



# **MINDANAO STATE UNIVERSITY SYSTEM MANUAL ON RESEARCH AND EXTENSION POLICIES AND ADMINISTRATION**



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## 1. INTRODUCTION

Research and extension are two of the three traditional functions of a university, the other one being instruction. The Mindanao State University System strives for excellence in these areas by its progressive expansion of the scientific and technological knowledge for the improvement of the quality of life of the people. The University System aims generally for human advancement through its relevant research and extension programs and projects, and thus serves as an instrument of the government for national development.

This manual describes the operational system in the implementation of the research and extension functions of the University. It states the policies on allocating research and extension resources and the guidelines for researchers and extension workers.

Specifically, this manual focuses on the:

- scope, and establishes criteria, for determining research and extension (R & E ) priorities;
- responsibilities of the University to, and expectations from, R & E service and from researchers and extension workers;
- administrative and organizational components and their respective functions;
- guidelines for developing and processing R & E proposals;
- classification of R & E activities/grants;
- system for implementing approved R & E proposals;
- means of gathering, storing and sharing R & E results; and
- incentives and other mechanisms for promoting R & E.



## 1.1 Scope And Priority Areas Of Research And Extension Activities

The research and extension priorities of the MSU System are in line with its vision to sustain its operational mandate towards national integration and greater contribution to the national agenda on food security, poverty alleviation and rapid economic growth for Mindanao in particular.

The University defines the scope of its research and extension activities based on its thrusts. Allocation of research and extension resources is based on its research and extension priorities that may vary among campuses from time to time, thus a set of criteria for determining priorities is indicated.

## 1.2 Criteria For Determining Research and Extension Priorities

Subject to campus periodic reviews and consequent decisions demanded by changing conditions, the University adopts the following set of criteria for establishing research and extension priorities:

- MSU charter / Code of governance
- Direct support to the needs of the community and its environs;
- Basic and/or new promising problem areas;
- Local, national and global issues and needs;
- Availability of funds and adequacy of facilities and other resources.

## 1.3 Scope of Research and Extension Programs

The University considers for evaluation or funding, project proposals in the areas of:

### **Research**

- Physical Sciences of the branches of learning which deal with inanimate matters such as Chemistry, Physics, Engineering, etc.
- Mathematical Sciences
- Biological Sciences
- Humanities and Philosophy
- Social Sciences
- Languages and Related Sciences
- Policy Research
- Relevant Integrative Studies which bring together the experts from several disciplines



## **Extension**

- Community Resource Assessment and Management
- Community Organizing
- Technology, Generation, Packaging and Transfer
- Human Resource Development
- Peace and Development
- Environment
- Local Governance
- Impact Assessment

### **1.4 Responsibilities and Expectations of the University**

To promote relevant and quality research and extension activities, the University assumes the responsibilities to, and correspondingly derives expectations from, researchers and extension workers. The University:

- encourages and gives support to scientific and technological undertakings within its scope by ensuring that approved projects are adequately supported;
- assists proponents to obtain funds from external sources;
- facilitates the timely purchase of supplies/materials for project operations;
- promotes sharing of research and extension facilities, expertise and other resources;
- implements a system of monitoring and evaluation of on- going projects; and
- develops a system of providing incentives to promote excellence in research and extension.

### **1.5 Qualifications of R&E Proponents**

- *bona fide* faculty and staff;
- no pending criminal and/or administrative case;
- no outstanding obligation, liability with any funding agency;
- analytical, objective, creative and capable of implementing research and extension undertakings and working with other people;
- ethical in the conduct of project activities and utilization of project results;
- prompt in the submission of progress and terminal reports; and
- self-motivated and full of initiatives in sourcing out funds to initiate and sustain projects/programs.



## 2. PROJECT MANAGEMENT

In order to carry out the aspiration of the University System to advance research and extension programs, the development of R&E proposals is encouraged in accordance with established priorities of the University System.

### 2.1 Classification of Research and Extension Activities/Grants

Any eligible faculty member and/or staff who wishes to avail of funding support from the funds of the various units of the University System may submit a project proposal primarily on the identified priority areas.

