



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
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COMPUTER ENGINEERING DEPARTMENT

1.2. The Research Manual provides guidelines and procedures for the administration and conduct of research



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Lifted from the University Research & Development Manual (pp. 24-43).....

Chapter 3

**THE UNIVERSITY RESEARCH PROCESS,
PROPOSAL REVIEW AND EVALUATION**

PUP encourages its faculty and staff to submit research proposals to be funded by the University. Proposals submitted will be evaluated by the University Research Evaluation Committee (UREC) according to the research program areas in which they belong (*Please refer to Chapter 1 for the University Research Agenda*).

The UREC is composed of seven members, namely:

- Chair: The Vice President for Research, Extension, Planning and Development
Vice-Chair: The Director of research institute relevant to the proposal/s under consideration
Members: Chief of the OVPREPD Office/Center relevant to the proposals under consideration;
Two (2) faculty experts from the colleges/branches/campuses;
Two (2) industry experts relevant to the proposal/s under consideration.

Because of the differing academic expertise required in each research program area, each will have two (2) UREC faculty experts of its own. These faculty experts will be selected by the VPREPD upon the recommendation of the college deans concerned. Only the VPREPD will sit regularly in all the UREC meetings. Industry experts will be invited to sit in the Committee to be recommended by the college dean. The Director of the Research and Extension Management Office (REMC) shall constitute the Committee's secretariat.

Proposals that have satisfactorily met the UREC standards based on the approved criteria will be endorsed by the VPREPD to the University Executive Committee for University funding. (*See Appendix A – Technical Evaluation Guide for Research Proposal*)

The second task of the UREC is to review the terminal research of the completed projects. The UREC shall give their assessments of the report within two weeks after its submission by the proponent/s. The UREC approval is one of the three requirements before the proponent/s can be paid their honoraria.

Call for Research Proposals

The OVPREPD shall encourage the invite faculty and staff from colleges, branches, departments and other offices to submit research proposals for possible funding through call for papers in university publications, PUP website and other means. Call for Research Proposals start on the 1st quarter of the year.

Researchers must have their proposals evaluated first at the department and college/branch levels for possible endorsement to the REMO. The REMO shall post acceptance of research proposals online through the official PUP website under the OVPREPD link and send an acceptance letter to the official email address of the proponent.

The project proponent/s is/are required to submit the research proposal following the prescribed format (*See Appendix B – PUP Research Proposal Guide*). REMO will conduct initial technical evaluation of the submitted proposals based on the prescribed format before its endorsement to the UREC. If found not in compliance with the prescribed format, the proposal will be returned to the proponent/s.

The proponent submits his/her research proposal in three copies to the Department for endorsement to the College/Campus/Extension Committee for evaluation. If found to be worthy of endorsement, such proposal will be forwarded by the College Dean or Campus/Extension Director to REMO for categorization by program area.



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Part of the proposal to be submitted are the following which can be found in the appendices:

- Terms of Reference (*See Appendix B-1*)
- Line Item Budget (*See Appendix B-2*)
- Schedule of Outputs/Tranche Releases (*See Appendix B-3*)
- Work Plan (*See Appendix B-4*)

The research proponent/s must ensure that biosafety concerns are addressed prior to the approval of the proposal. All research proposals must comply with the biosafety indexes pursuant to Executive Order No. 430 otherwise known as Creating the National Committee on Biosafety of the Philippines and its mandates (*See Appendix C – Executive Order No. 430*).

Review and Evaluation

Proposals that fall within the scope of the University Research Agenda will be classified according to which research program area they belong. A University Research Evaluation Committee (UREC) specific for each program area will be formed to review and evaluate the proposals submitted. The proponent/s will be asked to present the proposal to the Committee. After studying the proposals individually the UREC members will convene for deliberations. A final decision will be made when all issues relating to the proposals being evaluated have been discussed and resolved. The project proponent/s may be summoned by the UREC, if necessary, to clarify points that may be raised in the deliberations.

Proposals that require revisions will be sent back to the proponents with suggestions from the UREC. Revised drafts must be submitted to the UREC not later than one month after the proponent's receipt of the UREC's evaluation.

The project proponent/s shall be notified of the evaluation results at least a week after the UREC's quarterly meeting. All communications from the UREC regarding evaluation results shall be made with strictly confidentiality.

If, for some reasons, the University cannot finance the proposed research, it shall, through the REMO, purposely search, negotiate and mobilize sources of research funds from both local and agency/ies will be provided to the proponent/s.

