

PREFACE

The research development in the Philippines plays a very important role in national development. As a Higher Education Institution, Surigao State College of Technology is embracing the challenge towards building the capability of its human workforce to produce quality and sustainable research studies.

The institution plans and implements a research program that is need client-need based. The programs are generally expected to help accelerate the economic, political and socio cultural development of the people of the locality. As a long-term goal, the challenge of development is to address various forms of inequity and transform the people along ways that enable them to become aware of their situation and to act on them. This involves a continuing process of the local constituents and utilization of community resources. This can be effectively carried out through academe-community partnership.

The genesis of the manual was started by the RDEX pioneering Director, Dr. Carlos H. Donoso with the help of Mr. Judel C. Paredes. Furthermore, some revisions were made under the direction of Mr. Jaime O. Puracan and finally completed under the leadership of Mrs. Riah E. Encarnacion, the present RDEX Director, assisted by Mr. Clemente Noel C. Naguio, and Ms. Rowena A. Plando. The manual had undergone several phases of review and critiquing made by the review committee composed of Dr. Merlyn M. Sanchez, Dr. Carlos H. Donoso, Dr. Ronita E. Talingting, Ms. Andrea A. Encarnacion, Dr. Milagros G. Villarama, Dr. Georgito G. Posesano, Dr. Elvis P. Patulin, Dr. Jhane R. Jabonero, Dr. Arsenia B. Canonigo, Dr. Felicidad R. Ruaya, Engr. Alexis P. Espaldon, Ms. Antonette B. Donoso, Ms. Elizabeth G. Aleta, Ms. Susan S. Deniega, Ms. Teresita P. Senados, Ms. Emmylou A. Borja, some faculty and the rest of the RDEX staff with the external referees, Dr. Olivia P. Canencia of Mindanao Polytechnic State College in Cagayan de Oro City and Ms. Ceferina Dolores, the College State Auditor. We acknowledge their splendid and unselfish efforts in making this research guide a desired reality.

The college officials composed of former Pres. Henry L. Lañada, former Dean of Programs and Standards Dr. Felicidad R. Ruaya, Chief Administrative Officer and presently the Acting President, Dr. Jocelyn T. Medina for their unwavering support in our research and extension services and training.

May this manual set the standards in research operation, eliminate uncertainties become vital in achieving a concerted effort in research and development as SSCT moves forward to create a difference.

Research and Development Office
Surigao State College of Technology
Surigao City

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Chapter I

BRIEF HISTORICAL BACKGROUND OF THE INSTITUTIONS

A. Historical Background

The Surigao State College of Technology has rich historical accounts chronicling the culture, heritage, progress, and trademark it has established over the years. From a mere technical-vocational school, the college gradually developed its capabilities to attain the optimum level of performing the four-fold functions of Higher Educational Institutions (HEIs) on instruction, research, extension and production.

New and interesting challenges become a focal point for the college as an active key player towards transformation and advancement specifically to provide appropriate expertise for the development requirements of the region in the context of national development and global dynamics.

B. The College

Surigao State College of Technology (SSCT) evolved from Surigao del Norte School of Arts and Trade (SNSAT), a vocational school created by law (R.A. 6957) on August 4, 1969. The trade school was pioneered by fourteen teachers and a hundred and three students who enrolled in Secondary Trade and Trade Technical curricula.

The succeeding years unfolded the gradual institutional growth of SNSAT, in terms of enrolment, expanded curricular offerings, buildings and facilities, staffing and faculty development. The trade school's progress was facilitated by financial assistance, technology transfer, trainings, and scholarships availed from local, national, and international government agencies and non-government benefactors.

On June 5, 1998, RA 8650 merged SNSAT with the Malimono School of Fisheries, thereby, creating the Surigao State College of Technology (SSCT). The newly chartered state college acquired another satellite campus on October 30, 2000 when R.A. 8760 integrated the Surigao del Norte College of Science and Technology (SNCST) with SSCT. Thus, SSCT now has three campuses: the main campus, located in Surigao City and the satellite campuses in Malimono and Del Carmen, Surigao del Norte.

Chapter 2

THE RESEARCH AND DEVELOPMENT OFFICE

Since its inception as a trade school, the institution's research function was carried out by a designated Research Officer who is also concurrently designated as Planning Officer. Thus, the same person had to carry out two functions: research and planning. It was a one-man job; there was no research office or unit composed of several personnel.

When the school acquired its own charter as a state college, the same set-up was continued; however, with the inclusion of a new designee the Extension Officer. Apart from these two personnel (Research & Planning Officer), there was no research office yet occupying a distinct institutional space with a program or plan of its own.

The College's Research and Development Office emerged from the Research Development and Extension (RDEX) Office which was established in November 30, 2005 whose prioritized programs are geared towards the development of new products, processes, systems and services to improve the quality of life of the people it serves. The office which initially started with eight personnel evolved into a separate unit supporting the mission of the college. RDEX is a dynamic and participative body rendering services for project development and implementation with qualified staff and essential office facilities.

After a thorough deliberation made by the administrators and academic heads and approval of the Board of Trustees, RDEX was separated into two distinct offices namely: the Research and Development Office; and the Community and Extension Office. These offices are now operating on their specialized and determined priorities and functionalities.

RESEARCH AND DEVELOPMENT PROGRAM

A. Vision, Mission, Goal, Objectives and Value Statement

Vision: SSCT endeavors to become a competent and self-sustaining research institution to bring about change and improvement in the socio-cultural and economic life of the whole Caraga Region.

Mission: SSCT develops and implements excellent, relevant researches with marketable technologies in Caraga Region to empower participating communities.

Goal: SSCT integrates research programs in collaboration with other institutions primarily for the development of Caraga Region and consequently for the rest of Mindanao and the whole Philippines.

Objectives: SSCT aims to achieve the following:

1. To map an institutional/individual capability development program;
2. To formulate priorities/programs in education, engineering, technology, agricultural, fisheries and industrial commodity researches, rural development studies, information management, non-formal education and technical assistance and tech-pack development and/or adoption;
3. To harness and develop the human resource capabilities of the College for competencies in research and development;
4. To identify, initiate, and conduct researches for sustainable development;
5. To encourage, coordinate or organize pool of researchers to carry-out for short term trainings, workshops and seminars for exchange and dissemination of research findings and other relevant contemporary issues in socio-economic, and agro-industrial setting;
6. To develop and equip research and development facilities in order to produce relevant and quality research and development outputs;
7. To establish and maintain linkages with other government and non-government institutions, local, regional, national and international for resources sharing and technology generation;
8. To improve the present statistical data base for all research thrust through well-coordinated data bank, monitoring, retrieval, analysis, recording, processing, and outreach programs;
9. To make an inventory of and analyze human and materials resources as basis for determining capabilities and needs.
10. To work out appropriate pay incentive schemes to develop strong motivation for, and sustained interest in, quality research output;
11. To establish social mechanisms for assuring that research results and social benefits reach supposed beneficiaries and end-users;

12. To formulate and implement evaluation criteria for appraising Research and Development input and output;
13. To undertake research related to extension and rural community development for the purpose of discovering ways of accelerating the socio-economic programs and more equitable distribution in the rural areas and;
14. To publish and disseminate research findings in theories and practices and financial information in the form of journals, technical reports, proceedings and bulletins;

Value Statement: SSCT measures performance by the number of sustainable communities developed through environmentally, friendly technologies that promote equity, people empowerment and peace.

B. Framework of Research and Development

The framework of research of Surigao State College of Technology is guided by the basic principles of multi-disciplinary, policy-oriented, and operationalization approach and the adoption of the National Higher Education Research Agenda (NHERA). It identifies the learning continuum of research, instruction, extension and production as shown in Figure 1.0.

C. Process / Flow of Research and Development Operations

The operational framework as presented in Figure 2.0 defines how SSCT RDO will carve its niche in the Caraga Region and be identified as the leader in Science and Technology activities that address scientific and technological needs of the region. To do this, RDO shall take active role in multi-sectoral meetings and networking in the region specifically to establish linkage on potential external agencies. Likewise, RDO shall promote the importance of research and encourage research productivity in the college for institutional growth and human resource development.

