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**RESEARCH AND INNOVATION MANUAL**

**2019 REVISION**

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| **1 GENERAL POLICIES** |
| **1.1 Promulgation.** This Revised Research and Innovation (RI) Manual is promulgated by the Southern Leyte State University Board of Regents, hereinafter referred to as the BOR, pursuant to Section 4 of Republic Act No. 8292, Section 7 of Republic Act No. 9261 and Section 17, Rule VII of its Implementing Rules and Regulations approved per Board Resolution No. \_\_, s. 20\_\_ adopted by the SLSU-Board of Regents. |
| **1.2 Applicability and Coverage.** This manual shall apply to all students, faculty and staff, and other concerned stakeholders of the administrative and academic units of the University system. |
| **1.3 Rationale and Legal Bases.** Research and innovation play a very important role in the quest for sustainable development and growth of society especially in the higher education sector. These functions are recognized as significant input ensuring that the policies, programs and projects of higher education institutions substantially meet the diverse and changing needs of their stakeholders and service areas. Likewise, these are also acknowledged as accelerators in the generation and transfer of knowledge and ideas to society.  The University as it now stands decided to claim supremacy in the area of science- and technology-based research and innovation. Not only does it aspire to do so, the university adheres to the principles of the corporate world as the only corporate science and technology university in this part of the country. A corporate science and technology university puts a premium on quality, efficiency, and effectiveness in its operations.  The University nurtures a research climate that aims to advance knowledge and develop novel and breakthrough research in the country. The University charter of 2004 has clearly stipulated its mandate to undertake research and extension services that collectively and creatively address the development gaps in education, livelihood, environmental management and good governance. This mandate shapes the overall research and innovation of the University. Moreover, knowledge, service and innovation form the triadic philosophy of the University which acts as the pillars in the formation of research culture among its employees. The drive towards the service of the community fuels the University to generate and innovate new knowledge and technologies, respectively.  Since research innovation are undertaken in an academic setting, a project’s success is measured not only in terms of obtaining desired results but also in learning and acquiring old and new knowledge. The University aims for a research and innovation culture that molds the next generation of ethical, skillful, creative and passionate researchers who see research as a service to one’s country and therefore perform it to the best of their abilities. It instills in the researchers a global outlook balanced with a fierce sense of nationalism, enabling them to generate world-class products and information with high social impact and relevance to the nation.  Research and innovation is an inherent function of the Faculty of higher education institutions, in addition to instruction, extension and production. It is thus prudent that instruction and research be reintegrated as one unit in order to streamline the entire academic process.  In addition to the stipulations in Section 1, the following laws, rules and regulations served as the rationale and legal bases of this Manual:   1. The **1987 Philippine Constitution,** specifically **Article XIV (Science and Technology)** 2. The **Philippine Development Plan (2017-2022)** 3. The **National Higher Education Research Agenda-2 (2009-2018)** 4. **Republic Act No. 9261** 5. **Section 4 (m) of Republic Act No. 8292** *(Higher Education Modernization Act of 1997)* expressly mandates the governing boards of State Universities and Colleges (SUCs) “to establish research and extension centers of the SUC where such will promote the development of the latter.” |
| **1.4 Research and Innovation Agenda**. The Office of the Vice-President for Academics, Research, and Innovations (VPARI) shall spearhead in the formulation of the R&I agenda to be reviewed by the University Research, Development, and Innovation Council (URDIC) and other Councils, recommended by the University President for approval by the BOR. The RI Agenda (2019-2023) is presented as an appendix.  Upon its induction as a state university in 2004, the University has been mandated to embrace a culture of research from which, ideally, its instruction, extension and production activities should stem from. The University’s metamorphosis to an amalgamation of various public higher education institutions in the province correspondingly changed the role expectation from a purely teaching institute/college to a vibrant and dynamic knowledge generator i.e. research and innovation. Such change requires a whole new set of mind-sets, skills, and abilities among the members of the academic community. |
| MANAGEMENT AND HUMAN RESOURCE COMPLEMENTS OF UNIVERSITY RESEARCH AND INNOVATION |
| 1. **University Research and Innovation Units.** There shall be Research and Innovation Centers, herein referred to as RICs, a University Research and Innovation Operations herein referred to as URIO, an Innovation and Technology Support Office herein referred to as ITSO, a Journal Production and Management Office herein referred to as JPMO, the University Research & Innovation Ethics Committee (RIEC) and the Research & Innovation Review and Evaluation Committee (RIREC) under the Office of the Vice President for Academics, Research, and Innovations (OVPARI) as outlined in Figure 1.   OVPARI  RIC  URIO  ITSO  RIEC  RIREC  JPMO  Figure 1. Office of the Vice President for Academics, Research and Innovation  *Legend:*  OVPARI - Office of the Vice President for Academics, Research and Innovation  RIC - Research and Innovation Center(s)  URIO - University Research and Innovation Operations  ITSO - Innovation and Technology Support Office  RIEC - Research and Innovation Ethics Committee  RIREC - Research and Innovation Review and Evaluation Committee  JPMO - Journal Production and Management Office |
| * 1. **Management of the Academics, Research and Innovation Office**. The management and operation of the Academics, Research and Innovation Office shall be headed by the VPARI.   Major research and innovation deliverables shall be cascaded by the VPARI to the Directors of RICs and the URIO. Major instruction deliverables shall be cascaded to the Director of Instruction and Director of Graduate Studies. |
| * 1. **Inherent Faculty and Institutional Functions**. Instruction, Research and Innovation shall be inherent Faculty functions for this University while Production and Extension shall be inherent institutional functions. |
| * 1. **Organizational Structure on Research and Innovation**. The organizational structure on Research and Innovation is presented in Figure 2. The BOR oversees the administration of the entire university; the University President oversees the day to day operations of the university, assisted by the four vice presidents, one of which is the Vice President for Academics, Research and Innovation (VPARI).   The VPARI shall directly supervise the RIC Directors, the URIO Director, the ITSO Manager, and the JPMO Head as well as the RIEC and RIREC.  Overall administration and management of the RIC and its divisions shall be tasked to the RIC Director. Each RIC division shall subsequently be managed by a RIC Division Head who manages the individual Research Faculty and staff detailed/employed in the RIC.  The URIO Director shall supervise the Monitoring & Evaluation Unit (MEU), Management Information System Unit (MIS), Communication Unit (CU), Data Analytics Unit (DAU) Head, and Main Campus College Research & Innovation Operations (College RIO) Coordinators while ensuring harmonious coordination with the Campus Research and Innovation Operations (Campus RIO) Heads, who in turn oversee their respective College RIO Coordinators. The DAU Head shall oversee a team of Data Analysts while the CU Head will lead the R&I Media Team.  The ITSO Manager shall oversee the Technology Transfer Unit (TTU) and the Intellectual Property Protection Unit (IPPU) Heads, respectively. The TTU Head shall lead Technology Transfer Liaisons while the IPPU Head shall supervise the Patent Drafters of the Office.  BORBOR  University President  Vice President for Academics, Research and Innovation  University Research,  Innovation and Extension Council  Director,  University Research and  Innovation Operations  Director,  Research and  Innovation  Center(s)  Manager,  Innovation and Technology  Support Office  Head, Journal  Production & Management  Office  Research and Innovation Review and Evaluation Committee  Research and Innovation  Ethics Committee  Head,  Technology Transfer  Unit  Head,  Intellectual  Property  Protection Unit  Head,  RIC DIvision(s)  Head,  Management Information System Unit  Technology Transfer Liaisons  Patent Drafters  Research & Innovation Center Faculty  Head,  Monitoring & Evaluation Unit  Head,  Data  Analytics  Unit  Head,  Comm. Unit  Heads,  Campus RIO  Data Analysts  R&I Media Team  R&I Support Staff  R&I Support Staff  Coordinators,  Main Campus College RIO  Coordinators,  External Campus College RIO  Figure 2. Organizational Structure of the University on Research & Innovation |
| * 1. **The University Research, Development and Innovation Council (URDIC)**. Pursuant to Section 79 of the IRR of the University’s charter, there shall be a University Research, Development and Innovation Council hereinafter referred to as URDIC composed of the following:   Chairperson: University President  Vice Chairpersons: VP for Academics, Research and Innovation    Members: VP for Administration and Finance  VP for Students and Auxiliary Services  Director, University Research & Innovation Operations  Directors, Research and Innovation Centers  Heads, Research and Innovation Operations Units  Heads, Campus Research and Innovation Operations  Head, JPMO  Manager, ITSO  Heads, ITSO Units  Coordinators, College RIO  Chair, RIREC  Chair, RIEC  In addition, upon the recommendation of the VPARI, the University President may invite representatives from government line agencies and from the industry sectors.  The Council shall meet at least once every quarter to be called and presided by the University President who shall determine the date, time and venue of every meeting. The VPARI may recommend to the University President the conduct of special meeting/s as may be deemed necessary. In the absence of the President of the Council, the VPARI shall preside any scheduled meeting. The University Secretary, with assistance from the OVPARI staff, shall serve as the Secretariat of the URDIC responsible in preparing and sending out of the notice of meeting and agenda, recording of the proceedings and the preparation of the necessary correspondence and documents of the Council.  The URDIC shall be the highest consultative body on all institutional and undergraduate research and innovations undertakings of the University. Its functions and responsibilities, among others, shall include the following:   1. Review and recommend approval of research and innovation plans, agenda, programs, projects, studies and policies; 2. Review the budget proposals for research and innovation and recommend the same to the University President for approval by the Board of Regents; 3. Evaluate the institutional research and innovation thrusts, directions and accomplishments of the University to ensure relevance and responsiveness to current and emerging issues and trends; and 4. Discharge other related functions as the University President may prescribe. |
| * 1. **Research and Innovation Officials.** Faculty designated to leadership positions in key Research and Innovations units shall be identified as Research and Innovations Officials, appointed by the University President and supervised by the VPARI. Endorsement and appointment shall be based on management trust and confidence, without prejudice to other highly qualified faculty. |
| * 1. **Research and Innovation Centers**. The University shall establish Research and Innovation Centers (RICs) to attain its vision, mission, goals and objectives. The establishment of RICs is a strategic option to achieve the major deliverables in the areas of research and innovation. RICs shall operate with the goal of attaining full autonomy from the University in terms of funding and operations.   2.7.1. Requisites. RICs shall be established based on the following:   1. availability of a pool of qualified experts who have specialization or expertise related to the focus of the center; and 2. track record of experts in terms of patents and/or publications in reputable journals.   No RIC shall operate without prior recommendation by the appropriate councils and approval by the BOR.  2.7.2. Implementation. The approved RICs shall be implemented in phases. The first phase which shall cover 3 years from approval shall consist of RICs that meet the following criteria:   1. availability of readily implementable projects; 2. availability of relevant research and innovation Faculty; and 3. availability of pertinent facilities and equipment.   After the first phase, the remaining RICs shall be evaluated on the same criteria prior to implementation.  Thereafter, the RICs shall be treated as Autonomous Units of the University generating its own operational funds.  2.7.3. Objectives. The RICs are established with the following objectives:   1. Utilize locally-available materials and resources for research and innovation programs, projects and studies of the University to attain its vision, mission, goals and objectives; 2. Harness the potential of the University’s human resources to become innovative, creative, and productive; 3. Promote research and innovation culture within the academic community; 4. Generate new knowledge and technologies; 5. Assist, as needed, in the transfer of technologies to the industry and the service communities; and 6. Provide a service facility for high quality research-based instruction.   2.7.4. RIC Faculty. RIC Faculty refers to academic Faculty engaged in research and innovation in the different RICs of the University. RIC Faculty are classified into *Core RIC Faculty* and *Affiliate RIC Faculty*.   1. *Core RIC Faculty*. Core RIC Faculty refer to tenured RIC Faculty explicitly appointed and detailed to engage in research and innovation in a specific RIC. They shall be the front-liners of research and innovation activities in the University, prioritized in the cascading of strategic research and innovation deliverables of the University. The RIC Directors and Division Heads are also considered core RIC faculty.   Their main workload shall comprise of research engagements of at least 15 WLU per semester and a maximum instruction load of 6 units per semester. As such, Core RIC Faculty shall not be entitled to instruction overload pay but they shall be entitled to research overload pay i.e. any additional instruction load on top of the maximum 6 shall not be credited.  Core RIC Faculty shall be appointed by the University President upon recommendation by the RIC Director and endorsement by the VPARI. Appointment is good for two years subject to re-appointment if the minimum deliverables are delivered.  To be qualified as core RIC faculty, he/she should have at least two (2) of the following outputs/involvements:   1. main authorship in at least two (2) research articles in reputable refereed journal(s); 2. leadership in an on-going or completed externally funded research or extension activity; 3. leadership in at least two on-going or completed institutionally funded research or extension activities; or 4. At least one (1) invention patent in first publication or at least two (2) utility model/industrial design patent certificates.   Core RIC Faculty are expected to deliver the following minimum outputs every year:   1. two publications in reputable refereed journal(s) or one publication in a high-impact journal as senior author; or 2. one published invention patent application in the IPOPHL e-Gazette or one Utility Model/Industrial Design patent certificate from the IPOPHL.   Failure to accomplish the above-mentioned deliverables in two (2) consecutive years shall disqualify the concerned faculty from re-appointment as a core RIC faculty. However, the concerned faculty can still function as affiliate RIC faculty.   1. *Affiliate RIC Faculty*. Refer to, in general, any and all faculty engaged in research and innovation with RICs on a temporary basis.   These could be Core RIC Faculty of one RIC performing RI engagements in another RIC provided his/her semestral workload permits the arrangement.  Non-RIC faculty may also, and are highly encouraged to engage in RIC-based programs, projects, and studies (PPSs) as affiliate RIC faculty.  Affiliate RIC faculty may carry RI workloads as stipulated in their semestral workload.  No appointment or tenure is required for any faculty member of the University to identify themselves as affiliate RIC Faculty, provided their RI engagement is duly acknowledged by RICs. |
