

# **Monitoring and Evaluation Handbook in Research and Development**



**Department of Science and Technology  
Republic of the Philippines**

# MESSAGE



**FORTUNATO T. DE LA PEÑA**  
*Secretary*

Science, technology, and innovation have fundamental roles in developing our country's ability to address socio-economic challenges and the demands of the New Normal. Through an effective monitoring and evaluation (M&E) system, we can track our path and provide a proper assessment of the strategies employed by the project management teams of DOST and its Councils.

The M&E Handbook will be a guide for our project managers in establishing a solid framework upon which monitoring and evaluation systems will be based. It will provide the DOST team a more focused approach in navigating towards our goal of Science for the People by clearly defining our expectations and providing the means to achieve them.

By establishing a strong M&E system, we will optimize R&D results from investments, generate more new knowledge and ensure technology transfer to and utilization by intended users. This is also an opportunity for the DOST to maintain a healthy system of accountability that upholds the interests of the Filipino people. 🌱

# FOREWORD



**ROWENA CRISTINA L. GUEVARA**  
*Undersecretary for Research and Development*

Innovation is one of the most powerful forces in the new normal. Change is necessary. Be it radical or simple, it is needed in healthcare, transportation, national security, nutrition, the way we do business, the way we manage our resources, the platform we use to educate our children, and even the way we go about our lives.

The demand for change can be satisfied with intense and sustained support to research and development (R&D) activities. We believe that R&D will make change happen. We wish to change the landscape of innovation to be more inclusive and responsive.

Through the M&E Handbook, we have set appropriate indicators and targets for both implementation, processes, outputs, outcomes, and impacts of projects funded under the DOST Grant-in-Aid program at the DOST Central Office as well as the four (4) DOST Councils: National Research Council of the Philippines (NRCP), Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (PCAARRD), Philippine Council for Health Research and Development (PCHRD) and Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD). Monitoring and evaluation afford us the rare opportunity to study, analyze and enhance our strategies in managing the impact of science, technology, and innovation in ensuring that we serve the interests of our nation. 

# ABBREVIATIONS/ACRONYMS

<b>2Is</b>	Social and Economic Impacts
<b>6Ps</b>	Publication, Patent, Product, People Service, Place & Partnership, Policy
<b>API</b>	Application Programming Interface
<b>CMIS</b>	Content Management Information System
<b>CO</b>	Capital Outlay
<b>DBM</b>	Department of Budget and Management
<b>DC</b>	Directors' Council
<b>DOST</b>	Department of Science and Technology
<b>DPMIS</b>	DOST Project Management Information System
<b>ED</b>	Executive Director
<b>EXECOM</b>	Executive Committee
<b>GAD</b>	Gender and Development
<b>GIA</b>	Grants-in-Aid
<b>GB</b>	Governing Body
<b>GC</b>	Governing Council
<b>HEI</b>	Higher Education Institute
<b>HNARDA</b>	Harmonized National Research and Development Agenda
<b>IC</b>	Indicator Cascade
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MEST</b>	Monitoring and Evaluation for Stories Template
<b>MOOE</b>	Maintenance and Other Operating Expenses
<b>NRCP</b>	National Research Council of the Philippines

<b>OUSECRD</b>	Office of the Undersecretary for Research and Development Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development
<b>PCAARRD</b>	Philippine Council for Health Research and Development
<b>PCHRD</b>	Philippine Council for Industry, Energy, and Emerging Technology Research and Development
<b>PCIEERD</b>	Planning and Evaluation Service-Information and Technology Division
<b>PES-ITD</b>	Technology Division
<b>PES-PCMD</b>	Planning and Evaluation Service-Program Coordination and Monitoring Division
<b>PM</b>	Project Manager
<b>PMT</b>	Project Management Team
<b>PREXC</b>	Program Expenditure Classification
<b>PS</b>	Personal Services
<b>R&amp;D</b>	Research and Development
<b>RDI</b>	Research and Development Institute
<b>RDRU</b>	Research and Development Research Utilization
<b>S&amp;T</b>	Science and Technology
<b>SPD</b>	Special Projects Division
<b>TP</b>	Technical Panel
<b>TREP</b>	Technical Review and Evaluation Panel

## Contents

MESSAGE	2
MESSAGE	2
FOREWORD	3
Abbreviations/Acronyms	4
I. INTRODUCTION	10
II. M&E PROTOCOL	12
A. Definition	12
B. Key Principles	12
C. Process	13
D. Communicating M&E Results and Customer Feedback	26
Communication in M&E for Research and Development	26
Customer Feedback	39
E. Content Management Information System (CMIS)	41

# Department of Science and Technology

## RESEARCH AND DEVELOPMENT

### M&E HANDBOOK

## I. INTRODUCTION

### Rationale

Research and Development (R&D) Project Management is conducted to ensure that R&D investments are allocated to activities that will result in achieving the strategic objectives of DOST. It encompasses a wide range of processes that include strategic planning, program and project development, monitoring and evaluation (M&E), and optimization.

The M&E Handbook was developed to operationalize the DOST Administrative Order (A.O.) No. 014, series of 2019 referred to as the Project Monitoring and Evaluation (M&E) Protocol of the DOST, in line with Republic Act (R.A.) 11302 on Ease of Doing Business.

### Objectives

The DOST M&E handbook was developed for project managers, researchers, and evaluators within the DOST network who are responsible for collecting, analyzing, and distributing information on DOST Grants-In-Aid (GIA) programs and projects. It is designed to guide project managers, researchers, and evaluators in the establishment and use of M&E protocol and information systems. It should also serve as a guide to improve understanding of M&E and increase competency in key aspects of practicing M&E.

The M&E Handbook is intended to strengthen the following principal

competencies:

1. Understanding conceptual frameworks for program design and planning upon which M&E process will be based;
2. Identifying and distinguishing between the key components of M&E systems;
3. Understanding the synergistic relationships between program design and management, and the M&E process in order to determine the expected impact vis-a-vis objectives and how they will be achieved;
4. Acquiring knowledge on the various tools and frameworks for M&E design, planning and management;
5. Determining appropriate indicators and targets as well as project outputs, outcomes, and impact;
6. Identifying potential sources and tools for collecting and analyzing information and tracking progress and impact; and
7. Developing effective, flexible, and responsive M&E plans, recording, and sharing information on best practices and lessons learned in M&E throughout the organization.

## Scope

This handbook has two (2) sections for optimal use of the project managers, researchers, and evaluators:

**Section I** provides the rationale, objectives, scope of the handbook, and the process of handbook development.

**Section II** defines M&E including key principles, R&D programs and projects processes, communicating M&E and customer feedback, and content management information system (CMIS).

## Process of Handbook Development

The handbook was developed from the harmonization of processes, tools, and systems of the DOST sectoral councils with the Office of the DOST Undersecretary for Research and Development. A series of consultations and meetings were conducted to engage stakeholders in the process.

## II. M&E PROTOCOL

### A. Definition

The DOST Project M&E Protocol (Annex 1) refers to a set of activities, guidelines, evaluation tools, and indicators that are specifically designed to track the performance of the various components or steps in the implementation of the DOST R&D agenda. It aims to provide a feedback mechanism to improve its processes which shall result in significant R&D outputs, outcomes, and impacts. It was created based on existing M&E models and best practices being integrated with the functions of DOST sectoral councils.

It is intended for the use of DOST and its partners through results-based management. The data to be gathered during the conduct of the M&E Protocol may be used for reporting purposes to the Department of Budget and Management (DBM), House of Representatives, Senate, media, and the general public.

### B. Key Principles

#### a. Emphasis of Pre-Proposal Activities

DOST recognizes that this component is a critical step in the R&D process. It is both a preparatory stage for all stakeholders to engage in R&D, proposal formulation, and leveling off with researchers on what R&D outputs, outcomes, and impacts are expected from DOST grants. A stakeholder refers to any individual, entity, or organization that has an input, interest, or benefit and those that will be affected in the DOST program/project outcomes.

#### b. Active Collection and Sharing of Data

The M&E indicators are datasets that need to be gathered regularly. This is the responsibility of both the proponents and project managers in the Councils. The DOST Project

Management Information System (DPMIS) shall serve as a repository of all funded projects where proponents/project leaders and managers shall regularly fill in data for project outputs (6Ps), outcomes and impacts.

c. Project Evaluation of Experts

DOST shall embark on building its pool of internal and external proposal/project evaluation experts. These experts are respected in their fields and have knowledge in DOST project evaluation and R&D management including R&D impact principles.

d. The Role of Project Managers

Project managers shall be an integral part of the R&D project. Once a project has been approved, the project managers shall help facilitate the success of the project. Project outputs, outcomes, and impacts (wherever is applicable) shall be compiled by the respective concerned DOST offices through the assigned project managers.

e. Outputs, Outcomes, and Impacts

DOST shall measure not just outputs and outcomes but most importantly, project impacts. An important requisite is the incorporation of the theory of change to facilitate the determination of potential impacts as early as the proposal stage.

## C. Process

The M&E process is composed of the following components: stakeholder engagement, call for proposals, proposal evaluation, project implementation, and project output/outcome/impact evaluation. As such, M&E is embedded for each and every step.

## **1. Stakeholder Engagement**

### **1. Agenda Setting and Prioritization**

All R&D plans must be aligned with the current DOST Priorities and Thrusts (e.g., Harmonized National R&D Agenda 2017-2022). Priority setting per major R&D field is done every six (6) years with medium-term planning with stakeholders at least every three (3) years.

### **2. Conduct of Workshops with R&D proponents**

In coordination with higher education institutions (HEIs) and Research and Development Institutes (RDIs), the concerned DOST offices shall provide workshops on the following: (i) proposal formulation, (ii) project output communication, (iii) scientific writing, and (iv) impact science: R&D outputs, outcomes, and impacts.

### **3. Monitoring of Researchers**

The DPMIS shall be used to monitor its pool of researchers for various purposes, such as tracking the number of personnel involved in R&D and identifying researchers for directed research.

### **4. Conduct of Ex ante Analysis**

The DOST shall commission the conduct of ex-ante analysis to validate the identified potential impacts of proposed programs/projects. The Impact Assessment Guidelines: Ex-Ante and Ex-Post Impact Assessment of DOST Programs/Projects are presented in Annex 2.

## **5. Institution evaluation/readiness**

It is a measure/assessment of the research capacity of HEIs and RDIs to conduct R&D in accordance with their readiness level.

DOST has developed the Research Readiness Level (RRL) tool (Annex 3) to be used in assessing how far a Higher Education Institute (HEI) has proceeded in terms of R&D. The tool is also used to help the management in making decisions on what interventions to undertake to capacitate the HEI. Among the areas of evaluation include (a) Agenda setting, research design, and implementation; (b) Capacity Building, (c) Research Utilization, (d) Resource Mobilization, (e) Structure/Organization, (f) Monitoring and Evaluation, and (g) Technology Transfer and Commercialization.

## **6. Researcher Absorptive Capacity**

It is a measure to determine the ability of the researcher to manage and implement DOST-funded projects.

### **2. Call for Proposals**

There are three (3) types of call for proposals: (a) Directed research calls wherein the R&D topic/field and the proponent have been identified; (b) Solicited calls wherein a group of HEIs/RDIs is first identified and subsequently the specific R&D topic/field is further refined; and (c) Open calls wherein a set of R&D topic/field is listed, and proposal submission is open to all eligible institutions.

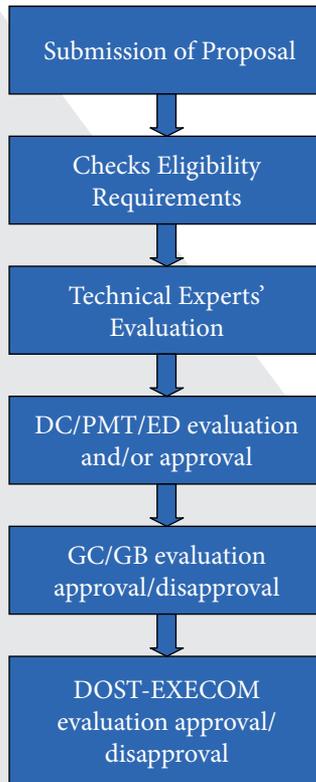
Based on the type of call, concerned DOST offices shall disseminate their call for proposal with information on proponent eligibility, line-item budget, expected outputs/outcomes/impacts and other requirements. All calls shall be disseminated (e.g., online through website, email, social media, and through direct communication) to all stakeholders.

Postings of calls and call conferences shall be done by DOST based on agreed schedules.

An online system is established where proposals will be submitted through the e-proposal system of DOST.

### **3. Proposal Evaluation**

DOST Offices shall follow their respective systems of proposal evaluation. It shall also complete its evaluation within the prescribed duration as reflected in the Citizen's Charter, which shall be within 40 working days in compliance with R.A. 11032 or the Ease of Doing Business Act. Figure 1 shows the generic evaluation process flow of proposals from the submission of proposals to approval of programs/projects. Specific evaluation process flow of DOST-Special Projects Division (SPD) is presented in Annex 4, National Research Council of the Philippines (NRCP) in Annex 5, Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development (PCAARRD) in Annex 6, Philippine Council for Health Research and Development (PCHRD) in Annex 7 and Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) in Annex 8.



*Figure 1: Evaluation Process of Proposals Submitted for Funding*

Upon receipt of the proposals, the Project Managers shall check and review the eligibility requirements of the program/project proposal, implementing agency, and the program/project leader. Detailed proposals with incomplete information or attachments must not be processed or endorsed for succeeding evaluation.

Once completed, the Project Managers shall endorse the program and project proposals for Technical Experts' evaluation, as needed. All proposals with deficiencies and/or have major revisions are returned to the proponent.

Proposals recommended by the experts shall be deliberated/ approved by the Directors' Council/Management Team/ Executive Director/R&D Committee, as applicable, and endorsed for subsequent approval by the Governing Council/ Governing Board for Council GIA. In the case of DOST-GIA-

funded projects, proposals shall be approved by the Executive Committee (EXECOM).

The following sections provide the different programs funded by DOST including the eligibility requirements, evaluation/selection criteria for the proposals, and selection criteria for experts.

## **1. S&T Programs Funded by DOST**

As stipulated in DOST A.O. 011, Series of 2020 (Annex 9), DOST provides funding to different programs such as (a) Research and Development, (b) R&D Results Utilization (RDRU), (c) Development of Human Resources and R&D institutions and (d) S&T Service such as advocacy, information dissemination and linkages.

### **i. Research and Development (Generation of Knowledge and Technologies)**

This program is defined as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock knowledge to devise new applications through the conduct of fundamental/basic research, applied research, experimental development, and pilot testing.

### **ii. R&D Results Utilization (Diffusion of Knowledge and Technologies)**

This program refers to the technical utilization and dissemination of knowledge and innovation generated from R&D to reach the end-users. This includes technology transfer, technology

receptor capability building, and innovation capacity-building.

iii. Development of Human Resources and R&D Institutions for the S&T Sector

This program involves a wide range of interventions from the provision of high-quality formal education at all levels to specialized training, with a focus on young scientists and engineers, and development, attraction, and retention of the country's S&T talents. Specifically, the human resource component of the institutions shall be capacitated through short-term and long-term training in fields/areas within the DOST priorities.

iv. S&T Service such as Advocacy, Information Dissemination and Linkages

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The S&T services provided by DOST aim to strengthen the S&T infrastructure in order to develop and upgrade national, regional, and local S&T capacities of institutions and centers of excellence. These services include the following:

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- Improving/upgrading the testing, measurement, and calibration services of government laboratories and facilities. It also includes improving/upgrading and/or repair of the R&D facilities (e.g., laboratories, cold storage, cages, ponds/pens, nursery, animal shed, among others). Acquisition of equipment for the R&D facilities is also given priority;
  - Development of information resources/ databases and general-purpose data collection
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to record natural, biological, or social phenomena that are of general public interest;

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- Testing and calibration services of R&D institutes and other DOST regional offices;
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- S&T regulatory and licensing work, to include PNRI's nuclear regulation and licensing policy related such as those made by the DOST Central Office;
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- Publications/book writing on S&T including subsidy/grant to science and technology journals;
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- S&T policy development including secretariat services and management support to S&T programs and projects; and
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- Other S&T linkages development/promotion activities (to include among others, organization and strengthening of S&T networks, and bilateral agreements, S&T programs for women and tri-media).

## **2. Eligibility and Documentary**

The eligibility requirements shall follow Section VI of DOST A.O. 011, Series of 2020 – Revised Guidelines for the Grants-in-Aid of the Department of Science and Technology and its Agencies.

Technical Requirements that must be supplied:

**Facilities improvement/upgrading of existing structures:**

- Scope of works;
- Approved technical drawings/plans;
- Approved detailed cost estimates for the supply of labor and materials;
- Reasonable purpose/usage or justification; and
- Pictures of structures to be repaired.

#### **Acquisition of equipment**

- Equipment technical specifications;
- Quantity;
- Unit cost/Total cost; and
- Reasonable purpose/usage or justification.

### **3. Evaluation/Selection Criteria**

Proposals undergo three (3) to five (5) levels of evaluation based on the internal policies of the DOST and its Sectoral Councils. The following are the levels of evaluation:

- Division Level (Internal);
- Technical Expert (External);
- Management Team - PCIEERD Management Team (PMT), Directors' Council (DC) of PCAARRD, Executive Director (ED) of PCHRD, and NRCP EXECOM with below P5 million funding;
- Governing Council/Board - above 5 Million funding; and
- DOST Executive Committee (EXECOM) - for all DOST-GIA funding.

The selection and evaluation criteria and ratings are presented in Tables 1 and 2.

Table 1: Criteria for Evaluating Proposals

<b>Criterion</b>	<b>Definition</b>
<b>Relevance or Significance</b>	Aligned to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition, and gender and development.
<b>Technical / Scientific Merit</b>	Sound scientific basis to generate new knowledge or apply existing knowledge in an innovative manner.
<b>Budget Appropriateness</b>	The proposed budget is commensurate to the proposed work plan and deliverables.
<b>Competence of Proponent</b>	Proponent's expertise is relevant to the proposal and with proven competence to implement, manage and complete R&D programs/projects within the approved duration and budget.

The Councils may assign the weights to be applied.

Table 2: Governing Council / Board and EXECOM's Evaluation Criteria

<b>CRITERIA</b>	<b>INDICATORS</b>	<b>RAW SCORE</b>
A. Soundness of Proposal (20%)	The R&D addresses relevant sectoral need (applicable to pressing concern).	5
	The solution provided is most effective (compared to other proposed solutions).	5
	The proposed budget is reasonable (the project is not expensive vis-a-vis output).	5
	The work plan is doable in a given timeframe.	5

B. Suitability of Output (30%)	The R&D output is cost-effective (cost is competitive in relation to new or existing products or process).	5
	Should have an identified partner to adopt the technology (with a letter of support from the head of the company).	5
	The output can be commercialized (through an existing manufacturer, spin-off, or start-up company).	5
	The R&D utilization is timely (output should not be overtaken by other solutions).	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (e.g., food, health, education); political, cultural, gender sensitivity, and inclusivity.	5
	Environment: enhanced environmental health standards, no adverse effect to the environment.	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial, and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project).	5

D. Competence of Proponent (20%)	The proponent's expertise is aligned with the proposal.	5
	Collaboration with relevant agencies and/or industry partners.	5
	Thorough understanding of the proposal's deliverables.	5
	DOST has good experience with the proponent.	5

Additional Criteria to be considered is the Gender and Development (GAD). The objectives of the harmonized GAD guidelines are: (1) to provide funding agencies and other Philippine government agencies, and development practitioners with a common set of analytical concepts and tools to integrate gender concerns into development programs and projects; and (2) to help achieve gender equality in and empower women through projects and programs. The guidelines consist of three sets of checklists. The first set pertains to project or program development, from problem identification through design. This set includes checklists/forms (Annex 10) for project management, monitoring, and evaluation. Each checklist comes with a set of instructions on how to accomplish it. The guidelines are useful to project or program planners and designers as well as to agencies that evaluate project proposals.

#### 4. Selection Experts

Concerned agencies shall select and designate experts to review the proposals. These are seasoned researchers with at least five (5 years)

of research experience, established expertise in their fields, among others. Details on the guidelines in the selection of the Members of the DOST Experts Pool are stipulated in Annex 11.

## **5. Project Implementation and Monitoring/ Evaluation**

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Project implementation and monitoring/ evaluation shall follow the approved DOST-GIA Guidelines (A.O. 011, s. 2020) and DOST M&E Protocol (A.O. 014, s. 2019).

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## **6. Project Outcome and Impact Evaluation**

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As described in DOST M&E Protocol (A.O. 014, s. 2019), outcomes and impacts are results beyond the 6Ps that are still traceable or attributable to the project.

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Impact assessments will be done by an external and independent party. These shall be conducted three (3) to five (5) years after project completion. It can also be done for ongoing major programs (e.g., DOST-directed projects) as needed.

The criteria and steps in the conduct of ex-post/ impact assessment of DOST programs/ projects are stipulated in Annex 3.

# **D. Communicating M&E Results and Customer Feedback**

## **Communication in M&E for Research and Development**

Communication is critical in realizing positive M&E results across

the R&D process. It is equally important in cascading M&E results which are proof points of R&D's role in achieving inclusive growth and development.

The DOST shall enable platforms and activities to boost communication with various stakeholders. To achieve a wide range of goals, the DOST shall support M&E in R&D by pursuing communication activities under two categories namely: (1) Operational communication and (2) External advocacy communication.

## **1. Operational Communication**

### OBJECTIVE AND STAKEHOLDERS

Operational communication contributes to the successful implementation of the R&D process. It enables platforms for more purposeful conversations and an effective flow of information within the organization and with partners involved. Operational communication promotes inter-departmental collaboration, productivity, stakeholder engagement, R&D culture building, and customer satisfaction.

Under this handbook, operational communication activities are mostly face-to-face, interpersonal communication initiated and made by the project managers as part of their regular responsibilities. In delivering their tasks, project managers shall reach out to and communicate with any or all of the following stakeholders:

- DOST leaders and management;
- DOST R&D offices such as research councils, RDIs, OUSECRD;
- DOST communication officers;
- Potential and current research proponents;
- Government agencies involved in realizing R&D goals, i.e., legislative bodies; and
- R&D partner institutions.

As may be needed, particularly when communicating with external stakeholders, the project managers shall coordinate and work with the communication units of DOST R&D agencies particularly the Office of the Undersecretary for R&D (OUSECRD), research councils, and research development institutes (RDIs).

### OPERATIONAL COMMUNICATION ACROSS THE R&D PROCESS

Operational communication activities form part of the tasks across all components of the R&D process. These activities seek to:

- Encourage partners and stakeholders to share their views, feedback, and recommendations on how to make R&D projects more relevant and impactful;
- Boost storytelling on R&D outputs, outcomes, and impacts by strengthening alignment with the communication units of DOST agencies;
- Ensure clarity of information with regard to R&D plans and activities among target and involved stakeholders such as research proponents;
- Develop and nurture relations with R&D partners
- Help improve R&D planning and strategy through the sharing of M&E results across DOST agencies; and
- Inspire employees about R&D through internal cascade of R&D outputs, outcomes, and impacts.

Operational communication activities shall utilize various platforms such as, among others:

- i. Platforms to engage stakeholders outside DOST:
  - R&D workshops, call conferences, roadshows, etc.;
  - In-person activities with research proponents;
  - Communication tools such as messaging apps

- and hotlines; and
- DOST website.

- ii. Platforms to engage stakeholders within DOST:
  - Intra-DOST emails;
  - Face-to-face engagements within DOST (e.g., ManCom meetings, internal brainstorming, planning sessions, small group meetings, etc.);
  - Inter-department communication tools (e.g., memo, templates, etc.); and
  - Content Management and Information System (CMIS).

## 2. External Advocacy Communication

### OBJECTIVE AND STAKEHOLDERS

External advocacy communication refers to crafting strategies, developing communication plans, and implementing activities towards increasing awareness, fostering appreciation, and securing buy-in on R&D. Through this, DOST shall deliver key R&D communication messages to external stakeholders.

The communication units of the DOST R&D agencies particularly the OUSECRD, research councils, and RDIs shall design and implement communication activities targeting various stakeholders.

The communication officers shall perform their roles to reach out to and communicate with any or all of the following stakeholders:

- Higher education institutes (HEIs)/academia;
- Private sector companies;
- Industry associations and partners;
- Potential technology adopters and investors;
- National government agencies;
- Local government units;
- Non-profit organizations;
- Scientific community; and
- General public.

To achieve a more impactful and meaningful communication of R&D activities, outputs, outcomes, and impacts, the communication officers shall work together through the R&D Communication Committee (RD Comms). They will closely align their efforts with the DOST Science, Technology, and Information Institute (STII).

### External Advocacy Communication Across the R&D Process

Communication officers shall develop and execute communication plans in support of the R&D process components. Each communication plan must contain the following elements:

- Communication objectives and target audience;
- Key messages to be delivered;
- Communication activities and target platforms;
- Communication materials, highlighting roles and successes of R&D projects; and
- Inputs to communication activities on the outcome and impacts of DOST's R&D portfolio.



Figure 5. Communication goals, content focus, and possible platforms for external advocacy communication support per R&D process component

The communication activities per each component are described as follows (See Figure 5):

- a. **Communication for Stakeholder Engagement.** The communication officers shall disseminate relevant information and generate interest in R&D among government agencies, HEIs, and industries. Content shall be anchored on highlights of DOST's R&D workshops and other R&D-related activities, i.e., roadmap development, call conference, among others. DOST's website and social media accounts shall be maximized for this purpose.

In coordination with the project managers, the communication officers shall support DOST's face-to-face engagements in relation to securing government support for more R&D investments.

- b. **Communication to Promote Call for Proposals.** The communication officers shall work to help increase the rate of inquiry and R&D proposal submission from qualified individuals and institutions. Communication materials shall talk about the call's objectives, scope, and priority areas.

The communication officers shall also work to promote the value of industry-academe collaboration in research and development.

Under this component, DOST shall tap its own digital and communication channels. As needed, it may place advertisements to reach out to a larger, wider, and dispersed set of audiences.

- c. **Communicating Results of Proposal Evaluation.** The communication officers shall disseminate results of the R&D proposal evaluation to ignite pride among accepted project proponents and inspire other scientists and universities to conduct research. Quad media, including social media pages, shall be utilized to spread awareness about the evaluation results.
- d. **Communication during Project Implementation and Monitoring.** The communication officers shall rollout efforts to increase awareness, knowledge, and appreciation of the benefits

of DOST's R&D projects. They shall develop stories to highlight successes based on the 6Ps + 2Is indicators; the researchers involved; and the resulting technologies for adoption and commercialization.

The communication officers shall widen DOST's reach by tapping the quad media and maximizing platforms-such as website, YouTube, social media, DOST billboards/ LED wall, exhibit booths, technology promotion platforms, among other means.

e. **Communication to Highlight Project Outcomes and Impact.**

The communication officers shall dedicate a substantial proportion of efforts towards spreading awareness and appreciation of the R&D outcomes and impacts. Communication activities will highlight how R&D positively made a difference in government policymaking, local government programs, industry products and services, the economy, and the lives of Filipino communities.

The end goal is for stakeholders to recognize the role of R&D in nation-building and development, and as such, secure their buy-in for more R&D investments and activities.

Communication tactics under this component include advertising/ media placements, publicity and media engagements, events and on-ground activations, direct-stakeholder engagements, digital and social media communication, partnerships, and co-branding, among others.

3. **M&E and Communication Alignment**

The need for alignment between DOST's M&E and R&D communication cannot be overemphasized. Project managers and communication officers shall work together to effectively deliver relevant information and R&D messages to target stakeholders.

Figure 6 summarizes the alignment between the M&E team and the communication units of research councils, RDIs, and the OUSECRD. It describes the respective tasks of project managers

and communication officers and highlights the Indicator Cascade as a mechanism for crafting better stories and content.

Below are the key elements of the framework.

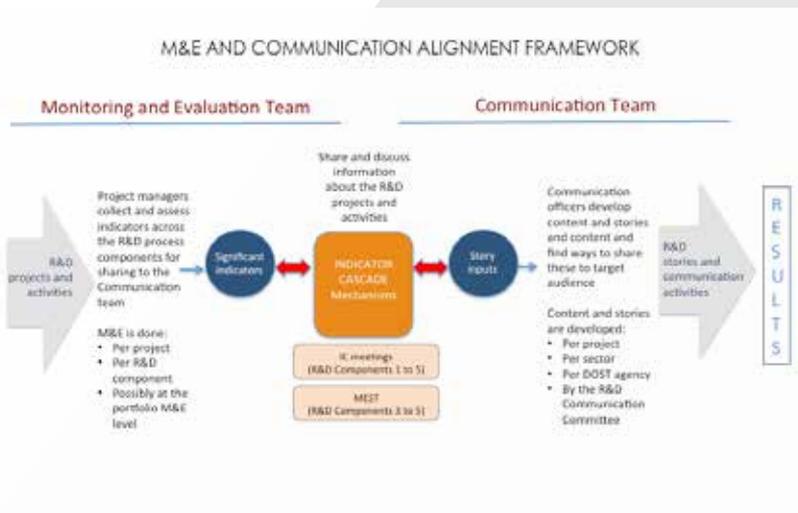


Figure 6. M&E and Communication Alignment Framework

a. **Role of Project Managers.** To help improve communication of R&D outputs, outcomes, and impacts, the project managers shall:

- Share gathered R&D indicators and information about DOST research projects and activities to the communication officers.
- Discuss gathered R&D indicators and information with communication officers through Indicator Cascade meetings (*see letter c below*).
- Accomplish at least one M&E Stories template (*see Annex 17*) per R&D project.
- Assist communication officers when gathering additional information about DOST research by addressing project-related queries or referring them to researchers involved.
- Support specific R&D communication activities as resource persons or event facilitators, as needed.

b. **Role of Communication Officers.** To improve R&D

communication, the communication officers shall work closely with the project managers. They shall:

- Develop annual communication strategies and plans to effectively support each component of the R&D process.
- Provide strategic guidance on how project managers could improve their engagements with stakeholders particularly during R&D workshops, call conferences, and major R&D-related presentations to the government.
- Attend Indicator Cascade meetings to better understand gathered R&D indicators and information.
- Develop and disseminate R&D-related content and stories.
- Monitor and evaluate results of communication activities.

c. **Indicator Cascade.** The Indicator Cascade (IC) is a platform for improved collaboration between M&E and Communication officers. The IC shall be rolled out through:-

- i. IC Meetings – a sit-down, face-to-face, or virtual session designed for the M&E team to present the highlights of their reports. It serves as an opportunity for communication officers to clarify details about the indicators and deep dive into the stories behind the data that the M&E yielded.

During these meetings, the M&E personnel and communication officers shall explore which indicators may already be communicated and are worth writing about. Stories on R&D projects may center on the outputs, outcomes, and impact; scientists/ researchers involved; industry partner/s; etc. However, R&D outputs that are undergoing intellectual property procedures may not yet be publicly disclosed.

The M&E and communication units shall agree on the frequency and schedule of the IC Meetings, which shall be plotted vis-a-vis the R&D project timelines.

- ii. M&E for Stories Template (MEST) – a one-page template presented in Annex 17 highlighting indicators and other information relevant to writing stories and developing

communication materials. Project managers shall accomplish the MEST after completing a specific M&E activity, especially during the 3<sup>rd</sup> to 5<sup>th</sup> components of the R&D process. They shall share the accomplished templates with the communication units of DOST agencies.

The DOST shall integrate MEST into the DOST Content Management and Information System (CMIS).

- d. **Portfolio Monitoring for R&D Thematic Communication Campaign.** Under R&D process components 4 & 5, the DOST may conduct a supplementary M&E to provide a comprehensive picture of R&D benefits.

Project managers and third-party evaluators (as may be applicable), shall share results of M&E using the portfolio approach, e.g., sectoral, by institute/ agency, by the problem being addressed, etc. Reports shall be shared with the R&D Communication Committee as a reference in crafting stories and communication materials for an R&D thematic communication campaign.

#### 4. **Evaluating the Alignment between M&E and Communication**

##### METRICS

The DOST shall evaluate the success of the alignment and collaboration between M&E and communication using three levels of metrics, namely: (1) Outputs, (2) Delivery, and (3) Change.

