



Ateneo de Davao University

Research Manual

Members of the Drafting Committee
Research Manual of the Ateneo de Davao University

University Research Council (URC) with assistance of the
University Publication Office (UPO) and
ARISEn Laboratory

TABLE OF CONTENTS

List of Acronyms	vi
Foreword	ix
Chapter 1. Research at the Ateneo de Davao University:	
Overview and Guiding Principles	1
1.1 The Place of Research within the University Vision and Mission.....	1
1.2 Guiding Principle – AFIRE	1
1.3 Conduct of Research	2
Chapter 2. The University Research Management	3
2.1 Background.....	3
2.2 The University Research Council	4
2.2.1 Mandate	4
2.2.2 Function.....	5
2.2.3 Objectives.....	5
2.2.4 Scope of Operation	6
2.2.4.1 Research	6
2.2.4.2 Recognition of Research, Publication, and Utilization	10
2.2.4.3 Implementation of Enabling Mechanisms	10
2.2.4.4 Fund Sourcing	11
2.3 URC Internal Administration	11
2.3.1 Recruitment of Members and Term of Office	12
2.3.2 Organizational Structure	12
2.3.3 Qualifications	12
2.3.4 Responsibilities	12
2.3.5 URC Special/Ad Hoc Committee	14
2.3.6 URC/Research Cluster Information Management System.....	15
2.3.7 Fund Sourcing.....	16
2.4 The Research Cluster: URC and Research-Related Offices, Centers and Institutes, Publication Office, ITSO.....	16
2.4.1 Research Centers and Institutes	16

2.4.2 Research Offices	20
2.4.2.1 Publication Offices	20
2.4.2.2 Innovation and Technology Support Office	21
Chapter 3. Operating Guidelines for Research	21
3.1 Types of Research	22
3.1.1 Institutional Research	22
3.1.2 Non-Institutional/Personal Research	22
3.2 Schedule for University-Funded Research Proposal Call, Review, and Processing	23
3.3 Research Management.....	23
3.3.1 Securing University-Funded Research Grant.....	23
3.3.1.1 Call for Research Proposals.....	23
3.3.1.2 Qualified Research Proponents	24
3.3.1.3 Mode of Submission	24
3.3.1.4 Research Proposal Review and Processing	27
3.3.1.5 Awarding of University-Funded Research Grant	31
3.3.1.6 Project Implementation and Completion	35
3.3.2 Securing External Research Grant	37
3.3.2.1 Securing University Participation in an Externally-funded Research Project.....	39
3.3.2.2 Awarding of University Participation in the Research Project	41
3.3.2.3 Project Implementation and Completion	43
3.3.3 Securing Multi-party Funded Research.....	45
3.3.4 Process in Dealing with Ethical Considerations	46
3.3.5 Monitoring of Approved Institutional Research Projects	47
3.3.6 General Norms	48
3.3.7 Safety and Security Measures	49
3.3.7.1 Guidelines on the Safe and Secure Conduct of Research.....	49
3.3.7.2 Provision on Anti-Sexual Harassment	55
3.3.7.3 Provision of Support Services in the Conduct of Research.....	57
3.3.7.4 Penalty for Violation of Safety and Security Measures	57

3.4 Research Fund Management	59
3.4.1 Withdrawal and Liquidation of Research Funds	59
3.5 Research Utilization	61
3.5.1 Utilization through Research Dissemination	61
3.5.1.1 Research Presentation	61
3.5.1.2 Research Publication	62
3.5.1.3 Online Research Dissemination via the URC/Research Cluster Information Management System.....	63
3.5.2 Utilization through Commercialization	63
3.5.2.1 Copyright	63
3.5.2.2 Trademark and Service Marks.....	64
3.5.2.3 Patenting	65
3.5.2.4 Industrial Design	66
3.5.2.5 Utility Model	67
3.5.2.6 Layout-Designs (Topographies) of Integrated Circuits	68
3.5.3 Utilization through Artistic Expressions	69
3.5.4 Utilization through Policy Advocacy Aid, Community Engagement, and/or Instruction	69
3.5.5 Utilization through Research	69
3.6 Administrative Support and Institutional Incentives	70
3.6.1 Basic Principles	70
3.6.2 Enabling Institutional Support Mechanisms.....	70
3.6.2.1 Institutional Research Workload Arrangement	70
3.6.2.2 Support for Research Presentations in Conference (Travel Grant)	74
3.6.2.3 Support for Capacity-Building Activities	78
3.7 Recognition/Celebration of Research	80
3.7.1 Modes of Recognition	80
3.7.1.1 Personal Level	80
3.7.1.2 Public Level	84

3.8 External Requests for University Participation in a Research	91
3.8.1 Request for Research Partnership with ADDU	91
3.8.2 Request to Conduct Study in ADDU	92
3.9 Management Fee	94
3.10 Effectivity Clause	95
Appendices	96
Appendix A Research Agenda Themes (2020-2025)	96
Appendix B Guidelines for Provision of Support to Attendance in Conferences	99
Appendix C Amendment to Existing Travel Grant Conditions.....	104
Appendix D University Intellectual Property Policy and Guidelines.....	105
Appendix E Guidelines for Journal Publication Monetary Incentives	117
Appendix F Research Cluster Organizational Chart.....	120
Appendix G Capsule Proposal Assessment Form	121
Appendix H Full-blown Proposal Assessment Form	124
Appendix I Request for Project Extension Form.....	127
Appendix J Certificate of Completion Template	128
Appendix K Certificate of Availability Template	129
Appendix L Risk Assessment and Security Plan Forms	130
Appendix M External Research Grant Form	137
Appendix N Professional Service Contract Template	138

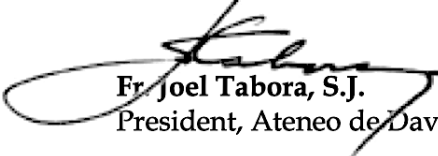
LIST OF ACRONYMS

ADDU	Ateneo de Davao University
ADDVentures	Ateneo de Davao Ventures
AFIRE	Transformative Administration and Services, Integral Formation, Excellent Instruction, Robust Research and Publication
AIA	Ateneo Institute of Anthropology
AMC	Ateneo Migration Center
AQI	Al Qalam Institute for Islamic Identities and Dialogue in Southeast Asia
BEC	Basic Ecclesial Communities
BV-Survey	Blue-Vote Survey
CAC	College Academic Council
CBA	Collective Bargaining Agreement
CBRE	Center for Business Research and Extension
CLG	Center for Local Governance
COPERS	Center of Psychological Extension and Research Services
CPIA	Center for Politics and International Affairs
CREATE	Center for Renewable Energy and Appropriate Technologies
CSO	Civil Society Organizations
CWSS	City-wide Social Survey
DCB	Debit – Credit Balance
HRMDO	Human Resource Management and Development Office

iCOMMP	Institutional Communications and Promotions
IP	Intellectual Property
IPOPHL	Intellectual Property Office of the Philippines
ITSO	Innovation Technology and Support Office
MoA	Memorandum of Agreement
MLJ	Mindanao Law Journal
PAASCU	Philippine Accrediting Association of Schools, Universities
OR	Official Receipt
PO	People's Organization
PRISM	Program for Research Information and Status Monitoring
PSC	Professional Service Contract
RPO	Research and Publication Office
SAS	School of Arts and Sciences
SBG	School of Business and Governance
SRL	Science Research Laboratory
SRO	Social Research Office
TropICS	Tropical Institute for Climate Studies
UAC	University Academic Council
UPO	University Publication Office
URC	University Research Cluster
URF	University Research Fund
URPC	University Research and Publication Committee

FOREWORD

At the beginning of my administration, the Ateneo de Davao University (ADDU) declared in academic freedom that it is not just “a teaching university,” as some had earlier asserted, but an integral university committed to excellent instruction, robust research, and vibrant community service. This was the warrant for the institution of the University Research Council (URC) in 2011. Under the leadership of Dr. Lourdesita Sobrevega Chan, the ADDU URC has shepherded the upsurge in serious university research inspired by the University’s Vision and Mission. It is in this context that this Research Manual is approved and promulgated for use in ADDU as a guide for all who pursue institutionally supported research, whether the researcher belongs to higher education or basic education. As described by *Ex Corde Ecclesiae*, the Church’s Apostolic Constitution on Catholic Universities, it is the privilege of ADDU as Catholic to preside over the tension of, on the one hand, knowing the font of truth, yet, on the other hand, having necessarily through research, to search for truth in academic freedom. May this document guide our researchers to ongoing discovery of truth relevant to their lives, the life of ADDU, and the lives of those the Ateneo de Davao University serves, especially in Mindanao.


Fr. Joel Tabora, S.J.
President, Ateneo de Davao University

CHAPTER 1

Research at the Ateneo de Davao University: Overview and Guiding Principles

1.1 The Place of Research within the University Vision and Mission

The Ateneo de Davao University declares in its Vision Statement that:

“As a university, it is a community engaged in excellent instruction and formation, robust research, and vibrant community service” (ADDU Vision).

In the Mission statement, research is deeply rooted in the university’s goals and outcomes, as articulated in the One Ateneo One Plan (University Strategic Plan 2020-2025).

“It strengthens its science and technology instruction, research, and technopreneurship in Mindanao” (ADDU Mission).

One of the guiding principles of the university includes robust research and publication whereby it states:

“We pursue disciplinal, interdisciplinal, and multidisciplinal search for truth and its publication that promotes the vision and mission of the University, especially in working for social justice in Mindanao. We commit ourselves to excellent and relevant research, distinguishing ourselves in the use and transmission of local knowledge” (ADDU Administrative Manual, 2018:10).

1.2 Guiding Principle - AFIRE

As a community of scholars, the University is guided by these five principles – (A) Transformative Administration and Services, (F) Integral Formation, (I) Excellent Instruction, and (RE) Robust Research and Publication.

It is the core members of this University—its faculty—who must accept the responsibility for the achievement of the University’s goal. This is further articulated in the ADDU Faculty Manual and in the College Faculty Union Collective Bargaining Agreement (CBA) as follows:

“Where possible, all faculty members are expected to engage to some extent in research and develop personal scholarship. Each faculty member

shares the general College responsibility for discovering and exploring new knowledge” (ADDU Faculty Manual, 2005:101).

“The parties genuinely share in the commitment of the University to the achievement of optimal human and humane conditions for instruction, research, community engagement, formation, and administration” (Article 1 Section 3 ADDU College Unit CBA, 2019:2).

1.3 Conduct of Research

The conduct of research shall facilitate innovative, interdisciplinary, participatory, collaborative, culture, and gender-sensitive research undertaking among different researchers and stakeholders in the University and the larger community.

It shall proceed from the understanding of the University’s Vision Mission and research goals of promoting ‘reconciliation by the Father of Humanity with Himself, of Human beings with one another and of humanity with the environment.’ All these vis-à-vis strengthening a culture of truth-seeking scholars who are driven by ethical principles in all Disciplines.

CHAPTER 2

The University Research Management

1.1 Background

The dynamism for research began to take shape in some divisions of the University in the late 1960s. Eventually, the Natural Science and the Social Science Divisions were able to put up the Science Research Laboratory in 1970 and the Social Research Office in 1972, respectively. To reinforce research initiatives, the College Academic Council (renamed in 2005 as the University Academic Council [UAC]) instituted the University Research and Publication Committee (URPC) as part of its standing committees. The URPC was then tasked to draft the policy guidelines and to consolidate plans for research activities, including training (ADDU University Research Manual, 2006: 4).

With research offices already in place in two divisions, some sectors in the University started to signify the need for an umbrella office for research. Part of the vision for the umbrella office was to steer other divisions to undertake research and to coordinate research efforts in the University. The dream plan lingered and kept those who were doing research in hope that the plan, in its long gestation, would become an actuality (ADDU University Research Manual, 2006: 4).

Moreover, as the research offices grew in number – the Center for Local Governance (CLG) in 1992 and the Center for Business Research and Extension (CBRE) in 1999—the need for an umbrella office became more pronounced. Another contributing factor was the realization that the University should really generate more research, echoing the 1996 and 2002 recommendations from PAASCU, such as the “institution of a formalized research development program to encourage scholarly work among the faculty,” among others (ADDU University Research Manual, 2006: 4).

Among the identified needs for research was in the area of institutional research. The University signified its willingness to put up funds for such purposes. Guidelines were thus needed for the allocation of the funds and the process for selection and approval of research projects (ADDU University Research Manual, 2006: 5).

The RPO of the Ateneo de Davao University began operations in June 2001. Since its inception, the RPO facilitated a series of research training and research projects, both institutional and commissioned. It had also undertaken the publication of textbooks, monographs, and journals, as well as hosted lectures on contemporary and classical issues (ADDU University Research Manual, 2006: 5).

Thus, the URPC served as an Advisory Group to help the University formulate its research and publication agenda, policies and guidelines while the RPO was tasked to implement policies formulated by the CAC upon recommendation of the URPC (ADDU University Research Manual, 2006: 7).

The drafting of the Research Guidelines in the mid-1990s helped in the realization of the dream. The review and further revision of the guidelines for the final ratification by the College Academic Council helped pave the way for the institutionalization of the Research and Publication Office (RPO). The RPO served as the coordinating body of all research units and offices under the School of Arts and Sciences (SAS), School of Business and Governance (SBG), the School of Nursing and all other Units with research and publication components (ADDU University Research Manual, 2006: 5-6).

Upon the assumption of Fr. Joel E. Tabora, SJ, as University President in 2011, he rallied all to move research from the heart of the University, that is to propel a direction towards robust research and dynamic publication as expected of a University and in pursuit of the University's Vision and Mission. He instituted three critical mechanisms to set the call for redirection into motion: an institutional research fund, the establishment of mission-centered research offices, and the creation of a University Research Council to steer and manage research. The latter, in particular, "takes responsibility for what the University submits as a research report and publishes" (University President Memo, 2011-11, with the quoted words underscored by the University President to the URC Chair, July 12, 2011). Consequently, while remaining faithful to the earlier mandates that held faculty members of Higher Education Units having prime responsibility to do research, (ADDU University Research Manual, 2006: 3) the new direction challenged all from across the Basic Education to the Professional Schools to share in this solemn task of knowledge generation.

Subsequently, the University established additional research offices in addition to existing ones with mission agenda-driven thrusts. The offices are Al Qalam Institute for Islamic Identities and Dialogue in Southeast Asia (AQI), Ateneo Institute of Anthropology (AIA), Ateneo Migration Center (AMC), Center for Politics and International Affairs (CPIA), Center for Renewable Energy and Appropriate Technologies (CREATE), Tropical Institute for Climate Studies (TropICS), Innovation Technology and Support Office (ITSO), and the Ateneo de Davao Research in Information Systems and Software and Engineering Laboratory (ARISEn Lab).

2.2 The University Research Council

2.2.1 Mandate

The University Research Council (URC) is one of the co-equal Councils of the University. It is mandated “to promote, encourage, and celebrate research and publication” (ADDU Administrative Manual, 2018:63) across all units in the University.

It also serves as the recommending body for all research and publication-related endeavors by the members of the University.

Working directly under the President, the URC is guided by the collective wisdom of appointed members of the University coming from, but not necessarily a representative of, the Units the members come from.

2.2.2 Function

The University Research Council shall also have, but not limited to, the following specific functions:

- a. Recommends policies to the University President pertinent to research and publication;
- b. Formulates and recommends to the University President research thrusts, priorities, and agenda pertinent to research, publication, and innovation as well as standards of the University in the conduct of the same;
- c. Comes up with plans, sets up enabling procedures, and devises structures in carrying out its mandate;
- d. Manages the research budget of the University that is principally aimed for incubation of research at the University and accomplishment of research demanded by the University’s Vision and Mission;
- e. Runs and implements the overall evaluation process of research proposals submitted by University personnel and members of the Davao Jesuit Community, and submits the results of its review and evaluation as support for recommendations to the University President;
- f. Reviews all research and publication-related contracts, and submits the results of its review and evaluation as recommendations for the approval of the University President;

- g. Evaluates the quality of research submitted for purposes of merit, rank, and promotion;
- h. Ensures close communication, relationship, and cooperation among research, publication, and innovation centers, institutes, and offices; and
- i. Exercises oversight function over offices, centers, and institutes within the University that are primarily oriented towards research, publication, and innovation.

2.2.3 Objectives

The main objectives of the University Research Council are the following:

- a. To foster a research culture anchored on the University's mission, vision, and goals;
- b. To encourage the University community to engage in research initiatives that push forward the research agenda of the University, as articulated in the University Strategic Plan;
- c. To create a scholarly environment by setting up mechanisms for research and innovation that would lead to publication and/or commercialization endeavors; and
- d. To ensure that all institutional research abides by the ethical guidelines set by the University and by the standards of their respective disciplines.

2.2.4 Scope of Operation

Pursuant to its mandate as the coordinating body of all research, publication, and innovation units and offices, the URC shall serve the following functions:

2.2.4.1 Research

a. Fostering of a Research Culture

The URC shall endeavor to actively undertake activities that promote a vibrant research culture in the University. Such activities may include the administration of research grants, conduct of capacity-building initiatives, research dissemination and publication launch, and support for relevant networking and partnership.

b. Formulation of a Research Agenda

The URC shall initiate the formulation of the University's research agenda and identify research topics, taking into account the University's Vision and Mission and strategic plan that highlights pressing research thrusts and priorities subject to the approval of the University President. The formulation of the research agenda shall be done periodically, in active collaboration with the School of Arts and Sciences, the School of Engineering and Architecture, the School of Education, the School of Business and Governance, the School of Nursing, the Grade School Unit, the Junior High School Unit, the Senior High School Unit, and the research centers and institutes under the purview of the URC.

Within the period covered by the One Ateneo, One Plan (2020-2025), all research thrusts are anchored on the University's mission. Specific research directions are updated and published in the Call for Research Proposals. (Please refer to Appendix A for the List of Research Agenda Themes for 2020-2025)

1. Good Governance and Development of Sui Generis Leadership
2. Strengthening of the Faith
3. Promotion of Social Justice, Intercultural, Inter-religious, and Inter-ideological Dialogue
4. Creation of Wealth and Equitable Distribution
5. Strengthening of Science and Technology
6. Promotion of Local Knowledge, Knowledge of Asian Neighbors, and of Humane Culture of Learning
7. Promotion of Culture of Safety of Children and other Vulnerable Adults
8. Health and Environment

c. Proposal and Implementation of University Research Policies

The URC shall propose policies relative to the conduct of research, publication, and innovation as well as implement duly approved and relevant University policies.

d. Review and Recommendation for Approval of Research Projects

The URC shall issue the Call for Research Proposals and facilitate the review and approval of research proposals in accordance with the procedure set under Section 3.3.1.4 Research Proposal Review and Processing and Section 3.3.1.5 Awarding of University-Funded Research Grant.

1. Monitoring of Approved Institutional Research

The URC shall also monitor and oversee the progress and implementation of the research following the guidelines prescribed under 3.3.5 Monitoring of Approved Institutional Research Projects.

2. Research Budget Allocation

In coordination with the different research, publication and innovation offices, centers and institutes of the University, the URC shall prepare an annual budget for the University's research agenda that will be submitted to the University President for approval. The research budget allocation is based on the institutional research thrusts and priorities of the University. The approved budget is called the University Research Fund (URF) and will be administered by the URC.

Likewise, the URC shall also prepare a consolidated budget for the University's subsidy for research units. This subsidy covers office maintenance, supplies, and staff. The administration of the university's subsidy for each research center shall be the responsibility of the director or program in-charge of the research unit.

3. Research Utilization

In consonance with the goal of conducting research that creates new knowledge and positive impact, the following research utilization pathways are enumerated below to provide the researcher an idea on utilization strategies.

a) Research Dissemination

Dissemination is the communication of research output to the public, online or in-person, orally delivered such as conferences, seminars, public fora, etc., or published such as journals, articles, reports, etc. Research, as a tool for creating new knowledge, requires that the knowledge be shared to an appropriate audience as a metric for relevance.

a.1) Research Dissemination through Presentation

The URC shall encourage the sharing of data and information derived from research undertakings by conducting a seminar on the completed research for the purpose of disseminating the study results to the University and to the community as a whole.

The researchers and their units may initiate the research dissemination. Reversely, the URC may initiate the research dissemination. In either case, the researchers must disseminate their research results in a university-convened venue wherein the URC extends its support.

The URC likewise supports University researchers to present their studies in other local, national, and international conferences. Please refer to Appendix B for the Guidelines for Provision of Support to Presentations and Conferences and Appendix C for the Amendment to Existing Travel Grant Conditions.

a.2) Research Dissemination through Publication

The URC shall encourage researchers to submit for article publication in ADDU journals and other national or international journals of acceptable standard, and, if applicable, for book publication.

a.3) Online Research Dissemination via the URC/ Research Cluster Information System

The URC maintains a web-based Research Cluster Information System that provides information to the University and to the community about ongoing and finished research. The URC, with the approval of concerned researchers, shares unpublished study results upon request via its online information system.

b) Commercialization

The URC and the University shall protect research as intellectual property, and provide due recognition to contributions made by parties involved. The URC endorses potential institutional research to the Innovation and Technology Support Office (ITSO) for the facilitation of IP protection, to ADDVentures for commercialization, to the University Publication Office (UPO) for the copyright protection of book publications, and *Tambara* for the journal publications.

The University Intellectual Property Policy and Guidelines contains the details of Intellectual Property concerns such as copyrights, trademarks and service marks, patents, industrial designs, utility models, layout designs of integrated circuits, and other intellectual creations. Please refer to Appendix D University Intellectual Property Policy and Guidelines.

c) Utilization through Artistic Expressions

The URC shall encourage and support the mounting of artistic expressions as a form of utilization of the research outputs. These may be in the form of exhibits or performances (play, dance, musicals, etc.). Viewing artistic expressions as forms of social articulation benefit from methodically derived information and knowledge.

d) Policy Advocacy and other forms of Community Engagement

The University's commitment to promoting the common good, anchored on social justice, informs the use of research results for policy advocacy and community engagement. It can provide needed evidence or facts that stakeholders can use to improve systems, processes, programs, and service delivery, to develop appropriate technologies and overall decision-making insightful to policy formulation, and to identify priority action areas. The regular run of the City-wide Social Survey (CWSS) and the Blue Vote Survey (BV Survey) serves such purposes.

The findings and analyses of research also help unravel facets of realities which, to an incisive eye, are consequences of socio-political and economic systems and structures that compromise the common good. The research result of the referred nature may aid development stakeholders (e.g. Civil Society Organizations, Basic Ecclesial Communities, Church, Peoples Organizations, Government & others) in interrogating undesirable arrangements and proposing more appropriate and viable alternatives.

e) Research

Another form of research utilization is when researchers/scholars use study results as a foundation to further inquiries about the various dimensions of the subject for a more solid, if not a holistic, understanding. Similarly, systems, processes, prototypes, formulations, and other similar research derivatives benefit from being studied repeatedly.

