- n. Quality management,*
- o. Resource management,*
- p. Small and medium enterprises (SMEs)*
- q. Work values, and*
- r. Other related topics.*

Agenda 4: Social and Cultural Development

Culture and society are linked to each other. Generally, culture is an important element of social development. The University, with its strong academic/research centers and institutes pertaining to cultural and social studies, is bent to support the National Government in the (1) creation intellectual potential; (2) building of human capital; (3) popularization of culture, arts and heritage; (4) forging social integration; (5) promotion of national identity through local and national historiography; (6) prevention of social pathologies; (7) initiation and establishment of cooperation; (8) advancement and promotion of national solidarity and patrimony; and (9) reduction of disproportions of personal development of citizens as a form of social advancement.

The following research topics are identified in order to direct the University research activities along the line of cultural and social development:

- a. Communication and society,*
- b. Filipino worldview,*
- c. Filipino culture,*
- d. Heritage studies/intangible cultural heritage/heritage preservation,*
- e. Historiography,*
- f. Human growth and development studies,*
- g. Information campaign and evaluation, advertising/public relations principles and case studies,*
- h. Literatures, performing arts, visual arts, folk arts,*
- i. Media laws and ethics,*
- j. Media literacy,*
- k. Organizational behavior, multiple intelligences, giftedness and learning disabilities,*
- l. Philosophical studies,*
- m. Popular culture,*
- n. Psychology and society,*
- o. Sociological studies, and*
- p. Other related topics.*

**Agenda 5: Environmental Conservation, Protection and Rehabilitation
towards Sustainable Development**

Conservation, protection and rehabilitation of the environment is a significant factor in the maintenance of community's sustainability. It includes the sustainable use of management of the natural resources such as water, natural energy, air, wildlife and minerals. The University recognizes this as a very important element of national development.

The following research areas and topics have been identified to generate knowledge to supplement the existing body of works and regarding the management, care, use and exploitation of the natural resources:

- a. Biodiversity,*
- b. Climate change mitigation and adaptation,*
- c. Disaster management, preparedness and monitoring,*
- d. Energy conservation,*
- e. Environmental conservation, preservation, protection and stewardship,*
- f. Global warming,*
- g. Urban ecology, and*
- h. Other related topics.*



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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 013, Series of 2017

PUP - Central Records Section	
Received by: <i>Felimon T. Rubiano Jr.</i>	<i>6:10 PM</i>
<i>2/28/17</i>	<i>Finance</i>

TO : ALL CONCERNED

**SUBJECT: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION
FINANCIAL ASSISTANCE**

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for on paper presentation financial assistance is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to paper presentation financial assistance is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Definitions

For the purposes of this set of guidelines, the following terms are hereby clarified and defined:

- Paper Presentation** refers to the presentation of research outputs or results in either international or national conferences. The term shall exclusively be confined to oral presentation and shall preclude poster presentation.
- Ad Hoc Committee** refers to a body established by the Research Management Office by the authority of the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) for the sole purpose of evaluating a specific paper/title as to its quality, scholarship, and appropriateness for international or national presentation. It is also the body that would either recommend or refuse to recommend the award of financial assistance as hereby contemplated.
- Double-Blind Review** refers to the process of evaluation of papers where the evaluators' identity is not known to the applicant and vice versa.

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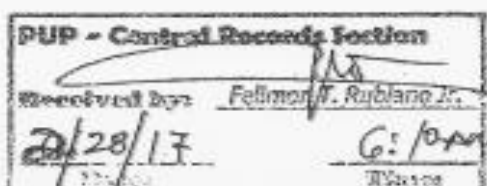


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- c. *Double-Blind Review* refers to the process of evaluation of papers where the evaluators' identity is not known to the applicant and vice versa.

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Section 3.0 Eligibility

- 3.1 Only permanent administrative employees and faculty members with permanent or temporary status are eligible to receive financial assistance for paper presentations in international conferences and national conferences, and international conferences conducted in the Philippines.
- 3.2 Only paper presenters are qualified to receive financial assistance. Participants and organizers shall not be granted assistance in accordance with the University Policy on Research and Development Funding, Support and Financial Assistance.
- 3.3 Regular bona fide students enrolled with at least nine (9) units in any graduate program and full load in any undergraduate program are qualified to receive financial assistance that shall be taken from the Student Development Fund (SDF) and shall be subject to existing rules and regulations of the Office of the Vice President for Student Affairs and Services.
- 3.4 In no case shall the financial assistance be transferred, directly or indirectly, by a qualified person to anybody not otherwise eligible.
- 3.5 No financial assistance shall be granted to papers which have been previously presented or published.
- 3.6 Only conferences with provision for paper publication in an ISSN peer-reviewed journal or conference proceedings shall be considered for funding.
- 3.7 This financial assistance shall not be granted in conjunction with another financial assistance awarded or given to the researcher by any government funding institution. A paper that has been granted or is being applied for any government travel financial assistance shall no longer be qualified for conference funding by the University.
- 3.8 Papers that did not pass the assessment of the *Ad Hoc Committee* convened by the OVREPD shall not qualify for financial assistance, notwithstanding the acceptance of the conference organizer.

Section 4.0 Limitations

- 4.1 The University shall only provide financial assistance to five paper presenters in the same international conference held inside and outside the country and ten paper presenters in the same regional/national conference unless the University is the organizer or co-organizer.
- 4.2 Since there are limited slots per conference, priority shall be given to first time applicants and/or to applicants who made the necessary revisions ahead of required schedule.

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- 4.3 It is the applicant's sole responsibility to make his/her travel arrangements, i.e., visa, foreign exchange permit, ticket, etc. A copy of the travel documents must be submitted to Research Management Office (RMO).

Section 5.0 Basic Documentary Requirements

- 5.1 Letter of application for conference financial assistance addressed to the President through the Vice President for Finance (VPF), Vice President for Research, Extension, Planning and Development (VPREPD) and sector vice president concerned duly noted/recommended by the dean/director/head of office must be submitted to the President at least two (2) months before the date of the conference.
- 5.2 Copy of full paper in publishable format for conference presentation.
- 5.3 Copy of the Letter of Invitation and/or Acceptance Letter from the conference organizer.
- 5.4 Copy of the conference brochure and other relevant information materials including the provision for publication from the conference official website and/or any of the conference portals.
- 5.5 Copy of procedure or schedule of payments of registration fees.
- 5.6 Details of financial assistance, to be attached in the application letter.
- 5.7 Applicant's curriculum vitae.
- 5.8 For collaborative work, consent letter and co-authorship agreement among researchers must be submitted stipulating that the applicant is permitted by the team to apply for Paper Presentation Financial Assistance.

Section 6.0 Application Process

- 6.1 Only applicants with complete documentary requirements may be submitted to the OVPREPD. Incomplete documentary requirements will not be processed.
- 6.2 Upon receipt of the application, the OVPREPD shall endorse all the documents to the Research Management Office for Technical Evaluation. Technical Evaluation involves the determination of whether or not there is compliance with the existing policies and regulations of the University as to eligibility, technical standards and structures.

The OVPREPD shall also delegate RMO to constitute an *Ad Hoc Committee* which will be tasked to evaluate the paper according to nature, quality, substance, and value. The *Ad Hoc Committee* shall be constituted by experts in the area or field under which the topic

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of the research paper is aligned. The members of the committee should not have, explicit or otherwise, any interest in the research/study/paper or eventual results thereof. Any official such as Dean, Director or Chairperson, who initially endorsed the application for approval, shall not be allowed to sit in the *Ad Hoc Committee*.

Primarily, the members of the *Ad Hoc Committee* shall be from within the University. In exceptional circumstances, however, experts from other institutions may be invited to sit in the *Ad Hoc Committee*. Exceptional circumstances include, but not limited to, the following: where no available experts can be found within the University; where though there are available experts within the University, they are otherwise disqualified because of conflict of interest; and such other situations as may be determined on a case to case basis.

6.3 Once the *Ad Hoc Committee* convenes, the RMO shall endorse the research paper/study to the Committee. To ensure that the policy on double – blind review is sternly complied with, RMO shall prepare the research paper/study devoid of any indication of identity of the researcher or applicant. The applicant, likewise, is prevented to know the identity of the members of the *Ad Hoc Committee*. In this stage of the process, all deliberations about the paper/study shall be confidential. Once the Committee's evaluation is completed and an appropriate evaluation report is made, the confidentiality rule is deemed terminated.

6.4 If the evaluation of the *Ad Hoc Committee* favors the applicant, the packet of application documents together with the Evaluation Report signed by all the members of the Committee shall be endorsed back to the OVPREPD. The OVPREPD shall make an endorsement to the Office of the Vice President for Finance (OVPF) to ascertain availability of funds. Once the OVPF certifies the availability of funds, the application shall be forwarded to the Office of the President for final approval. The applicant shall receive a formal update indicating the status of the request.

The OVPREPD shall veto the decision of the *Ad Hoc Committee* in any case of disagreement among evaluators.

6.5 Upon approval of the application for conference funding, the applicant shall enter into a contract/ memorandum of agreement with the University stipulating therein the terms and conditions of the financial assistance.

6.6 All applications which did not qualify may still re-apply as long as all the qualifications and none of the disqualifications remain present.



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Section 7.0 Criteria for Assessment

- 7.1 *The quality of the conference program.* High quality conferences are usually well-established and well-known in the area, with program content that is largely devoted for scientific presentations, and are sponsored and/or endorsed by reputable scientific organizations and/or institutions.
- 7.2 *The quality of the full paper for presentation.* The quality of the paper shall be evaluated through a double blind peer-review process.
- 7.3 Alignment of the research topic with the applicant's field of specialization.
- 7.4 The importance/relevance of the conference with regard to the research strategy of the college/branch/institute/center/office in particular, and the University in general.
- 7.5 The research paper will be evaluated through an approved point system.

Section 8.0 Policy on Multiple Authorships

- 8.1 In the case of collaborative research or multiple authorships, the project lead proponent or the author shall have the right to apply for the conference financial assistance. However, if the lead proponent/author will not avail of the financial assistance, his co-author or any one among his co-authors may apply for the financial assistance. This arrangement must be agreed upon in writing among the authors (See Section 5:5.8).
- 8.2 Co-authorship agreement between and among the authors must be submitted along with the other basic documentary requirements. The agreement must be subscribed and sworn in the presence of a notary public.

Section 9.0 Return of Cash or Check, Reimbursement

- 9.1 Should the recipient fail to attend and/or present his/her approved paper in the intended conference, for whatever reason, he/she is obliged to return the amount of cash assistance provided within three (3) working days.
- 9.2 The return of cash assistance mentioned in 9.1 shall be accompanied by a letter detailing the reasons of the recipient's inability to attend/present.
- 9.3 In cases of postponement of the scheduled conference, the OVPREPD shall be notified through a formal communication. If the postponement is indefinite and/or the schedule is moved to dates no longer within the fiscal year, the recipient shall return the amount of assistance within 3 working days.

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9.4 In any case of return of cash assistance, the recipient is deemed not to have applied for and granted the financial assistance. Hence, reapplication is allowed.

9.5 In cases where the assistance was released after the dates of the conference, the amount shall be reimbursed to the recipient subject to the existing accounting rules and regulations on reimbursement.

Section 10.0 Availability of Funds

Since financial assistance is made from finite funds duly appropriated for this purpose, the maximum number of recipients for a given fiscal year shall be subject to availability of funds.

Section 11.0 Amount of Conference Funding Support

11.1 For international conferences, the University shall provide for the actual expenses which only include registration fee, lowest round-trip airfare cost, and daily subsistence allowance (DSA) in reference with United Nations Development Programme (UNDP) rates. Provided that the amount of financial assistance for conferences held within ASEAN, Hong Kong and Taiwan shall not exceed Seventy Five Thousand pesos (Php 75,000) and One Hundred Thousand pesos (Php 100,000) for conferences held outside ASEAN, Hong Kong and Taiwan. Provided further that the detailed projected expenses are well-justified and with documentary evidence provided.

11.2 For national conferences, the usual financial assistance allowed by circulars/guidelines issued by the Department of Budget and Management (DBM) and the Commission on Audit (COA) shall apply.

Section 12.0 Conference-proper Requirements

During the presentation, the paper must explicitly state the "Polytechnic University of the Philippines" as the author's institutional affiliation. The presenter may also use the University Logo in all his/her presentation materials.

Section 13.0 Post-Conference Requirements

13.1 The recipient shall submit to the Office of the President (OP) through the OVPREPD two copies each of the report of proceedings and liquidation report within one month upon returning from the conference, containing the following documents:

- a. Certification or proof from the conference organizer that the recipient has presented the approved paper during the conference;
- b. A travel report indicating the highlights of the conference, observations, insights and recommendations; and

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- c. Photocopy of the electronic ticket and original copies of the receipts of airfare, accommodation and conference fee, and original copies of the boarding passes used during the travel.


13.2 After the conference, the recipient shall present the paper in a University-sponsored forum within the year.

Section 14.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith

Section 15.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


EMANUEL C. DE GUZMAN, PhD
President



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POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
OFFICE OF THE
Sta. Mesa, Manila

Annex A.
Application and
Recommendation Letter
Template

<date>

Dr. EMANUEL C. DE GUZMAN
President
This University

THRU : Dr. HERMINIA E. MANIMTIM
Executive Vice President

Ms. MARISSA J. LEGASPI
Vice President for Finance

[Note: Include VPF if financial assistance
is requested]

Dr. JOSEPH MERCADO
Vice President for Research, Extension and Development

[Note: Include VPRED if the activity is
research or extension in nature]

Dear Sir:

In connection with the conduct of <Title of Seminar/Conference/Convention/Training/Course>, organized by <Name of Company/Organizer> and to be held on <Date/s> at <Venue> in <City/Province>, may we request for the issuance of a special order for the participation on official time of the following administrative employee/s in the said activity:

Name of University Official/Faculty Member/Administrative Employee	Position/Designation	Core Function/s (as reflected in the employee's IPCR or office's OPCR) that is/are related to the activity	In what specific way/s will the participation of the employee/s in the activity help improve the performance of the identified core functions?*
1.			
2.			
3.			