- a. **Outputs.** DOST shall look into the number of communication activities and content produced. Metrics will include at least any or all of the following:
  - Number of stories developed and published;
  - Number of communication materials (e.g., brochures, videos) produced;
  - Number of organized press conferences on an

- R&D project or activity; and
  - Number of media interviews facilitated on an R&D project or activity.
- b. Delivery.** DOST shall assess the reach of R&D-related communication initiatives and the engagements resulting from them. Metrics will include at least any or all of the following:
- i. Reach**
    - Media value of published stories;
    - Circulation/TV ratings of media that published/broadcasted an R&D story;
    - Inclusion of desired messages in stories published through publicity;
    - Website data analytics such as page views and web traffic;
    - Social media page likes and followers; and
    - Number or percentage of target stakeholders who have heard, seen, or learned about the R&D project promoted.
  - ii. Engagement**
    - Number of queries received in response to calls for proposals;
    - Number of potential technology adopters negotiating with DOST;
    - Number or percentage of target stakeholders who have participated in a DOST R&D activity such as R&D workshops, call conference, etc.; and
    - Digital media engagement analytics such as content likes, comments, shares, and downloads.
- c. Change.** DOST shall evaluate the influence of communication activities on stakeholders' perception, attitude, and behavior on R&D. It will examine the changes that were enabled through DOST initiatives. Improvement of indicators under this level will require both communication and program support.

Metrics shall depend on the goals of specific M&E activities and projects. Some examples are:

- Number of research proposal submissions;
- Number of DOST technology adopters;
- Number of industry-academe R&D collaboration;
- Number of policies adopted based on the results of DOST research;
- Value of resources invested by stakeholders for research;
- Number (or percentage) of Filipinos who associate DOST with R&D;
- Number (or percentage) of Filipinos whose appreciation about R&D improved; and
- Number (or percentage) of industry associations that want to partner with DOST for R&D purposes.

### BASELINE DATA

The communication officers shall work closely with the Planning Group to gather baseline data and information in relation to monitoring and evaluating results of the M&E and communication alignment.

## **Customer Feedback**

Customer satisfaction is very important to every organization, in managing and improving the products and services. It provides a leading indicator of the performance of each organization as perceived by its customers. It can also serve as a basis and tool for decision-making on how an organization can improve its products and services. Customer satisfaction is solicited based on criteria set by Memorandum Circular 2020-1, series of 2020 on the Guidelines on the Grant of the Performance-Based Bonus (PBB) for Fiscal Year (FY) 2020 under Executive Order No. 80, s. 2012 and Executive Order No. 201, s. 2016. Agencies must use the 5-point Likert scale as shown in Figure 4.

Figure 4. 5-point Likert Scale

Numerical Scale				
5	4	3	2	1
Very Satisfied	Satisfied	Neither Satisfied nor Dissatisfied	Dissatisfied	Very Dissatisfied
Adjectival Scale				

A sample customer satisfaction feedback form is found on Annex 13.

### Procedure on Handling External Feedback

Each agency shall follow the process flow on handling external feedback as shown below.

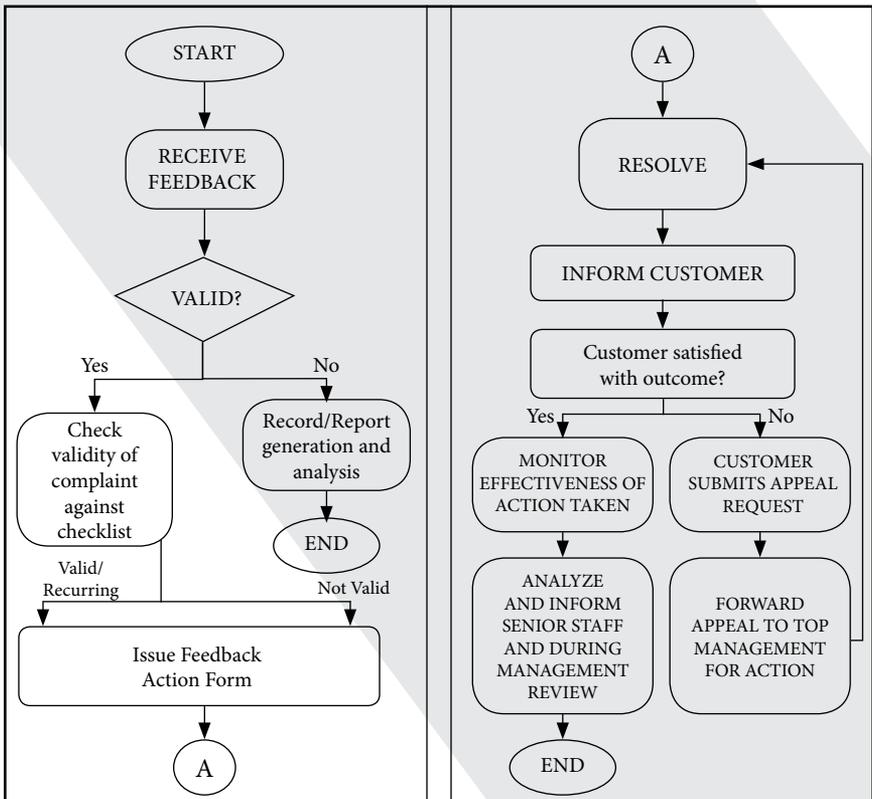


Figure 2: Sample process flow on handling external customer feedback

## **E. Content Management Information System (CMIS)**

Information system has a primordial role in managing and monitoring programs and projects. The system does not only store data but allows flexible, rapid access and easy retrieval of information.

### **CMIS for M&E**

The M&E Protocol encompasses a wide range of processes such as strategic planning/project development, M&E, and optimization, a proper CMIS is highly essential to address the said M&E processes. DOST, therefore, developed an information system, aptly called the DOST Project Management Information System (DPMIS), which stores all programs and projects funded and implemented by DOST. The DPMIS is a web-based information system that contains information on DOST program/project proposals, funded programs/projects, and their fund amounts, researchers, project managers, experts, and equipment that can be accessed online. It facilitates data collection, storage, analysis, and reporting to track and monitor the performance of all programs and projects funded and implemented by the DOST as presented in Figure 5.



Figure 3: DOST Project Management Information System for M&E

Salient features of priority modules in the DPMIS are discussed below:

### 1. Researchers Module

The researchers' database presented in Annex 17 contains information on the names and background of researchers who are the proponents of the projects. As indicated in the M&E Protocol, the DOST, through the CMIS shall monitor its pool of researchers for various purposes, such as tracking the number of personnel involved in R&D, the number of programs/projects the researcher is currently involved in and identifying researchers for directed research. The details of the information needed include name, information, affiliation, educational background, programs/projects involvement, project status (ongoing/ completed), among others.

### 2. E-Proposal Module

The submission of proposals by the proponents will be done through this eProposal module developed by the DOST-Planning and Evaluation Service - Information Technology Division (PES-ITD) and managed by the DOST-SPD. Submitted proposals will be evaluated by DOST-SPD for review on completeness of the document and properly accomplished data fields. Proposals for Council's review and evaluation (i.e., duplication check, etc.) will be forwarded to the Councils' respective server or PMIS via Application Programming Interface (APIs). The Council's individual call for proposal will also be directly forwarded to their server/PMIS.

The major fields required to accomplish in submitting the proposal are illustrated in the DOST Form (Detailed R&D Program/Project Proposal Form) presented in Annexes 14 to 16.

Once the project proposal has been approved, the e-proposal will ferry all the details of the project to the DPMIS as the central repository of all DOST-funded and implemented projects. The project will then be added to the list of programs and projects being monitored by the agency categorized as new programs or projects.

### **3. Project Monitoring Module**

The Project Monitoring module is still under development but once completed, it will give information on the status of funding of a project. The status of funding can be the following: approval of the project by the EXECOM; signing of the line-item budget (LIB); signing of the MOA or Conforme; preparation of the fund release documents such as Disbursement Voucher (DV)/Obligation Request and Status (ORS)/Letter of Instruction (LOI); preparation of the check/List of Due and Demandable Accounts Payable-Advice to Debit Accounts (LDDAP-ADA) or signing of the Advice of Sub-Allotment (ASA); release of the check/LDDAP-ADA; preparation of the Notice of Transfer of Allocation (NTA), and; release of funds. It will also show the fund amount, ASA/NTA/Check numbers, and the agency or institution payee. Fund status per funding year will be shown.

#### **4. Financial Monitoring module**

This module is under development to facilitate the financial monitoring of projects. The financial monitoring module will contain the liquidation status of DOS-funded projects. Details found in this module will include the agency or institution to which the check is issued, check/NTA number information, the amount released, the previous year's savings, amount of liquidation, accounts payable, and the balance.

#### **5. Equipment Module**

The equipment module which contains an inventory of all equipment acquired/purchased in the implementation of the program/project is under development. This will provide information on the name of the institution where the equipment is located, date of acquisition, the amount, etc. The database will enable researchers to locate available equipment from other researchers which are vital in the conduct of the project.

#### **6. Project Managers Module**

The Project Managers database, also under development, contains the names of the technical personnel/staff of the Councils who are responsible for the review, evaluation, and monitoring of the programs/ projects. Information needed from each project manager includes the following: title, name (last name, first name, middle name), sex, position, program/project designation (senior/junior), employment status (permanent/contractual), area of assignment (priority areas handled), institutions/agency, educational attainment, address, contact numbers (telephone/mobile), email address and area/s of specialization (up to three (3) areas of specialization).

#### **7. Experts Module**

The experts' database is also under development and is the

repository of all Technical Panel members who will be tapped to review and evaluate the proposal. This includes the profile of experts as well as their field of expertise. The fields required to be filled up by each expert/panel include the title, name (last name, first name, middle name), sex, designation, base institution/agency, other affiliated agencies, educational attainment, address, contact numbers (telephone/mobile), email address and area/s of specialization (up to three (3) areas of specialization).

## **8. Data Analytics module**

This module facilitates data collection, storage, analysis, and reporting to track, monitor, and assess the performance of all programs/projects for informed decision-making. This module is managed by Planning and Evaluation Service-Program Coordination and Monitoring Division (PES-PCMD).

For a detailed guide on the use of the DPMIS, a DPMIS User's Manual can be accessed at <https://dpmis.dost.gov.ph/index.php/transparency/downloads/category/4-user-manual>.

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# Annexes

# Annex 1

## PROJECT MONITORING AND EVALUATION (M&E) PROTOCOL OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY (DOST)

Administrative Order No. 014  
Series of 2019

Subject: PROJECT MONITORING AND EVALUATION (M&E)  
PROTOCOL OF THE DEPARTMENT OF SCIENCE AND  
TECHNOLOGY (DOST)

### I. RATIONALE

Research and development (R&D) management is conducted to ensure that R&D investments are allocated to activities that will result in achieving the DOST's strategic objectives. It encompasses a wide range of processes that include strategic planning, program/project development, monitoring and evaluation (M&E), and optimization. Alignment with the strategic objectives does not only start with M&E but a huge part of it begins with planning, that is, prioritization, foresight, and stakeholder engagement. Human resource and institutional capacity are also vital components in R&D management and play a crucial role in the delivery of expected outputs.

This Administrative Order harmonizes DOST practices for efficient R&D management, inclusive of stakeholder engagement and measurement of the impact of programs/projects.

### II. SCOPE/COVERAGE

The DOST M&E Protocol covers a set of activities, guidelines, evaluation tools, and indicators that are specifically designed to track the performance of the various components or steps in the implementation of its R&D agenda. It aims to provide a feedback mechanism for DOST to be able to improve its processes which shall result in significant R&D outputs, outcomes, and impacts. It was created based on existing M&E models and best practices being integrated with the functions of the Councils.

This M&E Protocol is intended for the use of DOST and its partners through results-based management. The data to be gathered during the conduct of the M&E Protocol may be used for reporting purposes to the Department of Budget and Management (DBM), Congress, Media, and the general public.

### III. CENTRAL RESPONSIBILITY

The implementation of this M&E Protocol shall be the responsibility of all grant-giving institutions within the Department primarily the Sectoral Councils (*i.e.*, Philippine Council for Agriculture, Aquatic, and Natural Resources Research and Development, Philippine Council for Health Research and Development, and Philippine Council for Industry, Energy, and Emerging Technology Research and Development). With necessary modification, the same protocol must be adopted by the National Research Council of the Philippines and other DOST agencies, namely DOST Regional Offices, DOST Research and Development Institutes, among others with grants-in-aid and budget for their internal R&D.

### IV. DEFINITION OF TERMS

The terms herein used shall mean as follows:

1. **Activity** – refers to an action taken, or work performed through which inputs are used to produce specific outputs. Examples of activities include equipment purchase and laboratory setup, experiments and prototyping work, trainings, conference atten-

dance, etc.

2. **Client Satisfaction Survey** – refers to a tool to measure the level of satisfaction of clients for goods and services rendered.
3. **DOST Project Management Information System (DPMIS)** – refers to the online system that contains information on project proposals, funded projects, and researchers that can be accessed by the proponents and Project Managers. The system is managed by the DOST-Planning and Evaluation Service (PES).
4. **Ex-ante analysis** – refers to the M&E tool used to validate underlying assumptions and indicators of programs/projects. It is used to determine plan/program/project benefits or value (expected and actual).
5. **HNRDA** – refers to the Harmonized National Research and Development Agenda serves as a guide for public investment in R&D to ensure a cohesive convergence and integration of R&D efforts towards the shared goal of inclusive socio-economic growth and a better life for Filipinos. HNRDA will serve as a platform of DOST to determine the R&D programs that will be funded by the government and ensure that results of S&T endeavors are geared towards and utilized in areas of maximum economic and social benefit for the people in the next five (5) years (2017-2022).
6. **Impact** – refers to the direct or indirect change in the economy, environment, society, and beyond contributions to academic knowledge that may be attributed to the project.
7. **Impact pathway** – refers to the plausible steps of how research outputs will contribute to sets of outcomes. The impact pathway identifies the different phases, the actors involved, their networks and interactions, the flow of resources, and the progressive integration of different forms of knowledge and know-how into outcomes and impacts.
8. **Input** – refers to the financial, human, and material resources use in the conduct of a project.
9. **Outcome** – refers to the change in practices, behavior/skills/ attitude, institutions, government policy and plans, and accessibility to programs (*e.g.*, services) as a result of interventions or R&D outputs.

10. **Output** – refers to the resulting academic output such as: publications, patents filed, products developed, facilities and partnerships established, people trained and graduated, public service provided, and science-based policies passed or prepared from the completion of projects. Monitoring agencies should ensure that the DOST will always be cited and recognized in all the resulting outputs of DOST-funded projects.
11. **Project Manager** – refers to the DOST technical staff responsible for research planning, monitoring, or overseeing the implementation of programs/projects, and ensuring the assessment of outputs, outcomes, and impacts.
12. **Selection Criteria** – refers to a standard that is used for evaluation of program/project proposal. It includes prioritization of funding to programs/projects aligned to HNRDA, relevance and responsiveness, readiness and chance of success, the benefit to cost, partnership and collaboration, potential impact, and sustainability as provided in the Administrative Order (A.O.) No. 009 Series of 2017 and the DOST-EXECOM directive.
13. **Theory of Change** – refers to the conceptual framing of the program or project. This provides a comprehensive description and illustration of how and why the desired change was expected to happen in a particular context. It identifies the sequence of events leading to a result and the underlying assumptions, which need to hold the theory to operate as expected. This provides the rationale for which impact pathways the project will pursue.

## V. KEY PRINCIPLES OF THE M&E PROTOCOL

### 1. Emphasis on Pre-Proposal Stage Activities

DOST recognizes that this component is a critical step in the R&D process. It is both a preparatory stage for all stakeholders to engage in R&D, proposal formulation, and leveling off with researchers on what R&D outputs, outcomes, and impacts are expected from DOST grants.

### 2. Active Collection and Sharing of Data

The M&E indicators are datasets that need to be gathered

regularly. This is the responsibility of both the proponent and the Project Managers in each Council. The DOST Project Management Information System (DPMIS) shall serve as a repository of all funded projects where proponents/project leaders and managers shall regularly fill in data for the project outputs (6Ps), outcomes and impact.

### 3. Project Evaluation by Experts

DOST shall embark on building its pool of internal and external proposal/project evaluation experts. These experts are respected in their fields and have knowledge in DOST project evaluation and R&D management including R&D impact principles.

### 4. The Role of Project Managers

Project Managers shall be an integral part of the R&D project. Once a project has been approved, the Project Managers shall help facilitate the success of the project. Project outputs, outcomes, and impact (wherever is applicable) shall be compiled by the respective concerned DOST Offices through the assigned Project Managers.

### 5. Outputs, Outcomes, and Impacts

DOST shall measure not just outputs and outcomes but most importantly, project impacts. An important requisite is the incorporation of the theory of change to facilitate the determination of potential impacts as early as the proposal stage.

## VI. M&E OF R&D PROGRAMS/PROJECTS

The process of R&D is composed of the following components: stakeholder engagement, call for proposals, proposal evaluation, project implementation, and project output/outcome/impact evaluation. As such, M&E is set up for each and every step.

### 1. Stakeholder Engagement

### **Activities:**

- a. *Setting of R&D priority.* All R&D plans must be aligned with the current DOST Priorities and Thrusts (e.g., Harmonized National R&D Agenda 2017-2022). Priority setting per major R&D field is done every six (6) years with medium-term planning with stakeholders at least every three (3) years.
- b. *Conduct of Workshops with R&D proponents.* In coordination with higher education institutions and RDIs, the concerned DOST Offices shall provide workshops on the following:
  - i. Proposal formulation;
  - ii. Project output communication;
  - iii. Scientific writing, and
  - iv. Impact Science: R&D outputs, outcomes, and impacts.
- c. *Monitoring of Researchers.* The DOST, through DPMIS, shall monitor its pool of researchers for various purposes, such as tracking the number of personnel involved in R&D and identifying researchers for directed research.
- d. *Conduct of Ex-Ante Analysis.* The DOST shall commission the conduct of ex-ante analysis to validate the identified potential impacts of proposed programs/projects.

### **Indicators:**

- a. *Number of institutions engaged.* Each year, concerned DOST Offices shall keep track of the number of workshops conducted, number of institutions represented, and number of researcher attendees. Emphasis is given to early career researchers and institutions with an emerging research culture.
- b. *Institution readiness (Research Readiness Level-RRL).* This is a measure/assessment of the research capacity of HEIs and RDIs. Specific calls for proposals shall target HEIs/RDIs in accordance with their RRL.
- c. *Researcher absorptive capacity.* This is a measure to determine the ability of a researcher to handle projects. Per DOST AO 009, series of 2017, a Project Leader shall be allowed to handle two

(2) programs or three (3) projects at a time, while a Project Staff shall be involved in only two (2) projects at a time.

## 2. Call for Proposals

There are three (3) types of call for proposals: 1) *Directed research calls* wherein the R&D topic/field and the proponent have been identified; 2) *Solicited calls* wherein a group of HEIs/RDIs is first identified and subsequently the specific R&D topic/field is further refined; and 3) *Open calls* wherein a set of R&D topics/fields is listed, and proposal submission is open to all eligible institutions.

An online system shall be established where proposals will be submitted through a content management system (CMS).

### Activities:

- a. *Formulation of Calls.* Based on the types of calls, concerned DOST Offices shall disseminate their call for proposals with information on proponent eligibility, line-item budget, expected outputs/outcomes/impacts, and other requirements.
- b. *Posting of Calls.* All calls shall be disseminated (e.g., online, through a website, email, social media, and through direct communications) to all stakeholders. The schedule of call for proposals are as follows:

April – posting of main call

June – deadline of proposal submission

October – posting of second call (if needed)

November – deadline of proposal submission for the second call

Note that the call each year is for projects for funding in January two years after (e.g., the April 2019 call will be for projects to start in January 2021). However, for urgent projects and whenever there are still available funds, DOST may opt to start the project in January of the succeeding year (e.g., January 2020).

For the call for proposals during the period April to June, concerned DOST Offices may opt to have staggered calls and consequently varying dates of end of calls. This is intended

to spread out the evaluation work that will follow the compilation of submitted proposals.

**Indicators:**

- a. *Number of proposals.* The number of proposals received per open call and cumulative per year.
- b. *Number of unique institutions.* The number of institutions that submitted proposals during the Call per year.
- c. *Number of new institutions.* The number of institutions participating in the call for proposals for the first time. These new institutions shall be validated with the existing list of institutions maintained by concerned DOST Offices.
- d. *Number of new proponents.* The number of first-time project leaders.

### **3. Proposal Evaluation**

Concerned DOST Offices shall follow their respective systems of proposal evaluation. However, pursuant to Republic Act 11032 or the Ease of Doing Business Act, the DOST Offices shall complete its evaluation within the prescribed duration as reflected in the Citizen's Charter, which shall be within 40 working days. The following prescribed procedure for proposal evaluation may be adopted:

- a. Project Managers check for completion of proposal submission and eligibility of proponent/s. Proponents with deficiencies (technical and financial) from previous projects are not eligible to apply.
- b. Project Managers endorse projects for the experts' evaluation, as needed. All proposals with deficiencies and/or have major revisions are returned to the proponent.
- c. Experts' Evaluation. For projects below Five Million Pesos, one (1) expert is the minimum requirement. For projects above this amount, a minimum of three (3) experts are re-

quired for evaluation.

- d. Proposals recommended by the experts shall be deliberated by the Directors' Council/Management Team/Executive Director/R&D Committee, and endorsed for subsequent approval by the Governing Council/Governing Board and Executive Committee in the case of DOST-GIA funded projects.
- e. The status of proposals that originated from DOST and evaluated by the Councils shall be regularly reported to DOST-SPD.

**Activities:**

- a. *Referral of Proposals.* Proposals submitted to DOST-SPD shall be referred to concerned DOST Councils for technical evaluation.
- b. *Selection of Experts.* Concerned DOST Offices shall select and designate experts to review proposals. These are seasoned researchers with at least five (5) years of research experience, established expertise in their fields, and preferably have been lead proponents of DOST-funded projects. The concerned DOST Offices shall assess the performance of its pool of experts each year which will be the basis for renewed engagement.
- c. *Proposal evaluation.*
  - i. The selection criteria, provided in the DOST AO 009, s of 2017 and as prescribed by the DOST-EXECOM shall be used. The Project Manager of Concerned Offices checks the eligibility of the proponent, completeness of the submission, alignment to the HNRDA, to the Call, and Gender and Development (GAD), duplication, preliminary technical and potential socioeconomic merits.
  - ii. The expert reviews technical feasibility and financial viability (commensurate to intended output and impact).
  - iii. Council Executive Director/PMT/Directors' Council/R&D Committee ranks the proposal based on available budget, the final check on technical and potential socioeconomic merits based on revisions recommended by the Division and the Experts' Panel.

- iv. The Governing Council/Executive Committee decides based on the merit of the proposal and set criteria.
- v. The concerned DOST Offices shall send a formal communication to all proponents on the results of evaluation within the prescribed period in accordance with RA 11032. If disapproved, the reason(s) shall be stated.

**Indicators:**

- a. *Acceptance Rate.* This is the ratio between submitted and approved proposals. This shall determine the quality of proposals based on criteria provided in A.O. 009, series of 2017, and rated as prescribed by the DOST-EXECOM.
- b. *Percentage (%) of Timely Completion of Proposal Evaluation.* This is the ratio of the actual number of working days over the prescribed number of working days for proposal evaluation.

#### **4. Project Implementation and Monitoring**

The role of the DOST Project Managers is not purely monitoring/compliance checker but as manager integral to the success of the project. Project performance shall form part of the Project Manager's Individual Performance Commitment and Review (IPCR).

The maximum number of new and ongoing projects for each Project Manager is six (6) projects per year.

**Activities:**

- a. *Orientation of project leaders and concerned staff of the Implementing Agency.* At the start of the project, Project Managers and concerned staff of the Funding Agency shall conduct an orientation/inception meeting to level off on the roles and responsibilities, expectations including reportorial duties, timetable, and pertinent DOST guidelines.
- b. *Conduct of Regular Monitoring.* The Project Manager shall conduct regular monitoring through field visits and meetings with concerned project leaders/staff. It shall be done every six (6) months or more depending on the need. Otherwise,

all monitoring activities should be done through other means (*i.e.*, calls, emails, shared online files). Field visits to implementing institutions with several DOST-funded projects are preferably done at the same time in order to maximize the resources.<sup>a</sup>

- c. *Conduct of Annual and Pre-completion Project Review.* The Project Manager and an expert/s (if needed) shall conduct these reviews three (3) months before the project ends or its renewal to check the progress of the project. This is to ensure that a project will be able to complete or deliver its expected outputs. After the evaluation, the Project Manager shall recommend for continuation, catch-up contingencies, suspension, or termination. A catch-up plan is required in cases where annual targets are not met.

**Indicators:**

*Number of projects started and completed on time, extended, or suspended.* The Project Leader shall be evaluated based on the number of projects that started on time, extended, and suspended as the basis for his/her track record. Based on the DOST-GIA Guidelines, the project should commence within two (2) months after the release of funds.

*Number of Project Outputs and Valuation.* Intended project outputs as measured through the DOST 6Ps. These are recorded throughout the duration of the project and beyond through an online system (*e.g.*, DPMIS).

DOST 6Ps and estimated valuation as guide:

- i. *Publication.* ISI or Scopus Indexed Publication (P2M), Scopus indexed Conference full paper (P1M), Non-indexed publication (P0.5M), Scopus-indexed abstract (P0.1M). The estimated valuation provided is based on 2014-2016 information from PCIEERD. This is used to estimate the value for the money of the project (*i.e.*, comparison of project budget with output value). Publications are also gauged based on the number and range of citations. Other publications considered (and separately evaluated) are books, manuals, IEC materials, videos, techno guides, etc.

- ii. *Intellectual Property.* Patent, Utility Model, Copyright (only for software). Inventions are evaluated as similar to an ISI publication. UMs and Copyrights are evaluated as a third of inventions simply because their validity is only seven (7) years as opposed to an invention's 20-year validity. Other IPs include the discovery of new species, plant variety protection, trademarks, copyrights, and industrial designs.
  - iii. *Product/Process Value.* Prototype licensing, royalty, the potential value of the product, or earning projections of a new service or process developed. Official professional engagement of researchers resulting from the projects shall also be recorded.
  - iv. *People Services.* A number of students who were trained or were directly involved in the project, trained personnel. Currently, PCIEERD uses a valuation of ₱0.5M per MS student and ₱2M per Ph.D. student who graduated. Other services include the value of public service provided, the value of government spending saved, and the value of economic activities created or improved.
  - v. *Places and Partnerships.* Leveraged funds from an external source, revenue from services, facility/equipment *vis-a-vis* its sustainability independent of any DOST funding.
  - vi. *Policies.* Science-based National Laws (executive and legislative), local government unit ordinances, and development plans.
- a. *Percent (%) of Projects Meeting Target Outputs.* This is the ratio of a number of projects meeting target outputs and the total number of completed projects. This is a metric to track the success of the implementation of projects.
- d. Other Outputs:
- i. *Gender and Development (GAD)-related outputs.* These include projects and activities that promote equal participation of women in the economic, governance, and environmental agenda;
  - ii. *Number of S&T Promotions Conducted.* These shall be measured in terms of their depth and reach; and

- iii. *Number of Awards and Recognitions received.* These shall include commendations received resulting from the implementation of the project as well as invited lectures and plenary speeches and other related recognitions.

## 5. Project Outcome and Impact Evaluation

Impact Science is the conduct of scientific and technological R&D with the main objective of contributing a positive impact to society. The Impact Science Logic Framework is as follows:

Input → Activities → Output → Outcome → Impact

It should be further stressed that project outputs, outcomes, and impacts are to be compared to the resources used to achieve these results - a measure of value-for-money.

### Activities:

- i. *Outcomes and Impact Assessment.* Outcomes and impacts are results beyond 6Ps, GAD outputs, and S&T dissemination but still traceable or attributable to the project. This assessment is conducted three (3) to five (5) years after the project completion. The same online system with records outputs could capture outcomes and impacts. It is still the main responsibility of the project proponents to update this online system beyond the project duration. Examples of outcomes include:
- i. Innovation stimulated;
  - ii. Technology adoption are accelerated and sustained;
  - iii. Improved productivity, better institutional services;
  - iv. Ensured resiliency to disaster risks and climate change; and
  - v. More responsive environmental processes.

Impacts are measured in the following areas:

- i. Economic Growth/Industry Competitiveness;
- ii. Improved Environmental Condition;
- vi. Socio-cultural;
- vii. Policy; and
- viii. Academic.

Impact assessments will be done by an external and independent party. These shall be conducted around three (3) to five (5) years since project completion. Related projects shall be bundled together while for individual projects, impact assessment is at the discretion of the concerned DOST Offices provided that the impact assessment budget does not exceed the total approved project budget.

**Indicator:**

*Outcomes and impacts.* Outcome measures the change that has occurred as a result of the project. Impact measures broader changes that occurred within the society, environment, and economy. This assessment shall include success stories in the form of narratives and case studies.

**VII. OTHER RELATED ACTIVITIES:**

1. A feedback/client satisfaction survey shall be conducted as prescribed in the Quality Management System of the concerned DOST Offices.
2. The concerned DOST Communications Offices shall develop and execute communication plans for their R&D outcomes and impacts in coordination with the Project Managers. The communication plan shall include the dissemination of outcomes and impacts of the concerned programs/project. This is through, but not limited to, media and public engagement, social media, and other avenues of information dissemination.

**VIII. OTHER PROVISIONS**

This AO may be supplemented with specific provisions of the Funding Agency, if necessary. The nullity/illegality of a portion does not render the entire AO invalid.

**IX. EFFECTIVITY**

This AO shall take effect fifteen (15) days after publication in the Official Gazette and upon filing at the UP-Law Center.

Approved By:

**FORTUNATO T. DE LA PEÑA** (Sgd.)  
Secretary

# Annex 2

## GUIDE IN THE CONDUCT OF IMPACT ASSESSMENT: EX-ANTE AND EX-POST IMPACT ASSESSMENT OF DOST PROGRAMS/PROJECTS

### I. RATIONALE

Resources for R&D especially government funds are fast becoming scarce. Hence, the allocation of these scarce resources must be made on a more informed basis. In this respect, impact assessment of publicly funded research has become a central concern of policymakers. There is a growing demand for evidence-based policies and for evaluation of the results of public investments. More precisely, the government increasingly seeks to determine how much they should invest in science and technology (S&T) particularly research and development (R&D), technology transfer and utilization, provision of quality S&T services, human resources development, information dissemination, advocacy, and linkages. It should help determine the economic effects of both public investment in R&D and innovation and the social impacts. Policymakers also increasingly want public investment to help meet global challenges.

With impact assessment, transparency and accountability should be promoted to account for S&T investment and justify funding support for R&D. Impact assessment is a component of policy or programming cycle in public management, the need to conduct ex-ante impact analysis and ex-post impact assessment or simply impact assessment is a requirement as stipulated in the Administrative Order 014, Series of 2019 or the “M&E Protocol of DOST”.

Ex-ante impact analysis is done “before the fact” as differentiated from ex-post impact assessment which is done “after the fact” of the program/

project cycle. Economic principles are used to evaluate research and development (R&D) projects before these are undertaken through estimation of expected return on investment. It is done through a quantitative assessment of the possible net financial and economic benefits from a proposed R&D project. It is important as an input to priority-setting. (PCAARRD Information Bulletin No. 251/2016)

## II. SCOPE/COVERAGE

This guideline provides major procedures in the conduct of ex-ante and ex-post impact assessment, defines impact assessment-related concepts, and presents the impact assessment framework. The guideline is intended for program managers, planning officers, and other staff involved in research and development management.

## III. CENTRAL RESPONSIBILITY

The DOST and its Councils are authorized to promulgate these procedures in implementing the guidelines for all the S&T undertakings.