It is the OVPREPD-REMO's responsibility to ensure that the proponent/s have satisfied the minimum requirements set by the external funding agency/institution before the University President endorses the proposal.

Endorsement by the UREC

Proposals applied for the University funding and have passed the UREC screening will be endorsed to the University Executive Committee for final approval and inclusion in the proposed University budget. On some occasions, the University Executive Committee members may ask the project proponent/s to appear before them to clarify points pertinent to the proposal/s.

As a general policy, the completion of any previously approved University research project by a proponent is a requirement for the approval of any new application for University funding and/or endorsement for external funding by the same.

The Executive Committee (EXECOM) has the final approval of the proposal/s. It has the authority to disapprove the proposal and may ask the UREC to reevaluate it based on the comments of the EXECOM members.

Approval of the Research Proposal

Once the EXECOM approved the research proposals, the proponent/s and PUP will enter into a research contract or Memorandum of Agreement (MOA) before the release of



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funds and implementation of the research project. The agreement will be the basis of implementation of the research project. (See Appendix D – Sample Contract)

Research Funding

1. University Funding

If considered for university funding, the UREC will meet and conduct an initial interview with the proponent/s. This will be followed by the UREC deliberation and decision-making. If found to be workable and feasible for university support, the proposal will be forwarded to the EXECOM for approval.

Upon approval for direct university support through the PUP General Appropriations,

- a. Contact signing between the researcher/s and the University follows;
- b. The project/research is then implemented/conducted and completed within a given period as stipulated in the contract;
- c. A quarterly Progress Report and a Terminal Report shall be submitted to REMO;
- d. The completed project shall be submitted for patenting/copyrighting to the IPMO before its presentation in a conference and publication in any research journal; and
- e. The publishable copy of the completed research shall be submitted for publication in university/external refereed journal.

2. External Funding

If considered for external funding, the University shall endorse the research proposal to external funding agencies. Once approved by the funding agency, a MOA/Contract signing between the university and the funding agency will be conducted. The guidelines and procedures of the funding agency on research grants will be followed, provided it will not violate any policies of the university. If there are no guidelines prescribed by the funding agency, the university guidelines will be followed.



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CHAPTER 4

RESEARCH PROJECT IMPLEMENTATION, MONITORING AND COMPLETION

Project Management Defined

Project management refers to an organizing and managing resources in such a way that they deliver all the work required to complete a project within its defined scope, time and cost constraints and quality expected.

To ensure the smooth implementation and successful completion of the research projects approved by the University Executive Committee, effective management and monitoring mechanisms shall be employed and thus obtain for the institution the benefit for the investment it has made in the project.

Duties and Responsibilities of the University

It is the responsibility of the University to provide the funds stipulated in the Memorandum of Agreement (MOA) to implement project. The University Executive Committees shall advise the Offices of the Vice President for Finance and Director of the Budget Services regarding their release of funds. Only the project proponent/s, preferably the project leader, can request for the release of funds. The request must be duly noted by the Vice President for Research, Extension, Planning and Development.

Specifically, the University, based on the University Policy on Research Development Funding, Support and Incentives (per BOR Resolution No. 985, series of 2013), shall extend the following support to researchers with University Executive Committee (UEC)-approved research proposals:

- A reduction of twelve (12) units from the 15-unit teaching load shall be given to regular faculty researcher, if he/she wants, to teach twelve (12) overload units after the reduction. However, they must be given a 2-day teaching schedule only to give them ample time to do research;
- Qualified part-time faculty members who are involved in externally-funded research will be paid directly from the project based on the stipulations in the memorandum of agreement with the funding agency. Such faculty members will be allowed a maximum 6-unit teaching load in case subjects are available;
- Non-teaching personnel can engage in research only as consultants and shall receive remunerations only when research is done outside of their official time;
- For internally-funded research, the University shall provide material and environmental support to the researchers in the form of equipment, facilities, staff, and research centers, as may be stipulated in the MOA. The University shall provide the bid bond when required by the institution soliciting research proposals;
- The total cost of the research shall be charged to the University fund including the other benefits unless the grant is externally funded, in which case the fund sourced outside will be held in trust by the University and shall follow the schedule for access by the proponent/s based on the terms of reference and work flow program of the project following the usual accounting and auditing regulations and procedures of the University.

The University shall respect the initiative and volition of the research proponents. However, it shall ensure that the project is fully completed to the satisfaction of the funding institution following the project's term of reference and work flow program.