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| 3. RESEARCH AND INNOVATION INVOLVEMENT OF FACULTY AND STAFF |
| 1. **Regular Faculty**. Tenured University Faculty members should be the principal proponents of any institutional research and externally-funded research.   A regular faculty researcher is allowed to extract data and results from previous research /thesis/dissertation/extension activity for presentation and publication purposes provided that the produced paper will undergo the proper review and evaluation stipulated for RI publications in this Manual and provided that such outputs are in line with the RI agenda of the University. However, in no case can a researcher claim a workload for a research output extracted from their undergraduate and graduate thesis/dissertation. |
| * 1. **Regular Administrative Staff**. University administrative staff may engage in research activities in line with their field of specialization or with their work assignment upon request of any Faculty researcher and endorsed by the direct supervisor of the unit said administrative personnel is connected. |
| * 1. **Non-regular Faculty/Staff**.Non-regular faculty/staff may be tapped for University research engagements with commensurate remuneration either as proponents or facilitators. In the case of the former, a regular faculty should be a co-proponent of the research engagement. Conflicts in intellectual property ownership that result from a non-regular faculty or staff’s disconnection from the University shall be governed by the University IP Policy.   Pursuant to the University IP Policy, non-regular Faculty/Staff have full ownership of their research outputs and shall not be claimed as output of the University. However, non-regular Faculty/Staff may negotiate with the University regarding research output claims provided commensurate compensation e.g. reimbursement of travel and attendance to conference fees. |
| * 1. **Workload Assignments**  1. Administrative workload of Research and Innovations Officials shall be as follows:  |  |  | | --- | --- | | **DESIGNATION** | **Workload Unit** | | Vice-President for Academics, Research and Innovation | 18 .0 | | University Research and Innovation Operations Director | 15.0 | | Research and Innovation Center Director | 15.0\* | | ITSO Manager | 12.0 | | JPMO Head | 12.0 | | RIC Division Head | 9.0\* | | RIO Unit Head - MEU/MISU/CU/DAU | 9.0 | | RI Media Team Member | 3.0 | | RI Data Analyst | 3.0 | | Ethics Committee Chairperson | 6.0 | | Ethics Committee Members | 3.0 | | Head, IPPU | 9.0 | | Head, TTU | 9.0 | | Patent Drafter0 | 2.0/IP | | Technology Transfer Liaison | 6.0 | | Campus RIO Head | 9.0 | | College RIO Coordinator | 6.0 | | JPMO Editor-in-Chief | 6.0 | | JPMO Associate Editor | 3.0 | | Scientific Journal Article Referee1\*\* | 1.0/article | | JPMO Online Support | 3.0 | | JPMO Typesetter\*\* | 0.5/article | | JPMO Language Editor\*\* | 0.5/article | | Internal RI subject expert reviewer\*\* | 1.0/PPS | | Internal RI report editor\*\* | 1.0/PPS |   \*Six (6.0) units shall be for administrative functions and the rest shall be for RI PPSs.  0Cumulative semestral maximum of 6.0.  1ACI, WoS, Scopus and other international refereed journals, without honorarium  \*\*Cumulative semestral maximum of 3.0.   1. Core RIC Faculty shall have fifteen (15) RI units. They can enjoy work overload incentives for research and innovation engagements, however, they cannot enjoy work overload for teaching. 2. Affiliate RIC Faculty may have 3-14 cumulative research and innovation workload units, over and above the regular teaching load, the equivalent of which may be offset over their teaching workload. They are entitled to overload incentives for both instruction, and research and innovation involvement. 3. Research and innovation workload units shall be defined as follows:  |  |  | | --- | --- | | **Nature of engagement** | **Semestral Units** | | Secondary Data Analysis | 3.0 | | Fieldwork (Surveys, Focus Groups, Interviews, etc.) | 6.0 | | Laboratory work/Experiments/Fabrication | 9.0 |   In the event of mixed methodologies, the methodology in the research with higher units shall prevail in the computation of workload.   1. This policy in the manual shall be reviewed and revised once every 2 years. |
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| * 1. **Continuous Faculty and Staff Development.** Generally, the OVPARI shall provide support functions to the management in matters pertaining to continuous Faculty and Staff development in research and innovation. It shall spearhead training activities and the selection of office nominees for training, conferences, scholarship grants and any other personnel interventions on matters of research and innovation in accordance with existing civil service and university policies.   In close coordination with the Human Resource Development Officer (HRDO) or its equivalent, the OVPARI learning and development (L&D) endeavors on research and innovation matters shall be in consonance with the L&D plan facilitated by the HRDO or its equivalent in the University. The URIO shall take part in the implementation of the L&D Plan of the University which covers the L&D Philosophy & Framework, L&D Standards, L&D Process, and L&D Programs.   1. Scholarship and Development Committee (SDC). The Scholarship and Development Committee shall operate in close coordination with the Human Resource and Development Office (HRDO) or its equivalent. The URIO Director shall provide support to the secretariat of the Committee (HRMO, see appendices for Terms of Reference) to expedite and facilitate the implementation of activities related to scholarship and development of University Faculty and Staff on research and innovation matters. Sanctioned referendum is an option for the SDC in deciding for staff development activities that require immediate action. 2. Internal Training**.** InternalRI training events shall refer to seminars and workshops spearheaded by the URIO.   The URIO shall identify potential resource person(s) or unit(s) for training events needed in coordination with the RIC Directors, Campus RIO Heads and ITSO Manager. Likewise, the URIO and ITSO shall be tasked with the regular conduct of training needs assessment of University Faculty and Staff on research and innovation matters.  URIO and ITSO Units shall conduct intermittent internal seminars and workshops in close collaboration with the Capacity-Building and Training Unit (CBTU), to wit:   1. The Communication Unit (CU) and Journal Publication and Management Office (JPMO) shall take charge in the conduct of intermittent workshops on research and innovation proposal writing and research writing for publication in reputable refereed journals. 2. The Monitoring and Evaluation Unit (MEU) and Management Information System (MIS) Unit shall take charge in the conduct of intermittent workshops on research and innovation progress/terminal report writing. 3. The Data Analysis Unit (DAU) shall take charge in the conduct of intermittent workshops on Data Analysis. 4. The Intellectual Property Protection Unit (IPPU) shall take charge in the conduct of intermittent seminars on intellectual property awareness and patent searching. 5. The Technology Transfer Unit (TTU) shall take charge in the conduct of intermittent seminars on industry and community technology and training needs surveys and assessments.   These services are primarily rendered NOT FOR Core RIC Faculty; however, with permission from their respective supervisors, Core RIC Faculty may participate in such RIO internal capacity building workshops.  At the same time, autonomous authority shall be given to RIC Directors to spearhead the same workshops for their respective RICs. They may tap the expertise of the URIO and/or ITSO Units or they may tap external expertise subject to the availability of their respective RIC Funds.  Internal research and innovation training events rendered by the URIO and ITSO for Faculty researchers shall be conducted in the exigency of service and shall be free of charge.  The MEU Head shall be tasked to evaluate all research and innovation training events which shall be submitted to the URIO Director and/or RIC Directors for proper action and recommendation, and logged in the University research and innovation database c/o the RIO-MIS.  Workshops for proposal writing on technology development research shall be in coordination with the ITSO, through the IPPU, to ensure that prior art search has been duly conducted before completion of technology conceptualization.   1. External Engagements**.** Externalresearch and innovation engagements shall refer to seminars, workshops, and conferences not spearheaded by the University.   The URIO shall be on the lookout for external research and innovation-related training events in close coordination with the HRDO, RIC Directors, ITSO Manager and Campus RIO Heads. Upon careful scrutiny on the effectiveness, usefulness, and alignment of the identified external training events, invitations to participate in such events shall be forwarded to the VPARI for endorsement to and approval by the University President.   1. Research and Innovation Output Presentations**.** All institutional research outputs to be presented in any CHED-endorsed regional, national, or international fora shall be endorsed and approved by the OVPARI, through the URIO or RIC, whichever may apply. The travelling expenses and registration shall be based on the approved guidelines of the local funds’ allocations.   Adhering to the spirit of Academic Freedom, outputs of independently-conducted research (e.g. extracted papers from the Faculty’s graduate theses, student research outputs with due approval from the students to have their research presented by their adviser or any Faculty as the case may warrant) by any University Faculty that have been accepted for presentation in any academic fora need not be endorsed by the University. Passing the forum or conference screening shall be validation enough on the credibility of the research. The University may claim such conference presentations as part of its outputs if the Faculty researcher consents with commensurate compensation e.g. the University shoulders the travel and registration expenses of the Faculty researcher.  The travel expenses and registration on both national and international fora shall be governed by Executive Order No. 298 re Amending Further E.O. No. 248 as amended by E.O. No. 248-A, which prescribes Rules and Regulations and New Rates of Allowances for Official Local and Foreign Travels of Government Personnel and subject to the availability of applicable RI funds and subsequent amendments or revision thereof. |
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| 4. RESEARCH AND INNOVATION INTELLECTUAL PROPERTY PROTECTION, PUBLICATION AND UTILIZATION |
| 1. **Protection of Research and Innovation Intellectual Property.** The IPPU, in close collaboration with the MEU and the MIS, shall keep track of any and all institutional research and innovation outputs for potential intellectual property protection.   Prior to any proposal workshop initiated by the CU or call for research and innovation proposals by any RIC, Faculty innovators working on technology-development shall consult with the IPPU for IP prior art search in order to prevent duplication of technology concepts.  In no instance may a Faculty innovator present a technology-development research proposal for institutional funding without a *prior art search clearance* (PAS clearance) from the ITSO, through the IPPU.  A PAS clearance shall be issued by the IPPU when the unit has successfully conducted the prior art search/patent landscape research and consequently informed the faculty of the results. Only in the extremely rare case that the proposed technology-development is a complete duplication of an existing prior art shall the IPPU not issue a PAS clearance. Otherwise, the IPPU shall simply give recommendations on the potential areas for improvement of existing prior arts to the Faculty innovator.  Proposals with no patentable intellectual property shall automatically be issued a PAS clearance.  Likewise, prior to any technology-development research progress or terminal output presentation, Faculty innovators shall first consult with the IPPU for prior art search and IP protection review. This is to prevent jeopardizing potential patentability and/or future IP infringement incidents.  No presentation/publication of institutionally-funded research and innovation outputs shall be permitted unless a *publish* *clearance* (Pub clearance) has been issued by the IPPU. A Pub clearance shall be released by the IPPU when:   1. after careful scrutiny, the IPPU finds no patentable or potentially profitable component in the research and innovation output; and/or 2. after careful scrutiny, the IPPU finds patentable and commercially transferable components in the research output and have successfully filed for the appropriate IP protection in the appropriate IP Offices.   At the same time, the IPPU shall strive to keep the turn-around time of the *Prior Art Search Clearance* and the *Clearance to Publish* applications to maximum of 5 working days. The IPPU shall also proactively volunteer their prior art search services during calls for RI proposals. Moreover, appointments to key RI positions shall distinctly, unequivocally and in writing include provision(s) to maintain confidentiality of RI concepts, proposals and outputs. The provision(s) shall serve as an encompassing non-disclosure agreement between designated RI personnel and faculty researchers.  The outputs of the University shall be published in CHED-recognized and reputable peer-reviewed journals after acquiring a *clearance to publish* from the IPPU. To prevent jeopardizing potential intellectual property registration novelty and/or IP infringement, the IPPU shall first screen RI outputs for potential IP protection prior to publication.  The right to publish belongs to the proponents and SLSU jointly as stated in the University IP Policy. The full acknowledgement shall be accorded to the Southern Leyte State University when published.  Finally, externally sourced research and innovation expertise shall likewise be made to sign exclusive non-disclosure agreements for intellectual property protection purposes. |
| 1. **Ownership of RI Intellectual Property.** Consonantto the University IP Policy, the right to publish jointly belongs to the proponent(s) and the University, represented by the ITSO.     A full acknowledgement shall be accorded to the Southern Leyte State University when University RI outputs are published. Ownership of Intellectual Property Rights upon publication shall be governed by the University IP Policy, to wit:  4.2.1. Inventions, Utility Models and Industrial Designs. Patent, utility model and industrial design registrations shall be jointly owned by the inventor/maker/designer and the University. In case of limited input area during application for registration, the University shall be identified as the owner of the abovementioned IP, however, this does not remove the ownership right of the inventor/maker/designer.  4.2.2. Trademarks. Trademark ownership of potentially high-value marks created by University faculty, staff and students e.g. logos, banners, slogans, etc. shall fall to the University if the concerned mark is filed for registration to IP Offices around the world by the University ITSO. However, this does not remove or invalidate the creator(s) authorship to the said mark.    Consequently, the ITSO, through the IPPU shall be on the lookout for potentially registrable marks created by University stakeholders and proactively offer services of registration to encourage University income-generation.    4.2.3. Copyright. For copyrightable research and innovation outputs e.g. reference books, instructional materials, works of art, etc. copyright ownership automatically falls to the author(s)/creator(s) unless they expressly, unequivocally and in writing waive this ownership right, upon which, ownership shall fall to the University.    If sought for, the University, through the ITSO-IPPU, shall provide assistance to University author(s)/creator(s) on copyright registration. Fees borne out of the registration process shall be shouldered by the author(s)/creator(s).  However, if upon careful scrutiny, the ITSO, through the Technology Transfer Unit (TTU) finds potential marketability of the RI Output, the University may offer to shoulder the registration expenses which consequently shall entitle the University to a percentage of the royalties, based on the stipulated transfer agreement. |