## IV. DEFINITION OF TERMS

1. **Cash Flow** – is a tool in financial analysis that is used to assess the viability of a particular project or investment venture.
2. **Ex-ante impact assessment**- is done “before the fact” in a program/project cycle. This is part of the needs analysis and planning activity of the policy cycle. It involves doing a prospective analysis of what the impact of an intervention might be, so as to inform the policymakers.
3. **Ex-post impact assessment** – is done “after the fact” in a program/project cycle. This is part of the evaluation and management activity of the policy cycle which focuses on the effects of an intervention to include a wider range of issues such as the

appropriateness of the intervention, its unintended effects, and how to use the experience from this intervention to improve the design of future interventions.

4. **Impacts** – the lasting changes in a situation as a result of the outcomes of the program or project being assessed. These may be in the form of aggregate changes in the market for goods and services, natural systems that adjust to changes in the pressures on them or environmental impacts, and social impacts such as population health, social opportunity, and changes in social exclusion.
5. **Net returns** - is the difference between total costs of and total returns from the program or project.
6. **Net Present Value** – is the present worth of the sum of the yearly net returns of a program or project.
7. **Internal rate of return** - is the maximum interest that the project can pay for the resources used if the project is to recover its investment and still break even. The IRR is also the interest that will make the NPV equal to zero. If the IRR is equal to or greater than the opportunity cost of capital, it is said to be feasible.
8. **Partial budget** – is one of the tools in the financial analysis used to assess the effect on profit of specific changes made on the enterprise's operation.
9. **Project Output** – refers to the resulting academic output such as publications, patents filed, products developed, facilities and partnerships established, people trained and graduated public service provided, and science-based policies passed or prepared from the completion of projects.
10. **Project Outcome** – refers to the change in practices, behavior/ skills/attitude, institutions, government policy and plans, and accessibility to programs (e.g., services) as a result of interventions or R&D outputs.
11. **Total Costs** – are the sum of the adjusted project implementation costs and the technology commercialization costs for each year.
12. **Total Returns** – is the aggregation of the potential benefits that would accrue to the technology's potential adopters.

13. **Counterfactual** – the conditions or scenario that would happen in the absence of the intervention.
14. **Theory of change** - defines the long-term goals around the issues the project is trying to influence, and then maps backward to identify necessary preconditions. It is also described as a comprehensive description and illustration of how and why the desired change was expected to happen in a particular context (Williams, L.J. et al, 2019)<sup>1</sup>.
15. **Impact pathway** - the different phases, the actors involved, their networks and interactions, the flow of resources, and progressive integration of different forms of knowledge and know-how into the outcomes and impacts.

## V. CRITERIA OF IMPACT ASSESSMENT

### V.1 General Criteria

Ex-ante impact assessment and ex-post impact assessment are both monitoring and evaluation tools. Both are used to validate underlying assumptions and indicators, and determine plan/program/project benefits or value (expected and actual). Both EA and IA shall be conducted to programs/projects aligned to Harmonize National R&D Agenda (HNRDA). General criteria are as follows:

1. Programs/projects with of P50million and above funding;
2. Programs/projects of less than P50million funding shall be bundled together with related projects; and
3. Individual projects with less than P50million funding shall be at the discretion of the concerned DOST Offices provided that the impact assessment budget does not exceed the total approved project budget.

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1 Williams, L.J., McMillan, L., Van Wensveen, M., Butler, J.R.A., Camacho Jr, J.D.V., Lapitan, A., Datoon, R., Gapas, J., Pinca, E., Macavinta-Gabunada, F., Serino, M.N.V., Nunez., L., Recto, A.L., Ruales, J.H., Enerlan, W.C., Ani, P.A.B, and Aranas, M.B. (2019) An integrated approach to impact assessment. ACIAR, Canberra.

## V.2 Ex-ante Criteria for Priority Setting

### A. Project Significance

- A1. What particular problem is the project trying to solve?
- A2. What is the nature, scope, and magnitude of the problem?
- A3. Can R&D provide the solution? How?
- A4. Who are the intended beneficiaries and why are they important?

### B. Project Relevance

- B1. Is the project consistent with the donor's existing priorities, the implementing agencies' mandates/thrusts, and the stakeholders' needs?
- B2. Who are the prospective users of the expected research outputs? How can these outputs be effectively utilized?

### C. Project Appropriateness

- C3. Are the needed resources available? What are the physical conditions required?
- C4. What are the expected outputs and how can these be measured?
- C5. How can demand/interests be generated for the application of research outputs?

## V.3 Criteria for Impact Assessment (IA)

- 3.1. Programs/projects which was completed at least in the past 3 years. Impact assessment can also be done for ongoing major programs (e.g., DOST-directed projects) as needed.
- 3.2. Programs/projects with significant technological output(s) adopted by intended beneficiaries.

3.3. 3.3 Programs/projects with submitted terminal accomplishment and financial reports, report, list of trainees/beneficiaries with contact information, (if applicable) among others.

3.4. 3.4. With a total approved budget greater than the IA project fund.

Considerations in selecting the team who will conduct the impact assessment.

Crucial to achieving a high-quality ex-post evaluation is a reliable IA study team who will conduct the assessment. In selecting or forming the team, the funding agency should set minimum qualifications, and assess the level of competence of individual members and the team as a whole. Some important considerations are the following:

- The team should be multidisciplinary with a common understanding of the purpose of assessing impacts and how the results will be useful to intended users. Ideally, it is composed of economist/s, sociologist/s, environmentalist/s, and technical expert/s depending on the sector of the project intervention to be evaluated. Economists are tasked to conduct a quantitative analysis of impacts and benefits while sociologists are to provide a comprehensive analysis of the possible intended and unintended social impacts. Both economists and sociologists can provide also qualitative assessment. Environmentalists and other relevant technical experts play a vital role in determining and validating the technical assumptions and indicators of project outputs, outcomes, and impacts. It is suggested to designate an economist as team leader for the evaluation.
- Team members, or at least the team leader, should have prior experience and training in ex-post evaluation and/or other methods of economic evaluation.
- As much as possible, they should also be independent or not affiliated with the institution/agency responsible for the program/project intervention being evaluated to avoid partiality and biased assessment.

## **VI. STEPS IN THE CONDUCT OF EX-ANTE (EA) AND EX-POST IMPACT ANALYSIS AND IMPACT ASSESSMENT (IA) (adopted from PCAARRD Ex-ante Economic Evaluation Protocol)**

### **VI.A General Steps for Ex-ante**

Procedure for ex-ante impact analysis shall be used to programs/projects whose monetary or economic benefits can be quantified. S&T undertakings whose economic worth can be quantified are basic, semi-basic, or applied researches. Programs/projects whose economic worth cannot be quantified are policy researches, impact assessment studies, and sociological researches. The general steps in EA are:

#### **1. Map the context and describe baseline scenario.**

The main objective of this step is to map the context of the broader system where the interventions would be implemented and describe the baseline scenario of the target beneficiaries or end-users or industry. Mapping the context is important in creating a shared understanding of how the broader system drivers or challenges may affect the realization of desired outcomes and impacts. These may include policy change, incentives or investments, changes to markets or trade access, or vulnerability to major disasters. Having a shared understanding of the context helps reveal important assumptions, hypotheses, and research questions that will guide the ex-ante analysis.

On the other hand, in describing the baseline scenario, the study will be guided on where to compare the outputs, outcomes, or impacts derived from the scenario with interventions. Hence, the incremental changes resulting from the intervention may be derived.

#### **2. Reconstruct and validate theory of change (ToC) and impact pathway.**

Reconstructing or validating TOC and impact pathway is important in identifying which levels (industry, groups, institutions, or firms) and dimensions (economic, social,

environmental, and capacity) of impacts will be examined. This will also dictate which output, outcome, and impact indicators to collect and analyze in the study.

In reconstructing (if TOC is not yet formally established) or validating (if explicitly stated in the proposal) TOC, underpinning theories, hypotheses, and assumptions shall be determined. Information on the barriers and success factors foreseen, stakeholders, and their roles, among others, that will influence the achievement of impact shall also be gathered and validated. This shall be the basis of impact pathways to be generated and assessed in the study.

Impact pathways illustrate the different phases, the actors involved, their networks and interactions, the flow of resources, and progressive integration of different forms of knowledge and know-how into the outcomes and impacts. An impact pathway essentially shows inputs, outputs, outcomes, impacts, and benefits.

### 3. Collect and validate the data and information of project being assessed.

The minimum data requirements for an ex-ante analysis and their possible sources are as follows:

<b>Data/Information Required</b>	<b>Possible Sources (s)</b>
Specific objectives of the project Probability of research success	Proposal Experts/Track record of researcher
Duration and cost of project implementation	Proposal
Duration and costs of technology transfer/commercialization	Proposal/Other Experts/ Previous Studies
Maximum level of adoption	Proposal/Other Experts
Rate of Technology Adoption	Proposal/Other Experts

Effect on environment	Proposal/Environmental Expert/ Other Studies
Prices of inputs/outputs	Secondary Data/Market Sources

Some of the data and parameters may be estimated and assumed with the help of the experts if not available in the proposal. All data should be validated and revalidated with other experts, and with related technical documents. The results are only good as the data used. Most of the required data should already be found in the project proposal.

#### 4. Calculate the net financial impact on each adopter.

When all data are collected and validated, the next step is to determine the net financial impact (NFI) of the research's expected output. The partial budget may be used as one of the tools in financial analysis. In partial budgeting, consider items that would result in income reduction (in terms of additional costs and reduction in returns) and income improvement (in terms of added returns and reduction in costs) as a direct result of the technology adoption.

In doing a partial budget analysis, we first need to identify the specific cost and return items that would be affected if a farmer adopts the technology. Next, we determine which of the items would: reduce income (i.e. those that would entail additional costs and/or reduction in total returns); and increase income (i.e. those that would lead to additional total returns and/or reduction in costs).

#### 5. Set up the cash flow.

Analysis of project worth using the ex-ante procedure is not limited to (one) 1 year only but involves the projection of costs and benefits in several years. The cash flow includes total returns, total costs, and net returns for the projected number

of years in which all returns and, costs items are entered as they are realized. The NFI is aggregated or summed up for all the technology's prospective adopters. The aggregation depends on the rate of technology adoption. Total returns are the project's expected benefits. Total costs, on the other hand, are those incurred for project implementation, technology commercialization, and adoption.

Total costs are the sum of the adjusted project implementation costs and the technology commercialization costs for each year. The adjusted project implementation costs, on the other hand, are simply computed as the sum of actual project implementation costs and the probability of project success.

The number of years to be used in the cash flow is the sum of the duration (in a number of years) of project implementation, technology commercialization, and adoption (from initial adoption to eventual decay until zero adoption is reached).

After determining the number of years, the next step in the cash flow analysis is to calculate total returns which is the aggregation of the potential benefits that would accrue to the technology's potential adopters (net financial impact on each adopter multiplied by the number of actual adopters in a Year).

Also, the environmental impacts of a proposed project need to be quantified and valued in monetary terms and included in the ex-ante analysis. The most appropriate is the Benefits Transfer Method, which entails using values reported by other studies that employed primary research and calibrate these values for the purpose of the present analysis. A review of previous studies and existing literature is done from which the economic values of environmental impacts that will be calibrated and used for the project analysis at hand are based. Adverse environmental impacts are treated as part of the project costs, while positive environmental impacts are part of the benefits. The calculated environmental effects attributable to the project should be included in computing for total returns in the cash flow. If the environmental impact of the project is negative, then the monetary values for such should be included in computing total costs in the cash flow statement.

On the other hand, net returns are computed from which measures of project worth or viability indicators such as the Net Present Value (NPV) and the Internal Rate of Return (IRR) are derived. It is the difference between total returns and total costs. From the net returns, we can calculate the different measures of project worth (or viability indicators) from which we can base decisions on the viability of the proposed projects.

## 6. **Compute and analyze the measures of project worth (or viability indicators).**

A measure of project worth is a summary measure of the earning capability of a particular project. Time value of money, net present value (NPV) and internal rate of return will be computed to measure the project's worth. Discounting will be used to incorporate the time value of money by finding the present value of a future sum. This is done by reducing the future values of costs and benefits to their present worth using the formula: present value is equal to future value divided by the square of the sum of time and interest rate.

On the other hand, the NPV is the present worth of the sum of the yearly net returns of a project or simply the sum of yearly discounted total returns less the sum of yearly discounted total costs. Note that the project is said to be viable if the NPV is positive; the greater the NPV, the more desirable.

In computing for the NPV, we need to discount all the costs and returns in the cash flow. For the internal rate of return (IRR), it is the maximum interest that the project can pay for the resources used if the project is to recover its investment and still break even. The IRR is also the interest rate that will make the NPV equal to zero. The project is said to be feasible if the IRR is equal to or greater than the opportunity cost of capital. There really is no cut-and-dried formula for manually computing the IRR. The starting point is roughly estimating the IRR through the use of a formula:

$$\text{IRR} = \text{lower discount rate} + \text{difference between the discount rate} \frac{\text{NPV at lower discount rate}}{\text{Sum of NPV at the two discount rates, signs ignored}}$$

This procedure is iterative, i.e., one must repeat this process several times if necessary, to get a more accurate estimate, each time limiting the range of the discount rates used to minimize interpolation errors.

## 7. Translate financial values to economic values.

An economic analysis of projects is different from financial analysis. The former measures the effects on the whole economy or society, while the latter focuses on benefits accruing to an individual entity. In financial analysis, market prices are used in assessing project costs and benefits. The market price is the price at which a good or service is exchanged for another good (or service) or for money. In economic analysis, however, economic prices are used which reflect opportunity costs and scarcity values also referred to as shadow prices.

Since the ex-ante analysis is basically economic for it considers the project costs and benefits to society, there is a need to translate prices from financial to economic to reflect the project's value to the economy as a whole. Hence, the market prices used in the cash flow statement of our sample problem need to be converted to economic prices.

A very simple approach is through the use of a standard conversion factor (SCF). The SCF is a number usually less than 1 that can be multiplied by the domestic market price of a non-traded item to convert it into economic value. For the Philippines, the Asian Development Bank estimated a standard conversion factor of 0.86 (average from 1996 to 2003)<sup>2</sup>. Using this simple approach in adjusting to economic values, traded items are simply multiplied by 1. It must be noted that the use

2 Source: <https://www.adb.org/sites/default/files/publication/29856/tn-11-shadow-exchange-rates.pdf>

of the SCF enables a partial adjustment of financial values to economic values. Complete adjustment entails a considerably meticulous approach. For our purposes, however, partial adjustment using SCF may suffice since the results already provide an indicative picture of the economic worth of a particular R&D being evaluated.

## **VI.B. General Steps for Ex-post Impact Assessment (IA) (adopted from ACIAR framework on IA)**

Impact assessment studies measure the changes, both intended and unintended, that result from research, development, and extension. It aims to identify, provide evidence, and ultimately quantify the impacts of its R&D investment, an “after event” perspective within the comprehensive monitoring, and evaluation process, accountability to stakeholders as well as a clear measure of the returns to the funds invested. IA provides the basis for improving the research selection process by acting on lessons learned from past projects, what works, what does not and why. The general steps in IA are:

- 1. Determine program/project inputs or the investments in the project.**

S&T undertakings subjected to IA shall be identified whether as a stand-alone R&D project with outputs ready for adoption, or they may be part of a larger set of investments in R&D extension that together deliver outputs ready for adoption. All the significant inputs that contribute to the identified outputs must be identified. Both the overall magnitude of investment and the relative shares/counterpart funding are important to provide a perspective on the return on investment.

- 2. Identify program/project outputs.**

Outputs are the deliverables from the R&D project categorized as follows: a) technologies (new and better products, processes, and approaches); b) capacity (scientific knowledge, understanding either pure or basic science and skills at the organization and individual level); and c) policy (knowledge, models, and frameworks to aid policy and decision-making).

All outputs, intended and unintended, should be identified. In identifying the outputs, consider the categories into which the outputs fall such as technologies, capacity and/or policy, whether the outputs are adoption-ready, require further transformation or are inputs and, if the last, whether there are identifiable outputs already achieved, and who are the next and final users for the outputs.

### **3. Assess the adoption of R&D outputs.**

After determining the outputs of an R&D (intervention?) program or project, an assessment of the adoption process should be conducted. Adoption means the technology uptake and the extent or level to which technologies are used. Assessing adoption generates information useful in further improving the technologies and pathways, i.e., strategies implemented to encourage adoption. This information is a characteristic of adopters, reasons for adoption or “disadoption”, and constraints as well as factors influencing adoption. Tracing adoption of outputs from next to final users is an essential step in undertaking an impact assessment. Final users are usually at the community level and where the outcomes are likely to have the greatest impact.

On the other hand, small impacts may refer to the final use of project outputs by other researchers leading to savings in research costs, until they deliver new technologies or information that changes policy. For capacity building, output must be utilized before it generates an output that has a use at the community level.

#### 4. Identify program/project outcomes.

Outcomes are the changes in practice, products, or policy that result from the adoption of the outputs. Intermediate and final outcomes of the program/project should be identified. They are important measures of progress toward achieving final outcomes. The adoption of the application of the program/project output will lead to a final outcome.

When identifying outcomes consider the following: a) whether outcomes are intermediate or final and, if intermediate, whether there is a clear set of links to outputs that have final users and outcomes; b) final user groups and differences between them in terms of outcomes from adoption; c) incentives for adoption for each final user group whether the outcomes for the final user would justify their adoption, given any implementation costs and changes in operational costs; and d) the time profile of adoption and changes in practice, products, and policies.

#### 5. Estimation of impacts, benefits, and beneficiaries

The impacts of the R&D are the aggregate effect of the changes in practice, products, and policies by the final user groups relative to the baseline or counterfactual. Like the outcomes, impacts arise over time and can be intermediate or final, initially in the market or systems directly affected and subsequently in other markets and systems as the impacts flow through. The final impact depends on the reactions over time as the directly affected markets and systems adjust and, where flow-on effects are large, as related markets or systems adjust.

Impacts can be economic, environmental, or social. When identifying economic impact, consider the following: a) changes in demand, and supply for the markets directly affected; b) sensitivity to price changes and whether this enhances or dampens impact; c) flow-on effects due to competition for

inputs or consumers; and d) spillover effects from upskilling labor, sharing technology platforms, cluster economies or institutional improvements. On the environmental impacts, the factors that should be considered are the following: a) initial impacts on pollution, greenhouse gas emissions, native vegetation cover, water quality, soil quality, and ecosystem disturbance; b) changes in use and access to natural capital and non-market uses; c) flow-on effects of ecosystem services on inputs into production, pollution and human health (social impacts), climate change and production (economic), dislocation of populations (social); d) spillover effects to ecosystem health and biodiversity; e) changes in the risk to ecosystem health or maintaining biodiversity.

Social impacts, on the other hand, include market-mediated impacts where public funding is involved (as with medical costs) to moral and ethical issues such as the value placed on more equitable outcomes. Specifically, the three (3) broad categories are the following: population health such as changes in nutrition levels, prevalence, and incidence of diseases, the achievement of other minimum basic needs, economic opportunity (increases in the diversity and/or quantum of employment opportunities for communities, and social opportunities which refers to changes in education, health care, transport and other resources for human wellbeing including the extent of community support and engagement, i.e., social capital.

In assessing the benefits and beneficiaries, consider the following: a) changes in consumer and producer surplus and other appropriate measures of the total welfare change; b) losses of producer and consumer surplus in the case of non-adopters or other losers; c) sharing of producer and consumer surplus along the value chain; and d) environmental and social use benefits which include a scale of use and use values (costs of alternatives and costs avoided) and scale of communities affected and their average existence value. Note that final users are not always the only beneficiaries.

# Annex 3

## GUIDE IN ASSESSING THE RESEARCH READINESS LEVEL (RRL) OF PHILIPPINES' HIGHER EDUCATION INSTITUTES (HEIs)

### I. RATIONALE

The Philippines' research and development are generally characterized by the low level of technology generation and commercialization. This is especially true for public Research and Development Institutes (RDIs) and Higher Education Institutes (HEIs). There are several meaningful technologies/innovations that remain dormant and under-utilized but once commercialized and adopted on larger scales, will increase productivity.

Some of the challenges experienced by RDIs and HEIs in research and commercialization include a **low number of researchers and scientists; low level of scientific and technological outputs**; limited technologies being applied for patent protection which leads to a subsequent low rate of commercialization and adoption by target users. There is also a need for human resource complement and competencies in technology transfer and commercialization.

To address this, the DOST endeavors to significantly accelerate STI in the country through a massive increase in investment in S&T Human Resource Development (HRD) and R&D. As innovation plays an important role in economic development, DOST aims to accelerate industrial competitiveness by capacitating HEIs in the Regions to undertake quality research and commercialization that will promote regional development.

There are more than 2,000 universities in the Philippines but only about 8% of these receive project funds from DOST. The Councils' member

consortia are among the approaches in identifying universities with limited research capacity. The Research Readiness Level (RRL) tool will be used in assessing how far an HEI has proceeded in terms of R&D. Most importantly, it will help the management in making decisions on what interventions to undertake to capacitate the HEIs.

## **II. RESEARCH READINESS LEVEL**

### **AREAS OF EVALUATION**

- i. Agenda setting, research design and implementation;
- ii. Capacity Building;
- iii. Research Utilization;
- iv. Resource Mobilization;
- v. Structure/Organization, Monitoring and Evaluation; and
- vi. Technology Transfer and Commercialization.

### **SCORING:**

- 0 – Provision or item is not met or not observed.
- 1 – Provision or item is partially met; improvements is/are recommended.
- 2 – Provision or item is observed or satisfactorily met; no significant modification needed at the moment.

Assignment of either zero or one in any item or provision mandates that the evaluator (whether internal or external) qualify the response in the space provided in the remarks section. The evaluator is tasked to put his/her specific recommendation or course of action. The research institution's strengths and weaknesses and recommendations are summarized at the end of the evaluation.

Each area of evaluation is assigned a percentage weight as indicated below.

### **PERCENTAGE WEIGHT PER AREA:**

- i. Agenda setting, research design and implementation (15%);
- ii. Capability Building (20%);
- iii. Research Utilization (20%);

- iv. Resource Mobilization (10%);
- v. Structure/Organization, Monitoring and Evaluation (20%); and
- vi. Technology Transfer and Commercialization (15%).

#### **SCORING PROCEDURE:**

- i. Compute for the sum scores in each item and divide by the perfect score for that area.
- ii. Multiply this by the assigned percentage weight.
- iii. Compute the sum percentage scores for all areas.

#### **CATEGORIZATION OF RESEARCH READINESS LEVEL:**

##### **LEVEL III – EXCELLENT/HIGHLY READY (86-100%)**

This level indicates a fully functional and mature research institution that has realized or is currently realizing its mission and objectives through systematic governance and administration. The institution is equipped with a formally recognized set of policies successfully implemented throughout the course of its existence. Exemplary standing and congruence are evident between areas of evaluation from mission and objectives to policies and implementation, quality and quantity of research outputs and activities, and sufficiency of its resources. The institution is collaborating with the industries in commercializing its technologies and offers assistance in IP, patenting, and licensing services for start-up businesses. It is minimal or no need for any amendments, additions, and recommendations.

##### **LEVEL II – GOOD (71-85%)**

The research institution is currently on the way to achieving its mission and objectives with adequate governance and administrative policies. Congruence in all areas and collaborative work are evident. Existing linkages are being utilized. Research outputs are promising in terms of their community and national impact. Amendments and suggestions in various areas are not major and are attainable within a short period of time.

### **LEVEL I – FAIR (56-70%)**

The research institution is still at its ‘infancy’ as far as R&D capabilities are concerned but with attainable mission and objectives. Policies for implementation are in the process of being systematized so that there are still evident areas where policy-implementation gaps are being addressed. There are already existing linkages, but more would be desirable. More high-quality research outputs have to be produced. Substantial amendments have to be made and some may take considerable time to achieve.

### **LEVEL 0 - POOR (55% and below)**

This level indicates serious gaps in most if not all areas evaluated and indicates the suboptimal performance of the research institution in general. This level mandates an immediate total review of the institution’s research process.

## **III. RRL FORM/SCORE SHEET\***

### **I. AGENDA SETTING, AND RESEARCH DESIGN, IMPLEMENTATION AND MONITORING\***

Agenda Setting, Research Design and Implementation is concerned with the generation of researches aligned with the HNRDA. This area also deals with the monitoring and evaluation of projects.

ITEM/ PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required	REMARKS
1. Institution’s R&D are aligned with the HNRDA.				List of priority areas/ agenda in HNRDA being supported/ addressed	

<p>2. HNRDA is made known to both the institution's research reviewers and researchers.</p>				<p>AO/ Memorandum disseminating the HNRDA; briefing on the HNRDA</p>	
<p>3. The Institution has an established procedure in selecting and approving R&amp;D projects.</p>				<p>R&amp;D evaluation process</p>	
<p>4. The Institution has an M&amp;E scheme/ procedure to consistently monitor the conduct of their researches.</p>				<p>M&amp;E scheme/ procedure</p>	
<p>5. At least 50% of the researches completed within the last three (3) years were collaborative research or done with other cooperating institution/s.</p> <p>50-100% will get a score of 2;</p> <p>1-49% will get a score of 1;</p>				<p>List of completed researches and cooperating institutions for the last 3 years.</p> <p>List of completed and ongoing projects implemented under DOST-GIA for the last 3 years.</p> <p>Percentage of projects completed on time for the last 3 years.</p>	

6. Funding of researches are allocated in the institutional budget.				Total R&D investment	
OVERALL SCORE					
PERCENTAGE					

## II. CAPABILITY BUILDING\*

Capability building is concerned with expanding resources to enhance and upgrade technical and ethical know-how on research and commercialization by all investigators/proponents of the institution. Regular pieces of training on various research, technical support, and availability of learning resources and equipment that facilitate the development and generation of studies aligned with HNRDA are provided. Continued support and motivation for researchers to ease and expedite the conduct and development of investigation must be evident.

ITEM/ PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required	REMARKS
1. At least 20% of the faculty/staff/researchers are with a track record on researches.  20-100% will get a score of 2;  1-19% will get a score of 1				Number of staff involved in R&D and their educational background & researches they conducted.	

<p>2. R&amp;D related trainings, seminars, and workshops are held at least once a year by the institution.</p> <p>Possible score will be 0 or 2 only</p>				<p>List of R&amp;D related trainings, seminars and workshops conducted.</p>	
<p>3. The institution includes the conduct of research as part of its staff/ researcher's load with "deloading" scheme arrangement or equivalent compensation.</p>				<p>The number of staff doing researcher.</p>	
<p>4. The institution includes R&amp;D proposal/ outputs, such as publication, as part of the staff's promotion and ranking.</p>				<p>The requirements for Promotion/ Ranking</p>	
<p>5. The institution has a pool of qualified research experts who are available and can be tapped for technical advice, research review, monitoring, and evaluation.</p>				<p>Experts Pool</p>	

6. The institution provides permanent space and facilities (laboratories & equipment) for R&D.				List of available infrastructures (office space, laboratory, digital technologies, and R&D facilities).  Ocular visit/ evaluation to validate that the facilities are being utilized.	
7. The research institution has an adequate information network, scientific references, and e-learning facilities available for other researchers.				Ocular visit/ evaluation to validate that the facilities are being utilized.	
8. Funding of R&D capability building is included in the institutional budget.				Institution's budget	
OVERALL SCORE					
PERCENTAGE					

### III. RESEARCH UTILIZATION\*

This area is concerned with the research outputs/outcomes/impacts for the last five (5) years. It determines how research outputs are

disseminated to and benefitted the stakeholders. Presentation in scientific fora and other sources of public information such as publications in journals, citations, and awards are also considered in research utilization.

ITEM/ PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required for the past five (5) years	REMARKS
<p>1. At least 50% of the completed researches/ projects for the past five (5) years are published in peer-reviewed journals.</p> <p>50-100% will get a score of 2;</p> <p>1-49% will get a score of 1;</p>				<p>List/number of papers published in peer-reviewed journals vis-à-vis the number of a completed project.</p>	
<p>2. At least 50% of the completed researches/ projects have published IEC materials and other forms of publications.</p> <p>50-100% will get a score of 2;</p> <p>1-49% will get a score of 1;</p>				<p>List/number of publications / IEC materials published and disseminated vis-à-vis the number of a completed project.</p>	

<p>3. At least 50% of the completed research outputs have been presented in local/ international fora/ conferences.</p> <p>50-100% will get a score of 2;</p> <p>1-49% will get a score of 1;</p>				<p>List/number of papers presented in national/ international conferences/ fora vis-à-vis the number of a completed project.</p>	
<p>4. Researches of the institutions received awards or recognition by local/ international award-giving bodies.</p> <p>Possible score will be 0 or 2 only</p>				<p>List of awards/ certificate received.</p>	
<p>5. Researches have initiated follow-up investigative and scientific studies.</p> <p>Possible score will be 0 or 2 only</p>				<p>List of follow-up investigative and scientific studies conducted.</p>	

<p>6. At least 20% of the completed researches have been cited in other studies.</p> <p>20-100% will get a score of 2;</p> <p>1-19% will get a score of 1</p>				Number of research citation	
<p>7. Institution conducts research fora at least once a year.</p> <p>Possible score will be 0 or 2 only</p>				List of research fora conducted.	
<p>8. Institution conducts impact assessment on completed projects.</p>				List of impact assessment studies conducted.	
OVERALL SCORE					
PERCENTAGE					

#### IV. RESOURCE MOBILIZATION\*

This area deals with financial and resource distribution to different studies approved by the research institutions. Priority setting on budget allocation must follow standardized procedure and anchored on the

priorities/agenda. Linkages and collaboration can help expand research resources and compensate for their limitations.

ITEM/ PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required	REMARKS
1. Standardized procedures for research grants/ allocation are observed and monitored.				Research grants/ allocation guidelines / procedures.	
2. Collaborative researches aligned with the HNRDA are given budget priority.				List of institution's priority areas/ fields.	
3. The institution provides counterpart funding for collaborative researches.				R&D investment/ Counterpart funding for the last 3 years.	
4. The institution generates external funds to facilitate the conduct of researches.				List of funding agencies that funded the institution's researches.  Amount of external funds generated.	
OVERALL SCORE					
PERCENTAGE					

## V. STRUCTURE AND ORGANIZATION

This area is evaluated to determine the strengths, weaknesses, and/or areas for improvement in S&T policymaking and policy implementation of the institution. Central to this is the existence of a fully functional and credible board or council which monitors policy implementation and responds to any need for adjustments or revisions that may arise.

ITEM/ PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required	REMARKS
1. There is an officially recognized research unit or designated office that functions for policy formulation, implementation, monitoring, and evaluation.				Existence of R&D office	
2. There is a clear organizational structure with specific, well-delineated, and documented role assignments and responsibilities for each position, including the terms of office.				Organizational structure  Employees' Terms of Reference (TOR)	

3. All information regarding organizational structure, objectives, policies, and by-laws are documented in a manual of operations.				Manual of operations	
4. The manual of operations is periodically updated and distributed to all members of the institution and published on the institution's website.				Institution's Website/ intranet	
OVERALL SCORE					
PERCENTAGE					

## VI. TECHNOLOGY TRANSFER AND RESEARCH COMMERCIALIZATION\*\*

This area evaluates the extent to which the research outputs are readily available for public use through laboratories, technology business incubators, or R&D centers. The availability of a technology transfer office that supervises the conduct of technology transfer and promotional activities will also be assessed. It will also evaluate the commercialization activities like intellectual property (IP) protection, consulting, and creation of spin-off companies being done by an institution. University-industry collaboration is also part of this area.