(use other sheet if space is not enough)

[*Justification may also be in connection with the succession plan of the office]

<Note: Include this portion if financial assistance is requested. Also, may we seek approval that the registration fee amounting to <Amount> per head, including actual traveling expense and/or per diem of each participant be borne by the University.>

For your approval, sir. Thank you very much.

Very truly yours,

<Signature over Printed Name of Head of the Office>
<Position/Designation>

I have diligently reviewed and evaluated the above-stated recommendation and found it necessary and consistent with existing University rules and regulations. I, therefore, recommend approval of the same.

<Signature over Printed Name of VP/Head of the Sector>
<Position/Designation>

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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 025, Series of 2017

PUP - Central Records Section	
Received by: <u>Roberto S. Pallio</u>	
<u>06-06-17</u>	<u>7:20pm</u>
Date:	Time:

TO : ALL CONCERNED

SUBJECT: AMENDMENT TO MEMORANDUM ORDER NO. 013, SERIES OF 2017 RE: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION FINANCIAL ASSISTANCE

DATE : June 7, 2017

- 1.0 This Memorandum is being issued to amend Memorandum Order No. 013, Series of 2017, the "Implementing Guidelines on Paper Presentation Financial Assistance", dated February 09, 2017.
- 2.0 Section 3.6 is hereby amended to read as follows:

"3.6. Only conferences with provision for paper publication in an ISI/Scopus indexed or CHED-recognized journals or conference proceedings shall be considered for funding."
- 3.0 This took effect upon the approval of the PUP Board of Regents in its 155th Regular Meeting.


EMANUEL C. DE GUZMAN, PhD
President

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Chapter 7

PROTECTION OF INTELLECTUAL PROPERTY

The University is committed to providing an environment that supports the research and teaching activities of its faculty, student and staff. It recognizes its obligation to transfer new property, the rights and obligation of the University, its faculty, administrative personnel and students, and other third parties shall be governed by the revised PUP Intellectual Property (IP) Policy, pertinent provision of R.A. 8292 (Higher Education Modernization Act of 1997), R.A. 10055 (Philippine Technology Transfer Act of 2009) and R.A. 8293 (Intellectual Property Code of the Philippines). The University IP Policy is intended to promote and encourage excellence and innovation in scholarly research and teaching by identifying and protecting the rights of the University, its faculty, administrative staff, and student.

To the extent permitted by this policy, individuals may enter into contract with the University to address issues regarding intellectual property, in which case the contract entered into a manner consistent with the policy.

Protection for Copyright

All works referred in Article 4 Section 1 of the University Intellectual Property Policy such as manuscript of research outputs, research journals, theses, dissertations, etc. must be applied for copyright protection.

Protection for Patent and other Intellectual Property Rights

All patentable inventions referred in Article 5 Section 1 of the University Intellectual Property Policy must be applied for patent as early as possible for protection. Likewise, all utility models, industrial designs and the like shall also be registered as soon as possible. The "first to file rule" stated in the Intellectual Property Code of the Philippines should be taken in consideration of protecting all inventions of the University.

All fees related to intellectual property rights under the name of PUP shall be borne by the University.

Nondisclosure Agreement

In case where research is patentable, researchers and all persons involved should sign a nondisclosure agreement in order to prevent premature disclosure until patent applications have been filed. It is also advised that patent application should be filed first before any paper presentation, publication or exhibit is made.

All patenting and copyrighting activities and protection of other IP-related rights should be coordinated with the Intellectual Property Management Office (IPMO).

Procedure for Copyright Application

1. Secure the Copyright Application Form from the Intellectual Property Management Office (IPMO). The form can also be downloaded from the PUP website through the IPMO link. (See Appendix G-1)
2. Fill-out the Application Form. For theses/dissertations and other work authored by students which are being submitted to the University in partial fulfillment of any course requirements, the authors must accomplish/sign the affidavit of Copyright Co-ownership with the Polytechnic University of the Philippines. Copy of template of this Affidavit can also be obtained from the IPMO or through the PUP website. (See Appendices G-2 and G-3)
3. Have the accomplishment Application Form and Affidavit on Copyright Co-ownership duly notarized.
4. Proceed to the Accounting Office for the order of Payment.
5. Pay the Copyright application fee at the Cashier's Office.
6. Submit to IPMO triplicate copies of the notarized application form and affidavit of Copyright Co-ownership, and the document/s applied for copyright (hard or soft copy), together with the official receipt.



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7. Return to IPMO triplicate specified date to get the Certificate of Copyright Registration to be issued by the National Library of the Philippines.

Procedure for Patent Application

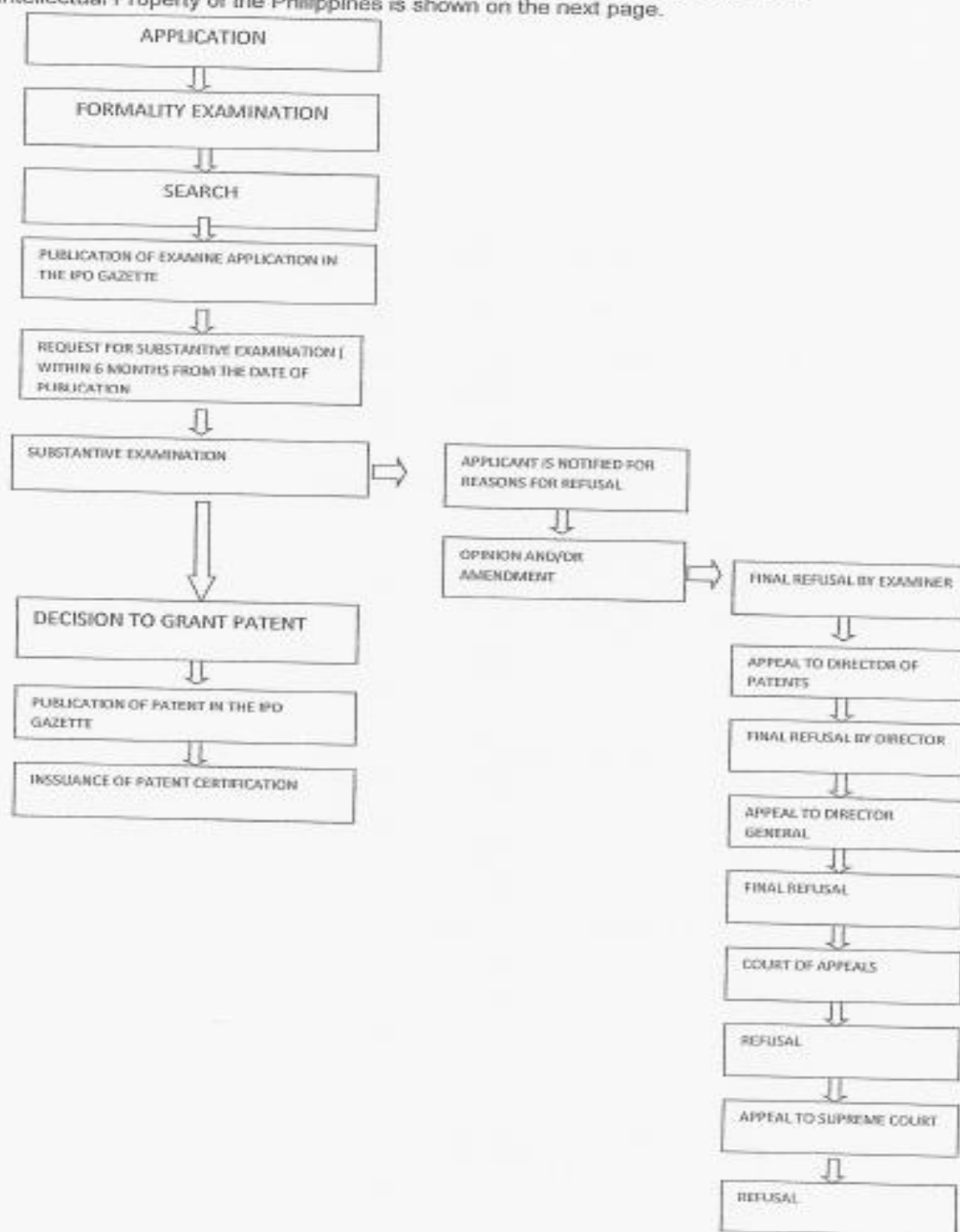
1. Inventor/creator must write a letter to OVPRED about his/her new invention.
2. If found valuable, OVPRED request IPMO for the evaluation of preventability and potential commercial success of the invention.
3. Inventors talk to IPMO for patentability and fill up the Invention Disclosure Form (See Appendix G-4 Invention Disclosure Form)
4. The Innovation and Technology Support Office (ITSO) conducts patent search to check for novelty. Check if it involves inventive step and verify for its industrial applicability.
5. The Center for Technology Transfer and Enterprise Developments (CTTED) conducts preliminary study for commercialization.
6. If the invention is found patentable and has potential commercial success, both the ITSO and the CTTED shall provide their recommendations to the Director of IPMO, who will in turn endorse the invention to OVPREPD for the application for patent.
7. The inventor/creator, with the assistance of ITSO will fill-up the Request for the Grant of Patent Form (See Appendix G-5 Request for Grant of Patent Form)
8. The inventor/creator together with ITSO will draft the Description of the Invention (includes Specifications and claims) and Drawings necessary for the invention (if any).
9. ITSO will file the application to the Intellectual Property Office of the Philippines.

(please refer to the flowchart presented in the succeeding pages)



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The flowchart (Figure 3) from filing to grant/refusal of patent application at the Intellectual Property of the Philippines is shown on the next page.





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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 009, Series of 2017

PUP - Central Records Section	
Received by: <u>Arbato S. P. [Signature]</u>	
<u>02-17-17</u>	<u>5:20</u>
Date	Time

TO : ALL CONCERNED

SUBJECT: IMPLEMENTING GUIDELINES ON INCENTIVES FOR PUBLICATION AND CITATION

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines on incentives for publication and citation is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to publication and citation incentives is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Definitions

- 2.1 *Publication* refers to the means of research dissemination whereby the researcher was able to have his/her research output/result/discussion or a concise version thereof printed in either ISI/SCOPUS-indexed publications or CHED-Accredited Journals.
- 2.2 *Citation* refers to the process of attributing to someone an idea, a thought or a claim (previously published) that contributes to the development of a subsequent argument. For the purposes of this set of guidelines, citation shall also refer to the manner by which a researcher's work or body of works is used collectively or separately either to 'support another researcher's study or to establish its background or the circumstances surrounding its major problem. Citation shall be limited to those made in articles published in ISI/SCOPUS-indexed publications and CHED-Accredited Journals.



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- 2.3 *ISI/SCOPUS* is a reputable organization that conducts indexing of academic publications in both scientific and non-scientific disciplines. Its evaluation and screening process is widely and internationally recognized by various respectable academic institutions.
- 2.4 *Fund Availability* refers to the annual allocation of definite funds intended to finance the cash incentives herein provided by the University. The allocation shall be made part of the budget proposal for a given year. Should the allocated funds for the purpose is already depleted for the specified fiscal year, the University has the discretion to deny applications.
- 2.5 *CHED-Accredited/Recognized Journals* refer to research journals that passed the evaluation process of the CHED Journal Accreditation System and were given CHED Journal Codes (CJC) signifying compliance of the journal with nationally-accepted standards and practice of refereeing and peer review.
- 2.6 *Student Researchers* are students who perform research related to the students' degree program in an academic department or research unit under the direction of a faculty member or authorized principal investigator.

Section 3.0 Eligibility

Any of the following parties may apply for and be eligible for cash incentives for publication and citation:

- 3.1 Any faculty member of the University with permanent or temporary status regardless of rank;
- 3.2 Any permanent administrative employee of the University;
- 3.3 Any faculty member with permanent or temporary status/permanent administrative employee of the University in collaboration with researcher/s from other universities and/or external agencies;
- 3.4 Any faculty member with permanent or temporary status/permanent administrative employee of the University in collaboration with student researchers from the University; and
- 3.5 Any regular, bona fide student enrolled with at least nine (9) units in any graduate program or full load in any undergraduate program is qualified to receive incentive/s that shall be chargeable against the Student Development Fund (SDF).

Section 4.0 Disqualification

The following are not qualified to receive cash incentives for publication and citation:

- 4.1 A faculty member with permanent or temporary status, permanent administrative employee, or student researcher/s of the University, who did not associate him/herself with the University in the final

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manuscript or published article or that the University was not mentioned as his/her affiliation;

- 4.2 A faculty member with permanent or temporary status, permanent administrative employee, or student researcher/s of the University, who was previously granted with incentives/grants that otherwise disqualifies him/her to receive a simultaneous or subsequent grant;
- 4.3 A faculty member with permanent or temporary status, or permanent administrative employee of the University with student co-researchers or researchers from external agencies, but without the written, formal co-authorship agreement;
- 4.4 In no case shall an applicant be given incentives for self-citation, citation with collusion with authors, and other fraudulent means of citation; and
- 4.5 Other disqualifications that are of the same nature as the above.