| **4.3.** **Incubation, Transfer and Adoption of Developed Research Technologies.** TheTechnology Transfer Unit(TTU)shallconduct regular industry, community and other University stakeholder needs surveys and assessments. The said unit shall keep a database of technology needs by the service areas which shall be cascaded to the RIC Directors and the URIO Director who shall then call for research and innovation proposals based on this information. All technology innovations with IP rights duly protected or registered shall be considered for technology transfer by the TTU who decides on the knowledge and technology transfer mechanism, to wit:    4.3.1. Sale or Assignment of IP Rights;    4.3.2. License of License to Contract;    4.3.3. Know-How Contract;  4.3.4. Joint Venture;  4.3.5. Memorandum of Agreement; and/or    4.3.6. Consultancy Agreement    Incubation of the technology may or may not be required based on the prerogative of the TTU Head, as endorsed by the assigned Technology Transfer Liaison.    Faculty researchers who wish to immerse in a potential enterprise for the incubation of their technology may be permitted with the express consent from the TTU. In no instance shall an inventor/maker make any direct transaction regarding the commercialization of an invention/innovation with the industry/community unless otherwise sanctioned by the TTU.  However, on special cases in terms of freedom of negotiation, the Faculty innovator may be given more freedom to negotiate directly with the interested parties, as some industries do not like the complicated intermeddle from third parties especially when negotiating about the product price. The Faculty innovator concerned shall secure clearance and authority from the TTU in the furtherance of this alternative option.    To encourage accountability and ownership for a successful technology transfer, the assigned TT Liaison, TTU Head, and ITSO Manager shall be entitled to a percentage of any royalties due to the University as indicated in the University IP Policy. |
| 4.4 **Publication of Research and Innovation Outputs.** Outputs of institutionally-funded research may be published in CHED-recognized or reputable peer-reviewed journals only after acquiring a Pub clearance from the IPPU*.*  The CU, in close collaboration with the JPMO, shall be on the lookout and keep a database of reputable publication media. As such, faculty researchers may inquire from CU or the JPMO and ask for advice on where to publish their respective research and innovation outputs. Likewise, the CU and the JPMO may proactively endorse reputable publication media to faculty researchers. In case of conflicting decisions between the proponent(s)/author(s) and the University on where to publish, the choice of the proponent(s)/author(s) shall prevail.  Authors (within and outside the University) may submit journal articles through email to the University’s Journal of Educational and Human Resource Development (JEHRD) and Journal of Science, Engineering and Technology (JSET). The Journal Management Office will facilitate the peer-review and publication of the submitted article. |
| **5.** **RESEARCH, DEVELOPMENT AND EXTENSION PROCESS FLOW** |
| **5.1.** **General Research Program, Project, or Study (PPS) Process Flow.** Reporting of PPS outputs may be accomplished through the following routes:    5.1.1. The University RI In-House Review and Evaluation route*.*    5.1.2. URIO Sanctioned Referendum  Externally and internally-sponsored RI PPS proposals shall only go through the URIO Sanctioned Referendum Route*.* |
| **5.2.** **The University RI In-House Review.** An Annual University RI In-House Review and Evaluation shall be conducted in order to ensure the quality in all RI PPSs of the University.    The University In-House Review shall serve as the local platform of choice for the constructive exchange of RI ideas. It shall be conducted every 3rd Wednesday of January, unless otherwise rescheduled by the RIREC on valid grounds and approved by the VPARI. Special In-House Reviews may likewise be conducted on top of the regularly scheduled In-House Review as the need arises and based on the availability of the RIREC members.  The University In-House Review shall serve to provide a platform for the:    5.2.1. Review, evaluation and approval of institutionally-funded RI PPS terminal reports;    5.2.2. Review and evaluation of externally-funded RI PPS terminal reports;  5.2.3. Review, evaluation and approval of research papers for publication seeking institutional funding support; |
| **5.3.** **Process flow for the University RI In-House Review and Evaluation.** The process flow for the conduct of the Annual University RI In-House Review and Evaluation shall be as follows:    5.3.1. Three (3) months prior to the scheduled date, the URIO Director announces the call for entries to the Annual University RI In-House Review and Evaluation.    5.3.2. The faculty researchers submit their progress/terminal report(s) and/or research paper(s) to their respective College RI Coordinator(s)/Campus RI Head(s)/RI Center Division Head for preliminary evaluation.  5.3.3. The Coordinator/Head/Division Chair returns such report to the faculty concerned if revisions/adjustments are necessary. Otherwise, he endorses the report to the URIO Director for inclusion in the In-house Review and Evaluation.  5.3.4. The concerned faculty presents the terminal report in the In-House Review and Evaluation.  5.3.5. A consolidated list of comments and suggestions shall be provided by the MISU Head to the faculty researchers through the RI Coordinator.  5.3.6. The faculty researchers shall comply with all the comments and suggestions and submits a Compliance Report to the URIO through their respective RI Coordinators. Such report consists of the following:  a. Transmittal Letter  b. Compliance Report (in matrix form)  c. Tracking Manuscript (where changes/adjustments are highlighted)  d. Clean Copy of the Manuscript    5.3.7. The RI Coordinator shall ensure that all comments and suggestions were complied before endorsing the report to the URIO Director for the issuance of Certificate of Completed RI PPS and inclusion in the RI Database. |
| **5.4.** **The RI-Sanctioned Referendum.** RI PPS proposals, progress and terminal reports may be processed through the RI-Sanctioned Referendum route. The RI-Sanctioned Referendum route shall be established to facilitate the speedy evaluation and approval of RI PPS proposals and dissemination of RI PPS outputs. The process flows for the RI-Sanctioned Referendum routes for the call for RI PPS proposals and the processing of RI PPS progress and terminal reports for dissemination are stipulated in *Section 5.6* and *Section 5.8.* |
| 5.5 **Call for Research and Innovation Program, Project, and Activity Proposals.** Call for RI Proposals shall be spearheaded by the different RICs. In rare cases, the URIO may call for proposals on fields that are otherwise not aligned to the VMGO and RI thrusts of any of the University RICs. Other internal RI units, particularly the Knowledge and Technology Transfer Unit of the University may also call for RI proposals. In the case of the latter, the TTU shall endorse any and all calls, based on industry and service-areas needs assessment surveys, to the ITSO Manager who shall likewise forward the information to the concerned RIC Director. The Call for RI Proposals shall be categorized as either institutionally or externally-funded RI engagements. |
| 5.6 **Process flow for Calls for Institutionally-Funded RI PPS Proposals.** Institutionally-funded RI PPSs are funded by the University. The process flow for such calls is as follows:    5.6.1. The concerned RIC Director announces the Call for RI Proposals and deadline for submission. The announcement of the Call for RI Proposals shall expressly and unequivocally state the requirement of a *prior art search clearance* from the IPPU.    5.6.2. Faculty researchers seek the IPPU’s prior art search services and obtain a *prior art search clearance* from the same unit before crafting their proposals.    5.6.3. *Non-core RI Faculty* submits proposals with corresponding *prior art search clearance(s)* to their respective College RI Coordinator or Campus RI Head on or before the stipulated deadline.    5.6.4. *Core RI Faculty* submits proposals with corresponding *prior art search clearance(s)* to their respective RIC Division Head on or before the stipulated deadline.    5.6.5. The College RI Coordinator, Campus RI Head, and/or the RIC Division Head conducts a formality review of the submitted proposals and polishes the format of the proposal. Formality review only looks at the construction and format of the proposal. This may involve adjusting the grammar, vocabulary, syntax and overall arrangement of the proposal contents. It could also include asking for additional review of related and supporting literature. In extremely rare cases and only when the coordinator/head/chair is confident of their own competence, suggestions on research questions and methodology may be warranted.    5.6.6. After polishing, the Coordinator, Head, or Division Head returns the proposal to the faculty researcher for approval. If the faculty researcher approves of the Coordinator/Head’s polishing, the proposal moves to the next stage of the process. Otherwise, the faculty researcher and the Coordinator/Head collaboratively polish the proposal until mutual agreement is obtained.    5.6.7. Upon mutual agreement on the refinement of the proposal, the Coordinator/Head issues a *Certificate of Compliance* for the proposal. Subsequently, the College RI Coordinator or Campus RI Head forwards the polished proposal to the URIO Director while the Division Head forwards the polished proposal to the concerned RIC Director.    5.6.8. Without prejudice to suggestions by the forwarding Coordinator/Head, the URIO Director/RIC Director identifies RI subject experts who shall conduct a substantive review(s) by referendum of the polished proposals. Substantive reviews shall look at the feasibility of the study and the soundness of the methodology based on the expert opinion of the identified RI experts.    Identification and population of said RI subject experts shall be left to the prerogative of the RIC Director or the URIO Director.    5.6.9. The RIC Director/URIO Director compiles the comments and suggestions of the identified RI subject experts and then decides on whether to accept or reject the proposal. In case of proposal acceptance but the proposal has substantive suggestions from the RI subject experts, the RIC Director/URIO Director shall consult with the proponent(s) and collaboratively comply on the suggestions. In case of rejection, the RIC Director/URIO Director shall return the proposal to the proponent with the verdict. The proponent(s) may appeal the decision by complying with the comments and suggestions, if they so desire, and resubmit the application directly to the RIC Director/URIO Director one more time. A second rejection shall be deemed final and irrevocable.    5.6.10. Upon acceptance and compliance of the comments and suggestions, the URIO Director/RIC Director issues a *Certificate to Conduct* and gives the order for the disbursement of the RI funds. The MISU likewise takes note of the approved proposal(s) and logs them in the RI database.  5.6.11. As the final approving entity, the corresponding RIC Director or the URIO Director shall be accountable for the integrity of all proposals they approve. |
| **5.7.** **Process flow for Calls for Externally-Funded RI PPS Proposals.**  The process flow for such calls is as follows:    5.7.1. For calls initiated by the URIO, ITSO, and the RICs as a result of institutional channelling of communication from concerned external funding agencies/organizations, follow Section 5.6.1 through 5.6.7.    5.7.2. The URIO Director/RIC Director conducts a final formality review of the proposal. If there are no further formality comments and suggestions, the URIO Director/RIC Director forwards the proposal to the external-funding agency/organization.    5.7.3. The MISU logs the submitted proposal in the database and conducts frequent follow-ups with the external-funding agency/organization until updates from said funding agency/organization are provided, which they shall subsequently forward to the URIO Director/RIC Director for appropriate action.    5.7.4. For externally-sponsored calls for RI proposals independently chanced upon by a faculty researcher, the concerned faculty researcher(s) may submit proposals on their own. However, they should log said submissions with the MISU for appropriate follow-up. Moreover, corresponding workload units and other incentives if such applications are accepted and granted by the funding agency/organization shall only be credited to the faculty researcher if the RI PPS has been duly logged into the MISU database. |
| **5.8.** **Process Flow for Processing RI Progress and Terminal Reports.** To ensure quality, all completed RI PPSs should ideally undergo In-house Review and Evaluation. However, as In-House Reviews shall be conducted only once a year, completed RI PPSs may be processed through the URIO-Sanctioned Referendum route as follows:    5.8.1. The faculty researcher(s) submits their progress/terminal report(s) to their respective College RI Coordinators/Campus RI Heads or RIC Division Head. As with *Section 5.7.*, the Coordinator/Head conducts a formality review and collaboratively polishes the submitted progress/terminal report(s) with the faculty researcher. The Coordinator/Head has the prerogative to outsource formality review expertise.    5.8.2. Upon mutual agreement, the corresponding Coordinator/Head logs the submitted and polished progress/terminal report(s) and subsequently forwards the report(s) to;  5.8.1.1 The IPPU Head for the issuance of IP clearance(s) as stipulated in *Section 4.1*, and  5.8.1.2 The URIO Director or the RIC Director for the issuance of the *Certificate of Completion*.  5.8.3. The URIO Director or RIC Director conducts a preliminary substantive review of the terminal report and identifies RI subject experts who shall conduct exhaustive substantive review by referendum of the RI PPS progress/terminal report.    Identification and population of the RI subject experts shall be the prerogative of the URIO Director or concerned RIC Director.    5.8.4. The URIO Director or RIC Director compiles the comments and suggestions then feedbacks it to the faculty researcher(s) for compliance. Once comments are complied by the faculty researcher(s), the URIO Director or the corresponding RIC Director issues the *Certificate of Completion*. |