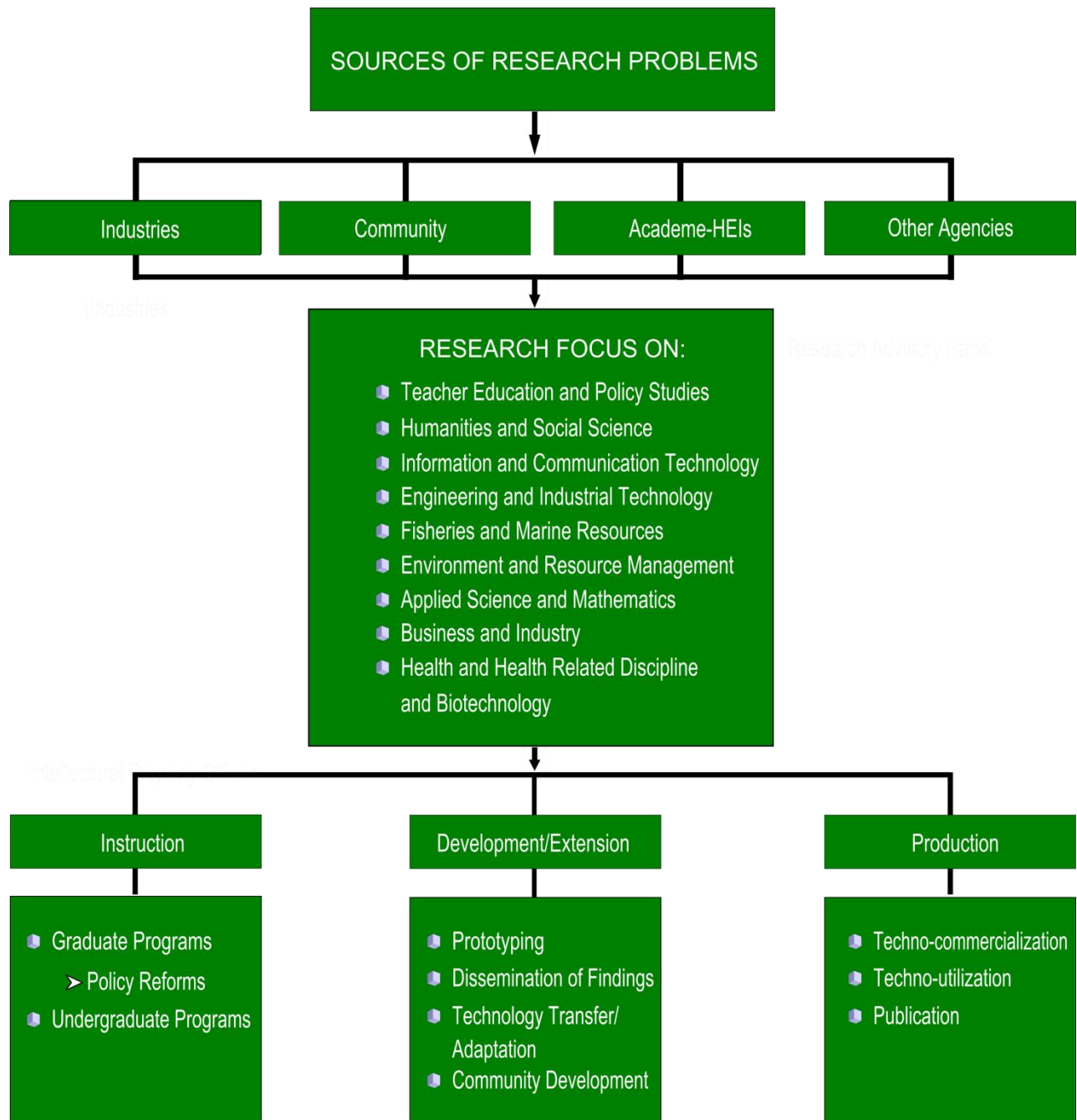


Figure. 1 Framework of Research and Development

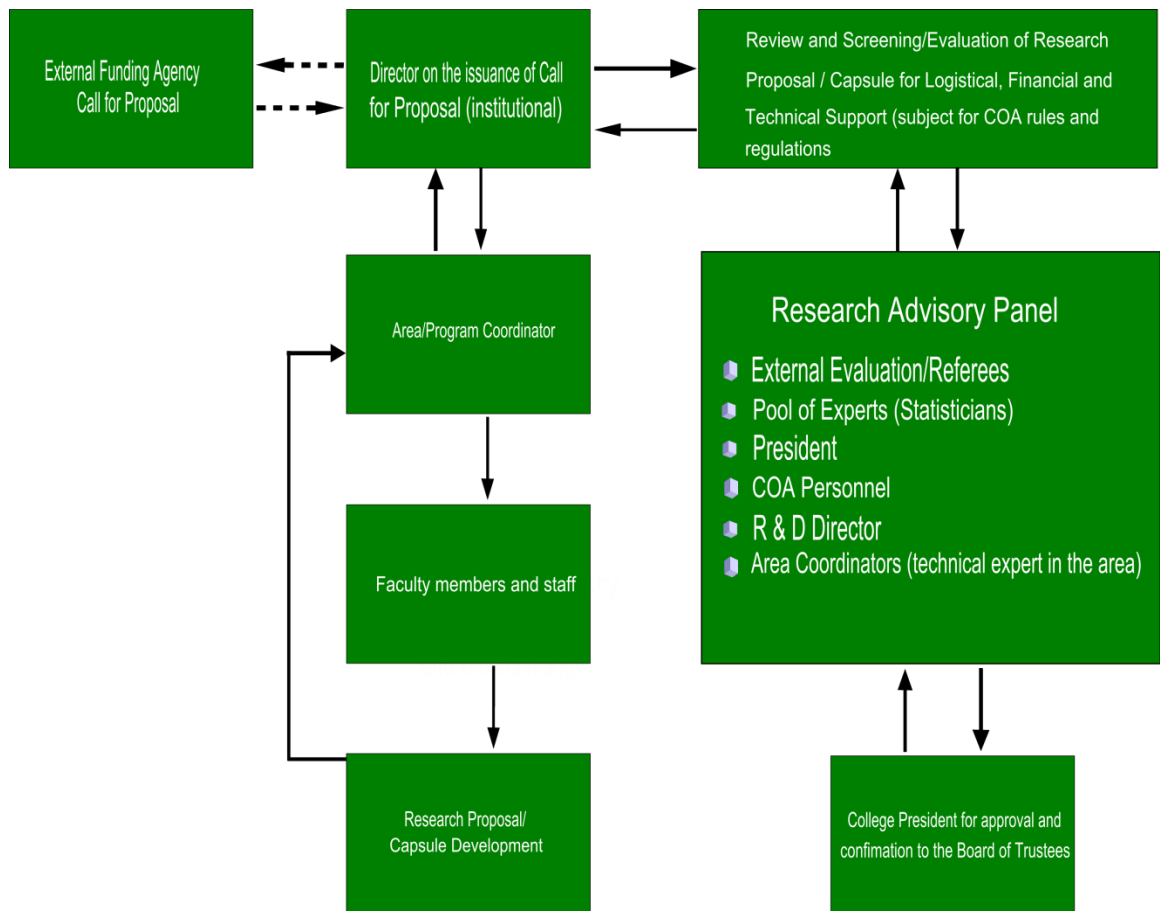


Figure. 2 Process / Flow in Research Development Operations

D. The Focus of Research and Development in SSCT

- a. The Surigao State College of Technology (SSCT) is mandated to perform the four-fold functions of a state college as to instruction, research, extension and production. In this context, the Research and Development Office (RDO) serves to support SSCT in the fulfillment of those functions.
- b. SSCT shall harmonize research with sustainable development and technical progress. It shall spearhead strategic researches for technical advancement and advocacies for human development and educational advancement from a pool of researchers cooperating with the RDO.
- c. SSCT shall observe its cooperative and corporate function to complement instruction, extension and production.
- d. SSCT shall develop basic/applied/action research in the field of teacher education, humanities, social science and policy studies information and communication technology, engineering and industrial technology, fisheries and marine resources, environment and resource management, applied science and mathematics, business and industry, health and health related discipline and biotechnology.

E. Strategies and Research Thrusts

Strategies

1. Determines the manpower requirements of the research programs and develop a systematic plan to close the gap between available and needed manpower through a vigorous recruitment program, a staff development program, and the adoption of attractive salary scales and fringe benefits.
2. Develops organized research programs in education, engineering, technology, agriculture, and industrial and possibly other commodities involving concerned units or departments of the college including those in the social, physical, and animal sciences and other agencies of government in the region.
3. Conducts a study on the socio-economic profile of Caraga Region and the rest of Mindanao to better understand the problems of education, engineering, technology, agriculture, fisheries, technology and industrial communities in the region.

4. Develops a feedback mechanism for bringing field problems to the attention of researchers.
5. Integrates student researches into the overall research program of the college.
6. Initiates a system of documentation of research activities, publish research results for exchange of information among agencies in the country and the region.
7. Holds research conferences regularly every year for researchers and invite speakers to exchange information on current research activities, and agenda as well as evaluate and update research priorities.
8. Provides for regular linkage through conferences among research and extension workers to relate research programs to extension programs.
9. Conducts continuing studies on experiments station management and improvement of research planning and administration.
10. Conducts action research to implement and document education, engineering, technology, agriculture, and industrial development in the barangays or municipalities, in the province or region.
11. Provides staff support to government agencies or farmers' organizations as consultants or resource person in the planning and implementation of programs and in seminars and training courses.
12. Conducts continuing basic and applied, collaborative institutional researches.
13. Involves graduate and undergraduate students to conduct their theses in line with the research thrusts of the college.

Research Thrusts

The Research Program includes a relatively wide range of basic applied and developmental research projects or agricultural and non-agricultural concerns which are anchored on national and regional research priorities and responsibilities.

The college research thrusts are geared towards uplifting the quality of life and poverty alleviation in the region, in Mindanao and the country as a whole through a sustainable development approach.

Subject to formal review and consequent decision demanded by the changing needs, SSCT adopts the thrusts as prescribed by CHED-NHERA for establishing priorities in developing, processing and funding research proposals.

1. Science and Mathematics
2. Engineering and Technology
3. Information and Communication Technology
4. Industrial Technology
5. Humanities, Social Science and Communication
6. Fisheries and Marine Resources
7. Business and Industry
8. Health and Health Related Discipline
9. Teacher Education

F. Organization and Management

The organizational structure of the Research and Development Office is presented in Figure 3.

1. The Research Advisory Panel(RAP)

The composition of the Research Advisory Panel is constituted as follows:

- External Evaluators/Referees
- Pool of Experts (Statisticians)
- President
- COA Personnel
- R&D Director
- Area Coordinators (technical expert in the area)

- a. Suggests and recommends appropriate policies, standards and roles relating to the planning, implementation and evaluation of research programs;
- b. Defines the priority areas on all disciplines covered by the research programs of the college;
- c. Evaluates the viability, feasibility and relevance of research proposals submitted by the faculty and staff for college funding;
- d. Recommends to the president the allocation of research funds for the college;
- e. Screens/evaluates and recommends to the RDO director the best graduate and undergraduate theses two months before the annual commencement exercises or the second Monday of February;
- f. Periodically reviews college research thrusts and extension issues;
- g. Initiates fora to discuss research and development, and extension issues
- h. Performs other functions assigned by the college president.

2. The Research Development Office (RDO)

- a. Consults and serves with the state college to promote the interests of the units, centers, and institutes under the research and extension organization;
- b. Exercise general supervision and coordination of all programs, projects and activities of the various units under its office;
- c. Recommends and implements policies and guidelines governing research and extension affairs of the state college;
- d. Consolidates researches made by the faculty members and staff for publication which advances the field of knowledge in certain disciplines;

RESEARCH AND DEVELOPMENT OFFICE

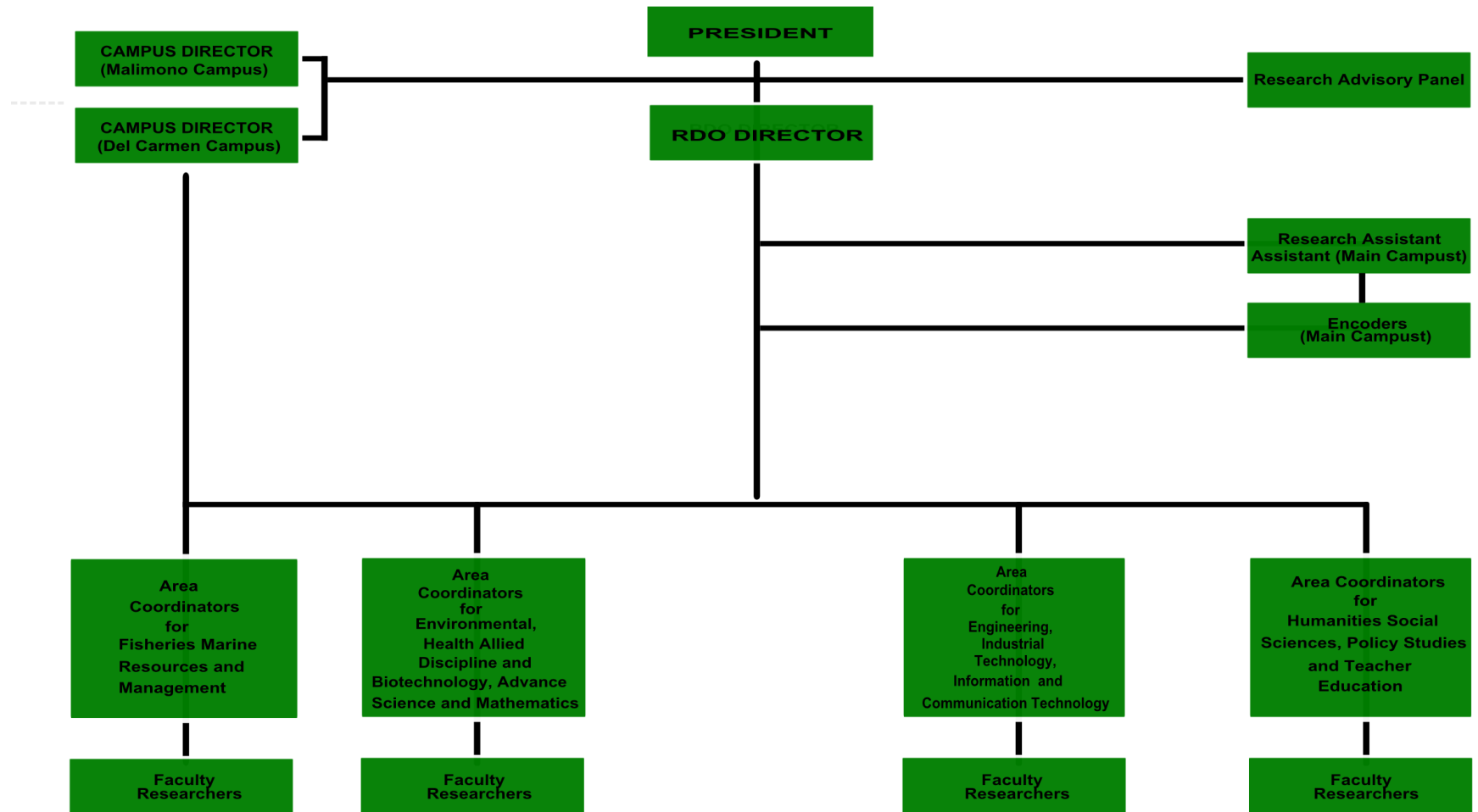


Figure 3: Organizational Structure of RDO

- e. Plans programs for research activities and gear these towards the growth and development of the state college and of the region;
- f. Directs the implementation of research programs and the execution of extension work of the state college;
- g. Coordinates, monitor, and appraise the performance of the various research units of the state college and other affiliate research agencies/institutions;
- h. Plans, promotes and carries out close working relations and linkages with appropriate government agencies and non-government organizations;

3. Duties and Responsibilities of the RDO Personnel

Director for Research Development

The Director for Research Development shall perform the following duties and functions;

- a. Exercises effective leadership and management of people and ideas.
- b. Provides the needed vision and goals of the research unit in order to propel the entire college/university in the academic sphere of intellectuals.
- c. Establishes and maintains strong links and network with other colleges and universities (here and abroad) and with other agencies.
- d. Coordinates all research activities performed on and off campus by the units and personnel of the state college;
- e. Establishes research priorities in support of regional/institutional research priority areas;
- f. Encourages and evaluate faculty and staff research proposals and recommend funding support thereof by the state college and/or other agencies through the Research Advisory Panel (RAP).

- g. Initiates the establishment of strong linkages with other public and private, domestic and foreign research agencies and organizations;
- h. Recommends worthwhile researches for publication in the college research journals and other publications;
- i. Helps solicit and procures appropriate incentives for outstanding researches done by the state college faculty and staff and recommend them for recognition by international, national, local and private organizations or institutions.
- j. Conducts periodic evaluation of research programs and projects of the state college and make appropriate recommendations to higher authorities;
- k. Provides technical advice e in carrying out approved research programs;
- l. Recommends to the president the priorities in the allocation of funds for authorized researchers among specific research projects;
- m. Prepares and submits reports pertaining to research;
- n. Makes long-range fiscal plans and annual budgetary request for research activities;
- o. Checks the attendance and signs the Daily Time Record (DTR)
 - 1.1 The immediate supervisors signs the DTR of personnel under them. The director countersigns the DTR of all program/project/study leaders.
 - 1.2 Programs/project leaders sign the DTR of all research assistants, research aides, enumerators, laborers, and clerical staff under them.
- p. Performs such other functions as the president may direct.