2.2.4.2 Recognition of Research, Publication, and Utilization

The URC shall give due recognition to faculty members and University personnel who have engaged in research undertakings and publication of their research in reputable journals. In addition, research utilization through commercialization,

policy-related research, artistic expressions, patent, Intellectual Property (IP) -protections, start-ups resulting from URC-funded research, book publications, and research citations are duly recognized in a Public Recognition Ceremony held once every three years.

2.2.4.3 Implementation of Enabling Mechanisms

a. Institutional Research Workload Arrangement

The URC provides institutional support mechanisms to faculty members who will conduct institutional research without compromising their academic instruction obligations. Such institutional research workload arrangement goes through an application process, subject for approval of the URC and the Academic Heads. Details of such provision are indicated in Section 3.6.2.1.

b. Travel Grants for Research Presentations in Conferences

The URC may award travel grants to regular faculty members for presentation of their research in local, national, or international conferences. The norms for this privilege are covered by the provisions set in Section 3.6.2.2.

c. Capacity Building

The URC shall conduct capability training on research, publication, and innovation in coordination with offices, centers, and institutes within its ambit. The activity may be URC/Center-Initiated, or conceived in response to a request of a Unit/cluster.

d. Research Honorarium

The URC shall include the awarding of a research honorarium to faculty-researchers of approved institutional research.

e. Monetary Incentive for Journal Publication

The URC may award monetary incentives to university personnel whose research article has been published in *Tambara* or in any indexed, peer-reviewed, and reputable journal. Please refer to Appendix E Guidelines for Journal Publication Monetary Incentives.

2.2.4.4 Fund Sourcing

The University allocates from its budget funds for research for the URC to administer. Nevertheless, it likewise encourages the Research Cluster and the individual faculty members to network or forge partnerships with external institutions/ organizations to broaden sources of support for the study's research agenda.

2.3 URC Internal Administration

2.3.1 Recruitment of Members and Term of Office

The University President presides over the selection of the seven members of the University Research Council. The selection process commences with the Call for Nomination from the University community and the issuance of the list of personnel qualified for the position. The President's Council proposes the list of possible members from the nomination result to the President. The President acts on the proposal and issues a University Memo once approved.

The Council is headed by a Chair who is elected by the Council members from among themselves and is officially appointed by the University President. The Chair is assisted by an Executive Secretary who is likewise chosen in the same manner as the Chair. In the performance of its policy-making function, the Council is composed of seven (7) members of the University community coming from the basic education units and the higher education units. While the Council members belong to different units, they are not representatives of their respective units.

The members shall serve a term of three (3) years, subject to renewal upon the approval of the University President. The same applies to the Chair and the Executive Secretary. The term of office of members may be extended by reappointment by the University President. A member may resign from the Council prior to the expiration of the term subject to the approval of the University President. Any vacancy shall be dealt with by the President.

2.3.2 Organizational Structure

Please see Appendix F Research Cluster Organizational Chart.

2.3.3 Qualifications

The Council is headed by a Chair who is elected by the members from among themselves. The Chair is assisted by an Executive Secretary who is likewise chosen in the same manner as the Chair.

- a. The URC Chair must:
 1. Be a regular member of the faculty;
 2. Be a holder of a doctorate degree or an equivalent degree; and
 3. Have undergone research and/or have published a book or an article in an academic journal.

- b. The Executive Secretary must:
 1. Be an appointed member of the University Research Council;
 2. Be a regular member of the faculty;
 3. Be a holder of a master's or a doctorate degree, or an equivalent degree; and
 4. Have conducted a research project.

- c. The Council Members must:
 1. Be a regular member of the faculty;
 2. Be a holder of a master's or a doctorate degree, or an equivalent degree; and
 3. Have conducted a research project.

- d. The Administrative Assistants must:
 1. Be a holder of an undergraduate degree;
 2. Have ample experience in office and project management;
 3. Have proficiency in oral and written communication skills; and
 4. Be technologically knowledgeable.

2.3.4 Responsibilities

The Chair of the URC is the overall coordinator of the university's research and publication initiatives. The URC Chair reports directly to the University President.

- a. The URC Chair, in consultation with the members of the Council, shall perform the following:
 1. Issues a call for research proposals annually or semi-annually whose themes are aligned with the University research agenda;
 2. Recommends to the University President for approval URC decisions pertinent to the Council's function;

3. Presides over the URC and Research Cluster meetings;
4. Assigns editors/ reviewers to proponents who are preparing to submit their written reports;
5. Implements approved university policies pertinent to research, publication, and innovation;
6. Notifies and refers to the Innovation and Technology Support Office (ITSO) possible research projects that have potential for innovation;
7. Signs requests for withdrawal and liquidation of research funds appropriated to the URC;
8. Counter-signs requests for withdrawal and liquidation of research funds appropriated to offices within the Research Cluster and recipients of research grants;
9. Refers to the University Lawyer research contracts and other pertinent documents;
10. Convenes the Ad-Hoc Research Ethics committee;
11. Communicates to external offices, entities, and individuals on behalf of the URC;
12. Represents the URC to the President's Council and other bodies as may be required by the University President; and
13. Performs other functions as required by the University President;

The Executive Secretary of the URC assists the Chair in the implementation of URC decisions, programs and activities, and reports directly to the URC Chair.

- b. The URC Executive Secretary shall perform the following:
 1. Prepares contracts and monitors the progress of the approved institutional research projects and endeavors until completion;
 2. Prepares and signs the Certificate of Completion of researchers with completed deliverables, countersigned by the URC Chair;
 3. Prepares the minutes of the meeting of the Council with the assistance of the assigned staff;
 4. Spearheads the preparation of URC-led University level activities; and
 5. Performs other URC - relevant functions assigned by the Chair.

- c. The URC members perform the following specific functions:
1. Conduct technical reviews of the submitted research proposals and recommend to the University President through the Chair research projects for grants;
 2. Attend URC meetings as convened by the Chair;
 3. Participate in URC -initiated activities;
 4. Undertake institutional and commissioned research when needed;
 5. Review research-related external requests and agreement contracts;
 6. Review requests for granting of publication monetary incentive;
 7. Formulate and/or revise existing university research policies in alignment with the University's strategic plan;
 8. Conduct public research disseminations for the utilization of completed research projects;
 9. Review and recommend requests for travel grants for research presentations in local, national, and international conferences;
 10. Manage the research databank of the university;
 11. Prepare the budget of the URC, consolidated with those of the other members of the Research Cluster;
 12. Prepare reports as required by various offices of the University; and
 13. Perform other functions as requested by the Chair.

2.3.5 URC Special/Ad Hoc Committee

The URC has special committees that are formed to facilitate the review of submitted research proposals from University personnel, offices, or centers, and to conduct URC-initiated research.

a. Ad-hoc Research Ethics Committee

An ad-hoc research ethics committee is formed when, in the initial review of research proposals, the Council finds that the research project is of a sensitive nature and necessitates the participation of vulnerable sectors. Faculty members who have undergone training on Ethics in Research and whose expertise is relevant to the paper being reviewed, may be requested to join the Ad-hoc Research Ethics Committee.

b. Pool of Editors

The URC identifies a pool of editors from among regular faculty members who can take on the grammar-checking and editing of the research paper draft prior to its submission.

c. City-Wide Social Survey (CWSS) and Blue Vote Core Team

The University Research Council oversees two major University survey initiatives, the CWSS and the Blue Vote. The University funds both undertakings through the URC budget.

The City-wide Social Survey is a bi-annual survey that inquires on the Socio-Demographic Profile, Household Facilities, Transportation, Health, Disaster Preparedness, Environment, Labor Force Profile and Status, Financial Situation, Self-Rated Poverty, Economic Trend Indicators, Nationalism, Peace and Order, Martial Law, Governance, Social Issues, and Happiness within Davao City.

The CWSS Core Team, headed by the Social, Research, Training, and Development Office and its Director, is in charge of administering the survey.

On the other hand, the Blue Vote Survey complements the Blue Vote Program of the University Community Engagement and Advocacy Council (UCEAC). It is composed of the In-Campus Blue Vote Survey and the Off-Campus/City-wide Blue Vote Survey, generally aimed to determine voting behavior, leadership preferences, and perceptions on policy-related, socio-political, and economic issues of importance to the local and national government.

The In-Campus Survey has two (2) tracks: the first one is for Basic Education students (Grade 4 to Senior High School) and the second one is for students of the Higher Education Units and the Professional Schools, Administration, and Jesuit Community, Teaching and Non-Teaching Personnel.

The URC, aided by a pool of consultants, administers the Blue Vote survey.

2.3.6 URC/ Research Cluster Information Management System

The following are the links to the URC/Research Cluster Information Management System:

<https://research.addu.edu.ph> This is the University's public website where research engagement of the personnel (teaching and/or non-teaching) can be searched and viewed. This includes the results of the CWSS and Blue

Vote Surveys. This website serves as a valuable resource for researchers, stakeholders, and the wider community.

<https://urc.addu.edu.ph> This is the research management website that only authorized personnel can access. It is a valuable tool for managing research activities within the University.

2.3.7 Fund Sourcing

The University allocates from its budget funds for research for URC to administer. Nevertheless, the University encourages the Research Cluster and the individual faculty members to network or forge partnerships with external institutions/organizations to broaden sources of support for a study's research agenda.

2.4 The Research Cluster: URC and Research-Related Offices, Centers and Institutes, Publication Office, ITSO

The URC is the coordinating body of all research, publication, and innovation offices across all units within the University. It is directly under the Office of the President. All offices engaged in research, publication, and innovation are within the ambit of the URC in terms of actual operation, except for two offices. One is the Ateneo Institute of Anthropology (AIA), under the Dean of the School of Arts and Sciences. Second is the Al Qalam Institute for Islamic Identities and Dialogue in Southeast Asia, under the Office of the University President.

2.4.1 Research Centers and Institutes

a. Al Qalam Institute for Islamic Identities and Dialogue in Southeast Asia (Al Qalam)

The Al Qalam Institute for Islamic Identities and Dialogue in Southeast Asia is a resource center of the Ateneo de Davao University. It provides materials to enhance the curriculum of values education among Muslim students in the University. The institute is also a research center. It comes up with research agenda regarding Islamic identities in Mindanao in line with intra and interfaith dialogue for nation/nations building. It also aims to support the University in conducting community outreach programs to build relationships towards Muslim communities in Southern Mindanao.

The Institute conducts innovative local and international research, focusing on social and cultural issues affecting Muslim communities in Mindanao. It differentiates itself from other research institutes through its Board of Advisors — a group of

Muslim and Christian anthropologists, social scientists, historians, and specialists from different academic backgrounds.

Since 2011, the Al Qalam Institute organized intrafaith dialogues, intercultural and interreligious (interfaith) dialogues, public discussions and deliberations on social and theological issues, inter-civilizational dialogue and peace-building, and Islamic knowledge production, preservation, and research.

b. The Ateneo Institute of Anthropology (AIA)

The AIA is a hub for anthropological scholarship that enriches public understanding on the diverse and evolving cultures of Mindanao. Since it became fully operational in 2012, it produced 12 major academic and policy studies, six (6) of which were funded by the University Research Council, and six (6) were commissioned by outside organizations. The institute's research engagements also provide opportunities for partnership with local communities in addressing development issues. Finally, the institute promotes anthropological knowledge through its core graduate degree program, and a number of undergraduate and graduate courses.

- c. Ateneo Migration Center (AMC) The Ateneo Migration Center (AMC)** was established in 2011 as a center that utilizes the three-fold function of the University towards the generation of appropriate responses to migration concerns confronting Mindanao. It adheres to the Mission statement of Ateneo de Davao University as a Filipino, Catholic, Jesuit University and promotes the advancement of the frontiers of the knowledge in the region and Mindanao by getting involved in scientific endeavors and relevant issues of migrants. The AMC is a response to the challenge of the 35th Jesuit General Congregation, specifying the need to protect the rights of the migrants using its five (5) program components: knowledge generation, policy development/articulation, capacity development, resource mobilization, and partnership/networking.

The AMC has conducted a number of activities through the proficient members/faculty researchers from the different fields in the Social Sciences that are adept at migration concerns. The center prides itself in having members who have been trained in using gender-based, culturally sensitive, and rights-based approaches in its undertakings. Since its inception, it has engaged itself in a number of partnerships (e.g., Balay Rehabilitation Center, UNHCR); it has participated in IDP Bill advocacy as well as in the crafting of the Ordinance establishing the Overseas Filipino Workers Center of Davao City; and it has initiated an IDP database of the region. In its involvement to research, it has conducted research

related to environment and mapping of migration research. Finally, it has engaged in a number of advocacies to fight human trafficking as well as fostered financial literacy among families of OFWs.

d. Center for Business Research and Extension (CBRE)

The Center for Business Research and Extension (CBRE) is the research and engagement arm of the School of Business and Governance of Ateneo de Davao University. It engages in research and trainings on the following areas: accounting, business and management, human resource, marketing, and entrepreneurship with an end goal of contributing to the creation of wealth among the poor.

e. Center for Renewable Energy and Appropriate Technologies (CREATE)

The Center for Renewable Energy and Appropriate Technologies (CREATE), established in 2012, is an engineering and technological research center of Ateneo de Davao University that initiates and pursues research on sustainable energy systems, energy and water conservation and management, techno-support instrumentation, waste-to-high value products, and sustainable infrastructure. The Center navigates the three-pronged function of the University, with a particular focus on research. Its strong research efforts interact appropriately with instruction and extension that are anchored on the special Jesuit call for knowledge dissemination. These efforts highlight the important role of technology to society.

f. Social Research, Training and Development Office (SRTDO)

The Social Research, Training and Development Office (SRTDO), formerly known as the Social Research Office (SRO), was initially established in 1972 under the office of the President of the then Ateneo de Davao College. It adheres to the Mission Statement of the institution as a Filipino Catholic, Jesuit University, and promotes the advancement of the frontiers of knowledge in the region and in Mindanao by getting involved in scientific endeavors and relevant issues of development.

Addressing the areas of social change, health, gender, human rights, environment, governance and poverty, the SRTDO has adopted an interdisciplinary and community-based approach in its undertakings. It has conducted various studies and researchers which have been utilized by proponents as bases for policy-formulation, program-planning, implementation, monitoring and evaluation. These undertakings have also been useful to faculty, students, and other researchers.

g. Tropical Institute for Climate Studies (TropICS)

Inspired by the declaration of GC35 to “work for new frontiers of our time” and responsive to the challenges posted after the “Conversations with the three Ateneo in Mindanao”, the Tropical Institute for Climate Studies (TropICS) was established in June 2013. The institute, prompted by the recent disasters and climate-related incidences, utilizes university resources (both human and material such as equipment and laboratories), and collaborates with other fields of discipline such as Engineering and Social Sciences to generate research and data for needed information on climate change in the tropics through the Institute. TropICS also serves as a data bank of all climate-related studies in relation to biodiversity, agriculture and food, water, energy, health and sanitation and disaster and migration; and finally, the center helps develop, among the communities in the tropics, and resiliency to the effects of changing climate.

h. Center of Politics and International Affairs (CPIA)

Mindanao stays in the periphery of the Philippine nation-state – a recipient of a series of development paradigms, a battleground of contending armies, a frontier for natural resource exploitation and a limited participant to academic discourses. Together with old challenges, this also opened up new opportunities for the University to contribute to the growing importance of Mindanao to the nation. To participate in the discourses above, the Department of Political Science and History and International Studies created the Center for Politics and International Affairs (CPIA) in August 2016. CPIA provides an avenue for scholars, researchers, alumni, faculty, and students to pursue their interest in politics and to establish important networks in Political Science and International Relations. As a joint Department initiative, the center addresses socio-political domestic and international issues that concern the island of Mindanao. CPIA also aims to establish a pool of Mindanao political analysts who address the needs of the University and the community as a whole, for an informed understanding and honest discussion of socio-political issues in the country and the world. The center utilizes an array of theoretical perspectives in informing the university and the nation through policy briefs, monographs, conference papers, forums, and newsletters.

i. Ateneo de Davao University Research in Information Systems and Software Engineering Laboratory (ARISEn Lab)

The Ateneo de Davao University Research in Information Systems and Software Engineering Laboratory or ARISEn Lab is a research institute under the University Research Council. It was established in May 2020 as a result of consultations with the University President on the need to streamline research with Information and Communications Technology and Information Systems.

The primary goal of the research laboratory is to engineer solutions to concerns and problems in society. The research laboratory works on Information Systems related to submitted concerns and issues by organizations and offices. These requests, however, are prioritized based on the necessity for such systems in the operations of the university. Information Systems proposed by the Office of the President and the Samahan Central Board are given high prioritization.

The research laboratory can also service external projects from the government and industry. Clients can request and sponsor the research laboratory to develop software projects aimed to support and digitize their operations. Clients can also request continuous improvement and maintenance of the developed systems. External clients of the research laboratory are expected to provide the necessary resources for the projects they will be requesting and sponsoring.

2.4.2 Research Offices

2.4.2.1 Publication Offices

a. University Publication Office (UPO)

The University Publication Office (UPO) deals with matters relating to publication, that is, any medium for textual and graphical information intended for general public dissemination outside the university, whether for sale or for free. The mandate of the UPO is to assist in the production and dissemination of publishable materials for utilization in instruction, research, community engagement, and formation. The UPO is also the office that guides publication toward the desired goal, acting in accordance with the principles as defined by the Mission, Vision, and Goals of the University. The University Publication Office evolved from the former Research and Publication Office (RPO). In 2011, the structure of RPO was changed upon the initiative of University President Fr. Joel E. Tabora, S.J., who saw the need to make research a collective concern of the University, and not lodged in one office. Thus, the University Research Council (URC) was created, with RPO being renamed University Publication Office (UPO). The UPO publishes academic, literary, and artistic works released under the imprint of the Ateneo de Davao University. It assists University units and offices as well as faculty members in publishing their research outputs. It may also conduct writing workshops and respond to other publication needs of the University community. It also accepts publishable materials from outside sources with focus on Mindanao studies.

b. *Tambara*

Tambara is a peer-reviewed journal of the Ateneo de Davao University released bi-annually. It aims to provide a forum for established and aspiring scholars for a vibrant and informed public discourse on various pertinent issues, both theoretical and practical, that are affecting Mindanao and beyond. It publishes original articles, editorials, and review essays in the areas of humanities, social sciences, philosophy, and theology. The first issue of *Tambara* was released in March 1984.

c. Mindanao Law Journal

The Mindanao Law Journal (MLJ) was created by the Ateneo de Davao University-College of Law and the University Research and Publication Office in 2006. It is published annually.

The primary purpose of the MLJ is to publish a journal of legal scholarship with the combined legal research and writing of the law professors and the law students. It also serves as an effective research tool for practicing lawyers and students as well as reference sources in classroom teaching.

2.4.2.2 Innovation and Technology Support Office (ITSO)

The Innovation and Technology Support Office (ITSO) of the Ateneo de Davao University was established after the signing of Memorandum of Agreement between the ADDU and the Intellectual Property Office of the Philippines (IPOPHL) in 2015.

The Memorandum of Agreement appointed the University as a franchise office of the IPOPHL which functions in the area of Intellectual Property creation, protection and utilization. The establishment of ADDU-ITSO further aims to strengthen the University's capacity to access patent information and use of the patent system. With this, the office encourages stakeholders to know, understand, and apply Intellectual Property (IP) rights and protection to promote wealth creation within and outside of the university. ADDU-ITSO extends its services to the university community through its continuous IP education in the classroom. It also facilitates IP application for protection in the areas of Trademark, Copyright, and Patent.

CHAPTER 3

Operating Guidelines for Research

3.1 Types of Research

The University engages in two (2) main types of Research – Institutional and NonInstitutional/Personal.

3.1.1 Institutional Research

These are research projects engaged in by personnel of the Ateneo de Davao University, funded by the University or by any legitimate external source. Institutional research is covered by a contract or a Memorandum of Agreement (MOA) signed by the University President on behalf of the Ateneo de Davao University and by the duly authorized representative of the contracting party (in the case of externally-funded research projects).

This type of research in the University is classified into the following:

Types of Research	Initiator	Source of Fund
Institutional Research A	University Personnel (Faculty Member, Administration, Non-Teaching Personnel, ADDU Jesuits), University Office/s	University Research Fund or other University Sources
Institutional Research B	University Personnel (Faculty Member, Administration, Non-Teaching Personnel, ADDU Jesuits), University Office/s	External Partner/Funding Agency or Joint Funding (External Partner and University Funds)
Institutional Research C	External Partner/Funding Agency	External Partner/Funding Agency

3.1.2 Non-Institutional/Personal Research

These are research projects engaged in by University Personnel in their personal capacity and are not covered by a contract or agreement duly signed by the University President.

3.2 Schedule for University-Funded Research Proposal Call, Review, and Processing

The University Research Council issues a Call for Research Proposals, whether a bi-annual or a singular call, for the school year. The table below specifies the research schedule of activities from the submission of the proposal to the awarding of the grant without prejudice to research proposals that are externally funded and those that are initiated by the Research Centers and Institutes.

PHASES	SCHEDULES
Call for Proposals	June
Submission/Screening of Proposal	August
Technical and Ethical Committee Review	August
Notification of Results	September
Revision of Results	September
Review of Revisions	September
Awarding of Grants	October

3.3 Research Management

3.3.1 Securing University-Funded Research Grant

The University Research Council implements the succeeding processes in securing university-funded research.

3.3.1.1 Call for Research Proposals

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
URC issues a Call to submit a Research Proposal	URC Chair	University-wide circulated Memo including the ff: a. Announcement of Call for Proposals b. Research Themes/Agenda	URC Chair	Opening of Academic Year	URC has discretion on the frequency of issuing

		<ul style="list-style-type: none"> c. General Norms d. Instructions on Review of Research Proposals e. Timetable f. Pertinent Forms g. Mode of Research Proposal Submission 			<p>the Call for Research Proposals (Please refer to Appendix A Research Agenda Themes) within the school year.</p>
--	--	--	--	--	--

3.3.1.2 Qualified Research Proponents

The main proponent/principal researcher must be a bonafide member of the University who enjoys regular status. Those who have regular status and not on personal or faculty development leave or pursuing faculty development studies are qualified to submit a research proposal on specified schedules. Those who are part-time faculty or with probationary full-time status are qualified to be co-proponents/co-researcher of a research project. The University Offices may likewise submit an office-based proposal at any time within the academic year or at a time designated by the University Research Council.