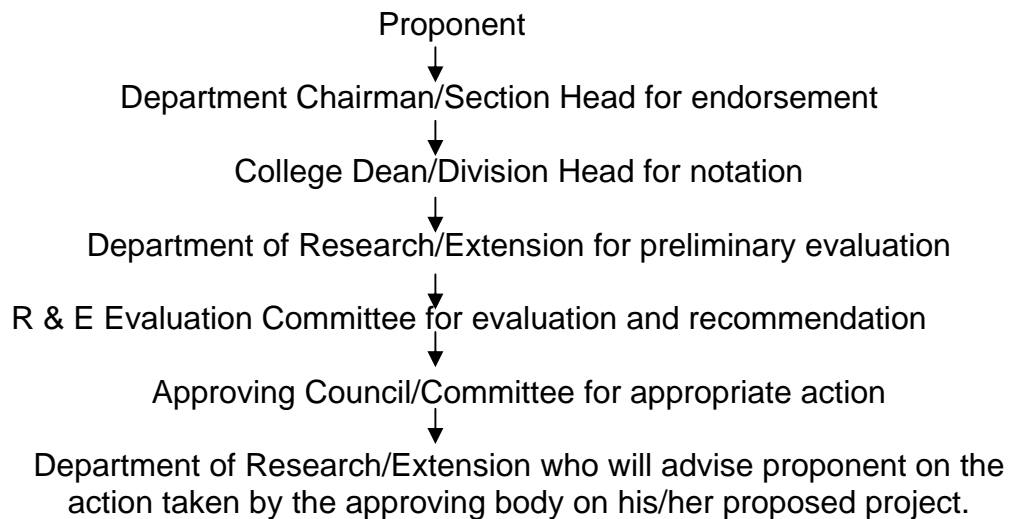
#### 2.1.1 Faculty-Initiated R & E Project

Under this category are projects proposed by eligible faculty members of the University System, who have the necessary skills and competence and who want to do research/extension work along their specific discipline or field of competence.

#### 2.1.2 Non-Faculty Initiated R & E Project

Under this category are projects proposed by the qualified non-faculty employees of the University System who want to do a project along their specific discipline or field of competence.

### 2.2 Route of Project Proposal/Grant Applications (Appendix 1)



## **2.3 Processing of Project Proposals:**

To facilitate the processing of project proposals, the following system is henceforth adopted:

1. The proposal shall follow the prescribed/appropriate format for project proposals (Appendix 2) which can be obtained from the appropriate office/department of any unit of the University system;
2. All proposals must have the endorsement of the department/unit and the notation of the school/college/division head of the proponent;
3. All proposals should be addressed to the approving Council/Committee thru the Department of Research/Extension and the corresponding channel specified hereinafter;
4. Proposals may be submitted any time, preferably January of each year;
5. A researcher/extension worker or a team of researchers/extension workers may be allowed to conduct at any one time a maximum of two University funded projects;
6. A researcher/extension worker with an approved project proposal shall enter into a contract or a Memorandum of Agreement with the funding unit before funds shall be released for his/her project;
7. Any major deviation must be approved by the Vice Chancellor for Research and Extension upon the recommendation of the Director of Research/ Extension or their equivalent bodies;
8. Implementation of the approved proposals shall be on the semester immediately following approval subject to the availability of funds;

## **2.4 Implementation of Approved Project Proposals**

### **2.4.1 Appointment of Project Coordinators**

- The MSUS President appoints a Project Coordinator who is chosen among, and recommended, by the project team and duly endorsed by the corresponding head of Research/Extension Office for any inter-campus and/or multi-disciplinary undertaking;
- The Campus Chancellor appoints a Project Coordinator who is recommended by the project team and duly endorsed by the corresponding head of Research/Extension Office for any inter-department/inter-college project undertaking;



## 2.4.2 Authority to Appoint or Contract Personnel Services

Upon the approval by proper authority of a project, the duly appointed project coordinator/leader is *ipso facto* authorized to appoint or contract the services of personnel required to conduct and complete the project, and to pay their salaries for services rendered from his/her cash advances to the project; **provided** that the terms, conditions and salary rates of such personnel are strictly in accordance with the project budget as approved by proper authorities and **provided** that in addition to other supporting papers required by existing accounting and auditing regulations, the voucher for liquidation or replenishment of the Cash Advance is properly supported by receipts of payment and, with the exception of personnel to be paid on a work-piece or *pakyaw* basis, the Daily Time Records duly certified by the project coordinator/leader. (Ref. MSUS BOR Res. No. 1189, s. 1977) **However**, in University campuses where cash advances for personal services are not allowed and payments of salaries and wages are done by the cashiering office, the Project Leader recommends the hiring of research staff, including full-time and part-time employees and contractual workers. The plantilla of project personnel must conform with the approved project proposal.