- Typically, the research period is for a full semester or a full school year. Extension period shall only be for a maximum of one semester for a full semester or school year research period. When approved by the UREC, exceptional cases of more than a



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school year or research period may be granted to projects deserving of such magnitude. The extension period for such exceptional cases shall be negotiated by the proponent/s with the UREC and/or the funding agency. Terms of conditions shall also be determined by the UREC.

- A research project may commence in the middle of the semester or during summer when the nature of the study requires immediate implementation.
- All grant benefits shall cease at the end of the extension period. No further extension shall be allowed. In this case, the grantee shall be required to complete the research within two semesters after the extension period without any additional support from the University; otherwise, the grantee shall pay back the University the full amount of the grant.
- As a general rule, projects may not be extended except for meritorious reasons to be approved by the UREC and concurred by the University Executive Committee. Officially deferred projects shall be extended for a maximum of one semester from the completion date stipulated in the MOA, after which, they shall be considered terminated by the UREC upon the recommendation of the REMO.

The University, through the OVPREPD, shall facilitate and provide avenues where the research result could effectively and adequately be disseminated.

The University shall respect the proponent's intellectual property rights and safeguard the authorship of the research project in accordance with the University Intellectual Property (IP) Policy and Article 178.3 of RA 8293 (Intellectual Property Code).

Responsibilities of the Researcher/s

Project Proponent

The project proponent shall see to the smooth conduct of the project until its completion within the set time frame. He or she must comply with the terms set in MOA and implement the project as laid out in the approved proposal. He or she must be guided by the objectives of the research project and the limits of the institutional processes. It is the duty of the proponent to inform the UREC of any change or deviation in the original objectives of the approved research project for discussion and approval.

The project proponent must submit a progress report to the Research and Extension Management Office. He/she shall follow the format prescribed by this Manual. (*See Appendix E- Progress report Guide*). For research projects running for ten months or more, a progress report is required every three months. For projects running for less than ten months, a progress report is required every two months. The project proponents shall also submit a liquidation report before requesting for another cash advance.

Upon completion of the project, the project proponents must submit the terminal research report within two weeks after its termination. (*See Appendix E-2 – Terminal Research Report Guide*). It is the responsibility of the proponents to ensure the quality of writing of the terminal research report. Should the research report warrants some editing, the proponents shall bear its added cost.

The project leader shall ensure the proper turnover of the equipment purchased for the project to the University. As a general rule, the equipment shall be turned over to the Office/College/Branch to which the project leader is connected. In case said Office/College/Branch does not have any need for the equipment, the University, through the OVPREPD, shall determine the assignment of the equipment.

After the submission of the terminal research report, the proponent/s shall present the paper in research conference to be organized by the REMO. The proponents shall prepare



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all the materials necessary for the presentation. They may also suggest the experts or critics to be included in the roster of discussants for the conference.

The proponent shall submit a shortened version of the terminal research report within one month after the holding of the research conference. The article will be published in any of the University journals provided it passed the approval of the Editorial Board concerned.

If for justifiable reason or cause, project is terminated prior to its completion, the proponent/s shall pay back the University all benefits accorded to, such as deloading of teaching assignments and/or granting honorarium. Furthermore, said proponent/s shall be disqualified from all University grants.

The responsibilities of the University and the researchers that are spelled out in this chapter, together with other agreements forged by two parties, shall appear in the Contract/ MOA to be drawn. (See Appendix D)

Project Implementation

Once a research project is approved for implementation, a Memorandum of Agreement (MOA) between PUP and the proponent/s will be drafted. In the case of externally-funded research, MOA will also be executed between PUP and the funding agency.

The drafted MOA is referred to both parties for comments. From the funding agency the MOA is referred to the PUP Legal Office for review, and sent back to the proponent/funding agency for revision based on the comments of the OVPREPD and the PUP Legal Office. The document is transmitted to the funding agency which approves and notarizes the MOA. After notarizations, the OVPREPD, REMO, the Legal Office, IPO, IPMO and the proponent are provided copies of the agreement.

Appointing Research Project Personnel

The project management should pay particular attention on the following when preparing the appointment papers of the project staff:

Projected Leader/Research Proponent

The project proponent has the primary responsibility over the entire project regardless of the number of co-researches he or she may have. It is his or her duty to appropriate the task among the group members, bearing in mind that the co-proponent/s has/have clearly defined responsibilities even in the presence of the project proponent.