3.3.1.3 Mode of Submission

There are two (2) options in the proposal submission: the two-phase submission, and the one-phase submission. The two-phase submission involves submitting a one/two-page concept paper/capsule proposal followed by a full-blown proposal upon receipt of a favorable remark. The one-phase submission refers to the straight submission of a full-blown proposal.

All submitted proposals, whether in capsule form or the full-blown one, shall be used solely for URC deliberation to award research grants.

Two-Phase Submission (Capsule Proposal followed by Full-Blown Proposal)

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Researcher/ Research Team submits a one OR two-page concept paper to the URC via email research@addu.edu.ph .	Researcher/ Main Proponent of Research Team	Letter of Capsule Proposal Submission Capsule Proposal which contains the following: a. Title b. Objectives c. Significance of research d. Methodology e. Timetable (in months) f. Tentative/Indicative Budget g. University Research Thrust h. Significance of research relative to the University Vision/ Mission	Researcher/ Main Proponent of Research Team	Within the schedule indicated in the URC Memo for the Call for Research Proposals	Please refer to Appendix A Research Agenda Themes. Additional Documents needed: a. Background information of Research Proponents b. Certification from Immediate Academic Supervisor and the Unit Head on the relevance of the topic to the Unit's research agenda.
The URC reviews the submitted capsule proposals.	URC Chair and Council Members	Capsule Proposal	URC Chair		
The URC Chair informs the Researcher/ main proponent of the Research Team, in writing, of the results of the review of capsule proposals	URC Chair	Results of Review of Capsule Proposals	URC Chair		
Researcher/ Research Team whose capsule proposal has favorable results proceeds to the second phase – the submission of the full-blown proposal.					

One-Phase Submission (Full-Blown Proposal)

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
<p>Researcher/ Research Team submits a full-blown proposal to the URC Office.</p>	<p>Researcher/ Main Proponent of Research Team</p>	<p>Full-Blown Proposal which contains the following:</p> <ul style="list-style-type: none"> a. Title b. Introduction c. Statement of the Problem/Research Objectives d. Theoretical and Conceptual Framework (if needed) e. Hypotheses (if any) f. Significance of the research g. Scope and Limitation h. Review of Related Literature i. Methodology j. References/ Bibliography k. Timetable l. Budget m. Research Instrument/ Materials n. Executive Summary (includes research output and deliverables) o. Disclosure (other possible sources of funds, research load arrangements, declaration of nongraduate student or non-scholar of faculty development, intended use of the research, and other related information p. Facilities and Special Resources needed q. Risk Assessment and Security Plan 		<p>Within the schedule indicated in the URC Memo for the Call for Research Proposal</p>	<p>Please refer to Appendix A Research Agenda Themes. Additional Documents needed: Certification from Immediate Academic Supervisor, noted by the Unit Head, or in the case of non-teaching personnel, by the HRMDO Director, (for researcher's availability to undertake research, and for topic's relevance to the Unit's research agenda.)</p>

3.3.1.4 Research Proposal Review and Processing

The URC shall review the submitted proposal using its review guide for capsule and full-blown proposals. It shall do so as the situation allows (face-to-face or fully online).

Review and Processing of Capsule Proposal

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
URC personnel receive the capsule proposal from the Researcher/ Research Team.	URC office staff	Capsule Proposal		On or before deadline of Call for Capsule Proposals	Please refer to Appendix A Research Agenda Themes
URC personnel prepare and send a copy of the capsule proposal to the members of the URC.	URC office staff	Capsule Proposal			
Members of the URC convene in a deliberation meeting to review the proposal. The decision may be approved, disapproved, or conditionally approved subject to revisions.	University Research Council (Chair and Members)	Capsule Proposal Capsule Proposal Assessment Form	URC Chair and Members		Please refer to Appendix G Capsule Proposal Assessment Form
The URC Chair informs, in writing, the Researcher/ Research Team of the decision to accept, revise, or reject the capsule proposal.	URC Chair	Review Results	URC Chair		

Review and Processing of Full-Blown Proposal

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
URC personnel receive the submitted full-blown proposals from the Researcher/ Research Team.	URC personnel	Full-blown Proposals		On or before deadline of Call for Full-Blown Proposals	Please refer to Appendix A Research Agenda Themes.
URC personnel prepare and send copies of the full-blown proposals to the members of the URC.	URC personnel	Full-blown Proposals		About one (1) week after the deadline of Call for Proposals	
Members of the URC conduct a face-to-face or fully online (as the situation allows) technical review on full-blown proposals.	University Research Council (Chair and Members)	Full-blown Proposal Full-blown Proposal Assessment Form	URC Chair and Members		Please refer to Appendix H Full-blown Proposal Assessment Form.
The URC recommends the approved research with identified minimal or maximum risk for Ethics Review by the Ad Hoc Ethics Research Committee.	URC Chair	Full-blown Proposal	URC Chair		An Ad-hoc Ethics Review Committee is formed.
The Ad Hoc Ethics Research Committee convenes and deliberates on the full-blown proposal.	Ad Hoc Ethics Research Committee	Full-Blown Proposal Ethics Review Form	Ad Hoc Ethics Research Committee		

The Ad Hoc Ethics Research Committee informs, in writing, the URC of the results of the ethics review.	Ad Hoc Ethics Research Committee	Review Results	Ad Hoc Ethics Research Committee		
The URC Chair consolidates the technical and ethics review results.	URC Chair	Results of Technical and/or Ethics Review	URC Chair		
The URC Chair releases the consolidated results over the research proposals and informs, in writing, the Researcher/ Research Team. The proposal may be approved, disapproved, or conditionally approved subject to revisions.	URC Executive Secretary	Results of the Technical and/or Ethics Review	URC Executive Secretary		
Researcher/ Research Team whose proposal needs revision, based on URC suggestions, resubmits it.	Researcher/ Main Proponent of Research Team	Revised Proposal	Researcher/ Main Proponent of Research Team		
The URC conducts a second review of the revised research proposal.	URC	Revised Proposal	URC Chair		
The URC Chair informs, in writing, the Researcher/ Research Team of the results of the second review.	URC Chair	Results of the Second Review	URC Chair		

3.3.1.5 Awarding of University-Funded Research Grant

A crucial component in the awarding of the University-Funded Research Grant is the Professional Service Contract (PSC).

- a. The signatories to the PSC are the University President on behalf of the University and the Researcher/s who receive/s the grant. The URC, as well as the Unit Head of the Principal Researcher, signs as witness. In case the Principal Researcher is the Unit Head, the Academic Vice-President shall serve as a witness.
- b. The Professional Service Contract shall contain provisions to include, but not limited to the following:
 1. Scope of Work
 2. Expected Output/Deliverables
 3. Project Duration
 4. Work Schedule, Responsibility to Update the Prism Record for this Project
 5. Co-Researchers and Professional Fee/Honorarium
 6. Operational Cost
 7. Schedule of Release of Funding.
 8. Management and Administrative Support
 9. Working Relationship
 10. Disposition of Acquired Equipment, of Books/Reference
 11. Return of all Unused Funds, Disposition of Excess Materials/Supplies.
 12. Intellectual Property Rights and First Publication/Presentation
 13. Integrity Clause
 14. Gender-Sensitivity Clause
 15. Confidentiality Clause
 16. Termination By First Party and the Penalty Clause
 17. Sunset Clause
 18. Effectivity Clause
- c. The Professional Service Contract (PSC) that binds the research proponent/ research team to the policies and guidelines set by the University on the conduct of research includes the following:

1. TERMINATION BY UNIVERSITY AND THE PENALTY CLAUSE

As a result of the non-compliance of the researcher/s, the University may terminate the contract upon the unreasonable delay in the submission of the expected outputs or deliverables. In the event of the termination of the contract, the University shall not award the unfinished portion of the

terminated project to another party. In the event of such termination, the researcher/s agree/s to a salary deduction to cover the actual funds used up; the salary deduction shall be negotiated by the Treasurer's Office and the researcher/s. Any breach of the stipulations of the contract shall not preclude the University from filing the appropriate civil, criminal, or administrative case in a judicial court of its choice.

2. SUNSET CLAUSE

The Professional Service Contract is effectively and automatically terminated upon full compliance with the expected output/deliverables as stipulated in the provision of the PSC on Expected Output/Deliverables and the turnover of the acquired equipment and of the excess funds, supplies and materials as stipulated in the provision of the PSC on Disposition of Acquired Equipment, of Books/ Reference and Return of all Unused Funds, and Disposition of Excess Materials/Supplies.

- d. The Memorandum of Agreement that binds the researcher/s of the University to the mutually agreed terms and conditions set by the University and the external partner determines the termination and sunset clause of the research.
- e. In case the approved research raises safety and security concerns beyond the usual condition stated in Sec. 3.3.1.5b, the PSC shall be expanded to include:
 - 1. Mutually agreed scope of liabilities by Parties concerned; and
 - 2. A provision for a comprehensive insurance coverage that covers life, accident, health, hospitalization, dismemberment, other indemnities, and other provisions deemed appropriate to the subject of the research.

Awarding of University-Funded Research Grant

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC Chair recommends the accepted research proposals to the University President for approval.	URC Chair	Letter of Recommendation	URC Chair		
The University President approves the URC-recommended research proposals.	University President	Stamp of Approval with Signature	University President		The University President reserves the right to disapprove the URC recommendation.
The URC Chair informs, in writing, the Researcher/ Research Team of the approved research proposal.	URC Chair	Letter of Approval	URC Chair		
The URC prepares and sends to the Researcher/ Research Team the draft of the Professional Service Contract (PSC) for review and revision.	URC Executive Secretary	Professional Service Contract (PSC) Draft	URC Executive Secretary		Please refer to Appendix N Professional Service Contract template.
The URC forwards the mutually accepted version of the PSC draft to the University Lawyer for review of possible legal impediments.	URC Chair	Revised Professional Service Contract (PSC) Draft			
The University Lawyer reviews the PSC draft.	University Lawyer	Reviewed PSC			

Once cleared, the Research Proponent/ Research Team and witnesses sign the PSC.	URC Office Staff	Professional Service Contract (Final)	Research Proponent/ Research team and Witnesses		
The URC forwards the signed PSC to the University President for signature.	URC Office Staff	Professional Service Contract (Signed by Research Proponent/ Research Team)	University President		
The signed PSC is sent to the University Lawyer for notarization. PRISM account.	URC Office Staff	Professional Service Contract (Signed by University President)	University Lawyer		
The Finance Office transfers the approved budget to the created DCB account of the Researcher Proponent/ Research Team.	Finance	DCB Account	Finance		The rules of the Finance Office apply in the management and utilization of project funds.

3.3.1.6 Project Implementation and Completion

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent/ Research Team implements the research as outlined in the approved research proposal, guided by the provisions of the Professional Service Contract and the University Guidelines for Ethics in Research.	Research Proponent/ Research Team	Approved Research Proposal Professional Service Contract University Guidelines for Ethics in Research			Please refer to the University Guidelines for Ethics in Research found in https://research.addu.edu.ph
The Research Proponent/ Research Team strives to accomplish the research within the approved schedule.	Research Proponent/ Research Team	Approved Research Proposal			
If needed, the Main Proponent of the Research Team shall send a letter of request for an extension to the University President, noted by the URC Chair, at least six weeks before the completion of the project.	Main Proponent of the Research Team	Request for Extension Form	URC Chair University President		The letter addressed to the University President and endorsed by the URC must state the completed part of the research, the circumstances warranting the request for an extension, and the remaining part/s for completion. Please refer to Appendix I Request for Extension Form

Once the research is completed, the Research Proponent/ Research Team submits all project deliverables.	Research Proponent/ Research Team	Project Report Financial Report	URC Chair Finance Office		
The URC forwards the project report to a Reviewer/Editor.	URC Office Staff	Project Report	Reviewer/ Editor		The URC covers the service cost of the Reviewer/Editor of the project report.
The Reviewer/Editor returns the reviewed/edited project report to the Research Proponent/ Research Team.	Reviewer/ Editor	Reviewed/Edited Project Report	Reviewer/ Editor		Only when the Editor/Reviewer approves the report can the researcher proceed with the reproduction.
Upon submission of all the research deliverables, the URC issues a Certificate of Completion to the Research Proponent/ Research Team.	URC Chair	Certificate of Completion	URC Chair		Please refer to Appendix J Certificate of Completion Template.
The Research Proponent/ Main Proponent of the Research Team submits a written request to the Finance Office for the closure of the DCB.	Research Proponent/ Main Proponent of the Research Team	Request for Closure of DCB Account	URC Chair Finance Office		The closure of the DCB account signals the full completion of the research project.

3.3.2 Securing External Research Grant

Externally-funded research falls under two categories: Institutional Research B refers to a Research project initiated by a regular faculty member or commissioned by an external agency and fully funded by an external agency; and Institutional Research C refers to a Research project initiated by a regular faculty member or an external agency and jointly funded by the University Research Fund and the external agency.

By its nature, the proponents formulate a research proposal considering the concerned external agency’s guidelines and the University’s vision, mission, and research agenda. The referred agency/ies likewise do the qualifying review of submitted proposals.

The initiating bodies of research projects funded by external grants are from within the University or the funder. Research proposals mutually approved by the parties concerned serve as the basis for the grant. At the stage of securing the University’s formal commitment to the project, research proponents seek the official endorsement of the University Research Council.

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent/ Research Team notifies the URC, in writing, about the submission of the research proposal to the external agency.	Research Proponent/ Research Team	Research proposal List of university personnel involved in the proposed research Certificate of Availability (from the Department Chair endorsed by the Assistant Dean) Expression of interest to apply for instructional deload Risk Assessment and Security Plan	Research Proponent/ Research Team Department Chair Assistant Dean		Please refer to Appendix N Certificate of Availability Template. Please refer to Appendix O Assessment and Security Plan Form.

The URC shall review the application for an external research grant.	URC Chair and Members	Research Proposal			<p>Please refer to Appendix P External Research Grant Review Form.</p> <p>Criteria for Assessment:</p> <ol style="list-style-type: none"> a. Relevance of the study to the University vision, mission, and research agenda; b. Availability of the research team; c. Feasibility of the proposed budget; d. Feasibility of the request for a possible instructional deload if the proponent indicated the possibility for such request; e. Preparedness to deal with assessed risk surrounding the research.
Members of the URC convene in a deliberation meeting to review the proposal.	University Research Council (Chair and Members)	Capsule Proposal Capsule Proposal Assessment Form	URC Chair and Members		Please refer to Appendix G Capsule Proposal Assessment Form.
The URC shall send its review result to the Research Proponents, their concerned research office if applicable, and the respective Department Heads and Asst. Dean, copy furnished the Unit Head.	URC Chair	Review Results	URC Chair		

The URC review serves as a reminder of areas the University researchers should prepare for in case, they receive the grant. It shall also inform the relevant University offices of the enablers required by the research applied for.

3.3.2.1 Securing University Participation in an Externally-funded Research Project

A crucial component in securing research grants from external partners is the signed Memorandum of Agreement (MoA).

- a. The signatory to the MoA is the University President on behalf of the University and the Principal Researcher designated by the University as the project holder. The URC signs as a witness on behalf of the University.
- b. The MoA shall contain provisions mutually agreed on by concerned parties, which from the side of the University, are consistent with what is provided for in the Professional Service Contract (Please see Section 3.3.1.5.b).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent / Research Team submits the proposed contract together with the research proposal to the URC for review and recommendation to the University President.	Research Proponent / Research Team	Research Proposal Proposed Contract Endorsement of the Head of Office from where the proposed project emanates.	Head of Office (where the proposed project emanates) Research Proposal		
The URC reviews the proposed contract.	URC Chair and Members	Proposed Contract			The decision may come in the form of approval, conditional approval, or disapproval.
The URC transmits approved proposed contracts to the University Lawyer for review.	URC Office Staff	Approved Proposed Contracts	URC Chair		

The URC informs the Research Proponent / Research Team of conditionally approved proposed contracts to clarify issues or act on the recommendations.	URC Chair	Review Results Proposed Research Contract	URC Chair		
Once the conditionally approved proposed contract has been settled, the proponent resubmits the proposed contract to the URC for review.	Research Proponent	Revised Proposed Contract			
The URC forwards the approved proposed contract to the University Lawyer for review.	URC Chair	Approved Proposed Contract			
The University Lawyer returns the proposed contract with recommendations.	University Lawyer	Issues/ Recommendations	University Lawyer		
The URC shall inform the Research Proponent / Research Team of the outcome of the University Lawyer's review.	URC Chair	Review Results	URC Chair		If the issues presented and recommendations made are not acceptable to the proponent or the external funding agency, the URC will refrain from vetting for formal involvement of the University in the proposed research.
If the proponent and/ or external funding agency accepts the recommendations, the Research Proponent / Research Team is required to reproduce multiple copies of the contract with the signature of the contracting party.	Research Proponent / Research Team	Copies of the Contract	Contracting Party		

3.3.2.2 Awarding of University Participation in the Research Project

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC recommends the contract for the signature of the University President.	URC Chair	Signed copies of the Contract/ MoA	University President		
The URC forwards the duly signed contracts to the University Lawyer for notarization, unless the contracting party volunteers to undertake the step.	URC Chair/ Research Proponent	Duly signed copies of the contract/ MoA	University Lawyer		
The proponent provides the URC and the Finance Office a copy of the notarized contract.	Research Proponent	Copies of the notarized contract/ MoA			
Upon release of the notarized contract, the URC assists the grantees on the following: a. accomplishment of request forms for the opening of a DCB account and the transfer of payment to respective DCBs; b. procurement of insurance; and c. access to the assigned PRISM account.					

The external funding agency pays all the tranches directly to the University Finance Office.	External Funding Agency	All tranches of the research project budget			The rules of the Finance Office apply in the management and utilization of project funds.
The Finance Office acknowledges receipt of the payment through the issuance of an official receipt.	Finance Office	Official Receipt			
The Research Proponent / Research Team transmits the receipt of the payment to the external funder based on the Official Receipt (OR) issued by the University Finance Office.	Research Proponent	Official Receipt issued by the University Finance Office			

3.3.2.3 Project Implementation and Completion

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The researchers are to implement the research as outlined in the approved research proposal, guided by the provisions of the Professional Service Contract and the University Guidelines for Ethics in Research.	Research Proponents	Approved Research Project Professional Service Contract University Guidelines for Ethics in Research			

<p>The Research Proponent/ Research Team strives to accomplish the research within the approved schedule.</p>					
<p>The rules of the contracting party shall govern any request for an extension. If the contract requires, the Research Proponent / Research Team requests the contracting party, with the endorsement from the University President, for an extension.</p>	<p>Research Proponent / Research Team</p>	<p>Letter of Request for Extension</p>	<p>URC Chair University President</p>		<p>The request letter must state the completed part of the research, the circumstances warranting the request for an extension, and the remaining part for completion.</p>
<p>Upon termination of the project contract, the Research Proponent / Main Proponent of the Research Team notifies the URC and the University Finance Office of the completion of the project.</p>	<p>Research Proponent / Main Proponent of the Research Team</p>	<p>Letter to the URC and the Finance Office</p>	<p>Research Proponent / Main Proponent of the Research Team</p>		
<p>The Research Proponent/ Main Proponent of the Research Team requests from the Finance Office the closure of the project's DCB account.</p>	<p>Research Proponent / Main Proponent of the Research Team</p>	<p>Letter of Request to the Finance Office</p>	<p>Research Proponent / Main Proponent of the Research Team</p>		

The Research Proponent / Main Proponent of the Research Team submits to the Funding Partner all project deliverables, with copies furnished to the URC.	Research Proponent / Main Proponent of the Research Team	Project Report All Project Deliverables	Research Proponent / Main Proponent of the Research Team		
The Research Proponent / Research Team submits to the Funder a Financial Report duly attested by the University Finance Office.	Research Proponent / Main Proponent of the Research Team	Financial Report	Research Proponent / Main Proponent of the Research Team University Finance Office		
Upon receipt of Certificate of Completion or at least an acknowledgement of receipt of all the research deliverables from the External Funder, the URC issues a Certificate of Completion to the Research Proponent / Research Team.	URC Chair	Certificate of Completion	URC Chair		
The Research Proponent / Research Team submits a written request to the Finance Office for the closure of the DCB account.	Research Proponent / Research Team	Letter of Request for DCB account closure	Research Proponent / Main Proponent of the Research Team Noted by URC Chair		The closure of the DCB account signals the full completion of the research project.

3.3.3 Securing Multi-party Funded Research

A multi-party funded research involves more than two (2) external parties funding the project. The pertinent norms and processes stipulated for the University and externally funded research shall apply. The contract must stipulate the respective duties and obligations of each party.

Proposals for Multi-party Funded Research undergo the same process as University funded and externally-funded research projects.

The Researcher/s shall treat all parties equally and comply with the stipulated obligations in the contract regardless of the parties' contribution to the project.

The provisions in Sec. 3.3.2.1 pertinent to the Memorandum of Agreement covering the research grant likewise applies in the case of multi-party funded research.

3.3.4 Process in Dealing with Ethical Considerations

The URC, in the preliminary stage of a full-blown research proposal review, must determine the need for an ethics review by identifying if the research subject entails either minimal or maximum risk. If needed, the URC may convene an Ad Hoc Research Ethics Review Committee to undertake the process at the end of the technical review, and at any time within the project duration.

The research proposal and related documents, including the ethics and technical review results, shall be kept confidential throughout the process.

Ethics Review Process

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Once convened, the Ad Hoc Research Ethics Review Committee elects their Committee Chair and Secretary among themselves.	Ad Hoc Research Ethics Review Committee	Full-Blown Research Proposal			
The Committee Chair presides over the review, guided by the University's Ethical Guidelines on Research.	Ad Hoc Research Ethics Review Committee	Full-Blown Research Proposal University Ethical Guidelines on Research Ethics Review Form	Committee Chair		
The Committee Chair submits the result to the URC.	Ad Hoc Research Ethics Review Committee Chair	Results of Ethics Review	Committee Chair		The decision of the Ad Hoc Research Ethics Committee may either be Accepted/Not Accepted.
The URC consolidates the technical and ethical review results.	URC Chair	Technical Review Results Ethical Review Results	URC Chair		

3.3.5 Monitoring of Approved Institutional Research Projects

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent / Research Team updates the URC on the progress of the research project through the PRISM (Program for Research Information and Status Monitoring).	Research Proponent / Research Team	PRISM			
For research projects with approved extensions, the Research Proponent / Research Team updates the PRISM of the schedule change. Otherwise, the researcher/s shall endeavor to complete the project as originally scheduled.	Research Proponent / Research Team	PRISM			

3.3.6 General Norms

- a. It is strongly encouraged that the research, when applicable, adopts a culturally sensitive, gender-responsive and rights-based framework, and environmental protection as cross-cutting themes. The pursuit of collaborative research in a disciplinary, interdisciplinary, or multi-disciplinary manner must seriously consider the utilization of its result.
- b. The University Research Council requires all institutional research, whether funded by the University or by External Funding Agencies, to use gender-fair language. The norm applies to research proposals, communication, research instruments, research reports, and other pertinent research-related documents, including publications, presentations, and other materials that may result.
- c. Regular faculty member/s (as principal researcher/s) may involve part-time faculty members/personnel (competent in the research topic) and students as part of their

research team, with the former having solidary obligations over the project. The students' involvement in the research is upon the instance of the faculty member/personnel, with the relationship guided by the norms of the University Guidelines for Ethics in Research (Please read in <https://research.addu.edu.ph>). When all the leading proponents are regular faculty members/personnel, all have solidary obligations over the project.