Research Assistant

The research assistant carries out objectives of the research/project through the performance of the following duties and responsibilities;

- a. Assists the director in the performance of the general functions, duties and responsibilities geared towards the attainment of stated vision, mission and goals of the college research program;
- b. Formulates research/project plans and operational schemes;
- c. Provides advice to unit heads on the direction and evaluation of staff performance;
- d. Carries out research / project plans and overseeing their full implementation;
- e. Identifies problems that may adversely affect the unit's stability by instituting measures to solve or put them under control;
- f. Prepares preliminary reports on the project/research and helps finalize terminal reports and other write-ups that maybe requested;
- g. Oversees the welfare of the research / project staff;
- h. Observes/evaluates project/research staff performance;
- i. Attends in-service training programs and participates actively in unit meetings and activities;
- j. Represents his immediate head in appropriate offices/bodies and prepares reports on results of such representation;
- k. Presides meetings as may be assigned;
- l. Assists in the implementation of research activities like preparation of questionnaires, data gathering, editing, tallying and preparation of reports;
- m. Performs duties and responsibilities as may be directed/requested;

Encoders

- a. Encodes and prepares research proposals / capsule of faculty members and staff;
- b. Consolidates and prepares layout of research journal for publication;
- c. Supports the research assistant in the realization of the office responsibilities;
- d. Gathers and delivers research proposals;
- e. Performs other duties and responsibilities as may be assigned;

Area Coordinator(s)

- a. Coordinates with the Research Director in promoting research awareness among faculty members;
- b. Displays strong interest in conducting research proposal;
- c. Disseminates announcement for call proposals;
- d. Provides logistical and technical evaluation of submitted research proposals;
- e. Attends meeting as requested by the research director;
- f. Coordinates and supports the research director in the preparation of any training or proceeding of annual in-house review on research studies and proposals;

G. Qualifications, Code of Ethics of Researchers and Expectation**1. Qualifications of Proponents**

- a. The proponent must be a member of SSCT and has a great interest in research.
- b. Proponent(s) of approved and funded proposals are automatically assigned as the research leader. If for some reason, any of the proponents will no longer be available at the time of implementation, qualified personnel from Research or other academic units can be considered. Recommendation for replacement can be made by the director for research/extension in consultation with the concerned research/project leader. The said recommendation is to be endorsed

to the RAP who in turn should issue the appropriate designation for approval of the college president. If the proposal comes from the RDO Office, the recommendation must come from the RDO director.

- c. Proponents of the research study can be designated as
 - a. program leader b. project leader c. study leader
- d. The proponent must have demonstrated competence that shows potentials in undertaking any research project.

2. Code of Ethics for Researches

This code of ethics has regulatory function but, the most part, provides guidelines for ethical behavior and decision-making with respect to research conduct. Ultimately, individual proponent must take responsibility for their ethical behavior.

a. Ethical Statements

- a.1 Researchers responsibilities and obligations to colleagues, and hence to the discipline are based both on the vital benefits of peer review of research and scholarship and on the desirability of maintaining accessibility to research.
- a.2 Researchers should report results honestly, avoid actions that will violate or diminish the rights of research participants or clients and avoid raising false hopes.
- a.3 Researchers have a responsibility to raise ethical issues with all research team members prior to and while undertaking research.
- a.4 Researchers should protect the welfare and privacy of the people or organizations participating in the research. People and collectivities do not have an absolute right to privacy in their public capacity.

- a.5 Researchers should protect privacy by discussing only data germane to the purpose of the research.
- a.6 Researchers should not reveal information received in the course of the research where an assurance of confidentiality has been promised.
- a.7 Researchers should inform research participants and funding agencies of any limits of confidentiality and anonymity.
- a.8 Researchers should respect the right of funding agencies, host institutions and publishers to be given adequate information about the research and to have their contribution acknowledged.
- a.9 Researchers have a responsibility to maintain high standards of competence and to maintain knowledge of current information and methods in the areas they are researching.
- a.10 Researchers should make full and honest disclosure in both written reports and to research participants on financial and other forms of support of their research.
- a.11 Researchers should give an account of their methodology and report the limitations of their research design.
- a.12 Researchers should ensure that information of interest to individuals, groups and organizations be made available in a timely, acceptable and accessible manner.
- a.13 Researchers should support with evidences any claims or conclusions presented.

b. Research Participants

The researchers are expected to be:

- b.1 Analytical, objective, creative and capable of organizing and implementing research extension undertakings and can work well with other people.
- b.2 Responsive to their socio-physical milieu.
- b.3 Ethical in conduct of research activities and utilization of results.

- b.4 Observation of the intellectual Property Rights.
- b.5 Informing participants about the purpose and nature of the research and its possible implications for them.
- b.6 Entitled to receive appropriate feedback on the outcome of research, researchers should make provision for this.

Chapter 3

THE RESEARCH AND DEVELOPMENT IMPLEMENTING RULES AND REGULATIONS

A. Policy Statement No. 1: The Conduct of Research in the College

The College shall recognize the importance of research (activity) for the faculty members and staff as an essential function of higher education and shall take conscience effort to make research a priority.

Section 1.0 Designation/Hiring/Promotion/Termination of RDO Personnel

Designation of faculty member for the director position is made by the president with concurrence of the Research Advisory Panel while designation/hiring promotion/termination of positions below the director's level is made by the director for research and endorsed to the Research Advisory Panel with concurrence of the college president.

1.1 The designation of Officer-In-Charge (director)

- 1.1.1 For short duration of absent official/official (OB/travel (one month or less) the designation is done by the officer concerned, copy furnished to the proper authorities.
- 1.1.2 For long duration of absence/OB/travel (more than one month) designation is done by higher authority upon recommendation, if possible by the president.

1.2 Other Designations

- 1.2.1 Designation of other positions below the director's level is made by the director for research with concurrence of the college president.
- 1.2.2 Any additional designation/assignments to be official are put into writing by designating official, unless in emergency cases where official designation cannot be immediately done.

1.3 Hiring/Termination of Personnel

- 1.3.1 For project personnel (research assistants, aides, laborers)
 - 1.3.1.1 After thorough review/evaluation, the project/study leader can recommend the hiring or termination of personnel to the director for research / extension.
 - 1.3.1.2 The president of the college issues for research/extension the designation/termination notice to the personnel concerned.

1.3.2 For personnel with academic rank

1.3.2.1 A committee composed of the director for research/extension and Dean screens and recommends the personnel for hiring/termination. Recommendation is made by the Research Advisory Panel who in turns endorses the recommendation to the office of the college president for appropriate action.

1.4 Promotion of personnel

1.4.1 Program/project/study leader recommends to the director for research/extension personnel for promotion based on the evaluation/promotion criteria.

1.4.2 Promotions committee specifically the Research Advisory Panel screens and recommends personnel to the college president.

1.4.3 RDO Director endorse recommendation to the president.

Section 2.0 Faculty Workload. The workload of every individual faculty members shall indicate equivalent credit provided to the four fold functions of the college namely: instruction, research, extension and production as emphasized in Section 11-B, Annex 2(QCE) of NBC 461.

2.1 Research and Extension personnel with academic rank should carry a minimum teaching load per semester as indicated in Table 1.0 of Chapter 2. As per college policy, honorarium shall be allowed only after the personnel have met the normal workload.

2.2 Researchers assigned as Program Leaders, Project Leaders, or Study Leaders should also observe the minimum teaching load as indicated in Table 1.0 of Chapter 2.

2.3 Academic personnel who have not met the minimum required teaching load should inform his/her immediate supervisor so that additional assignment can be given either by the office or in other units of the college to attain the normal workload.

2.4 Teaching assignments other than the regular ones requested by the academic units should be coursed through the director for research/extension. Decision will be arrived at upon discussion with the faculty member concerned and his immediate supervisor.

Section 3.0 Time Allotment to the Four HEIs Functions. The time allotted to every faculty members of the college, as indicated in the provisions of NBC 461, shall be as follows:

- 3.1 Instructors, Assistant Professors, and Associate Professor: 100% for instruction;
- 3.2 Professor: 35% for instruction, 50% for Research 10% for Extension, and 5% for Production.

Section 4.0 Faculty Official Hours. The individual faculty members of the College shall render forty (40) hours of service a week, pursuant to the rule of the Civil Service Commission. Thirty hours (30) of which shall be for actual teaching whose activity compositions maybe left on the discretion of the governing board and the remaining ten (10) hours of which shall be for any teaching-related preparations.

Section 5.0 Other Time Allocating Scheme. Pursuant to the interpretation of the PASUC – DBM of the 30-hour actual teaching shall mean full time teaching equivalent (FTE), the College shall likewise use the following scheme for computing the time allocation of the individual faculty members;

- 5.1 The total number of teaching hours shall be not be less than forty hours per week;
- 5.2 The total time for teaching-related preparation shall not exceed ten (10) hours per week;
- 5.3 The remaining thirty (30) hours per week for instructors, assistant professors, and associate professors shall be devoted to full time teaching equivalent and quasi-teaching assignments;
- 5.4. For full professors, 35% of the thirty (30) hour FTE is allocated to instruction, 50% for Research, 10% for Extension, and 5% for Production.

Section 6.0 Teaching Load Computation. In the computation of full load, teaching overload and / or release time, the College shall likewise adopt the time allocating scheme presented in Section 5 for faculty members doing research, extension, and production functions as reflected in the individuals faculty program. This faculty program shall be made every semester by the concerned division chair in coordination with the dean of programs and standards and research director to be approved by the College President.

Section 7.0 Research Financial Support and Accountabilities. In the pursuant of national and international recognition and professional growth, the College shall give equal opportunity to all faculty members to excel in any of the four functions by committing strong financial support, such that this commitment of the College shall be tied in with the accountability of the corresponding College officials and the faculty members concerned.

Section 8.0 Flow of Research Operations. As indicated in Fig. 2 on the Process/Flow in Research Development Operations, the following procedures shall be observed in screening, acceptance, implementation and accountability of research proposals:

- 8.1 The proponent shall submit the concept paper/research capsule to the area coordinators or directly to the Office of the Director, and in turn will endorse it to the Research Advisory Panel (RAP) for logistical, technical, and financial evaluation. When approved by the RAP, the proponent(s) will be given a cash incentive specified in Table 1.0 of Chapter 4 for the making of the full-blown proposal. A maximum of 54 hours or equivalent to one (1) semester shall be allowed for proposal making.
- 8.2 The proposal shall be submitted to the office of the Research Director, who will submit to the Research Advisory Panel chairman for the panel to deliberate and evaluate. One month after submission, the researcher(s) shall be informed of the result of the evaluation, Researcher(s) who wish to submit proposal shall inform the Dean one semester before the actual implementation.
- 8.3 The Research Advisory Panel (RAP) shall determine the appropriate number of man-hours per week considered as one (1) unit. A MOA/MOU shall be required for every approved research proposal before the implementation phase takes place.
- 8.4 Research overload shall have no ceiling, but where funds are not available, service credits shall be granted instead of the usual overload pay.
- 8.5 For approved research that has an extension component will be allowed but not to exceed 50% of the total time indicated in the proposal, without monetary compensation. In the event that the researcher fails to complete the research after the extension, he will be made to render teaching overload without pay which is equivalent to his approved time released.

Section 9.0 Other research – related operations. In the conduct of other research-related operations exercised by the individual faculty members concerned, the College shall observe the following:

- 9.1 In using supplies, the researcher(s) must specify in the research budgetary requirement the supplies needed. The supply officer takes charge and monitors use of supplies. As required, researcher(s) shall make purchase report and accomplish the requisition slip countersigned by the next higher authority and sign in a logbook for supplies withdrawn.
- 9.2 On the conduct of off-campus research activities.
 - 9.2.1 Program/project/study leader or the research team members should have to accomplish two copies of **locator's slip** from the RDO before the research study. It should be signed by the immediate supervisor and countersigned by

the Director for research. The slips should be submitted to the Director and to the guard-on-duty before going out of the school premises. This is to ensure that the proponent(s) should be properly monitored as to their location specifically outside of the school campus as they conduct their research proceedings.

- 9.2.2 In case of long off-campus research activities or any travel outside the city, the program/project/study leader or the research team members should have to write a formal letter address to the president specifying the rationale and purpose of the activity. Once approved, a copy should be furnished to the director for research and the immediate supervisor.

9.3 Checking of Attendance and signing of Daily Time Record

- 9.3.1 The immediate supervisor signs the DTR of all program/project/study leaders under them. The director for research countersigned their DTR's.
- 9.3.2 The immediate supervisor signs the DTR of all research assistants, research aides, enumerators, laborers and clerical staff under them. Program/project leaders sign the DTR of all the personnel under them.