Co-Proponents and Other Researchers

The project co-proponents and other researchers shall take part in the implementation on the research project as may be defined by the project proponent/s. The co-proponents shall be responsible for the management of the project in the absence of the proponent/s or if the latter becomes incapacitated. With the approval of the University, they may take over the whole project should the main or lead proponent relinquishes his or her role and responsibilities, and may therefore claim the benefits accorded to the main/lead proponent.

Project staff

Permanent and temporary staff are allowed to be assigned as administrative support staff for the project. The duration work for project staff is for maximum of six (6) months only but may be extended for another one (1) month based on the prerogative of the project leader.



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Contract Labor and Consultant

The research team can hire contract labor and consultant (expert) for the project, provided there is no available from the university to handle the task/assignment. The duration for contract labor is maximum of six (6) months only without prejudice to extension as warranted.

Release of Approved Research Fund

Upon the finalization of MOA, the approved research fund will be released to the project proponents in tranches – 50%; 30% and 20% respectively. The Project proponent will be designated as disbursement officer of the funds for the duration of the project. It is the obligation of the proponent to facilitate the requirements needed for such appointment.

Purchasing project supplies and equipment

The University implements a public bidding system for the procurement of supplies and materials in accordance with the existing rules and regulations being carried out by the government. Purchase of the equipment and materials needed for the research project is subject to the same rules and regulations.

Requesting change of date of project implementation

The start and end of the project are specified in the MOA. Implementation, however, may be reset depending on the release of funds or upon issuance of the notice to proceed. Proponents may want to defer or decide on when to start the project depending on the need factors such as climate, cropping season, availability of personnel and other justifiable reasons. In the case of externally-funded research project, the funding agency be properly informed through official communication with regards to deferment of project implementation.

Preparing Financial Reports

Part of the duties of the research item is to prepare financial report of the release funds. Release of succeeding tranches of fund is subject to the submission of the financial report of the previous releases. For externally-funded project, the same scheme will be followed since the university is the financial custodian of the funds.

Requesting transfer of project leadership

In the event the project leader/research proponent withdraws from the research project, he or she should submit a written notice 15 days to prior his/her withdrawal or resignation from the research project. With the new delegation of authority, the OVPREPD shall approve the request for transfer of project leadership. For externally-funded research, the guidelines for transfer of project leadership of the funding agency will be followed.

Requesting for program/project extension

Any request for project extension shall be coursed through the OVPREPD, substantiated by written communications, evaluation results and progress reports. All requests for project extension shall be submitted two months prior to the project date of project completion. Likewise, the status of the funds shall be included in the progress report.

Preparing and submitting reports

Proponents are required to submit reports during implementation and before the termination of the project.



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During the Implementation of the Project:

1. Progress Report
2. Financial Report of the Fund Released
3. Initial Data (If any)

Before the Termination of the Project:

1. Terminal report
2. Financial Report of all funds release
3. Five (5) copies of the completed research project including the executive summary in hard and soft copies
4. Five (5) copies of publishable research report in hard and soft copies
5. Copy of the raw data including the transcript of the interview (if any) in hard and soft copies.



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Chapter 5

DISSEMINATION AND UTILIZATION OF RESEARCH RESULTS

Dissemination of Research

Dissemination is the means of imparting research results to intended audiences in the most effective and cost-efficient manner. It is the process of transmitting new information, discoveries and innovations to intended recipients based on the research findings conducted in the University. The purpose is to effect the utilization of the information on the part of the recipient and contribute to advancement of knowledge in the country.

To accomplish the dissemination activity, the University and the research grantee/s share the responsibility of distributing the research output to the potential users and beneficiaries through a variety of ways. There are two types of audiences intended to be informed about the research results:

1. Primary audience which include key audiences, such as donors, or financiers, programs managers or implementers, service providers, regulatory authorities, researchers, experts, specialists, consultants and the academe.
2. Secondary audience which include other interested groups, multilateral organizations, NGOs, political and government sectors, private sectors, church, media, general population, among others.

As a principle, the University provides avenues for the dissemination of research findings or results. These may be in form of publications (either print or electronic) or through presentations in conferences, seminars, fora and other similar events.

The University shall disseminate research results in any or a combination of the following modes:

1. By Print and/or Electronic Publication

The University has the first option to publish, either wholly or in part the results of the university research undertaking. These researches may be published in book form, as a research monograph, as part of any of the University research journals, or in the PUP website.

The proponents have the option to publish their works by the other means. In such cases, the permission of the University is needed. However, this requirement of getting the University's written permission becomes void one year after the termination of the project for non-publication in another form or venue, in newspapers, and other printed forms, locally and internationally. They are also encouraged to publish in open access journals over the Internet and other venues using the new media platform.