- d. In addition to the submitted research report, the proponents are strongly encouraged to specify the direction for research utilization in their submission which may include publication, innovation, and artistic expression, among others. They shall likewise indicate the corresponding Intellectual Property Protection the envisioned research output requires.
- e. Researchers must conduct the research in conformity with the methodology and prescribed standards of the discipline used in the research. Should the research require the participation of other institutions, organizations and similar groupings, the researchers are strongly encouraged to seek the permission of the referred aggregation before seeking approval of the research proposal.
- f. The conduct of research, as well as the researchers, must always be ethical.
- g. The researcher/s shall commit to disseminating the research result on the schedule organized by the Unit or the URC.
- h. The ownership of intellectual properties and revenue generation (for commercialized outputs) shall be explicitly written on the research contract. Otherwise, the general IP guidelines of the University shall be the guiding document (Please refer to Appendix D University Property Policy and Guidelines).
- i. Relevant IP Protection must form part of the research deliverable. For this purpose, the URC, through ITSO, provides the necessary capacity building activities to prepare relevant requirements for IP Protection. ITSO takes care of filing the application.
- j. The URC ensures that all researchers with approved institutional research are secured with insurance.
- k. The researchers shall commit to delivering all research deliverables on or before the approved project ends. As a result of the researchers' unreasonable delay in submitting the expected outputs or deliverables outlined in the PSC, the University may terminate the contract. In the event of the termination of the contract, the University shall not award the unfinished portion of the terminated project to another party. In the event of such termination, the researcher/s agrees to a salary deduction to cover the actual funds used up. The salary deduction shall be agreed

upon by the University Finance Office and the Project Team. Any breach of the stipulations of the PSC shall not preclude the University from filing the appropriate civil, criminal, or administrative case in a judicial court of its choice.

3.3.7 Safety and Security Measures

3.3.7.1 Guidelines on the Safe and Secure Conduct of Research

The safety and security measures section enumerate policies and steps to help ensure the safety of all involved in the conduct of the study.

- A. The University assures that the conduct of university research is safe and secure through the measures described in this section to which the researchers and members of their team shall likewise have solidary responsibility. Solidary responsibility refers to the responsibility shared by all the members of the research team where the members are bound together, each liable to the whole research in delivering the results of the research, and in securing the safety and security of the research.

The same solidary responsibility shall bind external partners/agencies in research contracts with the University. External partners/agencies shall be required to include their respective safety and security measures in the Memorandum of Agreement (MoA) such as, but not limited to insurance, health benefits, and indemnification.

- B. At the preparatory phase of the research that includes the securing of grants and preparation for study implementation, the following due diligence and preventive measures shall be undertaken as follows:
 1. The Researcher Proponent/Research Team must submit to the URC, together with the full-blown proposal, a Risk Assessment and Security Plan (Please refer to Appendix L) that includes a list of measures to manage the risk when faced with situations threatening the study's conduct and Research Team members.
 2. When applicable, the Risk Assessment and Safety Plan shall:
 - a) Identify two (2) safety zones for the project personnel, one within the project's research site, and another outside it, in case of an emergency.
 - b) Identify hospitals or clinics in or near the research site.

- c) Indicate if the area was or is a 'conflict area.' If the research site was once a conflict area, the proposal shall provide indications that the area is now safe for research activities. If the research site is currently a conflict area, the proposal shall show that:
 - 1.1) Research activities can be undertaken, indicating how the project will address safety and security considerations;
 - 1.2) The nature of the research project is such that it can only be implemented in the conflict area; and
 - 1.3) The research project, its objectives, and output are of such importance that the risks, properly acknowledged and addressed, are acceptable. Unless all three criteria are met, the research project will not be allowed to proceed (for possible inclusion in the main provision).
 - d) Name at least one (1) of the research project's local- or community-level gatekeeper/s and provide their contact details. The University shall treat this information with utmost sensitivity, mindfulness, and confidentiality.
3. The URC shall review the submitted Risk Assessment and Security Plan. If there is no risk or if found manageable based on the security plan, it shall recommend for the approval of the research to the University President. If there is moderate to maximum risk on account of the topic and methodology, such as the method and locale of the study is hazardous physically and socio-politically, the URC may recommend the following:
- a) Change in the area of study;
 - b) Commence research implementation when conditions would allow;
 - c) Revise research topics and methodology;
 - d) Disapprove the research
4. If the research activity requires fieldwork/community participation, the research proponent/ research team must accomplish the following:
- a) Prepare a fieldwork plan. Indicate in this plan the duties and responsibilities of research team members.
 - b) Orient and train data collectors, field supervisors, and encoders about field work procedures that should include safety and security protocol.

- c) Secure from duly constituted authorities the necessary permit to conduct the study in the identified locale. If the research site is a 'conflict area', a safe conduct pass must be secured and researchers must coordinate with the concerned authorities (e.g., mayor, governor, police/military community leaders). Coordination with the military in addition to relevant civil authorities is mandatory. 'Coordination' in this case will depend on procedural and other requirements of the military. Individual project personnel have the right to refuse to provide personal information they feel is excessive or intrusive. In such cases, the concerned personnel will be withdrawn permanently or temporarily, from the concerned conflict area, or from the project itself, as may be mutually agreed upon by the concerned personnel, the project manager/s, and the URC.

A conflict area is where there is actual or ongoing military, paramilitary or police movement or combat vis-à-vis insurgents, criminals or armed individuals. This covers "rido" between families, which occasions deployment of military, paramilitary, and police forces to restore order.

Coordination with at least one (1) relevant civil authority (barangay, municipal/city or provincial) is mandatory in all research activities. 'Coordination' in this case may consist of a courtesy call or visit to the said authority/authorities, where key project personnel are introduced, the research project presented, and the acknowledgement or acceptance of the project by the authority secured. The acceptance of the project is evidenced by a signed approval of the concerned civil authority on the letter of request.

In the situation where a permit to enter the research locale has been secured prior to the start of the Field work, the Team still has to pay a courtesy call/visit the concerned authority/es on the day of actual commencement of field work.

- c.1) Secure First, Prior, and Informed Consent (FPIC) from proper authorities where the research locale involves areas of residence of Indigenous Peoples.
- c.2) Determine if the site has a phone signal to prepare necessary communication protocols (i.e., provision of walkie talkies to communicate with the research team on the field if necessary).
- c.3) Ensure field researchers have power banks for charging of necessary equipment and communication devices when involving longer field work durations.

- d) In research requiring the use of laboratories, the Principal Proponent must spell out in the full-blown proposals the laboratory safety procedures and measures in the conduct of laboratory experiments. The URC shall require duly signed certification that the laboratory and the research's needed equipment are "compliant with mandatory health and safety standards" or are fit for use. If all needs are met, the URC shall recommend approval; if not, the URC will not recommend approval to the University President.
 - e) The Principal Researcher, with the assistance of the URC staff, must have all the Research Team members covered by insurance with appropriate coverage before the research commences, especially at the fieldwork stage when required by the study or by laboratory work.
- C. At the implementation phase of the research, the following measures shall be observed:
- 1. Researchers whose studies require laboratory use shall observe the health and safety procedures and measures stipulated in the Certification that will be shown to the University Research Council together with the Full-Blown Research Proposal. There must also be provisions on the observance of proper disposal of generated wastes.
 - 2. Researchers whose studies involve fieldwork shall abide by the following:
 - a) Secure in their personal copies of necessary clearance from authorities in areas covered by the study, may it be for field interviews, sample collection, field testing of a prototype, or other similar activities. They shall likewise bring with them when applicable, questionnaire/guide questions for the interview, issued research ID, notebooks, and pens.
 - b) Observe cultural and social norms in the community one is collecting data from. This shall include the wearing of appropriate attire.
 - c) Ensure that all ethical considerations and principles relevant to the research are observed such as informed consent, anonymity, confidentiality of information, etc. Specifically, the enumerator secures informed consent from potential respondents to interview, record, and photograph (if necessary). When a minor is involved, the same shall secure an assent to the interview.
 - d) Submit the following to the University Research Council at least a day before the start of the fieldwork:

- 1.1) List of Activities to include the following information: Duration, Itinerary, Mode of Transportation, People Involved, Place/s to stay (if applicable);
 - 1.2) Communication Plan among the members of the research team (e.g., Field Supervisor, Interviewers, and Drivers);
 - 1.3) Exit Plans from the locality if the situation may require; and
 - 1.4) Cell Phone Numbers of the Research Team, Field Supervisors, Drivers, and Enumerators
- e) Check the weather condition before going to the field. The research schedule can be moved in case of inclement weather conditions.
 - f) Conduct the data collection within the allotted time period. When the security condition of the research site is volatile, data collection shall be strictly conducted during daytime.
 - g) Reschedule research data collection if there is a calamity or disaster or conflict or evident threat to safety/security such as police/military operation in the research site.
 - h) Vacate the area as soon as safe and practicable when an unexpected threat to safety/security such as police/military operation/ calamity (e.g., sudden heavy downpour that would render roads & rivers impassable) occur in the research site.
 - i) Suspend field work and vacate the area as soon as safe and practicable when there is continuing surveillance or harassment, or when a credible threat of violence is received, or when actual violence occurs at or near the research site. Resumption of research activities will be decided by the University President in coordination with the URC and gatekeeper/s, and in consultation with relevant local actors.
 - j) Ensure proper coordination and communication with the research team and the concerned authorities in the area.
 - k) If any research personnel are seriously injured, the research team must transport them to the nearest clinic or hospital, as identified in the project proposal.
 - l) In case of need, the Principal Researcher or the designated co-researcher shall notify the URC Chair or the Executive Secretary of the situation involving safety or security concerns. Either the URC Chair or the Executive Secretary shall inform the University President and if the situation so requires, contact

the University Lawyer and the HRMDO. The URC Chair shall likewise immediately inform the University President of the situation.

- m) The Principal researcher or the designated member of the research team shall, upon return to the office on the first day of work, submit to the University Research Council a written incident report, and furnish a copy to the University Lawyer and the HRMDO should the situation call for it.
- n) The Principal Researcher shall likewise convene the team, upon return to the office, to discuss the developments and decide the appropriate courses of action that may include, among others, whether to proceed or delay the activity in the affected area or change the locale. The Principal Researcher shall submit a written report about the decision to the URC, who, in turn, relays the decision to the University President.
- o) The researchers shall remain alert at all times while on field work.

- D. At the post-data gathering phase, the Research Proponent/Research Team shall:
 - 1. Process, analyze, and interpret the data in strict observance of the rigors of research;
 - 2. Conduct debriefing sessions to evaluate experiences in the field; and
 - 3. Ensure that data are kept with utmost consideration for privacy, confidentiality and anonymity.
- E. During the dissemination of results, the Principal Researcher/Research Team, as well as the URC, shall guarantee privacy, confidentiality, and anonymity of disseminated results.
- F. After the conclusion of the research, if signs of stress or trauma that can be linked to the research project emerge in one or more project personnel, the University shall provide the necessary psychological support within the scope of what is provided in the PSC or MoA.
- G. After the dissemination of the project findings or report, if there are (a.) credible indications of surveillance, harassment and/or threats; or (b.) actual violence, directed against research personnel, the University shall provide or enable the necessary legal support and/or security training.
- H. When warranted by requirements of safety and security, the President can suspend or cancel a research project wholly or in part. In such a situation, the decision of

the President is to be followed. When conditions allow, the research project may be allowed to continue or may be revived by the President on the endorsement of the URC.

The provision on cancellation or suspension applies to externally funded projects, if it involves University faculty, students, or other personnel OR the name and good standing of the university was material to securing the funds for the project.

- I. The Principal Researcher shall organize a debriefing session for members of the Research Team after field work or laboratory work. For singularly handled research, the researcher shall coordinate with the University Research Council for assistance in arranging a debriefing session.
- J. The University observes a NO RANSOM POLICY.

3.3.7.2 Provision on Anti-Sexual Harassment

Part of the safety measures in research is to ensure that researchers and their team are protected from sexual harassment.

- a. If, in the course of the research project, one or more of the research staff is subjected to sexual harassment:
 1. The victim/s shall be transferred to and secured within a designated safety zone, and shall be debriefed by the senior researcher or by any member of the team trained to do psychological first-aid present at the research site.
 2. If none of the team members present qualifies, any member of the research team may secure the victim.
- b. If the case involves verbal or visual offense:
 1. The victim/s will be consulted as to whether they desire to address the issue at the local level/ place of occurrence. If so, the principal researcher shall consult the research team, URC (in consultation with the University legal office), and the gatekeeper/s for guidance, and proceed as advised.
 2. If the victim/s do not wish to address the issue, then s/he, in dialogue with the research team, the URC (in consultation with the University legal office) and the gatekeeper/s may decide to (a.) continue to work in the research site, but with additional, mutually agreed-upon precautions; or (b.) be reassigned permanently or temporarily to another research site, if practicable.
- c. If the case involves any near or threatened contact or actual physical contact:

1. The principal researcher shall immediately bring the victim to the nearest hospital for appropriate medical attention.
 2. Subsequently, the principal researcher shall contact the URC (in consultation with the University legal office) and the gatekeeper/s to inform them of the situation, and to seek their guidance on further ensuring the security of the victim/s and the institution of appropriate legal and other measures.
 3. The victim/s shall be pulled out from the research site as soon as practicable.
 4. The University shall provide legal support or assistance in any resulting prosecution of the perpetrators of sexual harassment.
- d. In the situation where the perpetrator is the Principal Researcher or any member of the research team, and if the case involves verbal or visual offense:
1. The victim or a member of the Research Team shall refer the matter to the URC (in consultation with the University legal office), and subsequently to COPERS for psychological first-aid.
 2. In such case, the University rules on sexual harassment shall apply.
- e. In the situation where the perpetrator is the Principal Researcher or any member of the research team, and if the case involves any near or threatened contact or actual physical contact:
1. The member of the research team/ witness to the incident shall immediately bring the victim to the nearest hospital for appropriate medical attention.
 2. Subsequently, the victim or the member of the research team/ witness to the incident shall refer the matter to the URC (in consultation with the University legal office), and subsequently to COPERS for psychological first-aid.
 3. In such case, the University rules on sexual harassment shall apply and the law of the land, if warranted.
- f. In cases of sexual harassment or other forms of gender-based violence committed against any of the research team members, by any one of them, using digital platforms, the University protocol shall apply and the law of the land, if warranted.

3.3.7.3 Provision of Support Services in the Conduct of Research

The University Research Council shall provide support services to ensure the safest conduct of researchers and their team in research venues and an accommodation adequate enough to protect them from natural elements, and to secure them from threats to life, liberty, and property. If deemed necessary, the URC shall also provide the following support:

- a. Provision for legal services;
- b. Provision for psychological support;
- c. Provision for paralegal training (i.e., relevant project personnel must know their rights, understand legal procedure for arrests, searches, seizures, and initial criminal procedure, and recognize possible legal and meta legal tactics for countering harassment using legal system); and
- d. Provision for physical and/or digital security training, especially as a result of dissemination or publication (i.e., how to detect and counter physical and digital surveillance, and how to develop and adopt safety procedures and protocols).

3.3.7.4 Penalty for Violation of Safety and Security Measures

- a. The University requires all researchers and their team members and partners (external and university-based) to abide by the Safety and Security Measures provided in the University Research Manual.
- b. The researchers and their team have solidary responsibility over the safety and security of the conduct of research inherent to its successful completion. In case of incidents/ occurrences that raise questions on due diligence in complying with the safety and security measures, the University through the URC, in coordination with the HRMDO and the University Lawyer, shall deal with the violations. The principle of due process of law shall serve as the guide in handling the matter.
- c. The University process in handling the matter shall not preclude the aggrieved party from resorting to any appropriate course of action under the courts of the land.
- d. In the event of a proven violation of the Safety and Security measures in the conduct of research, the University Research Council shall deem it necessary to investigate whether such violation that resulted in an accident or incident was done with malicious intent or with willful negligence and shall serve the applicable penalty.

e. The penalties are as follows:

1. For a culpable violation (with malicious intent, willful) of the Safety and Security Measures resulting in:

	Penalty
Death of anyone of those involved in research	Suspension from applying for an institutional research grant (University & Externally-Funded) for not less than 4 years and 1 day, or a maximum of 10 years
Physical injury that required more than 30 days of hospitalization/recuperation/ disability	Suspension from applying for an institutional research grant (University & Externally-Funded) for not less than 2 years and 1 day or a maximum of 4 years
Physical injury that required one day to 30 days of recuperation /hospitalization	Suspension from applying for an institutional research grant (University & Externally-Funded) for not less than 1 year or a maximum of 2 years

2. For an act of omission or negligence of the Safety and Security Measures resulting in any of the consequences in 3.3.7.4.e, the minimum penalty may apply. If the proven violation resulted in

	Penalty
Death	Suspension from applying for research grants (University and Externally funded) for a maximum of 10 years, but not less than 4 years and 1 day.
Physical Injury a. More than 30 days of hospitalization/healing / recuperation/ Disability	Suspension from applying for research grants (University and Externally funded) for a maximum of 4 years and not less than 2 years and 1 day.
Physical Injury b. One (1) day-30 days of recuperation /hospitalization	Suspension from applying for research grants (University and Externally funded) for not less than 1 year and a maximum of 2 years.

3.4 Research Fund Management

The release of funds shall be guided by the performance and status of research activities stipulated in the work plan and schedule.

3.4.1 Withdrawal and Liquidation of Research Funds

- a. Research funds are restricted funds and therefore must be utilized for purposes so indicated in the approved proposal and budget.
- b. Requests for withdrawal can only be filed after the necessary funds have been transferred to the designated DCB account and subsequent withdrawal can only be granted to projects whose preceding withdrawal was already liquidated.

Process for Withdrawal of Research Funds

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Principal Research requests for withdrawal of research funds.	Principal Researcher	DCB form	Principal Researcher Head of Office/ URC Chair		Specify the item/s, activities for which the withdrawn funds are intended, and the names of recipient, venue and date.

- c. The withdrawal for request for payment of honorarium and other fee-related expenses must be guided by the following conditions:
 - 1. The 'request for payment' scheme applies to paying honorarium and other fee-related expenses. The Principal Researcher shall indicate in the payment request the complete name of the payees, the service contract that spells out the nature of their work and deliverables and the following additional details for non-Ateneo de Davao University personnel: full name with the fully specified middle name, TIN, or a PSA-issued Birth Certificate, and their complete address.
 - 2. The Finance Office channels the payment of honorarium and other fee-related expenses for ADDU personnel through the payroll and the others through checks.

3. Research fees and/or honoraria are subject to withholding tax. This shall be withheld by the University Finance Office. However, in cases of on-site payment, the researcher is authorized to withhold the 10% withholding tax. The amount corresponding to the withheld tax shall be deposited to the University Finance Office immediately upon return to the university. The researcher must attach in the liquidation report the voucher or acknowledgment receipt used in the transaction.
- d. Liquidation of the withdrawn fund must be guided by the rules of the Finance Office and the University Research Council as follows:

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Research Proponent / Main Proponent of Research Team liquidates the withdrawn research fund.	Research Proponent / Main Proponent of Research Team	a) Accomplished liquidation form from the Finance Office; b) Support documents such as Official Receipts, Vouchers (when applicable) and/ or explanatory notes (when necessary), and c) Summary of Expenses	Research Proponent / Main Proponent of Research Team Head of Office/ URC Chair		Expenses incurred must be covered by official receipts (OR).

- e. All research-related expenses must be covered by official receipts (OR). As much as practicable, researchers must strive to secure the services of those who can issue an OR. Use of vouchers is only a recourse for items with no available OR and for transactions whose total cost does not exceed One Thousand Pesos Only (PHP 1,000). Expenses below Five Hundred Pesos only (PHP 500) are considered as casual expenses
- f. Payments that use the "Request for Payment" form are not subject to liquidation.

3.5 Research Utilization

In consonance with the goal of conducting research that creates new knowledge and positive impact, the following research utilization pathways are enumerated below to provide the researcher an idea on utilization strategies.

3.5.1 Utilization through Research Dissemination

3.5.1.1 Research Presentation

A public research presentation can be initiated and/or supported by the URC to provide a venue for research proponents to disseminate the results of their research to the University community.

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
URC informs and coordinates with concerned researchers of a public research dissemination.	URC	Correspondence (via email)	URC Chair		
Research Proponent/ Research Teams confirm the schedule.	Research Proponent/ Research Teams	Correspondence (via email)	Research Proponent/ Research Teams		
The URC arranges the venue and the program of the Research Presentation	URC		URC Chair		
The URC informs and invites the University community to the event.	URC Chair	University Memo	URC Chair		

3.5.1.2 Research Publication

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Researchers shall submit their manuscripts for review to the UPO, <i>Tambara</i> , or reputable academic journals.	Research Proponent/ Research Teams	Correspondence (via email)	Research Proponent/ Research Teams		Manuscripts should follow the desired format of the UPO/ <i>Tambara</i> , or other reputable academic journals.
UPO, <i>Tambara</i> , and other reputable academic journal Editorial Board shall inform the research proponent/ Research Teams about the result of their review.	UPO Director/ Associate Director; Editor-in-Chief of <i>Tambara</i> or other academic journal	Correspondence (via email)	UPO Directors; Editors-in-Chief;		For submissions to UPO, please write to the Director via publications@addu.edu.ph For submissions to <i>Tambara</i> , please write to the Editor-in-chief via tambara@addu.edu.ph
The Researcher/ Research Team shall inform the URC of the submission to UPO, <i>Tambara</i> , or other reputable academic journals.	Researcher/ Research Team	Letter	Researcher/ Research Team		

3.5.1.3 Online Research Dissemination via the URC/Research Cluster Information Management System

The URC utilizes the URC/Research Cluster Information Management System to disseminate online the ongoing and completed research.