9.4 Problems and Grievances

- 9.4.1 All problems and grievances should be tackled first within the unit before these are elevated to higher authorities.

B. Policy Statement No. 2 The College Research Agenda

The College faculty research shall address the National Higher Education Research Agenda (CHED-NHERA) and consistent with the College's vision and mission specifically on the priority areas and needs of the community, industries, education, and the government towards enhanced social, political, cultural, ecological, and economical productivity.

Section 1.0 Definition of Research. The faculty research shall be classified as basic, applied, and/or action research on teacher education, humanities, social sciences and policy studies, information and communication technology, engineering and industrial technology, fisheries and marine resources, environment and resource management, applied science and mathematics, business and industry, health and health related discipline and biotechnology to solve problems in the grassroots levels to the modern sectors in Mindanao. As such, these may be on prototyping of agricultural and industrial inventions and by-products, and curriculum and instructional materials development that can readily be commercialized by the college's income-generating project office.

Section 2. Science and Technology Need Analysis. Once this IRR is approved by the governing board, the college shall organize a multi-sectoral task force to undertake a science and technology need analysis as emphasized under section 1 above. The resulting research priorities will be the basis for the faculty members during the next five years. Such priority list shall be updated annually through similar multi-sectoral consultation.

Section 3.0 Research Planning and Implementation. All researches and proposals shall undergo an essential, consultative, multidisciplinary and problem-oriented planning. This is to identify certain needs and requirements for the development and progress of the research project taking into account that the project will benefit its target stakeholders. The Research and Development planning and implementation shall involve the following:

- 3.1 Program planning, specifically in assessing the environment shall be done by the RDO Management in coordination with the Research Advisory Panel starting with the analysis of the factors in the environment relevant to the RDO programs. Environment factors refer to the set of forces both inside and outside the organization that affects organization's performance (Certo, 1994). The internal environmental factors that can be considered are institutional capacity, structure, support systems (financial and administrative) and organizational management. Major consideration of the external factors can be focused on the political and national policies, laws and procedures of the government as well as the development programs of the National Economic Development Authority (NEDA), Department of Agriculture (DA), Department of Science and Technology (DOST), Department of Environment and Natural Resources (DENR) and the Commission on Higher Education (CHED).
- 3.2 In setting the Research and Extension priorities and agenda, the College shall consider its national and regional thrusts and mandates. It should also consider the information and feedback from various agencies and sources.
- 3.3 Once the priorities are set, translating them into action plans follows. Faculty members with the area coordinators shall prepare an action plan with their corresponding proposals. The prepared proposals are submitted to the Office of the Director for review, consolidation and submission to the Office of the President for endorsement to appropriate funding agencies.

The following deadlines must be observed:

- | | | | | |
|-----------------------|---|---|---|-----------|
| 1. Call for proposals | . | . | . | one month |
| 2. Review | . | . | . | two weeks |
| 3. Revision | . | . | . | one month |

Section 4. Annual Research Call. The college shall issue an annual research call based on the current priority research list that established and kept updated under section 1.

Section 5.0 Formula in Preparing Capsule Research Proposal. The College shall use the following formats in the preparation of the capsule **research** proposal: DOST Capsule Research Proposal (Appendix A), CHED Research Proposal Application Guide (Appendix B), Research Profile (Appendix C), Research Format (Appendix D), Research Abstract (Appendix E).

Section 6.0 Criteria for Selection of Research Project. The RAP Chair shall identify/classify the research proposal based on Section 4 hereof, and endorse the identified proposal to the concerned subcommittee for evaluation based on the following criteria to wit adherence to set priorities/annual call, non-duplication, adequacy, clarity and attainability of objective (the methodology should be adequate, should contain the details of experiment and the variables/indicators should be clearly stated), workability of task schedules based on methodology, reasonability of budget estimates relative to the scope of work.

Section 7.0 Submission to Other/External Funding Agency. Funds for Research operations given by the DBM to SUCs are usually limited and thus, oftentimes the management relies heavily on external linkages among the local, national and international funding agencies/organizations that support the research program. This shall necessitate the preparation and submission of research project proposals. If research proposal are accepted, the said funding organization shall enter into Memorandum of Agreement with the College for the researcher to enjoy the benefits stated in Policy Statement No. 1 hereof, otherwise the researcher may undertake the research on his/her own time and the college shall forfeit ownership of the resulting intellectual property right, if any.

C. Policy Statement No. 3 The College Academic Freedom

The College shall acknowledge academic freedom through exercise/encouragement of free expression of scientific and research-based ideas and theories.

Section 1. Constitutional Provisions. Article XIV, Sec. 5 [2]2 1987 Constitution provides that *“Academic Freedom shall be enjoyed by all institutions of higher learning.”*

Section 2. Academic Freedom of the College. The college shall also recognize its own academic freedom as reflected in the following Supreme Court decision:

“This institutional freedom includes not only the freedom of professionally qualified person to inquire, discover, publish and teach the truth as they see it in the field of their competence subject to no control or authority except of rational methods by which the truth and conclusions are sought and established in their disciplines but also the right of the school or college to decide for itself, its aims and objectives on how best to attain the grant to institution of higher learning-free from outside coercion or interference save passively when the overriding public welfare calls for some restraint” (Amado C. Dizon in his Law and Education quoted the Supreme Court in deciding the case of TOGONAN vs. PAÑO (137 SCRA, 246[1983]; Ateneo de Manila University bs. CA 145 SCRA 100 [1986].)

Section 3. Limitation of Academic Freedom. The College along with the faculty members shall be cautioned as they are hereby cautioned that academic is not absolute as cited by Amado Dizon.

*“Academic freedom cannot be used as a cloak to promote the polarization in the minds of the adolescents of **acts forbidden by the Penal Law... The teacher** should know, as a respectable member of the academic community of scholars, that the mission of a free university is alien and hostile to any attempt at converting this institution of higher learning as a platform for the propaganda of any religious, political or social movement.”*

Section 4. Activities to be Supported by the College. Pursuant to the Constitutional provision stated under section 1 hereof, on academic freedom of the faculty in higher education and the expectation that all faculty members shall be involved in research, the college shall promote and support the following to wit:

- 4.1 faculty research in any field of inquiry that is in line with his experience/interest and research agenda, subject to the IRR Policy Statement No. 2 hereof.
- 4.2 holding of annual research in-house review activity as an opportunity for the faculty to present papers, and to give incentives/awards to the best research paper.
- 4.3 holding of capability building activities for potential/advanced faculty members to regularly update and harness their skills and potentials in making and conduct of research.

- 4.4 conduct of regular meetings, file evaluation, in-house review, and integrated review to assess the implementation of research activities and attainment of objectives set on the proposal and provide intervention for any potential risks/problems to occur.
- 4.5 benchmarking activities to other institutions and agencies to gather good and appropriate research proceedings for the college.
- 4.6 publish faculty research output in refereed local, national and international journals.
- 4.7 invite a pool of experts to referee research outputs to be published in refereed journals of the college.

D. Policy statement No. 4. The College Research Incentive Mechanism

The College shall implement incentive mechanism to promote awareness and encouragement among faculty members to conduct research and productivity and acknowledgement of extraordinary performance and efficient delivery of output/services. Such incentive mechanisms shall be comparative with the best in the Country.

Section 1. Extrinsic and Intrinsic Incentives. Pursuant to Policy Statement No.2, the College shall provide faculty members both extrinsic and intrinsic incentives to pursue research pursuant to Policy Statement No.2 hereof. Such incentives may include the following. To wit:

- 1.1 one-year vacation leave for faculty members and staff who have served the college for at least fourteen (14) years and every seven years thereafter to engage in research and/or extension work;
- 1.2 grant release time from teaching subject to the IRR of Policy Statement No. 1.
- 1.3 grant of credits pursuant to the CCE under NBC 461 or any other similar issuance in the future;
- 1.4 the award of the best paper/best poster for deserving and excellent research work.
- 1.5 the granting of honoraria/incentives to faculty member who is involved in the conceptualization of studies, projects or programs and in the implementation and coordination of Research and Extension activities , or rendition of advisory ,administrative and/or management functions in the conduct of Research and Extension activities.

- 1.6 designation as professor Emeritus upon retirement or honorable separation from the service in the college with all the rights and privileges pertaining to that title for as long as he/she remains productive in his/her contribution to research in the college.

Section 2. Priority for research grant of the college. Professors with superior accomplishments in research shall be given priority in the grant of college/university professor rank pursuant to NBC 461 or any other similar issuance in effect in the future.

Section 3. Research Capability Approaches. Professors who have distinguished himself/herself in research shall be given the honor to lead the other faculty members in doing research work with the following approaches.

- 3.1 A junior faculty is paired with an established senior researcher in the college/university for a given research project.
- 3.2 A weekly forum of faculty in the same department to discuss new/current ideas or teaching approaches.
- 3.3 An award given to prominent faculty researcher to deliver lectures on current issues as part of a Professional Chair

E. Policy statement No. 5. Research Publication and Opportunities of the College

The College shall promote faculty research outputs to local, national, and international and shall provide equal opportunity for potential and capable researchers to any form of capability building and exposure.

Section 1. Transitory Period. After the approval of this set of IRR, all existing associate professors and full professors shall be given equal opportunity to prove their worth in research and extension services during the three-year period.

Section 2. Faculty Classification. After the transitory period, the associate professors and full professors shall be classified either as researchers or extension workers for purpose of NBC 461. This is to strengthen research or extension productivity among them.

Section 3. Faculty Selective Promotion. Upon approval of this IRR and pursuant to the provisions of NBC 461, no faculty member shall be promoted to the rank of associate professor unless she/he has demonstrated productivity in doing research, extension work or production during the last three years before such promotion, regardless of the result of evaluation under existing system of evaluation for faculty rank.

Section 4. Faculty Promotion to Full Professor. Pursuant to the spirit and expression of the provisions of NBC 461, hereafter no faculty member shall be promoted to the rank of full professor unless she/he has consistently demonstrated his/her expertise in research as evidenced by his/her publication in a refereed national or international research journal, despite the result of an evaluation under NBC 461 or whatever similar system in existence at the time.

Section 5. Sustainability in Research. After the approval of this set IRR, promotion of full professor to higher rank/sub-rank shall be dependent upon his/her sustainability and commitment in publishing research outputs to refereed local, national or international journal.

Section 6. Membership in Research Organization. The College shall make an effort to join and sustain membership in appropriate national and international research organizations to promote continuous exposure of the faculty members to research activities, research fellowship, acquisition of research journals and attendance in national and international research fora.

Section 7. Research Culture. The College shall develop and establish a viable institutional agreement among faculty members, undergraduate and graduate students to encourage active participation regardless of faculty rank and students in research activities to commensurate their effort and capacity to do. This is a means for the College to build research culture within the institution.

Section 8. Undergraduate Research. The College as an institution of higher learning shall gear its programs and activities toward student's welfare and well being. This requires synchronization and support from the major programs of the college and one of the major programs is research, extension, and training where research in particular, is a primary concern. The effort will strengthen students' research capabilities by providing thesis/research journal. Both the student and the college shall enter into a Memorandum of Agreement for the student to protect his/her rights to enjoy the incentives of research.

Section 9. Graduate Research. The research graduate program of the college shall be shifted from the usual course work to research degrees or at least a combination thereof but heavier on research. Participation of graduate students in nationally/internationally funded research project done by the college shall be credited to their thesis/dissertation requirement. Publication in a national/international research journal shall be a requirement for graduation from a research doctoral degree. Both the student and the college shall enter into a Memorandum of Agreement for the student to protect his/her rights and enjoy the incentives of conducting research.

Section 10. Internal Funding Support. The College shall appropriate as much as twenty five (25%) of the non-fiduciary school fees collected from students annually to support its research function provided that such fund shall not be used for personal services.

Section 11. Other Funding Support. In the event that there is a limited and minimal funds sourced out from tuition fees, the College shall undertake any appropriate and legal-raising activities to allocate financial support for research.

Section 12. External Funding. The College shall obtain research funds from external sources to support its activities and attendance of faculty researchers in local, regional, or national/international research fora.

Section 13. Intellectual Property Right. Intellectual property right of all research outputs funded by or through the college shall be owned by the college subject to the payment of royalty to the author if any when such research output(s) is commercialized.

Section 14. On Sales of Produce of Research Projects. For commercialization of products resulting from research projects, the College shall observe the following:

- 12.1 For projects under trust fund and with memorandum of agreement as legal basis; transaction shall strictly comply with the financial management and auditing procedures of the college. Any income generated from the sales of the produce shall be credited to the trust fund of the project.
- 12.2 For other projects: transaction and remittance of sales should strictly follow the requirements of the financial management and auditing procedures of the college.
- 12.2.1 "In no case shall any of the project personnel be entitled or allowed to free share of the produce unless officially allowed or sanctioned by higher authorities.