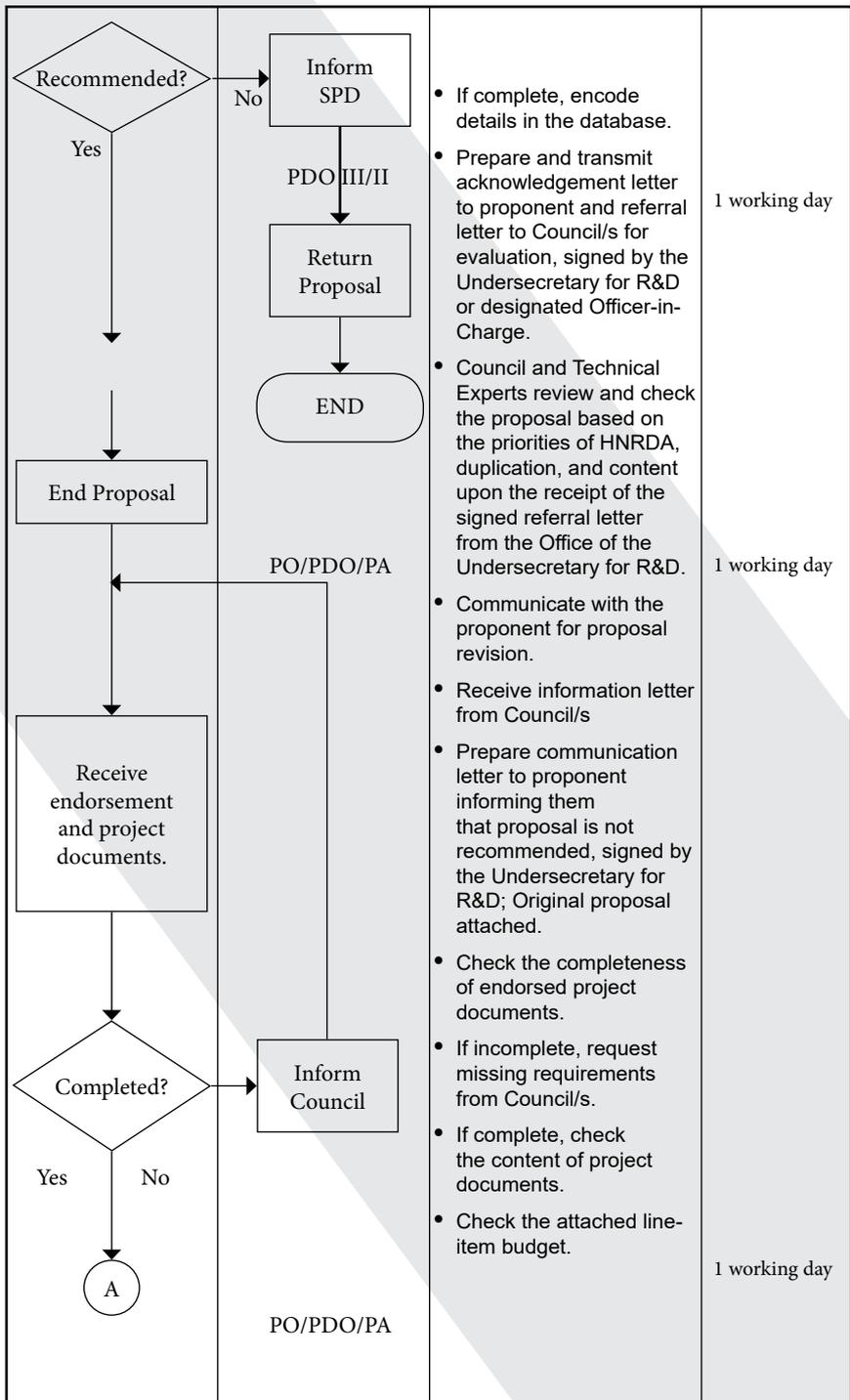
ITEM/PROVISION	0 (Items not met)	1 (Items partially met)	2 (Items Satisfactory met)	Evidence Required	REMARKS
1. There is a technology transfer office that supervises the conduct of technology transfer, the establishment of Technology Business Incubators (TBIs), and conduct of promotional activities.				Existence of technology transfer office.  Existence of R&D centers and Technology Business Incubators.	
2. The institution conducts technology transfer activities to promote and publicize its technologies.				List of tech transfer and promotional activities conducted.	
3. Researches have led to the development of IP-protected products.				Number of IP/patents and utility models filed, pending, and awarded.	
4. There is an institutional policy on intellectual property rights.				Institutional policy on intellectual property rights.	

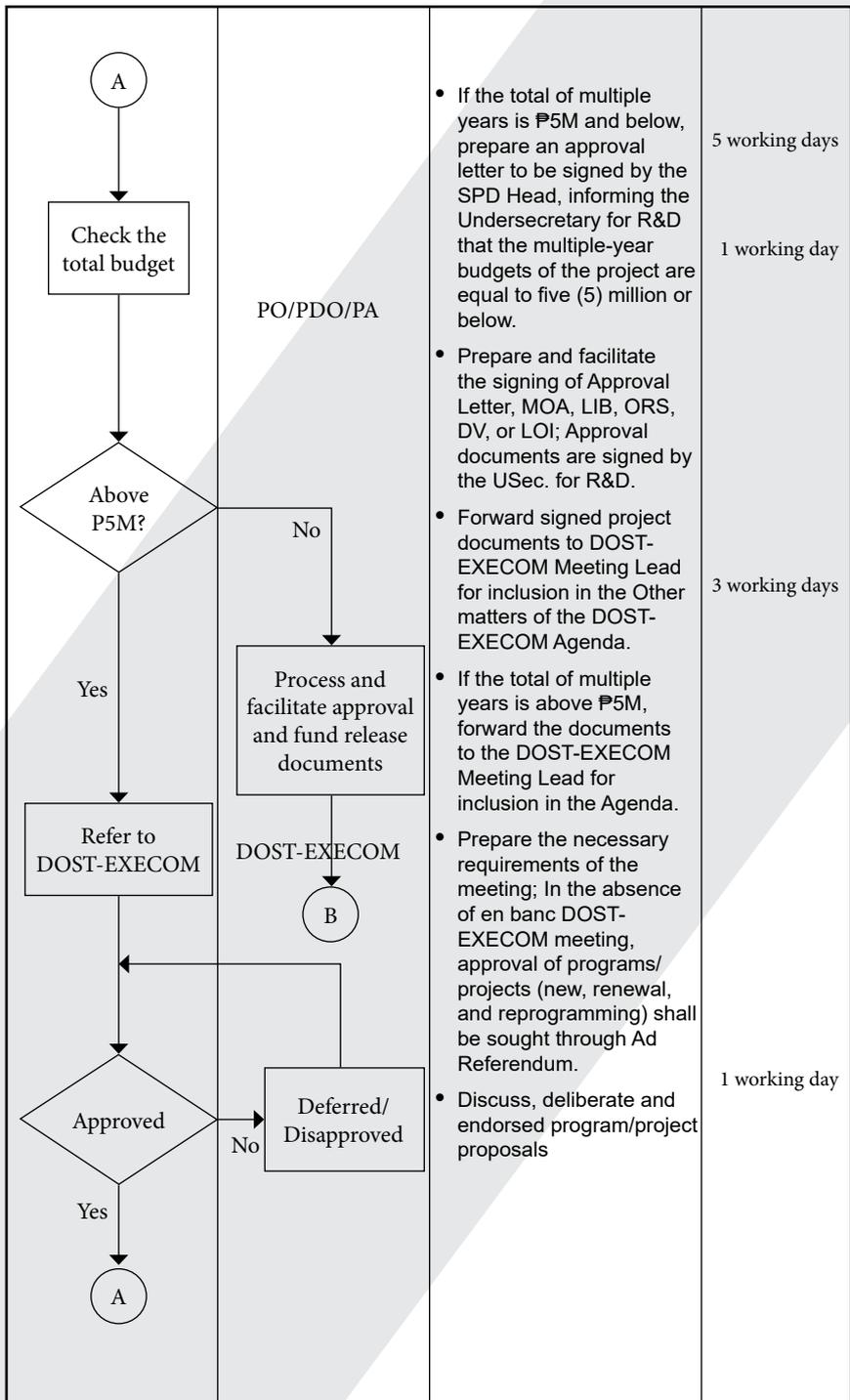
5. Has industry partners that collaborate in the transfer, adoption, and commercialization activities such as IP protection and licensing services.				List of partners in technology transfer, adoption, and commercialization generated by the HEL.	
OVERALL SCORE					
PERCENTAGE					

\*Adopted from PCHRD's Research Institution Capacity Assessment Form (RICAF)

\*\*Proposed additional item/provision by PCAARRD.



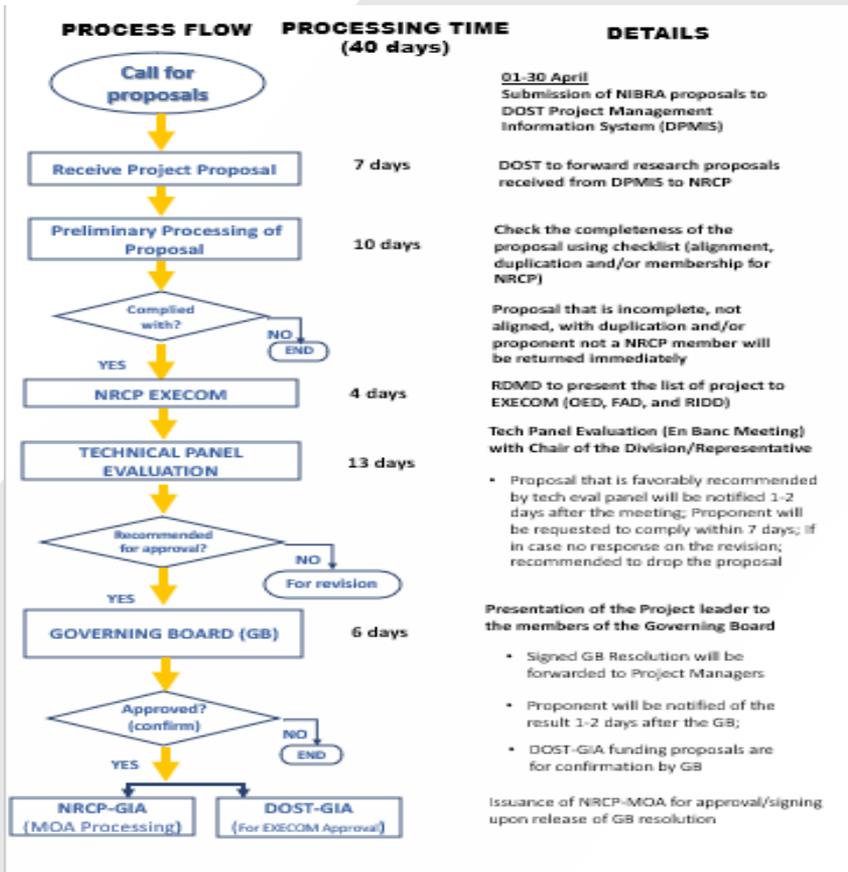






# Annex 5

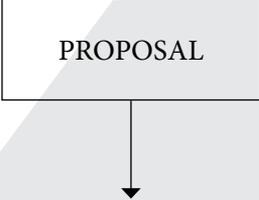
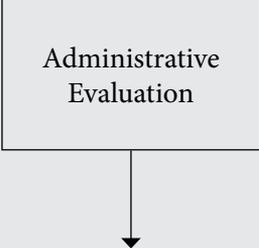
## PROPOSAL EVALUATION PROCESS FLOW OF THE NATIONAL RESEARCH COUNCIL OF THE PHILIPPINES (NRCP)





# Annex 6

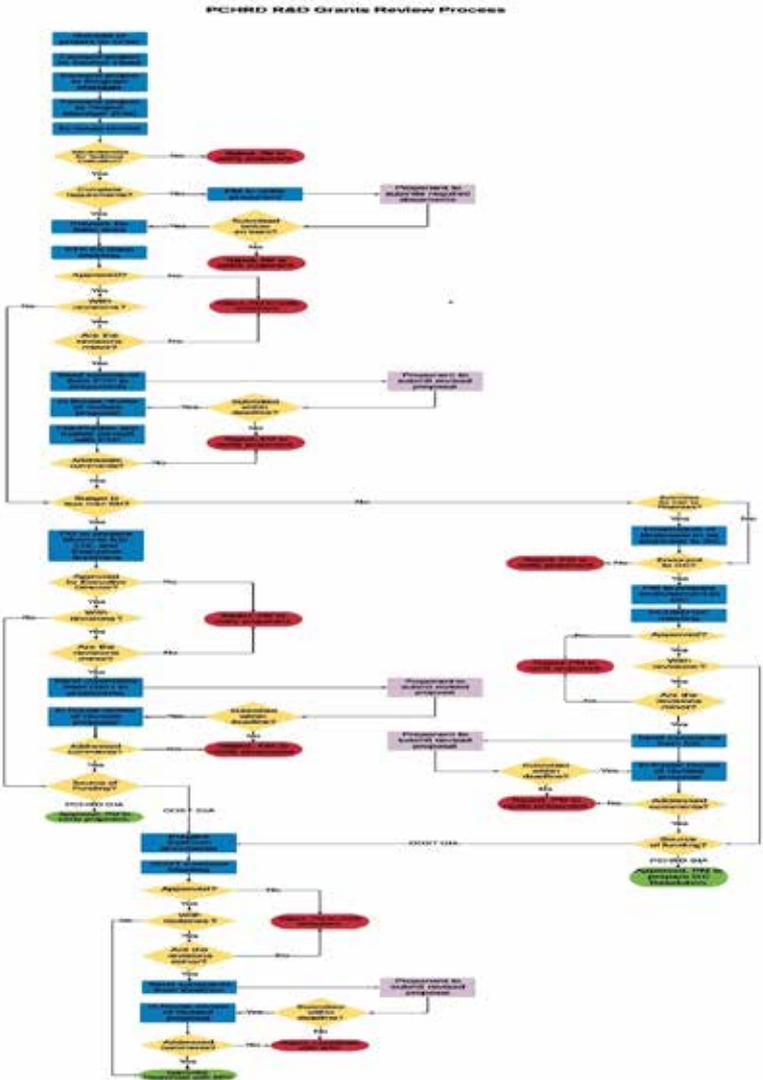
## PROPOSAL EVALUATION PROCESS FLOW OF THE PHILIPPINE COUNCIL FOR AGRICULTURE, AQUATIC AND NATURAL RESOURCES RESEARCH AND DEVELOPMENT (PCAARRD)

<p style="text-align: center;">PROPOSAL</p> 	<p>Submission of proposal</p> <ul style="list-style-type: none"> <li>☐ Receipt of the proposal through DPMIS</li> <li>☐ Forwarding DPMIS to PCAARRD (OSEP)</li> </ul>	<p>0</p>
<p style="text-align: center;">Administrative Evaluation</p> 	<p>Receipt of proposal</p> <ul style="list-style-type: none"> <li>☐ Documentation of Receipt of proposals (Records, OED, OED-RD/OED-ARMSS)</li> <li>☐ Review of the proposal for completeness of requirements</li> <li>☐ Acknowledgment of proposal</li> <li>☐ Forward to concerned Division for technical evaluation.</li> </ul>	<p>4 working days</p>

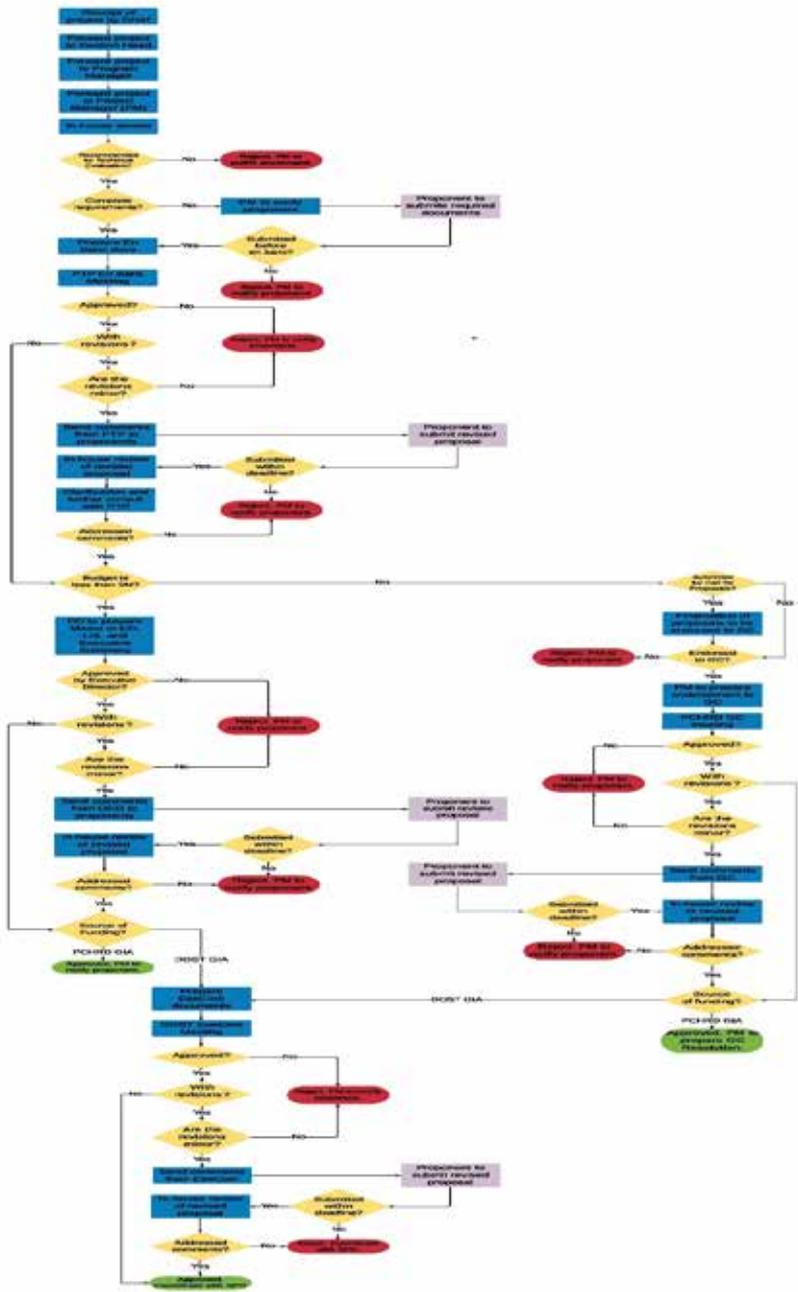
<pre> graph TD     A[Technical and Financial Evaluation] --&gt; B[For approval]     A --&gt; C[For disapproval]     B --&gt; D[ ]     C --&gt; E[Return to proponent.]     style D fill:none,stroke:none   </pre>	<p>Review of Proposal (TRDs)</p> <ul style="list-style-type: none"> <li>❑ Technical and Financial review</li> <li>❑ Organize external technical review panel (if needed)</li> <li>❑ Review of the external review panel</li> <li>❑ Communicating to proponent the revisions according to the review of Technical Division and/or External reviewer</li> <li>❑ Submission of revised proposal</li> </ul>	<p>21 working days</p>
<pre> graph TD     A[Final review and Endorsement] --&gt; B[ ]     style B fill:none,stroke:none   </pre>	<p>Final technical review and Endorsement</p> <ul style="list-style-type: none"> <li>❑ Review of revised proposal for presentation to the approving authority</li> <li>❑ Endorsement to PCAARRD Directors' Council</li> </ul>	<p>9 working days</p>
<pre> graph TD     A[Approval of funding]   </pre>	<p>Presentation of revised proposal for approval and funding</p> <ul style="list-style-type: none"> <li>❑ Directors' Council</li> <li>❑ Governing Council</li> <li>❑ Executive Committee</li> </ul>	<p>6 working days</p>

# Annex 7

## PROPOSAL EVALUATION PROCESS FLOW OF THE PHILIPPINE COUNCIL FOR HEALTH RESEARCH AND DEVELOPMENT (PCHRD)

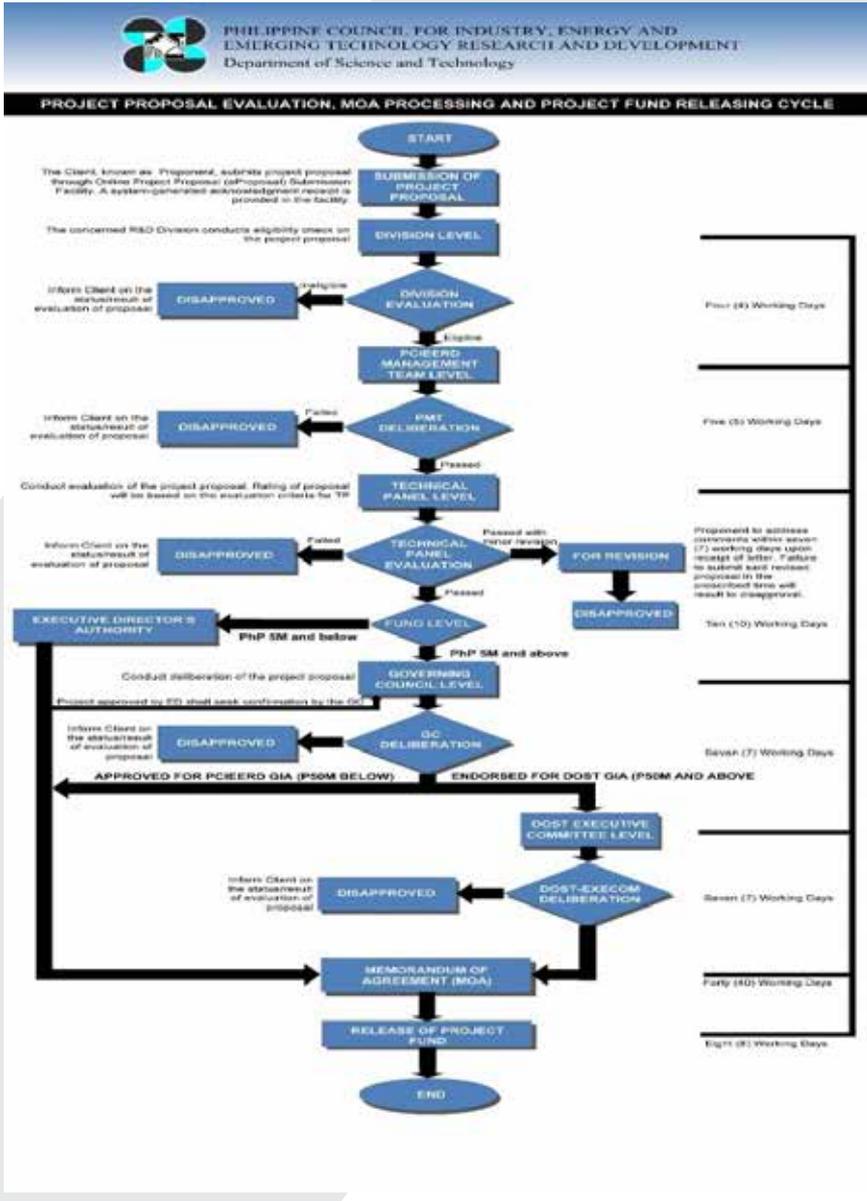


PCHRD R&D Grants Review Process



# Annex 8

## PROPOSAL EVALUATION PROCESS FLOW OF THE PHILIPPINE COUNCIL FOR INDUSTRY, ENERGY AND EMERGING TECHNOLOGY RESEARCH AND DEVELOPMENT (PCIEERD)



# **Annex 9**

## **REVISED GUIDELINES FOR THE GRANTS-IN-AID PROGRAM OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY AND ITS AGENCIES**

Administrative Order No. 011  
Series of 2020

**Subject:** REVISED GUIDELINES FOR THE GRANTS-IN-AID PROGRAM OF THE DEPARTMENT OF SCIENCE AND TECHNOLOGY AND ITS AGENCIES

This Order is issued to amend the existing DOST-GIA Guidelines as embodied in DOST Administrative Order No. 009 Series of 2017 and 017 Series of 2018.

### **I. RATIONALE**

Section 4 of Executive Order No. 128, s. of 1987 mandates the Department of Science and Technology (DOST) to formulate and implement policies, plans, programs, and projects for the development of science and technology and for the promotion of scientific and technological activities for both the public and private sectors, and to ensure that the results of scientific and technological activities are properly applied and utilized to accelerate economic and social development.

Pursuant to this, the DOST through its Grants-In-Aid (GIA) Program, aims to harness the country's scientific and technological capabilities to spur and attain sustainable economic growth and development. Through the funding of relevant science and technology (S&T) undertakings, the GIA program aims to contribute to productivity improvement and the quality of life of Filipinos by generating and promoting appropriate technologies. Likewise, it seeks to strengthen the participation of various S&T sectors particularly

in research and development (R&D), promotion, technology transfer and utilization, human resource development, information dissemination, advocacy, and linkages.

The GIA program provides grants for the implementation of programs/projects identified in the current DOST priorities and thrusts and supports S&T activities classified in the General Appropriations Act (GAA).

## II. SCOPE/COVERAGE

The DOST-GIA guidelines cover grant application, approval, monitoring, and reporting of programs and projects funded under the DOST-GIA Program.

## III. CENTRAL RESPONSIBILITY

The DOST is authorized to promulgate its procedures in implementing this program. The DOST-Office of the Undersecretary for R&D shall manage the implementation of the DOST-GIA Program with the assistance of all concerned DOST agencies to ensure the success of the program.

## IV. DEFINITION OF TERMS

The terms herein used shall mean as follows:

1. **Accounts payable** – the incurred expenses of the Implementing Agency due for payment during the active period but not yet paid as of the end of the duration of the project.
2. **Commercialization** – refers to the process of deriving income or profit from technology, such as but not limited to the operation of a spin-off company or business establishment from a licensed or sale of technology and/or IPRs.

3. **Completion Date** – the expiration date of a grant, after which no expenditures can be charged against the grant.
4. **Completed project** – a project whereby the Implementing Agency has satisfactorily complied with the technical obligations such as but not limited to semi-annual and annual progress reports as well as the financial requirements as provided for in the program/project Memorandum of Agreement (MOA) and accepted by the Monitoring Agency.
5. **Contained Use** – any operation, undertaken within a facility, installation, or other physical structure, which involves Genetically Modified Organisms (GMOs) that are controlled by specific measures that effectively limit their contact with, and their impact on, the external environment. It involves the use of a regulated article for research and development inside a physical containment facility which has been inspected and approved by the DOST-Biosafety Committee.
6. **Continuing Project** – a project where the funding agency agrees to provide support for an initially specified time with a statement of intent to provide support/budget for the succeeding year, provided that funds are available, and the achieved results justify further support.
7. **Cooperating Agency** – an agency that supports the project by participating in its implementation as a collaborator, co-grantor, committed adopter of resulting technology, a potential investor in technology development, or through other similar means.
8. **Direct Cost** – expenses incurred by the implementing agency in the execution of program/project, which is considered indispensable to its operations.
9. **DOST Executive Committee (EXECOM)** – is the highest policy and approving body of DOST which has the authority to make decisions and ensures that these are carried out in the implementation of DOST-GIA funded programs/projects.
10. **Funding Agency** – refers to DOST or any government agency or instrumentality, or government-owned and/or controlled corporation that provides research grants and other technical and material support, from government appropriations and resources and those sourced from government-managed Official Development Assistance (ODA) funds.

11. **Genetically Modified Organisms (GMOs)** – any living organism that possesses a novel combination of genetic material obtained through the use of modern biotechnology to make them capable of producing new substances or perform new functions. It also refers to any “living modified organism” as defined under the Cartagena Protocol on Biosafety.
12. **Grants-In-Aid (GIA)** – funds allocated to programs/projects by the DOST and its particular grant-giving agencies, including its Regional Offices and Sectoral Councils, pursuant to these Guidelines.
13. **Implementation Date** – the date when the funds were released to the Implementing Agency.
14. **Implementing Agency** – the primary organization involved in the execution of a program/project which can be a public or private entity.
15. **Income** – the income from GIA projects supported by DOST and its particular grant-giving agencies, based on existing laws, shall include but not be limited to:
  - a. Royalty payments and other intellectual property rights remuneration received from results/products, processes, and technology systems arising from a program/project;
  - b. Rental fees, management fees, and related types of remuneration received from the use of equipment/facilities funded by GIA Program;
  - c. Sale of produce and other products, services, and publications developed from project activities; and
  - d. Training fees (net of expenses) collected from training packages developed from the program/project activities.
16. **Indirect Cost** – the overhead expenses incurred by the implementing or monitoring agency in managing, evaluating, and monitoring the program/project as cited in Section IX.B.2 of these guidelines. The administrative and project management costs shall be under this classification.
17. **Intellectual Property (IP)** – refers to creations of the mind, such as inventions, literary and artistic works and symbols,

names, images, and designs used in commerce. It also includes intangible assets resulting from the creative work of an individual or organization.

18. **Interest** – refers but shall not be limited to interests of deposits of the grant in a bank account whether in a separate project account or in a general account. This shall be reported as earnings in the project's financial report.
19. **Line-Item Budget (LIB)** - the detailed breakdown of financial assistance requested and reflects the counterpart of the Implementing Agency and other agencies cooperating in the project.
20. **Monitoring Agency** – the DOST agency that reviews the project proposal and provides technical assistance and coordinates among different implementing and coordinating agencies. It shall evaluate the feasibility of the project/program and ensure that implementation follows the approved project proposal, line-item budget, and Memorandum of Agreement.
21. **Multi-Year Program/Project** – a program/project exceeding one (1) year project duration.
22. **Non-Government Organization** – a non-profit, voluntary organization committed to the task of socio-economic development and established primarily for services such as assisting citizens or people's organizations in various ways by educating, training, or giving funds to them. (Section 2.0 of COA Circular 2007-001 dated 25 October 2007) This includes, but is not limited to, DOST-certified science foundations.
23. **Non-Profit Institutions** – refers to any legal or social entities created for the purpose of producing goods and services, and rendering assistance, whose status does not permit them to be a source of income, profit, or other financial gains for the units or persons that establish, control, or finance them.
24. **Oath of Undertaking** – refers to a sworn statement executed by the Project Leader acknowledging his/her outstanding obligation to the Funding Agency with a legally demandable commitment to comply within the prescribed period.
25. **Pre-commercialization Phase** – is a process that bridges R&D and commercialization which includes activities that

lead to the creation or validation of the business model for the commercialization of a product/service. Example of activities includes incubation, mentoring, business support program, capacity building, fabrication support, promotion, market validation, optimization of processes, acquisition of production capabilities, research on the manufacturability of products/ optimization of value chains, advisory, legal, and expert support, and use of research/ incubation facilities, among others. For ready-to-scale startups, pre-commercialization shall include optimizing scale-up operations to serve local markets, roll out of initial services, expansion of protection in other countries, and extensive marketing in preparation for investment offerings in the future.

26. **Private Sector** – refers to individuals or companies engaged in profit-seeking activities not operated by the government. It includes startups, micro, small and medium-sized enterprises, financial institutions, cooperatives, and other related intermediaries.
27. **Program** - a group of interrelated or complementing S&T projects that require an interdisciplinary or multidisciplinary approach to meet established goal(s) within a specific time frame.
28. **Program Leader** – the person who plans, organizes, and supervises the overall activities of a program, and is a Project Leader of at least one (1) of the projects under a program.
29. **Project** – the basic unit in the investigation of specific S&T problem/s with predetermined objective(s) to be accomplished within a specific time frame.
30. **Project Cost** – the amount or budget requested by the Implementing/Monitoring Agency and/or approved by the Funding Agency.
31. **Project Duration** – the grant period or timeframe that covers the approved start and completion dates of the project.
32. **Project Leader** – the project’s principal researcher/implementer.
33. **Project Proposal** – the plan and description of S&T project developed by a Program/Project Leader and/or his/her team in accordance with specific requirements or specifications set

by DOST and/or its grant-giving unit and submitted to the latter for financial and/or technical assistance.

34. **Program/Project Personnel** – shall be composed of the program/project leaders and their staff, who are directly involved in the implementation of the program/projects.
35. **Project Staff** – those who render technical, administrative, or management-related services/assistance, including research utilization practitioners; information, education, communication (IEC) material writers; and tri-media communications support staff.
36. **Proponent** – an agency or organization or in the case of startups, an entity or individual that prepares and submits project proposals for DOST’s approval and assistance under the DOST-GIA Program.
37. **Reprogramming** – is the transfer and/or reapplication of funds within a project, either between and among expense items within an expense class or between two expense classes.
38. **Funding Agreement** – a contract entered by and among the government funding agency (GFA) and other funding agencies and the research and development institutes (RDIs). It governs ownership of intellectual property, duties, and responsibilities of GFAs and RDIs, technology disclosure, the exclusivity of the license, use of commercialization, the establishment of spin-off firms, technologies for research use, and sharing of income and benefits from technology commercialization.
39. **Savings** – the remaining balance of the approved budget of the project or the unutilized portion of the approved project funds after it has been completed/terminated. It also refers to the amount accrued after all project activities have been conducted.
40. **Science and Technology (S&T)** – the scientific research and development, promotion and commercialization of technology, dissemination, and application of scientific and technical knowledge in all fields of natural science and technology.
41. **Smallest Unit of an Agency** – refers to a Section, Division, Department or College provided that the Project Leader directly reports to the Head of said Section, Division, Department, or College).