## 2.4.3 Project Personnel

### Qualifications and Functions

The positions mentioned below and their corresponding qualifications and duties are considered essential constituents, according to the needs of the project. Criteria for qualifications generally conform with that of the HRMO of the University campus.

#### 1. ***Program Leader***

### Qualifications

The proponent must be a full-time academic employee of the MSU System. He must have knowledge and or experience in the formulation and implementation of field or laboratory researches and must have time to devote at least 10 hours weekly for research development, implementation and administration.



## Duties

- a. Provides over-all direction in terms of setting common projects under the program;
- b. Plans the schedule of work of the various projects so that synchrony and coordination in research and extension efforts and output are achieved;
- c. Suggests ways and means by which separate projects can complement and supplement individual data collection efforts;
- d. Represents the program in dealing with external agencies; and
- e. In cases where the Program Leader is concurrently the Project Leader of a component project, he must also accomplish the duties expected of a Project Leader.

## **2. Project Leader/Principal Investigator**

### Qualifications

Qualified components are of two types: (a) full-time regular faculty member of the University and (b) Research Extension Personnel employed as regular full-time employee of the MSU System, with a master's or doctoral degree and a thesis option. The proponent need not have master's degree if the project is a (a) thesis or (b) a project under a research or extension program. He must have knowledge and/or experience in the formulation and implementation of R and E projects and must have the time to devote at least ten hours weekly for research and extension development, implementation and administration.

### Duties

- a. Plans and directs the R & E procedures and operations necessary to meet the objectives of the project;
- b. Plans, organizes, coordinates and controls the duties and tasks of lower level project personnel through the different stages of the project process;
- c. Recommends the recruitment and termination of the project personnel;
- d. Recommends the payment of salaries and fees of personnel;
- e. Attests to the veracity of reimbursement requests for travel, transportation, per diems, and other project operating expenses;
- f. Recommends the purchase of supplies, materials and equipment needed in the project; and
- g. Writes and edits quarterly accomplishment, annual and terminal reports.



### **3. Study Leader/Co-Investigator**

#### Qualifications

The Study Leader/Co-Investigator must be a full-time employee of the MSU System. He must have knowledge and/or experience in the formulation and implementation of projects and must have the time to devote at least 10 hours weekly for project development, implementation and administration.

#### Duties

- a. Assists the Project Leader or Principal Investigator in planning and managing over-all project operations;
- b. Plans and supervises the work of lower level personnel in the implementation of the project aspects assigned to him by the Project Leader;
- c. May review the findings, analyses and research interpretations arrived at by lower level project personnel; and
- d. May initiate and supervise data collection and processing and report writing.

### **4. Interviewer**

#### Qualifications

The applicant must have at least two years of college work equivalent to sixty (60) units relevant to the nature of work.

### **5. Project Staff With Position Titles Covered Under the Index of Occupational Services, Position Titles and Salary Grades**

The qualifications and duties of project personnel whose position titles are covered under the national government's Index of Occupational Services, Position Titles and Salary Grades shall be in accordance with the respective prescribed Qualification Standards.

### **6. Piecework Contract (for consultants and part-time employees)**

Personnel whose services are of short duration and are paid in lump sum (100 and above) are required to accomplish a Piecework Contract form. This contract shall bear the signatures of the Project Leader and other authorized signatories. Appointments in the project are contractual and, therefore, last only for the duration of the grants applied for.



## 2.4.4 Fiscal Management

### 2.4.4.1 The Research and Extension office of any unit of the University System

- Performs bookkeeping and administration of project funds provided by the implementing unit;
- Allocates funds for approved projects;
- Advises deans/directors on property accountability of project coordinators or leaders in their colleges/units.

### 2.4.4.2 Disbursement of Funds

#### 2.4.4.2.1 Personnel Salaries

Project personnel earn either salaries or wages. A full-time employee who is appointed for the whole duration of the project receives a salary.

A Daily Time Record (DTR), certified by the Program Leader/Project Leader/Co-Project Leader, shall be required in claiming salaries/ wages.

The compensation of Program Leader/ Project Leader/Co-Project Leader/Study Leader shall be released quarterly subject to submission of progress reports. The final release is subject to submission and acceptance of terminal report.