Chapter 4

INCENTIVES, RECOGNITION AND AWARDS

A. Teaching Load

The different programs under the Research and Extension may have distinct and separate designation positions composed of faculty and non-academic staff. Faculty/Staff from other colleges and offices in the college are also encouraged to get involved in Research and Extension activities.

However, every faculty must have a mother unit where he/she can be identified. His/her involvement in research or extension functions must be approved by the head of the mother unit to gain legitimate teaching load (TL). Appropriate designation shall be issued to each faculty indicating the TL.

Table 1.0 Teaching Load (TL) of Various Positions Under the Research Program

Position/Designation	TL
Director/Officer In-Charge for Research	6 units
Research Assistant	15 units
Program Leader	*9 units
Project Leader	*12 units
Study Leader	*15 units

Note: *_ The given teaching load (TL) takes effect only during the semester immediately following the approval of the proponent's research or extension proposal.

B. Incentives Schemes

1. **Honoraria.** Honorarium is a form of remuneration for services rendered beyond the minimum regular workload of an individual whose broad and superior knowledge, expertise or professional standing in a specific field contributes significantly to scientific and technological research and development (PD 1502 and Accounting and Auditing Manual for Research Operations (AAMRO Book 1). It is an honorary payment or reward given as compensation for services rendered by officials/employees on an assignment to special project (OCPC CPG No. 80-4, Aug.4, 1980, implementing LOI No., dated June 30, 1977). For this purpose special project is an inter-agency or inter-committee activity, or an undertaking by an individual or a composite group of officials/employees from various agencies which is not among the regular primary functions of the agency concerned.

1.1 Coverage. Honorarium is paid to a government official or employee or to a private individual who is involved in the conceptualization of studies, projects or programs and in the implementation and coordination of Research and Extension activities, of rendition of advisory, administrative and/or management functions in the conduct of Research and Extension activities.

Officials and employees assigned to special activities (task forces, study groups, teams, technical review panels, committees and consultancy group) which are beyond their normal regular workload shall be entitled to honorarium or incentive pay, provided that such funds have been allocated in the budget or made available through grants/donations, or income from outside sources.

1.2 Rates. Honorarium/incentive pay must be provided in approved line item budget except special assignments. In cases where specific provisions of rates of honorarium are stipulated in the MOA/MOU for project with external funding, the terms of the of the contract shall be followed. Payments of honorarium/incentive for project staff and other personnel concerned shall be made only after the targeted milestones are attained or after six months of projects completion for activities of projects whose duration is less than six months. Payment for committee work maybe based on actual performance of work.

Under DOST-DA-BAR, the rates are as follows:

Program Leader	Php 3,500.00-5,000.00/project
Project Leader	Php 3,000.00-/project
Study Leader	Php 2,000.00/project

Table 1.0 Proponents Rates per Project

RESEARCH PROGRAM/PROJECT RATES	HONORARIA RATES Rate/project
Research Program Leader	
1-2 projects	3,500.00
3-4 projects	4,000.00
5 or more projects	5,000.00
Project Leader	
1 or more projects	3,000.00
Project Staff	
Level 3 (Study/Team Leader)	2,000.00
Level 2 (Team Member)	1,000.00
Level 1 (Adm. Support Staff)	750.00

- 1.3 Limitations/Exemptions.** No honorarium shall be paid regardless of the source of fund without prior approval by the head of the agency. Such authority to receive honorarium shall be expressly stated in a special order signed by the head of agency.

Individual faculty member may be entitled to receive honorarium/incentive pay in more than one project/study/activity within the program or project so long as a full-blown research is made. In case where funds are not available, service credits shall be granted instead of honorarium as indicated in Policy Statement No. 1 Section 8.4.

2. Incentives for Authors Published Research, Scientific, Scholarly Works and Books

- 2.1 The granting of fair incentive can be provided to encourage the publication of research, scientific, scholarly works and books by faculty and staff members aside from the self-fulfillment the author gets for the publication of his work.
- 2.2 Guidelines for this incentive scheme can be worked out by an Ad Hoc Committee constituted by the College President. The said guidelines should be presented to the College Administrative Council prior to presentation to the Board of Trustees for approval.

C. Support for Student's Research Capabilities

The Research and Development Office, in response to call and its relentless efforts to fully serve its beneficiaries through various projects and approaches and attain greater research impact, envisions to initially provide the SSCT student with the following programs and activities:

1. Trainings/Seminars for Students

Department or college-based research/extension papers presentation can be done for information dissemination.

2. IEC Materials Access and Library Services

The SUC can establish scientific literary services apart from regular library services where specialized commodity collection data and popular Information Education Communication materials can be accessed by interested users.

3. Off-campus Field Practice on Development Projects

Apprenticeship/Field Practice can be done by graduate/ undergraduate students in the barangays covered by the College

Extension under the supervision of a faculty from the Extension Office/College (where the student come from) or the cooperating agency.

4. Students Assistantship

Students can be hired to work in Research and Extension projects as student assistants for them to get exposure to the Research and Development projects while earning some amount of money to augment their allowances.

D. Undergraduate and Graduate Thesis Support

Student can be junior researchers and can be involved as part of big Research and Extension programs and projects. Financial or material support are granted if funds are available.

1. Criteria for Application. Graduate and undergraduate student of the college with an approved thesis/dissertation outline can apply for thesis support.

2. Guidelines for Availment

a. The thesis should be in line with existing research thrusts/priorities of the Research and Development Office.

b. In case the thesis is not in line with the research thrusts of Research and Extension, the following criteria will be considered:

b.1 Importance to national development considering its social, economic, and environmental impact .

b.2 Originality (done by the students themselves);
and

b.3 Urgency in terms of the college's needs.

b.3.1 The college area coordinator with the department chair person selects the entries for their corresponding colleges.

b.3.2 The thesis proposals are then submitted to the Research office on or before the following schedule:

August – thesis to be conducted during the second semester

February – thesis to be conducted during the first semester.

- b.3.3 Submitted proposals are then referred to the Research Advisory Panel with the area coordinators for final review and shall approve the thesis to be funded.
- b.3.4 Only two students per semester (one graduate and one undergraduate) who are on the stage of conducting their thesis could avail of the financial support.
- b.3.5 Each student is entitled to a thesis support in the form of supplies and materials with a maximum amount of P5,000.00 per semester.
- b.3.6 upon approval, a written memorandum of agreement is signed by the student, thesis adviser and the director for research.
- b.3.7 After the completion of the research, students are required to submit two (2) of the manuscript to the Research and Development Office.

E. Awards and Recognition

1. Best Research and Development papers

The best Research and Development papers in each sector during the annual agency in-house review can be selected as a motivation and incentive to researchers in recognition of their outstanding and notable accomplishments. A modest monetary incentive and a plaque of recognition should go with the award. The criteria for the selection of the best paper are as follows:

Table 2.0 Criteria for Best Research Paper

Criteria	Percentage
B. <u>Relevance/Significance of the Project</u> (Potential contribution to countryside development whether social, economic, ecological..etc.)	45%
B. Organization of Paper Comprehensiveness Validity of Approach and Reliability/Dependability of Results	30%
Presentation and Confidence Knowledge of the Content of Paper Clarity of Presentation Composure and Presence of Mind Effective use of Visual Aid and other Medium of Presentation	10% 5% 5% 5%
Total Points	100%

2. Best Poster

As an added feature in the annual agency in-house review, the Best Poster can also be selected. It may be open to all researchers of the university engaged in research. Only one best poster may be selected among all competitors based on the following criteria undertaken by the Board of Judges selected from outside of the college:

Table 3.0 Criteria for Best Poster

Criteria	Percentage
Technical Content	70%
Significance/Relevance of findings	30%
Experimental organization; procedure or Methods and resourcefulness of researchers	20%
Presentation <ul style="list-style-type: none">• Attractiveness of poster (orderliness, neatness and good use of colors and materials) (6%)• Appropriateness or volume of information for the effective information (6%)• Clarity in statement of purpose of the hypothesis of problem) (6%)• Logical order in presentation of methods and results (6%) Effective use of graphics(photos, maps, graphs) to support and supplement the text in terms of goods blending, relevance and contribution to ease	30%
Interpretation (6%)	
TOTAL	100%

As a general guideline, the poster should be well organized, concise, self-explanatory and attractive and should fit in a 30x 40 inches illustration board. The information contained in the poster should include among others: the title of research; name(s) of researchers; brief introduction; objectives; methodology and results and discussion. The information should be readable from 2 meters distance. The researcher(s) should be stationed in the poster competition area during the session to answer queries from the Board of Judges and participants.

3. Search for Best Graduate and Undergraduate Thesis

3.1 Objective. The main objective of the search is to encourage students to develop outstanding thesis/dissertation by giving incentives to their work.

Specifically, it aims to:

- Select one outstanding thesis for science and non-science courses in the undergraduate level and one each for master level and doctorate level, and
- Provide certificate of recognition and cash awards to students with outstanding thesis/dissertation.

3.2 Mechanics of Implementation. Thesis of all graduating undergraduate/graduate students can be considered for the best thesis award. However, thesis/dissertation which are part of any on-going government and non-government funded researches are not eligible in the search.

Selection is done sequentially in three levels; namely:

a. Department Level

Every department screens students' thesis during the final defense. For the undergraduate level, the selection committee, composed of the chairman and the members of the faculty, selects one outstanding thesis for the department.

For the graduate level, members of the advisory committee shall recommend potential candidates to the department where the student belongs. The selection committee, composed of the chairman and the faculty members, then selects one outstanding thesis/dissertation for the department

Those selected for each department in the undergraduate and the graduate levels are submitted to the head of screening committee in the college.

b. College/Graduate Level

From all nominees in each department, the selection committee composed of the dean, the department chairpersons and the college research coordinator selects one outstanding undergraduate thesis for the college.

For the graduate level, the selection committee, composed of the dean, secretary and chairpersons, select the best thesis and dissertation for each graduate degree program.

c. Final Selection Level

The best thesis for each college and graduate programs are then submitted to the director for research for final screening.

All nominees of each college are evaluated by a screening committee composed of the Research management team and the college research coordinators.

3.3 Requirement Participation. The following are submitted to the chairman of the final screening committee, (the director for research) not later than three working days before the meeting of the Academic Council to prove the candidates for graduation;

- a. One (1) copy of the final manuscript; and
- b. Five (5) copies of the abstract and the summary, conclusion and recommendation.

3.4 Criteria for Selection. The following are the criteria for the selection of the best thesis award.

Table 4.0 Criteria for Best Thesis Award

Criteria		Percentage
I.	Originality (Student's original proposal)	30%
II.	Organization (validity of approach and Reliability of results)	30%
III.	Relevance/significance (potential contribution to countryside development considering its social, economic an ecological impacts)	40%
Total		100%

A cut-off 85 percentile for undergraduate level and 90 percentile for graduate level for the above criteria are maintained during the final selection. The candidate(s) receiving the highest point which is equal or above the cut-off point are considered winners.

3.5 Incentives. All college nominees for the best thesis are given a certificate of recognition. During the university/college recognition program the best thesis are awarded of the following:

- a. Certificate of Recognition
- b. Cash Award : P5,000.00 for doctorate level
 P4,000.00 for masteral level
 P3,000.00 for undergraduate

The cash award can be sourced out by tapping sponsors or through the income generation unit of the university/college.

The selected best thesis are immediately published in the R and E-Bytes.

The Research Director presents the best thesis award during the Year-end Commencement Exercises.

Chapter 5

PLANNING, FUNDING, AND IMPLEMENTATION

Over the years, RDO has been a working partner of external agencies ranging from local government to international agencies as evidently shown by the number of symposia/training held in and outside of the campus.

A. Institutional Linkages and Fund Sourcing

Surigao State College of Technology is dedicated to teaching, research and the extension of knowledge to the public through an extensive network and linkages among internal and national funding agencies that support the research program.

SSCT is member of:

- a. Philippine Council for Marine and Aquatic Resources Management (PCMARD).
- b. Caraga Consortium for Aquatic Research and Development (CCARD)
- c. BFAR-Regional Fisheries Research Development (CCARD)
- d. Siliman University Angelo King Research for Environmental Management (SUAKREM)
- e. Regional Integrated Research Development and Extension Agenda Planning (RIRDEAP)
- f. Philippine Association of State Universities and Colleges (PASUC)
- g. Hinatuan Passage Development Alliance (HIPADA)

Fund for Research and Extension operations given by the DBM to SUCs are usually limited and thus, oftentimes the management relies heavily on external support. This necessitates the preparation and submission of research and extension project proposals to local, national, and international funding agencies/organization.

