



Republic of the Philippines

DEPARTMENT OF SCIENCE AND TECHNOLOGY



JAN 04 2022

20 December 2021

MEMORANDUM

TO : All Heads of DOST Councils, Research and Development Institutes, S&T Service Institutes, Regional Offices, Collegial Bodies and DOST-CO Offices

SUBJECT : AMENDMENTS TO DOST ADMINISTRATIVE ORDER NO. 011, SERIES OF 2020, otherwise known as the “GUIDELINES FOR THE GRANTS-IN-AID (GIA) PROGRAM OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY (DOST) AND ITS AGENCIES”

Please find attached a copy of DOST A.O. No. 017 series of 2021, “AMENDMENTS TO THE DOST ADMINISTRATIVE ORDER NO. 011, SERIES OF 2020, otherwise known as the “GUIDELINES FOR THE GRANTS-IN-AID (GIA) PROGRAM OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY (DOST) AND ITS AGENCIES.”

The amendment was made to include the following: a) additional terms and their definitions and to revise definitions of some terms; b) additional eligibility requirements; c) requirement of a catch-up plan to lift project suspension; d) additional provision to prevent unnecessary purchase of equipment that is not in the original LIB; e) a provision to compel Implementing Agencies to submit FRs on time; and f) to clarify terms on transfer of ownership of equipment.

DOST A.O. No. 017, series of 2021 was published in the Official Gazette on 13 December 2021. It shall take effect 15 days after the publication and upon filing at the University of the Philippines (UP) – Law Center.

For your information and guidance.

FORTUNATO T. DE LA PEÑA
Secretary

SPB-21-01449



DOST Administrative Order No. 017
Series of 2021

DEC 09 2021

Subject: AMENDMENTS TO THE DOST ADMINISTRATIVE ORDER NO. 011, SERIES OF 2020, otherwise known as the "GUIDELINES FOR THE GRANTS-IN-AID (GIA) PROGRAM OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY (DOST) AND ITS AGENCIES"

To update the existing GIA guidelines in line with recent directives of the DOST-Executive Committee (EXECOM), DOST Administrative Order No. 011, Series of 2020, is hereby amended to revise specific provisions as stated below:

1. On Section IV. Definition of Terms to define the following terms:

Cleared project – a completed project which the Implementing and Monitoring Agencies have satisfactorily complied with the reportorial requirements of and which has been issued a clearance by the Funding Agency;

Completed Project – a project whose project implementation period has ended;

Continuing Project – a project, mandated by law such as HRDP and NSTW, for which the funding agency provides continuing support for an indefinite period until it is given appropriations in the regular agency budget;

Ongoing Project – a project in its second or succeeding year of implementation based on approved duration and funding support;

An ongoing project may have the following status:

Deferred Project – project whose activities are temporarily ceased for a period of time due to force majeure and other meritorious cases as determined by the Monitoring Agency;

Extended Project – a project with approved additional number of months of implementation to complete its target deliverables with or without additional funding support;

Suspended Project – program/project with activities that have been temporarily ceased or suspended due to failure to secure approval of renewal of the project within the prescribed period;

Terminated Project – project whose implementation was discontinued due to reasonable causes, as endorsed by the Monitoring Agency and approved by the Funding Agency;

New Project – approved project in its first year of implementation;

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Project End Date – actual end date of program/project implementation;

Project Start Date – actual start date of program/project implementation.

2. **On Section VI. Eligibility Requirements** to include alignment with the Call for Proposals as part of the eligibility requirements and to read as:

The following are the program's eligibility requirements:

- A. On the program/project proposal

The program/project proposal shall comply with the following eligibility requirements:

1. Alignment with and support of the Harmonized National R&D Agenda (HNRDA) and the Call; and
2. No duplication with completed and ongoing programs/projects.

This section shall also specifically include DOST S&T Fellows as part of the criteria for the Program/Project Leader as stated below:

- C. On the Program/Project Leader

The following are the criteria for the Program/Project Leader:

3. must hold a permanent position or a regular position for private entity or must be a DOST S&T Fellow and not due to retire during the conduct of a program/project.

3. **On Section X.B.4 Continuing Assistance and Additional Funding of Programs/Projects** to require a catch-up plan for the lifting of project suspension under item c to read as:

c. Suspended projects shall provide a catch-up plan as a requisite for lifting the project suspension.

4. **On Section X.C.2 Budget Reprogramming and/or Modification** to include an additional provision to prevent unnecessary purchase of equipment, that is not in the original LIB, with the sole purpose of utilizing the funds. The provision shall read:

Reprogramming to purchase new/additional equipment during the terminal year and extension period shall not be allowed. Likewise, for projects with one-year duration, additional equipment shall not be allowed, except under meritorious cases as determined by the Monitoring Agency.

5. On Section X.C.4 Unexpended Balance (UB), Savings, Interest and Income to use the term “ongoing projects” instead of “continuing projects” as defined:

- b. For ongoing projects, the UB from the previous year shall be deducted from the total approved budget of the succeeding year. The carry-over of UB may be allowed subject to the recommendation of the Monitoring Agency and submission of the catch-up plan....

The section will also include the provision below to compel Implementing Agencies to submit FRs on time thus allowing processing of the fund release before the UB is used up:

- c. The UB can be used only within three (3) months after the end of the active period of the project while awaiting the submission of the annual financial and technical reports. Charging of expenses to the project funds shall no longer be allowed in case of failure to submit the required reports within the prescribed period except under highly meritorious cases as determined by the Monitoring Agency.

6. On Section XII. Purchase, Ownership and Accountability of Project Equipment to clarify that the transfer of ownership of equipment is upon project completion and clearance, as follows:

- B. Ownership of Equipment--The Funding Agency shall initially own all equipment purchased using grant funds until such are transferred to the Implementing Agency or other implementers. The ownership of equipment may be transferred to the Implementing Agency including private institutions, upon completion and clearance of the program/project as stipulated in the signed Memorandum of Agreement, subject to existing government rules and regulations. The Funding Agency reserves the right to transfer ownership of such government equipment to government RDIs, HEIs or other private institutions through Property Transfer Reports (PTRs) or execution of Deed/s of Donation subject to existing government accounting and auditing laws, rules and regulations.
- C. Accountability for Equipment— the Program/Project Leader shall be primarily responsible for all equipment related to the program/project. He/she shall sign the corresponding Property Acknowledgement Receipt (PAR) and List of Equipment Purchased (LEP) attested by the Property Officer of his/her institution.

The Funding Agency shall issue Property Transfer Report (PTR)/Deed of Donation to the Implementing Agency upon written request after the project is completed and cleared. The Funding Agency reserves the right to retain the equipment in compliance with existing government rules and regulations....

I. Transfer of ownership of equipment without cost

To promote and encourage the conduct of R&D and establishment of innovative new businesses that foster an innovative entrepreneurial culture in the Philippines, the Funding Agency allows the transfer of ownership of an equipment without

cost to the Implementing Agency. Upon completion and clearance of the project, the Funding Agency may allow the transfer of ownership of an equipment without cost in favor of a particular institution/s which implemented the project subject to the following conditions:

All other provisions of DOST A.O. No. 011, Series of 2020 and DOST A.O. No. 013, Series of 2021 shall remain the same.

This Administrative Order shall take effect fifteen (15) days after publication in the Official Gazette and upon filing at the University of the Philippines (UP) – Law Center.



FORTUNATO T. DE LA PEÑA
Secretary