| **5.9.** **Process Flow for Disseminating University RI PPS Outputs.** Dissemination and utilization of outputs may be accomplished through presentations in local, regional, national and international conferences/fora, publication, and extension through commercialization or community transfer/adoption. However, in no instance may a faculty researcher disseminate University RI Outputs without first obtaining the:    a. *Certificate of Completion* from the URIO Director or the corresponding RIC Director as stipulated in *Section 5.8* or *Review Clearance* from the URIO Director or RIC Director in the case of articles extracted from theses/dissertations; and    b. *Clearance to Publish* from the IPPU as stipulated in *Section 4.1.*    5.9.1. Presentations in conferences/fora. The process flow for presentations in local, regional, national and international conferences/fora shall be as follows:    5.9.1.1. The faculty researcher(s) submits the call for paper presentation and notice of acceptance to the URIO Director/RIC Director who verifies the legitimacy of the conference/forum and availability of funds before endorsing the same to the SDC via referendum or en banc meeting for approval;    5.9.1.2. The Scholarship and Development Committee (SDC) evaluates the forum/conference and approves or rejects the request via resolution;    5.9.1.3. The resolution shall be forwarded to the corresponding Unit/Division/Center administrative staff who shall take charge of the processing of travel funds and documents in close coordination with the requesting faculty researcher;  5.9.1.4. The concerned faculty researcher(s) attend(s) the conference; and    5.9.1.5. Upon return, the faculty researcher provides the MISU a copy of the certificate of presentation, pictures, and other pertinent documents for recording purposes.    5.9.2. Publication in SLSU Refereed Journals. The process flow for publication in any of the two SLSU Refereed Journals shall be as follows:    5.9.2.1. The Journal Management Office shall subject submissions to a 1st Level Assessment by the editorial board. If the paper fails in the evaluation, the paper is returned to the author. If the paper passes the evaluation, it is subjected to a plagiarism-grammarly review to prepare the paper for the peer-review process;    5.9.2.2. Once the article is revised following the results of the grammarly-plagiarism test, the paper undergoes three rounds of double-blind review by two qualified referees. If both referees recommend the article for publication, the article is accepted. If only one referee approves, a third referee is requested to review the paper. If two referees disapprove for publication, the paper is rejected;    5.9.2.3. The results of the double-blind review are forwarded to the authors by the Journal Managing Editor, after which the author(s) shall revise their article complying with the comments and suggestions of the reviewers then resubmits the article back to the Journal Managing Editor;    5.9.2.4. The editorial board examines the revised papers and the Chief Editor makes a decision on the acceptance/rejection of the paper for publication;    5.9.2.5. Papers that are accepted for publication shall be forwarded to a language editor who edits and proofreads the paper;    5.9.2.6. After editing the paper undergoes typesetting by a journal typesetter;  5.9.2.7. The typeset article is forwarded to the author for final comments/corrections;  5.9.2.8. When there are no further corrections to the galley, it is forwarded to the Online Support Staff for uploading on the online journal system; and  5.9.2.9. The article will be printed as part of the journal issue once the galley with all the other papers for the issue are compiled.    5.9.3. Publication in other reputable refereed journals. The process flow for publication in reputable refereed journals shall be as follows:    5.9.3.1. The faculty researcher presents the invitation for journal publication, acceptance from editorial board and certificate of completed RI PPS to their respective RI Coordinator/Head. The Coordinator/Head shall verify the legitimacy and reputation of the journal and the documents presented. For articles extracted from theses/dissertations, the faculty researcher shall obtain a *Review Clearance* from the URIO Director or the RIC Director following the URIO-Sanctioned Referendum process flow as stipulated in *Section 5.4*.    5.9.3.2. Upon publication, the faculty researcher(s) concerned shall submit to the MISU a copy of the Certificate of Publication or a copy of the journal or the article for monitoring and logging in the database.    5.9.4. Researcher-initiated Technology IP Protection. The process flow for researcher-initiated Patent/Utility Model/Industrial Design/Trademark Application shall be as follows:    5.9.4.1. The faculty researcher files a request for application for Patent/Utility Model/Industrial Design/Trademark with the Intellectual Property Protection Unit (IPPU) of the Innovation and Technology Support Office (ITSO) of the University and submits the corresponding technology documents for application i.e. research paper(s), drawings, etc.    5.9.4.2. The IPPU Head designates the task to the appropriate patent drafter who shall subsequently conduct a prior art search of the developed technology and echoes the results to the concerned faculty researcher. Likewise, a *Prior Art Search Clearance* is endorsed by the assigned patent drafter to the IPPU for issuance by the latter.    5.9.4.3. If after the expert collective judgments of the patent drafter, IPPU Head, and the ITSO Manager, the technology/mark is not patentable or registrable, a *Clearance to Publish* shall be issued by the Office, otherwise, the next step ensues.    5.9.4.4. The assigned patent drafter, in close consultation with the IPPU Head and the ITSO Manager, suggests the appropriate intellectual property protection(s) to file for and the corresponding filing routes based on the prior art search results.    5.9.4.5. The patent drafter and the faculty researcher collaboratively drafts the patent/UM/ID/TM claims and specifications for filing in identified IP Offices worldwide based on the agreed filing routes.    5.9.4.6. The patent drafter forwards the drafted technology/mark claims and specifications to the IPPU Head who shall fill out the corresponding application forms and process the corresponding filing fees.    5.9.4.7. The IPPU Head forwards the complete IP application documents to the ITSO Manager who then files for the identified IP protection schemes in the identified IP Offices worldwide.    5.9.4.8. The IPPU issues a *Clearance to Publish* to the faculty researcher(s).    5.9.4.9. Subsequent exchanges with the concerned IP Offices where the technology was filed shall be done by the ITSO, specifically the assigned patent drafter. In rare cases when the examination reports are too complicated for the assigned patent drafter to handle on their own, the faculty researcher(s) shall be called for consultation.    5.9.4.10. Upon issuance of the patent/UM/ID certificate, the ITSO Manager shall notify the MISU of all pertinent information for logging in the RI Database.    5.9.5. Office-initiated Technology IP Protection. The process flow for Office-initiated Patent/Utility Model/Industrial Design/Trademark Applications shall be as follows:    5.9.5.1. Technology development concepts that pass through the IPPU, whether by proactive scouting or through faculty researcher(s) seeking clearances shall be subject to an extensive prior art search by assigned Patent Drafters.    5.9.5.2. For developed or completed technologies/marks, *Subsection 5.9.3.2* through *5.9.3.10* shall apply.    5.9.5.3. For technologies still at the conceptualization stage, the IPPU returns the prior art search results i.e. pertinent patent documents to the faculty researcher and issues a *Prior Art Search Clearance*.    5.9.6. Copyright Registration. Process Flow for Copyright Registration    5.9.6.1. The faculty member files a request for registration of Copyright by submitting a copy of the material applied for along with the *Certificate of Completion* (in the case of research-based materials) and/or endorsement from the Instructional Materials Review Committee (in the case of non-research-based academic materials) to the IPPU through their respective College RI Coordinator/Campus RI Head/RIC Division Head.    5.9.6.2. The IPPU Head reviews the submission, accomplishes the appropriate copyright application form(s) for endorsement to the ITSO Manager and processes the filing fees.    The IPPU shall work in close collaboration with the TTU to identify potential transfer options of the material(s) being applied for registration. For non-research-based materials, an endorsement from the TTU Head shall entail the University’s shouldering of the registration fees. Otherwise, the faculty member shall bear the registration expenses.    5.9.6.3. The ITSO Manager files the registration for copyright to the appropriate IP Offices worldwide.    5.9.6.4. Upon issuance of the copyright number, the ITSO Manager notifies the MISU of all pertinent information for logging in the RI Database. |
| **5.10.** **Process Flow for Technology Transfer.** The Knowledge and Technology Transfer Unit (TTU) of the Innovation and Technology Support Office (ITSO) of the University shall take charge of the technology transfer process of developed technologies borne out of RI PPSs. The process flow for technology transfer is as follows:    5.10.1. Upon careful scrutiny, patentable orregistrable technologies borne out of RI engagements duly filed for IP protection by the IPPU may be incubated in selected communities/industries arranged for by the TTU;    5.10.2. In case of the decision to incubate, after a period of time, TTU shall conduct an impact assessment of the technology. If the assessment turns positive, the TTU shall come up with the appropriate technology transfer agreements based on the University IP Policy;  5.10.3.Otherwise, the TTU shall return the technology to the inventor(s)/maker(s) with corresponding comments for improvement.  5.10.4. The TTU endorses the drafted transfer agreement documents to the ITSO Manager, who shall then endorse the same to the VPARI and the University President for approval.    5.10.5. Upon approval, the TTU Head communicates the agreement to the adopting industry/community and arranges for any MOA signing ceremony whenever necessary.  5.10.6. The TTU spearheads the technology transfer commencement in the form of product orientation(s), process and technology utilization training(s), among others in close collaboration with the IPPU and the faculty researcher/inventor.  5.10.7. The TTU and ITSO Manager jointly files the signed agreement documents in the appropriate courts and other jurisdictions wherever applicable.  5.10.8. An arbitration clause shall always be expressly stipulated in the drafted agreement documents to facilitate speedy resolutions in case of future conflicts regarding the technology transfer. |
| **5.11.** **Claiming of Workload Unit Certification.** The process flow for Claiming of Workload Unit Certification for faculty members shall be as follows:    5.11.1. On-going RI PPSs    5.11.1.1. The faculty files a request for a certificate of work-load units earned in their respective RI offices together with a copy of the approved proposal, a progress report showing that the activity is implemented as planned.    5.11.1.2. After conducting a preliminary evaluation, the College RI Coordinator/Campus RI Head endorses the request to the URIO Director through MEU and MISU (for recording) for the issuance of the requested certificate.    5.11.2. Completed RI PPSs    5.11.2.1. The faculty files a request for a certificate of work-load units earned in their respective RI offices together with a copy of the certificate of completed RI PPS.    5.11.2.2.After conducting a preliminary evaluation, the RI Coordinator/Head endorses the request to the URIO Director through MEU and MISU (for recording) for the issuance of the requested certificate.    *Core RI Faculty* conducting and/or completing RI PPSs above and beyond their minimum required workload units are entitled to overload remuneration by obtaining an overload unit certification from their respective RIC Directors as endorsed by their respective RIC Division Heads. Likewise, the RIC Directors shall forward the pertinent information to the MISU for logging in the Database. |
| **6.** **RESEARCH AND INNOVATIONS REWARDS AND SANCTIONS** |
| **6.1.** **Incentives of the Core RI Faculty**. Incentives are provided to the faculty researchers based on the policies and guidelines approved by the Board of Regents for the RI outputs and accomplishments. However, the core RI faculty members shall qualify to receive only 50% of the monetary incentive for RI accomplishments, the amount of which shall be based on the guidelines on incentives approved by the BOR. |
| **6.2.** **Grant of Monthly Honoraria for Involvement in RI PPSs**. Pursuant to Section 8 of CHED Memorandum Order No. 20, s. 2011, and subject to approved accounting rules and regulations, honorarium shall be granted to the faculty members involved in institutionally-funded RI PPSs. The rate shall be approved by the SLSU-Board of Regents. The following requirements shall be complied by the concerned faculty members:    6.2.1. Proposal approved by the RIC Director/URIO Director and the University President through channel    6.2.2. Duly notarized contract    6.2.3. Order issued by the University President    6.2.4. Periodic accomplishment report    6.2.5. Terminal report (during the last month of implementation)    Provided that the following conditions are satisfied:    6.2.6. The fund necessary for the grant of the honorarium shall be charged against the fund specifically allocated to the Center/College/Department where the faculty member belong;    6.2.7. The faculty member shall be permanent or with contract of employment;    6.2.8. All documentary requirements are complied with as precondition in the disbursement of funds in accordance with the provisions of this Manual and other applicable laws, rules and regulations;    6.2.9. The grant of honorarium shall be strictly in accordance with the approved schedule of activities;    6.2.10. In no instance that a faculty member be granted the honorarium twice of any RI PPS whether as leader or member thereof;    6.2.11. Extension of the implementation of an RI PPS may be granted by the University President upon the recommendation of the VPARI, provided that there is an honorarium, and the period of extension shall not be beyond 25% of the approved period of implementation; and    6.2.12. Failure of the faculty members involved in the RI PPS to submit the terminal report and other requirements shall be grounds for the mandatory refund of any related remuneration e.g. honoraria, they received which shall be deducted from their respective salaries and other lawful incentives. |
| **6.3.** **Grant of Cash Incentive(s) for RI Outputs**. Subject to approved accounting rules and regulations and availability of funds, cash incentives shall be provided to the faculty members for their RI outputs.     |  |  |  | | --- | --- | --- | | **RI Output** | **Incentive** | **Requirements** | | Published Paper in:  a. WoS/Scopus-Indexed Journal  b. ACI-Indexed Journal  c. CHED-JIP Recognized Journal  d. Reputable Refereed Journal | P 30,000  20,000  15,000  10,000 | · Proof of Publication  · VPARI Approval | | Journal Citations Per Year\*:  a. at least 5  b. 6-10  c. 11-15  d. 16-20  e. 21-25  f. 26-30  g. 31-35  h. 36-40  i. 41-45  j. 46 and above | P 1,000  2,000  3,000  4,000  5,000  6,000  7,000  8,000  9,000  10,000 | · Proof of Citation | | H-Index  a. 1  b. 2  b. 3-5  c. 6-8  d. 9 and above | P 4,000  7,000  10,000  15,000  20,000 | · Proof of Citation in Google Scholar Citation | | Awards\*\*\* (Presentation/Exhibit/Poster)  a. Regional (2 or more sponsoring  agencies w/n the Region)  b. National  c. International | P 3,000    5,000  10,000 | · Proof of Award  · RIREC Approval | | Intellectual Property Claims  a. Copyright Registration  b. Patent Registration  c. Chem Utility Model Registration  e. Non-Chem Utility Model Registration  e. Industrial Design Registration | P 5,000  30,000  5,000  15,000  5,000 | · URIO Director/RIC Director Approval  · Proof of IP registration | | Finder’s Incentive  a. P500,000 - 2M  b. Above 2M – 5M  c. Above 5M | P 10,000  15,000  20,000 | · MOA  · Release of Initial Fund | | RI-Related Awards  a.Outstanding Faculty-Researcher  b. Outstanding RI Support Staff  c.Regional/National/International  RI-Related Award/Recognition | P 10,000  10,000  10,000 | · Proof of Award | | Incentive for RI Center Director\*\*\*\* | 3% of the Administrative Cost | · VPARI Approval | | Incentive for Facilitative Staff \*\*\*\* | 5% of the Administrative Cost | · VPARI Approval |   *Note: For PPSs implemented by more than one faculty, WLU shall be equally divided among them.*  \*Subject to the approval by the committee  \*\*Excluding self-citation  \*\*\*Excluding extracted papers from own theses/dissertations  \*\*\*\*Externally-funded PPSs only |
| **6.4.** **Workload Incentives for RI PPS Involvement**. Faculty workload for RI involvement shall be in consonance and harmony with the approved guidelines of the University on giving workload for faculty. The workload for RI involvement includes, but not limited to the following:     |  |  |  | | --- | --- | --- | | **Nature of Involvement** | **Workload Equivalent (units)** | | | **w/o honorarium** | **w/ honorarium** | | Program | 9.0/sem | 6.0/sem | | Project | 6.0/sem | 3.0/sem | | Activity/Study | Refer to Section 3.5 | Refer to Section 3.5 | | Expert Services\*  Consultancy (w/ MOA)  Consultation/Advisory  Resource Person  Training Coordinator  Training Facilitator | 3.0 per term  0.15/contact hr.  0.25/contact hr.  0.5/8-hr training  0.25/8-hr training | 1.0 per term  0.075/contact hr. 0.125/contact hr. |   \**maximum of 3.0 units/semester/service* |
| **7.** **RESEARCH AND INNOVATION PROGRAMS IN SUPPORT TO INSTRUCTION** |