While the authorship remains with the proponents, the name of the University and/ or funding institution as project partner/s should always appear in all forms of publication of the said research.

Provided also that all the aforementioned do not run counter to the provisions on the Waive of Copyright by the University as stipulated in the PUP Intellectual Property (IP) Policy.

1.1 College Journals. Research results by faculty members can be published in their college journals. Format and style of articles for publication in these journals are determined by the Editorial Board or concerned officials of the said colleges.

1.2 The PUP Journals. There shall be eight refereed University research journals where research results can be published, namely –

- a. *Bisig*



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- b. *Education Review*
- c. *Graduate Forum*
- d. *Journal of Cultural*
- e. *Journal of Science and Technology*
- f. *Mabini Review*
- g. *PUP Open University Journal Open and Distance Learning*
- h. *Social Sciences and Development Review*

These refereed research journals of the University are regularly published both in print and online. Contributors to any of these journals must observe the format and style specified in the editorial policy of the above-mentioned journals.

1.3 National/international Journals. The researchers must at all times abide by the proper documentation guidelines as regard citation of sources of information used or mentioned in the paper. In general, the style and format of the Publication Manual of the American Psychological Association Publication Manual (APA) is observed.

1.4 Open Access journals. These are scholarly journals that are available online to the reader "without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself." (Suber, 2013) Researchers may refer to the Directory of Open Access Journals (www.doaj.org) for the list of open access journals.

2. By Research Presentation to Conferences

The University researchers are encouraged to present and disseminate their research outputs in national or international professional conferences. Research presentations may be done in the form of oral (either virtually or in person) or poster presentation in the following venue:

- 2.1 *University-wide, national or international conference by the University through the Office of the Vice President for Research, Extension, Planning and Development;*
- 2.2 *Research forum organized in the collegial level;*
- 2.3 *Research colloquium organized by student organizations; and*
- 2.4 *National or international research fora of the scientific and professional organizations.*

These conferences are intended to encourage healthy discussions among researchers, exchange of new ideas and research findings, establish linkages between research institutions and attract future researchers.

3. By Other Forms of Dissemination

Research findings may be cited orally in writing through media interviews, press briefings, news releases and other similar formats provided the proponent seeks clearance from the Office of the University President through the Communications Management Office (CMO) in coordination with the Intellectual Property Management Office (IPMO).

Utilization of Research Results

The University can utilize the research results in generating income subject to the provision set forth in the University Intellectual Property (IP) Policy and pertinent provisions of R.A. 8292 (Higher Education Modernization Act of 1997) and R.A. 8293 (Intellectual Property Code).

Research findings can also be used in aid of legislation and policy formulation by the local national government. This form of utilization of research results should be documented and reported to the University by the research proponents.



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Chapter 6

UNIVERSITY RESEARCH FUNDING, SUPPORT AND INCENTIVES

The University, through the Office of the Vice President for Research, Extension, Planning and Development (OVPREPD), concretizes its fundamental commitment to research by providing the necessary institutional support, funding the incentives for researchers. These benefits and rewards for researchers are designed to intensify the quantity and quality of research outputs produced by teaching and non-teaching personnel in the University, reinforce the culture of research, and contribute to knowledge generation, which is indispensable function of an institution of higher learning.

Who are Eligible for Funding and Incentives?

Any of the following parties may apply as a project proponent and be eligible for University support, funding and incentives:

1. *An academic department or college in the University;*
2. *An administrative office or research institute/center in the University;*
3. *A duly recognized faculty and/ or administrative organization in the University;*
4. *An individual or a group of full-time (regular and temporary) faculty members of the University;*
5. *An individual or a group of permanent administrative employees of the University;*
6. *A part-time faculty member, in collaboration with a regular faculty member of the University;*
7. *A bonafide student under the supervision and in collaboration with a regular faculty member of the University; and*
8. *A regular faculty member of the University in collaboration with research from other universities and/ or external agencies.*

Research Funding

The University shall annually allocate funds for the conduct of institution and specialized researches, acquisition of books and project-related equipment, subscription to periodicals, professional journal and other similar publications. Funding may also be generated through external sources such as grants, donations, bilateral agreement, collaboration with government and private agencies, and other local and foreign funding institution.