Section 5.0 Application Process and Documentary Requirements

- 5.1 Letter of Application for incentives addressed to the President through the Vice President for Finance (VPF), Vice President for Research, Extension, Planning and Development (VPREPD) and sector vice president concerned duly noted/recommended by the dean/director/head of office should be submitted.
- 5.2 Proof of Publication/Citation must be submitted along with the letter of application which indicates, among others, the following: date of publication/citation; ISS Number; Publisher; Domain and address of the Publisher; website/online reference if any; peer reviewers and printed copy.
- 5.3 Proof of ISI/SCOPUS-indexing which might be in a form of certification from the publisher or any other possible evidence that could prove with certainty that the publication is in an active index or listing of ISI/SCOPUS.
- 5.4 In cases where citations are made three years prior to its discovery, an affidavit that the said citation was only discovered within the fiscal year from which the fund will be taken must be submitted.
- 5.5 An affidavit that the applicant possesses all the qualifications and none of the disqualifications for the said incentives.
- 5.6 Co-authorship agreement between and among the authors must be submitted along with the basic documentary requirements. In the agreement, it must be stipulated who shall apply and receive the publication and/or citation incentive. Moreover, it must include that the incentive shall be divided between and among authors. The agreement must be duly acknowledged, subscribed and sworn to in the presence of a notary public.

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**POLICY ON CO-AUTHORSHIP IN
PAPER PRESENTATION AND PUBLICATION**

Rationale

The Polytechnic University of the Philippines encourages research collaboration between and among faculty members, and between faculty and students. The University ensures that those who participate in this type of research activity are properly recognized and their contributions are fairly and appropriately acknowledged.

This policy aims to provide a clear understanding on the roles/responsibilities of co-researchers/co-authors, the criteria for "authorship" and the order in which authors should be recorded.

Definition of Terms

Author. The Author is the natural person who has created the work (RA 8293, Section 171.1).

Authorship. Authorship is reserved for persons who receive primary credit and hold primary responsibility for a published work (APA Publication Manual 6th Edition).

Co-author. Also known as collaborating or joint author, this refers to any person or persons who have made significant scientific contributions in the written/published work and who share responsibility and accountability for the results.

Co-authorship. Refers to two or more individuals – colleagues, faculty, students, and research advisors/supervisors – who share in the credit and responsibility for the published work.

Paper Presentation. Refers to the presentation of research findings in local, national, and international forums or conferences.

Publication. Refers to work that is published in scientific and scholarly journals or books, which usually passes through peer review or editorial refereeing to qualify for publication.

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Published Work. This means works, which, with the consent of the authors, are made available to the public by wire or wireless means in such a way that members of the public may access these works from a place and time individually chosen by them (RA 8203, section 171.7)

Authorship and Co-authorship

1. All persons designated as authors should qualify for authorship. To qualify as author/co-author, a researcher must have made a substantial scholarly contribution to the work, and be able to take responsibility for the content or at least that part of the work they contributed.
2. Attribution of authorship depends to some extent on the discipline, but in all cases, authorship should be based on substantial contributions in a combination of (Vancouver Protocol):
 - 2.1 writing all or significant part of the manuscript
 - 2.2 conception and design of the project
 - 2.3 analysis and interpretation of research data
 - 2.4 drafting significant parts of the work or critically revising it to improve the interpretation or the discussion on the theoretical and practical implications of results
 - 2.5 methodological support throughout the implementation of the study (generally through regular participation in meetings/discussions)
 - 2.6 finalization and approval of the publishable version
3. The following conditions are not usually ground for claiming authorship/co-authorship:
 - 3.1 providing routine technical support in some aspects of the project (e.g. statistical analysis and consulting, manuscript editing, etc.)
 - 3.2 providing materials and/or data that have already been published or materials obtained from third parties, but with no other intellectual input
 - 3.3 providing funding/financial assistance or support in the acquisition of funding
 - 3.4 enumeration or collection of data, or data entry/tabulation
 - 3.5 administrative support
 - 3.6 general research supervision of a research group

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3.7 merely reviewing and providing comments/suggestions on how to improve the paper

4. Generally, the authorship of any undergraduate and graduate thesis or dissertation submitted to the University remains to with the student. The thesis/dissertation or academic paper adviser shall only be acknowledged in the work as "Adviser" and not as co-author.
5. No faculty must impose co-authorship as a condition for accepting the task or assignment as adviser.
6. Only in the publishable version of the student's work can the adviser be included or recognized as co-author. However, this type of co-authorship is not automatic by virtue of the latter's being a research adviser unless he/she has made a significant contribution to drafting the manuscript for publication and has met the above mentioned authorship criteria.
7. The right to authorship is not tied to the position or profession and does not depend on whether the contribution was paid for or voluntary. Substantial intellectual involvement is required in the recognition of co-authorship.

Order of Authorship

1. The order of authorship should be a joint decision of the authors.
2. In general, the order of authorship should be determined by the intellectual input from each of the authors. Entitlement to be listed as the first author should be based on one of the following:
 - 2.1 the person makes the major contribution to the paper
 - 2.2 the person takes the lead in the writing
 - 2.3 the person who produced the first draft of the publication
3. In case of theses or dissertations, the students are normally recognized as the principal investigators or primary authors on research outputs or publications that arise from the said academic works, provided that they have done more than half of the publishable version and have met the journal requirements.
4. When the adviser has contributed more than half the effort in producing the publication, and the research student agrees on this, it is acceptable that the adviser's name be considered as the primary author of the publishable version.

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In this instance, a brief written agreement to this effect must be made between the student and the adviser.

5. Authors may be listed in alphabetical or random order, which is acceptable provided there is written agreement demonstrating that each author gives his/her consent. This method can be explicitly explained (as required by some journals), for instance, by stating in the footnote that "All authors contributed equally and are presented in alphabetical order".

Acknowledgment versus Authorship

1. Due recognition of all participants in the research process shall be recognized. The participation of other persons involved but did not qualify as co-authors must be acknowledged in the research output. The usual practice is for these contributions to be cited as acknowledgments or in footnote.
2. Authors should ensure that the work of research students/trainees, research assistants and technical staff is properly acknowledged.
3. Individuals and organizations who provided funding and facilities should also be acknowledged.
4. However, written consent must be obtained from individuals/organizations/institutions when they are to be named in the publication.

Terms of Agreement

1. Collaborating researchers should agree on authorship and authorship order for a publication at an early stage in the research project.
2. The co-authors should discuss and make a reasonable agreement based on specific abilities of each party on what tasks, contributions and responsibilities, and extent of supervision/advising necessary to complete the scholarly presentation or publication.
3. The agreement between co-authors must clearly define the following aspect of the publication:

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- 4.1 the role each partner in the collaboration will play;
- 4.2 how data will be collected, stored, and shared;
- 4.3 how changes in the research design will be made;
- 4.4 who will be responsible for drafting the publication;
- 4.5 who should be the correspondent author
- 4.6 the criteria that will be used to identify and rank contributing authors;
- 4.7 who will be responsible for submitting reports and meeting other requirements;
- 4.8 who will be responsible for or have the authority to speak publicly for the collaboration;
- 4.9 how intellectual property rights and ownership issues will be resolved; and
- 4.10 how the collaboration can be changed and when it will come to an end.

Disputes Over Authorship

Disputes over authorship between or involving University researchers should in the first instance be mediated by the Chairperson and/or Dean of the academic department/college where the faculty belongs, or the Director of Research and Extension Management Department (REMD) and the Director of the research institute involved, with escalation to the Vice President for Research, Extension, Planning and Development (VPREPD). The VPREPD shall convene the University Research Ethics Committee to evaluate and make the final decision on the matter.

Approved by the University Board of Regents on its 144th Regular Meeting held at the Commission on Higher Education, Dilliman, Quezon City on March 26, 2014.

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MEMORANDUM ORDER
No. 008, Series of 2017

PUP - Central Records Section	
Received by:	Roberto S. Palillo
02/17/17	1/20
Encls.	1

TO : ALL CONCERNED

**SUBJECT: IMPLEMENTING GUIDELINES FOR GAWAD TUKLAS:
OUTSTANDING RESEARCHER AWARD**

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for Gawad Tuklas: Outstanding Research Award is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to Gawad Tuklas: Outstanding Researcher Award is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Eligibility

- 2.1 The nominee must be working in the University for at least three years at the time of nomination and must be a regular faculty member of the University regardless of rank or a permanent administrative employee.

Section 3.0 Disqualification

- 3.1 No member of the Award Committee, Secretariat and Executive Committee of the University shall be eligible for nomination.
- 3.2 The acceptance of appointment as member of the Award Committee shall be tantamount to an abstention from nomination. If a faculty member or department nominates the member later or after the said acceptance, the same shall be *motu proprio* rejected.
- 3.3 Should any member of the Award Committee decide to resign from the Committee on the basis of the subsequent nomination; he/she remains disqualified notwithstanding his/her resignation.

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Section 4.0 Mechanics

- 4.1 *Call.* The Vice President for Research, Extension, Planning and Development through the Research Management Office (RMO) will send out an announcement calling for nominations every January each year. The deadline for nomination is every second Friday of March each year.
- 4.2 *Origin of Nominations.* Nominations shall come from the academic/non-academic departments of the University. Signed nominations shall be submitted by any member of the faculty to the Research Management Office. Self-nomination is not allowed. The immediate supervisor (i.e. department chair, college dean, branch/campus director, chief/director of office) shall endorse the nomination form.
- 4.3 *Documentary Requirements.* The following documentary requirements must accompany the nomination:
- 4.3.1 Duly accomplished nomination form;
 - 4.3.2 Letter of acceptance of nomination;
 - 4.3.3 Curriculum Vitae ;
 - 4.3.4 Employment Certificate with Service Record issued by the Human Resource Management Department;
 - 4.3.5 Tabular List of Research Works/Publications/Presentations within the preceding three (3) years and Patents/Citations within the preceding five (5) years. The Tabular List should have supporting documents attached and arranged accordingly. A sample form is attached.
 - 4.3.6 Tabular List of Awards. The list should have supporting documents attached.
 - 4.3.7 Other miscellaneous documents such as certificates, contracts, etc.
- 4.4 The nominee must have contributed a meaningful amount of his/her work in the last three years (for researches and publications) or in the last five years (for citations and patents) as the case may be. Furthermore, the works must indicate his/her affiliation with PUP.

Section 5.0 Categories

There will be two categories for the Award: (1) the *Social Science, Education, Business and Humanities Category*; and (2) the *Science, Technology and Engineering Category*.

Section 6.0 Criteria

- 6.1 A finalist or an awardee may or may not have an entry in each of the criterion but the nominee who earned the highest total points shall be declared the winner.
- 6.2 Nominees who have Patent Cooperation Treaty (PCT) application shall receive a special award regardless of total points obtained.

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Production		
Externally-Funded	7	20
Internally-Funded	5	
Self-Funded	1	
Presentation		
International	5	10
National	3	
Regional	1	
Publication		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Citation		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Awards		
International	5	20
National	3	
Regional	1	
Additional Criterion: Patent		
Issuance of Patent Certificate	15	20
Publication of Patent in IPO Gazette	10	
Utility Model/Industrial Design Certificate	5	

6.3 The point system is applicable to each category.

6.4 The Patent is an additional criterion for each category. The highest recognition of patent will be scored per project.

Section 7.0 Computation of Points

7.1 For each evaluation factor, the credit points shall not exceed the maximum allowable points.

7.2 For sole attribution, full credit of points shall be accordingly applied.

7.3 For collaborative attribution, the points shall be divided accordingly to the number of authors/researchers/inventors.

7.4 In terms of Awards Criterion, the scheme mentioned below shall be followed:

International	5	5	4	3
National	3	3	2	1
Regional	1	1	Cannot be considered	Cannot be considered



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of the research paper is aligned. The members of the committee should not have, explicit or otherwise, any interest in the research/study/paper or eventual results thereof. Any official such as Dean, Director or Chairperson, who initially endorsed the application for approval, shall not be allowed to sit in the *Ad Hoc Committee*.

Primarily, the members of the *Ad Hoc Committee* shall be from within the University. In exceptional circumstances, however, experts from other institutions may be invited to sit in the *Ad Hoc Committee*. Exceptional circumstances include, but not limited to, the following: where no available experts can be found within the University; where though there are available experts within the University, they are otherwise disqualified because of conflict of interest; and such other situations as may be determined on a case to case basis.

6.3 Once the *Ad Hoc Committee* convenes, the RMO shall endorse the research paper/study to the Committee. To ensure that the policy on double – blind review is sternly complied with, RMO shall prepare the research paper/study devoid of any indication of identity of the researcher or applicant. The applicant, likewise, is prevented to know the identity of the members of the *Ad Hoc Committee*. In this stage of the process, all deliberations about the paper/study shall be confidential. Once the Committee's evaluation is completed and an appropriate evaluation report is made, the confidentiality rule is deemed terminated.

6.4 If the evaluation of the *Ad Hoc Committee* favors the applicant, the packet of application documents together with the Evaluation Report signed by all the members of the Committee shall be endorsed back to the OVPREPD. The OVPREPD shall make an endorsement to the Office of the Vice President for Finance (OVPF) to ascertain availability of funds. Once the OVPF certifies the availability of funds, the application shall be forwarded to the Office of the President for final approval. The applicant shall receive a formal update indicating the status of the request.

The OVPREPD shall veto the decision of the *Ad Hoc Committee* in any case of disagreement among evaluators.