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC enters the research information of institutional research in the URC/Research Cluster Information Management System.	URC Staff	Approved Research Proposal/ Completed Project Report Notarized Professional Service Contract (PSC)			

3.5.2 Utilization through Commercialization

3.5.2.1 Copyright

For research projects where book publications and journal articles are deliverables, the URC encourages the application of copyright through the UPO and *Tambara*, respectively.

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects for publication as part of the deliverable.	URC Chair	Research report	URC Chair		
The researcher submits a manuscript to the UPO or <i>Tambara</i> for review.	Researcher	Manuscript	Researcher		

The UPO or <i>Tambara</i> reviews the manuscript according to their guidelines.	UPO Director/ <i>Tambara</i> Editor-in- Chief	Reviewed Manuscript	UPO Director/ <i>Tambara</i> Editor-in- Chief		
The UPO Director/ <i>Tambara</i> Editor-in-Chief recommends for application of copyright of approved manuscript.	UPO Director/ <i>Tambara</i> Editor-in- Chief	Approved Manuscript	UPO Director/ <i>Tambara</i> Editor-in- Chief		
The UPO Director/ <i>Tambara</i> Editor-in-Chief submits an application for copyright registration.	UPO Director/ <i>Tambara</i> Editor-in- Chief	Approved Manuscript	UPO Director/ <i>Tambara</i> Editor-in- Chief		
The UPO Director/ <i>Tambara</i> Editor-in-Chief informs the URC and the researcher that the copyright registration has been processed.	UPO Director/ <i>Tambara</i> Editor-in- Chief	Copyright registration application	UPO Director/ <i>Tambara</i> Editor-in- Chief		

3.5.2.2 Trademark and Service Marks

“A trademark or service mark is a distinctive sign or indicator used by an individual, business organization, or other legal entity to identify that the products or services to consumers with which the trademark or service mark appears originate from a unique source, and to distinguish its products or services from those of other entities” (University IP Policy and Guidelines, 2018).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects with outputs for trademark or service mark registration.	URC Chair	Research report	URC Chair		
The researcher is directed to the ITSO for the application of trademark or service mark.	Researcher	Research Output	Researcher		
The ITSO reviews the submission and applies for trademark or service mark.	ITSO Director	Application of Trademark or Service Mark	ITSO Director		
The ITSO informs the researcher and the URC about the application.	ITSO Director	Application of Trademark or Service Mark	ITSO Director		

3.5.2.3 Patenting

“A patent is an exclusive right granted for a product, process or an improvement of a product or process, which is new, inventive and useful. This exclusive right gives the inventor the right to exclude others from making, using, or selling the product of his/her invention during the life of the patent” (University IP Policy and Guidelines, 2018).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects with outputs for patent registration.	URC Chair	Research report	URC Chair		
The researcher is directed to the ITSO for the application of the patent.	Researcher	Research Output	Researcher		
The ITSO reviews the submission and applies for the patent.	ITSO Director	Application of Patent	ITSO Director		
The ITSO informs the researcher and the URC about the application.	ITSO Director	Application of Patent	ITSO Director		

3.5.2.4 Industrial Design

“An industrial design is the ornamental or aesthetic aspect of an article. This also includes a combination of applied art and applied science, whereby the aesthetics, ergonomics, and usability of products may be improved for marketability and production” (University IP Policy and Guidelines, 2018).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects with outputs for industrial design.	URC Chair	Research report	URC Chair		
The researcher is directed to the ITSO for the application of the industrial design.	Researcher	Research Output	Researcher		

The ITSO reviews the submission and applies for the industrial design.	ITSO Director	Application of Industrial Design	ITSO Director		
The ITSO informs the researcher and the URC about the application.	ITSO Director	Application of Industrial Design	ITSO Director		

3.5.2.5 Utility Model

“A utility model is a protection option, which is designed to protect innovations that are not sufficiently inventive to meet the inventive threshold required for standard patent application. It may be any useful machine, implement, tools, product, composition, process, improvement or part of the same, that is of practical utility, novelty, and industrial applicability” (University IP Policy and Guidelines, 2018).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects with outputs for utility model application.	URC Chair	Research report	URC Chair		
The researcher is directed to the ITSO for the utility model application.	Researcher	Research Output	Researcher		
The ITSO reviews the submission and applies for the utility model.	ITSO Director	Application of Utility Model	ITSO Director		
The ITSO informs the researcher and the URC about the application.	ITSO Director	Application of Utility Model	ITSO Director		

3.5.2.6 Layout-Designs (Topographies) of Integrated Circuits

“Integrated circuit layout, also known as IC layout, IC mask layout, or mask design, is the representation of an integrated circuit in terms of planar geometric shapes which correspond to the patterns of metal, oxide, or semiconductor layers that make up the components of the integrated circuit” (University IP Policy and Guidelines, 2018).

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies the research projects with outputs for Layout Designs (Topographies) of Integrated Circuits application.	URC Chair	Research report	URC Chair		
The researcher is directed to the ITSO for the Layout Designs (Topographies) of Integrated Circuits application.	Researcher	Research Output	Researcher		
The ITSO reviews the submission and applies for the Layout Designs (Topographies) of Integrated Circuits.	ITSO Director	Application of Layout Designs of Integrated Circuits	ITSO Director		
The ITSO informs the researcher and the URC about the application.	ITSO Director	Application of Layout Designs of Integrated Circuits	ITSO Director		

3.5.3 Utilization through Artistic Expressions

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Research Proponent/ Research Team utilizes the research output through the mounting of artistic expressions.	Research Proponent / Research Team	Proposal for Mounting of Artistic Expression Budget for Artistic Expression as Research Output Utilization	Research Proponent		The URC shall support and fund the mounting of artistic expressions if such is considered a deliverable in the approved research project.
The URC releases the allotted budget for the mounting of artistic expression.	URC Chair		URC Chair		

3.5.4 Utilization through Policy Advocacy Aid, Community Engagement, and/or Instruction

The URC encourages the utilization of research outputs to aid policy advocacies and community engagement activities, and to serve as instructional materials.

3.5.5 Utilization through Research

Research outputs may also be utilized by other faculty researchers through the conduct of additional research.

3.6 Administrative Support and Institutional Incentives

3.6.1 Basic Principles

Research is an integral function of a university and the faculty is primarily responsible for carrying out this function.

As stated in the 2005 ADDU Faculty Manual, “all faculty members are expected to engage to some extent in research and develop personal scholarship.” In addition, “each faculty member shares the general College responsibility for discovering and exploring new knowledge.”

For those who are drawn to do research by vocation and competencies, the conduct of their study must be given the same regard as teaching and community engagement. The University shall endeavor to provide an enabling environment for faculty who engage in institutional research. The University shall likewise provide mechanisms for the utilization of research vis-à-vis the other two functions of the University—teaching and engagement.

3.6.2 Enabling Institutional Support Mechanisms

Faculty may avail of one or more institutional support mechanisms and arrangements depending on the nature and extent of their research engagement.

The conduct of the research must follow a work plan agreed upon by the concerned Dean and faculty. It shall be subject to regular monitoring by the pertinent Department Chair or Program Director, where the one involved is from Higher Education Units, and the Unit Head for those from Basic Education.

The institutional research university personnel undertake must be regarded as part of their workload.

3.6.2.1 Institutional Research Workload Arrangement

- a. Faculty members commit to a teaching/instructional load assigned by the respective Units guided by Faculty Loading policies. The instructional load may include the teaching overload granted by the academic unit to teachers.

The taking on of research, an expected function among university teachers, must proceed vis-a-vis the total instructional load of teachers, such that:

- i. For Research Proponent/Research Team from the Basic Education Units, the personnel may take on institutional research simultaneously with their work assignments, as discussed, arranged, and duly approved by the Unit Heads.

- ii. Research Proponent/Research Team from the Higher Education Units may take on institutional research on top of their regular teaching assignment and instructional overload the Department grants when the need arises.
- b. If deemed necessary in meeting the research objectives and methodology, the Research Proponent/Research Team from the Higher Education Units may opt for one of the following:

- i. Blocking of Class Schedules

The faculty researcher may request the concerned Department Chair to block class schedules to secure class time from disruptions that may arise relative to requirements of research (e.g., data collection).

- ii. Substitution

At times when the research activity necessitates the researcher's physical presence, the faculty researcher may request the Department Chair for a substitute teacher to take over classes. The Unit of the researcher covers the payment for the substitute teacher. However, if the subject being taken over happens to be an overload subject, then the researcher's overload fee shall be channeled to the substitute teacher.

- iii. Instructional Deload

Beyond what is provided in Section 3.6.2.1 – b.2., faculty researchers have the option to apply for an instructional deload. Those who need an instructional deload must apply in writing to the University Research Council and to their respective Department Chair/Program Director.

The application of an instructional deload does not guarantee its approval. The URC reserves the right to determine the number of equivalent units of the deload based on the research objectives and methodology. The Department Chair or Program Director may approve or disapprove the application of the instructional deload in consultation with the concerned Assistant Dean, Dean, and Academic Vice President. At the same, the Department Chair or Program Director reserves the right to apply a cap on the number of units for instructional deload.

The URC shall review the request to determine the number of loads that can be applied for instructional deload based on the research objectives and methodology. The URC shall release the decision over the request, in writing. Upon receipt of a favorable decision from the URC, and with the approval of the Department Chair, endorsed by the Asst. Dean, Dean and the Academic Vice President, the Research Proponent shall be granted an instructional deload.

- c. The instructional deload is applicable only for the approved duration of the research project at the time of the contract signing, notwithstanding a granted extension. The length of service remains uninterrupted while availing of the instructional deload.

The faculty researchers with approved instructional deload can still take on instructional overloads.

- d. In terms of the period of applicability, the instructional deload may also be regarded as a year load. This is to ensure that the loading of classes does not get disrupted by the schedule and processes involved in the submission of proposals and awarding of the research grants.
- e. Faculty researchers with approved instructional deload shall still receive the research honorarium.
- f. For a research project with more than one researcher, the Principal Researcher shall confer with the Research Team on the beneficiary of the approved instructional deload.
- g. In exceptional cases when the external funding agency requires the full participation of the Research Proponent in the project, the University Research Council, in consultation with the Academic Unit Head, may recommend to the University President the appropriate arrangement on condition that the length of service remains uninterrupted. In such a case of a full instructional deload, the University shall require the researcher/s a publication as part of the research.

In such exceptional cases, the University shall not require the external funding agency to reimburse the institution for the compensation received by the researcher.

Application of Instructional Deload

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Research Proponent/ Research Team submits to the URC the application of instructional deload, attached to the full-blown proposal.	Research Proponent / Research Team	Full-Blown Proposal Application of Instructional Deload	URC Chair/ Executive Secretary		
The URC reviews the application and determines the equivalent units for instructional deload.	URC Chair and Members	Application of Instructional Deload			

The URC Chair informs, in writing, the Research Proponent / Research Team of the review results of the application of instructional deload.	URC Chair	Review Results of Application of Instructional Deload Certification on the X number of units equivalent for Instructional Deload	URC Chair		
The Research Proponent / Research Team submits the Application of Instructional Deload, together with the URC-certification on the number of units equivalent for instructional deload, to their respective Department Chair/ Program Director.	Research Proponent / Research Team	Application of Instructional Deload URC Certification on the X number of units equivalent for Instructional Deload			
The Department Chair/ Program Director, in consultation with the concerned Asst. Dean, the Dean, and the Academic Vice President, informs in writing, the Research Proponent the approval or disapproval of the application.	Department Chair/ Program Director	Letter of Approval or Disapproval	Department Chair/ Program Director		

3.6.2.2 Support for Research Presentations in Conference (Travel Grant)

The URC extends support to full-time faculty or other university personnel on regular status who would like to share and present their research results with fellow academics, practitioners of the field, and other stakeholders in settings such as local, national, and international conferences. This is done “in recognition of the enriching contribution that exchanges and/or discourses on such occasions bring to the intellectual pursuit as well as the search for truth that goes with research” (Please refer to Appendices B and C).

Interested university personnel may submit a request for a travel grant support on the condition that:

- a. The paper for presentation is an off-shoot of a completed institutional research or an off-shoot of a completed thesis/dissertation;
- b. The paper should not have been presented yet in another national/ international conference; and
- c. The concerned faculty or personnel of the university has expressed interest in publishing the paper in *Tambara*, in other journals of the university, in Indexed journals, or other reputable journals.

However, the travel grant is not an entitlement of the University faculty and other personnel on full-time or regular status, nor can it be awarded if such presentation is a compliance of an academic degree requirement. Instead, it is a grant awarded to an applicant whose research is of distinguished excellence in one's discipline and is of significant contribution to the body of knowledge that informs the University's pursuit of its mission.

One applies for the grant through the University Research Council. If upon favorable review, URC recommends the application to the University President for approval. Upon acceptance of the Notice of Approval, the recipient of the foreign travel grant shall coordinate with the University Research Council for the execution of the contract. The request for fund release commences upon the presentation of the notarized contract. Recipients of travel grants for domestic destinations may process the request to release funds upon receipt of the Notice of Approval.

The university travel grant shall be comprised of the following:

1. Conference Registration fee
2. Transportation for inter- and inner-city travel
3. Accommodation, including provision for arrival one day prior the start of the Conference until an overnight stay on its last day. The provision requires the grantee to depart from the place of Conference on board the first available flight or any other applicable means of transportation convenient to him/her.
4. Meals (for the entire duration of the conference plus one night)
5. Travel Insurance
6. Travel tax
7. Airport fees
8. Travel allowance, applicable for international conference (for laundry, medicine, communications, and meals as needed)
9. Per diem, applicable for national conference

Expenses incurred not within the recognized travel period and the inclusive dates of the Conference shall not be accepted as valid for purposes of liquidation and reimbursement and shall be chargeable to the grantee.

Request for Travel Grant Support

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
University personnel with regular status submits a letter of request for travel grant support	University personnel with regular status	Letter of Request for Travel Grant Support Endorsement from Unit Head/ Department Chair Copy of Final Research Report/ Copy of Abstract of Paper Notice of Acceptance for Presentation from Conference Organizers Proposed Budget	University personnel with regular status		URC Memo on Travel Grant Support (See Appendix N)
The URC invites the applicant to present the accepted paper for presentation to the council.	University personnel with regular status	Presentation			
The URC reviews and deliberates on the request for a Research Travel Grant.	URC Chair URC members	Letter of Request for Travel Grant Support	URC Chair		
Should the URC find the request meritorious, and without cause for question, it recommends to the University President for approval of the request.	URC Chair	Recommendation Letter	URC Chair		

Should the URC find any cause for question, the applicant shall be notified to address the lacking requirements.	URC Chair	Notification Letter	URC Chair		
The applicant complies with the lacking requirements.	University personnel with regular status	Additional Documents			
The University President approves the URC recommended travel grant support request.	University President	Recommendation Letter Stamp with Approval Signature	University President		
The URC notifies the applicant, in writing, of the favorable outcome of the recommendation.	URC Chair	Notice of Approval	URC Chair		
The URC initiates the execution of the contract if the request has been approved by the University President.	URC Chair	Contract for Travel Grant			
The URC requests the Finance Office to release funds after the contract is fully signed and notarized.	URC Chair	Notarized Contract for Travel Grant			
The URC shall likewise notify the applicant, in writing, in case of a disapproved request.	URC Chair	Notification Letter			

Post-conference Deliverable

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Upon return from the conference presentation, the recipient of the travel grant shall submit to the URC a brief report.	Travel Grantee	Copy of the presentation in PDF Learning and/or insights gained from the participation List of Contacts and their respective institutions Summary of Liquidation of Grant	Travel Grantee	15 days from date of arrival	

The Main Proponent/Researcher reserves the right to first application for a travel grant for the presentation of the research results. Should the research team decide otherwise, such that the co-proponent is allowed first to apply for a travel grant, the main proponent/ researcher shall write to the URC to this effect.

In the interest of equity in the allocation of resources, no faculty/personnel may apply for foreign travel grant support more than once in an academic year except when required by the University on account of its mission. Under such a case, a special mandate from the University President shall be required.

3.6.2.3 Support for Capacity-Building Activities

The URC supports research and publication related training that capacitates the University personnel and builds their confidence in conducting institutional research and publishable research papers. These activities can be initiated and organized by the URC. University personnel, through their Unit Heads, may also request support from the URC in the conduct of research and publication capacity-building initiatives.

URC-initiated Capacity-Building Activities

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The URC identifies, during their regular meetings, possible research-related training, seminars, or workshops for University personnel.	URC Chair URC Members	Minutes of Meeting	URC Chair/ Executive Secretary	1 day	
The URC sets a schedule for the identified capacity building activity.	URC Chair URC Members	Minutes of the Meeting			
The URC Chair informs the University President of the activity.	URC Chair	Letter to University President			
The URC invites the University community to the capacitybuilding activity.	URC Chair	URC Memo	URC Chair		

Client-Requested Capacity-Building Activities

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The University personnel, through the Unit Head, submits a request for URC support for proposed research and publication related capacity-building activity.	University Personnel	Request Letter for Support Proposal for Activity Tentative Budget	University Personnel Unit Head		
The URC reviews the request for support.	URC Chair URC Members	Request Letter for Support Proposal for Activity Tentative Budget Minutes of the Meeting	URC Chair		
The URC Chair informs the requestor, in writing, the decision regarding the request.	URC Chair	Letter of Approval/ Disapproval	URC Chair		
The URC acts on the request for capacitybuilding activity.	URC Chair	Request for Budget/ Invitation of Speaker/Venue Reservation	URC Chair		

3.7 Recognition/Celebration of Research

3.7.1 Modes of Recognition

The University recognizes personnel who engage in research and utilize its results on both the personal level and the public level.

3.7.1.1 Personal Level

This recognition of institutional and personal research, publications, and innovations is done by providing the following:

a. Research Honorarium

The research honorarium for the duration of the research grant is stipulated in the Professional Service Contract for approved institutional research.

b. Entry of Research/Publication Information in the URC Database

Research information of institutional and personally -contracted research are entered in the research database. For institutional research, data are automatically entered. For personally-contracted research, the research proponent/research team needs to submit a request for the research to be included in the database.

Request for Entry of Research Information

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent/ Research Team submits a request letter for the inclusion of personally contracted research information in the research database of the URC.	Research Proponent/ Research Team	Request Letter Contract that covered the engagement and all complied deliverables Research utilization in any of the following: 1. publication, instructional material 2. policy development 3. program/project development/ implementation 4. popular materials 5. prototype development 6. modeling, etc.	Research Proponent/ Research Team		
The URC acts on the request for entry of research information.	URC Staff	URC Information System website			

Request for Entry of Publication Information

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent/ Research Team submits a request letter for the inclusion of publication information in the research database of the URC.	Research Proponent/ Research Team	Request Letter Hard evidence, if applicable (e.g., copy of the book) Link to online articles (including the title of the journal or the indexing body)	Research Proponent/ Research Team		
The URC acts on the request for entry of publication information.	URC Staff	URC Information System website			

Request for Entry of Information for IP-protected Innovations

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The Research Proponent/ Research Team submits a request letter for the inclusion of IP protected innovations.	Research Proponent/ Research Team	Request Letter Certificate issued by the Intellectual Property Office of the Philippines (IPOPIL)	Research Proponent/ Research Team		
The URC acts on the request for entry of information for IP protected innovations.	URC Staff	URC Information System website			

c. Journal Publication Monetary Incentives

The University Research Council recognizes that “publication in scholarly journals that enjoy collective approval from various prestigious bodies of peers at the international, national and local level significantly indicates a vibrant publication culture, for which the university aims” (URC Memo No. 2013-201404). As such, a monetary incentive may be granted to authors of published articles in refereed journals.

Request for Monetary Incentive

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The published author submits a letter requesting to avail of the referred incentive.	Published Faculty	Letter of Request Publication Details (Title of Article, copy of/link to the article, date of publication, volume and issue number)	Published Faculty		
Upon receipt of information, the URC refers the article to the University Library for verification.	URC	Publication Details for verification by the University Library	URC Chair		
The University Library personnel informs the URC of the results of the verification.	University Library	Verification Results	University Library		
If the verification result is favorable, the URC Chair consults the members of the URC to recommend the article to the University President for awarding of monetary incentive.	URC Chair URC members	Verification Results	URC Chair		
The URC Chair recommends the awarding of monetary incentive to the University President.	URC Chair	Recommendation Letter	URC Chair		
Upon receipt of the signed approval from the University President, the URC Chair sends a congratulatory note to the author/s.	URC Chair	Letter of Approval	URC Chair		
The URC Chair instructs the requisition of the release of the corresponding funds and transfer to the author's bank account.	URC Chair	Release of Monetary Incentive	URC Chair		
If the verification result is negative, the URC Chair informs the published author.	URC Chair	Letter of Disapproval	URC Chair		

The University may decide, on the basis of a separate criteria and/or process, to grant a monetary award to:

- a. those who publish an article from a peer-reviewed book compiled by an editor(s) and published by a reputable publishing house; and/or
- b. those who publish an article on a topic of primary importance to the University not yet accepted for publication in indexed journals.

The University President shall be responsible for the decision to grant monetary incentive for this type of publication.

For book authors, the University Publications Manual shall govern the rules for the awarding of royalties.

The University Intellectual Property Policy and Guidelines and the University Finance Policy shall govern the rules for sharing benefits accrued from commercially developed products resulting from research.

3.7.1.2 Public Level

The University Research Council celebrates and honors the efforts of all University personnel involved in research and publication through the Research and Publication Recognition Ceremonies. This is scheduled once every three years.