In case there are two or more Project Leaders, they shall equally share the compensation.

#### 2.4.4.2.2 Purchase of Supplies and Equipment

##### Types of Purchases

**1. *Emergency Purchase.*** This is a system of procurement done through direct requisition or order by bureaus and offices without public bidding but based on canvass of prices of at least three bona fide dealers. (Sec. 476, NAAM)

For the above purpose, a supplier may be deemed bona fide and reputable if it satisfies the following criteria, to wit:



- 1.1 Duly licensed and registered with appropriate authority;
- 1.2 Not “blacklisted” by any government agency at the time of canvass; and
- 1.3 In business for at least six (6) months. [(COA Circular No. 85-55 (A)]

Additional document needed to support claims based on emergency purchase is a certificate of the agency head or his duly authorized representative containing the following: (a) certification of the emergency purchase; (b) reasonableness of the price contracted; and (c) statement that it was the lowest obtainable price at the time of purchase or order.

**2. Negotiated Purchase.** This type of purchase is made when the requisitioned article is sold by an exclusive dealer, publisher, or manufacturer having no sub-dealers selling at a lower price and for which no suitable substitute can be obtained elsewhere at a more advantageous price to the government. This is made under the following cases:

- 2.1. After public bidding has been conducted and the offer has met specifications, terms and conditions, as advertised;
- 2.2. Where the things to be purchased are “critical” in nature and are not available in the open market, such as radar equipment; and
- 2.3. Where the committee on awards, on the basis of past experience, believes that a public bidding may not bring good results.

**3. Purchase through Public Bidding.** Contracts for public service or for furnishing supplies, materials and equipment to the government or any of its branches, subdivision, agencies or instrumentalities shall be renewed to entered into through public bidding.

**4. Open Market Purchase/Over-The-Counter Purchase.** Books, papers, periodicals, documents and other semi-expendable materials for library use or for the use of researchers maybe purchased without canvass. They shall be classified as supply if the individual cost is not more than P1,000.

The approved line-item-budget of the project serves as the basic guideline for budgeting operational expenses.



#### **2.4.4.2.3 Procedures for the Purchase of Supplies and Equipment**

All office supplies and materials for projects shall be purchased or withdrawn from the Supply Office in accordance with the approved Requisition and Issue Voucher (RIV).

Purchase made outside for a single item amounting to P1,000 or more requires the following:

1. Three canvasses of the supply/material from different sources;
2. Property inspection report from the Supply Officer;
3. Original copy of the dealer's invoice showing the quantity, description of the articles, unit and total value; and/or official receipts.

The Project Leader first of all prepares a requisition, which contains the desired specifications of the equipment and the quantity of the item. At least three (3) suppliers are invited to submit their quotations, which the bidding committee studies. Purchase negotiations are handled by the Purchasing Section/Supply Office.

The Supply Officer inspects all purchased equipment. A Memorandum Receipt (MR) to signify the Project Leader's responsibility over the equipment receipted to him. Equipment purchased for the project is considered Property of the University and must be surrendered by the Project Leaders upon completion of their respective projects. The Supply Officer is authorized to retrieve the equipment.

#### **2.4.4.2.4 Claims for Per Diems, Transportation and Other Operating Expenses**

##### Traveling Expense

This account includes expenses incurred in the movement of persons employed in the government, such as transportation, subsistence, lodging and travel per diems; hiring of guides or patrol; railroad, airline and steamship fares; tips, transfer, etc. of persons while travelling outside official station; charter of boats, launches, automobiles, etc.; non commutable transportation allowances, road tolls, parking



fees, and all other similar expenses. Not included in this account are supplies used in the operation.

*a. Travelling Allowances*

- 1) The travelling allowances of government officials and employees shall be inclusive of per diems, daily allowances, incidental transportation, and other related expenses while in the field. The allowance rates shall be in accordance with existing rates and do not require receipts.
- 2) A full traveling allowance shall be allowed only in case of absence from the permanent Official station because of official business for one full day.
- 3) In case where such absence is for less than a full day, only the corresponding fractional part of the allowance shall be allowed. For this purpose, the traveling allowance is thus generally divided into four units corresponding to breakfast, lunch, dinner and lodging, as described hereunder:

Breakfast – When leaving the permanent official station before or returning thereto after 7:a.m.