6.5 Upon approval of the application for conference funding, the applicant shall enter into a contract/ memorandum of agreement with the University stipulating therein the terms and conditions of the financial assistance.

6.6 All applications which did not qualify may still re-apply as long as all the qualifications and none of the disqualifications remain present.

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Section 7.0 Criteria for Assessment

- 7.1 *The quality of the conference program.* High quality conferences are usually well-established and well-known in the area, with program content that is largely devoted for scientific presentations, and are sponsored and/or endorsed by reputable scientific organizations and/or institutions.
- 7.2 *The quality of the full paper for presentation.* The quality of the paper shall be evaluated through a double blind peer-review process.
- 7.3 Alignment of the research topic with the applicant's field of specialization.
- 7.4 The importance/relevance of the conference with regard to the research strategy of the college/branch/institute/center/office in particular, and the University in general.
- 7.5 The research paper will be evaluated through an approved point system.

Section 8.0 Policy on Multiple Authorships

- 8.1 In the case of collaborative research or multiple authorships, the project lead proponent or the author shall have the right to apply for the conference financial assistance. However, if the lead proponent/author will not avail of the financial assistance, his co-author or any one among his co-authors may apply for the financial assistance. This arrangement must be agreed upon in writing among the authors (See Section 5:5.8).
- 8.2 Co-authorship agreement between and among the authors must be submitted along with the other basic documentary requirements. The agreement must be subscribed and sworn in the presence of a notary public.

Section 9.0 Return of Cash or Check, Reimbursement

- 9.1 Should the recipient fail to attend and/or present his/her approved paper in the intended conference, for whatever reason, he/she is obliged to return the amount of cash assistance provided within three (3) working days.
- 9.2 The return of cash assistance mentioned in 9.1 shall be accompanied by a letter detailing the reasons of the recipient's inability to attend/present.
- 9.3 In cases of postponement of the scheduled conference, the OVPREPD shall be notified through a formal communication. If the postponement is indefinite and/or the schedule is moved to dates no longer within the fiscal year, the recipient shall return the amount of assistance within 3 working days.

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Section 8.0 Qualifying Score

To ensure the integrity and quality of the award, a floor score shall be strictly implemented. Only those who obtained a total score of 70 points shall qualify as winners and only those who obtained a total score of 60 points shall qualify as finalists. There will be instances where no winners/finalists will be declared for a specific year because of this qualification.

Section 9.0 Evaluation Process

- 9.1 An Award Committee will be constituted by the President through the Vice President for Research, Extension, Planning and Development to evaluate the nominees for each category. The Committee shall be composed of a Chair [Research Management Office (RMO)], Co-Chair (Faculty Regent) and three members.
- 9.2 The Research Support Center of RMO shall serve as the Secretariat of Gawad Tuklas.
- 9.3 All nominations with complete documentary requirements that passed the general test of eligibility shall be organized and forwarded by the Secretariat to the Award Committee.
- 9.4 The Award Committee will evaluate the accumulated points corresponding the nominee's awards and research productions, presentations and publications within the last three (3) years, and citations and patents within the last five (5) years.
- 9.5 The Award Committee is expected to conclude its evaluation within one month upon receipt of the documents.
- 9.6 The Award Committee shall decide as a collegial body. A summary of scores duly signed by all the members of the Committee must be submitted to the Secretariat.
- 9.7 The decision of the Award Committee is final and irreversible.
- 9.8 The decision of the Award Committee will be forwarded to the Executive Committee for endorsement to and confirmation by the Board of Regents.

Section 10.0 Prize

There will be finalists for each category from which one (1) awardee per category will be selected. A Gawad Tuklas Awardee shall receive One Hundred Thousand Pesos (Php 100,000) and a plaque. Each finalist shall receive Ten Thousand Pesos (Php 10,000) and a certificate of recognition.

Finalists can reapply for the award in the succeeding year and thereafter.



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Section 11.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith.

Section 12.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


EMANUEL C. DE GUZMAN, PhD
President



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES COLLEGE OF ENGINEERING COMPUTER ENGINEERING DEPARTMENT

(Lifted from the Computer Engineering Design Project Guidelines)

The Computer Engineering Department, through the combined efforts of the Dean of the College of Engineering, the Department Chair, and the Design Project Coordinator, shall determine the possible projects that students of a particular batch may develop. These design project normally belong to certain areas of research and are identified before the students start developing their project proposals. The expertise of faculty members is commonly the determining factor in the identification of project areas. The CpE Department should make a list of the acceptable areas of research and announce these to the students. The areas of research will be applicable to the whole batch enrolling in Design Project.

Acceptable types of projects are:

3.1. Applications of the different fields of specialization:

3.1.1. Information Technology

The Information Technology specialization is concerned with the development of new solutions to local problems in the integrated management and retrieval of data, information and knowledge in highly distributed networked environments in academe, industry and government. The specialization covers areas such as information systems resource management, systems development methodologies and the use of information systems as a competitive advantage and as a tool for decision making at the operational, tactical and strategic levels of an organization. Specific research interest includes digital libraries, data warehousing, data mining, information search and retrieval, Web-enabled databases, electronic commerce applications, object-oriented databases and distributed databases; systems development methodologies, enterprise collaboration systems, social, ethical and security issues in information systems, electronic business and decision support systems.

3.1.2. Software Engineering / Software Development

The Software Engineering specialization is concerned with the conduct of research in a variety of areas including contemporary programming languages, compilers and software engineering methodologies; concurrent and event driven software; also, educational and other applications of multimedia, computing, communications and connectivity to education and the learning and other work processes in and outside the university. Specific research interest include software architecture, software evolution, and rapid migration; advanced programming



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languages, including design, semantics, implementations, programming environment tools, collaborative programming, object-oriented programming and prototyping; also, educationally-oriented programming language tools, online course delivery and management; intelligent tutoring systems and adaptive learning environments; distance learning, collaborative teaching, user interfaces and human computer interaction; CASE tools, applied artificial intelligence, human factors engineering, ergonomics, systems engineering and work flow/schedule optimization.

3.3.3. System and Network Administration

The Network Administration specialization is concerned with the pursuit of a variety of research topics related to computer networks and distributed computer systems. The research work combines theoretical foundations with practical applications and will involve interaction with the user community. Specific research interests include network resource management and monitoring, distributed systems and tools; client-server computing; parallel systems; communication protocols for continuous media such as video and audio over the current Internet networks as well as over high-speed networks; multimedia network protocols, extensible operating systems to support multimedia, enterprise computing and connectivity standards.

3.3.4. Microelectronics

The Microelectronics specialization is concerned with the design, manufacture, and use of microchips and microcircuits.

3.3.5. Embedded Systems

Embedded systems is a combination of computer hardware and software, either fixed in capability or programmable, that is designed for a specific function or for specific functions within a larger system.

- 3.2. Industry-based projects related to computer engineering fields
- 3.3. Socio-economic projects related to computer engineering fields
- 3.4. College of Engineering Research Thrusts and Priority Research Concerns
- 3.5. PUP Research Thrusts and Priority Research Concerns



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COMPUTER ENGINEERING DEPARTMENT**

List of Faculty who have conducted and/or are conducting research/es relevant to the Program

Name of Faculty	Title of Research	Duration of Implementation	Funding Source	Status (On-Going/Completed)
Cansino, Julius De La Cruz, Arvin R. Tenerife Jr., Pedrito M.	Impact Assessment of the Computer Engineering Learning Management System Evaluation	2019 - 2020	Personal	On-Going
Ado, Remedios G. Cansino, Julius S. Mahaguay, Rolito L. Tenerife, Pedrito Jr. M.	Industry Perception on the Computer Engineering Graduates of the Polytechnic University of the Philippines	2019 - 2020	Personal	On-Going
De La Cruz, Arvin R. Tenerife Jr., Pedrito M.	Design and Development of Banana Fiber Decorticator with Wringer	2018 – 2019	Personal	Completed
De La Cruz, Arvin R.	Optical Character Reader of a Braille Unicode System for the Blind	2018 – 2019	Personal	Completed
De La Cruz, Arvin R.	E-Teaching Assistance Management System (ETAMS) with Educator Stress Determination for K*12, Tertiary, Graduate School and Distance Education	2018 – 2019	Personal	Completed
De La Cruz, Arvin R.	Optical Character Reader for the Blind	2018 – 2019	Personal	Completed
De La Cruz, Arvin R. Tenerife Jr., Pedrito M.	Image-Based Microalgae Cell Identifier and Counter	2018 – 2019	Personal	Completed
Ado, Remedios G. Mahaguay, Rolito L.	Development of e-Bag Wireless Charger for Gadgets	2017 – 2018	Personal	Completed
De La Cruz, Arvin R. Tenerife Jr., Pedrito M.	Design and Development of a Hybrid Photobioreactor for Biomass Production of Spirulina Platensis Species	2017 – 2018	Personal	Completed
Tenerife Jr., Pedrito M. Tubola, Orland D.	The Development of a Hybrid Renewable Energy: Powered Light Bouy System Harnessing Sea Energy Potentials	2017 – 2018	Personal	Completed
Cansino, Julius S. Tenerife Jr., Pedrito M. Fernando, Ronald D. Mahaguay, Rolito L.	College of Engineering Online Class Record	2017 – 2018	Personal	Completed



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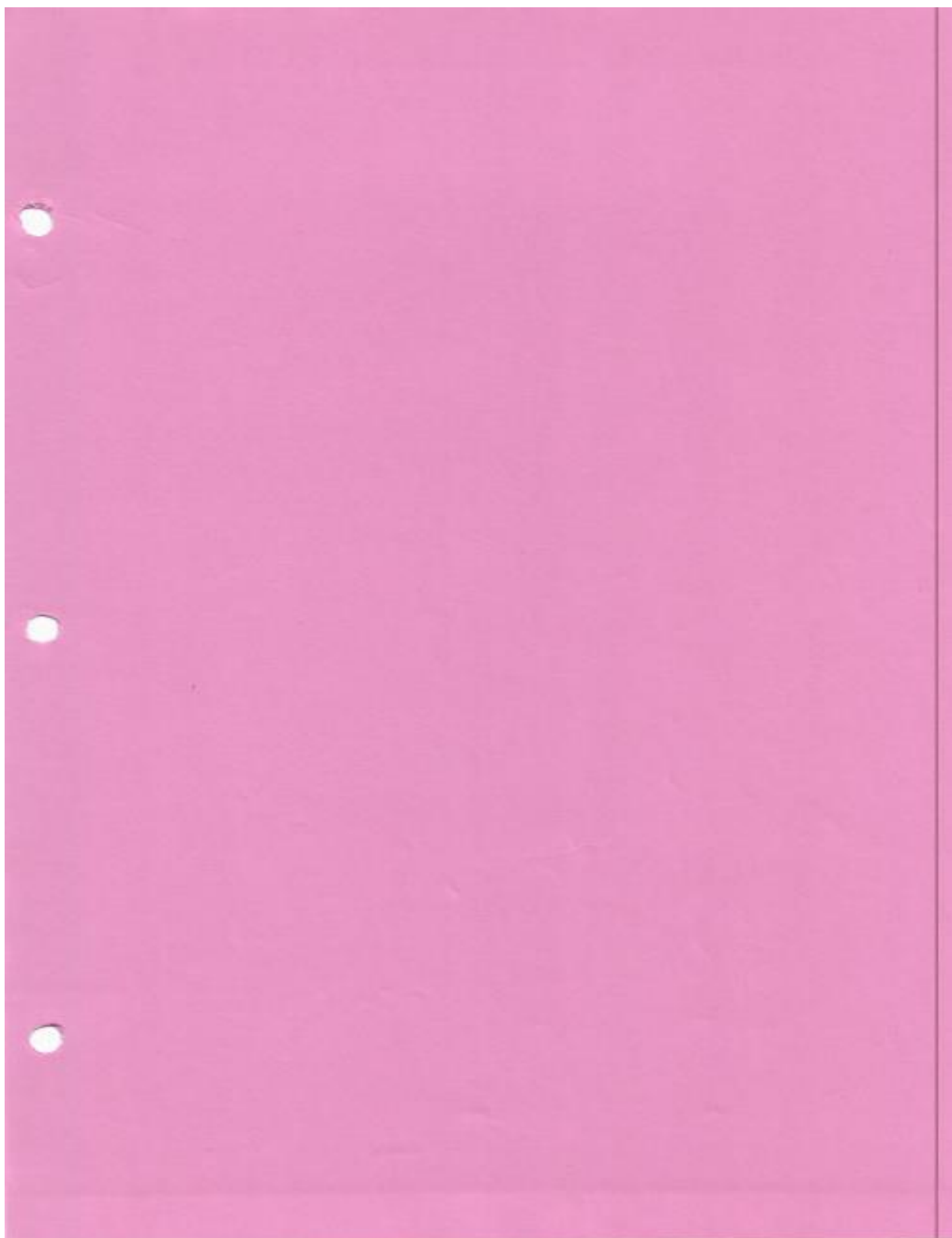
Natividad, Ferdinand O. Oquindo, Florinda H.				
Dela Cruz, John R.	Design of a Fuzzy-based Automated Organic Irrigation system for Smart Farm	2016 – 2017	Personal	Completed
Dela Cruz, John R.	Fuzzy-based Decision Support for Smart Farm Water Tank Monitoring	2016 – 2017	Personal	Completed
Tubola, Orland D.	Lung Disease Identification and Classification through Neural Networks	2015 – 2016	Grant in Aid (PUP)	Completed
Remedios G. Ado	Evaluation of SMART Wireless Engineering Education Program (SWEEP): Basis for a Proposed Integrated Model of Collaboration Between Industry and Academe	2014 – 2015	Personal	Completed
Ferdinand O. Natividad	Computer Engineering Laboratory Equipment Reservation and Monitoring System with Mobile Application	2014 – 2015	Personal	Completed
Remedios G. Ado	Engineering Academe Industry Partnership Towards Learning Exploration	2014 – 2015	Personal	Completed
Remedios G. Ado	Mobile Emergency Response Application Using Geolocation for Command Center	2013 - 2014	Personal	Completed
Natividad, Ferdinand O.	Enhanced Voiced Based Cane For The Blind With Anti-Lost Feature For The Resources Of The Blind Inc.	2012-2013	Personal	Completed
Oquindo, Florinda H.	Groundwater Treatment using Bio-sand Filter in Sitio Centro Brgy. Cogunan Nasugbu, Batangas	2012-2013	Personal	Completed

Prepared by


Pedro M. Tenerife Jr.