1. **Local Linkages.** Within the college, the faculty and staff involved in Research and Extension must have good working relationship since they usually complement each other. The R and E programs should be in itself unifying mechanism to ensure that all the efforts of its manpower are in concert to create impact to target communities.

The college must likewise establish a viable linkage with the provincial government where the college is located since the province is considered as the immediate impact zone of all its R and E programs and activities.

The municipal/local government units within the province can very well serve as partners in the whole technology development process i.e. from Technology generation to commercialization. Oftentimes, they rely on the innovations/technologies from SUC's to uplift the economic and social life of the people within its areas of jurisdiction.

- 2. National Linkage.** National government agencies involved in RET like the Department of Agriculture (DA), Philippine Coconut Authority (PCA), Bureau of Agricultural Research (BAR), Bureau of Fisheries and Aquatic Resources (BFAR), Bureau of Postharvest Research and Extension (BPRE), National Irrigation Administration (NIA), Philippine Rice Research Institute (PhilRice), DA-Agricultural Training Institute (DA-ATI), Department of Science and Technology (DOST), Philippine Council of Agriculture, Forestry and Natural Resources Research and Development (PCARRD), PCAMRD, Philippine Ports Authority (PPA), PCIARD, Department of Environment and Natural Resources (DENR), Department of Education (DepEd), Department of Trade Industry (DTI), Department of Labor and Employment (DOLE), National Economic Development Authority (NEDA), Metal Industries Research and Development (MIRD), Metal Industries Association of the Philippines (MIAP), Commission on Higher Education (CHED), Technical Education and Skills Development Authority (TESDA), can be tapped either as collaborating or funding agencies. Regional offices of these national agencies can be consulted and partnerships among them can be established. For instance, there are 14 national research and Development consortia throughout the country under the realm of PCARRD and these consortia have viable mechanism for planning and administering RET in the region.
- 3. International Linkage.** Offshore linkages can also be established to provide the research faculty and staff with opportunities to work with their international counterparts/agencies. Innovations and technologies generated as a result of this collaborative undertaking may find significance not only in the Philippines but for in other countries as well.

SSCT has established a collaborative effort with Philippines-Australia Community Assistance Program (PACAP) under the Australia's Development Cooperation Program to support community-initiated, economically sustainable, ecologically sound and gender responsive development projects to reduce poverty and alleviate the quality of living in the society.

B. RDO Program/Project Proposal Screening/Evaluation and Approval

Under the SSCT RDO Procedure

For any interested faculty members and staff who want to get involve with research must submit their proposals to the director for research.

The director for research shall make a preliminary review on the proposals made whether the proposal is in line with the college research thrusts. Possibly, the director will have to provide suggestions or ideas to enhance the proposals based on guidelines set by the college. After which, the proposal is endorse to the Research Advisory Panel.

The Research Advisory Panel shall convene on a regular basis as determined and requested by the research director, extension director, or any member of the council. The council shall evaluate the proposal and make a recommendation, The president,

who is the chair of the council shall present the proposal to the Board of Trustees for confirmation. Evaluation Criteria for Research Proposal is shown in Appendix F.

Fig.3 under Chapter 2 of Section C, presents the flow of the operation for submission and approval of research proposals.

Under PCCARD, DOST, and AFMA System

The screening/evaluation and approval of the RDO proposal follow a set of procedures. For research proposals forwarded to the Philippine Council for Agriculture, National Resources Research and Development (PCARRD) for possible PCARRD, DOST and AFMA funding, RDO follows the Revised Implementing Guidelines on Research Proposal Evaluation crafted by a Special Committee at PCARRD.

The process flow indicating the channel, process and required documents is provided in Figure 1. The channel column specifies the unit responsible for the assessment while the evaluation and expected action is presented in the process column. The evaluation parameter column provides the corresponding channel to the assessment process.

The basis flow for the three funding sources are somewhat identical (APPENDIX I) except in the last 2-3 steps. For proposals intended for PCARRD funding (more than Php 500,000.00) is endorsed by the Director's Council (DC) to the Technical Advisory Committee (TAC) before they are finally submitted to the Governing Council (GC) for approval. For DOST funding, the proposals are endorsed by the DC to the DOST EXECOM for approval. For AFMA funding, the proposal is endorsed by the GC to the CERDAF for approval.

Under CHED System Using General Appropriation (GA)

Proponents refer to the priorities set in the National Higher Education Research Agenda (NHRA) of CHED;

Research proposals are submitted to the director for in-house evaluation/review and consolidation;

Research Advisory Panel recommends the proposal;

College President endorses the reviewed and consolidated proposals to the CHED Executive Director;

CHED evaluates and approves Research proposals and endorses them to the DBM for funding;

CHED releases information to agency regarding research proposals approved for funding;

Under CHED System Using Block Grants, Grants-in-Aid and Grant for Communication Research:

Proponents refer to priorities based on the National Higher Education Research Agenda (NHERA) of the Commission on Higher Education;

Research proposals are submitted to the director of the CHED Zonal Research Center for review and consolidation;

College President endorses proposals to the Commission on Higher Education;

Commission on Higher Education evaluates and approves Research Development and Extension proposals;

Commission on Higher Education releases the funds directly to the Agency where a Memorandum of Agreement is signed between CHED and the state college;

Under Other funding Agency (Foreign Grants, Other Grants-in-Aid)

Proponents prepare capsule proposals and get endorsements from the Research director or head of agency/office;

Proponents negotiate with the funding agency;

Once approved for funding, proper authorities (president, director) are informed. If necessary, memorandum of agreement should be signed between the institution and funding agency;

Funding agency releases budget to the institution.

C. Technology Development Process

According to PCARRD of the DOST, the technology development process is composed of five (5) major phases. These are technology generation, verification, adaptation, dissemination and commercialization (PCARRD) Highlights, 1997 and 1995).

1. **Technology Generation (TG).** This is the scientific and experimental stage wherein RDEX Office utilizes all its resources human/technical, financial, material, physical and other resources to generate a component technology or a package of technology. These vary according to the mandates of Research Development and Extension.
2. **Technology Verification (TV).** A technology is classified for verification if it can be incorporated in a package of technology that has potential for improving existing farmers' practices. Specifically, it should satisfy the following:
 - a. It is an integrated technology conducted in the farmer's fields;

- b. It has been tested for two seasons in TG trials;
 - c. It has shown economic and technical feasibility in TG trials. Its computed return based on TG trial is better than that of farmers' practices as shown by the marginal rate of return (MRR); and
 - d. It is perceived to be socially acceptable and environmentally safe.
- 3. **Technology Adaptation (TA).** A Technology is classified as technology for adaptation if it meets the following criteria:
 - a. It is conducted in the station of the farmers' field and is only a component of technology;
 - b. It has been tested for TG research for at least one season;
 - c. It has shown good potential for economic feasibility (sic) as based on TG research; and
 - d. It has good potential for acceptance by intended end-users.
- 4. **Technology Dissemination (TD).** This is the stage when promoters of technologies can use varied approaches and methods in bringing technologies to end-users. Technologies are ready for dissemination if these have met the following criteria (PCARRD Highlights 2001);
 - a. **General adaptability.** The technology is replicable under field conditions;
 - b. **Economic profitability.** The percent of profitability is equal to the prevailing rate of interest on loans of formal financial institutions. Profitability also considers social costs and benefits;
 - c. **Social acceptability.** The technology does not contradict social norms and values prevailing in the community; and
 - d. **Potential availability of support services.** Users have access to market, credit facilities, material inputs and others.
- 5. **Information for Dissemination (ID).** RDO generates information important to development. Information for generation which possesses the following:
 - a. Significant social and economic implications associated with technology adoption;
 - b. Contribute to a better understanding of research problems;

- c. Offer information gaps basic knowledge of agriculture, forestry and natural resources; and
 - d. Help policy-makers formulate policies in food, agriculture and natural resources.
6. **Technology Commercialization (TC).** Technologies that have successfully passed the piloting stage or have not been piloted yet, but have high potential for commercialization are considered priority technologies for commercialization. Technologies are selected based on the following:
- a. Provide the best alternative for improving income and productivity of a greater majority of people; and
 - b. Provide immediate solutions to self-sufficiency problems, environmental sustainability, import substitution, export generation and promotion of alternative sources of food.

D. Technology Assessment Protocol (TAP)

Technology assessment is an important aspect of the whole technology development process. It requires the process of anticipation and analysis of a broad-range of socio-cultural, technical, economic, environmental and political-legal impacts prior to the introduction of a given technology or even while a specific technology is being promoted. The success of the technology assessment exercise depends on the efficient gathering and synthesis of adequate information. The TAP which was developed by PCARRD in 2000, embodies recent innovation in technology assessment procedures and processes. The processes are facilitated by the use of a gap identification tool called Quick Resources Appraisal (QRA) and an intervention identification tool, the Risk Management Process (RMP). The TAP aims to increase the level of confidence of the RDEX community technologies it will promote and transfer.

A pre-requisite to the application of TAP is the organization of an interdisciplinary team composed of at least five (5) members with two basic expertise that are critically needed; a technically competent expert, commodity being assessed and an expert on financial analysis.

1. Working Principles of Technology Assessment

- a. Participatory approach;
- b. Team delivery;
- c. No role playing;
- d. Consensus decision-making;

- e. Iterative and time-bound.

2. Procedures Technology Assessment

a. Technology Identification/Pre-Screening (Technical Feasibility Test)

- Technology Classification
- Technology Characterization
- Feasibility Test

b. Technology scanning to determine if the technology has the following attributes:

- Social acceptability
- Technology feasibility
- Economic viability
- Environmentally friendly
- Politically supported

c. Technology Validation

Chapter 6

MONITORING AND EVALUATION OF RESEARCH AND DEVELOPMENT PROJECTS

On-going and completed Research and developed projects are regularly monitored and evaluated to ensure that the resources invested to such projects are used appropriately and that projects have effectively delivered the benefits it has expected. Series of evaluation activities should be included at various phases in the design and implementation and compilation of a whether it is funded from external or local sources.

Evaluation activities are usually organized before the implementation, during implementation, and after the completion of the project.

The project is assessed before the implementation process takes place to identify and define a potential project and appraise its results. This requires identification of a problem that the project will aim to alleviate, and an assessment of the environment within which the project will be implemented.

Monitoring project during implementation can make periodic checks that implementation is covering planned activities. Monitoring includes field evaluation, agency in-house reviews and integrated reviews. Major bottlenecks and potential problems that can hamper the development process are identified and solved right away before causing too much damage. It keeps the manager aware of what is being achieved and facilitates management's task of noticing unexpected problems so that implementation plans can be revised. It is possible that changes have to be made during the implementation stage or after completion, such as addition of an experiment and addition of a pilot village or survey site.

After completion of the project, a team of evaluators have to identify whether the project have been or have been not able to attain its objectives as planned or verify whether the project led to the expected impact on the people who were to benefit from it. A time frame and measurable standard of accomplishment is used. It also seeks to explain what way the activity was designed and implemented. Facilitated or hampered in reaching the desired results. It is therefore necessary, as with monitoring that the activity be clearly identifiable, with well-defined expected results against which actual results can be measured.

In some cases, the evaluation goes beyond to the activity as originally planned to see if the reasoning underlying the activity was correct and estimate the contribution of research to development.

Monitoring is generally aimed at:

1. Determining the status of projects to ensure that progress and output are in accordance with plans.
2. Assessing project resources to determine if these are being used efficiency and effectively and are available at the right time in the required amount;

3. Promoting coordination among participating agencies by disseminating information on the scope, schedules and problems of on-going projects;
4. Providing necessary feedback in project control so that prompt corrective measures can be instituted when required; and
5. Providing feedback necessary in planning and evaluation of project;

A. Monitoring and Evaluation Methods/Tools

1. **Regular Meetings.** Offices should conduct weekly or monthly meetings so that problems can be given immediate solutions.
2. **Field Evaluation.** Field evaluation consists of regular visits to experimental sites at specific dates. An evaluation team conducts these visits to discuss with the researchers the progress of project implementation. Field evaluation schedules can be synchronized with the quarterly meeting of the Regional Technical Working Group (RTWG) of the regional consortium or the Regional RD and E Network. It has the following objectives:
 - To observe the actual conduct of the experiment, particularly in terms of methodology;
 - To verify information contained in technical and financial reports;
 - To recommend alternative courses of action to improve project performance; and
 - To consult with researchers on the possibility of undertaking other priority projects.
3. **College In-House-Review.** The College in-house review is conducted annually to assess the attainment of objectives of the college completed and on-going Research and Development projects; to identify problems met during project implementation and recommend specific courses of action to these problems; to update the college Research and Development plans; to identify researchable areas, generated technologies requiring field testing, verification and piloting; and to identify mature and potential technologies ready for packaging, dissemination and/or significant information for policy formulation and development planning of the agency.
4. **Regional Integrated Review.** This is the second level review conducted annually by PCARRD through the regional consortium. Significant breakthroughs or technologies and information for dissemination identified in the agency in-house reviews are elevated in the regional integrated review.