42. **Startups** – any person or registered entity engaged in the Philippines which aims to develop an innovative product, process, or business model.
43. **Startup Enablers** – any person or registered entity in the Philippines registered under the Philippine Startups Development Program that provides goods, services, or capital identified to be crucial in supporting the operation and growth of startups, by the DTI in consultation with DOST, DICT, and pertinent government and non-government organizations (NGOs).

Startup enablers shall include, but not limited to, startup accelerators, incubators, co-working spaces, investors, funders, event, or meetup organizers catered to startups, and other support organizations.

44. **6Ps and 2Is** – the metrics used in evaluating DOST-GIA programs/projects which are publications, patents, and Intellectual Property Rights (IPR), products, people, services, partnerships, and policies (in the case of Startups, may be business models), and social, and economic impact.
45. **Termination Date** – the date the project implementation was discontinued due to reasonable causes, as endorsed by the Monitoring Agency and approved by the Funding Agency.
46. **Unexpended Balance (UB)** – the outstanding balance earmarked for an item that has not yet been procured or an activity that has not yet been accomplished.

## V. CLASSIFICATION OF S&T PROGRAMS/PROJECTS FUNDED

### 1. **Research and Development (Generation of Knowledge and Technologies)**

Research and development (R&D) is defined as comprising of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture, and society, and the use of this stock of knowledge to devise new applications through the conduct of the following activities:

- a. **Fundamental/Basic Research** – refers to experimental or theoretical work undertaken primarily to acquire new

knowledge on underlying phenomena and observable facts. This can either be (a) without immediate or specific application (fundamental research) or (b) geared to come up with information toward the solution of a specific problem that has not been solved before (oriented basic research). This category includes natural and social sciences among other areas.

- b. **Applied Research** – refers to an investigation undertaken to utilize data/information gathered from fundamental/basic researches or to acquire new knowledge directed primarily towards a specific practical aim or objective with direct benefit to society.
- c. **Experimental Development** – refers to systematic work that draws from existing knowledge gained from research and/or practical experience that is directed to produce new materials, products, and devices, install new processes, systems, and services, and substantially improve those already produced or installed.
- d. **Pilot Testing** – refers to innovative scaled-up (greater than laboratory or bench scale) activity aimed at gaining experience that may lead to further technical improvement of product or production process and setting the parameters before the technology transfer of the process/product and design of equipment.

## 2. **Research and Development Results Utilization (RDRU) – Diffusion of Knowledge and Technologies**

RDRU refers to the technology utilization and dissemination of knowledge and innovation generated from R&D to reach the end-users, such as the LGUs, policymakers, farmers, entrepreneurs, researchers, extension workers, industries, and students. It is the widespread adoption of technologies by users other than the original innovators. Technology diffusion is recognized world-wide as necessary for generating economy-wide benefits from innovation in terms of productivity gains and job creation. Knowledge and technologies are diffused through various channels and involve a broad range of private and public institutions that, taken as a whole, make up the national innovation system through the following:

- a. **Technology Transfer** – are those activities that are basically designed to support, promote, facilitate, or fast-track the transfer of technologies developed by DOST institutions and/or by DOST-funded/assisted R&D programs. It is also a process by which one party systematically transfers to another party the knowledge for the manufacture of a product, the application of a process, or the rendering of a service, which may involve the transfer, assignment, or licensing of IPRs.
- b. **Technology Receptor Capacity Building** - are those activities that are essentially designed to enhance the capacity of firms, particularly the Micro, Small, and Medium Enterprises (MSMEs), to identify their specific technology needs, to solve their technical problems, and overcome their obstacles to the successful adoption and use of technologies arising from deficiencies in labor, management, and organizational change. These include the provision of consultancy services and of access to information on technology sources.
- c. **Innovation Capacity-Building** – are those activities that are designed to promote greater awareness of the value of innovation among firm managers and owners particularly of SMEs and stimulate demand for technological and organizational change within firms, essentially through greater collaboration, partnerships, clustering, and networking among firms and with knowledge providers. These include collaborative and systematic planning for future strategic technology investments for a particular sector/cluster as well as the sharing of diagnostic tools, best practices, and knowledge among firms and academic/government institutions.

This category includes but is not limited to the following activities:

- i. **Technology needs assessment and technology sourcing** – assistance provided to participating firms in the assessment of technology needs, mapping, and identification of appropriate technologies to identify business opportunities and requirements of investors,-entrepreneurs, aspiring entrepreneurs, and industries in accelerating technology commercialization.

- ii. **Enterprise Development** – establishment and strengthening of technology-based business through the provision of technology, equipment, and training.
- iii. **Consultancy and Technical Advisory Services** – activities that ensure successful adoption of technologies through DOST’s pool of experts drawn from its various agencies and members of the R&D network including academic institutions and private firms/industries.
- iv. **Technology Matching Service** – activities that ensure promotion and utilization of technology through linkages between technology generators and technology adopters/users.
- v. **Preparation of technology commercialization plan, acquisition of equipment, and provision of technology systems** – to encourage and enable the private sector to carry out technological innovation and related activities/services.

### 3. **Development of Human Resources and R&D Institutions for the S&T Sector**

The development of human resources for the S&T sector involves a wide range of interventions from the provision of high-quality formal education at all levels to specialized training, with a focus on young scientists and engineers, and the development, attraction, and retention of the country’s S&T talents.

These include specialized science secondary school programs, undergraduate scholarship programs, teacher upgrading programs, graduate scholarship programs, a program for tapping overseas Filipino S&T expertise, awards and recognition programs, and other human resource development programs. These also cover other initiatives aimed at enhancing the public’s S&T awareness including but not limited to:

- 8.3.1. International, national, or local S&T workshops/seminars/meetings, symposia/conferences; and

- 8.3.2. International, national, or local S&T competitions/quizzes/Olympiads.

The development of R&D institutions involves the creation of consortia that address specific S&T concerns of a region or a group. It may also include projects aimed at increasing the capability of institutions to conduct R&D projects which would translate to the generation of world-class products and services.

#### **4. Provision of Quality S&T Services**

The DOST provides other services that strengthen the S&T infrastructure to develop and upgrade national, regional, and local S&T capacities of institutions and centers of excellence. These include:

- 8.4.1. Improving/upgrading the testing, measurement, and calibration services of government laboratories and facilities;
- 8.4.2. Development of information resources/databases and general-purpose data collection to record natural, biological, or social phenomena that are of general public interest;
- 8.4.3. Testing and calibration services of R&D institutes and other DOST regional offices;
- 8.4.4. S&T regulatory and licensing work, to include PNRI's nuclear regulation, and licensing policy such as those made by the DOST Central Office;
- 8.4.5. Publications/book writing on S&T including subsidy/grant to science and technology journals;
- 8.4.6. S&T policy development including secretariat services and management support to S&T programs and projects; and
- 8.4.7. Other S&T linkages development/promotion activities, to include, among others, organization and strengthening

of S&T networks, and bilateral agreements, S&T programs for women and tri-media.

## VI. ELIGIBILITY REQUIREMENTS

The following are the program's eligibility requirements:

### 1. On the program/project proposal

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

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

### 2. On the Implementing Agency

The implementing agency that will be involved in the program/project:

- a. must be a Filipino entity duly registered with the appropriate government agencies;
- b. must be either a government agency or its instrumentalities, educational institution, NGO, non-profit institution, a private company, startups, or a DOST-certified science foundation; and
- c. in the case of startups, must be in operation for a minimum of one (1) year to a maximum of three (3) years provided that the business model has not been established.

### 3. On the Program/Project Leader

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

- a. must be a Filipino citizen, subject to applicable laws;
- b. shall submit documents/ proof of the following, which shall include but not limited to credentials/proof of capability; certificate of employment; track record; and endorsement of his/her institution. Eligibility shall be determined by the assigned Monitoring Agency based on his/her readiness in terms of technical, managerial, financial, and marketing capabilities (if necessary);
- c. must hold a permanent position or a regular position for the private entity and not due to retire during the conduct of a program/project;
- d. must not have any existing accountability with DOST and its agencies particularly technical and financial reports (refer to Sections X.B and X.C); and
- e. must not have been found guilty of administrative or criminal case, including those under appeal.

## VII. PROJECT PROPOSAL REQUIREMENT AND ITS SUPPORTING DOCUMENTS

The Program/Project Leader shall submit documents that are required by respective DOST funding agencies. These shall include, among others, the following:

1. Complete proposal following the DOST format:
  - a. R&D Programs/Projects: DOST Forms 1 and 2 (detailed R&D program/project proposal); and
  - b. Non-R&D Programs/Projects (S&T Promotion and Linkages, Policy Advocacy, Technology Transfer, Provision of S&T Services, Human Resource Development, and Capacity-Building): DOST Form 3.

2. A detailed breakdown of the required fund assistance to indicate the counterpart of the proponent and other fund sources including letter/s of commitment from the implementing, collaborating, and coordinating agency/ies (See Section IX.B-LIB Preparation);
3. A counterpart fund, in-kind and/or in cash, shall be required from the implementing agency as one of the application requirements. All projects must have a minimum of 15% counterpart contribution except for projects involving public good;
4. Curriculum Vitae or Personal Data Sheet (PDS) of Project Leader and other co-researchers/implementers. The service record may be requested if needed;
5. Clearance from the DOST or the Funding Agency (e.g., DOST Councils) on previously funded completed projects handled by the Project Leader;
6. Approval from the institution's ethics review board for research involving human subjects or in the case of animal subjects, approval from the Bureau of Animal Industry (BAI);
7. Clearance from the DOST Biosafety Committee (DOST-BC) shall be required for research proposals involving the use of GMOs under contained use (i.e., experiments were done in laboratories, screen houses, greenhouse). For projects other than contained use, they shall be referred to the appropriate agency. The DOST Sectoral Councils, after a determination as to whether or not the proposal has biosafety implications, shall endorse the same to the DOST-BC in accordance with the prescribed format under Annex 3 of the Philippine Biosafety Guidelines for Contained Use of Genetically Modified Organisms (series of 2014); and
8. For the private sector/non-government organizations and startups:
  - a. Up-to-date Securities and Exchange Commission (SEC) registration, or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents;
  - b. Co-signers Statement (if applicable);

- c. Copy of latest Income Tax Return;
- d. Mayor's permit where the business is located;
- e. Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with the operation of fewer than 3 years, for the years in operation, and proof of the previous implementation of similar projects (or in the case of startups, at least for one (1) year);
- f. Document showing that NGO/PO has equity to 20 percent of the total project cost, which shall be in the form of labor, land for the project site, facilities, equipment, and the like, to be used in the project;
- g. Disclosure of other related business, if any;
- h. List and/or photographs of similar projects previously completed, if any, indicating the source of funds for implementation;
- i. Sworn affidavit of the secretary of the NGO/PO that none of its incorporators, organizers, directors, or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
- j. Sworn affidavit of the secretary of the NGO/PO that none of its incorporators, organizers, directors, or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
- k. For CSOs, compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations (CSOs); and
- l. For foundation, DOST certification as accredited by the Science and Technology Foundation Unit.

For purposes of this particular section, private Higher Educational Institutions (HEIs) accredited by the Commission on Higher Education (CHED) and private research and development institutions with a proven track record with DOST shall be exempted from the abovementioned requirements.

## **VIII. PROJECT PROPOSAL EVALUATION**

The project proposal shall be evaluated based on the Funding Agency's project proposal review mechanism, their specific review criteria, or based on the following:

### **1. Soundness of Proposal**

- a. R&D addresses relevant sectoral need (applicable to pressing concern);
- b. Solution provided is most effective (compared to other proposed solutions);
- c. The proposed budget is reasonable (the project is not expensive vis-à-vis output); and
- d. Workplan is doable in a given timeframe.

### **2. Suitability of Output**

- a. R&D Output is cost-effective (cost is competitive in relation to new or existing products or process);
- b. Has identified partners to adopt the technology (with letter of support from the head of the company);
- a. Output can be commercialized (through an existing manufacturer, spin-off, or start-up company); and

- b. R&D utilization is timely (output should not be overtaken by other solutions).

### 3. Significance of Outcome

- a. **Economic:** increase in productivity, increase in income, new jobs generated and high return of investment (ROI);
- b. **Social:** working partnerships established; training opportunities provided; policies adopted; increased access to basic services (i.e., food, health education); political; cultural, gender sensitivity, and inclusivity;
- c. **Environment:** enhanced environmental health standards, no adverse effect to the environment; and
- d. **Sustainability:** sustainability mechanisms established in terms of institutional, financial, and human resources capability, (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project).

### 4. Competence of Proponent

- c. Proponent's expertise is aligned with the proposal;
- d. Collaboration with relevant agencies and/or industry partners;
- e. Thorough understanding of the proposals; and
- f. DOST has good experience with the proponent.

## **IX. PROPOSAL PREPARATION, SUBMISSION, REVIEW, AND APPROVAL**

### **1. Detailed Proposal and Work Plan**

The Program/Project Leader shall prepare a detailed proposal using the prescribed DOST form that presents among others the following:

- a. Title of proposed program/project;
- b. Information about the Program/Project Leader;
- c. Significance and objectives of the project;
- d. Review of related literature (references to illustrate/describe the baseline data);
- e. Theoretical framework (key assumptions and critical areas in conceptualization stage);
- f. Methodology/strategies for implementation;
- g. Expected output based on 6Ps and potential socio-economic impact;
- h. Target Outcome;
- i. Target beneficiaries;
- j. Gender sensitivity/responsiveness (based on the harmonized gender and development guidelines);
- k. Personnel and financial requirement;
- l. Duration of the program/project;
- m. Work plan or Gantt Chart of activities;
- n. Risk Management Plan; and
- o. Curriculum vitae of Program Leader, Program/Project Coordinator, Project Leader, and Other Co-researchers/ implementers.

## **2. Line-Item Budget (LIB) Preparation**

The grant shall finance project expenditures itemized in an approved LIB following the DOST Form 4-Project Line-Item Budget. The grant may cover partial or full cost of the project, both direct and indirect costs which shall include personnel services, maintenance, and other operating expenses and capital outlay that are an integral part of the project. All expenditure items in the LIB shall be in accordance with the Unified Account Code Structure (UACS), relevant provisions of which are shown below.

### **2.1. Direct Cost**

Direct cost covers expenses incurred by the implementing agency in the execution of a program/project considered indispensable to its operations. It can be broken down according to specific accounts under Personnel Services (PS), Maintenance and Other Operating Expenses (MOOE), and Capital Outlay (CO).

#### **a. Personnel Services (PS)**

This includes salaries and wages, honoraria, fees, and other compensation to consultants and specialists. These personnel undertake specific activities that require expertise or technical skill. Payment of salaries and honoraria should specifically be based on the applicable guidelines.

#### **b. Maintenance and Other Operating Expenses (MOOE)**

MOOE shall be in accordance with the Government Accounting Manual (GAM) and shall be broken down/itemized as follows:

- i. **Traveling Expenses** – costs of (1) movement of persons locally and abroad, such as transportation, travel insurance for researchers exposed to hazard/risks, subsistence, lodging and travel allowances, fees for guides or patrol; (2) transportation of personal baggage or household effects; (3) bus, railroad, airline, and ship fares, trips, transfers, etc. of persons while traveling; (4) charter of boats, launches, automobiles, etc. non-commutable transportation allowances, road tolls; and (5) parking fees and similar reasonable expenses.

For foreign travel, the proposal shall include the name(s), the designation of program/project personnel who will travel, possible country of destination, purpose, and duration of the travel, provided only project personnel shall be allowed to use the travel funds except in highly meritorious cases as determined by the Monitoring Agency governed by DOST-prescribed rules and other existing applicable relevant guidelines, circulars, or order of competent authority pursuant to law and implementing rules and regulations.

- ii. **Communication Expenses** – include costs of telephone, telegraph, mobile/wireless and tolls, fax transmission, postage and delivery charges, data communication services, internet expenses, cable, satellite, radio, and telegraph messenger services, among others;
- iii. **Repair and Maintenance of Facilities** – include costs of repair and maintenance of office equipment, furniture and fixtures, machinery and equipment, IT equipment and software, building, office, and laboratory facilities, and other S&T structures directly needed by the project;
- iv. **Repair and Maintenance of Vehicles** – include costs of repair and maintenance of vehicles directly needed by the project except

for cost of spare parts, gasoline, and oil that shall fall under Supplies and Materials;

- v. **Transportation and Delivery Services** – include the costs of the commercial transportation of mail, hauling of equipment or materials, including portage, if any. Not included in this account are costs of transportation of equipment, supplies, and materials purchased for operation. Instead, these costs shall be included as part of the cost of the equipment/supplies and materials;
- vi. **Supplies and Materials** – include costs of items to be used in specialized S&T work (e.g., office supplies, accountable forms, zoological supplies, food supplies, drugs and medicine, laboratory supplies, gasoline, oil and lubricants, agricultural supplies, textbooks/instructional materials, and other supplies). It also includes all expendable commodities (delivery cost included as needed/required) acquired or ordered for use in connection with project implementation such as spare parts, fuel, and oil;
- vii. **Utilities** – include costs of water, electricity or cooking fuel consumed by the implementing agency directly related to the project;
- viii. **Training and Scholarship Expenses** – include training fees and other expenses, and scholarship expenses such as tuition fees, stipends, book allowance, and other benefits;
- ix. **Advertising Expenses** – include costs of authorized advertising and publication of notices in newspapers and magazines of general circulation, television, radio, and other forms of media necessary for the implementation of the project;
- x. **Printing and Binding Expenses** – include costs of producing, printing, and binding materials such as books, reports, catalogs,

documents, and other reading materials necessary for the implementation of the project;

- xi. Rent Expenses** – rental fees for the use of facilities, equipment, and vehicles directly used in the implementation of the project;
- xii. Representation Expenses** – include costs of meal/food for the conduct of workshops/ meetings, conferences, and other official functions related to the project;
- xiii. Subscription Expenses** – include costs of subscription to library materials, such as magazines, periodicals, other reading materials, and software (including online software) necessary for the implementation of the project;
- xiv. Survey Expenses** – include costs incurred in the conduct of survey related to the project;
- xv. Professional Services** – as defined in GAM, but only those items that are relevant and appropriate to the proposed program/project;
- xvi. Taxes, Insurance Premiums, and other Fees** – include costs of accident insurance of the project personnel for the performance of duties that involve hazardous activities during project duration; taxes, duties and licenses, fidelity bond premiums, and insurance expenses of equipment acquired under the project; and
- xvii. Other Maintenance and Operating Expenses** – additional items not included above such as cost of submission of a scientific paper for peer-reviewed journals.

### c. **Capital Outlay (CO)**

This includes all equipment necessary for the implementation of the project, which shall be enumerated in the proposed LIB. Equipment procured through GIA funds are subject to the provisions under Section XII “Purchase, Ownership, and Accountability of Equipment and Other Properties” of these Guidelines. Every piece of equipment shall still be subject to the evaluation of the monitoring agency.

This also includes infrastructure that is an integral part of the R&D, which are crucial in the attainment of the project objectives.

## **2.2. Indirect Cost**

Indirect cost covers the overhead expenses incurred by the Implementing Agency in managing and, Monitoring Agency in evaluating and monitoring the program/project. The administrative and project management costs shall fall under this account. Similar to direct cost, the indirect cost can be broken down according to the specific items under PS, MOOE, and CO.

- a. The indirect cost shall be included in the LIB except for projects on printing/documentation of proceedings and publication of books and other works, the conduct of conferences/seminars/ workshops, and for projects that are purely equipment acquisition in nature.

The total indirect cost of a program/project shall not exceed 15% of the total PS and MOOE of the program/project.

- b. The Implementing Agency and Monitoring Agency shall

each retain an indirect cost, equivalent to 7.5% of PS and MOOE less Taxes, Duties, and Licenses. For projects that are primarily on S&T promotion, policy advocacy, human resource development, and capacity-building, the indirect cost shall not exceed three hundred thousand pesos (P300,000.00) unless otherwise allowed by the Funding Agency, subject to the submission of substantiation as to increased costs based on scope, complexity, and geographic coverage.

- c. The indirect cost incurred by the Implementing and Monitoring Agency covers expenses incurred in managing, evaluating, and monitoring the program/project and other related expenses. Expenses in managing the program/project include but not limited to financial and administrative support for PS (salaries and honoraria) and expense items under MOOE (supplies and materials, communication services, transportation, and delivery expenses, traveling expenses, utilities, representation expenses, professional services, refurbishment of facilities, and repairs and maintenance) and equipment outlay (EO) as defined under the Government Accounting Manual (GAM).

Foreign travel and training expenses may be allowed subject to the approval of the Funding Agency provided that the Monitoring Agency is not the funding agency.

- d. The number of personnel receiving honoraria on a per-project basis under indirect cost shall not exceed five (5) for the Implementing Agency and three (3) for the Monitoring Agency except in highly meritorious cases as approved by the Funding Agency.

### **2.3. Project Proposal Flow / Approval / Release of Funds**

1. The Program/Project Leader shall submit the proposal duly endorsed by the Head of Agency to the Office of the Undersecretary for R&D, which shall acknowledge submission and update the Program/Project Leader of any action taken on the proposal.

2. The project proposal shall be evaluated through an established project review mechanism (DOST Monitoring & Evaluation (M&E) Protocol). Endorsement of the appropriate Sectoral Council/ DOST agency to monitor the projects shall be required for all project proposals.
3. All new projects to be funded under the DOST-GIA Program shall be subject to the approval of the EXECOM except for projects amounting to five million pesos (P5,000,000.00) and below which may be approved by the Undersecretary for R&D. The EXECOM shall be informed of the projects approved by the Undersecretary.
4. Upon approval of the proposal, a Memorandum of Agreement (MOA) shall be issued by the DOST-Special Projects Division (SPD) or concerned DOST Funding Agency. For continuing projects, an approval letter and approved LIB shall suffice. If there are changes in the original MOA such as duration or budget, or if there are special instructions during renewal, a Conforme letter shall be issued. For changes in objectives and/or deliverables, a Supplemental MOA shall be issued. The DOST Secretary shall be the principal signatory for all documents pertinent to the approved project amounting to more than fifteen million pesos (P15,000,000.00). Approved projects amounting to fifteen million pesos (P15,000,000.00) or below shall be for the signature of the Undersecretary for R&D.
5. For projects involving human and animal subjects or genetically modified organisms (GMOs), fund release is subject to the submission to the Funding Agency of clearances from the approving authority such as the Bureau of Animal Industry (BAI), Ethics Review Board and Biosafety Committee. For projects involving indigenous peoples' rights and interests, an approved Free, Prior and Informed Consent (FPIC) shall be submitted to the Funding Agency. For NGOs/ POs as implementing agencies, an authenticated copy of the certificate of approval by the Cooperative Development Authority (CDA) shall be submitted to the Funding Agency. For projects with Civil Society Organizations (CSOs) as implementing agency, the CSOs must be in good standing and shall submit clearance on the funds received from other government agencies to attest that it has no default or delay in liquidating grants.

## X. GRANT ADMINISTRATION

### 1. Roles of the Concerned Institutions/Offices/Staff

- a. The SPD shall:
  - i. Act as the Secretariat to the EXECOM and monitor DOST-GIA fund status;
  - ii. Ensure, with the assistance of the designated Monitoring Agencies, that grant conditions and policies concerning program/project implementation are strictly followed; and
  - iii. Revise the content of the DOST-GIA Forms subject to approval by the EXECOM.

The SPD shall coordinate with the appropriate Sectoral Council. Further, the SPD shall provide concerned offices with all pertinent documents related to the approved programs/projects for proper documentation and coordination/monitoring and facilitate assistance in the conduct of assessment by the DOST-EXECOM of major completed R&D projects.

- b. The Monitoring Agency shall ensure the efficient, timely, and smooth implementation of approved projects and that set objectives and targets are attained. It shall conduct a periodic field evaluation of the project to identify problems, solutions, and remedial actions to avoid delays in implementation. The Monitoring Agency shall also examine the budget requirements of the projects especially those that require continued funding. In addition, it shall evaluate the activities conducted, equipment purchased, review reports submitted, and ensure that appropriate intellectual property protection be initiated, where applicable, for outputs of an R&D project.

The Monitoring Agency shall certify that the foreign travel of the Implementing Agency is essential and necessary

to the project and consistent with the approved line-item budget. The request to use the funds which shall be duly endorsed by the Head of the Implementing Agency or its authorized representative shall be submitted to the Monitoring Agency for endorsement to the Funding Agency at least one (1) month prior to the date of travel. The Monitoring Agency's endorsement shall be submitted to the Funding Agency at least two (2) weeks prior to the date of travel. The Funding Agency reserves the right to approve or disapprove the request. A travel report shall be submitted one (1) month upon return to the country.

Monitoring and evaluation expenses shall be governed by the DOST prescribed rules and other existing applicable relevant guidelines, circulars, or orders of competent authority pursuant to law and implementing rules and regulations.

- c. The Implementing Agency shall have the primary responsibility for all project activities. It shall notify the Monitoring Agency of significant concerns/ problems related to project implementation. The Head of the Implementing Agency shall ensure that the Project Leader submits to the Funding Agency all the required reports/ documents on time.
- d. The Program/Project Leader shall provide technical leadership and directly implement the program/project; adhere to the goals/objectives of the program/project; follow strictly the approved activities as reflected in the work plan; deliver committed outputs, and submit required reports/ documents on time. The Program Leader shall coordinate with the project leaders to ensure that the goals of the projects and program are attained; consolidate the projects' output, which shall be packaged as a program output; ensure that all implementing guidelines have been read and understood, and execute manifestation to abide by all the rules.

The Project Leader shall ensure that the request for foreign travel shall be made one (1) month prior to the date of travel and it should be duly endorsed by the Head of the Implementing Agency or its authorized representative. The request shall be submitted to the Monitoring Agency for endorsement to the Funding Agency. A travel report shall be submitted within one (1) month upon return to the country.

To ensure that programs/projects are effectively implemented, a Program Leader shall handle only two (2) programs at a time while a Project Leader shall handle only three (3) projects at a time.

- e. The Project Staff shall undertake the day-to-day implementation of the S&T program/project. He/she is required to read the implementing guidelines of the project and execute manifestation that he/she understands and is willing to abide by all the rules. He/She shall be involved in only two (2) projects at a time.

## 2. Technical Monitoring

The Program/Project Leader shall submit periodic accomplishment reports to the Funding Agency through the Monitoring Agency. All reports must be duly endorsed by the Head of the Implementing Agency.

- a. Submission of Technical Reports by the Implementing Agency to the Monitoring Agency.
  - i. Regular semi-annual progress report using DOST Form 6-Semi-Annual Progress Report shall be submitted in two (2) hard copies and an electronic copy, within a month after the end of each semester;
  - ii. Programs/projects with a one (1) year duration shall submit the terminal accomplishment report using DOST Form 15 in two (2) hard copies and an electronic copy, not later than two (2) months after project completion, together with DOST Form 12-List of Equipment Purchased;
  - iii. It shall include a publishable or pre-print manuscript, if applicable;
  - iv. It shall also include evidence of intellectual property (IP) protection filing, whenever applicable;

- v. Programs/projects with multi-year duration shall submit the annual technical report using DOST Form 7 in two (2) hard copies and an electronic copy, not later than two (2) months after each year of implementation, together with DOST Form 12-List of Equipment Purchased;
  - vi. In case of a program, a consolidated annual program report shall be submitted in addition to the individual project reports; and
  - vii. The Monitoring Agency shall report to the EXECOM, for its appropriate action, any failure of the Implementing Agency to submit reportorial documents.
- b. Submission of Technical Reports by the Monitoring Agency to the Funding Agency.
- i. The Funding/Monitoring Agency shall conduct periodic field monitoring to assess the progress of project implementation and help resolve problems if any. An assessment report using DOST Form 10-Project Monitoring and Field Assessment Report shall be submitted semi-annually/annually together with the renewal documents (for ongoing projects) and terminal appraisal/assessment report using DOST Form 14 (for completed projects); and
  - ii. The DOST appraisal/assessment report shall be submitted to the Funding Agency within one (1) month upon receipt of the acceptable terminal report.

### **3. Program/Project Extension**

- a. Requests for extension of program/project shall be submitted together with the following documents:

- i. Latest financial report;
- ii. Proposed LIB;
- iii. Gantt Chart of activities for the extension period;
- iv. Technical report; and
- v. Justification for extension.

Payment of honorarium shall not be allowed during the extension period.

- b. Requests for extension without additional funding shall be evaluated and approved by the Monitoring Agency, which shall inform the Funding Agency within two (2) weeks upon its approval. Those with additional funding requirements shall be evaluated and endorsed by the Monitoring Agency for approval of the Funding Agency.
- c. A program/project may be extended for a maximum of one (1) year beyond its original duration for a multi-year project. No extension shall be allowed for a project with less than one (1) year duration, except as determined during the progress/midterm review and in cases when the reason for the extension is due to force majeure.
- d. The request for extension should be submitted not later than three (3) months before the expected date of completion, except for extensions as a result of force majeure. Extension of a continuing project shall not be allowed unless it is on its terminal/last year of implementation. If the request for extension involves the use of unexpended balance, financial report or statement of fund balances as of the date of request should be submitted not later than one (1) month before the expected date of completion. (See Section X.B.3.a)
- e. A program/project can be given a maximum of only two (2) extensions but not to exceed a total of 12 months except for extensions as a result of force majeure. The request for a second extension should be submitted one month before the completion date of the first extension.

#### 4. Continuing Assistance and Additional Funding of Programs/Projects

- a. The request for continued funding of an ongoing or multi-year program/project shall be submitted to the Monitoring Agency not later than two (2) months before the end of the active period. The Monitoring Agency shall forward its recommendation to the DOST not later than one (1) month before the end of the active period. If approval has not been sought by the end of the active period, the program/project shall be automatically suspended. The implementing agency is not authorized to use the project funds during the suspension period.
- b. The request for continued funding shall be supported by the following documents:
  - i. Technical and financial reports that cover at least the last three (3) quarters of the implementation period;
  - ii. Work Plan;
  - iii. Proposed LIB (including cash program) for the succeeding year;
  - iv. Duly signed list of inventory report of equipment;
  - v. Property Acknowledgment Receipt (PAR);
  - vi. List of personnel involved (DOST Form 11); and
  - vii. Endorsement and appraisal report from the Monitoring Agency following DOST Form 14.
- c. In renewing multi-year programs/projects, the proposed budget for continued funding shall be based on the amount originally approved by EXECOM. Renewal of multi-year

program/project that does not require additional funding, or has no major changes in the title, objectives or expected outputs shall be approved by the DOST Secretary upon recommendation by the Undersecretary for R&D.

Any increase in funding shall require EXECOM approval.

## **5. Deferment/Suspension/Change in Implementation Date**

- a. The Monitoring Agency shall review and approve the request for deferment/change in the implementation date of a new program/project and shall inform the EXECOM of such change. For DOST-Central Office (DOST-CO) directed projects, the Monitoring Agency shall approve the requests. The project duration should not change.
- b. Projects with deferred implementation due to delay in the release of funds shall commence within two (2) months after the release of funds.
- c. Requests for deferment for the start of implementation should be made at the latest within the first month after fund release.
- d. Requests to suspend the implementation of an ongoing project for a maximum of three (3) months shall be approved by the concerned Undersecretary as endorsed and recommended by the Monitoring Agency. The Monitoring Agency shall then report to the EXECOM the suspension, upon which, said EXECOM shall decide on the resumption, the extension of suspension, or cancelation of the project.