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MEMORANDUM ORDER
No. 025, Series of 2017

PUP - Central Records Section	
Received by: <u>Roberto S. Palillo</u>	
<u>06-06-17</u>	<u>7:20pm</u>
Date	Time

TO : ALL CONCERNED

SUBJECT: AMENDMENT TO MEMORANDUM ORDER NO. 013, SERIES OF 2017 RE: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION FINANCIAL ASSISTANCE

DATE : June 7, 2017

- 1.0 This Memorandum is being issued to amend Memorandum Order No. 013, Series of 2017, the "Implementing Guidelines on Paper Presentation Financial Assistance", dated February 09, 2017.
- 2.0 Section 3.6 is hereby amended to read as follows:
 - "3.6. Only conferences with provision for paper publication in an ISI/Scopus indexed or CHED-recognized journals or conference proceedings shall be considered for funding."
- 3.0 This took effect upon the approval of the PUP Board of Regents in its 155th Regular Meeting.


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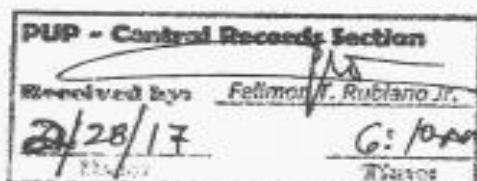


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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 013, Series of 2017



TO : ALL CONCERNED

**SUBJECT: IMPLEMENTING GUIDELINES ON PAPER PRESENTATION
FINANCIAL ASSISTANCE**

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for on paper presentation financial assistance is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to paper presentation financial assistance is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Definitions

For the purposes of this set of guidelines, the following terms are hereby clarified and defined:

- a. *Paper Presentation* refers to the presentation of research outputs or results in either international or national conferences. The term shall exclusively be confined to oral presentation and shall preclude poster presentation.
- b. *Ad Hoc Committee* refers to a body established by the Research Management Office by the authority of the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) for the sole purpose of evaluating a specific paper/title as to its quality, scholarship, and appropriateness for international or national presentation. It is also the body that would either recommend or refuse to recommend the award of financial assistance as hereby contemplated.
- c. *Double-Blind Review* refers to the process of evaluation of papers where the evaluators' identity is not known to the applicant and vice versa.

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Section 3.0 Eligibility

- 3.1 Only permanent administrative employees and faculty members with permanent or temporary status are eligible to receive financial assistance for paper presentations in international conferences and national conferences, and international conferences conducted in the Philippines.
- 3.2 Only paper presenters are qualified to receive financial assistance. Participants and organizers shall not be granted assistance in accordance with the University Policy on Research and Development Funding, Support and Financial Assistance.
- 3.3 Regular bona fide students enrolled with at least nine (9) units in any graduate program and full load in any undergraduate program are qualified to receive financial assistance that shall be taken from the Student Development Fund (SDF) and shall be subject to existing rules and regulations of the Office of the Vice President for Student Affairs and Services.
- 3.4 In no case shall the financial assistance be transferred, directly or indirectly, by a qualified person to anybody not otherwise eligible.
- 3.5 No financial assistance shall be granted to papers which have been previously presented or published.
- 3.6 Only conferences with provision for paper publication in an ISSN peer-reviewed journal or conference proceedings shall be considered for funding.
- 3.7 This financial assistance shall not be granted in conjunction with another financial assistance awarded or given to the researcher by any government funding institution. A paper that has been granted or is being applied for any government travel financial assistance shall no longer be qualified for conference funding by the University.
- 3.8 Papers that did not pass the assessment of the *Ad Hoc Committee* convened by the OVREPD shall not qualify for financial assistance, notwithstanding the acceptance of the conference organizer.

Section 4.0 Limitations

- 4.1 The University shall only provide financial assistance to five paper presenters in the same international conference held inside and outside the country and ten paper presenters in the same regional/national conference unless the University is the organizer or co-organizer.
- 4.2 Since there are limited slots per conference, priority shall be given to first time applicants and/or to applicants who made the necessary revisions ahead of required schedule.

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- 4.3 It is the applicant's sole responsibility to make his/her travel arrangements, i.e., visa, foreign exchange permit, ticket, etc. A copy of the travel documents must be submitted to Research Management Office (RMO).

Section 5.0 Basic Documentary Requirements

- 5.1 Letter of application for conference financial assistance addressed to the President through the Vice President for Finance (VPF), Vice President for Research, Extension, Planning and Development (VPREPD) and sector vice president concerned duly noted/recommended by the dean/director/head of office must be submitted to the President at least two (2) months before the date of the conference.
- 5.2 Copy of full paper in publishable format for conference presentation.
- 5.3 Copy of the Letter of Invitation and/or Acceptance Letter from the conference organizer.
- 5.4 Copy of the conference brochure and other relevant information materials including the provision for publication from the conference official website and/or any of the conference portals.
- 5.5 Copy of procedure or schedule of payments of registration fees.
- 5.6 Details of financial assistance, to be attached in the application letter.
- 5.7 Applicant's curriculum vitae.
- 5.8 For collaborative work, consent letter and co-authorship agreement among researchers must be submitted stipulating that the applicant is permitted by the team to apply for Paper Presentation Financial Assistance.

Section 6.0 Application Process

- 6.1 Only applicants with complete documentary requirements may be submitted to the OVREPD. Incomplete documentary requirements will not be processed.
- 6.2 Upon receipt of the application, the OVPREPD shall endorse all the documents to the Research Management Office for Technical Evaluation. Technical Evaluation involves the determination of whether or not there is compliance with the existing policies and regulations of the University as to eligibility, technical standards and structures.

The OVPREPD shall also delegate RMO to constitute an *Ad Hoc Committee* which will be tasked to evaluate the paper according to nature, quality, substance, and value. The *Ad Hoc Committee* shall be constituted by experts in the area or field under which the topic

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of the research paper is aligned. The members of the committee should not have, explicit or otherwise, any interest in the research/study/paper or eventual results thereof. Any official such as Dean, Director or Chairperson, who initially endorsed the application for approval, shall not be allowed to sit in the *Ad Hoc Committee*.

Primarily, the members of the *Ad Hoc Committee* shall be from within the University. In exceptional circumstances, however, experts from other institutions may be invited to sit in the *Ad Hoc Committee*. Exceptional circumstances include, but not limited to, the following: where no available experts can be found within the University; where though there are available experts within the University, they are otherwise disqualified because of conflict of interest; and such other situations as may be determined on a case to case basis.

- 6.3 Once the *Ad Hoc Committee* convenes, the RMO shall endorse the research paper/study to the Committee. To ensure that the policy on double – blind review is sternly complied with, RMO shall prepare the research paper/study devoid of any indication of identity of the researcher or applicant. The applicant, likewise, is prevented to know the identity of the members of the *Ad Hoc Committee*. In this stage of the process, all deliberations about the paper/study shall be confidential. Once the Committee's evaluation is completed and an appropriate evaluation report is made, the confidentiality rule is deemed terminated.
- 6.4 If the evaluation of the *Ad Hoc Committee* favors the applicant, the packet of application documents together with the Evaluation Report signed by all the members of the Committee shall be endorsed back to the OVPREPD. The OVPREPD shall make an endorsement to the Office of the Vice President for Finance (OVPPF) to ascertain availability of funds. Once the OVPPF certifies the availability of funds, the application shall be forwarded to the Office of the President for final approval. The applicant shall receive a formal update indicating the status of the request.
- The OVPREPD shall veto the decision of the *Ad Hoc Committee* in any case of disagreement among evaluators.
- 6.5 Upon approval of the application for conference funding, the applicant shall enter into a contract/ memorandum of agreement with the University stipulating therein the terms and conditions of the financial assistance.
- 6.6 All applications which did not qualify may still re-apply as long as all the qualifications and none of the disqualifications remain present.

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Section 7.0 Criteria for Assessment

- 7.1 *The quality of the conference program.* High quality conferences are usually well-established and well-known in the area, with program content that is largely devoted for scientific presentations, and are sponsored and/or endorsed by reputable scientific organizations and/or institutions.
- 7.2 *The quality of the full paper for presentation.* The quality of the paper shall be evaluated through a double blind peer-review process.
- 7.3 *Alignment of the research topic with the applicant's field of specialization.*
- 7.4 *The importance/relevance of the conference with regard to the research strategy of the college/branch/institute/center/office in particular, and the University in general.*
- 7.5 *The research paper will be evaluated through an approved point system.*

Section 8.0 Policy on Multiple Authorships

- 8.1 In the case of collaborative research or multiple authorships, the project lead proponent or the author shall have the right to apply for the conference financial assistance. However, if the lead proponent/author will not avail of the financial assistance, his co-author or any one among his co-authors may apply for the financial assistance. This arrangement must be agreed upon in writing among the authors (See Section 5:5.8).
- 8.2 Co-authorship agreement between and among the authors must be submitted along with the other basic documentary requirements. The agreement must be subscribed and sworn in the presence of a notary public.

Section 9.0 Return of Cash or Check, Reimbursement

- 9.1 Should the recipient fail to attend and/or present his/her approved paper in the intended conference, for whatever reason, he/she is obliged to return the amount of cash assistance provided within three (3) working days.
- 9.2 The return of cash assistance mentioned in 9.1 shall be accompanied by a letter detailing the reasons of the recipient's inability to attend/present.
- 9.3 In cases of postponement of the scheduled conference, the OVPREPD shall be notified through a formal communication. If the postponement is indefinite and/or the schedule is moved to dates no longer within the fiscal year, the recipient shall return the amount of assistance within 3 working days.

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9.4 In any case of return of cash assistance, the recipient is deemed not to have applied for and granted the financial assistance. Hence, reapplication is allowed.

9.5 In cases where the assistance was released after the dates of the conference, the amount shall be reimbursed to the recipient subject to the existing accounting rules and regulations on reimbursement.

Section 10.0 Availability of Funds

Since financial assistance is made from finite funds duly appropriated for this purpose, the maximum number of recipients for a given fiscal year shall be subject to availability of funds.

Section 11.0 Amount of Conference Funding Support

11.1 For international conferences, the University shall provide for the actual expenses which only include registration fee, lowest round-trip airfare cost, and daily subsistence allowance (DSA) in reference with United Nations Development Programme (UNDP) rates. Provided that the amount of financial assistance for conferences held within ASEAN, Hong Kong and Taiwan shall not exceed Seventy Five Thousand pesos (Php 75,000) and One Hundred Thousand pesos (Php 100,000) for conferences held outside ASEAN, Hong Kong and Taiwan. Provided further that the detailed projected expenses are well-justified and with documentary evidence provided.

11.2 For national conferences, the usual financial assistance allowed by circulars/guidelines issued by the Department of Budget and Management (DBM) and the Commission on Audit (COA) shall apply.

Section 12.0 Conference-proper Requirements

During the presentation, the paper must explicitly state the "Polytechnic University of the Philippines" as the author's institutional affiliation. The presenter may also use the University Logo in all his/her presentation materials.

Section 13.0 Post-Conference Requirements

13.1 The recipient shall submit to the Office of the President (OP) through the OVPREPD two copies each of the report of proceedings and liquidation report within one month upon returning from the conference, containing the following documents:

- a. Certification or proof from the conference organizer that the recipient has presented the approved paper during the conference;
- b. A travel report indicating the highlights of the conference, observations, insights and recommendations; and

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- c. Photocopy of the electronic ticket and original copies of the receipts of airfare, accommodation and conference fee, and original copies of the boarding passes used during the travel.

13.2 After the conference, the recipient shall present the paper in a University-sponsored forum within the year.

Section 14.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith

Section 15.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.