| **7.1.** **Students’ Involvement in RI PPSs.** The following guidelines shall be observed relative to the involvement of students in RI PPSs:    7.1.1. Students who are working on their respective theses or dissertations may have their studies funded by the Center, provided the topic of the study is in line with the RIC and/or the University’s RI thrusts and priorities. This opportunity may be availed through the following scheme:    7.1.1.1. submitting a proposal in line with the thrusts and priorities of the center through a faculty researcher affiliated with the center;    7.1.1.2. joining an appropriate on-going research project of the center; or    7.1.1.3. joining a call for proposals with a center-affiliated faculty as main proponent.    7.1.2. The scope of students’ involvement in a certain project implemented in the center should be clearly defined (i.e. enumerator, laboratory assistant, research aide, etc.).    7.1.3. It is the responsibility of the main proponent to secure the required permits/ documents pertaining to the conduct of the study (e.g. experimental, field works, etc.). Corresponding documents, such as parents’ consent, shall be facilitated by the student researchers.    7.1.4. Student researchers may use the research outputs/data they gathered themselves in their theses or other course requirements.    7.1.5. A written consent should be secured from the main proponent whenever a student researcher desires to disseminate the research output. Dissemination of outputs by students undertaking part and parcel of University RI PPSs will still be governed by Part 5 of this Manual.  7.1.6. Involved student researchers shall always be included as co-authors once the relevant RI outputs are published.  7.1.7. Students working on an activity not funded by the center may use the facilities in the RIC subject to applicable fees set by the center management. Likewise, students working on an activity not funded by the URIO may avail of RI services e.g. Data Analysis, Grammar Critiquing, Prior Art Search, etc. subject to applicable fees set by the RI Unit concerned.  7.1.8. The guidelines on student thesis/dissertation approved by the Board of Regents shall be adhered to whenever students undertake their studies in any research center |
| **7.2 RI Services for Students.** The various RICs, and URIO and ITSO Units shall provide services to students in the form of extra-curricular RI seminar-workshops and exhibits, and consultancy services on research and innovations. Services-rendered to students shall be free of charge, subject to the availability of RI resources. However, the RI Office shall not provide funding support for any RI-related capacity-building engagements by students. Rather, the concerned academic units shall shoulder such capacity-building activities. |
| **8.** **RESEARCH AND INNOVATIONS FOR EXTERNAL STAKEHOLDERS** |
| **8.1.** **Services Provided by RICs.** The RICs shall have complete autonomy over the provision of RI services to external stakeholders. Services provided by RICs shall be subject to the availability of resources and provided for a fee based on the rates approved by the University Board of Regents. |
| **8.2.** **Services Provided by the URIO Units.** The URIO shall conduct RI services relative to their respective units subject to the availability of resources. Training and consultancy services shall be provided for a fee based on the rates approved by the University Board of Regents. Requests for services from external stakeholders may be provided for free subject to the approval of the University President. Such services shall be provided by the following URIO Units, to wit, but not limited to:    8.2.1. General training, seminars, workshops and capacity-building on RI;  8.2.2. Data Analysis and Interpretation;  8.2.3. Graphics Design and Layout;  8.2.4. Video Production;  8.2.5. Audio Production; and  8.2.6. Impact Assessment Studies. |
| **8.3.** **Services Provided by the Journal Publication Management Office.** The Journal Publication Management Office shall provide RI publishing-related services to University external stakeholders subject to the availability of resources. Services shall be provided for a fee based on the rates approved by the University Board of Regents. Requests for services from external stakeholders may be provided for free subject to the approval of the University President. Such services shall be provided by the JPMO, to wit, but not limited to:    8.3.1. Text-editing;  8.3.2. Typesetting;  8.3.3. Plagiarism and Grammarly-review;  8.3.4. Online Journal System training;  8.3.5. Peer-review/Refereeing; and  8.3.6. Journal publishing options consultation. |
| **8.4.** **Services Provided by the Innovation and Technology Support Office.** The Innovation and Technology Support Office shall provide intellectual property protection and knowledge and technology transfer services to University external stakeholders subject to the availability of resources. Services shall be provided for a fee based on the rates approved by the University Board of Regents. Requests for services from external stakeholders may be provided for free subject to the approval of the University President. Such services shall be provided by the ITSO, to wit, but not limited to:    8.4.1. General awareness-building and seminars on intellectual property;  8.4.2. Prior Art Search;  8.4.3. IP Specifications and Claims Drafting;  8.4.4. IP Protection Application;  8.4.5. Community Needs Assessment;  8.4.6. Technology Incubation Assistance; and  8.4.7. Technology Transfer Assistance. |
| **9.** **ETHICAL CONSIDERATIONS IN THE IMPLEMENTATION OF RESEARCH AND INNOVATION PROGRAMS, PROJECTS AND ACTIVITIES** |
| This guideline together with existing laws and regulations serve as basis for the ethical evaluation of proposed research to the highest ethical standards, concerning only with ethical issues related to scientific research. |
| **9.1.** **The University RI Ethics Committee (RIEC).** The University RIEC shall serve as the governing body of the University on all aspects pertaining to the ethical conduct of University RI PPSs. All RI PPS proposals should acquire a clearance from University RIEC prior to implementation. |
| **9.2.** **Procedures for Acquiring the RIEC Clearance.** The generic process flow for obtaining the RIEC Clearance is shown in Figure 3. Detailed procedures regarding the acquisition of the clearance and consequent approval for RI PPS implementation are as follows:    9.2.1. The RIEC shall make decisions at scheduled meetings a week before the scheduled paper review at which a quorum is present. The regularly scheduled meeting dates shall be announced in advance.    9.2.2. The Chair (in consultation with others) may need to decide that a proposal has to be considered between meetings and is responsible for ensuring that an appropriate level of scrutiny informs the decision.    9.2.3. In respect of a proposal being put forward by a member of the reviewing Committee, those involved in the research submission should withdraw from the meeting while the submission is considered.    9.2.4. In research where there is a clear risk to the participant’s health such as research involving taking body material samples, it is recommended that an opinion is obtained from an appropriately qualified health practitioner.    9.2.5. Observers, who should play no part in the Committee’s deliberations, may be invited subject to the prior agreement of members. Observers should be allowed only if they accept in writing the same duty of confidentiality as Committee members.    9.2.6. Minutes of the meetings shall be documented and duly approved by the members present.    9.2.7. A decision should be reached and communicated to the applicant, wherever possible, within three (3) days of the submission of the research proposal.    9.2.8. Where a decision is made by the Chair's Action, this should be on the basis of detailed scrutiny by a least two members of the Committee. The decision will be reported to the next available meeting of the Committee.    9.2.9. Amendments submitted once ethical scrutiny has been completed shall normally be dealt with through Chair’s Action.    9.2.10. Where the research is terminated prematurely, a report shall be provided to the relevant committee within 14 days, indicating the reasons for early termination.    9.2.11.RIEC members do not sit on the Committee in any representative capacity and need to be able to discuss freely the proposals that come before them. For these reasons, all RIEC meetings will be held in private.    9.2.12. All RIEC members will be bound by the policy of confidentiality and will not be disclosed to any other third party research particulars or detailed discussions of applications for ethical approval held during committee meetings.    9.2.13. Complaints and clarifications on the RIEC decisions should be sent to the Chair of the RIEC for appropriate action. |
| **9.3.** **Basis of Clearance Issuance by the University RIEC.** The following are the scope and limitation of the committee’s decision in giving ethical approval on a research project:    9.3.1. The primary task of the University RIEC lies in the ethical review of research proposals and their supporting documents, with special attention given to the nature of any intervention and its safety and protection for participants and researchers, to the informed consent process, documentation, and to the suitability and feasibility of the proposal.    9.3.2. A decision by the RIEC to give ethical approval to a research project does not imply an expert assessment of all possible ethical issues or of all possible dangers or risks involved, nor does it detract in any way from the ultimate responsibility which researchers must themselves have for all research which they carry out and for its effects on human participants. The Committee addresses themselves to ethical matters and are dependent upon information supplied by the researcher. This information is expected to be properly researched, full, truthful and accurate. Failure to follow the University’s guidance on ethical review of research may result in disciplinary action.  9.3.3. A decision to change the University’s policies or procedures for ethical review of research does not imply that previous policies or procedures were inappropriate, and any such changes do not invalidate ethical approval that has been given. However, researchers are expected to make themselves aware of changes in policies or procedures and to adopt them as necessary.  9.3.4. The location or nature of the proposed research may require that the researcher approaches partner organizations for approval. This will always be in addition to the University ethics approval process. However, when ethical approval has been obtained from an appropriately constituted external ethics committee, the RIEC, may accept that opinion with further review only of the ‘locality issues. ‘Locality issues’ are particularly concerned with: the suitability of the researcher, the appropriateness of the local research environment and facilities, the University’s reputation and the level of risk of the project.  9.3.5. For faculty who regularly receives applications requiring scrutiny by an external research ethics committee, such as through the National Research Ethics Service, the RIEC’s procedures should set out the way in which such applications are handled internally.  9.3.6. For research conducted by students, the research should already be approved by the RIEC member at the College.  9.3.7. The appropriate SLSU RIEC dealing with an application for review must always be informed by the researcher of an external ethics committee decision.  9.3.8. The RIEC has a responsibility to consider legal matters directly related to the ethical consideration of the way in which research involving human participation is to be conducted, such as requirements to obtain informed consent. It is not the responsibility of the RIEC to consider and give advice on wider legal issues which might affect whether and how the research should be permitted to go ahead. The University will set up separate arrangements for consideration of these issues. Should a RIEC identify any such issues, it should refer them to the appropriate officer for further consideration  Faculty  Submission of Research Application to the URIO through the RI Coordinator  Student  Undergraduate/Graduate  Self-Assessment of RIEC (checklist) submitted by the Principal Researcher/s to the RI Coordinator (upon submission)  Research/Thesis/Dissertation Adviser Assessment of RIEC (Checklist) submitted by the adviser to the RI Coordinator (upin submission)  Is the research involving human participants, animals, or involving the use of data derived from identifiable human subjects?  RI Coordinator will submit the research to the RIEC  RIEC will review the research for ethics approval and notify the RI Coordinator regarding the ethical standard  No ethics form to be completed  If approved, RIEC will confirm the RI Coordinator and attach a RI Ethics Clearance endorsement to the URIO DIrector  If revised/rejected, comply as to the comments and suggestions  NO  YES  RI Coordinator will check & monitor the RIEC assessment  Figure 3. Process flow for acquisition of RI Ethics Clearance |
|  |
| **10.** **MANAGEMENT, MONITORING AND EVALUATION OF RI PROGRAMS/PROJECTS/ ACTIVITIES** |
| The University shall strictly adhere to the approved RI agenda. Under this set-up, representation and membership to RI consortia and networks shall be coming from the Center specifically mandated to carry the functions, duties and responsibilities.    Research and Innovation activities must be formulated in line with the thrust and priorities of the respective centers. Collaborative programs are strongly encouraged. Conduct of multidisciplinary RI with other Colleges, Universities, Institutes, Centers, and Government Line Agencies is most recommended.    For classification purposes, RI PPSs shall be classified into two categories: (1) Externally-funded PPSs and (2) institutionally-funded PPSs. These two categories shall be further classified into RIC PPSs and Non-RIC PPSs. |
| **10.1.** **Management and Operation of RI Center PPSs.** The following guidelines shall be observed in the management and operation of the RI PPSs at the RICs:    10.1.1. The RIC Director coordinates closely with the URIO Director for the operation and implementation of the RI programs, projects and activities at the center following the BOR-approved policies and guidelines. The concerned heads under the RIC Director shall facilitate the conduct of the operational undertakings of the research centers.    10.1.2. The RIC Director manages the funds, both internally and externally sourced, of the center and decides/approves the RI PPSs for funding.    10.1.3. The RIC Director initiates the call for RI proposals based on the center’s thrusts and plans, and sets the deadline for acceptance of submission. The URIO facilitates the dissemination of the call for proposals through the college RI heads/coordinators and convenes the members of Research and Innovations Review and Evaluation Committee (RIREC).    10.1.4. For submission of proposals for external funding, the RIC researchers shall submit directly to the funding agencies with the necessary endorsements from appropriate University officials.    10.1.5. The RIC Director shall coordinate with the Office for URIO Director, through the MISU Head, on the conduct of its activities such as in-house reviews, database management, submission of reports (progress & terminal reports, activity reports with complete documentation), and other monitoring and evaluation activities.    10.1.6. The RIC Director shall endorse to VPARI, through the MISU Head, all approved institutionally-funded RIC PPSs for the issuance of permit to conduct, appointment of researchers and certificate of workload units earned for approval by the VPARI.    10.1.7. The RIC Director shall coordinate with the ITSO Manager, on the conduct of its activities related to intellectual property protection (i.e. patent, UM, industrial design, copyright, etc.) and transfer (i.e. technology incubation, commercialization, licensing and dissemination).    10.1.8. The RIC Director shall coordinate with the URIO, through the CU Head, on the conduct of its activities related to knowledge/technology packaging and dissemination including exhibits and field demonstrations.    10.1.9. The RIC Director shall coordinate with the URIO, through the DAU Head, on the conduct of its activities related to data treatment, analysis and interpretation.    10.1.10. The RIC Director shall coordinate with the URIO, through the CU Head, on the conduct of its activities related to capability building of the research faculty (i.e. training needs assessment and evaluation, attendance in conferences). |