This activity aims to:

- Identify significant Research and Development breakthrough which could be widely disseminated in the region;
- Identify technologies or significant information for policy planning; and
- Formulate regional and Development framework plans.

B. Report requirements

1. Progress/Terminal Reports

After completion of the projects, submission of terminal reports should be strictly enforced. The following guidelines may be observed:

- On the last quarter of implementation, the Office of the Director for Research should send reminders to program/project leaders to submit their terminal reports.
- Terminal reports are expected to be submitted to the Office of the Director for Research two months after project completion. This in turn should be immediately submitted to PCARRD in compliance with PCARRD.

Administrative Order 143-e Series of 1996

- The Office of the Director for Research should not entertain proposals from researchers with pending terminal reports.
- Completed R and D projects are published in the R and D Office catering to come and on-going R and D projects with significant information and the winners of the best graduate and undergraduate thesis.
- Researchers shall be encouraged to submit manuscript in publishable form.

2. Monitoring and Evaluation Report

Each of the offices under the Research should submit their accomplishment report featuring the significant Research activities/events implemented during the period in review.

Detailed narrative reports should be submitted to give emphasis on the proceedings of the activity. Two copies will be submitted, one for the director of research and the other for the direct supervisor which the proponent belongs.

Monitoring and Evaluation Reports format is given in Appendix H. This should be furnished by the proponent in quarterly basis.

Annual accomplishment reports are usually of two types depending on the coverage of the report.

- *Annual Report – Calendar year (from January to December)*
- *Annual Report – School year (June of the previous year to May of the current year)*

Chapter 7

PROMOTION, PUBLICATION, AND OWNERSHIP OF COLLEGE RESERACHES

The college faces the big challenge to strengthen its research capability and productivity. The goal is to mobilize and accelerate research output for global competitiveness. The scope of the program covers the research conceptualization, processing , promotion publication and ownership to evaluate socio-economic impact.

A. Technology Promotion

Publicity and other appropriate communication strategies are used to promote the technologies. Technology forum and other forms where specific requirement of each technology can be featured are being enhanced . Promotion activities are complemented by an aggressive information dissemination campaign through multi-media approach, training and market linkage.

B. Ownership of Property

Upon termination of the project, the research/extensionist shall turn over to the Supply Office all equipment and other non-expandable property under proper receipt. Surigao State College of Technology reserves the accretions, increments and improvement accruing from the conduct of research/extension are properties of the College.

The Director for Research shall keep an updated inventory of all non-expendable property acquired by the researcher.

C. Publication and Intellectual Rights

Significant research results are published in the annual publication, RDO Highlights. For commodities where information are generated, significant results are published as a commodity RDO Highlights. To date, the college research program has published the following publications:

- 1) RDEX Highlights '05
- 2) Research Journal (1 issue for 2004 and 1 issue for 2005)
- 3) Project Proposals

The researcher recognizes that all results of this research/ extension project and the rights of publication belong jointly to the researcher and Surigao State College of Technology and full acknowledgement shall accordingly be given to Surigao State College of Technology in case the research/extension is published or reported to scientific societies.

In case no other entity has contributed funds, facilities or services used for undertaking the research/extension, whatever intellectual rights are obtained there from by the research/extensionist shall be shared in money values with the College in the ratio of 95% to the researcher/extensionist and 5% to Surigao State College of Technology.

In case no other entity besides Surigao State College of Technology has contributed funds, facilities or services for undertaking, this research/extension shall be shared in money

values with the Surigao State College of Technology in the ratio of 95% to the researcher/extensionist and 5% to Surigao State College of Technology.

In case any other entity besides Surigao State College of Technology has contributed funds, facilities or services for undertaking this researcher/extension, the intellectual rights shall be shared in value with Surigao State College of Technology at 5% and the share of the entity shall be taken from the 95% share of the researcher also. For this purposes, the researcher/extensionist obligates himself to inform Surigao State College of Technology accordingly should there be another entity which contribute financial support to this project, giving the name and address of the entity and the nature of the contribution.

D. Ownership and Utilization of Discoveries, Inventions and Improvements.

Discoveries and inventions of the research/extension projects shall be owned by the College. Use of discoveries and inventions in the SSCT- assisted projects may be availed of upon application and approved by SSCT subject to the terms and conditions that may mutually agreed by the parties provided:

1. That the applicant is a Filipino citizen, corporation or association of which sixty (60) percentum of its capital is owned by Filipino citizens;
2. That the applicant shall be the end-user of the discovery; and
3. That the researcher/extensionist shall be entitled to benefits from his discovery or invention.

REFERENCES

Central Luzon State University, Research Manual.

Commission on Higher Education. Manual on State Universities and Colleges.

Eastern Visayas State University. Research Manual. Research, Planning and Extension Services, Tacloban City.

Misamis Oriental State College of Agriculture and Technology. Research Development, and Extension Manual. Research, Development and Extension Office.

National Budget Curriculum 461 (2006) Qualitative Contribution Evaluation for Research, Production, Extension. Annex 2. Page 4 (QCE)

Northern Mindanao Institute of Science and Technology. Research Manual.

Philippine Council for Agriculture, Forestry, and Natural Resources Research and Development (PCARRD) Highlights (20056 and 2007)

APPENDIX A
DOST Capsule Research Proposal

DOST FORM <input type="checkbox"/> NAST <input type="checkbox"/> PCMRD <input type="checkbox"/> NRCD <input type="checkbox"/> PCHRD <input type="checkbox"/> PCCARD <input type="checkbox"/> PCIERD		DEPARTMENT OF SCIENCE AND TECHNOLOGY CAPSULE RESEARCH PROPOSAL		[1] ENDORSED BY: NAME _____ DESIGNATION _____ AGENCY _____ SIGNATURE _____				
[2] RESEARCH TITLE				YR SEQ.NO. PG PJ SDY _____				
[3] RESEARCH COORDINATOR / LEADER [Name, Field of Research Specialization, Highest Degree Obtained]								
[4] TYPE <input type="checkbox"/> PROGRAM <input type="checkbox"/> PROJECT <input type="checkbox"/> STUDY		[5] CLASSIFICATION <input type="checkbox"/> BASIC <input type="checkbox"/> DEVELOPMENTAL <input type="checkbox"/> APPLIED		[6] MODE OF IMPLEMENTATION <input type="checkbox"/> SINGLE <input type="checkbox"/> MULTI AGENCY				
[7] COMMODITY CLASSIFICATION / RESEARCH AREA				RANK <input type="checkbox"/> <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div></div> <div style="width: 45%;"><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div></div> </div>				
[8] RESEARCH DISCIPLINE / SECTORAL COVERAGE <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div></div> <div style="width: 45%;"><div style="border: 1px solid black; height: 20px; width: 100%;"></div><div style="border: 1px solid black; height: 20px; width: 100%;"></div></div> </div>								
[9] PRIORITY AREAS				<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>				
[10] RESEARCH THRUST(s) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>				<div style="border: 1px solid black; height: 20px; width: 100%;"></div>				
[11] SIGNIFICANCE OF THE PROPOSAL (SPECIFIC PROBLEMS AND IDENTIFIED BENEFICIARIES) (Use a Separate Sheet)								
[12] OBJECTIVES (SPECIFIC) (Use Separate Sheet)								
[13] EXPECTED OUTPUT(s)								
[14] MAJOR ACTIVITIES (METHODOLOGIES) (Use Separate Sheet)								
[15] IMPLEMENTING SCHEDULE <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> START DATE Y Y M M D D _____ </div> <div style="width: 45%;"> COMPLETION DATE Y Y M M D D _____ </div> </div>								
[16] PROPONENT AGENCY				DURATION M O S _____				
[17] IMPLEMENTING AGENCY(IES)				<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>				
[18] RESEARCH STATIONS/ UNITS				<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>				
[19] COOPERATING AGENCY (IES)				<div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>				
[20] TOTAL RESEARCH COST								
[21] ESTIMATED ANNUAL BUDGET PER SOURCE OF FUND								
SOURCE OF FUND	YEAR1				YEAR2	YEAR3	YEAR4	TOTAL
	PS	MOE	SOURCE	TOTAL				

TOTAL								

APPENDIX B

CHED RESEARCH PROPOSAL APPLICATION GUIDE

- I. Research Title: (This is the distinctive name given to the research proposal which describe the work scope in specific, clear and concise terms.)
- II. Name of the Proponent / Institutions (the research proponent may be a faculty / researcher or an institution).

Name and Designation of the Faculty / Research
Name of Institution
Name of the Head of Institution
- III. Address: (This refers to the mailing / forwarding address where communication to both proponent / institution can be facilitated)

a. Proponent
b. Institution
- IV. Background of the Study: (This refers to the overview of the project discussing the factors that lead to the conceptualization of the problem).
- V. Review / Study of Related Literature: (This refers to the body of literature related to the study being proposed or a discussion on how the research proposal is related with the existing researches in the field).
- VI. Conceptual / Theoretical Framework of the Study (this includes a discussion of the different theories and models that provide the conceptual underpinning of the study or the legitimate bases for defining its parameters.)
- VII. Statement of the Problem (This refers to the problems both general and specific which the research proponent hopes to achieve)

a. General
b. Specific
- VIII. Assumptions: (This refers to a proposition of some occurrence or considerations that may be considered in delimiting the area of study)

- IX. Significance of the Study (This refers to the contribution of the study to a) national goals/plans; b)national policies; c)emerging realities d)regional (local goals/plans); e)community goals/plans.
- X. Definition of Terms (This refers to the conceptual and operational meanings of the variables in the study)
- XI. Scope and Limitation (This refers to the scope or inclusive frame of reference as well as procedural limits of the study)
- XII. Methodology: (This refers to the detailed technical/scientific activities which include: the research design, sampling plan, instrumentation, statistical tool and treatment of data).
- XIII. Working bibliography. (This refers to the list of sources of the surveyed literature in the study)
- XIV. Work Plan (This includes a brief description in chronological order of each activity to be undertaken in the conduct of the study. The starting data and plan completion data are indicated in year and month and it may be presented via gantt chart or others for clarity.
- XV. Budgetary Outlay(this include a detailed/itemized breakdown of the total project costs and the source/s of funds).
- XVI. Manpower Requirement. (This specifies the number of staff needed to rationalize the proposed budget in the conduct of the study.
- XVII. Expected Outputs and Derivable (This refers to the products of the investigation which would contribute and increase the stock of knowledge)
- XVIII. Credentials of Key Personnel / Staff Involved: (These documents are required to establish credibility and expertise among the staff involved in the study)

Submitted by:

Printed Name and Signature of Proponent

Date: _____

Received by:

(Printed Name and Signature of the
RD-OPPRI Staff)

Date: _____

Endorsed by:

*Printed Name and Signature of the
President or Head of University where
the proponent is connected*
Date: _____

APPENDIX C

Research Profile

IDENTIFYING INFORMATION (Please Accomplish in 5 copies)

- A. Title
- B. Proponent(s)
Contact Person
Address
- C. Cooperating Agency(ies)

BACKGROUND/RATIONALE

OBJECTIVES/THEORETICAL FRAMEWORK

- A. General
- B. Specific

METHODOLOGY

- A. Research Design
- B. Research Locale
- C. Target Respondents
- D. Data Collection Strategies
- E. Data Processing and Analysis

PLAN OF IMPLEMENTATION

MAJOR ACTIVITY(IES)

AGENCY/PERSON
INVOLVED

TIME/FRAME
(START-END)

APPENDIX D

Research Format

- I. Introduction
 - A. Background of the Study
 - B. Statement of the Problem
 - C. Hypotheses/is
 - D. Conceptual Framework
 - E. Significance of the Study
 - F. Scope and Delimitation
 - G. Definition of Terms
- II. Review of Related Literature and Studies
- III. Methods and Procedures
 - A. Research Design
 - B. Respondents of the Study
 - C. Research Instrument
 - D. Methods of Scoring
 - E. Methods of Analysis
- IV. Results and Discussion
- V. Summary, Conclusion, and Recommendation

APPENDIX E

Research Capsule Format

RESEARCH TITLE

I. Introduction

- A. Background / Rationale
- B. Significance / Economic contribution
- C. Purpose / Importance

II. Objectives

- A. General
- B. Specific

III. Theoretical Considerations

IV. Brief Methodology

- A. Phases of Projects
- B. Process / Procedures
- C. Research Design
- D. Activities Calendar
- E. Financial Requirements

VI. References

APPENDIX F

Research Abstract

Name of the College: _____

Address: _____

Title: _____

Author(s) Proponent (s): _____

Funding Source (s) : _____ Cost: _____

Date Started : _____ Date Completed: _____

Objectives of the Study:

A. General : _____

B. Specific : _____

Scope and Coverage: _____

Methodology: _____

Major Findings : _____

Conclusion : _____

Recommendations:

APPENDIX G

Research Proposal Evaluation Criteria

Evaluation Criteria	Weight
1. Contribution of Knowledge	20%
2. Soundness of research proposal / design	20%
3. Replicability, applicability and marketability of the Research outputs	20%
4. Capability of proponent to carry out research project	10%
5. Conformity with the country's thrusts for national or regional development	15%
6. Conformity with CHED's research priorities	15%
TOTAL	100%

CHED Decision:

Top Priority, Highly Recommended	-	96-100 points
Top Priority, Recommended	-	91-95 points
Priority, Highly Recommended	-	86-90 points
Priority, Recommended	-	81-85 points
Not Recommended	-	81 points and below

APPENDIX H

MONITORING AND EVALUATION FORM

To be accomplished by the Researcher in two (2) copies and validate by Director, Research.