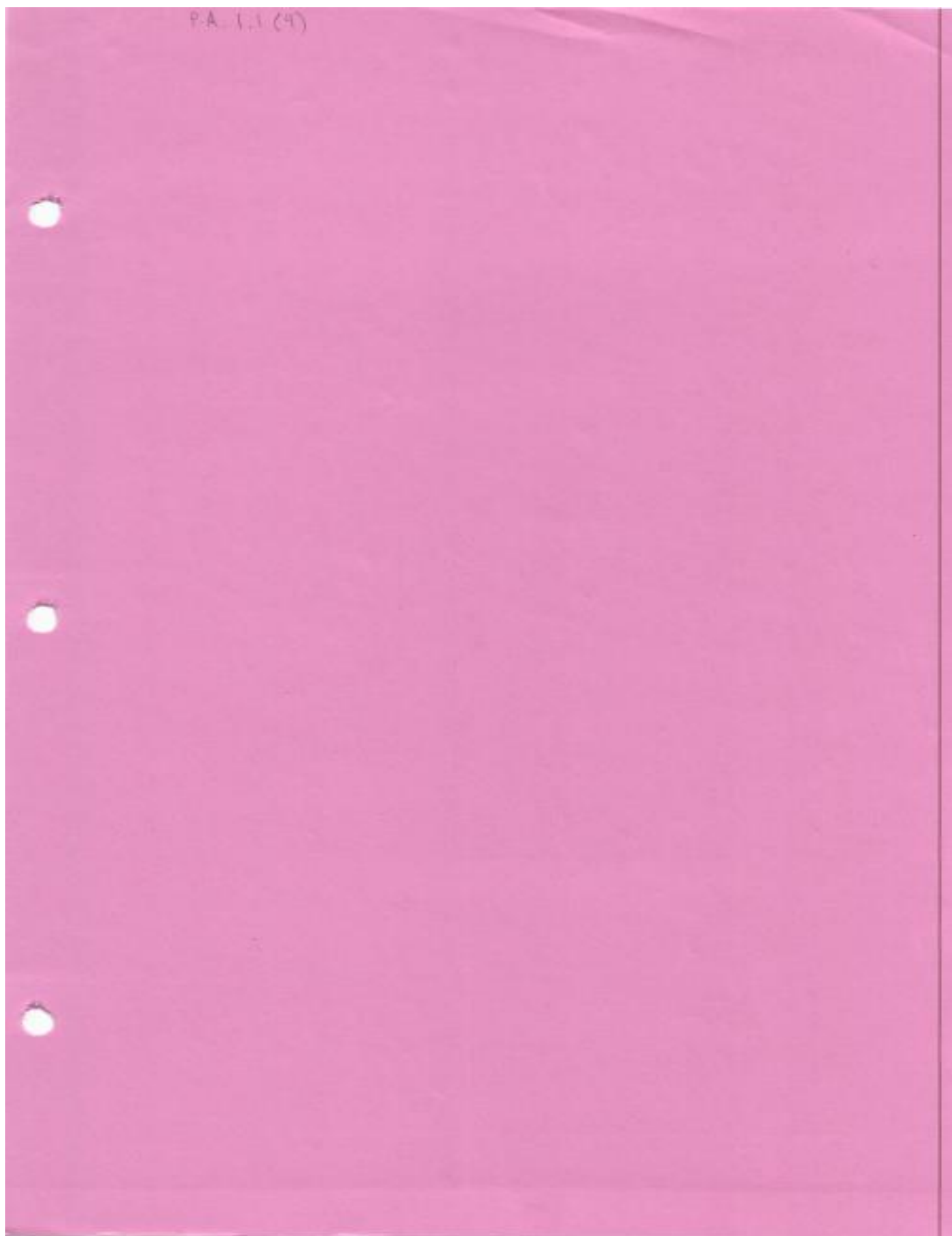

EMANUEL C. DE GUZMAN, PhD
President

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MEMORANDUM ORDER
No. 009, Series of 2017

PUP - Central Records Section	
Received by: <i>Roberto S. Peñal</i>	<i>5-20</i>
<i>02-17-17</i>	<i>Times</i>

TO : ALL CONCERNED

SUBJECT: IMPLEMENTING GUIDELINES ON INCENTIVES FOR PUBLICATION AND CITATION

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines on incentives for publication and citation is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to publication and citation incentives is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Definitions

- 2.1 *Publication* refers to the means of research dissemination whereby the researcher was able to have his/her research output/result/discussion or a concise version thereof printed in either ISI/SCOPUS-indexed publications or CHED-Accredited Journals.
- 2.2 *Citation* refers to the process of attributing to someone an idea, a thought or a claim (previously published) that contributes to the development of a subsequent argument. For the purposes of this set of guidelines, citation shall also refer to the manner by which a researcher's work or body of works is used collectively or separately either to support another researcher's study or to establish its background or the circumstances surrounding its major problem. Citation shall be limited to those made in articles published in ISI/SCOPUS-indexed publications and CHED-Accredited Journals.

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2.3 *ISI/SCOPUS* is a reputable organization that conducts indexing of academic publications in both scientific and non-scientific disciplines. Its evaluation and screening process is widely and internationally recognized by various respectable academic institutions.

2.4 *Fund Availability* refers to the annual allocation of definite funds intended to finance the cash incentives herein provided by the University. The allocation shall be made part of the budget proposal for a given year. Should the allocated funds for the purpose is already depleted for the specified fiscal year, the University has the discretion to deny applications.

2.5 *CHED-Accredited/Recognized Journals* refer to research journals that passed the evaluation process of the CHED Journal Accreditation System and were given CHED Journal Codes (CJC) signifying compliance of the journal with nationally-accepted standards and practice of refereeing and peer review.

2.6 *Student Researchers* are students who perform research related to the students' degree program in an academic department or research unit under the direction of a faculty member or authorized principal investigator.

Section 3.0 Eligibility

Any of the following parties may apply for and be eligible for cash incentives for publication and citation:

3.1 Any faculty member of the University with permanent or temporary status regardless of rank;

3.2 Any permanent administrative employee of the University;

3.3 Any faculty member with permanent or temporary status/permanent administrative employee of the University in collaboration with researcher/s from other universities and/or external agencies;

3.4 Any faculty member with permanent or temporary status/permanent administrative employee of the University in collaboration with student researchers from the University; and

3.5 Any regular, bona fide student enrolled with at least nine (9) units in any graduate program or full load in any undergraduate program is qualified to receive incentive/s that shall be chargeable against the Student Development Fund (SDF).

Section 4.0 Disqualification

The following are not qualified to receive cash incentives for publication and citation:

4.1 A faculty member with permanent or temporary status, permanent administrative employee, or student researcher/s of the University, who did not associate him/herself with the University in the final

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manuscript or published article or that the University was not mentioned as his/her affiliation;

- 4.2 A faculty member with permanent or temporary status, permanent administrative employee, or student researcher/s of the University, who was previously granted with incentives/grants that otherwise disqualifies him/her to receive a simultaneous or subsequent grant;
- 4.3 A faculty member with permanent or temporary status, or permanent administrative employee of the University with student co-researchers or researchers from external agencies, but without the written, formal co-authorship agreement;
- 4.4 In no case shall an applicant be given incentives for self-citation, citation with collusion with authors, and other fraudulent means of citation; and
- 4.5 Other disqualifications that are of the same nature as the above.

Section 5.0 Application Process and Documentary Requirements

- 5.1 Letter of Application for incentives addressed to the President through the Vice President for Finance (VPF), Vice President for Research, Extension, Planning and Development (VPREPD) and sector vice president concerned duly noted/recommended by the dean/director/head of office should be submitted.
- 5.2 Proof of Publication/Citation must be submitted along with the letter of application which indicates, among others, the following: date of publication/citation; ISS Number; Publisher; Domain and address of the Publisher; website/online reference if any; peer reviewers and printed copy.
- 5.3 Proof of ISI/SCOPUS-indexing which might be in a form of certification from the publisher or any other possible evidence that could prove with certainty that the publication is in an active index or listing of ISI/SCOPUS.
- 5.4 In cases where citations are made three years prior to its discovery, an affidavit that the said citation was only discovered within the fiscal year from which the fund will be taken must be submitted.
- 5.5 An affidavit that the applicant possesses all the qualifications and none of the disqualifications for the said incentives.
- 5.6 Co-authorship agreement between and among the authors must be submitted along with the basic documentary requirements. In the agreement, it must be stipulated who shall apply and receive the publication and/or citation incentive. Moreover, it must include that the incentive shall be divided between and among authors. The agreement must be duly acknowledged, subscribed and sworn to in the presence of a notary public.

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Section 6.0 Availability of Funds and Priority

Since the incentives are sourced from finite funds duly appropriated for this purpose, the maximum number of grantees for a given fiscal year shall be subject to availability of funds.

The priority shall be determined on a first-come, first-served basis.

Section 7.0 Amount of Support and Incentives

7.1 For paper publication, the applicant shall receive the amount of Fifty Thousand Pesos (Php 50,000) if published in ISI/SCOPUS-indexed publications and Twenty Thousand Pesos (Php 20,000) if published in CHED-accredited Journals.

7.2 For each citation, a cash incentive of Twenty Thousand Pesos (Php 20,000) shall be given to applicants with citations from ISI/SCOPUS-indexed publications.

Section 8.0 Scope of Support and Incentives

8.1 For paper publication, the applicant shall only be given incentives for articles published within two years prior to the date of application.

8.2 For citation, the applicant shall only be given incentives for citations mentioned in articles published within three years prior to the date of application.

Section 9.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith.

Section 10.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


EMANUEL C. DE GUZMAN, PhD
President

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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 008, Series of 2017

PUP - Central Records Section	
Received by: <u>Roberto S. Palillo</u>	
<u>02/17/17</u>	<u>1:20</u>
Encl: <u>1</u>	

TO : ALL CONCERNED

**SUBJECT: IMPLEMENTING GUIDELINES FOR GAWAD TUKLAS:
OUTSTANDING RESEARCHER AWARD**

DATE : February 9, 2017

In accordance with the decision made by the PUP Board of Regents in its 155th Regular Meeting, the following implementing guidelines for Gawad Tuklas: Outstanding Research Award is hereby promulgated.

Section 1.0 Rationale

To justly implement the University Policy on Research and Development Support, Funding and Incentives as approved by the Board of Regents on October 18, 2013, this set of guidelines which contains specific and clear provisions pertaining to Gawad Tuklas: Outstanding Researcher Award is hereby outlined. The Guidelines is a supplement to the *Specific Guidelines for Implementing the BOR-Approved University Policy on R & D Funding, Support and Incentives* (Approved by the BOR during its 144th Regular Meeting, March 26, 2014).

Section 2.0 Eligibility

- 2.1 The nominee must be working in the University for at least three years at the time of nomination and must be a regular faculty member of the University regardless of rank or a permanent administrative employee.

Section 3.0 Disqualification

- 3.1 No member of the Award Committee, Secretariat and Executive Committee of the University shall be eligible for nomination.
- 3.2 The acceptance of appointment as member of the Award Committee shall be tantamount to an abstention from nomination. If a faculty member or department nominates the member later or after the said acceptance, the same shall be *motu proprio* rejected.
- 3.3 Should any member of the Award Committee decide to resign from the Committee on the basis of the subsequent nomination; he/she remains disqualified notwithstanding his/her resignation.

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Section 4.0 Mechanics

- 4.1 *Call.* The Vice President for Research, Extension, Planning and Development through the Research Management Office (RMO) will send out an announcement calling for nominations every January each year. The deadline for nomination is every second Friday of March each year.
- 4.2 *Origin of Nominations.* Nominations shall come from the academic/non-academic departments of the University. Signed nominations shall be submitted by any member of the faculty to the Research Management Office. Self-nomination is not allowed. The immediate supervisor (i.e. department chair, college dean, branch/campus director, chief/director of office) shall endorse the nomination form.
- 4.3 *Documentary Requirements.* The following documentary requirements must accompany the nomination:
- 4.3.1 Duly accomplished nomination form;
 - 4.3.2 Letter of acceptance of nomination;
 - 4.3.3 Curriculum Vitae ;
 - 4.3.4 Employment Certificate with Service Record issued by the Human Resource Management Department;
 - 4.3.5 Tabular List of Research Works/Publications/Presentations within the preceding three (3) years and Patents/Citations within the preceding five (5) years. The Tabular List should have supporting documents attached and arranged accordingly. A sample form is attached.
 - 4.3.6 Tabular List of Awards. The list should have supporting documents attached.
 - 4.3.7 Other miscellaneous documents such as certificates, contracts, etc.
- 4.4 The nominee must have contributed a meaningful amount of his/her work in the last three years (for researches and publications) or in the last five years (for citations and patents) as the case may be. Furthermore, the works must indicate his/her affiliation with PUP.

Section 5.0 Categories

There will be two categories for the Award: (1) the *Social Science, Education, Business and Humanities Category*; and (2) the *Science, Technology and Engineering Category*.

Section 6.0 Criteria

- 6.1 A finalist or an awardee may or may not have an entry in each of the criterion but the nominee who earned the highest total points shall be declared the winner.
- 6.2 Nominees who have Patent Cooperation Treaty (PCT) application shall receive a special award regardless of total points obtained.

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Production		
Externally-Funded	7	20
Internally-Funded	5	
Self-Funded	1	
Presentation		
International	5	10
National	3	
Regional	1	
Publication		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Citation		
ISI/Scopus-indexed	8	25
CHED-Accredited	5	
Awards		
International	5	20
National	3	
Regional	1	
Additional Criterion: Patent		
Issuance of Patent Certificate	15	20
Publication of Patent in IPO Gazette	10	
Utility Model/Industrial Design Certificate	5	

6.3 The point system is applicable to each category.

6.4 The Patent is an additional criterion for each category. The highest recognition of patent will be scored per project.

Section 7.0 Computation of Points

7.1 For each evaluation factor, the credit points shall not exceed the maximum allowable points.

7.2 For sole attribution, full credit of points shall be accordingly applied.

7.3 For collaborative attribution, the points shall be divided accordingly to the number of authors/researchers/inventors.

7.4 In terms of Awards Criterion, the scheme mentioned below shall be followed:

International	5	5	4	3
National	3	3	2	1
Regional	1	1	Cannot be considered	Cannot be considered

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Section 8.0 Qualifying Score

To ensure the integrity and quality of the award, a floor score shall be strictly implemented. Only those who obtained a total score of 70 points shall qualify as winners and only those who obtained a total score of 60 points shall qualify as finalists. There will be instances where no winners/finalists will be declared for a specific year because of this qualification.