| **10.2.** **Management and Implementation of Non-RI Center PPSs .** All institutionally-funded RI PPSs shall be conducted or implemented upon approval after duly reviewed and evaluated by the RIREC, and approved by the VPARI.    10.2.1. Research and Innovation Activities    All institutionally-funded RI PPSs shall be conducted or implemented upon approval after duly reviewed and evaluated by the RIREC, and approved by the VPARI.    For, institutionally-funded programs of faculty not part of any center, the concerned faculty will have to coordinate with their respective College RI Coordinator/Campus RI Head for proper submission of proposals, progress reports and terminal reports to the URIO Director in case of RI In-House Review and Evaluation route. An institutionally-funded project may have two (2) or more studies. Proposals must have a Gantt chart of proposed activities and a Budgetary Requirement for proper monitoring of time and resources.    The proponent of an approved institutionally-funded project/study that is not conducted within the semester should notify the URIO or RIC Director, whichever is applicable, immediately with proper justification. |
| **10.3.** **Management and Implementation of Externally-Funded RI PPSs**. All faculty are encouraged to submit capsule proposals to external funding agencies and organizations. The faculty are free to submit proposals directly to funding agencies following the concerned funding agency’s submission requirements.  All RI PPS proposals for submission to external-funding wherein SLSU is the leading institution should be duly endorsed by the University President. Once approved and granted, the proponent shall furnish the MISU a copy of the approved RI PPS proposal for proper monitoring. Likewise, the proponent shall copy furnish the MISU any pertinent reports and documentation submitted to the funding agency.  Unlike institutionally-funded activities, externally-funded RI PPSs may not be in line with the thrust and priorities of the University unless they are run by RIC. The management and conduct of externally-funded RI PPSs shall be primarily governed by the Terms of Reference of the funding agency provided they are not in conflict with the University’s RI Agenda and VMGO. Once approved, the University shall not interfere in any way, unless adversely necessary (e.g. report of an ethics breach, among others) in the procedures and protocols for the conduct of any externally-funded RI PPS, other than monitor and document progress and provide constructive feedback whenever necessary.    Upon termination of the PPS, the researcher workers shall furnish the MISU Head a copy of the terminal report. Such report may or may not be presented to the In-House Review at the researcher worker’s discretion. In the case of the former, presentation in the In-House Review will be for recording and monitoring purposes only. Reviewers may give comments and suggestions during such presentation but the proponents may opt not to heed to these recommendations. Likewise, researchers of externally funded RI PPSs shall not be required to submit compliance reports.    Credit and utilization of outputs of the PPS shall be governed by the signed Memorandum of Agreement between the proponent(s), the collaborating University(ies), and the funding agency(ies).  Externally-funded RI PPSs led by SLSU should be duly endorsed by the University President. Upon receipt of the grant, the PPS shall be presented to the RIREC for recording and monitoring purposes.  Unlike institutionally-funded activities, externally-funded Research and Innovation Activities may not be in lined with the thrust and priorities of the University unless they are run by RIC.  For recording and monitoring purposes, a copy of all pertinent documents such as MOAs, MOUs and progress reports shall be submitted to the MISU Head.  Upon termination of the activity, the researcher(s) shall furnish the MISU Head a copy of the terminal report. Such report(s) may or may not be presented to the In-House Review. |
| **10.4.** **Monitoring and Evaluation of RI PPSs.** The MISU must validate that the objectives of a specific project have been achieved as planned and to verify whether it has generated technologies, significant information, and findings with potential impact on the target clientele’s socio-economic activities through an ex-post facto evaluation.  The quarterly monitoring must be collated and collected for trending and analysis to evaluate the functionality and utility of the research and innovation outputs of the Centers and Colleges, this will be evaluated against the University goals and objectives.  Impartial appraisal must be considered at all times using a unified framework for evaluation.  For the purpose of monitoring externally-funded RI PPSs, concerned researcher(s) shall submit all pertinent documents such as proposals, MOAs, MOUs, progress and terminal reports to the MISU. |
| **11.** **FINANCIAL AND RESOURCE MANAGEMENT AND ACCOUNTABILITY** |
| **11.1.** **General Provision.** The management of research and innovation funds and resources shall be subject to the usual accounting rules and auditing regulations. However, research and innovation funds from external sources shall be governed by the memorandum of agreement/understanding executed by both parties. In case of conflicting provisions, priority shall be given to the provisions set forth by the sponsors and/or funding agencies. |
| **11.2.** **Allocation of RI Funds from the General Appropriations Act (GAA) Annual Budget**. The research and innovation funds of each campus from the annual budget contained in the General Appropriations Act (GAA) shall be distributed as follows:    11.3.1. At least thirty percent (30%) shall be allocated and disbursed immediately for RIC’s programs, projects and activities (PPSs). The PPSs may be emanating from any RIC of the University that involve at least one faculty-proponent coming from the campus that provides the funding support. The concerned RIC Director in coordination with the campus RI head (in the case of external campuses)/ URIO Director (in the case of the main campus) shall prepare the project procurement management plan (PPMP) for RIC PPSs.    11.3.2. The remaining amount shall be apportioned and disbursed immediately by each of the campuses to finance other RI operations and activities such as, but not limited to, approved RI PPSs outside the scope of the RICs, in-house reviews, training, incentives and other related RI activities in each of the campuses. |
| **11.3.** **Allocation for Research and Innovation from Tuition Fee Collection and Income of the University.** Pursuant to Section 8 of CMO No. 20, s. 2011, the budget allocation for research and innovation shall be fixed at ten percent (10%), respectively of the tuition fees after deducting allowance for university-wide common administrative costs. Other income of the University may also be allocated to research and innovation services of at least ten percent (10%) subject to the approval by the SLSU-BOR upon recommendation by the University President. |
| **11.4.** **Objects of Expenditure for Research and Innovation from Tuition Fee Collections**. As provided under CMO No. 20, s. 2011, the budget allocations for research and innovation from tuition fee collections shall be used for objects of expenditure related to the formulation or implementation of PPSs such as, but not limited to:    11.4.1. Honoraria and incentives of RI implementers, lecturers or RI presenters, RI assistants (with contract of employment) and wages of other personnel,    11.4.2. Office and IT equipment, facilities, supplies and materials;  11.4.3. Training and Travel expenses;  11.4.4. University RI In-House Review;  11.4.5. RI presentation in appropriate forums; and  11.5.6. Other RI activities or undertaking that is geared towards producing RI outputs that would be beneficial for the development of the Province of Southern Leyte. |
| **11.5. Allocation of 5% of GAA-RI Funds for Gender and Development-Related RI Activities.** The 5% of GAA-RI Funds of the University shall be allocated for Gender and Development (GAD)-related RI programs, projects and activities subject to applicable accounting rules and approval by the SLSU-BOR upon recommendation by the University President. |
| **11.6.** **RI Grants and Other Externally Sourced Funds**  The utilization and disbursement of RI funds from external sources such as grants, donations, financial assistance, etc. shall be in accordance with the specific instructions prescribed by the source of funds contained in the legal instrument to be executed between or among the President of the University and/or faculty member/s or researchers and the grantor/s, donor/s or benefactor/s.  The University may collaborate with non-stock and/or non-profit organizations e.g. Science Foundations, in the search for, management and utilization of RI funds in pursuance of the University’s RIC’s Programs, Projects and Activities. |
| **APPENDICES** |
| Appendix 1  **Terms of References** |
| **1.1.** **Vice President for Research, Development and Extension (VPARI).** The VPARI provides the staff support of the University President in the formulation of policies relevant to research, development and extension in the pursuit of the university’s role in the generation of new knowledge, new and innovative technologies and the transfer of such knowledge to the intended beneficiaries. In view hereof, the VPARI shall specifically perform the following duties and responsibilities, but not limited thereto:     * 1. Exercise responsibility in the general administration and supervision of the entire research and innovation programs of the University;   2. Supervises and oversees the entire operation of the RICs of the University with coordinating function with the College/Campus Deans and Institute Directors;   3. Ensures the delivery of major final outputs for RI;   4. Ensures the dissemination and transfer of research outputs and generated technology and innovations to the intended users in the service areas;   5. Initiates the formulation and periodic review of the University’s RI agenda, thrusts and priorities aligned to the RI agenda of line agencies;   6. Coordinates with other operating units of the University in the implementation of RI PPSs;   7. Endorses and recommends the establishment of other research centers that would help in advancing the vision, mission, goals and objectives of the University;   8. Facilitates intergovernmental, inter-agency and networking programs for research, development and extension;   9. Provides leadership on all domestic and international relations and linkages related to RI;   10. Recommends budget proposal related to the promotion and linkages of the university with other local/international universities and/or agencies;   11. Directs the development of the strategic plan for research and extension programs/projects and assigns responsible persons for its implementation;   12. Oversee the Journal Management Office, Innovation and Technology Support Office, Research and Innovation Ethics Committee, and the RIREC; and   13. Performs other duties as assigned by the University President and pursuant to the general provision of the role of a Vice President for Academics, Research, and Innovations. |
| **1.2. The University Research and Innovations Ethics Committee.** TheUniversity Research and Innovation Ethics Committee (RIEC)) shall serve as the governing body of the university tasked with ensuring the proper conduct of RI PPSs based on established and universally-accepted code of ethics, and reports to the Vice-President of Academics, Research, and Innovations of the University.    Each Discipline (human, tissue, data, flora and fauna) shall have two faculty representatives who will comprise as members of the University RIEC. The RIEC must have sufficient members to guarantee the presence of a core group at each meeting and to allow for a sufficiently broad range of experience and expertise. The RIEC is composed and organized as:  University President  VPARI  Chairman  Co-Chairman  External Expert  Secretary  Members for Human Ethical Concern  Members for Data Retrieval Concern  Members for Tissue Sampling  Members for Flora and Fauna Concerns |
| 1.2.1. ***Committee membership requirements***. The University President appoints the members for a period of three years which can be subject for renewal. It is essential that the membership of the RIEC contain research expertise across a wide range of methodologies for research involving human participants, data, tissue and, flora and fauna. Given the need to ensure that the committees are impartial, and in order to achieve the requirements of the overall membership set out above, alternate members may be appointed by the VPARI or the co-chair to act in respect of proposals put forward by, or involving, more than one member of the committee. Any alternate members shall be subject to the same training requirements as all other members of the RIEC. Membership to the RIEC requires that one:   * + - * 1. Must be recommended by the VPARI, upon review of his/her expertise in the field;         2. Must have received training in research ethics review, and possess the relevant skills;         3. Must be in the field of specialization related to the discipline;         4. Must have known to be a person with high integrity and objectivity in decision making;         5. Must have the basic skills in research methodology; and         6. Must be a regular employee of the University. |
| 1.2.2. ***Duties and Responsibilities***. The duties and responsibilities of the University Research and Innovations Ethics Committee are as follows:    Develop, review and evaluate procedures, policy and guidelines for the RIEC for the ethical review of all research with human participation and animal or utilizing human derived material conducted by academic staff and students, and to provide appropriate research ethics support for associate faculty;  Advise researchers and faculty on the ethical conduct of research, disseminate information on the proper ethical conduct of research and to provide an avenue for the spread of good ethical practice;  Receive, consider and give ethical approval for research involving human participants, animals, secondary data and human derived material where it is not appropriate for the application to be delegated or when requested by the university research ethics committee;  Ensure that people taking part in research conducted by academic staff and students of the University are afforded appropriate ethical protection;  Monitor and audit the ethical conduct of research involving human participants, data and human derived material conducted by academic staff, students and researchers and maintain a register of all proposals available for external scrutiny, except where there are matters of confidentiality that must be respected.  Seek clarification from external expert bodies, as necessary, on matters of ethical review policy and practice, and advise on and where necessary comply with external regulations and/or guidance on the ethical conduct of research;  Provide support to the researcher where circumstances might otherwise challenge their academic freedom, or intellectual property rights, or put the researcher in emotional, psychological or physical danger;  Consider and advise on difficult or controversial ethical issues and subsequently referred to RIEC and to identify and where appropriate assist with the provision of training on ethical review for members of RIEC; and  Ensure that all members are abreast with current issues and concerns in research ethics through continuing education appropriate to his or her role as a research ethics committee member. |
| **1.3. Research and Innovations Review and Evaluation Committee (RIREC)**. The RIREC has the following functions:   1. Conducts review and evaluation of the RI papers; 2. Recommends revisions of the RI papers, if necessary 3. Identifies and endorses to the VPARI the PPSs for implementation and information/technology for dissemination, publication, transfer, commercialization, and adoption |