Research and Publication Recognition Ceremony

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
The University Research Council meets and decides on the Research and Publication Recognition Ceremonies schedule.	URC Chair URC members			1 day	
The URC Chair requests approval of the ceremony schedule with the University President.	URC Chair	Letter to the University President	URC Chair	2 days	

<p>After confirmation of schedule, the URC communicates the schedule to the University community and calls for the submission of publications for inclusion in the Recognition Ceremonies.</p>	<p>URC Chair</p>	<p>URC Memo (Call for Submissions)</p>	<p>URC</p>		<p>Criteria for inclusion: Research - University employees involved in completed institutional research within the indicated coverage period Publication- all full-time and part-time University personnel who have published works within the indicated coverage period IP-protected research results within the indicated coverage period</p>
<p>Published personnel submit their publication information to the URC.</p>	<p>University employees with published works</p>	<p>Request Letter for Inclusion of Publications Link to/ copy of the publication</p>	<p>University employee</p>		<p>All received submissions are logged.</p>
<p>The URC sends invitations to awardees.</p>	<p>URC</p>	<p>Invitation Letter</p>	<p>URC Chair</p>		<p>Those who favorably accepted the invitation in writing or through email are included in the program.</p>
<p>URC sends the award to awardees who cannot join the Recognition Ceremony in their respective offices, or they may claim the award at the URC office.</p>	<p>URC/ University Personnel</p>	<p>Award to be claimed</p>			
<p>The URC returns the hard evidence of research and publication to the concerned authors.</p>	<p>URC</p>	<p>Submitted hard evidence of research and publication</p>	<p>URC</p>		

Operational Guidelines for Research and Publication Recognition Ceremonies

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Setting-up of Schedule with the University President	URC Chair	Letter	URC Chair	2 days	
Meeting 1 a. Setting up of Work Schedule b. Task Assignment c. Program Outline d. Venue & Caterer e. Reservations	URC Chair and URC Staff	Tentative List of Required Information, Calendar	None	1.5 hours	
Meeting 2	URC and Staff	Tentative Program Script	None	1.5 hours	
Issuance of University Memo for the date of the Recognition Ceremonies, Schedule for Document Submission (List of Completed Research and Publication, IP Protection and other accomplishments related to research, publication, and innovation) with hard or soft copy of evidence with accessible links.	URC Chair ICOMMP	University Memo	None		
Preparation of initial list of honorees by categories based on the URC database: a. Completed Research b. Conference Presentation (local, national, international) c. Indexed and Non-indexed	URC Staff	List of Completed Research, Publication, Conference Presentation, Certificates of IP Protection, List of Cited Personnel		5 days	

Journal Publication d. Book Publication e. Monograph Publication f. Authors with Citations g. Most Cited Authors					
Gathering of all submitted documents/ evidences for the initial list of honorees	URC Staff University Library	Documents/ proof	None	2 weeks	
Sending of invitation to the persons involved in the program (Reader, Emcee, Assistant of the President in Award-giving, Intermission artist & other guests)	URC Chair	Invitation Letter	URC Chair	1 week	
Finalization of the list of honorees	URC Staff	Documents/ Proof	None	2 days	
Preparation of Event Script	URC Executive Secretary URC Chair URC Staff	Event Script	None	2 days	
Preparation of Event Program	URC Staff	List of documents/ proof/ event script	None	1 day	
Sending invitation letters to the honorees and other invited guests	URC Staff	Invitation Letter	URC Chair	1 week	

Preparation of Certificates and Plaques for the Honorees	URC Staff URC Executive Secretary URC Members URC Chair	Event Script Pro-forma of Script for Certificate and Plaque	URC Chair University President	2 weeks	
Finalization of confirmed attendees (Honorees and other invited guests)	URC Staff	Email Confirmation	None	1 week	
Meeting 3	URC Staff	Final List of Honorees Program Script	None	2 hours	
Ocular visit to the event venue and cocktail venue	URC Staff	Permission from the PPO		½ day	
Creation of Seat Plan	URC Staff	List of Honorees	None	1 day	
Finalization of Script, Certificates, and Plaques	URC Staff	List of Honorees and submitted documents/ proof	None	2 days	
Orientation on task designation during the program (ushers, personnel to assist in the presentation, the honorees to fall in line, the emcee to check the honorees who are not called to come on stage)	URC Chair URC Staff UCEAC Staff		None	1 hour	

Research and Publication Recognition Ceremony and Cocktails	URC Research Cluster Awardees Selected Members of the University Community Intermission Artist Caterer	Official Script Program Certificates, Plaques		3 hours	
Post-Ceremony Evaluation	URC URC Staff			2 hours	

3.8 External Requests for University Participation in a Research

The URC also receives and reviews requests for university participation in research from external parties or institutions.

3.8.1 Request for Research Partnership with ADDU

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
External parties (individual or entity) interested in seeking research collaboration with the University sends a request addressed to the University President.	External party (individual/ entity)	Letter of Request to the University President	External Party		
The University President refers the request to the University Research Council	University President	Letter of Request From External Party Referral Email/Letter	University President		

Upon receipt, the URC reviews the request and forwards it to the particular University personnel/Office when mentioned in the request; otherwise, it shall identify the research office/personnel whose mandate and interest come closest to the subject of inquiry.	URC Chair URC members	Letter of Request from External Party Referral letter from the University President	URC Chair		
The interested party/office in the University coordinates with the URC on the progress and response to the request.	Interested University Office	Letter of Request from External Party Response Letter of the concerned University Office			
If the interested University office's response is favorable, the URC notifies the University President of the willingness to collaborate with the requesting Party.	URC Chair	Notification Letter	URC Chair		
The URC subsequently issues the written approval to proceed with the collaboration.	URC Chair	Letter of Approval	URC Chair		

3.8.2 Request to Conduct Study in ADDU

Procedure	Assigned Person/s	Documents Needed	Signatories (in order)	Duration	Remarks
Parties interested in using the University as one of its locales of study send a request letter addressed to the University President.	External Party Researcher	Letter of Request to the University	External Party		

The University President refers the matter to the University Research Council.	University President	Letter of Request from External Party Research Proposal Referral Letter from the University	University President		
Upon receipt of the referral, the URC reviews the request.	URC	Letter of Request from External Party Research Proposal Referral Letter from the University			
If the URC finds no cause for alarm with the subject of study, it will confer with the Head of Units/Offices from where the possible respondents will come from.	URC Chair		URC Chair		
The Unit/Office Head gives a decision, whether favorable or otherwise, to the URC.	Unit/Office Head	Letter of Favorable Response/ Letter of Refusal	Unit/Office Head		
If the URC receives a favorable response from the Unit/Office, the URC reviews again if the stated Ethical considerations and measures listed in the proposal sufficiently ensure that no harm will accrue to the institution and the respondents with their participation.	URC	Research Proposal			The same review on ethical considerations is applied to requests with Approval to Participate secured prior to the research proposal approval.
The URC decides whether to approve or to refuse the request.	URC	Letter of Approval/Refusal	URC Chair		
The URC informs the external party of its decision	URC Chair	Letter of Approval/Refusal	URC Chair		

3.9 Management Fee

All externally contracted/commissioned research shall pay the University a management fee/overhead cost corresponding to ten percent (10%) of the overall project cost. Fifty percent (50%) of the overhead cost shall remain with the University general fund, and the other fifty percent (50%) reverted to the initiating Office or to the Office where the researcher/s belongs.

The office that hosts the externally contracted research shall open a DCB Account to serve as a repository of the share received from the management fee/ overhead cost. The office shall reserve the fund for research, publication, innovation, research-led artistic expressions, and other similarly-oriented undertakings.

3.10 Effectivity Clause

This guideline was approved on the twelfth (12th) of July Two Thousand Twenty-Three and held effective the Thirty-First (31st) of July Two Thousand Twenty-Three until duly amended/repealed.

APPENDICES

Appendix A

RESEARCH AGENDA THEMES (2020-2025)

University Mission	Research Thrust/Theme	Goal No.
1. Reconciliation by the Father of Humanity with Himself	Good Governance	
	University Administration	1.3
	Development of the Sui Generis Leadership	5.0
	Strengthening of the Faith	
	Within the University	1.1
	Outside the University	1.2
2. Reconciliation by the Father of Human Beings with one another (humane humanity)		
2.1 Promoted social justice	Problematization & Responses to Social Justice Needs of Bangsamoro, Lumad, <i>Farmers</i> , Urban poor (<i>Families in Need in Parishes of the City, workers and OFW Families</i>)	2.1.1 – 2.1.4
2.2 Promoted Inter-cultural dialogue	Dynamics of Inter-cultural dialogue between and among Christians, Bangsamoro, and Lumad	2.2.1 -2.2.2
2.3 Promoted Inter-religious dialogue	Dynamics of Inter-cultural dialogue between and among Christians, Bangsamoro, and Lumad	2.3.1-2.3.2
2.4 Promoted inter-ideological dialogue	Dynamics of Inter-ideological dialogue: challenges and modalities	2.4
2.5 Promoted the creation of wealth and its equitable distribution.	Creation and Innovation Circular Economies and Local Innovation Ecosystem	2.8.7

	Development Framework on Wealth Distribution	
	Best Practices on Equitable Distribution of Wealth	
2.6 Strengthened its Science & Technology Research	Teaching Pedagogy in Science & Technology	2.6.2
	Internet Connectivity	
	Renewable Energy for Sustainable Development	
	Climate Change: Resilience, Adaptation & Mitigation Measures	
	Science & Agriculture for Food Security, and Economic Growth: Resilience, Adaptation & Mitigation amidst Changing Climate Pattern	
	Innovative Local Initiatives in Technology: High-Value Cash Crops & Traditional Medicine	
	Food Processing	
	Innovation in Traditional Medicine	
2.8 Promoted cultural understanding and friendship with its Asian neighbors.		2.8
2.8.1 Local Knowledge	Mindanao Culture & Arts	2.8.1
	Mindanao languages, esp. "Davao Bisaya"	2.8.2
2.8.2 Knowledge of Asian Neighbors	Languages of Asian neighbors (Indonesia, China, Japanese)	2.8.3
2.9 Promoted humane culture of learning	Education (Pedagogy, Disciplinary Content, Monitoring & Evaluation, Classroom Management, Student Discipline, Online Delivery of Teaching)	2.9
	Lifelong Learning	4.1 -4.2
	Mental Health, COVID-related concerns	2.9.1.1 -2.9.1.2

2.9 Promoted humane culture of learning	Education (Pedagogy, Disciplinary Content, Monitoring & Evaluation, Classroom Management, Student Discipline, Online Delivery of Teaching)	2.9
	Lifelong Learning	4.1 -4.2
	Mental Health, COVID-related concerns	2.9.1.1 -2.9.1.2
2.10 Promoted culture of the safety of children (abandoned children), women (victims of sexual violence and gender-related violence), and other vulnerable adults (differently-abled, Person with AIDS, Drug Dependents & Co-dependents)	Safe and Friendly Spaces for Children, Women, Differently-abled, and other vulnerable adults: Challenges and Best Practices	2.10
	Gerontology (<i>abandoned elderly</i>)	2.10
	Empowerment of Children, Women, Differently-abled, and other vulnerable adults: Challenges and Best Practices	2.10
3. The University has participated in reconciliation by the Father of humanity with the environment as "our common home."	Physical & social categories of mining, agriculture, and urban growth	3
	Water Security for Consumption, Agriculture and Urban Growth	
	Energy Security for Consumption, and sustainable economic growth	

*Italicized words are of the University Research Council for emphasis

Appendix B

GUIDELINES FOR PROVISION OF SUPPORT TO ATTENDANCE IN CONFERENCES

I. Rationale

The University in its effort towards promoting robust research extends research grants to its members. In support of the knowledge generation and promotion that propels the initiative, University researchers are likewise extended the opportunity to share research results with fellow academics, practitioners of the field and other stakeholders in settings such as conferences and fora. This is in recognition of the enriching contribution that exchanges and/or discourses in such occasions bring to the intellectual pursuit and search for truth that goes with research. Moreover, the possibility of meeting individuals whose research interest conforms to one's own may afford opportunity for possible networking or partnership that could advance one's research interest and likewise that of the institution. Hence, the travel grant in support of paper presentation in research-related conferences/fora/symposium.

However, the referred travel grant shall not be regarded as an entitlement of University faculty and other personnel on full-time or regular status. Instead, it is a grant awarded to an applicant whose research is of distinguished excellence in one's Discipline and is of significant contribution to the body of knowledge that informs the University's pursuit of its mission.

Henceforth, it is in this context that the support of the University for Attendance to conferences/fora must be viewed.

II. Persons Qualified to Avail of Support

- i. Full-time faculty or other personnel of the University, with a regular status, whose paper for presentation is an off-shoot of an institutional research (internally/externally funded) or an off-shoot of a thesis/dissertation. The paper has not yet been presented to another national/international conference, and;
- ii. The concerned faculty or personnel of the University has expressed interest to publish the paper in *Tambora*/ or two other journals of the University/ or indexed / or other reputable journals.

Accommodation**	Actual	Actual	Actual	Actual	Actual	Actual
Meals***	Standard	Standard	Standard	Standard	Standard	Standard
Allowance****	\$50	\$50	\$100	\$100	\$100	\$100

*Air travel should be on Standard Economy Rate.

** Choice of accommodation shall be drawn from the accredited list of the University Finance Office. But if this is not available, especially for foreign venues, the choice shall be drawn from the recommended facilities of the Conference organizers. The overriding consideration in the selection of place of accommodation shall be safety and cost control.

*** For Conferences held in the country, the corresponding Norm of the Finance Office for Meal Allowance shall apply. For Conferences held outside of the country, Standard Rates apply, Breakfast – USD 10, Lunch – USD 15 and Dinner – USD 15. Any of the meals covered in the registration/ in the accommodation shall be deducted from the allocation.

**** For Conferences held in the country, the corresponding Norm of the Finance Office for Per Diem shall apply. For Conferences held outside of the country, the norm on Allowance applies. Allowance is intended for contingencies such as medicine, laundry, meals (outside what is covered in the regular item Meals), and communication.

Note: All items are subject to liquidation.

IV. Procedures of Availment

- i. The applicant should submit the following to the University Research Council:
 - a. Letter of application for support with Endorsement from the Unit/School Head
 - b. Copy of the final research report
 - c. Copy of the Abstract of the Paper
 - d. Notice of Acceptance of the Paper for Oral presentation, (applicable for International Conference to be held outside the country)
 - e. Notice of Acceptance of the Paper for Oral and/ or Poster / E-presentation, (applicable for Conference located within the country)
 - f. Notice of Acceptance of paper for publication and/or evidence of action in support of intention for publication from any of the (University Journals, Indexed or journals from other reputable institutions).
 - g. Copy of Conference Announcement
 - h. Written disclosure of support or no support received from other organizations/ persons

- ii. The applicant may be invited by the URC to present before the Council the accepted presentation.
- iii. The University Research Council shall review the application for support.
 - a. Should it find the request meritorious and the items included in the request without cause for question, the URC shall immediately forward to the Office of the University President the recommendation for approval of the request. The applicant shall be notified of the outcome of the recommendation;
 - b. Should the URC find cause for question, it shall communicate such to the applicant. Once the questions are addressed and the URC has arrived at a favorable decision, it shall immediately forward to the Office of the University President the recommendation for approval of the request. The applicant shall be notified of the outcome of the recommendation;
 - c. Should the URC decide not to grant the request, it shall immediately communicate the decision to the applicant.

V. Return Requirements

The recipient of the travel grant shall submit a Brief Report upon return that includes the following:

- i. Copy of the Presentation in PDF File;
- ii. Learnings and/or insights gained from the participation that would be useful for the University;
- iii. List of individuals and their respective institutions with whom contacts were made; and
- iv. Summary of Liquidation of Grant Received (photocopy of what was submitted to the Finance Office)

The report together with the other return requirements shall be submitted within fifteen days (15 days) from the day of arrival.

VI. Penalties and Liabilities

- i. Once the travel grant contract has been executed and/or necessary payments pertinent to travel has already been made, a cancellation of travel by the grantee for reasons other than serious illness and/or untimely demise of the concerned

or any member of the immediate family, and/or force majeure, will result to full indemnification by the grantee of all the advances made by the University pertinent to the approved travel grant;

- ii. Failure to present in the appointed conference for reasons other than serious illness, untimely demise of the concerned or any member of the immediate family and/or force majeure, will result to full indemnification by the grantee of the Travel Grant including cost of Conference Registration;
- iii. Failure to comply with the return requirements will result to disqualification from availing of future research/publication travel grant;
- iv. Failure to return to the University to resume service will result in full indemnification by the grantee of the Travel Grant including cost of Conference Registration in addition to whatever liabilities that may be imposed by the University.

VII. Contract

In case of foreign travel, a contract covering the travel grant shall be executed.

This shall be signed by the Grantee and the University President. The Office of the University Research Services (OURS) shall initiate the preparation of the needed contract.

VIII. Limitations

- i. The URC will give preference to presentation of institutional research;
- ii. The main proponent/researcher reserves the right to first application for a travel grant for the presentation of the research results. Should the Team decide otherwise such that the co-researcher is allowed first to apply for the Travel Grant, the main proponent/researcher shall make a written presentation to the URC to this effect;
- iii. In the interest of equity in the allocation of resources, no faculty/personnel may apply for foreign travel grant support more than once in a school year except when so required by the University on account of its mission. Under such a case, a special mandate from the University President shall be required.

IX. Effectivity Clause

This Guideline was approved on the 13th of August Two Thousand Fourteen and shall take effect effective 18th of August Two Thousand Fourteen.

Appendix C

AMENDMENT TO EXISTING TRAVEL GRANT CONDITIONS



ATENEO DE DAVAO UNIVERSITY

E. Jacinto St., P.O. Box 80113, 8016 Davao City, Philippines
Tel. No. (63 82) 221 2411 local 8261 | Fax No. (63 82) 221 2411 local 8416
E-mail: research@addu.edu.ph | www.addu.edu.ph

In Consortium with Ateneo de Zamboanga University and Xavier University

University Research Council

Memorandum No. 2016-2017-05
September 5, 2016

MEMORANDUM TO: UNIVERSITY COMMUNITY

FROM: LOURDESITA S. CHAN
CHAIR
UNIVERSITY RESEARCH COUNCIL (URC)

RE: Amendment to Existing Travel Grant Conditions

Per the recommendation of the University Research Council and the approval made by the University President the following are considered preconditions in the awarding of travel grants and thus incorporated in the contract covering such grant.

- a. The coverage of the travel grant regarding accommodation includes provision for arrival a day prior the start of the Conference until an overnight stay on its last day. The provision requires the grantee to depart from the place of Conference on board the first available flight or any other applicable means of transportation convenient to him/her.
- b. Expenses incurred not within the recognized travel period and the inclusive dates of the Conference shall not be accepted as valid for purpose of liquidation and reimbursement and shall be rechargeable to the grantee.

The provision shall take effect on 6th September 2016 and shall remain in force until duly amended.

For your information and guidance.

Appendix D

UNIVERSITY INTELLECTUAL PROPERTY POLICY AND GUIDELINES



ATENEO DE DAVAO UNIVERSITY

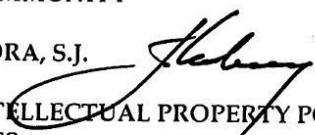
E. Jacinto St., 8016 Davao City, Philippines
 Tel No. +63 (82) 2212411 local 8200; Fax +63 (82) 226 4116
 e-Mail: pres@addu.edu.ph * www.addu.edu.ph

In Consortium with Ateneo de Zamboanga University and Xavier University

Office of the President

Memorandum No. 2018-084
 20 November 2018

PLEASE POST

MEMO TO: UNIVERSITY COMMUNITY
 FROM: FR. JOEL E. TABORA, S.J. 
 RE: UNIVERSITY INTELLECTUAL PROPERTY POLICY
 AND GUIDELINES

At the recommendation of the **President's Council**, the endorsement of **Dr. Lourdesita Sobrevega-Chan**, URC Chair, and the members of the **University Research Council**, I hereby approve the attached *University Intellectual Property Policy and Guidelines*.

This *University Intellectual Property Policy and Guidelines* will be effective thirty (30) days after its publication.

For your information and guidance.



Ateneo de Davao University
E. Jacinto St., Davao City

ATENEO DE DAVAO UNIVERSITY INTELLECTUAL PROPERTY POLICY AND GUIDELINES

PART 1. GENERAL STATEMENT

The Ateneo de Davao University states in its Strategic Plan, the “promotion of common good through social justice,” as one of its Key Result Areas. (USP 2015-2020, KRA 5,14). Towards this end, it commits itself to “promote the creation of wealth and its equitable distribution.” This articulation underscores the University’s recognition of the significant role played by the academe in wealth creation for a humane society by training and forming leaders and innovators through an environment that nurtures creativity and innovation.

As an educational institution, it encourages the generation of new knowledge through research from its faculty, staff, and students. These works of intellect, an output of study, research, design, and documentation among others are the University’s intellectual assets that may be published, protected, and shared with the community.

The University further believes that the relevant and timely sharing of its intellectual property through publication and commercialization can contribute to wealth generation. This is a crucial step towards the promotion of common good through equitable distribution of the generated resource.

PART 2. POLICY OBJECTIVES

The Intellectual Property (IP) Policy and Guidelines aim for the following objectives:

1. To facilitate the generation of intellectual properties among members of the University community namely copyrights, trademarks and service marks, patents, industrial designs, utility models, lay-out designs (topographies) of integrated circuits and other related intellectual creations;
2. To encourage employees and students to safeguard their creative works through the application of Intellectual Property protection;
3. To motivate the University community in generating intellectual properties by providing reasonable rewards and ensuring their equitable sharing between the creators and the University; and
4. To manage sharing of its Intellectual Property for the common good of the community.

PART 3. GUIDING PRINCIPLES

Section 1. The following principles and values serve as the anchor of the Intellectual Property Policy and Guidelines of Ateneo de Davao University:

Respect for persons. The duty to respect the self-determination and choices of autonomous persons. Respect for persons includes fundamental respect for intellectual freedom as well as recognizing and protecting these products of rationality.

Beneficence. The obligation to secure the well-being of persons by acting positively on their behalf and, moreover, to maximize the benefits that can be attained.

Nonmaleficence. The obligation to minimize harm to persons, and whenever possible, to remove the causes of harm altogether.

Proportionality. The duty, when taking actions involving the risk of harm, to so balance risk and benefits that actions have the greatest chance to result in the least harm and the most benefit to persons directly involved.

Justice. The obligation to distribute benefits and burdens fairly, to treat equals equally, and to give reasons for differential treatment based on widely accepted criteria for just ways to distribute benefits and burdens.

Ignatian values. The institutional values, such as *Magis*, *Cura personalis*, gender and cultural sensitivity, service, and respect for human rights shall serve as overriding consideration.

Section 2. Republic Act No. 8293 otherwise known as the *Intellectual Property Code of the Philippines* and Republic Act No. 10055 otherwise known as *Technology Transfer Law* to be part of this policy. RA 8293 and RA 10055 are primarily superior to this policy.

Section 3. The University Intellectual Property Policy and Guidelines are intended to encourage a healthy atmosphere conducive to research and development through a system of rewards, incentives, and responsibilities for the creation of intellectual property.

Section 4. The strength of the University lies in its faculty, staff, and students. The University's policies provide invaluable assistance in bringing the ideas of the faculty, staff, and students to the development and realization of intellectual properties within a framework of mutual trust, ethics, and professional respect.

Section 5. It is the University's intent to make these intellectual properties available to the public at the earliest possible time, using means appropriate to recognize and reward its creators and as well as serve the University's mission. The policy will define the rights and responsibilities of

the University, its faculty, staff, and students regarding ownership and benefit sharing of intellectual property.