Section 9.0 Evaluation Process

- 9.1 An Award Committee will be constituted by the President through the Vice President for Research, Extension, Planning and Development to evaluate the nominees for each category. The Committee shall be composed of a Chair [Research Management Office (RMO)], Co-Chair (Faculty Regent) and three members.
- 9.2 The Research Support Center of RMO shall serve as the Secretariat of Gawad Tuklas.
- 9.3 All nominations with complete documentary requirements that passed the general test of eligibility shall be organized and forwarded by the Secretariat to the Award Committee.
- 9.4 The Award Committee will evaluate the accumulated points corresponding the nominee's awards and research productions, presentations and publications within the last three (3) years, and citations and patents within the last five (5) years.
- 9.5 The Award Committee is expected to conclude its evaluation within one month upon receipt of the documents.
- 9.6 The Award Committee shall decide as a collegial body. A summary of scores duly signed by all the members of the Committee must be submitted to the Secretariat.
- 9.7 The decision of the Award Committee is final and irreversible.
- 9.8 The decision of the Award Committee will be forwarded to the Executive Committee for endorsement to and confirmation by the Board of Regents.

Section 10.0 Prize

There will be finalists for each category from which one (1) awardee per category will be selected. A Gawad Tuklas Awardee shall receive One Hundred Thousand Pesos (Php 100,000) and a plaque. Each finalist shall receive Ten Thousand Pesos (Php 10,000) and a certificate of recognition.

Finalists can reapply for the award in the succeeding year and thereafter.

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Section 11.0 Repealing Clause

This set of guidelines repeals all circulars and memoranda that are not consistent herewith.

Section 12.0 Effectivity

Effective immediately upon approval by the Board of Regents on December 17, 2016.


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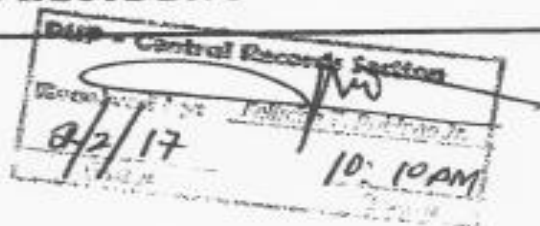


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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 007, Series of 2017



TO : ALL CONCERNED

SUBJECT: GUIDELINES IN PROVIDING UNIVERSITY FUNDING
SUPPORT TO STUDENT PARTICIPATION IN LOCAL AND
INTERNATIONAL CONFERENCES, SEMINARS, STUDY
PROGRAMS, TRAINING-WORKSHOPS AND OTHER
ACADEMIC-RELATED DEVELOPMENT ACTIVITIES

DATE : February 1, 2017

1. Rationale and Objectives

This set of guidelines is established to promote local and international engagements and presence of PUP students as part of their holistic development through actual exposure to diverse learning and work environment, cultures, and knowledge creation events.

The emphasis on providing support especially to international activities is based on the following:

CMO No. 21, Series of 2016 of the Commission on Higher Education (CHED) provides that –

The Commission on Higher Education (CHED) recognizes that international exposure and worldwide access to education create opportunities for our students to be globally competitive and have the ability to cope with the rapid demands of the changing world. With the continuing increase in students' participation in cross border education, international conferences and/or seminars have become instruments in our students' learning process...

...International conferences and/or seminars allow students to socialize with students from institutions in other countries and provide them with the opportunity to exchange ideas, share resources, participate in debates, develop friendships, and increase their awareness of new trends happening in their areas of interest.

Furthermore, the Department of Budget Management and CHED Joint Circular No. 1, series FY 2016 on Levelling Instrument for State Universities and Colleges and Guidelines for the Implementation Thereof includes under KRA 1 (Quality and Relevance of Instruction) indicators the student involvement in inter-country mobility programs through internships and related training programs in recognized institutions abroad. Likewise, the instrument's KRA 2 (Research Capability and Output) includes research paper presentations in international fora and conferences among its indicators.

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In line with the recognition of the important role of out-of-classroom local and international learning and research avenues to our students, the University's fund allotment for student development includes providing financial support to student participation in both local international conferences, seminars, study programs, training-workshops, paper presentations and other academic-related activities.

Specifically, this set of guidelines intends to:

- 1.1 Define the entitlement to funding support of students and their advisers, coaches, coordinators, if any, in local and international student engagements and development activities;
- 1.2 Set parameters that will be used as basis in the request for and approval of funding support; and
- 1.3 Provide a set of rules and procedures to be followed in complying with the accounting and auditing rules and regulations before, during and after the conduct of the approved participation in the event.

2. Scope and Coverage

The guidelines shall cover the utilization of Student Development Fund (SDF) intended for student participation in local and international exchanges, conferences, seminars, study programs, training-workshops, paper presentations, and other academic-related engagements. Students and their qualified advisers, coaches, and/or coordinators, if any, who have obtained endorsement and/or official approval for their participation as official delegates, participants, contenders, and paper presenters may avail of the SDF.

3. Definition of Terms

- 3.1. **Conferences, Seminars, Training-Workshops, local or international**, are formal, structured learning events or fora aimed at enriching knowledge, skills, attitudes and values of students. A local learning event/fora referred to in this guidelines is one with participants from different schools and held outside PUP campus but within the Philippines. An international event/fora is one with participants from more than two countries and may be held within or outside the country.
- 3.2. **Other Academic-related Activity** refers to any competition and/or award-giving event that promotes discovery, innovation and creativity in line with student's program or specialization.
- 3.3. **Daily Subsistence Allowance** refers to the participant's food and accommodation expenses during the event.
- 3.4. **Transportation Allowance** refers to the expenses incurred from the participant's origin to the venue of the event and back via an aircraft, boat/ship, bus, taxi, tricycle or jeepney.

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4. General Provisions

- 4.1. The University shall allocate funds for student development which includes student participation in both local and international conferences, seminars, training-workshops, paper presentations, study programs, student exchanges and other activities which are relevant to the specialization of the student but not a requirement to earn units in any subject in the curriculum like practicum, internship, OJT and similar requirements.
- 4.2. The event which may be considered for University funding support should be sponsored or organized by reputable or established educational, research, or development organization and expected to have constructive impact not just on the participant but also on the University and the academic unit where the participating student/s belong.
- 4.3. Priority shall be given to events that have University-wide representation, are part of an active and long-term agreement of the University with the sponsoring organization/s, or those officially initiated by the College as part of its development targets.
- 4.4. Research paper for presentation in a regional, national or international forum should pass the evaluation and have the endorsement of the Research and Extension Management Office.
- 4.5. The participation in the activity should be recommended by the College Dean, Campus or Branch Director, endorsed by the concerned sector's vice president/s and should have the final approval of the University President.
- 4.6. The University may fund up to two (2) accompanying coaches/coordinators/mentors for a given event/activity as deemed necessary. Requests to allow more than two accompanying coaches/coordinators/mentors shall be evaluated for funding on a case to case basis and subject to availability of funds.
- 4.7. All the herein-cited provisions for funding support shall be subject to availability of funds and to government accounting and auditing rules and regulations. Any amount in excess of the prescribed ceilings shall be borne by the participant/s or by other external sources willing to provide sponsorships.
- 4.8. The university funding shall be based on EO. Nos. 248 and 248-A, s. 1995 as amended by EO 298, s.2004 and COA Circular 2013-003 inclusive of participant/s' registration or joining fees.

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5. Funding Support for participation in Local Student Development Activities

- 5.1. For individual participation, the funding support shall not exceed Php15,000.00 per participant per event
- 5.2. For group or team participation (including the coach or adviser as approved), the funding support shall not exceed Php70,000.00 for the entire delegation.
- 5.3. Essential events-related materials such as for the construction of prototype models in case of scientific competitions, innovations, new knowledge creation, shall be based on actual expenses but not to exceed Php30,000.00 per approved project or event.

6. Funding Support for Participation in International Student Development Activities

- 6.1 For individual participation in international student development activities as defined in this set of guidelines, the university funding shall not exceed Php30,000.00 per participant.
- 6.2 For group or team participation (including the coach or adviser as approved), the amount shall be based on actual expenses but shall not exceed Php100,000.00 for the entire delegation.
- 6.3 Essential events-related materials such as for the construction of prototype models in case of scientific competitions, innovations, new knowledge creation, shall be based on actual expenses but not to exceed Php30,000.00 per approved project or event.

7. Procedures for Availment of Funding Support

The head of office/department shall prepare request for the participation in the international event addressed to the University President thru the Executive Vice President and Vice President for Finance and endorsed by the concerned sector's vice president/s.

7.1 The request for funding assistance should have the following details:

- 7.1.1 Title of activity;
- 7.1.2 Venue and accommodation details;
- 7.1.3 Duration;
- 7.1.4 Description/rationale of the event
- 7.1.5 Objectives of PUP/College/Branch/Campus participation or involvement in the event
- 7.1.6 Participating organizations/countries represented by the target delegates in the event
- 7.1.7 Assistance provided by the sponsoring agency and other donors, if any,
- 7.1.8 In case of funding request for paper presentation, the OVPREPD-REMO endorsement of the paper, and
- 7.1.9 Expense Items and Amount Requested from the University

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- 7.2 The request, including documentary requirements as listed in item 9 of this set of guidelines, shall be submitted to the Office of the Sector Vice President at least one (1) month prior to the conduct of the activity for his/her recommending approval;
- 7.3 Upon recommendation of the College Dean or Campus/Branch Director and the Sector Vice President, the request including documentary requirements shall be forwarded to the Vice President for Finance for financial evaluation and the Vice President for Student Affairs and Services for endorsement;
- 7.4 The Vice President for Finance and the Vice President for Student Affairs and Services shall recommend the evaluated requests including documentary requirements to the Executive Vice President for appropriate action;
- 7.5 The Executive Vice President shall recommend the evaluated requests to the President for final approval;
- 7.6 The President shall forward the approved request to the Human Resource Management Department (HRMD) for the preparation of Special Order.

8. Documentary Requirements

- 8.1 Request Letter with recommendation of the College Dean or Campus/Branch Director and proper endorsements of concerned authorities
- 8.2 Letter of Acceptance or Approval of Participation in the Activity from the Sponsoring Organization/Agency
- 8.3 Program of Activities, Brochures (if any) and Itinerary;
- 8.4 Compliance with the requirements for off-campus activities
- 8.5 Photocopy of the paper to be presented (if applicable)
- 8.6 Budgetary estimates to cover the registration, transportation and daily subsistence allowance

9. Post-Activity Requirements

The participant/delegation, upon return from the activity, should:

- a. Submit a post activity report to the Internal Audit Office for evaluation and to the OVPSAS-Student Services Office for documentation and reference. Non-submission of the post activity report shall be a ground for disapproval of or non-action on current/future request for student development assistance or activity of the College Dean or Campus/Branch Director or organization to which the student/s belong.
- b. Submit post-activity report to REMO (in case of paper presentation)

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- c. Submit the following documents to the Accounting Office for cash advance liquidation:
- original copies of tickets and boarding passes, if applicable
 - certificate of participation
 - itinerary of travel (using the prescribed form)
 - certificate of travel completed (using the prescribed form)
 - Official Receipt (in case of refund of excess cash advance)
 - Proceedings and preferably with other evidences of the activity

10. Violations and Sanctions

Any violation of the above-mentioned policies and guidelines shall be subject of the following penalties depending on the nature and seriousness of the violation/s committed:

- a. Written warning
- b. Forfeiture of the right of the individual or unit to avail of new or further funding
- c. Administrative sanction

Violations shall include but are not limited to the following:

- a. Submission of fabricated document/s
- b. Endorsing student participant in invalid or inappropriate event
- c. Failure to submit the required post activity reports and documents
- d. Non-completion or non-attendance in the event without valid reason
- e. Failure to return within the authorized itinerary without prior approval
- f. Gross violation of the rules, regulations and/or law of the host country
- g. Failure to comply with liquidation requirements

11. Effectivity

This set of guidelines shall take effect **January 3, 2017**.


EMANUEL C. DE GUZMAN, PhD
President

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OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 40, Series of 2016

Received by: <i>Antonio S. Pallido</i>	
<i>01-09-17</i>	<i>1:15</i>
Date	Time

TO : **ALL CONCERNED OFFICIALS, FACULTY MEMBERS AND ADMINISTRATIVE EMPLOYEES**

SUBJECT : **REVISED GUIDELINES ON PARTICIPATION OF PUP OFFICIALS, FACULTY MEMBERS, AND ADMINISTRATIVE EMPLOYEES IN STAFF DEVELOPMENT, SEMINAR AND TRAINING ACTIVITIES**

DATE : December 29, 2016

1.0 Rationale and Objectives

This set of guidelines is established to provide support in the professional growth of officials and personnel of the Polytechnic University of the Philippines (PUP) as well as guidance in the grant of this support, including the submission of post activity report requirements. This is in line with Polytechnic University of the Philippines' (PUP) established Strategic Performance Management System (SPMS), which aims to empower and enhance the employees' performance towards the attainment of the University goals, motivate them to further development, enhance the culture of performance and ensure accountability.

The PUP SPMS is in compliance with Memorandum Circular No. 6, Series of 2012 of the Civil Service Commission (CSC) otherwise known as the *"Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System (SPMS)"*.

Specifically, this set of guidelines is intended to:

- 1.1 Define the entitlement to privileges of officials and academic and administrative personnel to Polytechnic University of the Philippines (PUP) staff development and training activities;
- 1.2 Set parameters that will be used as basis in the approval of the request for the conduct of and participation in staff development and training activities;

Provide a set of rules and procedures to be followed in complying with government accounting and auditing rules and regulations before, during and after the conduct of or participation in the staff development or training activity.