| **1.4. Scholarship and Development Committee**. The SDC shall be composed of the following:    SDC Main Campus:  Chairperson:Vice President for Academics, Research, and Innovations  Members: URIO Director  RIC Directors (stationed in the Main Campus)  College Deans/Institute Director  Department Heads/Program Chairs (for units without a dean)  Secretariat: HRMO and URIO Administrative Staff  **SDC External Campuses:**  Chairperson:Campus Director  Members: Campus RI Head  RIC Directors (stationed in the corresponding Campus)  Department Heads/Program Chairs (for units without a dean)  Secretariat: HRMO and Campus RI Support Staff  The SDCshall perform the following duties and responsibilities:   1. Formulate a career development plan for the RI faculty and staff; 2. Come up with a Training and Development Plan for the RI faculty and staff based on the competency assessment and Training and Development Needs Assessment (TDNA), which shall be updated regularly; 3. Coordinate with various institutions that offer training, scholarships, study tours or visits, industry or company immersion, faculty exchange both local and foreign for dissemination in the office; 4. Screen qualified nominees/applicants based on the training and development plan, policy guidelines and criteria set for scholarships and other intervention/development programs; 5. Recommend to the University President or his/her duly authorized representatives the most qualified nominees in accordance with screening results except if concerned recipient has been specified by other sponsoring agency; 6. Render a quarterly report of training/seminars, scholarship grants and any other development interventions attended by the SLSU RI faculty and staff. |
| **1.5. University Research and Innovations Operations Director.** The URIO Director shall be responsible for the overall leadership and implementation of research and innovation programs of the faculty members who are not affiliated with the RICs through the College RI Coordinators and Campus RI Heads, and shall report directly to the VPARI. The URIO Director shall also supervise the activities of the supporting RI units namely the Monitoring and Evaluation Unit, Management Information System Unit, Communications Unit and the Data Analysis Unit.  The URIO Director shall be appointed by the University President for a term of two (2) years through the strength of BOR Resolution No. 57, s. 2018 re Approving the SLSU Guidelines for Designation of Faculty and Staff to Administrative Positions of which item 6.2 provides that, “for positions without incumbents, a designation may be renewed for another two (2) years but not to exceed four (4) years.”  The URIO Director shall perform, not limited thereto, the following duties and responsibilities:    Manage the operation of the research and innovation programs of the academic units in coordination with the various colleges/campuses and RICs;  Coordinate closely with the various colleges/campuses and RICs in the conduct of research and innovation activities of the University;  Promote and facilitate cutting-edge RI, including collaborative and interdisciplinary research, in areas related to the goals and RI agenda of the University;  Build and provide sufficient support for a community of innovative researchers to enhance RI capacity at the University and to increase internal and external RI opportunities for faculty, post-doctoral fellows, and students;  Develop strong linkages with the appropriate academic units and add value to the academic departments through:  e.1 Aiding faculty and student recruitment and retention by enriching the RI environment  e.2 Advancing curricular programs,  e.3. Mounting capability building workshops and seminars,  e.4. Providing interdisciplinary research training and mentoring for undergraduate and graduate students, and  e.5. Regular communication of RI unit activities and opportunities for faculty and student involvement;   1. Lead the strategic planning of the RI Operations Units in consultation and coordination with the VPARI to ensure that the RI objectives are aligned with the University’s Strategic Plan objectives; 2. Oversee the proper discharge of administrative duties of the URIO unit; 3. Enhance the reputation of the URIO Units by undertaking quality RI activities and communicating such RI activities to the community; 4. Encourage and support the raising of funds for the URIO through, but not limited to, cooperation with the Alumni and other stakeholders’ fundraising activities; 5. Facilitates the attainment of the university’s annual targets for RI programs; 6. Submit reports of accomplishments to the VPARI and/or the University President; 7. Participate and render cooperative and consultative services in meetings, conferences, seminars, workshops, research and development projects and extension activities; and 8. Perform other related tasks as may be assigned by the VPARI and/or the University President. |
| **1.6. Research and Innovation Center Director**. The RIC Director shall be responsible for the overall leadership and implementation of the research and innovation programs and administrative affairs of the research center, and shall report directly to the VPARI. The center head shall have autonomous/priority authority and responsibilities for all center activities, budget and personnel management.    The RIC Director shall be appointed by the University President for a term of two (2) years. S/He can be re-appointed for another term provided that s/he shall have accomplished during his/her first term the following:    1.6.1. at least one publication in a reputable refereed journal as senior author; or at least one published patent application in the IPOPHL e-Gazette or one registered Utility Model/Industrial Design/Trademark/Copyright; and  1.6.2. involvement in at least one extension activity earning at least 3 Workload Units.    The RIC Director shall perform, not limited thereto, the following duties and responsibilities:     1. Lead the strategic planning of the research center to ensure that the center’s objectives are aligned with the university’s strategic plan and objectives; 2. Oversee the proper discharge of administrative and management duties of the research center, including, but not limited to, personnel management, financial management, and operations management; 3. Work productively with the research center’s governance/technical committee(s); 4. Manage the research plan effectively and efficiently, ensuring that accepted standards of RI and ethical behaviors are met; 5. Take charge of the area, infrastructure, and facilities and equipment needs of the research center in cooperation with appropriate authorities; 6. Enhance the reputation of the research center and the university by undertaking quality RI and communicating that RI to society; 7. Develop networks and linkages with researchers/experts in the field in the public and private sectors, locally, nationally and internationally; 8. Take the lead in the submission of proposals to funding agencies and other fund-raising initiatives; 9. Build and maintain partnerships and/or linkages with external agencies specializing in the sector/commodity/focus of the center, and other related sectors; 10. Work closely with other RI Offices in the planning, monitoring & evaluation, reporting, protection, commercialization, extension, and promotion/dissemination of PPSs/technologies/knowledge products for public utilization; 11. Take lead in the attainment of the cascaded annual RIC target from the VPARI; 12. Conduct RI PPSs in collaboration with other core and affiliate RI faculty; 13. Deliver the minimum required outputs as stipulated in the RIC Operations Manual; and 14. Performs other related tasks as directed by the VPARI and/or the University President. |
| **1.7. Innovation & Technology Support Office (ITSO) Manager.** The Innovation and Technology Support Office (ITSO) Manager shall be responsible for all intellectual property protection services of the university and service areas as identified by the Intellectual Property Office of the Philippines (IPOPHL), and shall report directly to the VPARI.    The ITSO Manager shall be appointed and continuously reappointed by the University President through the strength of BOR Resolution No. 57, s. 2018 re Approving the SLSU Guidelines for Designation of Faculty and Staff to Administrative Positions of which item 6.2 provides that, “for positions without incumbents, a designation may be renewed for another two (2) years but not to exceed four (4) years” until otherwise revoked.  The ITSO Manager shall perform the following duties and responsibilities:     1. Lead the strategic planning of the ITSO to ensure that the center’s objectives are aligned with the university’s and IPOPHL’s strategic plan and objectives; 2. Oversee the proper discharge of administrative duties of the ITSO including, but not limited to, personnel management, financial management, and operations management; 3. Lead the conduct of both internal and external intellectual property information dissemination activities; 4. Make available the services of patent searching and assisting intellectual property protection applicants on relevant intellectual property queries; 5. Immediately and effectively act on intellectual properties of the university and service areas endorsed for protection; 6. Take charge of the area, infrastructure, and facilities and equipment needs of the ITSO in cooperation with appropriate authorities; 7. Enhance the reputation of the university by verifying and ensuring the quality of intellectual property applications for registration; 8. Take the lead in promotion of intellectual property protection to the researchers and inventors in the university and service areas; 9. Participate and render cooperative and consultative services in meetings, conferences, seminars, workshops, research and development projects and extension activities; 10. Build and maintain partnerships and/or linkages with external agencies specializing in intellectual property protection and/or commercialization, and other related sectors; 11. Work closely in assisting other RI Offices in the planning, monitoring & evaluation, reporting, protection, commercialization, extension, and promotion/dissemination of PPSs/technologies/knowledge products for ~~the~~ public utilization; 12. Performs other related tasks as directed by the VPARI and/or the University President. |
| **1.8. Journal Publication Management Office Managing Editor.** The Managing Editor shall perform the following duties and responsibilities, but not limited thereto:   1. Oversees the management and operations of the University scientific journals to ensure timely publication of high quality scientific papers; 2. Closely coordinates with the Chief Editors of the University journal publications; 3. Receives and responds to all correspondence coming from authors, editorial board and other journal stakeholders for and behalf of the Chief Editors; 4. Oversees the online journal services of the University; 5. Closely coordinates with the VPARI for the timely printing and circulation of the University journal publications; 6. Supervises the activities of the University journal operation and production staff (Typesetters, Language Editors, Online Support, Admin Staff, Admin Aide and other staff); 7. Attains the targets of the University; 8. Submits reports of accomplishment to the VPARI; and 9. Performs other related tasks as may be assigned by the VPARI and/or University President. |
| **1.9. Research and Innovation Center Division Head**. The RIC Division Heads shall have the following duties and responsibilities, but not limited thereto:   1. Supervises the activities of the assigned Center Division in coordination with the core and affiliate RI faculty members; 2. Develops strategic partnerships and networks in the regional, national and international industries, researchers with the purpose of generating activities that will stimulate technology/knowledge generation. 3. Acts as the nexus between the university and the community with respect to research initiatives of mutual benefit; 4. Facilitates the transfer of knowledge to society through outreach (e.g. collaborative research, seminars, workshops, lectures, websites, publications, etc.) and, where applicable, through technology transfer (e.g. collaborative research, contract work, and commercialization of intellectual property); 5. Initiates strong linkages with appropriate academic departments and units within SLSU by:   e.1. aiding faculty and student recruitment and retention by enriching the research environment;  e.2. advancing university curricula;  e.3. mounting workshops and seminars;  e.4. providing interdisciplinary research training and mentoring for undergraduate and graduate students; and  e.5. regular communication of research center activities and opportunities for faculty and student involvement.   1. Delivers the minimum required outputs as stipulated in the RIC Operations Manual; 2. Assists the RIC Director in the overall management and in attaining the annual target outputs/outcomes of the Center; 3. Coordinates and working closely with the RIC Director, URIO Director and Heads, and other Campus/College RI Heads in the implementation of Center PPSs; 4. Implements RI PPSs in collaboration with other core and affiliate RI faculty; 5. Submits all reports as required by the university officials; and 6. Performs other related tasks as may be assigned by the RIC Director. |
| **1.10. Monitoring and Evaluation Unit (MEU) Head.** The Monitoring, Evaluation, and Management Information System Unit (MISU) Head shall be responsible for the conduct of periodic monitoring and evaluation of ongoing RI Programs, Projects and Activities. The criteria and Terms of Reference (TOR) for the evaluation shall be based on the standards submitted by the RI Office to the Quality Management System. The MISU Head shall report directly to the URIO Director.    S/He shall have the following duties and responsibilities:     1. Conduct monitoring and evaluation of the PPSs implementation, fund utilization as well as resource generation; 2. Review semestral and annual reports for evaluation by the RIC Director/URIO Director and the VPARI; 3. Monitor and provide feedback on the PPSs’ targets and accomplishments, including the financial equivalents of the target activities and accomplishments; 4. Conduct quarterly site visits, when applicable and necessary; 5. Prepare the work plan and the detailed budget of MEU-related activities; 6. Manage and deliver timely and reliable RI monitoring and evaluation information in accordance with agreed plans and schedules, including reports from across all centers and colleges; 7. Support the URIO Director in the attainment the cascaded annual URIO targets; 8. Submit reports of accomplishment to the URIO Director; and 9. Perform other related tasks as may be assigned by the Director/and or VPARI. |
| **1.11. Management Information Systems Unit (MISU) Head.** The Management Information Systems Unit (MISU) Head shall be responsible for the initiation and maintenance of information management systems for the URIO. The criteria and Terms of Reference (TOR) for the evaluation shall be based on the standards submitted by the URIO to the Quality Management System. The MISU Head shall report directly to the URIO Director.  S/He shall have the following duties and responsibilities:     1. Create the overall framework of and operate the Management Information System (MIS) of the RI in coordination with the respective colleges/departments; 2. Create online and offline archive of RI-related information, data, reports, journals, and accomplishments; 3. Perform system diagnosis, repair and updates to ensure data integrity, and reliability of automated tasks; 4. Prepare the work plan and the detailed budget of MISU-related activites; 5. Develop and embed quality standards and service level agreements for the MIS, ensuring these are maintained and the effectiveness monitored and reviewed; 6. Manage and deliver timely and reliable RI monitoring and evaluation information in accordance with agreed plans and schedules, including reports from across all centers and colleges; 7. Manage the user access rights to the online archive to ensure that all inputs are encoded appropriately; 8. Support the URIO Director in the attainment the cascaded annual URIO targets; 9. Monitor and evaluate the functionality of RI software and hardware systems; 10. Ensure the RI’s adherence to applicable software licensing laws; 11. Submit reports of accomplishment to the URIO Director; and 12. Perform other related tasks as may be assigned by the URIO Director/and or VPARI. |