Lunch – When leaving the permanent official station before or returning after 12:00 noon.

Dinner – When leaving the permanent official station before or returning thereto after 7:00 p.m.

Lodging – When leaving the permanent official station before or after 12:00 midnight.

*b. Transportation Expense*

Transportation expense for travels between cities/ municipalities may be charged separately. A certification of appearance signed by the visited party must be submitted along with the liquidation, certificate of travel completed, actual itinerary of travel, and copy of approved travel order.

Unsettled travel funds shall be the accountability of the project staff and the Project Leader. *No further travel funds/request shall be approved and released unless previous ones are settled first.*



#### **2.4.4.2.5 Cash Advances/Reimbursement**

Project Leaders are entitled to withdraw cash advance to cover project expenses. A surety bond approved by the Bureau of Treasury is required for cash advances P2,000 and above. No further cash advances shall be allowed unless previous cash advance is fully liquidated.

Other project staff or Project Leaders may also use their personal funds to travel or to purchase needed materials. Such expenses may be reimbursed by following standard procedures, provided that they do not exceed the approved line-item-budget.

#### **2.4.4.3 Release of Funds**

- Funds shall be released in accordance with the approved line item budget of the project, provided there are no outstanding cash advances and subject to the availability of funds of the implementing unit.
- Progress reports shall be required for succeeding releases of funds.
- Further cash advances shall be allowed only if previous cash advance is fully liquidated.
- Realignment or reprogramming of the line item budget is allowed as long as it is within the approved amount of the project.

#### **2.4.5 Externally Funded Projects**

- Where project funds are channeled to the university, a 10% administrative cost shall be paid to the university of which fifty percent (50%) goes to the Office of the Vice Chancellor for Research and Extension or equivalent body.
- Where management of funds is undertaken by a Project Management Office (PMO) outside of the university, a development fund shall be provided and the amount of which shall be agreed upon by the PMO and the university. Such funds shall be used for the development of the unit of the researcher/extension worker.
- For institutionally and individually commissioned project, a Memorandum of Agreement (MOA) shall be executed between the implementing unit and the sponsoring/funding agency; and the



university shall authorize the researcher/extension worker to conduct the project;

- Responsibilities of the host institution subject to the provisions of the MOA
  - Approve and support the participation and involvement of the researcher and extension worker;
  - Provide technical, manpower, facilities and logistical support to the research as needed and within the limits of their respective institutional capacities and discretion;
  - Ensure that the designated assignment of their staff is fulfilled in the most professional and efficient manner, in accordance with the objectives of the project; and
  - Ensure the wise use of financial resources and other resources entrusted to the researchers/extension workers by the funding agency in accordance with officially accepted accounting and auditing scheme.
  
- Responsibilities of the Project Coordinator/Leader to:
  - submit at least five (5) copies of his/her final project output to the Research/ Extension office.
  
  - acknowledge the University for allowing the use of time and facilities for the conduct of the project.

#### **2.4.6 R & E Project Monitoring and Reporting System**

All R & E grantees shall be required to submit terminal reports/manuscripts of project results/outputs in the prescribed format. All project outputs shall be presented in an in-house review, seminar or forum.

All data, information and reports arising from the research activity shall acknowledge the contribution of the host institution. The individual researchers shall be given the right to publish the results of the research, with acknowledgement of the host institution.

Reports on the progress of on-going projects must be submitted within the period(s) specified in the timetable as approved by the approving Council/Committee of the implementing unit based on the following:



- Proponents of approved projects with a duration of more than six (6) months shall submit Quarterly Progress Reports (QPR);
- Proponents of approved projects with a total duration of six (6) months or less shall submit only one progress report in the middle of its project timetable or at the time determined by the monitoring Research/Extension Office;
- Project Leaders of undertakings lasting for three (3) months or less shall not be required to submit a progress report, however a final report shall be accomplished in the prescribed format that can be obtained from the monitoring Research/Extension Office (See Appendix 3 for format of QPR);
- Project Leaders are required to submit at least five (5) copies of their final project output to the Research/Extension Office, which shall evaluate and later turn over such outputs to the research library for future reference.
- At any time during the conduct of a project, coordinators/leaders may report and discuss with the Director of Research/Extension and Vice Chancellor for Research and Extension of the implementing unit of the University System the developments and/or problems directly affecting the conduct of the project.
- The Vice Chancellor for Research and Extension of the implementing unit may appoint other program coordinators/leaders if the implementation of the project is unsatisfactory or disrupted. If the project has to be terminated, the approving Council/Committee reviews the circumstances to determine whether the termination of the project is justifiable or not.
- Aside from the final project output, a terminal report is required of all completed approved projects to be accomplished in the prescribed format and which will include a report on the conduct of a seminar on the findings of the project. (See Appendix 4 for format of the Terminal Report).
- The terminal reports and final outputs of all approved projects shall be evaluated by the Research and Extension Office.