PART 4. DEFINITION OF TERMS

Section 1. Intellectual Property (IP) refers to creations of the mind, among others, inventions, literary and artistic works, and symbols, names, images, and designs used in commerce, research and education, trade secrets and other related-intellectual creations.¹

Section 2. According to RA 8293, Intellectual Property includes: (a) Copyrights; (b) Trademarks and Service Marks; (c) Patents; (d) Industrial Designs; (e) Utility Models; (f) Lay-out Designs (Topographies) of Integrated Circuits; and (g) Other related intellectual creations.

PART 5. SCOPE OF POLICY AND GUIDELINES

Who Are Covered

Section 1. The persons identified below shall abide by this policy as a condition of employment or study:

- a. All University personnel, including but not limited to members of the faculty and staff holding appointments at or employed by the University, persons holding any form of research appointment, undergraduate, and graduate students.
- b. All other persons with inventions or creations that result in whole or in part from the use of University facilities or resources.

Section 2. The University shall be the owner of intellectual properties that are developed by the persons identified in Section 1, unless otherwise stipulated in a pertinent contract or agreement. Such that, the intellectual property was a result of their research and/or employment when:

- a. It is part of the duties and responsibilities given to them by the University;
- b. It uses University resources – funding, materials, facilities and other resources;
- c. And it is commissioned by the University duly covered with a contract or agreement.

Section 3. The contract or agreement about this policy may include confidentiality clause as may be necessary. A confidentiality clause should create an obligation of confidentiality, restriction of use and disclosure of information, limitation in access to information and explicitly as well as description of items held confidential.

Section 4. The University shall protect information pertinent to the intellectual property being applied for registration.

¹ Intellectual Property. (n.d.) In *World Intellectual Property Organization*. Retrieved from <http://www.wipo.int/about-ip/en/>

Section 5. Where private industry, foundations, or institutions have sponsored the research, licensing and franchising of patents and designs shall be negotiated between the sponsor and the University or its agent where appropriate. This also applies where the research has been funded by two or more organizations. The contract shall cover the agreements of concerned parties on the matter.

Disclosure

Section 6. The person to whom this policy applies to must disclose any conflict of interest prohibiting the assignment of the intellectual property to the University. It shall be the obligation of that person to inform the University Research Council, through his/her academic department, before entering upon a program of study at, entering the employment of, accepting any form of support from, or using the facilities of the University. Upon such disclosure, the University will enter into a mutual agreement regarding ownership of Intellectual Property. In the absence of such written agreement, ownership will be due to the university.

Section 7. Publication of research findings may be temporarily delayed to allow time for securing appropriate intellectual property protection.

PART 6. INTELLECTUAL PROPERTIES

ARTICLE I. COPYRIGHTS

Section 1. A copyright is a right given to creators for their literary and artistic works. It includes literary works, such as, but not limited to:

- a. Books, pamphlets, articles, e-books, audio books, comics, novels, and other writings
- b. Periodicals, newspapers, journals, magazines, and e-zines
- c. Lectures, sermons, addresses, speeches, and dissertations prepared for oral delivery
- d. Letters, circulars, encyclicals, e-mail, and other electronics messages
- e. Dramatic or dramatico-musical compositions, plays, operas, choreographic works, pantomimes, magic routines, and other novelty acts
- f. Musical compositions, with or without lyrics
- g. Drawings, paintings, architectural works, sculpture, engraving, prints, lithography, and other works of art
- h. Ornamental designs or models for articles of manufacture, industrial objects, and other works of applied art
- i. Illustrations, maps, plans, sketches, charts, and three-dimensional works relative to geography, topography, architecture, or science
- j. Drawings or plastic works of a scientific or technical character
- k. Photographic works, including works produced by a process analogous to photography
- l. Audiovisual works, cinematographic works, and works produced by a process analogous to cinematography or any process for making audio-visual recordings
- m. Pictorial illustrations and advertisements
- n. Computer programs, software, games, and applications

- o. Other literary, scholarly, scientific and artistic works, including reports, studies, research, theses, and other academic papers, examinations, online courses, presentations
- p. Sound recordings
- q. Broadcast recordings

Section 2. The creator or owner of works protected by copyright and their heirs shall have the exclusive right to use or authorize others to use the work on agreed terms. The owner and creator of a work can prohibit or authorize:

- a. Its reproduction in various forms, such as printed publication or sound recording;
- b. Its public performance, as in a play or musical work;
- c. Recordings of it, such as, in the form of compact discs, cassettes, videotapes, or other devices that can store a digital copy;
- d. Its broadcasting, by radio, cable, satellite, or other multimedia channels;
- e. Its translation into other languages, or its adaptation, such as a novel into a screenplay.

ARTICLE II. TRADEMARKS AND SERVICE MARKS

Section 1. A trademark or service mark is a distinctive sign or indicator used by an individual, business organization, or other legal entity to identify that the products or services to consumers with which the trademark or service mark appears originate from a unique source, and to distinguish its products or services from those of other entities.

Section 2. A trademark or service mark is typically a name, word, phrase, logo, symbol, design, image, or combination of these elements. This excludes a range of non-conventional trademarks comprising marks, which do not fall into these standard categories, such as those, based on color, smell, or sound.

Section 3. The creator or owner of a registered trademark or service mark shall have the right to commence legal proceedings for trademark infringement to prevent unauthorized use of that trademark or service mark.

ARTICLE III. PATENTS

Section 1. A patent is an exclusive right granted for a product, process or an improvement of a product or process, which is new, inventive and useful. This exclusive right gives the inventor the right to exclude others from making, using, or selling the product of his/her invention during the life of the patent.

Section 2. Patentable inventions include (a) a useful machine, (b) a product or composition, (c) a method or process, (d) an improvement of any of the foregoing, (e) microorganism or combination of microorganism, and (f) non-biological and microbiological process.

Section 3. The requirements for patentability shall be (a) novelty, (b) inventive step and (c) industrial applicability.

Section 4. Unless the University, thru the Innovation and Technology Support Office (ITSO), has issued a waiver of University's rights, the employee shall agree that there shall be no publicity or disclosure concerning the invention until patent applications have been filed. Once an invention is identified as potentially patentable, all publicity, public reports, interviews, news releases, speeches, public disclosure or public demonstrations of the invention after the filing of the application shall have prior clearance upon the recommendation of ITSO.

ARTICLE IV. INDUSTRIAL DESIGNS

Section 1. An industrial design is the ornamental or aesthetic aspect of an article. This also includes a combination of applied art and applied science, whereby the aesthetics, ergonomics, and usability of products may be improved for marketability and production.

Section 2. The owner or creator of an industrial design shall have the exclusive right against unauthorized copying or imitation of the design by third parties.

ARTICLE V. UTILITY MODELS

Section 1. A utility model is a protection option, which is designed to protect innovations that are not sufficiently inventive to meet the inventive threshold required for standard patents application. It may be any useful machine, implement, tools, product, composition, process, improvement or part of the same, that is of practical utility, novelty, and industrial applicability.

Section 2. The owner or creator of a utility model shall have exclusive rights similar to a patent.

ARTICLE VI. LAYOUT-DESIGNS (TOPOGRAPHIES) OF INTEGRATED CIRCUITS

Section 1. Integrated circuit layout, also known as IC layout, IC mask layout, or mask design, is the representation of an integrated circuit in terms of planar geometric shapes which correspond to the patterns of metal, oxide, or semiconductor layers that make up the components of the integrated circuit.

Section 2. The layout must pass a series of checks in a process known as physical verification. The appropriate checks in this verification process shall be *design rule checking (DRC)*, *layout versus schematic (LVS)*, *parasitic extraction*, *antenna rule checking*, and *electrical rule checking (ERC)*.

Section 3. The owner or creator of the layout shall have the exclusive rights similar to industrial designs.

ARTICLE VII. OTHER RELATED INTELLECTUAL CREATIONS

Section 1. All other related intellectual creations, not included in the foregoing articles, may be covered by this policy. The Innovation and Technology Support Office (ITSO) shall identify such intellectual creations or products.

Section 2. The owner or creator shall have the exclusive rights over such intellectual properties originating as the University has waived its rights.

ART 7. DISCLOSURE, EVALUATION AND COMMERCIALIZATION

1. Intellectual Property Disclosure and Evaluation Process. All requests for application of patent, copyright, trademark, industrial design, utility model, lay-out design of integrated circuits and other related intellectual creations are held in strict confidentiality by all parties. However, it is the obligation of the inventor to disclose his/her invention or discovery, including improvements and reductions to practice, to the University, through the ITSO, by this policy as one of the requirements for processing the application. All applications will undergo procedural checks and evaluation by the ITSO.
2. Obligations of the University during and after disclosure. The University will ensure that all requests for applications will be treated with confidentiality by the ITSO during the evaluation until they are protected. The ITSO shall execute a non-disclosure agreement with the creator of an intellectual product seeking protection.
The University will likewise maintain its openness to communicate with the researchers/inventors during and after the course of the conduct of evaluation and recommendation for clarifications and guidance.
3. Obligations of an inventor during and after invention disclosure. The inventors are encouraged to cooperate on matters relevant to the research or invention during and after disclosures.

ART 8. ADMINISTRATION OF INTELLECTUAL PROPERTY

The Innovation and Technology Support Office (ITSO) shall administratively implement this policy.

1. Creation of the Innovation and Technology Support Office (ITSO). In June 2, 2015, the Ateneo de Davao University (AdDU) and Intellectual Property Office of the Philippines (IPOPHIL) signed a memorandum of agreement creating the Innovation and Technology Support Office (ITSO), to oversee IP related activities of the University. ITSO will be one of the offices under the University Research Council (URC).

2. Functions of ITSO. ITSO is mandated to perform the following services:
 - a. Facilitate access to global science and technology information.
 - b. Promote domestic and globally - recognized innovations.
 - c. Assist and facilitate registration of Intellectual Property in Intellectual Property Office of the Philippines (IPOPIL).
 - d. Commercialize University registered Intellectual Property creations.
 - e. Provide capacity building trainings to volunteer experts of the University.
3. Staffing of ITSO. The following positions will operate ITSO:
 - a. Director:
 - i. Direct the overall functioning and operation of ITSO that is in line with the university mission and vision.
 - ii. Formulates strategic directions in technology commercialization in coordination with the URC.
 - iii. Establishes and maintains relationships with parties that form part of the innovation and commercialization ecosystem.
 - iv. Recommends to the University President, through the URC, the hiring, appointment, and retention of personnel needed by the office, in coordination with the Human Resource Management and Development Office (HRMDO).
 - v. Prepares the budget and/or seeks necessary funding for the operation of ITSO.
 - vi. Represents the University in any technology commercialization or technology transfer related functions.
 - vii. Performs other functions that may be required by the University.
 - b. Manager:
 - i. Facilitates the ITSO services, such as patent search and intellectual property registration, maintenance, and renewal.
 - ii. Organizes seminars and workshops on Intellectual Property for the University.
 - iii. Manages outside trainings and seminars for ITSO volunteer experts and staff.
 - iv. Performs other functions that the Director may require.
 - c. Administrative Staff
 - i. Handles the daily operations of the office.
 - ii. Maintains the office's records.
 - iii. Performs other ITSO related work that the Director or Manager may require.
4. Patent Specialists. Patent specialists are hired consultants who have a proven track record in filing patents, industrial designs, utility models, and layout designs. They assist the

ITSO in drafting the applications, such as but not limited to claim writing and technical drawing.

5. Volunteer Experts. ITSO will also have a pool of volunteer experts. The experts will be faculty researchers who are knowledgeable in a certain subject matter. There will also be experts from the College of Law who have knowledge and experience in IP law.
6. Coordination with the University Research Council (URC). The URC will act as an oversight and coordinating office for the ITSO.
7. Coordination with the University Legal Office (ULO). The University will act as the legal adviser, through ULO, of all matters relating to Intellectual Property.
8. Coordination with the University Publication Office (UPO). ITSO will coordinate with UPO for the publication and distribution of copyright works such as journals, books, and other creative commons.
9. Coordination with the Institutional Communications and Promotions (iCOMMP) Office. ITSO will coordinate with iCOMMP for the management and protection of University registered trademarks such as the school logo and shield.

PART 9. COMMERCIALIZATION

Section 1. After securing the protection of IP, the University shall initiate possible commercial venture with the interested party for the technology commercialization. Technology commercialization activities shall include the following activities: (a) licensing patented, trademarked, copyrighted or other non-patented technology to third parties for which the University or through its units, clusters or offices receive license fees and/or royalties, and (b) business development projects, including sponsored development, joint development or other business development.

Section 2. University faculty, staff, or student inventors may request a license to develop commercially their University-owned inventions where such licensing will enhance the transfer of the technology, is consistent with University obligations to third parties, and does not involve conflict of interest.

Section 3. The University shall protect the rights of all stakeholders in relation to technology commercialization.

Conflict of Interest

Section 4. For works assigned by the University, the creator is prevented from inhibiting the institution to use the work in pursuit of its mission. This only applies when a conflict of interest arises.

PART 10. ROYALTIES, REWARDS, AND INCENTIVE

Section 1. The revenue from these intellectual properties will be shared between the university and its inventors or creators. The sharing scheme is designed to provide fair and equitable distribution among all stakeholders involved in the commercialization efforts.

Section 2. All monetary consideration received by the University in exchange for licensing rights to use an intellectual property it owns, excluding copyrights, shall be subject to the following scheme:

Distribution of Ateneo de Davao's Licensing Income

- a. Deduct the Expenses incurred for the protection and commercialization of the technology. These expenses include patent filing, prosecution and maintenance fees, and marketing and litigation costs incurred in commercializing and defending the specific invention.
- b. Distribute the first PHP 300,000.00 of Gross Income to the inventor/s. This is in recognition of individual creativity and inventorship.
- c. Distribute the Net Income as indicated below:

Stakeholders	Net Income of less than P5M [^]	Net Income of more than P5M
Inventors*	35%	30%
University		
1. Research Fund**	50%	55%
2. Scholarship Fund	15%	15%
TOTAL	100%	100%

NOTE: The first PHP 5 Million income includes the PHP 300,000 awarded to the inventor.

NOTE: The inventor may, at his/her option at the time of annual distribution of these funds, deposit in a University account all or part of the inventor's share to support his/her research in his/her research unit. The inventor's share shall survive termination of affiliation with the University and, in the event of inventor's death, shall pass to his/her estate.

*NOTE: The research fund shall be used, but not limited to the purchase of research equipment and materials as well as covering for the operating expenses of the ITSO. Any unused research funds during the year shall be transferred to the scholarship fund.

Section 3. For royalties, rewards, and incentives concerning Copyrights, the University Publication Guidelines shall be followed.

PART 11. POLICY AND GUIDELINES IMPLEMENTATION

Section 1. This policy shall be administratively implemented by the Innovation and Technology Support Office through its Director.

Section 2. In case of doubt in the interpretation and implementation of this policy, it shall be resolved in favor of the creator or author of the intellectual property.

Section 3. In case of a conflict arising out of the interpretation and implementation of any provision of this policy, agreement or contract, the ITSO, in coordination with ULO, shall have the mandate to resolve the issue/s.

PART 12. AMENDMENT

Section 1. This policy is under study and shall be given 2 years before any changes or amendments may be initiated.

EFFECTIVITY CLAUSE

This Policy and Guideline shall be held effective thirty days after its publication. The publication shall be made within fifteen days from the day of approval.

Appendix E

GUIDELINES FOR JOURNAL PUBLICATION MONETARY INCENTIVES

I. Rationale

The University aims for a vibrant publication culture, publication being one critical venue through which transmission of knowledge is reliably attained. It recognizes that publication in scholarly journals that enjoy collective approval from various prestigious bodies of peers at the international, national and local level significantly indicates such culture. Henceforth, it is committed to hastening and supporting the involvement of its faculty in this endeavor that every scholar must strive for.

Realizing that going through the process of scholarly writing can at times be daunting, the University would like to extend added affirmation to those who have successfully hurdled the challenge of getting their thoughts read by others, especially by respected bodies of peers. At the same time, the University takes care that this is done without diminishing the ideal motivation that should propel its publication work.

In the context of the Ateneo de Davao University, an honorarium can and does take on the character of the monetary incentive for publishing. In keeping with the rules of the Bureau of Internal Revenue (BIR), a monetary incentive/honorarium is income for the faculty member to whom this is given. As such, *an honorarium is subject to tax.*

II. Publications that Qualify for Monetary Incentives

Only those publications in refereed journals put out by reputable universities and colleges will be given monetary incentives. Authors of refereed books already receive royalties, so monetary incentives may no longer be necessary.

III. Norm for the Determination of the Award

- a. The amount of the monetary incentives shall be based on the category of the refereed journal relative to its geographical scope: local, national, and international
 - i. Refereed local journals are those published within the Davao

Region and Mindanao. If a local journal is accredited by the Commission on Higher Education (CHED), automatically, it is considered as a national journal. A faculty who published in a refereed local journal (as sole author) receives P 3,000 (per article).

- ii. Refereed national journals are those published outside the Davao Region and Mindanao. The amount of incentives is computed on the basis of the journal's CHED accreditation category. National journals that are indexed in ISI (Thomson Reuters) and Scopus are automatically considered as refereed international journals. Under the CHED standard these national journals are considered Category A-2. A faculty who published in a refereed national journal (as sole author) receives:
 1. Category A-2 - P10,000 (per article)
 2. Category B - P 7,000 (per article)
 3. No Accreditation - P 3,000 (per article)

- iii. Refereed international journals are those published outside the country, whether in Europe, US, Asia Pacific, or Africa. Only those journals indexed in ISI, Scopus, and other legitimate indexing bodies are considered for monetary incentives (e.g., Excellence in Research for Australia –ERA, European Reference Index for the Humanities, among others). In cases when the journal is not yet indexed, the reputation of the international publisher (Springer, SAGE, Taylor & Francis, Acumen, PEETERS, universities, among others) will be used as an indicator of quality. A faculty who published in refereed international journal (as sole author) receives:
 1. ISI, IBJ & Scopus - P 30,000.00 (per article)
 2. Other Indexing Bodies & Reputable Publisher - P 15,000.00 (per article)

- iv. In case of an article with multiple authors, the monetary incentives will be properly adjusted on the basis of the faculty's specific contribution (Is he/she the first author, second author, or third author?). In such a case, it might be necessary to require the said faculty to provide a brief explanation. The general rule should be: Published articles with a sole author must be given higher monetary incentives than those with multiple authors.

IV. Other Publication that May Be Provided Monetary Incentive

The school may decide on the basis of separate criteria and/or process to grant monetary award to, a) those who publish an article from a peer-reviewed book compiled by an editor(s) and published by a reputable publishing house (as listed above); and, b) those who publish an article on a topic of primary importance to the University yet not accepted for publication in journals indexed and/or listed in ISI, IBJ Scopus, and other legitimate

indexing bodies. The University President shall be responsible over the decision to grant monetary incentive for this type of publication.

V. Procedure for the Granting of Award

- a. The faculty shall inform in writing the University Research Council about the publication. The letter shall be supported by pertinent documents such as copy of the journal where the article appeared;
- b. The University Research Council shall conduct the necessary review and make appropriate recommendation to the University President, who makes the final decision to give the honorarium;
- c. The honorarium shall be awarded at the time designated by the University Research Council;
- d. The honorarium shall be subject to applicable income tax liabilities.

VI. Other Form of Monetary Incentive

The University through its Research Council and with the approval of the University President may provide needed financial support to enable faculty to publish in journals indexed in ISI, IBJ & Scopus, and other legitimate indexing bodies.

VII. Effectivity Clause

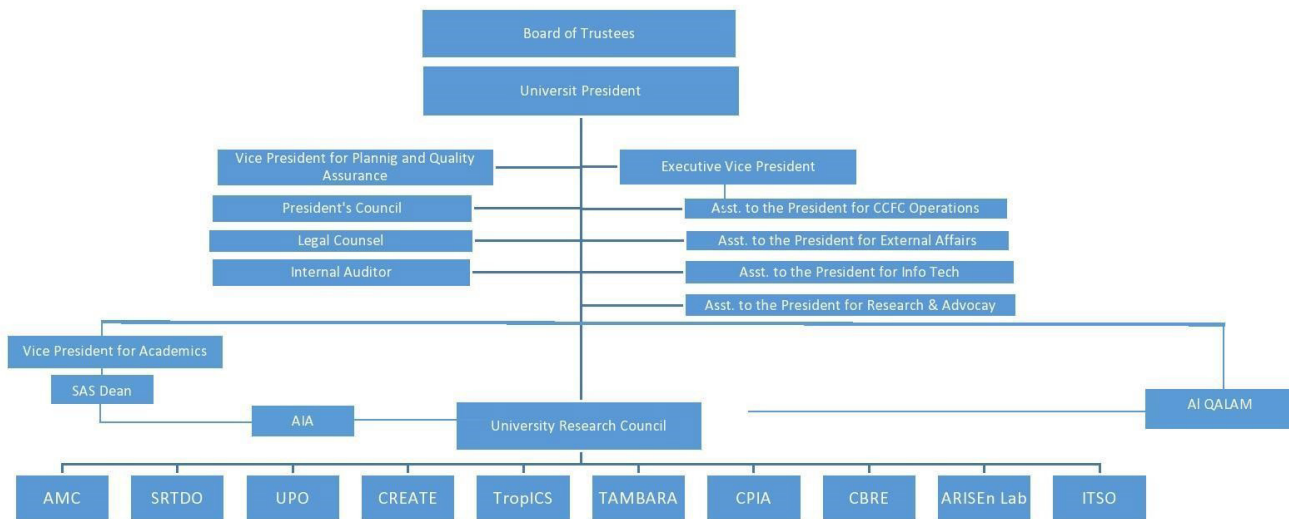
This guideline is deemed effective Sixth of September Two Thousand Thirteen and shall remain enforced until duly amended.

Appendix F

RESEARCH CLUSTER ORGANIZATIONAL CHART



Research Cluster - Organizational Chart
Ateneo de Davao University
University Research Council



Appendix F- Research Cluster Organizational Chart

Appendix G

CAPSULE PROPOSAL ASSESSMENT FORM



ATENEO DE DAVAO UNIVERSITY

E. Jacinto St., 8016 Davao City, Philippines

Tel No. +62 (82) 221.2411 local 8621; Fax +63 (82) 224.2955

e-Mail: research@addu.edu.ph * www.addu.edu.ph

In Consortium with Ateneo de Zamboanga University and Xavier University

University Research Council

Research Proposal No.