The following are the types of university research, based on their fund sources and term of support given:

1. Internally-Funded Research

Internally funded researches are university-sponsored project that have been incorporated in the budget proposal for a given year. To be eligible for direct University funding, research proposals have to be submitted to the University Research Evaluation Committee (UREC) not later than first week of October of every year for screening and endorsement of the Committee. Upon approval of the University President through the recommendation of the Vice President for Research, Extension, Planning and Development (VPREPD), the funding for the approved project proposals will be provided on the fiscal year that follows.

A Memorandum of Agreement (MOA) shall be entered into by the University and the proponent/s of the research project stipulating both the extent of support granted to the researcher/s and the project deliverables expected from the proponent.

Monitoring of the University-funded research rests on the Research and Extension Management office (REMO). Disbursement of fund is subject to existing University accounting and auditing rules.



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2. Externally-Funded Research

2.1 Funding Agency-supported Research

Proposals submitted to REMO that have passed the screening or peer review, will be endorsed by the University to outside agencies for possible funding. In addition, REMO shall post titles and project description in the internet to attract would-be sponsors.

The REMO will endorse eligible proposals to the proper agencies in accordance with their requirement and research priorities. Project monitoring rests on the REMO, although the proponents are not barred from reporting directly to their funding agency. Utilization of funds from external sources shall be decided by both the research proponents and funding agency to be stipulated in the MOA between the University and the funding agency.

2.2 Commission Research

The University, or outside agencies through the University, may commission a faculty member, an administrative staff member, or a group of faculty member / administrative staff to conduct research on a particular problem. Faculty member and/ or administrative staff commissioned to conduct the research should prepare the proposal and submit the same to the UREC for evaluation and endorsement to the commissioning institution.

In the case of a faculty member or a college who gets or is invited and commissioned to conduct the research, this should be properly reported to and coordinated by the REMO.

A MOA shall be entered into by the heads of both the University and the commissioning agency, or their authorized representatives, stipulating the obligations of the parties involved.

Project monitoring rests on the REMO, although the proponents are not barred from reporting directly to the commissioning agency. Disbursement of fund is subject to existing University accounting and auditing rules.

Project Budget Allocation

A research proposal submitted to the UREC should be accompanied by a detailed budget, which must be strictly followed once the proposal is approved. No allotment for one item may be reallocated to another item, unless otherwise approved by the authorized finance officers. The proponent may not be given additional budget beyond what is stipulated in the MOA.

For all types of externally-funded project, at least ten percent (10%) of the total project cost goes to the University to cover administrative costs.

Support, Funding and Incentives

Subject to the availability of resources, the following support and incentives may be granted by the University.

1. Honoraria

Honorarium is the incentive granted to researcher/s for service rendered beyond the minimum/regular workload to encourage productivity. Researcher/s involvement include conceptualization of research, implementation of research and development and other management functions in the implementation of research and development activities.

The proponent/s shall be entitled to due honorarium as project consultant/s and/or lead research/s. Depending on the type of project, a co-researcher and/or research assistant may also be granted honorarium.

For internally-funded research the total honoraria shall not exceed twenty five percent (25%) of the annual basic salary of the personnel involved in the project. The honoraria shall be based on the DBM Budget Circular No. 2007-2 or the Department of Budget and



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Management Guidelines on the Grant of Honoraria Due to Assignment in Government Special Projects.

For externally-funded research, honoraria shall be based on the stipulations in the project contract or MOA.

Non-teaching personnel can only engage in research as consultants and whatever remunerations they will get from the project shall be paid for services done outside official time.

The total cost of the research project shall be charged to the University fund including the benefits stated in this section, unless the grant is externally funded in which the fund sourced outside shall be held in trust by the University, and shall follow the schedule of access by the proponent/s as stated in the approved proposal and following the usual accounting and auditing regulations of the University.

Honoraria will be paid upon submission of the progress reports as stipulated in the MOA. Payment of Honoraria for the last two months of the project will be deferred, subject to the last fulfillment of the terminal requirements, i.e., submission of the terminal research report, holding of the research conference, and submission of a publishable version of the terminal research report.

2. Salary

Depending on the magnitude of the project, proponent/s may hire research assistants who are not full-time employees on the University on a project basis. Full-time faculty members or full-time employees of the University are not entitled to salaries/wages other than those they are currently receiving as employees of the University. They may, however, be entitled to honoraria.

The hiring of student/s as research assistant/s may be allowed on a case-to-case basis depending on the type of research project conducted. Students will be paid in accordance with the rules and regulation governing payment of Honoraria/allowance of student assistant in the University.