2.0 Scope and Coverage

The guidelines shall cover all University officials, permanent and temporary faculty members, and permanent and casual administrative employees.

3.0 Definition of Terms

- 3.1 *Staff Development Activities* refer to seminars, performance assessment, planning and team building activities, benchmarking and exposure trips;
- 3.2 *Seminars* refer to seminars, conventions, conferences, symposia and similar non-training gatherings;
- 3.3 *Trainings* refer to those personnel interventions that are conducted for the purpose of gaining or strengthening the skills and technical expertise or management expertise of the participant in his/her area of endeavor;

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- 3.4 *Planning* refers to the activity conducted by an office/department to determine the programs, activities and projects to achieve the performance targets for the succeeding year/s. The planning activities may be strategic planning, annual action planning, mid-year and year-end assessment;
- 3.5 *Training Fund* refers to the amount allocated to the office/department to fund the cost that shall be incurred for the participation/attendance in and/or conduct of trainings, conventions and seminars/workshops. This shall cover training fees, honoraria for lecturers (in accordance with Budget Circular 2007-1), cost of handouts, supplies, materials, meals, snacks and all other training related expenses, which does not include travelling and transportation expenses and per diem;
- 3.6 *Staff Development Fund* refers to the lump sum amount allocated to the office/department to fund the cost that shall be incurred in the conduct of and participation in staff development activities. This shall cover travelling and transportation expenses, per diem and other staff development related activities.

4.0 General Provisions

- 4.1 The University shall allocate annually per office/department funds for staff development and training activities of its personnel. All expenses as cited in items 3.5 and 3.6, incidental to the participation in and conduct of said activities may be charged to these funds;
- 4.2 University officials and employees may be authorized to participate in conventions, seminars, conferences, symposia, and such other activities conducted by non-government organizations or private institutions for a fee, as part of the human resource development program of the University, in accordance with the rules and regulations prescribed by the Civil Service Commission (CSC) and the Department of Budget and Management (DBM), chargeable against University funds;
- 4.3 Staff Development Activities Sponsored by Private Organizations (POs) and Non-Government Organizations (NGOs)
 - 4.3.1 The registration fee or charge for the participation in the conventions, seminars, conferences, symposia, and other similar non-training gatherings sponsored by non-government organizations or private institutions shall not exceed Two Thousand Pesos (P2,000.00) per day for each participant as prescribed in NBC 563. Any amount in excess of the prescribed rate shall be at the expense of the participant.
 - 4.3.2 In case where the convention/conference/seminar is held out-of-town, authorized participants may be entitled to per diems, travelling and transportation and other expenses as authorized under existing budgeting and accounting rules and regulations. The travelling and transportation allowance shall be based on the actual expenses or as prescribed in Executive Order 248 as amended by Executive Order 298, whichever is lower;
 - 4.3.3 Membership and similar fees paid for personal or individual membership in private organization shall be for the account of the member concerned and shall not be charged against University funds. However, institutional membership, that is PUP membership, may be charged to University funds;
 - 4.3.4 As far as practicable, University officials and employees should avail of the early registration rates to avail of reduced costs of participation in conventions, seminars, conferences and other similar activities;
 - 4.3.5 All expenditures for the purpose shall not exceed the appropriation for training and seminar expenses of offices/departments concerned and shall be subject to the usual accounting and auditing rules and regulations;

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4.4 Staff Development Activities Sponsored by Government Organizations (GOs) and Training Activities Sponsored by Government Organizations (GOs), Private Organizations (POs) and Non-Government Organizations (NGOs);

- 4.4.1 Seminars, conferences and the like that are conducted or organized by government institutions and trainings either conducted by government institutions or NGOs/POs are not covered by NBC 563, and, thus, payment for actual registration fees in these functions may be fully shouldered by the University, provided, such amount does not exceed a total amount of P15,000.00 per activity/function.
- 4.4.2 The approval of funding request shall be subject to the availability of funds allocated for the office/department of the requesting individual. The head of office/department shall coordinate with the Budget Services Office (BSO) in monitoring the balance of said funds;

4.5 Planning Activities

- 4.5.1 The conduct of planning activity (Strategic Planning/Annual Action Planning) shall be ONCE for each year with or without University funding support. It shall be limited to three (3) days, inclusive of travel time which shall not exceed one (1) day. University funding support for the planning activity shall be limited to the allocated budget for each employee of the office/department based on the actual attendance and subject to the availability of funds.
- 4.5.2 A transportation allowance shall be provided to each participant in the amount of One Thousand Pesos (P1,000.00) or based on actual transportation fare, whichever is lower. In case of rented vehicle, the cost shall be based on the equivalent mode of transportation to the venue;
- 4.5.3 The office/department may request for the use of the University vehicle, subject to the availability of the said vehicle. In this case, no transportation allowance will be provided but the University will cover gasoline expenses, per diem of the University driver, and toll fees;
- 4.5.4 Mid-year assessment planning shall be conducted by the office/department which shall not exceed two (2) days. For Branches and Campuses located within Metro Manila, the assessment planning activity shall be conducted within National Capital Region (NCR). In the case of Branches and Campuses outside of Metro Manila, the assessment planning activity shall be conducted within the city or municipality where the branch or campus is located.
- 4.5.5 For mid-year assessment planning, the University shall provide meal allowance of One Hundred Fifty Pesos (P150.00) per day per participant chargeable against the office/department Staff Development Fund based on actual attendance and shall cover gasoline expense and toll fees, when the University vehicle will be utilized;
- 4.5.6 Under the normal performance cycle of the University, the year-end assessment shall be undertaken by an office within the same period as that of the annual action/development planning;
- 4.5.7 Post Planning/Assessment report shall be submitted within fifteen (15) working days from the last day of the activity. This shall include the narrative report, photo documentation and copy of the outputs of the planning activity.

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4.6 Other Provisions

- 4.6.1 University Officials, faculty members and administrative employees may be allowed to attend national and international conferences with funding support every year, subject to the availability of office/department funds. On the other hand, if the allocated funds of the office/department are fully utilized, the participation of concerned University official, faculty member and administrative employee, if approved, may be issued Special Order on official time only;
- 4.6.2 For activities organized by institutions other than PUP, casual employees who have rendered at least six (6) months of continuous service in PUP shall be entitled to staff development privileges while one (1) year of continuous service shall entitle the same employees to training privileges. Employees retiring within one (1) year or with application for optional retirement shall not be entitled to financial support for participation in staff development and training activities held outside the University campus as provided herein. However, they may be allowed to attend/participate in these activities on official time only;
- 4.6.3 A Post-Staff Development Activity Report shall be submitted to the HRMD-Training and Development Section including photos and certificate of completion/participation within thirty (30) calendar days upon completion of the staff development activity. The report shall provide the details on the proceedings of the attended staff development activity and action plan of the personnel involved, the same report shall be posted at the PUP website within thirty (30) calendar days after the seminar.
- 4.6.4 The conduct of echo seminar/sharing (structure or unstructured) shall be limited to training/s attended/participated. Proof of echo seminar/sharing conducted shall be submitted to HRMD-Training Section within fifteen (15) working days upon conduct of the echo seminar/sharing;
- 4.6.5 All requests for the participation/attendance in and conduct of trainings, conventions and seminars/workshops, and the conduct of staff development activities shall be subject to the approval of the President thru the Executive Vice President and the Vice President for Finance, upon recommending approval of the concerned Vice President;
- 4.6.6 In case the staff development and training funds of the office/department are fully utilized or not sufficient to cover the participation of a faculty-designee in the staff development and training activities, he or she may request that the funds may be sourced from his/her mother academic unit, provided the College Dean endorses the request.

5.0 Procedures

- 5.1 The head of office/department shall prepare request for the participation/attendance in and conduct of trainings, conventions and seminars/workshops, and the conduct of staff development activities addressed to the University President thru the Executive Vice President and the Vice President for Finance. The request for the conduct of staff development and trainings activities shall be supported with a project proposal with the following details:

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- 5.1.1 Title of Activity;
- 5.1.2 Venue;
- 5.1.3 Duration;
- 5.1.4 Description and Rationale;
- 5.1.5 Objectives;
- 5.1.6 Target Participants;
- 5.1.7 Budgetary Requirements;

- 5.2 The request, including documentary requirements as listed in item 6.0 of this set of guidelines, shall be submitted to the Office of the Sector Vice President at least one (1) month prior to the conduct of the activity for his/her recommending approval;
- 5.3 Upon recommendation of the Sector Vice President, the request including documentary requirements shall be forwarded to the Vice President for Finance for financial evaluation;
- 5.4 The Vice President for Finance shall recommend the evaluated requests including documentary requirements to the Executive Vice President for appropriate action;
- 5.5 The Executive Vice President shall recommend the evaluated requests to the President for final approval;
- 5.6 The President shall forward the approved request to the Human Resource Management Department (HRMD) for the preparation of Special Order.

6.0 Documentary Requirements

- 6.1 Request Letter;
- 6.2 Project Proposal;
- 6.3 Program of Activities and Itinerary;
- 6.4 Certificate of Compliance from the HRMD on the Submission of Previous Post Seminar Report or No Pending Submission of Post Seminar Report;
- 6.5 Certificate of Compliance from the Internal Audit Office (IAO) on the submission of Post-Planning Activity Report;
- 6.6 Canvass of at least three (3) venues within the area (*For conduct of out-of-campus staff development or training activity*).

7.0 Sanction

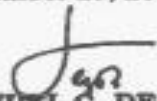
The non-submission of post activity report/s on the participated/attended and conducted trainings, conventions and seminars/workshops and conducted staff development activities shall be a ground for the disapproval of or non-action on current request for staff development or training activity until such time the submission of post activity report/s is complied with accordingly.

8.0 Repealing Clause

Any other guidelines, administrative order, rule or regulation and/or parts thereof contrary to or inconsistent with the provisions of this set of guidelines is hereby repealed, modified or amended accordingly.

9.0 Effectivity

This set of guidelines shall take effect on December 29, 2016.


EMANUEL C. DE GUZMAN, PhD
President

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Republic of the Philippines
POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
OFFICE OF THE PRESIDENT

MEMORANDUM ORDER
No. 031, Series of 2013

TO : ALL CONCERNED

**SUBJECT: POLICY ON COPYRIGHT REGISTRATION OF UNDERGRADUATE
AND GRADUATE ACADEMIC WORKS**

DATE : JULY 18, 2013

As approved in the 141st Regular Meeting of the Board of Regents held last July 1, 2013, you are hereby informed about and directed to observe the guidelines on copyrighting all academic works (theses, dissertations, feasibility studies, design prototypes, computer programs and softwares, audiovisual and cinematographic works, literary and creative works, etc.) submitted in partial fulfillment of undergraduate and graduate courses in the University.

This new university policy is in compliance with the Inter-Agency Task Force (IATF) Memorandum Circular No. 2012-01 and the CHED Memorandum Order No. 35 Series of 2012 pertaining to the Supplemental Implementing Guidelines on Cascading Performance Targets of State Universities and Colleges in line with Executive Order No. 80 Series of 2012, which stipulate the quantity of patented and copyrighted research outputs as one of the SUCs performance indicators.

To be credited as part of PUP's performance, these works must be submitted to the National Library of the Philippines (NLP) or the Intellectual Property Office of the Philippines (IPOPHL) with the Polytechnic University of the Philippines as copyright co-owner. This policy shall also ensure that the intellectual property rights of the students, faculty and other members of the academic community are duly protected especially for works that have potential for patents and commercialization.

For monitoring and recording purposes, the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD) shall facilitate the said application for copyright registration. Please coordinate with the following officials for the details of the application requirements and procedures:

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1. Innovation and Technology Support Office (ITSO) Chief Ofelia Villamor, room S-423, for engineering, sciences, and information technology paper works;
2. Intellectual Property and Commercialization Office (IPCO) Chief Elmer G. De Jose, room S-424, for written works in the fields of business, education, arts, languages, humanities, social sciences, and others.

Attached is the Procedure for Copyright Application through ITSO and/or IPCO for your guidance.

For strict compliance.


EMANUEL C. DE GUZMAN, PhD
President

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PROCEDURE FOR COPYRIGHT APPLICATION THROUGH ITSO/IPCO

1. Secure the Application Form from ITSO (S-423) or IPCO (S-424). Note that application for copyright of engineering, science and technology works shall be handled by ITSO. All the rest shall be coursed through the IPCO.
2. Accomplish the Application Form and the Agreement on Copyright Ownership with PUP, in typewritten and duplicate copies.
3. Have the accomplished forms duly notarized.
4. Pay the amount of three hundred fifty pesos (Php350.00) at the PUP Cashier's Office.
5. Submit to ITSO/IPCO the following documents, in duplicate copies:
 - 5.1 Duly notarized typewritten Copyright Application Form;
 - 5.2 Duly notarized Agreement of Copyright Co-Ownership executed by the author/s and the representative of the Polytechnic University of the Philippines;
 - 5.3 Printed copy of the Work which shows authorship and/or ownership of the copyright as deposit to the National Library of the Philippines (NLP);
 - 5.4 Electronic copy of the work (in CD)
 - 5.5 Technical description of the design, if the work applied for registration is an original ornamental design (classification H);
 - 5.6 Official receipt of filing fee from the PUP Cashier's Office.
6. Return to ITSO/IPCO at the specified date to get the Certificate of Copyright Registration.