Unit:

Research Title:

Proponent/s:

University & Department/Unit Agenda:

Research Thrust/Agenda:

Comments:

Parts of the Capsule Research Proposal	Comments	Recommendation
Title		
Introduction		
1. Statement of the Problem		

2. Objective of the Study		
2. Purpose of the study and delimitations		
3. Significance of the Study		
Methodology		
1. Type of Research Design		
2. Population, Sample, and Participants		
4. Data Analysis Procedures		
Anticipated ethical Issues		
3. Timeline (in months)		
4. Proposed Budget		

Status of Attachments

Attachment	Status
1. Full Name of Principal Proponent and other proponents (if there are)	
2. Official Designation in the University if occupying an administrative post, please indicate term of office	
3. Highest Academic Degree	
4. List of research experience/s	

5. List of experience and/or involvement that would indicate the proponent/s' familiarity with or ability to undertake the chosen research topic, this may include membership in Professional Societies;	
6. List of Special Skills Crucial for the research	
7. Certification of the immediate academic supervisor and the Unit Head on the relevance of the topic to the research agenda of the Unit and not on Faculty Development Grant.	

Decision:

Documenter:

**Attested by: Vida Mia Valverde, PhD
Executive Secretary, URC**

Appendix H

FULL-BLOWN PROPOSAL ASSESSMENT FORM



ATENEOS DE DAVAO UNIVERSITY
 E. Jacinto St., 8016 Davao City, Philippines
 Tel No. +62 (82) 221.2411 local 8621; Fax +63 (82) 224.2955
 e-Mail: research@addu.edu.ph * www.addu.edu.ph
In Consortium with Ateneo de Zamboanga University and Xavier University

University Research Council

Research Proposal No.

Research Title:

Proponent/s:

University & Department/Unit Agenda:

Expected Deliverables:

Comments:

Parts of the Research Proposal	Recommendation	Action Taken/Comment/s
Title		
Introduction		
1. Background of the Study		
2. Theoretical Perspective/Framework		
3. Statement of the Problem		

4. Key Questions/ Hypothesis		
5. Objectives of the Study		
6. Purpose of the Study		
7. Significance of the Study		
8. Scope and delimitation of the Study		
9. Terms and Definitions		
Review of the Literature		
Methodology		
1. Type of Research Design		
2. Population, Sample, and Participants		
3. Data Collection instruments, variables, and materials		
4. Data Analysis Procedures		
Anticipated ethical Issues		
Preliminary pilot findings (if available)		

Expected Outcomes		
Appendices		
1. Interview questions		
2. Observational Forms		
3. Timeline		
4. Proposed Budget		

Decision:

Documenter:

Attested by:

Vida Mia Valverde, PhD
Executive Secretary

Appendix I

REQUEST FOR PROJECT EXTENSION FORM

Questions	Response
What are the completed parts of the research?	
What are the conditions warranting the request for extension?	
What are the parts of the research for completion?	
What is the time required to finish the parts for completion? (pls. specify in hours)	

Researcher/s

Appendix J

CERTIFICATE OF COMPLETION

CERTIFICATE OF COMPLETION

This is to Certify that _____ has completed the
research project _____
conducted within the period _____.

Chair
University Research Council

Appendix K

CERTIFICATE OF AVAILABILITY

CERTIFICATE OF AVAILABILITY

This is to Certify that _____ is available to undertake research within the period _____. He/ she is not enrolled in a degree leading course or a recipient of a faculty development grant. He/she is not on personal leave.

Department Chair/Assistant Dean/Unit Head

Appendix L

RISK ASSESSMENT FORM

RISK ASSESSMENT FORM

Research Title:	
Project Leader:	
Contact Person in the community:	
Address or Location of Community:	
Estimated distance from the main road:	
Distance from Davao City <i>(kindly attach a Google Map or equivalent)</i> :	
Address of the nearest Police Station or Government Agency in the Community:	

Description of Risks	Risk Level (RL)	Preventive Actions to reduce risk	Target Date of Implementation <i>(Before the visit)</i>
1.			
2.			

**Add more rows if needed*

		(L) Likelihood of hazardous event				
(RL) Risk Level RL = (C x L)	Very unlikely	Unlikely	Fairly likely	Likely	Very likely	
(C) C o n s e q u e n c e	Catastrophic	Medium	High	Very High	Very high	Very High
	Major	Low	Medium	High	High	Very High
	Moderate	Very low	Low	Medium	Medium	High
	Minor	Very low	Low	Low	Medium	Medium
	Insignificant	Very low	Very low	Low	Low	Low

Prepared by:	
Date:	
Signature	

**RISK IDENTIFICATION CHECKLIST
for Researchers conducting Laboratory Research**

Data Protection	Yes	No	n/a
1. Will you guarantee that the data will be stored using software that the University Research Council has approved?			
2. Will you ensure that personal data will be anonymized?			
3. Will you ensure written agreement with participants regarding on-campus maintenance of records?			
4. Will you assure that the research won't jeopardize an individual's physical health or safety in the event of a data breach or if the data proves to be inaccurate?			

5. Will the activity involve covert research?			
General Safety	Yes	No	n/a
1. Will you secure permissions and authorizations from the Laboratory management to carry out the research activity prior to its commencement?			
2. Will you arrange for the activity to occur during regular working hours (8:00am – 5:00pm)?			
3. Should the activity need to take place beyond working hours, will you have abundant support from the Laboratory Management?			
4. Will the experiment comply with the protocols and guidelines of the identified laboratory?			
5. In case of unforeseen calamities, are you aware of the evacuation & communication protocols of the Laboratory?			
Preparation	Yes	No	n/a
1. Are the equipment and materials being acquired from a certified supplier?			
2. Is the chosen logistics provider suitable for delivering the equipment and materials?			
3. Does the laboratory have established protocols or guidelines for receiving such equipment and materials?			
4. Do the laboratory staff, researchers, and management have copies of the required Safety Data Sheets (SDS)?			
Manuals	Yes	No	n/a
1. Do the researchers have access to the current version of the Laboratory Safety Manual?			
2. Do the researchers and the laboratory management know how and when to report accidents, incidents, or near misses?			
3. Are evaluations for potential hazards performed and recorded when new work procedures are introduced or when new chemicals are used?			
Personal Protective Equipment & Safety Training	Yes	No	n/a
1. Has an assessment of Personal Protective Equipment (PPE) hazards been conducted for all laboratory activities?			

2. Have all laboratory personnel undergone Personal Protective Equipment (PPE) training?			
3. Has a safety training assessment been completed for laboratory staff, researchers, and volunteers?			
Emergency Kits & other areas	Yes	No	n/a
1. Does the laboratory have access to chemical/biological spill kits?			
2. Do laboratory personnel have access to a fully stocked first-aid kit?			
3. Are eyewashes flushed on a weekly basis and is the flushing documented?			
4. Are eyewashes and showers accessible within 50 feet from each respective work areas?			
5. Are eyewashes and showers free of obstructions?			
6. Are fume hoods and rear ventilation are unblocked or uncovered?			
Hazardous/Flammable Items (Storage, Waste and Disposal)	Yes	No	n/a
1. Are chemical containers in good condition and compatible with their contents?			
2. Are incompatible chemical items segregated by hazard class?			
3. Are flammable liquids and solids stored appropriately?			
4. Are hazardous material quantities within limits allowed by the Fire Code?			
5. Are corrosive chemicals stored below eye level?			
6. Is the laboratory free of chemicals that are old and no longer needed?			
7. If the laboratory engages with biohazards such as recombinant DNA, human or non-human primate material, or pathogenic agents, does it possess a Biological Use Authorization?			
8. Are biohazardous blades, needles, and other sharps promptly and properly disposed in the appropriate container?			

If your response to any of these questions was 'No', please accomplish the risk assessment form. Details of the identified risks should be incorporated into your proposal, including strategies on how each risk will be minimized or mitigated.

**RISK IDENTIFICATION CHECKLIST
for Researchers conducting Community Research**

Data Protection	Yes	No	n/a
1. Will you guarantee that the data will be stored using software that the University Research Council has approved?			
2. Will you ensure that personal data will be anonymized?			
3. Will you ensure written agreement with participants regarding on-campus maintenance of records?			
4. Will you assure that the research won't jeopardize an individual's physical health or safety in the event of a data breach or if the data proves to be inaccurate?			
5. Will the activity involve covert research?			
General Safety	Yes	No	n/a
1. Will you secure permissions and authorizations from the LGU (Local Government Unit) to carry out the research activity prior to its commencement?			
2. Will you ensure the site safety procedures meet or exceed the University standards?			
3. Will you guarantee that the LGU (Local Government Unit) will accompany and accommodate you on the conduct of the research?			
4. Will you arrange for the activity to occur during regular working hours (8:00am – 5:00pm)?			
5. Should the activity need to take place beyond working hours, will you have abundant support from the LGU?			
6. Should the activity need to take place beyond working hours, will you have abundant resources for all researchers and participants (food, water, communication, etc.)?			

7. Will you guarantee that logistical facilities, such as vehicles used for fieldwork, are approved by the University, or comply with the University's set standards (e.g., insurance, documented regular maintenance)?			
8. In case of unforeseen calamities, are you aware of the evacuation & communication protocols of the LGU?			
Participants	Yes	No	n/a
1. Will the activity cause participants anxiety, stress, or harm?			
2. Is participation voluntary?			
3. Will the activity touch on topics that could be sensitive for participants?			
4. Will you ensure that participants are fully briefed to avoid or at least reduce any potential anxiety, stress, or negative feelings?			
5. Will the community members be contributing most of their time and resources to the research?			

Location/Area	Yes	No	n/a
4. Will you guarantee that meetings and discussions with participants occur in adequately lit areas?			
5. Will you ensure that safety and emergency exits are not blocked to all participants?			
6. Will you inform the participants what equipment and items will be allowed in the area?			
7. Will you ensure the safe departure of participants from the premises after their involvement in the activity?			
8. Will your research take place within an indigenous community located in or possessing an ancestral domain?			
9. If you answered 'yes' to question #5, will you obtain Free, Prior, and Informed Consent (FPIC) from the community?			
10. Will you refrain from carrying out your research activity in areas with high hydrological and geophysical risks, such as flood-prone, earthquake-prone, or landslide-prone regions?			
Researcher Safety	Yes	No	n/a

1. Have you thought about the strategies you might need to have in place in case you need to leave due to concerns about your personal safety or the behavior of the participants?			
2. Will you set up contingency procedures for yourself and all members of the research team to ensure everyone is aware if an unforeseen problem occurs?			
3. Will you abstain from carrying substantial amounts of cash and valuables?			
4. Will you guarantee that you will have enough appropriate equipment such as PPE to conduct the activity safely?			
5. Will you ensure all items, chemicals, equipment, etc. that you will use are of good quality?			
6. Will you secure an insurance policy for the research team?			
7. Will you secure a safe conduct pass from the military?			
Communication	Yes	No	n/a
4. Will you ensure means to contact the participants and are able to maintain contact throughout?			
5. Will you ensure means to contact the LGU and are able to maintain contact throughout?			
6. Will you ensure means to contact the University and are able to maintain contact throughout?			
7. Will you immediately inform the University if there is distress on the part of participants, yourself, or research team members?			
Political/Social Impact	Yes	No	n/a
1. Will your presence, along with that of the research team, cause significant disturbances to the daily routines of the community?			
2. Will your research link to the community's wider socio-political agenda?			
3. Could the findings from the research potentially lead to stigmatization or discrimination of community members?			

If your response to any of these questions was 'No', please accomplish the risk assessment form. Details of the identified risks should be incorporated into your proposal, including strategies on how each risk will be minimized or mitigated.

INCIDENT REPORT for ongoing Research

Research Title:	
Project Leader:	
Address or Location of Research:	
Date of Report:	

Incident Type:	
Date and Time of Incident:	
Exact Location & Address:	
Incident Description	

Name / Role of parties involved:	Contact Number / Email
1.	
2.	

**Add more rows if needed*

Name / Role of witnesses:	Contact Number / Email
1.	
2.	

**Add more rows if needed*

Corrective actions taken:
1.

2.
3.

**Add more rows if needed*

Reported by:	
Title/Role/Position:	
Signature:	

Appendix M

EXTERNAL RESEARCH GRANT FORM

EXTERNAL RESEARCH GRANT FORM

Questions	Comments	
	Yes	No
1. Is the subject of the study relevant to the University Vision/ Mission?		
2. Is the subject of the study aligned with the University Research Agenda?		
3. Are the members of the Research Team available to conduct the study? **		
4. Is the request for an instructional deload feasible given indication on the possibility of such request?		
5. Does the research proposal indicate preparedness of the research team to deal with assessed risk surrounding the research? ***		

*The Review Form is a guide for the University Research Council to ascertain areas of concern crucial to the University before endorsing the proposal for the University President to approve the involvement of the University in the project. The technical and ethical strength of the proposal is presumed to have been ascertained by the Funding Agency, it being the basis for approving the grant.

**For this question, the Completed Certificate of Availability shall be required.

***For this question, the presentation of the External Partner and of the Researcher as indicated in the Risk Assessment and Security Plan of the proposal shall serve as a basis.

Appendix N

PROFESSIONAL SERVICE CONTRACT TEMPLATE

PROFESSIONAL SERVICE CONTRACT TEMPLATE

PROFESSIONAL SERVICE CONTRACT (SY- Semester- No.)

This PROFESSIONAL SERVICE CONTRACT is entered into by and between

Ateneo de Davao University (ADDU), with its principal office at E. Jacinto Street, Davao City, represented in this act by its current President, **(name of President)**, hereinafter referred to as the First Party,

and

(name of Main/Principal Researcher, of legal age, *Filipino*, and resident of *Davao City*, Philippines, hereinafter referred to as the Second Party

WITNESSETH

1. SCOPE OF WORK. The Second Party shall be primarily responsible as principal proponent to carry out the research project "*(Title of Research)*" **as** detailed in the officially received final version of the research proposal and without prejudice to other provisions in this contract.
2. EXPECTED OUTPUT/DELIVERABLES. The Second Party is expected to submit as final output:
 - a) a hardcopy and a softcopy of an abstract or a short text for use/distribution during a first public presentation within the ADDU academic community,
 - b) nine hardbound copies and a softcopy of the Project Final Report (along with the corresponding one-to two-page Executive Summary), the basic format and structure of which shall ultimately be set by the Ateneo de Davao University Research Council (URC), with the current Graduate School format being the default format and structure, plus
 - c) results of the ADDU Main Library electronic text-originality checking and the electronic grammar checking of the above Final Report,
 - d) a photocopy of each of the three Liquidation Reports and a countersigned Attestation of Turnover of certain items to the concerned ADDU Unit (as specified further below in this contract).
 - e) a two-page Financial Report for the entire project, in sufficient detail as to allow a comparison of the original proposed budget and the actual expenditures made, both of the programmed expenditures and the unexpected expenditures.
 - f) completed entries into the Program for Research Information and Status Monitoring (PRISM).

3. PROJECT DURATION. The entire project shall run for four months, formally commencing on **(date the project starts)** and ending on **(date the project ends)**. The entire project shall have the following milestone schedules, with corresponding activities/expected outputs:

DATE	ACTIVITY/OUTPUT	
Week of	Contract Signing, Creation of DCB Account; Acquisition of Insurance	1 st entry in PRISM on this week

4. WORK SCHEDULE, RESPONSIBILITY TO UPDATE THE PRISM RECORD FOR THIS PROJECT. The Second Party agrees to abide by the project milestone activities and schedules as stipulated in #3 above. In addition, the Second Party shall take responsibility to update the relevant PRISM records as regards the progress of the project, and in keeping with the dates/schedules mentioned in #3 above. The release of payment tranches will be conditional upon the fulfillment of the milestones and the counterpart accomplishment of PRISM records as indicated in #3.

5. PROFESSIONAL FEE/HONORARIUM.

For the professional service rendered, the Second Party/Project Team shall be given an honorarium of Fifty Thousand Pesos (PHP 50,000.00), subject to tax. The applicable tax for each of the Team Members shall be calculated by the First Party through the ADDU Treasurer's Office.

6. OPERATIONAL COST. The First Party shall provide a total of PHP **[amount in words]** to cover the operational costs of the project. Furthermore, the First Party shall not be automatically obliged to provide additional funding in case of cost overruns.

7. SCHEDULE OF RELEASE OF FUNDING. The above amounts (cf. #5 and #6) shall be released in three tranches according to the following schedule and upon compliance with the given requirements:

TRANCHE	AMOUNT	RELEASED ON or UPON . . .
First Tranche (60%)		The week of the Signing of this Contract
Second Tranche (30%)		Submission of the Liquidation Report for the First Tranche (the <i>original</i> to the Treasurer’s Office and a <i>photocopy</i> to the URC Office) March 2022. Upon completion of 2 nd entry in the PRISM.
Third Tranche (10%)		Submission of Liquidation Report for the Second Tranche (the <i>original</i> to the Treasurer’s Office and a <i>photocopy</i> to the URC Office) Submission of Final Project Report and Research Paper. Upon completion of 4 th entry in the PRISM.
		TOTAL

8. MANAGEMENT AND ADMINISTRATIVE SUPPORT. The First Party, through the University Research Council, shall provide the Second Party the necessary support for the attainment and compliance with all the output and deliverables expected of the Second Party. Other than the operational budget given above, such support may include supervision and direction by qualified and designated ADDU personnel and the use of certain ADDU office space, facilities, equipment and other similar support items.

9. WORKING RELATIONSHIP. The First Party may inquire into the status of the project through the Chair of University Research Council, Dr. Lourdesita S. Chan, who shall be the officially designated URC Contact for this project.

10. SIX-WEEK ADVANCE NOTICE OF A NEED FOR EXTENSION. In case the Second Party senses a need to extend the project duration in order to deliver some specific output/deliverable(s) in Provision 2 above, the First Party must formally be informed in writing, through the URC Chair, of such a perceived need at least six weeks before the official end of the project (as given in Provision 3 above). Change(s) in the output/deliverables and the project duration shall not be made until after the First Party has formally approved (in writing) such changes and after due inquiries and consultations. Moreover, the Second Party shall be informed of an approval or disapproval within two weeks of the receipt of a request of such changes. Request for extension may also be subject to the amendments set forth in the approved full-blown proposal.

11. DISPOSITION OF ACQUIRED EQUIPMENT, OF BOOKS/REFERENCE. At the end of the Project, the Second Party shall surrender to the School of Arts and Sciences in good working condition the equipment acquired in connection with this project: The Second Party shall also surrender to the Main Library in good order all books, references, and similar source materials acquired in connection with this project.

12. RETURN OF ALL UNUSED FUNDS, DISPOSITION OF EXCESS MATERIALS/SUPPLIES [and, where applicable, Archiving of Raw Data and Disposing of Toxic Materials]. At the end of the project, the Second Party shall return to the Treasurer's Office all unused funds and turn over to the School of Arts and Sciences all excess supplies and materials acquired in connection with this project. The archiving of raw data and the disposition of the toxic/hazardous materials shall follow the URC protocol on the matter.

13. INTELLECTUAL PROPERTY RIGHTS AND FIRST PUBLICATION/PRESENTATION. The Second Party shall be fully acknowledged as Proponent and Author of the Research Paper and raw data. The First Party retains full intellectual property rights and may use the Final Report, the raw data, the results and the findings of the research project for instruction within the University, for University publications, for official outreach activities, and for further research, without having to obtain the permission of the Second Party.

This Contract specifically stipulates that the first publication of Research Paper/Note arising from the project shall be in the official ADDU journal and follow all norms, procedures, and deadlines of the said journal, and that no plan, schedule, or program for a first public presentation of the results and findings of the project shall ever be made by the Second Party without involving the active and prior participation of the First Party through the University Research Council. The Second Party agrees to such a *first* publication (of the results and main findings of the research project) in an ADDU journal and to a *first* public presentation within the ADDU academic community.

14. INTEGRITY CLAUSE. The Second Party shall conduct himself professionally during the course of the project, and shall make sure that (a) the output and deliverables expected of him, (b) the norms on the withdrawal and liquidation of funds and (c) the guidelines on the publication and public presentation of results/findings shall be complied with in the utmost professional quality and competence.

15. GENDER-SENSITIVITY CLAUSE. The Second Party shall use gender fair language in all the research-related communications such as, but not limited to, research proposals, instruments, reports, and other pertinent documents including publications, presentations, and other materials arising from the research. The requirement is a way of encouraging the concerned to promote gender equality, hence, to observe non-discrimination on the basis of gender, gender identity, and expression of gender.

16. CONFIDENTIALITY CLAUSE. The Second Party is bound to exercise propriety in maintaining the confidentiality about the details of the operation of the entire project if only to protect its integrity and welfare, as well as the reputation of the University.

17. TERMINATION BY FIRST PARTY AND THE PENALTY CLAUSE. As a result of the non-compliance of the Second Party, the First Party may terminate this contract upon the unreasonable delay in the submission of the expected outputs or deliverable. In the event of the termination of this contract, the First Party shall not award the unfinished portion of the terminated project to another party. In the event of such termination, the Second Party agrees to a salary deduction to cover the actual funds used up; the level of the salary deduction shall be negotiated by the Treasurer's Office and the Project Team. Any breach of the stipulations of this contract shall not preclude the First Party from filing the appropriate civil, criminal, or administrative case in a judicial court of its choice.

18. SUNSET CLAUSE. This Professional Service Contract is effectively and automatically terminated upon full compliance with the expected output/deliverables as stipulated in #2 above and the turnover of the acquired equipment and of the excess funds, supplies and materials as stipulated in #11 and #12 above.

19. EFFECTIVITY CLAUSE. In view of the public health emergency brought by the COVID 19 pandemic where physical movements are currently restricted and due to the health protocols required where parties to this contract may not be able to sign the contract at the same time, parties hereby agree that in order to set a uniform effectivity of this contract, the same shall take effect on the date of the acknowledgment and notarization of the contract.

IN WITNESS THEREOF, the Parties have hereunto set their hands on this ____ day of _____ (year) at Ateneo de Davao University, Davao City, Philippines.

FIRST PARTY

SECOND PARTY

Conforme:

Conforme:

Name of President
President, ADDU

Name of Main/Principal Researcher
Proponent

Witnesses:

Name of URC Chair
URC Chair

Name of Unit Head/Asst. Dean or AVP (in case of
Unit Head)

ACKNOWLEDGMENT

Republic of the Philippines)
City of Davao.....)

Before me, the undersigned notary Public for and in Davao City, personally appeared **(name of President)** with competent evidence of identity _____, and **(name of Main /Principal Researcher)**, with competent evidence of identity _____, known to me and to me known to be the same persons who executed the foregoing instrument and acknowledged to me that the same is their free and voluntary act and deed.

WITNESS MY HAND AND SEAL, on this _____, at Davao City, Philippines.

Doc No. _____
Page No. _____
Book No. _____
Series of 2021