3. Operating Expenses

These cover travel cost, supplies and materials, and sundries (e.g., telephone calls, faxes etc.). Only the main project leader may request for cash advances for operating expenses. Request for cash advances have to be approved by the University President, upon the recommendation of the Vice President for Finance (VPF). The request must be duly countersigned by the VPRED.

A succeeding cash advance shall be allowed only after liquidation of the previous cash advance.

4. Books and Equipment

All books and equipment purchased for the purpose of the research project become University property and should be properly turned over to the appropriate office upon the completion/termination of the project.

5. Reduction of Teaching Load

Only full-time faculty shall be entitled to a reduction of teaching load. The faculty may be deloaded with twelve (12) units from the regular fifteen (15) units with corresponding night pay. A faculty member, however, may be allowed to carry a maximum of twelve (12) units of part-time teaching load, but shall not be allowed to handle any temporary substitution load. The total allowable teaching units of full-time faculty who is into a research contract with the University shall be fifteen (15) only.

Qualified part-time faculty member who are not employed by other agencies shall carry maximum of twelve (12) units of part-time teaching load. They shall be allowed,



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however, to handle temporary substitution depending on the nature and the scope of their participation in the research.

6. Night Service Pay

Subject to the evaluation and recommendation by the UREC, the principal investigation project leader/proponent may be entitled to a night service pay. Only a non-designee, full time faculty member is entitled to this incentive.

7. Promotion

To encourage and reinforce research productivity, faculty members shall receive due promotion on the basis of their research output.

It is to be understood that a faculty member who is subject for promotion, must have satisfied the minimum requirement set by the Civil Services Commission and as provided for in the National Budget Circular (NBC) 461 for the said promotion.

In this promotion scheme, a faculty member who has published a paper in national or international refereed or peer-review journals shall be entitled to one rank or sub-rank promotion.

National publication refers to journal publication accredited by the Commission on Higher Education (CHED) through its journal Accreditation Services. International journal publication are those that include papers authored by research/contributors from across geographic location, and with international editorial composition.

Refereed journals, in this promotion scheme, are classified as non ISI/Scopus-indexed or ISI/Scopus-indexed.

Only full papers published in these journals shall be granted credits or points.

Points-system shall be employed in assigning the required points/scores for promotion which is based on the faculty member's current rank, the level at which the work appeared for publication, and whether the publication is ISI or Scopus-indexed or not. The table below illustrates the matrix for assigning credits for promotion based on research publication.



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Table 1. Matrix for Assigning Credits for Promotion of Faculty Members Based on Research Journal Publication

To be eligible for a rank or sub-rank promotion, a faculty member must accumulate the number of points corresponding to his/her rank. For instance, an instructor I to be promoted to Instructor II sub-rank must acquire a total of fifteen (15) points, while the sub-rank promotion for the Professor level requires 40 points.

8. Conference Funding

Travel grants covering round trip transport fares, conference fee, and per diem allowance shall be made available for grantees presenting papers in national and international conference subject to relevant existing government policies.

9. Publication Financial Support and Incentive

The University shall provide the following support and incentive for every publication (including empirical research essays, policy papers, theoretical papers) in local, national and international refereed publication:

Refereed Journal				Total points to be earned to get a sub-rank or rank promotion
National		International		
Non ISI-Scopus-indexed	ISI-Scopus-indexed	Non ISI-Scopus-indexed	ISI-Scopus-indexed	
5 points For every Full paper	10 points For every Full paper	10 points For every Full paper	20 points For every Full paper	Instructor 15 points
				Assistant Professor 20 points
				Associate Professor 30 points
				Professor 40 points

Table 2. Publication Financial Support and Incentives

Level of Publication	Financial Support Incentive	
	Non-ISI/ Scopus Indexed	ISI / Scopus -Indexed
Local / institutional Journal	Php2,000.00	-
National and CHED-Accreditation	Php10,000.00	Php30,000.00
International Journals	Php10,000.00	Php30,000.00

9.1 Citation Incentives

The University shall provide cash incentives of P20, 000.00 for every work cited by other authors/scholars in an international ISI-/Scopus-indexed journal.

9.2 National and International Recognition Incentives

The University shall provides the incentives of P30,000.00 (for national level awards) and P50,000.00 (for international awards) for a search publications recognized and awarded by prestigious national or international body of research organization/institution.



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9.3 Honoraria for Institutional Journal Reference

The University shall provide reasonable honoraria and external referees of articles published in its local/ institutional journals. This is to ensure that all papers being considered for publications undergo a through peer review process and that high level of scholarship is upheld in all institutional publication. The following scheme shall be the basis for the granting of honoraria.