| **1.12. Communications Unit (CU) Head.** The Communication Unit Head shall be responsible for managing the media documentation, information dissemination and communication of the OVPARI and shall report directly to the URIO Director.  The principal functions of the CU Head are as follows:     1. Take charge of all information and communication of all the activities of RI which encompass but are not limited to the following: Documentation and dissemination of RI activities through various media; announcements of RI activities including those of the RICs; RI Exhibits; weekly university radio program; RI content in university website; and management of RI social media accounts; 2. Prepare RI media materials for promotion, dissemination, training and other related purposes; 3. Coordinate with other agencies to facilitate requests for assistance in the dissemination and/or packaging of information and educational materials; 4. Serve as the media link between the university and other agencies, and of the university and the community; 5. Spearhead in the conduct of regular RI Colloquia/Forums; 6. Serve as the secretariat during In-House Reviews; 7. Develop the overall framework of the CU activities; 8. Prepare the work plan and detailed budget for CU activities; 9. Monitor and follow up the production and distribution of informational and educational materials across the university’s beneficiaries; 10. Arrange periodic processes and impact evaluation of communication activities; 11. Identify and document lessons learnt and good practice at all levels and disseminate appropriately; 12. Collaborate with the Data Analytics Unit to *document* survey collection, and assessment-related information; 13. Submit reports of accomplishment to the URIO Director; and 14. Performs other related tasks as may be assigned by the URIO Director. |
| **1.13. Data Analysis Unit (DAU) Head.** The Data Analysis Unit (DAU) Head shall be responsible for effective and efficient data analysis and interpretation of RI PPSs referred to them and shall report directly to the URIO Director.  S/he shall have the following duties and responsibilities:     1. Facilitate in the analysis of data and interpretation of results; 2. Make recommendations about the methods and ways to improve the quality and efficiency of data systems; 3. Provide consultation, technical assistance, and coordination for a wide variety of faculty researchers and students; 4. Advise and assist the faculty-researchers in determining the appropriate statistical methodology to meet their study needs and objectives; 5. Conduct validation checks; 6. Inform the faculty – researchers of new developments in the statistical and mathematical field associated with software and methodology; 7. Coordinate with the Management and Operation of the RI PPSs on the conduct of its activities related to data treatment, analysis and interpretation; and 8. Performs other related tasks as may be assigned by the URIO Director. |
| **1.14. Intellectual Property Protection Unit (IPPU) Head.** The Intellectual Property Protection Unit (IPPU) Head shall be responsible for the details on all matters regarding intellectual property protection services of the university and service areas, and shall report directly to the ITSO Manager. The IPPU Head shall be appointed by the University President upon endorsement by the ITSO Manager for a term of two (2) years through the strength of BOR Resolution No. 57, s. 2018 re Approving the SLSU Guidelines for Designation of Faculty and Staff to Administrative Positions of which item 6.2 provides that, “for positions without incumbents, a designation may be renewed for another two (2) years but not to exceed four (4) years.” The IPPU Head shall perform the following duties and responsibilities:     1. Render patent search services to the university and the service areas; 2. Decide on the best intellectual property protection scheme for clientele; 3. Draft for clientele the necessary patent, utility model, trademark, copyright, and other intellectual property protection applications for submission to the IPOPHL and to other Intellectual Property Offices around the world where necessary; 4. Respond to the written communications on formality and substantive examination reports sent by IPOPHL during the course of the intellectual property application/registration process; 5. Process the necessary fees for intellectual property protection application; 6. Maintain a database of intellectual property protection services rendered to university personnel and service area clientele; 7. Take the lead during training events and technical advisory engagements on all matters regarding intellectual property protection to university personnel and service area clientele; 8. Serve as automatic officer-in-charge of the ITSO in the absence of the ITSO Manager; and 9. Perform all other tasks as required by the ITSO Manager. |
| **1.15. Knowledge & Technology Transfer Unit (TTU) Head.** The Knowledge and Technology Transfer Unit (TTU) Manager shall be responsible for all technology transfer services of the university, and shall report directly to the ITSO Manager.    The TTU Head shall be appointed by the University President for a term of two (2) years through the strength of BOR Resolution No. 57, s. 2018 re Approving the SLSU Guidelines for Designation of Faculty and Staff to Administrative Positions of which item 6.2 provides that, “for positions without incumbents, a designation may be renewed for another two (2) years but not to exceed four (4) years.” |
| The TTU Head shall perform the following duties and responsibilities:     1. Render intellectual property audit and evaluation services to the university and service areas as identified by IPOPHL; 2. Facilitate the commercialization of intellectual property through liaising with potential industry partners and providing licensing support to the inventor(s) and technology assumer(s)/adopter(s); 3. Provide internal and external advice on intellectual property commercialization strategies; 4. Assist creators in the preparation of necessary documents for the transfer (adoption, incubation and/or commercialization) process; 5. Act as the nexus between the University and the community with respect to RI initiatives of mutual benefit; 6. Develop mutually beneficial linkages with industry, where applicable in order to develop partnerships and collaborative RI undertakings; 7. Prepare and submit accomplishment reports related to knowledge and technology transfer; 8. Maintain a database of the RI outputs transferred to target clientele; and 9. Perform other tasks as required by the ITSO Manager. |
| **1.16. Campus RI Head/College RI Coordinator**. Each external campus of the University shall have Campus RI Head. The Campus RI Head shall be responsible for coordinating and liaising with the URIO Director regarding any and all research and innovation activities of academic faculty in the College not engaged with any of the university RICs, and shall report directly to the URIO Director while maintaining harmonious coordination with the External Campus Director. Similarly, for campuses with flagship colleges, there shall be a designated RI Coordinator for each flagship college.    The Campus RI Head/College RI Coordinator shall have the following duties and responsibilities:     1. In consultation with the College Dean/Campus Director, spearhead the planning and implementation of research and innovation projects and activities of the College/Campus; 2. Manage the RI Coordinating Office of the College/Campus; 3. Facilitate the conceptualization and preparation of the College RI agenda in consonance with the University RI Agenda; 4. Facilitate the conceptualization and preparation of RI program and plans of the Department/Program/Campus based on the RI agenda of their respective campuses in coordination with the respective Department Heads/Program Chairs; 5. Maintain a databank of research and innovation projects and activities proposed and conducted by the College/Campus; 6. Submit accomplishment reports and provides data from RI activities to the Campus/College Director and URIO Director and/or the VPARI; 7. Coordinate on matters concerning the College related to research, development and extension; and 8. Perform other related functions as directed by the Campus Dean and/or URIO Director. |
| Appendix 2  **Details of the Research, Development and Extension Agenda** |
| The predecessor RDE Agenda of the university (2013–2018) benchmarked on the following mandates derived from the University’s Goals:     1. To establish a culture of S&T based research; 2. To facilitate the adoption of technologies by the community to which the university serves.   Realizing that the development of a research culture takes time, the obvious question is that of determining a mechanism to fast-track the acquisition of an S&T culture for the University. Hence, the Vision, Mission, Goals and Objectives of the RI office are:    **Vision**  A responsive unit that takes the lead in promoting transformative learning, livelihood generation, biodiversity conservation, climate change adaptation & disaster risk management, and good governance in the region.    **Mission**  Perform research, development and extension activities that generate revenue, transform education, improve the socio-economic status of the community, and contribute for the attainment of a sustainable environment through responsible knowledge creation, innovation and discovery.  **Goals**  Continue establish a culture of science, technology and innovation (STI) to produce knowledge products that enhance and promote:   |  |  | | --- | --- | | *1.* agricultural productivity, quality and profitability under smallholder conditions | **(SHARE Center)** | | 2. development of organic and natural food-based products | **(CONFoR)** | | *3.* sustainable utilization of biological resources | **(BioProTeC)** | | *4.* improves community resilience to climate and disaster risks | (DRRM/SICAD)  **(GIS-TC)** | | 5. livelihoods and small businesses and enhance resource generation capabilities | (BARGO/SEED/BID)  (CReSMED) | | *6.* innovation in the delivery of knowledge to marginal communities | **(CARE)** | | *7.* good governance and sustainable development | (LRI-GD) | |
| Establishing research culture can be accomplished by the following objectives:  **Objectives**   1. **To create a research and innovation ecosystem**  * To continue establishing the culture of research for the whole university. This can be accomplished by mind-setting the faculty towards a unified outlook, understanding and commitment towards the university’s mission and vision through a series of internal consultations, re-orientations and seminars. * Compartmentalizing the University so that a specific group of interested faculty and staff are groomed for research who shall spearhead the culture of research in the University. This can be accomplished by conducting a descriptive and psychological mapping of the faculty in the university for a clearer picture of who are inclined to do research, development and extension and who are not and the constant exposure of the former to RI training and related activities. * Introduction of effective RI capability building programs. These shall be conducted to capacitate and motivate the university’s human resource to engage into S&T-based research. The implementation of this strategy shall be guided by the Strategic Plan designed for this purpose. * Formulating RI themes reflective of the expertise of the university faculty and staff. This is reflected in the RI thrusts and priorities of this section of the manual.  1. **To establish of Autonomous RICs***.* This is reflected in the Management and Human Resource of RI section of this manual. 2. **Intensify support for the development and protection of appropriate technology to address local, national and global issues**  * A state university functions as a fountain of knowledge and part of its mandate is to help improve the quality of life of the community. This is captured in SLSU’s vision as a corporate science and technology university. To respond to this mandate, the university needs to contribute to the development of appropriate technologies that will address both local and global issues.  1. **Facilitate the service areas’ adoption of developed technologies and intensify their utilization of the university’s expert services**.   Based on the university’s strategic plan for 2016-2022, the university is tasked to increase the economic productivity of the farmers, fisher folk and business sectors, and enhance the capability of the educators and technology providers in the service areas. As an aspiring front-liner in Science- and Technology-based research and extension in the province, SLSU is mandated to facilitate the adoption of developed technologies to communities and service areas as part of and on top of its extension activities. This can be done through:   * Establish linkages with the end-users through MOU/MOA and * Form a mechanism to implement, monitor and sustain the efficient adoption of technologies. |
| **Thrusts and Priorities**  Research, development and extension thrusts and priorities of the University shall be geared towards:  **1. Transformative Learning**. RI Programs, Projects and Activities that  1.1. Enhance the university’s academic programs;  1.2. Improve the quality of instruction;  1.3. Explore transformative learning strategies;  1.4. Articulate and revise assumptions and perspectives on education;  1.5. Promote critical self-reflection and openness to alternative discourse; and  1.6. Develop innovative and more effective elementary and secondary education pedagogical models.  **2. Livelihood Generation**. RI PPAs that  2.1. Generate, propagate and develop agroforestry and marine commodities and products;  2.2. Produce technologies that facilitate the sustainable development of agroforestry and marine commodities;  2.3. Promote the preservation and development of human capital e.g. studies on health, nutrition, fitness and wellness, socio-economics, entrepreneurship, financial education, etc.; and  2.4. Critically explore policy, management, civil society, governance and gender and development.  **3. Biodiversity Conservation**. RI PPAs that  3.1. Contribute to the restoration and sustainability of natural resources in the region;  3.2. Explore and provide information on the status and impact of destruction in different ecosystems in the region,  3.3. Improve the knowledge, awareness, attitude and perceptions (KAAP) of locals on the importance of biodiversity conservation and sustainable natural resources management.  **4. Climate Change Adaptation & Disaster Risk Management**. RI PPAs that contribute to knowledge creation as key inputs for planning and policy formulation emphasizing on climate change adaptation and disaster risk management.  *4.1. Improve protection of capacities and assets from impacts of climatic disaster;*  4.2. *Promote preparedness* of communities and institutions to cope and mitigate the impacts of climatic shocks and disasters;  4.3. strengthen communities’ ability to *recover* and reconstruct from conflicts in a way that ensures their resilience to future climatic disasters; and  4.4. *contribute* to sustainable development.  **5. Good Governance.**  5.1. create an environment that strengthens rule of law and human rights, gender equality, appropriate distribution of power and macro-economic stability;  5.2. improve social and economic framework conditions in the service of sustainable development, the fight against poverty and human security.  5.3. produce results that meet the needs of society while making the best use of resources at their disposal;  5.4. also covers the sustainable use of natural resources and the protection of the environment.  *Note: Humanities (history, culture, language, and arts) and basic science studies can be integrated in the conceptualization and formulation of research proposals along the research thrusts and priorities. RI PPAs may not be in line with the above-mentioned thrusts and priorities provided that funding for the said PPAs are not sourced from the University’s institutionally-granted RI funds.* |
| **Formulation, Review and Approval of the RI Agenda by Center/ College/Department**  Each Center/College/Department of the University shall formulate an RI agenda/programs consistent with the provisions of this Manual. In addition, each curricular program, as initiated by the Program Chair and Department Head, shall formulate the RI PPAs based on the RI agenda of their respective Colleges or RICs. The RI PPAs of the different Colleges and Departments/Programs shall be submitted to the URDIC for review, evaluation and endorsement to the University President. The SLSU-Board of Regents shall delegate the authority to the University President to approve the RI agenda/programs of the different Centers, Colleges and Departments/Programs upon the recommendation by the URDIC and other Councils of the University. |
| **Formative and Summative Assessment of the RI Agenda and Plans**  During the last quarter of the last year of effectivity of the RI agenda and plans, the Office of the VPARI shall initiate an assessment or evaluation of the implementation of the university RI agenda and plans. Formative assessment may also be conducted during the implementation of RI agenda and plans. Results of the assessment shall be presented to the URDIC for appropriate action. |