## **6. Change in Project Title/Objectives/Activities /Implementing Agency**

Change in the project title and activities/work plan, which does not affect project deliverables shall be approved by the Monitoring Agency. Request for change of implementing agency,

objectives, or activities that affect project deliverables shall be reviewed and endorsed by the Monitoring Agency for approval of the Funding Agency. In both cases, the Implementing Agency shall be required to submit justification for such change.

## 7. Financial Monitoring

The DOST-GIA funds released to implementing agencies shall be available for use within the approved project duration including approved extension subject to DOST approval and existing government accounting and auditing rules and regulations. The GIA funds shall not be used for money market placement, time deposit, and other forms of investment not related to the project. Project funds shall be deposited in an authorized government depository bank.

### a. Fund Releases

- i. The Funding Agency shall release the project funds to the Implementing/Monitoring Agencies in partial or full amounts, once DOST has received the signed MOA or conforme letter has been signed subject to availability of funds, accounting, and auditing regulations, and bond requirements (if necessary).
- ii. Implementing Agencies are encouraged to open an account in any government depository/servicing bank. Bank charges resulting from the fund transfer, if any, shall be borne by the project funds.
- iii. Project implementation shall commence within two (2) months after the release of funds.
- iv. The subsequent release of funds to continuing projects shall be subject to the submission of necessary financial reports, appropriate endorsement, and other requirements as indicated in Section X.B.4 of these guidelines.

## 8. Budget Reprogramming and/or Modification

Disbursement of grants shall be in accordance with the approved LIB and subject to existing government accounting and auditing rules and procedures. If budget reprogramming is required, a request shall be made not later than two (2) months before the end of the project's current year of implementation. Budget reprogramming and/or modification may be allowed for not more than three (3) times per agency (implementing and monitoring) per year of implementation, including the approved extension, if any.

The request for reprogramming shall be supported by the following documents: request letter duly signed by the Head of Agency; endorsement/approval letter from the monitoring agency; latest financial report; work plan; and progress report (if additional funding and/or project extension is required). These documents shall be considered as the final program/project documents.

A revised LIB shall be issued to cover budget reprogramming, transfer of funds, reclassification of the position of the project personnel, and creation of expense item/s.

Any reprogramming or transfer of funds from one expense item to another shall be based on the LIB approved by the Funding Agency. The Funding/Monitoring Agency must be informed of the budget reprogramming including changes in the indirect cost made by the Monitoring/Implementing Agency. Otherwise, the reprogramming shall be deemed null and void.

The approving authorities of budget reprogramming shall be as follows:

### a. Implementing Agency

Any reprogramming/transfer of funds of existing expense item budget as originally approved by the Funding Agency to augment direct and indirect cost under PS and MOOE (except

for Foreign Travel and Training Expenses), shall be approved by the Head of the Implementing Agency provided there is no change in the indirect cost. The CO shall not be reprogrammed. A copy of the approved reprogrammed LIB and other required documents shall be submitted to the Monitoring Agency within two (2) weeks upon its approval for subsequent endorsement to the Funding Agency.

The approved reprogrammed item/s shall be reflected in the financial report/s to be submitted by the Implementing Agency (under “approved budget”).

b. Monitoring Agency

The Monitoring Agency shall review and approve requests for budget reprogramming which does not require additional funding but are beyond the approving authority of the Implementing Agency. A copy of the approved LIB and other required documents shall be submitted to the Funding Agency within two (2) weeks upon its approval.

The Monitoring Agency shall approve budget reprogramming involving renaming and reclassification of expense items, and creation of new expense item/s (including the increase in the number of personnel and equipment) without additional funding, both under the direct and indirect costs with appropriate advice to the Funding Agency.

In approving requests for reprogramming, the Monitoring Agencies shall ensure that objectives and targets of the program/project shall not be affected. A copy of the approved reprogrammed LIB and other required documents shall be submitted to the Funding Agency within two (2) weeks upon its approval.

c. Funding Agency

The Funding Agency through the EXECOM shall approve budget reprogramming that entails the creation of new expense item/s with additional funding, both under the direct

and indirect costs, based on the recommendation of the Monitoring Agency.

## **9. Submission of Financial Report (FR)**

- a. For monitoring purposes, the Implementing Agency shall submit to the Monitoring Agency the following documents within a month after each semester:
  - i. DOST Form 8-Semi-Annual/Annual Financial Report (FR) certified correct by the agency accountant and approved by the head of the implementing agency;
  - ii. Report of Checks Issued and Report of Disbursements certified correct by the Certified Public Accountant, approved by the Head of Implementing Agency (IA) and duly audited by the Auditor of the IA;
  - iii. DOST Form 12-List of Equipment Purchased (LEP) with corresponding Property Acknowledgement Report (PAR);
  - iv. Journal Entry Voucher (JEV) related to the equipment purchased; and
  - v. DOST Form 9-Schedule of Accounts Payable.

The FRs shall be itemized in accordance with the approved LIB.

The Monitoring Agency shall submit the above documents to the Funding Agency not later than one (1) month after receipt from the Implementing Agency.

- b. For a program/project with multi-year duration, the Project Leader shall submit FR for grants received, certified correct by the agency accountant and duly approved by the Head of the Agency or its authorized representative within two (2) months after the end of each year of implementation.

For projects with CO, the FR shall be supported by the following documents:

- i. DOST Form 12- List of Equipment Purchased (LEP);
  - ii. Property Acknowledgement Receipt (PAR); and
  - iii. Journal Entry Voucher (JEV) relative to the equipment purchased.
- c. For completed projects, the Terminal FR duly received by the Agency's Commission on Audit (COA) auditor shall be submitted within three (3) months after the end of the project. The Monitoring Agency shall submit the Terminal FR to the Funding Agency not later than one (1) month after receipt from the Implementing Agency.

For NGOs or privately owned institutions, the following documents shall be submitted to the Monitoring Agency within three (3) months after the end of the project:

- i. Terminal FR certified correct by its accountant and approved by its President/Chairman or its equivalent and verified by the accountant of the monitoring agency;
- ii. Fund utilization report indicating the summary of expenses duly certified correct by its accountant and approved by its President/Chairman or its equivalent and verified by the accountant of the monitoring agency;
- iii. Fund utilization report indicating the summary of expenses duly certified correct by its accountant and approved by its President/Chairman or its equivalent and verified by the accountant of the monitoring agency;
- iv. Fund utilization report indicating the summary of expenses duly certified correct by its accountant and approved by its President/Chairman or its equivalent and verified by the accountant of the monitoring agency;
- v. DOST Form 12- List of Equipment Purchased (LEP) with corresponding Property Acknowledgement Receipt (PAR);

- vi. Pictures of implemented projects, as applicable;
- vii. Inspection report and certificate of project completion issued by the Monitoring Agency; and
- viii. List of beneficiaries with their signatures signifying their acceptance/acknowledgment of the project/funds/goods/services received, as applicable.

The Monitoring Agency shall submit the above documents to the Funding Agency not later than one (1) month after receipt from the Implementing Agency. The Funding Agency shall issue a Certificate of project completion upon endorsement of the Monitoring Agency.

The NGO/PO shall keep and maintain financial and accounting records of the funds granted by the Funding Agency in accordance with the Philippine Accounting Standards. The NGO/PO shall make available all records and documents, including disbursement vouchers relative to the utilization of the funds, to the Monitoring Agency, Funding Agency, and COA Auditors.

- d. Unexpended Balance (UB), Savings, Interest, and Income
  - i. The UB, savings, income, and interest of a program/project, if any, shall be reported and included in the annual FR/AFR submitted to the Funding/Monitoring Agency.
  - ii. For continuing projects, the UB of the previous year shall be deducted from its total approved budget for the succeeding year unless DOST approves its use which shall cover catch-up plans/activities.
  - iii. For multi-year projects, once the renewal of the project is approved, the use of the UB to pay for the salaries of project personnel and critical items under MOOE necessary for continued operations is allowed. The expenditures shall be based on the LIB as presented and approved during the EXECOM meeting or as approved by the Undersecretary for R&D, in case the EXECOM approval is not required.

- iv. Requests for additional funds and/or to use the UB/savings of completed/terminated/extended projects to pay for salaries and MOOE expenses shall be approved by the Funding Agency upon recommendation of the Monitoring Agency.
  - v. Request to use the UB/savings for the extension period shall be submitted within one (1) month before the expected date of completion. It shall be supported with FR and valid justification to be used as a basis in preparing a new or revised LIB.
  - vi. Upon project completion/ termination, all balances/savings and income/interests earned shall be reported and reverted to Funding Agency within three (3) months after the end of project period together with the Terminal Financial Report.
  - vii. For the income generated from an ongoing project, the Implementing Agency may request for the use of the income from the Funding Agency, subject to applicable government rules. In no case shall the interests and income earned under a project be used to fund a new project not related to the original intent of the fund.
  - viii. For the income generated from an ongoing project, the Implementing Agency may request for the use of the income from the Funding Agency, subject to applicable government rules. In no case shall the interests and income earned under a project be used to fund a new project not related to the original intent of the fund.
  - ix. Particular guidelines shall govern programs/projects which require a refund mechanism, provided that they are not inconsistent with the existing DOST-GIA guidelines, which shall serve as a reference.
- e. Non-Submission of Requirements

For failure to submit the required financial, technical, and other reports within the prescribed deadlines, a demand letter shall be sent to the Project Leader and Head of the Agency.

Upon the recommendation of the Monitoring Agency, the smallest unit of the Implementing Agency may be prevented from receiving further grants or any kind of support from any agency within the DOST System until he/she is cleared from all obligations pertaining to the previous GIA grant received. For compelling reasons, subject to the endorsement of the Monitoring Agency, the Project Leader shall submit an Oath of Undertaking to allow him/her to receive further grant or support.

The Funding Agency may undertake legal measures against the Head of the Implementing Agency for non-submission of requirements.

f. Audit and Inspection

All DOST-GIA programs/projects shall be subject to audit by the COA resident auditor or its authorized representative.

The activities, operation, books of accounts and records of the project shall be subject to inspection by the authorized representative of the Funding Agency and its auditor, whenever necessary.

## **XI. Hiring of Project Personnel / Nature of Appointment**

1. The Program/Project Leader shall hire personnel on a contract basis to work for the program/project in accordance with the existing hiring policies of the Implementing Agency. The hired program/project personnel shall not be allowed to engage in activities other than those under the program/project during regular working hours. All contractual program/project personnel shall be bound to the rules on conflict of interest.
2. The contract of service of program/project personnel shall be co-terminus with the program/project or to the specific work for which he/she was hired.

3. Program/project personnel shall not be allowed to pursue any local/foreign fellowship/training grant nor travel abroad during the implementation of the project unless there is written approval from the Implementing Agency.
4. The Project Leader shall submit to the Funding Agency a list of all personnel hired under the project, including their responsibilities, qualifications, and other relevant information using DOST Form 11.

Further, the said contract shall clearly state that as per provision of the said particular contract of project personnel, no employer-employee relationship shall exist between said individual and the Monitoring Agency and with the DOST.

5. The grant of honoraria to Program/Project Leaders/ Coordinators, and other personnel shall be based on existing DOST guidelines on the grant of honoraria. (See Annex C). The list of project personnel receiving honoraria shall be submitted to the Funding/Monitoring Agency. No honorarium shall be given to the program/project leader/ staff of a project under extension.
6. If a Program/Project Leader transfers to another agency, the project shall remain with the Implementing Agency.
7. A Program/Project Leader who intends to leave the project shall notify the Head of the Implementing Agency, who shall then submit to the Monitoring Agency the name of the recommended substitute for the outgoing Program/Project Leader. The criteria for selection of the new Program/Project Leader shall include a track record on project management.

The outgoing Program/Project leader shall be relieved of his/her obligation to the program/project once the Head of the Implementing Agency has issued the appropriate clearance from all money, records, and property responsibilities and accountabilities (e.g., submission of financial and technical reports). -

The Monitoring Agency shall approve the designation of the replacement and inform the Funding Agency of the change in project leadership.

8. The Funding Agency shall not provide additional compensation, benefits, pension, or gratuity to any program/project personnel who retired or were laid off during or after completion/termination of the program/project.

## **XII. PURCHASE, OWNERSHIP AND ACCOUNTABILITY OF PROJECT EQUIPMENT**

Project equipment authorized to be purchased using GIA funds shall be used exclusively for the program/project.

1. **Purchase of Equipment** – procurement of equipment using GIA funds shall be subject to the usual government procurement laws consistent with existing accounting and auditing laws, rules, and regulations.

Only equipment included and identified in the approved LIB shall be purchased using grant funds and shall be covered by Property Acknowledgement Receipt (PAR) or Inventory Custodian Slip (ICS) for semi-expendable equipment.

2. **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 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.
3. **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. The Funding Agency reserves the right to retain the equipment in compliance with existing government rules and regulations.

If a Program/Project Leader transfers to another government office, retires, resigns, or is dismissed/separated from the service, the Implementing Agency must ensure that the Funding Agency is informed of such and that the Program/Project Leader has secured clearance from his/her Property and Supply Section. Clearance from financial and technical obligations to the project shall not be issued unless all properties related to the project are fully accounted for.

- 3.1. For Government Agencies** – the Implementing Agency shall record the equipment purchased out of the project funds in accordance with the Government Accounting Manual (GAM), the Commission on Audit (COA) Circular No. 2015-002, and other pertinent issuances.
- 3.2. For private sectors/startups/NGOs/Pos** – the Implementing Agency shall submit to the Monitoring Agency copies of all documents related to the purchase of equipment (e.g., Invoices, Delivery Receipts, and Official Receipts), List of Equipment Purchased (LEP), and Property Acknowledgement Receipt (PAR) within fifteen (15) days from the date of payment. The Monitoring Agency shall endorse the same documents within ten (10) days upon receipt to the Funding Agency.
- 4. Record-Keeping** – the Property Officer of the Implementing and Funding Agency shall establish a complete and centralized file of records of all equipment procured through DOST-assisted programs/projects which shall include the following data:

  - a. Agency Name;
  - b. Location of Equipment;

- c. Project Title;
- d. Current custodian or end-user accountable for the equipment;
- e. Equipment purchased with description/specification;
- f. Date of Acquisition;
- g. Property Number (to be provided by the Implementing Agency for Government Agencies and by Funding Agency for NGOs/POs); and
- h. Acquisition/actual cost.

The Property Officer of the Implementing and Funding Agency shall update the directory and records of equipment every year based on PAR and DOST Form 10-Project Monitoring and Field Evaluation Report submitted or PTR/Deed of Donation issued by the Funding Agency.

5. **Physical inventory of equipment** – an actual inventory of equipment purchased through GIA projects shall be conducted by the Monitoring Agency. The DOST Form 10-Project Monitoring and Field Evaluation Report, which includes an inventory of equipment, shall be accomplished, and submitted to the Funding Agency on a semi-annual basis.

During the conduct of physical inventory, the Monitoring Agency shall perform the following:

- a. Ensure that all equipment has the standard property sticker and/or tracking device provided by the Implementing Agency or Funding Agency;
- b. Determine the current physical condition whether usable, defective, or beyond economic repair;
- c. Report all unserviceable equipment using the Inventory and Inspection Report of Unserviceable Property; and
- d. Recommend the disposition of unserviceable equipment pursuant to existing government rules and regulations.

6. **Care and location of equipment** – the program/project leader shall ensure that the project equipment is housed in a suitable location and that funding shall be allotted as necessary for the proper care and maintenance of said equipment, and due diligence is observed.
7. **Repair or replacement of defective equipment** – the Program/Project Leader shall be responsible for the immediate repair of defective equipment using available funds as provided in the approved LIB.
8. **Use of equipment** – the Head of the Implementing Agency shall ensure maximum utilization of equipment purchased through GIA funds. Such information shall be used in the evaluation of new projects, especially those requiring the same equipment.

#### **9. 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 equipment without cost to the Implementing Agency. Upon completion of the project, the Funding Agency may allow the transfer of ownership of equipment without cost in favor of a particular institution/s that implemented the project subject to the following conditions:

- a. The equipment granted to government institutions and private sectors shall be used in research and development, extension, and education purposes or activities. In the case of startups, the donated equipment shall be used similarly but not limited to pre-commercialization activities;
- b. A PTR or execution of Deed of Donation shall be issued after submission of an inventory of equipment purchased, journal entry vouchers

(JEVs) and Property Acknowledgment Receipts (PARs), and Financial Report. The PTR (three (3) original copies) shall be signed by the Implementing Agency before submission to the Funding Agency for approval. The respective Property Offices of the Funding Agency and Implementing Agency as receiving institution shall be provided with copies of the approved PTR/Deed of Donation.

Once the transfer is affected, the receiving agency shall bear all expenses that may be incurred for repair, maintenance, and/or improvement of the equipment;

- c. The Implementing Agency shall enter in its books of accounts the itemized total book value of the equipment transferred while government institutions must do the same in accordance with GAM.

The Implementing Agency shall comply with the Property Insurance Law requiring all government entities to ensure their properties with the Property Insurance Fund at its own expenses;

- d. In the exigency of the service, the Funding Agency may borrow the transferred equipment, without charge, to be used in other GIA programs/projects subject to the concurrence of the Project Leader and Head of Implementing Agency; and
- e. In the event that the project is terminated or implemented unsatisfactorily, the Funding Agency shall have the right to recover ownership and possession of the equipment from the Implementing Agency.

- 10. Sharing of equipment** – Equipment purchased through GIA programs/projects may be shared with other ongoing programs/projects subject to mutually acceptable and convenient arrangements between concerned parties, approval by the Funding Agency, and the following conditions:

- a. In no case shall any fee be charged for such use nor shall the equipment be leased/sub-leased without the prior written approval of the Funding Agency;
- b. The sharing of equipment shall be on an “as is, where is” basis and all expenses for its repair, maintenance, and/or improvement shall be borne by the receiving party;
- c. The Implementing Agency shall ensure that proper technical assistance is given in the operation of the equipment; and
- d. At the end of the term of the sharing agreement, the equipment shall be returned to the Funding Agency in good working condition. Any loss or damage to the same shall be borne by the receiving party.

**11. Unserviceable equipment** – for government institutions, equipment purchased under DOST-GIA programs/projects that become unserviceable for any cause, or is no longer needed, divestment or disposal shall be transparent, and with the end in view that public funds and resources should be properly maximized and fully accounted for; further, it shall be governed by appropriate existing rules such as DBM Manual on the Disposal of Government Properties, s. 1992 and COA Circular 89-296, s. 1989.

### **XIII. OWNERSHIP, PROTECTION, AND UTILIZATION OF PROGRAM/ PROJECT RESULTS/INTELLECTUAL PROPERTY RIGHTS**

Matters affecting intellectual properties or intellectual property rights such as their ownership, protection and utilization, technology disclosure, the exclusivity of the license, use of commercialization, the establishment

of spin-off firms, technologies for research use, and sharing of income and benefits from technology commercialization shall be governed by existing Philippine laws on Intellectual Property, including RA 10055, and DOST Rules and Policies on Intellectual Property.

The full acknowledgment shall be given to DOST in case the research results are published or presented in various fora, seminars, and meetings. Such presentation should not prejudice the proprietary/confidential nature of the information for purposes of IP protection.

#### **XIV. DISCONTINUANCE OF GIA ASSISTANCE**

GIA assistance shall be discontinued for any violation of the Grant Agreement, such as fraud or falsity in Program/Project Leader's proposal, representation, and warranties; when the results obtained do not justify further activity, or non-compliance or late submission of requirements by the Implementing Agency resulting in funds becoming unavailable. The Project Leader shall be notified at least forty-five (45) days before the date of termination.

#### **XV. OTHER PROVISIONS**

All pertinent forms stated herein are hereby attached and made part of this Administrative Order (AO).

These guidelines may be supplemented with specific provisions by the Funding Agency, if necessary. In case of conflict with subsequent issuances of rules and regulations by other government agencies, the national government regulations will prevail until amendments are made to these guidelines.

The nullity/illegality of a portion of this AO does not render the entire guidelines as invalid.

## **XVI. EFFECTIVITY**

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.

Approved by:

**FORTUNATO T. DE LA PEÑA** (Sgd.)

Secretary



# Annex 10

## CHECKLIST ON GENDER AND DEVELOPMENT (GAD)

### GAD Checklists 2: For the Project Identification and Design Stages

Note: Put 'X' mark on appropriate box

Element and items/question (col.1)	Done? (col.2)			Score for an item/element (col.3)	Comments/ gender issues identified (col.4)
	No (2a)	Partly (2b)	Yes (2c)		
1.0 Involvement of women and men (max score: 2; for each item, 1)				0	
1.1 Participation of women and men in beneficiary groups in the identification of the problem (possible scores: 0, 0.5, 1.0)					
1.2 Participation of women and men in beneficiary groups in project design (possible scores: 0, 0.5, 1.0)					
2.0 Collection of sex-disaggregated data and gender-related information (possible scores: 0, 1.0, 2.0)				0	
3.0 Conduct of gender analysis and identification of gender issues (max score: 2; for each item, 1)				0	
3.1 Analysis of gender gaps and inequalities related to gender roles, perspectives and needs, or access to and control of resources (possible scores: 0, 0.5, 1.0)					
3.2 Analysis of constraints and opportunities related to women's and men's participation in the project (possible scores: 0, 0.5, 1.0)					
4.0 Gender equality goals, outcomes, and outputs (possible scores: 0, 1.0, 2.0) Does the project have clearly stated gender equality goals, objectives, outcomes or outputs?				0	
5.0 Matching of strategies with gender issues (possible scores: 0, 1.0, 2.0) Do the strategies and activities match the gender issues and gender equality goals identified?				0	
6.0 Gender analysis of the likely impacts of the project (max score: 2; for each item, 0.67)				0	
6.1 Are women and girl children among the direct or indirect beneficiaries? (possible scores: 0, 0.33, 0.67)					
6.2 Has the project considered its long-term impact on women's socioeconomic status and Empowerment? (possible scores: 0, 0.33, 0.67)					
6.3 Has the project included strategies for avoiding or minimizing negative impacts on women's status and welfare? (possible scores: 0, 0.33, 0.66)					
7.0 Monitoring targets and indicators (possible scores: 0, 1.0, 2.0) Does the project include gender equality targets and indicators to measure gender equality outputs and outcomes?				0	
8.0 Sex-disaggregated database requirements (possible scores: 0, 1.0, 2.0) Does the project M&E system require the collection of sex-disaggregated data?				0	
9.0 Resources (max score: 2; for each item, 1)				0	
9.1 Is the budget allotted by the project sufficient for gender equality promotion or integration? OR, will the project tap counterpart funds from LGUs/ partners for its GAD efforts? (possible scores: 0, 0.5, 1.0)					
9.2 Does the project have the expertise to promote gender equality and women's empowerment? OR, is the project committed to investing project staff time in building capacities within the project					

to integrate GAD or promote gender equality? (possible scores: 0, 0.5, 1.0)					
10.0 Relationship with the agency's GAD efforts (max score: 2; for each item, 0.67)				0	
10.1 Will the project build on or strengthen the agency/ PCW/ government's commitment to the empowerment of women? (possible scores: 0, 0.33, 0.67) IF THE AGENCY HAS NO GAD PLAN: Will the project help in formulating the implementing agency's GAD plan?					
10.2 Will the project build on the initiatives or actions of other organization in the area? (possible scores: 0, 0.33, 0.67)					
10.3 Does the project have an exit plan that will ensure the sustainability of GAD efforts and benefits? (possible scores: 0, 0.33, 0.67)					
<b>TOTAL GAD SCORE FOR THE PROJECT IDENTIFICATION AND DESIGN STAGES</b>				<b>0</b>	

#### Interpretation of the GAD score

0 - 3.9 GAD is invisible in the project (proposal is returned).

4.0 - 7.9 Proposed project has promising GAD prospects (proposal earns a "conditional pass," pending identification of gender issues and strategies and activities to address these and inclusion of the collection of sex-disaggregated data in the monitoring and evaluation plan).

8.0 - 14.9 Proposed project is gender-sensitive (proposal passes the GAD test)

15.0 - 20.0 Proposed project is gender-responsive (proponent is commended).

### GAD Checklist 3: For Project Management and Implementation

Note: Put 'X' mark on appropriate box

Element and guide question (col. 1)	Response (col. 2)			Score for the item/ element) (col. 3)
	No (2a)	Partly yes (2b)	Yes (2c)	
1.0 Supportive project management (max score: 2; for each item, 1.0)				0
1.1 Is the project leadership (project steering/ advisory committee or management) supportive of GAD or gender equality goals? For instance, has it mobilized adequate resources to support strategies that address gender issues or constraints to women's and men's participation during project implementation? (possible scores: 0, 0.5, 1.0)				0
2.2 Has adequate gender expertise been made available throughout the project? For example, are gender issues adequately addressed in the project management contract and scope of services? (possible scores: 0, 0.5, 1.0)				0
2.0 Technically competent staff or consultants (max score: 2; for each item, 0.67)				0
2.1 Are the project staff members technically prepared to promote gender equality or integrate GAD in their respective positions/locations? OR, is there an individual or group responsible for promoting gender equality in the project? OR, has the project tapped local gender experts to assist its staff/partners in integrating gender equality in their activities or in project operations? (possible scores: 0, 0.33, 0.67)				0
2.2 Does the project require the presence of women and men in the project implementation team? (possible scores: 0, 0.33, 0.67)				0
2.3 Does project require its monitoring and evaluation team (personnel or consultants) to have technical competence for GAD evaluation? (possible scores: 0, 0.33, 0.67)				0
3.0 Committed Philippine government agency (max score: 2; for each item, 1)				0
3.1 Are regular agency personnel involved in implementing project GAD initiatives? OR, are agency officials or personnel participating in GAD training sponsored by the project? (possible scores: 0, 0.5, 1.0)				0
3.2 Has the agency included the project's GAD efforts in its GAD plans? (possible scores: 0, 0.5, 1.0)				0
4.0 GAD implementation processes and procedures (max score: 2; for each item, 0.5)				0
4.1 Do project implementation documents incorporate a discussion of GAD concerns? IF APPLICABLE: Are subproject proposals required to have explicit GAD objectives and to have been supported by gender analysis? (possible scores: 0, 0.25, 0.50)				0
4.2 Does the project have an operational GAD strategy? Alternately, has the project been effective in integrating GAD into the development activity? (possible scores: 0, 0.25, 0.50)				0
4.3 Does the project have a budget for activities that will build capacities for doing GAD tasks (gender analysis, monitoring, etc.) (possible scores: 0, 0.25, 0.50)				0
4.4 Does the project involve women and men in various phases of subprojects? (possible scores: 0, 0.25, 0.50)				0
<b>TOTAL GAD SCORE- PROJECT MANAGEMENT</b>				<b>0</b>

## GAD Checklist 4: For Project Monitoring and Evaluation

**Note: Put 'X' mark on appropriate box**

Elements and guide question (col.1)	Response (col.2)			Total score for the element (col.3)
	No (2a)	Partly yes (2b)	Yes (2c)	
1.0 Project monitoring system being used by the project includes indicators that measure gender differences in outputs, results, and outcomes. (max score: 2; for each items, 1)				<b>0</b>
1.1 Does the project require gender-sensitive outputs and outcomes? (possible scores: 0, 0.5, 1.0)	x			<b>0</b>
1.2 Does the project monitor its activities, inputs, outputs, and results using GAD or gender equality indicators? (possible scores: 0, 0.5, 1.0)	x			<b>0</b>
2.0 Project database includes sex-disaggregated and gender-related information. (max score: 2; for each item, 0.5)				<b>0.25</b>
2.1 Does the project support studies to assess gender issues and impacts? OR, have sex-disaggregated data been collected on the project's impact on women and men in connection with welfare, access to resources and benefits, awareness or consciousness raising, participation, and control? (possible scores: 0, 0.25, 0.50)	x			<b>0</b>
2.2 Have sex-disaggregated data been collected on the distribution of project resources to women and men, and on the participation of women and men in project activities and in decision making? IF APPLICABLE: Does the project require its subprojects to include sex-disaggregated data in their reports? (possible scores: 0, 0.25, 0.50)		x		<b>0.25</b>
2.3 Do project and subproject reports include sex-disaggregated data or cover gender equality or GAD concerns, initiatives, and results (that is, information on gender issues and how these are addressed)? (possible scores: 0, 0.25, 0.50)	x			<b>0</b>
2.4 Are sex-disaggregated data being "rolled-up" from the field to the national level? (possible scores: 0, 0.25, 0.50)	x			<b>0</b>
3.0 Gender equality and women's empowerment targets are being met. (max score: 4)				<b>1</b>
3.1 Has women's welfare and status been improved as a result of the project? (possible scores: 0, 1.0, 2.0)		x		<b>1</b>
Examples of indicators: <ul style="list-style-type: none"> <li>• The projects has helped in raising the education levels and health status of disadvantaged groups of women.</li> <li>• Women's access to productive resources, employment opportunities, and political and legal status has improved.</li> <li>• The project has created new opportunities or roles for women and men.</li> <li>• Men and women have been sensitized to gender issues and women's human rights.</li> <li>• The project has supported or instituted strategies to overcome any adverse effects on women.</li> <li>• The project has introduced follow-up activities to promote the sustainability of its gender equality results.</li> <li>• There are project initiatives to ensure that improvements in the status of women and girls will be sustained and supported after project completion.</li> </ul>				
3.2 Has the project helped in developing the capacity of the implementing agency for implementing gender-sensitive projects? (possible scores: 0, 1.0, 2.0)	x			<b>0</b>
4.0 Project addresses gender issues arising from or during its implementation. (possible scores: 0, 1.0, 2.0) Has the project responded to gender issues that were identified during project implementation or M&E? OR: Has the project addressed gender issues arising from its implementation?	x			<b>0</b>

Examples of gender issues:					
<ul style="list-style-type: none"> <li>• Negative effects on the gender relationship as a results of new roles or resources created for women</li> <li>• Additional workloads for women and men</li> <li>• Displacement of women by men</li> <li>• Loss of access to resources because of project rules</li> </ul>					
5.0	Participatory monitoring and evaluation processes (max score: 2; for each item, 1)				1
5.1	Does the project involve or consult woman and man implementors during project monitoring and evaluation? Does it involve woman and man beneficiaries? (possible scores: 0, 0.5, 1.0)			x	1
5.2	Have women and men been involved in or consulted on the assessment of the gender impacts of the project? (possible scores: 0, 0.5, 1.0)	x			0
<b>TOTAL GAD SCORE - MONITORING AND EVALUATION</b>					<b>2.25</b>
<b>TOTAL GAD SCORE - PROJECT MANAGEMENT (from box 16)</b>					<b>1</b>
<b>TOTAL GAD SCORE - PROJECT IMPLEMENTATION</b>					<b>3.25</b>

# Annex 11

## GUIDELINES ON THE SELECTION OF THE MEMBERS OF THE DOST EXPERTS POOL

These guidelines are established to provide a standard procedure in selecting the members of the DOST Experts' Pool. An expert is a person with extensive knowledge or ability acquired through study, research, experience, or occupation. Experts are called in for advice and recommendation on their respective fields of specialization. The expert shall evaluate projects/programs during packaging, monitoring and evaluation, reviews and may also serve as resource persons during trainings, seminars, for a, and discussions/dialogues.

Included in these guidelines are the steps/procedure for an expert to become a member of the DOST Experts' Pool, the Experts' Pool selection criteria, their entitlements or remuneration.

### **A. Procedure in Selecting the Members of the Experts' Pool**

#### **1. Identification of the Expert**

The DOST Agency shall conduct an environment scanning to identify and develop a comprehensive list of experts in their respective fields/areas. The DOST Agency shall send letters to the identified experts requesting to fill out a prescribed Curriculum Vitae form.

#### **2. Evaluation of the Expert**

Upon receipt of the accomplished curriculum vitae of the experts, the DOST Agency shall evaluate their qualifications based on the established Selection Criteria for the Expert.

After the DOST Agency evaluation, the selected experts will be invited as members of the DOST Experts' Pool.

### **3. Invitation and Agreement / Conforme as Member of the DOST Experts' Pool**

An official letter of invitation from the DOST Agency Head will be sent to the selected expert. The letter shall indicate the salient qualifications of the expert, hence, chosen as a member of the DOST Experts' Pool. It shall also indicate the general terms of reference (TOR) of the expert and the possible compensation/remuneration based on the stipulations of the existing DOST guidelines (e.g., MC 001, s. 2009).