### 2.4.7 Extension of Project Duration

- An extension refers to a grace period, usually from one to six months, granted to a project from the date of its expected completion.
- The proponent should file a request for extension stating the reasons for the delay of project completion addressed to the research/extension office monitoring the project.
- If no additional funding is required, the Project Leader is allowed to use the unexpended balance to implement the remaining activities of the project. He or she, however, is no longer entitled to receive any compensation during the extension period.
- If additional funding is required, the request for extension shall be forwarded to the approving Council/Committee for approval.

## 3. INCENTIVES FOR PROMOTING RESEARCH AND EXTENSION ACTIVITIES

The need to develop a strong research and extension culture in the MSU System calls for the provision of incentives that would encourage the university constituents to be actively involved in R & E activities. A faculty or staff member of the university who is authorized to conduct a research/extension project may enjoy the following:

### 3.1 Honoraria

Honorarium is a form of remuneration for gratuitous services beyond the minimum/regular workload of an individual whose broad superior knowledge, expertise or professional standing in specific field contributes significantly to scientific and technological research and development.

Generally, the University shall adopt the Scheme of Honoraria of the Department of Science and Technology (DOST) and those provided by National Compensation Circular 75 for the conduct of research and extension projects. Specifically, the following shall apply in the granting of remuneration for the conduct of research and extension projects:



### **3.1.1. University Funded Projects**

Research/Extension or other special projects that shall be funded by any University unit shall adopt existing schemes of compensation provided by the DOST and the Department of Budget and Management whichever is applicable.

### **3.1.2. Externally Funded Projects**

Researchers/Extension Workers receive honoraria based on the budget approved by the funding institution. In addition, he shall enjoy the non-monetary benefits afforded by the university to faculty and staff undertaking a project.

## **3.2 Deloading**

A faculty member of the University involved in the conduct of approved research/extension project shall enjoy deloading in accordance with MSU BOR Resolution No. 168, s. 1990.

## **3.3 Leave Credits**

A researcher/extension worker may be granted commutable leave credits for the conduct of a research project. A maximum total of fifteen (15) days vacation leave and fifteen (15) days sick leave credits may be granted for a six-unit teaching load equivalence of the research project, in a duration of at least one year, where any fraction thereof shall be prorated accordingly.

## **3.4 Term Insurance**

Each member of a project team shall be entitled to a minimum term insurance coverage of P25,000 chargeable against the project fund.

## **3.5 Ownership of Patent and/or Copyright**

The University owns the research product but the R & E grantee reserves the right to authorship. Ownership of the patent and/or copyright shall be in the name of the author(s) and/or inventor(s). In case the research and/or invention is published and/or manufactured and sold, the royalties ensuing therefrom shall be shared 60%-40% between the project grantee and the host unit in favor of the latter. The host unit shall have the first two-year option to publish/fabricate the report/manuscript of the project output.



### 3.6. Best Paper Award

All R & E grantees shall be required to submit scientific/technical papers on the research/extension project outputs that shall be eligible for awards per BOR Resolution No. 88, s. 1994. This is determined in each campus at the end of the academic year. The awards are the following:

- Most Outstanding Research PhP 50,000
- Outstanding Research in Pure And Applied Sciences PhP 30,000
- Outstanding Research in Basic and Applied Social Sciences and the Humanities PhP 30,000
- Most Relevant and Useful Research PhP 20,000
- Commendable Research PhP 10,000

### 3.7 Special Award

Any R & E output published in an international refereed journal shall be awarded PhP10,000 subject to availability of funds.

## 4. EFFECTIVITY/REPEALING CLAUSE

This manual shall take effect upon its approval by the MSUS Board of Regents. Any other provision or issuance that is inconsistent herewith shall be deemed amended and/or repealed accordingly.