Table 3. Honoraria Rates for Institutional Journal Reference

Referee/Peer-Review	Honorarium
Internal (full-time and part-time/employee of the University)	Php1000.00 per article
External (Researcher/Expert from other university or agency)	Varied depending on the evaluation of referee's credentials/qualifications, and based on the guidelines set forth in the DBM Circular No. 2007-1. (The honorarium, however, should not be lower than Php 1,000.00 per article)

10. Awards

10.1 Plaque of Recognition

The University shall award a plaque of recognition to faculty members whose research output has made significant impact in the field and contribution to the vision of becoming an epistemic communality, as exemplified by publications and citations in refereed journals, and the recognition bestowed upon the said work by prestigious award-giving bodies.

10.2 Annual Best Research Awards

The Annual Best Research Award will be granted to faculty and administrative employees of the University who have published their research along two-cluster (1) Engineering and Sciences, and (2) Education, Humanities and Social Sciences. The awardees shall receive plaque of appreciation and corresponding monetary prizes per category as follow:

First Prize	-	P25, 000.00
Second Prize	-	P15, 000.00
Third Prize	-	P10, 000.00

In case of multiple authors, the prize shall be divided equitably among authors.

11. Thesis and Dissertation Grant

Upon approval of the administration, a full-time faculty member or administrative employees shall be provided grant to aid him/her in thesis/dissertation writing towards the completion of a graduate degree. The amount shall depend on the graduate level completed which is a follows:

Master's degree	-	P30, 000.00
Doctorate degree	-	P50, 000.00
Post-Doctorate degree	-	P80, 000.00

A faculty member or employee who has been awarded a thesis grant may still be eligible for a dissertation grant. No faculty or employee she be afforded another grant for a second master's degree or a dissertation grant for a second doctorate degree.



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The aforementioned grand shall be provided on the condition that the research output is presented in a national or international conference and/or published in a national or international refereed journal.

12. Patents

A faculty member, employee and/or student whose work has been patented and applied for utility model and industrial design will be given the following incentives.

Utility Model/Industrial Design	-	P5, 000.00
Decision to Grant Patent	-	P10, 000.00
Publication of Patent in IPO Gazette	-	P15, 000.00
Issuance of Patent certificate	-	P25, 000.00
PCT Application	-	P50, 000.00

13. Membership in the Society of Research Fellows

The University shall establish a Society of Research Fellow whose membership shall be composed of faculty members and administrative employees who have established themselves in the field of research and development in their respective disciplines. Members of the academe research outputs shall be invited in the PUP society of Research Fellows. The following are the general criteria for membership:

1. A doctorate degree in the field of specialization. Candidates for doctorate degree may also be considered;
2. A faculty rank of at least Assistance Professor.
3. Extensive experience in research development in the field of specialization; with outputs that demonstrate significant impact on policy and practice.
4. Evidence of track record in international peer-reviewed journals;
5. Ability to innovate and willingness to work effectively with colleagues;
6. Ability to carry out independent research and attract research funding;
7. Excellent interpersonal and communication skills; and
8. Ability to teach, supervise and collaborate with highly motivated and exceptional graduate student.

14. Leave Credits

Full time faculty members shall be entitled for a maximum total of 15 days vacation leave and 15 days leave credits for a research project in a duration of at least one year, where any fraction thereof shall be prorated accordingly.

15. Intellectual Property Rights

The research proponent, unless otherwise stipulated in the contract or agreement, shall own the authorship and share copyright ownership with the University. The researcher shares in royalties from copyrights, patents, or other intellectual property rights derived from the research output as stipulated in the PUP IP Policy.

General Conditions and Provisions

1. The researcher/s shall comply with the requirements stipulated in the Revised Research and Development Manual to be eligible for any of the monetary and non-monetary support and incentives.
2. Any of the aforementioned support and incentives shall be granted on the condition that the research outputs shall be presented in a national or international conference, and/or published in a refereed national or international journal.
3. The name of the Polytechnic University of the Philippines as the author/s' institutional affiliation be explicitly demonstrated in any conference program/proceedings and/or journal publication.
4. The implementation of this policy shall strictly adhere to the BOR-approved Implementing Guidelines. (See Appendix F – Implementing Guidelines of the Policy on the University Research and Development Support, Funding and Incentives)



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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 Grand 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 grand/refusal of patent application at the Intellectual Property of the Philippines is shown on the next page.