Progress Report No. : _____
Title of the Project : _____
Source of Funds : _____
Date Project Started : _____
Period Covered by the Report: _____
Objectives of the Project / Study: _____

Brief Summary of Accomplishments / Highlights of the Study: (Work accomplished on the basis of the total work programmed for the period covered)

Problem Encountered (Administrative, Technical, and other problems encountered)	Action Taken:	Recommendation

Grantee/Researcher
(Signature over printed name)

(Please attach the necessary tables, figures, charts, photographs & other pertinent papers)

Table 2. Flow of Research Proposal Evaluation (PCARRD/DOST/AFMA Funding)

CHANNEL	PROCESS	Documentary Requirements / Timetable / Expected Action	Evaluation Parameters
Proponent	Capsule proposal preparation Detailed proposal preparation (30 days)	Capsule proposal (4 copies) Detailed proposal (3 hard copies and 1 electronic copy)	
Regional Consortia Secretariat (31 days)	Initial administrative Screening	Capsule proposal (4copies) Due: last Friday of April All proposals screened / appraised and returned to the Proponent on/before the end of May (31 days) for the Preparation of the detailed proposals	Endorsement of agency or head Adherence to prescribed format (capsule proposal) Non-duplication, regional level
Regional Technical Working Group	Initial technical screening	Proponents whose capsule proposal have passed the preliminary screening are expected to work on their detailed proposals within 30 days All detailed proposals must be submitted again to the	Load/availability of the researcher Capability of the researchers Availability of research facilities required Compatibility with agency
		Regional Consortium for 2 nd endorsement not later than the 2 nd week of June (15 days) and forwarded to PCARRD ODED-RD on/before the last Friday of June (around 15 days) together with 2 nd endorsement letter and evaluation report their respective consortia at least one copy of all proposals forwarded to PCARRD together with documents are kept by the consortium secretariat for record purposes	Commodity assignment adherence to regional research development and extension programs and priorities adherence to NARRDN membership adherence to prescribed format (detailed proposal) Legend: red-secretariat's duty; Black – RTWG's duty
PCARRD ODED-RD	Administrative evaluation	Detailed proposal (2 hard copies and 1 diskette form)	
PCARRD TRD	Technical and Financial Evaluation	Detailed proposal (1hard copy and 1 diskette form) Upon receipt of the proposals, the concerned Program Specialist (PS) classifies them and organizes the Technical Review Panel form the existing Commodity Research Development and Extension teams. PS prepares their appointments and forwards copies of the proposals to them for evaluation together with a copy of the evaluation sheet, preliminary consortia evaluation report and the guidelines for evaluating RDEX projects.	

		On the average, the evaluation does	
		<p>not take more than two (2) weeks, after which proposals is returned to the proponents for review (two weeks)</p> <p>Upon receipt of the revised proposal, the PS then reviews it for compliance to the TRP's comments.</p> <p>If requirement are met, PS rates the proposal according to the approved guidelines, consult with the TRD Director, prepares to produce copies of the final report document including all relevant attachment and drafts the 3rd endorsement letter ODED-RD for DC presentation (30 days). Otherwise, the revised proposal is returned to the proponent until all issues raised during the evaluation process have been satisfactorily answered.</p>	
PCARRD Director's Council	<p>PCARRD FUNDING Recommended for ED approval if budget is <Php 500,000.00</p> <p>Endorsement to TAC if budget is >Php 500,000.00</p> <p>DOST FUNDING Endorse to DOST EXECOM</p> <p>Endorse to GC</p>	<p>Revised proposal (required no. of copies)</p> <p>TRP/RCT evaluation</p> <p>TRD evaluation/scoring validates the rating made by the RDs</p> <p>Revised proposal (required of copies)</p> <p>TRP/RCT/TRD evaluation/scoring compliance to DC recommendations and TAC TOR</p>	<p>Scrutinizes the accuracy of the TRD Rating</p> <p>Checks whether the RDEX Proposal is really demand driven and compliments action plan of DOST/PCARRD, DA, DENR</p> <p>Evaluations whether the results of RDEX proposal benefits target beneficiaries and other stake-holders through a system of promotion and dissemination</p> <p>Ensures that duplication of RDEX efforts are avoided</p>
			Evaluates if the proposal generates national and international recognition
GC	<p>Approved for PCARRD Funding</p> <p>Endorsement to CERDAF(for AFMA funding)</p>	<p>Revised proposal (required no. of copies)</p> <p>Approval (for PCARRD funding/endorsement for CERDAF</p>	<p>TRP/RCT/TRD evaluation scoring</p> <p>Scrutinizes the proposed project based on its potential contribution to new knowledge and the achievement of the existing RDEX goals/priorities</p>

DOST EXECOM	<p>Approval by USEC for RDEX if budget is <Php 500,000</p> <p>Approval by EXECOM if budget is >Php 500,000</p>	<p>Revised proposal (required no. of copies)</p> <p>Funding approval</p>	<p>TRP/RCT/TRD evaluation scoring</p> <p>DC action/decision</p>
CERDAF	Approval	<p>Revised proposal (required no. of copies)</p> <p>Funding</p>	<p>TRP/RCT/TRD evaluation scoring</p> <p>TAC and GC Action / decision</p>

APPENDIX J CHED-NATIONAL HIGHER EDUCATION RESEARCH AGENDA

PRIORITY RESEARCH AREAS

1. Principles Guiding Priorities.

The National Higher Education Research Agenda (NHERA) integrates the concerns of the higher education sector with overall development goals and objectives of the country and the higher education international community. In framing, the NHERA (1998-2007), the Commission is guided by the following principles;

Multidisciplinary. Researches that involve the expertise of researchers in several disciplines are preferred over researches needing the expertise in a single discipline. However, the principle does not apply to the category of “breakthrough researches” such as revolutionary scientific or mathematical discoveries.

Policy-Orientation. Policy-oriented researches are preferred over researches that have a little or no policy implication across the various higher education disciplines.

Operationalization. Researches which aim to investigate and explain the relationship of different phenomenon are preferred over researches that simply documents the association among observable events, phenomena or factors.

Participation, and Board Impact. Higher education researchers should involve the participation of as many stakeholders as possible and should have impact on the greatest number of individuals or group of individuals.

2. Priority Thrusts in Research and Research Areas

The research thrusts are categorized according to (a) disciplines, and (b) other research emphases.

2.1 Across Higher Education Disciplines.

The present priorities are as follows:

Higher Education Center	Research Areas
1. Science and Mathematics	<ul style="list-style-type: none"> • Multidiscipline research aimed to advance the frontiers of science and mathematics • Leading – edge scientific research • Use of scientific principles in responding to the development needs of the country • Breakthrough or pioneering researches
2. Engineering, Maritime Studies and Architecture	<ul style="list-style-type: none"> • Multidisciplinary research on the improvement of engineering designs and concepts; • Engineering research with social or economic impact • Leading-edge technological research • Breakthrough pioneering researches

3. Humanities Social Science and Communication	<ul style="list-style-type: none"> • Multidisciplinary research on Philippine literature, arts and sociology; • Peace and Development Studies with direct application to the Philippine Situations • Policy-oriented research on HUSOCOM
4. Agriculture and Fisheries	<ul style="list-style-type: none"> • Multidisciplinary research on agriculture and Philippine Economy; • Use of scientific principles to enhance fisheries and agricultural productivity • Breakthrough or pioneering researches
5. Business and Industry	<ul style="list-style-type: none"> • Policy-oriented researches leading to improvements in Philippine business and economic sectors • Multidisciplinary research on Philippine economics, industry, and business
6. Health and Health Related-Discipline	<ul style="list-style-type: none"> • Multidisciplinary research on health and health-related discipline leading to better quality of life for Filipinos; and the delivery of basic health services to the rural areas; • Policy-oriented health researches
7. Information and Communication Technology	<ul style="list-style-type: none"> • Policy research on information technology; • Technological research for the advancement of Philippine Information Technology; • Breakthrough and pioneering researches
8. Teacher Education	<ul style="list-style-type: none"> • Policy-oriented researches focused on quality and excellence, relevance and responsiveness and equity in higher education; • Technological inputs to teacher education • Multidisciplinary teacher education
9. Industrial Technology	<ul style="list-style-type: none"> • Policy Research on Industrial Technology • Research on product development • Research on enterprise incubation

2.2.1 Program/Curricular Assessment Studies on Higher Education Clusters of Disciplines

The purpose of program/curricular assessment studies is not only to identify the significant weakness or problem of present programs/curricular but also to determine how they can be improved or designed. Such studies may deal with measures of inputs or antecedent variables, transactions, processes, outputs and outcomes or results of programs/curriculum.

2.2.2 Research on Integrative Theories, Models or Philosophy

Research on the development and validation of unifying theories or models to explain natural or manmade phenomena is envisaged in the belief that such studies lead to a better understanding of the global environment. For instance, current work on “Chaos Theory” leads to a better understanding of unifying explanation of dynamical systems e.g. population dynamic, fluid turbulence, and others.

2.2.3.1 Studies on Financing Higher Education

These studies are intended to determine how investments in education enhance the quality and productivity of high-level human resources. It may include studies on the following topics:

- a. Source and uses/allocation of fund/resources in HEIs (public and private)
- b. Internal efficiency and effectiveness of an educational program
- c. Linkages of the education sector with the social and economic sector in terms of external efficiency indicators such as employment, labor, market adjustments and development.

2.2.3.2 Economic of Higher Education

One of the central questions in the economics of education is the relationship among education, income and productivity. Such intended to show evidence of the relationship of education to work skills, (cognitive and effective) other than incomes, as well as the competitiveness of the educated labor in the market are encouraged. Such serve as valuable inputs to educational policies of higher education.

2.2.3.3 Studies on the Governance and Management of Higher Education

Studies on tertiary education oftentimes are narrowly limited to instruction, neglecting other areas such as governance and management. However, these non-teaching, functions of higher education also affect the pursuit of quality teaching.

2.2.3.4 Studies on Accreditation of HEIs

One way to attain education or academic excellence in higher education is through accreditation. Accreditation of an institution signifies that it has surpasses the minimum standards of instructional capability. The Commission on Higher Education recognizes the value of accreditation in improving the quality of tertiary education. However, despite its importance, there is a dearth of studies on accreditation. The Commission therefore encourage such studies.

2.2.3.5 Rationalizing Higher Education

The performance of HEIs needs to be documented, Results of investigation on performance are needed for policy-formulation purposes and can lead to rationalization of HEIs program offerings and allocation of resources.

2.2.3.6 Model Building Studies

The purpose of model-building is to understand a complex phenomenon by reducing the number of variables influencing this event or phenomena into a few number of parameters as possible. Models provide a good way of building future scenarios and determining the effect of certain factors in advance.

2.2.3.7 Institution-Building Studies

Given the urgent demand for high-level human resource force to meet the development thrusts of the Philippines, there is a need to enhance the institutional capability of higher education institutions. The main objectives of institution-building studies is to justify the need of institutions to enhance capability and to provide high quality and relevant education.

2.2.3.8 Manpower Supply and Demand Studies

These studies provide the basis for assessing labor-market behavior and also serve as guide for new graduates who are to enter the labor market and for entering college students. They will also enable CHED to determine policies aimed to balance the production of needed manpower with the requirements of business and industry. Graduate tracer studies also fall under this general category.

2.2.3.9 Integrative Studies in Linguistics, Sociology, Anthropology, the Social Science and Humanities

These studies aim to integrate the fragmented bits of information relating Philippine linguistics, Filipino sociology and others. The purpose is to provide a more holistic view of Philippine society. Such studies can provide important information to policy makers.

2.2.3.10 Other research topics considered by the Commission in response to emergent of the country (e.g. socially oriented and community-based studies).

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