The letter shall also provide for a clause indicating the expert's agreement to the conditions and TOR as a member of the DOST Experts' Pool.

## **B. Selection Criteria for the Expert**

The members of the DOST Experts' Pool shall be evaluated using the following criteria. The overall rating to qualify as a member is 80%.

### **1. Technical expertise (50%)**

Technical expertise is the most important criterion that highlights the credentials of the expert. It provides a comprehensive description of the expert's degree of knowledge and skills in the specified field/specialization.

The expert shall be assessed in terms of the number of years of active involvement in the specified/relevant field or research area. Active involvement should consider relevant research/work experience and training/skills acquired.

The following is the equivalent rating in terms of the number of years of active involvement in the specified/relevant field

or research area. The maximum rating that can be given to an expert is 50%.

- 3-5 years – (30%)
- 6-10 years – (40%)
- More than 10 years - (50%)

## 2. Educational Attainment (20%)

Educational attainment as a criterion highlights the expert's degree of knowledge acquired from a formal institution.

The following is the equivalent rating in terms of the level of educational attainment. The maximum rating that can be given to an expert is 20%. If without a graduate degree, a highly specialized skill or expertise aligned with the DOST priorities.

- BS – 10%
- MS – 15%
- PhD – 20%

## 3. Relevant experience as an evaluator (15%)

This criterion describes the track record of the expert to serve as an evaluator and puts emphasis on the expert's credibility to provide advice and recommendations on the specified field or research area.

The following is the equivalent rating in terms of the number of years of relevant experience as an evaluator. The maximum rating that can be given to an expert is 15%.

- 1-3 years – 10%
- 4-6 years – 15%
- More than 6 years – 20%

#### **4. Current Position/Designation (5%)**

This criterion provides importance to the availability of and accessibility to the services of the experts. The equivalent rating considers the position/designation of the expert, that is, those experts holding a higher management position in an institution can provide a lesser time or is more difficult to tap as an expert.

The following are the equivalent rating for the criterion on current position/designation. The maximum rating that can be given to an expert is 10%.

- Heads/President/CEOs/VPs – 1%
- Faculty – 3%
- Research and Extension Staff – 4%
- Consultant/Industry Practitioner – 5%

#### **5. Council Preference (10%)**

Clearance from any accountability with DOST and its Agencies

### **C. Entitlements and Remuneration**

The grant of honorarium to experts shall be based on the existing DOST guidelines (e.g., MC 001, s. 2009).

### **D. Guidelines on the Assessment of the Experts**

#### **1. Form for Evaluation**

The form will be used to assess the performance of the Expert with regards to the requested service: Technical Review and evaluation, monitoring and evaluation activities, terminal report evaluation, resource speakers, etc.

The form contains only two concerns:

- a. Timeliness – performance of service requested: submission of required reports, evaluation, etc.;
- b. Adherence to the specific concerns requested/required to the following concerns, but not limited to;
- c. In accordance with the guide questions for evaluation activities;
- d. Required write-ups; and
- e. Thematic requirements.

## **2. Assessment of Performance**

Assessment of the inclusion of an expert in the experts' pool is done every year.

The assessment of the services provided by the Expert engaged will be one of the bases of the re-engagement of the Expert during the assessment period.

The following are the additional consideration in the assessment of the Expert, aside from those mentioned in the selection process:

- a. The need for his/her expertise;
- b. The specific needs of DOST's ISPs; and
- c. Performance evaluation based on the assessment form.

**DEPARTMENT OF SCIENCE AND TECHNOLOGY (DOST)**

**EXPERTS' PERFORMANCE ASSESSMENT**

*CONFIDENTIAL. For DOST Agency's internal use only*

Name of Evaluator	Agency					
Title of Proposal Evaluated						
Date Forwarded to Evaluator:	Date Due: Date of Submission:					
<p>Please encircle the number that corresponds to your assessment of the Evaluator's performance using the following scale:</p> <p>5 = Outstanding - submits evaluation 3 or more days ahead of the set deadline</p> <p>4 = Very Good - submits evaluation 2 days ahead of the set deadline</p> <p>3 = Good - submits evaluation on the day of the set deadline</p> <p>2 = Fair - submits evaluation one day late</p> <p>1 = Unsatisfactory - submits evaluation more than 2 days late</p>						
Items for Evaluation	RATING					REMARKS
Timeliness of submission of reports	5	4	3	2	1	
Completeness of evaluation/assessment in accordance with the guide questions provided by the Division	5	4	3	2	1	

Comments/Suggestions:

RATED BY:

NOTED BY:

\_\_\_\_\_

Technical Staff

\_\_\_\_\_

(Division Director)

\_\_\_\_\_

(Date)

\_\_\_\_\_

(Date)

## DOST EXPERT'S POOL EVALUATION SCORE SHEET

SELECTION CRITERIA FOR EVALUATION	Score
Technical expertise (50%)	
The number of years of active involvement in the specified/relevant field or research area. Active involvement should consider relevant research/work experience and training/skills acquired.	
3-5 years – (30%)	
6-10 years – (40%)	
More than 10 years - (50%)	
Educational Attainment (20%)	
Degree of knowledge acquired from formal institution.	
BS – 10%	
MS – 15%	
PhD – 20%	
Relevant experience as an evaluator (15%)	
Track record as an evaluator and puts emphasis on the expert's credibility to provide advice and recommendations on the specified field or research area.	
1-3 years – 10%	
4-6 years – 15%	
More than 6 years – 20%	

Current Position/Designation (5%)	
Availability of and accessibility to the services of the experts, e.g., experts holding higher management position in an institution can provide lesser time or is more difficult to tap as expert.	
Heads/President/CEOs/VPs – 2%	
Faculty – 3%	
Research and Extension Staff – 4%	
Consultant/Industry Practitioner – 5%	
DOST Agency Specific Preference (10%)	
To be identified by the evaluating agency (e.g., clearance from any accountability with DOST and its attached agency, and others)	
GRAND TOTAL	

Rated by: \_\_\_\_\_  
Name/Signatue/Position Title/Division

# Annex 12

## M&E FOR STORIES TEMPLATE (MEST)

Please fill-out this form to help the communication team develop more interesting R&D stories. Kindly attach the project brief to provide more details about the research.

Date Accomplished:	
Project Name:	
Funding:	Sector:
Research Proponent:	Industry Partner:
<input type="checkbox"/> The research output has been <input type="checkbox"/> Adopted <input type="checkbox"/> Commercialized <input type="checkbox"/> Distributed <input type="checkbox"/> Intellectual Property Registered	Council/ RDI:

---

Who will benefit from the R&D outputs?

---



---

How will the research bring about change in the lives of Filipinos?

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Aside from the 6Ps, are there any other significant results about this research?

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Is there anything noteworthy and interesting about the research team? e.g., all-women research team, lead researcher is a balik-scientist who is also a triathlon gold medalist, researcher is part of an under-represented group such as IP, LGBTQ, differently-abled, etc.

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Significant indicators gathered.  
Based on the 6Ps +2Is

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# Annex 13

## DETAILED RESEARCH & DEVELOPMENT PROGRAM PROPOSAL FORM



**DOST Form 1**  
**DETAILED RESEARCH & DEVELOPMENT PROGRAM PROPOSAL**  
(For the Whole Program)  
(To be accomplished by the researcher)

**(1) PROGRAM PROFILE**

Program Title:  
 Program Leader/Sex:  
 Program Duration (number of months):  
 Program Start Date:  
 Program End Date:  
 Implementing Agency (Name of University-College-Institute, Department/Organization or Company):  
 Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region):

Title of Component Projects:	Project Duration (number of months):	Project Start Date:	Project End Date:
1.			
2.			
•			
n.			

**(2) PROGRAM SUMMARY** (Not to exceed two (2) pages)

Objectives of the Program:  
 General  
 Specific  
 Significance/Impact to knowledge advancement and to the society:  
 Methodology:  
 Conceptual Framework (how the projects are interrelated)  
 Discussion of possible complementation or utilization of related DOST-GIA funded Programs/projects previously handled by the same Program Leader (if any)  
 Gender Sensitivity/Responsiveness [based on the Harmonized Gender and Development Guidelines (HGDG)]. See attached GAD Checklist. Indicate the GAD Score of component projects.

**(3) BUDGET SUMMARY FOR THE WHOLE PROGRAM** (include Counterpart Funds)

Total Budget:				
SOURCE OF FUND	PS	MOOE	EO	TOTAL
DOST				
Counterpart Fund				
<b>Total</b>				
Y1 Budget:				
SOURCE OF FUND	PS	MOOE	EO	TOTAL
DOST				
Counterpart Fund				
<b>Total</b>				
Yn Budget:				
SOURCE OF FUND	PS	MOOE	EO	TOTAL
DOST				
Counterpart Fund				
<b>Total</b>				

**(4) NUMBER OF PERSONNEL REQUIREMENT**

Full-time	Part-Time	Total

**(5) SUMMARY OF EQUIPMENT RELEVANT TO THE PROGRAM** (include equipment as provided in the program line-item budget)

Name of Equipment	Existing Equipment in the Implementing Agency (number)	Existing Equipment from Other Collaborating Agencies (Local and Abroad) (number)	To Be Purchased (number)	Justification for the Purchase

**(6) OTHER ONGOING PROGRAMS BEING HANDLED BY THE PROGRAM LEADER:** \_\_\_\_\_ (number)

Title of the Program	Implementation Period (mm/dd/yy)	Funding Agency	Involvement in the Program

I hereby certify the truth of the foregoing and have no pending financial and/or technical obligations from the DOST and its attached Agencies. I further certify that the programs/projects being handled is within the prescribed number as stipulated in the DOST-GIA Guidelines. Any willful omission/false statement shall be a basis of disapproval and cancellation of the Program.

(7)	SUBMITTED BY (Program Leader)	ENDORSED BY (Head of the Agency)
Signature		
Printed Name		
Designation/Title		
Date		

*Note: See guidelines/definitions at the back.*

**DOST Form 1**  
**DETAILED R & D PROGRAM PROPOSAL**

**I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the detailed R&D proposal for the whole Program together with the detailed proposal of the component projects and a 1-page curriculum vitae of the Program Leader. Also, submit four (4) copies of the proposal together with its supporting documents. Use Arial font, 11 font size.

**II. Operational Definition of Terms:**

**1. Program-** refers to a group of interrelated or complementing S&T projects that require an interdisciplinary or multidisciplinary approach to meet established goal(s) within a specific time frame.

**Title-** the identification of the Program and the component projects.

**Program Leader-** refers to the person who plans, organizes and supervises the overall activities of a program and is a Project Leader of at least one (1) of the projects under a program.

**Program/Project Duration-** refers to the grant period or timeframe that covers the approved start and completion dates of the program/project, and the number of months the program/project will be implemented.

**Implementing Agency-** the primary organization involved in the execution of a program/project which can be a public or private entity

**Project-** refers to the basic unit in the investigation of specific S&T problem/s with predetermined objective(s) to be accomplished within a specific time frame.

**2. Program Summary-** brief overview of the Program, include discussions on the objectives, significance/impact of the study to the advancement of knowledge and to the society, methodology, and results of related Programs/projects previously handled by the same Program Leader, if any.

**3. Budget Summary-** personnel services (PS), maintenance and other operating expenses (MOOE), and equipment outlay (EO) requirement of the whole program by source (including Counterpart Funds) for Year 1 and for the whole duration of the Program. Please refer to the DOST-GIA Guidelines for the details (Section IX.B of DOST Administrative Order (A.O.) 011, s. 2020).

**a. PS-** total requirement for wages, salaries, honoraria, additional hire and other personnel benefits.

**b. MOOE-** total requirement for supplies and materials, travel expenses, communication, and other services.

**c. EO-** total requirement for facilities and equipment needed by the Program. Include existing equipment that are critical project components from other collaborating agency/ies.

**4. Number of Personnel Requirement-** number of full time and part time personnel to be involved in the Program.

**5. Equipment Relevant to the Program-** existing equipment in the agency to be used in the Program and additional units to be purchased, if needed, and new equipment. Include equipment as provided in the program line-item budget.

**6. Other Ongoing Programs Being Handled by the Program Leader-** list of ongoing Programs/projects being handled by the Program Leader funded by the DOST-GIA Program and other sources, and the accompanying responsibilities relevant to the Program/project.

**7. Endorsed By-** Head of the Agency or authorized representative who recommends the Program.



# Annex 14

## CUSTOMER SATISFACTION FEEDBACK FORM

Name: \_\_\_\_\_  
Contact details: \_\_\_\_\_  
Tel No: \_\_\_\_\_  
Email address: \_\_\_\_\_  
Affiliation / Institution: \_\_\_\_\_

Date: \_\_\_\_\_

Please help us improve our standard of services by giving us your feedback on the services you have availed of.

*[Privacy notice and consent]*

In submitting this form, I agree to my details being used for the purposes of gathering feedback and comments on the DOST R&D services and DOST M&E Protocol. The information will only be accessed by authorized personnel of DOST. I understand my data will be held securely and will not be distributed to third parties. I have a right to change or access my information. I understand that when this information is no longer required for this purpose, the DOST procedure will be followed to dispose of my data.

# Annex 15

## DETAILED RESEARCH & DEVELOPMENT PROJECT PROPOSAL FORM

<i>Services Available</i>	
M&E Protocol	Grants
<input type="checkbox"/> DPMIS <input type="checkbox"/> Researcher Registry <input type="checkbox"/> Others, pls specify: _____ _____	<input type="checkbox"/> New Queries <input type="checkbox"/> New Proposal <input type="checkbox"/> Ongoing Project <input type="checkbox"/> Completed Project <input type="checkbox"/> Dissemination <input type="checkbox"/> S&T Linkages <input type="checkbox"/> S&T Publication <input type="checkbox"/> Others, pls specify: _____ _____
Title of proposal / ongoing / completed project (if applicable): _____ _____	
Concerned DOST Agencies <input type="checkbox"/> PCAARRD <input type="checkbox"/> PCIEERRD <input type="checkbox"/> PCHRD <input type="checkbox"/> NRCP <input type="checkbox"/> DOST CO / SPD <b>Others (please specify):</b>	

<b>Age Group</b> <input type="checkbox"/> 18 below <input type="checkbox"/> 19 - 24 <input type="checkbox"/> 25 - 34 <input type="checkbox"/> 35 - 44 <input type="checkbox"/> 45 above	<b>Gender</b> <input type="checkbox"/> Female <input type="checkbox"/> Male	<b>Affiliation</b>				
		<b>Government Sector</b>		<b>Private Sector</b>		
		<input type="checkbox"/> National Government Unit <input type="checkbox"/> Local Government Unit <input type="checkbox"/> Academe <input type="checkbox"/> Hospital <input type="checkbox"/> GOCC <input type="checkbox"/> Others (please specify) _____		<input type="checkbox"/> Hospital <input type="checkbox"/> Academe <input type="checkbox"/> NGO <input type="checkbox"/> International Organization <input type="checkbox"/> Industry <input type="checkbox"/> Specialty Society Other _____		
Is this your first-time availing DOST Services? <input type="checkbox"/> Yes <input type="checkbox"/> No						
If yes, how did you know about DOST Services? <input type="checkbox"/> Social Media <input type="checkbox"/> DOST Website <input type="checkbox"/> PCHR Website <input type="checkbox"/> Referral <input type="checkbox"/> Advertisement (i.e., flyers, brochures, etc.) <input type="checkbox"/> Event / Exhibit <input type="checkbox"/> Others, _____						
Please rate the following aspects of our services (Please check)	EXCELLENT	VERY GOOD	SATISFACTORY	FAIR	POOR	
1. Timeliness of service						
2. Courtesy of staff						
3. Knowledge of staff						
4. Ease of access to service						
5. Were you able to get the information you need? <input type="checkbox"/> Yes <input type="checkbox"/> No, referred to: _____ _____						
Suggestions / Recommendations:						

If you want to receive updates about DOST services and activities, please write your contact information below:

Name: \_\_\_\_\_

Institution: \_\_\_\_\_

Email: \_\_\_\_\_

Contact No/s: \_\_\_\_\_

Your comments are highly appreciated. Thank you so much!



**DOST Form 2 (for Basic/Applied Research)  
DETAILED RESEARCH & DEVELOPMENT PROJECT PROPOSAL**

<b>(1) PROJECT PROFILE</b>						
Program Title:						
Project Title:						
Project Leader/Sex:						
Project Duration (number of months):						
Project Start Date:						
Project End Date:						
Implementing Agency (Name of University-College-Institute, Department/Organization or Company):						
Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region):						
<b>(2) COOPERATING AGENCY/IES</b> (Name/s and Address/es)						
<b>(3) SITE(S) OF IMPLEMENTATION</b>						
IMPLEMEN TATION SITES NO.	COUNTRY	REGION	PROVINCE	DISTRICT	MUNICIPALITY	BARANGAY
1.						
2.						
3.						
4.						
5.						
<b>(4) TYPE OF RESEARCH</b>				<b>(5) R&amp;D PRIORITY AREA &amp; PROGRAM (based on HNRDA 2017-2022)</b>		
<input type="checkbox"/> Basic <input type="checkbox"/> Applied				<input type="checkbox"/> Agriculture, Aquatic and Natural Resources Commodity: _____ <input type="checkbox"/> Health Priority Topic: _____ <input type="checkbox"/> Industry, Energy and Emerging Technology Sector: _____ <input type="checkbox"/> Disaster Risk Reduction and Climate Change Adaptation <input type="checkbox"/> Basic Research Sector: _____		
Sustainable Development Goal (SDG) Addressed				_____		
<b>(6) EXECUTIVE SUMMARY</b> (not to exceed 200 words)						
<b>(7) INTRODUCTION</b>						
(7.1) RATIONALE/SIGNIFICANCE (not to exceed 300 words)						
(7.2) SCIENTIFIC BASIS/THEORETICAL FRAMEWORK						
(7.3) OBJECTIVES						
General:						
Specific:						
<b>(8) REVIEW OF LITERATURE</b>						
<b>(9) METHODOLOGY</b>						
<b>(10) TECHNOLOGY ROADMAP</b> (if applicable) (use the attached sheet)						
<b>(11) EXPECTED OUTPUTS (6Ps)</b>						
<b>(12) POTENTIAL OUTCOMES</b>						
<b>(13) POTENTIAL IMPACTS (2Is)</b>						
<b>(14) TARGET BENEFICIARIES</b>						
<b>(15) SUSTAINABILITY PLAN</b>						
<b>(16) GENDER AND DEVELOPMENT (GAD) SCORE</b> (refer to the attached GAD checklist)						

<b>(17) LIMITATIONS OF THE PROJECT</b>				
<b>(18) LIST OF RISKS AND ASSUMPTIONS RISK MANAGEMENT PLAN</b> (List possible risks and assumptions in attaining target outputs or objectives.)				
<b>(19) LITERATURE CITED</b>				
<b>(20) PERSONNEL REQUIREMENT</b>				
<b>Position</b>	<b>Percent Time Devoted to the Project</b>	<b>Responsibilities</b>		
<b>(21) BUDGET BY IMPLEMENTING AGENCY</b>				
<b>IMPLEMENTING AGENCY</b>	<b>PS</b>	<b>MOOE</b>	<b>EO</b>	<b>Total</b>
Year 1				
Year 2				
Year n				
<b>TOTAL</b>				
<b>(22) OTHER ONGOING PROJECTS BEING HANDLED BY THE PROJECT LEADER:</b> _____ (number)				
<b>Title of the Project</b>	<b>Funding Agency</b>	<b>Involvement in the Project</b>		
<b>(23) OTHER SUPPORTING DOCUMENTS</b> (Please refer to page 2 for the additional necessary documents.)				

I hereby certify the truth of the foregoing and have no pending financial and/or technical obligations from the DOST and its attached Agencies. I further certify that the programs/projects being handled is within the prescribed number as stipulated in the DOST-GIA Guidelines. Any willful omission/false statement shall be a basis of disapproval and cancellation of the project.

	<b>SUBMITTED BY (Project Leader)</b>	<b>ENDORSED BY (Head of the Agency)</b>
Signature		
Printed Name		
Designation/Title		
Date		

Note: See guidelines/definitions at the back.

**DOST Form 2 (for Basic/Applied Research)  
DETAILED R & D PROJECT PROPOSAL**

**I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the detailed R&D proposal for the component project together with the detailed proposal of the whole Program, project workplan, line-item budget (LIB), 1-page curriculum vitae of the Project Leader, and Certificate of Incorporation or DTI Registration (if applicable) and other applicable supporting documents required under item II.23 below. Also, submit four (4) copies of the proposal together with its supporting documents. Use Arial font, 11 font size.

**II. Operational Definition of Terms:**

**1. Title-** the identification of the Program and the component projects.

**Project-** refers to the basic unit in the investigation of specific S&T problem/s with predetermined objective/s to be accomplished within a specific time frame.

**Project Leader-** refers to a project's principal researcher/implementer.

**Project Duration-** refers to the grant period or timeframe that covers the approved start and completion dates of the project, and the number of months the project will be implemented.

**Implementing Agency-** the primary organization involved in the execution of a program/project which can be a public or private entity

**2. Cooperating Agency/ies-** refers to the agency/ies that support/s the project by participating in its implementation as collaborator, co-grantor, committed adopter of resulting technology, or potential investor in technology development or through other similar means.

**3. Site/s of Implementation-** location/s where the project will be conducted. Indicate the barangay, municipality, district, province, region, and country.

**4. Type of Research-** indicates whether the project is basic or applied.

**Basic research-** is an experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular or specific application or use in view.

**Applied research-** is an investigation undertaken in order to utilize data/information gathered from fundamental/basic researches or to acquire new knowledge directed primarily towards a specific practical aim or objective with direct benefit to society.

**5. R&D Priority Area and Program-** based on the Harmonized National R&D Agenda 2017-2022, indicates which R&D agenda the project can be categorized in: Agriculture, Aquaculture and Natural Resources; Health; Industry, Energy, and Emerging Technology; Disaster Risk Reduction and Climate Change Adaptation; and Basic Research. Indicate also the specific Commodity/Sector, whether crops, livestock, forestry, agricultural resources or socio-economics; fisheries or aquatic resources; biotechnical, pharmaceutical, or health services; biotechnology, information technology, material science, photonics or space technology; industry, energy, utilities or infrastructure.

**Sustainable Development Goal (SDG) Addressed-** indicates which among the 17 SDGs adopted by the United Nations Members States are addressed by the project

**6. Executive Summary-** briefly discusses what the whole proposal is about

**7. Introduction-** a formally written declaration of the project and its idea and context to explain the goals and objectives to be reached and other relevant information that explains the need for the project and aims to describe the amount of work planned for implementation; refers to a simple explanation or depiction of the project that can be used as communication material.

**7.1. Rationale-** brief analysis of the problems identified related to the project

**Significance-** refers to the alignment to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development.

**7.2. Scientific Basis-** other scientific findings, conclusions or assumptions used as justification for the research

**Theoretical Framework-** the structure that summarizes concepts and theories that serve as basis for the data analysis and interpretation of the research data.

**7.3. Objectives-** statements of the general and specific purposes to address the problem areas of the project.

**8. Review of Literature-** refers to the following: (a) related researches that have been conducted, state-of-the-art or current technologies from which the project will take off; (b) scientific/technical merit; (c) results of related research conducted by the same Project Leader, if any; (d) Prior Art Search, and; (e) other relevant materials.

**9. Methodology-** discusses the following: (a) variables or parameters to be measured and evaluated or analyzed; (b) treatments to be used and their layout; (c) experimental procedures and design; (d) statistical analysis; (e) evaluation method and observations to be made, strategies for implementation (Conceptual/Analytical framework).

**10. Technology Roadmap (if applicable)-** a visual document that communicates the plan for technology. It is a flexible planning technique to support strategic and long-range planning by matching short- and long-term goals to specific technology solutions.

**11. Expected Outputs (6Ps)-** deliverables of the project based on the 6Ps metrics (Publication, Patent/Intellectual Property, Product, People Service, Place and Partnership, and Policy).

*Publication-* published aspect of the research, or the whole of it, in a scientific journal or conference proceeding for peer review, or in a popular form.

*Patent/Intellectual Property-* proprietary invention or scientific process for potential future profit.

*Product-* invention with a potential for commercialization.

*People Service-* people or groups of people, who receive technical knowledge and training.

*Place and Partnership-* linkage forged because of the study.

*Policy-* science-based policy crafted and adopted by the government or academe as a result of the study.

**12. Potential Outcomes-** refer to the result that the proponent hopes to deliver three (3) years after the successful completion of the project.

**13. Potential Impacts**

*Social Impact-* refers to the effect or influence of the project to the reinforcement of social ties and building of local communities.

*Economic Impact-* refers to the effect or influence of the project to the commercialization of its products and services, improvement of the competitiveness of the private sector, and local, regional, and national economic development.

**14. Target Beneficiaries-** refers to groups/persons who will be positively affected by the conduct of the project.

**15. Sustainability plan-** refers to the continuity of the project or how it shall be operated amidst financial, social, and environmental risks.

**16. Gender and Development (GAD) Score-** refers to the result of accomplishing GAD checklists (for project monitoring and evaluation/project management and implementation) to highlight the contribution of the project in the achievement of the objectives of Republic Act 7192, "Women in Development and Nation Building Act," interpreted as gender-responsive, gender-sensitive, has promising GAD concepts, or GAD is invisible.

**17. Limitations of the Project-** refer to restrictions or constraints in the conduct of the project.

**18. Risk-** refers to an uncertain event or condition that its occurrence has a negative effect on the project.

**Assumption-** refers to an event or circumstance that its occurrence will lead to the success of the project.

**19. Literature Cited-** an alphabetical list of reference materials (books, journals and others) reviewed. Use standard system for citation.

**20. Personnel Requirement-** details on the position of personnel to be involved in the project, percent time devoted to the project, and responsibilities.

**21. Budget By Implementing Agency-** personnel services (PS), maintenance and other operating expenses (MOOE), and equipment outlay (EO) requirement of the project by implementing agency for Year 1 and for the whole duration of the project. Please refer to the DOST-GIA Guidelines for the details (Section IX.B of DOST Administrative Order (A.O.) 011, s. 2020).

- a. **PS-** total requirement for wages, salaries, honoraria, additional hire and other personnel benefits.
- b. **MOOE-** total requirement for supplies and materials, travel expenses, communication, and other services.
- c. **EO-** total requirement for facilities and equipment needed by the Program.

**22. Other Ongoing Projects Being Handled By the Project Leader-** list of ongoing projects being handled by the Project Leader funded by the DOST-GIA Program and other sources, and the accompanying responsibilities relevant to the project.

**23. Other supporting documents required-** as stated in Section VII of DOST A.O. No. 011, Series of 2020 – Revised Guidelines for the Grants-in-Aid Program:

- a. Detailed breakdown of the required fund assistance to indicate the counterpart of the proponent and other fund sources including letter/s of commitment from the implementing, collaborating and coordinating agency/entity/ies;<sup>1</sup>
- b. A counterpart fund, in kind and/or in cash, shall be required from the implementing agency/entity as one of the application requirements. All projects must have a minimum of 15% counterpart contribution except for projects involving public good;<sup>1</sup>
- c. Curriculum Vitae or Personal Data Sheet (PDS) of Project Leader and other co-researchers/implementers. The service record may be requested if needed;<sup>1</sup>
- d. Clearance from the DOST or the Funding Agency (e.g., DOST Councils) on previously funded completed projects handled by the Project Leader;<sup>1</sup>
- e. Approval from the institution's ethics review board for research involving human subjects or in the case of animal subjects, approval from the Bureau of Animal Industry (BAI) (for PCAARRD- and PCHRD-monitored projects);
- f. Clearance from the DOST Biosafety Committee (DOST-BC) shall be required for research proposals involving the use of GMOs under contained use (i.e., experiments done in laboratories, screen house, green house). For projects other than contained use, they shall be referred to the appropriate agency. The DOST Sectoral Councils, after determination as to whether or not the proposal has biosafety implications, shall endorse the same to the DOST-BC in accordance with the prescribed format under Annex 3 of the Philippine Biosafety Guidelines for Contained Use of Genetically Modified Organisms (series of 2014) (if applicable); and
- g. For the private non-profit/non-government/people's organizations and startups:
  - i. Up-to-date Securities and Exchange Commission (SEC) registration, or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents;
  - ii. Co-signers Statement (if applicable);
  - iii. Copy of latest Income Tax Return;
  - iv. Mayor's permit where the business is located;
  - v. Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with operation of less than 3 years, for the years in operation and proof of previous implementation of similar projects (or in the case of startups, at least for one (1) year);
  - vi. Document showing that NGO/PO has equity to 20 percent of the total project cost, which shall be in the form of labor, land for the project site, facilities, equipment and the like, to be used in the project;
  - vii. Disclosure of other related business, if any;
  - viii. List and/or photographs of similar projects previously completed, if any, indicating the source of funds for implementation;
  - ix. Sworn affidavit of secretary of the NGO/PO that none of its incorporators, organizers, directors or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
- h. For CSOs, compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations (CSOs); and
- i. For foundations, DOST certification as accredited by the Science and Technology Foundation Unit

<sup>1</sup> required of all proposals

### III. Criteria for Evaluation:

#### A. Criteria for Evaluating Proposals

Criterion	Definition
Relevance or Significance	Aligned to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development
Technical / Scientific Merit	Sound scientific basis to generate new knowledge or apply existing knowledge in an innovative manner
Budget Appropriateness	The proposed budget is commensurate to the proposed work plan and deliverables.
Competence of Proponent	Proponent's expertise is relevant to the proposal and with proven competence to implement, manage and complete R&D programs/projects within the approved duration and budget.

#### B. Governing Council / Board and EXECOM's Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5
	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5

#### C. Additional Criteria on Gender and Development (GAD)



**DOST Form 2 (for Startups)**  
**DETAILED RESEARCH & DEVELOPMENT PROJECT PROPOSAL**

<b>(1) PROJECT PROFILE</b> Program Title: _____ Project Title: _____ Project Leader/Sex: _____ Project Duration (number of months): _____ Project Start Date: _____ Project End Date: _____ Implementing Agency (Name of University-College-Institute, Department/Organization or Company): _____ Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region): _____																																																
<b>(2) COOPERATING AGENCY/IES (Name/s and Address/es)</b> _____																																																
<b>(3) SITE(S) OF IMPLEMENTATION</b> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 10%;">IMPLEMENTATION SITES NO.</th> <th style="width: 15%;">COUNTRY</th> <th style="width: 15%;">REGION</th> <th style="width: 15%;">PROVINCE</th> <th style="width: 15%;">DISTRICT</th> <th style="width: 15%;">MUNICIPALITY</th> <th style="width: 15%;">BARANGAY</th> </tr> </thead> <tbody> <tr><td>1.</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>2.</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>							IMPLEMENTATION SITES NO.	COUNTRY	REGION	PROVINCE	DISTRICT	MUNICIPALITY	BARANGAY	1.							2.							3.							4.							5.						
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<b>(4) TYPE OF RESEARCH</b> _____ Pre-commercialization				<b>(5) R&amp;D PRIORITY AREA &amp; PROGRAM (based on HNRDA 2017-2022)</b> _____ Agriculture, Aquatic and Natural Resources Commodity: _____ _____ Health Priority Topic: _____ _____ Industry, Energy and Emerging Technology Sector: _____ _____ Disaster Risk Reduction and Climate Change Adaptation _____ Basic Research Sector: _____																																												
<b>Sustainable Development Goal (SDG) Addressed</b> _____				_____																																												
<b>(6) EXECUTIVE SUMMARY (not to exceed 200 words)</b> _____																																																
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<b>(8) REVIEW OF LITERATURE</b> For startup proposals, results of previous R&D conducted related to the proposed technology (product/process/service) and the status of the intellectual property (IP) protection of the proposed technology should be included. Also, include a background on the development of the technology (i.e., evolution of the startup, first prototype, first test, first sale).																																																
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<b>(12) EXPECTED OUTPUTS (6Ps)</b>																																																



**DOST Form 2 (for Startups)  
DETAILED R & D PROJECT PROPOSAL**

**I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the detailed R&D proposal for the component project together with the detailed proposal of the whole Program, project workplan, line-item budget (LIB), 1-page curriculum vitae of the Project Leader, and Certificate of Incorporation or DTI Registration (if applicable) and other applicable supporting documents required under item II.24 below. Also, submit four (4) copies of the proposal together with its supporting documents. Use Arial font, 11 font size.

