



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

**PARAMETER C: IMPLEMENTATION, MONITORING, EVALUATION AND
UTILIZATION OF RESEARCH RESULTS/OUTPUTS
SYSTEM-INPUTS AND PROCESSES**

S.1. There is a system of implementation, monitoring, evaluation and utilization of research outputs.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

Lifted from the University Research & Development Manual (pp. 28-35).....

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.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- 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 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.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

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 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 de-loading 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 then 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-researchers 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.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

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.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

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.



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

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*



POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
COLLEGE OF ENGINEERING
COMPUTER ENGINEERING DEPARTMENT

- 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 maybe 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.