**II. Operational Definition of Terms:**

**1. Title-** the identification of the Program and the component projects.

**Project-** refers to the basic unit in the investigation of specific S&T problem/s with predetermined objective/s to be accomplished within a specific time frame.

**Project Leader-** refers to a project's principal researcher/implementer.

**Project Duration-** refers to the grant period or timeframe that covers the approved start and completion dates of the project, and the number of months the project will be implemented.

**Implementing Agency-** the primary organization involved in the execution of a program/project which can be a public or private entity

**2. Cooperating Agency/ies-** refers to the agency/ies that support/s the project by participating in its implementation as collaborator, co-grantor, committed adopter of resulting technology, or potential investor in technology development or through other similar means.

**3. Site/s of Implementation-** location/s where the project will be conducted. Indicate the barangay, municipality, district, province, region and country.

**4. Type of Research**

**Pre-commercialization-** is a process that bridges R&D and commercialization which includes activities that lead to the creation or validation of the business model for the commercialization of a product/service. Examples of activities include incubation, mentoring, business support program, capacity building, fabrication support, promotion, market validation, optimization of processes, acquisition of production capabilities, research on manufacturability of products/optimization of value chains, advisory, legal and expert support, and use of research/incubation facilities, among others. For ready to scale startups, pre-commercialization shall include optimizing scale-up operations to serve local markets, roll out of initial services, expansion of protection in other countries and extensive marketing in preparation for investment offerings in the future.

a. **Startup-** any person or registered entity engaged in the Philippines which aims to develop an innovative product, process, or business model.

b. **Spin-off firm or company-** refers to a juridical entity that is an independent business technology taker with a separate legal personality from the GFA, RDI and researcher created through the initiative of the researcher-employee who generated the technology.

**5. R&D Priority Area and Program-** based on the Harmonized National R&D Agenda 2017-2022, indicate which R&D agenda the project can be categorized in: Agriculture, Aquaculture and Natural Resources; Health; Industry, Energy, and Emerging Technology; Disaster Risk Reduction and Climate Change Adaptation; and Basic Research. Indicate also the specific Commodity/Sector, whether crops, livestock, forestry, agricultural resources or socio-economics; fisheries or aquatic resources; biotechnical, pharmaceutical, or health services; biotechnology, information technology, material science, photonics or space technology; industry, energy, utilities or infrastructure.

**Sustainable Development Goal (SDG) Addressed-** indicates which among the 17 SDGs adopted by the United Nations Members States are addressed by the project

**6. Executive Summary-** briefly discusses what the whole proposal is about

**Startup Background-** description of the startup and the founders, their product and value proposition, and the IP status and protection (if applicable)

**7. Introduction-** a formally written declaration of the project and its idea and context to explain the goals and objectives to be reached and other relevant information that explains the need for the project and aims to describe the amount of work planned for implementation; refers to a simple explanation or depiction of the project that can be used as communication material.

**7.1. Rationale-** brief analysis of the problems identified related to the project

**Significance-** refers to the alignment to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development.

**7.2. Scientific Basis-** other scientific findings, conclusions or assumptions used as justification for the research

**Theoretical Framework-** the structure that summarizes concepts and theories that serve as basis for the data analysis and interpretation of the research data.

**7.3. Objectives-** statements of the general and specific purposes to address the problem areas of the project.

**8. Review of Literature-** refers to the following: (a) related researches that have been conducted, state-of-the-art or current technologies from which the project will take off, (b) scientific/technical merit, (c) results of related research conducted by the same Project Leader, if any; (d) Prior Art Search, and; (e) other relevant materials. For startup proposals, results of previous R&D conducted related to the proposed technology (product/process/service) and the status of the intellectual property (IP) protection of the proposed technology should be included. Also, include a background on the development of the technology (i.e., evolution of the startup, first prototype, first test, first sale) as well as technology gaps between R&D and commercialization. If applicable, cite the Freedom to Operates (FTO) result to ensure that the use and/or commercialization of a certain technology faces no risk of infringing any related IP registrations and applications.

**9. Marketing and Commercial Viability-** for startup proposals, to include details such as: a) competitors (include in the proposal a competitive advantage analysis using a comparative advantage table.); b) similarities, differences, and advantages of the product compared to its competitors; c) production requirements and its corresponding values; d) details of Intellectual Property Rights (IPR) and license applications; e) raw materials and suppliers; f) target and current areas of distribution; g) target market and beneficiaries; h) description and size of the target market; i) ideal forecast of the demand and sales; j) limiting factors, and; k) marketing strategies and pricing.)

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*Product-* invention with a potential for commercialization.

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**19. Risk-** refers to an uncertain event or condition that its occurrence has a negative effect on the project.

**Assumption-** refers to an event or circumstance that its occurrence will lead to the success of the project.

**20. Literature Cited-** an alphabetical list of reference materials (books, journals and others) reviewed. Use standard system for citation.

**21. Personnel Requirement-** details on the position of personnel to be involved in the project, percent time devoted to the project, and responsibilities.

**22. Budget By Implementing Agency-** personnel services (PS), maintenance and other operating expenses (MOOE), and equipment outlay (EO) requirement of the project by implementing agency for Year 1 and for the whole duration of the project. Please refer to the DOST-GIA Guidelines for the details (Section IX.B of DOST Administrative Order (A.O.) 011, s. 2020).

a. **PS-** total requirement for wages, salaries, honoraria, additional hire and other personnel benefits.

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**23. Other Ongoing Projects Being Handled By the Project Leader-** list of ongoing projects being handled by the Project Leader funded by the DOST-GIA Program and other sources, and the accompanying responsibilities relevant to the project.

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a. Detailed breakdown of the required fund assistance to indicate the counterpart of the proponent and other fund sources including letter/s of commitment from the implementing, collaborating and coordinating agency/entity/ies;<sup>1</sup>

b. A counterpart fund, in kind and/or in cash, shall be required from the implementing agency/entity as one of the application requirements. All projects must have a minimum of 15% counterpart contribution except for projects involving public good;<sup>1</sup>

c. Curriculum Vitae or Personal Data Sheet (PDS) of Project Leader and other co-researchers/implementers. The service record may be requested if needed;<sup>1</sup>

d. Clearance from the DOST or the Funding Agency (e.g., DOST Councils) on previously funded completed projects handled by the Project Leader;<sup>1</sup>

e. Approval from the institution's ethics review board for research involving human subjects or in the case of animal subjects, approval from the Bureau of Animal Industry (BAI) (for PCAARRD- and PCHRD-monitored projects);

f. Clearance from the DOST Biosafety Committee (DOST-BC) shall be required for research proposals involving the use of GMCs under contained use (i.e., experiments done in laboratories, screen house, green house). For projects other than contained use, they shall be referred to the appropriate agency. The DOST Sectoral Councils, after determination as to whether or not the proposal has biosafety implications, shall endorse the same to the DOST-BC in accordance with the prescribed format under Annex 3 of the Philippine Biosafety Guidelines for Contained Use of Genetically Modified Organisms (series of 2014) (if applicable); and

- g. For the private non-profit/non-government/people's organizations and startups:
- i. Up-to-date Securities and Exchange Commission (SEC) registration, or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents;
  - ii. Co-signers Statement (if applicable);
  - iii. Copy of latest Income Tax Return;
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  - v. Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with operation of less than 3 years, for the years in operation and proof of previous implementation of similar projects (or in the case of startups, at least for one (1) year);
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  - ix. Sworn affidavit of secretary of the NGO/PO that none of its incorporators, organizers, directors or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
- h. For CSOs, compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations (CSOs); and
- i. For foundation, DOST certification as accredited by the Science and Technology Foundation Unit

<sup>†</sup> required of all proposals

### III. Criteria for Evaluation:

#### A. Criteria for Evaluating Proposals

Criterion	Definition
Relevance or Significance	Aligned to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development
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Budget Appropriateness	The proposed budget is commensurate to the proposed work plan and deliverables.
Competence of Proponent	Proponent's expertise is relevant to the proposal and with proven competence to implement, manage and complete R&D programs/projects within the approved duration and budget.

#### B. Governing Council / Board and EXECOM's Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5

	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5

**C. Additional Criteria on Gender and Development (GAD)**

# Annex 16

## NON-R&D PROJECT PROPOSAL FORM



**DOST Form 3**  
**NON-R&D PROJECT PROPOSAL**  
 (Technology Transfer, S&T Promotion and Linkages, Policy Advocacy,  
 Provision of S&T Services, Human Resource Development and Capacity-Building)

### I. PROJECT PROFILE

<b>(1) Program Title:</b> Project Title: _____				
<b>(2) Project Leader/Sex:</b> Agency (smallest unit): _____ Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region): _____				
<b>(3) Cooperating Agency/ies</b> (Name/s and Address/es): _____				
<b>(4) Implementing Agency</b> (Name of University-College-Institute, Department/Organization or Company): _____ Address/Telephone/Fax/Email (Barangay, Municipality, District, Province, Region): _____ Base Station: _____ Other Implementation Site (s): _____				
<b>(5) Project Duration</b> (number of months): _____ Project Start Date: _____ Project End Date: _____				
<b>(6) Total Project Cost:</b> _____ (Indicate Counterpart Funds; use Form 4 for the Line-Item Budget)				
<b>Implementing Agency/ies</b>	<b>PS</b>	<b>MOOE</b>	<b>EO</b>	<b>Total</b>
A. Requested Fund				
B. Counterpart Fund 1				
C. Counterpart Fund 2				
<b>TOTAL</b>				
<b>Sustainable Development Goal (SDG) Addressed</b> _____				

### II. PROJECT SUMMARY

<b>(7) Executive Summary</b> (not to exceed 200 words)
<b>(8) Introduction</b> (not to exceed 15 pages)
<p><b>Rationale/Significance</b> (Not to exceed 300 words)</p> <p><b>Objectives</b> (General and Specific):</p> <p>For startups:</p> <ol style="list-style-type: none"> <li>a. Product Demand (Benchmarks and Baselines)</li> <li>b. Market Analysis</li> <li>c. Company Description</li> <li>d. Business Model</li> <li>e. Other products/services that are offered and will be offered by the start-up (Product line)</li> </ol> <p><b>Methodology:</b></p> <ol style="list-style-type: none"> <li>a. Technology Description</li> <li>b. Value Proposition</li> <li>c. Marketing and Sales strategies including target customer segments and marketing channels</li> <li>d. Organizational Structure of the Start-Up</li> <li>e. Cost and Return Analysis/Financial Projections/Revenue Streams</li> <li>f. Risks Analysis</li> </ol> <p><b>Expected Outputs (6Ps):</b></p> <p><b>Potential Outcomes:</b></p> <p><b>Potential Impacts (2Is):</b></p> <p><b>Discussion</b> on the results of related project handled by the same proponent (if any):</p>

**Target Beneficiaries:**

**Sustainability Plan:**

**Gender and Development (GAD) Score** (refer to the attached GAD checklist):

**Literature Cited:**

**(9) Workplan** (See Form 5)

**(10) Project Management** (not to exceed one page)

**III. OTHER SUPPORTING DOCUMENTS REQUIRED** (Please refer to page 2 for the additional necessary documents.)

**DOST Form 3  
NON-R&D PROJECT PROPOSAL**

- I. General Instruction:** Submit through the DOST Project Management Information System (DPMIS), <http://dpmis.dost.gov.ph>, the non-R&D proposal and other applicable supporting documents required under item III below. Also, submit four (4) copies of the proposal together with its supporting documents. Use Arial font, 11 font size.

**II. Operational Definition of Terms:**

- 1. Title-** the identification of the Program and the component projects.

**Program-** refers to a group of interrelated or complementing S&T projects that require an interdisciplinary or multidisciplinary approach to meet established goal(s) within a specific time frame.

**Project-** refers to the basic unit in the investigation of specific S&T problem/s with predetermined objective/s to be accomplished within a specific time frame.

- 2. Project Leader-** refers to a project's principal researcher/implementer.

**Agency-** the institution of the Project Leader.

**Smallest Unit of an Agency-** refers to a Section, Division, Department or College provided that the Project Leader directly reports to the Head of said Section, Division, Department or College.

- 3. Cooperating Agency/ies-** refers to the agency that support/s the project by participating in its implementation as collaborator, co-grantor, committed adopter of resulting technology, or potential investor in technology development or through other similar means.

- 4. Implementing Agency-** the primary organization involved in the execution of a program/project which can be a public or private entity

**Site/s of Implementation-** location/s where the project will be conducted. Indicate the barangay, municipality, district, province, region, and country.

- 5. Project Duration-** refers to the grant period or timeframe that covers the approved start and completion dates of the project, and the number of months the project will be implemented.

- 6. Project Cost-** refers to the amount or budget requested by the Implementing/Monitoring Agency and/or approved by the Funding Agency.

**Sustainable Development Goal (SDG) Addressed-** indicates which among the 17 SDGs adopted by the United Nations Members States are addressed by the project

- 7. Executive Summary-** briefly discusses what the whole proposal is about

- 8. Introduction-** a formally written declaration of the project and its idea and context to explain the goals and objectives to be reached and other relevant information that explains the need for the project and aims to describe the amount of work planned for implementation; refers to a simple explanation or depiction of the project that can be used as communication material.

**Rationale-** brief analysis of the problems identified related to the project

**Significance-** refers to the alignment to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development.

**Objectives-** statements of the general and specific purposes to address the problem areas of the project.

**Methodology-** discusses the following: (a) variables or parameters to be measured and evaluated or analyzed; (b) treatments to be used and their layout; (c) experimental procedures and design; (d) statistical analysis; (e) evaluation method and observations to be made, strategies for implementation (Conceptual/Analytical framework).

**Expected Outputs (6Ps)-** deliverables of the project based on the 6Ps metrics (Publication, Patent/Intellectual Property, Product, People Service, Place and Partnership, and Policy).

**Publication-** published aspect of the research, or the whole of it, in a scientific journal or conference proceeding for peer review, or in a popular form.

**Patent/Intellectual Property-** proprietary invention or scientific process for potential future profit.

**Product-** invention with a potential for commercialization.

**People Service-** people or groups of people, who receive technical knowledge and training.

**Place and Partnership-** linkage forged because of the study.

**Policy-** science-based policy crafted and adopted by the government or academe as a result of the study.

**Potential Outcomes-** refer to the result that the proponent hopes to deliver three (3) years after the successful completion of the project.

**Potential Impacts**

**Social Impact-** refers to the effect or influence of the project to the reinforcement of social ties and building of local communities.

**Economic Impact-** refers to the effect or influence of the project to the commercialization of its products and services, improvement of the competitiveness of the private sector, and local, regional, and national economic development.

**Target Beneficiaries-** refers to groups/persons who will be positively affected by the conduct of the project.

**Sustainability plan-** refers to the continuity of the project or how it shall be operated amidst financial, social, and environmental risks.

**Gender and Development (GAD) Score-** refers to the result of accomplishing GAD checklists (for project monitoring and evaluation/project management and implementation) to highlight the contribution of the project in the achievement of the objectives of Republic Act 7192, "Women in Development and Nation Building Act," interpreted as gender-responsive, gender-sensitive, has promising GAD concepts, or GAD is invisible.

**9. Workplan-** refers to the plan of completing the project within a given time and in compliance to the set budget.

**10. Project Management-** includes discussion on the organizational set-up by which the project shall be implemented, and also on the monitoring scheme to be done by the Project Leader to ensure objectives are attained. Not to exceed one (1) page.

**III. Other supporting documents required** (as stated in Section VII of DOST A.O. No. 011, Series of 2020 – Revised Guidelines for the Grants-in-Aid Program):

1. Detailed breakdown of the required fund assistance to indicate the counterpart of the proponent and other fund sources including letters of commitment from the implementing, collaborating and coordinating agency/entity/ies;<sup>1</sup>
2. A counterpart fund, in kind and/or in cash, shall be required from the implementing agency/entity as one of the application requirements. All projects must have a minimum of 15% counterpart contribution except for projects involving public good;<sup>1</sup>
3. Curriculum Vitae or Personal Data Sheet (PDS) of Project Leader and other co-researchers/implementers. The service record may be requested if needed;<sup>1</sup>
4. Clearance from the DOST or the Funding Agency (e.g., DOST Councils) on previously funded completed projects handled by the Project Leader;<sup>1</sup>
5. Approval from the institution's ethics review board for research involving human subjects or in the case of animal subjects, approval from the Bureau of Animal Industry (BAI) (for PCAARRD- and PCHRD-monitored projects);
6. Clearance from the DOST Biosafety Committee (DOST-BC) shall be required for research proposals involving the use of GMOs under contained use (i.e., experiments done in laboratories, screen house, green house). For projects other than contained use, they shall be referred to the appropriate agency. The DOST Sectoral Councils, after determination as to whether or not the proposal has biosafety implications, shall endorse the same to the DOST-BC in accordance with the prescribed format under Annex 3 of the Philippine Biosafety Guidelines for Contained Use of Genetically Modified Organisms (series of 2014) (if applicable); and
7. For the private non-profit/non-government/people's organizations and startups:
  - a. Up-to-date Securities and Exchange Commission (SEC) registration, or Department of Trade and Industry (DTI) registration, or Cooperative Development Authority (CDA) registration certificate, or other authenticated copy of latest Articles of Cooperation and other related legal documents;
  - b. Co-signers Statement (if applicable);
  - c. Copy of latest Income Tax Return;
  - d. Mayor's permit where the business is located;
  - e. Audited Financial Statements for the past three (3) years preceding the date of project implementation or in case of those with operation of less than 3 years, for the years in operation and proof of previous implementation of similar projects (or in the case of startups, at least for one (1) year);
  - f. Document showing that NGO/PO has equity to 20 percent of the total project cost, which shall be in the form of labor, land for the project site, facilities, equipment and the like, to be used in the project;
  - g. Disclosure of other related business, if any;
  - h. List and/or photographs of similar projects previously completed, if any, indicating the source of funds for implementation;
  - i. Sworn affidavit of secretary of the NGO/PO that none of its incorporators, organizers, directors or officers is an agent of or related by consanguinity or affinity up to the fourth civil degree to the official of the agency authorized to process and/or approved the proposed MOA, and release of funds;
8. For CSOs, compliance to regulations as required by the General Appropriations Act (GAA) pertaining to fund transfers to Civil Society Organizations (CSOs); and
9. For foundations, DOST certification as accredited by the Science and Technology Foundation Unit

<sup>1</sup> required of all proposals

#### IV. Criteria for Evaluation:

##### A. Criteria for Evaluating Proposals

Criterion	Definition
<b>Relevance or Significance</b>	Aligned to national S&T priorities, strategic relevance to national development and sensitivity to Philippine political context, culture, tradition and gender and development
<b>Technical / Scientific Merit</b>	Sound scientific basis to generate new knowledge or apply existing knowledge in an innovative manner
<b>Budget Appropriateness</b>	The proposed budget is commensurate to the proposed work plan and deliverables.
<b>Competence of Proponent</b>	Proponent's expertise is relevant to the proposal and with proven competence to implement, manage and complete R&D programs/projects within the approved duration and budget.

##### B. Governing Council / Board and EXECOM's Evaluation Criteria

Criteria	Indicators	Raw Score
A. Soundness of Proposal (20%)	R&D addresses relevant sectoral need (applicable to pressing concern)	5
	Solution provided is most effective (compared to other proposed solutions)	5
	Proposed budget is reasonable (project is not expensive vis-a-vis output)	5
	Work plan is doable in a given timeframe	5
B. Suitability of Output (30%)	R&D output is cost-effective (cost is competitive in relation to new or existing products or process)	5
	Has identified partners to adopt the technology (with letter of support from the head of the company)	5
	Output can be commercialized (through an existing manufacturer, spin-off or start-up company)	5
	R&D utilization is timely (output should not be overtaken by other solutions)	5
C. Significance of Outcome (30%)	Economic: increase in productivity, increase in income, new jobs generated, high return of investment (ROI)	5
	Social: working partnerships established, training opportunities provided, policies adopted, increased access to basic services (i.e., food, health, education); political, cultural, gender sensitivity and inclusivity	5
	Environment: enhanced environmental health standards, no adverse effect to the environment	5
	Sustainability: sustainability mechanisms established in terms of institutional, financial and human resources capability (submission of a new proposal to sustain a completed or ongoing proposal does not constitute sustainability of the project)	5
D. Competence of Proponent (20%)	Proponent's expertise aligned with the proposal	5
	Collaboration with relevant agencies and/or industry partners	5
	Thorough understanding of the proposal's deliverables	5
	DOST has good experience with the proponent	5

##### C. Additional Criteria on Gender and Development (GAD)

# Annex 17

## RESEARCHERS DATABASE

The Researchers Database will include the following fields:

DOST Researcher ID					
Basic Personal Information					
Name					
Sex					
Email address					
Telephone number (landline)					
Mobile number					
NRCP Member (Yes/No)					
Affiliation					
Primary Institution					
Address					
Designation/Position					
Employment Status					
Area of assignment					
Expertise/Specialization					
Educational Background					
LEVEL	NAME OF SCHOOL	DEGREE/ COURSE	YEAR GRADUATED	ACADEMIC HONOR(S) RECEIVED	
College					
Master's Degree					
Doctorate Degree					
Programs/Projects Involved					
PROGRAM/ PROJECT TITLE	IMPLEMENTATION PERIOD	FUNDING AGENCY	PROJECT STATUS	ROLE	REFERENCE/ LINK OF PUBLICATION

# Annex 18

## DOST-GIA MEMORANDUM OF AGREEMENT

Republic of the Philippines  
**DEPARTMENT OF SCIENCE AND TECHNOLOGY**  
Gen. Santos Ave., Bicutan, Taguig, City

### MEMORANDUM OF AGREEMENT

PROGRAM TITLE	
Project Title:	

#### KNOWN ALL MEN BY THESE PRESENTS:

This MEMORANDUM OF AGREEMENT is made and entered into by and between:

The **DEPARTMENT OF SCIENCE AND TECHNOLOGY** hereinafter referred to as the “**Funding Agency**”, a government entity duly existing and created under the laws of the Philippines with principal office address at General Santos Avenue, Bicutan, Taguig City, Philippines, represented herein by its Secretary/ Undersecretary, \_\_\_\_\_ (*Name of Head of Agency*);

The \_\_\_\_\_ (*Name of Monitoring Agency*) hereinafter referred to as “**Monitoring Agency**”, a government entity and an attached agency of DOST, duly existing and created under the laws of the Philippines with principal office address at \_\_\_\_\_ (*Address of Monitoring Agency*), represented herein by its \_\_\_\_\_ (*Designation and Name of the Head of the Monitoring Agency*), for the monitoring of the above-cited project as mandated by law;

-and-

The \_\_\_\_\_ (*Name of Implementing Agency*) hereinafter referred to as “**Implementing Agency**”, (state legal basis of the existence of the institution e.g. “the National University created by virtue of Act No. 1870, as amended and strengthened by Republic Act No. 9500, otherwise known as “The University of the Philippines Charter of 2008” through its constituent university, University of the Philippines Diliman), with principal office address at \_\_\_\_\_ (*Address of Implementing Agency*) a government entity and an attached agency of DOST, represented herein by its \_\_\_\_\_, \_\_\_\_\_, for the implementation of the above-cited project.

WITNESSETH:

**WHEREAS**, the above-mentioned project was approved by the DOST Executive Committee on \_\_\_\_\_  
\_\_\_\_\_ (*Date of the meeting when the project was approved*) ;

**NOW THEREFORE**, for and in consideration of the foregoing premises, the PARTIES hereby agree to the following terms and conditions:

## I. OBJECTIVES OF THE PROJECT

The general objective of the project is to \_\_\_\_\_

Specifically, the project aims to achieve the following:  
(State/enumerate specific objectives of the program/project)

## II. OPERATION OF THE PROJECT

The project shall be undertaken by the **Implementing Agency** in accordance with the approved project proposal (made part hereof as Annex “A”) and the Revised DOST-GIA Guidelines (A.O. 011 Series of 2020) and shall be monitored by the **Monitoring Agency** in accordance with the DOST A.O. 014 Series of 2019 – DOST M&E Protocol.

## III. FUNDING ASSISTANCE TO THE PROJECT

The **Funding Agency** shall provide grant in the amount of \_\_\_\_\_ (Total Amount of grant in words and figures for the entire duration of the project) for \_\_\_\_\_ to be expended as allocated in the approved Project Line-Item Budget (Total duration of the program/project) (made part hereof as Annex “B”). The Guidelines on the Grants-in-Aid Program (made part hereof as Annex “C”) shall govern the implementation of the Project.

The activities, operation of books of accounts, and records of the project shall be subject to inspection by the authorized representatives of the **Funding Agency** and its auditor, whenever necessary. GIA assistance shall be discontinued for

any violation of the Grant Agreements such as fraud or falsity in the **Program/Project Leader's** proposal, representation, and warranties; when the results obtained do not justify further activity, or non-compliance or late submission of requirements by the **Implementing Agency** resulting in funds becoming unavailable. The Project Leader shall be notified at least forty-five (45) days before the date of termination.

All income/interest derived from the program/project if any, and all unexpended balance shall be reported and reverted to the Funding Agency within three (3) months after the end of the project period.

#### **IV. PROJECT DURATION**

The project shall be implemented for \_\_\_\_\_.

(Total duration of the program/project)

It shall commence on the date specified in the approved line-item budget or immediately upon but not later than two (2) months after the release of funds.

#### **V. FUND RELEASE AND UTILIZATION**

The financial grant shall be released by the **Funding Agency** to the **Implementing** and **Monitoring Agency**, subject to availability of funds, and accounting and auditing regulations.

The **Implementing Agency** shall abide by the applicable rules and regulations on disbursement and utilization as mandated by the Funding Agency, to include in particular but not be limited to, rules on direct and indirect costs.

## **VI. PROJECT PROPERTIES**

*Project References:* Mention of above-stated program/project in any and all publication, literature and information material in whatever media form shall state reference to the DOST as **Funding Agency**, \_\_\_\_\_ as **Monitoring Agency** and \_\_\_\_\_ (Name of the Institution) as **Implementing Agency**.

*Intellectual Property (IP):* Ownership and utilization of IPs and Intellectual Property Rights (IPRs) resulting from the project shall be governed by the Philippine Technology Transfer Act of 2009. The **Implementing Agency** and the Program/Project Leader acknowledge that they have read, understood, and hereby agree to be bound by the provisions of the said Act. In case of conflict with other laws, rules, or regulations, the said Act shall prevail.

*Records of Equipment:* The Property Officer/s of the **Funding and Implementing Agencies** shall establish a complete and centralized file of records of all equipment procured through DOST-assisted programs/projects which shall include the following: agency name, location of equipment, project title, current custodian, or end-user accountable for the equipment, equipment purchased with description/specification, date of acquisition, property number and acquisition/actual cost. The said Property Officer of the Funding and Implementing Agencies shall update the directory and records of equipment every year based on Property Acknowledgment Receipt (PAR) and DOST Form 10-Project Monitoring and Field Evaluation Report submitted or Property Transfer Report (PTR)/Deed of Donation issued by the Funding Agency. Inventory of equipment shall be conducted by the **Monitoring Agency** during the implementation of the project.

**Ownership of Equipment:** All equipment purchased through grant

funds are considered as government equipment owned by DOST. These may be transferred to the Implementing Agency or other implementers. The ownership of equipment may be transferred to the Implementing Agency or private institutions, upon completion of the program/project, subject to existing 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 in compliance with existing government accounting and auditing laws, rules, and regulations.

## VII. ACCOMPLISHMENT AND FINANCIAL REPORTS

The **Implementing Agency** shall submit to the **Monitoring Agency** all technical and financial reports as mandated by the Funding Agency, pursuant to applicable rules and regulations. The **Monitoring Agency** shall submit said reports together with their appraisal report to the **Funding Agency** within one (1) month after the receipt thereof. (See Sections X.B.1 and X.B.2 of the Revised DOST-GIA Guidelines for the details of submission)

## VIII. AMENDMENT CLAUSE

*Amendment:* This agreement may only be amended in writing and by mutual consent of both parties.

*Authority to Sign:* Each person signing this agreement represents and warrants that he/she is duly authorized to sign this agreement. In the unlikely event that the person signing for the other party is not authorized to do so, the latter agrees to hold the other party/ies harmless for any cause or consequence of the absence/lack of authority to sign.

*Arbitration:* All disputes arising between and among the parties as to interpretation, operation, or effect of any clause in the Agreement or any other difference between the parties shall first be resolved amicably. In case of failure, the Rules on Alternative Dispute Resolution (ADR) between national government agencies under Republic Act No. 9285 shall apply.

*Indemnification:* Each party shall indemnify, hold free and harmless, and defend at its own expense the other party/ies from and against all suits, claims, demands, and liabilities of any nature or kind, arising out of acts or omissions of the former, in the performance of any activity in connection with the Project, including those that may be initiated by its employees, workers, agents, subcontractors, or by any other entity or persons against the said party by reason of or in connection to the program/project.

*Venue:* The parties further agree that in case of legal action requiring court litigations that may arise in the enforcement of this Agreement, the venue of court litigation shall be in the Court of Competent Jurisdiction sitting in Taguig City only.

*Separability Clause:* If any part or provision of this Agreement is held invalid or unconstitutional, the other provisions not affected thereby shall remain in force and in effect.

## **IX. COMPLIANCE WITH LAWS AND POLICIES**

Matters affecting intellectual properties or intellectual property rights such as their ownership, protection and utilization, technology disclosure, the exclusivity of the license, use of commercialization, the establishment of spin-off firms, technologies for research use, and sharing of income and benefits from technology commercialization shall be governed by existing Philippine laws on

Intellectual Property, including RA 10055, and DOST Rules and Policies on Intellectual Property.

Full acknowledgment shall be given to DOST in case the research results are published or presented in various fora, seminars, and meetings. Such presentation should not prejudice the proprietary/confidential nature of the information for purposes of IP protection. The **Implementing Agency** shall likewise acknowledge the assistance of the **Funding** and **Monitoring Agencies** in relevant project-related activities.

Failure on the part of any party to comply with this provision shall be ground for written documented protest; further, repeated non-compliance with this provision by one party shall allow the aggrieved party to inform affected third parties in writing and require proper attribution through publication, with the cost charged against the offending party.

**IN CONSIDERATION** of the mutual covenant set forth above, witness our signatures this \_\_\_\_\_ day of \_\_\_\_\_, 2020, at \_\_\_\_\_, Philippines.

**Funding Agency:**

**DEPARTMENT OF SCIENCE AND TECHNOLOGY**

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Secretary/Undersecretary for R&D

**Implementing Agency:**

**Name of Implementing Agency**

---

**Head of the Implementing Institution**

**Monitoring Agency:**

**Name of the Monitoring Agency**

---

**Head of the Monitoring Agency**

**Witness:**

---

**Name and Designation of the Project Leader**

**Certified Funds Available:**

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**Name and Designation of the DOST Accountant**

**REPUBLIC OF THE PHILIPPINES ) S.S.**

**CITY OF TAGUIG**

BEFORE ME, A Notary Public for and in \_\_\_\_\_  
this \_\_\_\_\_ day of \_\_\_\_\_  
personally appeared:

Government Issued Issued

Date/Place Issued

---

**Details of the Head of Funding Agency**

**Details of the Head of Monitoring Agency**

**Details of the Head of Implementing Agency**

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Known to me as the same persons who executed the foregoing Memorandum of Agreement and they acknowledged to me that the same is their free and voluntary act and deed and that of the entities they respectively represent.

This instrument, consisting of \_\_\_\_ ( ) pages, including this page whereon this Acknowledgment is written, signed by the parties together with their instrumental witnesses one each on every page thereof.

TO THE TRUTH OF FOREGOING, witness now my hand and seal on the date and place first above written.

Doc. No. \_\_\_\_\_

Page No. \_\_\_\_\_

Book No. \_\_\_\_\_

Series of \_\_\_\_\_

## **Authors/Contributors**

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